



Western Balkans Investment Framework

Guidelines for Applicants: Blending Operations - Public and Private Sectors

December 2022



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1. Purpose of the Guidelines

The Guidelines for Applicants apply to the preparation of project proposals for WBIF blending for the public and private sectors. They are intended to help applicants identify the WBIF intervention area under which they could submit project proposals and prepare the content of grant applications for technical assistance and investment grants.

The current guidelines are part of the call for proposals launched on 8 November 2022 and 5 December 2022: TA Round 29 for technical assistance and INV Round 8 for investment grants for public sector blending operations, and PS Round 2 for public sector blending operations. They include the following documents that should be carefully read before submitting grant applications:

- Grant application form for investment grants for public sector blending
- Grant application form for technical assistance for public sector
- Application form for blending operations in the field of private sector development
- Application form for technical assistance in the field of private sector development
- Indicators for public sector blending and technical assistance
- Indicators for private sector development – blending and technical assistance
- Screening and assessment grid for investment grants for public sector blending
- Screening and assessment grid for technical assistance for public sector
- Screening and assessment grid for blending for private sector
- Screening and assessment grid for technical assistance for private sector

2. Eligibility provisions

The following eligibility provisions apply to projects and programmes for financing under the WBIF. These criteria pertain to investments grants and technical assistance for WBIF blending in the public and private sectors.

2.1 Geographical coverage

Projects may be eligible for financing under the WBIF if they will be implemented on the territory of one or more of the following Beneficiaries: Republic of Albania, Bosnia and Herzegovina, Kosovo*, Montenegro, Republic of North Macedonia, and Republic of Serbia.

For trans-national or regional projects involving one or more of the Beneficiaries but also non-eligible countries, the support provided through the WBIF will cover only the investment part pertaining to the Beneficiary.

The legal entity benefiting from a public sector investment grant shall be registered within a Beneficiary. For trans-national or regional projects involving also non-eligible countries, the institution or body in charge of the investment may be based in a non-eligible country, but the support provided through the WBIF will only cover the part of the investment implemented on the territory of the participating Beneficiaries.

2.2 Eligible entities for WBIF support

Public sector projects and programmes for financing under the WBIF may benefit (depending on the type of project and/or the intervention area addressed):

- (a) public entities;
- (b) private entities such as for example, without limitation, entities established within the context of public private partnerships (PPPs), joint ventures or mutual joint ventures;
- (c) other entities with mixed public-private capital,

in each case responsible for the management, construction and provision of public utilities and services.

Private sector projects and programmes for financing under the WBIF may benefit (depending on the type of project and/or the intervention area addressed):

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

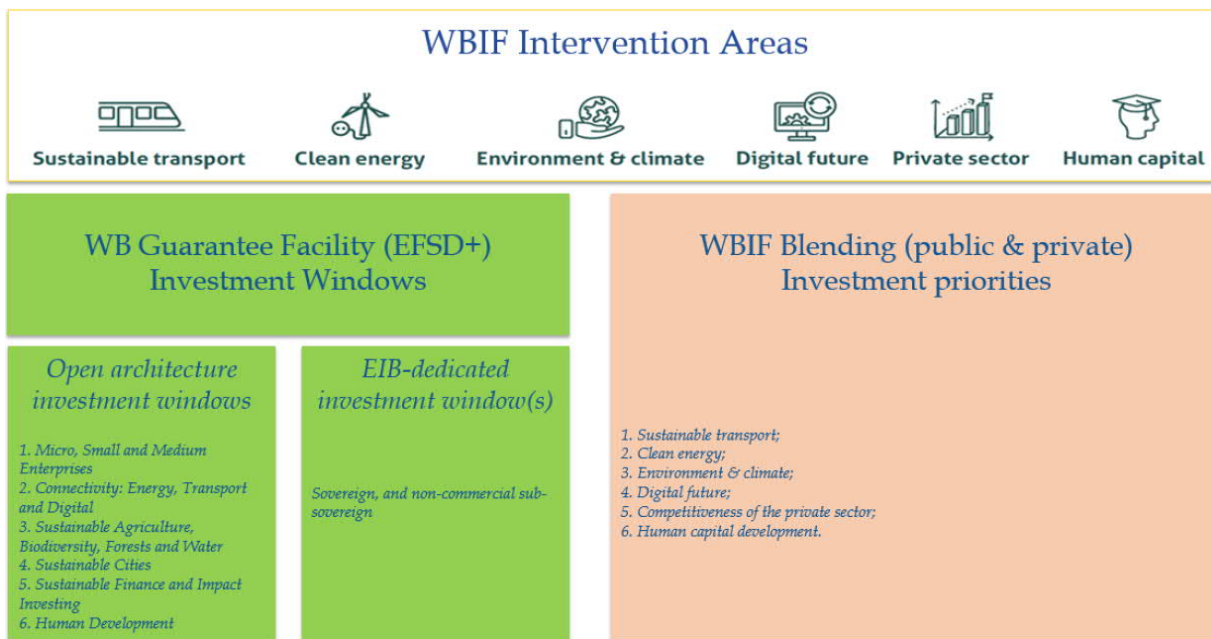
- (a) private entities active in any sector of the relevant economies, including without limitation, entities established without profit purposes, such as charities, associations and NGOs;
- (b) private entities such as for example, without limitation, entities established within the context of public private partnerships (PPPs), joint ventures or mutual joint ventures;
- (c) individual entrepreneurs active in any sector of the relevant economy irrespective of the existence of a specific legal framework, including for example farmers;
- (d) individuals belonging to a specifically targeted category, which projects may identify as in need of specific support under an intervention area;
- (e) public entities, as well as public and private entities providing public and/or private services, including financial services;
- (f) regional organisations with relevant mandate and specific expertise in the WBIF areas of intervention.

2.3 WBIF intervention areas

The WBIF intervention areas stemming from the [Economic and Investment Plan for the Western Balkans](#)¹ ensure the ‘policy first’ approach. Projects eligible for support through blending and technical assistance may support any sector that contributes to the economic, social and environmental development of the Western Balkans and to the investment flagships identified in the [Economic and Investment Plan for the Western Balkans communication](#) in the following intervention areas:

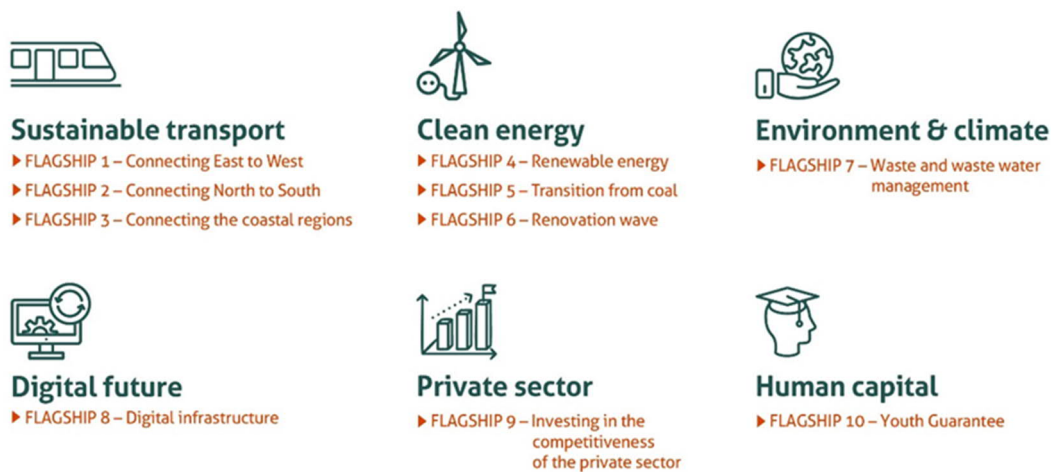
- (a) Sustainable transport
- (b) Clean energy
- (c) Environment & climate
- (d) Digital future
- (e) Competitiveness of the private sector
- (f) Human capital development

Figure 1: WBIF areas of intervention



¹ [Western Balkans: An Economic and Investment Plan to support the economic recovery and convergence](#)

Figure 2: Priority investment flagships



2.4 WBIF public and private sector blending investment priorities

The WBIF blending (public and private) investment priorities advance with the implementation of the [Economic and Investment Plan for the Western Balkans](#) and, in particular, on its flagship priority investments. The following eligibility criteria per investment priority are of application to projects and proposals submitted to the call for proposals launched on 8 November 2022 and 5 December 2022.

The [WBIF Strategic Orientations](#) for blending operations, as endorsed by the WBIF Strategic Board on 16 December 2021 and formalised through written procedure on 23 February 2022, can be used as a reference document together with the Economic and Investment Plan for the Western Balkans.

2.4.1 Sustainable transport

Rationale

The [Economic and Investment Plan for the Western Balkans](#) sets out that significant investment should be directed towards sustainable transport infrastructure in the Western Balkans.

Investments in transport infrastructure should be future-proof and sustainable (e.g. through proper climate risk assessments and adequate mitigation and adaptation measures) in line with the [Guidelines for the Implementation of the Green Agenda for the Western Balkans](#) embedded in the Economic and Investment Plan: e.g. rehabilitation of the rail network, deployment of intelligent transport systems, multimodal transport solutions and modal shift. These investments should also be aligned with the Sustainable and Smart Transport Strategy (SSTS) priorities, the 'do no significant harm' principle and the Paris Agreements.

Fast, efficient and sustainable transport links are crucial, both within the region and with the neighbouring EU Member States, namely in the rail and inland waterways sectors.

Progress should be made on both the implementation of technical standards and connectivity reform measures (e.g. aligning/simplifying border crossing procedures, railway reform including unbundling and third-party access, information systems, maintenance schemes, road safety), thus speeding up the completion of the indicative extension of the Trans-European Transport Network (TEN-T) to the Western Balkans and accelerating full alignment with the EU acquis, namely as regards digital and clean energy technologies.

The regional action plans on transport facilitation, rail, road, road safety, waterborne transport and multimodality shall act as frameworks for investments.

Key areas of intervention

- Rehabilitation of existing and construction of new resilient and smart transport infrastructure (Core TEN-T Network), especially rail and inland waterways;
- Deployment of digital transport technologies, such as intelligent transportation systems (ITS) or electronic queuing management systems (eQMS);

- Implementation of rapid urban transit systems for sustainable urban mobility solutions, green multimodal transport solutions and investments intended to facilitate cross-border mobility.

2.4.2 Clean energy

Rationale

The [Economic and Investment Plan for the Western Balkans](#) together with the [Guidelines for the Implementation of the Green Agenda for the Western Balkans](#) set out that support towards energy transition – from highly polluting coal to more sustainable and green energy sources – will be reinforced.

In reply to Russia's war of aggression and its devastating impact on the energy sector, the European Commission's President announced the [EU External Energy Strategy](#) on 18 May 2022, which aims to drastically reduce the EU's dependency on (Russian) fossil fuels for energy production. Accelerated roll-out of the Green Agenda and implementation of clean energy projects, with a sharper focus and emphasis on energy transition is thus more important than ever.

The main focus will be the support to renewable energy generation (e.g. solar, wind, biomass and rehabilitation of existing hydropower plants), energy efficiency (public and private buildings and businesses), low carbon transition (e.g. future-proof gas pipelines supportive of the low carbon transition, and transit of decarbonised gas and hydrogen), as well as performant electricity transmission lines for increased use of renewable energy sources in line with the region's potential. The contribution of these investments to decarbonise energy production and/or consumption shall be key to deliver on the Green Agenda for the Western Balkans, including being able to avoid potentially negative consequences of the Carbon Border Adjustment Mechanism (CBAM).

Progress should be made on energy connectivity reform measures to set up a regional energy market and further integration with the EU energy market working closely with the Energy Community Treaty Secretariat. The mobilisation of the private sector would contribute to the nascent industrial clean energy ecosystems and can be a regional economic game changer.

Key areas of intervention

- Renewable sources of energy generation and decarbonisation;
- New digital technologies, increased digitalisation of the system;
- Energy efficiency, including energy poverty measures;
- Energy security;
- Enhanced energy connectivity.

2.4.3 Environment and climate

Rationale

The [Economic and Investment Plan for the Western Balkans](#) together with the [Guidelines for the Implementation of the Green Agenda for the Western Balkans](#) set out that significant investment should be directed towards greening the Western Balkans and mainstreaming environmental and climate requirements in other sectors.

Main focus will be on decarbonisation, climate resilience, depollution of air, water and soil, green infrastructure, circular economy, sustainable farming and food production and protecting and restoring biodiversity. The region should embrace innovative green technologies.

Key areas of intervention

- Upgrading basic infrastructure in line with relevant EU standards, greening the built environment, investments in climate-smart technologies and techniques in the field of solid waste management², water, sanitation, disaster risk reduction, establishment of air and water monitoring systems and pollution prevention measures, and strengthening resilience to extreme climate events.
- Upgrading basic infrastructure, greening the built environment, investments in climate-smart technologies and techniques in the field of sustainable transformation of agri-food systems and rural development, and strengthening resilience to extreme climate events.

² Conditional on reliable strategies and solid waste management plans being in place, ensuring sustainability of investments.

- Nature-based solutions will be encouraged and supported where relevant.

2.4.4 Digital future

Rationale

The [Economic and Investment Plan for the Western Balkans](#) indicates that digitalisation is an opportunity and that digital solutions have to contribute to a sustainable, climate neutral, climate resilient and resource efficient economy.

Accelerating the region's digital transformation through investments in digital infrastructures and services for business and governments represents a priority. The Digital Agenda for the Western Balkans is a reference in designing interventions.

We propose to focus main interventions on the connectivity to digital infrastructures (ultra-fast and secure broadband connections for households, businesses and education and health institutions), with particular focus on remote areas and to lower-income population.

Key areas of intervention

- Digital connectivity and access to digital infrastructures (including collaborative digital environments for business and education institutions with regional impact or pilot character), with particular focus on remote areas and to lower-income population;
- Investments in digital infrastructures should take into account the need to ensure infrastructure resilience and energy efficiency and the security of digital infrastructures should be improved.

2.4.5 Competitiveness of the private sector

Rationale

Crowding-in private capital to leverage additional funds is pursued across all WBIF investment windows to enable enhanced cooperation of all potential donors in the region through scaling-up of investments in all the [Economic and Investment Plan for the Western Balkans](#) propriety areas.

Specifically, the Economic and Investment Plan for the Western Balkans focuses on the importance of supporting start-ups, micro, small and medium-sized enterprises (MSMEs) as means to develop a robust private sector. This is essential for socio-economic development of the individual economies and to underpin the regional integration and, ultimately, to improve the region's competitiveness, job creation and convergence towards the EU. The Plan sets out that significant investment should be directed towards innovation and green growth and contribute to address the policy objectives of the Green Agenda for the Western Balkans and the Innovation, Research, Education, Culture, Youth and Sport Agenda ('Innovation Agenda') for the Western Balkans.

Investing in the competitiveness of the private sector entails ensuring the availability and reliability of affordable and diversified access to finance for start-ups and MSMEs, which shall support them to grow and expand. It also entails addressing barriers hindering an adequate business climate development at economies and regional level. Last but not least, investments have to be aligned with reforms priorities, as identified by the Economic Reform Programmes, and have to contribute to the implementation of the Common Regional Market.

The call for proposals for private sector blending operations 'PS Round 2' is restricted to projects and investments in the following key areas of intervention

- Green transition: shall support increasing the availability of financing to MSMEs to support investments that contribute to energy savings and lowering CO₂ emissions in line with the Green Agenda for the Western Balkans priorities.
- Digital transition, innovation: shall support investments strengthening the digitalisation of the business sector in the region (including start-ups and scale-ups MSMEs), as well as the integration of research and development results, innovation, technology transfer, and enabling digital ecosystems.
- Trade: shall aim at raising the quality standards of companies, the availability of export-oriented investments and facilitate the integration of innovative industrial value chains between the Western Balkans and the EU in order for the region's private sector to benefit from market integration and trade within the region and with the EU.
- Financial inclusion: shall support the labour, social and financial inclusion of those furthest away from the labour market, including the Roma population. Focus should be put, in particular, on the social entrepreneurship ecosystem, through

activities that build the capacity and preparedness of the supply (social finance providers) and demand (social enterprises) sides of the social entrepreneurship ecosystem. Additional areas of focus should be put on unlocking adequate diversified finance instruments, building the capacity to develop entrepreneurial undertakings and social enterprises, crowding-in private capital to tackle social challenges and support socially responsible public procurement.

2.4.6 Human capital development

Rationale

The [Economic and Investment Plan for the Western Balkans](#) shifts focus from social infrastructures to investments in human capital recognising the importance of education, health and social protection to unleash economic growth potential. Investing in human capital entails investing in reforms, services and infrastructures.

It is important that new interventions are sufficiently grounded with the necessary feasibility and sectoral studies and/or that interventions are part of human development broader strategies at regional and/or beneficiary economy level.

Investments have to contribute to the reforms priorities as identified by the Economic Reform Programmes and to the implementation of the Common Regional Market, digital and green agenda objectives.

We propose to focus main interventions in human capital infrastructures in the fields of education and health, bearing in mind that the final objective is to equip the private sector to be more competitive (mostly formed by SMEs in the Western Balkans). Proposals for WBIF funding shall be coordinated with bilateral IPA programming.

Key areas of intervention

- Investments in new and/or upgraded facilities in the fields of education (from early childhood education to high-level education) and health, complying with clean energy, environmental protection, disaster resilience, including to climate change impacts, sustainable infrastructures and digitalisation. Recognised international standards in the fields need to be recognised;
- Investments have to incorporate and/or address the priorities of the digital and green agenda for the Western Balkans, including contribute to underpin the deployment of digital infrastructures, fulfil renewable energy and energy efficiency requirements, needed sector reforms and standards adaptation;
- Investments have to be part of a beneficiary economy or regional education and health strategies and target explicitly inclusion of disadvantaged groups, including minorities and marginalised communities, explicitly but not exclusively support Roma integration. Gender considerations also need to be taken into account.

2.5 WBIF eligible sub-sectors for public sector investments and delineation with IPA national programmes

While the table below presents a division of interventions related to infrastructure, Sector Operational Programmes and bilateral programmes in general also support soft measures such as technical assistance and other assistance for project preparation, institutional support, capacity building, acquis alignment, etc., which can apply to all the sub-sectors listed in the table.

Table 1: WBIF eligible subsectors for public sector investments and delineation with IPA national programmes

Sub-sector	Sector Operational Programmes (SOPs) / National IPA	WBIF
Sustainable transport		
Roads infrastructure	<ul style="list-style-type: none"> • Roads TEN-T Comprehensive Network and others 	<ul style="list-style-type: none"> • Road TEN-T Core Network
Railways infrastructure	<ul style="list-style-type: none"> • Railway TEN-T Comprehensive Network, railway stations 	<ul style="list-style-type: none"> • Railway TEN-T Core Network
Maritime/Inland waterways infrastructure	<ul style="list-style-type: none"> • Inland waterways TEN-T Comprehensive Network • Coastal protection 	<ul style="list-style-type: none"> • Inland waterways TEN-T Core Network • Port infrastructure
Intermodality		<ul style="list-style-type: none"> • Terminals/multi-modal hubs
Urban mobility	<ul style="list-style-type: none"> • Sustainable urban transport* 	<ul style="list-style-type: none"> • Rapid urban transit systems
Clean energy		
Electricity	<ul style="list-style-type: none"> • Transmission of internal electricity transmission lines, if not on the PEI/PMI lists, that significantly contributes to market integration and/or to the integration of renewable energy sources 	<ul style="list-style-type: none"> • Transmission lines • Digitalisation of the network • Energy storage

Sub-sector	Sector Operational Programmes (SOPs) / National IPA	WBIF
	<ul style="list-style-type: none"> • Distribution 	
Renewable energy production		<ul style="list-style-type: none"> • Solar, wind farm, hydropower, biomass, electricity and heat generation
Energy efficiency	<ul style="list-style-type: none"> • Public buildings • District heating 	<ul style="list-style-type: none"> • Public and private buildings and businesses through REEP and GGF • Hospitals and education facilities through WBIF
Hydrocarbons		<ul style="list-style-type: none"> • Gas pipelines (including pipe interconnectors) • Underground gas storage
Environment and climate change		
Water management	<ul style="list-style-type: none"> • Drinking water and waste water (\leq €15 million (€30 million for Serbia)** • River basin management/flood prevention 	<ul style="list-style-type: none"> • Drinking water and waste water ($>$ €15 million (€30 million for Serbia))
Waste management	<ul style="list-style-type: none"> • Waste management centres (\leq €20 million (€30 million for Serbia)** • Closure of non-compliant landfills • Equipment** 	<ul style="list-style-type: none"> • Waste management centres ($>$ €20 million (€30 million for Serbia)) • Closure of non-compliant landfills, including rehabilitation according to EU standards (only if in association with waste management centres)
Air quality/noise	<ul style="list-style-type: none"> • Services/ works/ equipment** 	
Nature protection	<ul style="list-style-type: none"> • Management of natural resources, resource protection (deployment of reservoirs, irrigation; green and blue infrastructures; ecosystem restoration and resilience; restoration of carbon-rich habitats; water retention)** 	
Industrial pollution/chemicals	<ul style="list-style-type: none"> • Services (studies) • Cleaning/remediation of local dumpsites 	<ul style="list-style-type: none"> • Integrated industrial decarbonisation and depollution solutions (including through WBIF private sector)
Digital future		
Infrastructure	<ul style="list-style-type: none"> • e-governance, e-procurement, education, e-health, electronic public services • Projects supporting alignment with EU's rules related to data protection • EU practices to mitigate cybersecurity risks 	<ul style="list-style-type: none"> • Ultra-fast and secure broadband with a view to ensure universal access • Secure, energy-efficient and trustworthy data centres, edge and cloud infrastructures, as well as linking to EU initiatives on high-performance computers and/or GEANT programme • Exploring synergies with other connectivity areas such as transport and energy in the context of infrastructure sharing (e.g. Balkans Digital Highway)
Human capital development		
Health	<p><i>Not a priority under SOPs, to be addressed through bilateral programmes:</i></p> <ul style="list-style-type: none"> • Any activity in line with IPA III programming framework, EIP, ERP 	<ul style="list-style-type: none"> • Only infrastructure interventions related to digitalisation and energy efficiency
Education & skills	<ul style="list-style-type: none"> • Investments contributing to the Economic and Investment Plan Flagship 10 Youth Guarantee** • Any other activity in line with IPA III programming framework, EIP, ERP** 	<ul style="list-style-type: none"> • Only infrastructure interventions related to digitalisation and energy efficiency
Social inclusion	<ul style="list-style-type: none"> • Any activity in line with IPA III programming framework, EIP, ERP** 	n/a
Employment	<ul style="list-style-type: none"> • Any activity in line with IPA III programming framework, EIP, ERP** 	n/a

* Priority area(s) for Sector Operational Programmes, without the actions eligible under WBIF.

**Priority area(s) for Sector Operational Programmes.

Note: The above table refers to EU funds only. The thresholds for the water and waste management sub-sectors apply to the EU grant amount. In addition, Bilateral Donors can support small scale technical assistance and investment projects in all sectors described above regardless of the division of sectors into “SOPs/bilateral programmes” and “WBIF” and without any financial threshold.

2.6 Project and programme proposals

Project and programme proposals may be identified by different stakeholders, including national and local authorities of the Beneficiaries, Partner Financial Organisations, EU Member States, Bilateral Donors, other participating multilateral or bilateral financing institutions, and regional and local institutions and bodies. For the private sector, NGOs, international organisations, financial institutions, other entities active in the private sector development and underpinning the needed reforms and standards to attract private investments in the region and individual economies.

Project and programme proposals covering infrastructure investments:

- Should as a general principle be prioritised and identified in the Single (National) Project Pipeline compiled within the remit of a National Investment Committee (NIC), or equivalent national structure, and submitted to the WBIF Secretariat by the Beneficiaries via their National IPA Coordinators (NIPACs).
- Should be consistent with the EU Pre-Accession Strategy and relevant national sector strategies. In the case of sectors for which regional coordination mechanisms exist or may be established in the future, projects should also be consistent with the priorities identified by such mechanisms.
- Must be consistent with the specific policies, rules and procedures of each source of funding, including environmental and social standards, such as gender equality, non-discrimination and equal opportunity. They should address gender equality and the integration of vulnerable communities into the labour market.

Project and programme proposals covering private sector development investments:

- Should aim at developing a robust, innovative and competitive private sector, increase investments in micro, small and medium enterprises, including their capacity to innovate, scale-up and grow. 50% of EU private sector funding should be dedicated to innovation and green growth, enhance employment creation, particularly catering young people, vulnerable and women.
- Should contribute to build the local business ecosystems and where existing refer to the smart specialisation strategies priorities.
- Must be consistent with the specific policies, rules, promotion of gender equality, non-discrimination and equal opportunity, of each source of funding. They should address gender equality and integration of vulnerable communities in the labour market.

Project proposals shall explicitly mention any complementarities or coherence with projects supported or planned for support under the IPA National Programmes (for implementation by the EU Delegations or by the Beneficiaries’ authorities) and/or other donor activities, by providing at least a preliminary indication of the type and amount of donor support that the investment project may receive from various sources.

Beneficiary ownership, long-term sustainability and a clear financing perspective for the implementation of projects are mandatory.

3. Timeline for the call for proposals

In recognition of the current energy crisis and the need to accelerate implementation, the European Commission and the Bilateral Donors launched two WBIF calls for proposals: (1) TA Round 29 for technical assistance and INV Round 8 for investment grants for public sector blending operations on 8 November 2022, and (2) PS Round 2 for public sector blending operations on 5 December 2022.

The timeline for the calls for proposals is as follows:

Event	Public Sector Blending	Private Sector Blending
	TA Round 29 & INV Round 8	PS Round 2
Launch of the Call for Proposals	8 November 2022	5 December 2022
Pre-notification deadline	31 January 2023	/
Submission deadline	24 February 2023	
Endorsement deadline	10 March 2023	/
Screening (until)	14 April 2023	
1 st Paris Group	20 April 2023	
Assessment (until)	19 May 2023	/
Bilateral consultations (until)	/	19 May 2023
2 nd Paris Group	24 May 2023	24 May 2023 (if needed)
35 th Project Financiers' Group	End of May 2023 (tbc)	
4 th Operational Board	End of June 2023 (tbc)	

4. Grant requests for public sector

The requests for grant support shall be submitted to the Project Financiers' Group (PFG) by the Beneficiaries by way of a WBIF specific grant application form together with an accompanying letter signed by the NIPAC which confirms the Beneficiary's commitment to the projects submitted, that the Lead Financial Institution has been consulted and, in the case of an investment grant, acknowledges that there is adequate fiscal space for its implementation. Grant requests shall be submitted according to the deadlines confirmed by the Operational Board at the launch of the call for proposals. For the application process, the WBIF MIS platform shall be used.

The Beneficiaries shall submit a duly completed grant application form, in the form endorsed by the PFG and published in the call for proposals. Different formats are used for technical assistance and investment grants respectively. The applications shall be pre-notified and submitted by the NIPACs via the WBIF MIS.

Project proposals must be supported by a Lead Financial Institution (Lead IFI). The Lead IFIs for WBIF projects are the European Investment Bank (EIB), the European Bank for Reconstruction and Development (EBRD), the Council of Europe Development Bank (CEB), the KfW (Kreditanstalt für Wiederaufbau), the World Bank (WB), and the Agence Française de Développement (AFD).

The Beneficiaries shall prepare the project proposals under the supervision of the NIPACs and in close cooperation with the Lead IFI. The Beneficiaries must consult with the Lead IFI well in advance of pre-notification (minimum one month prior to the pre-notification deadline). The Beneficiaries must consult IFIs at an early stage, providing sufficient details for the WBIF grant activities, including: (1) Project name, objectives of the grant, description of grant financed activities, confirmation of prior consultation with the Lead IFI, and overview of project costs; (2) Completed grant application form two weeks after pre-notification, at the latest. Furthermore, coordination with the EU Delegations must be ensured.

Proposals should be accompanied by a clear perspective of financing from the IFIs and an indication of possible additional grant funding from IPA National Programmes and/or other donors and from the Beneficiary's own (national) budget.

Projects will be individually assessed on their level of maturity, and, as a general rule, more mature projects will be given priority over less mature ones. Projects with a strong regional and/or cross-border impact will have a higher priority than those restricted to local impacts.

All necessary approvals or pre-approvals, as applicable, by beneficiary stakeholders must be obtained by the time of application submission (i.e. EIA approval, land acquisition).

The Beneficiary institutions must have a reasonable capacity to define their investment plans, to procure and implement the project, possibly supported with specific technical assistance. The relevant beneficiary entity must demonstrate commitment and project

ownership for the whole project duration and ensure that a project implementation unit is in place with appropriate skills and relevant experience acceptable to the IFIs.

4.1 Investment grants

The grant application form for investment grants (INV GAF) is part of Annex 1 to these Guidelines. Instructions on filling in the application form are embedded in the template. The Beneficiaries must follow the instructions in the preparation of project proposals.

The applications shall be submitted accompanied by a letter to the European Commission and IFIs by the relevant Ministry of Finance conforming that: (1) the project is a high priority for the Beneficiary, (2) its costs are planned and foreseen in the future budget, and (3) relay a firm commitment to take up the loan and to implement the project as per the grant application (scope and timeline).

The projects must be mature. The detailed design, or the preliminary design for design-build projects, and the tender documentation (if part of project preparation TA) must be completed and approved by the beneficiary by the time of GAF approval. The ESIA must be completed and approved by the IFIs at the time of application submission.

The financing plan for the project must be in place. The financing for the project must be confirmed in principle by co-financiers and the Ministry of Finance of the Beneficiary. The IFI project appraisal/loan preparation must be ongoing at the time of application submission. Project proposals should have a clear perspective of financing from the Lead IFI and co-financiers, possible additional grant funding and from the beneficiary's own (national budget). For investments where the affordability necessitates substantial donor grant support in addition to loans, the project proposal shall explicitly mention whether the project has received earlier support from an EU Programme and/or other donor activities, or if there is planned or potential further support from IPA outside the WBIF (National Programmes implemented locally), and/or from other donors for the project implementation. The Beneficiary shall indicate the type and amount of donor support that the investment project may receive from various sources.

The maximum co-financing rates for WBIF public sector blending are as follows:

Investment windows	max. co-financing rate (%)
Sustainable transport	
Roads (including digital transport technologies)	40
Railways (including signalling and telecommunications)	50
Rapid urban transit systems	40
Inland waterways and ports	50
Maritime ports	50
Clean energy / energy efficiency	
Energy supply - renewable energy sources	up to 30*
Energy interconnections, electric power transmission, distribution, electrification of urban and rural areas	20
Energy efficiency in buildings (including REEP Plus)	30
Gas infrastructure, future-proof gas pipelines	20
Environment and climate change	
Drinking water treatment and supply, waste water collection and treatment, sewerage systems	70
Waste management (collection, source-separation, recycling, treatment and disposal technologies)	70
Flood prevention and protection infrastructure	70
Digital infrastructure	
Ultra-fast and secure broadband roll-out (particular focus on connecting 'white zones' / rural area, education and healthcare institutions)	30
Energy-efficient and secure data centres, high-performance computers	30
Exploring synergies with other connectivity areas such as transport and energy in the context of infrastructure sharing (e.g. Balkans Digital Highway)	30
Social infrastructure	
Digitalisation and energy efficiency in public universities, schools	30
Digitalisation and energy efficiency in hospitals and health centres	30

* WBIF will apply maximum grant support to projects that either fall under a piloting exercise or are providing an innovative approach to renewable energy generation. Otherwise, a grant rate of 20% will apply.

Please note, blending support for established renewable energy technologies will, in general, be phased out when the guarantee instruments will become available.

4.2 Technical assistance

The grant application form for technical assistance (TA GAF) is part of Annex 2 to the Guidelines. Instructions on filling in the application form are embedded in the template. The Beneficiaries must follow the instructions in the preparation of project proposals.

The following technical assistance activities are eligible for WBIF grant financing:

- Support for project preparation (e.g. masterplans, (pre)feasibility studies, cost-benefit analysis, environmental and social impact assessments, comprehensive risks assessments, including disasters and climate change risks and vulnerability, designs, etc.). It does not include activities related to the technical review, check and verification of any project design(s) as per national legislation, other activities specific to the urban planning and/or land ownership (e.g. the preparation of urban plans, documentation for land expropriation, etc.) that fall under the Beneficiary's responsibility as part of its due diligence and control for the project management.
- Support for project implementation: project management (including tender documents preparation, procurement assistance), communication and visibility, etc.
- Support for overcoming specific obstacles delaying the preparation or implementation of projects. For faltering projects, a thorough analysis of causes thereof and a clear and logical use of the grant to drive their progress must be provided in the grant application. As a general principle, the WBIF will not add more subsidies to an existing investment but will consider support for improving the policy/regulatory environment of that investment through capacity building.
- Construction supervision is eligible only for funding channelled through the European Western Balkans Joint Fund. Construction supervision is not eligible under the IPF instrument.

For projects with preparatory studies under development (e.g. the feasibility study is being prepared), grant financing for the next stage will not be provided until these studies are completed and the results are approved and endorsed. Similarly, additional grant financing will not be considered when a grant has already been awarded but not disbursed.

The underlying investment projects of TA grants should be endorsed by the Ministry of Finance.

5. Grant requests for private sector

- Project proposals for investment grants blending and technical assistance grants must be submitted by a Lead Financial Institution (Lead IFI). Lead IFIs include the IFIs member of WBIF, namely the EIB, EIF, EBRD, CEB, KfW/DEG, World Bank, IFC, and AFD. Other IFIs pillar assessed can lead and submit project proposals for investment grant blending and technical assistance.
- The requests for support must be submitted by way of WBIF specific application form (either for blending operations or for technical assistance), together with all relevant documents.
- Project proposals have to be consulted with the European Commission, including EU Delegations and/or Office, on the relevance of their relevance and synergy with the ongoing and planned European assistance at local level and similar schemes at national level.
- All requests must be submitted according to the deadlines confirmed by the WBIF Operational Board at the launch of the call for proposals. For the purposes of the application process, the WBIF Management Information System platform developed by the WBIF Secretariat must be used.
- Applicants must submit a duly completed application form. The templates for investment grants and technical assistance differ.
- In case more than one IFIs is involved in a project, a Lead IFI must be determined.
- In case of participation in the proposal of regional organisations, international organisations or other entities, they have to be defined and specific arrangements have to be ensured by the Lead IFI.
- Project proposals for both blending and technical assistance operations can be funded through the European Western Balkans Joint Fund, following the dispositions of its General Conditions.

5.1 Investment grants

The blending application form for the private sector (BAF) is part of Annex 3 to these Guidelines. Instructions on how to fill in the application form are embedded in the template. The applicants must follow the instructions in the preparation of project proposals.

5.2 Technical assistance

The technical assistance application form (TAF) is part of Annex 4 to the Guidelines. Instructions on how to fill in the application form are embedded in the template. The applicants must follow the instructions in the preparation of project proposals.

Technical assistance proposals must have a clear regional dimension and need to be instrumental to prepare for blending and or guarantees operations in support to the private sector development or identify needed reform priorities.

Annexes



The following Annexes form an integral part of these Guidelines.

- Annex 1: Grant application form for investment grants for public sector blending
- Annex 2: Grant application form for technical assistance for public sector
- Annex 3: Blending application form for private sector
- Annex 4: Technical assistance application form for private sector
- Annex 5: Indicators for public sector blending and technical assistance
- Annex 6: Indicators for private sector blending and technical assistance
- Annex 7: Screening and assessment grid for investment grants for public sector blending
- Annex 8: Screening and assessment grid for technical assistance for public sector
- Annex 9: Screening and assessment grid for blending for private sector
- Annex 10: Screening and assessment grid for technical assistance for private sector
- Annex 11: Glossary


Annex 1: Grant application form for investment grants for public sector blending

IDENTITY OF THE PROJECT

1	Blending facility	<i>This section is filled in automatically in MIS when the application is submitted: WBIF.</i>	2	Grant code	<i>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.</i>
3	WBIF approval date	<i>This is the date on which the WBIF approves the grant. This section is filled in automatically in MIS.</i>	4	Flagship	[select flagship] <i>Select the relevant investment flagship from the drop-down list. If the Project does not fall under an investment flagship, select "None" from the drop-down list and justify application in section 18 – Coherence with the WBIF objectives, EU policies, adopted national/sectoral strategies.</i>
5	WBIF intervention area	[select intervention area] <i>Select the intervention area addressed by the Project from the drop-down list.</i>	6	CRS code	<i>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 The NIPACs will select the CRS code from the drop-down list available in MIS when they submit the application.</i>
7	Beneficiary	[select name] <i>Select the name of the Beneficiary from the drop-down list.</i>			
8	Project title	<i>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.</i>	9	Project code	<i>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.</i>
10	Lead Financial Institution	[select name] <i>Select the name of the Lead Financial Institution (Lead IFI) from the drop-down list.</i>			
11	Co-financier(s)	[select name] <i>Select the name of other WBIF financial institutions that contribute financial resources to the Project (if applicable): AFD, CEB, EBRD, EIB, KiW, or WB.</i>			
12	Type(s) of WBIF contribution	INV <input checked="" type="checkbox"/> TA <input type="checkbox"/> <i>Select the type(s) of WBIF contribution, i.e.:</i> <ul style="list-style-type: none"> • Investment grant (INV): It is mandatory for applications for investment grants and is checked off by default. • Technical assistance (TA): It must be selected if the WBIF grant funds TA activities as well. <i>The types of WBIF contribution are defined as follows:</i> <ul style="list-style-type: none"> • Investment grant (INV): grant amount for the co-financing of works and supplies. • Technical assistance (TA): grant amount for support and capacity building activities necessary for the implementation of the Project, in particular, preparation of detailed design (if applicable or missing), project management, supervision of works, communication and visibility. Some of these services are financed from loan, usually for more profitable investments, such as energy and road projects. <i>The TA does not include activities related to the technical review, check and verification of project designs per national legislation and other activities specific to urban planning and/or land ownership, e.g. preparation of urban plans, documentation for land expropriation, etc. These costs fall with the beneficiary as part of its due diligence and control for project management.</i>			
13	Total WBIF grant amount (€) <i>This section is filled in automatically in MIS based on the amounts entered in section 23 - Calculation of the WBIF investment grant. All the amounts are rounded to the nearest integer.</i>	Total amount: <i>This is the grant amount including implementation fees. It is the "Total WBIF grant amount" from section 23.</i>	Total amount excl. fees:	<i>This is the grant amount for the cost components "Works and supplies including contingencies", "Technical assistance" and "Communication and visibility" excluding implementation fees. It is the "Grant amount requested" from section 23.</i>	
INV amount:			<i>This is the grant amount exclusive of the implementation fee for the cost component "Works and supplies including contingencies" from section 23.</i>		
INV fee:			<i>This is the implementation fee for the grant amount for "Works and supplies including contingencies". It is the "Implementation fee for the INV component of this application" from section 23.</i>		
TA amount:			<i>This is the grant amount for the cost components "Technical assistance" and "Communication and</i>		


				visibility" excluding the implementation fee from section 23.
			TA fee:	This is the implementation fee for the grant amount for "Technical assistance" and "Communication and visibility". It is the "Implementation fee for the TA component of this application" from section 23.
14	Responsible authority of the Beneficiary	Specify the Beneficiary's authority (e.g. Ministry of Finance, Ministry of Transport, Ministry of Environment, etc.) and the relevant departments in charge of the Project within that authority (e.g. Department for International Financial Cooperation, Department of Water, etc.)		Ensure consistency with section 20 – Institutional framework of the Project.
15	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 20 – Institutional framework of the Project.

DESCRIPTION OF THE PROJECT AND ACTION


16	Description of the Project and Action				
	<p>Attention is particularly drawn to this section, which should be completed in cooperation with the Lead IFI. This section is split into seven sub-sections; include the required information in the relevant subsection.</p> <p>Provide a clear description of the overall infrastructure Project, by component or phase if the Project has more than one component or phase, and of the project activities financed by the WBIF grant, i.e. the Action. The description should be sufficiently robust and detailed to ensure a clear distinction between the different components and/or phases of the overall investment Project and the investment component associated with the Action.</p> <p>Ensure that the information is verifiable; use summary information from the technical documentation developed for the Project (e.g. feasibility study, ESIA, preliminary and/or detailed design, etc.) and document the sources.</p> <p>(Indicative max 750-1000 words)</p> <ul style="list-style-type: none">  Present concisely and coherently the information to understand the Project and the Action for which WBIF support is requested; Ensure that the key target groups are identified and described (i.e. those who will benefit from project and grant implementation); Use and document official sources of information to justify key issues/main deficiencies and the demand analysis; Link identified problems to specific objectives and proposed solution(s); Ensure that the specific objectives of the Project are SMART (specific, measurable, achievable and timebound) and that they address the needs of the target groups; Avoid using jargon, acronyms, irrelevant background information; Include a map of the location of the Project. 				
	16.1	Background and context of the Project			
	<p>Provide a concise description of the Project's background, including at least an overview of the existing situation and trends in the sector addressed by the Project. Describe the general context of the Project and any related projects, including phases and/or components of the Project already constructed and proposed subsequent phases and/or components in chronological order. Outline the construction components and/or phases of the Project, one by one in chronological order if applicable. Only the construction/implementation of the Project should be addressed in this sub-section; the development stages of the Project (e.g. studies, designs) should be treated in section 17 - Indicative project status and planning.</p>				
	16.2	Needs/demand analysis (current and forecast)			
<p>Using quantitative and qualitative data, describe in detail the problems (including gaps, shortcomings, or deficiencies) addressed by the Project to demonstrate why the investments are needed. It is paramount to summarise key infrastructure deficiencies and needs that the Project (or project component/phase) will address and bring to EU standards.</p> <p>Provide a summary of the demand analysis, including predicted demand growth rate to demonstrate the demand for the Project, in accordance with the results of the Cost-Benefit Analysis. Minimum information required: (i) projections methodology; (ii) assumptions and baselines (e.g. traffic in the past, future traffic without the Project); (iii) projections for selected options (if applicable); (iv) supply-side aspects, including analysis of existing and expected infrastructure developments; (v) network effect (if any).</p>					
16.3	Main objectives of the Project				
<p>The information that should be provided in this sub-section is twofold: (a) define the socio-economic objectives of the Project, and (b) link the objectives to medium and long-term strategic objectives, action plans, other strategic documents.</p> <p>The objectives of the Project must be realistic (i.e. 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 proposed investments. They should directly address the problem(s) targeted by the Project. The link must be clear between identified problems (gaps/shortcomings/deficiencies), project objectives and proposed solution(s).</p> <p>Socio-economic objectives must be identified and quantified as far as possible. For example, the following can be quantified: employment opportunities and business development in the project area, improved living and health conditions in the project area, resource savings, reduction in greenhouse gas (GHG) emissions, synergies with other regional or national programmes, etc.</p> <p>The main objectives of the Project should be presented in terms of outcomes/outputs in coherence with section 27 - Expected results.</p> <p>Example: Main objectives outline for a water management project</p> <p><u>General objective:</u> Develop a sustainable water supply and waste water system in the municipality of [...] by improving the quality of existing services and reducing the negative impact of waste water discharges in line with EU practices and policies and the national /sectoral strategy [...].</p> <p><u>Socio-economic objectives & indicators</u></p> <table border="0"> <tr> <td>Socio-economic objectives</td> <td>Indicators</td> </tr> <tr> <td>Creation of new jobs during the construction phase</td> <td>New jobs created <ul style="list-style-type: none"> • Primary – temporary jobs during construction <p>E.g. Labour directly created by the Project for several activities, including project management (e.g. PIU – [n] persons), construction – [n] persons, public awareness – [n] persons, etc.)</p> <ul style="list-style-type: none"> • Secondary – permanent jobs for operation </td> </tr> </table>		Socio-economic objectives	Indicators	Creation of new jobs during the construction phase	New jobs created <ul style="list-style-type: none"> • Primary – temporary jobs during construction <p>E.g. Labour directly created by the Project for several activities, including project management (e.g. PIU – [n] persons), construction – [n] persons, public awareness – [n] persons, etc.)</p> <ul style="list-style-type: none"> • Secondary – permanent jobs for operation
Socio-economic objectives	Indicators				
Creation of new jobs during the construction phase	New jobs created <ul style="list-style-type: none"> • Primary – temporary jobs during construction <p>E.g. Labour directly created by the Project for several activities, including project management (e.g. PIU – [n] persons), construction – [n] persons, public awareness – [n] persons, etc.)</p> <ul style="list-style-type: none"> • Secondary – permanent jobs for operation 				

	<p><i>E.g. The following positions are expected to become available: manager, secretary, administrator, operation, engineering, etc. – [n] persons.</i></p> <p><i>Note: The project involves construction and operation. Both offer opportunities for employment and jobs creation for construction and operation activities. The construction of the water and waste water facilities will require a significant workforce. Employment of additional staff at managerial and technical levels will be needed for restructuring and straightening the institutional set-up.</i></p> <p><i>Economic growth by improving infrastructure in the project area</i></p> <p><i>Improved hygiene and health conditions in the project area</i></p> <p><i>Improved quality of life for the population in the service area by ensuring access to safe and reliable drinking water and waste water services</i></p> <p><i>Resource cost savings for the population</i></p> <p><i>Resource cost savings for the service operator</i></p>	<p><i>Safe and reliable water supply and waste water services will increase the number of investors in the project area.</i></p> <p><i>Safe drinking water will contribute to reducing health risks to the population. Waste water disposal and treatment will contribute to improved hygienic conditions.</i></p> <p><i>[n%] of the population will have access to compliant drinking water supply after project implementation, compared with approx. [n%] at present.</i></p> <p><i>[n%] of the population will be connected to the sewerage system, compared with [n%] at present.</i></p> <p><i>Resource cost savings for customers by avoiding costs for well pumping, septic tanks cleaning, bottled water.</i></p> <p><i>Resource cost savings for the operator through system optimisation, which allows for reduced water abstraction and emissions, increased energy savings.</i></p>
16.4	Project map	
	<i>Include a map that clearly shows the project area and its context to allow a good understanding of the location of various facilities of the Project. The map should be easy to read, of high quality, preferably in colour, and have a clear legend (map key).</i>	
16.5	Description of the Project	
	<i>The description must be structured, concise, clear and focused on key aspects: main characteristics (design specifications) and components and/or phases of the Project (if it has more than one component or phase), justification of the Project's scope and size in relation to forecasted demand, justification of options selected with respect to climate change and natural disasters risk assessment (as applicable), main beneficiaries of the infrastructure (e.g. target population served). Briefly describe and quantify as far as possible the beneficiaries of the Project, emphasising vulnerable, disadvantaged, disabled and gender-sensitive groups.</i>	
16.6	Description of the Action	
	<p><i>Describe the scope of the Action, i.e. the project activities funded by the WBIF grant, split into:</i></p> <ul style="list-style-type: none"> <i>Investment: works and supplies co-financed by the WBIF grant.</i> <i>TA (if applicable): technical assistance financed in part or in full by the WBIF grant.</i> <p><i>Describe how the supervision of works will be carried out for the works and supplies co-financed by the WBIF grant.</i></p> <p><i>If the Action is not ready to start for any reason, briefly present the issues.</i></p> <p><i>Ensure full consistency of the description of the Action with the cost components from section 23 – Calculation of the WBIF investment grant.</i></p>	
16.6.1	Investment component	
	<i>For the investment component, describe quantitatively and qualitatively the works and the supplies co-financed by the WBIF grant: main characteristics (design specifications) and components, expected outcomes, how the components co-financed by the grant are linked to other Project components, location/site of the works and how they contribute to achieving the objectives of the Project. Explanatory graphs, tables or pictures may complement the description. If the WBIF grant co-finances the entire Project, specify that in clear in this section and do not repeat the description of works and supplies in this subsection.</i>	
16.6.2	TA component (as applicable)	
	<i>If the WBIF grant finances TA, describe in detail the scope of each TA activity for which WBIF grant funds will be used. Specify normative provisions and standards mandatory for implementing the TA.</i>	
16.7	Reference documents	
	<i>List the documents used in drafting section 16, e.g. studies, technical documentation, statistics, strategies, action plans, etc. Indicate document title, author, issue date, and URL if available online.</i>	


17	Indicative project status and planning			
	<i>Complete this section in cooperation with the Lead IFI. Describe the current stage and estimated planning of the Project in line with the instructions provided below. The following key aspects should be covered in this section:</i>			
	<ul style="list-style-type: none"> <i>Technical: status of/planning for preparing the masterplan, pre-feasibility study, feasibility study and cost-benefit analysis, environmental and social impact assessment (ESIA), preliminary and detailed designs, tender documents, etc. For each technical documentation, indicate title, author, issue and approval dates.</i> <i>Administrative: status of/planning for urban planning, environmental permit, land availability, invitations to tender, construction permit, etc.</i> <i>Financial: status of/planning for loan agreement(s) with the Lead IFI and other IFIs financing the Project (e.g. under negotiation, signed, etc.), other donor grants, allocation from the national budget, etc.</i> 			
	<i>Ensure that the Project meets the maturity requirements, according to the clarification of mature and not mature projects from the table below.</i>			
	No.	Project phase/criterion	Maturity	Comment
	1.	Master plan or other relevant spatial planning document(s)	De facto not mature	
	2.	Definition of the investment project	De facto not mature	
	3.	Pre-feasibility Study	De facto not mature	(e.g. conclusion could be that the project is not bankable)
	4.	Feasibility Study and Cost-Benefit Analysis	De facto not mature	(e.g. conclusion could be that the project is not bankable)
5.	Land ownership	Presumption of not mature	Unless land ownership can only occur after financing is secured.	
6.	Preliminary Design	Presumption mature	Unless vital elements are missing, these projects are mature.	
7.	Detailed Design	Presumption mature	Unless vital elements are missing, these projects are mature.	

8.	Environmental and Social Impact Assessment	Presumption mature	Unless vital elements are missing, these projects are mature (it can occur at different steps of the project cycle). An adequate ESIA must be in place to facilitate loan signing. Mature if an adequate ESIA is in place; not mature if vital elements are missing.	
9.	Loan and grant negotiations for the investments	De facto mature		
10.	Signing of loan and grant for the investments	De facto mature		
11.	Procurement	De facto mature		
12.	Contracting of works	De facto mature		
13.	Construction and supervision	De facto mature		
 <ul style="list-style-type: none"> The stage of the Project must reflect its status at submission: previous stages/phases of the Project must be completed, including conclusions; Ensure fulfilment of maturity requirements, e.g. confirmation of completion of the technical documentation and tender dossiers for all components associated with the Action, availability and suitability of land ownership, loan agreements with IFI(s); If, for any reason, the activities financed by the grant are not ready to start, briefly present the issues. <p><u>Note:</u></p> <p>(a) If complete, provide exact dates; if only planned, indicate at least month and year.</p> <p>(b) Select one of the following statuses:</p> <ul style="list-style-type: none"> Completed (C) Work in progress (WIP) Not started (NS) Not applicable (N/A). <p>(c) Describe the current stage and/or planning for each activity following the instructions included in the table.</p> <p>Additional activities specific to the Project can be added as separate entries (rows) in the table.</p>				
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 the 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. <u>Start date:</u> Onset of the application for the environmental consent. <u>Completion date:</u> 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). Land availability is critical for infrastructure development and one of the main causes for delay. During the design phase, the availability of the land needs to be fully acknowledged and any issues need to be identified,

				<p>including estimation of costs for acquisition and time required for expropriation procedures (if any).</p> <p>It is common and a 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 programme is significantly advanced or if the government has committed to provide unencumbered land.</p>
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 works	[insert date]	[insert date]	[select status]	<p>Short description of status. If the Project is divided into phases and/or components, list each phase and/or component separately.</p> <p>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.</p> <p>If the Project has already started, indicate the implementation status of each phase and/or component, describe executed works and percentage completed.</p>

	<p>Coherence with the WBIF objectives, EU policies, adopted national/sectoral strategies</p> <p><i>Provide a structured, concise, and clear description of how the Project (i) addresses the WBIF blending investment priorities in line with the Economic and Investment Plan for the Western Balkans (EIP) and the Guidelines for the Implementation of the Green Agenda for the Western Balkans, (ii) meets and contributes to the fulfilment of EU policies and core directives; and (iii) is consistent 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.</i></p> <p><i>In preparing this section, the relevance of the Project to the implementation of pertaining strategic frameworks should be addressed, including:</i></p> <ul style="list-style-type: none"> • <i>The Economic and Investment Plan for the Western Balkans and the Guidelines for the implementation of the Green Agenda for the Western Balkans;</i> • <i>EU Enlargement Strategy;</i> • <i>Multiannual Action Plan for a Regional Economic Area;</i> • <i>Common Regional Market</i> • <i>Energy Community Treaty;</i> • <i>Transport Community Treaty;</i> • <i>Digital Agenda for the Western Balkans;</i> • <i>South-East Europe (SEE) Strategy;</i> • <i>Indicative Strategy Papers (ISPs);</i> • <i>Economic Reform Programmes (ERPs);</i> • <i>Macro-regional strategies (e.g. EU Strategy for the Danube Region, EU Strategy for the Adriatic-Ionian Region, Framework Agreement on the Sava River Basin, etc.)</i> <p> • <i>Ensure that the Project addresses the WBIF blending investment priorities, policy objectives and investment flagships of the Economic and Investment Plan for the Western Balkans;</i></p> <ul style="list-style-type: none"> • <i>Ensure that the strategic justification of the Project is reliable and relevant;</i> • <i>Demonstrate the Project's compliance with relevant national legislation, EU acquis and policies and other donors' strategies;</i> • <i>Clearly explain where the Project comes from and why it is a priority for the Beneficiary and region;</i> • <i>Ensure that the Project considers any special needs and responds to challenges related to any forms of discrimination and environmental impact;</i> • <i>Ensure correlation between the information included in the SSP and the grant application form (e.g. Project title, total project cost).</i> <p><i>(Indicative max 250 words)</i></p>
18	<p>18.1 Alignment with the Economic and Investment Plan for the Western Balkans</p>
	<p><i>Describe how the Project addresses the WBIF intervention areas, policy objectives and investment flagships of the Economic and Investment Plan for the Western Balkans. 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.</i></p>
	<p>18.2 Alignment with Green Agenda objectives</p> <p><i>Describe how the Project is consistent with the Guidelines for the implementation of the Green Agenda for the Western Balkans.</i></p> <p><i>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).</i></p> <p><i>For energy projects specify contribution to decarbonise energy production and/or consumption.</i></p> <p><i>For transport projects describe the matching with the Sustainable and Smart Transport Strategy (SSTS) priorities (decarbonisation, digitalisation, modal shift, safety, etc.) and demonstrate alignment with the 'do no significant harm' principles and the Paris Agreement.</i></p>
	<p>18.3 Coherence with EU policies and core directives</p> <p><i>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).</i></p> <p><i>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.</i></p>
	<p>18.4 Compliance with adopted national/sectoral strategies</p> <p><i>Describe the Project's priority from national and regional institutions' point of view (e.g. Transport Community, Energy Community, similar bodies).</i></p> <p><i>Elaborate on the national/regional development strategy/ sector strategy/ action plan/ masterplan in which the project is integrated and list all these documents.</i></p> <p><i>Expound on the Project's position in the SPP and justify application if the Project is ranked low in the SPP.</i></p> <p><i>Describe other operations related to the Project (financed by WBIF, EU funds, or other donors/ financiers), indicate how coordination and complementarity with these projects will be ensured and monitored. If the application follows on earlier WBIF applications for grants for the same Project, ensure that text reflects the current stage of the Project.</i></p> <p><i>Explain the involvement of the private sector, if applicable.</i></p>

19	<p>Consultations before submission:</p> <ul style="list-style-type: none"> • NIC • IFIs • EU Delegation(s) • Donors • Regional/international organisations • Other stakeholders 	<p><i>Summarise the conclusions of consultations held with the following stakeholders before submission, including meeting date(s) and main decisions:</i></p> <ul style="list-style-type: none"> • <i>National Investment Committee (NIC) or equivalent national structure;</i> • <i>IFIs (indicate if a mandate letter or similar exists and the stage of the loan approval process, as applicable);</i> • <i>EU Delegations;</i> • <i>DG NEAR Geographical Team(s);</i> • <i>Other donors;</i> • <i>International and regional organisations;</i> • <i>Other stakeholders.</i> <p><i>Expound on the political support for the Project, i.e. the confirmation letter to the European Commission and IFIs by the relevant Ministry confirming that (i) the Project is a high priority for the Beneficiary, (ii) its costs are planned and foreseen in the future budget, (iii) relay a firm commitment to take up the loan and to implement the projects as per the grant application (scope and timeline). Specify that the letter is submitted with the grant application.</i></p> <p><i>(Indicative max. 200 words)</i></p>
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20	Institutional framework of the Project Describe the institutional aspects pertaining to the implementation of the Project: Who and how will ensure the implementation of the Project? What is the role of these entities? Add a chart illustrating the institutional framework.
	20.1 Description of entities involved Describe the entities involved in the implementation of the Project, including: <ul style="list-style-type: none"> • Beneficiary(ies) authority(ies) (e.g. Ministry(ies) and department(s)); • Owner of the construction permit(s) for the Project; • Implementing entity(ies) or equivalent; • Project Management Unit (PMU)/Project Implementation Unit (PIU) or equivalent; • In case of involvement of a privately-owned company, clarify the contractual structure (e.g. concession, private-public partnerships).
	20.2 Organisational set-up This section should provide a comprehensive account of the organisational structure put in place for implementing the Project: <ul style="list-style-type: none"> • Describe the role (tasks, responsibilities, relations between different bodies) of the Lead IFI (local/regional offices, sector manager in the Beneficiary) and other involved entities (institutions/authorities of the Beneficiary, implementing entity(ies), other donors, etc.) to demonstrate the existing capacity for implementing the Project. If applicable, describe the setup, roles, and responsibilities of the Project Implementation Unit (PIU) or equivalent structures as far as possible. • Indicate if the beneficiary/PIU has the capacity to define the investment plan, procure and implement the Project or technical assistance is needed. • If applicable, provide a comprehensive description of the organisational structure for operating the investment in the project area. Include existing institutional structure (e.g. ownership of infrastructures, contractual obligations to the new infrastructure, 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 entities involved, down to the final beneficiaries/recipients (particular attention should be given to this aspect).  <ul style="list-style-type: none"> • Clearly define the specific roles of the institutions involved in the Project; • Ensure the institutional aspects related to the implementation of the Project, as well as to the operation of the new investments, are duly described; • Include a chart illustrating the institutional framework of the Project.

21	Project budget and financing plan Complete this section in cooperation with the Lead IFI. This section should provide the financial structure of the Project: the budget breakdown and the financing plan of the Project. Include the main cost components, their description and corresponding amount in the budget of the Project. The costs should not include VAT. The cost components in the grant application form are indicative; their final composition is left to the applicant's appreciation, bearing in mind that the budget should ensure a good understanding of the main costs of the Project. The costs for works and supplies excluding contingencies must be listed separately from TA (detailed design, preparation of tender documents and procurement, supervision, and management). Costs for communication and visibility, evaluation and audit, contingencies should also be included in the budget. If the Project has more than one component and/or phase, the costs must be presented by project component and/or phase as separate entries in the budget (i.e. in separate rows as in the table provided below). Provide the sources of funds for the Project in the financing plan. Typically, these include a national contribution, one or more loans from IFIs, the WBIF investment grant, other WBIF grants, grants from other donors, other types of finance. Create separate entries (i.e. separate rows in the table) for each source and type of funds (e.g. loan, grant) and differentiate between sovereign and non-sovereign loans, private sector financing. The fields for sums and percentages are filled in automatically in MIS. The "Total project cost" and the "Total financing available" must be identical to be able to submit the application. The information in this section may be indicative at the time of submission; it must be updated and confirmed by the Lead IFI before the WBIF grant is approved. Eligible costs The categories of costs eligible for WBIF co-financing refer to costs which with due regard to the eligibility criteria set in chapter 1 – Eligibility criteria of these Guidelines are necessary for implementing the Action financed by the WBIF grant. 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 the infrastructure of the projects are the following: <ul style="list-style-type: none"> • Works (building and construction); • Supply (plant and machinery); • Technical assistance for preparation of detailed design (if applicable or missing), project management; • Supervision of works; • Communication and visibility; • Contingencies. For infrastructure projects, the cost of detailed design (including 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 the total investment cost (works and supplies) net of contingencies. <u>Attention is particularly drawn to the importance of the section "Payment of the grant from the Joint Fund" of the grant application form. This section includes the final date for contracting, the final date of operational implementation of the Action and the payment schedule, which must be provided before the application is signed by the European Commission and imposes time limits on the disbursement of the WBIF grant. The final date for contracting is the date by which all legal commitments between (i) the Lead Financial Institution and a relevant contractor or (ii) between the Lead Financial Institution and the relevant Grant beneficiary, as applicable, need to be entered into. The final date of operational implementation of the Action refers to the completion date of all contracts implementing the Action (e.g. works have been performed, supplies have been delivered, services have been provided). For grants financed by the European Commission, the final date of operational implementation is specified in the respective Financing Decision of the European Commission, and disbursements are not allowed past this date.</u> Non-eligible costs <ul style="list-style-type: none"> • As a rule, the grant may cover only costs incurred after the date on which the Contribution Arrangement is signed between the European Commission and the Managers of the Joint Fund. Exceptionally, the grant may be awarded for an Action that has already begun if the applicant demonstrates and justifies the need to start the Action before the signature of the Contribution Arrangement. In this latter case, expenditure incurred before the submission of the grant application is, as a rule, not eligible for grant financing. Retroactive financing is an exception, and such requests will be assessed on a case-by-case basis. • Expenditure outside the eligibility period. • Expenditure ineligible under national rules. • Other expenditures such as: <ul style="list-style-type: none"> ○ Purchase of land or buildings, except where justified and necessary for the implementation of the Action and expressly described in the grant application form; ○ Planning/design fees;
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- 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, any other charges;
- Fines, financial penalties, and litigation expenses;
- 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.



- Include all the cost components of the Project in the budget;
- Duly budget all cost components and keep with thresholds;
- Present the costs by components and/or phases of the Project in the budget;
- Correlate cost components with and sources of funds in the financing plan.

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 in 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, ESIA, 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 and construction) ^(b)	[as above]	[as above]	[as above]
6	Supply (Plant and machinery) ^(b)	[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 cost		[filled in automatically in MIS]	[filled in automatically in MIS]	[filled in automatically in MIS]


Financing plan

Source of funds	Cost component financed	Amount (€)	% / total	Remarks (i.e. Code/ Ref. of financing)
National contribution	[insert the number of the 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(s) ^(g) [insert the code of the WBIF investment grant]	[as above]	[as above]	[as above]	[current grant request]
Other WBIF grants ^(h) [insert grant code]	[as above]	[as above]	[as above]	[indicate activities financed]
Other grants ^(h) [insert donor name]	[as above]	[as above]	[as above]	[code/reference number of the financing agreement, financed activities]
Other sources ^(h) [insert source name]	[as above]	[as above]	[as above]	[as above]
...
Total financing available		[filled in automatically in MIS]	[filled in automatically in MIS]	

- (a) Eligible and non-eligible cost categories listed above.
- (b) Excluding contingencies. The costs for works and supplies must be broken down by project component or 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 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 the investment cost (i.e. works and supplies).
- (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 23 - Calculation of the WBIF investment grant.
- (h) Other WBIF grants must be listed as separate entries (i.e. in separate rows) by grant code. Grants from other donors and funds from other sources must be presented as separate entries (i.e. in separate rows) by source.

22	Fiscal space and debt sustainability	<p>Complete this section in cooperation with the Lead IFI and the Ministry of Finance. Describe the following elements:</p> <ul style="list-style-type: none"> 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 and changes over the past 2 years, if applicable. Impact of the Project on public debt levels (e.g. Ministry of Finance commitment/consultation). Link the Project to the medium-term budgetary programme to demonstrate its sustainability. Availability of budgetary funds and borrowing capacity for the Project.
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23	Calculation of the WBIF investment grant			
	<p>Complete this section in cooperation with the Lead IFI. Include only costs that will be funded from the WBIF investment grant.</p> <p>The project-specific co-financing rate applies to the costs for works and supplies including contingencies (i.e. to investment costs) for the Project components and/or phases covered by the Action. The investment costs of completed project components and/or phases are not eligible for grant co-financing. The co-financing rate and respective amount may not exceed the maximum rate specified in chapter 4.1 of these Guidelines for the sub-sector addressed by the Project. The applicant must determine this project-specific co-financing rate and justify it in section 24.</p> <p>Technical assistance costs for project preparation and implementation (only cost categories listed in section 21) may be financed up to 100% of their total cost.</p> <p>Communication and visibility costs shall reflect only measures and actions accompanying the Project as part of the communication and visibility plan annexed to the application. These costs may be financed up to 100% of their total cost.</p> <p>The following implementation fees apply to the WBIF grant:</p> <ul style="list-style-type: none"> 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. <p>The maximum co-financing rate for the infrastructure investment depends on the results of the Cost-Benefit Analysis for the Project, the actual needs of the Project for public support, as well as consultations between the European Commission (DG NEAR), the Beneficiary and financial institutions.</p> <p> Include all the cost categories associated with the Action in the calculation of the WBIF grant;</p> <ul style="list-style-type: none"> Ensure a clear distinction between the components and/or phases of the Project and those co-financed by the WBIF grant; Duly budget all the activities financed by the WBIF grant and do not exceed the maximum co-financing rate; Ensure consistency between the technical description of the Action (subsection 16.5) and the grant amount requested. 			
	Cost component	TOTAL ELIGIBLE COSTS (€) (A)	CO-FINANCING RATE (%) (B)	MAXIMUM CO-FINANCING (€) (C) = (A) x (B)
	(1) Works and supplies including contingencies ^(a)	[amount]	Project specific co-financing rate%	[amount]
	(2) Technical assistance ^(b)	[amount]	Up to 100%	[amount]
	(3) Communication and visibility ^(c)	[amount]	Up to 100%	[amount]
	Grant amount requested	[SUM (1:3) filled in automatically in MIS]		[SUM (1:3) filled in automatically in MIS]
	(4) Implementation fee for the INV component of this application ^(d)			[amount filled in automatically in MIS]
	(5) Implementation fee for the TA component of this application ^(e)			[amount filled in automatically in MIS]
	TOTAL WBIF GRANT AMOUNT			[SUM(1:5)]
<p>^(a) May include eligible costs for works (building and construction), supplies (plant and machinery) and contingencies from section 21 - Project budget and financing plan. The costs for contingencies should be taken from the technical documentation developed for the Project and not exceed 10% of the total investment cost (i.e. works and supplies).</p> <p>^(b) May include eligible costs for technical assistance for project preparation (detailed design if applicable or missing) and implementation (supervision of works, project management) from section 21 - Project budget and financing plan.</p> <p>^(c) Costs for communication and visibility measures and actions accompanying the Project as part of the communication and visibility plan annexed to the application and included in section from section 21 - Project budget and financing plan.</p> <p>^(d) 2% of the maximum co-financing amount for works and supplies including contingencies.</p> <p>^(e) 4% of the maximum co-financing amount for technical assistance, communication and visibility.</p>				

24	WBIF grant amount justification	<p>Attention is particularly drawn to the importance of this section, which should be completed in cooperation with the Lead IFI.</p> <p>List the cost components and their corresponding amounts for which the WBIF grant is requested. Thoroughly explain how the grant amount and the project-specific co-financing rate are calculated. The description should be sufficiently robust and detailed to justify the grant amount. Therefore, all the costs should be duly detailed, eligible and appropriate for the purpose of the Action.</p> <p>Address the following aspects based on the technical documentation developed for the Project and document sources: needs of the macro-economic situation of the Beneficiary, economic and financial viability of the Project, additionality of the WBIF grant, envisaged impacts, affordability concerns, impact on tariffs (for revenue generating projects by user charges).</p> <ul style="list-style-type: none">  Duly justify the grant amount and ensure that it is supported by economic and financial analyses from the technical documentation of the Project; Ensure that the assumptions made in the calculation of the grant and the grant amount are in line with the WBIF Methodology.
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25	<p>Additionality of WBIF grant</p> <p>Complete this section in cooperation with the Lead IFI. The focus of this section is on the additionality of the WBIF grant, not 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. Grant funding is justified only when significant additionality is demonstrated.</p> <p>Some types of additionalities are quantifiable, and the applicants should make every effort to quantify the additionality of the grant as far as possible. Other types may not be quantifiable, and these should be addressed qualitatively. Where a qualitative method is chosen, the reasons in favour of this choice should be explained. Evidence should be provided to support claims of additionality as far as possible.</p> <p>Include elements that will lead to additional benefits related to cross-cutting issues, such as the environment; gender equality and equal opportunities; the needs of disabled people, the rights of minorities and/or vulnerable groups whenever possible; innovation and best practices, etc.</p> <p>Identify among the following categories of additionality those applicable to the WBIF grant and comment accordingly. Address only those categories where additionality is relevant and applicable.</p>	
	Economic and financial	<p>What are the economic benefits of the proposed grant funding? Why is the proposed grant funding necessary for the operation?</p> <p>What are the financial benefits of the WBIF's contribution to the Project? How will it impact the end beneficiaries? E.g. broader access to finance for target groups, lower end-user tariffs and, thereby, increased affordability of services, etc.</p>
	Project scale	How will the grant 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 positively affect the timing of the operation and/or the benefits it is expected to deliver?
	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 the promotion of higher standards (including social and environmental standards) 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 would 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 contribute to structural reforms, support legislative, regulatory or policy changes? Does the grant finance enable demonstration effects to other participants in the marketplace?
Other benefits	Other benefits/positive externalities that the Project may realise (or negative externalities avoided), which would not happen without the grant. Are there any significant benefits outside the main/primary objectives of the loan operation that the grant brings?	

26	<p>Financial leverage of the Project</p> <p>Complete this section in cooperation with the Lead IFI. Three standard leverage indicators should be used: (1) Investment leverage ratio, (2) Total eligible Financial Institution leverage ratio, (3) Private loans/equity leverage ratio (if applicable). The amounts for their calculation must be specified in the application. The total amount of WBIF grant(s) should include all the WBIF grants allocated for the Project (investment grant, earlier TA grants for project preparation and/or implementation).</p>	
	Investment leverage ratio	Value of investment (total project cost from section 21) divided by the total amount of WBIF grant(s) relating to this investment.
	Total eligible IFI leverage ratio	Amount of IFI financing (from section 21) divided by the 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.
	Private loans/equity leverage ratio (if applicable)	Amount of private sector (non-grant) financing mobilised (from section 21) as financial input into the investment project divided by the amount of WBIF grant(s)

27	<p>Expected results</p> <p>Complete this section in cooperation with the Lead IFI. First, quantify the baseline of the Project (What would happen without the Project?), and then the estimated expected change. Thus, the information that should be provided in this section is twofold: (i) expected results and outputs of the Project, and (ii) long term benefits of the Project (expected impact).</p> <p>Introduce values for result indicators that reflect expected outputs and intended outcomes of the Project. The term 'Project' refers to the overall project for which the WBIF grant is sought, irrespective of financing sources and co-financing arrangements (joint co-financing, parallel co-financing). In the case of funds, credit lines and intermediated operations, financial institutions may report on a prorata basis related to the part which is financed to avoid overestimation of results.</p> <p>Values for indicators will be presented in the grant application form based on the following principles:</p> <ul style="list-style-type: none"> 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 before the start of the Project. The baseline values may be "0" at the approval of the WBIF grant if they relate to activities of the blended Project (e.g. new water 	
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distribution pipelines), or values before the blended project that may change due to the Project (e.g. number of passengers). This is the case for brownfield developments and rehabilitation projects primarily.

- Expected value after the project (Y) or “target value” is the specific, planned result which will be achieved within a certain timeframe in relation to a predefined baseline. This is usually the value at the completion of the Project or after construction for a representative year during the operation of the Project. For projects for which a ramping up phase is expected after the completion of the Project, the representative year should be after the 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, the expected value after the Project minus the baseline. If the baseline value is zero, 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, although they are not completely excluded due to the intrinsic nature of certain projects (e.g. large programmes where all components are not yet pre-identified, intermediated operations without pre-identified final beneficiaries, due to reasons related to the local context).

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”.

A. Standard outputs and outcomes

Values for standard output and outcome indicators should be provided whenever possible. Relevant indicators corresponding to the sector addressed by the Project should be listed here. Standard indicators can be found in Annex 5 to these Guidelines.

- Outputs are specific, direct deliverables of the Project (i.e. goods and services delivered or to be delivered) that will provide the conditions necessary for achieving 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.

Typically, the output is a change in the supply of goods and services (supply side), whereas the outcome reflects changes in the utilisation of goods and services (demand side).

B. Project-specific indicators

Project-specific indicators can be introduced for outputs and outcomes to complement standard indicators and provide an overall view of key 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 are treated as project-specific indicators. The initial aim of project-specific indicators is to reflect specific elements of the Project, not an overall aggregation.

The applicant with the Lead IFI is encouraged to introduce indicators relating to indirect employment benefits in this section.

C. Cross-sector indicators

Values for each cross-sector indicator should be provided, although they may not apply to all WBIF projects due to the diverse nature of (i) interventions, (ii) WBIF policy objectives, and (iii) mandates of financial institutions.

Definitions of cross-sector indicators are provided below. Due to differences in the IFIs’ methodologies for indicators calculation, the applicant and the Lead IFI should indicate the methodology and explain the definition and the measurement methodology, including underlying assumptions, in the grant application.

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 should 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 - Operation and maintenance: number of full-time equivalent employees, as per local definition, working for the client company or the Project during the Project’s operation phase.

This indicator will only be measured when possible and follow the Lead IFI’s methodologies. This indicator includes directly hired individuals and individuals hired through third party agencies if those individuals provide on-site services related to the client company’s operations. 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.

The employment indicators may also be reported following the practices and methodologies of the IFIs, which should be described in the grant application form.

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 beneficiaries’ poverty level 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 and 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 Project’s implementation period (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 awareness-raising campaigns to be carried out during Project implementation.



- Provide indicators specific to the Project, which closely relate to Project and Action activities and outputs;
- Ensure the indicators are quantified and timebound;

	<ul style="list-style-type: none"> • Ensure the indicators are reliable and allow for comparability of results; • Document the sources of verification. 				
Indicator	Units	Baseline value (X)	Expected value after the project (Y)	Expected result (=Y-X)	Comments
		[indicate year]	[indicate year]		
Standard Outputs <i>[copy all applicable indicators for the relevant sector from Annex 5 to the Guidelines]</i>					
- Output Indicator 1					
- Output Indicator 2					
- ...					
Standard Outcomes <i>[copy all applicable indicators for the relevant sector from Annex 5 to the Guidelines]</i>					
- Outcome Indicator 1					
- Outcome Indicator 2					
- ...					
Project specific indicators <i>[introduce other indicators applicable to the Project]</i>					
- Project Specific indicator 1					
- Project Specific Indicator 2					
- ...					
Cross sector indicator					
Total number of beneficiaries	No.				
Direct employment: Construction	# (FTE)				
Direct employment: Operation and maintenance	# (FTE)				
Women in decision-making positions	No. (%)				
Expected impact	<p>The expected impact should be described based on the 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 that 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, difficulty in tracking the effect of the blended project in impact indicators.</p> <p>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.</p> <p>The applicant and the Lead IFI are not required to systematically measure the impact of the Project, as it is widely agreed that 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.</p>				

28	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. Include incentives that could be necessary to enhance the sustainability of the Project.	
	 Ensure that this section addresses the following sustainability aspects:	
	<ul style="list-style-type: none"> • <u>The economic viability of the Project</u> 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; • <u>The Project proves to be accessible</u>, i.e. all financing sources are secured, and it will be financially and fiscally sustainable once in operation; • <u>Environmental and social impacts are acceptable</u>, or, if negative impacts are foreseen, appropriate mitigation measures are proposed; • <u>Satisfactory project management arrangements</u> will be put in place for delivering the Project to specifications, on time and on budget. • <u>Organisational arrangements for the operation of the Project</u> will be adequate for the sustainable delivery of the proposed services. 	
	Economic/financial viability	Does the Project guarantee an acceptable economic (and financial, as applicable) return? Describe future revenue flows expected from the Project, ongoing operation and maintenance costs and their expected sources of finance.
	Environmental aspects	Has the Project considered the 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?
Social aspects	Has the Project incorporated mechanisms that guarantee equitable access to and distribution of the Project's benefits on a continuous basis? If the Project will generate revenue through tariffs, etc., describe the affordability approach used.	
Institutional aspects	Has the Project received the necessary support (both budgetary and institutional) to maintain and operate the facilities over their lifetime?	

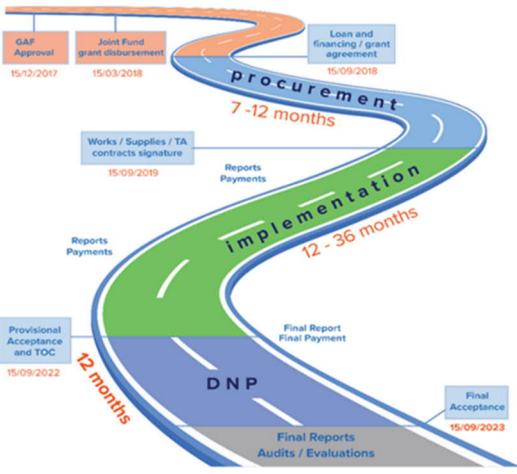

29	Risk assessment categories Identify the project-related risks and how these risks will be mitigated. Assess how seriously the identified risks may influence the Project: High (H), Medium (M) or Low (L). Address the following risk categories in the grant application form:
	<ul style="list-style-type: none"> • <u>Political risks</u>: including but not limited to the gap between legislation and/or standards of the Beneficiary and the EU and pace of convergence; policy changes; administrative changes.

- *Economic risks: Describe how changes in macroeconomic conditions or policies may affect the Project; energy poverty, etc.*
- *Financial risks: Focus on the following elements: credit and currency risks related to beneficiaries; risks linked to financial institutions (intermediaries), notably the percentage of expected and unexpected losses covered by WBIF funds; period covered by risk-sharing operations, WBIF guarantees, first losses, equity or quasi-equity; the link between the size and use of the WBIF grant and expected and unexpected losses or other risks taken; risks related to (the lack of) financial access, inclusion and literacy, in particular for vulnerable groups and with a gender-sensitive approach.*
- *Socio-economic, equality/gender, minority/vulnerable groups risks: Inadequate communication between actors involved in the Project; public opposition, affordability issues, discriminatory reasons, evictions, etc.*
- *Environmental risks: Impact on air pollution, noise, and climate change (climate risks addressed in section 30 – Addressing climate mitigation and adaptation), environmental injustice towards minority/vulnerable groups, strong likelihood of objection from the public, etc.*
- *Implementation risks:*
 - *Planning risks* (e.g. the implementation of a Project fails to adhere to the terms of the planning permission, or the detailed planning cannot be obtained, or, if obtained, can only be implemented at higher costs than budgeted);
 - *Technical/design risks* (e.g. the quality of the project designs/site investigations is likely to impact the likelihood of unforeseen problems; the use of suboptimal/obsolete technologies leads to substandard services, etc.);
 - *Procurement risks* (e.g. delay in procurement procedures, re-tendering, appeals, contractual disputes, etc.);
 - *Construction risks* (e.g. site unavailability, the construction of physical assets is not completed on time, budget and specification, etc.)
- *Operation risks: The risk that operating costs vary from the budget, performance standards slip, or services cannot be provided; the demand for a service does not match planned, projected, or assumed levels, 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 on the construction or operation of the new infrastructure, etc.)*

(Indicative max 500 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					

30	Addressing climate mitigation and adaptation	<p><i>Complete this section in cooperation with the Lead IFI. Describe steps taken in project design and implementation to minimise the impact on the environment and ensure the Project's resilience to climate change. Address the Project's potential contribution to GHG emission 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).</i></p> <p><i>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.</i></p>			
		Mitigation		Adaptation	
	Rio Markers	Project [M€]	WBIF co-financing grant	Project [M€]	WBIF co-financing grant
	RM0 (no objectives)		<input type="checkbox"/>		<input type="checkbox"/>
	RM1 (significant objective)		<input type="checkbox"/>		<input type="checkbox"/>
RM2 (the principal objective)		<input type="checkbox"/>		<input type="checkbox"/>	

31	Indicative calendar of the Action	<p>Complete this section in cooperation with the Lead IFI. This section should be completed to the greatest possible extent at the time of submission and should be updated before the approval of the grant. Summarise (narrative description) key milestones in the procurement and the implementation phases of the Action, procurement procedures.</p> <p>Provide the dates of specific milestones of the Action in the form of quarter of the year in which the milestone is expected to be reached (e.g. Q1/2023). The milestones included in the INV GAF template are mandatory. Additional milestones specific to the Action can be added as separate entries (rows) in the table. All the dates are expected to be updated before contracting and/or in case of changes in the calendar.</p> <p>The following planning principles should be considered as guidance:</p> <ul style="list-style-type: none"> • Activities should be in line with the standard time necessary for procedures (e.g. obtaining of permits, etc.); • Activities should follow the sequential order of the development of the Action; • The duration of each activity should include a safety margin; • The total duration of the Action should be sufficient for its full execution; • Dead time or excessively busy periods should be avoided; • Periods in which involved institutions operate under a different regime (e.g. vacations, public holidays, etc.) or target groups are engaged in other activities (e.g. election campaigns, intensive activity season in agriculture, etc.) should be taken into account; • Activities impeding on each other should not overlap; • To the extent practical, the resource utilisation should be uniform over the duration of the Action/Project; • The duration of the Action/Project determines the size of the budget (fixed costs). <p>Key stages in the development of the investment project may be also considered, e.g. securing internal management approvals for the project, funding, ownership/control of sites, planning approvals; completion of designs; launch of procurement; appointment of contractors; start of activities on site; completion of works; handover and official opening.</p> <p>Fill in the indicative calendar of the Action in INV GAF, as follows:</p> <ul style="list-style-type: none"> • For the procurement phase of the Action, describe in the narrative text box all the procurement procedures for the implementation of the Action. Indicate when (e.g. Quarter/Year) and where tender(s) details, including tender(s) documents, will be published. • For the implementation of the Action, indicate the (estimated) start and completion dates for each activity. Ensure that planned activities can be realistically implemented in the foreseen period and are logically sequenced. Each activity should be planned to be implemented within an appropriate period, for instance: <ul style="list-style-type: none"> ○ TA for project management should start 3-6 months earlier than the works contracts and should last for the entire project implementation period excluding the defects notification period (DNP); ○ TA for supervision of construction works should start in parallel with the works contracts and should complete at the end of the DNP; ○ Communication and visibility should be carried out in parallel with the TA for project management/TA for supervision of construction (without the DNP). <p>The following illustration exemplifies typical timelines underlying the implementation of an investment project. In reality, projects will follow different timelines due to their specificities and problems encountered. Nevertheless, the timeline selected will provide a good plan for the average duration and stages of implementation.</p>  <ul style="list-style-type: none"> •  Allocate sufficient time for procurement procedures, not only the mandatory minimum periods for publication; • Ensure that the procurement plan and procedures are tailored to the required expertise in line with the principle 'one expertise, one contract approach'; • Clearly describe the procurement procedures in the narrative text box; • Ensure that the planned activities of the Action can be realistically implemented in the foreseen period and are logically sequenced. Each activity should be designed to be implemented within a suitable period. 			
		Procurement		Implementation	
Type of contract		Expected date of publishing tender [Q/YYYY]	Expected date of signature of contract [Q/YYYY]	Expected start date [Q/YYYY]	Expected completion date [Q/YYYY]
Technical assistance for project management <i>[if applicable]</i>		<i>[insert date]</i>	<i>[insert date]</i>	<i>[insert date]</i>	<i>[insert date]</i>

	Technical assistance for supervision of construction	[insert date]	[insert date]	[insert date]	[insert date]
	Works contract	[insert date]	[insert date]	[insert date]	[insert date]
	Supply contract [if applicable]	[insert date]	[insert date]	[insert date]	[insert date]
	Communication and visibility	[insert date]	[insert date]	[insert date]	[insert date]

32	Monitoring, reporting and evaluation	<p><i>Monitoring and reporting</i> This section should include key information on project monitoring and reporting as well as the evaluation cycle; Describe who and how will monitor the implementation of the Project (monitoring procedure/process). Describe who, how and when will evaluate the implementation of the Project (procedure/process).</p> <p><i>Audit</i> The audit should be carried out in accordance with the EWBJF General Conditions.</p> <p><i>Main pre-conditions</i> If identified, indicate pre-conditions and conditions applicable to the WBIF contribution to the Project (e.g. loan conditions with impact on project implementation/schedule/payments; conditions on implementation/pre-financing disbursement).</p>
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33	Communication and visibility	<p>Provide a summary of the Communication and Visibility Plan, considering the instructions from Annex 2 to the grant application form. Describe proposed visibility measures for the Project and Action (e.g. type of measures, short description, estimated costs, duration, etc.) Explain the dissemination channels chosen and how the visibility measures will reach target groups, relevant stakeholders, policymakers and the general public.</p> <p>Indicate the budget envisaged for communication and visibility activities. It should be properly elaborated, justified and sufficient to have a real impact, and reflect the size and the likely impact of the Action.</p> <p>The <u>WBIF Communication and Visibility Guidelines</u> give further details on the roles and responsibilities of the main WBIF stakeholders with respect to communication and visibility requirements/measures, standard requirements, and planning tools. Therefore, it is strongly recommended to consult these guidelines in drafting this section and the communication and visibility plan for the Project.</p> <p> <ul style="list-style-type: none"> • Communication and visibility measures should be tailored to stakeholder groups; • The budget for communication and visibility should be duly elaborated and justified; • Use standardised project communication practices, which, although standardised, should be adapted and suitable to all stakeholders. </p>
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34	Issues to be clarified before WBIF grant approval	<p>Describe all the open issues that need to be assessed before the WBIF approves the Project.</p> <p>Include horizontal conditionalities associated with IPA (e.g. adopted national sector strategy) and/or specific commitments for implementing the Project (e.g. land planning issues).</p>
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35	Contacts	Contact person	Function	Phone	Email
	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), taking into account eventual confidentiality restrictions, etc.				
	Lead Financial Institution				
	Beneficiary authority				
	EU Delegation				
	Co-financier(s)				
	Private partner(s)				

36	Date of submission by the NIPAC	This section is filled in automatically in MIS.	NIPAC Details	This section is filled in automatically in MIS.
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Annex 1: Key requirements checklist

Ensure this annex is as complete as possible.

Main requirements:

		Yes	No
1.	Operations covered by the WBIF benefit one of the following Beneficiaries: Albania, Bosnia and Herzegovina, Kosovo, Montenegro, North Macedonia, and Serbia.		
2.	The project belongs to one of the WBIF intervention areas: Sustainable transport Clean energy Environment and climate Digital future Human capital development.		
3.	The grant application form is submitted by the NIPAC and is endorsed by all relevant stakeholders.		
4.	The project is listed in the SPP.		
5.	All the elements of the project activities funded by the WBIF grant are in principle eligible for grant financing.		
6.	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, national investment plans.		
7.	The activities do not duplicate or overlap other operations.		
8.	The Lead IFI supports this application and has been consulted during the preparation of the grant application form.		
9.	The WBIF grant as well as its calculation and justification are clearly explained.		
10.	The technical and financial status of the Project demonstrates that it fulfils the criteria on maturity.		
11.	The information provided in each section of the grant application form is consistent and coherent throughout the application.		
12.	All sections of the grant application form are filled in with the information requested therein.		
13.	All relevant stakeholders have been consulted during the preparation of the grant application form.		
14.	The description of the institutional framework clearly demonstrates the capacity of the beneficiary to define the investment and implement the Project.		
15.	The values of the result indicators reflect the expected outputs and outcomes of the Project.		
16.	The risks associated with the Project have been defined and appropriate mitigation measures have been identified.		
17.	Indicative project, action and procurement calendars are proposed, and the Lead IFI has been consulted in their preparation.		
18.	The Lead IFI has been consulted on the Project's contribution to climate change mitigation/adaptation and resilience.		

Annex 2: Communication and visibility plan template

A - Objectives

B- Communication Activities

C- Resources

A- Objectives

1. Overall communication objectives

2. Target groups

- Within the Beneficiary(ies) where the action is implemented;
- Within the EU/WBIF bilateral donor countries (as applicable).

3. Specific objectives for each target group related to the Action's objectives and the phases of the project cycle

Examples of communication objectives:

- *ensure that the beneficiary population is aware of the roles of the Organisation, the EU and the WBIF in the Action;*
- *raise awareness among the Beneficiary's population or in Europe of the roles of the Organisation, the EU and the WBIF in delivering aid in a particular context;*
- *raise awareness of how the EU, the WBIF and the Organisation work together to support education, health, environment, etc.*

B- Communication Activities

4. Main activities that will take place during the period covered by the communication and visibility plan

Include details of:

- the nature of the activities;
- the responsibilities for delivering the activities.

5. Communication tools chosen

- Include details of advantages of particular tools (media, advertising, events, etc.) in the local context. Explain how visibility measures will reach the target group(s).

6. Completion of the communication objectives

- Include measures for the different tools proposed.

7. Provisions for feedback (when applicable)

- Give details of assessment forms or other means used to get feedback on the activity from participants.

C- Resources

8. Human Resources

- Person/days required to implement the communication activities;
- Members of the management team responsible for communication activities.

9. Financial resources

- Budget required to implement the communication activities (in absolute figures and as a percentage of the overall budget for the action).

Note: [The WBIF Communication and Visibility Guidelines](#) should be consulted in preparing the plan.

ASSESSMENT

RESULT OF THE SCREENING PHASE

	To be filled by the Commission/ task manager after screening	
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RESULT OF THE ASSESSMENT PHASE

	To be filled by the Lead IFI after the assessment process	
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RECOMMENDATIONS OF THE WBIF PROJECT FINANCIERS GROUP

	To be filled by the WBIF Secretariat after PFG meeting	
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FINAL ENDORSEMENT BY THE LEAD IFI

	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	
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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.	
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PAYMENT OF THE GRANT FROM THE JOINT FUND

SIGNATORY OF THE LEAD IFI

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)
1 st payment				
2 nd payment				
3 rd 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

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

IDENTITY OF THE PROJECT

1	Blending facility	<i>This section is filled in automatically in MIS when the application is submitted: WBIF.</i>	2	Grant code	<i>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.]</i>
3	WBIF approval date	<i>This section is filled in automatically in MIS. It is the date on which the WBIF approves the grant.</i>	4	Flagship	[select flagship] <i>If the Project does not fall under any of the above investment flagships, select "None" from the drop-down list and justify application in section 21 - Coherence with the WBIF objectives, EU policies, and adopted national/sectoral strategies.</i>
5	WBIF intervention area	[select intervention area] <i>Select the intervention area addressed by the Project from the drop-down list.</i>	6	CRS-code	<i>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 The NIPAC will select the CRS code from the drop-down list available in MIS when it submits the application.</i>
7	Beneficiary(ies)	[select name] <i>For regional projects, select all Beneficiaries.</i>			
8	Project title	<i>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 the 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.</i>	9	Project code	<i>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.</i>
10	Action/Grant Application title	<i>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.</i>			
11	Lead Financial Institution	[select name]			
12	Co-financier(s) (if applicable)	[select name]			
13	Type of WBIF contribution	Technical Assistance			
14	Total WBIF grant amount (€) <i>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.</i>	TA amount excl. fee (€)			
		TA fee (€)			
		Total amount requested (€)			
15	Type of WBIF financing source	[select source]	16	Implementation of TA activities	[MM/YYYY - MM/YYYY] <i>This field is filled in automatically in MIS based on the information provided in section 33 - Indicative calendar of the Action.</i>
17	Responsible authority of the Beneficiary	<i>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.</i>			
18	Implementing entity(ies)	<i>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.</i>			

DESCRIPTION OF THE PROJECT

19	<p>Description of the Project</p> <p><i>This section should be completed in cooperation with the Lead IFI.</i></p> <p><i>The following differentiation is made between the Project and the Action in the grant application form:</i></p> <ul style="list-style-type: none"> ▪ <i>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.</i> ▪ <i>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.</i> <p><i>The 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.</i></p> <p><i>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.</i></p> <p><i>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.</i></p> <p><i>(Indicative max 1,000 words)</i></p> <ul style="list-style-type: none"> • <i>Present concisely and coherently all the information needed to understand the Project in the sub-sections 19.1, 19.2 and 19.5;</i> • <i>Ensure the description focuses on the Project, not on the Action for which WBIF grant financing is requested;</i> • <i>Ensure that all target groups are identified and described (those who will benefit from Project's implementation);</i> • <i>Use and quote official sources of information to justify key problems/main deficiencies (see sub-section 19.6)</i> • <i>Ensure that a map of the Project's location is included in sub-section 19.4;</i> • <i>Avoid using jargon, acronyms, or irrelevant background information.</i>
19.1	<p>Background and context of the Project</p> <p><i>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).</i></p>
19.2	<p>Needs/demand analysis</p> <p><i>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.</i></p>
19.3	<p>Main objectives of the Project</p> <p><i>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.</i></p> <p><i>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).</i></p> <p><i>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).</i></p> <p><i>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 in the project area, improved living conditions in the project area, resource savings, synergies with regional, and/or national programmes, etc.</i></p>
19.4	<p>Project map</p> <p><i>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, clear legend, and background (e.g. main cities, main roads, main rivers, as appropriate).</i></p>
19.5	<p>Description of the Project</p> <p><i>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).</i></p> <p><i>Briefly describe and quantify as far as possible the beneficiaries of the Project, any vulnerable, disadvantaged, disabled and gender-sensitive groups.</i></p>
19.6	<p>Reference documents</p> <p><i>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).</i></p>

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 negotiation, signed, etc.), other donors 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.



- 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, and 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 providing 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, and describe executed works and percentage completed.

21	<p>Coherence with the WBIF objectives, EU policies, adopted national/sectoral strategies</p> <p>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 (EIP) and the Guidelines for the Implementation of the Green Agenda for the Western Balkans, (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.</p> <p>In preparing this section, the relevance of the Project to the implementation of pertaining strategic frameworks should be addressed, including:</p> <ul style="list-style-type: none"> • The Economic and Investment Plan for the Western Balkans and the Guidelines for the implementation of the Green Agenda for the Western Balkans; • EU Enlargement Strategy; • Multiannual Action Plan for a Regional Economic Area; • Common Regional Market • Energy Community Treaty; • Transport Community Treaty; • Digital Agenda for the Western Balkans; • South-East Europe (SEE) Strategy; • Indicative Strategy Papers (ISPs); • Economic Reform Programmes (ERPs);
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	<ul style="list-style-type: none"> Macro-regional strategies (e.g. EU Strategy for the Danube Region, EU Strategy for the Adriatic-Ionian Region, Framework Agreement on the Sava River Basin, etc.)  <ul style="list-style-type: none"> 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). <p>(Indicative max 250 words)</p>
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 . 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 . 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 Sustainable and Smart 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' points 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), and indicate how coordination and complementarity with those 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.

22	Consultations before submission: <ul style="list-style-type: none"> 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: <ul style="list-style-type: none"> 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	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: <ul style="list-style-type: none"> 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 if 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 and other co-financing institutions, or the grant will be kept in 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.



- 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.

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 latter case, expenditure incurred before the submission of the grant application is, as a rule, not eligible for financing. Retroactive financing 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.



- 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)
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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.

25	Fiscal space and debt sustainability	<p>Complete this section in close cooperation with the Lead IFI and the Ministry of Finance (MoF).</p> <ul style="list-style-type: none"> • 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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26	<p>Expected results</p> <p>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).</p> <ul style="list-style-type: none"> ▪ 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. <p>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.</p> <p>Document sources (e.g. studies, statistics, etc.) by indicating title, author and issue date, online address.</p> <p>The values of the indicators must be presented according to the following principles:</p> <ul style="list-style-type: none"> ▪ 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. <p>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".</p> <p><u>Standard outputs and outcomes</u></p> <p>Values for standard output and outcome indicators should be provided. Standard indicators are defined in Annex 5 to these Guidelines.</p> <p>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.</p> <p>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.</p> <p>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).</p> <p><u>Project-specific indicators</u></p> <p>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.</p> <p>Indicators relating to indirect employment benefits, gender equality, non-discrimination and equal opportunity should be included in this section if possible.</p> <p><u>Cross-sector indicators</u></p> <p>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.</p> <p><u>Total number of beneficiaries:</u> estimated number of people with improved access to services (financial services, social and economic infrastructure, etc.)</p> <p>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).</p> <p><u>Direct employment - Construction phase:</u> number of full-time equivalent construction workers employed during the construction phase.</p> <p>This indicator will only be measured when possible and follow the IFIs' methodologies. It should not include indirect employment during construction.</p> <p><u>Part-time jobs for construction</u> 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.</p> <p><u>Note:</u> 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.</p> <p><u>Direct employment - Operations and maintenance:</u> number of full-time equivalent employees, as per local definition, working for the client, company or Project during the Project's operation phase.</p> <p>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.</p> <p><u>Part-time jobs</u> 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).</p> <p><u>Seasonal or short-term jobs</u> 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.</p> <p><u>Note:</u> 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.</p> <p>Both employment indicators may also be reported subject to current practices and methodologies applied by finance institutions (methodology used to be made transparent).</p> <p><u>Number of beneficiaries living below the poverty line:</u> 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.</p>
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<p>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.</p> <p>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.</p> <p>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.</p> <p><u>Women in decision making positions</u>: 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.)</p> <p><u>Women and men participating equitably in decision-making during the preparation and implementation periods of the Project</u>: 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.</p> <p><u>Women and men benefiting equitably from project-related training</u>: 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.)</p> <p><u>Number of awareness raising campaigns carried out</u>: numbers of awareness-raising campaigns to be carried out during the project's implementation period.</p> <p>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.</p> <p> <ul style="list-style-type: none"> • Provide indicators specific to the Project, which closely relate to Project and Action activities and outputs; • Ensure the indicators are quantified and time-bound; • 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. </p>					
Indicator	Units	Baseline value	Expected value after the project	Expected result	Comments
		(X)	(Y)	(=Y-X)	
		[indicate year]	[indicate year]		
Standard outputs					
- Output Indicator 1					
- Output Indicator 2					
...					
Standard outcomes					
- Outcome Indicator 1					
- Outcome Indicator 2					
...					
Cross sector indicators					
Total number of beneficiaries	No.				
Direct employment: Construction	# (FTE)				
Direct employment: Operation and maintenance	# (FTE)				
Women in decision-making positions	No. (%)				
Expected impact	<p>The expected impact should be described in a narrative manner, based on assumptions on the link between outcomes and impact.</p> <p>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 that 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.</p> <p>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.</p> <p>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.</p>				

27	Project sustainability				
	<p>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.</p> <p>Describe the Project's sustainability in relation to economic/financial viability, environmental aspects, social aspects, and institutional aspects.</p> <p> Ensure that this section addresses the following sustainability aspects:</p> <ul style="list-style-type: none"> • <u>The economic viability of the Project</u> 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; • <u>The Project proves to be accessible</u>, i.e. all financing sources are secured, and it will be financially and fiscally sustainable once in operation; • <u>Environmental and social impacts are acceptable</u>, or if negative impacts are foreseen, appropriate mitigation measures are proposed; • <u>Satisfactory project management arrangements</u> will be put in place for delivering the Project to specifications, on time and budget. • <u>Organisational arrangements for the operation of the Project</u> 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.

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:			
	<ul style="list-style-type: none"> ▪ <u>Political risks</u>: including but not limited to the gap between the Beneficiary and EU legislation/standards and pace of convergence; changes in policy and/or administration structure; lack of political commitment to promote the Project; ▪ <u>Economic and financial risks</u>: 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; ▪ <u>Socio-economic, equality/gender, minority/vulnerable group risks</u>: inadequate communication between all actors involved in the Project; public opposition, affordability issues, discriminatory reasons, evictions, etc.; ▪ <u>Environmental risks</u>: 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.; ▪ <u>Implementation risks</u>: (i) <u>Planning risks</u> (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) <u>Technical/design risks</u> (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) <u>Procurement risks</u> (e.g. delay in procurement procedures, possible re-tendering, appeals, contractual disputes, etc.); and, (iv) <u>Construction risks</u> (e.g. site unavailability, the construction of physical assets is not completed on time, to budget and specification, etc.); ▪ <u>Operation risks</u>: 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. ▪ <u>Other risks</u>: 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				

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)		<input type="checkbox"/>		<input type="checkbox"/>
	RM1 (significant objective)		<input type="checkbox"/>		<input type="checkbox"/>
	RM2 (the principal objective)		<input type="checkbox"/>		<input type="checkbox"/>

DESCRIPTION OF THE ACTION

30	Scope of work and results for TA grant activities (the Action)	<p><i>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:</i></p> <ul style="list-style-type: none"> • <i>Indicate why the activities financed by the grant request are necessary and how they will contribute to reaching the Project's objectives;</i> • <i>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;</i> • <i>Describe key risks that should be considered in implementing the activities;</i> • <i>List all deliverables of the activities financed by the grant request and summarise their contents;</i> • <i>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.</i> <p><i>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.</i></p> <p><i>Document sources (e.g. studies, statistics, etc.) by indicating title, author and issue date, online address (if available online).</i></p>  <ul style="list-style-type: none"> • <i>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 financed by the grant request;</i> • <i>Human resources must be clearly indicated;</i> • <i>All activities financed by the grant request must be properly budgeted and duly justified in section 31;</i> • <i>Grants can be used exclusively for the Project and the activities for which they are approved.</i>
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31	WBIF grant amount calculation and justification		
	<i>List the activities (cost categories) and their corresponding amounts that will be funded by the WBIF grant.</i>		
	<i>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).</i>		
	<i>All costs must be duly detailed, eligible and appropriate for the purpose of the Action.</i>		
	<i>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.)</i>		
	<i>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.</i>		
	<i>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).</i>		
		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	<i>[filled in automatically in MIS]</i>	
	<i>[Description – justification of the grant amount]</i>		

32	Additionality of WBIF grant <i>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 that 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.</i>	
	Economic and financial	<i>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.</i>
	Project scale	<i>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?</i>
	Project timing	<i>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?</i>
	Project quality and standards	<i>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?</i>
	Innovation	<i>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?</i>
	Sustainability	<i>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 policy changes? Does the grant finance enable demonstration effects to other participants in the marketplace?</i>
	Other benefits	<i>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?</i>

33	Indicative calendar of the Action <i>This section should be completed in cooperation with the Lead IFI. Summarise the key milestones of the Action in the form of the year and month of the year during which the milestone is expected to be reached, e.g. instance, 06/2022. The milestones listed in the 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.</i>		
	 <ul style="list-style-type: none"> 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			

34	Monitoring, reporting and evaluation	<i>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. The audit should be carried out in accordance with the EWBJF General Conditions or the respective IPF conditions of the contract.</i>
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35	Communication and visibility	<i>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 as 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.</i>
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		 <ul style="list-style-type: none"> • 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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Contacts		Contact person	Function	Phone	Email
37	<i>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.</i>				
	Lead Financial Institution				
	Beneficiary authority				
	EU Delegation				
	Co-financier(s)				
	Private partner(s)				

38	Date of submission by the NIPAC	<i>This section is filled in automatically in MIS.</i>	NIPAC Details	<i>This section is filled in automatically in MIS.</i>
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ASSESSMENT

RESULT OF THE SCREENING PHASE

	To be filled by the Commission/ task manager after screening	
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RESULT OF THE ASSESSMENT PHASE

	To be filled by the Lead IFI after the assessment process	
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RECOMMENDATIONS OF THE WBIF PROJECT FINANCIERS GROUP

	To be filled by the WBIF Secretariat after PFG meeting	
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FINAL ENDORSEMENT BY THE LEAD IFI

	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	
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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.	
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PAYMENT OF THE GRANT FROM THE JOINT FUND

SIGNATORY OF THE LEAD IFI

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)
1 st payment				
2 nd payment				
3 rd 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

Annex 3: Blending application form for private sector

IDENTITY OF THE ACTION

1	Blending Facility	WBIF – BAF	2	Grant Code: Read-only	
3	Date of Operational Board	Read-only			
4	Sector	Private Sector	5	DAC CodesRead-only	Flagship Read-only
6	Beneficiary economy (ies)	Read-only			
7	Name of Action	Read-only			

8	Lead International Financial Institution	Read-only			
9	Co-financier(s)	Read-only			
10	Type(s) of WBIF contribution <i>[choose as appropriate]</i>	INV	Read-only	TA	Read-only
11	Grant amount requested (€)	Total amount (with fees):		INV	Read-only
				TA	Read-only
12	Action stage [- Concept stage (a product to be piloted and not yet ready); - Scale-up (a product already on the market, to be introduced under WBIF); - Top-up (replenishment to the ongoing scheme);				

13	Summary of the Action	<ul style="list-style-type: none"> • <i>[Provide a short description of the Action including: background, main objective/impact, results, main activities, location, final beneficiary(ies), duration and timeframe.</i> • <i>Describe the consistency of the Action with the Economic and Investment Plan;</i> • <i>Explain the added value of the Action at the national/regional/international level;</i> • <i>Provide details on the final outcome of the Action</i> <i>(Indicative length 200 words)</i>
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14	Detailed Description of the Action ³	<p><i>[Provide a description of the Action focusing on:</i></p> <ul style="list-style-type: none"> • <i>the background to the preparation of the action, in particular on the sector/beneficiary economy/ regional context (including key challenges);</i> • <i>intervention logic underpinning the Action, indicating the expected outcome(s), output(s), impact as well as underlying the main risks and assumptions towards their achievement;</i> • <i>Outline the broad timeframe of the action and describe any specific factor taken into account;</i> • <i>how the Action contributes to the achievement of relevant social standards and other cross-cutting issues, including gender equality;</i> <p><i>(Indicative length 800 words)</i></p>
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³ For all documents used in drafting this section (e.g. studies, statistics, etc.) please indicate the source, title, author, issue date and online address (if available online).

		Results chain	Indicators ⁴	Baseline value Month/Year ⁵	Target Value Month/Year ⁶	Current Value Month/Year ⁷	Source and means of verification	Assumptions
15	Overall Objective (impact)							
	Specific Objective(s): Outcome(s)	Outcome 1 ⁸	Outcome indicator 1.1					
			Outcome indicator 1.2					
			Outcome indicator 1.3					
		Outcome 2	Outcome indicator 2.1					
			Outcome indicator 2.2					
			Outcome indicator 2.3					
	Results: Output(s)	Output 1	Output indicator 1.1					
			Output indicator 1.2					
			Output indicator 1.3					
		Output 2	Output indicator 2.1					
			Output indicator 2.2					
			Output indicator 2.3					
		Output 3	Output indicator 3.1					
			Output indicator 3.2					
Output indicator 3.3								
Activities	<u>Activities</u> Activity 1: Activity 2: Activity 3:			<u>Costs</u>				

Relevance of the Action

16	<p>Strategic justification, rationale and coherence with:</p> <ul style="list-style-type: none"> - WBIF objectives: - National/regional/sectoral strategies - other EU policies and initiatives, (including information on the avoidance of duplication). 	<p><i>[Justify why WBIF is an appropriate forum for supporting the Action</i></p> <ul style="list-style-type: none"> • Explain how the Action is coherent with and contributes to the fulfilment of EU policies and core directives (e.g. environment, state aid, public procurement), EU pre-accession strategy, the Economic and Investment Plan, Economic Reform Programmes (ERP) and adopted national or regional sector strategies. • Demonstrate how the Action is consistent with the adopted national strategy(ies), WBIF private sector objectives, IPA priorities and/or those of other bilateral donors. • Refer to all related operations of the Action (financed by WBIF/EDIF, EU funds, or other donors/ financiers), indicate how the coordination and complementarity with related operations will be ensured and monitored. • Demonstrate how the Action complies and works in synergies with other WBIF private sector (REEP, GGF, EFSE) supported actions (instruments or other TA).
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⁴ Please primarily select as many as possible Core Indicators, from the available list in MIS.

⁵ Please indicate baseline values (month/year) as of start of the Action.

⁶ Please indicate target values (month/year) as of end of the Action.

⁷ Please indicate current values (month/year) as of end of reporting period.

⁸ More outcome/output rows can be added if necessary.

17	Relevance of the Action to the particular needs and constraints of the target beneficiaries	<ul style="list-style-type: none"> • Provide a detailed analysis of the issues and challenges to be addressed by the Action; • If the Action is the continuation of a previous action, clearly indicate how it is intended to build on the activities/results of this previous action; refer to the main conclusions and recommendations of any evaluations carried out.
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18	Envisaged impact of the Action on innovation and green growth	
	Contribution to the SMEs innovation and green growth <i>[Specify the percentage of impact estimated]</i>	<i>[Please outline how the action contributes to increased SMEs innovation and the implementation of the Green Agenda for The Western Balkans⁹ (ie., circular economy, sustainable tourism, sustainable food production). Information to be supplied and the level of detail required will depend on the sector and the maturity of the Action (e.g. feasibility study, detailed design, selection of experts/service providers etc.). The Lead IFI may propose a specific percentage of the Action budget as contribution to the Green Agenda based on its own or an EU methodology (EU Taxonomy etc.)]</i>
	Underlying rationale <i>specify few indicators on impact measurement</i>	<i>[Free text –please refer to the relevant indicators in section 15]</i>

19	[Additionality of WBIF grant <i>[In the list below, only detail and justify additionality where relevant and applicable]</i>	
	Economic and financial	[]
	Action scale	[]
	Action timing	[]
	Action quality and standards	[]
	Innovation	[]
	Sustainability	[]
	Improved conditions for SMEs	[]
	Broadened access to finance for SMEs	[]
	Targeted support to vulnerable groups / underserved SMEs	[]
Other benefits	[]	

20	Institutional Framework of the Action	
	Description of entities involved	[]
	Organisational set-up	[]

21	Implementation modality of the Action	<i>[e.g., direct action by IFI or intermediated action via intermediaries (financial intermediaries, organisations, public or private bodies etc.)]</i>
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⁹ Staff Working Document SWD (2020) 223 final from 6.10.2020, Guidelines for the implementation of the Green Agenda for the Western Balkans

	Indicative Action Calendar	<i>[For each, specify quarter and year (e.g. Q1 2021)]</i>	
22	Execution of the funding agreement		
	Start of selection activities for the financial instrument		
	Start of selection activities for the technical assistance		
	Signature of contracts with financial intermediaries (if any)		
	Ensure investment into financial vehicle		
	Start of activities vis-à-vis final beneficiaries for the financial instrument		
	Start of activities vis-à-vis final beneficiaries for the technical assistance		
	Final date of execution of the Action for the financial instrument		
	Final date of execution of the Action for the technical assistance		

	Action/Programme preparation status		
	Action stage	Status	Minimum supporting information required
23	Gap analysis/market impact assessment/Scoping study	Status.	<i>[start and (expected) completion/approval dates; deliverables (incl. title, author, and issue date)/results; main conclusion(s); and outstanding issues/conditions]</i>
	Feasibility study / Cost-benefit analysis	Status.	<i>[start and (expected) completion/approval dates; deliverables (incl. title, author, and issue date)/results; main conclusion(s); and outstanding issues/conditions]</i>
	Loan and grant negotiations for the investments	Status.	
	Signing of loan and grant for the investments	Status.	
	Procurement	Status.	
	Contracting of intermediaries	Status.	
	Selection of Fund Manager	Status.	
	Implementation status of related Programme (if any)	Status.	<i>[Indicate whether there are any projects or Action (whether ongoing or completed/ closed) that are related to this Action and provide: i) start and (expected) completion/approval dates; ii) budget and deliverables (incl. title, author, ToR and issue date)/results; iii) main conclusion(s); and outstanding issues/conditions]</i>
	Other		<i>[Rows may be added if needed]</i>
<i>[In the column "Status" select one of the following 3 choices for each Action stage: NC ("not started"), WIP ("work in progress"), C ("completed") or N/A ("not applicable"). If 'WIP' or 'C', then provide key details and status and link if relevant.]</i>			

24	Consultations ¹⁰ before submission: <ul style="list-style-type: none"> • EU Delegation(s) • NIPAC when relevant • Investment Agencies • Innovation Agencies • IFIs • Local partners/Regional organisations/other stakeholders • Working Party 	<i>[List the institutions that were consulted and provide details on involvement and contact details.</i> <i>Provide information on the status of such consultations/ negotiations and summarize their conclusions incl. any (preliminary) decisions reached on the Action's financing.</i> <i>Suggest proposed actions and deadlines of any unsolved issue.</i>
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25	Issues to be clarified before submission to the WBIF Operational Board, if any	<i>[Describe any open issues that must be addressed before the Action reaches the WBIF Operational Board for final decision. 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 Action].</i>
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¹⁰ N.B. Contacts/consultations with EU Delegation are compulsory, while with other listed stakeholders it is strongly advisable.

Targeted budget for the Action (in amounts and percentage)											
Type / Sources	IPA financing		Lead Finance institution		Expected mobilised financing from other institutions		Expected mobilised financing from private sector		Total targeted budget of portfolio (in €M)		
INSTRUMENT	Funding (€M)	Risk share (%)	Funding (€M)	Risk share (%)	Funding (€M)	Risk share (%)	Funding (€M)	Risk share (%)	Funding (€M)	Risk share (%)	
Debt										%	
Mezzanine										%	
Equity										%	
Guarantee										%	
TA component										%	
Investment Grant										%	
Investment Incentives										%	
Other (you may add rows)										%	
Total										%	

Contribution to the action				
Type of activity	TOTAL AMOUNT(€) (A)	CO-FINANCING RATE (IF ANY) (%) (B) = (C) / (A)	MAXIMUM CO-FINANCING (IF ANY) (€) (C)	
(6) Funding for Financial Instrument ^(a)		Action specific co-financing rate%		
(7) Funding for Technical assistance ^(b)		Up to 100%		
(8) Funding for Investment Grant		Up to 100%		
(9) Investment incentives				
(10) Visibility		100%		
(11) Special evaluation/audit ^(c)		100%		
(12) Other				
Grant amount requested	SUM(1:5)		SUM(1:5)	
(13) Fees (to be added manually, as agreed and applicable)				
TOTAL WBIF GRANT AMOUNT			SUM(1:6)	

^(a) May include amounts earmarked to fund the Financial Instrument, e.g. amounts to be channelled to financial intermediaries (if any) and ultimately to the final beneficiaries, or to serve the provisioning in case of losses occurring to guaranteed portfolios of debt instruments to final beneficiaries.

^(b) May include technical assistance for Action preparation (ex-ante analysis, feasibility studies and similar planning activities), and technical assistance for Action implementation, either directly incurred by the Leading IFI(s) or through third parties (e.g. consultants, advisors), or by the final beneficiary (company).

^(c) 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 Actions. 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 Action.

Financial Leverage of the Action	
Investment leverage ratio	
Total eligible IFI leverage ratio	
Private investors leverage ratio (if applicable)	

29	Action sustainability	<p><i>Describe the Action's sustainability in relation to:</i></p> <ul style="list-style-type: none"> • <i>Environmental aspects: Will the Action consider its environmental implications so that any negative impacts on the environment will be either avoided or mitigated during the life of the Action?</i> • <i>Economic/Financial viability: What are the criteria/measures which will be taken into consideration for ensuring the economic/financial viability of the Action?</i> • <i>Social aspects: Will the Action incorporate mechanisms that guarantee equitable access to and distribution of the Action benefits on a continuous basis?</i> • <i>Institutional aspects: Will the Action receive the necessary support (both budgetary and institutional) to enable it to maintain and operate the facilities over their lifetime?</i> • <i>Describe how the Action and its intended objectives and effects shall be sustain after the financing of the Action is completed</i>
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	Risk Assessment categories	Description	Mitigation	Risk severity		
				H	M	L
30	Political	[[[[[
	Economic	[[[[[
	Financial	[[[[[
	Social and gender equality	[[[[[
	Environmental	[[[[[
	Implementation	[[[[[
	Other	[[[[[

31	Monitoring, reporting and evaluation	[
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32	Visibility	<i>Please outline of the possible visibility details for the action based on the EU requirements¹¹</i>
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33	Contacts	Contact person	Function	Phone	Email
	DG NEAR:	[[[NEAR-WBIF@ec.europa.eu

34	Date of presentation in WBIF	Read-only	Date of submission by LIFI	Read-only
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¹¹ See Communicating and raising EU visibility - Guidance for external actions July 2022, available at [communicating_and_raising_eu_visibility_-_guidance_for_external_actions_-_july_2022.pdf](https://ec.europa.eu/communication/docs/2022/07/communicating_and_raising_eu_visibility_-_guidance_for_external_actions_-_july_2022.pdf) (europa.eu)

Annex I: Key requirements checklist

Main requirements:

	Yes	No
18. Operations covered by the WBIF benefit one or more of the following Beneficiaries: Albania, Bosnia and Herzegovina, the Republic of North Macedonia, Montenegro, Serbia and Kosovo*.	[[
19. The Action contributes to the priorities of Economic and Investment Plan: business ecosystem, financial sector diversification, start-ups, youth employment, women in business, green growth, innovation, digital.	[[
20. The Action is not supported by the bilateral component of IPA and if yes, this is duly justified.	[[
21. The GAF is submitted by an IFI/bilateral donor/regional organisation and the grant request is endorsed by all relevant stakeholders.	[[
22. The grant requested, its calculation and justification are clearly explained.	[[
23. The information provided in each section is consistent and coherent with that filled in the other sections of the GAF.	[[
24. The Action is consistent with the Economic and Investment Plan investment flagships and is in synergy with the Economic Reform Programmes, Smart Specialisation Strategies and the relevant sector policies and national or regional investment, thematic plans and strategies.	[[
25. The activities do not duplicate or overlap with other operations.	[[
26. All relevant stakeholders have been consulted during the preparation of the GAF.	[[
27. The description of the institutional framework clearly demonstrates the capacity to define and implement the Action.	[[
28. The values of the result indicators reflect the expected outputs and intended outcomes of the Action.	[[
29. The risks associated with the proposed Action have been identified and the corresponding mitigation measures have been determined.	[[

ASSESSMENT

RESULT OF THE SCREENING PHASE

	To be filled by the Commission/ task manager after screening	
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RECOMMENDATIONS OF THE PFG WBIF WORKING GROUP

	To be filled by the WBIF Secretariat after PFG meeting	
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DECISION OF THE WBIF OPERATIONAL BOARD

	To be filled by the WBIF Secretariat, specifying the Operational Board's decision, relevant comments on the substance of the grant request, and the conditions on the approval.	
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APPROVAL

AMENDMENTS TO THE APPROVED GAF

Addendum / Operational Board Decision / Notification	Description of amendment	Rationale for the change

Annex 4: Technical assistance application form for private sector

GENERAL INFORMATION ON THE ACTION

1	Blending Facility	WBIF – TAF	2	Operational Board Date	Read-Only
3	TA Grant Application title	Read-Only	4	Grant code	Read-Only
5	Beneficiary economy (ies)	Read-Only			
6	Sector	Private Sector	7	DAC Code	Read-Only
					Flagship Read-Only
8	Lead International Financial Institution	Read-Only			
9	Co-financier(s)	Read-Only			
10	Type of WBIF contribution	Technical Assistance			
11	Grant amount requested (with fees)	Read-Only			

THE ACTION

12	Summary the Action	<ul style="list-style-type: none"> • <i>Provide a short description of the Action including: background, main objective/impact, results, main activities, location, final beneficiary(ies), duration and timeframe.</i> • <i>Describe the consistency of the Action with the Economic and Investment Plan;</i> • <i>Explain the added value of the Action at the national/regional/international level; Provide details on the final outcome of the Action (Indicative length 200 words)</i>
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13	Detailed Description of the Action ¹²	<p><i>Provide a description of the Action focusing on:</i></p> <ul style="list-style-type: none"> • <i>the background to the preparation of the action, in particular on the sector/beneficiary economy/ regional context (including key challenges);</i> • <i>intervention logic underpinning the Action, indicating the expected outcome(s), output(s), impact as well as underlying the main risks and assumptions towards their achievement;</i> • <i>Outline the broad timeframe of the action and describe any specific factor taken into account;</i> • <i>how the Action contributes to the achievement of relevant social standards and other cross-cutting issues, including gender equality;</i> <p><i>(Indicative length 800 words)</i></p>
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¹² For all documents used in drafting this section (e.g. studies, statistics, etc.) please indicate the source, title, author, issue date and online address (if available online).

		Results chain	Indicators ¹³	Baseline value Month/Year ¹⁴	Target Value Month/Year ¹⁵	Current Value Month/Year ¹⁶	Source and means of verification	Assumptions
14	Overall Objective (Impact)							
	Specific Objective(s): Outcome(s)	Outcome 1 ¹⁷	Outcome indicator 1.1					
			Outcome indicator 1.2					
			Outcome indicator 1.3					
		Outcome 2	Outcome indicator 2.1					
			Outcome indicator 2.2					
			Outcome indicator 2.3					
	Results: Output(s)	Output 1	Output indicator 1.1					
			Output indicator 1.2					
			Output indicator 1.3					
		Output 2	Output indicator 2.1					
			Output indicator 2.2					
			Output indicator 2.3					
		Output 3	Output indicator 3.1					
			Output indicator 3.2					
			Output indicator 3.3					
	Activities	<u>Activities</u> Activity 1: Activity 2: Activity 3:			<u>Costs</u>			

¹³ Please primarily select as many as possible Core Indicators, from the available list in MIS.

¹⁴ Please indicate baseline values (month/year) as of start of the Action.

¹⁵ Please indicate target values (month/year) as of end of the Action.

¹⁶ Please indicate current values (month/year) as of end of reporting period.

¹⁷ More outcome/output rows can be added if necessary.

Relevance of the Action

15	<p>Strategic justification, rationale and coherence with:</p> <ul style="list-style-type: none"> - WBIF objectives: - National/regional/sectoral strategies - other EU policies and initiatives, (including information on the avoidance of duplication). 	<p><i>[Justify why WBIF is an appropriate forum for supporting the Action</i></p> <ul style="list-style-type: none"> • <i>Explain how the Action is coherent with and contributes to the fulfilment of EU policies and core directives (e.g. environment, state aid, public procurement), EU pre-accession strategy, the Economic and Investment Plan, Economic Reform Programmes (ERP) and adopted national or regional sector strategies.</i> • <i>Demonstrate how the Action is consistent with the adopted national strategy(ies), WBIF private sector objectives, IPA priorities and/or those of other bilateral donors.</i> • <i>Refer to all related operations of the Action (financed by WBIF/EDIF, EU funds, or other donors/ financiers), indicate how the coordination and complementarity with related operations will be ensured and monitored.</i> • <i>Demonstrate how the Action complies and works in synergies with other WBIF private sector (REEP, GGF, EFSE) supported actions (instruments or other TA).</i>
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16	<p>Relevance of the Action to the particular needs and constraints of the target beneficiaries</p>	<ul style="list-style-type: none"> • <i>[Provide a detailed analysis of the problems and challenges to be addressed by the Action;</i> • <i>If the Action is the continuation of a previous action, clearly indicate how it is intended to build on the activities/results of this previous action; refer to the main conclusions and recommendations of any evaluations carried out.</i>
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17	<p>Envisaged impact of the Action on innovation and green growth</p>	
	<p>Contribution to the SMEs innovation and green growth</p> <p><i>[Specify the percentage of impact estimated]</i></p>	<p><i>[Please outline how the action contributes to increased SMEs innovation and the implementation of the Green Agenda for The Western Balkans¹⁸ (ie., circular economy, sustainable tourism, sustainable food production). Information to be supplied and the level of detail required will depend on the sector and the maturity of the Action (e.g. feasibility study, detailed design, selection of experts/service providers etc.). The Lead IFI may propose a specific percentage of the Action budget as contribution to the Green Agenda based on its own or an EU methodology (EU Taxonomy etc.)</i></p>
	<p>Underlying rationale</p> <p><i>specify few indicators on impact measurement</i></p>	<p><i>[Free text –please refer to the relevant indicators in section 14]</i></p>

18	<p>Additionality of the WBIF grant</p> <p><i>[In the list below, only detail additionality where relevant and applicable. For completing this section, please consider Section 4.8 of the Guidelines]</i></p>	
	<p>[Economic and Financial</p>	<p><i>[What are the economic benefits of the grant funding proposed? Why is the proposed grant funding necessary for the Action?]</i></p>
	<p>[Action/ scale</p>	<p><i>[How will the grant funding increase the scale of the Action? Will it widen the results of the Action; or extend the benefits to more people?]</i></p>
	<p>[Action timing</p>	<p><i>[In what way does the grant element have a positive effect on the timing of the Action and/or the benefits it is expected to deliver?]</i></p>
	<p>[Action quality standards, social</p>	<p><i>[How will the grant funding improve the quality of the Action's expected outcomes? How will the grant funding improve the Action's chances of success? How will the grant enable promotion of higher standards (economic, socio-environmental standards including the promotion of gender equality) and more substantial social or global public good returns than would otherwise be possible?]</i></p>

¹⁸ Staff Working Document SWD (2020) 223 final from 6.10.2020, Guidelines for the implementation of the Green Agenda for the Western Balkans

	[Innovative approach	[What are the innovative aspects of the Action 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 Action? 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 Action (or negative externalities avoided), which would not happen without the presence of the grant component. Are there any significant benefits outside of the main/primary objectives of the loan operation that grant funding could bring?]

19	WBIF grant amount calculation and justification	
	Type of activity/cost categories	Grant amount requested [EUR]
	(1) Ex-ante analysis (mapping, needs assessment, randomised trial, investigations/surveys, etc.)	[
	(2) Feasibility study and other preparatory studies	[
	(3) Impact assessment study	[
	(4) Market and Sector Development Activities	[
	(5) Action management assistance	[
	(6) Capacity building	[
	(7) Advisory services	[
	(8) Business climate through reforms	[
	(9) Other (rows may be added)	[
	Total amount requested	[
<p>[List the activities (cost categories), and their corresponding amounts, that will be funded by the WBIF/EDIF grant. Explain thoroughly how the amount of the grant has been determined /calculated.</p> <p>In justifying the grant amount, please consider the needs of the macro-economic situation of the Beneficiary, the economic and financial viability of the Action, the additionality of the grant, the envisaged impacts included in the relevant sections of the grant application form, affordability concerns as well as the impact on tariffs (e.g. for Actions generating revenue through user charges).</p>		

Institutional framework of the Action

20	Description of implementing entity/ies and other entities involved	<p>Describe the institutional aspects pertinent to the implementation of the Action and of the Action (grant-financed activities): Who and how will ensure the implementation of the Action and of the Action? What is the role of these entities?</p> <ul style="list-style-type: none"> • Beneficiary authority (responsible Ministry); • Implementing Agency (or equivalent); • PMU/PIU (or equivalent); • Private company (if applicable); • Other entities.
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21	Organisational setup	<p>[This section must provide a comprehensive image of the organisational structure put in place for implementing the Action. Describe the role (tasks, responsibilities, relations between the different bodies) of the Lead IFI (local/regional offices, sector manager(s) in the beneficiary economy) and all other entities involved (institutions/authorities of the Beneficiary, Action promoter, other donors, etc.) as proof of existing capacity to implement the Action and the Action effectively. If applicable, describe as far as possible the setup, roles, and responsibilities of the Action Implementation Unit (PIU).</p> <p>If relevant, add a chart illustrating the institutional framework of the Action</p>
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22	Indicative Action Plan	Expected start date [DD/MM/YYYY]	Expected completion date [DD/MM/YYYY]
	TA grant signature	[[
	Expected start date of TA activities	[[
	Expected end date of TA activities (rows may added)	[[

[Indicate the expected start and completion dates of each activity to be carried out as part of the Action. For competing this section, please also see section 7.3 "Extraordinary circumstance" of the Guidelines. Please note that although the dates that must be provided are indicative, they should not exceed the milestones listed in the above-mentioned section of the Guidelines. Further, the situation in which the preparation of the Terms of Reference has not started within 6 months of the approval date of the grant signals significant delays and the grant is flagged for consideration at the next Steering Committee meeting (within 1 year of the approval date).]

23	Action preparation status		
	Action stage	Status	Minimum supporting information required
	Gap analysis/market impact assessment/Scoping study	[Choose an item.]	[start and (expected) completion/approval dates; deliverables (incl. title, author, and issue date)/results; main conclusion(s); and outstanding issues/conditions]
	Feasibility study	[Choose an item.]	[start and (expected) completion/approval dates; deliverables (incl. title, author, and issue date)/results; main conclusion(s); and outstanding issues/conditions]
	Implementation status of related Programme (if any)	[Choose an item.]	[Indicate whether in the last 5 years there is any similar Action (whether ongoing or concluded).]
	Other		[Rows may be added if needed]
[In the column "Status" select one of the following 3 choices for each Action stage: NC ("not started"), WIP ("work in progress"), C ("completed") or N/A ("not applicable"). If 'WIP' or 'C', then provide key details and status and link if relevant.]			

24	Consultations ¹⁹ before submission: <ul style="list-style-type: none"> • EU Delegation(s) • NIPAC when relevant • Investment Agencies • Innovation Agencies • IFIs • Local partners/Regional organisations/other stakeholders • Working Party 	<p>[List the institutions that were consulted and provide details on involvement and contact details.</p> <p>Provide information on the status of such consultations/ negotiations and summarize their conclusions incl. any (preliminary) decisions reached on the Action's financing.</p> <p>Suggest proposed actions and deadlines of any unsolved issue.</p>
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25	Indicative Total Budget (Cost breakdown)			
	Component	Description	Estimated cost [EUR]	% /Total
	[1]	If applicable, technical assistance for Action preparation (e.g. (pre)feasibility study, detailed design, tender documents)	[[
	[2]	IFI internal or external resources for technical assistance actions (depending on nature of Actions, e.g. supervision of external consultants on the ground)	[[
	[3]	Contingencies	[[
	[4]	Visibility	[[
	[5]	Co-financing by final beneficiaries	[[
	[6]	Fees	[[
	[7]	Other (rows may be added)	[[
		Total	[[

26	Sustainability of the Action	<p>[Describe the Action's sustainability in relation to:</p> <ul style="list-style-type: none"> • <u>Environmental aspects</u>: How will the Action consider its environmental implications so that any negative impacts on the environment will be either avoided or mitigated during the life of the Action? • <u>Economic/Financial viability</u>: What are the criteria/measures which will be taken into consideration for ensuring the economic/financial viability of the Action?
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¹⁹ N.B. Contacts/consultations with EU Delegation are compulsory, while with other listed stakeholders it is strongly advisable.

		<ul style="list-style-type: none"> • <i>Social aspects</i>: How will the Action incorporate mechanisms that guarantee equitable access to and distribution of the Action benefits on a continuous basis? • <i>Institutional aspects</i>: Will the Action receive the necessary support (both budgetary and institutional) to enable it to maintain and operate the facilities over their lifetime?]
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	Risk assessment categories	Description	Mitigation	Risk severity		
				H	M	L
27	Political	[]	[]	[]	[]	[]
	Economic	[]	[]	[]	[]	[]
	Financial	[]	[]	[]	[]	[]
	Social and gender	[]	[]	[]	[]	[]
	Environmental	[]	[]	[]	[]	[]
	Implementation	[]	[]	[]	[]	[]
	Other	[]	[]	[]	[]	[]

Identify the Action related risks and the way these risks will be mitigated. Assess how seriously the identified risks can influence the Action: 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; policy changes; administrative changes;
- *Economic risks*: describe how changes in macroeconomic conditions or policies may affect the Action;
- *Financial risks*: for financial risks description focus on the following elements: risks linked to partner financial institutions (intermediaries); the risk sharing operations;
- *Social and gender equality risks*: inadequate communication between all actors involved in the Action; public opposition, affordability issues, etc.;
- *Environmental risks*: impacts on air pollution, noise, and climate change (climate risks issues addressed in section 29), etc.;
- *Implementation risks*: delays in Action implementation (delays in task execution); site unavailability; delays in procurement, etc., and risks related to Action outputs not leading to intended outcomes and impact;
- *Other risks*: describe any other risks identified.

28	Issues to be clarified before submission to the WBIF Operational Board	[[Describe any open issues that must be addressed before the Action reaches the WBIF Operational Board for final decision. 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 Action].]
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29	Monitoring, reporting and evaluation	[[Describe, the modus operandi for the implementation of the monitoring, reporting and evaluation processes.]
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30	Visibility	[[Provide the visibility details proposed for the Action based on the EU requirements ²⁰
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	Contacts	Contact person	Function	Phone	Email
31	DG NEAR	[]	[]	[]	NEAR-WBIF@ec.europa.eu
	[Please provide contact details of the Action manager in your institution, the reference person in the EU Delegation (national Actions) /the representative of the Beneficiary's authority or the Private partner (whenever possible), taking into account eventual restrictions imposed by banking regulations, confidentiality and compliance issues, etc.]				

32	Date of presentation in WBIF	Read-Only	Date of submission by LIFI	Read-Only
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²⁰ See Communicating and raising EU visibility - Guidance for external actions July 2022, available at [communicating_and_raising_eu_visibility_-_guidance_for_external_actions_-_july_2022.pdf \(europa.eu\)](#)

Annex I: Key requirements checklist

<u>Main requirements:</u>		Yes	No
30.	Operations covered by the WBIF benefit one or more of the following Beneficiaries: Albania, Bosnia and Herzegovina, the Republic of North Macedonia, Montenegro, Serbia and Kosovo*.	[[
31.	The Action contributes to the priorities of Economic and Investment Plan: business ecosystem, financial sector diversification, start-ups, youth employment, women in business, green growth, innovation, digital	[[
32.	The Action is not supported by the bilateral component of IPA and if yes, this is duly justified	[[
33.	The GAF is submitted by an IFI/bilateral donor/regional organisation and the grant request is endorsed by all relevant stakeholders.	[[
34.	The grant requested, its calculation and justification are clearly explained.	[[
35.	The information provided in each section is consistent and coherent with that filled in the other sections of the GAF.	[[
36.	The Action is consistent with the Economic and Investment Plan investment flagships and is in synergy with the Economic Reform Programmes, Smart Specialisation Strategies and the relevant sector policies and national or regional investment, thematic plans and strategies.	[[
37.	The activities do not duplicate or overlap with other operations.	[[
38.	All relevant stakeholders have been consulted during the preparation of the GAF.	[[
39.	The description of the institutional framework clearly demonstrates the capacity to define and implement the Action.	[[
40.	The values of the result indicators reflect the expected outputs and intended outcomes of the Action.	[[
41.	The risks associated with the proposed Action have been identified and the corresponding mitigation measures have been determined.	[[

ASSESSMENT

RESULT OF THE SCREENING PHASE

	To be filled by the Commission/ task manager after screening	
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RECOMMENDATIONS OF THE PFG EDIF WORKING GROUP

	To be filled by the WBIF Secretariat after PFG meeting	
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DECISION OF THE WBIF OPERATIONAL BOARD

	To be filled by the WBIF Secretariat, specifying the Operational Board's decision, relevant comments on the substance of the grant request, and the conditions on the approval.	
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APPROVAL

AMENDMENTS TO THE APPROVED GAF

Addendum / Operational Board Decision / Notification	Description of amendment	Rationale for the change

Annex 5: Indicators for public sector blending and technical assistance

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 passengers 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 vehicles 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	New or upgraded capacity for water treatment	m ³ /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	New or upgraded capacity for wastewater treatment	m ³ /day	Maximum amount of wastewater 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 served by improved water supply	No.	Number of persons provided with drinking water through drinking water supply network as a result of increased drinking water production/transportation capacity built by the Project and who were previously not connected or were served by substandard water supply. It includes improvement of the quality of drinking water. The indicator covers persons in households with actual (e.g. not potential) connection to the water supply system.
2.7	Population served by improved wastewater treatment	Population equivalent	Population served by improved wastewater treatment services.
2.8	Potable Water Produced	m ³ /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	Number 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	Number and capacity of transfer stations	No. and tone/year	Number and capacity of the new transfer stations made under the Project
3.3	Number 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	Number 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, recycling 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	Number 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	Number 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
3.13	Amount of increased materials recovery, reuse and recycling	tone/year	Amount of used or waste materials given new use or purpose (recovery), processed into a new product (recycling) or reused for the same or new function (reuse)

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
4.3	New or upgraded disaster monitoring, warning and response systems	No.	New or upgraded disaster monitoring warning and response system(s) developed within the Project

	Outcome indicators	Unit	Definition
4.4	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
4.5	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
4.6	Rural/Agricultural land protected from floods in project locations baseline	ha/custom	Area of agricultural lands protected from floods within the Project

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 (health and education)

	Output indicators	Unit	Definition
6.1	New and/or refurbished health facilities	No.	Number of new and/or refurbished health facilities of any type (hospitals, clinics, health centres etc.)
6.2	New and/or refurbished educational facilities	No.	Number of new and/or refurbished educational facility of any type (schools, universities etc.)
	Outcome indicators	Unit	Definition
6.3	Bed occupancy rate	%	Percentage of beds occupied at the hospital
6.4	Inpatients	No. per year	Number of patients per year that are admitted and stay at least one night at the hospital
6.5	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
6.6	Students benefitting from new and/or refurbished educational facility	No. per year	Students per year benefitting from new and/or refurbished educational facility
6.7	Students enrolled	No. per year	Total aggregate of pre-primary, primary, secondary, and tertiary, further, vocational as required

Cross sector indicators

	Indicators	Unit	Definition
7.1	Total number of beneficiaries	No.	Estimated number of people with improved access to 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 implementation period of the Project (e.g. women in management positions within the project promoter's organisation and/or the Project Implementation Unit, etc.)
7.5.	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 (if applicable).
7.6.	Women and men participating equitably in decision making during the preparation and implementation of the project	No.	Number and percentage of women and men attending consultation meetings about the planning, design, construction, management and maintenance of the new infrastructure, or pricing of services.
7.7	Women and men benefiting from equitably from project-related training	No.	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.)
7.8	Number of awareness raising campaigns carried out	No.	Numbers of awareness raising campaigns carried out during the implementation period of the Project.

Annex 6: Indicators for private sector development – blending and technical assistance

#	Result statement	Indicator
1	Improved business performance of supported early-stage businesses, MSMEs/social enterprises and cooperatives (including women and youth led entities)	Number of supported businesses, disaggregated by sectors, including social enterprises and cooperatives. Reporting on if possible increased turnover (as a result of direct support of the investment), disaggregated by sex, age of leader where relevant.
2	Improved financial inclusion	Number of entrepreneurs/MSMEs served in regions outside capital, disaggregated by rural and urban areas in the different WB economies.
3	Increased use of climate-smart and circular technologies and processes	Number of supported businesses/entities that adopt new green/ sustainable production practices, processes and equipment disaggregated by partner economy, sex and age of leader, where relevant/WB economies.
4	Increased use of climate-smart and circular technologies and processes	Number of supported businesses/entities that adopt innovative and new digital/ sustainable production practices, processes and equipment disaggregated by partner economy, sex and age of leader, where relevant/WB economies.
5	MSMEs are more integrated into global and regional value chains	Number of MSMEs supported by the investment that meet quality and Environmental, Social and Governance (ESG) standards and technical requirements, disaggregated by sex and age (15-30 years) of leader, area/sector, where relevant.
6	Improved business, managerial, technical capacities (including green/circular economy, sustainable and inclusive capacities) of start-ups, MSMEs, social enterprises and cooperatives (Result obtained through Technical Assistance)	Number of supported start-ups, MSMEs, Social enterprises, cooperatives that have been granted access to financial services/product disaggregated by sex and age of leader.
7	Increased access to financial services and products to support innovative and sustainable investments by start-ups, MSMEs/ social enterprises and cooperatives (including women and/or youth led entities)	Volume of new loans/investments extended to relevant target group, disaggregated by target group, by sex, age, by type of intermediary, by type of product, by served area/ sector where relevant/WB economies.
8	Increased access to financial services and products to support innovative and sustainable investments by start-ups, MSMEs/ social enterprises and cooperatives (including women and/or youth led entities)	Number of MSMEs provided with access to finance (loans/investment), disaggregated by sex and age of leader, by type of intermediary, by type of product, by served area/sector WB economies.
9	Increased availability of non-financial services supporting businesses (including women and/or youth led entities)	Number of beneficiaries accessing supported business advisory services, disaggregated by target group, sex and age of leader.

Guidance:

Please take into account the following General principles when defining indicators, and the targets thereof:

- ✓ They must be relevant to the objective, the progress towards which they intend to measure.

- ✓ They must be meaningful in terms of monitoring and reporting, i.e. they should contribute somehow to the correct implementation of the intervention and the report we make on it. E.g. context of impact indicators are generally of little use for the implementation of actions (as declined into programmes and projects).
- ✓ They have to be realistic in terms of cost and resources involved: indicators do not need to measure every aspect in the implementation of an intervention, they should focus in a number of politically or managerially relevant issues, which allow to assess the progress of the intervention towards its objectives. In this regard, keep the number of indicators as limited and as meaningful as possible.

For more options regarding the indicators, please visit: <https://europa.eu/capacity4dev/results-and-indicators/99824/results-indicators>

Annex 7: Screening and assessment grid for investment grants for public sector blending

The aim of this annex is twofold: (i) facilitate the screening and assessment of grant applications; and, (ii) ensure a consistent approach and understanding of requirements by applicants and those involved in the screening and assessment of WBIF projects. Its purpose is to:

- a) Help applicants in double-checking that all the sections of the grant application form are duly filled in;
- b) Increase the transparency of the selection process;
- c) Provide additional information to those involved in the screening and assessment of applications with respect to key aspects which should be followed in the evaluation of each section of the grant application form and, thus, ensure that the criteria are applied in a coherent and consistent manner;
- d) Enhance the efficiency of the selection process by assigning the evaluation of the grant application form to relevant screening and assessment organisations.

Part 1 of the grid covers general information about the project and a summary of the screening/ assessment comments. This part should be completed by all those involved in the screening and assessment of grant applications.

Part 2 of the grid contains sets of questions for each section of the grant application form. The questions are for guidance only and their purpose is to support the comments included in the boxes "Conditionality for the approval of the project" and "General comments". The overall review of each section can be summarised as "Yes", "Partially", "No" in response to the set of questions. If the answer is "No" or "Partially", the screeners/assessors should provide detailed comments. The Lead IFIs should also describe in the assessment grid how the clarifications, corrections and/or improvements to the grant application form formulated in the screening conclusion are addressed in the grant application form revised during the assessment.

Part 1

1	Blending facility	WBIF	2	Grant code	<i>[This section is filled in automatically in MIS.]</i>
3	WBIF approval date	<i>[This section is filled in automatically in MIS.]</i>	4	Flagship	<i>[This section is filled in automatically in MIS.]</i>
5	WBIF intervention area	<i>[This section is filled in automatically in MIS.]</i>	6	CRS-code	<i>[This section is filled in automatically in MIS.]</i>
7	Beneficiary	<i>[This section is filled in automatically in MIS.]</i>			
8	Project title	<i>[This section is filled in automatically in MIS.]</i>	9	Project code	<i>[This section is filled in automatically in MIS.]</i>
Summary of recommendation <i>[to be filled by all screeners/assessors]</i>		Recommendation of submission for approval <i>[Select Yes or No]</i>		Yes <input type="checkbox"/>	No <input type="checkbox"/>
		Conditionality for the approval of the project	<i>[Please list the conditions that should be met for the approval of the grant and/or those on its approval by the WBIF]</i>		
General comments <i>[please assess the aspects pertinent to your role]</i>		<i>[Please summarise the main conclusions, covering the key aspects of the application:</i> <ul style="list-style-type: none"> <i>• Relevant information is clear and concise and allows a good understanding of the project at the first reading of the grant application form;</i> <i>• Project status/maturity;</i> <i>• IFI commitment/agreement including status of the loan;</i> <i>• Coherence with WBIF investment priorities, the Economic and Investment Plan for the Western Balkans, 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;</i> <i>• Overall conclusion and outstanding issues, i.e. clarifications, corrections and improvements to the grant application form.]</i> 			

Part 2

Section	Title of section in the GAF	Screening / Assessment Organisation				
		DG NEAR (incl. geographical teams)	EU Delegation	Line DGs	International / regional organisations	Lead IFI
		<i>[Please provide detailed comments, in particular if aspects are unclear or not well addressed in the grant application form]</i>				
1 – 15	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 grant application form? Are all the sections of the grant application form completed with the information requested therein? 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially <i>[comments]</i> <i>[These sections are optional for Line DGs and international / regional organisations.]</i>				
16	Description of the Project and Action:	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially				

	<ul style="list-style-type: none"> • Are the descriptions concise and clear to allow a good understanding of the Project and Action at the first reading of the section? • Is there of real demand identified for the Project/Action? • To what extent is the Project expected to provide a significant and sustainable contribution to solving targeted problem(s)? Are targeted problems duly described? • Are the target groups of the Project identified? • Is the overall description of the Project realistic and consistent? • Is the need of carrying out the Project well defined and justified? • Are the objectives specific enough to address the identified needs? • Are the objectives measurable? Will it be possible to measure their achievement at the end of the Project? • Are the outcomes of the Action clearly defined, realistic (achievable) and quantified? 	[comments]
17	<p>Indicative project status and planning:</p> <ul style="list-style-type: none"> • Does the technical and financial status of the Project fulfils the maturity criteria? [Thoroughly evaluate the status of preparation or readiness of the Project: <p><u>A. Project technical documentation</u> is:</p> <ul style="list-style-type: none"> • Complete • Under completion (indicate the estimated time for completion) • Far from completion due to lack of documentation • Far from completion due to legal/regulatory constraints <p><u>B. Financial information:</u> IFI commitment/ agreement including status of the loan]</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially [comments]
18	<p>Coherence with WBIF objectives, EU policies, adopted national and sectoral strategies:</p> <ul style="list-style-type: none"> • Is the project proposal coherent with the WBIF intervention areas, the Economic and Investment Plan for the Western Balkans, EU policies/principles? • Is the Project coherent with the Economic Reform Programme? • Is the Project consistent with key national/regional policies in the sector/thematic area addressed by the Project? • Is the Project coherent with the national/regional development strategy? • Does the Project meet relevant social standards, including promotion of gender equality, non-discrimination and equal opportunity? • If the Project continues a previous project, is there a clear need for this extension and do activities/outcomes not overlap? • Is there clear ownership/support of the Project by national/regional authorities? 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially [comments]
19	<p>Consultations before submission:</p> <ul style="list-style-type: none"> • How were the Lead IFI and EU Delegation involved in project preparation? • What consultations were conducted with national authorities (NIC or similar structure), international/regional organisations? • Are endorsement letters provided by the Government and the IFI(s)? 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially [comments] [This section is optional for Line DGs.]
20	<p>Institutional framework of the Project:</p> <ul style="list-style-type: none"> • Are the organisational set-up, implementation scheme and financial structure clear? 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially

	<ul style="list-style-type: none"> Does the proposed core team of the Beneficiary have adequate experience for managing the Project? Are the management structures appropriate to the Project's size, duration and needs? Are the management structures and procedures clear, transparent and fair? Are the administrative and financial management procedures explained and adequate? 	<p>[comments]</p> <p>[This section is optional for Line DGs.]</p>
21	<p>Indicative project budget and financing plan:</p> <ul style="list-style-type: none"> Are the indicative budget and financing plan sufficiently detailed? Is the budget reasonable and realistic? Are unclear or unrealistic costs included in the budget? Are any of the costs excessive? Are they justified in the application? Is a budget for communication and visibility foreseen? Does the project financing plan present the appropriate mix of funding and leverage between loans and grants? Are all the sources of funds accurately listed? 	<p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially</p> <p>[comments]</p> <p>[This section is optional for Line DGs.]</p>
22	<p>Fiscal space and debt sustainability</p> <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? 	<p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially</p> <p>[This section is optional for Line DGs and international / regional organisations.]</p>
23	<p>Calculation of the WBIF investment grant</p> <ul style="list-style-type: none"> Is the WBIF investment grant accurately defined? Are the costs realistic and acceptable? Is the co-financing rate applied correctly? Is the information consistent with sections 21, 24? 	<p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially</p> <p>[comments]</p> <p>[This section is optional for Line DGs and international / regional organisations.]</p>
24	<p>WBIF grant amount justification:</p> <ul style="list-style-type: none"> Does the application explain how the WBIF grant amount was calculated? Is the justification consistent with section 23? 	<p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially</p> <p>[comments]</p> <p>[This section is optional for Line DGs and international / regional organisations.]</p>
25	<p>Additionality of the WBIF grant</p> <ul style="list-style-type: none"> Do the expected impact and results reflect the expected outputs and intended outcomes of the Project? Is the positive impact relevant and well justified? Is the impact on gender equality, equal opportunities and non-discrimination clearly demonstrated? If the Action does not contribute to gender equality and/or equal opportunities and non-discrimination, is the justification reasonable and convincing? Is the proposed grant funding necessary for the Project? 	<p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially</p> <p>[comments]</p> <p>[This section is optional for international / regional organisations.]</p>
26	<p>Financial leverage of the Project:</p> <ul style="list-style-type: none"> What is the proposed financial leverage? Is the proposed leverage sufficient and coherent? 	<p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially</p> <p>[comments]</p> <p>[This section is optional for EU Delegations, Line DGs and international / regional organisations.]</p>

27	<p>Expected results</p> <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 (definition, measurement, baseline and target values)? • Are any of the indicators unrealistic (unachievable)? • Are there any indicators missing? 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially <i>[comments]</i>
28	<p>Project sustainability</p> <ul style="list-style-type: none"> • Based on information included in the application, will the Project be sustainable when the grant support expires? • Are the environmental implications of the Project taken into account so that negative impacts on the environment are either avoided or mitigated during the life of the Project? • Does the Project incorporate mechanisms which guarantee equitable access to and distribution of the Project's benefits on a continuous basis? 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially <i>[comments]</i>
29	<p>Risk assessment categories</p> <ul style="list-style-type: none"> • Are the identified mitigation measures sufficient? • Are there additional risks which are not identified in the application? Please enumerate. 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially <i>[comments]</i>
30	<p>Addressing climate mitigation and adaptation:</p> <ul style="list-style-type: none"> • Is the contribution of the Project to climate change mitigation and/or adaptation clearly demonstrated? • Have basic environmental standards been incorporated into the design of the Project? • Was the Lead IFI involved in the allocation of the Rio Markers? 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially <i>[This section is optional for EU Delegations and international/regional organisations.]</i>
31	<p>Indicative calendar of the Action:</p> <ul style="list-style-type: none"> • Are the procurement procedures clearly presented? • Do they allow to complete the Project within the proposed time and resources? • Are these procedures accepted to be equivalent to those in the EU? • Can the activities of the Action be implemented in the estimated period? Are they logically sequenced? • Is each activity planned to be implemented within a suitable period? 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially <i>[comments]</i>
32	<p>Monitoring, reporting and evaluation:</p> <ul style="list-style-type: none"> • Are the monitoring, reporting and evaluation clearly described and sufficient? 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially <i>[comments]</i> <i>[This section is optional for Line DGs and international/regional organisations.]</i>
33	<p>Communication and visibility:</p> <ul style="list-style-type: none"> • Do the communication and visibility activities comply with the WBIF requirements and do they provide sufficient and clear visibility? • Is the communication and visibility plan annexed to the application? • Does the application include a budget for communication and visibility? • Are the communication and visibility activities in accordance with the project theme, target groups, proposed activities and outcomes? 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially <i>[comments]</i> <i>[This section is optional for Line DGs and international/regional organisations.]</i>

34	Issues to be clarified before WBIF grant approval <ul style="list-style-type: none"> • Are the issues (if any) described in a clear and coherent manner? 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially <i>[comments]</i>
	Annexes: <ul style="list-style-type: none"> • Is the information provided in each annex well described, complete and in coherence the other sections of the grant application form? 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially <i>[comments]</i>

Screening conclusion

Filled in by DG NEAR Programme Managers based on the comments provided by screening organisations, including clarifications, corrections and/or improvements to the grant application form that need to be resolved during the assessment.

Review and acceptance by the European Commission of changes made to the grant application form during the assessment

Review of changes made to the grant application form against clarifications, corrections and/or improvements formulated in the screening conclusion and acceptance of these changes by the European Commission.

Filled in by DG NEAR Programme Managers based on the grant application form revised during the assessment and the assessment of the application by the Lead IFI.

Annex 8: Screening and assessment grid for technical assistance for public sector

The aim of this annex is twofold: (i) facilitate the screening and assessment of grant applications; and (ii) ensure a consistent approach and understanding of requirements by applicants and those involved in the screening and assessment of WBIF projects. Its purpose is to:

- Help applicants in double checking that all sections of the grant application form are duly filled in with adequate information and data, as well as increase the transparency of the selection process;
- Increase the transparency of the selection process;
- Provide additional information to those involved in the screening and assessment of applications with respect to key aspects which should be followed in the evaluation of each section of the grant application form and, thus, ensure that the criteria are applied in a coherent and consistent manner;
- Enhance the efficiency of the selection process by assigning the evaluation of the grant application form to relevant screening and assessment organisations.

Part 1 of the grid covers general information about the project and a summary of the screening/ assessment comments. This part should be completed by all those involved in the screening and assessment of grant applications.

Part 2 of the grid contains sets of questions for each section of the grant application form. The questions are for guidance only and their purpose is to support the comments included in the boxes "Conditionality for the approval of the project" and "General comments". The overall review of each section can be summarised as "Yes", "Partially", "No" in response to the set of questions. If the answer is "No" or "Partially", the screeners/assessors should provide detailed comments. The Lead IFIs should also describe in the assessment grid how clarifications, corrections and/or improvements to the grant application form formulated in the screening conclusion are addressed in the grant application form revised during the assessment.

Part 1

1	Public blending	WBIF	2	Grant code	<i>[This section is filled in automatically in MIS.]</i>
3	WBIF approval date	<i>[This section is filled in automatically in MIS.]</i>	4	Flagship	<i>[This section is filled in automatically in MIS.]</i>
5	WBIF intervention area	<i>[This section is filled in automatically in MIS.]</i>	6	CRS-code	<i>[This section is filled in automatically in MIS.]</i>
7	Beneficiary	<i>[This section is filled in automatically in MIS.]</i>			
8	Project title	<i>[This section is filled in automatically in MIS.]</i>	9	Project code	<i>[This section is filled in automatically in MIS.]</i>
10	Action/Grant application title	<i>[This section is filled in automatically in MIS.]</i>			
Summary of Recommendation <i>[to be filled by all screeners/assessors]</i>	Recommendation of submission to the OB <i>[Select Yes or No]</i>		Yes <input type="checkbox"/>	No <input type="checkbox"/>	
	Conditionality for the approval of the Project		<i>[Please list the conditions that should be met for the approval of the grant and/or those on its approval by the WBIF]</i>		
General Comments <i>[Please assess the aspects pertinent to your role]</i>	<i>[Please list the main conclusions, covering the key aspects of the application:</i> <ul style="list-style-type: none"> ▪ <i>The relevant information is presented briefly, in a clear and concise manner, and it allows a good understanding of the project proposal at the first reading of the grant application form;</i> ▪ <i>Project status;</i> ▪ <i>IFI commitment/agreement;</i> ▪ <i>Coherence with WBIF investment priorities, the Economic and Investment Plan for the Western Balkans, 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 candidate project;</i> ▪ <i>Overall conclusion and outstanding issues, i.e. clarifications, corrections and improvements to the grant application form.]</i> 				

Part 2

No.	Section in the grant application form	Screening / Assessment Organisation					
		DG NEAR (incl. geographical teams)	EU Delegation	Line DGs	International / regional organisations	Lead IFI	IFICO IPF
		<i>[Please provide detailed comments, in particular if a specific aspect is unclear or not well addressed in the grant application form]</i>					
1 – 18	Identity of the project <ul style="list-style-type: none"> ▪ <i>Is the information provided in each section consistent and in coherence with the information filled in the other sections of the grant application form?</i> ▪ <i>Are all the sections of the grant application form completed with the information requested therein?</i> 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially <i>[comments]</i> <i>[These sections are optional for Line DGs and international / regional organisations.]</i>					

19.	<p>Description of the project:</p> <ul style="list-style-type: none"> ▪ <i>Is the relevant information presented briefly, in a clear manner, to allow a good understanding of the project at the first reading of the section?</i> ▪ <i>Is the need of carrying out the project well defined and justified?</i> ▪ <i>What evidence is there of real demand for the Project?</i> ▪ <i>To what extent is the project expected to provide a significant and sustainable contribution to solving the targeted problem? Is the issue focused enough?</i> ▪ <i>How well are the relevant target groups defined? Is the purpose of the project clear?</i> ▪ <i>Is there a clear ownership/support of the project from national/regional authorities?</i> ▪ <i>Are the objectives specific enough and do they cover the needs to be satisfied/fulfilled?</i> ▪ <i>Are the objectives measurable? Will it be possible to measure their achievement at the end of the project?</i> ▪ <i>Is there a clear link between objectives and the results presented in section 26?</i> 	<p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially</p> <p>[comments]</p>
20.	<p>Indicative project status and planning:</p> <ul style="list-style-type: none"> ▪ <i>Does the provided technical and financial information demonstrate that the project fulfils the eligibility criteria?</i> ▪ <i>Are the planned activities presented in a logical sequence?</i> ▪ <i>Is the preparatory time adequately planned for each activity?</i> 	<p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially</p> <p>[comments]</p>
21.	<p>Coherence with the WBIF objectives, EU policies, adopted national/sectoral strategy:</p> <ul style="list-style-type: none"> ▪ <i>Is the project coherent with the Economic and Investment Plan for the Western Balkans, and the Economic Reform Programme?</i> ▪ <i>Is the project coherent with the policy objectives of the WBIF and the EU policies/ principles?</i> ▪ <i>Is the project proposal coherent with the National/Regional Development Strategy? Is there compliance with the main national/regional policies in the concerned sector or thematic area? Is the Project listed in the SPP?</i> ▪ <i>Is there compliance with social standards, including the promotion of gender equality, non-discrimination and equal opportunity?</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> 	<p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially</p> <p>[comments]</p>
22.	<p>Consultations before submission:</p> <ul style="list-style-type: none"> ▪ <i>How were the Lead IFI and the 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>Has the Government issued an endorsement letter?</i> 	<p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially</p> <p>[comments] [This section is optional for Line DGs.]</p>
23.	<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 suitable for the project's size, duration and needs?</i> ▪ <i>Are the management structures and procedures clear, transparent and fair?</i> 	<p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially</p> <p>[comments] [This section is optional for Line DGs.]</p>
24.	<p>Project budget and financing plan:</p> <ul style="list-style-type: none"> ▪ <i>Are the indicative budget and the financing plan sufficiently detailed?</i> 	<p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially</p>

	<ul style="list-style-type: none"> ▪ <i>Is the budget reasonable and realistic?</i> ▪ <i>Are there any unclear or unrealistic costs? Are there any excessive costs budgeted? If so, are they justified?</i> ▪ <i>Is there any budget foreseen for visibility and communication measures?</i> ▪ <i>Does the project financing plan present the appropriate mix of funding and leverage between loans and grants?</i> ▪ <i>Are all the funding sources accurately indicated?</i> 	<p><i>[comments]</i> <i>[This section is optional for Line DGs.]</i></p>
25.	<p>Fiscal space and debt sustainability</p> <ul style="list-style-type: none"> ▪ <i>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?</i> ▪ <i>How do the sovereign and/or sub-sovereign loan/guarantee attached to the Project affect debt sustainability?</i> 	<p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially</p> <p><i>[comments]</i> <i>[These sections are optional for Line DGs and international / regional organisations.]</i></p>
26.	<p>Expected results</p> <ul style="list-style-type: none"> ▪ <i>Are the indicators sufficiently reflecting the project's expected outputs and intended outcomes?</i> ▪ <i>Are the outcomes clearly defined, realistic (achievable) and quantified?</i> ▪ <i>Are the indicators defined accurately (description, measurement, baseline, and target value)?</i> ▪ <i>Are there any unrealistic (unachievable) indicators listed?</i> ▪ <i>Have all the indicators been identified?</i> 	<p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially</p> <p><i>[comments]</i></p>
27.	<p>Project sustainability</p> <ul style="list-style-type: none"> ▪ <i>Has the project considered its environmental implications so that the negative impacts are either avoided or mitigated during its lifetime?</i> ▪ <i>Has the project incorporated mechanisms that guarantee equitable access to and distribution of the project benefits on a continuous basis?</i> 	<p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially</p> <p><i>[comments]</i></p>
28.	<p>Risk assessment categories</p> <ul style="list-style-type: none"> ▪ <i>Are the identified risk mitigation measures sufficient?</i> ▪ <i>Are there any additional risks that are not identified in the application? If so, please enumerate.</i> 	<p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially</p> <p><i>[comments]</i></p>
29.	<p>Addressing climate mitigation and adaptation:</p> <ul style="list-style-type: none"> ▪ <i>Is the project's contribution to climate change mitigation/adaptation clearly demonstrated?</i> ▪ <i>Was the Lead IFI involved in allocating the Rio Markers?</i> 	<p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially</p> <p><i>[comments]</i> <i>[This section is optional for Line DGs and international/regional organisations.]</i></p>
30.	<p>Scope of work and results for the TA grant activities (the Action):</p> <ul style="list-style-type: none"> ▪ <i>Is the relevant information presented briefly, clearly and does it allow a good understanding of the Action at the first reading?</i> ▪ <i>Are the outcomes of the Action clearly defined, realistic (achievable) and quantified?</i> 	<p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially</p> <p><i>[comments]</i></p>
31.	<p>WBIF Grant amount calculation and justification</p> <ul style="list-style-type: none"> ▪ <i>Is the WBIF grant amount accurately defined?</i> ▪ <i>Are the costs realistic and acceptable?</i> ▪ <i>Does the application explain how the WBIF grant amount has been calculated?</i> ▪ <i>Is there a clear link between the information presented in section 24 and this section?</i> 	<p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially</p> <p><i>[comments]</i> <i>[This section is optional for Line DGs and international/regional organisations.]</i></p>
32.	<p>Additionality of the WBIF grant</p> <ul style="list-style-type: none"> ▪ <i>Do the expected impact and results sufficiently reflect the outputs and intended outcomes of the project?</i> 	<p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially</p>

	<ul style="list-style-type: none"> ▪ <i>Is the positive impact relevant and well demonstrated?</i> ▪ <i>Is the impact on gender equality, equal opportunities & non-discrimination clearly demonstrated? If the Action does not contribute to gender equality and/or equal opportunities & non-discrimination, is the justification reasonable and convincing?</i> ▪ <i>Why is the proposed grant funding necessary for the operation?</i> 	<p><i>[comments]</i> <i>[This section is optional for international / regional organisations.]</i></p>
33.	<p>Indicative calendar of the Action</p> <ul style="list-style-type: none"> ▪ <i>Are activities presented in their logical time sequence?</i> ▪ <i>Is it feasible to complete the TA in the proposed time and with the proposed resources?</i> ▪ <i>Are the planned activities associated with the Action realistically implementable within the foreseen period and logically sequenced?</i> 	<p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially</p> <p><i>[comments]</i></p>
34.	<p>Monitoring, reporting and evaluation</p> <ul style="list-style-type: none"> ▪ <i>Are the monitoring, reporting and evaluation clearly described and sufficient?</i> 	<p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially</p> <p><i>[comments]</i> <i>[This section is optional for Line DGs and international / regional organisations.]</i></p>
35.	<p>Communication and visibility</p> <ul style="list-style-type: none"> ▪ <i>Do the communication and visibility activities comply with the WBIF related requirements, and do they provide sufficient and clear visibility?</i> ▪ <i>Is a budget for visibility foreseen?</i> ▪ <i>Is a visibility plan proposed?</i> 	<p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially</p> <p><i>[comments]</i> <i>[This section is optional for Line DGs and international / regional organisations.]</i></p>
36.	<p>Issues to be clarified before WBIF grant approval</p> <ul style="list-style-type: none"> ▪ <i>Were the issues (if any) described in a clear and coherent manner?</i> 	<p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially</p> <p><i>[comments]</i></p>
	<p>Annexes:</p> <ul style="list-style-type: none"> ▪ <i>Is the information provided in each Annex well-defined, complete and coherent with the information filled in the other sections of the grant application form?</i> 	<p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially</p> <p><i>[comments]</i></p>

<p>Screening conclusion</p> <p><i>[Filled in by DG NEAR Programme Managers based on the comments provided by screening organisations, including clarifications, corrections and/or improvements to the grant application form that need to be resolved during the assessment.]</i></p>
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<p>Review and acceptance by the European Commission of changes made to the grant application form during the assessment</p> <p><i>[Review of changes made to the grant application form against clarifications, corrections and/or improvements formulated in the screening conclusion and acceptance of these changes by the European Commission.</i></p> <p><i>Filled in by DG NEAR Programme Managers based on the grant application form revised during the assessment and the assessment of the grant application form by the Lead IFI.]</i></p>

Annex 9: Screening and assessment grid for blending for private sector

The aim of this annex is twofold: (i) facilitate the screening and assessment of applications; and, (ii) ensure a consistent approach and understanding of requirements by applicants and those involved in the screening and assessment of WBIF actions. Its purpose is to:

- e) Help applicants in double-checking that all the sections of the application form are duly filled in;
- f) Increase the transparency of the selection process;
- g) Provide additional information to those involved in the screening and assessment of applications with respect to key aspects which should be followed in the evaluation of each section of the application form and, thus, ensure that the criteria are applied in a coherent and consistent manner;
- h) Enhance the efficiency of the selection process by assigning the evaluation of the application form to relevant screening and assessment organisations.

Part 1 of the grid covers general information about the action and a summary of the screening/assessment comments. This part should be completed by all those involved in the screening and assessment of applications.

Part 2 of the grid contains sets of questions for each section of the application form. The questions are for guidance only and their purpose is to support the comments included in the boxes "Conditionality for the approval of the action" and "General comments". The overall review of each section can be summarised as "Yes", "Partially", "No" in response to the set of questions. If the answer is "No" or "Partially", the screeners/assessors should provide detailed comments. The Lead IFIs should also describe in the assessment grid how clarifications, corrections and/or improvements to the application form formulated in the screening conclusion are addressed in the application form revised during the assessment.

Part 1

1	Blending facility	WBIF	2	Grant code	[This section is filled in automatically in MIS.]
3	WBIF approval date	[This section is filled in automatically in MIS.]	4	Flagship	[This section is filled in automatically in MIS.]
5	WBIF intervention area	Competitiveness of the private sector	6	DAC codes	[This section is filled in automatically in MIS.]
7	Beneficiary economy(ies)	[This section is filled in automatically in MIS.]			
8	Action title	[This section is filled in automatically in MIS.]			
Summary of recommendation [to be filled by all screeners/assessors]		Recommendation of submission for approval [Select Yes or No]		Yes <input type="checkbox"/>	No <input type="checkbox"/>
		Outstanding prior to the approval of the action	[Please list the conditions that should be met for the approval of the TA and/or those on its approval by the WBIF]		
General comments [please assess the aspects pertinent to your role]		<p>[Please summarise the main conclusions, covering the key aspects of the application:</p> <ul style="list-style-type: none"> • Relevant information is clear and concise and allows a good understanding of the action at the first reading of the application form; • Action status/ maturity; • IFI commitment/agreement including status of the financing; • Coherence with WBIF investment priorities as spelled out in the WBIF strategic orientations for blending operations, notably competitiveness of the private sector investment priority and one or more of its seven sub-priorities; • Other EU policy priorities (e.g. green and digital transition); • Mention to indicators for competitiveness of the private sector (Annex 6 of the WBIF Guidelines for Applicants); • Coherence between the budget and the objectives to be achieved ; • Communication and Visibility plan coherence with the WBIF Communication and Visibility Plan. • Other issues, such as sustainability, results indicators, risks associated with the candidate action; <p>Outstanding issues, if any, i.e. clarifications, corrections and improvements to the application form.]</p>			

Part 2

Section	Title of section in the GAF	Screening / Assessment Organisation				
		DG NEAR (incl. geographical teams)	EU Delegation	Line DGs	International / regional organisations	Lead IFI
		[Please provide detailed comments, in particular if aspects are unclear or not well addressed in the application form]				
1 – 13	Identity of the action:	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially				

	<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 Blending application form? 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially [comments] [These sections are optional for Line DGs and international / regional organisations.]
14-17	Description of Action's context: <ul style="list-style-type: none"> Is the overall description of the Action realistic and consistent? Is the need of carrying out the Action well defined and justified? Are the target groups of the Action identified? Are the objectives and results measurable? Will it be possible to measure their achievement at the end of the Action? Is the plan of activities coherent with the proposed budget? Does the proposal include credible baseline, targets and sources of verification? If not included in the proposal, is a baseline study foreseen? Does the proposal have a regional approach and impact? (e.g. will it contribute to regional cooperation/regional economic integration)? Is there any synergy with existing complementary operations? Is it aligned with national plans and reform efforts and clear complementarity /synergies with related EU programmes and initiatives (e.g. smart specialisation, ERPs, IPARD) and other donor initiatives? 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially [comments]
18-19	Coherence with WBIF objectives, EU policies, adopted national and sectoral strategies: <ul style="list-style-type: none"> Is the Action consistent with key national/regional policies in the sector/thematic area addressed by the Action? Is the action coherent with the Economic and Investment Plan for the Western Balkans, and the Economic Reform Programme? Is the Action coherent with the national/regional development strategy? Does the Action meet the relevant social standards, including promotion of gender equality, non-discrimination and equal opportunity and other cross-cutting issues? If the Action continues a previous action, is there a clear need for this extension and do activities/outcomes not overlap? Is it complementary with previous actions? 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially [comments]
20	Institutional framework of the Action: <ul style="list-style-type: none"> Are the organisational set-up, implementation scheme and financial structure clear? Are the management structures appropriate to the Action's size, duration and needs? 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially [comments] [This section is optional for Line DGs.]
21	Indicative action budget and financing plan: <ul style="list-style-type: none"> Are the indicative budget and financing plan sufficiently detailed? 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially

	<ul style="list-style-type: none"> • <i>Is the budget reasonable and realistic?</i> • <i>Are unclear or unrealistic costs included in the budget? Are any of the costs excessive? Are they justified in the application?</i> • <i>Is a budget for communication and visibility foreseen?</i> • <i>Does the action financing plan present the appropriate mix of funding and leverage between loans and grants/ TAs?</i> • <i>Are all the sources of funds accurately listed?</i> 	<p>[comments] [This section is optional for Line DGs.]</p>
22-23	<p>Calculation of the costs -- EU contribution</p> <ul style="list-style-type: none"> • <i>Is the WBIF investment grant/ TA accurately defined?</i> • <i>Are the costs realistic and acceptable?</i> • <i>Does the application explain how the EU contribution was calculated?</i> • <i>Is the information consistent with sections 21, 23?</i> 	<p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially</p> <p>[comments] [This section is optional for Line DGs and international / regional organisations.]</p>
24	<p>Additionality of the EU contribution</p> <ul style="list-style-type: none"> • <i>Do the expected impact and results reflect the expected outputs and intended outcomes of the Action?</i> • <i>Is the positive impact relevant and well justified?</i> • <i>Is the impact on gender equality clearly demonstrated? If the Action does not contribute to gender equality is the justification reasonable and convincing?</i> • <i>Is the impact on equal opportunities and non-discrimination clearly demonstrated? If the Action does not contribute to equal opportunities and non-discrimination, is the justification reasonable and convincing?</i> • <i>Is the proposed EU funding necessary for the Action?</i> 	<p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially</p> <p>[comments] [This section is optional for international / regional organisations.]</p>
25	<p>Financial leverage of the Action</p> <ul style="list-style-type: none"> • <i>Is the proposed financial leverage realistic?</i> • <i>Is it explained how the leverage will be achieved?</i> • <i>Crowd in of private capital, if any?</i> 	<p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially</p> <p>[comments] [This section is optional for EU Delegations, Line DGs and international / regional organisations.]</p>
26	<p>Expected results</p> <ul style="list-style-type: none"> • <i>Are the indicators sufficiently reflecting the action expected outputs and intended outcomes?</i> • <i>Are the outcomes clearly defined, realistic (achievable) and quantified?</i> • <i>Are the indicators defined accurately (description, measurement, baseline, and target value)?</i> • <i>Are there any unrealistic (unachievable) indicators listed?</i> • <i>Have all the indicators been identified?</i> 	<p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially</p> <p>[comments]</p>
27	<p>Action sustainability</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially</p>

	<ul style="list-style-type: none"> Based on information included in the application, will the Action be sustainable when the EU support expires? Does the proposal foresee the possibility to eventually scale up through less concessional support (e.g. guarantees, privately managed private sector without EU support)? Does the Action incorporate mechanisms which guarantee equitable access to and distribution of the Action's benefits on a continuous basis? 	[comments]
28	<p>Risk assessment categories</p> <ul style="list-style-type: none"> Are the identified mitigation measures sufficient? Is there additional risk that is not identified in the application? Please enumerate. 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially [comments]
29	<p>Issues to be clarified before submission to the WBIF Operational Board, if any</p> <ul style="list-style-type: none"> Have basic environmental standards been incorporated into the design of the Action? Are the issues (if any) described in a clear and coherent manner? 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially [This section is optional for EU Delegations and international / regional organisations.]
30	<p>Impact on innovation and green growth:</p> <ul style="list-style-type: none"> Is the action contributing to sustain the innovation in start-ups, micro, small and medium enterprises? Is the action contributing to the green and digital transition of start-ups, micro, small and medium enterprises? Is the action contributing to the green agenda main objectives? Can this contribution be measures/assessed? 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially [comments]
31	<p>Indicative Action Calendar</p> <ul style="list-style-type: none"> Do they allow to complete the Action within the proposed time and resources? Can the activities of the Action Plan be implemented in the estimated period? Are they logically sequenced? 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially [comments] [This section is optional for Line DGs and international / regional organisations.]
32	<p>Description of how the Action is planned to be implemented</p> <ul style="list-style-type: none"> Is it clearly described how the Action will be implemented? 	
33	<p>Monitoring, reporting and evaluation</p> <ul style="list-style-type: none"> Is the monitoring process clearly described and sufficient? Is the reporting process clearly described and sufficient? Is the evaluation process clearly described and sufficient? 	
34	<p>Communication and visibility</p> <ul style="list-style-type: none"> Do the communication and visibility activities comply with the WBIF/EU requirements and do they provide sufficient and clear visibility? 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially [comments]

	<ul style="list-style-type: none"> • <i>Is the communication and visibility plan annexed to the application?</i> • <i>How does the lead IFI ensure the visibility of the EU and its close cooperation with EC HQ and EUDs?</i> • <i>Does the application include a budget for communication and visibility?</i> • <i>Are the communication and visibility activities in accordance with the action theme, target groups, proposed activities and outcomes?</i> 	<p><i>[This section is optional for Line DGs and international / regional organisations.]</i></p>
	<p>Annexes:</p> <ul style="list-style-type: none"> • <i>Is the information provided in each annex well described, complete and in coherence with the other sections of the application form?</i> 	<p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially</p> <p><i>[comments]</i></p>

Screening conclusion

Filled in by DG NEAR Programme Managers based on the comments provided by screening organisations, including clarifications, corrections and/or improvements to the application form that need to be resolved during the assessment.

Review and acceptance by the European Commission of changes made to the application form during the assessment

Review of changes made to the application form against clarifications, corrections and/or improvements formulated in the screening conclusion and acceptance of these changes by the European Commission. Filled in by DG NEAR Programme Managers based on the application form revised during the assessment and the assessment of application by the Lead IFI.

Annex 10: Screening and assessment grid for technical assistance for private sector

The aim of this annex is twofold: (i) facilitate the screening and assessment of TA applications; and (ii) ensure a consistent approach and understanding of requirements by applicants and those involved in the screening and assessment of WBIF actions. Its purpose is to:

- Help applicants in double checking that all sections of the TA application form are duly filled in with adequate information and data, as well as increase the transparency of the selection process;
- Increase the transparency of the selection process;
- Provide additional information to those involved in the screening and assessment of applications with respect to key aspects which should be followed in the evaluation of each section of the TA application form and, thus, ensure that the criteria are applied in a coherent and consistent manner;
- Enhance the efficiency of the selection process by assigning the evaluation of the TA application form to relevant screening and assessment organisations.

Part 1 of the grid covers general information about the action and a summary of the screening/assessment comments. This part should be completed by all those involved in the screening and assessment of TA applications.

Part 2 of the grid contains sets of questions for each section of the TA application form. The questions are for guidance only and their purpose is to support the comments included in the boxes "Conditionality for the approval of the action" and "General comments". The overall review of each section can be summarised as "Yes", "Partially", "No" in response to the set of questions. If the answer is "No" or "Partially", the screeners/assessors should provide detailed comments. The Lead IFIs should also describe in the assessment grid how clarifications, corrections and/or improvements to the TA application form formulated in the screening conclusion are addressed in the TA application form revised during the assessment.

Part 1

1	Private blending	WBIF	2	TA code	<i>[This section is filled in automatically in MIS.]</i>
3	WBIF approval date	<i>[This section is filled in automatically in MIS.]</i>	4	Flagship	<i>[This section is filled in automatically in MIS.]</i>
5	WBIF intervention area	<i>[This section is filled in automatically in MIS.]</i>	6	CRS-code	<i>[This section is filled in automatically in MIS.]</i>
7	Beneficiary country	<i>[This section is filled in automatically in MIS.]</i>			
8	Action title	<i>[This section is filled in automatically in MIS.]</i>	9	Action code	<i>[This section is filled in automatically in MIS.]</i>
10	Action/TA application title	<i>[This section is filled in automatically in MIS.]</i>			
Summary of Recommendation <i>[to be filled by all screeners/assessors]</i>	Recommendation of submission to the OB <i>[Select Yes or No]</i>		Yes <input type="checkbox"/>	No <input type="checkbox"/>	
	Outstanding prior to the approval of the action		<i>[Please list the conditions that should be met for the approval of the TA and/or those on its approval by the WBIF]</i>		
General Comments <i>[Please assess the aspects pertinent to your role]</i>	<p><i>[Please list the main conclusions, covering the key aspects of the application:</i></p> <ul style="list-style-type: none"> - <i>The relevant information is presented briefly, in a clear and concise manner, and it allows a good understanding of the action proposal at the first reading of the TA application form;</i> - <i>IFI role and synergies with existing activities in support to the private sector development;</i> - <i>Coherence with:</i> <ul style="list-style-type: none"> o <i>WBIF investment priorities as spelled out in the WBIF strategic orientations for blending operations, notably competitiveness of the private sector investment priority and one or more of its seven subpriorities;</i> o <i>other EU policy priorities (e.g. green and digital transition);</i> - <i>Mention to indicators for competitiveness of the private sector (Annex 6 of the WBIF Guidelines for Applicants);</i> - <i>Coherence between the budget and the objectives to be achieved ;</i> - <i>Communication and Visibility plan coherence with the WBIF Communication and Visibility Plan.</i> - <i>Other issues, such as sustainability, results indicators, risks associated with the candidate action;</i> - <i>Outstanding issues, if any, i.e. clarifications, corrections and improvements to the application form.</i> 				

Part 2

No.	Section in the TA application form	Screening / Assessment Organisation					
		DG NEAR (incl. geographical teams)	EU Delegation	Line DGs	International / regional organisations	Lead IFI	IFICO IPF
<i>[Please provide detailed comments, in particular if a specific aspect is unclear or not well addressed in the TA application form]</i>							

1 – 13	<p>Identity of the action</p> <ul style="list-style-type: none"> - <i>Is the information provided in each section consistent and in coherence with the information filled in the other sections of the TA application form?</i> - <i>Are all the sections of the TA application form completed with the information requested therein?</i> 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially [comments] <i>[These sections are optional for Line DGs and international / regional organisations.]</i>
14-16 and 25	<p>Description of the action:</p> <ul style="list-style-type: none"> - <i>Is the action in line with the context of the competitiveness of the private sector priority and its sub-priorities as described in the WBIF Strategic Orientations for blending?</i> - <i>Is the need of carrying out the action well defined and justified?</i> - <i>Is the purpose of the action clear?</i> - <i>Is there any synergy with existing complementary operations?</i> - <i>Are the objectives and results measurable? Will it be possible to measure their achievement at the end of the action?</i> - <i>Is there a clear link in the result chain between objectives, results and activities presented in section 26?</i> - <i>Are the planned activities presented in a logical sequence?</i> - <i>Is the preparatory time adequately planned for each activity?</i> - <i>Is the plan of activities coherent with the proposed budget?</i> 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially [comments] [comments]
17	<p>Coherence with the WBIF objectives, EU policies, adopted national/sectoral strategy:</p> <ul style="list-style-type: none"> - <i>Is the action coherent with the Economic and Investment Plan for the Western Balkans, and the Economic Reform Programme?</i> - <i>Is the action coherent with the policy objectives of the WBIF and the EU policies/ principles?</i> - <i>Is there compliance with social standards, including the promotion of gender equality, non-discrimination and equal opportunity and other cross-cutting issues?</i> - <i>If the action proposal is a continuation of a previous action, does it show a clear need for this extension and also demonstrate that the activities/outcomes do not overlap?</i> - <i>Is it complementary and synergetic with previous actions?</i> - <i>Does the TA proposal address barriers (e.g. lack of information, capacity building, and reforms) that could eventually allow for investment grants and/or guarantees?</i> 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially [comments]
20 and 26	<p>Action budget and financing plan:</p> <ul style="list-style-type: none"> - <i>Are the indicative budget and the financing plan sufficiently detailed?</i> - <i>Is the budget reasonable and realistic?</i> - <i>Are there any unclear or unrealistic costs? Are there any excessive costs budgeted? If so, are they justified?</i> - <i>Is there any budget foreseen for visibility and communication measures?</i> - <i>If applicable, does the action financing plan present the appropriate mix of funding and leverage between loans and grants?</i> - <i>Are all the funding sources accurately indicated?</i> 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially [comments] <i>[This section is optional for Line DGs.]</i> [comments] <i>[These sections are optional for Line DGs and international / regional organisations.]</i>
21	<p>Expected results</p> <ul style="list-style-type: none"> - <i>Are the indicators sufficiently reflecting the action's expected outputs and intended outcomes?</i> - <i>Are the outcomes clearly defined, realistic (achievable) and quantified?</i> - <i>Are the indicators defined accurately (description, measurement, baseline, and target value)?</i> 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially [comments]

	<ul style="list-style-type: none"> - Are there any unrealistic (unachievable) indicators listed? - Have all the indicators been identified? 	
22	<p>Action sustainability</p> <ul style="list-style-type: none"> - How does the action address environmental aspects? - How does the action address economic and social aspects? - How does the action address social and institutional aspects? 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially [comments]
23	<p>Risk assessment categories</p> <ul style="list-style-type: none"> - Are there any risks that are not identified in the application? If so, please enumerate. - Are the identified risk mitigation measures sufficient? 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially [comments]
24	<p>Impact on innovation and green growth, digital transition:</p> <ul style="list-style-type: none"> - Is the action contributing to sustain the innovation in start-ups, micro, small and medium enterprises? - Is the action contributing to the green and digital transition of start-ups, micro, small and medium enterprises? - Is the action contributing to the green agenda main objectives? - Can this contribution be measures/assessed? 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially [comments] <i>[This section is optional for Line DGs and international/ regional organisations.]</i>
25	<p>Assessed in a section above</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially [comments]
26	<p>WBIF Grant amount calculation and justification</p> <ul style="list-style-type: none"> - Is the WBIF grant amount accurately defined? - Are the costs realistic and acceptable? 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially [comments] <i>[This section is optional for Line DGs and international/ regional organisations.]</i>
27	<p>Additionality of the WBIF grant</p> <ul style="list-style-type: none"> - What are the economic benefits of the grant funding proposed? - Why is the proposed grant funding necessary for the Action? - How will the grant funding increase the scale of the Action? Will it widen the results of the Action; or extend the benefits to more people? - In what way does the grant element have a positive effect on the timing of the Action and/or the benefits it is expected to deliver? - [How will the grant funding improve the quality of the Action's expected outcomes? How will the grant funding improve the Action's chances of success? How will the grant enable promotion of higher standards (economic, socio-environmental standards including the promotion of gender equality) and more substantial social or global public good returns than would otherwise be possible?] - What are the innovative aspects of the Action that could not be generated by or within the target environment without grant support? - Why is the proposed innovation important? - Does the grant funding help support further or parallel activities to ensure that benefits continue beyond the life of the Action? 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? 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially [comments] <i>[This section is optional for international / regional organisations.]</i>

	- <i>Other benefits/positive externalities may be realised by the Action (or negative externalities avoided), which would not happen without the presence of the grant component. Are there any significant benefits outside of the main/primary objectives of the loan operation that grant funding could bring?</i>	
28	Issues to be clarified before WBIF TA approval - <i>Were the issues (if any) described in a clear and coherent manner?</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially [comments]
29	Indicative calendar of the Action 37 - <i>Are activities presented in their logical time sequence?</i> - <i>Is it feasible to complete the TA in the proposed time and with the proposed resources?</i> - <i>Are the planned activities associated with the Action realistically implementable within the foreseen period and logically sequenced?</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially [comments] <i>[This section is optional for Line DGs and international / regional organisations.]</i>
30	Monitoring, reporting and evaluation 38 - <i>Is the monitoring process clearly described and sufficient?</i> - <i>Is the reporting process clearly described and sufficient?</i> - <i>Is the evaluation process clearly described and sufficient?</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially [comments] <i>[This section is optional for Line DGs and international / regional organisations.]</i>
31	Communication and visibility 39 - <i>Do the communication and visibility activities comply with the WBIF related requirements, and do they provide sufficient and clear visibility?</i> - <i>Is a budget for visibility foreseen?</i> - <i>How does the lead IFI ensure the visibility of the EU and its close cooperation with EC HQ and EUDs?</i> - <i>Is a visibility plan proposed?</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially [comments]
	Annexes: - <i>Is the information provided in each Annex well-defined, complete and coherent with the information filled in the other sections of the TA application form?</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially [comments]

Screening conclusion

[Filled in by DG NEAR WBIF team based on the comments provided by screening organisations, including clarifications, corrections and/or improvements to the TA application form that need to be resolved during the assessment.]

Review and acceptance by the European Commission of changes made to the TA application form during the assessment

[Review of changes made to the TA application form against clarifications, corrections and/or improvements formulated in the screening conclusion and acceptance of these changes by the European Commission. Filled in by DG NEAR Programme Managers based on the TA application form revised during the assessment and the assessment of the TA application form by the Lead IFI.]

Annex 11: Glossary

Action: means a part of a Project, in relation to which the beneficiary seeks the financing of a grant from the WBIF. An action is composed of a set of activities proposed to be financed in full or in part with the grant from the WBIF.

EIP Priorities (9 priorities): as set under the EIP, mainly 1) Transport, 2) Energy, 3) Green Agenda, 4) Digital Transition, 5) Private Sector, 6) Human Capital, 6a) Innovation Agenda, 7) Common Regional Market, and 8) Governance Rule of Law.

Grant Application Form (or GAF): is a standardised template the beneficiaries use to apply for WBIF grants. Upon approval of the grant, the grant application becomes part of the contractual framework.

Infrastructure Project Facility (IPF): is a technical assistance facility implementing grants allocated by the WBIF. The IPFs are financed by the European Commission and managed by the European Investment Bank.

Instrument for Pre-accession Assistance (or IPA): is the means by which the EU supports reforms in the enlargement countries with financial and technical assistance.

Investment grant: means the contribution that the WBIF funding makes to the total investment cost of a project. It is expressed by the co-financing rate, which is subject to a maximum threshold and is defined as a percentage of the total investment cost (i.e. costs for works and supplies including contingencies).

Investment Flagships (10 flagships): to fast-track the implementation of the EIP, a first set of projects around ten investment flagships have been proposed (following consultation with the governments of the region) in the areas of digital, transport, energy transition and environment, which shall be completed or substantially advanced by 2024.

Lead Financial Institution (or Lead IFI): is a multilateral or bilateral financial institution which supports the project and provides a loan once the project is mature. The Lead IFIs for WBIF projects are European Investment Bank (EIB), European Bank for Reconstruction and Development (EBRD), Council of Europe Development Bank (CEB), KfW (KfW Development Bank), World Bank Group (WB), and Agence Française de Développement (AFD).

MIS: means the management information system administered by the WBIF Secretariat, which, among others, is used to select projects for financing and track the progress of actions financed with WBIF grants.

National Investment Committee (or NIC): is the national decision-making body, usually chaired by the Deputy Prime Minister or the Minister of Finance, where the Single Project Pipeline is formally endorsed.

National IPA Coordinator (or NIPAC): is the national body responsible for overall coordination and monitoring of the EU assistance under all IPA components.

Project: means the investment project proposed for financing under the WBIF. The Action is an integral part of the project.

Project Financiers' Group (PFG): means the group consisting of representatives of the European Commission, financial institutions members of the WBIF and bilateral donors and responsible for the screening and assessment of proposals for financial support through the WBIF.

Single Sector Project Pipeline (SSPP) and Single Project Pipeline (SPP): The SSPP is a list of strategically relevant and prioritised projects, submitted by each Line Ministry to the NIC technical secretariat for further financial programming. Mature, top priority projects are selected by the NIC technical secretariat, as appropriate, to form the Single Project Pipeline (SPP), which is submitted to the NIC for approval.

WBIF Intervention Areas (6 areas): these are based on the EIP objectives and include i) sustainable transport; ii) clean energy; iii) environment & climate; iv) digital future; v) competitiveness of the private sector; and, vi) human capital development. They shall be addressed by Blending and Guarantees.

WBIF Blending Investment Priorities: refers to the implementation of the Blending operations under the WBIF. It is composed by the eligible investment priorities (aligned with WBIF Intervention Areas), the conditions for implementation (incl. eligibility).

Target groups: are persons or groups in society and entities directly impacted by the Project.