



# HOW TO FILL IN THE WBIF GRANT APPLICATION FORM FOR INVESTMENT GRANTS

Guidelines for Applicants

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## Abbreviations and acronyms

Abbreviation	Meaning
AFD	Agence Française de Développement
CEB	Council of Europe Development Bank
DG NEAR	Directorate-General for Neighbourhood and Enlargement Negotiations
DNP	Defects Notification Period
EBRD	European Bank for Reconstruction and Development
EIB	European Investment Bank
ERP	Economic Reform Programme
ESIA	Environmental and Social Impact Assessment
EU	European Union
EWBJF	European Western Balkans Joint Fund
FIDIC	International Federation of Consulting Engineers
GDP	Gross Domestic Product
GHG	Greenhouse Gas
IFI	International Financial Institution
INV	Investment Grant
INV GAF	Investment Grant Application Form
IPA	Instrument of Pre-accession Assistance
ISP	Indicative Strategy Paper
ITS	Intelligent Transportation System
KfW	KfW Development Bank
Lead IFI	Lead Financial Institution
MIS	Management Information System
NIC	National Investment Committee
NIPAC	National IPA Coordinator
OECD	Organisation for Economic Co-operation and Development
PIU	Project Implementation Unit
PMU	Project Management Unit
SPP	Single Project Pipeline
TA	Technical Assistance
TEN-T	Trans-European Transport Network
VAT	Value-Added Tax
WB	World Bank Group
WBIF	Western Balkans Investment Framework

## 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.

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

**GAF Guidelines:** are instructions to the applicants outlining generic and specific conditions applicable to the INV GAFs. It also details further the INV GAFs. The Guidelines are updated as needed, following WBIF meetings.

**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 as 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).

**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 following financial institutions are Lead IFIs for WBIF projects: AFD, CEB, EBRD, EIB, KfW, and the World Bank Group.

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

**National Investment Committee:** 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:** means the group consisting of representatives of the European Commission, financial institutions members of the WBIF, bilateral donors, development agencies of contributors and responsible for screening and assessing requests 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.

**Target groups:** are persons or groups in society and entities who are to be directly affected by the positive impact of the Project.

## **Introduction to INV GAF**

These guidelines accompany the Grant Application Form for Investment Grants (INV GAF) for infrastructure projects and should be used only for that grant application form. They are intended to help applicants prepare the content of grant applications and address the minimum information that should be provided in the INV GAF. The guidelines do not describe the blending facility, its working arrangements and operation, the project selection process and the implementation of grants. Applicants are invited to consult the [WBIF Guide](#) and the [WBIF Rules of Procedure](#) for these topics.

The structure of the guidelines follows the grant application form, i.e. the chapters correspond to the sections in the INV GAF. To facilitate the verification of the main conditions for investment grants and the completeness of the INV GAF by the applicants, “Annex 1: Key requirements checklist” is part of the INV GAF template, while the screening of assessment grid for investment grants is included in Annex 6 to these guidelines. Project indicators and climate change and adaptation aspects are also addressed in annexes 5 and 6. The template for the communication and visibility plan forms Annex 3 to the INV GAF template.

While the ownership of the INV GAF remains with the beneficiary, the Lead IFIs should be involved in the preparation of the INV GAF. Therefore, the beneficiaries are advised to seek the Lead IFIs’ assistance with the preparation of the INV GAFs as early as possible. All the sections of the INV GAF must be duly completed when it is submitted.

The applications may be submitted only by the National IPA Coordinators (NIPACs) via the WBIF Management Information System (MIS). The applications must be submitted by the deadline communicated at the launch of the call of proposals.

The INV GAF is intended to be a “live document” and follow the project over its implementation. The WBIF Secretariat will fill in the outcome of the WBIF project selection process, while the Lead IFI will keep the project implementation data up to date after the approval of the grant by the WBIF.

## IDENTITY OF THE PROJECT

### 1 Blending facility

This section is filled in automatically in MIS when the application is submitted: WBIF.

### 2 Grant code

It 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.

### 3 WBIF approval date

It is the date on which the grant is approved by the WBIF. This section is filled in automatically in MIS.

### 4 Flagship

On 6 October 2020, the European Commission adopted a comprehensive [Economic and Investment Plan for the Western Balkans](#), which aims to spur the long-term economic recovery of the region, support a green and digital transition, foster regional integration and convergence with the European Union.

The Plan identifies **ten investment flagships** to support major road and railway connections in the region, renewable energy and the transition from coal, renovation of public and private buildings to increase the energy efficiency and reduce greenhouse gas emissions, waste and waste water management infrastructure, as well as the roll out of broadband infrastructure. Other flagships include increased investments in the private sector to boost competitiveness and innovation, in particular of small and medium sized companies and a Youth Guarantee.

Select the relevant investment flagship from the drop-down list, i.e. Flagship 1 – Connecting East to West, Flagship 2 – Connecting North to South, Flagship 3 – Connecting the coastal regions, Flagship 4 – Renewable energy, Flagship 5 – Transition from coal, Flagship 6 – Renovation wave, Flagship 7 – Waste and wastewater management, Flagship 8 – Digital infrastructure.

If the Project does not fall under any of the above investment flagships, select “None” from the drop-down list and justify application in the section [18 – Coherence with the WBIF objectives, EU policies, adopted national/sectoral strategies](#) of INV GAF. This justification should consider the relevant area identified in the [Economic and Investment Plan for the Western Balkans](#): sustainable transport, clean energy, environment and climate, digital future, human capital. To be eligible for WBIF funding, the Project must be under an investment flagship, or relate closely to an investment flagship.

### 5 Sector

Select the sector addressed by the Project from the drop-down list. The eligible sectors and examples of projects that can be supported are included in the table below.

Sector name	Examples of types of projects
Sustainable Transport	Railways and roads construction and re-construction; integration of sustainable and smart elements in road transport, such as multimodal transport nodes, electric charging stations or intelligent transportation systems (ITS); sustainable urban transport systems; inland waterways and ports, maritime ports, with the exception of tourism terminals and facilities dedicated specifically to the transport and storage of fossil fuels; airports. Only Core airports, Core maritime ports and Core inland ports as defined under the Indicative Extension of the TEN-T Network to the Western Balkans are eligible for investment grants.
Clean Energy/Energy Efficiency	Renewable energy supply, energy interconnections, electric power transmission, distribution, electrification of urban and rural areas, energy efficiency, district heating, urban metering systems, gas infrastructure, future-proof gas pipelines
Environment/Climate Change	Drinking water treatment and supply, wastewater collection and treatment, waste management, flood prevention and protection infrastructure, river basin and water management, deployment of reservoirs and irrigation infrastructure, ecological green and blue infrastructures; ecosystem restoration and resilience; restoration of carbon rich habitats; water retention)
Digital	Ultra-fast and secure broadband roll-out, data centres, high performance computers, infrastructure sharing
Social	Public universities, schools, hospitals and health centres

## 6 CRS code

The OECD purpose code (CRS code) relevant to the Project must be entered in this section. The list of CRS codes is available at <http://www.oecd.org/dac/financing-sustainable-development/development-finance-standards/dacandercodelist.htm>

The NIPAC will select the CRS code from the drop-down list available in MIS when it submits the application.

## 7 Beneficiary country

Select the name of the beneficiary country from the drop-down list, i.e. Albania, Bosnia and Herzegovina, Kosovo\*<sup>1</sup>, Montenegro, North Macedonia, or Serbia.

## 8 Project title

Enter the name of the Project financed by the WBIF grant. Please ensure that it is short (maximum 250 characters) and includes the key elements and objective 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 in order to make it clearer.

<sup>1</sup> \*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.

## 9 Project code

This is a code specific to the WBIF MIS database and is selected (for existing WBIF projects) or generated (for new projects) at the pre-notification stage. This section is filled in automatically in MIS when the application is submitted.

## 10 Lead Financial Institution

Select the name of the Lead Financial Institution (Lead IFI) from the drop-down list: AFD (Agence Française de Développement), CEB (Council of Europe Development), EBRD (European Bank for Reconstruction and Development), EIB (European Investment Bank), KfW (KfW Development Bank), or WB (World Bank).

## 11 Co-financier(s)

Select the names of other WBIF financial institutions that contribute to the Project with financial resources (if applicable): AFD, CEB, EBRD, EIB, KfW, or WB.

## 12 Type(s) of WBIF contribution

Select the type(s) of WBIF contribution, i.e.:

- 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.

The types of WBIF contribution are defined as follows:

- 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 the loan, usually for more profitable investments, such as energy and road projects.

TA does not include activities related to the technical review, check and verification of project designs 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, etc. These costs fall with the beneficiary as part of its due diligence and control for project management.

## 13 Total WBIF grant amount (€)

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.

<b>Total WBIF grant amount (€)</b>	<b>Total amount:</b>	Total amount excl. fees:	
		INV amount:	
		INV fee:	
		TA amount:	
		TA fee:	

- Total amount: is the grant amount including implementation fees. It is the “Total WBIF grant amount” from section 23.
- Total amount excl. fees: 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.
- INV amount: is the grant amount exclusive of the implementation fee for the cost component “Works and supplies including contingencies” from section 23.
- INV fee: is 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.
- TA amount: grant amount for the cost components “Technical assistance” and “Communication and visibility” excluding implementation fee from section 23.
- TA fee: 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 beneficiary country authority**

Indicate who is the beneficiary country’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.)

#### **15 Implementing entity(ies)**

Indicate the entity(ies) responsible for the implementation of 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.



For sections 13 and 14, ensure consistency with section 20 – [Institutional framework of the Project](#).

### **DESCRIPTION OF THE PROJECT AND ACTION**

#### **16 Description of the Project and Action**

Attention is particularly drawn to the importance of this section, which should be completed in cooperation with the Lead IFI. This section is split into seven subsections; provide the required information in the relevant subsection.

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 descriptions 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.

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.



- Present concisely and coherently the information needed 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 Project's location.

*(Indicative max 750-1000 words)*

### **16.1 Background and context of the Project**

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 which have already been 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. In this subsection, only the construction/implementation of the Project should be addressed; the development stages of the Project (e.g. studies, designs) should be treated in section [17 - Indicative project status and planning](#).

### **16.2 Needs/demand analysis (current and forecast)**

Describe in detail, using quantitative and qualitative data, the problems (including gaps, shortcomings, or deficiencies) that are addressed by the Project to demonstrate why the Project is 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.

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).

### **16.3 Main objectives of the Project**

The information that should be provided in this subsection 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.

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 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).

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.

The main objectives of the Project should be presented in terms of outcomes/outputs in coherence with section 27 - [Expected results](#).

*Example: Outline of main objectives for a water management project*

**General objective:** develop a sustainable water supply and wastewater system in the municipality of [...] by improving the quality of existing services and reducing the negative impact of wastewater discharges in line with EU practices and policies and in the context of the national /sectoral strategy [...].

**Socio-economic objectives & indicators**

**Socio-economic objectives**

**Indicators**

Creation of new jobs during construction phase

**New jobs created**

- **Primary – temporary jobs during construction**

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.)

- **Secondary – permanent jobs for operation**

E.g. The following positions are expected to become available: manager, secretary, administrator, operation, engineering, etc. – [n] persons.

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 wastewater facilities will require significant workforce. Employment of additional staff at managerial and technical levels will be needed for restructuring and straightening the institutional set-up.

Economic growth by improving infrastructure in the project area

Safe and reliable water supply and wastewater services will increase the number of investors in the project area.

Improved hygiene and health conditions in the project area

Safe drinking water will contribute to the reduction of health risks to population. Wastewater disposal and treatment will contribute to the improvement of hygienic conditions.

Improved quality of life for the population in the service area by ensuring access to safe and reliable drinking water and wastewater services

[n%] of the population will have access to compliant drinking water supply after project implementation, compared with approx. [n%] at present.

[n%] of the population will be connected to the sewerage system, compared with [n%] at present.

Resource cost savings for population

Resource cost savings for customers by avoiding costs for well pumping, septic tanks cleaning, bottled water;

Resource cost savings for the service operator

Resource cost savings for the operator through system optimisation, which allows for reduced water abstraction and emissions, increased energy savings.

## **16.4 Project map**

Include a map which 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 should have a clear legend (map key).

## **16.5 Description of the Project**

The description must be structured, concise, clear and focus 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 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 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.

## **16.6 Description of the Action**

Describe the scope of the Action, i.e. the project activities funded by the WBIF grant, split into:

- Investment: works and supplies co-financed by the WBIF grant.
- TA (if applicable): technical assistance financed in part or in full by the WBIF grant.

For investment, 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. The description may be complemented by explanatory graphs, tables or pictures. 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.

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.

Describe how the supervision of works will be carried out for the works and supplies co-financed by the WBIF grant.

If for any reasons the Action is not ready to start, briefly present the issues.

Ensure full consistency of the description of the Action with the cost components from section [23 - Calculation of the WBIF investment grant](#).

## **16.7 Reference documents**

List the documents used in drafting section 16, e.g. studies, technical documentation, statistics, strategies, action plans, etc. Specify document title, author, issue date, and URL if available online.

## 17 Indicative project status and planning

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:

- **Technical:** status of/planning for preparation of 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.
- **Administrative:** status of/planning for urban planning, environment permit, land availability, invitations to tender, construction permit, 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 donor grants, allocation from national budget, etc.

Ensure that the Project meets the maturity requirements, according to the clarification of mature and not mature projects from the table below.

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 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	

Describe the development and implementation of the Project in the table included in the INV GAF. Other activities specific to the Project can be added to the table as separate rows.

17	Indicative project status and planning				
	Activity	Duration <sup>(a)</sup>		Status <sup>(b)</sup>	Comments <sup>(c)</sup>
		Start date (MM/YYYY)	Completion date (MM/YYYY)		

Masterplan, other relevant spatial planning document(s)			[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			[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)			[select status]	[Short description of status, results, main conclusions, outstanding issues and/or conditions. Include title, author and issue date.]
Pre-feasibility Study			[select status]	[As above]
Conceptual Design			[select status]	[As above]
Feasibility Study (including Cost-Benefit Analysis)			[select status]	[As above]
Environmental and Social Impact Assessment			[select status]	[Short description of status, milestones, decisions stemming from the ESIA procedure leading to development consent (e.g. ESIA screening decision, environmental consent decision). Indicate if the ESIA Study meets the requirements for the Project's appraisal and the implementation procedures of the Lead IFI. <u>Start date</u> : outset of the application for environmental consent. <u>Completion date</u> : end of the ESIA procedure, including appeals and final decision.]
Preliminary Design			[select status]	[Short description of status, results/main conclusions, outstanding issues and/or conditions. Include title, author and issue date.]
Land ownership			[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

				<p>issues need to be identified, including estimation of costs for acquisition and time required for expropriation procedures (if any).</p> <p>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 situation can be avoided only if the land acquisition program is significantly advanced or if the government has committed to provide unencumbered land.]</p>
Detailed Design			[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			[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			[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)			[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)			[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			[select status]	[Short description of status. If the Project is divided into phases or components, list separately each phase and/or component to differentiate between the different stages of the overall Project.]

					<p><i>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.]</i></p> <p><i>If the Project has already started, indicate the current status of implementation of each phase and/or component, describe executed works and percentage completed.]</i></p>
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Note:

(a) If complete, provide exact dates; if only planned, indicate at least month and year.

(b) Select one of the following statuses:

- Completed (C)
- Work in progress (WIP)
- Not started (NS)
- Not applicable (N/A).

(c) Describe current stage and/or planning for each activity following the instructions included in the table.

Additional activities specific to the Project can be added as separate entries in the table (i.e. in separate rows) in the INV GAF.



- Ensure that the stage of the Project reflects its status: previous stages/phases of the Project must be completed, including conclusions;
- Ensure fulfilment of the 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.

## **18 Coherence with the WBIF objectives, EU policies, adopted national/sectoral strategies**

Provide a structured, concise, and clear description of how the Project (i) meets the overall objective of the WBIF of supporting priority investments in line with the **Economic and Investment Plan for the Western Balkans** and the EU accession objectives; and (ii) 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.

The following key aspects should be considered in drafting this section:

- Justify in a concrete way how the Project is consistent with the WBIF objectives, the Economic and Investment Plan for the Western Balkans, priorities of the Instrument of Pre-accession Assistance (IPA) and other bilateral donors.

- 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.
- Describe the priority of the Project from national and regional institutions' point of view (e.g. Transport Community, Energy Community, similar bodies).
- Make reference to the national/regional development strategy/ sector strategy/ action plan/ masterplan in which the project is integrated and list all these documents.
- Detail the Project's position in the SPP, and justify application if the Project is low ranked in the SPP.
- Refer to all related operations of the Project (financed by WBIF, EU funds, or other donors/ financiers), indicate how coordination and complementarity with these operations will be ensured and monitored. If the application follows on earlier WBIF applications for grants for the same Project, ensure that text reflects the current stage of the Project.
- Refer to any involvement of the private sector, if applicable.

In preparing this section, the relevance of the Project to the implementation of pertaining strategic frameworks should be addressed, including:

- [Economic and Investment Plan for the Western Balkans and Guidelines for the implementation of the Green Agenda for the Western Balkans](#);
- [EU Enlargement Strategy](#);
- [Multiannual Action Plan for a Regional Economic Area](#);
- 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);
- 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.)



- 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 country 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 information included in the SSP and the INV GAF (e.g. Project title, total project cost).

*(Indicative max 250 words)*

## **19 Consultations before submission**

Summarise the conclusions of consultations held with the following stakeholders before submission, including meeting date(s) and main decisions:

- National Investment Committee (NIC) or equivalent national structure;
- IFIs (indicate if a mandate letter or similar exists and the stage of the loan approval process, as applicable);
- EU Delegations;
- DG NEAR Geographical Team(s);
- Other donors;
- International and regional organisations;
- Other stakeholders.

*(Indicative max. 200 words)*

## **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 of the Project.

### **20.1 Description of entities involved**

Describe the entities involved in the implementation of the Project, including:

- Beneficiary country(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 image of the organisational structure put in place for the implementation of the Project:

- Describe the role (tasks, responsibilities, relations between different bodies) of the Lead IFI (local/regional offices, sector manager in the beneficiary country) and other involved entities (institutions/authorities of the beneficiary country, implementing entity(ies), other donors, etc.) to demonstrate existing capacity for implementing the Project effectively. If applicable, describe as far as possible the setup, roles, and responsibilities of the Project Implementation Unit or equivalent structures.
- Indicate if the beneficiary/PIU has 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 put in place for operating the investment in the project area. Include existing institutional operation of

services (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 involved entities, down to the final beneficiaries/recipients (particular attention should be devoted to this matter).



- 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 justified;
- 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 the INV GAF template are indicative; their final composition is left to the appreciation of the applicant, 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), even if the same source provides several loans and/or grants, 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 in order 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.

<b>Project budget and financing plan</b>				
<b>Indicative total project budget (cost breakdown)</b>				
<b>Cost component number</b>	<b>Cost component description</b>	<b>Total costs (€) (A)</b>	<b>Non-eligible costs (€)<sup>(a)</sup> (B)</b>	<b>Eligible costs (€)<sup>(a)</sup> (C)=(A)-(B)</b>
1	Planning/design (permits) fees	<i>[insert amount]</i>	<i>[insert amount]</i>	<i>[filled in automatically in MIS]</i>
2	Land purchase	<i>[as above]</i>	<i>[as above]</i>	<i>[as above]</i>
3	Technical assistance for project preparation (e.g. masterplan, pre-feasibility study, feasibility study, ESIA, detailed design, tender documents, procurement procedures)	<i>[as above]</i>	<i>[as above]</i>	<i>[as above]</i>
4	Technical assistance for project implementation (e.g. supervision of works, project management)	<i>[as above]</i>	<i>[as above]</i>	<i>[as above]</i>
5	Works (Building and construction) <sup>(b)</sup>			
5.1	Works – Component/Phase 1	<i>[as above]</i>	<i>[as above]</i>	<i>[as above]</i>
5.n	Works – Component/Phase n	<i>[as above]</i>	<i>[as above]</i>	<i>[as above]</i>
6	Supply (Plant and machinery) <sup>(b)</sup>			
6.1	Supply – Component/Phase 1	<i>[as above]</i>	<i>[as above]</i>	<i>[as above]</i>
6.n	Supply – Component/Phase n	<i>[as above]</i>	<i>[as above]</i>	<i>[as above]</i>
7	Communication and visibility <sup>(c)</sup>	<i>[as above]</i>	<i>[as above]</i>	<i>[as above]</i>
8	Evaluation and audit <sup>(d)</sup>	<i>[as above]</i>	<i>[as above]</i>	<i>[as above]</i>
9	Contingencies <sup>(e)</sup>	<i>[as above]</i>	<i>[as above]</i>	<i>[as above]</i>
10	Other (e.g. project design review/verification by revision committee) <sup>(f)</sup>	<i>[as above]</i>	<i>[as above]</i>	<i>[as above]</i>
<b>Total project cost</b>		<i>[filled in automatically in MIS]</i>	<i>[filled in automatically in MIS]</i>	<i>[filled in automatically in MIS]</i>
<b>Financing plan</b>				
<b>Source of funds</b>	<b>Cost component financed</b>	<b>Amount (€)</b>	<b>% / total</b>	<b>Remarks (i.e. Code/ Ref. of financing)</b>
National contribution	<i>[insert the number of the cost component(s) financed]</i>	<i>[insert amount]</i>	<i>[filled in automatically in MIS]</i>	<i>[indicate the budget in which the Project is included]</i>
IFI Loan 1 <i>[insert IFI name]</i>	<i>[as above]</i>	<i>[as above]</i>	<i>[as above]</i>	<i>[indicate if the loan is sovereign or non-sovereign and its status, e.g. estimated, terms agreed, signed, etc.]</i>
IFI Loan 2 <i>[insert IFI name]</i>	<i>[as above]</i>	<i>[as above]</i>	<i>[as above]</i>	<i>[as above]</i>
Grant amount requested excluding implementation fee(s) <sup>(g)</sup> <i>[insert the code of the WBIF investment grant]</i>	<i>[as above]</i>	<i>[as above]</i>	<i>[as above]</i>	<i>[current grant request]</i>
Other WBIF grants <sup>(h)</sup> <i>[insert grant code]</i>	<i>[as above]</i>	<i>[as above]</i>	<i>[as above]</i>	<i>[activities financed]</i>

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Other grants <sup>(h)</sup> [insert donor name]	[as above]	[as above]	[as above]	[code/reference number of the financing agreement, financed activities]
Other sources <sup>(h)</sup> [insert source name]	[as above]	[as above]	[as above]	[as above]
...	...	...	...	...
<b>Total financing available</b>		[filled in automatically in MIS]	[filled in automatically in MIS]	

<sup>(a)</sup> Eligible and non-eligible cost categories are listed below.

<sup>(b)</sup> Excluding contingencies. The costs for works and supplies must be broken down by project component and/or phase if the project has more than one component or phase.

<sup>(c)</sup> Should reflect only measures and actions accompanying the Project as part of the communication and visibility plan annexed to the application.

<sup>(d)</sup> Costs for statutory audit and evaluation, which 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.

<sup>(e)</sup> Should be taken from the technical documentation developed for the Project and not exceed 10% of the investment cost (i.e. works and supplies).

<sup>(f)</sup> 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.

<sup>(g)</sup> Must be identical to the "Grant amount requested" (i.e. grant amount without implementation fees) from section 23 - Calculation of the WBIF investment grant.

<sup>(h)</sup> Other WBIF grants must be listed as separate entries (i.e. in separate rows) by the grant code. Grants from other donors and funds from other sources must be presented as separate entries (i.e. in separate rows) by source.

## Eligible costs

The categories of costs eligible for WBIF co-financing refer to those costs which with due regard to the general conditions of eligibility set in the [WBIF Rules of Procedure](#) and those communicated at the launching of the call for proposals are **necessary for the implementation 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 infrastructure of projects are the following:

- 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.

Attention is particularly drawn to the importance of the section "Payment of the grant from the Joint Fund" of the INV GAF. This section includes the **final date for contracting, the final date of operational implementation of the Action and the payment schedule**, which must be completed before the INV GAF is signed by the Chair of the Operational Board and Assembly of Contributors and imposes time limits on the disbursement of the WBIF grant. **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 as per the INV GAF (e.g. works have been performed, supplies have been delivered, serviced have been provided). In case of grants funded by the European Commission, **the final date of operational implementation** is specified in the annual Financing Decision of the European Commission which provides the funds for the WBIF grant and no disbursement is possible past this date. As a rule, the European Commission will allow for 7 to 8 years for the operational implementation of the Action.

### **Non-eligible costs**

- 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 which has already begun if the applicant demonstrates and justifies the need to start the Action before the signature of the Contribution Arrangement. In this case, expenditure incurred before the submission of grant application is, as a general rule, not eligible for grant financing. Retroactive financing (costs incurred before the signature of the grant agreement with the Beneficiary) 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 expenditure such as:
  - The cost for purchase of land or buildings, except where justified and necessary for the implementation of the Action and expressly described in the INV GAF;
  - Planning/design 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, 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.

### Note:

- 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.



- Include all cost components of the Project in the budget;
- Duly budget all cost components and keep with thresholds;

- Ensure a clear distinction between the different components and/or phases of the overall Project in the budget;
- Correlate cost components with and financing sources.

## 22 Fiscal space and debt sustainability

Complete this section in cooperation with the Lead IFI and the Ministry of Finance. Describe the following elements:

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

## 23 Calculation of the WBIF investment grant

Complete this section in cooperation with the Lead IFI. Include only costs that will be funded from the WBIF investment grant.

Calculation of the WBIF investment grant			
Cost component	TOTAL ELIGIBLE COSTS (€) (A)	CO-FINANCING RATE (%) (B)	MAXIMUM CO-FINANCING (€) (C) = (A) X (B)
(1) Works and supplies including contingencies <sup>(a)</sup>	[amount]	Project specific co-financing rate%	[amount]
(2) Technical assistance <sup>(b)</sup>	[amount]	Up to 100%	[amount]
(3) Communication and visibility <sup>(c)</sup>	[amount]	Up to 100%	[amount]
<b>Grant amount requested</b>	[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 <sup>(d)</sup>			[amount filled in automatically in MIS]
(5) Implementation fee for the TA component of this application <sup>(e)</sup>			[amount filled in automatically in MIS]
<b>TOTAL WBIF GRANT AMOUNT</b>			[SUM (1:5) filled in automatically in MIS]

<sup>(a)</sup> 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 exceeding 10% of total investment cost (i.e. works and supplies).

<sup>(b)</sup> 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.

<sup>(c)</sup> 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.

<sup>(d)</sup> 2% of the maximum co-financing amount for works and supplies including contingencies.

<sup>(e)</sup> 4% of the maximum co-financing amount for technical assistance and communication and visibility.

The **Project specific co-financing rate** applies to the total costs for works and supplies including contingencies (i.e. 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 amount may not exceed the maximum co-financing rate for the relevant subsector from in the table ***WBIF public blending EU co-financing rates aligned with the Economic and Investment Plan for the Western Balkans***. It must be determined by the applicant and justified in section 24 -



- Include all the cost categories associated with the Action in the calculation of the WBIF grant;
- Ensure a clear distinction between the different components and/or phases of the overall investment Project and those co-financed by the WBIF grant;
- Duly budget all the activities financed by the grant and do not exceed the maximum co-financing rate for the relevant subsector;
- Ensure consistency between the technical description of the Action (subsection 16.5) and the grant amount requested.

WBIF grant amount justification of the INV GAF.

**Technical assistance costs** for project preparation and implementation (only the categories listed above) may be financed up to 100% of their total cost.

**Communication and visibility costs** will reflect only measures and actions accompanying the Project as part of the communication and visibility plan annexed to the to the application. These costs may be financed up to 100% of their total cost.

The following **implementation fees** apply to the WBIF grant:

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

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 country and the involved financial institutions.

The maximum co-financing rate/ceiling for infrastructure projects is presented in the table below.

***WBIF public blending EU co-financing rates aligned with the Economic and Investment Plan for the Western Balkans<sup>2</sup>***

Investment window	Max. co-financing rate (%)
<b>Sustainable Transport</b>	
Roads construction and re-construction	40
Railways (new construction, rehabilitation, track renewal, signalling, telecommunication, etc.)	50

<sup>2</sup> COM (2020) 641 final

Sustainable urban transport systems	30
Inland waterways and ports	50
Maritime ports	50
Airports	10
<b>Clean Energy / Energy Efficiency</b>	
Energy supply - renewable energy sources	20
Energy interconnections, electric power transmission, distribution, electrification of urban and rural areas	20
Energy efficiency, district heating, EE in public buildings, EE in residential and commercial buildings, urban metering systems	50
Gas infrastructure, future-proof gas pipelines	20
<b>Environment and Climate Change</b>	
Drinking water treatment and supply, wastewater collection and treatment, sewerage systems	50
Waste management (collection, source-separation, recycling, treatment and disposal technologies), landfill phase-outs, incinerators	70
Flood prevention and protection infrastructure, river basin and water management	70
Management of natural resources (deployment of reservoirs, and irrigation infrastructure; ecological green and blue infrastructures; ecosystem restoration and resilience; restoration of carbon rich habitats; water retention)	70
<b>Digital Infrastructure</b>	
Ultra-fast and secure broadband roll-out (particular focus on connecting 'white zones' / rural area, education and healthcare institutions)	30 <sup>3</sup>
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
<b>Social Infrastructure</b>	
Public universities, schools	50
Hospitals and health centres	70



- Include all the cost categories associated with the Action in the calculation of the WBIF grant;
- Ensure a clear distinction between the different components and/or phases of the overall investment Project and those co-financed by the WBIF grant;
- Duly budget all the activities financed by the grant and do not exceed the maximum co-financing rate for the relevant subsector;
- Ensure consistency between the technical description of the Action (subsection 16.5) and the grant amount requested.

## 24 WBIF grant amount justification

Attention is particularly drawn to the importance of this section, which should be completed in cooperation with the Lead IFI.

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.

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<sup>3</sup> In line with the co-financing rates proposed for the telecom sector under the Connecting Europe Facility (as of 2019)

Address the following aspects based on the technical documentation developed for the Project and document the sources: needs of the macro-economic situation of the beneficiary country, 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).



- Duly justify the grant amount and ensure that it is supported by the economic and financial analyses from the existing project documentation;
- Ensure that the assumptions made in the calculation of the grant and the grant amount are in line with the WBIF Methodology.

## 25 Additionality of the WBIF grant

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. The use of scarce grant funding is justified only when a significant additionality is demonstrated.

Some types of additionality 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 qualitatively addressed. 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.

Include elements which will lead to additional benefits related to important 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.

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.

Type of additionality	Questions
Economic and Financial	What are the economic benefits of the proposed grant funding? Why is the proposed grant funding necessary for the operation? 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.
Project scale	How will the grant funding increase the scale of the Project? Will it widen the results of the operation, or extend the benefits to more people?
Project timing	In what way does the grant element have a positive effect on the timing of the operation and/or the benefits it is expected to deliver?
Project quality and standards	How will the grant funding improve the quality of the outcomes expected from the operation? How will the grant funding improve the Project's chances of success? How will the grant enable promotion of higher standards (including social and environmental) and more substantial social or global public good returns than would otherwise be possible? 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 which 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 funding contribute to structural reforms, support changes to legislation, regulation or policy? Does the grant finance enable demonstration effects to other participants in the marketplace?
Other benefits	Other benefits/positive externalities that may be realised by the Project (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 funding brings?

## 26 Financial leverage of the Project

Complete this section in close cooperation with the Lead IFI. Three standard leverage indicators should be used and the amounts for their calculation must be specified the INV GAF:

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

The total WBIF grant(s) in the above leverage indicators should include all the WBIF grants allocated for the Project (investment grant, earlier TA grants for project preparation and/or implementation).

## 27 Expected results

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).

Introduce the values for result indicators which reflect expected outputs and intended outcomes of the Project.

The term ‘Project’ refers to the overall Project for which support from WBIF is sought, irrespective of financing sources and co-financing arrangements (joint co-financing, parallel co-financing).

In the case of funds, credit lines and some intermediated operations, financial institutions may report on a prorata basis related to the part which is financed to avoid overestimation of results.

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

- **Baseline value (X)** refers to the value of the indicator without the blended Project. Baseline values will reflect the status of the blended project and its indicators 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 distribution pipelines), or values before the blended project, which

may change due to the Project (e.g. number of passengers). This is the case in particular for brownfield developments and rehabilitation projects.

- **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 4: Indicators](#).

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

#### **B. Project-specific indicators**

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

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

### C. Cross-sector indicators

Values for each of 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 the calculation of indicators, the applicant and the Lead IFI should indicate the methodology and explain the definition and the measurement methodology, including underlying assumptions, in the INV GAF.

**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 two part-time jobs equal a full-time job.

Note: Employment for the client company's operations and maintenance should not to 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 IFIs' methodologies. This indicator includes directly hired individuals and individuals hired through third party agencies if those individuals provide on-site services related to the operations of the client company. It should not include indirect employment related to the Project's operation. It also includes full-time equivalent worked by seasonal, contractual and part-time employees.

Part-time jobs are converted to full-time equivalent jobs on a pro-rata basis, based on local definition (e.g. if working week equals 40 hours, a 24 hr/week job would be equal to 0.6 FTE job).

Seasonal or short-term jobs are prorated based on the portion of the reporting period worked

(e.g. a full-time position for three months would be equal to a 0.25 FTE job if the reporting period is one year). If information is not available, the rule-of-thumb is 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 INV GAF.

**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, the aim of this indicator is to report on the poverty level of beneficiaries, and therefore reflect the socio-economic benefits achieved through blending. Data on the poverty incidence among the beneficiaries should be available from national or international statistics, tariff studies, demand assessments, etc.

This indicator will only be measured whenever possible, and in line with the IFIs' methodology. The preferred method for the calculation of this indicator is to multiply the total number of beneficiaries by the known incidence of poverty among beneficiaries (expressed as percentage). The methodology and data sources should be detailed in the "Comments" column.

Further categorisation of the target group at the level of cross-sector indicators (e.g. by gender, age, income/poverty level) should be done whenever possible.

**Women in decision making positions:** number and percentage of women in decision making positions during the implementation period of the Project (e.g. women in management positions within the project promoter's organisation and/or the Project Implementation Unit, etc.)

**Women and men participating equitably in decision-making during the preparation and implementation periods of the Project:** number and percentage of women and men attending consultation meetings on the planning, design, construction, management and maintenance of the new infrastructure, or pricing of services.

**Women and men benefiting equitably from project-related training:** number and percentage of women and men who receive training provided by the Project, by type of training (e.g. engineers, technicians, operators for the new infrastructure facilities, etc.)

**Number of awareness raising campaigns carried out:** numbers of the awareness raising campaigns to be carried out during the Project implementation period.

#### **D. Expected impact**

The expected impact should be described in a narrative manner, based on assumptions on the link between outcomes and impact.

One key expected impact is socio-economic development. This impact refers to the long-term effects produced by the Project. It is the broader, longer-term change which the Project can directly or indirectly bring. Impact indicators are more difficult to measure and collect, due to the time lag between project implementation and impact, or difficulty in tracking the effect of the blended project in the impact indicator.

It is recommended to indicate if the Project directly or indirectly promotes substantial social returns or global public goods returns, gender equality, non-discrimination and equal opportunities, poverty alleviation, or has cross-border impacts.

The applicant and the Lead IFI are not required to systematically measure the impact of the Project, as it is widely agreed that the impacts usually materialise (well) after the end of the Project and are typically difficult and expensive to monitor and measure. However, they will have to clearly describe the impact assumptions in the INV GAF.



- Provide indicators specific to the Project, which closely relate to Project and Action activities and outputs;
- Ensure the indicators are quantified and timebound;
- Ensure the indicators are reliable and allow for comparability of results;
- Document the sources of verification.

## 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. Describe incentives that could be necessary to enhance the sustainability of the Project.

Describe the Project's sustainability in relation to:

- **Economic/financial viability:** Does the Project guarantee an acceptable level of economic (and financial, as applicable) return? Describe future revenue flows expected from the Project as well as 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?



Ensure that this section addresses the following sustainability aspects:

- The economic viability of the Project is confirmed with reasonable certainty, i.e. the net benefits are expected to be positive, there are no better ways of achieving the Project's purpose, and the public financial resources used for the Project are unlikely to be employed better elsewhere;
- The Project proves to be accessible, i.e. all financing sources are secured, and it will be financially and fiscally sustainable once in operation;
- Environmental and social impacts are acceptable, or if negative impacts are foreseen, appropriate mitigation measures are proposed;
- Satisfactory project management arrangements will be put in place for delivering the Project to specifications, on time and budget.

- Organisational arrangements for the operation of the Project will be adequate for the sustainable delivery of the proposed services.

## 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 INV GAF:

- **Political risks:** including but not limited to the gap between legislation and/or standards in the beneficiary country 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; 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 - [Climate mitigation and adaptation aspects](#)), environmental injustice towards minority/vulnerable groups, strong likelihood of objection from the general 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 provision of 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 subsection (e.g. force majeure, adverse publicity on the construction or operation of the new infrastructure, etc.)

*(Indicative max 500 words)*

### **30 Climate mitigation and adaptation aspects**

Describe steps taken in project design and implementation to minimise impact on the environment, while ensuring the Project's resilience to climate change. The Lead IFI will provide information on aspects such as potential contribution to GHG emission reduction, climate risk assessments carried out, considerations and measures for improving the Project's resilience to current and future climate risks. The information for in this section and its level of detail depend on the sector. The Rio Markers methodology should be used to determine whether climate change is the principle objective of the Project, one of the objectives (significant), or not an objective of the Project. Based on its own methodology, the Lead IFI may propose a specific percentage of the project budget as climate change contribution.

Checklists which can assist with determining the information for this section can be found in [Annex 5: Climate mitigation and adaptation aspects](#). It should be noted that these initial assessments should be done in consultation with the Lead IFI. The Lead IFI can further elaborate the climate risks and the resilience measures when it allocates the Rio Markers.

### **31 Indicative calendar of the Action**

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 be updated before the approval of the grant. It is intended to summarise key milestones in the procurement and implementation phases of the Action.

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. Q1/2021). The milestones included in the INV GAF template are mandatory. Additional milestones specific to the Action can be added as separate entries (i.e. in separate rows in the table). All the dates are expected to be updated before contracting and/or in case of changes in the calendar.

The following planning principles should be considered as guidance:

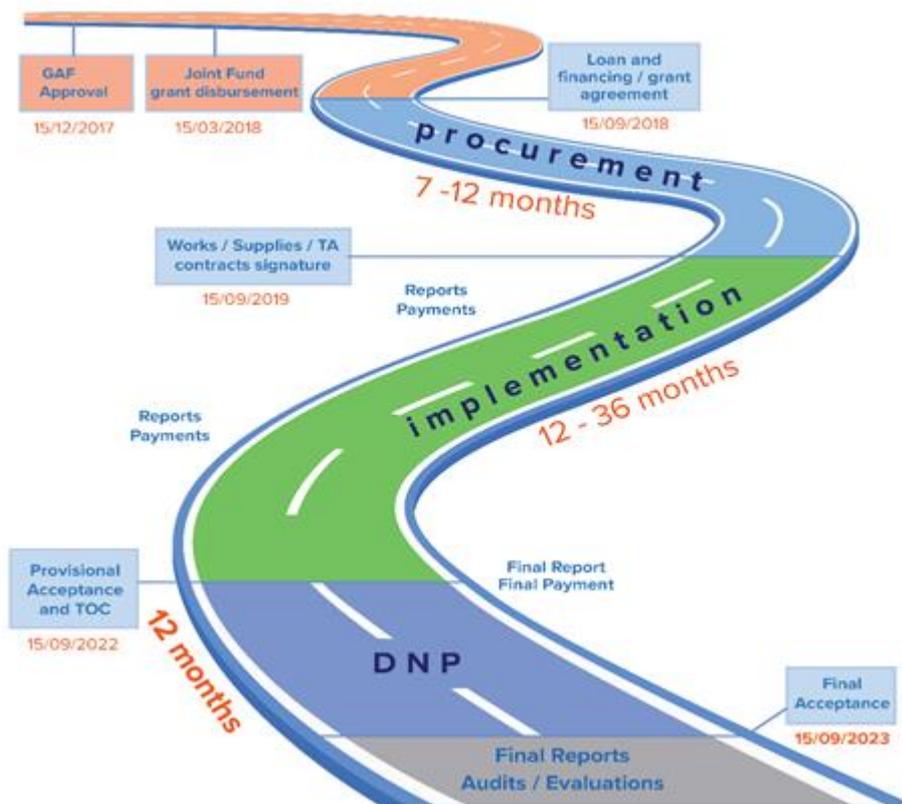
- Activities should be in line with the standard time necessary for procedures (e.g. obtaining of permits, etc.);
- Activities should follow the sequential order of the development of the Action;
- The duration of each activity should include a safety margin;
- The total duration of the Action should 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).

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.

Fill in the indicative calendar of the Action in INV GAF, as follows:

- For the procurement phase of the activity(ies) 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 activity(ies) 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:
  - 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).

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 encountered problems. Nevertheless, the timeline selected will provide a good plan for the average duration and stages of implementation.



- Allocate sufficient time for procurement procedures, not only the mandatory minimum periods for publication;
- Ensure that the procurement procedures and plan 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.

## 32 Monitoring, reporting and evaluation

### Monitoring and reporting

- This section should include key information on project monitoring and reporting as well as the evaluation cycle;
- Describe how the monitoring process will be carried out;
- For reporting, the template available in Annex 3 to the INV GAF will be used.

### Audit

Audit should be carried out in accordance with the EWBJF General Conditions.

## **Main pre-conditions**

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).

### **33 Communication and visibility**

Provide a summary of the Communication and Visibility Plan, considering the instructions from Annex 2 to the INV GAF. 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.

Indicate the budget envisaged for communication and visibility activities. It should be properly elaborated, justified and sufficient to have a real impact, and should reflect the size and the likely impact of the Action.

The [WBIF Communication and Visibility Guidelines](#) 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 during the preparation of this section and of the communication and visibility plan for the Project.



- 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.

### **34 Issues to be clarified before WBIF grant approval**

Describe all the open issues which need to be assessed before the Project is approved by the WBIF.

Include horizontal conditionalities associated with IPA (e.g. adopted national sector strategy) and/or specific commitments for the implementation of the Project (e.g. land planning issues).

### **35 Contacts**

Provide contact details for the Lead IFI, representative of the beneficiary country authority, reference person in the EU Delegation, co-financier(s), private partner (if applicable), taking into account eventual confidentiality restrictions, etc.

### **36 Date of submission and NIPAC details**

This section is filled in automatically in MIS.

## ANNEXES TO THE GRANT APPLICATION FORM TEMPLATE

### **Annex 1: Key requirements checklist**

Ensure this annex is as complete as possible.

### **Annex 2: Communication and Visibility plan template**

Follow the instructions included in the template annexed to the INV GAF.

### **Annex 3: Reporting template**

Follow the instructions included in the template annexed to the INV GAF.

## ANNEXES TO THE GRANT APPLICATION FORM GUIDELINES

### **Annex 4: Indicators**

### **Annex 5: Climate mitigation and adaptation aspects**

### **Annex 6: WBIF screening and assessment grid**

Not to be filled in by applicants. It generally reflects the WBIF screening and assessment and aims to help applicants with double-checking that the relevant information is included in the INV GAF.

## Annex 4: Indicators

### Transport

Output indicators		Unit	Definition
1.1	Length of new or upgraded roads	km	Total length of the road built or upgraded through the Project. This indicator will refer to paved roads and in general cover motorways, highways, main or national roads, secondary or regional roads.
1.2	Length of new or upgraded railways	km	Total length of railroad tracks built or upgraded
1.3	Length of new or upgraded urban transport lanes.	km	Total length of urban transport lanes including bus lane, tramline or metro tracks built or upgraded
1.4	Port terminal capacity (passenger, container or cargo)	Million 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 vehicle will be counted, including those of traffic that existed before upgrading, diverted traffic, traffic generated as a result of road improvement, as well as growth in each of these categories.
1.7	Rail use	Million Passengers /year or tons /year (cargo)	Total of passengers or freight using rail service
1.8	Urban transport users	Million passengers per annum	Total urban transport passengers indicating those shifted from other transport modes as a result of the Project
1.9	Ports: Terminal(s) user traffic (passenger, container, or cargo)	Million passengers per annum “mppa” (passenger); million TEU/year (container); million tons/year (cargo)	Total of passengers, containers or cargo using port services. Depending on the type of terminal (container, passenger or cargo), the units used will be different.
1.10	Airport use	Million Passengers per annum – “mppa” or million tons/year (cargo)	Passenger or freight traffic handled at the airport

### Environment (water and sanitation)

Output indicators		Unit	Definition
2.1	Length of new or rehabilitated water supply pipes	km	Length of water mains and distribution pipes installed/upgraded. All sizes of pipes intended to transport water for urban water use expressed in their aggregate length in the network, irrespective of pipe diameter, comprising mains as well as reticulation pipes.

2.2	Length of new or rehabilitated sewer pipes installed	km	Length of collectors and sewers installed or upgraded. All sizes of sewer pipes expressed in their aggregate length in the network, irrespective of pipe diameter, comprising mains as well as reticulation pipes.
2.3	New connections to water supply	No.	Number of new connections to the water network. Only new connections resulting from a Project are counted; those already connected to the network and receiving improved services through a project are not counted.
2.4	New or upgraded capacity for water treatment	m <sup>3</sup> /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 <sup>3</sup> /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 <sup>3</sup> /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 <sup>3</sup>	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 <sup>3</sup>	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 <sup>3</sup>	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.

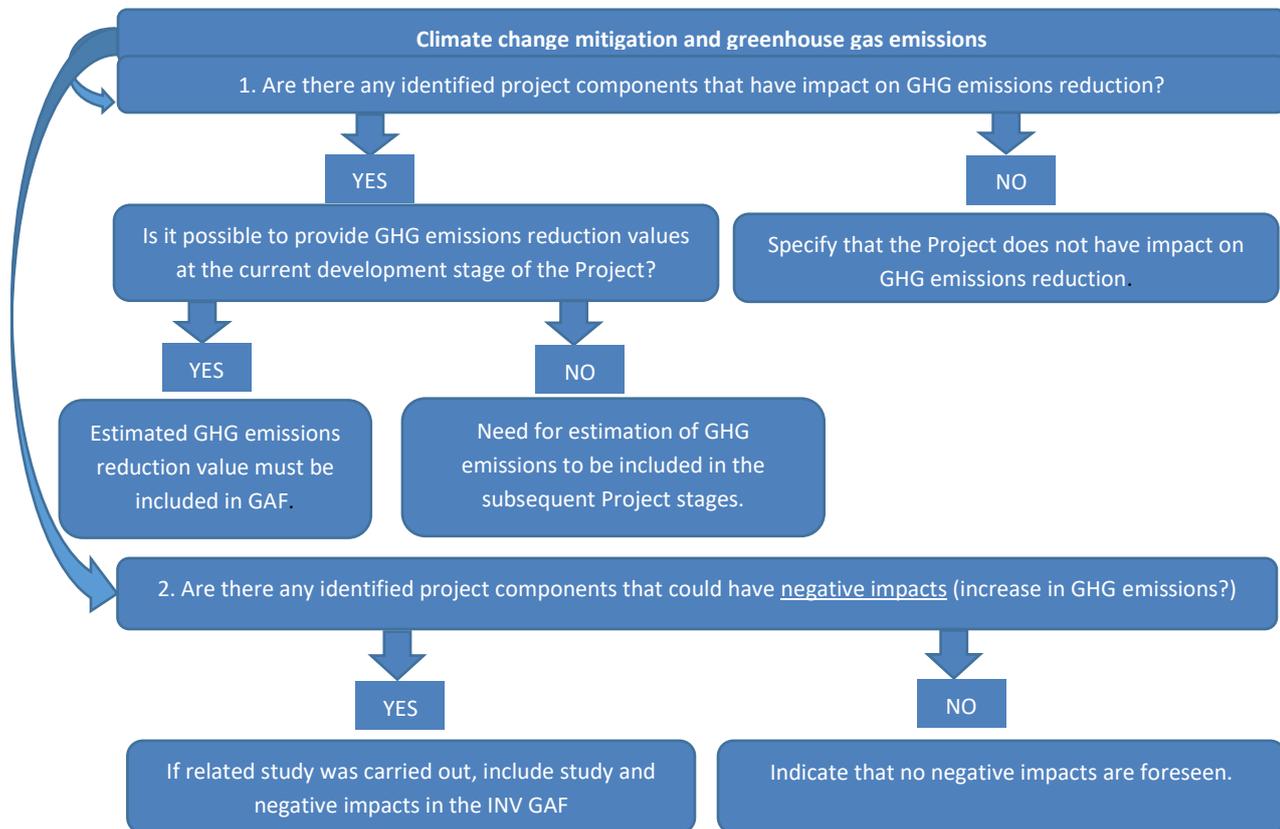
## Annex 5: Climate mitigation and adaptation aspects

This annex provides guidelines on the information on climate change aspects that should be addressed in the application form in section 30 - [Climate mitigation and adaptation aspects](#).

The beneficiaries should provide information on the potential contribution of the Project to climate change mitigation and/or adaptation, potential climate risks which can influence the Project, and measures to ensure that the Project is climate resilient. If certain climate change aspects are not relevant to the Project, they should be indicated after consultation with the Lead IFI.

Only projects at an advanced preparation stage can seek investment grants and it is assumed that the preparatory technical documentation analysed the relevant climate change aspects of the Project. A summary of key features from the project preparation studies, such as the Project’s expected impact on greenhouse gas (GHG) emissions, identified climate change risks, and measures to make project climate resilient, should be included in the application

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



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

Checklist to identify climate – influenced projects <sup>4</sup>	
Questions	If yes, insert ‘γ’
Is the lifetime of the project 20 years or more? (It is on these timescales that climate change impacts will increasingly be felt.)	
Are the project options in climatically exposed locations? (As detailed in the next table)?	
Is water an integral part of operations, products or services? (Integral part refers to the use of water as major component of the operation (e.g. cooling water in the production/manufacturing process, hydropower generation.)	
Are there any issues due to disruption of energy supply for the project?	
Do project components depend on other supplies or services which are sensitive to climate conditions or weather events?	
Are transport routes for the project options vulnerable to weather disruption (e.g. by storms, floods, landslides, etc.)?	
Are the project facilities or operations negatively affected by higher temperatures? Can this lead to reduced productivity, higher costs, or equipment failure?	
Will the project workforce be exposed to temperature stress or weather events (poorly ventilated buildings / working outside)?	
Is demand for the project’s products/services sensitive to weather or climate conditions?	

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

Is project location exposed to climate change? <sup>4</sup>	
Changing climate hazard	Particularly exposed locations
Average temperature rises and increased risk of heat waves	<ul style="list-style-type: none"> <li>▪ Regions where average temperature is already high;</li> <li>▪ Urban centres, where the urban heat island effect will exacerbate high temperatures;</li> <li>▪ Regions with limited freshwater supplies.</li> </ul>
Mean sea level rise, coastal flooding and erosion	<ul style="list-style-type: none"> <li>▪ Coastal areas and islands.</li> </ul>
Decreased seasonal precipitation, increased risks of drought, wildfire.	<ul style="list-style-type: none"> <li>▪ Regions where rainfall is already scarce;</li> <li>▪ Locations where current demand for water almost matches supply or outstrips;</li> <li>▪ Locations where water quality is poor;</li> <li>▪ Regions prone to wildfire;</li> <li>▪ Trans-boundary river basins where tensions over water use already exist.</li> </ul>
Increased seasonal precipitation and more rapid snow melt – increased risk of river flooding, flash floods, or soil	<ul style="list-style-type: none"> <li>▪ Regions with high rainfall;</li> <li>▪ Estuaries, deltas, river floodplains;</li> </ul>

<sup>4</sup> Adapted from Guidelines for Project managers: Making vulnerable investments climate resilient (Non paper, EC 2012)

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

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

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

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

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

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

The Lead IFI may propose a specific percentage of project budget which contributes to climate change based on its own methodology<sup>5</sup>.

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

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<sup>5</sup> It is the case of IFIs using the Multilateral Development Banks Methodology (e.g. EBRD, EIB)

## **Annex 6: WBIF screening and assessment grid**

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 INV GAF 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 INV GAF 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 INV GAF's sections 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 INV GAF. 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 INV GAF formulated in the screening conclusion are addressed in the INV GAF revised during the assessment.

**Part 1**

<b>1</b>	Blending facility	WBIF	<b>2</b>	Grant code	[This section is filled in automatically in MIS.]
<b>3</b>	WBIF approval date	[This section is filled in automatically in MIS.]	<b>4</b>	Flagship	[This section is filled in automatically in MIS.]
<b>5</b>	Sector	[This section is filled in automatically in MIS.]	<b>6</b>	CRS-code	[This section is filled in automatically in MIS.]
<b>7</b>	Beneficiary country	[This section is filled in automatically in MIS.]			
<b>8</b>	Project title	[This section is filled in automatically in MIS.]	<b>9</b>	Project code	[This section is filled in automatically in MIS.]
<b>Summary of recommendation</b> [to be filled by all screeners/assessors]	Recommendation of submission for approval [Select Yes or No]			Yes <input type="checkbox"/>	No <input type="checkbox"/>
	Conditionality for the approval of the project		[Please list the conditions that should be met for the approval of the grant and/or those on its approval by the WBIF]		
<b>General comments</b> [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"> <li>• Relevant information is clear and concise and allows a good understanding of the project at the first reading of the INV GAF;</li> <li>• Project status/maturity;</li> <li>• IFI commitment/agreement including status of the loan;</li> <li>• Coherence with WBIF objectives and EU policies/principles;</li> <li>• Budgetary issues, especially related to the calculation of the grant;</li> <li>• Institutional aspects;</li> <li>• Other issues, such as sustainability, results indicators, risks associated with the project;</li> <li>• Overall conclusion and outstanding issues, i.e. clarifications, corrections and improvements to the INV GAF.]</li> </ul>				

**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	IFICO IPF
		<i>[Please provide detailed comments, in particular if aspects are unclear or not well addressed in the INV GAF]</i>					
<b>1 – 15</b>	<b>Identity of the project:</b> <ul style="list-style-type: none"> <li>Is the information provided in each section consistent and in coherence with the information filled in the other sections of the INV GAF?</li> <li>Are all the sections of the INV GAF completed with the information requested therein?</li> </ul>	<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>					
<b>16</b>	<b>Description of the Project and Action:</b> <ul style="list-style-type: none"> <li>Are the descriptions concise and clear to allow a good understanding of the Project and Action at the first reading of the section?</li> <li>Is there of real demand identified for the Project/Action?</li> <li>To what extent is the Project expected to provide a significant and sustainable contribution to solving targeted problem(s)? Are targeted problems duly described?</li> <li>Are the target groups of the Project identified?</li> <li>Is the overall description of the Project realistic and consistent?</li> <li>Is the need of carrying out the Project well defined and justified?</li> <li>Are the objectives specific enough to address the identified needs?</li> <li>Are the objectives measurable? Will it be possible to measure their achievement at the end of the Project?</li> <li>Are the outcomes of the Action clearly defined, realistic (achievable) and quantified?</li> </ul>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially  <i>[comments]</i>					

17	<p><b>Indicative project status and planning:</b></p> <ul style="list-style-type: none"> <li>Does the technical and financial status of the Project fulfil the maturity criteria? [Thoroughly evaluate the status of preparation or readiness of the Project:</li> <li>A. <u>Project technical documentation</u> is: <ul style="list-style-type: none"> <li>i. Complete</li> <li>ii. Under completion (indicate the estimated time for completion)</li> <li>iii. Far from completion due to lack of documentation</li> <li>iv. Far from completion due to legal/regulatory constraints</li> </ul> </li> <li>B. <u>Financial information:</u> IFI commitment/ agreement including status of the loan]</li> </ul>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially  [comments]
18	<p><b>Coherence with WBIF objectives, EU policies, adopted national and sectoral strategies:</b></p> <ul style="list-style-type: none"> <li>Is the project proposal coherent with the WBIF objectives, the Economic and Investment Plan for the Western Balkans, EU policies/principles?</li> <li>Is the Project coherent with the Economic Reform Programme?</li> <li>Is the Project consistent with key national/regional policies in the sector/thematic area addressed by the Project?</li> <li>Is the Project coherent with the national/regional development strategy?</li> <li>Does the Project meet relevant social standards, including promotion of gender equality, non-discrimination and equal opportunity?</li> <li>If the Project continues a previous project, is there a clear need for this extension and do activities/outcomes not overlap?</li> <li>Is there clear ownership/support of the Project by national/regional authorities?</li> </ul>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially  [comments]
19	<p><b>Consultations before submission:</b></p> <ul style="list-style-type: none"> <li>How were the Lead IFI and EU Delegation involved in project preparation?</li> <li>What consultations were conducted with national authorities (NIC or similar structure), international/regional organisations?</li> <li>Are endorsement letters provided by the Government and the IFI(s)?</li> </ul>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially  [comments] [This section is optional for Line DGs.]

<p><b>20</b></p>	<p><b>Institutional framework of the Project:</b></p> <ul style="list-style-type: none"> <li>• Are the organisational set-up, implementation scheme and financial structure clear?</li> <li>• Does the proposed core team of the Beneficiary have adequate experience for managing the Project?</li> <li>• Are the management structures appropriate to the Project’s size, duration and needs?</li> <li>• Are the management structures and procedures clear, transparent and fair?</li> <li>• Are the administrative and financial management procedures explained and adequate?</li> </ul>	<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.]</i></p>
<p><b>21</b></p>	<p><b>Indicative project budget and financing plan:</b></p> <ul style="list-style-type: none"> <li>• Are the indicative budget and financing plan sufficiently detailed?</li> <li>• Is the budget reasonable and realistic?</li> <li>• Are unclear or unrealistic costs included in the budget? Are any of the costs excessive? Are they justified in the application?</li> <li>• Is a budget for communication and visibility foreseen?</li> <li>• Does the project financing plan present the appropriate mix of funding and leverage between loans and grants?</li> <li>• Are all the sources of funds accurately listed?</li> </ul>	<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.]</i></p>
<p><b>22</b></p>	<p><b>Fiscal space and debt sustainability</b></p> <ul style="list-style-type: none"> <li>• 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?</li> <li>• How does the sovereign or sub-sovereign loan/guarantee attached to the project affect debt sustainability?</li> </ul>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially</p> <p><i>[This section is optional for Line DGs and international / regional organisations.]</i></p>
<p><b>23</b></p>	<p><b>Calculation of the WBIF investment grant</b></p> <ul style="list-style-type: none"> <li>• Is the WBIF investment grant accurately defined?</li> <li>• Are the costs realistic and acceptable?</li> <li>• Is the co-financing rate applied correctly?</li> <li>• Is the information consistent with sections 21, 24?</li> </ul>	<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>
<p><b>24</b></p>	<p><b>WBIF grant amount justification:</b></p> <ul style="list-style-type: none"> <li>• Does the application explain how the WBIF grant amount was calculated?</li> </ul>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially</p> <p><i>[comments]</i></p>

	<ul style="list-style-type: none"> <li>Is the justification consistent with section 23?</li> </ul>	<p><i>[This section is optional for Line DGs and international / regional organisations.]</i></p>
25	<b>Additionality of the WBIF grant</b> <ul style="list-style-type: none"> <li>Do the expected impact and results reflect the expected outputs and intended outcomes of the Project?</li> <li>Is the positive impact relevant and well justified?</li> <li>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?</li> <li>Is the proposed grant funding necessary for the Project?</li> </ul>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially
		<p><i>[comments]</i></p> <p><i>[This section is optional for international / regional organisations.]</i></p>
26	<b>Financial leverage of the Project:</b> <ul style="list-style-type: none"> <li>What is the proposed financial leverage?</li> <li>Is the proposed leverage sufficient and coherent?</li> </ul>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially
		<p><i>[comments]</i></p> <p><i>[This section is optional for EU Delegations, Line DGs and international / regional organisations.]</i></p>
27	<b>Expected results</b> <ul style="list-style-type: none"> <li>Are the indicators in accordance with the expected outcomes and proposed activities?</li> <li>Are the outcomes clearly defined, realistic (achievable) and quantified?</li> <li>Is the description of indicators adequate (definition, measurement, baseline and target values)?</li> <li>Are any of the indicators unrealistic (unachievable)?</li> <li>Are there any indicators missing?</li> </ul>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially
		<p><i>[comments]</i></p>
28	<b>Project sustainability</b> <ul style="list-style-type: none"> <li>Based on information included in the application, will the Project be sustainable when the grant support expires?</li> <li>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?</li> <li>Does the Project incorporate mechanisms which guarantee equitable access to and distribution of the Project's benefits on a continuous basis?</li> </ul>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially
		<p><i>[comments]</i></p>

<p><b>29</b></p>	<p><b>Risk assessment categories</b></p> <ul style="list-style-type: none"> <li>• Are the identified mitigation measures sufficient?</li> <li>• Are there additional risks which are not identified in the application? Please enumerate.</li> </ul>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially</p> <p>[comments]</p>
<p><b>30</b></p>	<p><b>Climate mitigation and adaptation aspects:</b></p> <ul style="list-style-type: none"> <li>• Is the contribution of the Project to climate change mitigation and/or adaptation clearly demonstrated?</li> <li>• Have basic environmental standards been incorporated into the design of the Project?</li> <li>• Was the Lead IFI involved in the allocation of the Rio Markers?</li> </ul>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially</p> <p>[This section is optional for EU Delegations and international / regional organisations.]</p>
<p><b>31</b></p>	<p><b>Indicative calendar of the Action:</b></p> <ul style="list-style-type: none"> <li>• Are the procurement procedures clearly presented?</li> <li>• Do they allow to complete the Project within the proposed time and resources?</li> <li>• Are these procedures accepted to be equivalent to those in the EU?</li> <li>• Can the activities of the Action be implemented in the estimated period? Are they logically sequenced?</li> <li>• Is each activity planned to be implemented within a suitable period?</li> </ul>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially</p> <p>[comments]</p>
<p><b>32</b></p>	<p><b>Monitoring, reporting and evaluation:</b></p> <ul style="list-style-type: none"> <li>• Are the monitoring, reporting and evaluation clearly described and sufficient?</li> </ul>	<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>
<p><b>33</b></p>	<p><b>Communication and visibility:</b></p> <ul style="list-style-type: none"> <li>• Do the communication and visibility activities comply with the WBIF requirements and do they provide sufficient and clear visibility?</li> <li>• Is the communication and visibility plan annexed to the application?</li> <li>• Does the application include a budget for communication and visibility?</li> <li>• Are the communication and visibility activities in accordance with the project theme, target groups, proposed activities and outcomes?</li> </ul>	<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>
<p><b>34</b></p>	<p><b>Issues to be clarified before WBIF grant approval</b></p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially</p>

	<ul style="list-style-type: none"> <li>Are the issues (if any) described in a clear and coherent manner?</li> </ul>	[comments]
	<b>Annexes:</b> <ul style="list-style-type: none"> <li>Is the information provided in each annex well described, complete and in coherence the other sections of the INV GAF?</li> </ul>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially
		[comments]

**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 INV GAF that need to be resolved during the assessment.]*

**Review and acceptance by the European Commission of changes made to the INV GAF during the assessment**  
*[Review of the changes made to the INV GAF 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 INV GAF revised during the assessment and the assessment of the INV GAF by the Lead IFI.]*