



**GRANT APPLICATION FORM
for investment grants (INV GAF)**

IDENTITY OF THE PROJECT

1	Blending Facility	WBIF	2	Grant Number/code	
3	Date of Steering Committee				
4	Sector(s)		5	CRS-code	
6	Beneficiary country				
7	Name of project				

8	Lead International Financial Institution				
9	Co-financier(s)				
10	Type(s) of WBIF contribution <i>[choose as appropriate]</i>	INV <input type="checkbox"/>	TA <input type="checkbox"/>		
11	Grant amount requested (€) <i>[should be identical to the "Grant amount requested" from section 23]</i>	Total amount:	INV		
			TA		
12	Project stage <i>[See Annex II]</i>				

13	Responsible beneficiary country authority				
14	Implementing entity(ies)				

15	Short description of the Project <i>[please annex map]</i>				
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16	Main objectives of the Project				
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DETAILED DESCRIPTION OF THE PROJECT

17	Context of the Project				
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18	Coherence with the WBIF objectives and EU Policies				
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19	Consultations before submission: <ul style="list-style-type: none"> • NIC; • IFIs; • EU Delegation(s); 				
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	<ul style="list-style-type: none"> • Donors; • Regional organisations; • Other stakeholders. 	
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20	Institutional Framework of the Project	
	Description of entities involved	
	Organisational set-up	

Project Budget and Financing Plan					
Indicative Total Project Budget (Cost Breakdown)					
Component	Cost category (description)	Total costs (€) (A)	Non-eligible costs (€)^(a) (B)	Eligible costs (€)^(a) (C)=(A)-(B)	
	1	Planning/design fees			
	2	Land purchase			
	3	Works (Building and construction)			
	4	Supply (Plant and machinery)			
	5	Technical assistance for project preparation (e.g. master plan, pre-feasibility study, feasibility study, environmental and social impact assessment, detailed design, tender documents)			
21	6	Technical assistance for project implementation (e.g. supervision of works, project management)			
	7	Communication and visibility ^(b)			
	8	Evaluation and Audit ^(c)			
	9	Contingencies ^(d)			
		Total Project Costs			
Financing Plan					
Sources of Funds		Amount (€)	Component(s) financed	% / total	Remarks (i.e. Code/ Ref. of Financing)
National contribution					
IFI Loan 1					
IFI Loan 2					
Grant amount requested ^(e)					
Other WBIF Grant(s)					
Other Grants					
Other Sources					
...					
Total Financing available					

^(a) The categories of non-eligible and eligible costs respectively as listed in the accompanying Guidelines.

^(b) Communication and visibility costs will reflect only those measures and actions supposed to accompany the Project, as part of the communication and visibility plan attached to the application.



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^(c) Eligible are only those costs associated with a special request made by the European Commission, for example with regard to reporting on "costs incurred" or a specific cross-cutting evaluation of a number of projects. They do not include statutory audit and evaluation requirements that fall with the Beneficiary as per national legislation or with the Lead IFI as part of their own due diligence and control for managing the Project.
^(d) Contingencies should not exceed 10% of total investment cost (i.e. works and supplies) net of contingencies.
^(e) Should be identical to the "Grant amount requested" from section 23.

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

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

24	WBIF grant amount justification	
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25	Additionality of WBIF grant <i>[In the list below, only detail additionality where relevant and applicable]</i>	
	Economic and financial	
	Project scale	



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	Project timing	
	Project quality and standards	
	Innovation	
	Sustainability	
	Other benefits	

26	Financial Leverage of the Project	
	Investment leverage ratio	
	Total eligible IFI leverage ratio	
	Private loans/equity leverage ratio (if applicable)	

27	Expected Results					
	Indicator	Units	Baseline value (X) <i>[indicate year]</i>	Expected value after the project (Y) <i>[indicate year]</i>	Expected result (=Y-X)	Comments
	Standard Outputs <i>[copy all applicable indicators for the relevant sector from Annex V of the Guidelines]</i>					
		- Output Indicator 1				
		- Output Indicator 2				
		- ...				
	Standard Outcomes <i>[copy all applicable indicators for the relevant sector from Annex V of the Guidelines]</i>					
		- Outcome Indicator 1				
		- Outcome Indicator 2				
		- ...				
	Project specific indicators <i>[introduce other indicators applicable to this project]</i>					
		- Project Specific indicator 1				
		- Project Specific Indicator 2				
		- ...				
	Cross sector indicator					
		Total number of beneficiaries	#			
		Direct employment: Construction phase	# (FTE)			
		Direct employment: Operations and maintenance	# (FTE)			
		Women in decision-making positions	No. (%)			
	Expected Impact <i>[narrative description]:</i>					

28	Project sustainability	
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29	Risk Assessment categories	Description	Mitigation	Risk severity		
				H	M	L



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	Political				
	Economic				
	Financial				
	Social and gender equality				
	Environmental				
	Implementation				
	Other				

30	Issues to be clarified before submission to the WBIF Steering Committee	
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31	Climate Mitigation and Adaptation Aspects				
	Rio Markers	<i>Mitigation</i>		<i>Adaptation</i>	
		Project [M€]	WBIF co-financing grant	Project [M€]	WBIF co-financing grant
	RM0 (no objectives)		<input type="checkbox"/>		<input type="checkbox"/>
	RM1 (significant objective)		<input type="checkbox"/>		<input type="checkbox"/>
RM2 (the principal objective)		<input type="checkbox"/>		<input type="checkbox"/>	

32	Indicative Project Calendar	Q1	Q2	Q3	Q4
	Grant signature				
	Loan signature				
	Start of project activities				
	Start of grant activities				
	Signature of contracts				
	Payment Schedule <i>[indicate percentage / instalment]</i>				
	Final date of operational implementation of the Action <i>[as per COM annual financing decision]</i>				
	Final date of implementation of the Project <i>[where applicable]</i>				
	Final date of execution of the Action				
Final date of execution of the Project <i>[where applicable]</i>					

33	Description of procurement procedure						
	Procurement calendar:						
	Period	Type of contract					
		Technical Assistance for Management Support	Technical Assistance for Supervision of Construction	Evaluation and Audit	Communication and visibility	Supply Contract <i>(if applicable)</i>	Works Contract
		Q1 [year]					
Q2 [year]							



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	Q3 [year]						
	Q4 [year]						
	Q1 [year]						
	Q2 [year]						
	Q3 [year]						
	...						

34	Monitoring, reporting and evaluation	
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35	Communication and visibility	
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	Contacts	Contact person	Function	Phone	Email
36	Lead Finance Institution				
	Other Eligible FI member(s) of the consortium				
	EU DEL				
	DG NEAR: Functional mailbox				NEAR-WBIF-INV-GRANTS@ec.europa.eu
	Partner Country Authority / Private partner(s)				

37	Date of submission by the NIPAC		NIPAC Details	
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ASSESSMENT

RESULT OF THE SCREENING PHASE

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

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

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

	To be filled by the Lead IFI before the application is recommended to the Steering Committee for approval, confirming the readiness of the Action for submission to the Steering Committee.	
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DECISION OF THE WBIF STEERING COMMITTEE

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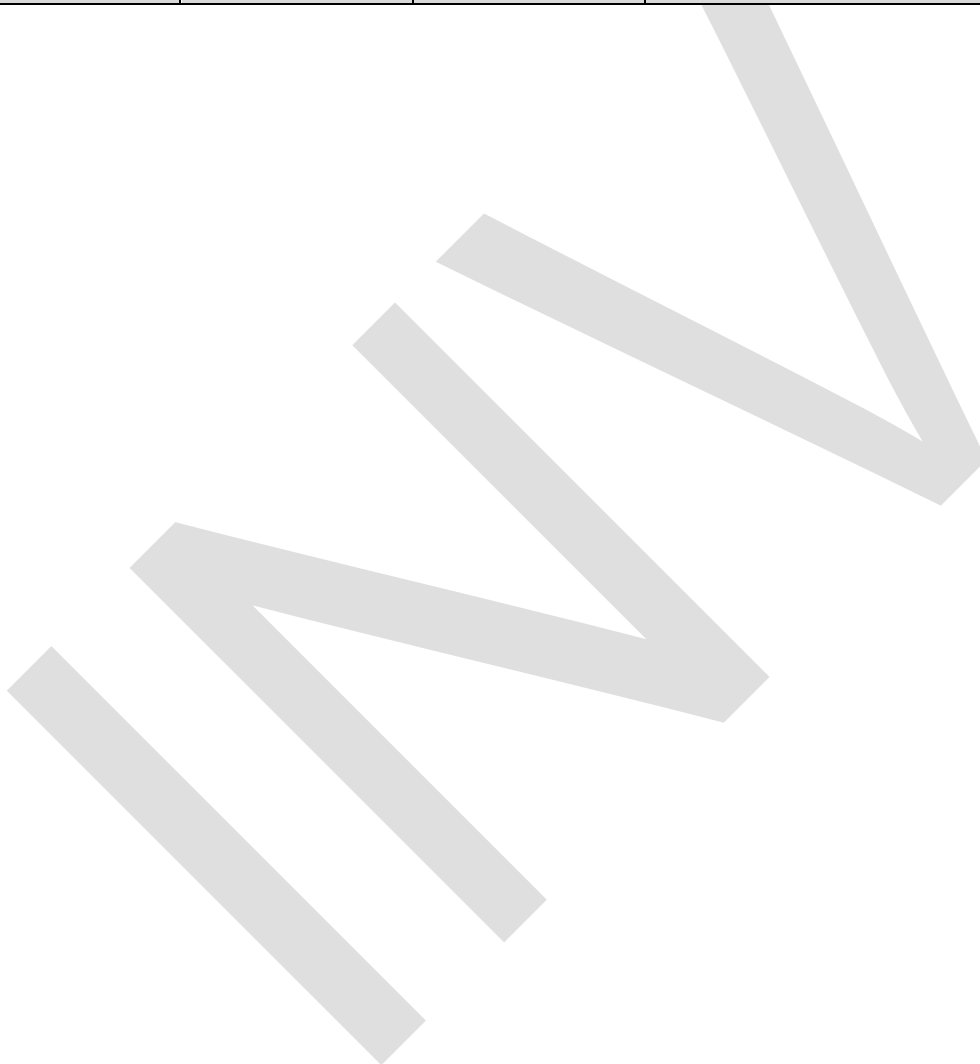


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APPROVAL

APPROVAL BY THE WBIF STEERING COMMITTEE AND BY THE EWBIF ASSEMBLY OF CONTRIBUTORS¹

	WBIF Steering Committee		EWBJF Assembly of Contributors	
	Chair	Co-Chair	Chair of the Assembly of Contributors (i.e. Co-chair of the Steering Committee)	
Name				
Date				
Signature				



¹ The Application, submitted via MIS, should be accompanied by a letter signed by the NIPAC which confirms the Beneficiary's commitment to the projects submitted, that the Lead Financial Institution has been consulted, and acknowledges that there is adequate fiscal space for its implementation. The Beneficiary, through the NIPAC, acts as an observer to the WBIF PGF and SC meetings, and signs the grant agreement with the Lead IFI, once the grant has been approved.



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PAYMENT OF THE GRANT FROM THE JOINT FUND

SIGNATORY OF THE LEAD IFI

To be filled by the Lead IFI and specifying Name, Title and Date, and the terms for the transfer of the grant by the EBRD in accordance with Art 5.03 of the General Conditions of the EWBJF.				
	Grant amount approved by the Steering Committee			Insert the final grant amount approved by the Steering Committee
	Start date of grant activities			
	Final date of operational implementation			Insert the completion date of all activities financed by the grant funds
	Payment schedule	Payment	Amount EUR	Date (month/year)
1 st payment				
2 nd payment				
3 rd payment				
	...			



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AMENDMENTS TO THE APPROVED GAF

Addendum / Steering Committee Decision / Notification	Description of amendment	Rationale for the change





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Annex I: Key requirements checklist

Main requirements:

1. Operations covered by the WBIF benefit one or more of the following Beneficiaries: Albania, Bosnia and Herzegovina, the former Yugoslav Republic of Macedonia, Montenegro, Serbia and Kosovo*.
2. The project belongs to one of the eligible sector: Environment | Energy | Energy efficiency and savings | Transport | Social | SMEs, private and financial sector support.
3. The GAF is submitted by the NIPAC or by a Regional Sectorial Organisation and the support is endorsed by all relevant stakeholders.
4. The project is listed in the SPP.
5. All the elements of the project activities covered by WBIF grant are in principle eligible for grant financing.
6. The project is consistent with the EU Pre-Accession Strategy and relevant sector policies and national investment plans.
7. The activities do not duplicate or overlap with other operations.
8. A Lead IFI supports this action and has been consulted during the preparatory stages of developing the GAF of the project proposed for co-financing.
9. The WBIF grant requested, its calculation and justification are clearly explained.
10. The technical and financial information demonstrate that the project fulfils the maturity criteria.
11. The information provided in each section is consistent and coherent with that filled in the other sections of the GAF.
12. All the sections of the GAF are provide with the information requested.
13. All relevant stakeholders have been consulted during the drafting of the GAF.
14. The description of the institutional framework clearly demonstrates the capacity of the beneficiary to define the investment and implement the project.
15. The values for the result indicators reflect the expected outputs and intended outcomes of the project.
16. The risks associated with the project proposed for co-financing have been identified and appropriate mitigation measures have been determined.
17. Indicative project and procurement calendars are proposed, and the lead IFI has been consulted on these.
18. The Lead IFI has been consulted regarding the possible contribution of the project to climate change mitigation/adaptation and its climate resilience.

Yes	No



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Annex II: Stages under the implementation phase

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



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Annex III: Communication and Visibility template

- A - Objectives
- B- Communication Activities
- C- Resources

A- Objectives

1. Overall communication objectives

2. Target groups

- Within the country(s) where the action is implemented;
- Within the EU (as applicable).

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

Examples of communication objectives:

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

B- Communication Activities

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

Include details of:

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

5. Communication tools chosen

Include details of advantages of particular tools (media, advertising, events, etc.) in the local context.

6. Completion of the communication objectives

Include measures for the different tools proposed.

7. Provisions for feedback (when applicable)

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

C- Resources

8. Human Resources

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

9. Financial resources

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



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Annex IV: Reporting template

Contribution Request Number (same as project number/code in GAF):	
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THE PROJECT	
Title of the overall <u>PROJECT</u>: (Projects approved at a Steering Committee may result in one or more Actions)	
Beneficiary Country(ies):	
Responsible Authority(ies):	
Implementing entity(ies)	
Sector <i>(please use the same sector name as used in the grant application form) :</i>	
Sub-Sector/ DAC code <i>(please use the same DAC code and name as used in the grant application form):</i>	
Total Amount Approved for the Project: (as approved at a Steering Committee)	
Date of Project Approval: (Steering Committee Date)	
Sources of Funding for the Project: (listing all funding sources as featured in the GAF)	
Related contracts under this Project: (list of contracts, values and confirmed funding sources)	

This ACTION under the EWBJF (financed by the GRANT)	
Title of this <u>ACTION</u>: (same as 'Title of the overall Project' + indication of type of Action, e.g. 'investment grant component' and/or 'technical assistance component')	
Lead IFI:	



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Value of the Grant: (as approved by the Assembly of Contributors)	
Total amount of Grant/Financing Agreement (between Lead IFI and beneficiary) Signed: Disbursed (cumulative):	
Total amount of contracts under the Grant/Financing Agreement (between beneficiary and final contractors) 1) aggregate amount of contracts signed (cumulative): 2) aggregate amount of contracts disbursed (cumulative): 3) aggregate amount of cost incurred (cumulative):	
Amount to be returned to the EWBJF: (if applicable)	
Completion Date of the Action: (actual/expected)	

PROJECT PROGRESS

A. Narrative Section (as the template applies to both TA and INV activities, reporting institutions should adjust the content of their reporting to the nature of the activity. Further guidance is given below when applicable).

1. <u>Project description and Action description:</u> (max 300 words)	<i>In line with the description used in the grant application form approved by the SC; any subsequent material change in the project to be described and explained (typically, this section should focus on changes in scope or expected results. Changes in costs or time frame should be addressed in section 5 - Risk Assessment). For a TA activity, focus on tasks to be carried out from grant proceeds. For an INV activity, detail the whole investment Project, the specific implementation phase covered by the Action (if relevant), and highlight any subcomponent to be financed from grant proceeds.</i>
2. <u>Project Context:</u> (max 250 words)	<i>Describe the general context of the Project, including the main objectives pursued, compliance with national policies and regional coordination mechanisms priorities, and any related Project including earlier phase(s) and proposed subsequent phases as well as distinct projects that may complement the current Project if applicable; comment on any context change that may have taken place during the reporting period. For a TA activity, this section should cover the underlying investment project being prepared with the TA, including a brief description on the project itself as well as of its context.</i>



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<p>3. <u>Activities carried out during the reporting period under the Action:</u> <i>(max 250 words)</i></p>	<p><i>To include any Action related activity, including tendering, contracting, mobilisation, studies, construction, testing, commissioning, supervision, etc. (if necessary and/or applicable broken down by project component) with if/when possible best estimates of the completion ratio to date and of time overruns, if any. To include also a summary of main proposed activities to be implemented in the forthcoming reporting period.</i></p>
<p>4. <u>Actual results:</u> <i>(max 250 words plus table if relevant)</i></p>	<p><i>Preferably in the format of the table on expected results in the grant application form and using indicators as they may be defined in the application form, comparing actual or revised expectations with initial expectations and commenting as appropriate.</i></p> <p><i>In case of TA activities for which no indicators are predefined, provide comment on outputs funded by the grant and on outcome (likelihood of the project moving to a next preparation/implementation phase). In principle, reporting obligations cease with completion of works financed by the grant. However, the PFG should be periodically informed on the implementation of the Project and should receive final confirmation that the Project was completed and its objectives were met. Monitoring reports for any follow-on TA or INV activity should clearly establish the link with earlier TA(s).</i></p> <p><i>In case of INV operations, output will be known at project completion, it will take more time to appreciate outcome and impact. While reporting obligations cease with completion of works financed by the grant, IFIs are encouraged to share any evaluation that may be carried out later of the underlying action. Monitoring reports for any follow-on TA or INV activity related to the same Project should also clearly establish the link with earlier INV activities, allowing WBIF to keep track of developments.</i></p>
<p>5. <u>Risk assessment:</u> <i>(max 250 words)</i></p>	<p><i>Discuss the situation regarding the key risks identified in the grant application form and any mitigation measure that may have been needed during the reporting period. Discuss any new risk that may have emerged since the initial risk assessment. Discuss any major problem with the Project and its implementation that may have arisen during the period and outline proposed remedies. Discuss any development, including institutional aspects, which may affect the sustainability of the Project, post completion and proposed mitigation measures when available.</i></p>
<p>6. <u>Visibility and communication activities:</u> <i>(max 100 words)</i></p>	<p><i>Report on the communication activities identified in the grant application form, including a description of actions taken so far with an emphasis on initiatives undertaken during the reporting period.</i></p>
<p>7. <u>Monitoring activities:</u> <i>(max 150 words)</i></p>	<p><i>List any monitoring activity that has taken place during the period, with a brief summary of key findings and conclusions, indicate any monitoring activity already planned for the following period.</i></p>



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B. Financial Section	
1. <u>Budget and financing plan of the Action:</u>	<i>Provide the latest version and comment on any deviation from initial version or most recent version prior to the reporting period in line with the Project Budget and Financing Plan as per Section 22 of the GAF. In case of costs overruns (effective or anticipated), detail the plan to cover overruns.</i>
2. <u>Costs and disbursements:</u>	<i>Provide information on</i> <ul style="list-style-type: none"> • <i>legal commitments entered into during the period;</i> • <i>disbursements to contractors under the grant (during the period and cumulative; and</i> • <i>implementation costs incurred by the contractors during the period.</i>
3. <u>Controls:</u>	<i>Provide a summary of audit and controls carried out during the period, including a summary of errors and weaknesses, if any, with proposed corrective measures. If possible under applicable disclosure policies, provide copy of audit report(s) available.</i>
C. Annexes	
1.	<i>Statements of (sub-) account(s) used for the grant.</i>
2.	<i>Audit report(s), audited annual financial statements and Management Declaration (to be sent to the Commission only).</i>

Note: as the template is intended for use for both technical assistance grant activities and investment grant activities, the reporting entity is encouraged to tailor the information provided under each heading above to the specific Project it is reporting on.

Reporting on other contributions under the Project are for information purposes only:

- for tracking the progress of the Project;
- for identifying the proportion of the (EWBJF grant) Action within the total of the Project.