



Western Balkans Investment Framework Guidelines for Applicants: Blending Operations for Public and Private Sectors

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Preamble

These guidelines apply to the preparation of project proposals for WBIF blending for the public and private sectors. They are part of the call for proposals for public and private sector technical assistance and investment grants launched on 14 November 2023: Round 30 for technical assistance for the public sector (TA Round 30), Round 10 for investment grants for the public sector (INV Round 10), and Round 3 for the public sector (PS Round 3).

The main objective of this document is to provide guidance to Beneficiaries and Lead Financial Institutions applying for funding for blending operations and clarifies the eligibility provisions and what information the Project Financiers' Group expects to receive in grant applications forms.

The guidelines are designed and structured in four chapters, namely: 1) Eligibility provisions, 2) Timeline for the call for proposals, 3) Grant requests for public sector, 4) Grant requests for private sector, and annexes.

The grant applications forms for public and private sector technical assistance and investment grants, as well as instructions on how the application forms should be filled in, are included in Annexes 1 to 6 of these guidelines. The applicants must complete all the sections of the grant applications forms as clearly and concisely as possible, taking into account the suggested maximum word limitations and avoiding repetition.

In order to facilitate the completion of the application forms, the screening and assessment grids are contained in Annexes 7 to 10. These generally reflect the assessment carried out by the Project Financiers' Group and aim to help applicants to double check that all the relevant information has been provided in the application forms.

1. Eligibility provisions

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

1.1 Geographical coverage

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

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

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

1.2 Eligible entities for WBIF support

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

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

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

*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.

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

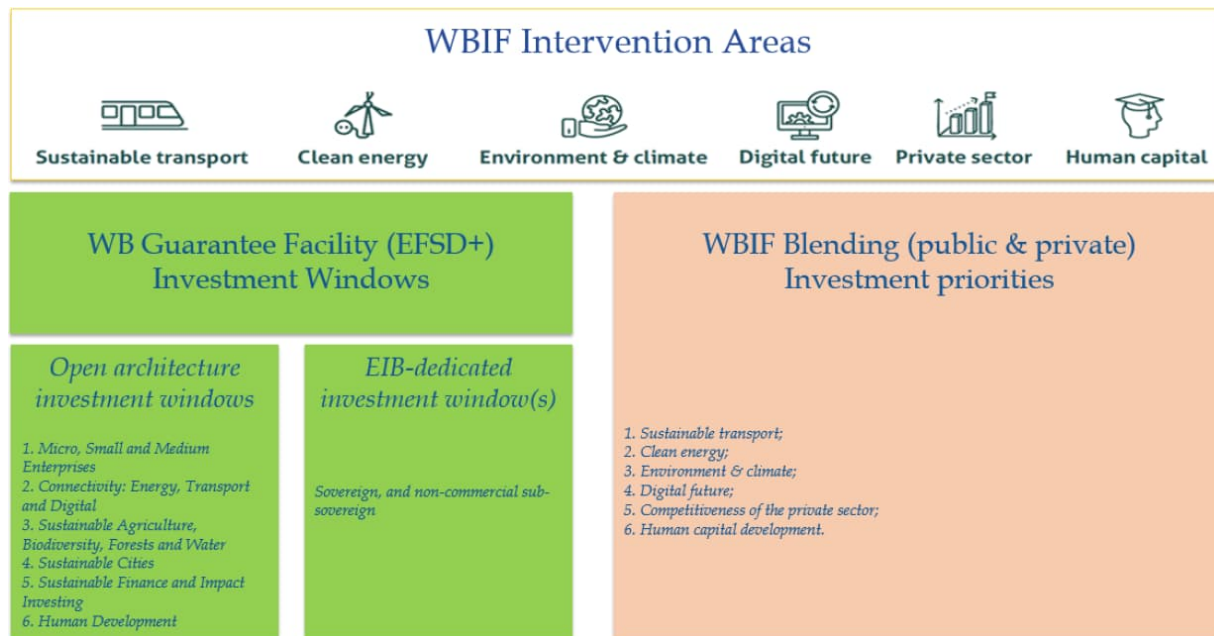
- (a) private entities active in any sector of the relevant economies, including without limitation, entities established without profit purposes, such as charities, associations, and NGOs;
- (b) private entities, such as, for example, without limitation, entities established within the context of public-private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

1.3 WBIF intervention areas

The WBIF intervention areas stemming from the [Economic and Investment Plan for the Western Balkans¹](#) (EIP) ensure the ‘policy first’ approach. Projects and programmes eligible for support through WBIF may support any sector that contributes to the economic, social and environmental development of the Western Balkans in the following intervention areas:

- (1) Sustainable transport
- (2) Clean energy
- (3) Environment & climate
- (4) Digital future
- (5) Competitiveness of the private sector
- (6) Human capital development

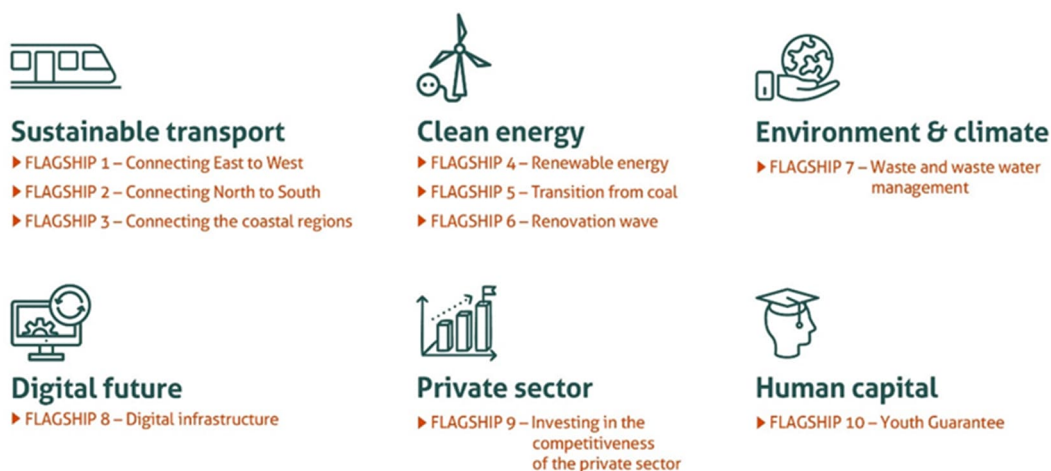
Figure 1: WBIF areas of intervention



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 wastewater management infrastructure, the roll out of broadband infrastructure, as well as increased investments in the private sector to boost competitiveness and innovation, in particular of small and medium-sized companies.

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

Figure 2: EIP investment flagships



1.4 WBIF blending investment priorities

The WBIF blending investment priorities in the public and private sectors advance the implementation of the [Economic and Investment Plan for the Western Balkans](#) and, in particular, of its investment flagships.

Selected blending investments in the form of projects must address the [WBIF blending investment priorities](#) as presented at the 1st Strategic and Operational Board meetings (16 - 17 December 2021), notably and here relevant: 1) sustainable transport, 2) clean energy, 3) environment and climate, 4) digital future, 5) competitiveness of the private sector, and 6) human capital development.

1.4.1 WBIF public sector blending investment priorities

The following eligibility criteria per investment priority are of application to projects and proposals submitted to the call for proposals launched on 14 November 2023.

1.4.1.1 Sustainable transport

Rationale

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

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

Fast, efficient and sustainable transport links are crucial, both within the region and with the neighbouring EU Member States in the railway sector.

In December 2021, the European Commission published a proposal for the Revision of the TEN-T Regulation² that includes a Rail Freight Corridor for the Western Balkans. Once adopted, the new Rail Freight Corridor will become an essential tool for coordinated cooperation to improve international freight traffic. Additionally, multimodality in passenger and freight rail transport needs to be improved.

The core network, with a deadline of 2030 for completion, should constitute the foundation of the sustainable multimodal transport network, representing the strategically most important nodes and links of the Trans-European Transport Network (TEN-T) according to traffic needs. They should stimulate the development of the entire comprehensive network and enable EU action to concentrate on the Trans-European Transport Network components with the highest European added value, in particular cross-border sections, missing links, multimodal connecting points, and major bottlenecks.

The Western Balkans region is affected by the changing climate and has already seen the severe consequences of climate change. The Sustainable and Smart Mobility Strategy for the Western Balkans³ was developed to set common objectives and a list of common measures for making transport greener, sustainable and healthier for citizens.

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

Key areas of intervention

- Rehabilitation of existing and construction of new resilient and smart transport infrastructure on the TEN-T core railway network.

1.4.1.2 Clean energy

Rationale

The [Economic and Investment Plan for the Western Balkans](#) together with the [Guidelines for the Implementation of the Green Agenda for the Western Balkans](#) set out that support towards energy transition will be reinforced. Strong emphasis is placed on energy market integration, decarbonisation, and clean energy, just transition, increased digitalisation of the system and smart grids, energy efficiency, including modernisation of district heating, and energy security.

In December 2022, the Western Balkans partners made commitments under the Energy Community Treaty concerning the reduction of greenhouse gas emissions, energy efficiency and renewable energy targets by 2030. On this basis, they are currently developing their respective National Energy and Climate Plans setting out the steps to achieve these targets. Investments through the WBIF will be in line with the priorities in the Western Balkans partners' National Energy and Climate Plans.

At the same time, there has been progress in implementation of renewable energy policies in the Western Balkans and investments in renewable energy (conventional solar and wind power plants) have started to flow in. However, further investments and policy measures in decarbonising energy production and/or consumption shall be key to deliver decarbonisation targets, including being able to avoid potentially negative consequences of the Carbon Border Adjustment Mechanism (CBAM) and to ensure a just energy transition. The mobilisation of the private sector would contribute to the nascent industrial clean energy ecosystems and can be a regional economic game changer. Progress should be made on transposing the new Electricity Integration Package within the Energy Community to ensure full

² Proposal for a REGULATION OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL on Union guidelines for the development of the trans-European transport network, amending Regulation (EU) 2021/1153 and Regulation (EU) No 913/2010 and repealing Regulation (EU) 1315/2013

³ <https://www.transport-community.org/strategy-for-sustainable-and-smart-mobility-in-the-western-balkans-2/>

market integration of Contracting Parties, which includes the six Western Balkans partners, into the single European electricity market.

Key areas of intervention for public sector investment and technical assistance grants

- Electricity transmission and storage projects:
 - Where electricity transmission projects can contribute to market integration (between Western Balkans partners and/or with EU Member States), sustainability (integration and transmission of renewable energy) and security of supply;
 - Energy storage facilities to enable accelerated renewables deployment.
- Renewable energy: Rehabilitation of existing hydropower plants;
- Low carbon transition (e.g. future-proof gas pipelines listed as Projects of European Community Interest or Projects of Mutual Interest supportive of the low carbon transition and transit of decarbonised gas and hydrogen, gas and carbon dioxide storage). Proposals need to provide sufficient evidence of decarbonisation strategies (e.g. conversion of natural gas assets to dedicated hydrogen assets).

1.4.1.3 Environment and climate

Rationale

The [Economic and Investment Plan for the Western Balkans](#) together with the [Guidelines for the Implementation of the Green Agenda for the Western Balkans](#) set out that significant investment should be directed towards greening the Western Balkans and mainstreaming environmental and climate requirements in other sectors. WBIF support focuses on implementation of the Plan's flagship on waste and wastewater management.

One of the main goals of the Green Agenda is to reduce water pollution and to address water conservation and flood protection across the region. There is a high share of population in rural areas (30 to 50%) with only basic sanitary facilities and wastewater collection, while urban areas with collection of wastewaters via sewer networks discharge mostly untreated wastewater.

Even though there have been improvements in waste management through the adoption of circular economy principles, there is still much progress to be made in the Western Balkans. Moving to a circular economy, addressing waste management, recycling, sustainable production, and efficient use of resources, will play a significant role in lowering the carbon footprint.

Key areas of intervention

- Water and wastewater treatment: Support will be provided to upgrade basic infrastructure in line with relevant EU standards in the area of water and sanitation (including investments in drinking water treatment and supply, and sewerage systems covering multiple agglomerations with a regional coverage or in the major cities) and pollution prevention measures. Actions that address water pollution and have co-benefits of improving resilience to extreme climate events or contributing to nature conservation and restoration, such as nature-based solutions or green infrastructure, will be prioritised.
- Circular economy: Support will be provided to waste management, recycling, sustainable production, and efficient use of resources for the green and climate-neutral economy.

1.4.1.4 Digital future

Rationale

The [Economic and Investment Plan for the Western Balkans](#) calls for the region's digital transition. To underpin an effective transition of all the sectors of the economies and governments, and to contribute to a sustainable, climate neutral and resilient economy, proposals should focus on digital infrastructures: ultra-fast and secure broadband

connections for governments/public administrations, households, businesses, education and health, urban and rural connections, and the connections to EU digital backbones.

Key areas of intervention

- Digital infrastructures: ultra-fast and secure broadband connections for governments, households, businesses, education and health, connections with remote areas, connection to EU digital backbones.

1.4.1.5 Infrastructures for human capital development

Rationale

The [Economic and Investment Plan for the Western Balkans](#) shifts the focus from pure social infrastructures to investments in infrastructures that unleash the potential of human capital development in the fields of education and health.

Investments in infrastructures have to contribute to the implementation of regional and/or local strategies and plans aimed at unleashing the human capital development potential.

Key areas of intervention

- Investments to rehabilitate/upgrade and/or expand infrastructures in the fields of education (from early childhood education to high-level education), and health. Investments must be sustainable and comply with clean energy and decarbonisation targets, environmental protection, disaster resilience and specific climate change impacts, and contribute to the region's digital transition. Recognised international standards in the fields need to be fulfilled. Investments must demonstrate the contribution for unleashing human capital development potential in Western Balkans.

1.4.2 Eligibility criteria for public sector technical assistance

The following eligibility criteria apply only to technical assistance applications:

- Projects must be included under or fall under the scope of the EIP investment flagship, the public sector blending investment priorities, or any other EU policy initiative and/or instruments.
- The underlying investment projects of technical assistance grants must be endorsed by the Ministry of Finance. Support preparatory work for eligible investment projects (for example, without limitation, masterplans, (pre)feasibility studies, cost-benefit analyses, environmental and social impact assessments, comprehensive risk assessments, including disasters and climate change risks and vulnerability, preliminary and detailed designs), targeted capacity building and implementation support (including tender documents preparation, procurement assistance), sector development studies, and general capacity building.
- Activities related to the technical review, check and verification of project design(s) as per national legislation, other activities specific to urban planning and/or land ownership (e.g. preparation of urban plans, documentation for land expropriation, etc.) that fall under the Beneficiary's responsibility as part of its due diligence and control for project management are not eligible for grant funding.
- Support project construction supervision. Construction supervision is eligible only for funding channelled through the European Western Balkans Joint Fund. Construction supervision is not eligible under the IPF instrument.
- Support for overcoming specific obstacles delaying the preparation or implementation of projects. For faltering projects, a thorough analysis of the causes thereof and a clear and logical use of the grant to drive their progress must be provided in the grant application. As a general principle, the WBIF will not add more subsidies to an existing investment but will consider support for improving the policy and/or regulatory environment of that investment through capacity building.
- For Sustainable Transport projects, technical assistance may be deployed to support railways and roads construction and reconstruction, integration of sustainable and smart elements in road and rail transport, such as multimodal

transport nodes, electric charging stations, intelligent transportation systems (ITS) or infrastructure monitoring, as well as to support inland waterways.

- For Clean Energy projects, technical assistance may be deployed to support energy interconnections, electrical grid strengthening, smart investments in energy sectors, electric power transmission, distribution, electrification of urban and rural areas, energy efficiency, district heating, urban metering systems, gas infrastructure, future-proof gas pipelines.
- For Digital Future projects, technical assistance may be deployed to support ultra-fast and secure broadband roll-out, data centres, high performance computers and infrastructure sharing.

For projects with preparatory studies under development (e.g. the feasibility study is under preparation), grant financing for the next stage will not be provided until those studies are completed and their results are approved by the beneficiary and Lead Financial Institution (LFI). Similarly, additional grant financing will not be considered when a grant has already been awarded but not disbursed.

1.4.3 WBIF private sector blending investment priorities

The following eligibility criteria per investment priority are of application to projects and proposals submitted to the call for proposal launched on 14 November 2023.

1.4.3.1 Competitiveness of the private sector

Rationale

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

- Supporting start-ups, Micro, Small and Medium-sized Enterprises (MSMEs) in adopting the rules governing the implementation of the Carbon Border Adjustment Mechanism (CBAM).
- Digital transition, innovation: shall support investments strengthening the digitalisation of the business sector in the region (including start-ups and scale-ups MSMEs), as well as the integration of research and development results, innovation, technology transfer, and enabling digital ecosystems.
- Trade: shall aim at raising the quality standards of companies, availability of export-oriented investments and facilitate the integration of innovative industrial value chains (including the CBAM) between the Western Balkans and the EU in order for the region’s private sector to benefit from market integration and trade within the region and with the EU.
- Financial inclusion: shall support the labour, social and financial inclusion of those furthest away from the labour market, including Roma population. In particular, focus should be put on the social entrepreneurship ecosystem through activities that build the capacity and preparedness of the supply (social finance providers) and demand (social enterprises) sides of the social entrepreneurship ecosystem.

1.5 WBIF eligible subsectors general provisions for public sector investments and delineation with IPA national programmes

Subsector	Sector Operational Programme (SOP) / national IPA	WBIF
Sustainable transport		
Railways infrastructure	• Railway TEN-T Comprehensive network, railway stations	• Railway TEN-T Core network
Clean energy		

Subsector	Sector Operational Programme (SOP) / national IPA	WBIF
Electricity	<ul style="list-style-type: none"> • Transmission of internal electricity transmission lines, if not on the PECE/PMI lists, that significantly contributes to market integration and/or to the integration of renewable energy sources • Distribution 	<ul style="list-style-type: none"> • Transmission lines contributing to market integration (between Western Balkans partners and/or with EU Member States), sustainability (integration and transmission of renewable energy) and security of supply • Energy storage
Renewable energy production		<ul style="list-style-type: none"> • Rehabilitation of existing hydropower plants • Innovative renewable energy solution projects (if not supported through EFSD+ guarantees and proven not to be revenue-generating)
Hydrocarbons		<ul style="list-style-type: none"> • Gas pipelines on PECE/PMI lists
Environment and climate change		
Water management	<ul style="list-style-type: none"> • Drinking water and wastewater (\leq €15 million (€30 million for Serbia))* • River basin management/flood prevention 	<ul style="list-style-type: none"> • Drinking water and wastewater ($>$ €15 million (€30 million for Serbia))
Waste management	<ul style="list-style-type: none"> • Waste management centres (\leq €20 million (€30 million for Serbia))* • Closure of non-compliant landfills • Equipment* 	<ul style="list-style-type: none"> • Waste management centres ($>$ €20 million (€30 million for Serbia)) • Closure of non-compliant landfills, including rehabilitation according to EU standards (only if in association with waste management centres)
Air quality/noise	<ul style="list-style-type: none"> • Services/ works/ equipment* 	
Nature protection	<ul style="list-style-type: none"> • Management of natural resources, resource protection (deployment of reservoirs, irrigation; green and blue infrastructures; ecosystem restoration and resilience; restoration of carbon-rich habitats; water retention)* 	
Industrial pollution/chemicals	<ul style="list-style-type: none"> • Services (studies) • Cleaning/remediation of local dumpsites 	<ul style="list-style-type: none"> • Integrated industrial decarbonisation and depollution solutions (including through WBIF private sector)
Digital future		
Infrastructure	<ul style="list-style-type: none"> • e-governance, e-procurement, education, e-health, electronic public services • Projects supporting alignment with EU's rules related to data protection • EU practices to mitigate cybersecurity risks 	<ul style="list-style-type: none"> • Ultra-fast and secure broadband with a view to ensure universal access • Deployment of backbones and link with existing EU backbones, including high performance computers and/or GEANT programme • Balkans Digital Highway deployment
Human capital		
Health	<p><i>Not a priority under SOPs, to be addressed through bilateral programmes:</i></p> <ul style="list-style-type: none"> • Any activity in line with IPA III programming framework, EIP, ERP 	<ul style="list-style-type: none"> • Only infrastructure interventions related to expansion and/or renovation/rehabilitation of infrastructures
Education & skills	<ul style="list-style-type: none"> • Investments contributing to the Economic and Investment Plan Flagship 10 Youth Guarantee* 	<ul style="list-style-type: none"> • Only infrastructure interventions related to expansion and/or renovation/rehabilitation of infrastructures

Subsector	Sector Operational Programme (SOP) / national IPA	WBIF
	<ul style="list-style-type: none"> Any other activity in line with IPA III programming framework, EIP, ERP* 	

* Priority area(s) for Sector Operational Programmes

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

1.6 Project and programme proposals

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

Project and programme proposals covering **infrastructure investments**:

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

Project and programme proposals covering **private sector development investments**:

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

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

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

2. Timeline for the call for proposals

The timeline for the call for proposals for technical assistance and investment grants for the public and private sectors - TA Round 30, INV Round 10 and PS Round 3 - is as shown below.

Event	Public sector TA Round 30 & INV Round 10	Private sector PS Round 3
Launch of the Call for Proposals	14 November 2023	
Pre-notification deadline	31 January 2024	n/a
Presentation of PS concepts to DG NEAR	n/a	6 February 2024
Submission deadline	23 February 2024	
Endorsement deadline	10 March 2024	n/a
Screening (until)	12 April 2024	
1 st Paris Group	18 April 2024	
Assessment (until)	15 May 2024	n/a
PS bilateral consultations (until)	n/a	15 May 2024
2 nd Paris Group	22 May 2024	
36 th Project Financiers' Group	22 - 23 May 2024 (tbc)	
6 th Operational Board	27 - 28 June 2024 (tbc)	

3. Grant requests for public sector

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

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

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

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

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

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

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

The Beneficiary institutions must have a reasonable capacity to define their investment plans, to procure and implement the project, possibly supported with specific technical assistance. The relevant beneficiary entity must demonstrate commitment and project ownership for the whole project duration and ensure that a project implementation unit is in place with appropriate skills and relevant experience acceptable to the IFIs.

3.1 Investment grants

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

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

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

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

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

Investment windows	Max. co-financing rate (%)
Sustainable transport	
Railways (including signalling and telecommunications)	50
Clean energy / energy efficiency	
Energy interconnections, electric power transmission	20
Gas infrastructure, future-proof gas pipelines	20
Environment and climate change	
Drinking water treatment and supply, wastewater collection and treatment, sewerage systems	70
Waste management (collection, source-separation, recycling, treatment and disposal technologies)	70
Digital infrastructure	
Ultra-fast and secure broadband roll-out (particular focus on connecting 'white zones' / rural area, education and healthcare institutions)	30
Balkans Digital Highway deployment	30
Social infrastructure	
Upgrade and/or expand infrastructure in the sectors of education and health	30

3.2 Technical assistance

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

4. Grant requests for private sector

- Project proposals for investment grants blending and technical assistance grants must be submitted by a Lead Financial Institution (LFI). LFIs include the IFIs member of WBIF, namely the EIB, EIF, EBRD, CEB, KfW/DEG, World Bank, IFC, and AFD. Other IFIs pillar assessed can lead and submit project proposals for investment grant blending and technical assistance.
- The requests for support must be submitted by way of WBIF specific application form (either for blending operations or for technical assistance), together with all relevant documents.
- Project proposals have to be consulted with the European Commission, including compulsory consultations with EU Delegations and/or Office, on their relevance and synergy with the ongoing and planned European assistance at local level and similar schemes at national level. In addition to bilateral discussions with EU Delegations, video conferences for each of the proposals will take place on 6 February 2024, where IFIs are expected to present the proposals to NEAR and EU Delegations.
- All requests must be submitted according to the deadlines confirmed by the WBIF Operational Board at the launch of the call for proposals. For the purposes of the application process, the WBIF Management Information System platform developed by the WBIF Secretariat must be used.
- Applicants must submit a duly completed application form. The templates for investment grants and technical assistance differ.
- In case more than one IFIs is involved in a project, a LFI must be determined.
- In case of participation in the proposal of regional organisations, international organisations or other entities, they have to be defined and specific arrangements have to be ensured by the LFI.
- Project proposals for both blending and technical assistance operations can be funded through the European Western Balkans Joint Fund, following the dispositions of its General Conditions.

4.1 Investment grants

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

4.2 Technical assistance



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

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


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

IDENTITY OF THE PROJECT

1	Blending facility	WBIF	2	Grant code	<i>This is the code of the grant and is communicated to the NIPAC at pre-notification. This section is filled in automatically in MIS when the application is submitted.</i>
3	WBIF approval date	<i>This is the date on which the WBIF approves the grant. This section is filled in automatically in MIS.</i>	4	Flagship	[select flagship] <i>Select the relevant investment flagship from the drop-down list. If the Project does not fall under an investment flagship, select "None" from the drop-down list and justify application in section 18 – Coherence with the WBIF objectives, EU policies, and adopted national/sectoral strategies.</i>
5	WBIF intervention area	[select intervention area] <i>Select the intervention area addressed by the Project from the drop-down list.</i>	6	CRS code	<i>The OECD purpose code (CRS code) relevant to the Project must be entered in this section. The list of CRS codes is available at https://www.oecd.org/dac/financing-sustainable-development/development-finance-standards/dacandcrscodelists.htm.</i>
7	Beneficiary	[select name] <i>Select the name of the Beneficiary from the drop-down list.</i>			
8	Project title	<i>Enter the name of the Project financed by the WBIF grant. Please ensure that it is short (maximum 250 characters) and includes the key elements of the Project, such as the infrastructure concerned and location.</i>	9	Project code	<i>This code is specific to the WBIF MIS database and is either selected (for existing WBIF projects) or generated (for new projects) at the pre-notification stage.</i>
10	Lead Financial Institution	[select name] <i>Select the name of the Lead Financial Institution (LFI) from the drop-down list.</i>			
11	Co-financier(s)	[select name] <i>Select the names of other WBIF financial institutions that contribute financial resources to the Project if relevant: AFD, CEB, EBRD, EIB, KfW, or WB.</i>			
12	Type(s) of WBIF contribution	<p>INV <input checked="" type="checkbox"/> TA <input type="checkbox"/></p> <p>Select the type(s) of WBIF contribution from the available options, i.e.:</p> <ul style="list-style-type: none"> • Investment grant (INV): It is mandatory for applications for investment grants and is checked off by default. • Technical assistance (TA): It must be selected if the WBIF grant funds TA activities. <p>The types of WBIF contribution are defined as follows:</p> <ul style="list-style-type: none"> • Investment grant (INV): grant amount for co-financing 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, and supervision of works. Some of these services are financed by loans, usually for more profitable investments, such as energy and road projects. <p>The TA does not include activities related to the technical review, check and verification of project designs per national legislation and other activities specific to urban planning and/or land ownership, e.g. preparation of urban plans, documentation for land expropriation, etc. These costs fall with the beneficiary as part of its due diligence and control for project management.</p>			
13	Total WBIF grant amount (€)	<p>Total amount:</p> <p><i>This is the grant amount with implementation and administration fees. It is the "Total WBIF grant amount" from section 23.</i></p>	<p>Total amount excl. fees:</p> <p>INV amount:</p>	<p><i>This is the grant amount for the cost components "Works and supplies", "Contingencies" and "Technical assistance" without implementation and administration fees. It is the "Grant amount without fees" from section 23.</i></p> <p><i>This is the grant amount exclusive of the implementation fee for the cost components "Works and supplies" and "Contingencies" from section 23.</i></p>	

			INV fee:	<i>This is the implementation fee for the grant amount for “Works and supplies” and “Contingencies”. It is the “Implementation fee for the INV component of this application” from section 23.</i>
			TA amount:	<i>This is the grant amount for the cost component “Technical assistance” without the implementation fee from section 23.</i>
			TA fee:	<i>This is the implementation fee for the grant amount for “Technical assistance”. It is the “Implementation fee for the TA component of this application” from section 23.</i>
			Administration fee:	<i>This is the administration fee for the grant amount with implementation fees from section 23.</i>
14	Responsible authority of the Beneficiary	<p><i>Specify the Beneficiary’s authority (e.g. Ministry of Finance, Ministry of Transport, Ministry of Environment, etc.) and the relevant departments in charge of the Project within that authority (e.g. Department for International Financial Cooperation, Department of Water, etc.)</i></p> <p> <i>Ensure consistency with section 20 – Institutional framework of the Project.</i></p>		
15	Implementing entity(ies)	<p><i>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.) and specify the nature of the implementing entity, i.e. whether it is public, mixed (please include ownership structure), or private.</i></p> <p><i>Note that in section 20 - Institutional framework of the Project all the entities involved should be included, while in this section, only the entity in charge of implementing the Project should be listed.</i></p> <p> <i>Ensure consistency with section 20 – Institutional framework of the Project.</i></p>		

DESCRIPTION OF THE PROJECT AND ACTION

16	Description of the Project and Action	
	<p><i>This section is split into seven subsections; please include the required information in the relevant subsection.</i></p> <p><i>Provide a clear description of the infrastructure project, by component or phase if the Project has more than one component or phase, and of the activities financed by the WBIF grant, i.e. the Action. The description should include the Project’s finality and its main components. It should be sufficiently robust and detailed to ensure a clear outline of the Project’s components and/or phases and the Action.</i></p> <p><i>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.</i></p> <p><i>(Indicative max 750-1000 words)</i></p> <ul style="list-style-type: none">  <i>Fill in this section in cooperation with the LFI.</i> <i>Present concisely and coherently the information to understand the Project and the Action for which WBIF support is requested.</i> <i>Ensure that the main direct and indirect beneficiaries are identified and described (i.e. those who will benefit from the Project).</i> <i>Use and document official sources of information to justify key issues/main deficiencies and the demand analysis.</i> <i>Link identified problems to specific objectives and proposed solution(s).</i> <i>Avoid using jargon and acronyms.</i> <i>Include a map of the location of the Project.</i> 	
	16.1	Background and context of the Project
	<p><i>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. What is needed? How is it justified? Where does the project idea originate from? What are the market failures or suboptimal investment situations which will be addressed, which may be proven to be financially viable but do not give rise to sufficient funding from market sources? Where relevant, describe the avoidance of the potential crowding out of other sources of finance.</i></p> <p><i>Market failure is traditionally defined as a situation with an inefficient distribution of goods and services, whereby the individual incentives for rational behaviour do not lead to rational outcomes for the group. It is, therefore, a disequilibrium state in which the rational behaviour of the individual does not lead to a rational behaviour for the group. In these situations, donors can support the beneficiary government in intervening to provide public goods and handling both positive and negative externalities of free market economic activities.</i></p> <p><i>Public goods are defined by two distinct aspects: non-excludability and non-rivalrous consumption. “Non-excludability” means that people cannot be excluded from their fruition, while “non-rivalrous” consumption means that the consumption of a good by one person does not reduce the amount available for others. Public goods such as infrastructures, non-toll roads, municipal sewage systems, energy efficient public buildings are all examples of public goods, and many others, including well-educated youth.</i></p> <p><i>Externalities occur whenever a transaction has a spillover of benefits (positive) or costs (negative) to parties not involved in the original transaction. Thus, a private company’s investment in renewable energy facilities has a positive spillover for the general</i></p>	

	<p>population in terms of air quality, while a chemical plant's continued reliance on old technology has a negative spillover effect due to the pollutants it releases into the environment, which could be avoided if the company was to invest in renewing its equipment.</p> <p>While making the argument of how the proposed action intends to create public goods or manage positive and negative externalities, thus addressing a market failure or a suboptimal investment situation, bear in mind that the European Commission remains an economic actor managing scarce resources in pursuing its policy priorities. It is, therefore, important that you carefully qualify and quantify the public goods and externalities that the action intends to create.</p> <p>Describe any other relevant socio-economic implication of the Project, e.g. relevant information on the social and/or market impact that the Project, if implemented, will have, for instance, a significant and sudden rise in utility tariffs, which may be necessary for the sustainability of the sector and of the Project but which may have important social consequences.</p> <p>Describe reference programmes in the beneficiary economy/region/sector (e.g. similar programmes carried out in the sector), these programmes' benchmarks, and the main lessons learnt.</p> <p>Explain the involvement of the private sector if relevant.</p>
16.2	Needs/demand analysis (current and forecast)
	<p>Using quantitative and qualitative data, describe the problems (including gaps, shortcomings, or deficiencies) the Project addresses to demonstrate that the investments are needed. It is paramount to summarise critical infrastructure deficiencies and needs that the Project (or project component/phase) will address and bring to EU standards.</p> <p>Provide a summary of the demand analysis, including the predicted demand growth rate, to demonstrate the demand for the Project in accordance with the results of the Cost-Benefit Analysis. Minimum information required: (i) projections methodology; (ii) assumptions and baselines (e.g. traffic in the past, future traffic without the Project); (iii) projections for selected options (if applicable); (iv) supply-side aspects, including analysis of existing and expected infrastructure developments; (v) network effect (if any).</p>
16.3	Description of the intervention
	<p>Provide the narrative supporting the intervention logic identified in the Result Framework in Annex 2. Note that the ambitions set in this narrative part are to be consistent with the impact/outcomes and output levels of the result framework:</p> <ul style="list-style-type: none"> • In line with OECD/DAC terminology, the term 'results' is understood to cover Outputs, Outcomes (Specific Objectives) and Impact(s) (Overall Objective(s)). • Starting from the market failure described in section 16.1, describe each element of the results chain following a vertical approach (from the bottom – outputs, via outcomes, to the top – impacts) in which cause and effect relationships are identified and to be achieved at different moments in time. • Consider the sequential and temporal path of the intervention logic in this section. • Briefly mention how the different stakeholders are involved in the implementation of the intervention and who will benefit from it (main direct and indirect beneficiaries). • The description of the intervention should not be confused with the implementation plan and the activities to be implemented under the Project, which are described in sections 16.5 and 17.
16.4	Project map
	<p>Include a map that clearly shows the project area and its context to allow a good understanding of the location of the various facilities of the Project. The map should be easy to read, of high quality, preferably in colour, and have a clear legend (map key).</p>
16.5	Description of the Project
	<p>The description must be structured, concise, clear and focused on key aspects: main characteristics (design specifications) and components and/or phases of the Project (if it has more than one component or phase), justification of the Project's scope and size in relation to forecasted demand, explanation of options selected concerning climate change and the results of the natural disasters risk assessment (as applicable), primary beneficiaries of the infrastructure (e.g. target population served).</p> <p>If the Project has several phases or components, present those already completed and under implementation, as well as subsequent phases and/or components in chronological order.</p> <p>Briefly describe and quantify the beneficiaries of the Project, emphasising vulnerable, disadvantaged, disabled, and gender-sensitive groups.</p>
16.6	Description of the Action
	<p>Describe the scope of the Action, i.e. the project activities funded by the WBIF grant, split into:</p> <ul style="list-style-type: none"> • Investment: works and supplies co-financed by the WBIF grant. • TA (if applicable): technical assistance financed partially or entirely by the WBIF grant. <p>Describe how the supervision of works will be carried out for the works and supplies co-financed by the WBIF grant.</p> <p>Please note that the activities of the intervention are not to be considered results, which are instead captured in Annex 2. This section is meant to provide an overview of the activities that will be performed against available resources. Ensure consistency of the description of the Action with the cost components from section 23 – Calculation of the WBIF investment grant.</p>
16.6.1	Investment component
	<p>For the investment component, describe quantitatively and qualitatively the works and the supplies co-financed by the WBIF grant: main characteristics (design specifications) and components, expected outcomes, how the components co-financed by the grant are linked to other Project components, location/site of the works and how they contribute to achieving the objectives of the Project. Explanatory graphs, tables or pictures may complement the description. If the WBIF grant co-finances the entire Project, specify that and do not repeat the description of works and supplies in this subsection.</p>
16.6.2	TA component (as applicable)
	<p>If the WBIF grant finances TA, describe the scope of each TA activity for which WBIF grant funds will be used and in which stage of the project cycle they will be brought in (e.g. design, procurement, construction, etc.) Specify normative provisions and standards mandatory for implementing the TA.</p>
16.7	Reference documents

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

Indicative project status and planning


Describe the Project's current stage and the envisaged timeline per the instructions below. The following key aspects should be covered in this section:

- **Technical:** status of/planning for preparing the masterplan, pre-feasibility study, feasibility study and cost-benefit analysis, environmental and social impact assessment (ESIA), preliminary and detailed designs, tender documents, etc. Indicate each technical documentation's title, author, issue, and approval date.
- **Administrative:** status of/planning for urban planning, environmental permit, land availability, invitations to tender, construction permit, etc.
- **Financial:** status of/planning for loan agreement(s) with the LFI and other IFIs financing the Project (e.g. under negotiation, signed, etc.), other donor grants, allocation from the 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.	Masterplan 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. the conclusion could be that the project is not bankable)
4.	Feasibility Study and Cost-Benefit Analysis	De facto not mature	(e.g. the 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. 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 agreements 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	

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- The stage of the Project must reflect its status at submission: previous stages/phases of the Project must be completed, including conclusions.
-  Ensure fulfilment of maturity requirements, e.g. confirmation of completion of the technical documentation and tender dossiers for all components associated with the Action, availability and suitability of land ownership, loan agreements with IFI(s);
- If, for any reason, the activities financed by the grant are not ready to start, briefly present the issues.
- Complete this section in cooperation with the LFI.

Note:

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

^(b) Select one of the following status options in the table:

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

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

Additional activities specific to the Project can be added as separate entries (individual rows) in the table.

Activity	Duration ^(a)		Status ^(b)	Comments ^(c)
	Start date (MM/YYYY)	Completion date (MM/YYYY)		
Masterplan and other relevant spatial planning documents	[insert date]	[insert date]	[select status]	Short description of the status, results, main conclusions, outstanding issues and/or conditions. Include the title, author and issue date.
Definition of the investment project	[insert date]	[insert date]	[select status]	Describe how the Project is a priority for the national

				<i>authority. E.g. the Project's position and scoring in the SPP. Justify the application if the Project is not ranked or has a low score in the SPP.</i>
Strategic Environmental Assessment (if applicable)	<i>[insert date]</i>	<i>[insert date]</i>	[select status]	<i>Short description of the status, results, main conclusions, outstanding issues and/or conditions. Include the title, author and issue date.</i>
Pre-feasibility Study	<i>[insert date]</i>	<i>[insert date]</i>	[select status]	<i>As above</i>
Conceptual Design	<i>[insert date]</i>	<i>[insert date]</i>	[select status]	<i>As above</i>
Feasibility Study (including Cost-Benefit Analysis)	<i>[insert date]</i>	<i>[insert date]</i>	[select status]	<i>As above</i>
Environmental and Social Impact Assessment	<i>[insert date]</i>	<i>[insert date]</i>	[select status]	<i>Short description of the status, milestones, and decisions stemming from the ESIA procedure leading to the development consent (e.g. ESIA screening decision, environmental consent decision). Indicate if the ESIA Study meets the requirements for the Project's appraisal and the implementation procedures of the LFI. <u>Start date:</u> Onset of the application for environmental consent. <u>Completion date:</u> End of the ESIA procedure, including appeals and final decision.</i>
Preliminary Design	<i>[insert date]</i>	<i>[insert date]</i>	[select status]	<i>Short description of the status, results/main conclusions, outstanding issues and/or conditions. Include the title, author and issue date.</i>
Land ownership	<i>[insert date]</i>	<i>[insert date]</i>	[select status]	<i>Short description of the legal ownership of the project site(s) and the land for the new investments, land use planning decision(s) concerning the project sites(s), and significant risks of delay and/or pending decisions on land purchase (e.g. expropriations). Land availability is critical for infrastructure development and one of the leading causes of delay. During the design phase, the availability of the land needs to be fully acknowledged, and all issues need to be identified, including estimated acquisition costs and the time required for expropriation procedures (if any). It is common and good practice to consider that a project is mature for co-financing only if the land is already acquired and available because the likelihood of delays in the acquisition plan can be significant, which, in turn, will delay the overall construction period. Such a situation can be avoided only if the land</i>

				acquisition programme is significantly advanced or the government has committed to providing unencumbered land.
Detailed Design	[insert date]	[insert date]	[select status]	Short description of the status, results/main conclusions, outstanding issues and/or conditions. Include the title, author and issue date.
Construction and other statutory permits	[insert date]	[insert date]	[select status]	Short description of the status, development consent decision(s) - i.e. construction permit - or expected decisions, and renewals/updates of authorisations/approvals. If authorisations have yet to be issued, indicate the estimated completion timeframe.
Loan(s) negotiation and signing	[insert date]	[insert date]	[select status]	Short description of the status of loan agreements with the IFIs financing the Project, e.g. under negotiation, terms agreed upon, signed, etc.
Preparation of tender dossier(s)	[insert date]	[insert date]	[select status]	Short description of the status and construction contract type (e.g. FIDIC Pink/Red Book, FIDIC Yellow Book, etc.
Procurement for works (per phase/component)	[insert date]	[insert date]	[select status]	Short description of the status, potential delays (e.g. appeals, retendering), contract(s) signature, and type of contract (e.g. FIDIC Red/Pink Book or Yellow Book). If the Project has more than one component and/or phase, describe the status of procurement procedures for each component and/or phase.
Construction works	[insert date]	[insert date]	[select status]	Short description of the status. If the Project is divided into phases and/or components, list each phase and/or component separately. If, for any reason, the Project or the activities financed by the WBIF grant (i.e. the Action) are not ready to start, briefly describe the issues. If the Project has already started, indicate the implementation status of each phase and/or component, describe executed works and the percentage completed.

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Coherence with the WBIF objectives, EU policies, and adopted national/sectoral strategies

Provide a structured, concise and precise description of how the Project (i) addresses the WBIF blending investment priorities in line with the [Economic and Investment Plan for the Western Balkans](#) (EIP), the [Guidelines for the Implementation of the Green Agenda for the Western Balkans](#) and [the WBIF Strategic Orientations 2021-2027](#), (ii) meets and contributes to the fulfilment of EU policies and core directives, and (iii) is consistent with the adopted national sectoral strategy, relevant national and regional development plans and strategies, in particular those of the sector the Project addresses.

- Ensure that the Project addresses the WBIF blending investment priorities, policy objectives and investment flagships of the Economic and Investment Plan for the Western Balkans.
- Ensure that the strategic justification of the Project is reliable and relevant.
- Demonstrate the Project's compliance with relevant national legislation, EU acquis and policies and other donors' strategies.
- Clearly explain where the Project comes from and why it is a priority for the Beneficiary and region.
- Ensure that the Project considers any special needs and responds to challenges related to any forms of discrimination and environmental impact.

	<ul style="list-style-type: none"> Ensure correlation between the information included in the SSP and the grant application form (e.g. Project title, total project cost). <p>(Indicative max 500 words)</p>
18.1	Alignment with the Economic and Investment Plan for the Western Balkans
	Describe how the Project addresses the WBIF intervention areas, policy objectives and investment flagships of the Economic and Investment Plan for the Western Balkans . The description should consider the relevant WBIF investment priorities , notably sustainable transport, clean energy, environment and climate, digital future, and human capital development, as well as the investment flagships identified in the Annex to the Plan.
18.2	Alignment with Green Agenda objectives
	Describe how the Project is consistent with the Guidelines for the implementation of the Green Agenda for the Western Balkans . For all projects , specify positive and negative impacts concerning the five pillars of the Green Agenda (e.g. decarbonisation, depollution, circular economy, sustainable food systems and rural areas, and biodiversity). For energy projects , specify the contribution to decarbonise energy production and/or consumption. For transport projects , describe the matching with the priorities of the Sustainable and Smart Transport Strategy (SSTS), decarbonisation, digitalisation, modal shift, safety, etc., and demonstrate alignment with the 'do no significant harm' principle and the Paris Agreement.
18.3	Coherence with EU policies and core directives
	Explain how the Project contributes to the fulfilment of EU policies and core directives (e.g. environment, climate change, state aid, public procurement). Please refer to relevant EU policy documents, such as the EU pre-accession strategy, the Economic and Reform Programme (ERP), the Country/Regional Multi-Annual Indicative Programme and the IPA III Regulation objectives, and other EU interventions in the country/region.
18.4	Compliance with adopted national/sectoral strategies
	Describe the Project's compliance with the main national/regional policies for the concerned sector or thematic area (including gender equality strategies or action plans), consistency with the national/regional development strategy, sector strategy, action plan and with the country's Nationally Determined Contributions (NDC), National Energy and Climate Plan, or National Adaptation Plan (NAP). Explain how the Project contributes to national/regional policies and summarise the main objectives of the Beneficiary's policy that the Project supports. Indicate the Project's position in the SPP and justify application if the Project is ranked low in the SPP. Describe the Project's priority from the point of view of national and regional authorities (e.g., the Transport Community, the Energy Community, or other similar bodies). Describe any related projects (financed by WBIF, national IPA, or other donors/ financiers) and indicate how coordination and complementarity with those projects will be ensured.

19	<p>Consultations before submission:</p> <ul style="list-style-type: none"> NIC IFIs EU Delegation(s) Donors Regional/international organisations Other stakeholders 	<p>Summarise the timing, nature and outcome of consultations conducted before submission with the following stakeholders:</p> <ul style="list-style-type: none"> National Investment Committee (NIC) or equivalent national structure; LFI and co-financiers; EU Delegation(s); Geographical unit(s) of DG NEAR; Other donors; International and regional organisations; Other stakeholders, if relevant (e.g. civil society organisations, etc.) <p>Expound on the political support for the Project, i.e. the confirmation letter to the European Commission and IFIs by the relevant Ministry of Finance confirming that (i) the Project is a high priority for the Beneficiary, (ii) its costs are planned and foreseen in the future budget, (iii) relay a firm commitment to take up the loan and to implement the Project per the grant application (concerning scope and timeline). Indicate whether this letter is submitted with the grant application.</p> <p>(Indicative max. 200 words)</p>
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	Institutional framework of the Project
	Describe the institutional aspects of the Project's implementation: Who and how will ensure its implementation? What is the role of these entities? Add a chart illustrating the institutional framework.
20	20.1 Description of entities involved
	Describe the entities involved in the implementation of the Project, including: <ul style="list-style-type: none"> Beneficiary(ies) authority(ies) (e.g. Ministry(ies) and department(s)); Owner of the construction permit(s) for the Project; Implementing entity(ies) or equivalent; Project Management Unit (PMU)/Project Implementation Unit (PIU) or equivalent; In case of involvement of a privately-owned company, clarify the contractual structure (e.g. concession, private-public partnerships).

20.2 Organisational set-up

This section should provide a comprehensive account of the organisational structure put in place for implementing the Project:

- Describe the role (tasks, responsibilities, relations between the different bodies) of the LFI (local/regional offices, sector manager in the Beneficiary), the co-financiers and other entities involved (institutions/authorities of the Beneficiary, implementing entity(ies), other donors, etc.) to demonstrate the existing capacity for implementing the Project.
- Clarify whether the Project involves creating an implementation unit (e.g., a Project Implementation Unit (PIU)) and describe its setup, roles, and responsibilities.
- Indicate if the beneficiary/PIU can define the investment plan, procure and implement the Project or if technical assistance is needed.
- Provide a brief description of in-country coordination arrangements, including with EU Delegations.
- If applicable, provide a comprehensive description of the organisational structure for operating the investment in the project area. Include existing institutional structure (e.g. ownership of infrastructures, contractual obligations to the new infrastructure, the evolution of tariffs, etc.)
- Indicate whether the WBIF grant will be pooled in a joint Project account with funds from the LFI and other co-financing institutions or kept in a separate account.
- Describe the flow of the WBIF contribution to entities involved down to the final beneficiaries/recipients.



- Clearly define the specific roles of the institutions involved in the Project.
- Ensure the institutional aspects of implementing the Project and operating the new investments are duly described.
- Include a chart illustrating the institutional framework of the Project.

Project budget and financing plan

A clear and complete project budget (cost breakdown structure) and financing plan (sources of funds and corresponding contributions) should be provided. Please include the cost components, their description (related activities), the corresponding amount in the budget matched against sources of funds and their financial contributions to the financing plan. The costs should not include VAT.

The prefilled cost components listed in the grant application form are indicative; their final composition is left to the applicant's appreciation. The budget should provide a detailed indication of the Project's main costs and budget resources.

The costs for works and supplies without contingencies must be listed separately from TA for project preparation and implementation. Costs associated with ensuring EU visibility are eligible and can be budgeted. However, rather than being included in a standalone visibility budget line, visibility costs should be factored into the budget under the relevant activity to which they relate, i.e. works and supplies. The budget should also include costs for evaluation and audit, and contingencies. If the Project has more than one component and/or phase, the costs must be presented by project component and/or phase (i.e. in individual rows as in the table). The financing plan should contain the actors (i.e. sources of funds) that provide financing to the Project, the amount of their contribution and the cost components financed by each contribution: WBIF, Lead Financial Institution, co-financiers, Beneficiary's contribution (national contribution), EU national IPA, other private (e.g. commercial banks) and public financiers (e.g. other donors). Please indicate the type of contributions from each source of funds: investment grant, technical assistance grant, loan, guarantee, equity, interest rate subsidies or other. Create separate entries (i.e. individual rows in the table) for each source and type of funds (e.g. loan, grant) and differentiate between sovereign and non-sovereign loans and private sector finance.

The fields for sums and percentages are filled in automatically in MIS. The amounts of "Total project cost" and "Total financing available" must be identical to submit the application.

While it is understood that the figures provided in this section are indicative and may differ from the final ones to be used in the contracting phase, the applicant should put all the efforts to ensure that these amounts reflect the expected amounts involved in the Project as much as possible.

Eligible costs

The categories of costs eligible for WBIF co-financing refer to costs that, with due regard to the eligibility criteria set in Chapter 1 – Eligibility criteria of these Guidelines, are **necessary for implementing the Action funded by the WBIF grant**. The costs must be reasonable and justified and comply with the principle of sound financial management, particularly regarding economy and efficiency.

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

- Works (building and construction);
- Supply (plant and machinery);
- Technical assistance for preparation of detailed design (if applicable or missing), project management support;
- Supervision of works;
- EU visibility costs;
- Contingencies.

The detailed design cost (including final cost estimates and tender documents) is typically around 4–5% of the estimated investment cost (i.e. works, supplies and contingencies) for infrastructure projects. Construction supervision usually adds another 4–5% to the estimated cost. **Contingencies** should not exceed 10% of the investment cost (i.e. works and supplies) net of contingencies.


Attention is drawn to the importance of the "Payment of the grant from the Joint Fund" section of the grant application form. This section includes the final date of operational implementation of the Action and the payment schedule, which must be provided before the European Commission signs the application and sets time limits on the disbursement of the WBIF grant. The final date of operational implementation of the Action refers to the completion date of all contracts implementing the Action (e.g. works have been performed, supplies have been delivered, services have been provided). For grants financed by the European Commission, the final date of operational implementation is specified in the respective Financing Decision of the European Commission, and disbursements are not allowed past this date.

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 that has

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already begun if the applicant demonstrates and justifies the need to start the Action before the signature of the Contribution Arrangement. Retroactive financing is an exception, and such requests will be assessed case-by-case.

- Expenditure outside the eligibility period.
- Expenditure ineligible under national rules.
- Other expenditures such as:
 - Cost of purchase of land or buildings;
 - 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;
 - Communication costs;
 - Value-added tax (VAT) to the extent that VAT is recoverable;
 - Customs and import duties, any other charges;
 - Fines, financial penalties, and litigation expenses;
 - Second-hand equipment;
 - Bank charges, cost of guarantees and similar charges;
 - Conversion costs, charges and exchange losses associated with any of the component-specific euro accounts, as well as purely financial expenses;
 - Contributions in kind.
-  Include all the cost components of the Project in the budget.
- Duly budget all cost components and keep them within thresholds.
- Present the costs by component and/or phase of the Project in the budget.
- Match the cost components with the sources of funds in the financing plan.
- Complete this section with the LFI.

Indicative total project budget (cost breakdown)

Cost component number	Cost component description	Total costs (€) (A)	Non-eligible costs (€) ^(a) (B)	Eligible costs (€) ^(a) (C)=(A)-(B)
1	Planning/design (permits) fees	[insert amount]	[insert amount]	[filled in automatically in MIS]
2	Land purchase	[as above]	[as above]	[as above]
3	Technical assistance for project preparation (e.g. masterplan, pre-feasibility study, feasibility study, ESIA, detailed design, tender documents, procurement procedures)	[as above]	[as above]	[as above]
4	Technical assistance for project implementation (e.g. supervision of works, project management)	[as above]	[as above]	[as above]
5	Works (Building and construction) ^(b)	[as above]	[as above]	[as above]
6	Supply (Plant and machinery) ^(b)	[as above]	[as above]	[as above]
7	Evaluation and audit ^(c)	[as above]	[as above]	[as above]
8	Contingencies ^(d)	[as above]	[as above]	[as above]
9	Other (e.g. project design review/verification by review committee) ^(e)	[as above]	[as above]	[as above]
10	WBIF grant implementation and administration fees ^(f)	[as above]	[as above]	[as above]
Total project cost		[filled in automatically in MIS]	[filled in automatically in MIS]	[filled in automatically in MIS]

Financing plan

Source of funds	Cost component financed	Amount (€)	% / total	Remarks (i.e. Code/ Ref. of financing)
National contribution	[insert the number of the cost component(s) financed]	[insert amount]	[filled in automatically in MIS]	[indicate the budget in which the Project is included]
IFI Loan 1 [insert IFI name]	[as above]	[as above]	[as above]	[indicate if the loan is sovereign or non-sovereign and its

					<i>status is, e.g., estimated, terms agreed upon, 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>	<i>[as above]</i>
Grant amount requested ^(g) <i>[insert the code of the WBIF investment grant]</i>	<i>[as above]</i>	<i>[as above]</i>	<i>[as above]</i>	<i>[as above]</i>	<i>[current grant request]</i>
Other WBIF grants ^(h) <i>[insert grant code]</i>	<i>[as above]</i>	<i>[as above]</i>	<i>[as above]</i>	<i>[as above]</i>	<i>[indicate activities financed]</i>
Other grants ^(h) <i>[insert donor name]</i>	<i>[as above]</i>	<i>[as above]</i>	<i>[as above]</i>	<i>[as above]</i>	<i>[code/reference number of the financing agreement, financed activities]</i>
Other sources ^(h) <i>[insert source name]</i>	<i>[as above]</i>	<i>[as above]</i>	<i>[as above]</i>	<i>[as above]</i>	<i>[as above]</i>
...
Total financing available		<i>[filled in automatically in MIS]</i>	<i>[filled in automatically in MIS]</i>		

^(a) Eligible and non-eligible cost categories listed above.

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

^(c) Statutory audit and evaluation costs fall with the Beneficiary under the national legislation or with the LFI as part of their due diligence and control for managing the Project. These costs are not eligible for WBIF grant support.

^(d) Should be taken from the technical documentation developed for the Project and should be at most 10% of the costs for works and supplies.

^(e) Costs not included under 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.

^(f) Implementation and administration fee for the requested WBIF grant, as calculated in section 23 - Calculation of the WBIF investment grant.

^(g) Must be identical to the 'Total WBIF grant amount' (i.e. the grant with implementation and administration fees) from section 23 - Calculation of the WBIF investment grant.

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

22	Fiscal space and debt sustainability	<p>Complete this section in cooperation with the LFI and the Ministry of Finance. Describe the following elements:</p> <ul style="list-style-type: none"> Public debt in absolute terms and relative to GDP, recent trajectory and expected medium-term trajectory, and public debt levels vs debt ceiling, if applicable. Assess how the sovereign or sub-sovereign loan/guarantee (to which blending is to be added) attached to the Project affects the debt sustainability framework at national and sub-national levels, including in case of default or if the guarantee is called on. If relevant, confirm that the operation is part of the investment pipeline agreed between the government and the IMF/World Bank. Sovereign credit rating and outlook of the Beneficiary and changes over the past two years, if applicable. Impact of the Project on public debt levels (e.g. Ministry of Finance commitment/consultation). Link the Project to the medium-term budgetary programme to demonstrate its sustainability. Availability of budgetary funds and borrowing capacity for the Project.
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23	<p>Calculation of the WBIF investment grant</p> <p><i>Include only costs that will be funded from the WBIF investment grant.</i></p> <p><i>The project-specific co-financing rate applies to the costs for works, supplies and contingencies (i.e. the 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 related amount may not exceed the maximum rate specified in Chapter 4.1 of these Guidelines for the subsector the Project addresses. The applicant must justify the project-specific co-financing rate in section 24.</i></p> <p><i>Technical assistance costs for project preparation and implementation (only the eligible cost categories listed in section 21) may be financed up to 100% of their total cost.</i></p> <p><i>Costs associated with ensuring EU visibility should be factored into the costs for works and supplies, i.e. in line (1) in this section, as per the costs provided in section 21.</i></p> <p><i>The following implementation fees apply to the WBIF grant:</i></p> <ul style="list-style-type: none"> • 2% (two percent) of the total co-financing amount of the investment component of the application (works and supplies, contingencies, costs associated with ensuring EU visibility”) will be included in the total amount of the WBIF grant. • 4% (four percent) of the total amount of the technical assistance component of the application will be included in the total amount of the WBIF grant. <p><i>The following administration fee applies to the WBIF grant:</i></p> <ul style="list-style-type: none"> • 1.3%/98.7% (1.3 percent divided by 98.7 percent) of the grant amount with implementation fees. <p><i>The maximum co-financing rate for the infrastructure investment depends on the results of the Cost-Benefit Analysis for the Project, the actual needs of the Project for public support, as well as consultations between the European Commission (DG NEAR), the Beneficiary and financial institutions.</i></p> <ul style="list-style-type: none"> • Include all the cost categories associated with the Action in the calculation of the WBIF grant; • Ensure a clear distinction between the components and/or phases of the Project and those co-financed by the WBIF grant; • Duly budget all the activities financed by the WBIF grant and do not exceed the maximum co-financing rate; • Ensure consistency between the technical description of the Action (subsection 16.5) and the grant amount requested. • Complete this section in cooperation with the LFI. 			
	Cost component	TOTAL ELIGIBLE COSTS (€) (A)	CO-FINANCING RATE (%) (B)	MAXIMUM CO-FINANCING (€) (C) = (A) X (B)
	(1) Works and supplies ^(a)	[amount]	Project specific co-financing rate%	[amount]
	(2) Contingencies ^(b)	[amount]	Project specific co-financing rate%	[amount]
	(3) Technical assistance ^(c)	[amount]	Up to 100%	[amount]
	Grant amount without fees	[SUM (1:3) filled in automatically in MIS]		[SUM (1:3) filled in automatically in MIS]
	(4) Implementation fee for the INV component of this application ^(d)			[amount filled in automatically in MIS]
	(5) Implementation fee for the TA component of this application ^(e)			[amount filled in automatically in MIS]
	(6) Administration fee for the WBIF grant ^(f)			[amount filled in automatically in MIS]
	TOTAL WBIF GRANT AMOUNT			[SUM(1:6)]
<p>^(a) May include eligible costs for works (building and construction) and supplies (plant and machinery) from section 21 - Project budget and financing plan.</p> <p>^(b) May include eligible costs for contingencies from section 21 - Project budget and financing plan. The costs for contingencies should be taken from the technical documentation developed for the Project and not exceed 10% of the costs for works and supplies.</p> <p>^(c) May include eligible costs for technical assistance for project preparation (detailed design if applicable or missing) and implementation (supervision of works, project management) from section 21 - Project budget and financing plan.</p> <p>^(d) 2% of the maximum co-financing amount for works, supplies and contingencies.</p> <p>^(e) 4% of the maximum co-financing amount for technical assistance.</p> <p>^(f) 1.3%/98.7% (1.3% divided by 98.7%) of the grant amount with implementation fees.</p>				


24	WBIF grant amount justification	<p>Please explain thoroughly how the WBIF contribution was determined/calculated, providing the methodology used to reach the requested level of the WBIF grant and co-financing rate, i.e. a detailed numerical calibration of the grant.</p> <p>It is essential to describe the type of activities to be carried out due to the WBIF grant, listing the cost components and their corresponding amounts for which grant funding is requested (figures as provided in sections 21 and 23). For works, supply and technical assistance, this should include a breakdown of planned activities and corresponding costs, as well as why a specific co-financing rate is requested. For contingencies, this should include a description of what is covered by contingencies, how the amount requested for grant funding was determined and the reasons for covering that specific amount by the WBIF grant. All the costs considered</p>
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	<p><i>in the calculation of the WBIF grant should be duly detailed, eligible and appropriate for the Action.</i></p> <p><i>Address also 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, 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).</i></p> <ul style="list-style-type: none"> • Complete this section in cooperation with the LFI. • Provide a detailed numerical calibration of the grant. • Duly justify the grant amount and ensure that the results of the economic and financial analyses from the technical documentation support it.
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25	<p>Additionality of WBIF grant</p> <p><i>Complete this section in cooperation with the LFI. This section deals with the additionality of the WBIF grant, understood as what the WBIF grant will achieve, in terms of benefits or positive results, over and above what would be achieved without it. Grant funding is justified only when significant additionality is shown for the funding itself.</i></p> <p><i>Some types of additionalities are quantifiable, and the applicants should make every effort to quantify the additionality of the grant as far as possible. Others may not be quantifiable, and those should be addressed qualitatively. Where a qualitative method is chosen, the reasons should be explained. Evidence should be provided to support claims of additionality as far as possible.</i></p> <p><i>Include elements that will lead to additional benefits related to cross-cutting issues, such as the environment, gender equality and equal opportunities, the needs of disabled people, the rights of minorities and/or vulnerable groups whenever possible, innovation and best practices, etc.</i></p> <p><i>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 appropriate.</i></p>	
	Economic and financial	<p><i>What are the economic benefits of the proposed grant funding? Why is the proposed grant funding necessary for the operation?</i></p> <p><i>What are the financial benefits of the WBIF's contribution to the Project? How will it impact the end beneficiaries? For example, broader access to finance for target groups, lower end-user tariffs, increased affordability of services, etc.</i></p>
	Project scale	<i>How will the grant increase the scale of the Project? Will it widen the operation's results or extend the benefits to more people?</i>
	Project timing	<i>In what way does the grant element positively affect the timing of the operation and the benefits it is expected to deliver?</i>
	Project quality and standards	<i>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 promote higher standards (including social and environmental standards) and more substantial social or global public good returns than would otherwise be possible? Does the grant funding contribute to gender equality and equal opportunities, the needs of disabled people, and the rights of minorities and vulnerable groups?</i>
	Innovation	<i>What innovative aspects of the Project would only be generated by or within the target environment with grant support? Why is the proposed innovation important?</i>
	Sustainability	<i>Does the grant funding help support further or parallel activities to ensure that benefits continue beyond the life of the Project? For example, does the grant contribute to structural reforms and support legislative, regulatory or policy changes? Does the grant finance enable demonstration effects to other participants in the marketplace?</i>
	Other benefits	<i>Other benefits/positive externalities that the Project may realise (or negative externalities avoided) and would not happen without the grant. Are there any significant benefits outside the main/primary objectives of the loan operation that the grant brings?</i>

26	<p>Leverage ratios</p> <p><i>Complete this section in cooperation with the LFI. Leverage ratios indicate how the Project is financed, e.g. how much capital is put, in which form and by whom, or, in other words, who is doing what in financial terms. What is important here is the value of financing at source (e.g. outward flows from capital providers), divided by type of contribution (grants, financial instruments) and by actor (EU, IFI, Beneficiary, private sector).</i></p> <p><i>Three standard indicators are used: the EU leverage effect, the Lead Financial Institution leverage ratio, and the Private sector finance leverage ratio. To ensure clarity, the individual elements of the calculation should be shown for each of these ratios, not just the calculated leverage ratio. The WBIF grant implementation and administration fees should be included in the denominator as part of the EU contribution but not in the numerator.</i></p> <p><i>For coherent and transparent reporting, only funds that will be used in the investment project phase to which the grant is attached should count towards the ratio – investments expected in future phases of the Project should not be counted unless they are committed at the same time as investments in the present phase. Finance provided as a parallel finance stream but not directly as an input into the Project should normally be excluded.</i></p> <p><i>Similarly, additional finance mobilised as an indirect result of the Project (e.g. as a result of the demonstration effect, etc.), even if the time leg is short, should not count towards the leverage ratio.</i></p> <p><i>Concerning the denominator of all three proposed ratios, the total EU support should include pre-investment technical assistance (technical assistance that enabled project identification or preparation) and investment phase technical assistance (technical assistance that accompanies the implementation phase).</i></p>
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EU leverage effect	= the amount of reimbursable financing provided to eligible final recipients divided by the amount of the EU contribution including fees. The numerator of this ratio includes EU reimbursable financial instruments (EU contributions that reach the final beneficiary as a reimbursable instrument), LFI and other financiers' (e.g. co-financiers) reimbursable financial instruments that reach the final beneficiary.
Lead Financial Institution leverage ratio	= total amount of financing provided by the LFI divided by the amount of the EU contribution including fees. The numerator of this ratio includes IFI reimbursable financial instruments and IFI grants.
Private sector finance leverage ratio	= amount of private sector financing (e.g. non-EU, non-LFI) in the investment project divided by the amount of the EU contribution including fees. The numerator of this ratio normally includes contributions from the private sector (privately owned reimbursable financial instruments and grants) and, where the case, equity from beneficiaries.
Multiplier effect	= total financing to eligible Beneficiary beyond the EU contribution. This entry differs from the "EU leverage effect" insofar as it includes all financial contributions, including non-reimbursable financing. WBIF grant implementation and administration fees should be included in the denominator as part of the EU contribution but not in the numerator.

27	Project sustainability Complete this section in cooperation with the LFI. Describe under which conditions the Project will be sustainable when the grant support, and including the TA grant support, will expire, including any incentives that could be necessary to enhance the sustainability of the Project. Describe how the maintenance of the Project will be ensured during project implementation and operation. Ensure that this section addresses the following sustainability aspects: <ul style="list-style-type: none"> • <u>The economic viability of the Project</u> is confirmed with reasonable certainty, i.e. the net benefits are expected to be positive, there are no better ways of achieving the Project's purpose, and the public financial resources used for the Project are unlikely to be employed better elsewhere. • <u>The Project proves to be accessible</u>, i.e. all financing sources are secured, and it will be financially and fiscally sustainable once in operation. • <u>Environmental and social impacts are acceptable</u>, or if negative impacts are foreseen, appropriate mitigation measures are proposed. • <u>Satisfactory project management arrangements</u> will be put in place to deliver the Project to specifications on time and within budget. • <u>Organisational arrangements for the operation of the Project</u> will be adequate for the sustainable delivery of the proposed services. 	
	Economic/financial viability	Does the Project guarantee an acceptable economic (and financial, as applicable) return? Describe future revenue flows expected from the Project, ongoing operation and maintenance costs and their expected sources of finance.
	Environmental aspects	Has the Project considered the environmental implications so that negative impacts on the environment are either avoided or mitigated during its life? Has a public consultation process taken place?
	Social aspects	Has the Project incorporated mechanisms that guarantee equitable access to and continuous distribution of the Project's benefits? If the Project will generate revenue (e.g., through tariffs, etc.), describe the affordability approach.
	Institutional aspects	Has the Project received the necessary support (both budgetary and institutional) to maintain and operate the facilities over their lifetime?

28	Risk assessment Identify the project related risks and the way these risks will be mitigated. Assess how seriously the identified risks might influence the Project: high (H), medium (M) or low (L). Keep in mind that: <ul style="list-style-type: none"> • Risks are factors that might hinder the achievement of the desired outcomes and are out of the promoter's sphere of control. • Refer to any impact assessment carried out – including ESIA (if applicable), climate risk and vulnerability assessment, and recommended mitigation measures. If any such impact assessments have not yet been completed but are required, please indicate them and why. • Indicate the applicable environmental and social standards/safeguards and provide the URL link to where these can be found. Address the following risk categories: <ul style="list-style-type: none"> • Political risks: including but not limited to the gap between legislation and/or standards of the Beneficiary and the EU and pace of convergence; policy changes; administrative changes. • Economic risks: Describe how macroeconomic conditions or policy changes may affect the Project, energy poverty, etc. • Financial risks (this should be linked to both the financing plan and entities involved in the implementation of the Project as detailed in sections 21 and 20): The description should focus on the following elements: (i) credit and currency risks of the beneficiaries; (ii) risks linked to financial institutions (intermediaries–, (iii) risk sharing operations - notably the percentage of expected and unexpected losses covered by WBIF funds, the period covered by risk sharing operations, the link between the size and use of the WBIF grant requested and expected and unexpected losses or other risks taken. • Social risks, including gender equality and access to education, or the risk of creating barriers to the participation of some groups, public opposition, affordability issues, discriminatory practices, and evictions.

- **Environmental risks**, including climate change and biodiversity loss, air pollution, and environmental injustice towards minority/vulnerable groups. This section must indicate the applicable environmental and social standards and safeguards that will be applied.
- **Implementation risks**, including:
 - Planning risks (e.g. the implementation of the 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 project designs/site investigations is likely to impact the likelihood of unforeseen problems; the use of suboptimal/obsolete technologies leads to substandard services, etc.);
 - Procurement risks (e.g. delay in procurement procedures, re-tendering, appeals, contractual disputes, etc.);
 - Construction risks (e.g. site unavailability, the construction of physical assets not completed on time, budget and specification, etc.);
 - Risks related to project outputs not leading to intended outcomes and impact.
- **Operation risks**: The risk that operating costs vary from the budget, performance standards slip, or the services cannot be provided; the demand for a service does not match planned, projected, or assumed levels, etc.
- **Human rights risks**
- **Other risks**: Risks that do not fit in the above classification should be described in this subsection (e.g. force majeure, adverse publicity regarding the construction or operation of the new infrastructure, etc.)

(Indicative max 500 words)

Type of risk	Description	Risk likelihood	Risk impact	Mitigation measure(s)
Political		[select likelihood]	[select impact]	
Economic		[select likelihood]	[select impact]	
Financial		[select likelihood]	[select impact]	
Social		[select likelihood]	[select impact]	
Environmental		[select likelihood]	[select impact]	
Implementation		[select likelihood]	[select impact]	
Operation		[select likelihood]	[select impact]	
Human rights		[select likelihood]	[select impact]	
Other		[select likelihood]	[select impact]	

29	Addressing climate change mitigation and adaptation	<p>Complete this section in cooperation with the LFI. Describe steps taken in project design and implementation to minimise the environmental impact and ensure the Project’s resilience to climate change. Address the Project’s potential contribution to GHG emission reduction and/or climate adaption, and summarise the climate risk assessments conducted, considerations and measures for improving the Project’s resilience to current and future climate risks. Elaborate on the Project’s alignment with the Paris Agreement and the Beneficiary’s Nationally Determined Contribution (NDC). Include project-specific climate markers (main/secondary dimension, reduced emissions /carbon footprint).</p> <p>Describe the climate finance components of the Project (if any) for adaptation and/or mitigation. The Rio Markers methodology should be used to determine whether climate change is the principal objective, one of the objectives (significant), or not an objective of the Project. Please consult the OECD guidelines for identifying the Rio markers⁴. Based on its methodology, the LFI may propose a specific percentage of the project budget as a climate change contribution.</p>			
		<i>Mitigation</i>		<i>Adaptation</i>	
	Rio Markers	Project [M€]	WBIF co- financing grant	Project [M€]	WBIF co- financing grant
	RM0 (no objectives)		□		□
	RM1 (significant objective)		□		□
RM2 (the principal objective)		□		□	

⁴ A fuller list of examples, by sector, is available in OECD’s Handbook for climate marking https://www.oecd.org/dac/environment-development/Revised%20climate%20marker%20handbook_FINAL.pdf

30 Indicative calendar of the Action

Summarise (narrative description) the critical milestones in the procurement and the implementation phases of the Action, as well as and the procurement procedures.

Provide the dates of specific milestones by identifying the quarter in which the Action’s milestone is expected to be reached (e.g. Q1/2025). The milestones included in the application form template are mandatory. Additional milestones specific to the Action can be added as separate entries (rows) in the table.

The following planning principles should be considered as guidance:

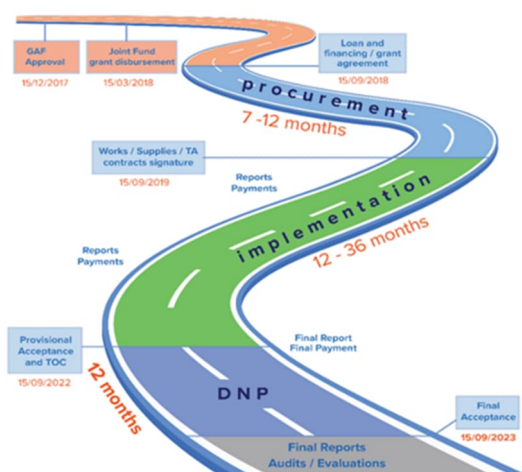
- Activities should align with the standard time necessary for procedures (e.g. obtaining permits, etc.)
- Activities should follow the sequential order of the development of the Action.
- The duration of each activity should include a safety margin.
- The overall duration of the Action should be sufficient for its complete execution.
- Dead time or hectic 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 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 also be 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 Action, describe in the narrative text box all the procurement procedures for implementing the Action. Provide an overview of the procurement rules that will be used, including the name(s) of the contracting authority(ies). Indicate when (e.g. Quarter/Year) and where tender(s) details, including tender(s) documents, will be published.
- For implementing the Action, indicate each activity’s (estimated) start and completion dates. Ensure planned activities are logically sequenced and can be realistically implemented in the foreseen period. 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 be completed at the end of the DNP;
 - Communication and visibility should be carried out in parallel with the TA for project management/TA for construction supervision (without the DNP).

The following illustration exemplifies typical timelines underlying the implementation of an investment project. Projects will follow different timelines due to their specificities and problems encountered. Nevertheless, the timeline selected will provide a good plan for the average duration and stages of implementation.



- Allocate sufficient time for procurement procedures, not only mandatory minimum periods for publication.
- Ensure that the procurement plan and procedures are tailored to the required expertise in accordance with the principle of ‘one expertise, one contract’.
- Clearly describe the procurement procedures in the narrative text box.
- Ensure that the planned activities of the Action are logically sequenced and can be realistically implemented in the foreseen period.
- Complete this section in cooperation with the LFI.

Type of contract	Procurement		Implementation	
	Expected date of publishing tender [Q/YYYY]	Expected date of contract signature [Q/YYYY]	Expected start date [Q/YYYY]	Expected completion date [Q/YYYY]
Technical assistance for project management <i>[if applicable]</i>	<i>[insert date]</i>	<i>[insert date]</i>	<i>[insert date]</i>	<i>[insert date]</i>
Technical assistance for supervision of construction	<i>[insert date]</i>	<i>[insert date]</i>	<i>[insert date]</i>	<i>[insert date]</i>
Works contract	<i>[insert date]</i>	<i>[insert date]</i>	<i>[insert date]</i>	<i>[insert date]</i>
Supply contract <i>[if applicable]</i>	<i>[insert date]</i>	<i>[insert date]</i>	<i>[insert date]</i>	<i>[insert date]</i>

31	Monitoring, reporting and evaluation	<p>Complete this section in cooperation with LFI. This section must be completed following the narrative and the result framework provided in Annex 2. Please describe:</p> <ul style="list-style-type: none"> • The performance and result monitoring arrangements specific to the Project. Indicate the LFI mechanisms for regular and systemic monitoring, reviewing, and evaluating the progress on the result framework indicators. • The arrangements to inform the indicators included in the Result Framework (Annex 2) about progress towards achieving the results. • The permanent system put in place by the LFI for monitoring the Action and regular reporting via reports and OPSYS. • The arrangements and quality assurance for data collection from downstream partners where relevant – including data disaggregation (i.e. by sex, gender, age, rural/urban, income/poverty, disability, etc.) and the extent to which the Action considers the human-rights based approach and contributes to gender equality and women’s empowerment. • The environment and social management plan integrated into the monitoring, reporting and evaluation system. • Practices during the Project’s preparation and implementation phases to ensure effective cooperation with EU Delegation and EU Headquarters. <p>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 if requested by the WBIF Operational Board).</p>
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32	Visibility	<p>Outline how the project will meet the EU visibility requirements for external actions, namely “Communicating and Raising EU Visibility: Guidance for External Actions”, which are available at https://international-partnerships.ec.europa.eu/knowledge-hub/communicating-and-raising-eu-visibility-guidance-external-actions_en.</p> <p>In line with requirements set out in the 2022 “Communicating and Raising EU Visibility: Guidance for External Actions”, implementing partners have a general obligation to acknowledge the origin and ensure the visibility of any EU funding received. The costs associated with ensuring EU visibility (emblem and funding statement) count as eligible costs and should be factored into the budget under the relevant activity to which they relate.</p> <p>Beyond ensuring EU visibility by prominently featuring the EU emblem and funding statement on any material and activity which relates to the Project, implementing partners are not required to undertake communication activities. Thus, implementing partners are not required to include a specific budget and communication and visibility plan as part of the grant application form. However, the implementing partners will ensure that the EU is regularly informed sufficiently in advance of any planned communication activity which directly relates to the Project, particularly those activities related to key implementation milestones. Whenever requested by the EU, the recipients of EU funding should support the EU’s own communication actions (e.g. by providing content or supporting access to the Project for campaigns or media actions managed by the EU).</p> <p>The <i>WBIF Communication and Visibility Plan and Guidelines</i> provide further details on the roles and responsibilities of the WBIF’s main stakeholders.</p>
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33	Issues to be clarified before WBIF grant approval	<p>Describe all the open issues that must be assessed before the WBIF approves the Project. Include horizontal conditionalities associated with IPA (e.g. adopted national sector strategy) and specific commitments for implementing the Project (e.g. land planning issues).</p>
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34	Contacts <i>Provide contact details for the LFI, representative of the Beneficiary's authority, reference person in the EU Delegation, co-financier(s), private partner (if applicable), taking into account any restrictions imposed by banking regulations, confidentiality and compliance issues, etc.</i>				
	Institution	Contact person	Function	Phone	Email
	Lead Financial Institution				
	Beneficiary authority				
	EU Delegation				
	Co-financier(s)				
Private partner(s)					

35	Date of submission by the NIPAC	<i>This section is filled in automatically in MIS.</i>	NIPAC Details	<i>This section is filled in automatically in MIS.</i>
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Annex 1: Key requirements checklist

Ensure this annex is as complete as possible.

Main requirements:

1. Operations covered by the WBIF benefit one of the following Beneficiaries: Albania, Bosnia and Herzegovina, Kosovo, Montenegro, North Macedonia, and Serbia.
2. The project belongs to one of the WBIF intervention areas: Sustainable transport | Clean energy | Environment and climate | Digital future | Human capital development.
3. The grant application form is submitted by the NIPAC and is endorsed by all relevant stakeholders.
4. The project is listed in the SPP.
5. All the elements of the project activities funded by the WBIF grant are, in principle, eligible for grant financing.
6. The project is consistent with the Economic and Investment Plan for the Western Balkans, Green Agenda for the Western Balkans, EU Pre-Accession Strategy, Economic Reform Programme, core directives, relevant sector policies and strategies, and national investment plans.
7. The activities of the project do not duplicate or overlap with other operations.
8. The Lead Financial Institution supports this application and has been consulted in preparing the grant application form.
9. The WBIF grant, as well as its calculation and justification, are clearly explained.
10. The technical and financial status of the project demonstrates that it fulfils the criteria on maturity.
11. The information provided in each section of the grant application form is consistent and coherent throughout the application.
12. All sections of the grant application form are filled in with the information requested therein.
13. All relevant stakeholders have been consulted in preparing the grant application form.
14. The description of the institutional framework demonstrates the capacity of the beneficiary to define the investment and implement the project.
15. The values of the result indicators reflect the expected outputs and outcomes of the project.
16. The risks associated with the project have been defined, and appropriate mitigation measures have been identified.
17. Indicative project, action and procurement calendars are proposed, and the Lead Financial Institution has been consulted in their preparation.
18. The Lead Financial Institution has been consulted on the project’s contribution to climate change mitigation/adaptation and resilience.

Yes	No

Annex 2: Result Framework template

Please delete this box after filling in the section below

The Result Framework must contain, as an absolute minimum, the **4 mandatory cross-sectoral indicators** plus those relevant mandatory and applicable Impact(s), Outcomes and Outputs per sector of intervention which can be found in the excel table **EFSD+ ReMF2023 – WBIF selection**.

It constitutes the basis for the monitoring, reporting and evaluation of the intervention.

- This completed Result Framework (e.g. including baselines/targets) must be presented as an annex to the GAF when the application is submitted via the WBIF MIS. This annex must be uploaded to the system as a separate document (a Word or PFD file).
Available in the WBIF MIS Library, under the “WBIF Indicators & RF Templates” tab (<https://mis2.wbif.eu/Library>) are: (i) the Result Framework Templates by sector, inclusive of relevant indicators and ready for use; (ii) the WBIF indicators list “EFSD+ ReMF2023 – WBIF selection”.

- In line with OECD/DAC terminology the term ‘results’ is understood to cover Outputs, Outcomes (Specific Objectives) and Impact(s) (Overall Objective(s)).
- How to develop the Results chain column:

The Indicative Result Framework should contain all mandatory as well as relevant Impact(s), Outcomes and Outputs per sector of intervention.	
Impact(s)	Definition: Impact tends to be the long-term change the action contributes to (at country, regional, sector level in terms of benefit to the population)
	Impact statement formulation: avoid “contribute to”
	How many? One might sometimes be sufficient, but both intermediate and longer-term impacts are allowed and highly recommended. Impact should preferably be related to at least one objective defined in the IPA III Programming Framework but may also be selected from the relevant EFSD+ Overarching priorities provided in the Impact Tab of the excel table “EFSD+ ReMF2023 – WBIF selection” .
Outcome(s)	Definition: An Outcome is a short to medium-term change in the behaviour of the target groups and/or effects on the political, social, economic and/or environmental areas targeted by EU action – the action will contribute to change at this level (it is under its influence but not direct control).
	How many? There can be both short- and medium-term outcomes. Please try to limit the number of Outcome(s) to 2-3 at the most. ⁵
	Please use past participle for the formulation (enhanced, increased, improved, adopted...) Please avoid using causal links (‘by’, ‘in order to’...)
Outputs	Definition: Outputs are direct deliverables or benefits of activities – under the direct control of the action
	Please use past participle for the formulation (strengthened, increased, improved...)
	Outputs are NOT activities

- How to draft Indicators:
 - **Please select your indicators from the excel table “EFSD+ ReMF2023 – WBIF selection”. Please use indicators that are most relevant and pertinent.**
 - Please include at least one indicator for each result. Indicators should be formulated to measure progress towards the relevant result.
 - Indicators should be numbered so that they can be linked to the results they measure (see example in the Result Framework below).

⁵ For interventions covering more than one area of support, the number of outcomes can increase (keeping the total number reasonable).

- Indicators must start with a unit of measure, either quantitative ('number of people', 'km', 'percentage of', 'index') or qualitative ('level of', 'status of', 'extent to which'). Formulation of the indicators must be neutral, i.e. not include elements of the target such as 'increase', 'improvement', 'better'.
 - Please disaggregate by sex, age and disability status when referring to and counting individuals, by urban/rural location, or any other relevant disaggregation reflecting the mainstreaming issues when relevant and possible.
 - Each indicator must have one reliable and accessible source of data. (In some cases, more than one source of data per indicator may be needed).
 - Baselines and targets are mandatory and must always be included.
 - Avoid repeating indicators for different results.
 - Please ensure that indicators relevant to the action are used.
- External assumptions
- Assumptions are external necessary and positive conditions – not under intervention management or entity control – that must hold in order for the result chain to be valid. They should be formulated based on the context analysis and the risk analysis.

Results	Results chain: Main expected results	Indicators [At least one indicator per expected result]	Unit of measure	Baselines (values and years)	Current values (Applicable at reporting stage)	Targets (values and years)	Sources of data	Assumptions
Impact		1 2	1 2	1 2	1 2	1 2	1 2	<i>Not applicable</i>
Outcome 1	1 (past tense)	1.1 1.2	1.1 1.2	1.1 1.2	1.1 1.2	1.1 1.2	1.1 1.2	
Outcome 2	2 (past tense)	2.1 2.2	2.1 2.2	2.1 2.2	2.1 2.1	2.1 2.2	2.1 2.2	
	...							
Output 1 related to Outcome 1	1.1 (past tense)	1.1.1 1.1.2	1.1.1 1.1.2	1.1.1 1.1.2	1.1.1 1.1.2	1.1.1 1.1.2	1.1.1 1.1.2	
Output 2 related to Outcome 1 [and 2, 3... if applicable]	1.2 (past tense)	1.2.1 1.2.2	1.2.1 1.2.2	1.2.1 1.2.2	1.2.1 1.2.2	1.2.1 1.2.2	1.2.1 1.2.2	
Output 1 related to Outcome 2	2.1 (past tense)	2.1.1 2.1.2	2.1.1 2.1.2	2.1.1 2.1.2	2.1.1 2.1.2	2.1.1 2.1.2	2.1.1 2.1.2	
Output 2 related to Outcome 2	2.2 (past tense)	2.2.1 2.2.2	2.2.1 2.2.2	2.2.1 2.2.2	2.2.1 2.2.2	2.2.1 2.2.2	2.2.1 2.2.2	
	...							

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 Financial Institution after the assessment process	
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RECOMMENDATIONS OF THE WBIF PROJECT FINANCIERS GROUP

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

	To be filled by the Lead Financial Institution before the application is recommended for approval, confirming the readiness of the Action for submission to the WBIF Operational Board and EWBIF Assembly of Contributors	
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DECISION ON THE APPROVAL OF THE GRANT

	To be filled by the WBIF Secretariat, specifying WBIF decision on approval, relevant comments on the substance of the grant, and conditions on approval.	
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PAYMENT OF THE GRANT FROM THE JOINT FUND

SIGNATORY OF THE LEAD FINANCIAL INSTITUTION

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

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

CONFIRMATION BY THE EUROPEAN COMMISSION

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

AMENDMENTS TO THE APPROVED GAF

Addendum / Written Procedure / Notification	Description of amendment	Rationale for change


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

IDENTITY OF THE PROJECT


1	Blending facility	WBIF	2	Grant code	This is the grant code 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	This is the date on which the WBIF approves the grant. This section is filled in automatically in MIS.	4	Flagship	[select flagship] Select the relevant investment flagship from the drop-down list. If the Project does not fall under an investment flagship, select "None" from the drop-down list and justify the application in section 21 - Coherence with the WBIF objectives, EU policies, and adopted national/sectoral strategies.
5	WBIF intervention area	[select intervention area] Select the intervention area addressed by the Project from the drop-down list.	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/dacandcrscodelists.htm . The NIPAC will select the CRS code from the drop-down list available in MIS when it submits the application.
7	Beneficiary(ies)	[select name] Select the name of the Beneficiary from the drop-down list. For regional projects, select all Beneficiaries involved.			
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 of the Project, such as the infrastructure concerned and location.	9	Project code	This code is specific to the WBIF MIS database and is either selected (for existing WBIF projects) or generated (for new projects) at the pre-notification stage.
10	Action/Grant Application title	Enter the title of the Action, which must include the key elements of the technical assistance (TA) to be funded with the grant per this structure: Project name (as per section 8) followed by the TA activities to be funded by the WBIF grant requested. For example, "Nis Wastewater Treatment Plant: Feasibility Study, ESIA, Preliminary Design", where "Nis Wastewater Treatment Plant" is the name of the Project for which the WBIF grant is requested, while "Feasibility Study, ESIA, Preliminary Design" are the activities to be funded by the WBIF TA grant.			
11	Lead Financial Institution	[select name] Select the name of the Lead Financial Institution (LFI) from the drop-down list.			
12	Co-financier(s)	[select name] Select the names of other WBIF financial institutions that contribute financial resources to the Project if relevant: AFD, CEB, EBRD, KfW, or WB.			
13	Type of WBIF contribution	Technical Assistance			
14	Total WBIF grant amount (€)	TA amount excl. fee (€)		This is the grant amount without fees for the TA activities to be funded by the grant. It is the "Grant amount without fees" from section 30.	
		TA fee (€)		This is the implementation fee from section 30.	
		Administration fee		This is the administration fee from section 30.	
		Total WBIF grant amount (€)		This is the "Total WBIF grant amount" from section 30.	
15	Type of WBIF financing source	[select source]	16	Implementation of TA activities	[MM/YYYY - MM/YYYY] This field is filled in automatically in MIS based on the dates provided in section 32 - Indicative calendar of the Action.

17	Responsible authority of the Beneficiary	Indicate the Beneficiary's authority (e.g. Ministry of Finance, Ministry of Environment, Ministry of Transport, etc.) and its relevant department(s) in charge of the Project (e.g. Department for International Financial Cooperation, Department of Water, etc.) Ensure consistency with section 23 - Institutional framework of the Project.
18	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.) and specify the nature of the implementing entity, i.e. whether it is public, mixed (include ownership structure), or private. Note that in section 23 - Institutional framework of the Project, all the entities involved must be included, while in the section, only the entity in charge of implementing the Project should be listed.

DESCRIPTION OF THE PROJECT


19	<p>Description of the Project</p> <p>The following differentiation is made between the Project and the Action in the grant application form:</p> <ul style="list-style-type: none"> ▪ Project means the overall investment project. ▪ Action means the part of the project for which the Beneficiary seeks grant financing from the WBIF. An Action comprises a set of activities proposed for financing partly or entirely by the WBIF grant. <p>This section deals with the investment project for which WBIF TA funding is requested (i.e. the Project), not with the activities proposed to be funded by the WBIF grant (i.e. the Action), which must be addressed in section 29.</p> <p>Provide a clear description of the overall Project. The description should be by component or phase if the Project has more than one component or phase. The description should include the Project's finality and its main components. Ensure that the information is verifiable; therefore, use summary information from the technical documentation developed for the Project (e.g. feasibility study, ESIA study, preliminary/detailed design, etc.) and document the sources. The description may be complemented by maps, explanatory graphs, tables or pictures, which can be included in the application form using the MIS "Pictures" and "Tables" functionalities.</p> <p>This section should provide an overview of the context in which the Project will be developed and a summary of the Project's scope, including the main outputs envisaged. The current situation and trends in the sector addressed by the Project should be described. This requires defining the needs within the project area in the relevant sector/thematic area. Therefore, the changes to be achieved through the Project should be clear, as well as who is targeted and who will benefit from the Project's activities. The type of benefits and the final beneficiaries must be quantified as much as possible.</p> <p>(Indicative max 1,000 words)</p>  <ul style="list-style-type: none"> • Complete this section in cooperation with the LFI. • Present concisely and coherently all the information required in subsections 19.1, 19.2 and 19.5. • Ensure the description focuses on the Project, not the Action for which WBIF grant funding is requested. • Ensure that all main (direct and indirect) beneficiaries are identified and described (i.e. those who will benefit from the Project's implementation). • Use and quote official sources of information to justify critical problems/primary deficiencies (see subsection 19.6). • Ensure that a map of the Project's location is included in subsection 19.4. • Avoid using jargon and acronyms.
19.1	<p>Background and context of the Project</p> <p>Provide a short description of the Project's background, which should include at least an overview of the current situation and trends in the sector the Project addresses. What is needed? How is it justified? Where does the project idea originate from? What are the market failures or suboptimal investment situations which will be addressed, which may be proven to be financially viable but do not give rise to sufficient funding from market sources? Where relevant, describe the avoidance of the potential crowding out of other sources of finance.</p> <p>Market failure is traditionally defined as a situation with an inefficient distribution of goods and services, whereby the individual incentives for rational behaviour do not lead to rational outcomes for the group. It is, therefore, a disequilibrium state in which the rational behaviour of the individual does not lead to a rational behaviour for the group. In these situations, donors can support the beneficiary government in intervening to provide public goods and handling both positive and negative externalities of free market economic activities.</p> <p>Public goods are defined by two distinct aspects: non-excludability and non-rivalrous consumption. "Non-excludability" means that people cannot be excluded from their fruition, while "non-rivalrous" consumption means that the consumption of a good by one person does not reduce the amount available for others. Public goods such as infrastructures, non-toll roads, municipal sewage systems, and energy efficient public buildings are all examples of public goods, along with many others, including well-educated youth. Externalities occur whenever a transaction has a spillover of benefits (positive) or costs (negative) to parties not involved in the original transaction. Thus, a private company's investment in renewable energy facilities has a positive spillover for the general population in terms of air quality, while a chemical plant's continued reliance on old technology has a negative spillover effect due to the pollutants it releases into the environment, which could be avoided if the company was to invest in renewing its equipment.</p> <p>While making the argument of how the proposed action intends to create public goods or manage positive and negative externalities, thus addressing a market failure or a suboptimal investment situation, bear in mind that the European Commission remains an economic actor managing scarce resources in pursuing its policy priorities. It is, therefore, important that you carefully qualify and quantify the public goods and externalities that the action intends to create.</p> <p>Describe any other relevant socio-economic implication of the Project, e.g. relevant information on the social and/or market impact that the Project, if implemented, will have, for instance, a significant and sudden rise in utility tariffs, which may be necessary for the sustainability of the sector and of the Project but which may have important social consequences.</p> <p>Describe what can be taken as reference programmes or projects in the beneficiary economy/region/sector (e.g. similar programmes carried out in the sector of the Project), what are the defining benchmarks of these programmes/projects, and what are the main lessons learnt.</p> <p>Explain the involvement of the private sector if relevant.</p>
19.2	<p>Needs/demand analysis</p> <p>Using quantitative and qualitative data, describe the problems (including gaps, shortcomings, or deficiencies) the Project addresses to demonstrate why the Project is needed. It is paramount to summarise critical infrastructure deficiencies and needs that the Project (or project component/phase) will address and bring to EU standards.</p> <p>Provide a summary of the demand analysis, including the predicted demand growth rate, in line with the results of the Cost-Benefit Analysis (if available). Minimum information required: (i) assumptions and baseline (e.g. traffic in the past, future traffic without the project); (ii) projections and methodology used for selected options (if applicable); (iii) supply-side aspects, including analysis of existing and expected infrastructure developments; and, (iv) network effect (if any).</p> <p>Use and document sources to justify the critical issues the Project targets and the demand analysis. Avoid using jargon and acronyms.</p>

19.3	Description of the intervention
<p>Provide the narrative supporting the intervention logic identified in the Result Framework in Annex 2. Note that the ambitions set in this narrative part are to be consistent with the impact/outcomes and output levels of the result framework:</p> <ul style="list-style-type: none"> • In line with OECD/DAC terminology, the term 'results' is understood to cover Outputs, Outcomes (Specific Objectives) and Impact(s) (Overall Objective(s)). • Starting from the market failure described in section 19.1, describe each element of the results chain following a vertical approach (from the bottom – outputs, via outcomes, to the top – impacts) in which cause and effect relationships are identified and to be achieved at different moments in time. • Consider the sequential and temporal path of the intervention logic in this section. • Briefly mention how the different stakeholders are involved in implementing the intervention and who will benefit from it (main direct and indirect beneficiaries). • The description of the intervention should not be confused with the implementation plan and the activities to be implemented under the Project, which are instead to be described in sections 19.5 and 20. 	
19.4	Project map
<p>Include a map that clearly shows the project area and its context to allow an understanding of the location of the various facilities of the Project. The map should be easy to read, of high-quality, preferably in colour, and have a clear legend.</p>	
19.5	Description of the Project
<p>The description must be structured, concise and focused on crucial aspects: main characteristics (technical 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, the rationale for options selected concerning climate change and natural disasters risk assessment conducted (as applicable), primary beneficiaries of the Project (e.g. target population served). Indicate cross-border aspects and impacts (if any).</p> <p>If the Project has several phases or components, present those already completed or under implementation and subsequent phases and/or components in chronological order.</p> <p>Briefly describe and quantify as far as possible the beneficiaries of the Project, any vulnerable, disadvantaged, disabled and gender-sensitive groups.</p>	
19.6	Reference documents
<p>List all documents used in drafting section 19 (e.g. studies, statistics, strategies, action plan, etc.). Indicate the document title, author, issue date, and URL if available online.</p>	

20	Indicative project status and planning				
	<p>Outline the Project's current stage and the envisaged timeline. Include the duration, status, and information about completed, ongoing, and future activities. Indicate the last technical documentation completed, briefly comment on any outstanding or ongoing activities, and specify the expected completion date per the instructions below.</p> <p>The most common activities are pre-listed. Where relevant, add activities to the list. In case of activities that are not relevant, state 'n/a'.</p> <p>The following key aspects should be covered:</p> <ul style="list-style-type: none"> • Technical: status of/planning for the preparation of the masterplan, pre-feasibility study, feasibility study and cost-benefit analysis, environmental and social impact assessment, preliminary and detailed designs, tender documents, etc.; • Administrative: status of/planning for urban planning, environmental permit, land availability, construction permit, launch of procurement, etc.; • Financial: status of/planning for loan agreement(s) with the LFI and other IFIs financing the Project (e.g. estimated, under negotiation, signed, etc.), additional grants, allocation from the national budget, etc. <p>The estimated duration of each activity and the overall period must be realistic, and all the factors that may affect the implementation timetable must be considered. It is recommended to consider the following planning principles:</p> <ul style="list-style-type: none"> • Activities must follow the sequential order of the Project's development. • Sequential activities should not overlap. • The duration of procedures (e.g. review, public consultations, and permitting) should align with the periods defined in applicable regulations. • The estimated duration of each activity must include a reserve and should not be calculated as the shortest (theoretical) possible duration. • The impact of foreseeable periods when the Project will be on hold. • The time when institutions involved operate under a different regime (e.g. vacations, public holidays, etc.) or target groups are engaged in other activities (e.g. election campaign, intensive activity season in agriculture, etc.) should be considered. • Key stages in the development of the Project should be considered, e.g. securing internal approvals for the Project, securing funding, securing ownership/control of sites, planning permissions, completion of design works, procurement launch, appointment of contractors, start of works on site, construction completion, handover and official opening. <div style="display: flex; align-items: flex-start;"> <div style="margin-right: 10px;">  </div> <ul style="list-style-type: none"> • Complete this section in cooperation with the LFI. • Ensure that the current stage of the Project reflects its status, e.g. previous stages/phases of the Project are completed and all related conclusions are approved. • Planned activities are logically sequenced and can realistically be implemented within the estimated period. Each activity is designed to be implemented within a suitable period. Where possible, activities are executed (partly) in parallel, e.g. tender documents preparation and procurement pre-qualification. • Ensure consistency with sections 19 and 32. </div> <p><u>Note:</u></p> <p>(a) If already complete, provide the exact date; if only planned, indicate at least month and year.</p> <p>(b) Select one of the following status options in the table:</p> <ul style="list-style-type: none"> • Completed (C) • Work in progress (WIP) • Not started (NS) • Not applicable (N/A). <p>(c) Describe the current stage and the planning for each activity following the instructions included in the table. Additional activities specific to the Project can be added as separate entries (individual rows) in the table.</p>				
Activity		Duration^(a)		Status^(b)	Comments^(c)
		Start date [MM/YYYY]	Completion date [MM/YYYY]		

Masterplan and other relevant spatial planning documents	[insert date]	[insert date]	[select status]	Short description of the status, results, main conclusions, outstanding issues and/or conditions. Include the title, author and issue date.
Definition of the investment project	[insert date]	[insert date]	[select status]	Describe how the Project is a priority for the national authority, e.g. the Project's position and scoring in the SPP. Justify the application if the Project is not ranked or has a low score in the SPP.
Strategic Environmental Assessment (if applicable)	[insert date]	[insert date]	[select status]	Short description of the status, results, main conclusions, outstanding issues and/or conditions. Include the title, author and issue date if completed.
Pre-feasibility Study	[insert date]	[insert date]	[select status]	As above
Conceptual Design	[insert date]	[insert date]	[select status]	As above
Feasibility Study (including Cost-Benefit Analysis)	[insert date]	[insert date]	[select status]	As above
Environmental and Social Impact Assessment	[insert date]	[insert date]	[select status]	Short description of the status, milestones, and decisions stemming from the ESIA procedure leading to development consent (e.g. ESIA screening decision, environmental consent decision). Indicate if the ESIA Study meets the applicable national, EU and LFI requirements. Start date: outset of the application for environmental consent. Completion date: end of the ESIA procedure, including appeals and final decision.
Preliminary Design	[insert date]	[insert date]	[select status]	Short description of the status, results/main conclusions, outstanding issues and/or conditions. Include title, author and issue date if completed.
Land ownership	[insert date]	[insert date]	[select status]	Short description of the legal ownership of the project site(s) and the land for the new investments, land use planning decision(s) concerning the project sites(s), significant risks of delay and pending decisions on land purchase (e.g. expropriations). Land availability is critical for infrastructure development; historically, it has delayed many investment projects. During the design phase, the availability of the land needs to be fully acknowledged, and any issues need to be identified, including estimation of costs for acquisition and time required for expropriation procedures (if any). It is common and good practice to consider that a project is mature for co-financing only if the land is already acquired and available because the likelihood of delays in the acquisition plan can be significant, which, in turn, will delay the overall construction period. Such a situation can be avoided only if the land acquisition programme is significantly advanced or the government has committed to providing unencumbered land.
Detailed Design	[insert date]	[insert date]	[select status]	Short description of the status, results/main conclusions, outstanding issues and/or conditions. Include title, author and issue date if completed.
Construction and other statutory permits	[insert date]	[insert date]	[select status]	Short description of the status, development consent decision(s) - i.e. construction permit - or expected decisions, and renewals/updates of authorisations/ approvals. If authorisations have yet to be issued, indicate the estimated completion timeframe.
Loan(s) negotiation and signing	[insert date]	[insert date]	[select status]	Short description of the status of loan agreements with the IFIs financing the Project, e.g. estimated, under negotiation, terms agreed, signed, etc.
Preparation of tender dossier(s)	[insert date]	[insert date]	[select status]	Short description of the status and construction contract type (e.g. FIDIC Pink/Red Book, FIDIC Yellow Book, etc.

Procurement for works (per phase/component)	[insert date]	[insert date]	[select status]	Short description of the status, potential delays (e.g. appeals, retendering), contract(s) signature, and type of contract (e.g. FIDIC Red/Pink Book or Yellow Book). If the Project has more than one component and/or phase, describe the status of procurement procedures for each component and/or phase.
Construction of works (per phase/component)	[insert date]	[insert date]	[select status]	Short description of the status. If the Project is divided into phases or components, present each phase and/or component separately. If the Project has already started, indicate the current status of implementation of each phase and/or component and describe executed works and the percentage completed.

21	Coherence with the WBIF objectives, EU policies, and adopted national/sectoral strategies	
	Provide a structured, concise and precise description of how the Project (i) meets the WBIF investment priorities in line with the Economic and Investment Plan for the Western Balkans (EIP), the Guidelines for the Implementation of the Green Agenda for the Western Balkans and the WBIF Strategic Orientations 2021-2027 , (ii) meets and contributes to the fulfilment of EU policies and core directives, and (iii) is consistent with the adopted national sectoral strategy, relevant national and regional development plans and strategies, in particular those pertaining to the sector the Project addresses.	
	 <ul style="list-style-type: none"> Ensure that the Project addresses the WBIF blending investment priorities, policy objectives and investment flagships of the EIP. Ensure that the strategic justification of the Project is reliable and relevant. Demonstrate the Project's compliance with relevant national legislation, EU acquis and policies and other donors' strategies. Clearly explain where the Project comes from and why it is a priority for the Beneficiary and region. Ensure that the Project considers any special needs and responds to challenges related to any forms of discrimination and environmental impact. Ensure correlation between the information included in the SSP and the grant application form (e.g. Project title, total project cost). 	
	(Indicative max 250 words)	
	21.1	Alignment with the Economic and Investment Plan for the Western Balkans
	Describe how the Project addresses the WBIF intervention areas, policy objectives and investment flagships of the Economic and Investment Plan for the Western Balkans . The description should consider the relevant WBIF investment priorities , notably sustainable transport, clean energy, environment and climate, digital future, and human capital development, as well as the investment flagships identified in the Annex to the Plan.	
21.2	Alignment with Green Agenda objectives	
Describe how the Project is consistent with the Guidelines for the implementation of the Green Agenda for the Western Balkans . For all projects , specify positive and negative impacts in relation to the five pillars of the Green Agenda (e.g. decarbonisation, depollution, circular economy, sustainable food systems and rural areas, and biodiversity). For energy projects , specify the contribution to decarbonising energy production and/or consumption. For transport projects , describe how they match the Sustainable and Smart Transport Strategy (SSTS) priorities (decarbonisation, digitalisation, modal shift, safety, etc.) and demonstrate alignment with the 'do no significant harm' principle and the Paris Agreement.		
22.3	Coherence with the EU policies and core directives	
Explain how the Project contributes to the fulfilment of EU policies and core directives (e.g. environment, climate change, state aid, public procurement). Please refer to relevant EU policy documents, such as the EU pre-accession strategy, the Economic Reform Programme (ERP), Country/Regional Multi-Annual Indicative Programme and IPA III Regulation objectives, and other EU interventions in the country/region.		
22.4	Compliance with adopted national/sectoral strategies	
Describe the Project's compliance with the main national/regional policies for the concerned sector or thematic area (including gender equality strategies or action plans), consistency with the national/regional development strategy, sector strategy, action plan and with the country's Nationally Determined Contributions (NDC), National Energy and Climate Plan, or National Adaptation Plan (NAP). Explain how the Project contributes to national/regional policies and summarise the main objectives of the Beneficiary's policy that the Project supports. Indicate the Project's position in the Single Project Pipeline (SPP) and justify application if the Project is ranked low in the SPP (if applicable). Describe the Project's priority from the points of view of national and regional institutions (e.g., the Transport Community, the Energy Community, and similar bodies). Describe related projects (financed by WBIF, national IPA, or other donors/financiers) and indicate how coordination and complementarity with those operations will be ensured.		

22	Consultations before submission:	Summarise the timing, nature and outcome of consultations carried out before submission with the following stakeholders:
	<ul style="list-style-type: none"> NIC IFIs EU Delegation(s) Donors Regional/international organisations Other stakeholders 	<ul style="list-style-type: none"> National Investment Committee (NIC) (or equivalent body); LFI and co-financiers; EU Delegation(s); Geographical unit(s) of DG NEAR; Other donors; International and regional organisations; Other relevant stakeholders (e.g. civil society organisations). <p>Confirm that the Ministry of Finance endorsed the underlying investment project. (Indicative max 200 words)</p>

23	Institutional framework of the Project
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<p>23.1</p>	<p>Description of entities involved</p> <p><i>Describe the institutional aspects pertaining to the implementation of the Project and the Action: Who and how will ensure the implementation of the Project and the Action? What is the role of these entities?</i></p> <p><i>Present the entities involved in the implementation of the project, including:</i></p> <ul style="list-style-type: none"> • Beneficiary(ies) authority(ies) (responsible Ministry(ies) and specific department(s)); • Entity that is/will be the beneficiary of the construction permit(s) for the Project; • Implementing agency (or equivalent); • Project Management Unit (PMU)/Project Implementation Unit (PIU) or equivalent; • In case of involvement of a privately-owned company, clarify the contractual structure (e.g. concession, private-public partnerships); • Other entities.
<p>23.2</p>	<p>Organisational set-up</p> <p><i>This section should provide a comprehensive account of the organisational structure for implementing the Project and the Action, especially for the Action. It must also clearly present how the activities proposed for WBIF grant funding will be managed, which institutions will provide the required input and support, and which institutions will be responsible for monitoring and approving deliverables.</i></p> <p><i>Describe the role (tasks, responsibilities, relations between the different bodies) of the LFI (local/regional offices, sector manager in the Beneficiary), the co-financiers and other entities involved (institutions/authorities of the Beneficiary, implementing entity(ies), other donors, etc.) to demonstrate the exiting capacity for implementing the Project and the Action effectively.</i></p> <p><i>Clarify whether the Project involves creating an implementation unit (e.g., a Project Implementation Unit (PIU)) and describe its setup, role, and responsibilities.</i></p> <p><i>Indicate if the beneficiary/PIU can define the investment plan, procure and implement the Project, or if additional technical assistance is needed.</i></p> <p><i>Provide a brief description of in-country coordination arrangements, including with EU Delegations.</i></p> <p><i>If relevant, provide a comprehensive description of the organisational structure for operating the investment project. Include existing institutional structure (e.g. ownership of infrastructures, contractual obligations to the new infrastructure, the evolution of tariffs, etc.)</i></p> <p><i>Indicate whether the WBIF contribution will be pooled in a joint Project account with funds from the LFI and other co-financing institutions or whether the WBIF grant will be kept in a separate account.</i></p> <p><i>Describe the flow of the WBIF contribution to involved entities down to the final beneficiaries/recipients.</i></p> <p><i>Add a chart illustrating the institutional framework of the Project.</i></p> <ul style="list-style-type: none"> • Complete this section in cooperation with the LFI. • Clearly define the specific roles of the institutions involved in the Project. • Ensure the institutional aspects of the Project’s implementation are duly described. • Include a chart illustrating the institutional framework of the Project.

<p>24</p>	<p>Project budget and financing plan</p> <p><i>This section should provide the project budget (cost breakdown structure) and financing sources (sources and corresponding contributions). Include the main cost components of the Project, their description (related activities), and the corresponding amount in the budget matched against sources of funds and their contributions in the financing plan. The costs should not include VAT.</i></p> <p><i>The prefilled cost components listed in the grant application form are indicative; their final composition is left to the applicant’s appreciation. The budget should provide a detailed indication of the Project’s main costs and budget resources.</i></p> <p><i>The costs for works and supplies without contingencies must be listed separately from those for TA for project preparation and implementation. Costs associated with ensuring EU visibility are eligible and can be budgeted. However, rather than being included in a standalone visibility line, visibility costs should be factored into the budget under the relevant activity to which they relate. The budget should also include costs for evaluation and audit, and contingencies. If the Project has more than one component/phase, the costs must be presented by project component and/or phase (i.e. in individual rows as in the table below).</i></p> <p><i>The financing plan should contain the actors (i.e. the sources of funds) that provide financing to the Project, the amount of their contribution and the cost components financed by each contribution: WBIF, LFI, co-financiers, Beneficiary’s contribution (national contribution), EU national IPA, other private (e.g. commercial banks) and public financiers (e.g. other donors). Please indicate the type of contributions of each source of funds: investment grant, technical assistance grant, loan, guarantee, equity, interest rate subsidies, or other. Create separate entries (i.e. individual rows in the table) for each source and type of funds (e.g. loan, grant), and differentiate between sovereign and non-sovereign loans and private sector finance.</i></p> <p><i>The fields for sums and percentages are filled in automatically in MIS. To submit the application, the amounts of the “Total project cost” and the “Total financing available” must be identical.</i></p> <p><i>For infrastructure projects, the feasibility study and preliminary design usually account for about 1–2% of the estimated investment costs (i.e., works, supplies, and contingencies), while the detailed design (with final cost estimates and tender documents) accounts for around 4–5% of the estimated investment costs. Construction supervision adds another 4–5% to the estimated investment.</i></p> <p><i>While it is understood that the figures provided in this section are indicative, the applicant should put all the effort into ensuring that the amounts reflect the expected amounts involved in the Project as much as possible.</i></p> <p><i>As a rule, the following costs are not eligible:</i></p> <ul style="list-style-type: none"> • Costs incurred before the date on which the Contribution Arrangement is signed between the Commission and the Managers of the European Western Balkans Joint Fund. Exceptionally, the grant may be awarded for an Action which has already begun only if the applicant can demonstrate and justify the need to start the Action before the Contribution Arrangement is signed. Retroactive financing is an exception, and such a request will be assessed case-by-case. • Expenditure outside the eligibility period; • Expenditure ineligible under national rules; • Cost of purchase of land or buildings; • Planning/design (permits) fees; • Technical review, check and verification of project design(s) as per national legislation and other activities specific to urban planning and land ownership, e.g. preparation of urban plans and documentation for land expropriation; • Evaluation and audit; • Communication costs; • Value-added tax (VAT) to the extent that VAT is recoverable; • Customs and import duties or 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;
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- Contributions in kind.
- Complete this section in cooperation with the LFI.
- Include all cost components of the Project in the budget;
- Present the costs by component and/or phase of the Project in the budget;
- Duly budget all cost components and keep with thresholds;
- Ensure that national sources have been secured to cover all non-eligible costs required for timely completion of the technical documentation (e.g. planning/design (permits) fees, the cost for project design review/checks/verification by the revision committee, etc.);
- Match the cost components with the sources of funds in the financing plan.

Indicative total project budget (cost breakdown)


Cost component number	Cost component description	Total costs (€) (A)	Non-eligible costs (€) ^(a) (B)	Eligible costs (€) ^(a) (C)=(A)-(B)
1	Planning/design (permits) fees	[insert amount]	[insert amount]	[filled automatically in MIS]
2	Land purchase	[as above]	[as above]	[as above]
3	Technical assistance for project preparation (e.g. masterplan, pre-feasibility study, feasibility study, environmental and social impact assessment, detailed design, tender documents, procurement procedures)	[as above]	[as above]	[as above]
4	Technical assistance for project implementation (e.g. supervision of works, project management)	[as above]	[as above]	[as above]
5	Works (Building & construction) ^(b)	[as above]	[as above]	[as above]
5.1.	Works – Component/Phase 1	[as above]	[as above]	[as above]
5.2.	Works – Component/ Phase 2	[as above]	[as above]	[as above]
5.n	Works – Component/ Phase n	[as above]	[as above]	[as above]
6	Supply (Plant & machinery) ^(b)	[as above]	[as above]	[as above]
6.1.	Supply – Component/Phase 1	[as above]	[as above]	[as above]
6.2.	Supply – Component/Phase 2	[as above]	[as above]	[as above]
6.n	Supply – Component/Phase n	[as above]	[as above]	[as above]
7	Evaluation and Audit ^(c)	[as above]	[as above]	[as above]
8	Contingencies ^(d)	[as above]	[as above]	[as above]
9	Other (e.g. project design review/ verification by review committee) ^(e)	[as above]	[as above]	[as above]
10	WBIF grant implementation and administration fees ^(f)	[as above]	[as above]	[as above]
Total Project Costs		[filled in automatically in MIS]	[filled in automatically in MIS]	[filled in automatically in MIS]

Financing plan

Sources of funds	Cost component(s) financed	Amount (€)	% / total	Remarks (i.e. Code/ Ref. of financing)
National contribution	[insert the number of cost component(s) financed]	[insert amount]	[filled in automatically in MIS]	[indicate the budget in which the Project is included]
IFI Loan 1 [insert IFI name]	[as above]	[as above]	[as above]	[indicate if the loan is sovereign or non-sovereign and its status, e.g. estimated, terms agreed upon, signed, etc.]
IFI Loan 2 [insert IFI name]	[as above]	[as above]	[as above]	[as above]
Grant amount requested ^(g) [insert the code of the requested WBIF TA grant]	[as above]	[as above]	[as above]	[current grant request]
Other WBIF grant(s) ^(h) [insert grant code]	[as above]	[as above]	[as above]	[code/reference number of the financing agreement, financed activities]
Other grants [insert donor name]	[as above]	[as above]	[as above]	[as above]
Other sources [insert source name]	[as above]	[as above]	[as above]	[as above]
...

	Total Financing available	[[filled in automatically in MIS]	[[filled automatically in MIS]	
<p>(a) Eligible and non-eligible cost categories are listed above.</p> <p>(b) Excluding contingencies. The costs for works and supplies must be broken down by project component/phase if the Project has more than one component or phase.</p> <p>(c) Statutory audit and evaluation costs that fall with the Beneficiary under the national legislation or with the LFI as part of their due diligence and control for managing the Project. These costs are not eligible for WBIF grant support.</p> <p>(d) Should be taken from the technical documentation developed for the Project and should be at most 10% of the costs for works and supplies net of contingencies.</p> <p>(e) Costs not included under cost components 1-8 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.</p> <p>(f) This amount will be filled in automatically in MIS before the grant request is submitted to the Operational Board.</p> <p>(g) The applicants shall provide the grant amount without the WBIF implementation and administration fees when they submit the application.</p> <p>(g) Must be identical to the "Grant amount without fees" (i.e. grant without implementation and administration fees) from section 30 - WBIF grant amount calculation and justification.</p> <p>(h) Other WBIF grants must be listed as separate entries (i.e. in individual rows) by code. Grants from other donors and funds from other sources must be presented as separate entries (i.e. in individual rows) by donor and source.</p>				

25	Fiscal space and debt sustainability	<p>Complete this section closely with the LFI and the Ministry of Finance (MoF).</p> <ul style="list-style-type: none"> • Comment on the availability of national funds and borrowing capacity for the Project. • Indicate how the sovereign or sub-sovereign loan/guarantee attached to the Project will affect debt sustainability. • Explain the impact of the Project on public debt levels and the link to the medium-term budgetary programme to demonstrate sustainability. Invite the MoF to comment on the proposal and consider its input in this section.
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26	Project sustainability	
	<p>Complete this section in cooperation with the LFI. Describe under which conditions the Project will be sustainable when the grant support expires. Describe any incentives that could be necessary to enhance the sustainability of the Project. Refer to how the Project leads to investment and whether its results can be replicated in other sectors or geographical areas.</p> <p>Describe the Project's sustainability in relation to its economic and financial viability and environmental, social and institutional features.</p> <p>Ensure that this section addresses the following sustainability aspects:</p> <ul style="list-style-type: none"> •  <u>The economic viability of the Project is confirmed with reasonable certainty</u>, i.e. the net benefits are expected to be positive, there are no better ways of achieving the Project's purpose, and the public financial resources used for the Project are unlikely to be employed better elsewhere. • <u>The Project proves to be accessible</u>, i.e. all financing sources are secured, and it will be financially and fiscally sustainable once in operation. • <u>Environmental and social impacts are acceptable</u>, or if negative impacts are foreseen, appropriate mitigation measures are proposed. • <u>Satisfactory project management arrangements</u> will be put in place to deliver the Project to specifications on time and within budget. • <u>Organisational arrangements for the operation of the Project will be adequate for the sustainable delivery of the proposed services.</u> 	
	Economic/ Financial viability	Does the Project guarantee an acceptable economic (and financial, where applicable) return level? Describe future revenue flows expected from the Project, operation and maintenance costs and their expected sources of finance. → The Project's economic viability is confirmed with reasonable certainty (i.e. net benefits are expected to be positive; there are no better ways of achieving the Project's purpose; the public financial resources used for the Project are unlikely to be better employed elsewhere).
	Environmental aspects	Has the Project considered the environmental implications so that negative impacts on the environment are either avoided or mitigated during its life? Has a public consultation process taken place? → Environmental and social impacts are acceptable, or where negative impacts are foreseen, appropriate mitigation measures are proposed.
	Social aspects	Has the Project incorporated mechanisms that guarantee equitable access and continuous distribution of the Project's benefits? Describe the affordability approach if the Project will generate revenue (e.g., through tariffs, etc.). → The Project proves to be accessible, meaning that all financing sources are secured; the Project will be financially and fiscally sustainable once in operation.
Institutional aspects	Has the Project received the necessary support (both budgetary and institutional) to maintain and operate the facilities over their lifetime? → Satisfactory project management arrangements will be put in place to deliver the Project to specifications, on time and within budget; organisational arrangements for the operation of the Project will allow for sustainable delivery of the proposed services.	


27	<p>Risk assessment</p> <p>Complete this section in cooperation with the LFI. The project promoters should understand the risks of Project implementation from the outset (e.g., potential changes to project planning, delays in delivery due to external factors influencing project implementation, difficulties in decision-making, need for additional expertise, etc.). The applicants must provide an assessment of the main potential risks to mitigate the risks to the successful delivery of the Project.</p> <p>Identify the Project related risks and the way these risks will be mitigated. Assess how seriously the identified risks can influence the Project: high (H), medium (M) or low (L). Keep in mind that:</p> <ul style="list-style-type: none"> ▪ Risks are factors that might hinder the achievement of the desired outcomes and are out of the promoter's sphere of control. ▪ Refer to any impact assessment carried out, including ESIA (if applicable), climate risk and vulnerability assessment, and recommended mitigation measures. If any such assessments have not yet been completed but are required, please indicate them and why. ▪ Indicate the applicable environmental and social standards/safeguards and provide the URL link to where these can be found. <p>Address the following risk categories:</p> <ul style="list-style-type: none"> ▪ <u>Political risks</u>: including but not limited to the gap between the legislation and/or standards of the Beneficiary and the EU, pace of convergence, and policy and administration structure changes. ▪ <u>Economic risks</u>: describe how macroeconomic conditions or policy changes may affect the Project, energy poverty, etc.
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	<ul style="list-style-type: none"> ▪ <u>Financial risks</u> (this should be linked to both the financing plan and the entities involved in the implementation of the project as detailed in sections 24 and 23): The description should focus on the following elements: lack of funds for co-financing; improper handling of financing requests; payment delays; credit and currency risk of the beneficiaries; risks linked to partner financial institutions (intermediaries); the risk-sharing operations. ▪ <u>Social risks</u>, including gender equality and access to education, the risk of creating barriers to the participation of some groups, public opposition, affordability issues, discriminatory reasons, evictions, etc. ▪ <u>Environmental risks</u>, including climate change and biodiversity loss, air pollution, environmental injustice towards minority/vulnerable groups. This section must indicate the applicable environmental and social standards and safeguards that will be applied. ▪ <u>Implementation risks</u>, including (i) <u>Planning risks</u> (e.g. the implementation of the 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 initially budgeted; (ii) <u>Technical/design risks</u> (e.g. the quality of the project designs/site investigations is likely to impact on the likelihood of unforeseen problems occurring; the use of non-optimal/obsolete technologies leads to substandard services, etc.); (iii) <u>Procurement risks</u> (e.g. delay in procurement procedures, possible re-tendering, appeals, contractual disputes, etc.); and, (iv) <u>Construction risks</u> (e.g. site unavailability, the construction of physical assets is not completed on time, budget and specification, etc.); v) Risks related to project outputs not leading to intended outcomes and impact. ▪ <u>Operation risks</u>: 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 levels planned, projected or assumed levels; etc. ▪ <u>Human rights risks</u> ▪ <u>Other risks</u>: 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.) <p>(Indicative max 500 words)</p>			
Type of risk	Description	Risk likelihood	Risk impact	Mitigation measure(s)
Political		[select likelihood]	[select impact]	
Economic		[select likelihood]	[select impact]	
Financial		[select likelihood]	[select impact]	
Social		[select likelihood]	[select impact]	
Environmental		[select likelihood]	[select impact]	
Implementation		[select likelihood]	[select impact]	
Operation		[select likelihood]	[select impact]	
Human rights		[select likelihood]	[select impact]	
Other		[select likelihood]	[select impact]	

28	Addressing climate mitigation and adaptation		<p>Complete this section in cooperation with the LFI; the LFI assesses climate finance contributions (mitigation and adaptation). Address the Project's potential contribution to GHG emissions reduction and/or climate adaption, climate risk assessments conducted, and considerations and measures to improve the Project's resilience to current and future climate risks. Elaborate on the Project's alignment with the Paris Agreement and the Beneficiary's Nationally Determined Contribution (NDC). Include project-specific climate markers (primary/secondary dimension, reduced emissions /carbon footprint).</p> <p>Describe the climate finance components of the Project (if any) for adaptation and/or mitigation. The Rio Markers methodology should be used to determine whether climate change is the principal objective, one of the objectives (significant), or not an objective of the Project. Please consult the OECD guidelines for identifying the Rio markers⁶. Based on its methodology, the LFI may propose a specific percentage of the project budget as a climate change contribution.</p> <p>The information for this section must be adapted to the sector and the maturity of the Project (e.g. pre-feasibility, feasibility study, detailed design, supervision of works, etc.)</p>			
	Rio Markers		Mitigation		Adaptation	
			Project [M€]	WBIF co-financing grant	Project [M€]	WBIF co-financing grant
			RM0 (no objectives)	<input type="checkbox"/>		<input type="checkbox"/>
			RM1 (significant objective)	<input type="checkbox"/>		<input type="checkbox"/>
		RM2 (the principal objective)	<input type="checkbox"/>		<input type="checkbox"/>	

DESCRIPTION OF THE ACTION


⁶ A fuller list of examples, by sector, is available in OECD's Handbook for climate marking https://www.oecd.org/dac/environment-development/Revised%20climate%20marker%20handbook_FINAL.pdf

29	Scope of work and results for TA grant activities (the Action)	<p>Provide a detailed and precise description of the TA activities financed by the WBIF grant request and their foreseen outcomes: What activities will be done, which (human) resources are required, and within what timeframe? The following aspects must be covered:</p> <ul style="list-style-type: none"> • Indicate why the activities financed by the grant request are necessary and how they will contribute to reaching the Project's objectives. • Present the core team, matching required expertise with the activities financed by the grant and the indicative number of working days for carrying out the activities. • Describe critical risks that should be considered in implementing the activities. • List all the deliverables of the activities financed by the grant request and summarise their contents. • Specify standards, norms, regulations and guidelines applicable to the activities financed by the grant request. Include requirements of the national laws, EU and Financial Institutions. Briefly describe the differences between the national standards, legal provisions and the EU/IFIs rules. <p>The justification of the Action's necessity must closely relate to the fulfilment of the eligibility criteria. Technical review, check and verification of project design(s) as per national legislation and/or other activities specific to urban planning and/or land ownership (e.g. preparation of Urban Plan(s), documentation for land expropriation, etc.) are not eligible. These fall under the Beneficiary's responsibility as part of its due diligence and control for project management.</p> <p>Document sources (e.g. studies, statistics, etc.) by indicating title, author, issue date and online address (if available online).</p>  <ul style="list-style-type: none"> • The scope, concrete deliverables, duration and completion dates, and resources (e.g. human and material resources) must be specified and described for each activity financed by the grant request. • All activities financed by the grant request must be adequately budgeted and justified in section 30. • Grants may be used exclusively for the Project and the activities for which they are approved.
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30	WBIF grant amount calculation and justification	
	<i>List the activities and their corresponding amounts that the WBIF grant will fund. Provide detailed information on the assumptions made in calculating the WBIF grant to ensure that all the activities are feasible in terms of scope, timing, and cost-effectiveness (human and material resources employed).</i>	
	<i>All costs must be duly detailed, eligible and appropriate for the Action. All cost estimates should be based on those of similar projects (financed by IFI loan(s) or donor grants). Specify indicative working days used in calculations.</i>	
	<i>It is essential to list the types of activities to be funded by the WBIF grant, listing the cost categories and their corresponding amounts. For technical assistance, this should include a breakdown of planned activities and corresponding costs. All the costs considered in the calculation of the WBIF grant should be duly detailed, eligible and appropriate for the Action.</i>	
	<i>Demonstrate that own funding sources are correctly allocated and secured to cover all non-eligible costs required for the timely completion of the technical documentation (e.g. planning/design (permits) fees, costs of technical design review and approval (for example, the state revision committee(s), etc.)</i>	
	<i>In justifying the grant amount, please also consider the needs of the macro-economic situation of the Beneficiary, the economic and financial viability of the Project, the additionality of the WBIF grant, envisaged impacts, affordability concerns, impact on tariffs (e.g. for revenue-generating projects generating by user charges).</i>	
	Type of activity/cost categories	Grant amount requested [€]
	(1) Technical documentation (preparatory studies, such as masterplan, investigations/surveys, etc.)	
	(2) Pre-feasibility Study	
	(3) Feasibility Study including Cost-Benefit Analysis	
	(4) Environmental and Social Impact Assessment Study	
	(5) Preliminary Design	
	(6) Detailed Design	
	(7) Preparation of tender dossiers	
	(8) Project management assistance (support to PIU)	
(9)		
(10)		
Grant without fees Implementation fee Administration fee Total WBIF grant amount	 <i>[SUM (1:10) filled in automatically in MIS]</i> <i>[filled in automatically in MIS]</i> <i>[filled in automatically in MIS]</i> <i>[filled in automatically in MIS]</i>	
<i>[Justification of the grant amount]</i>		

31	Additionality of WBIF grant <i>Complete this section in close cooperation with the LFI. This section deals with the additionality of the WBIF grant, understood as what the requested WBIF grant will achieve, in terms of benefits or positive results, over and above what would be achieved without it. Grant funding is justified only when significant additionality is shown for the funding itself.</i>
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<p><i>In the list below, identify among the categories of additionality those applicable to the WBIF grant. Address only those categories where additionality is relevant and appropriate. Some types of additionalities are quantifiable, and the applicants should make every effort to quantify the additionality of the grant as far as possible. Others may not be quantifiable and should be addressed qualitatively. The reasons for choosing a qualitative method should be explained. Evidence should be provided to support claims of additionality as far as possible.</i></p> <p><i>Include elements that will lead to additional benefits related to cross-cutting aspects, such as the environment, gender equality and equal opportunities, the needs of disabled people, the rights of minorities and vulnerable groups, innovation and best practices, etc.</i></p>	
Economic and financial	<i>What are the economic benefits of the proposed grant funding? Why is the proposed grant funding necessary for the Project? What are the financial benefits of the WBIF's contribution to the Project? How will this impact the end beneficiaries? For example, by broadening access to finance to target groups, lowering end-user tariffs, increasing the services' affordability, etc.</i>
Project scale	<i>How will the grant funding increase the scale of the Project? Will it widen the results of the Project, or will it extend the benefits to more people?</i>
Project timing	<i>In what way does the grant element positively affect the timing of the Project and/or the benefits it is expected to deliver?</i>
Project quality and standards	<i>How will the grant funding improve the quality of the Project's expected outcomes? How will the grant funding improve the Project's chances of success? How will the grant enable the promotion of higher standards, 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, and the rights of minorities and/or vulnerable groups?</i>
Innovation	<i>What innovative aspects of the Project could not be generated by or within the target environment without grant support? Why is the proposed innovation important?</i>
Sustainability	<i>Does the grant funding help support further or parallel activities to ensure that benefits continue beyond the life of the Project? For example, does the grant funding contribute to structural reforms or support legislative, regulatory, and/or policy changes? Does the grant finance enable demonstration effects to other participants in the marketplace?</i>
Other benefits	<i>Other benefits/positive externalities that the Project may realise (or negative externalities avoided) and would not happen without the grant. Are there any significant benefits outside the main/primary objectives of the loan operation that the grant brings?</i>

32	<p>Indicative calendar of the Action</p> <p><i>This section should be completed in cooperation with the LFI. Summarise the key milestones of the Action in the form of the year and month of the year during which the milestone is expected to be reached, e.g. 06/2024. The milestones listed in the grant application form are mandatory. Additional milestones specific to the Action can be added without limitations in MIS.</i></p> <p><i>For the ToR drafting process, ensure that preparatory time is adequately planned for this activity. Note that deadlines for beneficiaries were introduced at the 21st WBIF Steering Committee. These are two months following the kick-off meeting for the provision of input data, two months following the submission of the first draft ToR for comments or approval, and one month following the submission of the final ToR for comments or approval. Therefore, the implementation of TA activities can start only six to nine months after the approval of the grant. Furthermore, if the preparation of the ToR does not commence within six months of the grant's approval, significant delays will be signalled, and the grant will be flagged for consideration at the next WBIF meeting (within one year of the approval date).</i></p> <p><i>Ensure that planned activities are realistically implementable within the foreseen period and logically sequenced, and each activity is designed to be implemented within a suitable period.</i></p> <p><i>Ensure that preparatory time is adequately planned for each activity. Consider key stages in the development of the Project, such as securing internal management approvals, securing funding, ownership/control of sites and planning approvals, completing design works, launching procurement, appointing contractors, and starting activities on-site, etc.</i></p> <p> • <i>Ensure that the planned activities associated with the Action are realistically implementable within the foreseen period and logically sequenced; each activity is designed to be implemented within a suitable period.</i></p>	
	Indicative calendar of the Action	Expected start date [MM/YYYY]
	TA grant signature	Expected completion date [MM/YYYY]
	Preparation of Terms of Reference (ToR)	
	Implementation of TA activities	

33	Monitoring, reporting and evaluation	<i>Complete this section with the LFI. This section should include key information on the monitoring, reporting and evaluation of the Action in accordance with the EWBJF General Conditions or the IPF conditions of the contract, as applicable. Describe practices during the Action's implementation to ensure effective cooperation with the EU Delegation(s) and EU Headquarters.</i>
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34	Visibility	<i>Outline how the Action will meet the EU visibility requirements for external actions, namely "Communicating and Raising EU Visibility: Guidance for External Actions", which are available at https://international-partnerships.ec.europa.eu/knowledge-hub/communicating-and-raising-eu-visibility-guidance-external-actions_en. In line with requirements set out in the 2022 "Communicating and Raising EU Visibility: Guidance for External Actions", implementing partners have a general obligation to acknowledge the origin and ensure the visibility of any EU funding received. The costs associated with ensuring EU visibility (emblem and funding statement) count as eligible costs and should be factored into the budget under the relevant activity to which they relate. Beyond ensuring EU visibility by prominently featuring the EU emblem and funding statement on any material and activity which relates to the Project, implementing partners are not required to undertake communication activities. Thus, implementing partners are not required to include a specific budget and communication and visibility plan as part of the grant application form. However, the implementing partners will ensure that the EU is regularly informed sufficiently in advance of any planned communication activity which directly relates to the Project, particularly those activities related to key implementation milestones. Whenever requested by the EU, the recipients of EU funding should support the EU's own communication actions (e.g. by providing content or supporting access to the Project for campaigns or media actions managed by the EU).</i>
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		<i>The WBIF Communication and Visibility Plan and Guidelines further detail the roles and responsibilities of the WBIF's main stakeholders.</i>
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35	Issues to be clarified before WBIF grant approval	<i>Describe the problems that must be addressed before the WBIF approves the Project.</i>
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	Contacts <i>Provide contact details for the LFI, representative of the Beneficiary's authority, reference person in the EU Delegation, co-financier(s), private partner (if applicable), taking into account any restrictions imposed by banking regulations, confidentiality and compliance issues, etc.</i>				
36	Institution	Contact person	Function	Phone	Email
	Lead Financial Institution				
	Beneficiary authority				
	EU Delegation				
	Co-financier(s)				
	Private partner(s)				

37	Date of submission by the NIPAC	<i>This section is filled in automatically in MIS.</i>	NIPAC Details	<i>This section is filled in automatically in MIS.</i>
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Annex I: Key requirements checklist

Ensure that this annex is as complete as possible.

Main requirements:

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

Annex 2: Result Framework template

Please delete this box after filling in the section below

The Result Framework must contain, as an absolute minimum, the **4 mandatory cross-sectoral indicators** plus those relevant mandatory and applicable Impact(s), Outcomes and Outputs per sector of intervention which can be found in the excel table **EFSD+ ReMF2023 – WBIF selection**.

It constitutes the basis for the monitoring, reporting and evaluation of the intervention.

- This completed Result Framework (e.g. including baselines/targets) must be presented as an annex to the GAF when the application is submitted via the WBIF MIS. This annex must be uploaded to the system as a separate document (a Word or PFD file).

Available in the WBIF MIS Library, under the “WBIF Indicators & RF Templates” tab

(<https://mis2.wbif.eu/Library>) are: (i) the Result Framework Templates by sector, inclusive of relevant indicators and ready for use; (ii) the WBIF indicators list “EFSD+ ReMF2023 – WBIF selection”.

- In line with OECD/DAC terminology the term ‘results’ is understood to cover Outputs, Outcomes (Specific Objectives) and Impact(s) (Overall Objective(s)).
- How to develop the Results chain column:

The Indicative Result Framework should contain all mandatory as well as relevant Impact(s), Outcomes and Outputs per sector of intervention.	
Impact(s)	Definition: Impact tends to be the long-term change the action contributes to (at country, regional, sector level in terms of benefit to the population)
	Impact statement formulation: avoid “contribute to”
	How many? One might sometimes be sufficient, but both intermediate and longer-term impacts are allowed and highly recommended. Impact should preferably be related to at least one objective defined in the IPA III Programming Framework but may also be selected from the relevant EFSD+ Overarching priorities provided in the Impact Tab of the excel table “EFSD+ ReMF2023 – WBIF selection” .
Outcome(s)	Definition: An Outcome is a short to medium-term change in the behaviour of the target groups and/or effects on the political, social, economic and/or environmental areas targeted by EU action – the action will contribute to change at this level (it is under its influence but not direct control).
	How many? There can be both short- and medium-term outcomes. Please try to limit the number of Outcome(s) to 2-3 at the most. ⁷
	Please use past participle for the formulation (enhanced, increased, improved, adopted...) Please avoid using causal links (‘by’, ‘in order to’...)
Outputs	Definition: Outputs are direct deliverables or benefits of activities – under the direct control of the action
	Please use past participle for the formulation (strengthened, increased, improved...)
	Outputs are NOT activities

- How to draft Indicators:
 - **Please select your indicators from the excel table “EFSD+ ReMF2023 – WBIF selection”. Please use indicators that are most relevant and pertinent.**
 - Please include at least one indicator for each result. Indicators should be formulated to measure progress towards the relevant result.
 - Indicators should be numbered so that they can be linked to the results they measure (see example in the Result Framework below).

⁷ For interventions covering more than one area of support, the number of outcomes can increase (keeping the total number reasonable).

- Indicators must start with a unit of measure, either quantitative ('number of people', 'km', 'percentage of', 'index') or qualitative ('level of', 'status of', 'extent to which'). Formulation of the indicators must be neutral, i.e. not include elements of the target such as 'increase', 'improvement', 'better'.
 - Please disaggregate by sex, age and disability status when referring to and counting individuals, by urban/rural location, or any other relevant disaggregation reflecting the mainstreaming issues when relevant and possible.
 - Each indicator must have one reliable and accessible source of data. (In some cases, more than one source of data per indicator may be needed).
 - Baselines and targets are mandatory and must always be included.
 - Avoid repeating indicators for different results.
 - Please ensure that indicators relevant to the action are used.
- External assumptions
- Assumptions are external necessary and positive conditions – not under intervention management or entity control – that must hold in order for the result chain to be valid. They should be formulated based on the context analysis and the risk analysis.

Results	Results chain: Main expected results	Indicators [At least one indicator per expected result]	Unit of measure	Baselines (values and years)	Current values (Applicable at reporting stage)	Targets (values and years)	Sources of data	Assumptions
Impact		1 2	1 2	1 2	1 2	1 2	1 2	<i>Not applicable</i>
Outcome 1	1 (past tense)	1.1 1.2	1.1 1.2	1.1 1.2	1.1 1.2	1.1 1.2	1.1 1.2	
Outcome 2	2 (past tense)	2.1 2.2	2.1 2.2	2.1 2.2	2.1 2.1	2.1 2.2	2.1 2.2	
	...							
Output 1 related to Outcome 1	1.1 (past tense)	1.1.1 1.1.2	1.1.1 1.1.2	1.1.1 1.1.2	1.1.1 1.1.2	1.1.1 1.1.2	1.1.1 1.1.2	
Output 2 related to Outcome 1 [and 2, 3... if applicable]	1.2 (past tense)	1.2.1 1.2.2	1.2.1 1.2.2	1.2.1 1.2.2	1.2.1 1.2.2	1.2.1 1.2.2	1.2.1 1.2.2	
Output 1 related to Outcome 2	2.1 (past tense)	2.1.1 2.1.2	2.1.1 2.1.2	2.1.1 2.1.2	2.1.1 2.1.2	2.1.1 2.1.2	2.1.1 2.1.2	
Output 2 related to Outcome 2	2.2 (past tense)	2.2.1 2.2.2	2.2.1 2.2.2	2.2.1 2.2.2	2.2.1 2.2.2	2.2.1 2.2.2	2.2.1 2.2.2	
	...							

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 Financial Institution 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 FINANCIAL INSTITUTION

	To be filled by the Lead Financial Institution before the application is recommended for approval, confirming the readiness of the Action for submission to the WBIF Operational Board and EWBIF Assembly of Contributors	
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DECISION ON THE APPROVAL OF THE GRANT

	To be filled by the WBIF Secretariat, specifying WBIF decision on approval, relevant comments on the substance of the grant, and conditions on approval.	
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PAYMENT OF THE GRANT FROM THE JOINT FUND

SIGNATORY OF THE LEAD FINANCIAL INSTITUTION

<p>To be filled by the Lead Financial Institution 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.</p>					
	Grant amount approved by WBIF				Insert the final grant amount approved by WBIF.
	Start date of activities financed by the WBIF				
	Final date of operational implementation of the Action [as per Financing Decision]				Insert the completion date of all activities financed by the grant funds.
	Payment schedule	Payment	Amount EUR	Date (month/year)	
1 st payment					
2 nd payment					
3 rd payment					
	...				

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

CONFIRMATION BY THE EUROPEAN COMMISSION

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

AMENDMENTS TO THE APPROVED GAF

Addendum / Written Procedure / Notification	Description of amendment	Rationale for change

Annex 3: Blending application form for private sector

IDENTITY OF THE ACTION

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

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

13	Summary of the Action	<ul style="list-style-type: none"> • <i>Provide a short description of the Action including: background, main objective/impact, results, main activities, location, final beneficiary(ies), duration and timeframe.</i> • <i>Describe the consistency of the Action with the Economic and Investment Plan;</i> • <i>Explain the added value of the Action at the national/regional/international level;</i> • <i>Provide details on the final outcome of the Action</i> <i>(Indicative length 200 words)</i>
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14	Detailed Description of the Action⁸	<p><i>Provide a description of the Action focusing on:</i></p> <ul style="list-style-type: none"> • <i>the background to the preparation of the action, in particular on the sector/beneficiary economy/ regional context (including key challenges);</i> • <i>intervention logic underpinning the Action, indicating the expected outcome(s), output(s), impact as well as underlying the main risks and assumptions towards their achievement;</i> • <i>Outline the broad timeframe of the action and describe any specific factor taken into account;</i> • <i>how the Action contributes to the achievement of relevant social standards and other cross-cutting issues, including gender equality;</i> <i>(Indicative length 800 words)</i>
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Relevance of the Action

⁸ For all documents used in drafting this section (e.g. studies, statistics, etc.) please indicate the source, title, author, issue date and online address (if available online).

15	<p>Strategic justification, rationale and coherence with:</p> <ul style="list-style-type: none"> - WBIF objectives: - National/regional/sectoral strategies - other EU policies and initiatives, (including information on the avoidance of duplication). 	<p><i>[Justify why WBIF is an appropriate forum for supporting the Action</i></p> <ul style="list-style-type: none"> • <i>Explain how the Action is coherent with and contributes to the fulfilment of EU policies and core directives (e.g. environment, state aid, public procurement), EU pre-accession strategy, the Economic and Investment Plan, Economic Reform Programmes (ERP) and adopted national or regional sector strategies.</i> • <i>Demonstrate how the Action is consistent with the adopted national strategy(ies), WBIF private sector objectives, IPA priorities and/or those of other bilateral donors.</i> • <i>Refer to all related operations of the Action (financed by WBIF/EDIF, EU funds, or other donors/ financiers), indicate how the coordination and complementarity with related operations will be ensured and monitored.</i> • <i>Demonstrate how the Action complies and works in synergies with other WBIF private sector (REEP, GGF, EFSE) supported actions (instruments or other TA).</i>
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16	<p>Relevance of the Action to the particular needs and constraints of the target beneficiaries</p>	<ul style="list-style-type: none"> • <i>[Provide a detailed analysis of the issues and challenges to be addressed by the Action;</i> • <i>If the Action is the continuation of a previous action, clearly indicate how it is intended to build on the activities/results of this previous action; refer to the main conclusions and recommendations of any evaluations carried out.</i>
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Envisaged impact of the Action on innovation and green growth		
17	<p>Contribution to the SMEs innovation and green growth</p> <p><i>[Specify the percentage of impact estimated]</i></p>	<p><i>[Please outline how the action contributes to increased SMEs innovation and the implementation of the Green Agenda for The Western Balkans⁹ (ie., circular economy, sustainable tourism, sustainable food production). Information to be supplied and the level of detail required will depend on the sector and the maturity of the Action (e.g. feasibility study, detailed design, selection of experts/service providers etc.). The LFI may propose a specific percentage of the Action budget as contribution to the Green Agenda based on its own or an EU methodology (EU Taxonomy etc.)</i></p>
	<p>Underlying rationale <i>specify few indicators on impact measurement</i></p>	<p><i>[Free text –please refer to the relevant indicators in section 15]</i></p>

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

⁹ Staff Working Document SWD (2020) 223 final from 6.10.2020, Guidelines for the implementation of the Green Agenda for the Western Balkans

	[Other benefits	[
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19	Institutional Framework of the Action	
	Description of entities involved	[
	Organisational set-up	[

20	Implementation modality of the Action	[<i>e.g., direct action by IFI or intermediated action via intermediaries (financial intermediaries, organisations, public or private bodies etc.)</i>]
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21	Indicative Action Calendar	<i>[For each, specify quarter and year (e.g. Q1 2021)]</i>	
	Execution of the funding agreement		
	Start of selection activities for the financial instrument		
	Start of selection activities for the technical assistance		
	Signature of contracts with financial intermediaries (if any)		
	Ensure investment into financial vehicle		
	Start of activities vis-à-vis final beneficiaries for the financial instrument		
	Start of activities vis-à-vis final beneficiaries for the technical assistance		
	Final date of execution of the Action for the financial instrument		
	Final date of execution of the Action for the technical assistance		

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

23	Consultations¹⁰ before submission: • EU Delegation(s)	<i>[List the institutions that were consulted and provide details on involvement and contact details.</i>
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¹⁰ N.B. Contacts/consultations with EU Delegation are compulsory, while with other listed stakeholders it is strongly advisable.

<ul style="list-style-type: none"> • NIPAC when relevant • Investment Agencies • Innovation Agencies • IFIs • Local partners/Regional organisations/other stakeholders • Working Party 	<p><i>Provide information on the status of such consultations/ negotiations and summarize their conclusions incl. any (preliminary) decisions reached on the Action's financing.</i></p> <p><i>Suggest proposed actions and deadlines of any unsolved issue.</i></p>
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24	Issues to be clarified before submission to the WBIF Operational Board, if any	<i>[Describe any open issues that must be addressed before the Action reaches the WBIF Operational Board for final decision. Provide information on any horizontal conditionalities related to IPA (e.g. adopted national sector strategy) and/or specific commitments associated with the implementation of the Action.]</i>
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Targeted budget for the Action (in amounts and percentage)											
Type / Sources	IPA financing		Lead Finance institution		Expected mobilised financing from other institutions		Expected mobilised financing from private sector		Total targeted budget of portfolio (in €M)		
INSTRUMENT	Funding (€M)	Risk share (%)	Funding (€M)	Risk share (%)	Funding (€M)	Risk share (%)	Funding (€M)	Risk share (%)	Funding (€M)	Risk share (%)	
Debt											
Mezzanine											
Equity											
Guarantee											
TA component											
Investment Grant											
Investment Incentives											
Other (you may add rows)											
Total											

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

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

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

^(c) May cover only costs associated with a special request made by the European Commission, for example with regard to reporting on "costs incurred" or a specific cross-cutting evaluation of a number of Actions. It does not include statutory audit and evaluation requirements that fall with the Beneficiary as per national legislation or with the LFI as part of their own due diligence and control for managing the Action.

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

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

30	Monitoring, reporting and evaluation	[]
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31	Visibility	Please outline of the possible visibility details for the action based on the EU requirements ¹¹
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32	Contacts	Contact person	Function	Phone	Email
	DG NEAR:	[]	[]	[]	NEAR-WBIF@ec.europa.eu

33	Date of presentation in WBIF	Read-only	Date of submission by LIFI	Read-only
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¹¹ See Communicating and raising EU visibility - Guidance for external actions July 2022, available at [communicating_and_raising_eu_visibility_-_guidance_for_external_actions_-_july_2022.pdf \(europa.eu\)](#)

Annex I: Key requirements checklist

Main requirements:

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

Annex 2: Result Framework template

Please delete this box after filling in the section below

The Result Framework must contain, as an absolute minimum, the **4 mandatory cross-sectoral indicators** plus those relevant mandatory and applicable Impact(s), Outcomes and Outputs per sector of intervention which can be found in the excel table **EFSD+ ReMF2023 – WBIF selection**.

It constitutes the basis for the monitoring, reporting and evaluation of the intervention.

- This completed Result Framework (e.g. including baselines/targets) must be presented as an annex to the GAF when the application is submitted via the WBIF MIS. This annex must be uploaded to the system as a separate document (a Word or PFD file).

Available in the WBIF MIS Library, under the “WBIF Indicators & RF Templates” tab

(<https://mis2.wbif.eu/Library>) are: (i) the Result Framework Templates by sector, inclusive of relevant indicators and ready for use; (ii) the WBIF indicators list “EFSD+ ReMF2023 – WBIF selection”.

- In line with OECD/DAC terminology the term ‘results’ is understood to cover Outputs, Outcomes (Specific Objectives) and Impact(s) (Overall Objective(s)).
- How to develop the Results chain column:

The Indicative Result Framework should contain all mandatory as well as relevant Impact(s), Outcomes and Outputs per sector of intervention.	
Impact(s)	Definition: Impact tends to be the long-term change the action contributes to (at country, regional, sector level in terms of benefit to the population)
	Impact statement formulation: avoid “contribute to”
	How many? One might sometimes be sufficient, but both intermediate and longer-term impacts are allowed and highly recommended. Impact should preferably be related to at least one objective defined in the IPA III Programming Framework but may also be selected from the relevant EFSD+ Overarching priorities provided in the Impact Tab of the excel table “EFSD+ ReMF2023 – WBIF selection” .
Outcome(s)	Definition: An Outcome is a short to medium-term change in the behaviour of the target groups and/or effects on the political, social, economic and/or environmental areas targeted by EU action – the action will contribute to change at this level (it is under its influence but not direct control).
	How many? There can be both short- and medium-term outcomes. Please try to limit the number of Outcome(s) to 2-3 at the most. ¹²
	Please use past participle for the formulation (enhanced, increased, improved, adopted...) Please avoid using causal links (‘by’, ‘in order to’...)
Outputs	Definition: Outputs are direct deliverables or benefits of activities – under the direct control of the action
	Please use past participle for the formulation (strengthened, increased, improved...)
	Outputs are NOT activities

- How to draft Indicators:
 - **Please select your indicators from the excel table “EFSD+ ReMF2023 – WBIF selection”. Please use indicators that are most relevant and pertinent.**
 - Please include at least one indicator for each result. Indicators should be formulated to measure progress towards the relevant result.
 - Indicators should be numbered so that they can be linked to the results they measure (see example in the Result Framework below).

¹² For interventions covering more than one area of support, the number of outcomes can increase (keeping the total number reasonable).

- Indicators must start with a unit of measure, either quantitative ('number of people', 'km', 'percentage of', 'index') or qualitative ('level of', 'status of', 'extent to which'). Formulation of the indicators must be neutral, i.e. not include elements of the target such as 'increase', 'improvement', 'better'.
 - Please disaggregate by sex, age and disability status when referring to and counting individuals, by urban/rural location, or any other relevant disaggregation reflecting the mainstreaming issues when relevant and possible.
 - Each indicator must have one reliable and accessible source of data. (In some cases, more than one source of data per indicator may be needed).
 - Baselines and targets are mandatory and must always be included.
 - Avoid repeating indicators for different results.
 - Please ensure that indicators relevant to the action are used.
- External assumptions
- Assumptions are external necessary and positive conditions – not under intervention management or entity control – that must hold in order for the result chain to be valid. They should be formulated based on the context analysis and the risk analysis.

Results	Results chain: Main expected results	Indicators [At least one indicator per expected result]	Unit of measure	Baselines (values and years)	Current values (Applicable at reporting stage)	Targets (values and years)	Sources of data	Assumptions
Impact		1	1	1	1	1	1	<i>Not applicable</i>
		2	2	2	2	2	2	
Outcome 1	1 (past tense)	1.1	1.1	1.1	1.1	1.1	1.1	
		1.2	1.2	1.2	1.2	1.2	1.2	
Outcome 2	2 (past tense)	2.1	2.1	2.1	2.1	2.1	2.1	
		2.2	2.2	2.2	2.1	2.2	2.2	
	...							
Output 1 related to Outcome 1	1.1 (past tense)	1.1.1	1.1.1	1.1.1	1.1.1	1.1.1	1.1.1	
		1.1.2	1.1.2	1.1.2	1.1.2	1.1.2	1.1.2	
Output 2 related to Outcome 1 [and 2, 3... if applicable]	1.2 (past tense)	1.2.1	1.2.1	1.2.1	1.2.1	1.2.1	1.2.1	
		1.2.2	1.2.2	1.2.2	1.2.2	1.2.2	1.2.2	
Output 1 related to Outcome 2	2.1 (past tense)	2.1.1	2.1.1	2.1.1	2.1.1	2.1.1	2.1.1	
		2.1.2	2.1.2	2.1.2	2.1.2	2.1.2	2.1.2	
Output 2 related to Outcome 2	2.2 (past tense)	2.2.1	2.2.1	2.2.1	2.2.1	2.2.1	2.2.1	
		2.2.2	2.2.2	2.2.2	2.2.2	2.2.2	2.2.2	
	...							

ASSESSMENT

RESULT OF THE SCREENING PHASE

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

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

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

AMENDMENTS TO THE APPROVED GAF

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

Annex 4: Technical assistance application form for private sector

GENERAL INFORMATION ON THE ACTION

1	Blending Facility	WBIF – TAF	2	Operational Board Date	Read-Only
3	TA Grant Application title	Read-Only	4	Grant code	Read-Only
5	Beneficiary economy (ies)	Read-Only			
6	Sector	Private Sector	7	DAC Code	Read-Only Flagship Read-Only

8	Lead International Financial Institution	Read-Only
9	Co-financier(s)	Read-Only
10	Type of WBIF contribution	Technical Assistance
11	Grant amount requested (with fees)	Read-Only

THE ACTION

12	Summary the Action	<ul style="list-style-type: none"> Provide a short description of the Action including: background, main objective/impact, results, main activities, location, final beneficiary(ies), duration and timeframe. Describe the consistency of the Action with the Economic and Investment Plan; Explain the added value of the Action at the national/regional/international level; Provide details on the final outcome of the Action (Indicative length 200 words)
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13	Detailed Description of the Action¹³	<p>Provide a description of the Action focusing on:</p> <ul style="list-style-type: none"> the background to the preparation of the action, in particular on the sector/beneficiary economy/ regional context (including key challenges); intervention logic underpinning the Action, indicating the expected outcome(s), output(s), impact as well as underlying the main risks and assumptions towards their achievement; Outline the broad timeframe of the action and describe any specific factor taken into account; how the Action contributes to the achievement of relevant social standards and other cross-cutting issues, including gender equality; <p>(Indicative length 800 words)</p>
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Relevance of the Action

14	Strategic justification, rationale and coherence with: - WBIF objectives: - National/regional/sectoral strategies	<p>Justify why WBIF is an appropriate forum for supporting the Action</p> <ul style="list-style-type: none"> Explain how the Action is coherent with and contributes to the fulfilment of EU policies and core directives (e.g. environment, state aid, public procurement), EU pre-accession strategy, the Economic and Investment Plan, Economic Reform Programmes (ERP) and adopted national or regional sector strategies.
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¹³ For all documents used in drafting this section (e.g. studies, statistics, etc.) please indicate the source, title, author, issue date and online address (if available online).

	<p>-other EU policies and initiatives, (including information on the avoidance of duplication).</p>	<ul style="list-style-type: none"> • Demonstrate how the Action is consistent with the adopted national strategy(ies), WBIF private sector objectives, IPA priorities and/or those of other bilateral donors. • Refer to all related operations of the Action (financed by WBIF/EDIF, EU funds, or other donors/ financiers), indicate how the coordination and complementarity with related operations will be ensured and monitored. • Demonstrate how the Action complies and works in synergies with other WBIF private sector (REEP, GGF, EFSE) supported actions (instruments or other TA).
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<p>15</p>	<p>Relevance of the Action to the particular needs and constraints of the target beneficiaries</p>	<ul style="list-style-type: none"> • [Provide a detailed analysis of the problems and challenges to be addressed by the Action; • If the Action is the continuation of a previous action, clearly indicate how it is intended to build on the activities/results of this previous action; refer to the main conclusions and recommendations of any evaluations carried out.
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<p>16</p>	<p>Envisaged impact of the Action on innovation and green growth</p>	
	<p>Contribution to the SMEs innovation and green growth</p> <p>[Specify the percentage of impact estimated]</p>	<p>[Please outline how the action contributes to increased SMEs innovation and the implementation of the Green Agenda for The Western Balkans¹⁴(ie., circular economy, sustainable tourism, sustainable food production). Information to be supplied and the level of detail required will depend on the sector and the maturity of the Action (e.g. feasibility study, detailed design, selection of experts/service providers etc.). The LFI may propose a specific percentage of the Action budget as contribution to the Green Agenda based on its own or an EU methodology (EU Taxonomy etc.)</p>
	<p>Underlying rationale specify few indicators on impact measurement</p>	<p>[Free text –please refer to the relevant indicators in section 14]</p>

<p>17</p>	<p>Additionality of the WBIF grant [In the list below, only detail and justify additionality where relevant and applicable.]</p>	
	<p>[Economic and Financial</p>	<p>[What are the economic benefits of the grant funding proposed? Why is the proposed grant funding necessary for the Action?]</p>
	<p>[Action/ scale</p>	<p>[How will the grant funding increase the scale of the Action? Will it widen the results of the Action; or extend the benefits to more people?]</p>
	<p>[Action timing</p>	<p>[In what way does the grant element have a positive effect on the timing of the Action and/or the benefits it is expected to deliver?]</p>
	<p>[Action quality standards, social</p>	<p>[How will the grant funding improve the quality of the Action’s expected outcomes? How will the grant funding improve the Action’s chances of success? How will the grant enable promotion of higher standards (economic, socio-environmental standards including the promotion of gender equality) and more substantial social or global public good returns than would otherwise be possible?]</p>
	<p>[Innovative approach</p>	<p>[What are the innovative aspects of the Action that could not be generated by or within the target environment without grant support? Why is the proposed innovation important?</p>
<p>[Sustainability</p>	<p>[Does the grant funding help support further or parallel activities to ensure that benefits continue beyond the life of the Action? For example, does the grant funding</p>	

¹⁴ Staff Working Document SWD (2020) 223 final from 6.10.2020, Guidelines for the implementation of the Green Agenda for the Western Balkans

		<i>contribute to structural reforms, support changes to legislation, regulation, or policy? Does the grant finance enable demonstration effects to other participants in the market place?</i>
	Other benefits	<i>[Other benefits/positive externalities may be realised by the Action (or negative externalities avoided), which would not happen without the presence of the grant component. Are there any significant benefits outside of the main/primary objectives of the loan operation that grant funding could bring?]</i>

WBIF grant amount calculation and justification		
	Type of activity/cost categories	Grant amount requested [EUR]
18	(1) Ex-ante analysis (mapping, needs assessment, randomised trial, investigations/surveys, etc.)	
	(2) Feasibility study and other preparatory studies	
	(3) Impact assessment study	
	(4) Market and Sector Development Activities	
	(5) Action management assistance	
	(6) Capacity building	
	(7) Advisory services	
	(8) Business climate through reforms	
	(9) Other (rows may be added)	
		Total amount requested

[List the activities (cost categories), and their corresponding amounts, that will be funded by the WBIF/EDIF grant. Explain thoroughly how the amount of the grant has been determined/calculated.

In justifying the grant amount, please consider the needs of the macro-economic situation of the Beneficiary, the economic and financial viability of the Action, the additionality of the grant, the envisaged impacts included in the relevant sections of the grant application form, affordability concerns as well as the impact on tariffs (e.g. for Actions generating revenue through user charges).

Institutional framework of the Action

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

[Indicate the expected start and completion dates of each activity to be carried out as part of the Action. For competing this section, please also see section 7.3 “Extraordinary circumstance” of the Guidelines. Please note that although the dates that must be provided are indicative, they should not exceed the milestones listed in the above-mentioned section of the Guidelines. Further, the situation in which the preparation of the Terms of Reference has not started within 6 months of the approval date of

the grant signals significant delays and the grant is flagged for consideration at the next Steering Committee meeting (within 1 year of the approval date).]

Action preparation status			
Action stage	Status	Minimum supporting information required	
22 [Gap analysis/market impact assessment/Scoping study]	[Choose an item.]	[start and (expected) completion/approval dates; deliverables (incl. title, author, and issue date)/results; main conclusion(s); and outstanding issues/conditions]	
[Feasibility study]	[Choose an item.]	[start and (expected) completion/approval dates; deliverables (incl. title, author, and issue date)/results; main conclusion(s); and outstanding issues/conditions]	
[Implementation status of related Programme (if any)]	[Choose an item.]	[Indicate whether in the last 5 years there is any similar Action (whether ongoing or concluded).]	
[Other]	[]	[Rows may be added if needed]	

[In the column "Status" select one of the following 3 choices for each Action stage: NC ("not started"), WIP ("work in progress"), C ("completed") or N/A ("not applicable"). If 'WIP' or 'C', then provide key details and status and link if relevant.

23	Consultations¹⁵ before submission: <ul style="list-style-type: none"> • EU Delegation(s) • NIPAC when relevant • Investment Agencies • Innovation Agencies • IFIs • Local partners/Regional organisations/other stakeholders • Working Party 	<p><i>[List the institutions that were consulted and provide details on involvement and contact details.</i></p> <p><i>Provide information on the status of such consultations/ negotiations and summarize their conclusions incl. any (preliminary) decisions reached on the Action's financing.</i></p> <p><i>Suggest proposed actions and deadlines of any unsolved issue.</i></p>
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Indicative Total Budget (Cost breakdown)				
	Component	Description	Estimated cost [EUR]	% /Total
24	[1]	[If applicable, technical assistance for Action preparation (e.g. (pre)feasibility study, detailed design, tender documents)]	[]	[]
	[2]	[IFI internal or external resources for technical assistance actions (depending on nature of Actions, e.g. supervision of external consultants on the ground)]	[]	[]
	[3]	[Contingencies]	[]	[]
	[4]	[Visibility]	[]	[]
	[5]	[Co-financing by final beneficiaries]	[]	[]
	[6]	[Fees]	[]	[]
	[7]	[Other (rows may be added)]	[]	[]
			Total	[]

25	Sustainability of the Action	<p><i>[Describe the Action's sustainability in relation to:</i></p> <ul style="list-style-type: none"> • <i>Environmental aspects: How will the Action consider its environmental implications so that any negative impacts on the environment will be either avoided or mitigated during the life of the Action?</i> • <i>Economic/Financial viability: What are the criteria/measures which will be taken into consideration for ensuring the economic/financial viability of the Action?</i>
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¹⁵ N.B. Contacts/consultations with EU Delegation are compulsory, while with other listed stakeholders it is strongly advisable.

		<ul style="list-style-type: none"> • <i>Social aspects:</i> How will the Action incorporate mechanisms that guarantee equitable access to and distribution of the Action benefits on a continuous basis? • <i>Institutional aspects:</i> Will the Action receive the necessary support (both budgetary and institutional) to enable it to maintain and operate the facilities over their lifetime?]
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	Risk assessment categories	Description	Mitigation	Risk severity		
				H	M	L
	Political	[[[[[
	Economic	[[[[[
	Financial	[[[[[
	Social and gender	[[[[[
	Environmental	[[[[[
	Implementation	[[[[[
	Other	[[[[[
26	<p>Identify the Action related risks and the way these risks will be mitigated. Assess how seriously the identified risks can influence the Action: high (H), medium (M) or low (L). Provide information about each of the following risk categories:</p> <ul style="list-style-type: none"> • <i>Political risks:</i> including but not limited to the gap between the Beneficiary and EU legislation/standards and pace of convergence; policy changes; administrative changes; • <i>Economic risks:</i> describe how changes in macroeconomic conditions or policies may affect the Action; • <i>Financial risks:</i> for financial risks description focus on the following elements: risks linked to partner financial institutions (intermediaries); the risk sharing operations; • <i>Social and gender equality risks:</i> inadequate communication between all actors involved in the Action; public opposition, affordability issues, etc.; • <i>Environmental risks:</i> impacts on air pollution, noise, and climate change (climate risks issues addressed in section 29), etc.; • <i>Implementation risks:</i> delays in Action implementation (delays in task execution); site unavailability; delays in procurement, etc., and risks related to Action outputs not leading to intended outcomes and impact; • <i>Other risks:</i> describe any other risks identified. 					

27	Issues to be clarified before submission to the WBIF Operational Board	[Describe any open issues that must be addressed before the Action reaches the WBIF Operational Board for final decision. Provide information on any horizontal conditionalities related to IPA (e.g. adopted national sector strategy) and/or specific commitments associated with the implementation of the Action].]
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28	Monitoring, reporting and evaluation	[Describe, the modus operandi for the implementation of the monitoring, reporting and evaluation processes.]
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29	Visibility	[Provide the visibility details proposed for the Action based on the EU requirements ¹⁶
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	Contacts	Contact person	Function	Phone	Email
30	DG NEAR	[[[NEAR-WBIF@ec.europa.eu
	[Please provide contact details of the Action manager in your institution, the reference person in the EU Delegation (national Actions)/the representative of the Beneficiary's authority or the Private partner (whenever possible), taking into account eventual restrictions imposed by banking regulations, confidentiality and compliance issues, etc.]				

31	Date of presentation in WBIF	Read-Only	Date of submission by LIFI	Read-Only
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¹⁶ See Communicating and raising EU visibility - Guidance for external actions July 2022, available at [communicating_and_raising_eu_visibility_-_guidance_for_external_actions_-_july_2022.pdf \(europa.eu\)](#)

Annex I: Key requirements checklist

Main requirements:

1. Operations covered by the WBIF benefit one or more of the following Beneficiaries: Albania, Bosnia and Herzegovina, the Republic of North Macedonia, Montenegro, Serbia and Kosovo.
2. The Action contributes to the priorities of Economic and Investment Plan: business ecosystem, financial sector diversification, start-ups, youth employment, women in business, green growth, innovation, digital
3. The Action is not supported by the bilateral component of IPA and if yes, this is duly justified
4. The GAF is submitted by an IFI/bilateral donor/regional organisation and the grant request is endorsed by all relevant stakeholders.
5. The grant requested, its calculation and justification are clearly explained.
6. The information provided in each section is consistent and coherent with that filled in the other sections of the GAF.
7. The Action is consistent with the Economic and Investment Plan investment flagships and is in synergy with the Economic Reform Programmes, Smart Specialisation Strategies and the relevant sector policies and national or regional investment, thematic plans and strategies.
8. The activities do not duplicate or overlap with other operations.
9. All relevant stakeholders have been consulted during the preparation of the GAF.
10. The description of the institutional framework clearly demonstrates the capacity to define and implement the Action.
11. The values of the result indicators reflect the expected outputs and intended outcomes of the Action.
12. The risks associated with the proposed Action have been identified and the corresponding mitigation measures have been determined.

Yes	No
[[
[[
[[
[[
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Annex 2: Result Framework template

Please delete this box after filling in the section below

The Result Framework must contain, as an absolute minimum, the **4 mandatory cross-sectoral indicators** plus those relevant mandatory and applicable Impact(s), Outcomes and Outputs per sector of intervention which can be found in the excel table **EFSD+ ReMF2023 – WBIF selection**.

It constitutes the basis for the monitoring, reporting and evaluation of the intervention.

- This completed Result Framework (e.g. including baselines/targets) must be presented as an annex to the GAF when the application is submitted via the WBIF MIS. This annex must be uploaded to the system as a separate document (a Word or PFD file).

Available in the WBIF MIS Library, under the “WBIF Indicators & RF Templates” tab

(<https://mis2.wbif.eu/Library>) are: (i) the Result Framework Templates by sector, inclusive of relevant indicators and ready for use; (ii) the WBIF indicators list “EFSD+ ReMF2023 – WBIF selection”.

- In line with OECD/DAC terminology the term ‘results’ is understood to cover Outputs, Outcomes (Specific Objectives) and Impact(s) (Overall Objective(s)).
- How to develop the Results chain column:

The Indicative Result Framework should contain all mandatory as well as relevant Impact(s), Outcomes and Outputs per sector of intervention.	
Impact(s)	Definition: Impact tends to be the long-term change the action contributes to (at country, regional, sector level in terms of benefit to the population)
	Impact statement formulation: avoid “contribute to”
	How many? One might sometimes be sufficient, but both intermediate and longer-term impacts are allowed and highly recommended. Impact should preferably be related to at least one objective defined in the IPA III Programming Framework but may also be selected from the relevant EFSD+ Overarching priorities provided in the Impact Tab of the excel table “EFSD+ ReMF2023 – WBIF selection” .
Outcome(s)	Definition: An Outcome is a short to medium-term change in the behaviour of the target groups and/or effects on the political, social, economic and/or environmental areas targeted by EU action – the action will contribute to change at this level (it is under its influence but not direct control).
	How many? There can be both short- and medium-term outcomes. Please try to limit the number of Outcome(s) to 2-3 at the most. ¹⁷
	Please use past participle for the formulation (enhanced, increased, improved, adopted...) Please avoid using causal links (‘by’, ‘in order to’...)
Outputs	Definition: Outputs are direct deliverables or benefits of activities – under the direct control of the action
	Please use past participle for the formulation (strengthened, increased, improved...)
	Outputs are NOT activities

- How to draft Indicators:
 - **Please select your indicators from the excel table “EFSD+ ReMF2023 – WBIF selection”. Please use indicators that are most relevant and pertinent.**
 - Please include at least one indicator for each result. Indicators should be formulated to measure progress towards the relevant result.
 - Indicators should be numbered so that they can be linked to the results they measure (see example in the Result Framework below).
 - Indicators must start with a unit of measure, either quantitative (‘number of people’, ‘km’, ‘percentage of’, ‘index’) or qualitative (‘level of’, ‘status of’, ‘extent to which’). Formulation of the indicators must be neutral, i.e. not include elements of the target such as ‘increase’, ‘improvement’, ‘better’.
 - Please disaggregate by sex, age and disability status when referring to and counting individuals, by urban/rural location, or any other relevant disaggregation reflecting the mainstreaming issues when relevant and possible.
 - Each indicator must have one reliable and accessible source of data. (In some cases, more than one source of data per indicator may be needed).

¹⁷ For interventions covering more than one area of support, the number of outcomes can increase (keeping the total number reasonable).

- Baselines and targets are mandatory and must always be included.
- Avoid repeating indicators for different results.
- Please ensure that indicators relevant to the action are used.

➤ External assumptions

- Assumptions are external necessary and positive conditions – not under intervention management or entity control – that must hold in order for the result chain to be valid. They should be formulated based on the context analysis and the risk analysis.

Results	Results chain: Main expected results	Indicators [At least one indicator per expected result]	Unit of measure	Baselines (values and years)	Current values (Applicable at reporting stage)	Targets (values and years)	Sources of data	Assumptions
Impact		1 2	1 2	1 2	1 2	1 2	1 2	<i>Not applicable</i>
Outcome 1	1 (past tense)	1.1 1.2	1.1 1.2	1.1 1.2	1.1 1.2	1.1 1.2	1.1 1.2	
Outcome 2	2 (past tense)	2.1 2.2	2.1 2.2	2.1 2.2	2.1 2.1	2.1 2.2	2.1 2.2	
	...							
Output 1 related to Outcome 1	1.1 (past tense)	1.1.1 1.1.2	1.1.1 1.1.2	1.1.1 1.1.2	1.1.1 1.1.2	1.1.1 1.1.2	1.1.1 1.1.2	
Output 2 related to Outcome 1 [and 2, 3... if applicable]	1.2 (past tense)	1.2.1 1.2.2	1.2.1 1.2.2	1.2.1 1.2.2	1.2.1 1.2.2	1.2.1 1.2.2	1.2.1 1.2.2	
Output 1 related to Outcome 2	2.1 (past tense)	2.1.1 2.1.2	2.1.1 2.1.2	2.1.1 2.1.2	2.1.1 2.1.2	2.1.1 2.1.2	2.1.1 2.1.2	
Output 2 related to Outcome 2	2.2 (past tense)	2.2.1 2.2.2	2.2.1 2.2.2	2.2.1 2.2.2	2.2.1 2.2.2	2.2.1 2.2.2	2.2.1 2.2.2	
	...							

ASSESSMENT

RESULT OF THE SCREENING PHASE

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

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

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

AMENDMENTS TO THE APPROVED GAF

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

Annex 5: Screening and assessment grid for investment grants for public sector blending

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

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

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

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

Part 1

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

Part 2

Section	Title of section in the GAF	Screening / Assessment Organisation				
		DG NEAR (incl. geographical teams)	EU Delegation	Line DGs	International / regional organisations	Lead IFI
		<i>[Please provide detailed comments, in particular if aspects are unclear or not well addressed in the grant application form]</i>				
1 – 15	Identity of the project: <ul style="list-style-type: none"> Is the information provided in each section consistent and in coherence with the information filled in the other sections of the grant application form? Are all the sections of the grant application form completed with the information requested therein? 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially <i>[comments]</i> <i>[These sections are optional for Line DGs and international / regional organisations.]</i>				
16	Description of the Project and Action:	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially				

Section	Title of section in the GAF	Screening / Assessment Organisation				
		DG NEAR (incl. geographical teams)	EU Delegation	Line DGs	International / regional organisations	Lead IFI
	<ul style="list-style-type: none"> Are the descriptions concise and clear to allow a good understanding of the Project and Action? Is the need to carry out the Project well defined and justified? To what extent is the Project expected to provide a significant and sustainable contribution to solving targeted problem(s)? Are targeted problems duly described? Are the market failures well identified and quantified? Is the financial gap well justified? Is there insufficient funding from market sources? Are the main final beneficiaries of the Project identified? Are the objectives specific enough to address the identified needs? Are the objectives measurable? Will it be possible to measure their achievement at the end of the Project? Are the outcomes of the Action clearly defined, realistic (achievable) and quantified? Is there any synergy with existing complementary operations? Are other relevant socio-economic implications, human rights implications, and consistency with the 'Do no significant harm' principle covered? Does the project address gender equality issues in the country and contribute to government policies and programmes to support gender equality and women's empowerment? 	<p><i>[Please provide detailed comments, in particular if aspects are unclear or not well addressed in the grant application form]</i></p> <p><i>[comments]</i></p>				
17	<p>Indicative project status and planning:</p> <ul style="list-style-type: none"> Does the technical and financial status of the Project fulfil the maturity criteria? Are the urgency and the maturity of the request grant contribution consistent with the calendar of the Project? How fast will the Project be implemented? Will implementation be split into several stages/phases? 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially <p><i>[comments]</i></p>				
18	<p>Coherence with WBIF objectives, EU policies, adopted national and sectoral strategies:</p> <ul style="list-style-type: none"> Is the project proposal coherent with the WBIF strategic orientations and intervention areas, the priorities and/or flagships of the Economic and Investment Plan for the Western Balkans, EU policies? Is the Project coherent with the IPA III key priorities? Is the Project coherent with the Economic Reform Programme? Is the Project compliant with main national/regional policies in the concerned sector or thematic area? 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially <p><i>[comments]</i></p>				

Section	Title of section in the GAF	Screening / Assessment Organisation				
		DG NEAR (incl. geographical teams)	EU Delegation	Line DGs	International / regional organisations	Lead IFI
	<ul style="list-style-type: none"> Is the Project aligned with national plans and reform efforts? Is there clear complementarity/synergy with related EU programmes and/or initiatives, other donor initiatives? Is the Project coherent with the national/regional development strategy? Does the Project meet relevant social standards, including promotion of gender equality, non-discrimination and equal opportunity? Are there similar planned or ongoing projects in the country/sector? If so, are the coordination mechanisms to be used explained? Is there clear ownership/support of the Project by national/regional authorities? 	<p><i>[Please provide detailed comments, in particular if aspects are unclear or not well addressed in the grant application form]</i></p>				
19	<p>Consultations before submission:</p> <ul style="list-style-type: none"> How were the LFI and EU Delegation involved in project preparation? What consultations were conducted with national authorities (NIC or similar structure), international/regional organisations and other stakeholders? Have the confirmation letter from the Ministry of Finance and the NIPAC been provided? 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially <p><i>[comments]</i> <i>[This section is optional for Line DGs.]</i></p>				
20	<p>Institutional framework of the Project:</p> <ul style="list-style-type: none"> Are the organisational set-up, the implementation scheme and the financial structure clear? Does the proposed core team of the Beneficiary have adequate experience for managing the Project? Are the management structures appropriate to the Project's size, duration and needs? Are the management structures and procedures clear, transparent and fair? Are the administrative and financial management procedures explained and adequate? 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially <p><i>[comments]</i> <i>[This section is optional for Line DGs.]</i></p>				
21	<p>Project budget and financing plan:</p> <ul style="list-style-type: none"> Are the indicative budget and financing plan sufficiently detailed? Are the costs included in the budget realistic and acceptable? Are any of the costs excessive? Are they justified in the application? Does the project financing plan present the appropriate mix of funding and leverage between loans and grants? Is the financing plan well described, including all the sources of funds identified? Is it specified how each source of funds contribute (grants, loans, etc.)? 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially <p><i>[comments]</i> <i>[This section is optional for Line DGs.]</i></p>				
22	<p>Fiscal space and debt sustainability</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially				

Section	Title of section in the GAF	Screening / Assessment Organisation				
		DG NEAR (incl. geographical teams)	EU Delegation	Line DGs	International / regional organisations	Lead IFI
	<ul style="list-style-type: none"> Is public debt described in absolute terms and relative to GDP, recent trajectory and expected medium term trajectory, public debt levels vs debt ceiling if applicable? How does the sovereign or sub-sovereign loan/guarantee attached to the project affect debt sustainability? Are concessionally and debt sustainability requirements well described? Does the Project represent a sufficient priority that the beneficiary country's fiscal space should be used for it, as opposed to other investments? 	<p><i>[Please provide detailed comments, in particular if aspects are unclear or not well addressed in the grant application form]</i></p> <p><i>[This section is optional for Line DGs and international / regional organisations.]</i></p>				
23	Calculation of the WBIF investment grant <ul style="list-style-type: none"> Is the WBIF investment grant accurately defined? Are the costs realistic and acceptable? Is the co-financing rate applied correctly? Is the information consistent with sections 21, 24? 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially <p><i>[comments]</i></p> <p><i>[This section is optional for Line DGs and international / regional organisations.]</i></p>				
24	WBIF grant amount justification: <ul style="list-style-type: none"> Is the WBIF grant amount sufficiently substantiated and justified? For technical assistance, are the advisory services cost-effective and do not duplicate support for other sources? For investment grant, if there of a clear explanation of the project specific co-financing rate applied? Is the justification consistent with section 23? 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially <p><i>[comments]</i></p> <p><i>[This section is optional for Line DGs and international / regional organisations.]</i></p>				
25	Additionality of the WBIF grant <ul style="list-style-type: none"> Are the expected impact and results of the Project and, more specifically, of the WBIF grant contribution, clearly defined for the types of additionalities identified in the application form? Why is the proposed grant funding necessary for the Project? Could the Project go ahead without the WBIF grant? Is the positive impact relevant and well justified? Is the impact on gender equality, equal opportunities and non-discrimination clearly demonstrated? If the Action does not contribute to gender equality and/or equal opportunities and non-discrimination, is the justification reasonable and convincing? Are safeguards in place to ensure that the benefit of the WBIF grant is transferred to the final (end) beneficiaries? Are the benefits for end-beneficiaries clearly explained (e.g. lower overall cost of financing the Project, etc.)? 	<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>				

Section	Title of section in the GAF	Screening / Assessment Organisation				
		DG NEAR (incl. geographical teams)	EU Delegation	Line DGs	International / regional organisations	Lead IFI
		<i>[Please provide detailed comments, in particular if aspects are unclear or not well addressed in the grant application form]</i>				
26	Leverage ratios <ul style="list-style-type: none"> What are the proposed financial leverages? Are the proposed leverages sufficient and coherent? How does it compare to other EU blending interventions in the sector? Are fees correctly included in the ratio calculations? 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially <i>[comments]</i> <i>[This section is optional for EU Delegations, Line DGs and international / regional organisations.]</i>				
27	Project sustainability <ul style="list-style-type: none"> According to the application, will the Project be sustainable when the grant support expires? Is the economic and financial viability sufficiently substantiated and justified? What measures are foreseen to achieve sustainability? Are the environmental implications of the Project taken into account so that negative impacts on the environment are either avoided or mitigated during the life of the Project? Does the Project incorporate mechanisms that guarantee equitable access to and distribution of the Project's benefits on a continuous basis? 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially <i>[comments]</i>				
28	Risk assessment <ul style="list-style-type: none"> Are the mitigation measures for the identified risks sufficient? Are there additional risks which are not identified in the application? Please enumerate. 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially <i>[comments]</i>				
29	Addressing climate mitigation and adaptation: <ul style="list-style-type: none"> Is the contribution of the Project to climate change mitigation and/or adaptation clearly demonstrated? Have basic environmental standards been incorporated into the design of the Project? Was the LFI involved in the allocation of the Rio Markers? 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially <i>[This section is optional for EU Delegations and international/regional organisations.]</i>				
30	Indicative calendar of the Action: <ul style="list-style-type: none"> Are the procurement procedures to be used for the Project clear in the application? Do they allow to complete the Project within the proposed time and resources? Are these procedures accepted to be equivalent to those of the EC? Can the activities of the Action be implemented in the estimated period? Are they logically sequenced? Is each activity planned to be implemented within a suitable period? 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially <i>[comments]</i>				
31	Monitoring, reporting and evaluation	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially				

Section	Title of section in the GAF	Screening / Assessment Organisation				
		DG NEAR (incl. geographical teams)	EU Delegation	Line DGs	International / regional organisations	Lead IFI
	<ul style="list-style-type: none"> Are the monitoring, reporting and evaluation clearly described and sufficient? 	<p><i>[Please provide detailed comments, in particular if aspects are unclear or not well addressed in the grant application form]</i></p> <p><i>[comments]</i></p> <p><i>[This section is optional for Line DGs and international/regional organisations.]</i></p>				
32	Visibility <ul style="list-style-type: none"> Do the visibility activities comply with the EU requirements and do they provide sufficient and clear visibility? 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially <p><i>[comments]</i></p> <p><i>[This section is optional for Line DGs and international/regional organisations.]</i></p>				
33	Issues to be clarified before WBIF grant approval <ul style="list-style-type: none"> Are the issues (if any) clear? Is a timeline for their resolution indicated? 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially <p><i>[comments]</i></p>				
Annex 1	<ul style="list-style-type: none"> Is the information provided in this annex consistent with that filled in the grant application form? 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially <p><i>[comments]</i></p>				
Annex 2	Result framework <ul style="list-style-type: none"> Are the indicators sufficiently reflecting the expected outputs and the intended outcomes of the Project? Are the expected results in line with the objectives of the Project? Are the outcomes clearly defined, realistic (achievable) and quantified? Are the indicators accurately defined (description, measurement, baseline and target values)? Does the application include credible baselines, targets and sources of verification? Will data be disaggregated by sex and age? 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially <p><i>[comments]</i></p>				

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

<p>Review and acceptance by the European Commission of changes made to the grant application form during the assessment</p> <p><i>Review of changes made to the grant application form against clarifications, corrections and/or improvements formulated in the screening conclusion and acceptance of these changes by the European Commission.</i></p> <p><i>Filled in by DG NEAR Programme Managers based on the grant application form revised during the assessment and the assessment of the application by the LFI.</i></p>
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Annex 6: Screening and assessment grid for technical assistance for public sector

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

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

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

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

Part 1

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

Part 2

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

	<ul style="list-style-type: none"> Are all the sections of the grant application form completed with the information requested therein? 	<p>[These sections are optional for Line DGs and international / regional organisations.]</p>
19.	Description of the project <ul style="list-style-type: none"> Is the description concise and clear to allow a good understanding of the Project? Is the need of carrying out the project well defined and justified? What evidence is there of real demand for the Project? To what extent is the project expected to provide a significant and sustainable contribution to solving the targeted problem? Is the issue focused enough? How well are main final beneficiaries identified? Is there a clear ownership/support of the project from national/regional authorities? Are the objectives specific enough and do they cover the needs to be satisfied/fulfilled? Are the objectives measurable? Will it be possible to measure their achievement at the end of the project? Is there any synergy with existing complementary operations? 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially
		<p>[comments]</p>
20.	Indicative project status and planning <ul style="list-style-type: none"> Does the provided technical and financial information demonstrate that the project fulfils the eligibility criteria? Are the planned activities presented in a logical sequence? Is the preparatory time adequately planned for each activity? 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially
		<p>[comments]</p>
21.	Coherence with the WBIF objectives, EU policies, adopted national/sectoral strategy <ul style="list-style-type: none"> Is the project coherent with the WBIF strategic orientations and intervention areas, the priorities and/or flagships of the Economic and Investment Plan for the Western Balkans, the Economic Reform Programme, EU policies? Is the project coherent with the IPA III key priorities? Is the project proposal coherent with the National/Regional Development Strategy? Is there compliance with the main national/regional policies in the concerned sector or thematic area? Is the Project listed in the SPP? Is there compliance with social standards, including the promotion of gender equality, non-discrimination and equal opportunity? Are there similar planned or ongoing projects in the country/sector? If so, are the coordination mechanisms to be used explained? 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially
		<p>[comments]</p>
22.	Consultations before submission <ul style="list-style-type: none"> How were the LFI and the EU Delegation involved in the project preparation? What consultations were conducted with national authorities (NIC or similar body), international and/or regional organisations and other stakeholders? Was the underlying investment project endorsed by the Ministry of Finance? 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially
		<p>[comments]</p> <p>[This section is optional for Line DGs.]</p>
23.	Institutional framework of the project <ul style="list-style-type: none"> Are the organisational set-up, the implementation scheme and financial structure clear? Does the proposed core team of the Beneficiary have adequate experience for managing the project? Are the management structures appropriate to the Project's size, duration and needs? Are the management structures and procedures clear, transparent and fair? 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially
		<p>[comments]</p> <p>[This section is optional for Line DGs.]</p>

24.	Project budget and financing plan <ul style="list-style-type: none"> ▪ Are the indicative budget and the financing plan sufficiently detailed? ▪ Are the costs included in the budget realistic and acceptable? Are any of the costs excessive? Are they justified in the application? ▪ Does the project financing plan present the appropriate mix of funding and leverage between loans and grants? ▪ Is the financing plan well described, including all the sources of funds identified? 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially [comments] [This section is optional for Line DGs.]
25.	Fiscal space and debt sustainability <ul style="list-style-type: none"> ▪ Is public debt described in absolute terms and relative to GDP, recent trajectory and expected medium term trajectory, public debt levels vs debt ceiling if applicable? ▪ How do the sovereign and/or sub-sovereign loan/guarantee attached to the Project affect debt sustainability? 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially [comments] [These sections are optional for Line DGs and international / regional organisations.]
26.	Project sustainability <ul style="list-style-type: none"> ▪ Has the project considered its environmental implications so that the negative impacts are either avoided or mitigated during its lifetime? ▪ Is the economic and financial viability sufficiently substantiated and justified? ▪ What measures are foreseen to achieve sustainability? ▪ Has the project incorporated mechanisms that guarantee equitable access to and distribution of the project benefits on a continuous basis? 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially [comments]
27.	Risk assessment <ul style="list-style-type: none"> ▪ Are the mitigation measures for the identified risks sufficient? ▪ Are there any additional risks that are not identified in the application? If so, please enumerate. 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially [comments]
28.	Addressing climate mitigation and adaptation: <ul style="list-style-type: none"> ▪ Is the Project's contribution to climate change mitigation/adaptation clearly demonstrated? ▪ Was the LFI involved in allocating the Rio Markers? 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially [comments] [This section is optional for Line DGs and international/regional organisations.]
29.	Scope of work and results for the TA grant activities (the Action): <ul style="list-style-type: none"> ▪ Is the relevant information presented briefly, clearly and does it allow a good understanding of the Action at the first reading? ▪ Are the outcomes of the Action clearly defined, realistic (achievable) and quantified? 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially [comments]
30.	WBIF Grant amount calculation and justification <ul style="list-style-type: none"> ▪ Is the WBIF grant amount accurately defined? ▪ Are the costs realistic and acceptable? ▪ Does the application explain how the WBIF grant amount was calculated? ▪ Is there a clear link between the information presented in section 24 and this section? 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially [comments] [This section is optional for Line DGs and international/regional organisations.]
31.	Additionality of the WBIF grant <ul style="list-style-type: none"> ▪ Are the expected impact and results of the Project, and more specifically of the WBIF grant contribution, clearly defined for the types of additionalities identified in the application form? ▪ Why is the proposed grant funding necessary for the Project? ▪ Could the Project go ahead without the WBIF grant? 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially [comments] [This section is optional for international / regional organisations.]

	<ul style="list-style-type: none"> ▪ <i>Is the positive impact relevant and well justified?</i> ▪ <i>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 & non-discrimination, is the justification reasonable and convincing?</i> 	
32.	Indicative calendar of the Action <ul style="list-style-type: none"> ▪ <i>Are activities presented in their logical time sequence?</i> ▪ <i>Is it feasible to complete the TA in the proposed time and with the proposed resources?</i> ▪ <i>Are the planned activities associated with the Action realistically implementable within the foreseen period and logically sequenced?</i> 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially [comments]
33.	Monitoring, reporting and evaluation <ul style="list-style-type: none"> ▪ <i>Are the monitoring, reporting and evaluation clearly described and sufficient?</i> 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially [comments] <i>[This section is optional for Line DGs and international / regional organisations.]</i>
34.	Visibility <ul style="list-style-type: none"> ▪ <i>Do the visibility measures comply with the EU requirements and do they provide sufficient and clear visibility?</i> 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially [comments] <i>[This section is optional for Line DGs and international / regional organisations.]</i>
35.	Issues to be clarified before WBIF grant approval <ul style="list-style-type: none"> ▪ <i>Are the issued (if any) clear? Is a timeline for their resolution indicated?</i> 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially [comments]
Annex 1	<ul style="list-style-type: none"> ▪ <i>Is the information provided in the annex consistent with that filled in the application form?</i> 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially [comments]
Annex 2	Result framework <ul style="list-style-type: none"> ▪ <i>Are the indicators sufficiently reflecting the project's expected outputs and intended outcomes of the Project?</i> ▪ <i>Are the expected results in line with the objectives of the Project?</i> ▪ <i>Are the outcomes clearly defined, realistic (achievable) and quantified?</i> ▪ <i>Are the indicators defined accurately (description, measurement, baseline, and target value)?</i> 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially [comments]

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

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

Annex 7: Screening and assessment grid for blending for private sector

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

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

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

Part 2 of the grid contains sets of questions for each section of the application form. The questions are for guidance only and their purpose is to support the comments included in the boxes “Conditionality for the approval of the action” and “General comments”. The overall review of each section can be summarised as “Yes”, “Partially”, “No” in response to the set of questions. If the answer is “No” or “Partially”, the screeners/assessors should provide detailed comments.

Part 1

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

Part 2

Section	Title of section in the GAF	Screening / Assessment Organisation				
		DG NEAR (incl. geographical teams)	EU Delegation	Line DGs	International / regional organisations	IFICO IPF
		<i>[Please provide detailed comments, in particular if aspects are unclear or not well addressed in the application form]</i>				
1 – 12	Identity of the action: <ul style="list-style-type: none"> <i>Is the information provided in each section consistent and in coherence with the information filled in the other sections of the Blending application form?</i> 	Choose an item.				
		<i>[comments]</i> <i>[These sections are optional for Line DGs and international / regional organisations.]</i>				
13-14 and 22	Description of Action's context: <ul style="list-style-type: none"> <i>Is the overall description of the Action realistic and consistent?</i> 	Choose an item.				

Section	Title of section in the GAF	Screening / Assessment Organisation				
		DG NEAR (incl. geographical teams)	EU Delegation	Line DGs	International / regional organisations	IFICO IPF
	<ul style="list-style-type: none"> • <i>Is the need of carrying out the Action well defined and justified?</i> • <i>Are the target groups of the Action identified?</i> • <i>Are the objectives and results measurable? Will it be possible to measure their achievement at the end of the Action?</i> • <i>Is the plan of activities coherent with the proposed budget?</i> • <i>Does the proposal include credible baseline, targets and sources of verification? If not included in the proposal, is a baseline study foreseen?</i> • <i>Does the proposal have a regional approach and impact? (e.g. will it contribute to regional cooperation/regional economic integration)?</i> • <i>Is there any synergy with existing complementary operations?</i> • <i>Is it aligned with national plans and reform efforts and clear complementarity /synergies with related EU programmes and initiatives (e.g. smart specialisation, ERPs, IPARD) and other donor initiatives?</i> 	<p><i>[Please provide detailed comments, in particular if aspects are unclear or not well addressed in the application form]</i></p> <p><i>[comments]</i></p>				
15-16	<p>Strategic justification, rationale and coherence with WBIF objectives, national/regional/sectoral, other EU policies and initiatives; relevance of the Action to particular needs and constraints of target beneficiaries</p> <ul style="list-style-type: none"> • <i>Is the Action consistent with key national/regional policies in the sector/thematic area addressed by the Action?</i> • <i>Is the action coherent with the Economic and Investment Plan for the Western Balkans, and the Economic Reform Programme?</i> • <i>Is the Action coherent with the national/regional development strategy?</i> • <i>Does the Action meet the relevant social standards, including promotion of gender equality, non-discrimination and equal opportunity and other cross-cutting issues?</i> • <i>If the Action continues a previous action, is there a clear need for this extension and do activities/outcomes not overlap?</i> • <i>Is it complementary with previous actions?</i> 	<p>Choose an item.</p> <p><i>[comments]</i></p>				
17	<p>Envisaged impact of the Action on innovation and green growth:</p> <ul style="list-style-type: none"> • <i>Is the action contributing to sustain the innovation in start-ups, micro, small and medium enterprises?</i> • <i>Is the action contributing to the green and digital transition of start-ups, micro, small and medium enterprises?</i> • <i>Is the action contributing to the green agenda main objectives?</i> • <i>Can this contribution be measures/assessed?</i> 	<p>Choose an item.</p> <p><i>[comments]</i></p>				

Section	Title of section in the GAF	Screening / Assessment Organisation				
		DG NEAR (incl. geographical teams)	EU Delegation	Line DGs	International / regional organisations	IFICO IPF
		<i>[Please provide detailed comments, in particular if aspects are unclear or not well addressed in the application form]</i>				
18	Additionality of WBIF grant <ul style="list-style-type: none"> Do the expected impact and results reflect the expected outputs and intended outcomes of the Action? Is the positive impact relevant and well justified? Is the impact on gender equality clearly demonstrated? If the Action does not contribute to gender equality is the justification reasonable and convincing? Is the impact on equal opportunities and non-discrimination clearly demonstrated? If the Action does not contribute to equal opportunities and non-discrimination, is the justification reasonable and convincing? Is the proposed EU funding necessary for the Action? 	Choose an item.				
		[comments]	[This section is optional for international / regional organisations.]			
19	Institutional framework of the Action: <ul style="list-style-type: none"> Are the organisational set-up, implementation scheme and financial structure clear? Are the management structures appropriate to the Action's size, duration and needs? 	Choose an item.				
		[comments]	[This section is optional for Line DGs.]			
20	Implementation modality of the Action <ul style="list-style-type: none"> Is it clearly described how the Action will be implemented? 	Choose an item.				
		[comments]				
21	Indicative Action Calendar <ul style="list-style-type: none"> Do they allow to complete the Action within the proposed time and resources? Can the activities of the Action Plan be implemented in the estimated period? Are they logically sequenced? 	Choose an item.				
		[comments]	[This section is optional for Line DGs and international / regional organisations.]			
24	Issues to be clarified before submission to the WBIF Operational Board, if any <ul style="list-style-type: none"> Have basic environmental standards been incorporated into the design of the Action? Are the issues (if any) described in a clear and coherent manner? 	Choose an item.				
		[comments]	[This section is optional for EU Delegations and international / regional organisations.]			
25	Targeted budget for the Action <ul style="list-style-type: none"> Are the indicative budget and financing plan sufficiently detailed? Is the budget reasonable and realistic? Are unclear or unrealistic costs included in the budget? Are any of the costs excessive? Are they justified in the application? Is a budget for visibility foreseen? Does the action financing plan present the appropriate mix of funding and leverage between loans and grants/ TAs? 	Choose an item.				
		[comments]	[This section is optional for Line DGs.]			

Section	Title of section in the GAF	Screening / Assessment Organisation				
		DG NEAR (incl. geographical teams)	EU Delegation	Line DGs	International / regional organisations	IFICO IPF
	<ul style="list-style-type: none"> Are all the sources of funds accurately listed? 	<p>[Please provide detailed comments, in particular if aspects are unclear or not well addressed in the application form]</p>				
26	Calculation of the costs - EU contribution <ul style="list-style-type: none"> Is the WBIF investment grant/ TA accurately defined? Are the costs realistic and acceptable? Does the application explain how the EU contribution was calculated? Is the information consistent with section 25? 	Choose an item. [comments] [This section is optional for Line DGs and international / regional organisations.]				
27	Financial leverage of the Action <ul style="list-style-type: none"> Is the proposed financial leverage realistic? Is it explained how the leverage will be achieved? Crowd in of private capital, if any? 	Choose an item. [comments] [This section is optional for EU Delegations, Line DGs and international / regional organisations.]				
28	Action sustainability <ul style="list-style-type: none"> Based on information included in the application, will the Action be sustainable when the EU support expires? Does the proposal foresee the possibility to eventually scale up through less concessional support (e.g. guarantees, privately managed private sector without EU support)? Does the Action incorporate mechanisms which guarantee equitable access to and distribution of the Action's benefits on a continuous basis? 	Choose an item. [comments]				
29	Risk assessment categories <ul style="list-style-type: none"> Are the identified mitigation measures sufficient? Is there additional risk that is not identified in the application? Please enumerate. 	Choose an item. [comments]				
30	Monitoring, reporting and evaluation <ul style="list-style-type: none"> Is the monitoring process clearly described and sufficient? Is the reporting process clearly described and sufficient? Is the evaluation process clearly described and sufficient? 	Choose an item. [comments]				
31	Visibility	Choose an item.				

Section	Title of section in the GAF	Screening / Assessment Organisation				
		DG NEAR (incl. geographical teams)	EU Delegation	Line DGs	International / regional organisations	IFICO IPF
	<ul style="list-style-type: none"> Do the visibility activities comply with the WBIF/EU requirements and do they provide sufficient and clear visibility? How does the lead IFI ensure the visibility of the EU and its close cooperation with EC HQ and EUDs? Does the application include a budget for visibility? Are the visibility activities in accordance with the action theme, target groups, proposed activities and outcomes? 	<p><i>[Please provide detailed comments, in particular if aspects are unclear or not well addressed in the application form]</i></p> <p><i>[comments]</i></p> <p><i>[This section is optional for Line DGs and international / regional organisations.]</i></p>				
Annex 1	<ul style="list-style-type: none"> Is the information provided in each annex well described, complete and in coherence with the other sections of the application form? 	<p>Choose an item.</p> <p><i>[comments]</i></p>				
Annex 2	<p>Result framework</p> <ul style="list-style-type: none"> Are the indicators sufficiently reflecting the action expected outputs and intended outcomes? Are the outcomes clearly defined, realistic (achievable) and quantified? Are the indicators defined accurately (description, measurement, baseline, and target value)? Are there any unrealistic (unachievable) indicators listed? Have all the indicators been identified? 	<p>Choose an item.</p> <p><i>[comments]</i></p>				

Screening conclusion
Filled in by DG NEAR Programme Managers based on the comments provided by screening organisations, including clarifications, corrections and/or improvements to the application form that need to be resolved before submission to the Operational Board.

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

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

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

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

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

Part 2 of the grid contains sets of questions for each section of the TA application form. The questions are for guidance only and their purpose is to support the comments included in the boxes “Conditionality for the approval of the action” and “General comments”. The overall review of each section can be summarised as “Yes”, “Partially”, “No” in response to the set of questions. If the answer is “No” or “Partially”, the screeners/assessors should provide detailed comments.

Part 1

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

Part 2

No.	Section in the TA application form	Screening / Assessment Organisation				
		DG NEAR (incl. geographical teams)	EU Delegation	Line DGs	International / regional organisations	IFICO IPF
		<i>[Please provide detailed comments, in particular if a specific aspect is unclear or not well addressed in the TA application form]</i>				
1 – 11	Identity of the action	Choose an item.				
		<i>[comments]</i>				

	<ul style="list-style-type: none"> - <i>Is the information provided in each section consistent and in coherence with the information filled in the other sections of the TA application form?</i> - <i>Are all the sections of the TA application form completed with the information requested therein?</i> 	<i>[These sections are optional for Line DGs and international / regional organisations.]</i>
12-13 and 22	Description of the action: <ul style="list-style-type: none"> - <i>Is the action in line with the context of the competitiveness of the private sector priority and its sub-priorities as described in the WBIF Strategic Orientations for blending?</i> - <i>Is the need of carrying out the action well defined and justified?</i> - <i>Is the purpose of the action clear?</i> - <i>Is there any synergy with existing complementary operations?</i> - <i>Are the planned activities presented in a logical sequence?</i> - <i>Is the preparatory time adequately planned for each activity?</i> - <i>Is the plan of activities coherent with the proposed budget?</i> 	Choose an item.
		<i>[comments]</i>
14-15	Strategic justification, rationale and coherence with WBIF objectives, national/regional/sectoral, other EU policies and initiatives; relevance of the Action to particular needs and constraints of target beneficiaries: <ul style="list-style-type: none"> - <i>Is the action coherent with the Economic and Investment Plan for the Western Balkans, and the Economic Reform Programme?</i> - <i>Is the action coherent with the policy objectives of the WBIF and the EU policies/ principles?</i> - <i>Is there compliance with social standards, including the promotion of gender equality, non-discrimination and equal opportunity and other cross-cutting issues?</i> - <i>If the action proposal is a continuation of a previous action, does it show a clear need for this extension and also demonstrate that the activities/outcomes do not overlap?</i> - <i>Is it complementary and synergetic with previous actions?</i> - <i>Does the TA proposal address barriers (e.g. lack of information, capacity building, and reforms) that could eventually allow for investment grants and/or guarantees?</i> 	Choose an item.
		<i>[comments]</i>
16	Envisaged impact on innovation and green growth: <ul style="list-style-type: none"> - <i>Is the action contributing to sustain the innovation in start-ups, micro, small and medium enterprises?</i> - <i>Is the action contributing to the green and digital transition of start-ups, micro, small and medium enterprises?</i> - <i>Is the action contributing to the green agenda main objectives?</i> - <i>Can this contribution be measures/assessed?</i> 	Choose an item.
		<i>[comments]</i> <i>[This section is optional for Line DGs and international/ regional organisations.]</i>
17	Additionality of the WBIF grant <ul style="list-style-type: none"> - <i>What are the economic benefits of the grant funding proposed?</i> - <i>Why is the proposed grant funding necessary for the Action?</i> - <i>How will the grant funding increase the scale of the Action? Will it widen the results of the Action; or extend the benefits to more people?</i> - <i>In what way does the grant element have a positive effect on the timing of the Action and/or the benefits it is expected to deliver?</i> 	Choose an item.
		<i>[comments]</i> <i>[This section is optional for international / regional organisations.]</i>

	<ul style="list-style-type: none"> - <i>[How will the grant funding improve the quality of the Action's expected outcomes? How will the grant funding improve the Action's chances of success? How will the grant enable promotion of higher standards (economic, socio-environmental standards including the promotion of gender equality) and more substantial social or global public good returns than would otherwise be possible?]</i> - <i>What are the innovative aspects of the Action that could not be generated by or within the target environment without grant support?</i> - <i>Why is the proposed innovation important?</i> - <i>Does the grant funding help support further or parallel activities to ensure that benefits continue beyond the life of the Action? For example, does the grant funding contribute to structural reforms, support changes to legislation, regulation, or policy? Does the grant finance enable demonstration effects to other participants in the marketplace?</i> - <i>Other benefits/positive externalities may be realised by the Action (or negative externalities avoided), which would not happen without the presence of the grant component. Are there any significant benefits outside of the main/primary objectives of the loan operation that grant funding could bring?</i> 	
18	<p>WBIF grant amount calculation and justification</p> <ul style="list-style-type: none"> - <i>Is the WBIF grant amount accurately defined?</i> - <i>Are the costs realistic and acceptable?</i> 	<p>Choose an item.</p> <p><i>[comments]</i> <i>[This section is optional for Line DGs and international / regional organisations.]</i></p>
21	<p>Indicative Action Plan</p> <ul style="list-style-type: none"> - <i>Are activities presented in their logical time sequence?</i> - <i>Is it feasible to complete the TA in the proposed time and with the proposed resources?</i> - <i>Are the planned activities associated with the Action realistically implementable within the foreseen period and logically sequenced?</i> 	<p>Choose an item.</p> <p><i>[comments]</i> <i>[This section is optional for Line DGs and international / regional organisations.]</i></p>
24	<p>Indicative total budget:</p> <ul style="list-style-type: none"> - <i>Are the indicative budget and the financing plan sufficiently detailed?</i> - <i>Is the budget reasonable and realistic?</i> - <i>Are there any unclear or unrealistic costs? Are there any excessive costs budgeted? If so, are they justified?</i> - <i>Is there any budget foreseen for visibility and communication measures?</i> - <i>If applicable, does the action financing plan present the appropriate mix of funding and leverage between loans and grants?</i> - <i>Are all the funding sources accurately indicated?</i> 	<p>Choose an item.</p> <p><i>[comments]</i> <i>[This section is optional for Line DGs.]</i></p>
25	<p>Action sustainability</p> <ul style="list-style-type: none"> - <i>How does the action address environmental aspects?</i> - <i>How does the action address economic and social aspects?</i> - <i>How does the action address social and institutional aspects?</i> 	<p>Choose an item.</p> <p><i>[comments]</i></p>

26	Risk assessment categories - Are there any risks that are not identified in the application? If so, please enumerate. - Are the identified risk mitigation measures sufficient?	Choose an item.
		[comments]
27	Issues to be clarified before submission to the WBIF Operational Board - Were the issues (if any) described in a clear and coherent manner?	Choose an item.
		[comments]
28	Monitoring, reporting and evaluation - Is the monitoring process clearly described and sufficient? - Is the reporting process clearly described and sufficient? - Is the evaluation process clearly described and sufficient?	Choose an item.
		[comments] [This section is optional for Line DGs and international / regional organisations.]
29	Visibility - Do the visibility activities comply with the WBIF related requirements, and do they provide sufficient and clear visibility? - Is a budget for visibility foreseen? - How does the lead IFI ensure the visibility of the EU and its close cooperation with EC HQ and EUDs?	Choose an item.
		[comments]
Annex 1	- Is the information provided in each Annex well-defined, complete and coherent with the information filled in the other sections of the TA application form?	Choose an item.
		[comments]
Annex 2	Result framework - Are the indicators sufficiently reflecting the action's expected outputs and intended outcomes? - Are the outcomes clearly defined, realistic (achievable) and quantified? - Are the indicators defined accurately (description, measurement, baseline, and target value)? - Are there any unrealistic (unachievable) indicators listed? - Have all the indicators been identified?	Choose an item.
		[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 application form that need to be resolved before submission to the Operational Board.

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

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

Filled in by DG NEAR Programme Managers based on the revised application form.

Annex 9: 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 (or GAF): is a standardised template the beneficiaries use to apply for WBIF grants. Upon approval of the grant, the grant application becomes part of the contractual framework.

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

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

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

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

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

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

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

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

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

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

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

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

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