



## **IDENTITY OF THE PROJECT**

1	Blending facility	<b>WBIF</b> [This section is filled in automatically in MIS when the application is submitted]	2	Grant code	[It is the code of the grant and is communicated to the NIPAC at pre- notification. This section is filled in automatically in MIS when the application is submitted.]		
					[select flagship]		
3	WBIF approval date	[This section is filled in automatically in MIS. It is the date on which the grant is approved by the WBIF.]	4	Flagship	[If the Project does not fall under any of the above investment flagships, select "None" from the drop-down list and justify application in the section 21 "Coherence with the WBIF objectives, EU policies, adopted national/sectoral strategies" of TA GAF.]		
5	Sector	[select sector]	6	CRS-code	[The OECD purpose code (CRS code) relevant to the Project must be entered in this section. It is linked to S5 "Sector" and can be found on the OECD website ( <u>link</u> ). The NIPAC must select the CRS code from the drop-down list available in MIS when it submits the application.]		
	Beneficiary	[select name]					
7	country(ies)	[For regional projects indicate which countries are involved. See also the Guidelines, section 3.1 "Geographical coverage"]					
8	Project title	[Name of the Project foreseen to be supported by the WBIF grant. The name must be short (maximum 250 characters) and includes the key elements and objective of the Project, the infrastructure concerned and the location. If can, for example, be identical to the name of the Project in the feasibility study, strategic documents or the Single Project Pipeline. Note that WBIF may ask to change the title or the WBIF PFG may amend it in order to make it clearer.]	9	Project code	[This is a code specific to the WBIF MIS database and is selected (for existing WBIF projects) or generated (for new projects) at the pre-notification stage. This section is filled in automatically in MIS when the application is submitted.]		
10	Action/Grant Application title	[Title of the Action/Grant application. The to be financed with the grant. Note that the adjust it to the activities financed by the g	he WBI				

11	Lead Financial Institution	[select name]
12	Co-financier(s) (if applicable)	[select name]

1	3	Type of WBIF contribution	Technical Assistance           [This section is filled in automatically in MIS]		
		Total WBIF grant amount (€)	TA amount excl. fee (€)		
1	4	[These fields are filled in automatically in MIS based on	TA fee (€)		
		the amounts entered in section 31. All the amounts are rounded down to the next integer.]	Total amount requested (€)		

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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 information provided in S33 "Indicative calendar of the Action".]
17	Responsible beneficiary	of Transport, etc.) and the	relevant o	department(s) within the au	nce, Ministry of Environment, Ministry thority in charge of the Project (e.g. of Water, etc.). The information must

	country authority	be consistent with that provided in 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, the public utility company in cooperation with the Municipality, transmission system operator, etc.) Specify if it is public, mixed (include ownership structure) or private. Ensure consistency with section 23 "Institutional framework of the Project".]

## **DESCRIPTION OF THE PROJECT**

#### **Description of the Project** [This section should be completed in cooperation with the Lead IFI. In this TA GAF the following differentiation is made between the Project and the Action. The Project means the overall investment Project which will be the end result of all the project development stages. In most cases the final stage will be the completion of the construction and the taking into operation or use of the infrastructure. The Action means a part of a Project, in relation to which the beneficiary seeks the grant financing 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. The main focus of this section should be on the Project not on the activities which are proposed for WBIF grant financing. A detailed description of the activities proposed for WBIF grant financing (the Action) must be given in section 30. Provide a clear description of the overall Project. Provide a description by component or phase if the Project has more than one component or phase. Ensure that the information is verifiable; therefore, use summary information from the technical documentation developed for the Project (e.g. feasibility study, ESIA study, preliminary/detailed design, etc.) and state the document the sources used. The descriptions may be complemented by maps, explanatory graphs, tables or pictures which can be included in the application form by using the "Pictures" and "Tables" functionalities in MIS. The total length of this section should not exceed 1000 words.] Background and context of the Project 19.1 [Provide a short description of the Project background, which should include at least an overview of the current situation and trends in the sector addressed by the Project. 19 Describe the general context of the Project and any related projects, including phases or components of the Project already constructed and proposed subsequent phases or components in chronological order. Outline the construction components/phases of the Project (one by one in chronological order if applicable).] **Needs/demand analysis** 19.2 [Describe in detail, using quantitative and qualitative data, the problems and needs (including gaps, shortcomings, or deficiencies) targeted by the Project to demonstrate why the Project is needed. It is paramount to summarise key infrastructure deficiencies and needs that the Project (or project component/phase) will address and bring to EU standards. Provide a summary of the demand analysis, including predicted demand growth rate, 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 an analysis of existing and expected infrastructure developments; and, (iv) network effect (if any). Use and state sources to justify the key issues targeted by the Project and the demand analysis. Avoid using jargon and acronyms.] Main objectives of the Project 19.3 [Provide a brief description of the main objectives of the Project in terms of outcomes/outputs in coherence with section 26 "Expected results". The objectives must be SMART: Specific (linked to the investments proposed for the main components); Measurable (quantified and show the situation before and after the Project); Achievable (technically, financially and institutionally feasible); Relevant (add value within the context they are set and aligned to EU policies and national strategies); Time-bound (can be achieved in a specific timeframe). They should directly address the problem(s) targeted by the Project (gaps, shortcomings, deficiencies). The link must be clear between identified problems (gaps/shortcomings/deficiencies), project objectives and proposed solutions.



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Socio-economic objectives must be identified and quantified as far as possible. For example, the following can be quantified: reduction in vehicle operating cost for international and domestic passenger and freight traffic, reduction in travel time for passenger and freight traffic, improvement to the safety and security of transport, reduction in emissions, employment opportunities, business development in the project area, improved living conditions in the project area, resource savings, synergies with regional, and/or national programmes, etc.]

### 19.4 Project map

[Include a map that clearly shows the Project area and its context to allow understanding of the location of the various Project facilities). It should be of high quality, preferably in colour, and easy to read. The map should include, as a minimum, title, a clear legend, the background (e.g. main cities, main roads, main rivers, as appropriate).]

### 19.5 Description of the Project

[The description must be structured, concise, clear and focus on key aspects: main characteristics (technical specifications) and components or phases of the Project (if it has more than one component or phase), justification of the Project's scope and size in the context of the demand forecasted, justification of options selected with respect to climate change and natural disasters risk assessment (as applicable), main beneficiaries of the Project (e.g. target population served). If the Project covers several sites/sections/phases, all must be listed. Indicate cross-border aspects/impacts (if any).

Briefly describe and quantify as far as possible the beneficiaries of the Project, any vulnerable, disadvantaged, disabled and gendersensitive groups.]

### **19.6** Reference documents

[List all documents used in drafting this section (e.g. studies, statistics, strategies, action plan, etc.) indicating title, author and issue date and online address (if available online).]

### Indicative project status and planning

[Complete this section in cooperation with the Lead IFI and ensure that the current stage of the Project and the implementation planning are clear. The duration, status and specific information about completed, ongoing and future activities must be included. Indicate the last task/technical documentation reported as completed and comment briefly on any preparatory stage that is outstanding or in progress and indicate the expected date of completion), in line with the instructions provided below.

The most common activities are pre-listed. Where relevant add activities to the list. In case activities are not relevant state 'n/a'. The following key aspects need to be covered:

- Technical: status of/planning for preparation of the masterplan, pre-feasibility study, feasibility study and cost-benefit analysis, environmental and social impact assessment, preliminary and detailed designs, tender documents, etc.;
- Administrative: status of/planning for urban planning, environment permit, land availability, construction permit, invitation to tender, etc.;
- Financial: status of/planning for loan agreement(s) with the Lead IFI and other IFIs financing the Project (e.g. under negation, signed, etc.), other donor(s) grants, allocation from the national budget, etc...

#### Note:

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

(b) Select one of the following options for the status:

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

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

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

·	Dur	ration <sup>(a)</sup>		Comments <sup>(c)</sup>	
Activity	Start date [MM/YYYY]	Completion date [MM/YYYY]	Status <sup>(b)</sup>		
Masterplan, other relevant spatial planning document(s)	[insert date]	[insert date]	[select status]	[Short description of status, results, main conclusions, outstanding issues and/or conditions. Include title, author and issue date.]	
Definition of the investment Project	[insert date]	[insert date]	[select status]	[Describe how the Project is a priority for the national authority. E.g. Project's position and scoring in the SPP. Justify	





				application if the Project is not ranked or has a low score in the SPP.]
Strategic Environmental Assessment (if applicable)	[insert date]	[insert date]	[select status]	[Short description of status, results, main conclusions, outstanding issues and/or conditions. Include title, author and issue date.]
Pre-feasibility Study	[insert date]	[insert date]	[select status]	[as above]
Conceptual Design	[insert date]	[insert date]	[select status]	[as above]
Feasibility Study (including Cost- Benefit Analysis)	[insert date]	[insert date]	[select status]	[as above]
Environmental and Social Impact Assessment Preliminary Design	[insert date] [insert date]	[insert date] [insert date]	[select status]	<ul> <li>[Short description of status, milestones, decisions stemming from the ESIA procedure leading to development consent (e.g. ESIA screening decision, environmental consent decision). Indicate if the ESIA Study meets the requirements for the Project's appraisal and the implementation procedures of the Lead IFI. Start date: outset of the application for environmental consent.</li> <li>Completion date: end of the ESIA procedure, including appeals and final decision.]</li> <li>[Short description of status, results/main conclusions, outstanding issues and/or conclusions, outstanding issues and/or</li> </ul>
Freiminary Design	[Insert date]	[Insert date]	status]	conditions. Include title, author and issue date.]
Land ownership	[insert date]	[insert date]	[select status]	<ul> <li>[Short description of the legal ownership of the project site(s) and of the land for the new investments, land use planning decision(s) concerning the project sites(s), major risks of delay and/or pending decisions on land purchase (e.g. expropriations).</li> <li>It should be noted that land availability is critical for infrastructure development; historically, it has delayed many investment projects. During the design phase, the availability of the land needs to be fully acknowledged and any issues need to be identified, including estimation of costs for acquisition and time required for expropriation procedures (if any).</li> <li>It is common and good practice to consider that a project is mature for co-financing only if the land is already acquired and available, because the likelihood of delays in the acquisition plan can be significant, which, in turn, will delay the overall construction period. Such situation can be avoided only if the land acquisition program is significantly advanced or if the government has committed to provide unencumbered land.]</li> </ul>
Detailed Design	[insert date]	[insert date]	[select status]	conclusions, outstanding issues and/or conditions. Include title, author and issue date.]





Construction and other statutory permits	[insert date]	[insert date]	[select status]	[Short description of status, development consent decision(s) - i.e. construction permit - or expected decisions, renewals/updates of authorisations/approvals. If authorisations have not been issued, indicate the estimated timeframe for their obtainment.]
Loan(s) negotiation and signing	[insert date]	[insert date]	[select status]	[Short description of the status of loan agreements with the IFIs financing the Project, e.g. under negotiation, terms agreed, signed, etc.]
Preparation of tender dossier(s)	[insert date]	[insert date]	[select status]	[Short description of status, type of contract for construction (e.g. FIDIC Pink/Red Book, FIDIC Yellow Book, etc.]
Procurement for works (per phase/component)	[insert date]	[insert date]	[select status]	[Short description of status, potential delays (e.g. appeals, retendering), contract(s) signature, type of contract (e.g. FIDIC Red/Pink Book or Yellow Book). If the Project has more than one component and/or phase, describe the status of procurement procedures for each component and/or phase.]
Construction of works (per phase/component)	[insert date]	[insert date]	[select status]	[Short description of status. If the Project is divided into phases or components, list separately each phase and/or component to differentiate between the different stages of the overall Project. If, for any reason, the Project or the activities financed by the WBIF grant (i.e. the Action) are not ready to start, briefly describe the issues.] If the Project has already started, indicate the current status of implementation of each phase and/or component, describe executed works and percentage completed.]

		of t We stra per	vide a structured, concise, and clear description of how the Project (i) meets the overall objective he WBIF to support priority investments in line with the Economic and Investment Plan for the stern Balkans and the EU accession objectives; and (ii) complies with the adopted national sectoral tegy, relevant national and regional development plans and strategies, in particular those taining to the sector addressed by the Project. en preparing this section, please take into consideration the following key aspects:
21	Coherence with the WBIF objectives, EU policies, adopted national/sectoral	-	Justify in a concrete way how the Project is consistent with the WBIF objectives, the Economic and Investment Plan for the Western Balkans, the priorities of the Instrument of Pre-accession (IPA), and/or those of other WBIF donors. Make reference to the relevant priority investment flagship (this should be consistent with S4 "Flagship"); if the answer is "None", please provide detailed comments. The justification should consider the relevant area identified in the Economic and Investment Plan for the Western Balkans: sustainable transport, clean energy, environment and climate, digital future, human capital. To be eligible for WBIF funding, the Project must be under an investment flagship, or relate closely to an investment flagship.
	strategy	•	Explain how the Project is coherent with and contributes to the fulfilment of EU policies and core directives (e.g. environment and climate changes, state aid, public procurement), EU pre- accession strategy, and Economic and Reform Programme;
		-	Describe how the Project will contribute to the principle of equal opportunities and prevent discrimination of any kind (e.g. gender, racial or ethnic origin, religion or belief, disability, etc.) during the development and implementation phases of the Project.
		-	Describe what is the priority of the Project from the national and relevant regional institutions' point of view (e.g. Transport Community Secretariat, Energy Community, similar bodies if relevant);
		•	Make reference to the national/regional development strategy/ sector strategy/ action plan/ masterplan in which the Project is integrated; list all these documents;





		<ul> <li>Detail the Project's position in the Single Project Pipeline (SPP) and justify application if the Project is low ranked in the SPP (if applicable).</li> <li>Describe all relevant developments/activities related to the Project (financed by WBIF, EU funds, or other donors/ financiers), indicate how the coordination and complementarity with these developments/activities will be ensured and monitored. If the application follows on earlier WBIF applications for the same Project, ensure that the text reflects the current situation/stage.</li> <li>The total length of this section should not exceed 350 words.]</li> </ul>
22	Consultations before submission: • NIC • IFIs • EU Delegation(s) • Donors • Regional/internati onal organisations • Other stakeholders	<ul> <li>[Provide information on the status of such consultations/ negotiations and indicate any (preliminary) decisions reached on the Project's financing. Have IFIs or other donors been consulted on the Project? When? What was their judgement?</li> <li>Summarise the conclusions of the consultations/negotiations carried out with the following stakeholders before submission (as relevant):</li> <li>National Investment Committee (NIC) (or equivalent body) → Decision for approval;</li> <li>IFIs (indicate if a mandate letter or similar does exist and the stage of the loan approval process, if applicable);</li> <li>EU Delegation(s);</li> <li>DG NEAR Geographical Team(s);</li> <li>Other donors;</li> <li>International and regional organisations;</li> <li>Other relevant stakeholders;</li> <li>List the date(s) of the meeting and the main decisions.</li> <li>The total length of this section should not exceed 200 words.]</li> </ul>

23.1	Description of entities involved
financi Indicat B E In P P	ibe the institutional aspects pertinent to the implementation of the Project and of the Action (proposed activities for WBIF grant ng): Who and how will ensure the implementation of the Project and the Action? What is the role of these entities? e the following entities involved: eneficiary country(ies) authority(ies) (responsible Ministry(ies) and specific department(s)); ntity that is/will be the beneficiary of the construction permit(s) for the Project; nplementing agency (or equivalent); roject Management Unit (PMU)/Project Implementation Unit (PIU) or equivalent; rivate company (if applicable); ther entities.
In case	
In case	e of involvement of a privately-owned company clarify the contractual structure (e.g. concession, private-public partnerships.] Organisational set-up
<b>23.2</b> [Provice Especi financi monito	e of involvement of a privately-owned company clarify the contractual structure (e.g. concession, private-public partnerships.]
23.2 [Provid Especi financi monito Descrit in the donors	Drganisational set-up le a comprehensive description of the organisational structure put in place for implementing the Project and the Action ally for the Action this should be detailed. A clear description must be provided how the proposed activities for WBIF gran ng will be managed, which institutions will provide the required input and support and which institutions will be responsible for ring the quality and provide the final approval of the deliverables. be the role (tasks, responsibilities, relations between the different bodies) of the Lead IFI (local/regional offices, sector manage beneficiary country) and all other entities involved (institutions/authorities of the beneficiary country, project promoter, othe
23.2 [Provice Especi financi, monito Descri, in the donors the set Indicat	Drganisational set-up le a comprehensive description of the organisational structure put in place for implementing the Project and the Action faily for the Action this should be detailed. A clear description must be provided how the proposed activities for WBIF gran ng will be managed, which institutions will provide the required input and support and which institutions will be responsible for ring the quality and provide the final approval of the deliverables. be the role (tasks, responsibilities, relations between the different bodies) of the Lead IFI (local/regional offices, sector manage beneficiary country) and all other entities involved (institutions/authorities of the beneficiary country, project promoter, othe to, etc.) as proof of exiting capacity to implement the Project and the Action effectively. If applicable, describe as far as possible
23.2 [Provice Especial financial monitor Descrita in the donors the set Indicate whether If applia area; in	A contraction of a privately-owned company clarify the contractual structure (e.g. concession, private-public partnerships.] Organisational set-up le a comprehensive description of the organisational structure put in place for implementing the Project and the Action ally for the Action this should be detailed. A clear description must be provided how the proposed activities for WBIF gran ng will be managed, which institutions will provide the required input and support and which institutions will be responsible for ring the quality and provide the final approval of the deliverables. be the role (tasks, responsibilities, relations between the different bodies) of the Lead IFI (local/regional offices, sector manage beneficiary country) and all other entities involved (institutions/authorities of the beneficiary country, project promoter, othe s, etc.) as proof of exiting capacity to implement the Project and the Action effectively. If applicable, describe as far as possible up, roles, and responsibilities of the PIU (or equivalent). e if the beneficiary/PIU has the reasonable capacity to define the investment plan, procure and implement the Project, o





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Describe the flow of the WBIF contribution to involved entities, down to the final beneficiaries/recipients (particular attention should be devoted to this matter).

Add a chart illustrating the institutional framework of the Project.]

	Project budget and financing plan											
	[Complete this section in cooperation with the Lead IFI. This section should summarise the financial structure of the Project, by providing a budget breakdown for the Project and an overview of the financing plan. Include the main cost components of the Project, their description and the corresponding amount in the budget. Provide the financing sources of the Project in the Financing plan.											
	, All cost must	be provided excluding VAT. VAT is not consic VAT be covered by any of the items in the Fin.		ould also not be listed a	s a separate cost iten							
	The costs for works and supplies excluding contingencies must be listed separately from those for TA (for project preparation and											
	project implementation). Costs for communication and visibility, evaluation and audit, contingencies should also be included in the budget. If the Project has more than one component/phase, the costs must be presented by project component/phase.											
	The cost components are predefined in MIS. Separate entries can be created for the same cost component by Project											
	phase/component.											
		hat the fields with the sums as well as values ex										
		the "Total project cost" in the budget and the ' ole to submit the application.	'I otal financing avail	able" in the Financing p	lan must be identical i							
	List all contributions in the Financing plan of the Project (source, type of contribution, amount). Typically, these include a national contribution, one or more loans from IFIs, the WBIF investment grant requested, other WBIF grants, grants from other donors, and other types of finance. Create separate entries for each loan and funds from the private sector, irrespective if an IFI provides several loans, and differentiate between sovereign and non-sovereign loans.											
		on provided in this section may be indicative a re the approval of the grant.	t the time of submis	sion. It must be updated	and confirmed by th							
		g this section, please also consult section 3 "El	inible criteria" of the	accompanying quideline	sl							
		total project budget (cost breakdow		accompanying guidenne	3.]							
	Cost		Total costs	Non-eligible costs	Eligible							
	component number	Cost component description	(€) (A)	(€) <sup>(a)</sup> (B)	costs (€) <sup>(a)</sup> (C)=(A)-(B)							
Ļ	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) <sup>(b)</sup>	[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) <sup>(b)</sup>	[as above]	[as above]	[as above]							
	6.1.	Supply – Component/Phase 1	[as above]	[as above]	[as above]							
	6.2.	Supply – Component/Phase 2	[as above]	[as above]	[as above]							
	6.n	Supply – Component/Phase n	[as above]	[as above]	[as above]							
	7	Communication and visibility <sup>(c)</sup>	[as above]	[as above]	[as above]							
	8	Evaluation and Audit <sup>(d)</sup>	[as above]	[as above]	[as above]							
[	9	Contingencies <sup>(e)</sup>	[as above]	[as above]	[as above]							
	10	Other (e.g. project design review/ verification by review committee) <sup>(f)</sup>	[as above]	[as above]	[as above]							
-		Total Project Costs	[filled in automatically in MIS]	[filled in automatically in MIS]	[filled in automaticall_ in MIS]							





Financing plan				
Sources of funds	Cost component(s) financed	Amount (€)	% / total	<b>Remarks</b> (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 agrees, signed, etc.]
IFI Loan 2 [insert IFI name]	[as above]	[as above]	[as above]	[as above]
Grant amount requested excluding implementation fee <sup>(g)</sup> [insert the code of the investment grant]	[as above]	[as above]	[as above]	[current grant request]
Other WBIF grant(s) <sup>(h)</sup> [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]
	[as above]	[as above]	[as above]	
Total	Financing available	[filled in automatically in MIS]	[filled automatically in MIS]	

(a) Eligible and non-eligible cost categories are listed in the accompanying Guidelines (see section 3.6 "Eligible costs").

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

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

(d) Costs for statutory audit and evaluation which that fall with the Beneficiary under the national legislation or with the Lead IFI as part of their own due diligence and control for managing the Project. These costs are not eligible for WBIF grant support.

(e) Should be taken from the technical documentation developed for the Project and not exceed 10% of total investment cost (i.e. works and supplies net of contingencies).

(f) Costs that cannot be included under the cost components 1-9 should be listed here, e.g. project design review/check/verification by the revision committee. Technical review, check and verification of project design(s) as per the national legislation and other activities specific to urban planning and/or land ownership (e.g. preparation of urban plans, documentation for land expropriation, etc.) fall under the Beneficiary's responsibility for due diligence and control for project management. These costs are not eligible for WBIF grant support. (g) Must be identical to the "Grant amount requested" (i.e. grant amount without implementation fees) from section 31 "WBIF grant amount calculation and justification".

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

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					sions regarding the ava	ilability of budget fur	nds and borrowing
25	Fiscal space	1 5			overeign loan/guarantee	attached to the Proj	ect will affect deb
	and debt sustainability	<ul> <li>Explain program</li> </ul>	the imp	lemonstrate its sustain	n public debt levels, an ability. Invite the MoF to		
		For comple Guidelines.	0	section, please also c	onsult section 2 "Genera	al principles for TA gra	ant support"' of the
	Expected result	c					
	•		tin a suith	the Leed IEL Due vide	the meeting we called a set income		and of the Ducies
	In this section the bas must be quantified. T	seline of the F The requested	Project n d informa	nust be quantified (wha	the main results and imp at would happen without twofold: (i) expected res ected impact).	the Project?) and the	estimated change
	<ul> <li>Provide the value</li> </ul>	es of result in	indicators		ected outputs and intend	ded outcomes of the	Project. Relevan
		ne foreseen re	esults an	nd indicate the econom	er, based on assumptior hic, social, and environme		
				tion of the Project".			
					s recommended to indica		
		nd any cross-l ts used in dra	border in	npacts of the Project.	rns, gender equality, no statistics, etc.) indicating		
	poverty alleviation an Refer to all document address (if available of	nd any cross-k ts used in dra online)	border in afting this	npacts of the Project. s section (e.g. studies,	statistics, etc.) indicating	g title, author and iss	
	poverty alleviation an Refer to all document address (if available of	nd any cross-k ts used in dra online)	border in afting this	npacts of the Project. s section (e.g. studies,	statistics, etc.) indicating ect Description" of the G Expected value	g title, author and iss	
	poverty alleviation an Refer to all document address (if available of	nd any cross-l ts used in dra online) ection, please	border in afting this	npacts of the Project. s section (e.g. studies, onsult section 4.2 "Proj	statistics, etc.) indicating	g title, author and iss	
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**Project sustainability** [Complete this section in cooperation with the Lead IFI. Describe under which conditions the Project will be sustainable when the grant support expires. Describe any incentives that could be necessary to enhance the sustainability of the Project. Refer to how the Project leads to an investment, as well as whether its results can be transferred or replicated to other sectors or geographical areas. Describe the Project's sustainability in relation to economic/financial viability; environmental aspects; social aspects, and, institutional aspects.] [Does the Project guarantee an acceptable level of economic (and financial where applicable) return? Describe future revenue flows expected from the Project as well as ongoing operation and maintenance Economic/ costs and expected sources of funding for those. → The economic viability of the Project is confirmed Financial with reasonable certainty (i.e. net benefits are expected to be positive; there are no better ways of viability achieving the Project's purpose; the public financial resources used for the Project are unlikely to be 27 better employed elsewhere).]

	Environmental aspects	[Has the Project considered environmental implications so that negative impacts on the environment are either avoided or mitigated during the life of the Project? Has a public consultation process taken place? $\rightarrow$ Environmental and social impacts are acceptable, or, where negative impacts are foreseen, appropriate mitigation measures are proposed.]
	Social aspects	[Has the Project incorporated mechanisms that guarantee equitable access to and distribution of Project benefits on a continuous basis? If the Project will generate revenue through tariffs, etc., please describe the affordability approach used. $\rightarrow$ 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 enable it to maintain and operate the facilities over their lifetime? $\rightarrow$ Satisfactory project management arrangements will be put in place for delivering the Project to specifications, on time and to budget; organisational

arrangements for the operation of the Project will allow for sustainable delivery of the proposed services.

Risk assessment categories	Description	Mitigation		Risk severity		
		, in the second s	Н	Μ	Ĺ	
Political risks						
Economic risks						
Financial risks						
Socio-economic, equality/gender, minority/vulnerable groups risks						
Environmental risks						
Implementation risks						
Operation risks						
Other risks						
[narrative description]						
<ul> <li>[Complete this section in close cooperation with the Lead IFI. 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).</li> <li>Provide information about each of the following risk categories:         <ul> <li><u>Political risks</u>: including but not limited to the gap between the beneficiary country and EU legislation/standards and pace of convergence; changes policy and/or administration structure; lack of political commitment to promote the Project;</li> <li><u>Economic and financial risks</u>: describe how changes in macroeconomic conditions or policies may affect the Project; energy poverty; lack of funds for co-financing; improper handling of financing requests; payment delays; credit and currency risk of the beneficiaries; risks linked to partner financial institutions (intermediaries); the risk-sharing operations; risks related to (lack</li> </ul> </li> </ul>						

- <u>Socio-economic, equality/gender, minority/vulnerable group risks</u>: inadequate communication between all actors involved in the Project; public opposition, affordability issues, discriminatory reasons, evictions, etc.;
- <u>Environmental risks</u>: impacts on air pollution, noise, and climate change (climate risks addressed in section 28), environmental injustice towards minority/vulnerable groups, strong likelihood of objection from the general public, etc.;





- Implementation risks: (i) Planning risks (e.g. the implementation of a Project fails to adhere to the terms of planning permission, or that detailed planning cannot be obtained, or if obtained, can only be implemented at costs greater than in the original budget); (ii) <u>Technical/design risks</u> (e.g. where the quality of the project designs/site investigation are likely to impact on the likelihood of unforeseen problems occurring; the use of non-optimal/obsolete technologies determine the provision of inadequate services, etc.); (iii) <u>Procurement risks</u> (e.g. delay in procurement procedures, possible re-tendering, appeals, contractual disputes, etc.); and, (iv) <u>Construction risks</u> (e.g. site unavailability, the construction of physical assets is not completed on time, to budget and specification, etc.);
- <u>Operation risks</u>: operating costs inconsistent with those budgeted, performance standards slip, or services cannot be provided; demand for a service does not match levels planned, projected or assumed; etc.
- <u>Other risks</u>: specific risks that do not fit in the above classification should be described in this sub-section (e.g. force majeure, adverse publicity regarding the construction or operation of the new infrastructure, etc.).]
   (Indicative length 250 words)

Climate mitigation and adaptation aspects [narrative description] Mitigation Adaptation **Rio Markers** Project WBIF co-financing Project WBIF co-financing [M€] grant [M€] grant RM0 (no objectives) П П RM1 (significant objective) П П RM2 (the principal objective) П 29 [The assessment of the contributions to climate finance (mitigation and adaptation) is done by the Lead IFI. The Lead IFI is to provide information on issues such as Project's potential contribution to the reduction of GHG emissions, any climate risk assessments carried out or considerations and measures to improve the project's resilience to current and future climate risks. The information to be supplied and the level of detail required will depend on the sector and the maturity of the project (e.g. prefeasibility, feasibility study, detailed design, supervision of works, etc.). For reference, the Rio Markers methodology will be used to determine whether climate change is the principal objective, one of the objectives (significant) or it is not an objective of the project. The Lead IFI may propose a specific percentage of the project budget as a contribution to climate change based on its

own methodology. Annex 1 of the Guidelines provides checklists that can assist beneficiaries in determining what information on climate change mitigation/adaptation is required.]

## **DESCRIPTION OF THE ACTION**

30	Description and results of the Action	<ul> <li>[Provide a detailed and clear description of the proposed activities for WBIF grant financing and the foreseen outcomes of these activities: What activities will be done, what are the required (human) resources, what is the foreseen timeframe. The following key aspects need to be covered:</li> <li>Indicate why the Action is necessary and how it will contribute to reaching the Project's objectives;</li> <li>Present the core team, matching the required expertise with the scope of Action, as well as the indicative number of working days required for carrying out the activities of the Action;</li> <li>Describe the key risks that should be considered in implementing these activities;</li> <li>List all deliverable of the Action and summarise their contents:</li> <li>Provide the standards, norms, regulations and guidelines applicable for the implementing of the activities. Include requirements from the national regulations, as well as from the Financing Institutions;</li> <li>Provide a brief description of differences between national standards/legal provisions and EU/IFIs rules. The justification of the Action necessity must be closely related to the fulfilment of the eligibility criteria. Note that 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 required for land expropriation, etc.) are not eligible, these fall under the Beneficiary's responsibility as part of his own due diligence and control for Project management.</li> <li>Refer to all documents used in drafting this section (e.g. studies, statistics, etc.) indicating title, author and issue date and online address (if available online).</li> <li>The total length of this section should not exceed 700 words.]</li> </ul>
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	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	
1	(4) Environmental and Social Impact Assessment Study	
1	(5) Preliminary Design	
	(6) Detailed Design	
	(7) Preparation of tender dossiers	
	(8) Project management assistance (support to PIU)	
	(9)	
	(10)	
	Total amount requested	[completed automatically in MIS

[List the activities (cost categories), and their corresponding amounts, that will be funded by the WBIF grant.

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).

All costs must be duly detailed, eligible and appropriate to the purpose of the Action.

Additionality of WBIF grant

Demonstrate that own funding sources are properly allocated and secured, in order to cover all non-eligible costs required for the timely completion of technical documentation (e.g. planning/design (permits) fees, costs of the technical design review and approval (for example the state revision committee(s), etc.).

All cost estimates should be based on those of similar projects (financed by IFI loan or donor grants); specify indicative working days used in estimates.

In justifying the grant amount, please consider the needs of the macro-economic situation of the country, the economic and financial viability of the Project, the additionality of the WBIF grant, the envisaged impacts included in the relevant sections of the TA GAF, affordability concerns as well as the impact on tariffs (e.g. for projects generating revenue through user charges)].

	[Complete this section in close cooperation with the Lead IFI. The focus of this section is on the additionality of the WBIF grant, and not on the additionality of the Project. It refers to what the grant will achieve, in terms of benefits or positive results, over and above what would be achieved without the grant. The use of scarce grant funding is only justified when significant additionality is demonstrated. In the list below, only detail additionality where relevant and applicable. For completing this section, please consult Section 4.4 of the Guidelines.]		
32	Economic and financial	[What are the economic benefits of the grant funding proposed? Why is the proposed grant funding necessary for the Project? What are the financial benefits of the WBIF's contribution to the Project? How will this impact the end beneficiaries? E.g. through broadening access to finance to target groups; lowering end-user tariffs, thereby increasing affordability of the services etc.]	
	Project scale	[How will the grant funding increase the scale of the Project? Will it widen the results of the Project; or extend the benefits to more people?]	
	Project timing	[In what way does the grant element have a positive effect on the timing of the Project and/or the benefits it is expected to deliver?]	
	Project quality and standards	[How will the grant funding improve the quality of the Project's expected outcomes? How will the grant funding improve the Project's chances of success? How will the grant enable the promotion of higher standards (socio-environmental standards, including the promotion of gender equality) and more substantial social or global public good returns than would otherwise be possible? Does the grant funding contribute to gender equality and equal opportunities, the needs of disabled people, the rights of minorities and/or vulnerable groups?]	



Innovation	[What are the innovative aspects of the Project that could not be generated by or within the target environment without grant support? Why is the proposed innovation important?]
Sustainability	[Does the grant funding help support further or parallel activities to ensure that benefits continue beyond the life of the Project? For example, does the grant funding contribute to structural reforms, support changes to legislation, regulation, or policy? Does the grant finance enable demonstration effects to other participants in the marketplace?]
Other benefits	[Other benefits/positive externalities may be realised by the Project (or negative externalities avoided), which would not happen without the presence of the grant component. Can the grant funding bring any significant benefits outside the main/primary objectives of the loan operation?]

	Indicative calendar of the Action	Expected start date [MM/YYYY]	Expected completion date [MM/YYYY]
33	TA grant signature		
33	Preparation of Terms of Reference (ToR)		
	Implementation of TA activities		
-			-

#### [narrative description]

[This section should be completed in cooperation with the Lead IFI. Summarise the key milestones of the Action in the form of the year and the month of the year during which the milestone is expected to be reached, for instance, 06/2021. For completing this section, please also consult section 4.3. of the Guidelines. The milestones included in the above table must be mandatorily filled. Any additional relevant milestone specific to the Action can be added without limitations in MIS. Please note that this section is expected to be updated before contracting, and/or in case there are material changes in the Action calendar.

Regarding the ToR drafting process, ensure that the preparatory time is adequately planned for this activity. Note that deadlines for beneficiaries have been introduced at the 21<sup>st</sup> WBIF Steering Committee. These are two months following the kick-off meeting for the delivery of input data, two months following submission of the first draft ToR to provide comments or approval and one month following submission of the final ToR to provide comments or approval. Therefore, the implementation of the TA activities cannot start earlier than six (6) to nine (9) months after the WBIF approval. Further, the situation in which the preparation of the ToR has not started within six (6) months of the approval date of the grant signals significant delays and the grant is flagged for consideration at the next WBIF meeting (within one year of the approval date).

Ensure the planned activities are realistically implementable within the foreseen period and logically sequenced; each activity is designed, so as to be implemented within a suitable period.

Ensure that the preparatory time is adequately planned for each activity. Consider key stages in the development of Projects, e.g. securing internal management approvals for the Project, securing match funding, securing ownership/control of sites, securing planning approval, completion of design works, launch procurement of contractors, appoint contractors, start on site, etc.]

34	Monitoring, reporting and evaluation	[This section should include key information on the monitoring and reporting as well as the evaluation cycle of the Action. Describe, when relevant, the modus operandi for the implementation of the monitoring process. For reporting purposes, the template attached as Annex 3 to the Guidelines will be used.
		The audit should be carried out in line with the WBIF Joint Fund general conditions.]

35	Communication and visibility	[Provide details of the proposed visibility measures for the Project and Action (e.g. type of measures, short description, estimated costs, duration, etc.). Explain the choice of the dissemination channels and how the visibility measures will reach the target groups, the relevant stakeholders, policymakers and the general public. Provide information about the budget envisaged for communication and visibility. The communication budget needs to be properly elaborated and justified, as well as sufficient to have a real impact and reflect the size and the likely impact of the Action.
		Further details regarding the roles and responsibilities that the main WBIF stakeholders should have concerning communication and visibility requirements/measures are provided in separate guidelines (see "Communication and Visibility Guidelines").]



36	Issues to be clarified before WBIF grant approval	[Describe any open issues that must be addressed before the Project is approved by the WBIF. Provide information on any horizontal conditionalities related to IPA (e.g. adopted national sector strategy) and/or specific commitments associated with the implementation of the Project (e.g. site availability/ land ownership/ land planning issues).]
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37	Contacts	Contact person	Function	Phone	Email
	Lead Financial Institution				
	Beneficiary country authority				
	EU Delegation				
	Co-financier(s)				
	Private partner(s)				

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

38 Date of submission by the NIPAC

[completed automatically in MIS]

**NIPAC Details** 

[provide contact details]





# **GRANT APPLICATION FORM** for technical assistance (TA GAF)

## Annex I: Key requirements checklist

[Ensure that this annex is as complete as possible]

## ....

<u>Main</u>	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 eligible sectors: Clean Energy/Energy Efficiency   Environment/Climate change  Digital   Social   Sustainable Transport.		
3.	The TA GAF 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, 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 IFI supports this application and has been consulted during the preparation of the TA GAF.		
9.	The WBIF grant requested as well as its calculation and justification are clearly explained.		
10.	The information provided in each section of the TA GAF is consistent and coherent throughout the application.		
11.	All the sections of the TA GAF are filled in the information requested therein.		
12.	All relevant stakeholders have been consulted during the preparation of the TA GAF.		
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 IFI has been consulted in their preparation.		
17.	The Lead IFI has been consulted on the contribution of the Project to climate change mitigation/adaptation and resilience.		

\* 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.





## ASSESSMENT

## **RESULT OF THE SCREENING PHASE**

[To be filled by the Commission/ task manager after screening]

### **RESULT OF THE ASSESSMENT PHASE**

[To be filled by the Lead IFI after the assessment process]

### **RECOMMENDATIONS OF THE WBIF PROJECT FINANCIERS GROUP**

[To be filled by the WBIF Secretariat after PFG meeting]

## DECISION ON THE APPROVAL OF THE GRANT

[To be filled by the WBIF Secretariat, specifying the WBIF approval decision, relevant comments on the substance of the grant request, the conditions on the approval, , and the total grant amount approved, including implementation fee (as applicable), for the technical assistance grant operation as provided for in Art. 5.15 of the General Conditions of the EWBJF.]	
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## PAYMENT OF THE GRANT FROM THE JOINT FUND

## SIGNATORY OF THE LEAD IFI

L s t	To be filled by the Lead IFI and specifying Name, Title and Date, and the terms for the					
g ii A	Art 5.03 of the General Conditions of the EWBJF].	Grant amount approved by the WBIF				[Insert the final grant amount approved by the WBIF]
C		Start date of grant activities				
		Final date for contracting				[Insert the date by which all legal commitments between (i) the Lead IFI and contractors or (ii) between the Lead IFI and the relevant Grant beneficiary, as applicable, will be entered into.]
		Final date of operational implementation of the Action [as per COM annual Financing Decision]				[Insert the completion date of all activities financed by the grant funds]
		Payment schedule	Payment	Amount (€)	Date (month/year)	[The first payment from the EWBJF within 60 days after receipt of a
			1 <sup>st</sup> payment			compliant payment request. Please indicate the
			2 <sup>nd</sup> payment			amount of first payment as well as subsequent payments, if paid in instalments.
			3 <sup>rd</sup> payment			Any changes to the payment schedule should be communicated to the EBRD]





## APPROVAL

### APPROVAL BY THE WBIF OPERALTIONAL BOARD AND BY EWBJF ASSEMBLY OF CONTRIBUTORS

	Signature of the Chair of the Operational Board and Assembly of Contributors - the European Commission
Name	
Date	
Signature	





## AMENDMENTS TO THE APPROVED TA GAF

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