

WBIF TA Round 35 and INV Round 14 Guidelines for Applicants (Corrigendum N.1)



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Note on Corrigendum N.1

This corrigendum relates to amendments to the second paragraph and the accompanying table on page 9, in Chapter 3, “INV Round 14 Eligibility Criteria”. No other changes have been made to the document.

Introduction

The European Commission and the Bilateral Donors launched a WBIF call for applications on 3 July 2026 to provide technical assistance and investment co-financing for public sector projects. The call is organised into the following rounds:

- **TA Round 35 for technical assistance grants** to support the preparation of infrastructure projects included in the Categories A, B and C, as described further below. Funding for this round is provided by the Instrument for Pre-accession Assistance III (IPA III) and Bilateral Donor contributions to the European Western Balkans Joint Fund (EWBJF).
- **INV Round 14 for investment grants** to co-finance public sector investment projects in the WBIF’s **environment and climate intervention area**. Funding for this round is provided by IPA III and Bilateral Donor contributions to the EWBJF

The tentative timeline for the call for applications is shown below.

Event	TA Round 35	INV Round 14
Launch of the call for proposals	3 July 2026	
Pre-notification deadline	28 August 2026	28 August 2026
Submission deadline	11 September 2026 (Phase 1)	18 September 2026
Endorsement deadline	18 September 2026 (Phase 1)	25 September 2026
Screening (until)	8 October 2026 (Phase 1)	8 October 2026
Paris Group	15 October 2026 (Phase 1)	15 October 2026
Assessment (until)	13 November 2026 (Phase 2)	13 November 2026
Paris Group	19 November 2026 (Phase 2)	19 November 2026
40 th Project Financiers’ Group	Early December 2026 (tbc)	Early December 2026 (tbc)
9 th Operational Board	End of January 2027 (tbc)	End of January 2027 (tbc)

These Guidelines have been prepared in support of the WBIF TA Round 35 and INV Round 14 call for applications. Their primary purpose is to assist beneficiaries and financial institutions in preparing applications for this call. The document sets out the eligibility criteria applicable to project proposals, describes the submission process, and specifies the information required for applications to the WBIF Project Financiers’ Group.

The Guidelines are structured in four chapters: (1) general eligibility provisions applicable to both TA Round 35 and INV Round 14; (2) eligibility criteria for TA Round 35; (3) eligibility criteria for INV Round 14; and (4) application submission requirements, including details of the phased approach applicable to TA applications. The prescribed application forms, together with detailed instructions for their completion, are provided in in Annexes 1 and 2.

To further support applicants, the screening and assessment grids reflecting the evaluation process carried out by the WBIF Project Financiers’ Group are provided in Annexes 4 and 5. These tools are intended to help

applicants ensure that their submissions are complete and meet all relevant requirements.

1. General eligibility provisions

1.1 Geographical coverage

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

The legal entity benefiting from a public sector WBIF contribution to investments shall be registered within a Beneficiary. For transnational or regional projects that also involve 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 cover only the portion of the investment implemented on the territory of the participating Beneficiary.

1.2 Eligible entities for WBIF support

Public sector projects 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.

2. TA Round 35 eligibility criteria

This is a call for applications for technical assistance grants to support the preparation of the following categories of infrastructure projects:

Category A	Projects for financing by the Reform and Growth Facility (RGF), as reflected in the Beneficiaries' respective indicative lists of RGF projects ¹ , in the following key sectors: 1) sustainable transport; 2) clean energy; 3) digital future; and 5) human capital development.
Category B	Projects that are in final stage of preparation and have benefited from a WBIF TA grant for earlier phases of the preparation (and whose objective of a new TA grant is to arrive at mature projects ready for investment), in the following key sectors: 1) sustainable transport; 2) clean energy; 3) environment and climate; 4) digital future; and 5) human capital development.
Category C	Projects envisaged to be financed beyond the current Multiannual Financial Framework (post 2027), in the following key sectors: 1) sustainable transport; 2) clean energy; 3) environment

*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.

¹ In the case of Bosnia and Herzegovina, which has not yet submitted an indicative list of RGF projects to the European Commission, Bosnia and Herzegovina shall confirm in Section 21.2 of the application forms that will be submitted under this call for applications that the investment in reference will be included in the indicative list of RGF projects that will be submitted to the European Commission.

	and climate; 4) digital future; and 5) research and innovation.
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With a view to leveraging private sector finance and expertise for public investments – in particular when the investment design is complex, the operation of the infrastructure is challenging, or when the fiscal space of the borrower is limited – TA applications for the preparation of investments to be implemented under a public-private partnership (PPP) approach are strongly encouraged under the current round. As such, relevant applications should foresee an option analysis of the benefits and opportunities for developing the infrastructure through a PPP. This requirement does not apply to applications concerning investments at advanced stages of preparation; in these cases, a justification for not conducting an option analysis must be provided in the application form. In all other cases, when the PPP could not be a viable option anyway, a justification should also be provided in the application. Guidance on the potential for PPP is available on the WBIF website in the library (EPEC studies).

2.1 Main eligibility criteria

For projects included in Categories A and B

Sustainable transport

Subsector	
Railways infrastructure	Rehabilitation of existing and construction of new resilient and smart transport infrastructure on the TEN-T core and extended core railway network
Road infrastructure	Rehabilitation of existing and construction of new resilient and smart transport infrastructure on the TEN-T core roads network
Maritime/Inland waterways infrastructure	- Inland waterways TEN-T Core network - Port infrastructure
Intermodality	Terminals/multi-modal hubs
Urban Mobility	Rapid urban transit systems

Clean energy

Subsector	
Electricity	- 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 - Distribution network upgrade - Digitalisation of the network - Energy storage: battery storage and pumped hydro storage
Renewable energy production	- Rehabilitation of hydropower plants - Innovative renewable energy solution projects (if not supported through EFSD+ guarantees, proven not to be revenue-generating and abiding by the latest EU cybersecurity rules in the energy sector)
Energy efficiency	Energy efficiency measures for infrastructure in the education sector (from early childhood education to high-level education) and in the health sector (hospitals and health centres), abiding by the latest EU cybersecurity rules in the energy sector if solar components are included.

Digital future

Subsector	
Infrastructure	• Ultra-fast and secure broadband (including 5G) for governments, households, businesses, education and health, connections with remote areas, and connection to EU digital backbones. Full alignment with the EU's 5G cybersecurity toolbox and technology neutrality must be ensured. • Secure, energy-efficient, trustworthy and AI-ready data centres, edge and cloud infrastructures, as well as linking to EU initiatives on high-performance computers and/or GEANT programme; these efforts must ensure cyber-resilience. • Exploring synergies with other connectivity areas, such as transport and energy, in the context of infrastructure sharing. • Investments in improving the digitalisation of infrastructures in the fields of education (from early childhood education to high-level education) and health (hospitals and health centres).

Human capital development

Subsector	
Education & skills	• Infrastructure investments necessary for implementation of concrete reforms included in the Reform Agenda
Social inclusion	• Infrastructure investments necessary for implementation of concrete reforms included in the Reform Agenda
Employment	• Infrastructure investments necessary for implementation of concrete reforms included in the Reform Agenda

Environment and climate (only for Category B projects)

Subsector	
Water management	• Rehabilitation of existing and construction of new drinking water and wastewater treatment plants • River basin management/flood prevention
Waste management	• Rehabilitation of existing and construction of new waste management centres • Closure of non-compliant landfills, including rehabilitation according to EU standards (only if in association with waste management centres) • Equipment
Air quality	• Services/ works/ equipment
Nature protection	• 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	• Services (studies) • Cleaning/remediation of local waste dumpsites • Integrated industrial decarbonisation and depollution solutions

For projects included in Category C

Sustainable transport

Subsector	
Railways infrastructure	Rehabilitation, upgrading and construction of resilient, smart and interoperable TEN-T Core and extended core railway network, including ERTMS deployment, electrification, safety and digitalisation measures.
Road infrastructure	Rehabilitation, upgrading, safety improvements, digitalisation, and climate-resilient adaptation of the road infrastructure on the TEN-T core and extended core road network. New road construction should be limited to completing the TEN-T corridors and missing links with clear regional connectivity value. Priority should be given to projects contributing to cross-border connectivity and accession objectives.
Maritime/Inland waterways infrastructure	Sustainable port infrastructure, inland waterways on the TEN-T network and investments supporting decarbonization, alternative fuels, shore-side electricity and safety improvements.
Multimodality	Infrastructure facilitating modal shift and improving connectivity between transport modes, including multimodal freight terminals, logistics platforms and infrastructure facilitating modal shift from road to rail and waterways where these contribute to the performance of TEN-T corridors and regional connectivity objectives.

Clean energy

Subsector	
Electricity transmission / Connectivity	- Transmission network reinforcement and modernisation, especially when contributing to market integration within the Western Balkans region and/or with EU Member States, to the sustainability of electricity supply (integration of renewable energy) and security of supply. - Digitalisation of the electricity network related to connectivity within the Western Balkans region and/or with the EU Member States.
Renewable energy Production and storage:	- Innovative renewable energy production solutions (if not supported through EFSD+ guarantees, proven not to be revenue-generating and abiding by the latest EU cybersecurity rules in the energy sector); - Energy storage: large batteries and pumped hydro storage.

Environment and climate

Subsector	
Water management	Rehabilitation/upgrade of existing and/or construction of wastewater treatment plants with a minimum investment value of €70 million; the project should include particular attention to sustainability and governance issues. Support can be extended to associated investments in biodiversity.
Waste management	Rehabilitation of existing and/or construction of new waste management centres with sorting and recycling infrastructure, in alignment with the Green Agenda and focused on the circular economy, with a minimum investment value of €50 million. Support can be extended to associated investments in biodiversity.

Digital future

Subsector	
Infrastructure	Ultra-fast and secure broadband (including 5G) for governments, households, businesses, education and health, connections with remote areas, and connection to EU digital backbones. Full alignment with the EU's 5G cybersecurity toolbox and technology neutrality must be ensured.

Research and innovation

Subsector	
Research	Research infrastructures that pursue scientific excellence and promote integration into the European Research Area.
Innovation	Technology infrastructures required to develop, test, upscale and validate technology. Their primary purpose is to enable and accelerate technological innovations towards societal/market adoption, boosting industrial competitiveness.

2.2 Additional eligibility criteria

- The underlying investment projects of technical assistance grants must be endorsed by the Ministry of Finance, unless no financing from the national budget is expected (e.g. projects under the responsibility of a municipality).
- TA applications must 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 any project design(s) as per national legislation, other activities specific to the urban planning and/or land ownership (e.g. the preparation of urban plans, documentation for land expropriation, etc.) that fall under the Beneficiary's responsibility as part of its due diligence and control for the project management are not eligible for grant funding.
- Support for overcoming specific obstacles delaying project preparation or implementation may be accepted, provided that for faltering projects, the grant application provides a thorough analysis of the causes and a clear and logical use of the grant to drive their progress.
- 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 the beneficiary and Lead IFI approve their results. Similarly, additional grant financing will not be considered when a grant has already been awarded but not disbursed.
- To ensure efficient use of resources, proposals should reflect the logical sequence of the project cycle and, therefore, should be confined to immediate needs. For example, if a feasibility study is required, assistance for designs and tender documents should not be part of the grant request but rather be applied for in the future if the feasibility study proves positive.
- TA applications for the preparation of investments to be implemented under a PPP approach are encouraged

under the current round. As such, relevant applications should foresee an option analysis of the benefits and opportunities for developing the infrastructure through a public-private partnership. This requirement does not apply to applications concerning investments at an advanced stage of preparation; in such cases, a justification for not conducting an option analysis must be provided in the application form. In all other cases, where the PPP could not be a viable option, a justification should also be provided in the application. Guidance on the potential for PPP is available on the WBIF website in the library (EPEC studies).

2.3 Maximum co-financing rate for WBIF technical assistance grants

The WBIF grant can finance 100% of the costs for technical assistance.

3. INV Round 14 eligibility criteria

This is a call for applications for investment grants to co-finance public sector investment projects in the Environment and Climate intervention area under the WBIF. Funding for this round is available through **IPA III** and **Bilateral Donor contributions** to the EWBIF.

The table below presents the eligibility criteria for WBIF investment grants in the Environment and Climate intervention area. **Bilateral Donors** funding can support **small-scale, high-impact investment projects** in all the subsectors described below, without any financial thresholds.

Subsector	
Water management	Rehabilitation of existing and construction of new drinking water and wastewater treatment plants (> €15 million; > €30 million for Serbia)
Waste management	- Rehabilitation of existing and construction of new 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)
Industrial pollution/chemicals	Integrated industrial decarbonisation and depollution solutions

3.1 Additional eligibility conditions

The Beneficiary institutions must have an **adequate capacity** to define their investment plans and to procure and implement the project, possibly 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.

In addition, a monitoring and coordination structure (e.g. Project Steering Committee) should be in place to effectively monitor progress in the implementation of the project. This structure must include all relevant stakeholders, including the beneficiary entity, the Lead IFI, the Delegation/Office of the EU, etc., and should convene regularly at least twice a year, as well as on an ad-hoc basis whenever significant issues arise.

Project proposals for investment co-financing must be **mature**:

- Only projects that demonstrate that the relevant preparatory work has been completed and is up to date, and for which the **signature of the (first) works contract will occur within 24 months of the**

approval of the WBIF contribution, shall be eligible for WBIF support.

- 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 the WBIF contribution's approval.
- The **ESIA** must be completed and approved by the IFIs at the time of application submission.
- The project's **financing plan** must be in place; the **financing should be confirmed** by co-financiers, and the Beneficiary's Ministry of Finance and the **Lead IFI's project appraisal/loan preparation should be ongoing** at the time of application submission.
- All necessary **approvals or pre-approvals**, as applicable, from beneficiary stakeholders should be obtained by the time the applications are submitted, i.e. **EIA approval** (national EIA positive decision) and **land acquisition** (siting decision "freezing the land" under the project and preventing the granting of approvals for other developments).

Applicants are required to demonstrate the maturity of their project proposals in **Section 17 of the application form**. Additional guidance and detailed completion instructions are provided in the prescribed application form for INV Round 14, available in Annex 2 of these guidelines.

3.2 Maximum co-financing rate for WBIF contribution

The maximum co-financing rate is 70%.

4. Requirements for the submission of application forms

The applications must be pre-notified and submitted via the WBIF MIS platform by National IPA Coordinators in the prescribed application form and in accordance with the deadlines communicated at the launch of the call.

Project proposals must be supported by a Lead Financial Institution (LFI), namely the AFD, CEB, EBRD, EIB, KfW, or the World Bank.

The application forms for TA Round 35 and INV Round 14 are included in Annexes 1 and 2 of these guidelines; their editable format is available for download in the [WBIF MIS Library](#) under the "GAF Templates" tab. Instructions for completing the application form are embedded in the template.

The applicants must submit a duly completed application form. All sections of the application form must be completed as clearly and concisely as possible, while adhering to the suggested maximum character limits and avoiding repetition.

The application forms must be submitted together with an accompanying letter signed by the NIPAC, which confirms the Beneficiary's commitment to the submitted projects, confirms that the Lead Financial Institution has been consulted and is in agreement with the content of the application form, and, in the case of an investment grant, acknowledges that there is adequate fiscal space for its implementation.

The Beneficiaries shall prepare the project proposals under the supervision of the NIPACs and in close cooperation with the LFI. Consultations and coordination with the EU Delegations must be ensured before the submission of the application.

4.1 Phased submission of TA applications

The submission of the TA application form is organised in two phases. The **Phase 1 application form** contains the information required to ensure a meaningful understanding of the application, in line with the policy framework.

Once an application has successfully passed Phase 1, **Phase 2** begins. During this phase, which runs concurrently with the assessment process, applicants are required to complete additional sections of the application form. The sections to be completed in each phase are indicated in the implementation form set out in Annex 1 to these Guidelines.

4.2 Sections pertinent to the preparation of Terms of Reference

The complete application form *includes sections relevant to the preparation of the Terms of Reference (ToR) for the TA assignment*, the content of which is set out in the table below.

Section	Heading
2	Grant code
7	Beneficiary(ies)
10	Action/Grant application name
11	Lead Financial Institution
14	Total WBIF grant amount (€)
16	Implementation of TA activities
17	Responsible authority of the Beneficiary
18	Implementing entity(ies)
19.1	Background and context of the Project
19.2	Needs/demand analysis
19.3	Project map
19.4	Description of the Project
19.5	Reference documents
21.1	Alignment with the Economic and Investment Plan for the Western Balkans
21.2	Alignment with the Growth Plan and the Reform and Growth Facility for the Western Balkans
21.3	Alignment with Green Agenda objectives
21.4	Compliance with adopted national/sectoral/regional strategies
23.1	Description of entities involved
23.2	Organisational set-up
28.2	Detailed scope of work and results for TA grant activities (the Action)
31.2	Detailed planning of TA activities

Following a positive opinion from the WBIF Operational Board and, where applicable, approval by the Assembly of Contributors, the MIS will automatically generate extracts of the relevant sections of the ToR.

These extracts will then be uploaded to the MIS under grant attachments as the “ToR Framework” and transmitted to the Lead IFIs for finalisation of the ToR.

4.3 Submission of the ToR to WBIF Secretariat

Within two months of receiving a positive opinion from the WBIF Operational Board and, where applicable, approval from the Assembly of Contributors, the Lead IFI shall submit the Terms of Reference (ToR), as approved by both the beneficiary and the Lead IFI, to the WBIF Secretariat for “No Objection”.

No procurement procedure may be initiated, nor may any legally binding commitments between the Lead IFI and third parties enter into force, prior to the WBIF Secretariat issuing its “No Objection” to the final ToR.

Once the WBIF Secretariat has issued its “No Objection”, the ToR shall be uploaded to the MIS, and implementation may proceed.

If the ToR are not submitted to the WBIF Secretariat within this two-month deadline, the TA grant shall be submitted for cancellation in accordance with Article 3.02(b)(ii)(2) of the General Conditions.

Annex 1: Application form for TA Round 35

The phased TA application form is copied below and is divided into phases 1 and 2, with explanatory text in grey italics.

Phase 1 (opens following pre-notification)
Phase 2 (opens following the Paris Group)

IDENTITY OF THE PROJECT

1	Blending facility	WBIF	2	Grant code	<i>This is the grant code, communicated to the NIPAC during 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	<i>[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 EIP, Growth Plan/RGF, EU policies, and adopted national/sectoral/regional strategies.</i>
5	WBIF intervention area	<i>[select intervention area] 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://development-finance-codelists.oecd.org/Codeslist.aspx. The NIPAC will select the CRS code from the drop-down list in MIS when submitting the application.</i>
7	Beneficiary(ies)	<i>[select name] Select the name of the Beneficiary from the drop-down list. For regional projects, select all Beneficiaries involved.</i>			
8	Project name	<i>Enter the name of the Project financed by the WBIF grant. Please ensure 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	Action/Grant Application name	<i>Enter the name 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.</i>			

		<i>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.</i>
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11	Lead Financial Institution	<i>[select name] Select the name of the Lead Financial Institution (LFI) from the drop-down list.</i>
12	Co-financier(s)	<i>[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.</i>

13	Type of WBIF contribution		Technical Assistance		
14	Total WBIF grant amount (€)		TA amount excl. fee (€)		<i>This is the grant amount, excluding the implementation fee, for the TA activities funded by the grant. It is the "Grant amount without fees" from section 29.</i>
			TA fee (€)		<i>This is the implementation fee from section 29.</i>
			Total WBIF grant amount (€)		<i>This is the “Total WBIF grant amount” from section 29.</i>
15	Type of WBIF financing source	<i>[select source]</i>	16	Implementation of TA activities	[MM/YYYY - MM/YYYY] <i>This field is filled in automatically in MIS based on the dates provided in subsection 31.1 - Indicative calendar of the Action.</i>

17	Responsible authority of the Beneficiary	<i>Indicate the Beneficiary's authority (e.g. Ministry of Finance, Ministry of Environment, Ministry of Transport, etc.) and 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.</i>
18	Implementing entity(ies)	<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 (including ownership structure), or private. Note that in section 23 - Institutional framework of the Project, all entities involved must be included. In contrast, in the section, only the entity responsible for implementing the Project should be listed.</i>

DESCRIPTION OF THE PROJECT

19	Description of the Project <i>The following differentiation is made between the Project and the Action in the grant application form:</i> • 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, in whole or in part, by the
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	<i>WBIF grant.</i> <i>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 28.</i> <i>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.</i> <i>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 should the beneficiaries of the Project's activities. The type of benefits and the final beneficiaries must be quantified as much as possible.</i> <i>(Indicative max 1,000 words)</i> <i>• Complete this section in cooperation with the LFI.</i> <i>• Present concisely and coherently all the information required in subsections 19.1, 19.2 and 19.4.</i> <i>• Ensure the description focuses on the Project, not the Action for which WBIF grant funding is requested.</i> <i>• Ensure that all main (direct and indirect) beneficiaries are identified and described (i.e. those who will benefit from the Project's implementation).</i> <i>• Use and quote official sources of information to justify critical problems/primary deficiencies (see subsection 19.5).</i> <i>• Ensure that a map of the Project's location is included in subsection 19.3.</i> <i>• Avoid using jargon and acronyms.</i>
19.1	Background and context of the Project <i>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.</i> <i>Market failure is traditionally defined as a situation in which the distribution of goods and services is inefficient, whereby 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 in handling both positive and negative externalities of free market economic activities.</i> <i>Public goods are defined by two distinct aspects: non-excludability and non-rivalrous consumption. "Non-excludability" means that people cannot be excluded from the benefits of their use. In contrast, "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 non-toll roads, municipal sewage systems, and energy-efficient public buildings are examples, 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. In contrast, a chemical plant's continued reliance on outdated technology has a negative spillover effect due to the pollutants it releases into the environment, which could be avoided if the company invested in upgrading</i>

	<i>its equipment.</i> <i>When making the argument that the proposed action aims to create public goods or manage positive and negative externalities, thereby addressing a market failure or a suboptimal investment situation, bear in mind that the European Commission remains an economic actor managing scarce resources in pursuit of its policy priorities. It is, therefore, important that you carefully qualify and quantify the public goods and externalities that the action intends to create.</i> <i>Describe any other relevant socio-economic implications 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.</i> <i>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.</i> <i>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 donors 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.</i> <i>Explain the involvement of the private sector if relevant.</i> <i>Maximum length: 3000 characters.</i>
19.2	Needs/demand analysis
	<i>For early-stage projects (pre-feasibility study, feasibility study, ESIA), please provide one paragraph on the expected needs / demand the Project is expected to address.</i> <i>For more advanced-stage projects (PD, Design, etc.), please use quantitative (if available) and qualitative data, and describe the problems (including gaps, shortcomings, or deficiencies) the Project addresses to demonstrate <u>why the Project is needed</u>. It is paramount to summarise critical infrastructure deficiencies and needs that the Project (or project component/phase) will address and bring to EU standards.</i> <i>Provide a summary of the demand analysis, including the predicted demand growth rate, in line with the results of the Cost-Benefit Analysis (if available). Minimum information required: (i) assumptions and baseline (e.g. traffic in the past, future traffic without the project); (ii) projections and methodology used for selected options (if applicable); (iii) supply-side aspects, including analysis of existing and expected infrastructure developments; and (iv) network effect (if any). Use and document sources to justify the critical issues the Project targets and the demand analysis. Avoid using jargon and acronyms.</i>
19.3	Project map
	<i>Include a map that clearly shows the project area and its context to help understand the location of the Project's various facilities. The map should be easy to read, high-quality, preferably in colour, and include a clear legend.</i>
19.4	Description of the Project
	<i>Please do not repeat information from 19.1. This 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).</i> <i>If the Project has several phases or components, present those already completed or currently under implementation, along with the subsequent phases and/or components, in chronological order.</i> <i>Briefly describe and quantify the beneficiaries of the Project as much as possible, including any vulnerable, disadvantaged, disabled, and gender-sensitive groups.</i> <i>Maximum length: 3000 characters.</i>

19.5	Reference documents
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.	

20	Indicative project status and planning 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. The most common activities are pre-listed. Where relevant, add activities to the list. In case of activities that are not relevant, state 'n/a'. The following key aspects should be covered: • 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. 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: • 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. ○ 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 (in part) in parallel, e.g. tender documents preparation and procurement pre-qualification. ○ Ensure consistency with sections 19 and 31. <u>Note:</u> (a) If already complete, provide the exact date; if only planned, indicate at least the 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).
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<i>(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.</i>				
Activity	Duration ^(a)		Status ^(b)	Comments ^(c)
	Start date [MM/YYYY]	Completion date [MM/YYYY]		
Masterplan and other relevant spatial planning documents	<i>[insert date]</i>	<i>[insert date]</i>	<i>[select status]</i>	<i>Short description of the status, results, main conclusions, outstanding issues and/or conditions. Include the title, author and issue date.</i>
Definition of the investment project	<i>[insert date]</i>	<i>[insert date]</i>	<i>[select status]</i>	<i>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 SPP score.</i>
Strategic Environmental Assessment (if applicable)	<i>[insert date]</i>	<i>[insert date]</i>	<i>[select status]</i>	<i>Short description of the status, results, main conclusions, outstanding issues and/or conditions. Include the title, author and issue date if completed.</i>
Pre-feasibility Study	<i>[insert date]</i>	<i>[insert date]</i>	<i>[select status]</i>	<i>As above</i>
Feasibility Study	<i>[insert date]</i>	<i>[insert date]</i>	<i>[select status]</i>	<i>As above</i>
Conceptual Design	<i>[insert date]</i>	<i>[insert date]</i>	<i>[select status]</i>	<i>As above</i>
Environmental and Social Impact Assessment	<i>[insert date]</i>	<i>[insert date]</i>	<i>[select status]</i>	<i>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.</i>
Preliminary Design	<i>[insert date]</i>	<i>[insert date]</i>	<i>[select status]</i>	<i>Short description of the status, results/main conclusions, outstanding issues and/or conditions. Include title, author</i>

					<i>and issue date if completed.</i>
	Land ownership	<i>[insert date]</i>	<i>[insert date]</i>	<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), 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 land must be fully acknowledged, and all related issues identified, including estimated acquisition costs and the time required for expropriation procedures (if any). It is common and good practice to consider a project mature for co-financing only if the land has already been acquired and is available, because delays in the acquisition plan can be significant and set back 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	<i>[insert date]</i>	<i>[insert date]</i>	<i>[select status]</i>	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	<i>[insert date]</i>	<i>[insert date]</i>	<i>[select status]</i>	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 not yet been issued, indicate the estimated completion timeframe.
	Loan(s) negotiation and signing	<i>[insert date]</i>	<i>[insert date]</i>	<i>[select status]</i>	Short description of the status of loan agreements with the IFIs financing the Project, e.g. estimated, under negotiation,

					<i>terms agreed, signed, etc.</i>
	Preparation of tender dossier(s)	<i>[insert date]</i>	<i>[insert date]</i>	<i>[select status]</i>	<i>Short description of the status and construction contract type (e.g. FIDIC Pink/Red Book, FIDIC Yellow Book, etc.</i>
	Procurement for works (per phase/component)	<i>[insert date]</i>	<i>[insert date]</i>	<i>[select status]</i>	<i>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.</i>
	Construction of works (per phase/component)	<i>[insert date]</i>	<i>[insert date]</i>	<i>[select status]</i>	<i>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 status of implementation for each phase and/or component, and describe the executed works and the percentage completed.</i>

21	Coherence with the EIP, Growth Plan/RGF, EU policies, and adopted national/sectoral/regional strategies				
	<i>Consider the following when filling in the sections below:</i> <i>Ensure that the Project addresses the WBIF blending investment priorities, policy objectives and investment flagships of the EIP.</i> <i>Ensure that the strategic justification of the Project is reliable and relevant.</i> <i>Demonstrate the Project's compliance with relevant national legislation, EU acquis and policies and other donors' strategies.</i> <i>Ensure that the Project considers any special needs and responds to challenges related to any forms of discrimination and environmental impact.</i> <i>Ensure correlation between the information included in the SSP and the grant application form (e.g. project title, total project cost).</i>				
	21.1	Alignment with the Economic and Investment Plan for the Western Balkans			

If a Project is not a "Flagship (Section 4)", please confirm if the Project is nevertheless aligned with any of the following EIP priority area(s): [delete the options which are not relevant] "Transport", "Energy", "Environment and climate resilience", "Digital", "Economic development (incl. private sector, trade and macroeconomic support)", "Human Development (incl. human capital and youth)", "Health resilience", "Migration and Mobility", "Agriculture, food security and rural development", "Rule of law, governance and Public administration reform", "Other", "Not applicable".

Briefly justify, if applicable, how the Project addresses the WBIF intervention areas, policy objectives and investment flagships of the Economic and Investment Plan for the Western Balkans. If not applicable, briefly describe why it would still be justified to support the Project with a WBIF TA grant.

		<i>[maximum length 700 characters].</i>
21.2	Alignment with the Growth Plan and the Reform and Growth Facility for the Western Balkans	<i>For applications to prepare infrastructure projects in the intervention area of Environment and Climate: Indicate if and briefly explain how the Project is aligned with the objectives of the Growth Plan and the Reform and Growth Facility,</i> <i>For applications to prepare RGF infrastructure projects: (1) Confirm that the Project is included in the indicative list of priority investments under the RGF (in the case of an application submitted by Bosnia and Herzegovina, confirm that the investment Project in reference will be included in the indicative list of RGF projects that will be submitted to the European Commission). (2) Briefly justify how the Project addresses the objectives of the Growth Plan and the Reform and Growth Facility for the Western Balkans.</i> <i>[maximum length 700 characters].</i>
21.3	Alignment with Green Agenda objectives	<i>The Project is aligned with the following pillars: [delete the options which are not relevant] (1) climate action, including decarbonisation, energy and mobility, (2) circular economy, addressing in particular waste, recycling, sustainable production and efficient use of resources, (3) biodiversity, aiming to protect and restore the natural wealth of the region, (4) fighting pollution of air, water and soil, (5) sustainable food systems and rural areas, "Not applicable".</i> <i>Briefly justify how the Project addresses the applicable Green Agenda pillar(s). If none are applicable, please describe briefly why it would still be justified to support the Project with a WBIF TA grant.</i> <i>[maximum length 700 characters]</i>
21.4	Compliance with adopted national/sectoral/regional strategies	<i>The Project is compliant with the following adopted national/sectoral/regional strategies: [list all relevant strategies, these could e.g. include]:</i> <i>The main national/regional policies for the concerned sector or thematic area (including gender equality strategies or action plans), 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).</i> <i>The Project's position in the Single Project Pipeline (SPP).</i> <i>The Project's priority from the point of view of national and regional institutions (e.g., the Transport Community, the Energy Community, and similar bodies).</i> <i>Coordination/complementarity with related projects (financed by WBIF, national IPA, or other donors/financiers).]</i> <i>Briefly justify how the Project addresses the adopted national/sectoral/regional strategies.</i> <i>[maximum length 700 characters].</i>

22	Consultations before submission: - NIC - IFIs - EU Delegation(s)/Office - Donors - Regional/international organisations	<i>Consultations took place with the following stakeholders [Indicate "Yes" or "No" after each option and date of consultation]:</i> <i>National Investment Committee (NIC) (or equivalent body): Yes/No; meeting(s) took place on DD/MM/YY.</i> <i>LFI and co-financiers: Yes/No; meeting(s) took place on DD/MM/YY.</i> <i>EU Delegation(s): Yes/No; meeting(s) took place on DD/MM/YY.</i> <i>Geographical unit(s) of DG NEAR: Yes/No; meeting(s) took place on DD/MM/YY.</i> <i>Other donors: Yes/No; meeting(s) took place on DD/MM/YY.</i> <i>International and regional organisations: Yes/No; meeting(s) took place on DD/MM/YY.</i>
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	Other stakeholders	Other relevant stakeholders (e.g. civil society organisations: Yes/No; meeting(s) took place on DD/MM/YY. From consultations, it can be concluded that: [add main conclusions]
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23	Institutional framework of the Project	
	23.1	Description of entities involved
	<i>Present the list of entities involved in the implementation of the project, including:</i> <i>Beneficiary(ies) authority(ies) (responsible Ministry(ies) and specific department(s)): please indicate</i> <i>Entity that is/will be the beneficiary of the construction permit(s) for the Project: please indicate</i> <i>Implementing agency (or equivalent): please indicate</i> <i>Project Management Unit (PMU)/Project Implementation Unit (PIU) or equivalent: please indicate</i> <i>In case of involvement of a privately-owned company, indicate the contractual structure (e.g. concession, private-public partnerships).</i> <i>Other entities.</i>	
	23.2	Organisational set-up
	<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 monitor and approve deliverables.</i> <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 existing capacity for implementing the Project and the Action effectively.</i> <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> <i>Indicate if the beneficiary/PIU can define the investment plan, procure and implement the Project, or if additional technical assistance is needed.</i> <i>Provide a brief description of in-country coordination arrangements. A monitoring and coordination structure should be in place to properly monitor progress in the implementation of the project (e.g. Project Steering Committee). This structure should include all relevant stakeholders, including the beneficiary entity, the Lead IFI, the Delegation/Office of the EU, etc., and should convene regularly at least twice a year, as well as on an ad-hoc basis whenever significant issues arise</i> <i>If relevant, provide a comprehensive description of the organisational structure for the operation of the investment project. Include existing institutional structure (e.g. ownership of infrastructures, contractual obligations to the new infrastructure, the evolution of tariffs, etc.)</i> <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> <i>Describe the flow of the WBIF contribution to involved entities down to the final beneficiaries/recipients.</i> <i>Add a chart illustrating the Project's institutional framework.</i> <i>[This section will be included in the ToR for the TA assignment; please ensure the information provided is exhaustive and complete.]</i> <i>Complete this section in cooperation with the LFI.</i> <i>Clearly define the specific roles of the institutions involved in the Project.</i> <i>Ensure the institutional aspects of the Project's implementation are duly described.</i> <i>Include a chart illustrating the institutional framework of the Project.</i>	

24	Project budget and financing plan <i>For <u>early-stage projects</u> (pre-feasibility study, feasibility study), this information regarding the <u>Project Budget</u> can be kept brief. For example, in pre-feasibility study applications, cost breakdowns can be limited to the main items; for other cost components, provide best estimates (if data are unavailable, “not available” will be an option in MIS).</i> <i>For <u>more advanced-stage projects</u>, this section should provide the <u>Project Budget</u> (cost breakdown structure) and <u>Financing Sources</u> (sources and corresponding contributions). Include the main cost components of the Project, their descriptions (related activities), and the corresponding amounts in the budget, matched against sources of funds and their contributions in the financing plan. The costs should not include VAT.</i> <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> <i>The costs of 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 can also include contingencies, subject to justification and assessment by the relevant donor. If the Project has more than one component and/or phase, the costs must be presented by component and/or phase (i.e. in individual rows, as in the table below).</i> <i>The financing plan should contain 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, as well as private-sector finance.</i> <i>The fields for sums and percentages are filled in automatically in MIS. The “Total project cost” and “Total financing available” must be identical to apply.</i> <i>While it is understood that the figures provided in this section are indicative, the applicant should make every effort to ensure that the amounts reflect the expected amounts involved in the Project as closely as possible.</i> <i>As a rule, the following costs are not eligible for WBIF co-financing:</i> • <i>Expenditure incurred prior to the signature of the relevant Contribution Arrangement</i> • <i>Expenditure ineligible under national rules</i> • <i>Cost of purchase of land or buildings</i> • <i>Planning/design (permits) fees</i> • <i>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</i> • <i>Communication costs²</i> • <i>Debts and debt service charges</i> • <i>Any duties, taxes and charges, including but not limited to value-added tax (VAT), that are recoverable/deductible</i> • <i>Fines, financial penalties, and litigation expenses</i> • <i>Second-hand equipment</i> • <i>Bank charges, cost of guarantees and similar charges</i> • <i>Contributions in kind.</i>
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² Exceptionally, within the context of EU External Actions and with prior agreement of the EU, communication activities for specific projects/programmes may be funded as part of the action, if duly justified for the Action.

	○ 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 within 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	<i>[insert amount]</i>	<i>[insert amount]</i>	<i>[filled automatically in MIS]</i>
	2	Land purchase	<i>[as above]</i>	<i>[as above]</i>	<i>[as above]</i>
	3	Technical assistance for project preparation (e.g. masterplan, pre-feasibility study, feasibility study, environmental and social impact assessment, detailed design, tender documents, procurement procedures)	<i>[as above]</i>	<i>[as above]</i>	<i>[as above]</i>
	4	Technical assistance for project implementation (e.g. supervision of works, project management)	<i>[as above]</i>	<i>[as above]</i>	<i>[as above]</i>
	5	Works (Building & construction)^(b)	<i>[as above]</i>	<i>[as above]</i>	<i>[as above]</i>
	5.1.	Works – Component/Phase 1	<i>[as above]</i>	<i>[as above]</i>	<i>[as above]</i>
	5.2.	Works – Component/ Phase 2	<i>[as above]</i>	<i>[as above]</i>	<i>[as above]</i>
	5.n	Works – Component/ Phase n	<i>[as above]</i>	<i>[as above]</i>	<i>[as above]</i>
	6	Supply (Plant & machinery)^(b)	<i>[as above]</i>	<i>[as above]</i>	<i>[as above]</i>
	6.1.	Supply – Component/Phase 1	<i>[as above]</i>	<i>[as above]</i>	<i>[as above]</i>
	6.2.	Supply – Component/Phase 2	<i>[as above]</i>	<i>[as above]</i>	<i>[as above]</i>
	6.n	Supply – Component/Phase n	<i>[as above]</i>	<i>[as above]</i>	<i>[as above]</i>
	7	Contingencies^(c)	<i>[as above]</i>	<i>[as above]</i>	<i>[as above]</i>
	8	Other (e.g. project design review/ verification by review committee) ^(d)	<i>[as above]</i>	<i>[as above]</i>	<i>[as above]</i>
	Total Project Costs		<i>[filled in automatically in MIS]</i>	<i>[filled in automatically in MIS]</i>	<i>[filled in automatically in MIS]</i>
Financing plan					
Sources of funds	Cost component(s)	Amount (€)	% / total	Remarks (i.e. Code/ Ref. of	

		financed			financing)
	National contribution	<i>[insert the number of cost component(s) financed]</i>	<i>[insert amount]</i>	<i>[filled in automatically in MIS]</i>	<i>[indicate the budget in which the Project is included]</i>
	IFI Loan 1 <i>[insert IFI name]</i>	<i>[as above]</i>	<i>[as above]</i>	<i>[as above]</i>	<i>[indicate if the loan is sovereign or non-sovereign and its status, e.g. estimated, terms agreed 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>
	Grant amount requested without fees ^(e) <i>[insert the code of the requested WBIF TA grant]</i>	<i>[as above]</i>	<i>[as above]</i>	<i>[as above]</i>	<i>[current grant request]</i>
	Other WBIF grant(s) ^(f) <i>[insert grant code]</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 grants ^(f) <i>[insert donor name]</i>	<i>[as above]</i>	<i>[as above]</i>	<i>[as above]</i>	<i>[as above]</i>
	Other sources ^(f) <i>[insert source name]</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 automatically in MIS]</i>	

(a) Eligible and non-eligible cost categories for WBIF co-financing are listed above.

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

(c) The need for contingency must be duly justified. The amount 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. The utilisation of contingency funds during the implementation of the Action needs to be pre-authorised by the European Commission. It may also be used to cover other eligible costs, such as negative interest, in accordance with the General Conditions and, if applicable, bilateral implementation agreements.

(d) Costs not included under cost components 1-7 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.

(e) It must be identical to the "Grant amount without fees" (i.e. grant without implementation fee) from section 29 - WBIF grant amount calculation and justification.

(f) 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.

25	Project sustainability <i>This section is not required for TA applications for pre-feasibility study, feasibility study and ESIA. [in this case, please add “Not applicable”]</i> <i>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.</i> <i>Describe the Project's sustainability in relation to its economic and financial viability and environmental, social and institutional features.</i> <i>Ensure that this section addresses the following sustainability aspects:</i> <i>• <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.</i> <i>• <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.</i> <i>• <u>Environmental and social impacts are acceptable</u>, or if negative impacts are foreseen, appropriate mitigation measures are proposed.</i> <i>• <u>Satisfactory project management arrangements</u> will be put in place to deliver the Project to specifications on time and within budget.</i> <i>• <u>Organisational arrangements for the operation of the Project</u> will be adequate for the sustainable delivery of the proposed services.</i> <table border="1"> <tr> <td data-bbox="231 996 459 1240">Economic/ Financial viability</td><td data-bbox="459 996 1449 1240"><i>Does the Project guarantee an acceptable economic (and financial, where applicable) return level? 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26	Risk assessment <i>This section is not required for TA applications for pre-feasibility study, feasibility study and ESIA. [in this case, please add “Not applicable”]</i> <i>Complete this section in cooperation with the LFI. The project promoters should understand the project implementation risks from the outset (e.g. potential changes to project planning, delays in delivery due</i>								

to external factors, difficulties in decision-making, the need for additional expertise, etc.). The applicants must provide an assessment of the main potential risks to the successful delivery of the Project. Identify the Project-related risks and how 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: • 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 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. Address the following risk categories: • <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. • <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, and 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.) (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]	

27	Addressing climate mitigation and adaptation	<i>This section is not required for TA applications for pre-feasibility study, feasibility study and ESIA [in this case, please add “not applicable”]</i> <i>For advanced stage projects, please 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 adaptation, 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).</i> <i>Describe the climate finance components of the Project (if any) for adaptation and/or mitigation. The Rio Markers methodology should be used to determine whether climate change is the principal objective, one of the objectives (significant), or not an objective of the Project. Please consult the OECD guidelines for identifying the Rio markers.³ Based on its methodology, the LFI may propose a specific percentage of the project budget as a climate change contribution.</i> <i>The information in this section must be adapted to the sector and the Project's maturity (e.g., pre-feasibility, feasibility study, detailed design, supervision of works, etc.).</i>			
	Rio Markers	Mitigation		Adaptation	
		Project (€m)	WBIF co-financing grant	Project (€m)	WBIF co-financing grant
	RM0 (no objectives)		☐		☐
	RM1 (significant objective)		☐		☐
	RM2 (the principal objective)		☐		☐

DESCRIPTION OF THE ACTION

28	Scope of work and results for TA grant activities (the Action)	
28.1	Summary of the scope of work and results for TA grant activities (the Action)	<i>Provide a brief description of the TA activities foreseen to be financed by the WBIF grant request and the deliverables. Summarise the content of the deliverables and describe their purpose. Describe the existing project documentation that provides the starting point for the foreseen TA activities, and to what extent the findings in these documents can be followed or need to be revisited.</i> <i>Please note the following:</i>

³ A list of examples, by sector, is available in the [Handbook on the OECD-DAC Climate Markers](#).

		• The justification of the Action's necessity must closely relate to fulfilling 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 project management controls. • All activities financed by the grant request must be adequately budgeted and justified in section 29. • Grants may be used exclusively for the Project and the activities for which they are approved. • If relevant, provide for an option analysis to develop the infrastructure through a Public-Private Partnership. This requirement does not apply to applications for investments at advanced stages of preparation; in such cases, a justification for not conducting an option analysis must be provided. [This section will be relevant for the determination if, according to Annex V (now called Annex IV in the current version) of the Vademecum, approved by the WBIF Steering Committee by written procedure WBIFWP: 010_27/06/17, a future change in scope will be considered "minor" (and should only be reported by IFIs via the AIR) or "substantial" (requiring an Operational Board opinion, either in a Operational Board meeting or via Written Procedure).]
28.2	Detailed scope of work and results for TA grant activities (the Action)	Provide the following information developed at the ToR level with sufficient detail to efficiently monitor the implementation of the activities by the TA-implementation consultant and to have all elements defined to review and approve the quality and timely provision of the (draft) deliverables: • Describe the objective, purpose and expected results of the activities; • Describe critical risks that should be considered in implementing the activities; • Provide a detailed and precise description of the scope of work of the TA activities financed by the WBIF grant request, list all the deliverables of the activities and summarise their contents; • Specify standards, norms, regulations and guidelines applicable to the activities financed by the grant request. Include the requirements of national laws, the EU, and Financial Institutions. Briefly describe the differences between the national standards, legal provisions and the EU/IFIs rules. • Define the required surveys with a cost estimate for the incidental budget; • Present the core team, matching required expertise with the activities financed by the grant and, in case of a fee-based TA contract, the indicative number of working days for carrying out the activities; • Define the reporting procedures and requirements, including the review and approval process, especially regarding the national requirements. • Elaborate on the PPP option analysis, provide cornerstones, opportunities and limitations of a potential PPP approach.

		<i>[This section will be included in the ToR for the TA assignment; please ensure the information provided is exhaustive and complete. Changes/amendments to the scope of work presented in this section can be made without the need for an Operational Board opinion, provided these are within the boundaries of the scope of work as set out in subsection 28.1.]</i>
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29	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 calculating 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 Beneficiary's macroeconomic situation, the Project's economic and financial viability, the WBIF grant's additionality, the envisaged impacts, affordability concerns, and the impact on tariffs (e.g. for revenue-generating projects financed by user charges).</i> <i>[This section will be relevant for the determination if, according to Annex V (now called Annex IV in the current version) of the Vademecum, approved by the WBIF Steering Committee by written procedure WBIFWP: 010_27/06/17, a future change in scope will be considered “minor” (and should only be reported by IFIs via the AIR) or “substantial” (requiring an Operational Board opinion, either in a Operational Board meeting or via Written Procedure).]</i> <table border="1"> <thead> <tr> <th>Type of activity/cost categories</th><th>Grant amount requested [€]</th></tr> </thead> <tbody> <tr><td>Pre-feasibility Study</td><td></td></tr> <tr><td>Feasibility Study including Cost-Benefit Analysis</td><td></td></tr> <tr><td>Environmental and Social Impact Assessment Study</td><td></td></tr> <tr><td>Preliminary Design</td><td></td></tr> <tr><td>Detailed Design</td><td></td></tr> <tr><td>Preparation of tender dossiers</td><td></td></tr> <tr><td>Project management assistance (support to PIU)</td><td></td></tr> <tr><td>Contingencies</td><td></td></tr> <tr><td>Other</td><td></td></tr> <tr> <td>Grant without fees</td><td><i>[SUM (1:10) filled in automatically in MIS]</i></td></tr> <tr> <td>Implementation fee</td><td><i>[filled in automatically in MIS]</i></td></tr> <tr> <td>Total WBIF grant amount</td><td><i>[filled in automatically in MIS]</i></td></tr> <tr> <td colspan="2"><i>[Justification of the grant amount]</i></td></tr> </tbody> </table>	Type of activity/cost categories	Grant amount requested [€]	Pre-feasibility Study		Feasibility Study including Cost-Benefit Analysis		Environmental and Social Impact Assessment Study		Preliminary Design		Detailed Design		Preparation of tender dossiers		Project management assistance (support to PIU)		Contingencies		Other		Grant without fees	<i>[SUM (1:10) filled in automatically in MIS]</i>	Implementation fee	<i>[filled in automatically in MIS]</i>	Total WBIF grant amount	<i>[filled in automatically in MIS]</i>	<i>[Justification of the grant amount]</i>	
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30	Additionality of WBIF grant <i>This section addresses the additionality of the WBIF TA grant, i.e., what it will achieve in terms of benefits or positive results beyond what would be achieved without the grant. Grant funding is justified only when significant additionality is shown to the financing itself.</i> <i>Please complete this section in close cooperation with the LFI.</i> <i>For early-stage projects (pre-feasibility study, feasibility study), this section can be kept brief.</i> <i>For advanced stage projects, identify the categories of additionality applicable to the WBIF TA grant. Some types of additionalities are quantifiable, and applicants should make every effort to quantify the grant's additionality wherever possible. Others may not be quantifiable and should be addressed qualitatively. Evidence should be provided to support claims of additionality as far as possible.</i> <i>Include also elements that will lead to additional benefits related to cross-cutting aspects, such as the environment, gender equality and equal opportunities, the needs of people with disabilities, the rights of minorities and vulnerable groups, innovation and best practices, etc.</i> <table border="1" data-bbox="213 667 1449 1691"> <tr> <td data-bbox="213 667 453 779">Economic and financial</td><td data-bbox="453 667 1449 779"><i>What are the economic benefits of the proposed WBIF TA grant? Why is the proposed grant funding necessary for the Project? What are the financial benefits of the WBIF TA grant to the Project? How will this impact the end beneficiaries?</i></td></tr> <tr> <td data-bbox="213 779 453 925">Project scale</td><td data-bbox="453 779 1449 925"><i>How will the WBIF TA grant increase the scale of the Project? 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31	Indicative calendar of the Action <i>This section should be completed in cooperation with the LFI.</i> <i>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. 06/2026. The milestones listed in the table in subsection 31.1 are mandatory. Additional milestones specific to the Action can be added without limitations in MIS.</i> <i>Ensure that the planned activities of the Action are realistically implementable within the foreseen</i>
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	<i>period, logically sequenced, and each activity is designed to be implemented within a suitable period.</i>		
31.1	Indicative calendar of the Action	Expected start date [MM/YYYY]	Expected completion date [MM/YYYY]
	TA grant signature		
	Implementation of TA activities		
31.2	Detailed planning of TA activities		
	Indicative calendar of the Action	Expected start date [MM/YYYY]	Expected completion date [MM/YYYY]
<i>[This section will be included in the ToR for the TA assignment; please ensure the information provided is exhaustive and complete.]</i>			

32	Monitoring The Beneficiary and the IFI will monitor the Action efficiently, overseeing, with appropriate detail and frequency, all relevant implementation elements, including quality, time (progress), and the use of resources (budget, working days of experts, incidental costs). The Beneficiary and the IFI will ensure that throughout the Action, the use of resources is balanced with the progress and quality of the activities and deliverables. Monitoring will be done in line with the requirements in the ToR concerning the organisation set-up, reporting, meetings, and review and approval procedures, as well as all applicable requirements of the EWBIF General Conditions and the IPF conditions of the contract. <i>[Describe the organisational set-up that will be put in place by the beneficiary and LFI to ensure the proper monitoring of the Project. A monitoring and coordination structure should be in place to properly monitor progress in the implementation of the project (e.g. Project Steering Committee). This structure should include all relevant stakeholders, including the beneficiary entity, the Lead IFI, the Delegation/Office of the EU, etc., and should convene regularly at least twice a year, as well as on an ad-hoc basis whenever significant issues arise.]</i>
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33	Visibility The Action shall comply with the mandatory visibility requirements for acknowledging WBIF and EU support. To that end, the implementing partners shall act in accordance with the WBIF Communication and Visibility Guidelines. Implementing partners shall keep the European Commission and the relevant EU Delegation(s)/Office informed, in advance, of the planning and implementation of any specific visibility and communication activities.
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		<i>[The Action must comply with the mandatory visibility requirements for acknowledging WBIF and EU support, as set out in the WBIF Communication and Visibility Guidelines, available at https://wbif.eu/storage/app/media/Library/cv-guidelines-2026-to-2027.pdf</i> <i>Costs related to ensuring WBIF and EU visibility are eligible and should be included in the budget under the relevant activity to which they relate.</i> <i>In line with the WBIF Communication and Visibility Guidelines, implementing partners shall ensure that the European Commission is informed regularly and sufficiently in advance of any planned communication activity directly related to the project, particularly those concerning key implementation milestones.</i> <i>Where requested by the WBIF and/or the EU, recipients of WBIF funding shall support WBIF and EU communication activities, for example, by providing content or facilitating access to the project for campaigns or media actions managed by the WBIF and/or the EU.</i> <i>Further details on the roles and responsibilities of each stakeholder, as well as on the process for coordinating communication activities, are provided in the WBIF Communication and Visibility Guidelines.</i> <i>A checklist designed to help WBIF stakeholders verify compliance with all visibility requirements, in the form of a self-assessment tool, is provided in Annex 3 to these Guidelines.]</i>
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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/Office, co-financier(s), private partner (if applicable), considering any restrictions imposed by banking regulations, confidentiality and compliance issues, etc.</i> <i>The drafters of this section (provision of personal data below) confirm that the below-listed individuals are aware of the European Commission's data protection rules, and have seen and are aware of the applicable privacy statement available at this link (https://ec.europa.eu/dpo-register/detail/DPR-EC-02847.2)</i>				
	Institution	Contact person	Function	Phone	Email
	Lead Financial Institution				
	Beneficiary authority				
	EU Delegation/Office				
	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 for TA 35 applications

Ensure this annex is as complete as possible.

Main requirements:

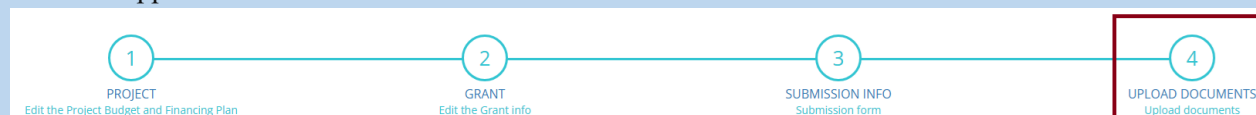
	Yes	No
1. Operations covered by the WBIF benefit one of the following Beneficiaries: Albania, Bosnia and Herzegovina, Kosovo, Montenegro, North Macedonia, and Serbia.		
2. The project belongs to one of the WBIF intervention areas: Sustainable transport Clean energy Environment and climate Digital future Human capital development.		
3. The 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 contribution are, in principle, eligible for financing.		
6. The confirmation letter from the Ministry of Finance and the NIPAC is included.		
7. The project is consistent with the Economic and Investment Plan for the Western Balkans, the Green Agenda for the Western Balkans, the Growth Plan for the Western Balkans, the Reform and Growth Facility, the EU Pre-Accession Strategy, core directives, relevant sector policies and strategies, and national investment plans.		
8. The activities of the project do not duplicate or overlap with other operations.		
9. The Lead Financial Institution supports this application and has been consulted in preparing the application form.		
10. The WBIF contribution, along with its calculation and justification, is clearly explained.		
11. The information provided in each section of the application form is consistent and coherent throughout.		
12. All sections of the application form are filled out with the information requested.		
13. All relevant stakeholders have been consulted when preparing the application form.		
14. The description of the institutional framework demonstrates the beneficiary's capacity to define the investment and implement the project.		
15. The values of the result indicators reflect the Action's expected outputs and outcomes.		
16. The risks associated with the project have been defined, and appropriate mitigation measures have been identified.		
17. A monitoring and coordination structure will be in place to properly monitor progress in the implementation of the Project and Action; this structure will include all relevant stakeholders, including the beneficiary entity, the Lead IFI, the Delegation/Office of the EU, etc., and will convene regularly.		
18. Indicative project and action calendars have been proposed, and the Lead Financial Institution has been consulted in their preparation.		
19. The Lead Financial Institution has been consulted on the project's contribution to climate change mitigation/adaptation and resilience.		

Annex 2: TA Result Framework Template

Please delete this box after filling in the section below.

The Result Framework constitutes the basis for monitoring and reporting on the Action.

This completed Result Framework (e.g. including baselines/targets) must be presented as “Annex 1 – Result Framework” to the application form. It must be uploaded under the heading “Upload documents” to MIS when the application form is submitted:



- In line with OECD/DAC terminology, the term ‘results’ is understood to cover Outputs, Outcomes (Specific Objectives) and Impact(s) (Overall Objective(s)). For technical assistance (TA) applications, the results are limited to Outputs and Outcomes of the Action funded by the TA grant request.
- How to develop the Results chain column:

The Indicative Result Framework should contain relevant Outputs and Outcomes of the activities funded by the TA grant (e.g. pre-feasibility study, feasibility study, ESIA, designs, etc.).

The Outputs and Outcomes depend on the scope of the Action (TA activities funded by the grant request) and must be defined by the applicant.

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 the WBIF 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 limit the number of Outcome(s) to 2-3 at most.
	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 TA activities – under the direct control of the Action.
	Please use the past participle in the formulation (strengthened, increased, improved...).
	Outputs are NOT activities.

- How to draft Indicators:
 - **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 professionals/staff trained’, ‘percentage of’, ‘index’) or qualitative (‘status of’, ‘level of’, ‘extent to which’). Formulation of the indicators must be neutral, i.e. not include elements of the target such as ‘increase’, ‘improvement’, or ‘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 data source 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 for the result chain to be valid. They should be formulated based on the context and risk analyses.

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
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	
	...							

Annex 2: Application form for INV Round 14

IDENTITY OF THE PROJECT

1	Blending facility	WBIF	2	Grant code	<i>This is the code of the WBIF contribution 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 WBIF grant. This section is filled in automatically in MIS.</i>	4	Flagship	<i>[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 18 – Coherence with the EIP, EU policies, and adopted national/sectoral/regional strategies.</i>
5	WBIF intervention area	<i>[select intervention area] 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://development-finance-codelists.oecd.org/Codeslist.aspx.</i>
7	Beneficiary	<i>[select name] 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 contribution. Please ensure it is short (maximum 250 characters) and includes the key elements of the Project, such as the relevant infrastructure 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	<i>[select name] Select the name of the Lead Financial Institution (LFI) from the drop-down list.</i>			
11	Co-financier(s)	<i>[select name] 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	INV ☒ TA ☐ <i>Select the type(s) of WBIF contribution from the available options, i.e.:</i> • <i>Investment (INV): It is mandatory and is checked off by default.</i> • <i>Technical assistance (TA): It must be selected if the WBIF contribution funds TA activities.</i> <i>The types of WBIF contributions are defined as follows:</i> • <i>Investment (INV): amount for co-financing works and supplies.</i>			

		<i>Technical assistance (TA): amount for support and capacity building activities necessary for the implementation of the Project, in particular, preparation of detailed design (if applicable, or has yet to be developed), project management, and supervision of works. Some of these services are financed by loans, usually for more profitable investments.</i> <i>The TA does not include activities related to the technical review, checking, and verification of project designs in accordance with national legislation, as well as other activities specific to urban planning and/or land ownership, e.g., preparation of urban plans, documentation for land expropriation, etc. These costs fall to the beneficiary as part of its due diligence and project management controls.</i>		
13	Total WBIF grant amount (€)	Total amount: [amount] <i>This is the WBIF contribution amount with implementation fees. It is the “Total WBIF grant amount” from section 23.</i>	Total amount excl. fees:	<i>This is the WBIF contribution amount for the cost components “Works and supplies”, “Contingencies” and “Technical assistance” without implementation fees. It is the “Grant amount without fees” from section 23.</i>
			INV amount:	<i>This is the WBIF contribution amount, exclusive of the implementation fee, for the cost components “Works and supplies” and “Contingencies” from section 23.</i>
			INV fee:	<i>This is the implementation fee for the WBIF contribution 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 WBIF contribution 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 WBIF contribution amount for “Technical assistance”. It is the “Implementation fee for the TA component of this application” from section 23.</i>
14	Responsible authority of the Beneficiary	<i>Specify the Beneficiary’s authority (e.g. Ministry of Finance, Ministry of Environment, etc.) and the relevant departments in charge of the Project within that authority (e.g. Department for International Financial Cooperation, Department for Environment and Water, etc.)</i>  <i>Ensure consistency with section 20 – Institutional framework of the Project.</i>		
15	Implementing entity(ies)	<i>Indicate the entity(ies) responsible for the implementation of the Project (e.g. public utility company in cooperation with the municipality, etc.) and specify the nature of the implementing entity, i.e. whether it is public, mixed (please include ownership structure), or private.</i> <i>Note that in section 20 - Institutional framework of the Project - all the entities involved should be presented. In this section, only the entity responsible for implementing the Project should be listed.</i>  <i>Ensure consistency with section 20 – Institutional framework of the Project.</i>		

DESCRIPTION OF THE PROJECT AND ACTION

16	Description of the Project and Action <i>This section is divided into seven subsections. Please include the required information in the relevant subsection.</i> <i>Provide a clear description of the infrastructure project, by component and/or phase if the Project has more than one component and/or phase, and of the activities financed by the WBIF contribution, i.e. the Action. The description should include the Project's finality and its main components. It should be sufficiently robust and detailed to provide a clear outline of the Project's components and/or phases, as well as the Action.</i> <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> <i>(Indicative max 750-1000 words)</i> • Complete this section in cooperation with the LFI. • Present concisely and coherently the information to understand the Project and the Action for which the WBIF contribution is requested. ❗ • Ensure that the main direct and indirect beneficiaries (i.e. those who will benefit from the Project) are identified and described. • Use and document official sources of information to justify key issues/main deficiencies and the demand analysis. • Link identified problems to specific objectives and proposed solution(s). • Avoid using jargon and acronyms. • Include a map of the location of the Project.
16.1	Background and context of the Project <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> <i>Market failure is traditionally defined as a situation in which the distribution of goods and services is inefficient, whereby 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 to handle both positive and negative externalities of free-market economic activities.</i> <i>Public goods are defined by two distinct aspects: non-excludability and non-rivalrous consumption. "Non-excludability" means that people cannot be excluded from the benefits of their use. In contrast, "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 non-toll roads, municipal sewage systems, and energy-efficient public buildings, are examples of public goods, as are 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. In contrast, a chemical plant's continued reliance on outdated technology has a negative spillover effect due to the pollutants it releases into the environment, which could be avoided if the company invested in upgrading its equipment.</i> <i>When making the case for how the proposed action intends to create public goods or manage positive and negative externalities, thereby addressing a market failure or a suboptimal investment situation, bear in mind that the European Commission remains an economic actor managing scarce resources in pursuit of its policy priorities. It is, therefore, important that you carefully qualify and quantify the public goods and externalities that the action intends to create.</i>

	<i>Describe any other relevant socio-economic implications 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.</i> <i>Describe reference projects or programmes in the beneficiary economy/region/sector (e.g. similar projects carried out in the sector), these projects' benchmarks, and the main lessons learnt.</i> <i>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 donors 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.</i> <i>Explain the involvement of the private sector if relevant.</i>
16.2	Needs/demand analysis (current and forecast)
	<i>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 the critical infrastructure deficiencies and needs that the Project (or project component/phase) will address and bring into compliance with EU standards.</i> <i>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. current population connected to the sewerage system, future population connected to the sewerage system 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).</i>
16.3	Narrative of Results Framework
	<i>Provide the narrative supporting the intervention logic identified in the Result Framework in Annex 2. Note that the ambitions set in this section should be consistent with the outcomes and output levels of the Result Framework. The Result Framework for WBIF projects is limited to outputs and outcomes.</i> <i>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, to the top – outcomes) in which cause and effect relationships are identified and are to be achieved at different moments in time.</i> <i>Consider the sequential and temporal path of the intervention logic in this section.</i> <i>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).</i> <i>The description should focus on the intervention logic, not on the activities to be implemented under the Project, which should be described in section 16.5.</i>
16.4	Project map
	<i>Include a map that clearly shows the project area and its context to provide a clear understanding of the locations of the various Project facilities. The map should be easy to read, of high quality, preferably in colour, and have a clear legend (map key).</i>
16.5	Description of the Project
	<i>The description must be structured, concise, clear and focused on key aspects: main characteristics (design specifications) and components and/or phases of the Project (if it has more than one component and/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).</i> <i>If the Project has several phases and/or components, present those already completed and under implementation, as well as subsequent phases and/or components in chronological order.</i> <i>Briefly describe and quantify the beneficiaries of the Project, emphasising vulnerable, disadvantaged, and gender-sensitive groups.</i> <i>For the Project as defined in this section, the Project planning must be provided in section 17 and the Project budget in section 21.</i>

16.6	Description of the Action
Describe the scope of the Action in the two subsections below, i.e. the project activities funded by the WBIF contribution, divided into: • <i>Investment: works and supplies co-financed by the WBIF contribution.</i> • <i>TA (if applicable): technical assistance financed partially or entirely by the WBIF contribution.</i> Describe how the supervision of works will be carried out for the works and supplies co-financed by the WBIF contribution. Please note that the activities of the intervention are not to be considered results, which are instead captured in Annex 2. This section should provide an overview of the activities to be performed using available resources. Ensure consistency between the description of the Action presented in this section and the cost components provided in section 23 – Calculation of the WBIF investment grant.	
16.6.1	Investment component
For the investment component, provide both a quantitative and qualitative description of the works and supplies co-financed by the WBIF contribution: main characteristics (design specifications) and components, expected outcomes, how the components co-financed by the WBIF contribution 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 contribution co-finances the entire Project described in section 16.5, specify that and do not repeat the description of works and supplies in this subsection.	
16.6.2	TA component (as applicable)
If the WBIF contribution is allocated to TA, please provide a detailed description of the scope for each TA activity. Indicate at which stage of the project cycle (e.g. design, procurement, construction, etc.) each TA activity will be undertaken. Additionally, specify all normative provisions and mandatory standards that must be adhered to in the implementation of the TA activities.	
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.	

17	Indicative project status and planning
Describe, for the Project as defined in section 16.5, 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, 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 <u>maturity requirements</u>, specifically: • Only projects that demonstrate that the relevant preparatory work has been completed and is up to date, and for which the signature of the (first) works contract will occur within 24 months of the approval of the WBIF contribution, shall be eligible for WBIF support. • 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 the WBIF contribution's approval. • The ESIA must be completed and approved by the IFIs at the time of application submission.	

- The project's **financing plan** must be in place; the **financing should be confirmed** by co-financiers, the Beneficiary's Ministry of Finance, and the **Lead IFI's project appraisal/loan preparation should be ongoing** at the time of application submission.
- All necessary **approvals or pre-approvals**, as applicable, from beneficiary stakeholders should be obtained by the time the application is submitted, i.e. **EIA approval** (national EIA positive decision), **land acquisition** (siting decision "freezing the land" under the project and preventing it from granting approvals for other developments).

The table below presents the classification criteria for mature and non-mature projects.

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 non-maturity	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	



- 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), and signature of the (first) works contract will occur within 24 months of the approval of the WBIF contribution.
- If, for any reason, the activities financed by the WBIF contribution 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 the 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 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.
Pre-feasibility Study	[insert date]	[insert date]	[select status]	As above
Feasibility Study	[insert date]	[insert date]	[select status]	As above
Conceptual Design	[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 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.
	Preliminary 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.
	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), 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 must be fully acknowledged, and all related issues must be identified, including estimated acquisition costs and the time required for expropriation procedures (if any). It is common and good practice to consider a project mature for co-financing only if the

					land has already been acquired and is available, as the likelihood of delays in the acquisition plan can be significant and, in turn, 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	<i>[insert date]</i>	<i>[insert date]</i>	<i>[select status]</i>	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	<i>[insert date]</i>	<i>[insert date]</i>	<i>[select status]</i>	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 not yet been issued, indicate the estimated completion timeframe.
	Loan(s) negotiation and signing	<i>[insert date]</i>	<i>[insert date]</i>	<i>[select status]</i>	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 for technical assistance for project implementation support	<i>[insert date]</i>	<i>[insert date]</i>	<i>[select status]</i>	Short description of the status.
	Procurement of technical assistance for project implementation support	<i>[insert date]</i>	<i>[insert date]</i>	<i>[select status]</i>	Short description of the status, potential delays (e.g. appeals, retendering), and contract signature.
	Preparation of tender dossier for supervision of works	<i>[insert date]</i>	<i>[insert date]</i>	<i>[select status]</i>	Short description of the status.

	Procurement of technical assistance for supervision of works	<i>[insert date]</i>	<i>[insert date]</i>	<i>[select status]</i>	Short description of the status, potential delays (e.g. appeals, retendering), and contract signature.
	Preparation of tender dossier(s) for works (per phase/component)	<i>[insert date]</i>	<i>[insert date]</i>	<i>[select status]</i>	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)	<i>[insert date]</i>	<i>[insert date]</i>	<i>[select status]</i>	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.
	Signature of the works contract (per phase/component)	<i>[insert date]</i>	<i>[insert date]</i>	<i>[select status]</i>	Provide a brief description of the contract's signature status and any potential delays in the signing process, including their underlying causes and proposed mitigation measures. If more than one works contract is required, please provide separate entries for each contract. For each entry, summarise the works covered, indicate the signature status, and outline any anticipated delays—together with their causes and mitigation measures.
	Construction works	<i>[insert date]</i>	<i>[insert date]</i>	<i>[select status]</i>	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 contribution (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. Indicate whether the completion date accounts for the defect notification period.
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18	Coherence with the EIP, EU policies, and adopted national/sectoral/regional strategies <i>In the subsections below, provide a structured and concise description of how the Project (i) addresses the WBIF blending investment priorities in line with the WBIF Strategic Orientations 2021-2027, the objectives of Economic and Investment Plan for the Western Balkans (EIP), and the Guidelines for the Implementation of the Green Agenda for the Western Balkans; (ii) meets and contributes to the fulfilment of EU policies and core directives, and (iii) is consistent with the adopted national sectoral strategy, relevant national and regional development plans and strategies, in particular those of the sector the Project addresses.</i> <i>(Indicative max 500 words)</i>  • <i>Ensure that the Project addresses the WBIF blending investment priorities and the policy objectives and investment flagships of the EIP.</i> • <i>Ensure that the strategic justification of the Project is reliable and relevant.</i> • <i>Demonstrate the Project's compliance with relevant national legislation, EU acquis and policies and other donors' strategies.</i> • <i>Ensure that the Project considers any special needs and responds to challenges related to any forms of discrimination and environmental impact.</i> • <i>Ensure correlation between the information included in the SSP and the application form (e.g. Project title, total project cost).</i>
18.1	Alignment with the Economic and Investment Plan for the Western Balkans <i>Briefly explain how the Project addresses the WBIF blending investment priorities and intervention areas, policy objectives and investment flagships of the Economic and Investment Plan for the Western Balkans (EIP). The description should consider the WBIF investment priorities in the environment and climate intervention area, as well as the investment flagships identified in the Annex to the EIP.</i>
18.2	Alignment with Green Agenda objectives <i>Describe how the Project is consistent with the Guidelines for the implementation of the Green Agenda for the Western Balkans.</i> <i>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).</i>

	18.3	Coherence with EU policies and core directives
	<i>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 Country/Regional Multi-Annual Indicative Programme, the IPA III Regulation objectives, and other EU interventions in the country/region.</i>	
	18.4	Compliance with adopted national/sectoral strategies
	<i>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.</i> <i>Indicate the Project's position in the SPP and justify the application if the Project is ranked low in the SPP. Project 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.</i> <i>Describe the Project's priority from the point of view of national and regional authorities.</i> <i>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.</i>	
19	Consultations before submission: - NIC - IFIs - EU Delegation(s) - Donors - Regional/international organisations - Other stakeholders	<i>Summarise the timing, nature and outcome of consultations with:</i> <i>National Investment Committee (NIC) or equivalent national structure</i> <i>LFI and co-financiers</i> <i>EU Delegation(s)</i> <i>Geographical unit(s) of DG ENEST</i> <i>Other donors</i> <i>International and regional organisations</i> <i>Other stakeholders, if relevant (e.g. civil society organisations, etc.).</i> <i>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 national budget, (iii) there is a firm commitment of the Ministry of Finance to take up the loan and to implement the Project according to the proposed scope and timetable presented in the application. Indicate whether this letter is submitted with the application.</i> <i>(Indicative max. 200 words)</i>
20	Institutional framework of the Project <i>Beneficiary institutions must have an adequate capacity to define their investment plans and to procure and implement the Project, possibly 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.</i> <i>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.</i>	
	20.1	Description of entities involved
	<i>Describe the entities involved in the implementation of the Project, including:</i> <i>Beneficiary(ies) authority(ies) (e.g. Ministry(ies) and department(s))</i>	

- *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, provide 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 established to implement 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.*
- *Specify whether the Project involves an implementation unit (e.g. a Project Implementation Unit (PIU)) and describe its setup, roles, and responsibilities. The PIU must have adequate capacity to fulfil its obligations. Present the minimum composition and capacities of the PIU team (e.g. project manager, designers, engineers, procurement experts, legal, environmental and social experts) and the skills required to manage the Project effectively (e.g. experience with implementing FIDIC contracts and IFI requirements).*
- *In addition, a monitoring and coordination structure (e.g. Project Steering Committee) should be in place to effectively monitor progress in the implementation of the project. This structure must include all relevant stakeholders, including the beneficiary entity, the Lead IFI, the Delegation/Office of the EU, etc., and should convene regularly, at least twice a year, as well as on an ad-hoc basis whenever significant issues arise.*
- *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 contribution 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.*

21 Project budget and financing plan

Provide, for the Project as defined in section 16.5, a clear and complete project budget (cost breakdown structure) and financing plan (sources of funds and corresponding contributions). Please include the cost components, their descriptions (related activities) and the corresponding amounts in the budget matched against sources of funds and their respective financial contributions in the financing plan. The costs should not include VAT.

The prefilled cost components listed in the application form are indicative; the project's cost composition is left to the applicant's discretion. The budget should provide a detailed indication of the Project's costs and financial resources.

The costs of works and supplies, excluding 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, specifically works and supplies. The budget can also include contingencies, subject to justification and assessment by the relevant donor.

If the Project has more than one component and/or phase, the costs must be presented by component and/or phase (i.e. in individual rows in the table).

The financing plan should contain the 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 at this stage are indicative and may vary from those used during the contracting phase, applicants are expected to make every effort to ensure that these estimates accurately reflect the anticipated financial requirements of the project.

Eligible costs

The categories of costs eligible for WBIF co-financing are those that, with due regard to the eligibility criteria set out in Chapters 1 (General eligibility provisions) and 3 (INV Round 14 eligibility criteria) of these guidelines, are **necessary for implementing the Action funded by the WBIF contribution**. The costs must be reasonable and justified, and comply with the principle of sound financial management, particularly with respect to 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 has yet to be developed), project management support
- Supervision of works
- EU visibility costs
- Contingencies.

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 WBIF contribution from the Joint Fund" section of the 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 contribution. **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 WBIF contributions financed by the European Commission, **the final date of operational implementation** is specified in the relevant Contribution Arrangement, and disbursements are not allowed past this date.

Non-eligible costs

- Expenditure incurred prior to the signature of the relevant Contribution Arrangement.
- 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

	○ Communication costs⁴ ○ Debts and debt service charges ○ Any duties, taxes and charges, including but not limited to value-added tax (VAT), that are recoverable/deductible ○ Fines, financial penalties, and litigation expenses ○ Second-hand equipment ○ Bank charges, cost of guarantees and similar charges ○ 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	Contingencies ^(c)	[as above]	[as above]	[as above]	
8	Other (e.g. project design review/verification by review committee) ^(d)	[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]	[insert amount]	[filled in automatically in MIS]	[indicate the budget in which the Project is included]	

⁴ Exceptionally, within the context of EU External Actions and with prior agreement of the EU, communication activities for specific projects/programmes may be funded as part of the Action, if duly justified for the Action.

		<i>component(s) financed]</i>			
	IFI Loan 1 <i>[insert IFI name]</i>	<i>[as above]</i>	<i>[as above]</i>	<i>[as above]</i>	<i>[indicate if the loan is sovereign or non- sovereign and its status is, e.g., estimated, terms agreed upon, signed]</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>
	WBIF contribution amount requested without fees ^(e) <i>[insert the code of the WBIF contribution]</i>	<i>[as above]</i>	<i>[as above]</i>	<i>[as above]</i>	<i>[current WBIF contribution]</i>
	Other WBIF grants ^(f) <i>[insert grant/contribution code]</i>	<i>[as above]</i>	<i>[as above]</i>	<i>[as above]</i>	<i>[indicate activities financed]</i>
	Other grants ^(f) <i>[insert donor name]</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 ^(f) <i>[insert source name]</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. If the project has more than one component and/or phase, the costs for works and supplies must be broken down by component or phase.

^(c) The need for contingency must be duly justified. The amount should be taken from the technical documentation developed for the Project and should not exceed 10% of the costs of works and supplies. The utilisation of contingency funds during the implementation of the Action needs to be pre-authorised by the European Commission. It may also be used to cover other eligible costs, such as negative interest, in accordance with the General Conditions and, if applicable, bilateral implementation agreements.

^(d) Costs not included under cost components 1-7 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 contribution support.

^(e) It must be identical to the 'Grant amount without fees' (i.e. the WBIF contribution exclusive of implementation fees) from section 23 - Calculation of the WBIF investment grant.

^(f) Other WBIF grants approved for this investment project must be listed as separate entries (i.e. in individual rows) by WBIF 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	<i>Complete this section in cooperation with the LFI and the Ministry of Finance. Describe how the WBIF contribution will assist in complying with debt limits (e.g. as required by the IMF/World Bank Dept</i>
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		Sustainability Framework), if applicable. Indicate the nature of the debt limit (absolute limit or net present value terms) and justify the WBIF contribution amount requested. Indicate the country's proximity to the debt limit (as established by the IMF or other fiscal rules), and the potential impact of the Project's sovereign or sub-sovereign loans/guarantees on the debt sustainability framework at both national and sub-national levels. Indicate the country risk rating (low, moderate, high or debt distress) of public debt distress assigned (based on World Bank/IMF DSA if applicable). If applicable, confirm the IMF agreement to the loan and its inclusion in the country's medium-term debt strategy and annual borrowing plan.
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23

Calculation of the WBIF investment grant

This section concerns the WBIF contribution, i.e. eligible project costs to be funded by the WBIF contribution, and the required implementation fees.

*The **project-specific co-financing rate** applies to eligible costs for works, supplies and contingencies (i.e. the investment costs) for the Project components and/or phases to be co-funded by the WBIF contribution. The investment costs of completed project components and/or phases are not eligible for WBIF co-financing. The co-financing rate and related amount may not exceed the maximum rate specified in Chapter 3.2 of these guidelines. The applicant must justify the project-specific co-financing rate in section 24.*

***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.*

***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.*

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

- 2% (two per cent) 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 contribution.*
- 4% (four per cent) of the total amount of the technical assistance component of the application will be included in the total amount of the WBIF contribution.*

The maximum co-financing rate for the infrastructure investment depends on the results of the Project's Cost-Benefit Analysis, the Project's actual need for public support, and consultations among the European Commission (DG ENEST), the Beneficiary, and financial institutions.



- Include all the cost categories associated with the Action in the calculation of the WBIF contribution.*
- Ensure a clear distinction between the components and/or phases of the Project and those co-financed by the WBIF contribution.*
- Duly budget all the activities financed by the WBIF contribution and do not exceed the maximum co-financing rate.*
- Ensure consistency between the technical description of the Action (subsection 16.6) and the WBIF contribution 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	<i>[SUM (1:3) filled in automatically in MIS]</i>		<i>[SUM (1:3) filled in automatically in MIS]</i>
	(4) Implementation fee for the INV component of this application ^(d)			<i>[amount filled in automatically in MIS]</i>
	(5) Implementation fee for the TA component of this application ^(e)			<i>[amount filled in automatically in MIS]</i>
	TOTAL WBIF GRANT AMOUNT			<i>[SUM(1:5)]</i>

^(a) It may include eligible costs for works (building and construction) and supplies (plant and machinery) from section 21 - Project budget and financing plan.

^(b) It 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.

^(c) It may include eligible costs for technical assistance for project preparation (detailed design if applicable or has yet to be developed) and implementation (supervision of works, project management) from section 21 - Project budget and financing plan.

^(d) 2% of the maximum co-financing amount for works, supplies and contingencies.

^(e) 4% of the maximum co-financing amount for technical assistance.

24	WBIF grant amount justification	Please explain thoroughly how the WBIF contribution was determined, providing the methodology used to reach the requested level of the WBIF contribution and co-financing rate, i.e. a detailed numerical calibration of the WBIF contribution. It is essential to describe the type of activities to be carried out due to the WBIF contribution, listing the cost components and their corresponding amounts for which the WBIF contribution is requested (figures as provided in sections 21 and 23). For works, supplies, and technical assistance, this should include a breakdown of planned activities and corresponding costs, as well as an explanation of why the specific co-financing rate is requested. For contingencies, this should include a description of what is covered, how the requested WBIF contribution amount was determined, and the reasons for covering that specific amount with the WBIF contribution. All the costs considered in the calculation of the WBIF contribution should be duly detailed, eligible and appropriate for the Action. 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 contribution, envisaged impacts, affordability concerns, impact on tariffs (for revenue-generating projects by user charges).  Complete this section in cooperation with the LFI. Provide a detailed numerical calibration of the WBIF contribution. Duly justify the WBIF contribution amount and ensure that the results of the economic and financial analyses from the technical documentation support it.
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25	Additionality of WBIF grant	Complete this section in cooperation with the LFI. This section deals with the additionality of the
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<i>WBIF contribution, understood as what the WBIF contribution will achieve, in terms of benefits or positive results, over and above what would be achieved without it. WBIF grant funding is justified only when significant additionality is demonstrated for the funding itself; this funding is justified only if it leads to investments that are significantly higher, better, or quicker than would be possible without the WBIF contribution.</i> <i>Some types of additionalities are quantifiable, and applicants should make every effort to quantify the additionality of the WBIF contribution wherever possible. Others may not be quantifiable, and those should be addressed qualitatively. Where a qualitative method is chosen, the reasons should be explained. All statements of additionality must be thoroughly explained, and evidence should be provided to support claims of additionality.</i> <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 persons with disabilities, the rights of minorities and/or vulnerable groups whenever possible, innovation and best practices, etc.</i> <i>Identify, among the following categories of additionality, those applicable to the WBIF contribution, and comment accordingly. Address only those categories where additionality is relevant and appropriate.</i>	
Economic and financial	<i>Thoroughly explain the financial additionality of the WBIF contribution. Financial additionality in EU blending follows the OECD definition, whereby a transaction is “financially additional if it is extended to an entity that cannot obtain finance from local or international private capital markets with similar terms or entities without official support, or if it mobilises investment from the private sector that would not have been invested otherwise”. The OECD definition, therefore, includes: i) improved conditions and terms of the financing obtained by the final recipient or ii) an element of additional mobilisation over and above the financing made directly available by the donor.</i> <i>What are the economic benefits of the proposed WBIF contribution funding? Why is the proposed WBIF contribution funding necessary for the operation?</i> <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, and greater service affordability.</i>
Project scale	<i>How will the WBIF contribution 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 WBIF contribution 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 WBIF contribution funding improve the quality of the outcomes expected from the operation? How will the WBIF contribution funding improve the Project's chances of success? How will the WBIF contribution promote higher standards (including social and environmental standards) and more substantial social or global public good returns than would otherwise be possible? Does the WBIF contribution funding contribute to gender equality and equal opportunities, the needs of persons with disabilities, 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 WBIF contribution support? Why is the proposed innovation important?</i>
Sustainability	<i>Does the WBIF contribution funding help support further or parallel activities to ensure that benefits continue beyond the life of the Project? For example, does the WBIF contribution support structural reforms and</i>

		<i>legislative, regulatory, or policy changes? Does the WBIF contribution 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 WBIF contribution. Are there any significant benefits outside the main/primary objectives of the loan operation that the WBIF contribution brings?</i>

26	Leverage ratios <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 contribution type (grants, financial instruments) and by actor (EU, IFI, Beneficiary, private sector).</i> <i>Three standard indicators are used: the EU leverage effect, the Lead Financial Institution leverage ratio, and the private sector finance leverage ratio. The individual elements of the calculation, not just the calculated leverage ratio, should be clearly stated in the application form.</i> <i>For coherent and transparent reporting, only funds that will be used in the investment project phase to which the WBIF contribution 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 to the Project, should normally be excluded.</i> <i>Similarly, additional finance mobilised as an indirect result of the Project (e.g. through the demonstration effect), even if the time lag is short, should not count towards the leverage ratio.</i> <i>Regarding the denominator for all three ratios, the total amount of EU blending 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> Project applications should foresee a minimum EU leverage effect of 2. <table border="1"> <tr> <td data-bbox="212 1227 582 1529"> EU leverage effect </td><td data-bbox="582 1227 1449 1529"> = the amount of reimbursable financing provided to eligible final recipients divided by the amount of the EU contribution including fees, i.e. the ratio between the amount of reimbursable finance (by IFIs or other financiers) against EU contribution (i.e. blending contribution or budgetary guarantee coverage). The numerator of this ratio, therefore, includes only IFI reimbursable financial instruments. EU Leverage effect = Total reimbursable financing to eligible final recipients / Union contribution = $\rightarrow [C + E] / [A + B] \text{ or } E / [A + B]$  </td></tr> <tr> <td data-bbox="212 1529 582 1776"> Lead Financial Institution leverage ratio </td><td data-bbox="582 1529 1449 1776"> = total amount of financing provided by the LFI divided by the amount of the EU contribution including fees. <i>The numerator of this ratio includes IFI reimbursable financial instruments and IFI grants.</i> Lead finance institution leverage ratio = (Total eligible FI financing / Union contribution) = $\rightarrow [C + D] / [A + B]$  </td></tr> <tr> <td data-bbox="212 1776 582 1955"> Private sector finance leverage ratio </td><td data-bbox="582 1776 1449 1955"> = total amount of private sector financing (e.g. non-EU, non-IFI) in the investment project divided by the amount of the EU contribution including fees. <i>The numerator of this ratio typically includes contributions from PFIs (privately owned) and, in some cases, equity from beneficiaries.</i> </td></tr> </table>	EU leverage effect	= the amount of reimbursable financing provided to eligible final recipients divided by the amount of the EU contribution including fees, i.e. the ratio between the amount of reimbursable finance (by IFIs or other financiers) against EU contribution (i.e. blending contribution or budgetary guarantee coverage). The numerator of this ratio, therefore, includes only IFI reimbursable financial instruments. EU Leverage effect = Total reimbursable financing to eligible final recipients / Union contribution = $\rightarrow [C + E] / [A + B] \text{ or } E / [A + B]$ 	Lead Financial Institution leverage ratio	= total amount of financing provided by the LFI divided by the amount of the EU contribution including fees. <i>The numerator of this ratio includes IFI reimbursable financial instruments and IFI grants.</i> Lead finance institution leverage ratio = (Total eligible FI financing / Union contribution) = $\rightarrow [C + D] / [A + B]$ 	Private sector finance leverage ratio	= total amount of private sector financing (e.g. non-EU, non-IFI) in the investment project divided by the amount of the EU contribution including fees. <i>The numerator of this ratio typically includes contributions from PFIs (privately owned) and, in some cases, equity from beneficiaries.</i>
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		Private sector finance leverage ratio = (Private sector financing / Union contribution) = $\frac{E + F}{A + B}$ 
	Multiplier effect	= means the investment by eligible final recipients divided by the amount of the EU contribution.

27	Project sustainability Complete this section in cooperation with the LFI. Describe under which conditions the Project will be sustainable when the WBIF contribution support, including the TA WBIF contribution 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: • <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.								
	<table border="1"> <tr> <td>Economic/financial viability</td><td>Does the Project guarantee an acceptable economic (and financial, as applicable) return? Describe future revenue flows expected from the Project, operation and maintenance costs and their expected sources of finance.</td></tr> <tr> <td>Environmental aspects</td><td>Has the Project considered the environmental implications to ensure that adverse environmental impacts are avoided or mitigated throughout its life? Has a public consultation process taken place?</td></tr> <tr> <td>Social aspects</td><td>Has the Project incorporated mechanisms that guarantee equitable access to and continuous distribution of the Project's benefits? Describe the affordability approach if the Project will generate revenue (e.g., through tariffs, etc.).</td></tr> <tr> <td>Institutional aspects</td><td>Has the Project received the necessary support (both budgetary and institutional) to maintain and operate the facilities over their lifetime?</td></tr> </table>	Economic/financial viability	Does the Project guarantee an acceptable economic (and financial, as applicable) return? Describe future revenue flows expected from the Project, operation and maintenance costs and their expected sources of finance.	Environmental aspects	Has the Project considered the environmental implications to ensure that adverse environmental impacts are avoided or mitigated throughout 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? Describe the affordability approach if the Project will generate revenue (e.g., through tariffs, etc.).	Institutional aspects	Has the Project received the necessary support (both budgetary and institutional) to maintain and operate the facilities over their lifetime?
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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 how they will be mitigated. Assess how seriously the identified risks might influence the Project: high (H), medium (M) or low (L). Keep in mind that: • Risks are factors that might hinder the achievement of the desired outcomes and are out of the promoter's sphere of control. • Refer to impact assessments 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: • Political risks: including but not limited to the gap between legislation and standards of the Beneficiary and the EU, the pace of convergence, policy changes, and administrative changes.
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- **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 contribution requested and expected and unexpected losses or other risks taken.
 - **Social inclusion 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.
 - **Operation risks:** The risk that operation and maintenance 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	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
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		<i>GHG emission reduction and/or climate adaptation, 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 (primary/secondary dimension, reduced emissions /carbon footprint).</i> <i>Describe the climate finance components of the Project (if any) for adaptation and/or mitigation. The Rio Markers methodology should be used to determine whether climate change is the principal objective, one of the objectives (significant), or not an objective of the Project. Please consult the OECD guidelines for identifying the Rio markers⁵. Based on its methodology, the LFI may propose a specific percentage of the project budget as a climate change contribution.</i>			
	Rio Markers	Mitigation		Adaptation	
		Project [M€]	WBIF co-financing	Project [M€]	WBIF co-financing
		RM0 (no objectives)	☐		☐
		RM1 (significant objective)	☐		☐
		RM2 (the principal objective)	☐		☐

30	Indicative calendar of the Action	<i>Summarise (narrative description) critical milestones in the procurement and implementation phases of the Action and procurement procedures, as follows:</i> <i>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.</i> <i>To implement 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:</i> <i>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).</i> <i>TA for supervision of construction works should start in parallel with the works contracts and should be completed at the end of the DNP.</i> <i>In the table below, indicate the dates of specific milestones by specifying the quarter in which each milestone is expected to be achieved (e.g. Q4/2026). The milestones listed in the application form are mandatory. Additional milestones relevant to the Action may be added as separate entries (rows) in the table.</i> <i>Ensure that planned activities are logically sequenced and realistically implementable within the proposed timeframe. Each activity should be scheduled for implementation within an appropriate period. For example:</i>
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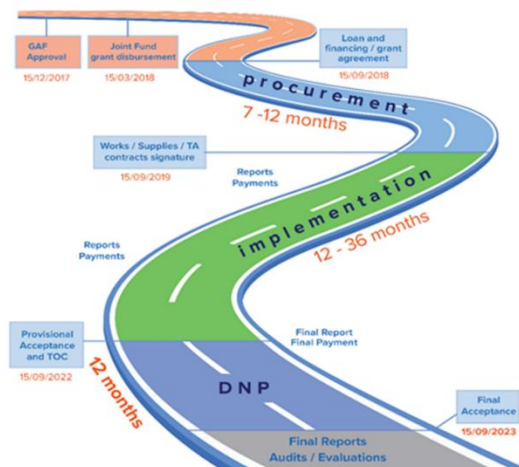
⁵ A list of examples, by sector, is available in the [Handbook on the OECD-DAC Climate Markers](#).

- *TA for project management typically commences 3-6 months before the works contracts and continues throughout the project implementation period, excluding the Defects Notification Period (DNP).*
- *TA for supervision of construction works usually begins concurrently with the works contracts and should be concluded at the end of the DNP.*

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.*
- *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. elections, etc.) should be considered.*
- *To the extent practical, the resource utilisation should be uniform throughout the Action/Project.*
- *The duration of the Action/Project determines the size of the budget (fixed costs).*
- *Critical stages in the development of the investment project should 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.*

The following illustration exemplifies typical timelines underlying the implementation of an investment project.



- *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 following the principle of 'one expertise, one contract'.*
- *Clearly describe the procurement procedures in the narrative text box.*

		• <i>Ensure that the planned activities of the Action are logically sequenced and can be realistically implemented in the foreseen period.</i> • <i>Complete this section in cooperation with the LFI.</i>		
Type of contract	Procurement		Implementation	
	Expected date of publishing tender (Quarter/Year)	Expected date of contract signature (Quarter/Year)	Expected start date (Quarter/Year)	Expected completion date (Quarter/Year)
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	Complete this section in cooperation with LFI. This section must be completed in accordance with the narrative and the result framework provided in Annex 2. Please describe: • The performance and result monitoring arrangements specific to the Project. Indicate the LFI mechanisms for regular and systematic monitoring, review, and evaluation of 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 organisational set-up that will be put in place by the beneficiary and the LFI for monitoring of the Project and Action. A monitoring and coordination structure (e.g. Project Steering Committee) should be in place to properly monitor progress in the implementation of the project ; this structure must include all relevant stakeholders, including the beneficiary entity, the Lead IFI, the Delegation/Office of the EU, etc., and should convene regularly at least twice a year, as well as on an ad-hoc basis whenever significant issues arise.)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. • Whether the environment and social management plan is integrated into the monitoring, reporting and evaluation system. • Practices during the Project’s preparation and implementation phases to ensure effective cooperation with the EU Delegation and the EU Headquarters. 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).
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32	Visibility	<i>Concisely describe how the project will comply with the mandatory visibility requirements for acknowledging WBIF and EU support, as set out in the WBIF Communication and Visibility Guidelines, which are available at https://wbif.eu/storage/app/media/Library/cv-guidelines-2026-to-2027.pdf.</i> <i>Costs related to ensuring WBIF and EU visibility are eligible. They should be included in the budget under the relevant activity to which they relate, namely works and supplies, as indicated in Section 21 above.</i> <i>In line with the WBIF Communication and Visibility Guidelines, implementing partners shall ensure that the European Commission is informed regularly and sufficiently in advance of any planned communication activity directly related to the project, particularly those concerning key implementation milestones.</i> <i>Where requested by the WBIF and/or the EU, recipients of WBIF funding shall support WBIF and EU communication activities, for example, by providing content or facilitating access to the project for campaigns or media actions managed by the WBIF and/or the EU.</i> <i>Further details on the roles and responsibilities of each stakeholder, as well as on the process for coordinating communication activities, are provided in the WBIF Communication and Visibility Guidelines.</i> <i>A checklist designed to help WBIF stakeholders verify compliance with all visibility requirements, in the form of a self-assessment tool, is provided in Annex 3 to these Guidelines.</i>
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33	Issues to be clarified before WBIF contribution approval	<i>Describe all pending issues that must be resolved before the WBIF contribution is approved, including horizontal conditionalities associated with IPA (e.g. national sectoral strategy adoption) and specific commitments for implementing the Project (e.g. land ownership for the Project), and provide the timeline for their resolution.</i>
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34

Contacts

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), considering any restrictions imposed by banking regulations, confidentiality and compliance issues, etc.

The drafters of this section (provision of personal data below) confirm that the below-listed individuals are aware of the European Commission's data protection rules and have seen and are aware of the applicable privacy statement available at this [link \(https://ec.europa.eu/dpo-register/detail/DPR-EC-02847.2\)](https://ec.europa.eu/dpo-register/detail/DPR-EC-02847.2).

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 for INV 14 applications

Ensure this annex is as complete as possible.

<u>Main requirements:</u>		Yes	No
1.	Operations covered by the WBIF benefit one of the following Beneficiaries: Albania, Bosnia and Herzegovina, Kosovo, Montenegro, North Macedonia, and Serbia.		
2.	The project belongs to the WBIF intervention area of Environment and climate.		
3.	The 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 contribution are, in principle, eligible for financing.		
6.	The confirmation letter from the Ministry of Finance and the NIPAC is included.		
7.	The project is consistent with the Economic and Investment Plan for the Western Balkans, the Green Agenda for the Western Balkans, the Growth Plan for the Western Balkans, the Reform and Growth Facility, the EU Pre-Accession Strategy, core directives, relevant sector policies and strategies, and national investment plans.		
8.	The activities of the project do not duplicate or overlap with other operations.		
9.	The Lead Financial Institution supports this application and has been consulted in preparing the application form.		
10.	The WBIF contribution, along with its calculation and justification, is clearly explained.		
11.	The technical and financial status of the project demonstrates that it fulfils the maturity criteria (namely, that the 1 st works contract will be signed at the latest 24 months after the grant approval by the Operational Board).		
12.	The information provided in each section of the application form is consistent and coherent throughout.		
13.	All sections of the application form are filled out with the information requested.		
14.	All relevant stakeholders have been consulted when preparing the application form.		
15.	The description of the institutional framework demonstrates the beneficiary's capacity to define the investment and implement the project.		
16.	The values of the result indicators reflect the project's expected outputs and outcomes.		
17.	The risks associated with the project have been defined, and appropriate mitigation measures have been identified.		
18.	A monitoring and coordination structure will be in place to properly monitor progress in the implementation of the Project and Action; this structure will include all relevant stakeholders, including the beneficiary entity, the Lead IFI, the Delegation/Office of the EU, etc., and will convene regularly.		
19.	Indicative project, action, and procurement calendars have been proposed, and the Lead Financial Institution has been consulted in their preparation.		
20.	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 Outcomes and Outputs per sector of intervention, which can be found in the Excel table **EFSD+ ReMF 2023 - WBIF selection_Ver 2025_corr.xlsx**.

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

- The completed Result Framework must be presented as Annex 2 to the application form. It must be uploaded under the heading “Upload documents” to MIS when the application form is submitted, as illustrated below:

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+ ReMF 2023 - WBIF selection_Ver 2025_corr.xlsx”.

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

The Indicative Result Framework should contain all mandatory and relevant Outcomes and Outputs for each sector of intervention.	
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 ⁶ .
	Please use the past participle in 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 the past participle in the formulation (strengthened, increased, improved...).
	Outputs are NOT activities

- How to draft Indicators:
 - **Please select your indicators from the excel table “EFSD+ ReMF 2023 - WBIF selection_Ver 2025_corr.xlsx”. 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).

⁶ 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 for the result chain to be valid. They should be formulated based on the context and risk analyses.

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
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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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 WBIF CONTRIBUTION

	To be filled by the WBIF Secretariat, specifying WBIF decision on approval, relevant comments on the substance of the WBIF contribution, and conditions on approval.	
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PAYMENT OF THE WBIF CONTRIBUTION 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 WBIF contribution by the EBRD in accordance with Art 5.03 of the General Conditions of the EWBJF.					
		WBIF contribution amount approved by WBIF				Insert the WBIF contribution amount approved by WBIF.
		Start date of activities financed by the WBIF contribution ⁷				
		Final date of operational implementation of the Action [as per Contribution Arrangement]				Insert the completion date of all activities financed by the WBIF contribution 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						
...						

⁷ This date cannot predate the signature of the Contribution Arrangement. Therefore, it may be adapted prior to the signature of the application form.

**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 APPLICATION FORM

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

Annex 3: WBIF communication & visibility compliance checklist (self-assessment)

The checklist is designed to help WBIF stakeholders double-check that they are meeting all visibility requirements. It is not designed as a mandatory reporting tool but as a self-assessment tool.

A. General obligations

- ☐ Visibility requirements for EU-funded projects are met in accordance with the WBIF Communication and Visibility Guidelines (full WBIF logo set).
- ☐ EU contribution to the Action is clearly acknowledged in all communication and visibility outputs.
- ☐ Visibility costs are included in the project budget where required by the WBIF Guidelines.

B. Logos and visual identity

- ☐ The WBIF logo set (EU emblem, funding statement, and WBIF logo) is used in its entirety.
- ☐ The EU emblem is not modified, distorted, recoloured, or separated from the funding statement.
- ☐ The WBIF logo set is at least the same size as partner logos and is prominently positioned.

C. Mandatory branding by output type

Output type	Requirements	Done
Construction board/billboard/display panel	Includes WBIF logo set, key project information (title, beneficiary, donor role).	
	Installed at project start and maintained until six months after completion, at access routes.	
Commemorative plaque (permanent infrastructure)	Includes WBIF logo set.	
	Installed at the most visible location for all permanent structures (e.g. buildings, roads, bridges).	
Event (launches, inaugurations, workshops, site visits)	WBIF Secretariat is informed at least 4 weeks in advance of the event.	
	Branded materials are prepared with the WBIF logo set (at least one of the following): roll-up, backdrop/banner, or lectern/podium branding.	
	EU/WBIF support is referenced in the opening remarks, event agenda, and press materials.	
Press release	Includes WBIF logo set.	
	EU/WBIF support is referenced in the text.	
Publication (reports, factsheets, newsletters)	Includes WBIF logo set.	
	Includes standard EU disclaimer ⁸ .	
Digital asset (webpages, social media, presentations)	Includes WBIF logo set on relevant pages or visuals.	
	EU/WBIF support is clearly stated in accompanying text or captions.	
	Presentations include the WBIF logo set on the title and closing slides.	
Video and audio-visual product	Includes the WBIF logo set in intro and outro.	
	Includes standard EU disclaimer ⁸	

⁸ The standard EU disclaimer is used verbatim: “This publication/video/website was co-funded by the European Union. Its contents are the sole responsibility of [name of implementing partner] and do not necessarily reflect the views of the European Union.”

Annex 4: Screening and assessment grid for TA Round 35

Disclaimer: The screening and assessment grid shown below is for informational purposes only and may be subject to amendments and updates.

Phase 1 sections are marked in **green underlay**; Phase 2 sections are marked in **blue underlay** / ToR relevant sections in both Phases 1 and 2 are **marked in red**.

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(ies)	<i>[This section is filled in automatically in MIS.]</i>			
8	Project name	<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 name	<i>[This section is filled in automatically in MIS.]</i>			
Summary of Recommendation Screening – Phase 1 <i>[to be filled by all screeners/assessors]</i>		<i>[Select Yes or No] for advancing the application into Phase 2</i>		Yes ☐	No ☐
		<i>[If yes, please list the conditions for advancing the application into Phase 2]</i>			
Summary of Recommendation Assessment – Phase 2 <i>[to be filled by all screeners/assessors]</i>		Recommendation of submission to the OB <i>[Select Yes or No]</i>		Yes ☐	No ☐
		Conditionality for the approval of the Project		<i>[Please list the conditions that should be met before submitting the project to the WBIF Operational Board.]</i>	
General Comments Screening – Phase 1 <i>[Please assess the aspects pertinent to your role.]</i>		<i>[Please list the main conclusions, covering the key aspects of the application:</i> <i>The information presented for Phase 1 must be relevant, brief, clear and concise, and should allow a good understanding of the Project and the Action foreseen to be financed from the Grant.</i> <i>The Project status must be clear, and the Project must be mature for the action foreseen to be financed from the Grant.</i> <i>There should be commitment from the IFI; the status of the loan must be clear.</i> <i>The application must be coherent with WBIF investment priorities, the Economic and Investment Plan for the Western Balkans, the Growth Plan for the Western Balkans, the Reform and Growth Facility, and other relevant EU policies/principles.</i> <i>The Project budget and Grant calculation must be clear and detailed.</i> <i>Overall conclusion and outstanding issues, i.e. clarifications, required corrections and improvements to the information presented for Phase 1.]</i>			

General Comments – Screening Phase 2 <i>[Please assess the aspects pertinent to your role.]</i>	<i>[Please list the main conclusions, covering the key aspects of the application:</i> <i>• The screening comments for the information presented during Phase 1 must have been properly addressed.</i> <i>• The information presented for Phase 2 must be relevant, brief, clear and concise, and should allow a good understanding of the Project and the Action foreseen to be financed from the Grant.</i> <i>• The Project budget and Grant calculation must be clear and detailed.</i> <i>• The institutional framework must be appropriate for the implementation of the Project.</i> <i>• Project sustainability, results and risks should be properly defined.</i> <i>• Overall conclusion and outstanding issues, i.e. required clarifications, corrections and improvements to the information presented for Phase 1 and Phase 2.]</i>
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Part 2

Section in the application form		Screening / Assessment Organisation					
		DG ENEST (incl. geographical teams)	EUD	Line DGs	International / regional organisations	Lead IFI	IFICO IPF
		<i>[Please provide detailed comments, particularly where any aspects of the application form are unclear or have not been adequately addressed.]</i>					
1 – 18	Identity of the Project (ToR inputs: sections 2, 7, 10, 11, 14, 16, 17, 18) - 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?	☐ Yes ☐ No ☐ Partially <i>[comments]</i> <i>[These sections are optional for Line DGs and international/regional organisations.]</i>					
19	Description of the Project (ToR input) - Is all the information required in the subsections (19.1, 19.2, 19.3, 19.4 and 19.5) concisely and coherently presented? - Is the description focused on the Project, not the Action for which WBIF grant funding is requested? (Information on the Action must be provided in section 28). - Are all main (direct and indirect) beneficiaries identified and described (i.e. those who will benefit from the Project's implementation)? - Have official sources of information	☐ Yes ☐ No ☐ Partially <i>[comments]</i>					

Section in the application form		Screening / Assessment Organisation					
		DG ENEST (incl. geographical teams)	EUD	Line DGs	International / regional organisations	Lead IFI	IFICO IPF
		<i>[Please provide detailed comments, particularly where any aspects of the application form are unclear or have not been adequately addressed.]</i>					
	been used and quoted to justify critical problems/primary deficiencies? (see subsection 19.5).						
19.1	Background and context of the Project (ToR input)	☐ Yes ☐ No ☐ Partially					
	- Is the description concise and clear to allow a good understanding of the context of the Project? - Is there a clear ownership/support of the Project from national/regional authorities? - 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?	[comments]					
19.2	Needs/demand analysis (ToR input)	☐ Yes ☐ No ☐ Partially					
	- Is the need to carry out the Project well defined and justified? - What evidence is there of real demand for the Project? - Are the objectives specific enough, and do they cover the needs to be satisfied/fulfilled? - Have the beneficiaries of the Project been properly identified, described and quantified? - Has a summary of the demand analysis, including the predicted demand growth rate, in line with the results of the Cost-Benefit Analysis (if available), been provided? - To what extent is the Project expected to provide a significant and sustainable contribution to solving the targeted problem? Is the issue focused enough?	[comments]					
19.3	Project map (ToR input)	☐ Yes ☐ No ☐ Partially					

Section in the application form		Screening / Assessment Organisation					
		DG ENEST (incl. geographical teams)	EUD	Line DGs	International / regional organisations	Lead IFI	IFICO IPF
		<i>[Please provide detailed comments, particularly where any aspects of the application form are unclear or have not been adequately addressed.]</i>					
	- Has a map been included that clearly shows the project area and its context to allow an understanding of the location of the various facilities of the Project? - Is the map in English, easy to read, of high-quality (preferably in colour), and has a clear caption?	[comments]					
19.4	Description of the Project (ToR input) - Is the description structured, concise and focused on crucial aspects? - In case the Project has several phases or components, have the phases/components already been completed or are under implementation, and the subsequent phases/components have been chronologically explained? - Is the requested support appropriate at this stage, and can the sequencing be justified at the time of this application? - Are the location, main technical parameters, dimensions and capacity of the foreseen infrastructure defined?	☐ Yes ☐ No ☐ Partially [comments]					
19.5	Reference documents (ToR input) - Has a list of all documents used in drafting section 19 (e.g. studies, statistics, strategies, action plan, etc.) been included? - Have the documents' title, author, issue date, and URL if available online been specified?	☐ Yes ☐ No ☐ Partially [comments]					
20	Indicative project status and	☐ Yes ☐ No ☐ Partially					

Section in the application form		Screening / Assessment Organisation					
		DG ENEST (incl. geographical teams)	EUD	Line DGs	International / regional organisations	Lead IFI	IFICO IPF
		<i>[Please provide detailed comments, particularly where any aspects of the application form are unclear or have not been adequately addressed.]</i>					
	planning - 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?	[comments]					
21	Coherence with the EIP, Growth Plan/RGF, EU policies, and adopted national/sectoral/regional strategies (ToR input) - 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 Growth Plan for the Western Balkans and the Reform and Growth Facility, and EU policies/priorities? - 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?	☐ Yes ☐ No ☐ Partially [comments]					
21.1	Alignment with the Economic and	☐ Yes ☐ No ☐ Partially					

Section in the application form		Screening / Assessment Organisation					
		DG ENEST (incl. geographical teams)	EUD	Line DGs	International / regional organisations	Lead IFI	IFICO IPF
		<i>[Please provide detailed comments, particularly where any aspects of the application form are unclear or have not been adequately addressed.]</i>					
	Investment Plan for the Western Balkans (ToR input) Is it explained how the Project addresses the policy objectives and investment flagships of the Economic and Investment Plan for the Western Balkans and the compliance with the WBIF intervention areas, to justify the WBIF TA support?	[comments]					
21.2	Alignment with the Growth Plan and the Reform and Growth Facility for the Western Balkans (ToR input) - Is the Project included in the indicative list of priority investments under the RGF? - In case the Project is not included in the indicative list of priority investments under the RGF, has a justification for how the Project addresses the Growth Plan and the Reform and Growth Facility for the Western Balkans been provided? - In case the RGF does not cover the Project, has the eligibility of the Project under the WBIF intervention areas been demonstrated?	☐ Yes ☐ No ☐ Partially [comments]					
21.3	Alignment with Green Agenda objectives (ToR input) - Have the Green Agenda pillars, with which the Project is aligned, been indicated? - Has a brief justification on how the Project addresses the applicable Green Agenda pillar(s) been provided? - In case the Project is not aligned with any Green Agenda pillars, has a brief justification for WBIF support been included?	☐ Yes ☐ No ☐ Partially [comments]					
21.4	Compliance with adopted	☐ Yes ☐ No ☐ Partially					

Section in the application form		Screening / Assessment Organisation					
		DG ENEST (incl. geographical teams)	EUD	Line DGs	International / regional organisations	Lead IFI	IFICO IPF
		<i>[Please provide detailed comments, particularly where any aspects of the application form are unclear or have not been adequately addressed.]</i>					
	national/sectoral/regional strategies (ToR input) • Have the adopted national/sectoral/regional strategies to which the Project is compliant been listed? • Has the Project's position in the Single Project Pipeline (SPP) been indicated? • Has the coordination and complementarity with other related projects financed by WBIF, national IPA, or other donors/ financiers been presented? • Has the Project's priority from the point of view of national and regional institutions (e.g., the Transport Community, the Energy Community, and similar bodies) been indicated?	[comments]					
22	Consultations before submission • 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?	☐ Yes ☐ No ☐ Partially [comments] <i>[This section is optional for Line DGs.]</i>					
23	Institutional framework of the Project						
23.1	Description of entities involved • Has the list of entities involved in the implementation of the Project been included in the section? The Beneficiary(ies) authority(ies) (responsible Ministry(ies) and specific department(s)) should be nominated.	☐ Yes ☐ No ☐ Partially [comments] <i>[This section is optional for Line DGs.]</i>					

Section in the application form		Screening / Assessment Organisation					
		DG ENEST (incl. geographical teams)	EUD	Line DGs	International / regional organisations	Lead IFI	IFICO IPF
		<i>[Please provide detailed comments, particularly where any aspects of the application form are unclear or have not been adequately addressed.]</i>					
	- Has the beneficiary that is foreseen to obtain the construction permit(s) for the Project been nominated? - Has the implementing agency (or equivalent) been nominated? - Has the Project Management Unit (PMU)/Project Implementation Unit (PIU) or equivalent been nominated? - In case of involvement of a privately-owned company, has the contractual structure (e.g. concession, private-public partnerships) been defined and explained?						
23.2	Organisational set-up (ToR input) - 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 and procedures clear, transparent and fair? - Are the management structures appropriate to the Project's size, duration and needs? - Are the roles of the institutions involved in the Project clearly defined? - Are the institutional aspects of the Project's implementation duly described? - Has a chart illustrating the institutional framework of the Project been included?	☐ Yes ☐ No ☐ Partially <i>[comments]</i> <i>[This section is optional for Line DGs.]</i>					
24	Project budget and financing plan - Are the indicative budget and the financing plan sufficiently detailed? - Are the costs included in the budget realistic and acceptable? Are any of	☐ Yes ☐ No ☐ Partially <i>[comments]</i>					

Section in the application form		Screening / Assessment Organisation					
		DG ENEST (incl. geographical teams)	EUD	Line DGs	International / regional organisations	Lead IFI	IFICO IPF
		<i>[Please provide detailed comments, particularly where any aspects of the application form are unclear or have not been adequately addressed.]</i>					
	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?	<i>[These sections are optional for Line DGs and international/regional organisations.]</i>					
25	Project sustainability - 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 continuously?	☐ Yes ☐ No ☐ Partially <i>[comments]</i>					
26	Risk assessment - 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.	☐ Yes ☐ No ☐ Partially <i>[comments]</i>					
27	Addressing climate mitigation and adaptation: - Is the Project's contribution to climate change mitigation/adaptation clearly demonstrated? - Was the LFI involved in allocating the Rio Markers?	☐ Yes ☐ No ☐ Partially <i>[comments]</i> <i>[This section is optional for Line DGs and international/regional organisations.]</i>					
28	Scope of work and results for TA grant activities (the Action):						
28.1	Summary of the scope of work and	☐ Yes ☐ No ☐ Partially					

Section in the application form		Screening / Assessment Organisation					
		DG ENEST (incl. geographical teams)	EUD	Line DGs	International / regional organisations	Lead IFI	IFICO IPF
		<i>[Please provide detailed comments, particularly where any aspects of the application form are unclear or have not been adequately addressed.]</i>					
	results for TA grant activities (the Action) • Is the Action properly justified and fulfilling the eligibility criteria? • Is the relevant information presented briefly and clearly, and does it allow a good understanding of the Action at the first reading? • Has the scope of work of the TA activities foreseen to be financed by the WBIF grant been precisely defined? • Are the deliverables of the Action, their purpose, and a summary of their content presented? • Are all activities foreseen to be financed by the WBIF grant consistently and adequately budgeted and justified in section 29?	[comments]					
28.2	Detailed scope of work and results for TA grant activities (the Action) (ToR input) • Are the objective, purpose and expected results of the TA activities precisely described? • Have the deliverables, to be developed by the Action, been clearly defined, and have the summaries of their content been presented? • Are the critical risks associated with the implementation of the Action clearly described and the appropriate mitigation measures detailed? • Are the standards, norms, regulations and guidelines applicable to the activities presented in detail? • Are the requirements of the national laws, the EU and financial Institutions presented for all deliverables?	☐ Yes ☐ No ☐ Partially [comments]					

Section in the application form		Screening / Assessment Organisation					
		DG ENEST (incl. geographical teams)	EUD	Line DGs	International / regional organisations	Lead IFI	IFICO IPF
		<i>[Please provide detailed comments, particularly where any aspects of the application form are unclear or have not been adequately addressed.]</i>					
	• Is there a description of the differences between the national standards, legal provisions and the EU/IFIs requirements and how these will be addressed? • Are the required surveys clearly described, and the corresponding cost estimate accurately defined? • Are the reporting procedures and requirements presented, together with the review and approval process, especially regarding the national requirements? • Have the key experts and the required qualifications been presented, and are the indicative number of working days specified for the experts? • Are the costs of activities foreseen to be financed by the WBIF grant clearly justified and consistently budgeted in section 29, and in correlation with subsection 28.1? • Has a PPP option analysis been elaborated, and have the associated risks been analysed? • Have the main cornerstones, opportunities and limitations of a potential PPP approach been detailed? • If a PPP option analysis will/has not been elaborated, has an adequate justification been provided?						
29	WBIF grant amount calculation and justification • Is the WBIF grant amount accurately defined? • Have the activities and their corresponding amounts been listed in coherence with section 28? • Is detailed information provided on the calculation of the WBIF grant	☐ Yes ☐ No ☐ Partially <i>[comments]</i> <i>[This section is optional for Line DGs and international/regional organisations.]</i>					

Section in the application form		Screening / Assessment Organisation					
		DG ENEST (incl. geographical teams)	EUD	Line DGs	International / regional organisations	Lead IFI	IFICO IPF
		<i>[Please provide detailed comments, particularly where any aspects of the application form are unclear or have not been adequately addressed.]</i>					
	(previous technical studies, standards of costs, similar projects, market costs, assumptions made from good practices in the sector) to demonstrate that the costs are realistic and justified?						
30	Additionality of the WBIF grant • 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? • Is it explained why the proposed WBIF grant funding is necessary for the Project? • Could the Project go ahead without the WBIF grant? • Is the positive impact of the WBIF grant 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 & non-discrimination, is the justification reasonable and convincing?	☐ Yes ☐ No ☐ Partially <i>[comments]</i> <i>[This section is optional for international/regional organisations.]</i>					
31	Indicative calendar of the Action						
31.1	Indicative calendar of the Action • Are the planned activities associated with the Action realistically implementable within the foreseen period? • Are the main activities presented in their logical time sequence?	☐ Yes ☐ No ☐ Partially <i>[comments]</i> <i>[This section is optional for international/regional organisations.]</i>					
31.2	Detailed planning of TA activities	☐ Yes ☐ No ☐ Partially					

Section in the application form		Screening / Assessment Organisation					
		DG ENEST (incl. geographical teams)	EUD	Line DGs	International / regional organisations	Lead IFI	IFICO IPF
		<i>[Please provide detailed comments, particularly where any aspects of the application form are unclear or have not been adequately addressed.]</i>					
	(ToR input) - Are the activities sufficiently detailed to reflect the foreseen implementation of the Action? - Is the duration of the activities adapted to the complexity of the operations to be developed? - Is the sequencing of the activities realistic and logical? - Are the durations related to obtaining the administrative authorisations, the checking and approval of the technical documents included in the detailed planning?	<i>[comments]</i> <i>[This section is optional for international/regional organisations.]</i>					
32	Monitoring - Is the monitoring clearly described and sufficient? - Will a monitoring and coordination structure be in place to properly monitor progress in the implementation of the Project and Action; does this structure include all relevant stakeholders (including the beneficiary entity, the lead IFI, the Delegation/Office of the EU, etc.) and will it convene regularly?	☐ Yes ☐ No ☐ Partially <i>[comments]</i> <i>[This section is optional for Line DGs and international/regional organisations.]</i>					
33	Visibility Do the visibility measures comply with the EU requirements, and do they provide sufficient and clear visibility?	☐ Yes ☐ No ☐ Partially <i>[comments]</i> <i>[This section is optional for Line DGs and international/regional organisations.]</i>					
Annex 1	Key requirements checklist Is the information in this annex consistent with that provided in the application form?	☐ Yes ☐ No ☐ Partially <i>[comments]</i>					
Annex 2	Result framework - Are the indicators sufficiently reflecting the Action's expected outputs and intended outcomes? - Are the expected results in line with the objectives of the Action?	☐ Yes ☐ No ☐ Partially <i>[comments]</i>					

Section in the application form		Screening / Assessment Organisation					
		DG ENEST (incl. geographical teams)	EUD	Line DGs	International / regional organisations	Lead IFI	IFICO IPF
		<i>[Please provide detailed comments, particularly where any aspects of the application form are unclear or have not been adequately addressed.]</i>					
	• Are the outputs and outcomes clearly defined, realistic (achievable) and quantified? • Are the indicators defined accurately (description, measurement, baseline, and target value)?						

Screening conclusion
<i>DG ENEST Programme Managers complete it based on comments provided by screening organisations, including clarifications, corrections, and/or improvements to the application form that need to be addressed during the assessment.</i>

Review and acceptance by the European Commission of changes made to the application form during the assessment
<i>European Commission's review and acceptance of changes made to the application form against the screening conclusion. DG ENEST Programme Managers fill it in based on the application form revised during the assessment and the LFI's assessment of the application.</i>

Annex 5: Screening and assessment grid for INV Round 14

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 ☐	No ☐
		Conditionality for the approval of the project	<i>[Please list the conditions that should be met before submitting the project to the WBIF Operational Board.]</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> • <i>Relevant information is clear and concise and allows a good understanding of the project at first reading of the application.</i> • <i>Project status/maturity,</i> • <i>IFI commitment/agreement, including the status of the loan.</i> • <i>Coherence with WBIF investment priorities, the Economic and Investment Plan for the Western Balkans, and other EU policies/principles.</i> • <i>Budgetary issues, especially related to the calculation of the WBIF contribution.</i> • <i>Institutional aspects.</i> • <i>Other issues, such as sustainability, results indicators, and risks associated with the project.</i> • <i>Overall conclusion and outstanding issues, i.e. clarifications, corrections and improvements to the application form.]</i>			

Part 2

Section in the application form		Screening / Assessment Organisation					
		DG ENEST (incl. geographical teams)	EUD	Line DGs	International / regional organisations	Lead IFI	IFICO IPF
		<i>[Please provide detailed comments, particularly where any aspects of the application form are unclear or have not been adequately addressed.]</i>					
1 – 15	Identity of the project:	☐ Yes ☐ No ☐ Partially					
	- Is the information provided in each section consistent and coherent with the other sections of the application form? - Are all sections completed with the required information?	<i>[comments]</i> <i>[These sections are optional for Line DGs and international/regional organisations.]</i>					
16	Description of the Project and Action:	☐ Yes ☐ No ☐ Partially					
	- 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 synergy with existing complementary operations? - Are other relevant socio-economic implications, human rights implications, and	<i>[comments]</i>					

Section in the application form		Screening / Assessment Organisation					
		DG ENEST (incl. geographical teams)	EUD	Line DGs	International / regional organisations	Lead IFI	IFICO IPF
		<i>[Please provide detailed comments, particularly where any aspects of the application form are unclear or have not been adequately addressed.]</i>					
	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?						
17	Indicative project status and planning: - Does the technical and financial status of the Project fulfil the <u>maturity requirements</u> (namely the signature of the (first) works contract is planned to occur within 24 months of the approval of the WBIF contribution? - Are the urgency and the maturity of the WBIF contribution consistent with the calendar of the Project? - How fast will the Project be implemented? Will implementation be split into several stages/phases?	☐ Yes ☐ No ☐ Partially <i>[comments]</i>					
18	Coherence with the EIP, EU policies, adopted national/sectoral/regional strategies: - 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, and EU policies? - Is the Project coherent with the IPA III key priorities?	☐ Yes ☐ No ☐ Partially <i>[comments]</i>					

Section in the application form		Screening / Assessment Organisation					
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		<i>[Please provide detailed comments, particularly where any aspects of the application form are unclear or have not been adequately addressed.]</i>					
	- Is the Project compliant with the main national/regional policies in the concerned sector or thematic area? - 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? - Is the project proposal prioritised and identified in the “Single (National) Project Pipeline” compiled within the remit of a National Investment Committee (NIC), or equivalent national structure? - 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?						
19	Consultations before submission: - How were the LFI and EU Delegation involved in project preparation? - What consultations were conducted with national	☐ Yes ☐ No ☐ Partially					
		<i>[comments]</i> <i>[This section is optional for Line DGs.]</i>					

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		[Please provide detailed comments, particularly where any aspects of the application form are unclear or have not been adequately addressed.]					
	authorities (NIC or similar structure), international/ regional organisations and other stakeholders? Have the confirmation letters from the Ministry of Finance and the NIPAC been provided?						
20	Institutional framework of the Project: - 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?	☐ Yes ☐ No ☐ Partially [comments] [This section is optional for Line DGs.]					
21	Project budget and financing plan: - 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?	☐ Yes ☐ No ☐ Partially [comments] [This section is optional for Line DGs.]					

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		[Please provide detailed comments, particularly where any aspects of the application form are unclear or have not been adequately addressed.]					
	- Is the financing plan well described? Are all the sources of funds identified? - Is it specified how each source of funds contributes (grants, loans, etc.)?						
22	Fiscal space and debt sustainability - 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?	☐ Yes ☐ No ☐ Partially [This section is optional for Line DGs and international/regional organisations.]					
23	Calculation of the WBIF investment grant - Is the WBIF contribution accurately defined? - Are the costs realistic and acceptable? - Is the co-financing rate applied correctly? - Is the information consistent with sections 21 and 24?	☐ Yes ☐ No ☐ Partially [comments] [This section is optional for Line DGs and international/regional organisations.]					
24	WBIF grant amount justification: Is the WBIF contribution sufficiently substantiated and justified?	☐ Yes ☐ No ☐ Partially [comments] [This section is optional for Line DGs and international/regional organisations.]					

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	- For technical assistance, are the advisory services cost-effective and do not duplicate support from other sources? - For investment co-financing, is there a clear explanation of the project-specific co-financing rate applied? - Is the justification consistent with section 23?						
25	Additionality of the WBIF grant - Are the expected impact and results of the Project and, more specifically, of the WBIF contribution, clearly defined for the types of additionalities identified in the application form? - Why is the proposed WBIF contribution necessary for the Project? - Could the Project go ahead without the WBIF contribution? - 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 contribution is transferred to the final (end) beneficiaries? Are the benefits for end-beneficiaries clearly explained (e.g. lower	☐ Yes ☐ No ☐ Partially					
		<i>[comments]</i> <i>[This section is optional for international/regional organisations.]</i>					

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	overall cost of financing the Project, etc.)?						
26	Leverage ratios - What are the proposed financial leverages? - Is the required minimum EU leverage effect of 2 fulfilled? - 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?	☐ Yes ☐ No ☐ Partially <i>[comments]</i> <i>[This section is optional for EU Delegations, Line DGs and international/regional organisations.]</i>					
27	Project sustainability - According to the application, will the Project be sustainable when the WBIF contribution 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 considered 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 continuously?	☐ Yes ☐ No ☐ Partially <i>[comments]</i>					
28	Risk assessment Are the mitigation measures for the identified risks sufficient?	☐ Yes ☐ No ☐ Partially <i>[comments]</i>					

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		<i>[Please provide detailed comments, particularly where any aspects of the application form are unclear or have not been adequately addressed.]</i>					
	Are there additional risks which are not identified in the application? Please enumerate.						
29	Addressing climate mitigation and adaptation: - 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?	☐ Yes ☐ No ☐ Partially <i>[This section is optional for EU Delegations and international/regional organisations.]</i>					
30	Indicative calendar of the Action: - Are the procurement procedures to be used for the Project clear in the application? - Do they allow completing the Project within the proposed time and resources? - Are these procedures accepted as 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?	☐ Yes ☐ No ☐ Partially <i>[comments]</i>					
31	Monitoring, reporting and evaluation - Is the monitoring, reporting and evaluation clearly described and sufficient? - Will a monitoring and coordination structure be in place to properly monitor progress in the implementation of the Project	☐ Yes ☐ No ☐ Partially <i>[comments]</i> <i>[This section is optional for Line DGs and international /regional organisations.]</i>					

Section in the application form		Screening / Assessment Organisation					
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		[Please provide detailed comments, particularly where any aspects of the application form are unclear or have not been adequately addressed.]					
	and Action; does this structure include all relevant stakeholders (including the beneficiary entity, the lead IFI, the Delegation/Office of the EU, etc.) and will it convene regularly?						
32	Visibility • Do the visibility activities comply with the EU requirements, and do they provide sufficient and clear visibility?	☐ Yes ☐ No ☐ Partially [comments] [This section is optional for Line DGs and international/regional organisations.]					
33	Issues to be clarified before WBIF grant approval • Are the issues (if any) clear? Is a timeline for their resolution indicated?	☐ Yes ☐ No ☐ Partially 					
Annex 1	Key requirements checklist • Is the information in this annex consistent with that provided in the application form?	☐ Yes ☐ No ☐ Partially [comments]					
Annex 2	Result framework • 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?	☐ Yes ☐ No ☐ Partially [comments]					

Screening conclusion
<i>DG ENEST Programme Managers complete it based on comments provided by screening organisations, including clarifications, corrections, and/or improvements to the application form that need to be addressed during the assessment.</i>

Review and acceptance by the European Commission of changes made to the application form during the assessment
<i>European Commission's review and acceptance of changes made to the application form against the screening conclusion. DG ENEST Programme Managers fill it in based on the application form revised during the assessment and the LFI's assessment of the application.</i>

Glossary

Action means a part of a project or a programme in relation to which an applicant applies for financing of a WBIF contribution for that action.

Application form is the prescribed document that applicants must complete to apply for a WBIF contribution to a project or programme.

Economic and Investment Plan for the Western Balkans (EIP) is a comprehensive plan adopted by the European Commission in 2020 that aims to spur the region's long-term economic recovery, support a green and digital transition, and foster regional integration and convergence with the European Union.

Growth Plan for the Western Balkans, adopted by the European Commission on November 8, 2023, aims to accelerate the region's socio-economic convergence with the EU. The plan is based on four pillars: enhancing economic integration with the EU's single market, boosting economic integration within the Western Balkans through the Common Regional Market, accelerating fundamental reforms, and increasing financial assistance to support these reforms through a new financing instrument, the **Reform and Growth Facility**.

Guidelines for the Implementation of the Green Agenda for the Western Balkans are guidelines presented by the European Commission in parallel with the EIP to support the region and were adopted at the Western Balkans Summit in Sofia in November 2020. It foresees actions around five pillars: (i) climate action, including decarbonisation, energy and mobility, (ii) circular economy, addressing in particular waste, recycling, sustainable production and efficient use of resources, (iii) biodiversity, aiming to protect and restore the natural wealth of the region, (iv) fighting air, water and soil pollution, and (v) sustainable food systems and rural areas.

Lead Financial Institution (LFI) means each WBIF Partner Financial Organisation approved as a "Lead Financial Institution" for an Action by the Operational Board, and thus eligible to implement Actions.

MIS refers to the management information system administered by the WBIF Secretariat, which serves as the platform for submitting application forms in response to WBIF calls for proposals.

National IPA Coordinator (NIPAC) represents the Beneficiaries in WBIF and is the main counterpart of the European Commission for the overall programming coordination, monitoring of implementation, evaluation and reporting of IPA assistance, including the coordination within the IPA beneficiary's administration and with other donors.

Operational Board: For blending operations, the Operational Board is the WBIF governance body responsible for selecting projects eligible for WBIF support. Its members are the European Commission, the EU Member States, the WBIF Partner Financial Organisations and Bilateral Donors.

Project: means an overall investment that an applicant proposes for financing under the WBIF in a call for proposals.

Programme means an overall investment programme comprising multiple activities and/or instruments proposed for WBIF financing.

WBIF Project Financiers' Group (PFG): means the group consisting of representatives of the European Commission, Partner Financial Organisations, and Bilateral Donors, and responsible for carrying out the screening and assessment of requests for the selection of actions that will benefit from financial support under the WBIF.

WBIF contribution means the amount requested by an applicant for financing an Action from WBIF resources.

WBIF intervention areas are overarching investment areas stemming from the EIP and supported by WBIF blending contributions and budgetary guarantees. They are defined in the [WBIF Strategic Orientations 2021-2027](#) and the WBIF Rules of Procedure and comprise sustainable transport, clean energy, environment and climate, digital future, competitiveness of the private sector, and human capital development.