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

**IDENTITY OF THE PROJECT**

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| **1** | **Blending facility** | WBIF | | **2** | **Grant code** | | *This is the code of the grant and is communicated to the NIPAC at pre-notification. This section is filled in automatically in MIS when the application is submitted.* |
| **3** | **WBIF approval date** | *This is the date on which the WBIF approves the grant. This section is filled in automatically in MIS.* | | **4** | **Flagship** | | *[select flagship]*  *Select the relevant investment flagship from the drop-down list. If the Project does not fall under an investment flagship, select “None” from the drop-down list and justify application in section 18 – Coherence with the WBIF objectives, EU policies, and adopted national/sectoral strategies.* |
| **5** | **WBIF intervention area** | *[select intervention area]*  *Select the intervention area addressed by the Project from the drop-down list.* | | **6** | **CRS code** | | *The OECD purpose code (CRS code) relevant to the Project must be entered in this section. The list of CRS codes is available at* [*https://www.oecd.org/dac/financing-sustainable-development/development-finance-standards/dacandcrscodelists.htm*](https://www.oecd.org/dac/financing-sustainable-development/development-finance-standards/dacandcrscodelists.htm)*.* |
| **7** | **Beneficiary** | *[select name]*  *Select the name of the Beneficiary from the drop-down list.* | | | | | |
| **8** | **Project title** | *Enter the name of the Project financed by the WBIF grant. Please ensure that it is short (maximum 250 characters) and includes the key elements of the Project, such as the infrastructure concerned and location.* | | **9** | **Project code** | | *This code is specific to the WBIF MIS database and is either selected (for existing WBIF projects) or generated (for new projects) at the pre-notification stage.* |
| **10** | **Lead Financial Institution** | *[select name]*  *Select the name of the Lead Financial Institution (LFI) from the drop-down list.* | | | | | |
| **11** | **Co-financier(s)** | *[select name]*  *Select the names of other WBIF financial institutions that contribute financial resources to the Project if relevant: AFD, CEB, EBRD, EIB, KfW, or WB.* | | | | | |
| **12** | **Type(s) of WBIF contribution** | INV  TA  *Select the type(s) of WBIF contribution from the available options, i.e.:*   * *Investment grant (INV): It is mandatory for applications for investment grants and is checked off by default.* * *Technical assistance (TA): It must be selected if the WBIF grant funds TA activities.*   *The types of WBIF contribution are defined as follows:*   * *Investment grant (INV): grant amount for co-financing works and supplies.* * *Technical assistance (TA): grant amount for support and capacity building activities necessary for the implementation of the Project, in particular, preparation of detailed design (if applicable or missing), project management, and supervision of works. Some of these services are financed by loans, usually for more profitable investments, such as energy and road projects.*   *The TA does not include activities related to the technical review, check and verification of project designs per national legislation and other activities specific to urban planning and/or land ownership, e.g. preparation of urban plans, documentation for land expropriation, etc. These costs fall with the beneficiary as part of its due diligence and control for project management.* | | | | | |
| **13** | **Total WBIF grant amount (€)** | **Total amount:**  *This is the grant amount with implementation fees. It is the “Total WBIF grant amount” from section 23.* | | Total amount excl. fees: | | *This is the grant 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.* | |
| INV amount: | | *This is the grant amount exclusive of the implementation fee for the cost components “Works and supplies” and “Contingencies” from section 23.* | |
| INV fee: | | *This is the implementation fee for the grant amount for “Works and supplies” and “Contingencies”. It is the “Implementation fee for the INV component of this application” from section 23.* | |
| TA amount: | | *This is the grant amount for the cost component “Technical assistance” without the implementation fee from section 23.* | |
| TA fee: | | *This is the implementation fee for the grant amount for “Technical assistance”. It is the “Implementation fee for the TA component of this application” from section 23.* | |
| **14** | **Responsible authority of the Beneficiary** | *Specify the Beneficiary’s authority (e.g. Ministry of Finance, Ministry of Transport, Ministry of Environment, etc.) and the relevant departments in charge of the Project within that authority (e.g. Department for International Financial Cooperation, Department of Water, etc.)* | | | | | |
| *Icon  Description automatically generated* | *Ensure consistency with section 20 – Institutional framework of the Project.* | | | | |
| **15** | **Implementing entity(ies)** | *Indicate the entity(ies) responsible for the implementation of the Project (e.g. public transport company, public utility company in cooperation with the municipality, transmission system operator, etc.) and specify the nature of the implementing entity, i.e. whether it is public, mixed (please include ownership structure), or private.*  *Note that in section 20 - Institutional framework of the Project all the entities involved should be included, while in this section, only the entity in charge of implementing the Project should be listed.* | | | | | |
| *Icon  Description automatically generated* | *Ensure consistency with section 20 – Institutional framework of the Project.* | | | | |

**DESCRIPTION OF THE PROJECT AND ACTION**

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| **16** | **Description of the Project and Action**  *This section is split into seven subsections; please include the required information in the relevant subsection.*  *Provide a clear description of the infrastructure project, by component or phase if the Project has more than one component or phase, and of the activities financed by the WBIF grant, i.e. the Action. The description should include the Project’s finality and its main components. It should be sufficiently robust and detailed to ensure a clear outline of the Project’s components and/or phases and the Action.*  *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.*  *(Indicative max 750-1000 words)* | | |
| *Icon  Description automatically generated* | * *Fill in this section in cooperation with the LFI.* * *Present concisely and coherently the information to understand the Project and the Action for which WBIF support is requested.* * *Ensure that the main direct and indirect beneficiaries are identified and described (i.e. those who will benefit from the Project).* * *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** |
| *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.*  *Market failure is traditionally defined as a situation with an inefficient distribution of goods and services, whereby the individual incentives for rational behaviour do not lead to rational outcomes for the group. It is, therefore, a disequilibrium state in which the rational behaviour of the individual does not lead to a rational behaviour for the group. In these situations, donors can support the beneficiary government in intervening to provide public goods and handling both positive and negative externalities of free market economic activities.*  *Public goods are defined by two distinct aspects: non-excludability and non-rivalrous consumption. “Non-excludability” means that people cannot be excluded from their fruition, while “non-rivalrous” consumption means that the consumption of a good by one person does not reduce the amount available for others. Public goods such as infrastructures, non-toll roads, municipal sewage systems, energy efficient public buildings are all examples of public goods, and many others, including well-educated youth. Externalities occur whenever a transaction has a spillover of benefits (positive) or costs (negative) to parties not involved in the original transaction. Thus, a private company’s investment in renewable energy facilities has a positive spillover for the general population in terms of air quality, while a chemical plant’s continued reliance on old technology has a negative spillover effect due to the pollutants it releases into the environment, which could be avoided if the company was to invest in renewing its equipment.*  *While making the argument of how the proposed action intends to create public goods or manage positive and negative externalities, thus addressing a market failure or a suboptimal investment situation, bear in mind that the European Commission remains an economic actor managing scarce resources in pursuing its policy priorities. It is, therefore, important that you carefully qualify and quantify the public goods and externalities that the action intends to create.*  *Describe any other relevant socio-economic implication of the Project, e.g. relevant information on the social and/or market impact that the Project, if implemented, will have, for instance, a significant and sudden rise in utility tariffs, which may be necessary for the sustainability of the sector and of the Project but which may have important social consequences.*  *Describe reference programmes in the beneficiary economy/region/sector (e.g. similar programmes carried out in the sector), these programmes' benchmarks, and the main lessons learnt.*  *Explain the involvement of the private sector if relevant.* | | |
| **16.2** | | **Needs/demand analysis (current and forecast)** |
| *Using quantitative and qualitative data, describe the problems (including gaps, shortcomings, or deficiencies) the Project addresses to demonstrate that the investments are needed. It is paramount to summarise critical infrastructure deficiencies and needs that the Project (or project component/phase) will address and bring to EU standards.*  *Provide a summary of the demand analysis, including the predicted demand growth rate, to demonstrate the demand for the Project in accordance with the results of the Cost-Benefit Analysis. Minimum information required: (i) projections methodology; (ii) assumptions and baselines (e.g. traffic in the past, future traffic without the Project); (iii) projections for selected options (if applicable); (iv) supply-side aspects, including analysis of existing and expected infrastructure developments; (v) network effect (if any).* | | |
| **16.3** | | **Description of the intervention** |
| *Provide the narrative supporting the intervention logic identified in the Result Framework in Annex 2. Note that the ambitions set in this narrative part are to be consistent with the impact/outcomes and output levels of the result framework:*   * *In line with OECD/DAC terminology, the term ‘results’ is understood to cover Outputs, Outcomes (Specific Objectives) and Impact(s) (Overall Objective(s)).* * *Starting from the market failure described in section 16.1, describe each element of the results chain following a vertical approach (from the bottom – outputs, via outcomes, to the top – impacts) in which cause and effect relationships are identified and to be achieved at different moments in time.* * *Consider the sequential and temporal path of the intervention logic in this section.* * *Briefly mention how the different stakeholders are involved in the implementation of the intervention and who will benefit from it (main direct and indirect beneficiaries).* * *The description of the intervention should not be confused with the implementation plan and the activities to be implemented under the Project, which are described in sections 16.5 and 17.* | | |
| **16.4** | | **Project map** |
| *Include a map that clearly shows the project area and its context to allow a good understanding of the location of the various facilities of the Project. The map should be easy to read, of high quality, preferably in colour, and have a clear legend (map key).* | | |
| **16.5** | | **Description of the Project** |
| *The description must be structured, concise, clear and focused on key aspects: main characteristics (design specifications) and components and/or phases of the Project (if it has more than one component or phase), justification of the Project’s scope and size in relation to forecasted demand, explanation of options selected concerning climate change and the results of the natural disasters risk assessment (as applicable), primary beneficiaries of the infrastructure (e.g. target population served).*  *If the Project has several phases or components, present those already completed and under implementation, as well as subsequent phases and/or components in chronological order.*  *Briefly describe and quantify the beneficiaries of the Project, emphasising vulnerable, disadvantaged, disabled, and gender-sensitive groups.* | | |
| **16.6** | | **Description of the Action**  *Describe the scope of the Action, i.e. the project activities funded by the WBIF grant, split into:*   * *Investment: works and supplies co-financed by the WBIF grant.* * *TA (if applicable): technical assistance financed partially or entirely by the WBIF grant.*   *Describe how the supervision of works will be carried out for the works and supplies co-financed by the WBIF grant.*  *Please note that the activities of the intervention are not to be considered results, which are instead captured in Annex 2. This section is meant to provide an overview of the activities that will be performed against available resources. Ensure consistency of the description of the Action with the cost components from section 23 – Calculation of the WBIF investment grant.* |
| 16.6.1 | | Investment component |
| *For the investment component, describe quantitatively and qualitatively the works and the supplies co-financed by the WBIF grant: main characteristics (design specifications) and components, expected outcomes, how the components co-financed by the grant are linked to other Project components, location/site of the works and how they contribute to achieving the objectives of the Project. Explanatory graphs, tables or pictures may complement the description. If the WBIF grant co-finances the entire Project, specify that and do not repeat the description of works and supplies in this subsection.* | | |
| 16.6.2 | | TA component (as applicable) |
|  | *If the WBIF grant finances TA, describe the scope of each TA activity for which WBIF grant funds will be used and in which stage of the project cycle they will be brought in (e.g. design, procurement, construction, etc.) Specify normative provisions and standards mandatory for implementing the TA.* | | |
| **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.* | | |

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| **17** | **Indicative project status and planning**  *Describe the Project’s current stage and the envisaged timeline per the instructions below. The following key aspects should be covered in this section:*   * ***Technical****: status of/planning for preparing the masterplan, pre-feasibility study, feasibility study and cost-benefit analysis, environmental and social impact assessment (ESIA), preliminary and detailed designs, tender documents, etc. Indicate each technical documentation’s title, author, issue, and approval date.* * ***Administrative****: status of/planning for urban planning, environmental permit, land availability, invitations to tender, construction permit, etc.* * ***Financial****: status of/planning for loan agreement(s) with the LFI and other IFIs financing the Project (e.g. under negotiation, signed, etc.), other donor grants, allocation from the national budget, etc.*   *Ensure that the Project meets the maturity requirements, according to the clarification of mature and non-mature projects in the table below-*   | ***No.*** | ***Project phase/criterion*** | ***Maturity*** | ***Comment*** | | --- | --- | --- | --- | |  | *Masterplan or other relevant spatial planning document(s)* | *De facto not mature* |  | |  | *Definition of the investment project* | *De facto not mature* |  | |  | *Pre-feasibility Study* | *De facto not mature* | *(e.g. the conclusion could be that the project is not bankable)* | |  | *Feasibility Study and Cost-Benefit Analysis* | *De facto not mature* | *(e.g. the conclusion could be that the project is not bankable)* | |  | *Land ownership* | *Presumption of not mature* | *Unless land ownership can only occur after financing is secured.* | |  | *Preliminary Design* | *Presumption mature* | *Unless vital elements are missing, these projects are mature.* | |  | *Detailed Design* | *Presumption mature* | *Unless vital elements are missing, these projects are mature.* | |  | *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.* | |  | *Loan and grant negotiations for the investments* | *De facto mature* |  | |  | *Signing of loan and grant agreements for the investments* | *De facto mature* |  | |  | *Procurement* | *De facto mature* |  | |  | *Contracting of works* | *De facto mature* |  | |  | *Construction and supervision* | *De facto mature* |  | | | | | | | |
| *Icon  Description automatically generated* | * *The stage of the Project must reflect its status at submission: previous stages/phases of the Project must be completed, including conclusions.* * *Ensure fulfilment of maturity requirements, e.g. confirmation of completion of the technical documentation and tender dossiers for all components associated with the Action, availability and suitability of land ownership, loan agreements with IFI(s);* * *If, for any reason, the activities financed by the grant are not ready to start, briefly present the issues.* * *Complete this section in cooperation with the LFI.* | | | | | |
| *Note:*  *(a) If complete, provide exact dates; if only planned, indicate at least month and year.*  *(b) Select one of the following status options in the table:*   * *Completed (C)* * *Work in progress (WIP)* * *Not started (NS)* * *Not applicable (N/A).*   *(c) Describe the current stage and/or planning for each activity following the instructions included in the table.*  *Additional activities specific to the Project can be added as separate entries (individual rows) in the table.* | | | | | | |
| **Activity** | | | **Duration(a)** | | **Status(b)** | **Comments(c)** |
| **Start date (MM/YYYY)** | **Completion date (MM/YYYY)** |
| Masterplan and other relevant spatial planning documents | | | *[insert date]* | *[insert date]* | [select status] | *Short description of the status, results, main conclusions, outstanding issues and/or conditions. Include the title, author and issue date.* |
| Definition of the investment project | | | *[insert date]* | *[insert date]* | [select status] | *Describe how the Project is a priority for the national 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* |
| Conceptual Design | | | *[insert date]* | *[insert date]* | [select status] | *As above* |
| Feasibility Study (including Cost-Benefit Analysis) | | | *[insert date]* | *[insert date]* | [select status] | *As above* |
| Environmental and Social Impact Assessment | | | *[insert date]* | *[insert date]* | [select status] | *Short description of the status, milestones, and decisions stemming from the ESIA procedure leading to 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.*  *Start date: Onset of the application for environmental consent.*  *Completion date: End of the ESIA procedure, including appeals and final decision.* |
| Preliminary Design | | | *[insert date]* | *[insert date]* | [select status] | *Short description of the status, results/main conclusions, outstanding issues and/or conditions. Include 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 that a project is mature for co-financing only if the land is already acquired and available because the likelihood of delays in the acquisition plan can be significant, which, in turn, will delay the overall construction period. Such a situation can be avoided only if the land acquisition programme is significantly advanced or the government has committed to providing unencumbered land.* |
| Detailed Design | | | *[insert date]* | *[insert date]* | [select status] | *Short description of the status, results/main conclusions, outstanding issues and/or conditions. Include the title, author and issue date.* |
| Construction and other statutory permits | | | *[insert date]* | *[insert date]* | [select status] | *Short description of the status, development consent decision(s) - i.e. construction permit - or expected decisions, and renewals/updates of authorisations/approvals. If authorisations have yet to be issued, indicate the estimated completion timeframe.* |
| Loan(s) negotiation and  signing | | | *[insert date]* | *[insert date]* | [select status] | *Short description of the status of loan agreements with the IFIs financing the Project, e.g. under negotiation, terms agreed upon, signed, etc.* |
| Preparation of tender dossier(s) | | | *[insert date]* | *[insert date]* | [select status] | *Short description of the status and construction contract type (e.g. FIDIC Pink/Red Book, FIDIC Yellow Book, etc.* |
| Procurement for works (per phase/component) | | | *[insert date]* | *[insert date]* | [select status] | *Short description of the status, potential delays (e.g. appeals, retendering), contract(s) signature, and type of contract (e.g. FIDIC Red/Pink Book or Yellow Book). If the Project has more than one component and/or phase, describe the status of procurement procedures for each component and/or phase.* |
| Construction works | | | *[insert date]* | *[insert date]* | [select status] | *Short description of the status. If the Project is divided into phases and/or components, list each phase and/or component separately.*  *If, for any reason, the Project or the activities financed by the WBIF grant (i.e. the Action) are not ready to start, briefly describe the issues.*  *If the Project has already started, indicate the implementation status of each phase and/or component, describe executed works and the percentage completed.* |
| **18** | **Coherence with the WBIF objectives, EU policies, and adopted national/sectoral strategies**  *Provide a structured, concise and precise description of how the Project (i) addresses the WBIF blending investment priorities in line with the* [***Economic and Investment Plan for the Western Balkans***](https://ec.europa.eu/neighbourhood-enlargement/system/files/2020-10/communication_on_wb_economic_and_investment_plan_october_2020_en.pdf) *(EIP), the* [***Guidelines for the Implementation of the Green Agenda for the Western Balkans***](https://ec.europa.eu/neighbourhood-enlargement/system/files/2020-10/green_agenda_for_the_western_balkans_en.pdf)*,* [***the WBIF Strategic Orientations 2021-2027***](https://wbif.eu/storage/app/media/Library/11.Funding/Annex%201_WBIF%20Strategic%20Orientation.pdf)*and the* [***Growth Plan for the Western Balkans***](https://neighbourhood-enlargement.ec.europa.eu/enlargement-policy/new-growth-plan-western-balkans_en)*, (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.* | | | | | | |
| *Icon  Description automatically generated* | | * *Ensure that the Project addresses the WBIF blending investment priorities, the policy objectives and investment flagships of the Economic and Investment Plan for the Western Balkans, and the objectives of the Growth Plan for the Western Balkans.* * *Ensure that the strategic justification of the Project is reliable and relevant.* * *Demonstrate the Project’s compliance with relevant national legislation, EU acquis and policies and other donors’ strategies.* * *Clearly explain where the Project comes from and why it is a priority for the Beneficiary and region.* * *Ensure that the Project considers any special needs and responds to challenges related to any forms of discrimination and environmental impact.* * *Ensure correlation between the information included in the SSP and the grant application form (e.g. Project title, total project cost).* | | | | |
| *(Indicative max 500 words* | | | | | | |
| **18.1** | | **Alignment with the Economic and Investment Plan for the Western Balkans** | | | | |
| *Describe how the Project addresses the WBIF intervention areas, policy objectives and investment flagships of the* [*Economic and Investment Plan for the Western Balkans*](https://ec.europa.eu/neighbourhood-enlargement/system/files/2020-10/communication_on_wb_economic_and_investment_plan_october_2020_en.pdf) *and the* [*Growth Plan for the Western Balkans*](https://neighbourhood-enlargement.ec.europa.eu/enlargement-policy/new-growth-plan-western-balkans_en)*. The description should consider the relevant* [*WBIF investment priorities*](https://wbif.eu/storage/app/media/Library/11.Funding/Annex%201_WBIF%20Strategic%20Orientation.pdf)*, notably sustainable transport, clean energy, environment and climate, digital future, and human capital development, as well as the investment flagships identified in the Annex to the Plan.* | | | | | | |
| **18.2** | | **Alignment with Green Agenda objectives** | | | | |
| *Describe how the Project is consistent with the* [*Guidelines for the implementation of the Green Agenda for the Western Balkans*](https://ec.europa.eu/neighbourhood-enlargement/system/files/2020-10/green_agenda_for_the_western_balkans_en.pdf)*.*  *For* ***all projects,*** *specify positive and negative impacts concerning the five pillars of the Green Agenda (e.g. decarbonisation, depollution, circular economy, sustainable food systems and rural areas, and biodiversity).*  *For* ***energy projects,*** *specify the contribution to decarbonise energy production and/or consumption.*  *For* ***transport projects,*** *describe the matching with the priorities of the Sustainable and Smart Transport Strategy (SSTS), decarbonisation, digitalisation, modal shift, safety, etc., and demonstrate alignment with the ‘do no significant harm’ principle and the Paris Agreement.* | | | | | | |
| **18.3** | | **Coherence with EU policies and core directives** | | | | |
| *Explain how the Project contributes to the fulfilment of EU policies and core directives (e.g. environment, climate change, state aid, public procurement). Please refer to relevant EU policy documents, such as the EU pre-accession strategy, the Economic and Reform Programme (ERP), the Country/Regional Multi-Annual Indicative Programme, the IPA III Regulation objectives, the objectives of the Reform and Growth Facility Regulation and related Reform Agenda of the Beneficiary, and other EU interventions in the country/region.* | | | | | | |
| **18.4** | | **Compliance with adopted national/sectoral strategies** | | | | |
| *Describe the Project’s compliance with the main national/regional policies for the concerned sector or thematic area (including gender equality strategies or action plans), consistency with the national/regional development strategy, sector strategy, action plan and with the country’s Nationally Determined Contributions (NDC), National Energy and Climate Plan, or National Adaptation Plan (NAP). Explain how the Project contributes to national/regional policies and summarise the main objectives of the Beneficiary’s policy that the Project supports.*  *Indicate the Project’s position in the SPP and justify application if the Project is ranked low in the SPP.*  *Describe the Project's priority from the point of view of national and regional authorities (e.g., the Transport Community, the Energy Community, or other similar bodies).*  *Describe any related projects (financed by WBIF, national IPA, or other donors/ financiers) and indicate how coordination and complementarity with those projects will be ensured.* | | | | | | |

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| **19** | **Consultations before submission**:   * NIC * IFIs * EU Delegation(s) * Donors * Regional/international organisations * Other stakeholders | *Summarise the timing, nature and outcome of consultations conducted before submission with the following stakeholders:*   * *National Investment Committee (NIC) or equivalent national structure;* * *LFI and co-financiers;* * *EU Delegation(s);* * *Geographical unit(s) of DG NEAR;* * *Other donors;* * *International and regional organisations;* * *Other stakeholders, if relevant (e.g. civil society organisations, etc.)*   *Expound on the political support for the Project, i.e. the confirmation letter to the European Commission and IFIs by the relevant Ministry of Finance confirming that (i) the Project is a high priority for the Beneficiary, (ii) its costs are planned and foreseen in the future budget, (iii) relay a firm commitment to take up the loan and to implement the Project per the grant application (concerning scope and timeline). Indicate whether this letter is submitted with the grant application.*  *(Indicative max. 200 words)* |

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| **20** | **Institutional framework of the Project**  *Describe the institutional aspects of the Project's implementation: Who and how will ensure its implementation? What is the role of these entities? Add a chart illustrating the institutional framework.* | | |
| 20.1 | | Description of entities involved |
| *Describe the entities involved in the implementation of the Project, including:*   * *Beneficiary(ies) authority(ies) (e.g. Ministry(ies) and department(s));* * *Owner of the construction permit(s) for the Project;* * *Implementing entity(ies) or equivalent;* * *Project Management Unit (PMU)/Project Implementation Unit (PIU) or equivalent;* * *In case of involvement of a privately-owned company, clarify the contractual structure (e.g. concession, private-public partnerships).* | | |
| 20.2 | | Organisational set-up |
|  | *This section should provide a comprehensive account of the organisational structure put in place for implementing the Project:*   * *Describe the role (tasks, responsibilities, relations between the different bodies) of the LFI (local/regional offices, sector manager in the Beneficiary), the co-financiers and other entities involved (institutions/authorities of the Beneficiary, implementing entity(ies), other donors, etc.) to demonstrate the existing capacity for implementing the Project.* * *Clarify whether the Project involves creating an implementation unit (e.g., a Project Implementation Unit (PIU)) and describe its setup, roles, and responsibilities.* * *Indicate if the beneficiary/PIU can define the investment plan, procure and implement the Project or if technical assistance is needed.* * *Provide a brief description of in-country coordination arrangements, including with EU Delegations.* * *If applicable, provide a comprehensive description of the organisational structure for operating the investment in the project area. Include existing institutional structure (e.g. ownership of infrastructures, contractual obligations to the new infrastructure, the evolution of tariffs, etc.)* * *Indicate whether the WBIF grant will be pooled in a joint Project account with funds from the LFI and other co-financing institutions or kept in a separate account.* * *Describe the flow of the WBIF contribution to entities involved down to the final beneficiaries/recipients.* | | |
| *Icon  Description automatically generated* | * *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.* | |

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| **21** | **Project budget and financing plan**  *A clear and complete project budget (cost breakdown structure) and financing plan (sources of funds and corresponding contributions) should be provided. Please include the cost components, their description (related activities), the corresponding amount in the budget matched against sources of funds and their financial contributions to the financing plan. The costs should not include VAT.*  *The prefilled cost components listed in the grant application form are indicative; their final composition is left to the applicant’s appreciation. The budget should provide a detailed indication of the Project's main costs and budget resources.*  *The costs for works and supplies without contingencies must be listed separately from TA for project preparation and implementation. Costs associated with ensuring EU visibility are eligible and can be budgeted. However, rather than being included in a standalone visibility budget line, visibility costs should be factored into the budget under the relevant activity to which they relate, i.e. works and supplies. The budget should also include costs for evaluation and audit, and contingencies. If the Project has more than one component and/or phase, the costs must be presented by project component and/or phase (i.e. in individual rows as in the table). The financing plan should contain the actors (i.e. sources of funds) that provide financing to the Project, the amount of their contribution and the cost components financed by each contribution: WBIF, Lead Financial Institution, co-financiers, Beneficiary’s contribution (national contribution), EU national IPA, other private (e.g. commercial banks) and public financiers (e.g. other donors). Please indicate the type of contributions from each source of funds: investment grant, technical assistance grant, loan, guarantee, equity, interest rate subsidies or other. Create separate entries (i.e. individual rows in the table) for each source and type of funds (e.g. loan, grant) and differentiate between sovereign and non-sovereign loans and private sector finance.*  *The fields for sums and percentages are filled in automatically in MIS. The amounts of “Total project cost” and “Total financing available” must be identical to submit the application.*  *While it is understood that the figures provided in this section are indicative and may differ from the final ones to be used in the contracting phase, the applicant should put all the efforts to ensure that these amounts reflect the expected amounts involved in the Project as much as possible.*  ***Eligible costs***  ***The categories of costs eligible******for WBIF co-financing*** *refer to costs that, with due regard to the eligibility criteria set in Chapter 1 – Eligibility criteria of these Guidelines, are* ***necessary for implementing the Action*** *funded* ***by the WBIF grant.*** *The costs must be reasonable and justified and comply with the principle of sound financial management, particularly regarding economy and efficiency.*  *The categories of costs eligible for infrastructure projects co-financing are the following:*   * *Works (building and construction);* * *Supply (plant and machinery);* * *Technical assistance for preparation of detailed design (if applicable or missing), project management support;* * *Supervision of works;* * *EU visibility costs;* * *Contingencies.*   *The detailed design cost (including final cost estimates and tender documents) is typically around 4–5% of the estimated investment cost (i.e. works, supplies and contingencies) for infrastructure projects. Construction supervision usually adds another 4–5% to the estimated cost.* ***Contingencies*** *should not exceed 10% of the investment cost (i.e. works and supplies) net of contingencies.*  *Attention is drawn to the importance of the “Payment of the grant from the Joint Fund” section of the grant application form. This section includes* ***the final date of operational implementation of the Action*** *and* ***the payment schedule****, which must be provided before the European Commission signs the application and sets time limits on the disbursement of the WBIF grant.* ***The final date of operational implementation of the Action*** *refers to the completion date of all contracts implementing the Action (e.g. works have been performed, supplies have been delivered, services have been provided). For grants financed by the European Commission,* ***the final date of operational implementation*** *is specified in the respective Financing Decision of the European Commission, and disbursements are not allowed past this date.*  ***Non-eligible costs***   * *As a rule, the grant may cover only costs incurred after the date on which the Contribution Arrangement is signed between the European Commission and the Managers of the Joint Fund. Exceptionally, the grant may be awarded for an Action that has already begun if the applicant demonstrates and justifies the need to start the Action before the signature of the Contribution Arrangement. Retroactive financing is an exception, and such requests will be assessed case-by-case.* * *Expenditure outside the eligibility period.* * *Expenditure ineligible under national rules.* * *Other expenditures such as:* * *Cost of purchase of land or buildings;* * *Planning/design fees;* * *Technical review, check and verification of project design(s) as per national legislation and other activities specific to urban planning and/or land ownership, e.g. preparation of urban plans, documentation for land expropriation;* * *Evaluation and audit;* * *Communication costs;* * *Value-added tax (VAT) to the extent that VAT is recoverable;* * *Customs and import duties, any other charges;* * *Fines, financial penalties, and litigation expenses;* * *Second-hand equipment;* * *Bank charges, cost of guarantees and similar charges;* * *Conversion costs, charges and exchange losses associated with any of the component-specific euro accounts, as well as purely financial expenses;* * *Contributions in kind.* | | | | | | |
| *Icon  Description automatically generated* | * *Include all the cost components of the Project in the budget.* * *Duly budget all cost components and keep them within thresholds.* * *Present the costs by component and/or phase of the Project in the budget.* * *Match the cost components with the sources of funds in the financing plan.* * *Complete this section with the LFI.* | | | | | |
| **Indicative total project budget (cost breakdown)** | | | | | | |
| **Cost component**  **number** | | **Cost component**  **description** | **Total costs  (€)**  *(A)* | **Non-eligible costs (€)(a)**  *(B)* | **Eligible  costs**  **(€)(a)** *(C)=(A)-(B)* | |
| 1 | | Planning/design (permits) fees | *[insert amount]* | *[insert amount]* | *[filled in automatically in MIS]* | |
| 2 | | Land purchase | *[as above]* | *[as above]* | *[as above]* | |
| 3 | | Technical assistance for project preparation (e.g. masterplan, pre-feasibility study, feasibility study, ESIA, detailed design, tender documents, procurement procedures) | *[as above]* | *[as above]* | *[as above]* | |
| 4 | | Technical assistance for project implementation (e.g. supervision of works, project management) | *[as above]* | *[as above]* | *[as above]* | |
| 5 | | Works (Building and construction)(b) | *[as above]* | *[as above]* | *[as above]* | |
| 6 | | Supply (Plant and machinery) (b) | *[as above]* | *[as above]* | *[as above]* | |
| 7 | | Evaluation and audit(c) | *[as above]* | *[as above]* | *[as above]* | |
| 8 | | Contingencies(d) | *[as above]* | *[as above]* | *[as above]* | |
| 9 | | Other (e.g. project design review/verification by review committee)(e) | *[as above]* | *[as above]* | *[as above]* | |
| **Total project cost** | | | *[filled in automatically in MIS]* | *[filled in automatically in MIS]* | *[filled in automatically in MIS]* | |
| **Financing plan** | | | | | |  |
| **Source of funds** | | | **Cost component financed** | **Amount  (€)** | **% / total** | **Remarks  (i.e. Code/ Ref. of financing)** |
| National contribution | | | *[insert the number of the cost component(s) financed]* | *[insert amount]* | *[filled in automatically in MIS]* | *[indicate the budget in which the Project is included]* |
| IFI Loan 1 *[insert IFI name]* | | | *[as above]* | *[as above]* | *[as above]* | *[indicate if the loan is sovereign or non-sovereign and its status is, e.g., estimated, terms agreed upon, signed, etc.]* |
| IFI Loan 2 *[insert IFI name]* | | | *[as above]* | *[as above]* | *[as above]* | *[as above]* |
| Grant amount requested without fees(f) *[insert the code of the WBIF investment grant]* | | | *[as above]* | *[as above]* | *[as above]* | *[current grant request]* |
| Other WBIF grants(g) *[insert grant code]* | | | *[as above]* | *[as above]* | *[as above]* | *[indicate activities financed]* |
| Other grants(g) *[insert donor name]* | | | *[as above]* | *[as above]* | *[as above]* | *[code/reference number of the financing agreement, financed activities]* |
| Other sources(g) *[insert source name]* | | | *[as above]* | *[as above]* | *[as above]* | *[as above]* |
| … | | | … | … | … | … |
| **Total financing available** | | |  | *[filled in automatically in MIS]* | *[filled in automatically in MIS]* |  |
| *(a) Eligible and non-eligible cost categories 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) Statutory audit and evaluation costs fall with the Beneficiary under the national legislation or with the LFI as part of their due diligence and control for managing the Project. These costs are not eligible for WBIF grant support.*  *(d) Should be taken from the technical documentation developed for the Project and should be at most 10% of the costs for works and supplies.*  *(e) Costs not included under cost components 1-9 should be listed here, e.g. project design review/check/verification by the revision committee. Technical review, check and verification of project design(s) as per the national legislation and other activities specific to urban planning and/or land ownership (e.g. preparation of urban plans, documentation for land expropriation, etc.) fall under the Beneficiary’s responsibility for due diligence and control for project management. These costs are not eligible for WBIF grant support.*  *(f)Must be identical to the ‘Grant amount without fees’ (i.e. the grant exclusive of implementation fees) from section 23 - Calculation of the WBIF investment grant.*  *(g) Other WBIF grants must be listed as separate entries (i.e. in individual rows) by grant code. Grants from other donors and funds from other sources must be presented as separate entries by source.* | | | | | | | |

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| **22** | **Fiscal space and debt sustainability** | *Complete this section in cooperation with the LFI and the Ministry of Finance. Describe the following elements:*   * *Public debt in absolute terms and relative to GDP, recent trajectory and expected medium-term trajectory, and public debt levels vs debt ceiling, if applicable.* * *Assess how the sovereign or sub-sovereign loan/guarantee (to which blending is to be added) attached to the Project affects the debt sustainability framework at national and sub-national levels, including in case of default or if the guarantee is called on. If relevant, confirm that the operation is part of the investment pipeline agreed between the government and the IMF/World Bank.* * *Sovereign credit rating and outlook of the Beneficiary and changes over the past two years, if applicable.* * *Impact of the Project on public debt levels (e.g. Ministry of Finance commitment/consultation). Link the Project to the medium-term budgetary programme to demonstrate its sustainability.* * *Availability of budgetary funds and borrowing capacity for the Project.* |

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| **23** | **Calculation of the WBIF investment grant**  *Include only costs that will be funded from the WBIF investment grant.*  *The* ***project-specific co-financing rate*** *applies to the costs for works, supplies and contingencies (i.e. the investment costs) for the Project components and/or phases covered by the Action. The investment costs of completed project components and/or phases are not eligible for grant co-financing. The co-financing rate and related amount may not exceed the maximum rate specified in Chapter 4.1 of these Guidelines for the subsector the Project addresses. The applicant must justify the project-specific co-financing rate in section 24.*  ***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 grant:*   * *2% (two percent) of the total co-financing amount of the investment component of the application (works and supplies, contingencies, costs associated with ensuring EU visibility”) will be included in the total amount of the WBIF grant.* * *4% (four percent) of the total amount of the technical assistance component of the application will be included in the total amount of the WBIF grant.*   *The maximum co-financing rate for the infrastructure investment depends on the results of the Cost-Benefit Analysis for the Project, the actual needs of the Project for public support, as well as consultations between the European Commission (DG NEAR), the Beneficiary and financial institutions.* | | | | |
| *Icon  Description automatically generated* | * *Include all the cost categories associated with the Action in the calculation of the WBIF grant;* * *Ensure a clear distinction between the components and/or phases of the Project and those co-financed by the WBIF grant;* * *Duly budget all the activities financed by the WBIF grant and do not exceed the maximum co-financing rate;* * *Ensure consistency between the technical description of the Action (subsection 16.5) and the grant amount requested.* * *Complete this section in cooperation with the LFI.* | | | |
| **Cost component** | | **total ELIGIBLE costs (€)**  *(a)* | **co-financing rate (%)**  *(b)* | **maximum**  **co-financing (€)**  *(C) = (A) x (b)* |
| 1. Works and supplies(a) | | *[amount]* | *Project specific co-financing rate%* | *[amount]* |
| 1. Contingencies(b) | | *[amount]* | *Project specific co-financing rate%* | *[amount]* |
| 1. Technical assistance(c) | | *[amount]* | *Up to 100%* | *[amount]* |
| **Grant amount without fees** | | *[SUM (1:3) filled in automatically in MIS]* |  | *[SUM (1:3) filled in automatically in MIS]* |
| 1. Implementation fee for the INV component of this application(d) | |  | | *[amount filled in automatically in MIS]* |
| 1. Implementation fee for the TA component of this application(e) | |  | | *[amount filled in automatically in MIS]* |
| **TOTAL WBIF GRANT AMOUNT** | | | | *[SUM(1:5)]* |
| *(a) May include eligible costs for works (building and construction) and supplies (plant and machinery) from section 21 - Project budget and financing plan.*  *(b) May include eligible costs for contingencies from section 21 - Project budget and financing plan. The costs for contingencies should be taken from the technical documentation developed for the Project and not exceed 10% of the costs for works and supplies.*  *(c) May include eligible costs for technical assistance for project preparation (detailed design if applicable or missing) and implementation (supervision of works, project management) from section 21 - Project budget and financing plan.*  *(d) 2% of the maximum co-financing amount for works, supplies and contingencies.*  *(e) 4% of the maximum co-financing amount for technical assistance.* | | | | | |

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| **24** | **WBIF grant amount justification** | *Please explain* ***thoroughly*** *how the WBIF contribution was determined/calculated, providing the methodology used to reach the requested level of the WBIF grant and co-financing rate, i.e. a detailed numerical calibration of the grant.*  *It is essential to describe the type of activities to be carried out due to the WBIF grant, listing the cost components and their corresponding amounts for which grant funding is requested (figures as provided in sections 21 and 23). For works, supply and technical assistance, this should include a breakdown of planned activities and corresponding costs, as well as why a specific co-financing rate is requested. For contingencies, this should include a description of what is covered by contingencies, how the amount requested for grant funding was determined and the reasons for covering that specific amount by the WBIF grant. All the costs considered in the calculation of the WBIF grant 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 grant, envisaged impacts, affordability concerns, impact on tariffs (for revenue-generating projects by user charges).* | |
| *Icon  Description automatically generated* | * *Complete this section in cooperation with the LFI.* * *Provide a detailed numerical calibration of the grant.* * *Duly justify the grant amount and ensure that the results of the economic and financial analyses from the technical documentation support it.* |

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| **25** | **Additionality of WBIF grant** *Complete this section in cooperation with the LFI. This section deals with the additionality of the WBIF grant, understood as what the WBIF grant will achieve, in terms of benefits or positive results, over and above what would be achieved without it. Grant funding is justified only when significant additionality is shown for the funding itself.*  *Some types of additionalities are quantifiable, and the applicants should make every effort to quantify the additionality of the grant as far as possible. Others may not be quantifiable, and those should be addressed qualitatively. Where a qualitative method is chosen, the reasons should be explained. Evidence should be provided to support claims of additionality as far as possible.*  *Include elements that will lead to additional benefits related to cross-cutting issues, such as the environment, gender equality and equal opportunities, the needs of disabled people, the rights of minorities and/or vulnerable groups whenever possible, innovation and best practices, etc.*  *Identify among the following categories of additionality those applicable to the WBIF grant and comment accordingly. Address only those categories where additionality is relevant and appropriate.* | |
| Economic and financial | *What are the economic benefits of the proposed grant funding? Why is the proposed grant funding necessary for the operation?*  *What are the financial benefits of the WBIF's contribution to the Project? How will it impact the end beneficiaries? For example, broader access to finance for target groups, lower end-user tariffs, increased affordability of services, etc.* |
| Project scale | *How will the grant increase the scale of the Project? Will it widen the operation’s results or extend the benefits to more people?* |
| Project timing | *In what way does the grant element positively affect the timing of the operation and the benefits it is expected to deliver?* |
| Project quality and standards | *How will the grant funding improve the quality of the outcomes expected from the operation? How will the grant funding improve the Project’s chances of success? How will the grant promote higher standards (including social and environmental standards) and more substantial social or global public good returns than would otherwise be possible? Does the grant funding contribute to gender equality and equal opportunities, the needs of disabled people, and the rights of minorities and vulnerable groups?* |
| Innovation | *What innovative aspects of the Project would only be generated by or within the target environment with grant support? Why is the proposed innovation important?* |
| Sustainability | *Does the grant funding help support further or parallel activities to ensure that benefits continue beyond the life of the Project? For example, does the grant contribute to structural reforms and support legislative, regulatory or policy changes? Does the grant finance enable demonstration effects to other participants in the marketplace?* |
| Other benefits | *Other benefits/positive externalities that the Project may realise (or negative externalities avoided) and would not happen without the grant. Are there any significant benefits outside the main/primary objectives of the loan operation that the grant brings?* |

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| **26** | **Leverage ratios**  *Complete this section in cooperation with the LFI. Leverage ratios indicate how the Project is financed, e.g. how much capital is put, in which form and by whom, or, in other words, who is doing what in financial terms. What is important here is the value of financing at source (e.g. outward flows from capital providers), divided by type of contribution (grants, financial instruments) and by actor (EU, IFI, Beneficiary, private sector).*  *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.*  *For coherent and transparent reporting, only funds that will be used in the investment project phase to which the grant is attached should count towards the ratio – investments expected in future phases of the Project should not be counted unless they are committed at the same time as investments in the present phase. Finance provided as a parallel finance stream but not directly as an input into the Project should normally be excluded.*  *Similarly, additional finance mobilised as an indirect result of the Project (e.g. as a result of the demonstration effect, etc.), even if the time leg is short, should not count towards the leverage ratio.*  *Concerning the denominator of 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).* | |
| 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).*  *Therefore, the numerator of this ratio includes EU contributions only when these reach the final beneficiary (-ies) as a reimbursable instrument. It otherwise includes LFI / co-financiers reimbursable financial instruments (IFIs) only when these reach the final beneficiary (-ies), and PFIs reimbursable financial instruments.* |
| Lead Financial Institution leverage ratio | *= total amount of financing provided by the LFI divided by the amount of the EU contribution including fees.*  *The numerator of this ratio includes IFI reimbursable financial instruments and IFI grants.* |
| Private sector finance leverage ratio | *= 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.*  *The numerator of this ratio typically includes contributions from PFIs (privately owned) and, where the case, equity from beneficiaries.* |
| Multiplier effect | *= total financing to eligible final recipients beyond EU contribution, i.e. the ratio between the total investment (from IFI, public and private investors) against the EU contribution (i.e. blending contribution or budgetary guarantee coverage).*    *The multiplier effect is defined in the 2018 Financial Regulation as “the investment by eligible final recipients divided by the amount of the Union contribution”. Similarly, CAFI defines this as “a measurement of the ability of the Financial Instrument to attract additional private and public resources beyond the EU Contribution and it links the EU Contribution (which includes all the components i.e. Financial Instrument, Ancillary Support and Other Activities) to the total investment expenditure by the eligible Final Recipients”.*  *‘Recipient’ means a beneficiary, a contractor, a remunerated external expert or a person or entity receiving prizes or funds under a financial instrument or implementing Union funds pursuant to point (c) of the first subparagraph of Article 62(1).*  *Thus, this entry differs from the “EU leverage effect” insofar as it includes all financial contributions, including non-reimbursable financing.*  *Fees payable to the implementing partner should be included in the denominator as part of the Union contribution, but not in the numerator.* |

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| **27** | **Project sustainability**  *Complete this section in cooperation with the LFI. Describe under which conditions the Project will be sustainable when the grant support, including the TA grant support, will expire, including any incentives that could be necessary to enhance the sustainability of the Project. Describe how the maintenance of the Project will be ensured during project implementation and operation.* | | |
| *Icon  Description automatically generated* | *Ensure that this section addresses the following sustainability aspects:*   * *The economic viability of the Project is confirmed with reasonable certainty, i.e. the net benefits are expected to be positive, there are no better ways of achieving the Project’s purpose, and the public financial resources used for the Project are unlikely to be employed better elsewhere.* * *The Project proves to be accessible, i.e. all financing sources are secured, and it will be financially and fiscally sustainable once in operation.* * *Environmental and social impacts are acceptable, or if negative impacts are foreseen, appropriate mitigation measures are proposed.* * *Satisfactory project management arrangements will be put in place to deliver the Project to specifications on time and within budget.* * *Organisational arrangements for the operation of the Project will be adequate for the sustainable delivery of the proposed services.* | |
| Economic/financial viability | | *Does the Project guarantee an acceptable economic (and financial, as applicable) return? Describe future revenue flows expected from the Project, ongoing operation and maintenance costs and their expected sources of finance.* |
| Environmental aspects | | *Has the Project considered the environmental implications so that adverse environmental impacts are avoided or mitigated during its life? Has a public consultation process taken place?* |
| Social aspects | | *Has the Project incorporated mechanisms that guarantee equitable access to and continuous distribution of the Project’s benefits? 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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| **28** | **Risk assessment**  *Identify the project-related risks and the way these risks will be mitigated. Assess how seriously the identified risks might influence the Project: high (H), medium (M) or low (L). Keep in mind that:*   * *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.* * ***Economic risks****: Describe how macroeconomic conditions or policy changes may affect the Project, energy poverty, etc.* * ***Financial risks*** *(this should be linked to both the financing plan and entities involved in the implementation of the Project as detailed in sections 21 and 20): The**description should focus on the following elements: (i) credit and currency risks of the beneficiaries; (ii) risks linked to financial institutions (intermediaries–, (iii) risk sharing operations - notably the percentage of expected and unexpected losses covered by WBIF funds, the period covered by risk sharing operations, the link between the size and use of the WBIF grant requested and expected and unexpected losses or other risks taken.* * ***Social risks,*** *including gender equality and access to education, or the risk of creating barriers to the participation of some groups, public opposition, affordability issues, discriminatory practices, and evictions.* * ***Environmental risks,*** *including climate change and biodiversity loss, air pollution, and environmental injustice towards minority/vulnerable groups. This section must indicate the applicable environmental and social standards and safeguards that will be applied.* * ***Implementation risks****, including:* * *Planning risks (e.g. the implementation of the Project fails to adhere to the terms of the planning permission, or the detailed planning cannot be obtained, or, if obtained, can only be implemented at higher costs than budgeted);* * *Technical/design risks (e.g. the quality of project designs/site investigations is likely to impact the likelihood of unforeseen problems; the use of suboptimal/obsolete technologies leads to substandard services, etc.);* * *Procurement risks (e.g. delay in procurement procedures, re-tendering, appeals, contractual disputes, etc.);* * *Construction risks (e.g. site unavailability, the construction of physical assets not completed on time, budget and specification, etc.);* * *Risks related to project outputs not leading to intended outcomes and impact.* * ***Operation risks:*** *The risk that operating costs vary from the budget, performance standards slip, or the services cannot be provided; the demand for a service does not match planned, projected, or assumed levels, etc.* * ***Human rights risks*** * ***Other risks:*** *Risks that do not fit in the above classification should be described in this subsection (e.g. force majeure, adverse publicity regarding the construction or operation of the new infrastructure, etc.)*   *(Indicative max 500 words)* | | | | |
| **Type of risk** | **Description** | **Risk likelihood** | **Risk impact** | **Mitigation measure(s)** |
| Political |  | *[select likelihood]* | [select impact] |  |
| Economic |  | *[select likelihood]* | [select impact] |  |
| Financial |  | *[select likelihood]* | [select impact] |  |
| Social |  | *[select likelihood]* | [select impact] |  |
| Environmental |  | *[select likelihood]* | [select impact] |  |
| Implementation |  | *[select likelihood]* | [select impact] |  |
| Operation |  | *[select likelihood]* | [select impact] |  |
| Human rights |  | *[select likelihood]* | [select impact] |  |
| Other |  | *[select likelihood]* | [select impact] |  |

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| **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 GHG emission reduction and/or climate adaption, and summarise the climate risk assessments conducted, considerations and measures for improving the Project’s resilience to current and future climate risks. Elaborate on the Project’s alignment with the Paris Agreement and the Beneficiary’s Nationally Determined Contribution (NDC). Include project-specific climate markers (primary/secondary dimension, reduced emissions /carbon footprint).*  *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[[1]](#footnote-1). Based on its methodology, the LFI may propose a specific percentage of the project budget as a climate change contribution.* | | | |
| 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) |  | □ |  | □ |

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| **30** | **Indicative calendar of the Action** | *Summarise (narrative description) critical milestones in the procurement and implementation phases of the Action and procurement procedures.*  *Provide the dates of specific milestones by identifying the quarter in which the Action’s milestone is expected to be reached (e.g. Q1/2025). The milestones included in the application form template are mandatory. Additional milestones specific to the Action can be added as separate entries (rows) in the table.*  *The following planning principles should be considered as guidance:*   * *Activities should align with the standard time necessary for procedures (e.g. obtaining permits, etc.)* * *Activities should follow the sequential order of the development of the Action.* * *The duration of each activity should include a safety margin.* * *The overall duration of the Action should be sufficient for its complete execution.* * *Dead time or hectic periods should be avoided.* * *Periods in which involved institutions operate under a different regime (e.g. vacations, public holidays, etc.) or target groups are engaged in other activities (e.g. election campaigns, intensive activity season in agriculture, etc.) should be taken into account;* * *Activities impeding each other should not overlap.* * *To the extent practical, the resource utilisation should be uniform 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 may also be considered, e.g. securing internal management approvals for the project, funding, ownership/control of sites, planning approvals, completion of designs, launch of procurement, appointment of contractors, start of activities on site, completion of works, handover and official opening.*  *Fill in the indicative calendar of the Action in INV GAF as follows:*   * *For the procurement phase of the Action, describe in the narrative text box all the procurement procedures for implementing the Action. Provide an overview of the procurement rules that will be used, including the name(s) of the contracting authority(ies). Indicate when (e.g. Quarter/Year) and where tender(s) details, including tender(s) documents, will be published.* * *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:* * *TA for project management should start 3-6 months earlier than the works contracts and should last for the entire project implementation period, excluding the defects notification period (DNP);* * *TA for supervision of construction works should start in parallel with the works contracts and should be completed at the end of the DNP;* * *Communication and visibility should be carried out in parallel with the TA for project management/TA for construction supervision (without the DNP).*   *The following illustration exemplifies typical timelines underlying the implementation of an investment project. Projects will follow different timelines due to their specificities and problems encountered. Nevertheless, the timeline selected will provide a good plan for the average duration and stages of implementation.* | | | | |
|  | | | | |
| *Icon  Description automatically generated* | * *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.* * *Ensure that the planned activities of the Action are logically sequenced and can be realistically implemented in the foreseen period.* * *Complete this section in cooperation with the LFI.* | | | |
| **Type of contract** | **Procurement** | | | **Implementation** | |
| **Expected date of publishing tender  [Q/YYYY]** | | **Expected date of contract signature [Q/YYYY]** | **Expected start date [Q/YYYY]** | **Expected completion date**  **[Q/YYYY]** |
| Technical assistance for project management *[if applicable]* | *[insert date]* | | *[insert date]* | *[insert date]* | *[insert date]* |
| Technical assistance for supervision of construction | *[insert date]* | | *[insert date]* | *[insert date]* | *[insert date]* |
| Works contract | *[insert date]* | | *[insert date]* | *[insert date]* | *[insert date]* |
| Supply contract *[if applicable]* | *[insert date]* | | *[insert date]* | *[insert date]* | *[insert date]* |

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| **31** | **Monitoring, reporting and evaluation** | *Complete this section in cooperation with LFI. This section must be completed following the narrative and the result framework provided in Annex 2. Please describe:*   * *The performance and result monitoring arrangements specific to the Project. Indicate the LFI mechanisms for regular and systemic monitoring, reviewing, and evaluating the progress on the result framework indicators.* * *The arrangements to inform the indicators included in the Result Framework (Annex 2) about progress towards achieving the results.* * *The permanent system put in place by the LFI for monitoring the Action and regular reporting via reports and OPSYS.* * *The arrangements and quality assurance for data collection from downstream partners where relevant – including data disaggregation (i.e. by sex, gender, age, rural/urban, income/poverty, disability, etc.) and the extent to which the Action considers the human-rights based approach and contributes to gender equality and women’s empowerment.* * *The environment and social management plan integrated into the monitoring, reporting and evaluation system.* * *Practices during the Project’s preparation and implementation phases to ensure effective cooperation with EU Delegation and EU Headquarters.*   ***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** | *Outline how the project will meet the EU visibility requirements for external actions, namely “Communicating and Raising EU Visibility: Guidance for External Actions”, which are available at* [*https://international-partnerships.ec.europa.eu/knowledge-hub/communicating-and-raising-eu-visibility-guidance-external-actions\_en*](https://international-partnerships.ec.europa.eu/knowledge-hub/communicating-and-raising-eu-visibility-guidance-external-actions_en)*.*  *In line with requirements set out in the 2022 “Communicating and Raising EU Visibility: Guidance for External Actions”, implementing partners have a general obligation to acknowledge the origin and ensure the visibility of any EU funding received. The costs associated with ensuring EU visibility (emblem and funding statement) count as eligible costs and should be factored into the budget under the relevant activity to which they relate.*  *Beyond ensuring EU visibility by prominently featuring the EU emblem and funding statement on any material and activity which relates to the Project, implementing partners are not required to undertake communication activities. Thus, implementing partners are not required to include a specific budget and communication and visibility plan as part of the grant application form. However, the implementing partners will ensure that the EU is regularly informed sufficiently in advance of any planned communication activity directly related to the Project, particularly those related to key implementation milestones. Whenever requested by the EU, the recipients of EU funding should support the EU’s communication actions (e.g. by providing content or supporting access to the Project for campaigns or media actions managed by the EU).*  *’The* [*WBIF Communication and Visibility Plan and Guidelines*](https://wbif.eu/storage/app/media/Communication%20and%20Visibility/wbif-cv-guidelines-and-plan-2023-24-web-version.pdf) *provide further details on the roles and responsibilities of the WBIF’s main stakeholders.* |

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| **33** | **Issues to be clarified before WBIF grant approval** | *Describe all the open issues that must be assessed before the WBIF approves the Project.*  *Include horizontal conditionalities associated with IPA (e.g. adopted national sector strategy) and specific commitments for implementing the Project (e.g. land planning issues).* |

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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), taking into account any restrictions imposed by banking regulations, confidentiality and compliance issues, etc.* | | | | |
| Institution | Contact person | Function | Phone | Email |
| Lead Financial Institution |  |  |  |  |
| Beneficiary authority |  |  |  |  |
| EU Delegation |  |  |  |  |
| Co-financier(s) |  |  |  |  |
| Private partner(s) |  |  |  |  |

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| **35** | **Date of submission by the NIPAC** | *This section is filled in automatically in MIS.* | **NIPAC Details** | *This section is filled in automatically in MIS.* |

**Annex 1: Key requirements checklist**

*Ensure this annex is as complete as possible.*

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| --- | --- | --- | --- |
| **Main requirements**: | | **Yes** | **No** |
|  | Operations covered by the WBIF benefit one of the following Beneficiaries: Albania, Bosnia and Herzegovina, Kosovo, Montenegro, North Macedonia, and Serbia. |  |  |
|  | The project belongs to one of the WBIF intervention areas: Sustainable transport | Clean energy | Environment and climate | Digital future | Human capital development. |  |  |
|  | The grant application form is submitted by the NIPAC and is endorsed by all relevant stakeholders. |  |  |
|  | The project is listed in the SPP. |  |  |
|  | All the elements of the project activities funded by the WBIF grant are, in principle, eligible for grant financing. |  |  |
|  | The project is consistent with the Economic and Investment Plan for the Western Balkans, Green Agenda for the Western Balkans, EU Pre-Accession Strategy, Economic Reform Programme, core directives, relevant sector policies and strategies, and national investment plans. |  |  |
|  | The activities of the project do not duplicate or overlap with other operations. |  |  |
|  | The Lead Financial Institution supports this application and has been consulted in preparing the grant application form. |  |  |
|  | The WBIF grant, as well as its calculation and justification, are clearly explained. |  |  |
|  | The technical and financial status of the project demonstrates that it fulfils the criteria on maturity. |  |  |
|  | The information provided in each section of the grant application form is consistent and coherent throughout the application. |  |  |
|  | All sections of the grant application form are filled out with the information requested. |  |  |
|  | All relevant stakeholders have been consulted when preparing the grant application form. |  |  |
|  | The description of the institutional framework demonstrates the beneficiary's capacity to define the investment and implement the project. |  |  |
|  | The values of the result indicators reflect the expected outputs and outcomes of the project. |  |  |
|  | The risks associated with the project have been defined, and appropriate mitigation measures have been identified. |  |  |
|  | Indicative project, action and procurement calendars are proposed, and the Lead Financial Institution has been consulted in their preparation. |  |  |
|  | The Lead Financial Institution has been consulted on the project’s contribution to climate change mitigation/adaptation and resilience. |  |  |

**Annex 2: Result Framework template**

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| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| *Please delete this box after filling in the section below*  The Result Framework must contain, as an absolute minimum, the **4 mandatory cross-sectoral indicators** plus those relevant mandatory and applicable Impact(s), Outcomes and Outputs per sector of intervention which can be found in the excel table **EFSD+ ReMF2023 – WBIF selection.**  It constitutes the basis for the monitoring, reporting and evaluation of the intervention.   * This completed Result Framework (e.g. including baselines/targets) must be presented as an annex to the GAF when the application is submitted via the WBIF MIS. This annex must be uploaded to the system as a separate document (a Word or PFD file).   Available in the WBIF MIS Library, under the “WBIF Indicators & RF Templates” tab (<https://mis2.wbif.eu/Library>) are: (i) the Result Framework Templates by sector, inclusive of relevant indicators and ready for use; (ii) the WBIF indicators list “EFSD+ ReMF2023 – WBIF selection”.   * In line with OECD/DAC terminology the term ‘results’ is understood to cover Outputs, Outcomes (Specific Objectives) and Impact(s) (Overall Objective(s)). * How to develop the Results chain column:  |  |  | | --- | --- | | The Indicative Result Framework should contain all mandatory as well as relevant Impact(s), Outcomes and Outputs per sector of intervention. | | | Impact(s) | Definition: Impact tends to be the long-term change the action contributes to (at country, regional, sector level in terms of benefit to the population) | | Impact statement formulation: avoid “contribute to” | | How many? One might sometimes be sufficient, but both intermediate and longer-term impacts are allowed and highly recommended. Impact should preferably be related to at least one objective defined in the **IPA III Programming Framework** but may also be selected from the relevant **EFSD+ Overarching priorities provided in the Impact Tab of the excel table “EFSD+ ReMF2023 – WBIF selection”.** | | Outcome(s) | Definition: An Outcome is a short to medium-term change in the behaviour of the target groups and/or effects on the political, social, economic and/or environmental areas targeted by EU action – the action will contribute to change at this level (it is under its influence but not direct control). | | How many? There can be both short- and medium-term outcomes. Please try to limit the number of Outcome(s) to 2-3 at the most.[[2]](#footnote-2) | | Please use past participle for the formulation (enhanced, increased, improved, adopted…)  Please avoid using causal links (‘by’, ‘in order to’…) | | Outputs | Definition: Outputs are direct deliverables or benefits of activities – under the direct control of the action | | Please use past participle for the formulation (strengthened, increased, improved…) | | Outputs are NOT activities |  * How to draft Indicators: * **Please select your indicators from the excel table “EFSD+ ReMF2023 – WBIF selection”. Please use indicators that are most relevant and pertinent.** * Please include at least one indicator for each result. Indicators should be formulated to measure progress towards the relevant result. * Indicators should be numbered so that they can be linked to the results they measure (see example in the Result Framework below). * Indicators must start with a unit of measure, either quantitative (‘number of people’, ‘km’, ‘percentage of’, ‘index’) or qualitative (‘level of’, ‘status of’, ‘extent to which’). Formulation of the indicators must be neutral, i.e. not include elements of the target such as ‘increase’, ‘improvement’, ‘better’. * Please disaggregate by sex, age and disability status when referring to and counting individuals, by urban/rural location, or any other relevant disaggregation reflecting the mainstreaming issues when relevant and possible. * Each indicator must have one reliable and accessible source of data. (In some cases, more than one source of data per indicator may be needed). * Baselines and targets are mandatory and must always be included. * Avoid repeating indicators for different results. * Please ensure that indicators relevant to the action are used. * External assumptions * Assumptions are external necessary and positive conditions – not under intervention management or entity control – that must hold in order for the result chain to be valid. They should be formulated based on the context analysis and the risk analysis. |

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

**ASSESSMENT**

**RESULT OF THE SCREENING PHASE**

|  |  |  |
| --- | --- | --- |
|  | To be filled by the Commission/ task manager after screening |  |

**RESULT OF THE ASSESSMENT PHASE**

|  |  |  |
| --- | --- | --- |
|  | To be filled by the Lead Financial Institution after the assessment process |  |

**RECOMMENDATIONS OF THE WBIF PROJECT FINANCIERS GROUP**

|  |  |  |
| --- | --- | --- |
|  | To be filled by the WBIF Secretariat after the PFG meeting |  |

**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 EWBJF Assembly of Contributors |  |

**DECISION ON THE APPROVAL OF THE GRANT**

|  |  |  |
| --- | --- | --- |
|  | To be filled by the WBIF Secretariat, specifying WBIF decision on approval, relevant comments on the substance of the grant, and conditions on approval. |  |

**PAYMENT OF THE GRANT FROM THE JOINT FUND**

**SIGNATORY OF THE LEAD FINANCIAL INSTITUTION**

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

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

**CONFIRMATION BY THE EUROPEAN COMMISSION**

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

**AMENDMENTS TO THE APPROVED GAF**

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

1. A fuller list of examples, by sector, is available in OECD’s Handbook for climate marking https://www.oecd.org/dac/environment-development/Revised%20climate%20marker%20handbook\_FINAL.pdf [↑](#footnote-ref-1)
2. For interventions covering more than one area of support, the number of outcomes can increase (keeping the total number reasonable). [↑](#footnote-ref-2)