

Guidelines for WBIF Technical Assistance Grants

Contents

Abbreviations and acronyms	2
1. Purpose of the Guidelines	3
2. Overall objective of the WBIF	3
3. General principles for grant support	4
4. Eligibility provisions	4
4.1. Geographical coverage	4
4.2. Eligible sectors	5
4.3. Eligible project promoters	8
4.4. Financial Institutions' involvement	8
4.5. Project readiness	8
4.6. Eligible activities	9
4.7. Eligible costs	9
4.8. Additionality of the WBIF grant	10
4.9. Complementarity with other EU support	11
4.10. Budget and scope of the Project and Action	11
4.11. Round specific conditions	11
5. WBIF grant application process	11
5.1. Submission of applications for technical assistance grants	12
6. WBIF screening and assessment process	12
7. Implementation of grants following approval by the Steering Committee	13
7.1. IPF grants	13
7.2. EWBIF grants	14
7.3. Extraordinary circumstances	14
Annexes	16
Annex 1: WBIF governance structure and related bodies	17
Annex 2: Sector development projects	18
Annex 3: Additional information on the WBIF Climate Change Window	19
Annex 4: Indicators	23
Annex 5: Reporting template	28
Annex 6: Communication and visibility requirements	32
Annex 7: Screening and assessment grid	33
Annex 8: WBIF regional support contact points	40

Abbreviations and acronyms

CC	Climate Change
CEB	Council of Europe Development Bank
DD	Detailed Design
DG ECFIN	Directorate-General for Economic and Financial Affairs
DG Energy	Directorate-General for Energy
DG Environment	Directorate-General for Environment
DG Move	Directorate General for Mobility and Transport
DG NEAR	Directorate-General for Neighbourhood and Enlargement Negotiations
EBRD	European Bank for Reconstruction and Development
EC	European Commission
ECS	Energy Community Secretariat
EE	Energy Efficiency
EIA	Environmental Impact Assessment
EIB	European Investment Bank
ERP	Economic Reform Programme
EU	European Union
EWBJF	European Western Balkans Joint Fund
IFI	International Financial Institution
IFICO	IFI Coordination Office
IPA II	Instrument for Pre-Accession Assistance for 2014-2020
IPF	Infrastructure Project Facility
KfW	Kreditanstalt für Wiederaufbau
Lead IFI	Lead Financial Institution
MIS	Management Information System
MSME	Micro, Small and Medium Enterprise
NIC	National Investment Committee
NIPAC	National IPA Coordinator
OECD	Organisation for Economic Co-operation and Development
PECI	Project of Energy Community Interest
PFG	Project Financiers' Group
PG	Paris Group
PPP	Public-Private Partnership
RCC	Regional Cooperation Council
REEP	Regional Energy Efficiency Programme for the Western Balkans
SC	Steering Committee
SEETO	South East Europe Transport Observatory
SPP	Single Project Pipeline
TA	Technical Assistance
TA GAF	Grant Application Form for Technical Assistance
TEN-T	Trans-European Transport Network
ToR	Terms of Reference
VAT	Value added tax
WB EDIF	Western Balkans Enterprise Development and Innovation Facility
WBG	World Bank Group
WBIF	Western Balkans Investment Framework

1. Purpose of the Guidelines

The Western Balkans Investment Framework (WBIF) is a joint initiative of the European Commission, the European Investment Bank (EIB), the European Bank for Reconstruction and Development (EBRD), the Council of Europe Development Bank (CEB), the Kreditanstalt für Wiederaufbau (KfW), the World Bank Group (WBG), the Western Balkans beneficiaries and bilateral donors aimed to enhance harmonisation and cooperation in investments for the socio-economic development of the Western Balkans.

The WBIF pursues two main objectives: (1) the pooling of grants, loans, other forms of financing, contributions and expertise to prepare and finance a common pipeline of priority infrastructure and socio-economic development projects and, concurrently, support the EU accession process of the Beneficiaries; (2) to strengthen coordination among parties to improve the positive impact and visibility of these priority investments in the Beneficiary countries.

The aim of these Guidelines is to assist the WBIF stakeholders, in particular officials from relevant institutions in the Beneficiary countries, in preparing and submitting successful applications for technical assistance grants by a) ensuring that the most appropriate projects are submitted and b) helping improve the quality of grant applications, thus enhancing the screening and assessment process.

These Guidelines deal only with applications for technical assistance grants. Applications for investment grants are covered by different guidelines, and the financial assistance offered by WBIF-supported investment facilities, such as the Western Balkans Enterprise Development & Innovation Facility (WB EDIF) or the Regional Energy Efficiency Programme (REEP), is governed by the rules and procedures specific to each facility¹.

In these Guidelines, the following terms have the meaning defined below:

- **Action:** means a part of a Project, in relation to which the Beneficiary seeks the financing of a Grant for that action from the WBIF resources.
- **Beneficiary(ies):** Albania, Bosnia and Herzegovina, the former Yugoslav Republic of Macedonia, Kosovo^{*2}, Montenegro, and Serbia.
- **Lead Financial Institution:** means each Financial Institution eligible to implement Actions under the WBIF (i.e. CEB, EBRD, EIB, KfW, and WBG).
- **Project:** means an overall investment project to be presented to the Steering Committee of the WBIF for financing under the WBIF.

This document is supplemented with information available on the WBIF website (www.wbif.eu).

2. Overall objective of the WBIF

The WBIF primarily aims at addressing the infrastructure investment needs of the Western Balkans region and at supporting the EU accession process of the Beneficiaries through provision of finance and technical assistance for strategic investments, particularly in infrastructure, energy efficiency, and private sector development. Projects should contribute to competitiveness, growth, and job-creation in the region with due regard to gender equality as well.

The essence of the WBIF process is the coordinated effort that goes into preparing and selecting priority projects for financial support, thereby “blending” internationally financed grants and loans with domestic finance to expedite the implementation of investments that lead to fulfilment of strategic priorities

¹ For information, please visit <http://www.wbedif.eu/about-wb-edif/>; <http://www.wb-reep.org/eng/about>

² *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.

defined in national, regional and EU accession policies contributing to socio-economic development of the Beneficiaries. The WBIF also supports general sector studies and capacity building assistance that will facilitate investment in the Western Balkans region. A description of the WBIF governance structure and related bodies is provided in Annex 1.

3. General principles for grant support

Key aspects that should be considered when preparing applications for WBIF financing are:

- Beneficiary ownership, long-term sustainability, and a clear financing perspective for the implementation of projects are the guiding principles of the WBIF.
- 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 tendering support should not be part of the Action but rather make the subject of a future proposal for financing should the feasibility study prove positive.
- Proposals should, as well as responding to the priority focus noted above, clearly demonstrate that the Project for which the WBIF assistance is sought is consistent with the EU Pre-Accession Strategy, Economic Reform Programme (ERP), and relevant adopted national sector strategies. In the case of sectors for which regional coordination mechanisms exist or may be established in the future, projects should also be consistent with the priorities identified by such mechanisms.
- Project proposals should as a general principle be identified and prioritised in the “Single (National) Project Pipeline” compiled within the remit of a National Investment Committee (NIC)³ or equivalent national structure.
- The applications must demonstrate that the long-term financial sustainability and the impact of (especially large-scale) projects on public debt have been considered. Applications can be strengthened in this respect by ensuring that the Ministry of Finance is invited to comment on the proposal and that these aspects are reflected in the application.
- Projects proposals must be consistent with the specific policies, rules, procedures, and standards (socio-environmental standards including the promotion of gender equality) of each source of funding.
- Projects selected for support through the WBIF should generally benefit from both financing provided by the financial institutions participating in the Joint Lending Facility (the “JLF”) (see Section 2.1.9 of the “WBIF Rules of Procedures”) and financing provided through the Joint Grant Facility (the “JGF”) (see Section 2.1.10 of the “WBIF Rules of Procedures”). On an exceptional basis, technical assistance grants may be provided under the JGF for standalone assignments not directly linked to the existence of financing under the JLF.
- The number of projects that can be supported and the size of the contribution thereto are dependent on the resources available in the European Western Balkans Joint Fund (EWBJF) and those made through the Infrastructure Project Facility (IPF).

4. Eligibility provisions

The following provisions apply in relation to the selection of projects for financing TA under the WBIF:

4.1. Geographical coverage

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

³ Set up in 2015, the purpose of the NIC is a) to increase transparency in the selection process of the investment projects, b) ensure the highest level political commitment for priority investments; and c) improve the coordination of the various actors involved in financing and implementing priority projects.

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

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

4.2. Eligible sectors

Eligible projects are envisaged to support any sector that contributes to the economic, social, and environmental development of the Western Balkans, including:

- i) Environment including *inter alia* water supply, wastewater treatment, sewage systems, solid waste and hazardous waste management, emission control, flood prevention and mitigation measures;
- ii) Energy including *inter alia* generation (with preference to renewable technologies), co-generation, transmission (electricity, gas, and oil), interconnection systems, storage, hydro, gas pipelines, district heating, energy efficiency and savings;
- iii) Transport including *inter alia* railways and inland waterways and further including river ports, roads, seaports, airports, border facilities, intermodal terminals, and urban transport;
- iv) Social projects including *inter alia* schools and education centres, hospitals and health centres, social housing, employment centres and other facilities promoting employability, reclusion centres and other public buildings;
- v) Small and medium sized enterprises and private and financial sector support;
- vi) Other sectors supporting socio-economic development as agreed by the Steering Committee by consensus
- vii) Sector development studies: studies which provide information, analysis and, where relevant, recommendations that support the development of investments and/or improve the investment climate in the Western Balkans. The impact on gender equality of the developments proposed for the selected sector should also be analysed as part of these studies. Such projects must have benefits for the wider region and specific instructions applying to these are provided in Annex 2.

In compliance with the revised approach of the Instrument for Pre-accession Assistance for 2014-2020 (IPA II), the WBIF financial support is available for investments in all eligible sectors if these are included in the Indicative Strategy Papers, and to all Beneficiaries regardless of their candidate status.

4.2.1. Specific sector considerations

There are specific sector factors that project promoters should consider in the preparation of proposals. First, after satisfying that projects meet the overall objective of the WBIF of supporting priority investments in line with the EU accession objectives, it is essential that projects also comply with the adopted national strategy for that sector and with relevant national and regional development plans and strategies, particularly those relating to the relevant specific sector.

When preparing applications, promoters should take into consideration their relevance to the implementation of the following regional and national policies and strategies:

- Connectivity Agenda, which recognizes that well-developed and interconnected infrastructure for transport and energy is a key driver for economic growth and jobs as well as for attracting new investments in the region.
- South East Europe 2020 strategy, regional strategy that facilitates national efforts to improve integrated, smart, sustainable, and inclusive growth as well as governance for growth. It mirrors the

EU's 2020 Agenda but is adapted to the specific circumstances of the Western Balkans.

- EU Strategy for the Danube Region.
- National development plans and country strategy papers.
- Climate change issues. A Climate Change Window was introduced to the WBIF in June 2013⁴ with the aim to (i) assist in identifying the contributions to climate finance (mitigation and adaptation) from each project and (ii) to encourage an improved design of infrastructure projects so that investments are made more resilient to current and future climate risks.

The assessment of contributions to climate finance (mitigation and adaptation) is done by the Lead IFI in the assessment stage. It is based on the Rio Markers methodology that examines if climate change is the principle objective of a project, one of the objectives (significant) or it is not an objective. The Lead IFI may propose a specific percentage of the project budget that contributes to climate change based on its own methodology. Tracking climate finance commitments is the responsibility of the financiers, not of the Beneficiaries.

To improve project design and implementation and, subsequently, minimise the impact of climate change risks on the project and make the project more resilient to climate change, the grant application should provide information on issues such as the potential contribution of the project to greenhouse emissions reduction, any assessment of climate risks, and measures to improve the climate resilience of the project. The requirements in terms of information provided and level of detail will depend on sector and maturity of the project (e.g. pre-feasibility, feasibility study, detailed design, supervision of works, etc.). Annex 3 of the Guidelines provides checklists that can be used by the Beneficiaries in determining the information related to climate change mitigation/adaptation that must be provided in the grant application.

It is important to note that these initial assessments should be done in consultation with the proposed Lead IFI as all financial institutions have standard methodologies and tools to identify and assess the information. the Lead IFI can further elaborate the climate risks and the resilience measures in the assessment stage when it scores the Rio Markers.

4.2.1.1. Energy sector

The relevant EU framework: Energy Community Treaty (<https://www.energy-community.org>).

The implementation of the Treaty by Beneficiaries is supported by the Energy Community Secretariat (ECS), which has established working groups such as the Energy Efficiency Task Force, the Environmental Task Force, and the Energy Strategy Task Force to advance work in the different areas. All Beneficiaries have representatives on these working groups who should provide information on the key issues arising and priority investment needs.

For WBIF financing, investment projects that feature on the list of Projects of Energy Community Interest (PECI) adopted by the Ministerial Council of the Energy Community Treaty, or qualify as Projects of Mutual Interest will receive attention.

An important factor, particularly relevant in this sector, is to distinguish between projects that need EU grant intervention and projects that can, and should, proceed on a commercial basis using private finance. As an example of the latter, petroleum or gas distribution pipelines that add to an existing network are cases where private finance usually enables project preparation and implementation. However, where a transmission line fits within a national and EU strategy, support can be considered. Under no circumstance should a WBIF project have market distorting effects, whereby support gives an unfair commercial advantage. Some cases may be ambiguous, for example wind farms are normally not grant supported. However, WBIF has accepted a general principal that where a country has no such facility or established private sector provision, "pilot projects" can be justified in order to pioneer

⁴ Climate Change Windows were requested by the European Commission and introduced to all EU Blending Facilities worldwide.

and stimulate market participation.

4.2.1.2. Transport sector

The current relevant EU framework for the transport sector is the Memorandum of Understanding (MoU) on the Development of the South East Europe Comprehensive Transport Network. The implementation of the MoU is supported by the South East Europe Transport Observatory (SEETO). All Beneficiaries are represented on the SEETO Steering Committee, which is co-chaired by the European Commission.

The SEETO Comprehensive Network is aligned with the EU Trans-European Transport Network (TEN-T), and SEETO, through its regular Ministerial Meetings and annual updates of the Five Year Multi-Annual Plan, systematically highlights the priority investments as defined by the Western Balkan countries themselves, in particular in road, rail and inland waterways, and supports work on various aspects of transport policy. In June 2015 in Riga, the Commission and Ministers of the Western Balkan States agreed on the indicative extension of the TEN-T Core network and the TEN-T Corridors into the Western Balkan countries and on the extension of the mandate of the Corridor Coordinators into the region.

In principle, only projects situated on the Core Network may receive WBIF support (technical assistance and investment grants included). Exceptionally, the WBIF might finance technical assistance for a project which is part of the TEN-T Comprehensive Network if it is agreed by relevant stakeholders that the project has strong positive impact on the Core Network and/or has strong indication of being included in the revision on the Core Network.

All modes of transport can be considered, for both passenger and freight.

4.2.1.3. Environment sector

The relevant EU framework is set by several demanding and input intensive directives that must be transposed and implemented by the Beneficiaries. Implementation will in many cases require considerable investments. Directives that may require such investments include:

Water Supply / Wastewater Treatment	Waste Management
Urban Wastewater Treatment Directive	Landfill Directive
Drinking Water Directive	Waste Incineration Directive
Dangerous Substances into Water Directive	Waste Framework Directive (Hazardous Waste)
Nitrates Directive	Sewage Sludge Directive
Bathing Water Directive	
Floods Directive	
Air Pollution Control	Industrial Pollution Control
Large Combustion Plants Directive	Industrial Emissions Directive
Fuel Quality Directives	
Air Quality Directives	

To prioritise environment investments, several regional environment programmes and studies are of relevance to the WBIF. Current/on-going initiatives where investments are foreseen include the Danube Strategy, various River Basin Management Plans including the Danube River Basin Management Plan, the Sava River Basin Management Plan, and the Task Force on Environment. In several cases, investments' prioritisation has been carried out under these initiatives.

Given the magnitude of the investments' requirements, project promoters may consider focusing on projects of a particular size. For example, the EU Directive on urban wastewater treatment requires that agglomerations of >2,000 population equivalents (p.e) are provided with collecting systems for urban wastewater. When the Directive entered into force, the EU Member States had a gradual approach in implementing its requirements; by the end of 2000, all agglomerations of >15,000 p.e. had to be provided

with wastewater collecting system, and five years later those of 2,000 -15,000 p.e.

4.2.1.4. *Social sector*

Unlike the other WBIF sectors, there are no specific EU directives or *acquis* for social sector infrastructure but investments should comply with the provisions of Chapter 19 (Social Policy and Employment) and Chapter 28 (Consumer and Health Protection) among others. Alignment with the Bologna Process in education is also important.

There is no social sector specific dedicated regional body; however, the Regional Cooperation Council (RCC) provides a regional focus for social matters⁵.

While the emphasis of WBIF projects is hard infrastructure (e.g. schools, hospitals, judiciary facilities, prisons), the WBIF facility of “sector development” projects allows for studies on social policy and related issues to facilitate the prioritisation of capital investments in this sector.

4.2.1.5. *Small and medium sized enterprises and private and financial sector support*

This sector is focused on the Business-Related Infrastructure (BRI) including *inter alia* industrial parks, business/office parks, competitiveness clusters, technology parks, information and communications technology (ICT), tourism, and cultural heritage infrastructure, as well as capacity building measures linked to private sector development.

4.3. *Eligible project promoters*

Projects selected for WBIF financing may benefit:

- 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.

4.4. *Financial Institutions’ involvement*

All projects should have a “Lead Financial Institution” (Lead IFI) that is either expected to contribute in financing the investment for which preparation support is sought or which has already allocated funds to an investment for which support is needed to facilitate its implementation.

There can be more than one Financial Institution interested to co-finance projects and, indeed, co-financing is encouraged for suitable projects. The project promoters must indicate in the grant application form which Financial Institution(s) is participating and to provide a contact person thereof.

Project promoters must consult with the Lead IFI on the proposed project before its submission, and the Lead IFI can contribute in preparing the grant application.

The Financial Institutions that can lead are CEB, EBRD, EIB, and KfW. WBG can act as lead financier for Kosovo and for “sectoral” development studies. For the other Beneficiaries, it can only co-finance investments with other Financial Institutions or with the Commission unless a specific decision of the PFG allows it to lead.

4.5. *Project readiness*

As the aim of the WBIF is to expedite priority investments in key sectors, proposals should be submitted

⁵ For additional relevant information, please refer to <http://www.rcc.int/>

only for investments that:

- a) are clearly indicated as part of a national or sectoral development plan/strategy adopted by the Beneficiary country(ies) and are part of the Single Project Pipeline developed by the National Investment Committee (NIC) or equivalent national structure.
- b) comply with the EU policy and pre-accession programme.
- c) abide to the Beneficiaries' commitments under relevant international and/or regional agreements. For example, the Energy Community Treaty, or the agreement between the Commission and Ministers of the Western Balkan States on the indicative extension of the TEN-T Core Network and the TEN-T Corridors into the Western Balkan countries.
- d) are eligible for national co-financing and are supported by one or more IFI with prospective lending. For example, projects should be included in the medium-term expenditure forecast or other Ministry of Finance documents and the impact of the associated loan(s) on public debt acknowledged and managed.
- e) have a high expectancy that a realisable investment plan will be concluded as result of the WBIF support.
- f) For projects where preparatory studies are under development (e.g. the feasibility study is being prepared), new financing will not be provided until these studies are complete. Similarly, where a grant has already been awarded but not disbursed, additional support will not be considered.

Specific information on all the above must to be provided in the grant application form.

4.6. Eligible activities

The WBIF grant financing can be used for the following activities:

- i) Technical assistance to prepare investment projects (e.g. feasibility studies, impact assessments, detailed design, etc.), construction supervision (up to 100% of construction supervision cost), and targeted capacity building and implementation support.
- ii) Technical assistance to overcome specific obstacles delaying the preparation or implementation of projects. For faltering projects, a thorough analysis of the causes thereof as well as a clear and logical use of the grant to drive their progress must be provided in the grant application. As a general principal, the WBIF will not add more subsidy to an existing investment but will consider support for improving the policy/regulatory environment of that investment through capacity building.
- iii) Technical assistance for research and analysis facilitating the development of investments in a sector or subsector (sector development studies). The conditions applicable to sector studies are included in Annex 2.

4.7. Eligible costs

All elements of the eligible costs of a project are in principle eligible for grant financing dependant on the approval of the Steering Committee. When calculating the eligible costs of a project that may benefit from grant financing, the rules and procedures of the European Commission, the partner IFIs, and the EWBIF will apply.

In particular, to be eligible for EU funding, costs must:

- be necessary for the implementation of the Action, be included in the estimated budget attached to the Contribution Arrangement, be reasonable and justified and consistent with the principles of sound financial management, in particular in terms of value for money and cost-effectiveness;
- be generated during the lifetime of the project (i.e. during the period of eligibility for EU funding as will be specified in the Contribution Arrangement);
- be identifiable and verifiable.

Beneficiaries must take care to avoid any unnecessary or unnecessarily high expenditure.

As a rule, the following costs related to any Action are **not eligible**:

- grants may, as a rule, only cover costs incurred after the date on which the Contribution Arrangement is signed between the Commission and the Managers of the Joint Fund. In this case, expenditure incurred before the submission of grant application is, as a general rule, not eligible for financing. Exceptionally, a grant may be awarded for an Action which has already begun only where the applicants can demonstrate and justify the need to start the Action before the Contribution Arrangement is signed.
- the cost of purchase of land or buildings, except where justified and necessary for the implementation of the Action and expressly set out in the grant application form for technical assistance (TA GAF) as approved by the Steering Committee;
- value added tax (VAT) to the extent that VAT is recoverable.
- fines, financial penalties, and expenses of litigation;
- 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.

4.8. Additionality of the WBIF grant

The additionality of the grant refers to the positive results that the WBIF grant achieves above and beyond what could have been achieved without the grant. WBIF support is additional in that it

- i. makes the difference between a project going ahead or being blocked; and/or
- ii. improves a project's design, quality, timing, sustainability, innovation, impact and/or scale.

The additionality of the grant should be identified among the categories listed in the table below. Some types of additionality are quantifiable, and the Beneficiaries should make all the efforts to do so. Other types may not be quantifiable and these should be addressed in a qualitative manner. Where a qualitative method is chosen, the reasons for such choice should be properly explained and substantiated. Evidence should be provided to support claims of additionality where possible.

For a specific EU grant contribution, the applicant should select from the list below and document only the relevant type(s) of additionality.

Type of additionality	Aspects to be considered
Economic	What are the economic benefits of the grant funding proposed? Why is the proposed grant funding necessary for the project?
Financial	What are the financial benefits of the WBIF's contribution to the project? How will this impact the end beneficiaries? E.g. through broadening access to finance to target groups; lowering end-user tariffs thereby increasing affordability of the services etc.
Project scale	How will the grant funding increase the scale of the project? Will it widen the results of the project; or extend the benefits to more people?
Project timing	In what way does the grant element have a positive effect on the timing of the project and/or the benefits it is expected to deliver?
Project quality, standards, social	How will the grant funding improve the quality of the project's expected outcomes? How will the grant funding improve the project's chances of success? How will the grant enable promotion of higher standards (socio-environmental standards including the promotion of gender equality) and more substantial social or global public good returns than would otherwise be possible?
Innovation	What are the innovative aspects of the project that could not be generated by or within the target environment without grant support? Why is the proposed innovation important?

Sustainability	Does the grant funding help support further or parallel activities to ensure that benefits continue beyond the life of the project? For example, does the grant funding contribute to structural reforms, support changes to legislation, regulation or policy? Does the grant finance enable demonstration effects to other participants in the market place?
Other benefits	Other benefits/positive externalities may be realised by the project (or negative externalities avoided), which would not happen without the presence of the grant component. Are there any significant benefits outside of the main/primary objectives of the loan operation that grant funding could bring?

The use of scarce grant funding is only justified when significant additionality is demonstrated. The additionality of the grant must be demonstrated in the section “Additionality of WBIF grant” of the grant application form for technical assistance (TA GAF).

4.9. Complementarity with other EU support

Project proposals must complement and not duplicate or displace other EU support mechanisms or other donor programmes supported or planned. Projects must be considered with reference to national priorities and support from the Instrument for Pre-accession Assistance (IPA). The EU Delegations will be consulted on the individual grant applications in the screening phase and, ideally, they should be consulted by Beneficiaries in advance, during the preparation of proposals.

4.10. Budget and scope of the Project and Action

The budget and scope of the project must be defined in the application. Once approved by the Steering Committee, grants can be spent only and exclusively for the scope of the project for which they have been approved.

As regards grants awarded to support technical assistance actions, exceptionally low variances in budget are permissible and only on a case by case basis and in justifiable conditions. These require prior approval as provided for by the policies, rules and procedures of the funding source of the grants. For significant variations in budget and/or scope of the project, a new submission and its approval by the Steering Committee are required.

4.11. Round specific conditions

Depending on available funds, priorities and considerations at the launching of a call for proposals (“round”), the Steering Committee may decide on particular eligibility criteria or other specifications for participating in an individual round. These may apply to the eligibility of the action (for example, the types of activities, sectors, geographical coverage of the projects covered by the round), and/or to the eligibility of the beneficiary entity (for example, the project promoter’s legal and administrative status).

All the eligibility criteria and specifications are communicated by the Steering Committee at the launching of a call for proposals/round.

5. WBIF grant application process

The Steering Committee decides on a regular basis to call for proposals, setting the eligibility criteria and/or other specifications that apply to individual calls for proposals and the deadline for submitting the applications. As a rule, there are two calls (rounds) per year, thus planned to allow the approval of grants at the Steering Committee meetings in June and December. The frequency of the rounds depends on funds’ availability.

The calls are issued by the WBIF Secretariat, sent to all National IPA Coordinators (NIPACs), which are responsible for their further dissemination in the countries, and published on the WBIF website. The proposals are submitted to the Project Financiers’ Group (PFG) by the Beneficiaries by way of the grant

application form for technical assistance grants (TA GAF) and in observance of the deadlines set out by the Steering Committee (see also Annex 1: WBIF governance structure and related bodies).

The TA GAF requires input from various stakeholders, including the Lead IFI and the Finance Ministry and adequate time and notice should be for their consultation and input preparation.

All applications for grants must be submitted online via the Management Information System (MIS). The TA GAF and instructions on how to fill in the application form are available as a separate document accompanying these guidelines (“WBIF TA Grant Application Form”).

5.1. Submission of applications for technical assistance grants

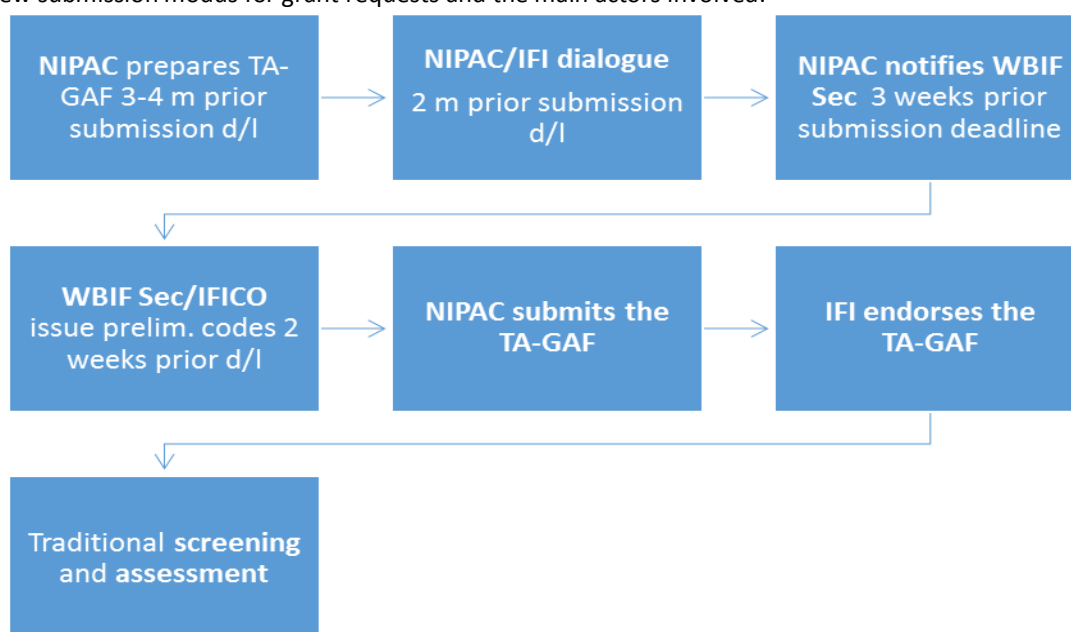
Applications for WBIF support can be submitted by:

- i) A NIPAC office, following consultations with the Lead Financial Institution (Lead IFI);
- ii) An IFI, following consultations with NIPAC(s);

For regional projects, that is those that benefit two or more Beneficiaries and may include an EU Member State, the lead applicant (i.e. NIPAC, IFI) is responsible for submitting the application. Other supporters must be indicated in the application, and formal expressions of support from a competent government authority must be attached thereto.

5.1.1. New submission modus

Following the endorsement of the 14th WBIF Steering Committee meeting in Oslo, a revised submission modus of proposals applies. Under this new modus, the NIPACs enter an early dialogue with the Financial Institutions and apply, at least three weeks ahead of the submission deadline, to the WBIF Secretariat, for a preliminary grand code (the MIS/IFICO issues this code). Then, the NIPAC submits the grant applications before the submission deadline, followed by a second deadline, for the Lead Financial Institutions to endorse the application. The key dates of all the stages applicable to an individual round are communicated by the Steering Committee at its launching. The diagram below outlines the stages of the new submission modus for grant requests and the main actors involved:



6. WBIF screening and assessment process

The grant requests follow a clearly defined review and approval process from submission through to the Steering Committee decision:

- 1) Receipt of applications online via the MIS by the Project Financier’s Group.

- 2) **Screening**: the grant requests presented by the Beneficiaries are analysed under the lead of the Commission (DG NEAR) with the aim of drawing a list of eligible projects ready for assessment. The analysis/consultation is launched by the WBIF Secretariat via MIS and involves the EU Delegations, relevant line Directorates General (e.g. DG Move, DG Energy, DG Environment), international/regional sectoral organisations (e.g. Energy Community Secretariat, South East Europe Transport Observatory), DG NEAR geographical teams, IFICO and IPF. Pursuant to their competency, except for IFICO and IPF, they comment on each project's consistency with national (sector) and regional strategies, national and regional investment plans, with the IPA priorities and relevant EU policies (pre-accession agenda, Economic Reform Programme (ERP), sector priorities, competition rules, etc.), potential for IPA support (outside the WBIF) and other donor funding, and appropriateness of the mix of funding sources. IFICO comments on each project's support by the Beneficiaries and NIPACs as priority investments and provides technical advice on the urgency and maturity of the grants requested, on the clarity of the proposed use of the grants and on the amounts requested. IPFs are consulted on different technical aspects of the grants requested, in particular when they have been involved in previous phases of a project.

The screening results/conclusions are considered in the Paris Group (PG) meeting, an informal meeting of the European Commission, CEB, EBRD, EIB, KfW, and WBG, with the possible participation of concerned bilateral donors, and the grants screened positively are selected for further consideration (assessment).

- 3) **Assessment**: eligible grant requests are assessed online via MIS, under the lead of the Lead IFI, against technical quality, compliance with environmental and social standards including promotion of gender equality, and additionality of the grant, financial and economic sustainability, credit risks and legal aspects.

The following criteria are used to assess and prioritise the eligible projects: rationale for use of grant funds, including project maturity and urgency, regional/cross-border impact, conformity with socio-environmental standards, economic and financial soundness, capacity of Beneficiary institution, financing perspective, project's contribution to climate change mitigation and/or adaptation (including scoring of Rio Markers) and climate resilience issues, grant application form completeness.

A second PG meeting is held, with similar participation to the former, where the assessment conclusions are considered.

- 4) The Project Financiers' Group (PFG) considers the screening and assessment conclusions and recommends a list of projects which are eligible under the WBIF for approval to the Steering Committee.
- 5) **Approval**: grants recommended for approval by the PFG are submitted to the Steering Committee and are presented by applicants and participating Financial Institutions at the Steering Committee meeting. The Steering Committee takes the decision of grant award. This concludes the grant application cycle, and the approved grants enter into the implementation phase.

7. Implementation of grants following approval by the Steering Committee

The implementation of grant support from the WBIF follows the policies, rules and procedures of the relevant funding source. The progress achieved is systematically monitored through the MIS and reported to the PFG and the Steering Committee through semi-annual monitoring reports (see also Annex 5: Reporting Template).

7.1. IPF grants

The grants implemented via the IPF currently use only EU funds from the IPA budget and are for technical assistance in project preparation and/or implementation. The work is done by IPF contractors undergoes the following main steps:

- Terms of reference (ToR) for the Actions supported by the grants approved are prepared by IFICO or

by an IPF contractor, in cooperation with the Beneficiary and the Lead IFI. After completion, they are shared with a wider stakeholder base for consultation.

- Once ToR are accepted, an IPF consultant is assigned to carry out the tasks defined in the ToR.
- The progress achieved in implementing the Actions is reported bi-monthly and in meetings with relevant stakeholders.
- Upon work completion, the deliverables and outputs are presented by the IPF contractor to the Beneficiary and the Lead IFI. A presentation and workshop are usually held to communicate and disseminate results.
- The IPF consultants secure “no-objection letters” from the Beneficiary and the Lead IFI to the services rendered and deliverables provided/results obtained.

In addition, during the implementation of the grant, a semi-annual monitoring report based on information supplied by the IPF contractor is submitted to the WBIF Secretariat by 30 April and 31 October. The data are made available through MIS, whereby input is ensured by the relevant Contracting Authority of the IPF contractor.

7.2. EWBIF grants

For grants financed from the EWBIF, the Actions are implemented by the Lead IFI under the General Conditions of the EWBIF and in accordance with the applicable policies and procedures of that Lead IFI.

Each Lead Financial Institution provides, by 31 March each year, an annual implementation report for each Action (including each completed and/or each ongoing Action) implemented in the preceding calendar year. The annual implementation report is submitted by each Lead IFI to the EIB who will consolidate the provided data into a summary implementation report for the Assembly of Contributors. A copy of the summary implementation report is provided to the WBIF Secretariat.

In addition, each Lead IFI updates relevant data in the MIS with key progress data relating to the implementation of each Action which are used as an input into the semi-annual monitoring report produced by the WBIF Secretariat. Such data are updated by each Lead IFI by 30 September and 31 March each year.

7.3. Extraordinary circumstances

Specific procedures have been agreed upon and put in place for those situations where an approved grant does not progress in accordance with the grant application.

The WBIF grants which do not evidence satisfactory implementation progress will be withdrawn. Following the WBIF 12th Steering Committee meeting in Rome, the following procedure has been adopted for the “Monitoring of the WBIF pipeline of projects in close cooperation with the Lead Financial Institutions”. The WBIF Secretariat, with the support of IFICO, will annually consult and meet with the Financial Institutions, DG NEAR and the IPF contractors at one of the Lead IFIs’ headquarters. The purpose of this exercise is verification of the information found in the MIS (i.e. correct and up-to-date information) as well as highlighting projects with slow progress that may be subject to cancellation. The EU Delegations will also be consulted with a view of identifying problems. A list of pre-identified (slow moving) projects will be sent to the Lead IFIs one month ahead of the review meeting. This list will be based on the following criteria:

- a) when the preparation of the ToR has not started one year after the approval of the grant by the Steering Committee;
- b) when the implementation of the Action has not started two years after the approval of the grant by the Steering Committee;
- c) when the Action has not reached completion by the end date indicated in the grant application form or four years after the approval of the grant by the Steering Committee

The PFG reviews the list of projects that have not progressed and recommends the cancellation of grants where it is deemed that progress cannot be achieved as envisaged. The financial allocations of these grants is then returned to the overall WBIF resources.

Annexes

Annex 1: WBIF governance structure and related bodies

Annex 2: Sector development projects

Annex 3: Additional information on the WBIF Climate Change Window

Annex 4: Indicators

Annex 5: Reporting template

Annex 6: Communication and visibility requirements

Annex 7: Screening and assessment grid

Annex 8: WBIF regional support contact points

Annex 1: WBIF governance structure and related bodies

The governance bodies of the WBIF are the Steering Committee and the Project Financiers' Group.

The Steering Committee

The Steering Committee provides strategic orientation on the WBIF and takes decisions related to the selection of projects eligible for grant support. An approval by the Steering Committee is a precondition for any financial support under the WBIF.

The Steering Committee is composed by representative of the European Commission, partner IFIs and contributors to the EWBIF. The Beneficiaries, EU member states not contributing to the EWBIF as well as the Regional Cooperation Council and other expert bodies associate with the regional networks (e.g. Energy Community Secretariat, South East Europe Transport observatory) participate at meeting as observers. It is co-chaired by the European Commission (permanent) and one of the contributors to the EWBIF (on a rotating basis every 12 months) and meets at least twice a year.

Project Financiers' Group

The Project Financiers' Group (PFG) provides a single-entry point for requests for grant support under WBIF and is responsible for screening and assessing the requests for financial support. It is also responsible for the coordination of approved grant operations.

The PFG is composed of representatives of the European Commission (DG NEAR coordinates the participation of all relevant Commission services), partner IFIs and bilateral financial institutions of development agencies of EWBIF contributors. The Group is co-chaired by the European Commission (permanent) and by the EIB, EBRD or CEB (on a rotating basis every 6 months).

WBIF Secretariat

The WBIF Secretariat is hosted by the European Commission (DG NEAR) and its main role is to prepare, support and implement decisions of the PFG and the Steering Committee. In particular, the Secretariat issues calls for proposals for projects and manages the screening and assessment process. It is supported by technical assistance:

- Infrastructure Project Facility (IPF): is a substantial EC-financed facility for the WBIF that provides teams of technical experts, to assist beneficiaries and financiers with the preparation of infrastructure projects that have been identified as a priority by WBIF stakeholders. IPF assistance is also made available to assist with investment implementation where approved by the WBIF Steering Committee and IPF supports the operation of the PFG.
- IFI Coordination Office (IFICO): an EC-financed project that supports better coordination and communication among the EC, Financial Institutions, bilateral donors and beneficiaries in the Western Balkans. In particular it supports the Steering Committee through horizontal advisory and logistical tasks and manages the WBIF website and MIS.

National IPA Coordinators

The National IPA Coordinators (NIPACs) represent the Beneficiaries under the WBIF and are the direct link between the WBIF stakeholders and the NICs or equivalent national structures for project prioritisation. Applications for grant support under the WBIF must be submitted by the NIPAC(s) of the Beneficiary country(ies). For regional sectoral projects, the applications can be submitted by the relevant sectoral organisation, but they must be accompanied by official letters of support from relevant NIPACs. The NIPACs also present the project proposals for financial support at the Steering Committee meetings.

Annex 2: Sector development projects

Introduction

Projects comprising research and analytical studies are eligible for funding under the WBIF up to an indicative limit of € 5 million per year. To guide applications for such projects and to facilitate their assessment by WBIF structures, the following guidelines have been agreed.

Overall objective of the “sector development projects” under WBIF

To provide WBIF stakeholders with information, analysis and where relevant recommendations that support the development of investments and/or improve the investment climate in the Western Balkans.

Characteristics of eligible projects

- Projects should address one or more of the WBIF sectors – energy, environment, transport, social issues (including infrastructure) and private sector development. Cross cutting/horizontal issues (e.g. fiscal policy, public-private partnerships, etc.) are also eligible.
- In general projects should be “multi-beneficiary” in nature, either in the form of a clear cross-border externality (often the case in infrastructure such as energy, transport) or by highlighting common features that are shared by several countries in the region due to their shared policy and institutional legacies (e.g. in environment or in socio-economic areas such as education and health).
- Where a project is proposed for one beneficiary it should have clear application for and support from other beneficiaries.
- Sectoral projects should be developed and undertaken in close cooperation with the relevant regional organizations/programmes (Energy Community Secretariat, South East Europe Transport Observatory, Regional Cooperation Council, Environment and Climate Regional Accession Network, etc.).
- The results of any projects are to be made available to all WBIF stakeholders.

Project application and implementation

- In line with standard WBIF procedures, applications for study projects should be submitted as part of the regular calls for proposals.
- Applications can be submitted by NIPACs or by regional sectoral organizations with the support of NIPACs. All the NIPACs will have to support the proposals for regional projects.
- Applications must be endorsed by a Lead IFI (or other competent body, the European Commission or bilateral donor as may be necessary) before submission. The Lead IFI will take overall responsibility of the project if it is approved.
- Upon approval, a project will enter the standard WBIF monitoring process and relevant information on implementation must be provided via MIS and to the PFG and/or Steering Committee meetings.
- Project developers and implementers will liaise with the IFICO to ensure greater coordination with WBIF policy and strategy activities and other related activities.
- All reports will be produced as WBIF Policy and Strategy Discussion Reports and will be presented as appropriate at the WBIF events and relevant sectoral meetings.

Annex 3: Additional information on the WBIF Climate Change Window

This annex provides guidelines to the Beneficiaries providing information on climate change aspects in the application form. The Beneficiaries are requested to provide information on climate change in the following two sections of the application form:

- Contribution to climate change mitigation/ adaptation; and
- Eligibility checklist.

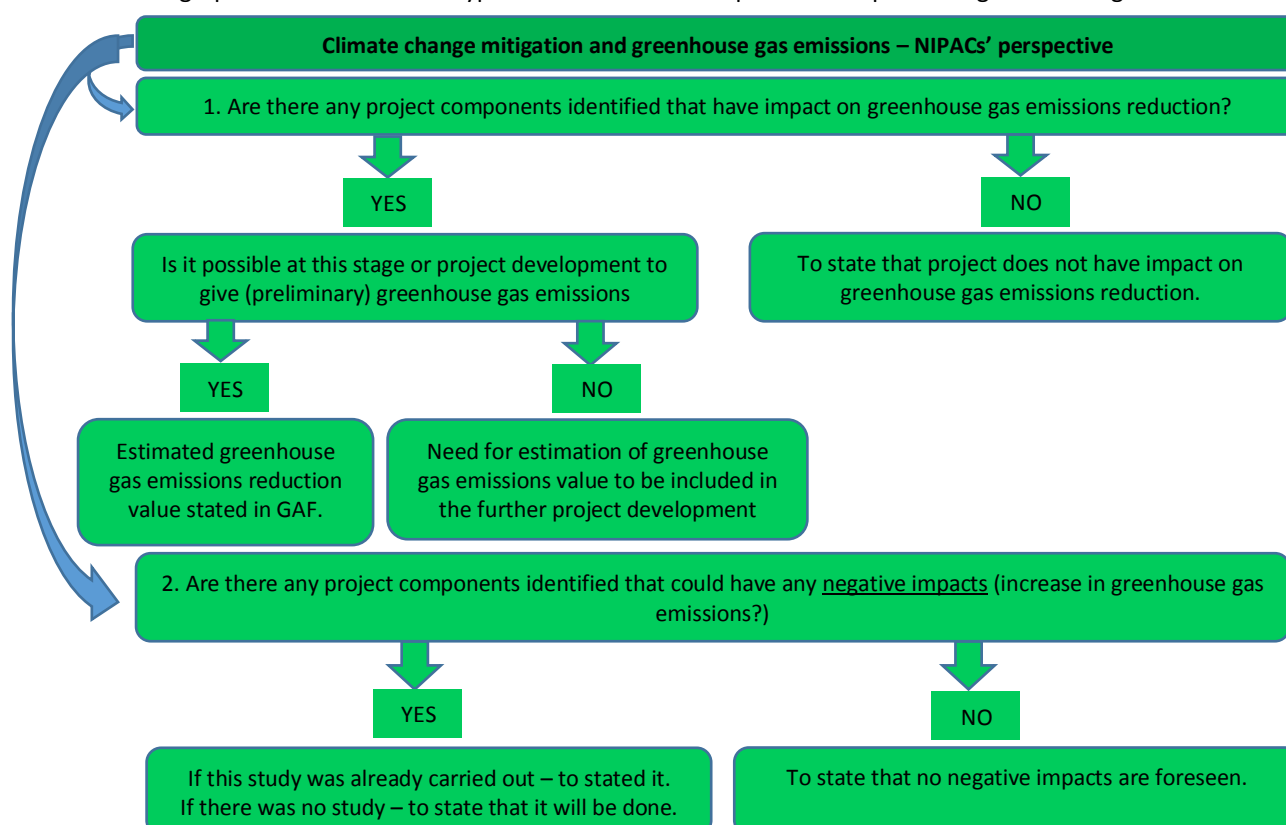
Contribution to climate change mitigation/ adaptation

The Beneficiaries should provide information on potential contributions of the project to climate change mitigation/adaptation and on potential climate risks which can influence the project and measures to make project climate resilient. For some projects climate change aspects might not be that relevant (e.g. assistance to private sector development). If climate change aspects are not relevant for the project this should be stated after consulting with the Lead IFI.

The availability of information on climate change depends on the maturity of the project:

- If project is in the early stages of development (e.g. it asks for technical assistance for a pre-feasibility study or a feasibility study) information on climate change aspects might not be yet available. In such cases the application should note that climate change aspects such as: expected impact on greenhouse gas emissions; identification of climate change risks and identification of measures to make project climate resilient will be analysed as part of the requested technical assistance.
- If project is at an advanced preparation stage (e.g. it asks for technical assistance for construction, assistance to the Project Implementation Unit; capital expenditure, interest rate subsidies or insurance premia) it is assumed that the project preparation studies analysed the relevant information on climate change aspects. A summary of key facts from the project preparation studies such as: project expected impact on greenhouse gas emissions; identified climate change risks and measures to make project climate resilient should be stated in the application.

The graph below outlines the type of information to be provided on potential greenhouse gas emissions:



The following check lists can assist the beneficiaries in identification of potential climate change impacts on the project:

Checklist to identify climate – influenced projects⁶	
Questions	If yes, insert 'y'
Is the lifetime of the project 20 years or more? (It is on these timescales that climate change impacts will increasingly be felt.)	
Are the project options in climatically-exposed locations? (As detailed in the next table)?	
Is water an integral part of operations, products or services? (Integral part refers to the use of water as major component of the operation (e.g. cooling water in the production/manufacturing process, hydropower generation.)	
Are there problems due to disruption of energy supply for the project?	
Do project components depend on other supplies or services which are sensitive to climate conditions or weather events?	
Are transport routes for the project options vulnerable to weather disruption (e.g. by storms, floods, landslides, etc.)?	
Are the project facilities or operations negatively affected by higher temperatures? Can this lead to reduced productivity, higher costs, or equipment failure?	
Will the project workforce be exposed to temperature stress or weather events (non-air conditioned or poorly ventilated buildings / working outside)?	
Is demand for the project's products/services sensitive to weather or climate conditions?	

The following table assists in determining if the project location is likely to be exposed to climate change hazards:

Is project location exposed to climate change?⁶	
Changing climate hazard	Particularly exposed locations
Average temperature rise and increased risk of heat waves	Regions where average temperature is already high; Urban centres, where the 'urban heat island effect' will exacerbate high temperatures; Regions with limited freshwater supplies.
Mean sea level rise, coastal flooding and erosion	Coastal areas and islands.
Decreased seasonal precipitation, increased risks of drought, wildfire.	Regions where rainfall is already scarce; Locations where current demand for water almost matches supply or outstrips; Locations where water quality is poor; Regions prone to wildfire; Trans-boundary river basins where tensions over water use already exist.
Increased seasonal precipitation and more rapid snow melt – increased risk of river flooding, flash floods, or soil erosion.	Regions with high rainfall; Estuaries, deltas, river floodplains; Mountainous regions; Locations prone to landslips; Urban centres with storm water systems not designed to manage intense rainstorms; Contaminated environments (land, water).
Possible increase in storm intensity and frequency	Areas at risk of storms; Urban centres at risk from storms.

Certain types of projects financed through WBIF might be more likely to be exposed to climate risks. Those are exemplified in the table below.

⁶ Adapted from Guidelines for Project managers: Making vulnerable investments climate resilient (Non paper, EC 2012)

Project category	Example of project type
Energy	Electricity production (thermos power plants, gas turbines, hydropower, wind, solar); District heating, cogeneration; Electricity transmission (power transmission/distribution networks); Gas pipelines and facilities.
Buildings (social sector relevance)	Public buildings (educational infrastructure, hospitals, healthcare facilities, prisons); Commercial facilities / tourism infrastructure.
Transport	Railways, roads, bridges, airports, harbours, inland waterways.
Environment	Drinking water supply, wastewater treatment; Solid waste management; Flood protection.

Eligibility checklist

The Lead IFI has been consulted on possible contribution of project to climate change mitigation/adaptation and on its climate resilience (Yes/ No)
If Yes, please state the name of Lead IFI and the name of person consulted
If No, please state the reasons why the Lead IFI was not consulted

During the assessment phase the Lead IFIs allocate the Rio Markers to the application and comment on project's contribution to climate change (mitigation and adaptation) aspects.

Tracking climate finance is an obligation of the donors not the beneficiaries. The tracking is based on Rio Markers methodology developed by the Organisation for Economic Co-operation and Development (OECD). The Rio Markers on climate indicate a donor's policy objectives in relation to each aid activity. They allow for approximate quantification of aid flows that target climate objectives. There are three values of Rio Markers to be used: 2, 1 and 0 (see table below for explanation).

Rio Marker	Description
2	Tackling climate change (mitigation, adaptation) is the principle objective of the project (it's explicit, prime objective); It is a principal reason for undertaking this project; If project is marked as "2" 100% of the project budget is counted as climate finance.
1	Tackling climate change (mitigation, adaptation) is a significant objective. Project has other prime objectives. If project is marked as "1" 40% of project budget is counted as climate finance.
0	Project does not have objectives related to climate change (mitigation, adaptation).

Rio Markers can be allocated for climate change mitigation and climate change adaptation. See table below for key concepts.

Climate change mitigation marker	Project contributes to the objective of reducing or limiting greenhouse gas emissions and/or stabilisation of greenhouse gas concentrations in the atmosphere; Typical sectors include: water and sanitation, transport, energy, agriculture, forestry and industry; Examples of projects include: greenhouse gas emission reduction in the energy/ transport sectors; Application of new and renewable forms of energy, machinery and equipment; Methane emission reduction through waste management or sewage treatment; Introduction of new technologies and know-how that reduce greenhouse gas emissions (in waste management, transport, energy).
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Climate change adaptation marker	<p>Project contributes to reducing vulnerability of human or natural systems to the impacts of climate change and climate-related risks by maintaining or increasing adaptive capacity and resilience;</p> <p>Typical sectors include: health, water and sanitation, agriculture, forestry, fishing, flood protection, disaster prevention and preparedness;</p> <p>Examples of projects include: promoting water conservation in areas of high water stress; implementing measures for flood prevention and management (watershed management, wetland restoration), water saving irrigation methods.</p>
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The Lead Financial Institution may propose a specific percentage of project budget which contributes to climate change based on its own methodology; for example, IFIs who use the Multilateral Development Banks Methodology (e.g. EBRD, EIB)

The allocation of Rio Markers to a specific project does not influence its scoring or prioritisation during the WBIF decision making process on grant allocation. It is done to allow donors including the EU to report on their commitments to climate finance.

Annex 4: Indicators

Transport

	OUTPUT INDICATORS	UNIT	DEFINITION
1.1	Length of new or upgraded roads	Km	Total length of the road built or upgraded through the project. This indicator will refer to paved roads and in general cover motorways, highways, main or national roads, secondary or regional roads.
1.2	Length of new or upgraded railways	Km	Total length of railroad tracks built or upgraded.
1.3	Length of new or upgraded urban transport lanes.	Km	Total length of urban transport lanes including bus lane, tramline or metro tracks built or upgraded.
1.4	Port terminal capacity (passenger, container, or cargo)	Million passengers per annum “mppa” (passenger); million TEU/year (container); million tons/year (cargo)	The indicator is the future capacity of the container terminal(s). In case of a terminal expansion, it includes the total capacity of the terminal(s) (current terminal(s) + expansion). The baseline is the current capacity of the container terminal(s). Depending on the type of terminal (container, passenger or cargo), the units used will be different.
1.5	Airport terminal capacity	Million Passengers per annum – “mppa” or million tons /year (cargo)	The indicator is the increase in passenger terminal capacity of the airport. It is calculated as the difference between the assessed total passenger terminal capacity of the existing airport prior to the project being implemented and the assessed total passenger terminal capacity of the airport after the project has been implemented.
	OUTCOME INDICATORS	UNIT	DEFINITION
1.6	Users of new or upgraded roads	Average Annual Daily Traffic “AADT”	Average Annual Daily Traffic. All vehicle will be counted, including those of traffic that existed before upgrading, diverted traffic, traffic generated as a result of road improvement, as well as growth in each of these categories.
1.7	Rail use	Million Passengers /year or tons /year (cargo)	Total of passengers or freight using rail service.
1.8	Urban transport users	Million passengers per annum	Total urban transport passengers indicating those shifted from other transport modes as a result of the project.
1.9	Ports: Terminal(s) user traffic (passenger, container, or cargo)	Million passengers per annum “mppa” (passenger); million TEU/year (container); million tons/year (cargo)	Total of passengers, containers or cargo using port services. Depending on the type of terminal (container, passenger or cargo), the units used will be different.
1.10	Airport use	Million Passengers per annum – “mppa” or million tons/year (cargo)	Passenger or freight traffic handled at the airport.

Environment (water and sanitation)

	OUTPUT INDICATORS	UNIT	DEFINITION
2.1	Length of new or rehabilitated water supply pipes	Km	Length of water mains and distribution pipes installed/ upgraded. All sizes of pipes intended to transport water for urban water use expressed in their aggregate length in the network, irrespective of pipe diameter, comprising mains as well as reticulation pipes.
2.2	Length of new or rehabilitated sewer pipes installed	Km	Length of collectors and sewers installed or upgraded. All sizes of sewer pipes expressed in their aggregate length in the network, irrespective of pipe diameter, comprising mains as well as reticulation pipes.
2.3	New connections to water supply	No.	Number of new connections to the water network. Only new connections resulting from a project are counted; those already connected to the network and receiving improved services through a project are not counted.
2.4	Water treatment capacity	M3/day	Maximum amount of water that the new or improved treatment plant can process. This indicator reflects the total new or additional capacity of treatment plant independently of its production during operation.
2.5	Wastewater treatment capacity	M3/day	Maximum amount of waste water that the new or improved treatment plant can process. This indicator reflects the total new or additional capacity of treatment plant independently of its production during operation.
	OUTCOME INDICATORS	UNIT	DEFINITION
2.6	Population benefitting from safe drinking water	No. of households	Urban or rural population using a safe drinking water supply, as defined by international standards.
2.7	Population benefitting from improved sanitation services	No. of households	Urban or rural population with access to improved sanitation services, as defined by international standards.
2.8	Potable Water Produced	M3/day	Amount of potable water produced, independently of the maximum capacity of the network.
2.9	Wastewater Treated	Population equivalent "p.e."	Amount of wastewater treated, independently of the maximum capacity of the treatment plant.

Environment (waste management)

	OUTPUT INDICATORS	UNIT	DEFINITION
3.1	No and volume of containers for separate waste collection	No. and m ³	Number and volume of the containers for separate collection purchased within the project.
3.2	No and capacity of transfer stations	No. and tone/year	Number and capacity of the new transfer stations made under the project.
3.3	No and capacity of sorting plants	No. and tone/year	Number and capacity of the new sorting plants made under the project.
3.4	Total diversion rate for biodegradable waste not disposed of in landfills	% and tone/year	Quantity of biodegradable waste treated and deviated from landfilling related to the total quantity of biodegradable waste generated.
3.5	No and capacity of treatment plants	No. and tone/year	Number and capacity of the new treatment plants made under the project (e.g. mechanical and biological treatment plants, composting plants, incinerators, etc).
3.6	Amount of waste disposed of in compliant landfills	tone/year	Quantity of waste annually landfilled according to the EU regulations.
3.7	No and capacity of landfills compliant with EU standards	No. and m ³	Number and capacity of the new landfills built under the project which are compliant with the EU standards.
3.8	No and volume of environmentally closed urban landfills	No. and m ³	Number and capacity of non-compliant landfills closed under the project in compliance with the EU standards.
	OUTCOME INDICATORS	UNIT	DEFINITION
3.9	Total population served by improved the sanitation services	Inhabitants	Urban or rural population using a sanitation service, as defined by EU standards.
3.10	Percent of population connected to collection services in total and in urban, rural areas	%	Urban or rural population with access to improved sanitation services, as defined by EU standards.
3.11	Percent of population connected to separate collection services in total and in urban, rural areas	%	Percent of the population connected to the separate collection system implemented through the project.
3.12	Total generated municipal waste	tone/year	Annual quantity of municipal waste generated at the project area.

Environment (Flood prevention, protection and mitigation)

	OUTPUT INDICATORS	UNIT	DEFINITION
4.1	Length of river dikes constructed	Km and custom	Length of river dikes constructed within the project
4.2	Length of river embankments/dikes rehabilitated and improved	Km and custom	Length of river embankments/dikes rehabilitated and improved within the project
	OUTCOME INDICATORS	UNIT	DEFINITION
4.3	Population benefiting from flood protection measures	Inhabitants	Number of people exposed to flood risk where vulnerability decreased as a direct consequence of a supported project
4.4	Semi-urban and urban area protected from floods in project locations baseline	Ha / Custom	Semi-urban and/or urban areas protected from floods within the project.
4.5	Rural/Agricultural land protected from floods in project locations baseline	Ha / Custom	Area of agricultural lands protected from floods within the project.

Energy

	OUTPUT INDICATORS	UNIT	DEFINITION
5.1	Transmission and distribution lines installed or upgraded	Km	The indicator covers power transmission and distribution lines. It is the measure of the ground distance traversed, in kilometers.
5.2	New connections to electricity	No.	Number of new connections to the grid. Only new connections resulting from a project are counted; those already connected to the grid and receiving improved services through a project are not counted.
5.3	Additional capacity from conventional electricity production	MW	Gross generating capacity of a power generation project from conventional energy sources. A project may involve construction of a new power plant or refurbishment of an existing plant.
5.4	Additional capacity from renewable energy sources	MW	Gross generating capacity of a power generation project from renewable energy sources. A project may involve construction of a new power plant or refurbishment of an existing plant.
	OUTCOME INDICATORS	UNIT	DEFINITION
5.5	Population benefitting from electricity production	No. of households	The number of households which are estimated to benefit from new electricity supply from the project.
5.6	Power production	GWh/year	Total net annual average electricity generated by project, independently of its maximum capacity.
5.7	Energy efficiencies	GWh/year	Energy savings as a result of project against no project or most likely alternative (e.g. loss reduction in generation, distribution, etc.)

Social (social housing, health and education)

	OUTPUT INDICATORS	UNIT	DEFINITION
6.1	New and/or refurbished habitable floor area	Square meter	Square meters of new and/or refurbished social housing.
6.2	New and/or refurbished health facilities	No.	Number of new and/or refurbished health facilities of any type (hospitals, clinics, health centres etc.).
6.3	New and/or refurbished educational facility	No.	Number of new and/or refurbished educational facility of any type (schools, universities etc.).
	OUTCOME INDICATORS	UNIT	DEFINITION
6.4	Population benefitting from improved housing conditions	No. of households	Number of households benefitting from improved housing conditions.
6.5	Bed occupancy rate	%	Percentage of beds occupied at the hospital.
6.6	Inpatients	No. per year	Number of patients per year that are admitted and stay at least one night at the hospital.
6.7	Outpatient Consultations	No. per year	Number of patients per year that are diagnosed or treated at but do not stay overnight at the hospital from the project.
6.8	Students benefitting from new and/or refurbished educational facility	No. per year	Students per year benefitting from new and/or refurbished educational facility.
6.9	Students enrolled	No. per year	Total aggregate of pre-primary, primary, secondary, and tertiary, further, vocational as required.

Cross Sector Indicators

	INDICATORS ^{a)}	UNIT	DEFINITION ^{b)}
7.1	Total number of beneficiaries	#	Estimated number of people with improved access to services (financial services, social and economic infrastructure, etc.).
7.2	Direct employment: Construction phase	# (FTE)	Number of full-time equivalent construction workers employed for the construction of the company or project's hard assets during the reporting period
		No. (%)	Number and percentage of women and men employed in the construction phase
7.3	Direct employment: Operations and maintenance	# (FTE)	Number of full-time equivalent employees as per local definition working for the client company or project at the end of the reporting period.
		No. (%)	Number and percentage of women and men employed in the operation and maintenance phase
7.4.	Women in decision-making positions	No. (%)	Number and percentage of women in decision making positions during the preparation and implementation periods of the project

Annex 5: Reporting template

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

This ACTION under the EWBIF (financed by the GRANT)	
Title of this <u>ACTION</u>: (same as 'Title of the overall Project' + indication of type of Action, e.g. 'investment grant component' and/or 'technical assistance component')	
Lead IFI:	
Value of the Grant: (as approved by the Assembly of Contributors)	
Total amount of Grant/Financing Agreement (between Lead IFI and beneficiary)	
Signed: Disbursed (cumulative):	

Total amount of contracts under the Grant/Financing Agreement (between beneficiary and final contractors) 1) aggregate amount of contracts signed (cumulative): 2) aggregate amount of contracts disbursed (cumulative): 3) aggregate amount of cost incurred (cumulative):	
Amount to be returned to the EWBIF: (if applicable)	
Completion Date of the Action: (actual/expected)	

PROJECT PROGRESS

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

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

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

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

C. Annexes	
1.	<i>Statements of (sub-) account(s) used for the grant.</i>
2.	<i>Audit report(s), audited annual financial statements and Management Declaration (to be sent to the Commission only).</i>

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

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

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

Annex 6: Communication and visibility requirements

Art 2.1.3 of the WBIF Rules of Procedures sets out that the WBIF seeks to increase coherence and synergies among donors and lenders in order to increase the impact and visibility of infrastructure investment in the Western Balkans. Therefore, visibility is one of WBIF's key objectives.

Art 5.13 of the WBIF General Conditions maintains that: *[...] specific communication activities shall be taken in relation to each Action by the relevant Beneficiary and/or Lead Financial Institution. Such communication activities shall be funded from the Grant and shall be as specified in the relevant GAF as approved by the Steering Committee of the WBIF.*

The WBIF Secretariat has been tasked with ensuring the visibility of all grant resources pooled into the Framework (Art 4 of the Rules of Procedures) through relevant media, specifically by means of: a dedicated website (www.wbif.eu), regular publications (Annual Report, Monitoring Report, and others), and the organization of conferences and meetings.

The WBIF Secretariat's communication and visibility activities are **however to be complemented by and coordinated with those undertaken by the Beneficiaries, the International Financing Institutions, bilateral donors, the European Commission through DG NEAR and / or the EU Delegations and Offices in the Western Balkans, according to the specifics of the WBIF action/project.**

The requirement to have communication and visibility arrangements and measures at the individual project/action level have been laid down in Art 5.8.2 of the Rules of Procedures - *Once projects are approved and ready for implementation, for each project, relevant contacts will be identified from the Lead Financial Institution, the Commission or the relevant EU Delegation, and the Beneficiary institution, with the purpose to follow-up in a coordinated manner on the project implementation progress and project completion. The Lead Financial Institution, the Commission and the Beneficiary will jointly ensure adequate coordination and organization of visibility activities before, during and at the end of the project implementation, in particular for the co-financing of large investment projects.*

Further details regarding the roles and responsibilities that the main WBIF stakeholders should have with regard to communication and visibility requirements/measures are provided in separate Guidelines. However, as a general principle, **the nature and complexity of such activities, which will be included in a dedicated Communication and Visibility Plan, will be on a par with the maturity of the action/investment, its contribution to the achievement of the WBIF objectives, and the size of the contribution/investment.**

The **WBIF Communication and visibility guidelines** provides details on standard requirements associated with communication and visibility measures executed with regard to an Action / Project which has benefited from EU grant support as well as with regard to how such standard requirements should be adapted to reflect the specifics of the WBIF as a multi-stakeholder EU-funded blending facility. It also offers planning tools. Beneficiaries are hence strongly encouraged to review these Guidelines during the preparation of the Grant Applications and decide which communication measures would be best to include in their Application and in the associated Communication and Visibility Plan.

Annex 7: Screening and assessment grid

The main objectives of Annex VII are to (i) facilitate the screening and assessment of grant applications, and (ii) ensure a consistent approach and understanding of the requirements by both applicants and those involved in the selection (screening and assessment phases) of projects proposed for WBIF financing. The purpose of the grid is to:

- a) Help applicants in double checking that all sections of the TA GAF are duly filled in with adequate information and data, as well as increase the transparency of the selection process;
- b) Provide additional information to those involved in the screening and assessment of applications in respect of key aspects that should be followed in the evaluation of each section of the TA GAF (and/or of certain topics), and, hence, ensure that all criteria are applied in a coherent and consistent manner.
- c) Enhance the efficiency of the selection process by assigning the evaluation of the TA GAF's sections to relevant screening/ assessment organisations.

Part 1 of Annex VII contains general information about the project and a summary of the screening / assessment conclusions. This part should be completed by all those involved in the screening and assessment of grant applications, as appropriate and due. More details on such potential roles for key WBIF stakeholders involved in the selection process are provided below.

Part 2 contains sets of questions for each section of the TA GAF. The questions are for guidance only and their purpose is to support the evaluation comments provided in the boxes titled "Summary of recommendation" and "General comments." In the column 'Screening / Assessment Organization,' those involved will be able to choose between "Yes", "Partially", "No" in response to the aspects covered by the questions pertaining to a specific section of the GAF.

If the answer is "No" or "Partially", the screeners/assessors should substantiate their choice in the column "Screening / Assessment", particularly in case the information and arguments provided in the GAF are unclear or incomplete.

Part 1

Assessment/Screening date			Screener/Assessor Name and Unit			Screening / Assessment Organization						
						DG NEAR (incl. geographical teams)	EU Delegation	Regional organisations	Line DGs	Lead IFI	Bilateral donors	IPF IFICO
1	Blending Facility	WBIF	2	Steering Committee Date		<i>[To be completed by all screeners and assessors]</i>						
3	Project title		4	Project code								
5	Action/Grant Application title		6	Grant code								
7	Beneficiary country(ies)											
8	Sector		9	CRS-code								
Summary of Recommendation <i>[to be filled by all screeners/assessors]</i>		Recommendation of submission to the Steering Committee			Yes <input type="checkbox"/>	No <input type="checkbox"/>						
		Conditionality for the approval of the project										
General Comments <i>[please assess the aspects pertinent to your role]</i>		<i>[Please list the main conclusions of the evaluation, covering the most vital aspects of the project proposal:</i> <ul style="list-style-type: none"> <i>The relevant information is presented briefly, in a clear and concise manner, and it allows a good understanding of the project proposal at the first reading of the TA-GAF;</i> <i>Project status;</i> <i>IFI commitment/agreement;</i> <i>Coherence with the WBIF objectives and EU Policies/principles;</i> <i>Budgetary issues, especially related to the calculation of the grant;</i> <i>Institutional aspects;</i> <i>Other issues, such as sustainability, results indicators, risks associated with the candidate project;</i> <i>Overall conclusion and any outstanding issues, such as the need for further clarifications or corrections.]</i>										

Part 2

Section	Title of section in the GAF	Screening / Assessment <i>[Please provide detailed comments, in particular if a specific aspect is unclear or not well addressed in the GAF]</i>	Screening / Assessment Organization						
			DG NEAR (incl. geographical teams)	EU Delegation	Regional organisations	Line DGs	Lead IFI	Bilateral donors	IPF IFICO
1 – 15	Identity of the project: <ul style="list-style-type: none"> Is the information provided in each section consistent and in coherence with the information filled in the other sections of the TA-GAF? Are all the sections of the TA-GAF completed with the information requested therein? 		√	√	(√)	(√)	√	√	√
16	Short description and context of the project: <ul style="list-style-type: none"> Is the relevant information presented briefly, in a clear manner, to allow a good understanding of the project at the first reading of the section? Is the need of carrying out the project well defined and justified? To what extent is the project expected to provide a significant and sustainable contribution to solving the targeted problem? Is the issue focused enough? How well are the relevant target groups defined? Is the purpose of the project clear? Is there a clear ownership/support of the project from national/regional authorities? 		√	√	√	√	√	√	√
17	Main objectives of the project: <ul style="list-style-type: none"> Are the objectives specific enough and do they cover the needs to be satisfied/fulfilled? Are the objectives measurable? Will it be possible to measure their achievement at the end of the project? Is it possible to achieve (time and resources, external factors) the objectives during the project's lifetime? Is there a clear link between objectives and the results presented in section 26? 		√	√	√	√	√	√	√

Section	Title of section in the GAF	Screening / Assessment <i>[Please provide detailed comments, in particular if a specific aspect is unclear or not well addressed in the GAF]</i>	Screening / Assessment Organization						
			DG NEAR (incl. geographical teams)	EU Delegation	Regional organisations	Line DGs	Lead IFI	Bilateral donors	IPF IFICO
18-19	Project stage & Project preparation status: <ul style="list-style-type: none"> Does the provided technical and financial information demonstrate that the project fulfils the eligibility criteria? 		√	√	√	√	√	√	√
20	Strategic justification and coherence with the policy objectives of the WBIF, adopted national / sectoral strategy and EU policies: <ul style="list-style-type: none"> 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 coherent with the policy objectives of the WBIF and the EU policies/ principles? Is the project coherent with the Economic Reform Programme? Is there compliance with social standards, including the promotion of gender equality? If the project proposal is a continuation of a previous project, does it show a clear need for this extension and also demonstrate that the activities/outcomes do not overlap? 		√	√	√	√	√	√	√
21	Consultations before submission: <ul style="list-style-type: none"> How were the Lead IFI and the EU Delegation involved in the project preparation? What kind of consultation process has taken place with the national/regional authorities (NIC or similar body)? Has the Government issued an endorsement letter? 		√	√	√		√	(√)	(√)

Section	Title of section in the GAF	Screening / Assessment <i>[Please provide detailed comments, in particular if a specific aspect is unclear or not well addressed in the GAF]</i>	Screening / Assessment Organization						
			DG NEAR (incl. geographical teams)	EU Delegation	Regional organisations	Line DGs	Lead IFI	Bilateral donors	IPF IFICO
22	Institutional framework of the project: <ul style="list-style-type: none"> ▪ <i>Is the information about the organizational set-up, implementation scheme and financial structure clear?</i> ▪ <i>Does the proposed core team of the Beneficiary have adequate experience for managing the project?</i> ▪ <i>Are the management structures suitable for the project's size, duration and needs?</i> ▪ <i>Are the management structures and procedures clear, transparent and fair?</i> 		√	√	√		√	√	√
23	Project budget and financing plan: <ul style="list-style-type: none"> ▪ <i>Are the indicative budget and the financing plan sufficiently detailed?</i> ▪ <i>Is the budget reasonable and realistic?</i> ▪ <i>Are there any unclear or unrealistic costs? Are there any excessive costs budgeted? If so, are they justified?</i> ▪ <i>Is there any budget foreseen for visibility and communication measures?</i> ▪ <i>Does the project financing plan present the appropriate mix of funding and leverage between loans and grants?</i> ▪ <i>Are all the funding sources accurately indicated?</i> 		√	√	√		√	√	√
24	Indicative project calendar: <ul style="list-style-type: none"> ▪ <i>Are the urgency and maturity of the requested grant contribution consistent with the calendar of the project?</i> ▪ <i>Are the activities and the outputs presented in a logical sequence?</i> ▪ <i>Was the Lead IFI involved in the preparation of the project calendar?</i> 		√	√	(√)		√	(√)	√
25	Fiscal space and debt sustainability <ul style="list-style-type: none"> ▪ <i>How do the sovereign and/or sub-sovereign loan/guarantee attached to the project affect debt sustainability?</i> 		√	√			√	(√)	(√)

Section	Title of section in the GAF	Screening / Assessment <i>[Please provide detailed comments, in particular if a specific aspect is unclear or not well addressed in the GAF]</i>	Screening / Assessment Organization						
			DG NEAR (incl. geographical teams)	EU Delegation	Regional organisations	Line DGs	Lead IFI	Bilateral donors	IPF IFICO
26	Expected results <ul style="list-style-type: none"> Are the indicators sufficiently reflecting the expected outputs and intended outcomes of the project? Are the outcomes clearly defined, realistic (achievable) and quantified? Are the indicators defined in an accurate way (description, measurement, baseline and target value)? Are there any unrealistic (unachievable) indicators listed? Have all the indicators been identified? 		√	√	√	√	√	√	√
27	Project sustainability <ul style="list-style-type: none"> Has the project considered its environmental implications so that the negative impacts are either avoided or mitigated during its lifetime? Does the project incorporate mechanisms that guarantee an equitable access to and distribution of the project benefits on a continuous basis? 		√	√	√	√	√	√	√
28	Risk assessment categories <ul style="list-style-type: none"> Are the identified risk mitigation measures sufficient? Are there any additional risks that are not identified in the application? If so, please enumerate. 		√	(√)	(√)	√	√	(√)	√
29	Climate mitigation and adaptation aspects: <ul style="list-style-type: none"> Is the contribution of the project to climate change mitigation/adaptation clearly demonstrated? Was the Lead IFI involved in allocating the Rio Markers? 		(√)			√	√		√
30	Detailed description of the Action: <ul style="list-style-type: none"> Is the relevant information presented briefly, clearly and does it allow a good understanding of the Action at the first reading? Are the outcomes of the Action clearly defined, realistic (achievable) and quantified? 		√	√	√	√	√	√	√

Section	Title of section in the GAF	Screening / Assessment <i>[Please provide detailed comments, in particular if a specific aspect is unclear or not well addressed in the GAF]</i>	Screening / Assessment Organization						
			DG NEAR (incl. geographical teams)	EU Delegation	Regional organisations	Line DGs	Lead IFI	Bilateral donors	IPF IFICO
31	WBIF Grant amount calculation and justification <ul style="list-style-type: none"> ▪ Is the WBIF grant amount accurately defined? ▪ Are the costs realistic and acceptable? ▪ Does the application explain how the WBIF grant amount has been calculated? ▪ Is there a clear link between the information presented in section 23 and this Section? 		√	(√)			√	(√)	√
32	Additionality of the WBIF grant <ul style="list-style-type: none"> ▪ Are the expected impact and results sufficiently reflecting the expected outputs and intended outcomes of the project? ▪ Is the positive impact relevant and well demonstrated? ▪ Is the contribution to gender equality clearly demonstrated? If the Action does not contribute to gender equality, has a reasonable and convincing justification been provided? ▪ Why is the proposed grant funding necessary for the operation? 		√	(√)		√	√	√	√
33	Issues to be clarified before submission to the WBIF Steering Committee <ul style="list-style-type: none"> ▪ Were the issues (if any) described in a clear and coherent manner? 		√	√	√	√	√	√	√
34	Indicative calendar of the Action <ul style="list-style-type: none"> ▪ Are activities presented in their logical time sequence? ▪ Is it feasible to complete the TA in the proposed time and with the proposed resources? 		√	√	√	√	√	√	√
35	Monitoring, reporting and evaluation <ul style="list-style-type: none"> ▪ Are the monitoring, reporting and evaluation clearly described and sufficient? 		√	(√)			√	(√)	√

Section	Title of section in the GAF	Screening / Assessment <i>[Please provide detailed comments, in particular if a specific aspect is unclear or not well addressed in the GAF]</i>	Screening / Assessment Organization						
			DG NEAR (incl. geographical teams)	EU Delegation	Regional organisations	Line DGs	Lead IFI	Bilateral donors	IPF IFICO
36	Communication and visibility <ul style="list-style-type: none"> ▪ Do the communication and visibility activities comply with the WBIF related requirements and do they provide sufficient and clear visibility? ▪ Is a budget for visibility foreseen? 		✓	✓			✓	(✓)	✓
	Annexes: <ul style="list-style-type: none"> ▪ Is the information provided in each Annex well-defined, complete and in coherence with the information filled in the other sections of the TA-GAF? 		✓	✓	✓	✓	✓	✓	✓

Annex 8: WBIF regional support contact points

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