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| **This project is funded by the European Union** | **WBIF LOGO mare** |

**Guidelines: How to Fill in the Project Identification Form (PIF): Environment Sector**

The purpose of this document is to provide the project beneficiaries with a concise and user-friendly guide for the preparation and submission of the Project Identification Forms (PIF) that will be analysed and assessed for prioritization purposes.

Key aspects:

* PIFs should ONLY be filled out for investment projects.
* PIFs should be filled out for new investment projects and for projects under preparation and/or implementation.
* PIFs should be filled out by the beneficiary of the investment project. All the sections of the PIF should be completed with the information requested therein.
* The information provided in each section should be consistent and in coherence with information filled in the other sections of the PIF.
* The Strategic Relevance Assessment (SRA) Grid should be taken into consideration in filling in the PIF. The relevant information should be presented succinctly, in clear, to allow a good understanding of the project proposed at first reading of the PIF.

**Part One**

1. **GENERAL INFORMATION**

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| Project title: | Enter the name of the investment project.  *N.B: Do not use the name of the TA project!* |
| Sector(s) | ENVIRONMENT |
| Sub-sector | Indicate the sub-sector addressed by the project *[choose as appropriate]*  Waste  Wastewater  Water  Flood protection  Air abatement  Nature protection  Civil protection (e.g. protection against forest fires, earthquakes, floods and other natural disasters) |
| Lead project Beneficiary/ Project end-recipient/proponent: | Insert the name of the Lead project Beneficiary and of the Project proponent  (e.g. public entities at central or local government level and/or agencies and economic operators responsible for the provision of public utilities and services as foreseen in the national legislation, etc.).  *N.B. Make distinction between Lead project Beneficiary and Project proponent (where applicable).* |
| Project ID/number | Enter the identification number/code of the project proposed (as registered with the Lead project Beneficiary/ Project end-recipient/proponent). |
| Sector lead Ministry & Relevant Department | Insert the name of the sector lead Ministry and of the Department that is primarily responsible for the (sub)sector for which the project is developed. |
| Location/Map | Indicate the location of the project, insert relevant map (to facilitate understanding of the location of the various project facilities).  *N.B. The location of the infrastructure project is NOT the same as the address of the beneficiary!* |
| Total investment estimated:   * Preparatory activities (planning documentation, technical documentation, land acquisition, etc.) * Construction works * Supervision | Provide cost estimates (in EUR) for the total investment.  Provide cost estimates (in EUR) for the main components of the proposed project.   |  |  | | --- | --- | |  | Total Project costs (EUR) | | Planning documentation |  | | Land purchase |  | | Technical assistance for preparation |  | | Technical assistance for supervision |  | | Construction works |  | | Purchase of equipment |  | | Contingencies |  | | Other costs |  | | TOTAL |  |   *N.B. The cost estimates for each project component should be sufficiently accurate.*  For new projects, information from similar projects can be used and/or the national legal provisions (if any) will be taken into consideration (e.g. where national provisions set out threshold values for the cost elements of the project components/activities).  For projects under preparation and/or implementation, information from the technical documents already prepared will be used (e.g. PFS, FS). |
| Responsible or authorized person for contact: | |
| Name – Position: | Insert the name of the person nominated as contact person and/or responsible for the project |
| Email address - Telephone: |  |

1. **PROJECT DESCRIPTION**

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| Purpose of the infrastructure project | Specify the purpose of the project. The objectives of the project should be identified and, to the extent possible, quantified and linked to the investments proposed (a clear link between identified problems – objectives - proposed solution/s needs to be made). |
| Results of the infrastructure project | Specify the foreseen results, indicate   * the economic, * social, and * environmental benefits of the investment, * as well as the estimated number of direct beneficiaries.   *N.B. The information in this section should be structured in such a way that it correlates with the information presented in the other sections (i.e. it is necessary to connect the objectives of the project with the activities proposed and, implicitly, with the estimated results/outcomes/outputs from an environmental, economic and social point of view given the impact of the project).* |
| General description (max. 2 pages) | The aim of this section is to show the context and an overall picture of the project. Therefore, present succinctly and coherently all the general information needed to understand the project context, i.e:   * Indicate, in one paragraph, the sub-sector addressed by the project (e.g. IWMS), the beneficiary region/county and population. * Describe briefly the current situation and future developments in the project area (legal, technical, institutional, financial, and operational). * Outline the key problems, deficiencies and needs of the existing system that are to be addressed by the project; their cause(s) (e.g. environmental non-compliance, low efficiency, limited awareness, long-term underinvestment, etc.). Show that the project is designed, and the extent to which, to solve the a.m. problems, remediate the deficiencies and respond to the needs identified. * Explain concisely the project concept. Refer to the main investments proposed (e.g. waste prevention measures, collection, transfer, transportation, treatment/recycling, diversion, disposal under the current and future situation). * Indicate suitable locations and the quantifications of the capacities required for each part of the investment. * Point out legal, institutional and operational aspects: stakeholders and possible institutional set up, applicable contractual relationships (current and future situation), envisaged reform in the sub-sector to which the project proposed belongs. * Outline the project components one by one in chronological order. * Indicate the estimated commencement date and the duration of the main activities. * Make reference to financial and economic aspects, tariff/tax applicable procedures, level of collection (current and future situation). * Indicate the constraints on the execution of the activities (i.e. relating to investments’ location, issuance of the building permit, preparation stage of the documents for investment promotion). * Summarise the assumptions for all the relevant calculations and measures (where applicable).   *N.B. The detailed description of the main investments proposed should be linked to and justified against to the current status of the existing infrastructure.* |

1. **ELIGIBILITY**

Key aspects:

* Provide extensive qualitative answers to all the questions instead of merely “yes or “no”.
* Identify clearly the contribution of the project to the country’s compliance with the EU policies and acquis communautaire.
* Detail the foreseeable contribution of the project to the relevant sector strategy/plan objectives.

*N.B.*

*The strategic documents that have to be indicated in this section must be closely related to the scope and the activities of the project;*

*Only those projects that meet the eligibility conditions should be assessed from the strategic point of view*.

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| Coherence with valid EU policies and strategies | Describe how the project is in line with the relevant environmental acquis and the EU pre-accession strategy.  Provide enough elements to indicate the project’s compliance with the relevant acquis: project background, rationale for the project (re to EU Policy, need for compliance with ENV Acquis). |
| Contribution to valid countrywide objectives | Describe how the project contributes to the achievement of the countrywide priorities (e.g. Environment Approximation Strategy for BiH, and Revised Indicative Strategy Paper). |
| Is the project covered by the relevant sector strategy, by a Sector Action Plan or by a Sector Master Plan? | Clearly specify if the project proposed is a priority according to the relevant sector strategy.  Make reference to the Sector strategy/ Action Plan/ Master Plan in which the project is integrated; list the titles of these documents. |

**4. STRATEGIC RELEVANCE**

Key aspects:

* Enter information/fill in each sub-section, from S1 to S9, in textual format/description.
* Be concise and creative. Why is the project needed/its justification/purpose and need for action must be closely related to the fulfilment of the strategic relevance criteria.
* Look for answers in the description of the project but do not repeat the text entered in the previous sections; reformulate to provide only the information requested in each sub-section and based on the Strategic Relevance Assessment (SRA) grid.

*N.B. Before filling in this section, the SRA grid should be consulted.*

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| Explain the features of the project in terms of: | |
| S1. Its direct benefits for the environment | Indicate to the type of investment to be made in the project.  Show succinctly how the investments proposed contribute to the maximization of environmental benefits. |
| S2. Its contribution to reduction of harmful emissions (noise, effects of reduced energy consumption, a.o) | Describe the following:   * Improved living/health conditions for the population; * Resource savings; * Increased attractiveness of the region by reduction of visual disamenities, odours and direct health risks; * Reduction of GHG emissions.   *N.B. The information entered in this section relates to sub-criterion S2 from the SRA grid* |
| S3. The number of people that will benefit from the project | Indicate the beneficiary population in the project area:  < 10,000  10,001 – 50,000  50,001 - 100,000  100,001 - 150,000  > 150,001  *N.B. Specifically, for wastewater treatment the concept of population equivalent is not usually equal to number of people benefited.* |
| S4. The project contributes to the reduction of pollution in a wider region around its location | Describe briefly how the project contributes to pollution reduction in the wider region around its location.  Indicate the number and the names of the towns/cities that will benefit from the implementation of the project.  Choose as appropriate:  The project affects three or more municipalities  The project affects two municipalities;  The project affects one municipality only. |
| S5: Investment cost | Indicate the total investment needed to implement the project (in €) *[choose as appropriate]:*  > 20,000,001  12,000,001 – 20,000,000  6,000,001 – 12,000,000  1,000,001 – 6,000,000  < 1,000,000  *NB. The investment cost includes construction costs as well as land and cost of preparation, design, supervision, etc.* |
| S6: Affordability of services for end users (investment cost per capita) | Specify the investment costs per capita (€/inh.)  *N.B. For a project under preparation and with FS and CBA completed, it should be specified if the tariff level for the operational phase is within the affordability limits established at national level.* |
| S7. The risks associated with the project | Indicate the project’s type in terms of *[choose as appropriate]:*  New facilities  Extension project  Replacement project  Upgrading project  Briefly refer to the constraints, partners/site availability and risks that may occur during the project implementation period. |
| S8: The project is prepared by a partnership of organisations and institutions | Elaborate on the involvement and commitment of all the partners (organisations/institutions) responsible for implementing the project. If there are several partners within the project, briefly describe these organizations and their role in the project.  *[choose as appropriate]:*  > 4 partners  2 - 3 partners  No partners |

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| S9: The beneficiary has the necessary capacity to successfully manage the preparation and implementation of the project | Summarise the beneficiary’s experience with similar actions, in relation to its role in the implementation of the project.  *[choose as appropriate]:*  More than one project of similar size successfully implemented  One project of similar size successfully implemented  No experience with projects of similar size  *N.B. This information will be used to assess if the beneficiary has sufficient and stable experience to manage actions in the same sector with and of comparable scale to the project proposed.* |

**Part Two**

1. **MATURITY**

Key issues:

* Thoroughly investigate the status of preparation or readiness of the project (e.g. feasibility studies, detailed design, tender documents, etc.).
* Thoroughly investigate the status of the following: EIA, land availability, invitations to tender, construction and other permits, local decisions on project approval.

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| Available studies and documents  *[choose as appropriate]* | Ready and approved | Under way | Not started | Remarks / Sources / Dates  *[enter the dates of preparation and approval of the documents]* |
| Valid spatial planning documents (as applicable) |  |  |  |  |
| 1. Special Purpose Spatial Plan |  |  |  |  |
| 1. Detailed spatial plan |  |  |  |  |
| 1. Location study |  |  |  |  |
| 1. Spatial-urban development plan of the local self-government |  |  |  |  |
| 1. Detailed urban development plan |  |  |  |  |
| 1. Urban development design |  |  |  |  |
| Pre-feasibility study (PFS) + Conceptual Design (CD) |  |  |  |  |
| Feasibility study (FS) + Cost-Benefit Analysis (CBA) + Preliminary Design (PD) |  |  |  |  |
| Environment Impact Assessment (EIA) study (if needed) |  |  |  |  |
| Land property resolved |  |  |  | Succinctly refer to the site and the legal status of the land related to the new investments. |
| Main design/detailed design (DD) |  |  |  |  |
| Tender documentation (TD) |  |  |  | Refer (if possible) to the type of works contract.  *[choose as appropriate]:*  Yellow FIDIC Book  Red FIDIC Book  Other |
| Construction and other permits |  |  |  | If for any reason the project is not ready to start, briefly indicate the issues. |
| Construction contract signed |  |  |  | If the project has already started, indicate the current stage of the works. |
| Does Project Management/ Implementation Unit (PMU/PIU) exist within the Beneficiary? Describe capacity and previous experience | Yes;  No  Include one paragraph on the institutional aspects related to project implementation (who and how will ensure the implementation of the project). Indicate if the beneficiary/ PIU has reasonable capacity to define the investment plan, procure and implement the project, or is in need for specific technical assistance to absolve these tasks. | | | |

1. **DETERMINATION OF SOURCE OF FUNDING**

Key aspects:

* Enter separate and distinct answers in each sub-section in textual format/description.
* Refer to the decisions on national co-financing indicating the various financing sources (letter of intent from banks or available framework loans, if the case, etc.).
* If necessary, present the information in a table in the “Remarks” column.

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|  | Yes | Remarks | No |
| Have IFIs or other donors been consulted on the project? When? What was their judgement? |  | Line ministries, the MoF and other government institutions regularly discuss potential funding of infrastructure projects with donors. The information required here is on the status of such negotiations, and on whether already (preliminary) decisions were received from donors to finance this specific project. |  |
| Existing EU or WBIF support (TA): amount, purpose; if WBIF please provide reference number |  | Projects under preparation or under implementation have already received funding for TA or for investments. The information to be given here relates to the funding already received and utilised, and for which purposes. |  |
| Has the Ministry of Finance been consulted on the project? Describe feedback. |  |  |  |
| Does the project generate revenues from end users? |  | If the project is expected to generate revenue through tariffs or charges borne by users, provide details on charges (full cost recovery, cost coverage, flat fee, etc.). |  |

1. **SPENDING SCHEDULE**

Key aspects:

* Provide an estimated expenditure schedule, by year, for the two main components of the project (preparation and implementation) taking into consideration the entire planning horizon of the project.
* The spending schedule should be sufficiently detailed to give an overview of the preparation and implementation of each activity.
* In case of new projects or projects under preparation, the costs must be estimated for each main project component, by year, taking into consideration the period of tendering and the estimated duration of activities;
* For projects under implementation, information must be provided according to the financial plan of the project.

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|  | 2010-2017 | Year 1 | Year 2 | Year 3 | Year 4 | Year 5 | Year 6 | Year 7 | Year 8 | Year 9 | Year 10 |
| Costs (in EUR) of: |  |  |  |  |  |  |  |  |  |  |  |
| Project preparation and implementation (TA) |  |  |  |  |  |  |  |  |  |  |  |
| Investment |  |  |  |  |  |  |  |  |  |  |  |

1. **OTHER ASPECTS**

[*choose as appropriate*]

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|  | Yes | Justification | No |
| Does the project enhance or relate to connectivity? |  | *There are no eligibility criteria for “connectivity” related to projects in the environmental sector. It is also not a requirement for TA. However, try to be creative and bear in mind that connectivity is related to the “space” of the EU. For example, one could consider spill over and bellwether effects of the project (in implementing EU standards, for instance).* |  |
| Does the project have cross-border impact or impact on other countries in the region? |  | *Please note, this may no longer be a requirement for TA projects (if this is decided at the WBIF SC meeting in Paris, Dec 2015). However, it is a requirement for co-finacing under IPA II. Most projects aim at ultimate investment financing, therefore an early indication of the potential financing sources is advised. Accepted general characteristics of regional projects have already been defined, according to which a project is regional if it complies with at least one of the following:*  *It covers the entire Western Balkans region or a considerable part of it. This is for instance the case in regional studies or joint action plans (e.g. disaster prevention). It is open to participation by more than one country.*  *They have an important impact beyond the borders of the country where the project is implemented. This is typically the case with major infrastructure investments which promote the exchange with neighbouring countries.*  *Examples:*   * *Waste management: International transportation of waste (hazardous);* * *Flood protection: Flood protection and risk management (plans, studies, mapping, infrastructure (involving more than one country);* * *River basin management: River management plans at borders, water resource management in regional rivers;* * *Natural resources: Bi-country, international natural parks and resources, fauna preservation and development.* |  |
| Can the project in any other way be earmarked as a regional project? |  | *Please indicate any other reasons and the bases thereof according to which the project is to be considered “regional”.* |  |

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