

# EPIC –

Eastern Partnership Investment in Connectivity

## Support Application Form (ESAF)



## Application Number: [to be given by EPIC secretariat]

### **Instructions**

[box to be deleted before submission]

The Guide to the EPIC Facility describes the overall process to apply and obtain approval for EPIC support. EPIC support comes in the forms of (a) Technical Assistance (TA, i.e. support from consultants usually to undertake studies for project development) and (b) Advisory Support (high level expert advice helping Promoters to make best use of consultants delivering TA).

This application form should be filled in by the Promoter of a project in cooperation with the relevant unit in the Ministry of Transport/Infrastructure or equivalent. **The EPIC Advisory Team is available to provide support for the preparation of the application.** The European Commission via the respective EU Delegation in the country and the IFIs interested in financing the investment are to be consulted before submission.

The application form is organised in 9 sections:

- A. APPLICATION SUMMARY
- B. IDENTITY OF THE PROJECT
- C. JUSTIFICATION FOR EPIC SUPPORT
- D. PROJECT BACKGROUND AND DESCRIPTION
- E. DETAILS REGARDING THE TA SOUGHT THROUGH EPIC
- F. INSTITUTIONAL FRAMEWORK FOR PROJECT DEVELOPMENT

## A. APPLICATION SUMMARY

### **Instructions**

[box to be deleted before submission]

Key elements for decision by the EPIC Steering Committee (SC).

1.	<b>Submission Date:</b> Click or tap to enter a date.	2.	<b>For EPIC Steering Committee:</b> For discussion on Click or tap to enter a date. [or by written procedure]
3.	<b>Application title:</b> [Type of TA/Advisory Support sought] for [summary of project title]		
4.	<b>Budget for EPIC TA Support Requested:</b> [Amount in] EUR	5.	<b>Source of Advisory Support</b> [EPIC <u>or</u> lead IFI technical teams]

## B. IDENTITY OF THE PROJECT

### **Instructions**

[box to be deleted before submission]

Key elements defining the identity of the underlying infrastructure project in summary form.

6.	<b>Project title</b>	[Short title of the underlying investment project (EPIC may change the title to make it clearer.)]
7.	<b>Short project description</b>	[Short text describing the project location, scope and purpose]

<b>8.</b>	<b>Country</b>	Choose an item.	<b>9.</b>	<b>Sub-Sector</b>	Choose an item.
<b>10.</b>	<b>Requestor</b>	[Unit in Ministry of Transport or Infrastructure, or other equivalent <sup>1</sup> in charge, pls. specify]			
<b>11.</b>	<b>Promoter</b>	[Authority in charge of developing/operating the infrastructure, pls. specify]			
<b>12.</b>	<b>Endorsing Financing Authority</b>	[National body in charge of allocating financing capacity (usually Ministry of Finance), that was consulted and endorses the project (pls. specify)]			
<b>13.</b>	<b>Lead IFI</b>	Choose an item.			
<b>14.</b>	<b>Co-financier 1</b>	Choose an item.	<b>15.</b>	<b>Co-financier 2</b>	Choose an item.
<b>16.</b>	<b>Indicative total investment cost</b>	[Amount in] EUR	<b>17.</b>	<b>Indicative financing plan</b>	Source 1
					Source 2
					Source 3
					Source 4
<b>18.</b>	<b>Project included in EaP TEN-T Investment Action Plan</b>				Choose an item.
<b>19.</b>	<b>Project included in the Economic and Investment Plan for EaP</b>				Choose an item.
<b>20.</b>	<b>Indicative timetable</b>	<b>Start date</b>		<b>Completion date</b>	
	Strategic plans (e.g. Masterplan)	Click or tap to enter a date.		Click or tap to enter a date.	
	Prefeasibility study	Click or tap to enter a date.		Click or tap to enter a date.	
	Feasibility study / CBA	Click or tap to enter a date.		Click or tap to enter a date.	
	ESIA study	Click or tap to enter a date.		Click or tap to enter a date.	
	Detailed Design	Click or tap to enter a date.		Click or tap to enter a date.	

<sup>1</sup> Which are in charge of setting the strategic orientations for the transport sector as a whole, hold the sectoral lead in selecting priority projects, and maintain the sectoral relationship with the European Union.

	Tender Documents	Click or tap to enter a date.	Click or tap to enter a date.
	Loan signing	Click or tap to enter a date.	Click or tap to enter a date.
	Procurement	Click or tap to enter a date.	Click or tap to enter a date.
	Execution/implementation	Click or tap to enter a date.	Click or tap to enter a date.

### C. JUSTIFICATION FOR EPIC SUPPORT

#### **Instructions**

*[box to be deleted before submission]*

*This section of the application must justify the requested EPIC support. The main purpose of EPIC is to facilitate the implementation of priority TEN-T projects.*

*To qualify for EPIC support, projects must be located in at least one of the six EaP countries and included on the indicative TEN-T maps.*

*Further gateway conditions are that applications must be supported by the ministries of transport/infrastructure or equivalent and finance of the country concerned, a mandated sub-sector entity (the Promoter), as well as the EUD and the IFI(s) concerned.*

*Other criteria, which the EPIC SC will use for the prioritisation and selection of applications are:*

- *the level of priority as per the TEN-T Investment Action Plan and national/regional strategies;*
- *the level of priority as per the Economic and Investment Plan for EaP;*
- *coherence with other EU and internationally recognised policy goals (e.g. road safety, climate change adaptation);*
- *additionality of the proposal, (i.e. aspects which would not be achievable without it);*
- *complementarity of the proposal (i.e. EPIC is the only/most appropriate source for the support requested);*
- *high likelihood of a feasible investment project emerging in due course.*

#### **21. TEN-T priority level**

[Core TEN-T, comprehensive TEN-T, priority as per the Economic and Investment Plan for EaP (flagship project, other relevance), level of priority as per the EaP TEN-T Investment Action Plan - quick-win, medium term, long-term priority (please specify).]

#### **22. Priority as per national strategy / masterplan**

[Is the project part of a national strategy / masterplan and which priority does it have (please explain).]

#### **23. Priority as per regional strategy / plan and/or border crossing**

[Is the project relevant for a regional cooperation strategy / plan and/or constitute the crossing of (a) national border(s), and which priority does it have?]

#### **24. Coherence with other EU and inter-nationally recognised policy goals**

[As applicable, explain to what extent the project contributes to achieve the 2030 Sustainable Development Goals (SDG):

- SDG 9 on “industry, innovation and infrastructure”, notably by improving transport infrastructure;
- SDG 10 to “reduce inequality” between countries by providing the transport infrastructure necessary for economic development;
- SDG 13 related to “climate action”, e.g. by incorporating climate change mitigation and adaptation aspects into project development and promoting low-carbon transport systems;
- SDG 3 related to “good health and well-being”, notably by targeting the reduction of the number of deaths and injuries from road traffic accidents.
- SDG 16 related to “peace, justice and strong institutions”, notably by strengthening capacity of promoters in EaP countries through specific knowledge transfer in project related assignments.

As applicable, explain to what extent the project contributes to promote sector reforms and harmonise policies and standards of the sectors concerned with those of the EU.

As applicable, explain to what extent the project contributes to the creation of an enabling environment for gender equality.

Other as may become relevant.]

**25. Evidence available underpinning prospective feasibility of the project**

[Provide a reasoned / substantiated explanation for which the project is considered to have a high likelihood of becoming a viable and buildable investment in due course. Explain the extent of the problem/need that the project addresses (e.g. congestion problems, accident black spots, environmental problems). Refer to prior studies or experts assessments in terms of expected economic returns. Explain the level of advancement of project preparation. Provide elements of the approach chosen (e.g. phasing in line with demand growth).]

**26. National institutions supporting the project**

[Explain to what extent the project:

- is considered a priority for investment by the government overall (whole of government approach);
- is promoted by an established EaP transport authority having a track record in preparing and implementing internationally supported projects;
- has (successfully) gone through a process of inter-service consultation with competent authorities in charge of:
  - sector matters (e.g. does the Ministry of Transport/Infrastructure or equivalent endorse the priority of the project from an overall transport system perspective);
  - investment (e.g. is the project an investment priority from the perspective of a central investment programming body, if any);
  - financing (e.g. does the Ministry of Finance in principle endorse the investment and envisage financing it e.g. through IFI loans; is there an initial financing plan for the investment, is there an allocation from the national budget, etc.);
  - the environment (e.g. environmental screening done);
- is supported by other relevant organisations and stakeholders.

Please underpin statements made in this box through documentary evidence included as annex (e.g. letters of support or letters of intent from the respective bodies, indicative financing plan).]

**27. IFIs / donors backing the project / proposal**

[To what extent do relevant IFIs (i.e. WB, EBRD, EIB) or international donors (e.g. EU Commission) back the project and the proposed EPIC support:

- Has the project/proposal been discussed with any IFI/donor? How advanced are these

- discussions?
- Have letters of intent been exchanged?
  - Has any financing request been submitted?
  - Have IFIs/donors logged the project in their systems?
  - Has a financing plan been established?
  - Is a loan or grant agreement in progress or signed?
  - Have the advisory and TA needs been agreed with an IFI/donor?
  - Do IFIs/the EU Delegations back the present application?

Please provide documentary evidence as applicable in the annex.]

**28. Additionality and complementarity of the proposal**

[To what extent is the EPIC support applied for expected to generate additionally in terms of:

- Economic/Financial: Making the project more fit for purpose, enhancing project benefits, reducing project cost, optimising economic viability of investments, allowing tariff reductions/enhancing affordability;
- Sustainability: Strengthening the promoter’s capacities in an area where he has a lack of know-how and experience;
- Project timing: Accelerating project preparation and implementation.
- Social/environmental aspects: Enhancing the social and environmental performance of projects (including e.g. road safety aspects, climate change mitigation and adaptation);
- Innovation: Integrating, to the extent appropriate, innovative components (e.g. ITS);
- Project quality standards: enhancing compliance with EU requirements, standards and policy objectives;
- Other: ...

Explain to what extent the requested support is the only or most appropriate support available and applied for. If there is other external support provided to the project, please explain to what extent it is complementary and not overlapping / countervailing with the support requested from EPIC.]

**D. PROJECT BACKGROUND AND DESCRIPTION**

**Instructions**

*[box to be deleted before submission]*

*This section should provide a more extensive description and analysis of the project, its context and objectives, institutional framework, as well as of its status of preparation and any gaps that remain to be filled in order to advance it towards financing and implementation. Based on the identification of the gaps in the project preparation, the needs for EPIC support can be established.*

*The application form offers a checklist of key elements of study and analysis which are usually part of the project preparation process. This will facilitate a systematic review of the project status and any gaps.*

**29. Context and description and of the project**

[Provide a short description of the context/background of the project, which should include at least: location (include appropriate map in annex); existing situation to the extent relevant for the project; overarching national/international strategies/plans, from which the project derives; problems/needs identified to which the project will respond; relationship with other projects/measures planned; main beneficiary(ies); time horizon.

Provide an outline technical description of the project to the extent already conceived, but without pre-empting the results of any studies still envisaged. Explain on which basis this outline technical solution has been chosen and to which extent it is expected to be the best technical solution to the

	problem at hand. (Indicative length 500 words)]
<b>30. Main objectives of the project</b>	<p>[Provide a description of the main objectives of the project in terms of outcomes/outputs. The objectives must be realistic (be achievable within the timeframe of the project with the proposed budget and means), clear, quantified (as much as possible) and linked to the investment proposed. Make a clear link between identified problems (gaps/shortcomings/deficiencies)-project objectives-proposed solution(s). Refer to all documents used in drafting this section (e.g. studies, statistics, etc.) indicating title, author and issue date and URL (if available). (Indicative length 250 words)]</p>
<b>31. Institutional framework</b>	<p>[Describe the existing institutional framework within which the project is being prepared. Which institutions are involved in which roles? Who is envisaged to ensure the implementation of the project? Is there a PIU? If possible provide an organigram.]</p>
<b>32. Status of project preparation</b>	<p>[Provide a detailed description of the past, ongoing and envisaged stages of the project in terms of preparatory studies and work; reference key elements of existing studies, technical documentation and related permits and decisions (for instance environmental permits, demolition permits, land availability). Refer to all existing documents (e.g. studies, statistics, etc.) indicating title, author and issue date and URL (if available). Comment on any outstanding/ongoing tasks (activities, organisation, timeline, cost, budget and source of funds). An assessment should be provided as to the coherence of the various elements of study/documentation, both timely and spatially, e.g. are the options considered the same or reasonably similar, are the studies sufficiently recent, or outdated. <b>In the fields below, please text-mark in bold/yellow those stages where EPIC support is sought.</b>]</p>
<b><u>Strategic Planning Level</u></b>	
<b>Sector strategy</b>	[start and (expected) completion/approval dates; deliverables (incl. title, author, and issue date)/ results; main conclusion(s); and outstanding issues/conditions with regard to the project]
<b>Masterplan / other spatial planning document/s</b>	[start and (expected) completion/approval dates; deliverables (incl. title, author, and issue date)/ results; main conclusion(s); and outstanding issues/conditions with regard to the project]
<b>SEA, as applicable</b>	[start and (expected) completion/approval dates; deliverables (incl. title, author, and issue date)/ results; main conclusion(s); and outstanding issues/conditions with regard to the project]
<b><u>Pre-Feasibility Study Level</u></b>	

<b>Pre-feasibility study</b>	[Pre-FS (including preliminary traffic demand, technical and economic studies), start and (expected) completion/approval dates; deliverables (incl. title, author, and issue date)/results; main conclusion(s); and outstanding issues/conditions]
<b>Definition of strategic options and their conceptual design</b>	[start and (expected) completion/approval dates; deliverables (incl. title, author, and issue date)/ results; main conclusion(s); and outstanding issues/conditions with regard to the project]
<b>Preliminary ESIA</b>	[ditto]
<b><u>Feasibility Study Level</u></b>	
<b>Definition of Options</b>	[ditto]
<b>Traffic Studies</b>	[ditto]
<b>Topo-graphical Study</b>	[ditto]
<b>Geo-technical Study</b>	[ditto]
<b>Hydro-logical / Hydraulic Studies</b>	[ditto]
<b>Other specific technical studies possibly required</b>	[ditto]
<b>Preliminary design</b>	[ditto]
<b>ESIA</b>	[ditto]



<b>Climate Change Vulnerability &amp; Risk Assessment</b>	[ditto]
<b>Cultural Heritage and Archaeological Study</b>	[ditto]
<b>Identification of Utilities</b>	[ditto]
<b>Road Safety Impact Assessment / Audit (as applicable)</b>	[ditto]
<b>Land ownership</b>	[project site and its legal status, process timetable for land acquisition if required]
<b>Cost Estimates</b>	[start and (expected) completion/approval dates; deliverables (incl. title, author, and issue date)/results; main conclusion(s); and outstanding issues/conditions]
<b>Financial Analysis (as applicable)</b>	[ditto]
<b>Cost-Benefit Analysis</b>	[ditto]
<b>Qualitative Risk Analysis</b>	[ditto]
<b><u>Towards Implementation</u></b>	
<b>PIU</b>	[functional specification, staffing, organigram, tasks, start and (expected) completion/approval dates, deliverables, outstanding issues]
<b>Detailed design</b>	[start and (expected) completion/approval dates; deliverables (incl. title, author, and issue date) /results; main conclusion(s); and outstanding issues/conditions]
<b>Tender documentation</b>	[start and (expected) completion/approval dates; deliverables (incl. title, author, and issue date) /results; main conclusion(s); and outstanding issues/conditions]
<b>Works</b>	[start and (expected) completion/approval dates]

## E. DETAILS REGARDING THE TA SOUGHT THROUGH EPIC

### **Instructions**

*[box to be deleted before submission]*

The previous section provides a review of the project status and any gaps in project preparation. This section should identify and describe the elements of analysis and study still outstanding, which EPIC is expected to provide with the help of TA consultants. These should be analyses and studies for which EPIC is the only or most appropriate source of support.

It is important to describe the scope of these analyses and studies, as well as the type and amount of expertise required at a level of detail, which will allow estimating the related budget at a reasonable degree of confidence. Together with the scope of the TA, the total budget estimate will be a key element for decision by the EPIC SC.

The EPIC Advisory Team is available to fill this section together with the promoter.

33.	<b>Project stage(s)</b>	[ (a) Name of project stage as marked in bold/yellow above (b) Name of project stage as marked in bold/yellow above (c) ...]	
34.	<b>Scope of EPIC TA Support Requested</b>	[Description of the elements of EIPC TA requested (heads of terms of reference), organised by project stage. (a)... (b)... ...]	
35.	<b>Expertise required, organised by project stage and budget</b>	<b>Type of expertise required</b>	<b>Budget estimate in EUR</b>
	<b><u>Stage (a)</u></b>	[e.g. transport engineer, economist, environmentalist, social expert...]	
	<b><u>Stage (b)</u></b>	[e.g. transport engineer, economist, environmentalist, social expert...]	
	<b><u>Stage (...)</u></b>	[e.g. transport engineer, economist, environmentalist, social expert...]	
36.	<b>Indicative calendar of the EPIC-supported TA</b>		
	<b>Stage / task</b>	<b>Start date</b>	<b>Completion date</b>
	<b><u>Stage (a)</u></b> • Preparation of Terms of Reference • TA activities	Click or tap to enter a date.	Click or tap to enter a date.
	<b><u>Stage (b)</u></b> • Preparation of Terms of Reference • TA activities	Click or tap to enter a date.	Click or tap to enter a date.
	<b><u>Stage (c)</u></b> • Preparation of Terms of Reference • TA activities	Click or tap to enter a date.	Click or tap to enter a date.

Stage (...)

- Preparation of Terms of Reference
- TA activities

Click or tap to enter a date.

## F. INSTITUTIONAL FRAMEWORK FOR PROJECT DEVELOPMENT

### **Instructions**

*[box to be deleted before submission]*

*The purpose of this section is to describe the institutional set-up in place to prepare and implement the project, and to assess its capacity to do this work successfully. Contact details of key persons should be provided.*

37.	<b>Description of entities involved and organisational set-up</b>	<p>[Describe the institutional set-up for the execution of the EPIC action. What are the role and responsibilities of these entities?</p> <ul style="list-style-type: none"><li>• Promoter (e.g. road agency);</li><li>• Ministry in charge of the sector;</li><li>• Ministry in charge of financing aspects;</li><li>• PMU/PIU (or equivalent);</li><li>• Private company (if applicable);</li><li>• Other entities.</li></ul> <p>Please provide an image/chart of the organizational structure put in place <u>for implementing the EPIC action</u> and explain how the entities will interact. Further, explain the roles of and relationship with any external bodies involved (e.g. IFIs, donors, other).</p> <p>Provide contact details of authorised contact persons (and possibly alternates) below.]</p>
38.	<b>Contacts</b>	
	<b>Promoter</b>	Address: Name of contact person: Function: Telephone: E-mail:
	<b>Ministry of Transport / Line Ministry in charge</b>	Address: Name of contact person: Function: Telephone: E-mail:
	<b>Ministry in charge of financing</b>	Address: Name of contact person: Function: Telephone: E-mail:
	<b>EU Delegation</b>	Address: Name of contact person: Function: Telephone: E-mail:
	<b>European Commission - DG NEAR</b>	Address: Name of contact person: Function: Telephone:

		E-mail:
	<b>European Commission - DG MOVE</b>	Address: Name of contact person: Function: Telephone: E-mail:
	<b>Lead IFI</b>	Address Name of contact person Function Telephone E-mail
	<b>Co-financing IFI</b>	Address Name of contact person Function Telephone E-mail

## Annex I: Key requirements checklist for the screening of the proposal by EPIC

Requirement		Yes	No
1	Action concerns one or more eligible countries: Armenia, Azerbaijan, Georgia, Moldova, Ukraine	<input type="checkbox"/>	<input type="checkbox"/>
2	The project relates to the TEN-T and is of appropriate priority level	<input type="checkbox"/>	<input type="checkbox"/>
3	The project is included in the Economic and Investment Plan for EaP	<input type="checkbox"/>	<input type="checkbox"/>
4	The project is of appropriate level of priority as per national strategy / masterplan	<input type="checkbox"/>	<input type="checkbox"/>
5	The project is of appropriate level of priority as per regional strategy / plan and/or border crossing	<input type="checkbox"/>	<input type="checkbox"/>
6	The project is in coherence with other EU and inter-nationally recognised policy goals	<input type="checkbox"/>	<input type="checkbox"/>
7	The ESAF is submitted by an eligible entity of the Ministry of Transport / Infrastructure or equivalent of an EaP country	<input type="checkbox"/>	<input type="checkbox"/>
8	The project is endorsed by the ministry of finance of the country concerned	<input type="checkbox"/>	<input type="checkbox"/>
9	The Promoter is a mandated sub-sector entity in charge of preparing, implementing and operating the type of infrastructure concerned with a reasonable track record	<input type="checkbox"/>	<input type="checkbox"/>
10	The EPIC Advisory Team has supported the compilation of the application	<input type="checkbox"/>	<input type="checkbox"/>
11	The EUD has been consulted on the application and supports it	<input type="checkbox"/>	<input type="checkbox"/>
12	At least one IFI has been consulted on the application and supports it	<input type="checkbox"/>	<input type="checkbox"/>
13	The information provided in the SAF regarding the project is coherent and consistent	<input type="checkbox"/>	<input type="checkbox"/>
14	The description of the institutional framework clearly demonstrates the capacity of the Promoter to define and implement the project	<input type="checkbox"/>	<input type="checkbox"/>
15	The EPIC support requested offers an appropriate level of additionality	<input type="checkbox"/>	<input type="checkbox"/>
16	The EPIC support requested is complementary to other support	<input type="checkbox"/>	<input type="checkbox"/>
17	The support requested from EPIC is technically justified	<input type="checkbox"/>	<input type="checkbox"/>
18	The assessment of the cost of the EPIC TA support requested is appropriate	<input type="checkbox"/>	<input type="checkbox"/>
20	The indicative timetable for project preparation is appropriate	<input type="checkbox"/>	<input type="checkbox"/>
21	There is an appropriate level of likelihood of a viable / buildable project emerging in due course	<input type="checkbox"/>	<input type="checkbox"/>
22	The risks associated with the proposed project have been identified and the corresponding mitigation measures have been determined	<input type="checkbox"/>	<input type="checkbox"/>
<p>In addition to the table above, the screening EPIC officer is expected to provide a reasoned statement reflecting key observations complementing the table and arriving at a recommendation as to whether the EPIC SC should approve the application or not. Where the recommendation is not to approve the application for certain shortcomings, which can be amended, the statement should indicate, which amendments are necessary. This statement should not exceed 1 page.</p>			
		<b>Yes</b>	<b>No</b>
Recommended for approval by the EPIC SC		<input type="checkbox"/>	<input type="checkbox"/>