

**MODERNISATION FUND**  
Accelerating the transition to climate neutrality

**APPENDIX 7**  
**Subsequent disbursement for  
non-priority investment  
schemes or large-scale projects  
proposal form**

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Revision 5

**MODERNISATION FUND – Accelerating the transition to climate neutrality**

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<https://modernisationfund.eu/>

# Appendix 7 Subsequent disbursement for non-priority investment schemes or large-scale projects proposal form

(for schemes or large-scale projects recommended by the IC, provided that there have been no changes to the schemes / large-scale projects)

Articles 4 & 7 of the Implementing Regulation<sup>1</sup>

1. Submission information		
1.1. Targeted Investment Committee <sup>2</sup>	Sx/202x	
1.2. Is the proposal a scheme? If Yes, please fill in part 5.8 of this Form. If No, please fill in part 5.9 of this Form.	Yes <input type="checkbox"/>	No <input type="checkbox"/>
1.3. Does the proposal support the investments in gaseous fossil fuels? If Yes, and the investment is going to be financed with the 1 <sup>st</sup> category of funds (2%), for the schemes and large-scale projects confirmed by the EIB after 5 June 2023, please fill in part 6 and 7 of this form.  <i>Please note that no support from the Modernisation Fund 2<sup>nd</sup> category of funds (2.5%) shall be provided to energy generation facilities that use fossil fuels.</i>	Yes <input type="checkbox"/>	No <input type="checkbox"/>

<sup>1</sup> COMMISSION IMPLEMENTING REGULATION (EU) 2020/1001 of 9 July 2020 laying down detailed rules for the application of Directive 2003/87/EC of the European Parliament and of the Council as regards the operation of the Modernisation Fund supporting investments to modernise the energy systems and to improve energy efficiency of certain Member States.

<sup>2</sup> Please provide the targeted Investment Committee date in form of semester Sx and year.

<b>2. Authority responsible for the implementation of the Modernisation Fund</b>	
2.1. Name	
2.2. Address	
2.3. Website	
2.4. Main contact:	
Name	
Position in the Organisation	
Email	
Telephone Number	
Mobile Number (optional)	

3. General information			
3.1. Title of the scheme / large-scale project			
3.2. Scheme / Large-scale project managing authority			
3.3. Beneficiary Member State			
3.4. The EIB reference number of the scheme / large-scale project			
3.5. Date of the Investment Committee recommendation to finance the scheme / large-scale project			
3.6. Total investment cost of the large-scale project (with and without VAT) or total volume of the scheme (EUR)			
3.7. Total support from the Modernisation Fund (EUR)			
3.8. Please indicate the category of funds for the current investment <sup>3</sup> :	<input type="checkbox"/> Category I <sup>4</sup> (2%)	<input type="checkbox"/> Category II <sup>5</sup> (2.5%)	<input type="checkbox"/> Category III <sup>6</sup> (transfers)
3.9. If the investment is intended to be financed with the funds from 1 <sup>st</sup> and/or 2 <sup>nd</sup> category, and the Investment Committee has recommended to finance the scheme / large-scale project after 5 <sup>th</sup> of June 2023 (3.5), please complete section 8 of this form relating to the DNSH (Do No Significant Harm) principle.			
3.10. Currently requested amount for the disbursement from the Modernisation Fund (EUR)			
3.11. The chronological number of current disbursement request	X disbursement (i.e. 2nd, 3rd , etc.)		

<sup>3</sup> Please provide the information about the origin of the allowances as per Article 1(8) of the Implementing Regulation

<sup>4</sup> revenue from allowances referred Article 10(1), the third subparagraph of Directive 2003/87/EC

<sup>5</sup> revenue from allowances referred Article 10(1), the fourth subparagraph of Directive 2003/87/EC

<sup>6</sup> revenue from allowances covered by a notification pursuant to Article 10d(4) of Directive 2003/87/EC

#### 4. Declaration that there are no changes to the scheme / large-scale project<sup>7</sup>

Please attach the corresponding declaration from the national authority responsible for the Modernisation Fund.

#### 5. Specific information

5.1. Amount already disbursed for the scheme / large-scale project by the EIB (EUR).

5.2. The remaining amount, to be disbursed (calculated as the difference between the total approved funding from the MF for the scheme/large-scale project and the disbursements approved so far) (EUR).

5.3. Amount paid by the Beneficiary Member State to the final beneficiaries for the scheme / large-scale project.

5.4. Are there changes related to the "evidence of State aid compliance" of the investment proposal. This includes changes in the State aid regime that applies to each investment proposal, changes in the Commission non-objection decision (prolongation of the Commission decision, new Commission non-objection decision, etc.), changes in the block-exempted measures (new summary information transmitted to the Commission), changes in the reasoning that the measure does not constitute State aid, etc.

Yes  No

5.5. In case of **schemes**, please provide the updated information allowing to understand the implementation progress (please quantify already achieved objectives, results, indicators, volume, compliance with original time schedule) (Article 4(2, 2a) and Annex I 4.2(a) of the IR).

Please describe and provide reasoning for any deviations from the assumptions applied in the original investment proposal.

Please provide the information about calls for proposals, project selection, agreements concluded with the final recipients of the Modernisation Fund support, transfers made to the final recipients, as relevant.

Where no progress took place or there are significant delays since the previous disbursement decision, please provide the information about the reasons for such lack of progress or such significant delays and any corrective action and implementation timeline.

<sup>7</sup> as per [Assessment Guidance Document - Modernisation Fund](#)

<p>5.6. In case of <b>large-scale projects</b>, please provide the updated information allowing to understand the implementation progress (please quantify already achieved objectives, results, indicators, volume, compliance with original time schedule) (Article 4(2, 2a) and Annex I 4.2(b) of the IR).</p> <p>Please provide the information about milestones achieved since the previous disbursement decision.</p> <p>Where relevant: identified or expected changes in eligible costs, technology applied or results of the investment.</p> <p>Where no progress took place or there are significant delays since the previous disbursement decision, information about the reasons for such lack of progress or such significant delays and any correction and implementation timeline.</p>
<p>5.7. Please confirm that the financing complies with the fourth sentence of the second subparagraph of Article 10d(6) of Directive 2003/87/EC ("Up to 70% of the relevant costs of an investment which does not fall into the areas listed in paragraph 2 may be supported with resources from the Modernisation Fund provided that the remaining costs are financed by private legal entities").</p>
<p>5.8. Please specify the types and nature of entities financing the remaining costs of the investment and the share of the relevant costs financed by each of them (Article 10d(6) of Directive 2003/87/EC: "Up to 70% of the relevant costs of an investment which does not fall into the areas listed in paragraph 2 may be supported with resources from the Modernisation Fund provided that the remaining costs are financed by private legal entities").</p>



6. Support to energy generation facilities using gaseous fossil fuels (Regulation (EU) 2020/852, ETS Article 10d(1))	
Please fill in for the investments supporting gaseous fossil fuels financed from the 1 <sup>st</sup> category of funds (2%).	
6.1. Please confirm, by ticking the box, that the investment qualifies as environmentally sustainable in accordance with Article 3 of Regulation (EU) 2020/852	Confirm <input type="checkbox"/>
6.2. Please select the appropriate objective(s) set out in Article 9 in accordance with Articles 10 to 16 of Regulation (EU) 2020/852 to which the investment makes a substantial contribution.	
<input type="checkbox"/> Climate change mitigation; <input type="checkbox"/> Climate change adaptation; <input type="checkbox"/> Sustainable use and protection of water and marine resources; <input type="checkbox"/> Transition to a circular economy; <input type="checkbox"/> Pollution prevention and control; <input type="checkbox"/> The protection and restoration of biodiversity and ecosystems.	
6.3. Please confirm, by ticking the box, that the investment complies with <b>Do No Significant Harm</b> principle for all of the other environmental objectives set out in Article 9 in accordance with Article 17 of Regulation (EU) 2020/852.	Confirm <input type="checkbox"/>
6.4. Please confirm, by ticking the box, that the investment complies with the <b>minimum (social) safeguards</b> set out in Article 18 of Regulation (EU) 2020/852.	Confirm <input type="checkbox"/>
6.5. Please confirm, by ticking the box, that the investment complies with the <b>technical screening criteria</b> set out by the Commission through delegated acts (Regulation (EU) 2021/2139) in accordance with Articles 10(3), 11(3), 12(2), 13(2), 14(2) and 15(2) of Regulation (EU) 2020/852.	Confirm <input type="checkbox"/>

**7. Justification for reasons of ensuring energy security (ETS Article 10d(1))** Please fill in for the investments supporting gaseous fossil fuels financed from the 1<sup>st</sup> category of funds (2%).

7.1. Please confirm, by ticking the box, that the investment is duly justified for reasons of ensuring energy security.

Confirm

7.2. Please provide detailed justification.

<b>8. Do No Significant Harm principle (Regulation (EU) 2020/852, ETS Article 10d(f))</b> Please fill in for the investments financed from the revenues generated from the auctioning of allowances referred to in Article 10(1), third and fourth subparagraphs of EU ETS Directive (1 <sup>st</sup> and/or 2 <sup>nd</sup> category of funds (2% and/or 2,5%)).	
8.1. Does the investment proposal include any economic activity in respect of which technical screening criteria for determining whether an economic activity causes significant harm to one or more of the relevant environmental objectives have been established pursuant to Article 10(3), point (b) of Regulation (EU) 2020/852?	Yes <input type="checkbox"/> No <input type="checkbox"/>
8.2. If yes, please indicate below all economic activities included in the investment supported by the proposal, listed in Commission Delegated Regulation (EU) 2021/2139.	
Select an activity	
Select an activity	
Select an activity	
Select an activity	
Select an activity	
Select an activity	
Select an activity	
If there are more activities which will be supported under the proposal and which are, included in Commission Delegated Regulation (EU) 2021/2139, please specify them below providing the description and number as in the Regulation.	
8.3. Please confirm, by ticking the box, that the economic activities indicated above, comply with the <b>technical screening criteria</b> set out by the Commission through Regulation (EU) 2021/2139 in accordance with Articles 10(3), point (b)	Confirm <input type="checkbox"/>
8.4. Please indicate how the compliance of the investment with <b>Do No Significant Harm</b> principle will be ensured / (is ensured for ongoing investments)- for example: contractual conditionality and/or other.	
Please specify: ..... .....	

9. State Aid (Article 6(7)(c) and Annex I, point 1.8 of the IR)		
9.1. Does the investment involve granting State aid? (in the meaning of Article 107(1) of the Treaty on the Functioning of the European Union)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<p>9.2. If Yes, please provide evidence as applicable:</p> <p>a) the reference number of the Commission decision of non-objection on the national aid measure and a confirmation that the investment complies with all the conditions of that authorising decision;</p> <p>b) a reference to the compatibility basis under which the investment is exempted from the State aid notification (e.g. the specific GBER Article) and the reference number under which the summary information was registered (e.g. pursuant to Article 11 of GBER);</p> <p>c) expected date of notification of the aid measure to the Commission.</p> <p>Please specify total eligible costs as well as the aid intensities and any other relevant condition, based on the State aid decision / applicable GBER provisions.</p> <p>Please confirm that the total amount requested from the Modernisation Fund and other Union and national instruments (total State aid) does not exceed the amount and percentage allowed by the State aid decision / GBER.</p>		
<p>9.3. If No, please attach a statement evidencing that support for the investment proposal does not constitute State aid within the meaning of Article 107(1) of the Treaty. The statement should be signed either by the national authority responsible for the implementation of the Modernisation Fund or by the national competent authority responsible for State aid and should include either a reference to a Commission decision or <u>detailed</u> reasoning why the support does not constitute State aid.</p>		

**10. Non-beneficiary Member State** involved in the investment, located in the adjacent Union border region (Art.8 par 2 of the IR)

10.1. Does the proposal support the adjacent Union border regions? If Yes, please provide the information requested below:		Yes <input type="checkbox"/>	No <input type="checkbox"/>
10.2. Representative of the Non-beneficiary Member State			
10.3. Address			
10.4. Website			
10.5. Main contact:			
Name			
Position in the Organisation			
Email			
Telephone Number			
Mobile Number (optional)			

**11. Endorsement of Authority Submitting the Investment Proposal**

Name:	
Signature:	
Date:	