



CEF TRANSPORT 2015 CALLS FOR PROPOSALS

Guide for Applicants

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1. Introduction

The purpose of the Guide for Applicants is to provide guidance to those wishing to apply for financial support from the Connecting Europe Facility (CEF) programme in the field of the trans-European transport infrastructure under the 2015 calls for proposals published on 5 November 2015. The Guide aims to support applicants in preparing their applications.

The main legal documents referred to in this Guide are the following:

- **CEF Regulation:** Regulation (EU) No 1316/2013 of European Parliament and of the Council of 11 December 2013,
- **TEN-T Guidelines:** Regulation (EU) No 1315/2013 of the European Parliament and of the Council of 11 December 2013,
- **Financial Regulation:** Regulation (EU, EURATOM) No 966/2012 of the European Parliament and of the Council of 25 October 2013,
- **Rules of Application:** Commission Delegated Regulation (EU) No 1268/2012 of 29 October 2012,
- **Multi-annual work programme:** Commission Implementing Decision C(2015) 7358 of 30 October 2015 – Annex I¹,
- **Call texts:** Calls for proposals concerning projects of common interest under the Connecting Europe Facility in the field of the trans-European transport network: CEF Transport Call 2015 open for proposals in the EU Member States that are eligible to the Cohesion fund according to Commission Implementing Decision 2014/99/EU² (hereinafter '**Cohesion call**') and CEF Transport Call 2015 open for proposals in all EU Member States (hereinafter '**General call**').

Other documents referred to in this Guide are:

- Model grant agreement, including its annexes which specifies the terms and conditions to which an applicant or consortium will be expected to agree if its proposal is selected for funding,
- Proposal checklist, and
- GIS data submission User Guide

All of the above documents are available on the individual call webpages on the Innovation and Networks Executive Agency (INEA) website, accessible via the following link:

<https://ec.europa.eu/inea/connecting-europe-facility/cef-transport/apply-funding/2015-cef-transport-calls-proposals>.

Please note that this Guide is for information purposes only. It has no legal value and it does not supersede the rules and conditions laid out in the relevant above-mentioned legal bases.

¹ Commission Implementing Decision C(2015) 7358 of 30 October 2015 amending Commission Implementing Decision C(2014) 1921 as amended by Decision C(2015) 2192 establishing a Multi-Annual Work Programme 2014 for financial assistance in the field of Connecting Europe Facility (CEF) - Transport sector for the period 2014-2020

² Commission Implementing Decision (2014/99/EU) of 18 February 2014 setting out the list of regions eligible for funding from the European Regional Development Fund and the European Social Fund and of Member States eligible for funding from the Cohesion Fund for the period 2014-2020 (notified under document C(2014) 974). These are Bulgaria, Czech Republic, Estonia, Greece, Croatia, Latvia, Lithuania, Hungary, Malta, Poland, Portugal, Romania, Slovenia and Slovakia.

2. Funding under the CEF Transport multi-annual work programme 2014-2020

CEF supports trans-European networks and infrastructures which fill the missing links in Europe's energy, transport and telecommunications sectors. It is a key EU instrument to promote growth, jobs and competitiveness through targeted investment at European level. The main objective of CEF Transport is to help complete the Trans-European Transport Network (TEN-T) Core Network and its nine multimodal Corridors by 2030 and the Comprehensive Network by 2050.

CEF Transport aims at supporting investments in building new transport infrastructure in Europe or rehabilitating and upgrading the existing one.

CEF Transport focuses on cross-border projects and projects aiming at removing bottlenecks or bridging missing links in various sections of the Core Network and on the Comprehensive Network, as well as for horizontal priorities such as traffic management systems.

CEF Transport provides an incentive for the interconnection of transport modes, interoperability of transport services and the accessibility of transport infrastructures, both for passengers and freight. It also supports innovation in the transport system in order to improve the use of infrastructure, reduce the environmental impact of transport, enhance energy efficiency and increase safety.

The work programme details the priorities and the maximum available budget to be committed for each of the priorities under CEF Transport 2015 calls. Under this work programme, two calls were published on 5 November 2015, one with an indicative budget up to €6,472 million dedicated to proposals in Member States eligible to the Cohesion Fund and another with an indicative budget up to €1,090 million dedicated to proposals under the general envelope of the CEF in all EU Member States.

The details of the different Funding Objectives and their priorities are available on the call webpages:

<https://ec.europa.eu/inea/connecting-europe-facility/cef-transport/apply-funding/2015-cef-transport-calls-proposals>.

3. Evaluation and Selection Process

The European Commission and INEA carry out the evaluation and selection of proposals submitted under CEF Transport, with the support of independent technical experts. The aim of the evaluation is to ensure that only the highest-quality proposals which best meet the award criteria as described in the relevant work programme and call text are selected for funding.

The evaluation process is based on two key principles:

Equal treatment – all proposals are evaluated in the same manner against the same criteria

Transparency – adequate feedback is provided to applicants on the outcome of the evaluation of their proposals.

Proposals must meet the formal requirements, as well as the eligibility and selection criteria, and are evaluated on the basis of the award criteria defined in the relevant work

programme and call texts. The award criteria relate to *relevance, maturity, impact and quality*. The final selection of proposals is done by the Commission, taking into account additional aspects described in section 10 of the call text and in section 3.3 of this Guide.

3.1. Assessment of compliance with formal requirements, eligibility, selection criteria, and EU law

Once a proposal is submitted, an applicant is informed by means of an automatic email that the proposal was successfully received. However, this acknowledgment of receipt should not be taken as an indication that the proposal is *admissible*.

All proposals submitted in response to a CEF call are first checked for admissibility and verified regarding their compliance with the formal requirements set by the call text, such as whether they were submitted before the call deadline and are complete.

Each proposal is then assessed against the eligibility criteria, as described in section 7 of the work programme and section 7 of the call text. Any proposals which do not meet these criteria are rejected, and applicants are duly informed of the reason. In the absence of such a notification, applicants may assume their proposal has successfully passed this eligibility check.

The compliance of the proposal with the selection criteria and the relevant EU legislation is also verified during this stage. In case any further clarifications are needed, applicants may be contacted during the evaluation process. Any concerns about the compliance of the proposal with the relevant EU legislation will be taken into account during the final selection process and may also be addressed during the individual grant agreement preparation.

3.2. External Evaluation

Proposals which meet the formal requirements and the eligibility criteria are assessed by technical experts. Technical experts are independent external experts, selected on the basis of their technical knowledge, taking into account the thematic focus of the call(s), and with consideration of geographical and gender balance. The experts perform assessments in their personal capacity and not as representatives of their employer, country or any other entity. They sign a contract with INEA, as well as declarations on confidentiality and absence of conflicts of interest. Experts are required to adhere to confidentiality rules at all times before, during and after the evaluation.

Each application is first assessed independently by a minimum of three experts against the four applicable award criteria: *relevance, maturity, impact and quality* as described in the call text. Each expert completes an Individual Assessment Form and assigns a score per criterion, on a scale from 0 to 5. Experts are also required to provide comments to justify their scores, which must be consistent with scores awarded.

After the experts have completed their individual assessments, a consensus meeting, which is moderated by Agency staff, is held with all of the experts assigned to a specific proposal. During this meeting, a consensus report is agreed and signed for each proposal, providing a score for each criterion and the justifying comments. Experts may also make recommendations regarding the amount of funding and/or the duration of a proposed Action.

The minimum threshold for all criteria is 3 out of 5 points. In other words, any proposal which does not obtain at least 3 points for each criterion is not recommended for funding by the experts.

3.3. Final Selection Process

A Selection Committee composed of representatives from the Commission's Directorate-General for Mobility and Transport (DG MOVE) assisted by INEA and including representatives of other Directorates-General in particular the Directorate-General for Environment and the Directorate-General for Regional and Urban Policy assesses the outcome of the external evaluation and draws up the list of proposals both recommended and not recommended for funding.

During the final selection process the Commission pays particular attention to the following aspects as appropriate:

- the contribution of the proposed Action to the balanced development of the network,
- the complementarity of the proposed Action with other EU funded projects, in view of optimising the impact of investments already made in the region/country/global project,
- the comparative EU added value (high, medium, low) of the proposed Action in relation to other proposed Actions, taking into account the respective Cost Benefit Analysis where appropriate,
- any identified/identifiable risks of double-funding from other EU sources,
- potential synergies across the different CEF sectors and/or other EU Programmes, notably Horizon 2020, where particular consideration will be given to Actions involving the deployment of innovation and technology developed under the EU's research programmes, and
- budgetary constraints.

For projects funded under the Cohesion call two additional criteria are taken into account:

- the programming for the European Structural and Investment Funds in order to ensure complementarity between the two sources of funding, and
- how the proposed Action fits in the national transport plan in the Member State(s) concerned, where appropriate.

3.4. Approval by Member States and information to the European Parliament

The Commission presents the final list of proposals recommended for funding in the form of a draft Commission Implementing Decision (known as Selection Decision). Before adoption by the Commission, the Selection Decision must receive a positive opinion from Member States representatives in the CEF Coordination Committee. The European Parliament is also informed about the proposed list.

The Selection Decision is then adopted by the Commission, listing all proposals selected for funding, the respective maximum amounts of funding per Action and the beneficiaries of the Action.

Applicants/coordinating applicants of all the submitted proposals are informed in writing about the outcome of the evaluation for their proposal.

3.5. Preparation and signature of grant agreements

Each applicant whose proposal is selected for funding is then invited to finalise and sign an individual grant agreement with INEA.

The model grant agreement is available on the each of the individual call webpages, accessible via the following link:

<https://ec.europa.eu/inea/connecting-europe-facility/cef-transport/apply-funding/2015-cef-transport-calls-proposals>

Applicants are requested to carefully read the model grant agreement and its annexes, especially the General Conditions, before submitting a proposal.

The basic model grant agreement is not negotiable and will be signed in English. Grant agreement preparations cover technical, legal or financial as well as other relevant aspects of the proposal based on the results of the evaluation. Upon finalisation with INEA, the grant agreement is sent to the coordinator (for multi-beneficiary actions) or the beneficiary (for mono-beneficiary actions) for signature.

For multi-beneficiary Actions, an applicant must be designated to carry out the coordination function. The coordinator will be the contact point for INEA and will be, *inter alia*, responsible for receiving the payment(s) from the Agency and distributing the funds to the other beneficiaries, as well as coordinating the reporting exercise(s), including the submission of request(s) for payment.

In addition, it is also **strongly recommended** that for multi-beneficiary Actions, beneficiaries sign an internal cooperation agreement regarding their operation and coordination, including all internal aspects related to the management of the beneficiaries and the implementation of the proposed Action. Such internal cooperation agreements shall not undermine, under any circumstances, the terms and conditions of the model grant agreement.

4. Preparing an Application

Applicants wishing to apply for funding under CEF Transport calls must submit an application for an Action, which is defined as any set of activities which has been identified as financially and technically independent, has a set timeframe, and is necessary for the implementation of a project of common interest and which may be granted financial assistance following a call for proposals and evaluation process (see *Glossary*).

All proposals must clearly describe the:

- planned activities of the proposed Action, related milestones and deliverables
- information on who will carry out the activities
- costs
- reason(s) why the proposal should be supported financially by the EU

All information relevant for the evaluation of the proposal must be included within the application.

Applicants must complete and submit the application forms electronically, using the TENtec eSubmission module. A link to the module is also provided on each individual call webpage, accessible via the following link:

<https://ec.europa.eu/inea/connecting-europe-facility/cef-transport/apply-funding/2015-cef-transport-calls-proposals>.

The TENtec eSubmission module is part of the TENtec Information System used to manage the CEF projects during their entire lifecycle and enables the electronic submission of proposals under the CEF calls.

Application form

The application form is composed of four parts, including their respective annexes, as follows:

- **Part A** identifies the main characteristics of the proposal (e.g. summary of the proposed Action and description of its activities, contact details and characteristics of the applicants, as well as information related to the funding requested, the transport mode, placement on the network, etc.).
- **Part B** provides administrative information about the applicants, their designated affiliated entities and/or implementing bodies and their operational and financial capacity.
- **Part C** provides information on the compliance of the proposed Action with EU law and other sources of EU funding.
- **Part D** provides technical and financial information on the proposed Action submitted for funding.

As part of the application, a map showing the location of the proposed Action must be provided in the proposal. To help create such a map, an Interactive Map Editor is embedded in the TENtec eSubmission module. For further guidance on this tool, please refer to the GIS data submission User Guide, available under the guidance documents on the call webpages.

All parts of the application form are provided on each of the individual call webpages.

4.1. Getting started

The following sections will provide specific guidance and instructions on how to complete each part of the application. Remember to refer to the main legal documents listed in section 1 (and available on each individual call webpage) for any other explanations. Use the proposal checklist when finalising the application to help ensure that all parts of the application have been addressed.

To use the TENtec eSubmission module, an applicant must first be registered in ECAS (European Commission Authentication System), which provides a single sign-on across a large number of Commission information systems (*please see section 9 for how to create an ECAS account*).

Once created in the TENtec eSubmission module, the application can be identified by a unique code composed of eight digits. When communicating with INEA during the preparation of the application, the applicant(s) must use this **unique identification code**.

4.2. Part A

Part A identifies the main characteristics of the proposal (e.g. summary of the proposed Action and description of its activities, contact details and characteristics of the applicants, as well as information related to the funding requested, etc.).

- ✓ *Part A must be encoded in the TENtec eSubmission module. The link to the module can be found on the individual call webpages. The Word version of part A is organised slightly differently to how the information is displayed in the TENtec eSubmission module user interface. For reference, the section numbers of the Word version are listed below in parentheses (). One suggestion when getting started is to first download the Word version of part A to become familiar with the information required before inputting data in the TENtec eSubmission module.*

To create an application, sign in to the TENtec eSubmission module and click on the button "Create new application". Select the specific call for proposals for which the application is being prepared, the priority addressed by the proposal and, if applicable, the sub-priority. For further information on the specific priorities and sub-priorities please refer to the multi-annual work programme available on the respective call website.

It is possible that a proposal may address more than one priority open under a call for proposals. In such cases, it is important that the applicant chooses the priority which is better addressed by the nature of the proposal, as this will be taken into account to assess the relevance of the proposal during the evaluation process. Where an application addresses more than one sub-priority,, the applicant should choose the sub-priority which is better addressed by the nature of the proposal and make explicit reference to the other sub-priorities that the proposal addresses in the application form.

Enter the title, start and end date of the proposed Action and click the "Create button". Note: when choosing the proposal title, do NOT use continuous capital letters or abbreviations. The number of characters for the proposal title is limited to 150.

Once the application has been created, edit it by clicking on the application in the home screen of TENtec Evaluation module.

General information (A1)

Click on the "Edit" button under the "General information" section in order to edit the details entered during the creation of the application.

At this stage, it will no longer be possible to change the call under which the application is being prepared. If the proposed Action addresses a different call for proposals, follow the steps described above to create a new application.

Priority and **subpriority** addressed by the proposal can be changed for the application. For further information on the specific priorities please refer to the multi-annual work programme available on the respective call website.

Proposal type: Indicate whether the proposal addresses studies, works or combines them (mixed proposal). For definitions, see section 6 of this Guide. The types of actions to be funded are specified in the description of each specific priority in sections 3.1 to 3.3 of the work programme.

Transport mode: Indicate the transport mode/traffic management system which is addressed by the proposal. The choice of transport mode may be limited for the priority in question. Where a proposal concerns more than one transport mode, select 'multimodal' if the option is available in the drop down menu.

The **Start date** is the day on which the implementation of an Action actually begins or is expected to begin. It corresponds to the date from which costs may be considered eligible. For actions supported under these calls, costs may be eligible at the earliest as from the date on which the application is submitted. Please note that, to be considered

mature, according the award criterion "maturity", the activities of the action should be ready to start, at the latest within eighteen months after the closure of the call.

The **End date** is the date on which the implementation of an Action is expected to be completed. It corresponds to the date up to which costs may be considered eligible. It should be 31 December 2020 at the latest.

Network type: Indicate whether the proposal addresses Core or Comprehensive Network. For proposals on the Core Network, applicable Corridors and pre-identified sections must also be indicated, as described below.

Summary: Add a concise summary, which should be no more than 2000 characters, and should address the proposed Action's scope and objectives. This summary will be used in subsequent reporting on the results of the call, as well as for the grant agreement, if the proposal is selected for funding. Clarity and conciseness are therefore important.

Twinned proposal: if the application is twinned with another proposal (as indicated in section 7.2 of the calls for proposals), the unique identification code or proposal number and title of the twinned proposal must be indicated in this section.

Twinned proposals are multi-applicant proposals some parts of which are entitled to funding under the Cohesion Fund envelope and other parts under the general CEF Transport envelope. In such cases, the application must be split and each part submitted separately under the Cohesion call and the General call. The proposal codes (or application numbers) and titles of the proposed Actions must be cross-referenced in order to allow clear identification of the two parts. Such applications will be evaluated jointly to appreciate their common EU added value.

Corridors and sections: to indicate a Core Network Corridor or Other section of the Core Network that the proposal addresses, click on "Add corridors and sections" button. A new window will open, allowing to select a Core Network Corridor from a drop down. If relevant, select a pre-identified section from the second drop down menu. To add an additional Corridor or pre-identified section, repeat the steps. For a full list of pre-identified sections on the Core Network Corridors and Other sections of the Core Network, refer to Annex I, Part I of the CEF Regulation.

Applicants (A2-A2.4)

In the TENtec eSubmission module's "Applicants" section, click on the "Create new applicant" button and provide the applicant's official legal name, general administrative data and its legal status among the following options:

1. EU Member State
2. Neighbouring country / Third country
3. Public sector undertaking or body established in the EU
4. Private sector undertaking or body established in the EU
5. Public sector undertaking or body established outside the EU
6. Private sector undertaking or body established outside the EU
7. International organisation
8. European Economic Interest Grouping (EEIG)
9. Joint undertaking

Applicants that fall within categories 3, 4, 5, 6, 8 or 9 must specify whether they have the legal personality in accordance with the applicable national legislation. In the absence of legal personality, the applicants concerned must provide their statutes (or the relevant abstracts) demonstrating that their representative has the capacity to undertake legal

obligations on their behalf. This information is to be uploaded in the TENtec eSubmission module's "Supporting documents" section in the top part "Required documents related to the applicant(s)", using a single zip file if there are multiple documents.

If there is more than one applicant in a proposal, follow the steps listed above to add another applicant. All applicants will appear in a summary table on the "Applicants" page.

Coordinating applicant: Applicants of multi-applicant proposals must designate a coordinating applicant. The coordinating applicant leads and represents all of the applicants and acts as the point of contact with the Commission and/or INEA during the application phase.

To do this, in the TENtec eSubmission module's "Applicants" section, select from the drop down menu the legal entity that will act as the coordinating applicant. The person indicated to be the person in charge at this entity will automatically be considered the first contact point of the application if necessary during or after the evaluation process.

Unless specified otherwise by the applicant, it is assumed that the coordinating applicant automatically becomes the Action's coordinator if the proposal is selected for funding. The coordinator will perform the tasks as described in the model grant agreement, including receiving payment(s) and coordinating the reporting exercise(s).

Other information is also requested about the applicants. In the "Applicants" section of the TENtec eSubmission module, click on the applicant's name and a new window with five tabs will open.

Legal entity: In this tab, provide the information concerning the legal entity of the applicant by clicking on the "Edit" button, including its name, legal status and administrative information.

Person in charge: In this tab, provide the contact details of the person in charge of the proposal by clicking on the "Edit" button. Make sure to save any changes. The person indicated under this section will be considered as the first contact point of the application if necessary during or after the evaluation process.

Authorised representative(s): In this tab, provide details about the person authorised to sign the application by clicking on the "Edit" button. The application form page containing these details must be printed and signed by the authorised representative and then scanned and uploaded by the applicant in the TENtec eSubmission module (see section 4.2 "Completion of part A").

A second authorised representative may be entered by adding this information as indicated. Note that a second representative is optional and should only be added if the statutes of the applicant require joint representation.

Approval ministry: This tab will only appear if one of the following categories is selected for legal status of the applicant:

2. Neighbouring³/Third⁴ country
3. Public sector undertaking or body established in the EU
4. Private undertaking or body established in the EU
5. Public sector undertaking or body established outside the EU

³ Within the meaning of Article 2 of the CEF Regulation, neighbouring country means a country falling within the scope of the European Neighbourhood Policy including the Strategic Partnership, the Enlargement Policy, and the European Economic Area or the European Free Trade Association.

⁴ Within the meaning of Article 2 of the CEF Regulation, third country means any neighbouring country or any other country with which the EU may cooperate to achieve the objectives pursued by this Regulation.

6. Private sector undertaking or body established outside the EU
7. International organisation
8. European Economic Interest Grouping (EEIG)
9. Joint undertaking

Click on the "Edit" button to add the details of the EU Member State responsible to approve the application and the name and contact details of its representative that is authorised to sign the application.

The approval must be given by the Member State(s) concerned by the proposed Action. "Member State concerned" is considered to be each Member State in which the proposed Action will be implemented. For a proposal submitted by an international organisation or European Economic Interest Grouping (EEIG), only one Member State is sufficient to validate the participation in the proposal of this organisation/entity.

The application form page containing these details must be printed and signed by the representative of the concerned EU Member State Ministry (*see section 4.2 "Completion of part A"*). The agreement of the EU Member State must be provided for each applicant (even if there is more than one applicant from the same Member State).

The EU Member State approval does not entail any commitment of the Member State to financially support the proposed Action and/or any liability in case of irregularities or errors. It is only intended to ensure that Member State(s) are informed of proposals submitted to the CEF Transport calls for proposals that do not originate from their administrations.

By approving the proposal, the Member State representative endorses the application and, if applicable, confirms that a methodology recognised in the respective national context has been used for the cost-benefit analysis (*see also section 5 of this Guide for further guidance related to CBA*).

Note that a Member State may have a particular process in place for providing its approval for proposals under CEF Transport. It is strongly recommended that applicants contact the relevant Member State authorities at an early stage of the preparation of proposals to clarify any specific procedures for obtaining such approval. A list of Member State contact points is available on the call webpages.

In addition to providing the approval of the EU Member State concerned, applicants that are third countries or entities established in third countries must provide additional supporting documents (*see section 4.3 of this Guide and section 7.1 of the call for proposals on eligibility of applicants*).

Implementing body: This tab will appear only for applicants that are EU Member States or international organisations. All other applicants are not entitled to designate an implementing body.

Click the "Add implementing body" button and add the implementing body's name, legal status and administrative information. The information provided must allow the implementing body to be identified without ambiguity.

Multiple implementing bodies may be added, if applicable.

Affiliated entities: Under this tab applicant(s) that wish to designate one or more affiliated entity(ies)⁵ to be involved in the implementation of the proposed Action must

⁵ An affiliated entity is any legal entity that is under the direct or indirect control of an applicant, or under the same direct or indirect control as the applicant control taking any of the following forms:

enter information for each entity involved in the proposal. Click the "Add affiliated entity" button and add the affiliated entity's name, legal status and administrative information.

Any designated affiliated entities must comply with the eligibility criteria defined in the work programme and the respective call for proposals (*see also section 4.3 of this Guide*). In addition, those affiliated entities which will fully implement the proposed action may be requested to demonstrate their compliance with the selection criteria as specified for applicants in the work programme and the call for proposals at the stage of the grant agreement preparation.

Location of the Action (A3.1)

Member States and regions: Click on the "Add Member States and regions" button, which will open a new window. Select a Member State from the drop down menu. Click on "Add regions". Click on the name of a region in the left hand box, followed by a right arrow, in order to select a region. Select as many regions as relevant. To de-select a region, click on a name of a region in right hand box, followed by a left arrow. Repeat the steps to add more Member States and regions.

NUTS 2 classification is used for regions. For more information, see the following link: <http://ec.europa.eu/eurostat/web/nuts/overview>.

Third countries: Click on the "Add third country" button, which will open a new window. Select a country from the drop down menu and click 'Save'. Repeat the steps to add more third countries.

Interactive map editor: Click on "Enter a location" button to provide a map of your proposal in the interactive map editor. In order to submit an application, at least one shape (i.e. a line, point or polygon), which represents the elements of infrastructure or areas affected by the proposed Action, must be entered in the map editor. For more detailed instructions on how to draw shapes, refer to the GIS Data Submission User Guide, which is provided on the call webpages.

Once the shapes are drawn, click 'Save and exit' to get back to the rest of the application.

Activities and Milestones (A3.1)

The eSubmission module's "Activities and Milestones" section requests specific information about the proposed Action.

It is strongly recommended that the text introduced in this section to describe the activities and the milestones is consistent, both in terms of wording and content, with the information provided in the application form part D.

Activities: An activity is a part of the proposed Action that is distinct technically, financially or over time and which contributes to the completion of the proposed Action. It may be composed of one or more tasks. The implementation of an activity leads to the completion of an expected result or output, and/or a set of deliverables. The description should encompass the description of the tasks to be implemented, list of deliverables, performance indicators as relevant.

The direct or indirect holding of more than 50% of the nominal value of the issued share capital in the legal entity concerned, or of a majority of the voting rights of the shareholders or associates of that entity
The direct or indirect holding, in fact or in law, of decision-making powers in the legal entity concerned

First click on the "Add activity" button and for each activity of the proposed Action, enter its name, description, start and end date. Please note no verifying milestones may be added to an activity, before the milestones are added (see below). Indicate the responsible applicant(s) from the list.

Milestones: Milestones indicate how the activity and its associated expected result(s) are progressing. The number of milestones per activity will depend on the complexity of each activity. Each milestone should relate to at least one activity, have an expected date, and preferably any corresponding intermediate steps, including deliverables as relevant.

By definition, milestones are one-off events and therefore the means of verification should be easy and concrete. Examples of milestones include: approval or submission of a final design plan, publication of a tender, signature of contract, starting / end of construction works, etc. Examples of means of verification include: publication of the notice of the tender to the appropriate media, the issuing of a certificate of acceptance, the signature of a contract by the last contractual party, date in an order notice to commence the works, etc.

Milestones must be evenly distributed over the duration of the proposed Action. In this respect, a concentration of milestones towards the end of the proposed Action must be avoided because there would be limited means for monitoring its implementation. The start-up event (i.e. the start of the implementation period of the proposed Action) and the end event (i.e. the end of the implementation period of the proposed Action) should be clearly identified.

First click on the "Add milestone" button and then enter its name, description, expected date and means will be used to verify its achievement/completion. Repeat this step to add multiple milestones. Then go back to the list of activities, click once on the selected activity and select the verifying milestone(s) and responsible applicant(s) attributed to the activity. Repeat as necessary to attribute milestones to all activities.

Financial instruments: The applicant must indicate if the proposed Action a) entails activities investigating possibilities of Public Private Partnerships (PPP), concessions or studies that could enable the use of financial instruments AND/OR b) involves a PPP, concession or other form of procurement that could enable the use of financial instruments, possibility in combination with CEF grant funding.

Click on 'Edit Financial instruments' button, to select either 'Yes' or 'No' answer.

A 'Yes' response to this question means that either a) or b) or both are applicable to the proposed Action. A 'No' response to this question means that neither a) nor b) are applicable to the proposed Action. Further detailed information on PPPs and financial instruments must also be provided under question 4.9 and 4.10 in the application form part D.

Financial information (A3.2)

The "Financial information" section ("Costs" in the left-hand menu) of the TENtec eSubmission module is where all of the relevant budgetary and funding information related to the proposed Action should be provided.

Indicative breakdown of estimated eligible costs by activity:

Indicate if the requested funding rate is 'single' (the same funding rate for all activities) or 'multiple' (different funding rates depending on activity). If 'single' funding rate is selected, indicate the requested rate in the text box (up to 2 decimals are allowed) and click 'Apply funding rate'. The funding rate will be automatically inserted in the costs table. If a 'multiple' funding rate is selected, the funding rate must be entered per activity in the table.

The applicable funding rates, in line with Article 10(2) of the CEF Regulation, are listed in the section 12.2.1 of the call text.

For proposals under the General call, in line with Article 10(5) of the CEF Regulation, applicable co-funding rates may be increased by up to 10 percentage points for actions with synergies between transport and at least one other sector covered by the CEF Regulation, which address the priorities of Article 4 of the CEF Regulation. Please indicate if the requested funding rate includes a top up rate for synergies with other CEF sectors.

In the costs table, click on each applicant involved in an activity and enter an indicative breakdown of:

- Estimated eligible costs to be incurred during the implementation of the proposed Action for that activity and applicant per year
- Requested co-financing rate (if 'multiple' funding rate was selected above).

All amounts must be in euros; no decimals can be encoded.

The total of estimated eligible costs and the total requested CEF Transport contribution will be automatically calculated based on the entered information. The total requested CEF Transport contribution in this table must match the total CEF Transport financing in the sources of financing table.

For information on the eligibility of costs please refer to the relevant call text section 12.2.2, Article 126 of the Financial Regulation and Article 187 of its Rules of Application, as well as the model grant agreement available on the relevant call webpage.

Sources of financing: By clicking on the applicant, indicate the financial contribution to the proposed Action for each applicant from all applicable sources of financing. These can be the applicant's own resources, loans (from the European Investment Bank (EIB) or any other sources), state and regional/local budgets, possible income generated the proposed Action, other sources (e.g. contributions from third parties other than state or regional/local budgets, financial instruments) and the amount of CEF Transport financing requested. All amounts must be in euros. The totals per category will be calculated automatically.

Related actions: If the proposed Action is part of a larger project previously supported through EU funding, please specify here all related actions already funded. Click the "Add related action" button. Provide the Action title, the name of the funding programme, the amount awarded in euros and the reference number of the signed grant agreement or adopted grant Decision.

Exchange rate: Specify the exchange rate used when preparing the application. In converting to euros, use the monthly accounting rate established by the Commission (ideally the rate of the month of submission of the application or, if not published at the time of the submission, the rate from the preceding month), available here: <http://ec.europa.eu/budget/inforeuro/index.cfm?Language=en>.

Translation information (A4)

Submission of the proposal in English is strongly encouraged. Click on each part of the application form to open a new window and select from the drop down the language of the document as well as to indicate whether an English translation will be provided.

Provide an estimate of the overall translation costs in the text box, by clicking on "Introduce estimate" button.

Annexes and supporting documents – with the exception of the summary of the cost benefit or cost-effectiveness analysis – do not need to be translated unless the applicant deems this necessary.

Contribution to CEF objectives (A5)

The questions in this section aim to measure the contribution of the proposed Action to the funding objectives specified in Article 4 of the CEF Regulation. The number and type of questions appearing in this section depend on the type of proposal, priority under which it is submitted and the transport mode, as indicated in section A1.

Information provided in this section must be consistent with the information elsewhere in the application form, where the applicants have the possibility to provide further explanations and clarifications about the proposal's contribution to CEF objectives.

It is possible that for a given application no questions need to be completed in this section. In that case, none will appear. Applicants nonetheless have to explain and clarify the contribution of the proposal to CEF and TEN-T policy objectives in the application form part D.

If questions appear, the number may not be sequential. Please refer to Word version of the application form part A for the numbering. All questions that appear must be answered.

To introduce an answer, click 'Edit answer' and a new window will open. For each question, all requested information must be provided. However, the applicant has the possibility to choose 'not applicable' instead, if the question is not applicable to the proposed Action.

If you make any change to your proposal that entails a change in the type of proposal, priority under which it is submitted and the transport mode, as indicated in section A1, information previously entered in this section will be removed. You will need to complete a new set of questions, according to the new information encoded in section A1.

The full list of questions is reproduced below for information and further explanation on the type of replies expected:

1. How many new or improved cross-border connections will the proposal address?
Number of connections: input limited to full figures only (no decimals or separators can be encoded).

2a. How many kilometres of railway line will the proposal adapt to the European nominal gauge standard?
Number of km: input limited to full figures only (no decimals or separators can be encoded).

2b. How many kilometres will the proposal fit with ERTMS?

Number of km: input limited to full figures only (no decimals or separators can be encoded).

3a. How many bottlenecks (within the meaning of Article 2(15) of the CEF Regulation) will the proposal remove?

Number of bottlenecks: input limited to full figures only (no decimals or separators can be encoded).

3b. Will the proposal increase capacity on transport routes?

Drop down with options (yes, no, not applicable): one must be selected.

4. How many kilometres of the inland waterway network will the proposal address?

Number of km: input limited to full figures only (no decimals or separators can be encoded).

Class: Drop down with options Class I-VII, only one can be selected.

5. How many kilometres of the railway will the proposal upgrade following the requirements set out in Article 39(2) of Regulation (EU) No 1315/2013 (full electrification of line tracks for electric trains operations; sidings; freight lines of core network at least 22,5t axle load; 100km/h line speed and train length of 740m; full deployment of ERTMS; nominal track gauge: 1,435mm)?

Number of km: input limited to full figures only (no decimals or separators can be encoded).

6. How many supply points for alternative fuels for vehicles using the TEN-T core network for road transport will the proposal address?

Number of supply points: input limited to full figures only (no decimals or separators can be encoded).

Type of alternative fuel: Drop down with options (CNG, LNG, Hydrogen, Electricity); only one can be selected.

7a. How many inland ports of the TEN-T core network will the proposal equip with supply points for alternative fuels?

Inland ports: Drop down with a list of TEN-T core network inland ports; at least one must be selected but it is possible to select more than one.

7b. How many maritime ports of the TEN-T core network will the proposal equip with supply points for alternative fuels?

Maritime ports: Drop down with a list of TEN-T core network maritime ports; at least one must be selected but it is possible to select more than one.

8. How many casualties are expected to be avoided by the proposal on the road network of the EU on a yearly basis in relation to the latest figures available?

Number of avoided casualties: input limited to full figures only (no decimals or separators can be encoded).

Data available: Yes/No. If the answer is 'Yes', a figure must be provided. If the answer is 'No', the figure provided will automatically be 0.

9a. How many TEN-T multimodal logistic platforms will the proposal connect to the railway network?

Number of multimodal logistic platforms: input limited to full figures only (no decimals or separators can be encoded).

9b. How many TEN-T inland ports will the proposal connect to the railway network?

Inland ports: Drop down with a list of TEN-T inland ports; at least one must be selected but it is possible to select more than one.

9c. How many TEN-T maritime ports will the proposal connect to the railway network?
Maritime ports: Drop down with a list of TEN-T maritime ports; at least one must be selected but it is possible to select more than one.

9d. How many TEN-T airports will the proposal connect to the railway network?
Airports: Drop down with a list of TEN-T airports; at least one must be selected but it is possible to select more than one.

10a. How many rail-road terminals will the proposal improve?
Rail-road terminals: Drop down with a list of TEN-T rail road terminals; at least one must be selected but it is possible to select more than one.

10b. How many new connections between ports through Motorways of the Sea will the proposal address?
Maritime ports: Drop down with a list of TEN-T maritime ports; at least two must be selected but it is possible to select more than two.

10c. How many improved connections between ports through Motorways of the Sea will the proposal address?
Maritime ports: Drop down with a list of TEN-T maritime ports; at least two must be selected but it is possible to select more than two.

11. How many kilometres of inland waterways will the proposal fit with RIS?
Number of km: input limited to full figures only (no decimals or separators can be encoded).

12a. What ATM functionality level(s) does the proposal address?
ATM functionality level: Drop down with options Level 1-6; at least one must be selected but it is possible to select more than one.

12b. How many priority actions of the ITS Directive (2010/40/EU) does the proposal address?
ITS priority actions: Drop down with options priority actions a-f and cooperative systems; at least one must be selected but it is possible to select more than one.

Supporting documents

In order to submit the application, all other parts (application form parts B, C and D) and required supporting documents must be uploaded in the TENtec eSubmission module's "Supporting Documents" section.

Required documents related to the applicant(s): Upload the Financial Identification Form and Legal Entity Form (*if required, see section 4.3*) for each applicant as well as statutes (or the relevant abstracts), if an applicant is required to demonstrate that its representative has the capacity to undertake legal obligations (*see section 4.2 "Applicants (A2-A2.4)"*).

Required documents for the application: Upload application form parts B, C and D.

Additional documents for the application: Upload any other supporting documents – such as the annexes of form B if they are completed separately – other than those indicated in the first two points above. Make sure to clearly identify them by using appropriate file names.

There is a limitation of 30MB per uploaded document. The following files formats are supported (.doc, .docx, .xls, .xlsx, .pdf, and .zip).

Contributors panel

The TENtec eSubmission module's "Contributors" section provides the possibility to give access to the application to additional users, either in read-only mode or with editing rights. Click the "Add contributor" button and select the person from the drop down list. Only those users registered in ECAS (European Commission Authentication System) will appear in the drop down list (*please see section 9 for how to create an ECAS account*).

It is recommended that the actual applicant (or coordinating applicant in case of a multi-applicant proposal that will also finalise and submit the application) creates the application in the first place and subsequently adds the contributors, as appropriate.

✓ *Locking/unlocking an application: If several users have access to the same application, the application is automatically locked as soon as one of the users starts to edit the information. To unlock the application form so that other contributors can edit it, click on the red "Unlock Application" box in the upper right corner of the screen. Inputting any data will once again lock the application. No simultaneous editing is possible. Click on the "What's this?" link next to the "Unlock Application" for more information.*

Completion of part A

After part A is fully encoded but before it is submitted, print it out using the TENtec eSubmission module's "Export Form A" section.

Consult the print out and please note the following:

- For single applicant proposals, sections A2.2 must be dated, signed and stamped **by each applicant** (if applicable). It must be scanned and uploaded as a supporting document before proposal submission.
- If section A2.2, for a single applicant proposal, is not signed by the applicant, the proposal will be considered not compliant with the formal requirements specified in the call text and will not be evaluated. In the case of a multi-applicant proposal, the applicant concerned may be excluded from the proposal.
- The section A2.3 must be completed, signed and stamped by the concerned EU Member State **for each applicant** (if applicable), even if there is more than one applicant from the same country. It must be scanned and uploaded as a supporting document before proposal submission.
- If section A2.3, for a single applicant proposal, is not signed by the concerned EU Member State (when required), the proposal will be considered not compliant with the eligibility criteria specified in the call text and will not be evaluated. In the case of a multi-applicant proposal, the applicant concerned may be excluded from the proposal.
- Applicants must keep the originals and provide them to INEA/Commission upon request.
- All finalised documents should be uploaded to the TENtec eSubmission module and should be clearly named to allow their easy identification (See "Supporting Documents" section above).

4.3. Part B: Administrative information on applicants

Part B contains the administrative information on applicant(s) and information used to demonstrate compliance with financial and operational capacity. For multi-applicant

proposals, the relevant parts/annexes of application form part B must be completed for each applicant.

Part B and its relevant annexes/supporting documents must be uploaded in the TENtec eSubmission module's "Supporting Documents" section.

Legal Entity form (LEF)

All applicants - except Member States/Member State regions and provinces, and neighbouring/third countries - and their designated affiliated entities must upload the completed Legal Entity form (LEF) in the TENtec eSubmission module's "Supporting documents" section, under "Required documents related to the applicant(s)". For affiliated entities documents can be uploaded under "Additional documents". The LEF can be downloaded in editable form in all EU languages at the following link:

http://ec.europa.eu/budget/contracts_grants/info_contracts/legal_entities/legal_entities_en.cfm

If applicable, the additional documents referred to in the LEF (register(s) of companies, official gazette, VAT registration, etc) should also be uploaded in the TENtec eSubmission module in the "Supporting documents" section under "Additional documents for the application".

Grounds for exclusion

All applicants – except Member States, Member State regions and provinces of the EU, and neighbouring/third countries – and their designated affiliated entities must also complete and sign the declaration form in annex B-I and annex B-II of the application form part B, as applicable. These documents should be uploaded in the TENtec eSubmission module's "Supporting documents" section under "Additional documents for the application" or as part of the completed and scanned application form part B.

Financial identification form

All applicants must provide the official Financial Identification form, available in all EU languages at the following link:

http://ec.europa.eu/budget/contracts_grants/info_contracts/financial_id/financial_id_en.cfm.

Upload the completed and stamped Financial Identification form in the TENtec eSubmission module's "Supporting documents" section, under "Required documents related to the applicant(s)". If applicable, any additional documents referred to in the form (e.g. recent bank statement) should be uploaded under "Additional documents for the application".

Requirements on financial and operational capacity

Applicants must mark their legal status among the following categories:

1. EU Member State
2. Neighbouring country / third country
3. Public sector undertaking or body established in the EU
4. Private sector undertaking or body established in the EU

5. Public sector undertaking or body established outside the EU
6. Private sector undertaking or body established outside the EU
7. International organisation
8. European Economic Interest Grouping (EEIG)
9. Joint undertaking

Applicants which fall under categories 4, 5, 6, 8 and 9 must prove that they have the financial and operational capacity to carry out the proposed Action.

Exemptions for applicants which fall under categories 8 and 9:

- Applicants under category 8 are exempt from demonstrating financial and operational capacity if they are 100% owned by public body(ies).
- Applicants under category 9 are exempt from demonstrating financial and operational capacity if they qualify as public sector undertakings or bodies established in the EU.

For multi-applicant proposals, the table in the application form part B must also be completed, confirming, for each applicant that is required to demonstrate the financial and operational capacity that the relevant supporting documentation is provided with the proposal. Rows may be added as required. Any missing documentation proving the financial and operational capacity from one or more applicants must be explained.

Financial capacity check

The financial capacity check consists of a financial analysis based on a set of ratios. In order to be financially viable, an applicant must be liquid, solvent, profitable and autonomous. In other words, the applicant should be capable to cover its short-term and long-term commitments and it should be able to generate profits independently.

Applicants that have to demonstrate their financial capacity must provide:

- Financial capacity check form available on the call page AND
- Financial statements (i.e. balance sheet, income statement and cash flow statement) for the last financial year for which the accounts were closed, OR
A letter of support in case the applicant has not been operating for one year.

The financial capacity check must include information from the most recent completed annual accounting exercise of the organisation. The financial capacity ratios are calculated automatically and are shown in the Ratio Analysis worksheets.

For the financial documents, only those reference documents containing the data used to complete the financial capacity check form should be submitted. It is important that there is a clear link between the figures entered in the financial capacity form and the submitted supporting documents. One possibility to ensure this is to add the electronic Excel table indicating the aggregated amounts.

After completion, upload the form in Excel format in the "Supporting Documents" section of the TENtec eSubmission module, under "Additional documents for the application". Any other supporting documents (see above) should also be uploaded in order to allow crosschecks on the reliability of the information provided.

<i>For multi-applicant proposals, the financial capacity check form must be filled in separately by each applicant, if required.</i>
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Operational capacity check

Applicants that have to demonstrate their operational capacity must submit appropriate documents attesting that they have the technical and operational capacity to complete the proposed Action. These may include organisations' activity report, proof of adequate professional qualifications of the team responsible for implementing the proposed Action, proof of recent experience in carrying out similar or related actions, or evidence of previous cooperation with European or international bodies.

Upload these documents in the "Supporting Documents" section of the TENtec eSubmission module, under "Additional documents for the application".

Designated affiliated entities

In the event that the designated affiliated entities will be the only ones implementing the proposed Action, they must demonstrate they have the financial and operational capacity to do so if the proposal is selected for funding. However, documents demonstrating the financial and operational capacity do not need to be submitted at the time of the application but will be requested during grant agreement preparation. If unsatisfactory, the affiliated entity concerned may not be included in the grant agreement or mitigation measures may be applied to address the potential financial risk raised.

In addition, complete the table as indicated in application form part B under "Designated affiliated entities", adding rows as needed.

Requirements for applicants that are neighbouring / third countries or entities established in neighbouring / third countries

Applications submitted by neighbouring / third countries and entities established in neighbouring / third countries must include the agreement of an EU Member State concerned by the proposed Action (*see section 4.2 "Applicants (A2-A2.4)"*).

In addition, entities established in neighbouring / third countries must provide proof of the support of the neighbouring / third country authorities concerned (Annex III of the application form part B).

A declaration on why the participation of the neighbouring / third country applicant is necessary and/or indispensable (Annex B-IV of the application form part B) must also be completed.

4.4. Part C: Compliance with EU policy and law

The purpose of this part of the application form is to present information regarding the compliance of the proposal with the applicable EU policies and law, in particular on environmental protection, interoperability, state aid, road charging, public procurement and accumulation of EU funding sources.

Part C must be uploaded in the TENtec eSubmission module's "Supporting Documents" section under "Required documents for the application". Any relevant annexes/supporting documents must be uploaded in the TENtec eSubmission module's "Supporting Documents" section under "Additional documents for the application".

Please note that the support (by signature and stamp) provided by a Member State to the proposal (in application form part A2.3) does not substitute the signature of the

relevant authority under this Part C. Therefore, the certifications, if applicable, need to be signed separately.

Chapter I - Compliance with EU law on environmental protection

Indicate if the proposal is for studies or works (*see Glossary in section 8 of this Guide*). In case of a studies proposal, indicate whether the studies involves physical interventions.

All works and studies implying physical interventions (destructive tests, excavations, etc.) are required to demonstrate their compatibility with EU policy on environment, meaning they have to fill in this section of the application form part C. In particular, applicants must state that all relevant environmental, nature conservation and water requirements have been fulfilled, and that the project complies with the environment-related European Directives.

Proposals for studies not involving physical interventions do not need to demonstrate their compliance with EU environmental law. In this case, it must clearly be stated that no physical intervention will take place as part of this proposed Action.

In addition, ERTMS, SESAR, ITS, VTMS, telematics application systems, actions exclusively related to implementation of electric vehicles charging stations in already existing build areas, installation to improve accessibility for persons with reduced mobility, and vessels and rail rolling stocks retrofitting proposals need to fill in Section 1 "Compliance with EU policy on environmental protection" ONLY if the proposed action includes physical works (e.g. installation of antennas) affecting a site designated as protection zone under the "Habitats" (92/43/EC) and Birds (2009/147/EC) Directives. Section 1.6 "Actions with a potential impact on water - Water Framework Directive 2000/60/EC" needs to be completed ONLY if these physical works are located in protected waters as defined in Article 1 of this Directive.

Section 1 – Consistency of the project with environmental policy

Describe how the proposed Action contributes and takes into account the environmental policy objectives (as guidance, please consider the following: resource efficiency, preservation of biodiversity and ecosystem services, reduction of greenhouse gas emissions, and resilience to climate change impacts). Describe how the project respects the precautionary principle, the principle of preventive action, the principle that environmental damage should as a priority be rectified at source and the "polluter pays" principle.

Section 2 – Development Consent

Explain whether development consent has already been given to this proposed Action. If yes, please specify on which date. If no, please specify when the formal request was introduced and when the final decision is expected. Please also specify which competent authority has given or will give the development consent.

"Development consent" means the decision of the competent (national) authority or authorities which entitles the developer to proceed with the proposed Action.

Section 3 - Application of Directive 2011/92/EU on Environmental Impact Assessment

An environmental assessment is a procedure that ensures that the environmental implications of decisions are taken into account before the decisions are made. More information can be found at: <http://ec.europa.eu/environment/eia/home.htm>.

Detailed information on the Directive 2011/92/EU of the European Parliament and the Council on the assessment of the effect of certain public and private projects (also called the Environmental Impact Assessment, or EIA, Directive) as amended can be found at (see codified version): <http://ec.europa.eu/environment/eia/eia-legalcontext.htm>.

Provide the documents specified in the application form, based on whether the Action falls under the Annex I or Annex II of the EIA Directive.

The signature contained in point 3.4 is only required in case the proposed Action does not fall under the scope of the EIA Directive, i.e. the answer to 3.1 was "Neither of the two annexes".

Section 4 - Application of the Strategic Environmental Assessment Directive 2001/42/EC

The text of the Council Directive 2001/42/EC on the assessment of the effects of certain plans and programmes on the environment, known as the Strategic Environmental Assessment Directive (also called the SEA Directive) can be found at: <http://ec.europa.eu/environment/eia/sea-legalcontext.htm>.

If the proposed Action results from a plan or programme falling within the scope of the SEA Directive, provide the following documents:

- non-technical summary of the Environmental Report carried out for the plan or programme as required by Article 5(1) of Annex I (j) of the SEA Directive,
- documentation as required by Article 9 (b) of the SEA Directive,
- information on the public consultations prepared under Article 6 of the SEA Directive, and
- information on the consultations with the competent authorities prepared under Article 6 of the SEA Directive.

If it does not result from such a plan or programme, explain.

Section 5 – Impact of the Action on Natura 2000 sites

The text of Council Directive 92/43/EEC of 21 May 1992 on the conservation of natural habitats and of wild fauna and flora, known as the Habitats Directive, can be found at: http://ec.europa.eu/environment/nature/legislation/habitatsdirective/index_en.htm.

The text of Council Directive 2009/147/EC on the conservation of wild bird, commonly referred to as the Birds Directive can be found at: http://ec.europa.eu/environment/nature/legislation/birdsdirective/index_en.htm.

Information on the Natura 2000 network can be found at: http://ec.europa.eu/environment/nature/natura2000/index_en.htm.

If the proposed Action is not likely to have a significant effect on sites included or intended to be included in the Natura 2000 network and therefore an appropriate assessment as described by Article 6(3) of Directive 92/43/EEC was not deemed necessary, please attach Annex C-II "Declaration by the Authority responsible for Natura 2000 sites" filled, signed, stamped and dated by the authority responsible for monitoring Natura 2000 sites and enclose a map of the area showing the proposed Action and Natura 2000 sites.

If the proposed Action is likely to have a significant effect on sites included or intended to be included in the Natura 2000 network, appropriate assessment must be carried out according to Article 6(3) of Directive 92/43/EEC.

In case the appropriate assessment concludes that the proposed Action will NOT affect the integrity of the site concerned, attach the agreement of the relevant authority.

In case the appropriate assessment concludes that the proposed Action will NEGATIVELY affect the integrity of the site concerned or its conclusion is uncertain, then Article 6(4) of the Directive applies. In such case, attach a copy of the standard notification form "Information to the European Commission according to Article 6(4) of the Habitats Directive", as notified to the Commission (DG Environment) and/or an opinion of the Commission under Article 6(4) of the Habitats Directive in case of projects having significant impacts on the priority habitats and/or species and justified by imperative reasons of overriding public interest other than human health and public safety or beneficial consequences of primary importance for the environment.

Where applicable, Annex C-I must be dated and signed by the competent authority responsible for monitoring of Natura 2000 sites.

Section 6 – Actions with a potential impact on water - Water Framework Directive 2000/60/EC

The text of the Water Framework Directive 2000/60/EC can be found at: http://ec.europa.eu/environment/water/water-framework/index_en.html.

The objective of this section is to have a clear opinion of any new modification to the physical characteristics of a surface water body or alterations to the level of bodies of groundwater which deteriorate the status of a water body or cause failure to achieve good water status/potential.

Where applicable, section 6 must be dated and signed by the Competent Authority identified in accordance with Article 3(2) of the Water Framework Directive.

Chapter II: Compatibility with EU policy on interoperability (railway actions only)

This section must be filled in for all proposals including construction of rail infrastructure or deployment of ERTMS, whether on conventional or high speed lines. All railway Actions must comply with Directive 2008/57/EC on the interoperability of the rail system within the Community and with relevant Technical Specifications for Interoperability (TSIs). Studies must anticipate carrying out the works in line with the EU legislation.

Compliance with the Technical Specifications for Interoperability is compulsory. Should certain provisions of a TSI not be respected, the applicant must provide information regarding any notification sent to the Commission with a request to derogate from the TSI and, if applicable, of the outcome of the procedure for derogation, which is set out in the applicable Directive. Any proposal including a possible derogation from a TSI will be closely assessed by Commission services.

Directive 2008/57/EC of 17 June 2008 repealed with effect from 19 July 2010 Council Directive 96/48/EC of 23 July 1996 (as amended by Directive 2004/50/EC of 24 April 2004) on the interoperability of the trans-European high-speed rail system as well as Council Directive 2001/16/EC on the interoperability of the European conventional rail system. Detailed information can be found at:

http://ec.europa.eu/transport/rail/interoperability/interoperability_en.htm

Chapter III: Compatibility with EU law on State Aids

All proposed Actions must comply with Articles 107(1) and 108(3) of the Treaty on the Functioning of the European Union. In particular, unless otherwise provided in this Treaty, any aid granted by a Member State or through State resources in any form whatsoever which distorts or threatens to distort competition by favouring certain undertakings or the production of certain goods shall, in so far as it affects trade between Member States, be incompatible with the common market.

Please provide further information as requested whether the proposed Action is or will be financed through state or public funding involving state aid which might be incompatible with EU law. In case state aid is involved, explain if a notification pursuant to Article 108(3) to the Commission (DG Competition) has taken or will take place and set out possible grounds for compatibility with state aid rules.

Chapter IV: Compatibility with EU law on road charging (for road actions only)

The question refers to Article 7(f) of the Directive 1999/62/EC of 17 June 1999 on the charging of the heavy goods vehicles for the use of certain infrastructures, as amended which can be found at:

http://ec.europa.eu/transport/modes/road/road_charging/

Chapter V: Compatibility with the EU law on public procurement⁶

Please provide further information as requested in the form on public procurements planned during the implementation of the proposed Action and compliance with the EU law on public procurement.

The Directive 2004/18/EC of the European Parliament and of the Council of 31 March 2004 on the coordination of procedures for the award of public works contracts, public supply contracts and public service contracts (OJ L 134, 30.4.2004, p. 114) and the Directive 2004/17/EC of the European Parliament and of the Council of 31 March 2004 coordinating the procurement procedures of entities operating in the water, energy, transport and postal services sectors (OJ L 134, 30.4.2004, p. 1) impose the application of specific procurement procedures for the award of contracts for a value exceeding specific thresholds. The application of inappropriate procurement procedures may have as a consequence that the costs related to these procedures will be considered ineligible.

More information about EU public procurement rules, as well as the texts of the above-mentioned Directives can be found at:

http://ec.europa.eu/growth/single-market/public-procurement/rules-implementation/index_en.htm

Chapter VI- Other sources of EU funding

Pursuant to Article 129 of the Financial Regulation, same costs cannot be financed twice by the EU budget. It is possible however that a global project receives funding from different EU sources for different activities. EIB loans are compatible with the granting of CEF financial aid.

⁶ Directive 2004/18/EC of the European Parliament and of the Council of 31 March 2004 (OJ L 134, 30.4.2004, p. 114) and Directive 2004/17/EC of the European Parliament and of the Council of 31 March 2004 (OJ L 134, 30.4.2004, p. 1) as amended. Any reference to these Directives shall be understood to refer to references to respectively Directive 2014/24/EU of the European Parliament and of the Council of 26 February 2014 (OJ L 94, 28.3.2014, p. 65) and Directive 2014/25/EU of the European Parliament and of the Council of 26 February 2014 (OJ L 94, 28.3.2014, p. 243) where the latter Directives have entered into force.

If the proposed Action (or the global project) benefits from any other source of EU funding, provide detailed information on: financial instrument concerned (e.g. European Regional Development Fund, Cohesion Fund, Seventh Framework Programme for Research and Technological Development (FP7) and Horizon 2020), amount allocated, references of relevant decisions, activities to be supported, beneficiary(ies), etc.

Clarify if the proposed Action (or the global project) has also applied for any EU financial aid other than TEN-T/CEF. If so, explain the status of the application and provide information on the financial instrument concerned, amount requested, activities to be supported, beneficiary(ies), etc.

If applicable, explain if further EU support will be applied for in the future and which financial instruments will be targeted.

4.5. Part D: Technical and financial information

Part D requests information on the global project and the proposed Action and addresses questions which provide the basis for the evaluation of the proposal.

Part D must be uploaded in the TENtec eSubmission module's "Supporting Documents" section under "Required documents for the application". Any relevant annexes/supporting documents must be uploaded in the TENtec eSubmission module's "Supporting Documents" section under "Additional documents for the application".

It is very important to answer all of the questions in part D as comprehensively as possible and to include all information relevant for the evaluation of the proposal within the application form. The information provided must be complete, clear and self-explanatory. No request for further information, clarification or explanation will be made during the evaluation of the proposals. The absence/incompleteness of an answer is likely to result in a lower score given by the evaluators for the relevant criteria, thus reducing the chance that the proposal will be selected. If an answer to a particular question is not available/not applicable, this should be clearly explained.

Part D is composed of the following sections:

1. General description of the global project
2. Description of the proposed Action
3. Relevance: Contribution of the proposed Action to the TEN-T policy objectives and EU dimension
4. Maturity of the proposed Action
5. Impact of the proposed Action
6. Quality of the proposed Action
7. Annexes

The following guidance indicates the minimum information that needs to be provided under each question, but the type of information described below is not exhaustive. It is the applicant's responsibility to include any further details deemed necessary for the full appreciation of the merits and justification of the proposed Action. It is also necessary to make sure that responses are included on questions, including indication, where relevant, indications that no information exists or the question is not applicable to the proposal.

Unless it is otherwise stipulated in the proposal the description of the state of play is deemed to reflect the situation on the date of the submission.

Application form part D should not exceed **40 pages**, all tables included.

Section 1 - General description of the global project including needs, objectives and financial information

Question 1.1 - General Description of the global project, including needs and objectives

Provide information on and description of:

- i) the general context within which the proposed Action fits; this may be a larger project, a master plan, a development plan, all of which fall under the definition of a global project;
- ii) the problems, needs and/or issues to be addressed by the global project;
- iii) the objectives and aims of the global project;
- iv) total cost and timetable for the realisation of the global project;
- v) the management structure, associated stakeholders, their respective roles and responsibilities and contribution to the global project;
- vi) the current state of play, results and/or objectives achieved so far;
- vii) other parts of the global project that are planned to be implemented in parallel with the proposed Action but do not form part of the proposed Action itself, and their links with the proposed Action.

Question 1.2 – Financial information about the global project

Indicate the financial contribution to the global project from all possible sources of financing. These can be the applicant's own resources, loans (from the European Investment Bank (EIB), National Development Bank loans or commercial loans), Member State and regional/local budgets, possible income generated by (parts of) the global project, other EU funds, private sector equity, EU financial instruments other sources and the amount of expected or ongoing CEF Transport financing for the global project.

All amounts must be in euros; no decimals can be encoded.

Include explicit reference to the underlying global investment project and its capital investment plans. This applies in particular to proposed studies investigating possibilities of PPP or the use of financial instruments to realise specific future capital investments.

If the global project foresees making use of public-private partnerships and/or EU financial instruments, total contributions coming from these sources need to be indicated in the table. A breakdown per funding source and additional information can be provided in Question 1.3.

For multi-beneficiary projects, please give only the total amounts per category.

For the definition of global project, please see the Glossary in section 6 of this Guide. It is not required to enter information beyond the global project, for example regarding an entire Core Network Corridor, in this table.

Question 1.3 – EU financial instruments

Indicate if EU financial instruments are used by the global project (as specified in line 11 in the table in question 1.2).

If yes, explain what financial instruments are being used, what their respective amounts are (in case there is more than one) and what amount of private investment has been enabled by the use of these financial instruments.

Section 2 – Description of the proposed Action

The proposed Action must be presented as a stand-alone project, even if it is part of a global project. It should be based on a well-defined starting situation and deliver well-defined results and achievements.

Question 2.1 – General description of the proposed Action including needs and objectives

The information provided under this question should be consistent with the description provided in the application form part A.

Provide information on or description of the following:

- i) the specific problems, needs and/or issues to be addressed by the proposed Action. Problems and issues may be of any nature (e.g. bottlenecks, congestion, pollution, capacity constraints of current infrastructure, etc.) and should be, to the extent possible, quantified;
- ii) the justification for EU support and added value (bridging a financial gap, links with specific policy and priority objectives, removal of bottlenecks, etc.).
- iii) the specific objectives of the proposed Action, i.e. what should be achieved by implementing the proposed Action and/or the desired results; expected results should be quantified, as far as possible.

Examples of main objectives include (non-exhaustive list):

- Development and implementation of innovative safety technology
- Introduction of new services
- Increased speed of railway link
- Improvement of navigability of waterways
- Increased capacity of locks
- Harmonisation of signalisation
- Increased interoperability
- Increased co-modality
- Improved safety
- Completion of a study
- Development of analytical framework for assessment of PPP arrangements
- Completion of feasibility study to assess PPP as an alternative financing mechanism

- iv) The indicators (different from the milestones to be defined per activity) which will be used to assess the extent to which the proposed Action's main objectives are being / have been achieved, and their sources of verification. Make sure that there is at least one indicator for every objective.

Indicators should be SMART:

- **S**pecific (an observable action or achievement is described)
- **M**asurable, quantifiable (a reliable system is in place to measure progress towards the achievement of the objective)
- **A**chievable (can be reached/achieved within the framework of the proposed Action)
- **R**elevant (is important/relevant for the achievement of the main objectives)
- **T**ime bound (can be measured within the framework of the proposed Action).

For each indicator, define the source(s) of verification that will be used to assess the extent to which the indicator is being achieved, and, for quantitative indicators, to calculate them (e.g. ex-ante evaluation(s), institution or organisation collecting

statistical information, database). If relevant, the methods used to collect the information should also be described.

Question 2.2 - Contribution of the proposed Action to the global project and expected results

Please provide information on or description of the following:

- i) How the proposed Action contributes to the implementation and final completion of the global project;
- ii) The next phase of the global project and how it relates to or depends on the completion of the action; and
- iii) How the proposed action contributes to the achievement of the objectives of the global project.

Question 2.3 - Description of the activities of the proposed Action, including their interdependencies

It is important that the activities are proportionate to the size, complexity and duration of the proposed Action. Major works and studies contracts have to be identified as distinct activities so that their start and completion dates may be set as milestones, including the tendering phase if not yet completed.

Provide a detailed description of each activity listed in application form part A, including the following:

- i) how the activity contributes/relates to the overall objectives of the proposed Action;
- ii) the start and/or the end event of the activity as essential monitoring milestones (e.g. signature of contract, submission of a final report, end of works, etc.); For activities with a total duration of 3 years or more, provide at least one milestone per calendar year;

In case an activity has started before the start of the proposed Action or is expected to be completed after the end date of the proposed Action, provide information on start/end dates of this activity. Do not use percentage values for completion degrees but describe in qualitative terms the completion level at the corresponding date. Moreover, in addition to the cost of the part of the activity to be performed during the implementation period of the proposed Action, provide, information on the costs of the activity before and/or after the implementation period of the proposed Action.

- iii) relevant quantitative information pertaining to the activity in question, including dimensions and capacity of infrastructure, etc.;
- iv) expected output/result, if possible in quantitative terms;
- v) the duration of each activity and working assumptions on performance rates;
- vi) the interdependencies with other activities of the proposed Action (e.g. finish-to-start, start-to-start, finish-to-finish or start-to-finish). If there is no dependence, this needs to be clearly stated. Explain whether an activity is on the critical path.

The information in (v) and (vi) above should be coherent with and reflected in the graphical representation provided under question 2.5.

vii) the relevant stakeholders, authorisation procedures, implementing body, lines of authority and approval procedures.

In general, each activity must be clearly detailed from both the technical and organisational point of view. Clear structure of the different activities in terms of milestones, implementation period and costs will help the Commission to focus its support on activities where EU funding could bring the greatest benefits.

In case, an activity contains interrelated distinct components, steps or phases, a proportionate description and information must be provided for each component.

Financing can be requested only for activities carried out during the eligibility period as specified in the call for proposals. For more information on cost eligibility see the model grant agreement available on the call webpages.

Question 2.4 – Location of the proposed Action

Explain the location of the proposed Action, including any specificities of the location (e.g. mountain area, urban area, etc.).

If a map is included in this section, it should aim only to facilitate the reading of the proposal. A detailed map must be provided through the Interactive Map Editor accessible in the TENtec eSubmission module ("Location of the Action" section (A3.1)). Refer to the GIS Data Submission User Guide, available on the call webpages, for guidance on how to use this tool.

Question 2.5 – Action Plan (graphic representations)

Include a Gantt chart of the proposed Action detailing the critical path, including interdependencies and milestones of each activity, either by inserting it in the box or by attaching such chart as an annex.

If applicable, provide also the graphical representation of the global project but make sure to make a clear distinction between the proposed Action and the global project.

For proposed Actions addressing SESAR only, the 'Action Plan' in this section should not be confused with the 'Action Plan' in the Annex I of the Framework Partnership Agreement. The Gantt chart in this section should nevertheless refer to the Deployment Programme.

Question 2.6 - Risk assessment grid by activities

Provide information concerning the risk management plan for the proposed Action. The plan shall include description of:

- The risks linked to specific activities. Risks are unexpected or unforeseen **events** that may affect the implementation of the proposed Action in various ways;
- Their potential impact such as delays, cost overruns, cancellation, redesign, etc.;
- Their likelihood of occurrence;
- The level of control of these risks (to which extent is under the control of the beneficiary, the implementing or any other associated body, or, if not, to which extent it might be influenced); and
- The mitigation actions undertaken or planned. Mitigation measures are only one of the possible responses to a risk. Please describe all types of risk responses planned.

Question 2.7 – Financial support to third parties

Only for proposed Actions submitted under the priority "New technologies and innovation" and which entail financial support to third parties, give details about the funding scheme such as maximum amount to be granted to each third party, the criteria for determining the amount and the award procedure.

Describe how the principles of transparency and equal treatment and the conditions of Article 9 of the CEF Regulation will be ensured.

Section 3 - Relevance: Contribution of the proposed Action to the TEN-T policy objectives and EU dimension

The following questions relate to the relevance of the proposed Action to TEN-T policy objectives and the EU added value of the proposed Action (relevance of the global project of which the proposed Action may be part is addressed in question 2.2). It is important that statements are substantiated.

Question 3.1- Contribution of the proposed Action to TEN-T Core Network Corridors and or classification as a project of common interest

Clarify if the proposed Action relates to a Core Network Corridor, as described in Part I, Annex I of the CEF Regulation. If so, indicate precisely which Corridor and section of a Corridor the proposed Action addresses. If the proposed Action does not belong to a Corridor but contributes or links to it, explain how. Relevant information must also be encoded in the application form part A in 'General information' (*see also section 4.1 "General information (A1)"*).

Where a proposed Action addresses a horizontal priority, clarify why it is considered a project of common interest according to Article 7 of the TEN-T Guidelines.

Question 3.2- Contribution of the proposed Action to TEN-T priorities

Specify how the proposed Action addresses TEN-T priorities, as defined in Article 10 of the TEN-T Guidelines (e.g. interoperability, intermodality, elimination of bottlenecks). Describe any "network effect" produced by the proposed Action (or the global project) by linking with or complementing other TEN-T/CEF actions.

Question 3.3- Contribution of the proposed Action to the objectives of the priority under which the proposal is submitted

Explain how the proposed Action addresses the objectives, priorities and expected results of the priority or sub-priority under which the proposed Action is submitted.

If a proposal also addresses other priorities of the call for proposals, this should be clearly explained.

Question 3.4 - Contribution of the proposed Action to the internal market, the cohesion policy and the Europe 2020 strategy

Explain the expected contribution of the proposed Action (making reference to the global project, if necessary) to the internal market, the cohesion policy and the Europe 2020 strategy. Explain the expected network benefit at the EU level (not at local level).

Question 3.5 - Socio-economic benefits of the proposed Action at macro level

Explain the expected socio-economic benefits at the macro level (e.g. competition, jobs, social integration). Provide the results of demand forecast studies (scenarios with and without the proposed Action, if possible), including an outline of the overall context and scope of the study(ies) concerned, the methodology chosen and the assumptions made.

Question 3.6 - Cross-border section

This section aims at verifying whether or not any section of the proposed Action corresponds to the definition of cross-border sections of the Core Network, as specified in TEN-T Guidelines, Article 3(m). According to Article 7(2) of the CEF Regulation, transport-related actions involving a cross-border section or a part of such a section shall be eligible to receive EU financial assistance only if there is a written agreement between the Member States concerned or between the Member State(s) and neighbouring country(ies) / third country(ies) concerned relating to the completion of the cross-border section.

A cross-border section must ensure the continuity of a project of common interest between the nearest urban areas on each side of the border, which include, or are close to, at least one of the following infrastructures: ports, including passenger terminals, airports, railway stations, logistic platforms and freight terminals. In or around these urban areas, the transport infrastructure of the TEN-T network is connected with other parts of that infrastructure and with the infrastructure for regional and local traffic.

The definition of cross-border sections does not specify a precise distance between these urban areas and the border or between the urban areas themselves.

Grants for works addressing a cross-border section may benefit from a higher co-funding rate, as spelled out in Article 10 (2) b of the CEF Regulation.

The Member States and, if applicable, neighbouring / third country(ies), involved in a cross-border section must provide necessary guarantees regarding the financial viability of the project and the timetable for carrying it out and show that they have committed themselves jointly to the project and/or to putting in place a common structure for it.

A joint application is strongly recommended for proposals with cross-border sections, as a demonstration of the good coordination between the parties concerned. Nevertheless, if a multi-applicant proposal concerns an Action for which some parts are entitled to funding under the Cohesion Fund envelope and other parts under the general CEF Transport envelope, they can be submitted as twinned proposals, as specified in section 7.2 of the call texts and section 4.2 "*General information (A1)*" of this Guide.

Single applicant proposals can be considered as addressing a cross-border section if they can demonstrate the commitment of the Member States and, if applicable, neighbouring / third country(ies), involved in the cross-border section.

Question 3.6.1 Does the proposed Action require actions/construction works on both sides of the border between two Member States or between a Member State and a neighbouring / third country?

If yes, indicate which Member States and, if applicable, neighbouring / third country(ies) are directly concerned and which activities each of them will be carrying out, regardless if a multi-applicant or single applicant proposals are submitted under this call.

Question 3.6.2 Does the proposed Action ensure, via a neighbouring / third country, continuity of a Core Network Corridor between two Member States?

If yes, indicate which Member States and neighbouring / third country(ies) are directly concerned and which activities each of them will be carrying out, regardless if a multi-applicant or single applicant proposal is submitted under this call.

Question 3.6.3 Is the proposed Action located on a section which ensures the continuity of a project of common interest between the nearest urban nodes, as specified in Article 3(m) and 3(p) of the TEN-T Guidelines, on each side of the border of two Member States or between a Member State and a neighbouring / third country?

If yes, provide justification for classifying the proposed Action (or part of the proposed Action) as cross-border and explain which activities the Member State(s) and, if applicable, neighbouring / third country(ies) will be carrying out, regardless if a multi-applicant or single applicant proposal is submitted under this call.

Question 3.6.4 Has a written agreement been concluded between the Member States concerned or between the Member State(s) and neighbouring / third country(ies) concerned relating to the completion of the cross border section, in accordance with Article 7 (2) of the CEF Regulation?

If yes, describe the main elements of this agreement and attach it as an annex.

The written agreement should be signed by representatives of each Member State and, if applicable, neighbouring / third country(ies) at an appropriate level to ensure that the agreement will be implemented on both sides.

No specific format or content is foreseen in the CEF Regulation or the TEN-T Guidelines for this agreement, as long as the support of the Member States and, if applicable, neighbouring / third country(ies) concerned relating to the completion of the cross-border section, is clearly stated.

If there is no written agreement between the Member States concerned or between the Member State(s) and neighbouring / third country(ies) concerned, this should be clearly explained.

Question 3.6.5 Have the Member States and, if applicable, neighbouring / third country(ies), concerned made a joint commitment regarding the proposed Action, i.e. (a) concluded a written agreement at appropriate level, (b) agreed a common financial plan or coordinated financial plans, (c) agreed on a common timetable for studies and works, including a coordinated date of opening to service, (d) agreed on how the Member States concerned coordinate their procedures for assessing environmental effects and socio-economic effects thereof, and how they use their best endeavours to conduct a trans-national enquiry prior to the granting of the building permit?

If yes, clarify and detail as appropriate, and attach copies of the related documents as an annex.

If not, this should be clearly explained.

Question 3.6.6 Have the Member States and, if applicable, neighbouring / third country(ies), concerned created a common, technically and financially indivisible structure for the implementation of the action?

If yes, explain the role and legal status of this structure, and attach the relevant legally binding agreement(s).

If not, this should be clearly explained.

Question 3.6.7 Financial viability of the cross-border action and on the timetable for carrying it out

Provide the relevant information and, in particular, explain if guarantees are issued - preferably jointly - by the Member State(s) and, if applicable, neighbouring / third countries to ensure this viability and the timetable. This applies also if the applicant is not a Member State or a neighbouring / third country.

If such guarantees have been issued, attach copies of the related documents as an annex.

Question 3.7 - Bottleneck

Applicants should explain under this question whether the proposed Action addresses improving a bottleneck in the sense of Article 3 (q) of the TEN-T Guidelines. If yes, indicate which bottleneck(s) will be improved and which activities of the proposed Action will facilitate this.

Section 4 – Maturity of the proposed Action

Question 4.1 - Approval of the proposed Action

Clarify if the proposal has received the necessary approvals to commence the proposed Action and planned activities at governmental, regional, local level, including environmental approvals.

Question 4.2- Political commitments to the proposed Action (and global project)

Provide information on the political commitments regarding the implementation of the proposed Action and, if relevant, on the global project, including cross-border commitments where relevant. List and briefly describe all formal and informal documents demonstrating these political commitments, such as decisions of national and regional authorities, as well as Memoranda of Understanding, written agreements, inclusion of the proposed Action in the national transport master plans or in sectorial strategies.

Question 4.3- Public consultation

Describe the public consultations carried out and the feedback received or consultations foreseen. Provide information on the plans to involve stakeholders throughout the proposed Action.

Question 4.4- Readiness / technical maturity of the proposed Action

For every activity, describe the precise state of preparation or implementation at the time of the submission of the application (e.g. terms of reference ready, tendered, contract signed, started, etc.), and how this will contribute to the subsequent implementation of a proposal.

Describe how the implementation of the proposed Action (and, if applicable, for the global project) depends on the results of any past or on-going feasibility or technical studies.

For projects with high technological value (such as infrastructure crossing natural barriers, intelligent traffic management systems or aerospace initiatives), provide additional information on the foreseen technology and materials.

If any activities of the proposed Action have already started, indicate the current status of the implementation.

Question 4.5 - Building permits

Provide a full list of sections/parts of the proposed Action for which a separate building permit must be obtained. Indicate the risk that already obtained permits can still be challenged (e.g. indicate deadlines until when an appeal could be filed).

Complete the table, indicating in the first column the subject of each individual procedure and a concise description of the geographical extension and/or the kind of works concerned.

Question 4.6 – Procurement

Question 4.6.1 Procurement in general

Specify which procurement method has been selected for which part of the proposed Action.

Question 4.6.2 Contracts already awarded and procedure(s) applied

Explain the contracts already awarded and their typology. The status of the contract preparation is a good measure of the proposed Action's maturity.

Question 4.6.3 Procurements planned during implementation

Provide information on the planned tendering and procurement procedures during the implementation period of the proposed Action and the status of the procurement process per activity.

Question 4.7 - Pending legal/administrative/technical issues

Describe any problems or issues of a legal/administrative/technical/other nature which remain to be settled before activities can start (e.g. legal proceedings against the building permit, appeal against a contract award, etc.). Please provide information coherent with the risk assessment grid in question 2.6.

Question 4.8- Information on funding sources of the proposed Action (state budget(s), regional / local budget(s), applicant's own resources, EIB loan(s), other loan(s)), other sources)

For each funding source listed in the tables in the application form part A, describe the nature and legal status of the funds. Specify the relevant legal basis, the modalities of budget allocation and the timing of the funds' availability.

Specify if the financing is secured and, for any sources which are not fully secured, describe in detail the current status.

If a specific financing scheme exists (e.g. for on-board ERTMS equipment), describe its modalities and in which way it is compatible with state aid rules.

Question 4.9 – Information on the potential for private sector financing through the use of a Public-Private Partnership, concession or other financing mechanism that could enable the use of EU financial instruments

If such mechanisms have been or are being explored, describe them in detail. If not, explain why these mechanisms have not been explored or were not relevant for the proposal in question.

If the proposed Action will only receive public financing, describe the underlying reasons. In case PPPs and/or financial instruments were considered and finally rejected, explain why.

Question 4.10 – Information on the expected private sector financing, through the use of a Public-Private Partnership, concession or other financing mechanism, which could enable the use of EU financial instruments, possibly in combination with CEF grant funding

If the exploratory phase described in question 4.9 has been concluded and the outcome is negative or if such exploratory phase has not been conducted (as explained in question 4.9), this section should be filled in as 'Not applicable'.

If the exploratory phase described in question 4.9 has been concluded and the outcome is positive, provide more information on how PPPs and/or financial instruments will contribute to implementation of the proposed Action.

Question 4.11 - Revenues of the proposed Action

Indicate if the proposed Action is expected to generate any revenue. If this is the case, specify the source(s) and the expected amount.

Question 4.12 – Revenue-generating capability of planned investment

Indicate whether the planned investment linked to the proposed Action is expected to generate any revenue after completion. If this is the case, specify the source(s) and the expected amount and how it was calculated. If this is not yet feasible, please indicate the status of demand analyses or other studies contributing to the determination of revenue potential.

Section 5 – Impact of the proposed Action

Questions in this section may not concern all types of actions. If you consider that a question is not applicable to your proposal, indicate the reason.

Question 5.1 - Impact of CEF funding on the financing of the proposed Action and the commitment of the different stakeholders

Explain how CEF funding will contribute to the financial viability of an economically and socially desirable investment. Explain which other funding could be leveraged that would not be available without CEF funding and how the commitment of different stakeholders (public and private) could be reinforced with CEF funding.

In a similar way, please explain which would be the effects, in terms of availability of other funding and commitment of stakeholders, without CEF funding.

Question 5.2 - Impact of the studies as a decision-making tool

In case of studies or mixed proposals, indicate the level in the organisation/Member State which will use the output of the studies for the decision-making and the period over which the results of the study will be used.

Describe the extent to which the output of the studies will be relied upon for decision-making, possibly in relation to other studies, and at what level - a future CEF Transport action, national project or at global project level.

Describe the relevance and economic value of the study in terms of costs and benefits.

Question 5.3 - Impact of the studies in terms of policy-making and best practices

In case of studies or mixed proposals, describe the extent to which the studies consider the policy context in which they are undertaken and provide a sound basis for institutional and national policy-making.

Explain the degree to which elements of the studies could be used to develop best practices.

Question 5.4 - Ex-ante evaluation(s)

With the exception of feasibility studies, all proposals must have previously been subject to an ex-ante evaluation.

Provide information on the ex-ante evaluation(s) of the proposed Action and summarise the main results (attach these as annexes). In particular, describe the objectives, activities and policy options considered. Describe the main indicators used in the ex-ante evaluation and make reference to the appropriate statistical base.

Outline the alternative options considered.

Provide the results of any demand / traffic forecast study, which should ideally include one scenario with the project being implemented and one "status quo" scenario. Give an outline of the overall context and scope of the studies, explain the methodology chosen and the assumptions made regarding the demand growth rate and the utilisation rate on completion of the proposed Action.

Provide the list of indicators and their sources of verification (e.g. institution or organization collecting statistical information, website, database, etc.).

If the evaluation carried out goes beyond the scope of the proposed Action, give an overview of the ex-ante evaluation of the global project and explain how it is linked to the proposed Action.

If an ex-ante evaluation has been conducted at European level (e.g. ERTMS, ITS), describe the relevant evaluation.

Clarify if TEN-T/CEF or other EU financing is included in the financing of the evaluation(s) and quantify this contribution.

For proposed Actions addressing maritime ports only, information on the required needs assessment, market analysis and assessment of intermodal exchanges should be provided under this question.

Question 5.5 - Financial analysis

In particular for studies proposals, provide the main results of financial analysis conducted in relation to the planned investment. With reference to Section 5 of this Guide on the provision of a CBA for works and mixed proposals, include the main results of the financial cost benefit analysis. Provide the main results of any options and sensitivity analyses and risk assessments carried out in relation to the financial analysis presented.

If the analysis has been carried out at the global project level, describe its main findings and explain how it is relevant to the proposed Action, drawing concrete conclusions as much as possible for the proposed Action.

Question 5.6 - Social and economic impact

In particular for studies proposals, provide the main results of socio-economic impacts not covered by a CBA. With reference to Section 5 of this Guide on the provision of a CBA for works and mixed proposals, include the main results of the socio-economic cost benefit analysis.

If the analysis has been carried out at the global project level, describe its main findings and explain how it is relevant to the proposed Action, drawing concrete conclusions as much as possible for the proposed Action.

Question 5.7 - Impact of the proposed Action on traffic management, congestion, modal split, inter-operability, service quality, safety and security

Describe the expected positive and / or negative impact of the proposed Action on traffic management, congestion, modal split, optimization of existing capacity, inter-operability, service quality, safety and security.

Question 5.8 - Impact of the proposed Action on regional and / or local development and land use

Describe the expected positive and / or negative impact of the proposed Action on regional and / or local development, and land use. Assess also the positive and / or negative impacts on the neighbouring regions.

Explain if the proposed Action is linked to urban development plans, or if it will contribute to increasing the land value.

Question 5.9 - Impact on competition

Describe the expected positive and / or negative impacts of the proposed Action on regional and national competition.

Question 5.10 - Impact on the environment

In addition to the information already provided in the application form part C on compliance with the EU law on environment, explain the results and conclusions of any environmental assessment(s) or studies.

List in detail the expected positive and negative environmental impacts of the proposed Action (and the global project, if applicable), such as contribution to the re-balancing of transport modes in favour of the most environmentally friendly ones, reduction of fuel consumption or greenhouse gas / CO2 emissions, etc.

Describe in detail the measures that are foreseen to monitor, prevent and mitigate a negative impact on the environment, and provide an estimation of the associated costs.

Section 6 – Quality of the proposed Action

Question 6.1 - Organisational structure

Describe the organisational structure of the proposed Action. In particular, explain the distribution of roles and responsibilities between the different stakeholders in the proposed Action, the lines of communication and decision-making processes. Describe the main contractual arrangements.

Question 6.2 - Control procedures and quality management during implementation

Describe the control procedures to be put in place for the implementation of the proposed Action. Explain the main features of the quality assurance plan and quality control system to be used during the implementation of the proposed Action.

Question 6.3 - Risk management methods and procedures

Explain whether a risk management plan is in place and explain its main features. Describe the main risks, factors of uncertainty and major elements of complexity of the proposed Action and externalities which may affect the implementation of the proposed Action, whether political, institutional, financial, organisational, social and/or, technical.

Explain how these risks will be mitigated. Explain the main features of any contingency plan available.

Where a risk management plan is not in place, explain the general approach to risk management.

This question addresses the proposed Action's risk management more generally as a part of the project management approach. Only methods and major elements to be taken into account for risk management need to be described, whereas the detailed risks per activity of the proposed Action must be described in the risk assessment grid under question 2.6.

Question 6.4 - Ex-post monitoring and audit(s)

Describe in detail the arrangements for monitoring, internal and external audit and evaluation applied to the proposed Action, in particular to ensure the conformity of the expenditures incurred by the proposed Action.

Question 6.5 - Communication and visibility given to the CEF Transport co-financing

Article 28(1) of the CEF Regulation requires beneficiaries and, where appropriate, Member States to ensure suitable publicity and transparency for CEF aid granted in order to inform the public of the role of the EU in the implementation of the project.

Describe under this question the communication plan and strategy developed to provide visibility to the requested CEF financing (e.g. billboards, reports, websites, brochures, information leaflets, reports, factsheets, newsletters, press articles, presentations).

Consult the "Publicity guidelines and logos" section of the INEA website:

<https://ec.europa.eu/inea/connecting-europe-facility/cef-energy/beneficiaries-info-point/publicity-guidelines-logos>.

Question 6.6 - Other information

Provide any additional information which could be useful or should be taken into consideration during the evaluation of the proposal. In particular, indicate if a similar proposal for this proposed Action has previously been submitted under a CEF or TEN-T call.

Section 7 - ANNEXES

List and number all the annexes attached to the application form and upload them in the TENtec eSubmission module.

All relevant information for assessing the proposal must be provided in the application form. If additional information to support, illustrate or provide evidence in support of an element described in the application form is considered necessary, these may be included in annex. Such annexes are not systematically read during the evaluation.

- ✓ *Avoid sending extensive annexes, since only reasonable amounts of (supporting) information about relevant statements in the proposal can be processed during the evaluation. Executive summaries could be one way to provide information instead of entire documents.*
- ✓ *Any supporting annexes included must be clearly referred to and the relevant parts summarised in the application form.*

5. Cost-benefit/Cost-effectiveness analysis

5.1. General provisions

According to Article 7.2.c of the TEN-T Regulation, a project of common interest must "be economically viable on the basis of a socio-economic cost-benefit analysis (CBA)".

Article 10.6 of the CEF Regulation states that the CEF financial contribution will be modulated on the basis of a cost benefit analysis of the project, the availability of EU budget resources and the need to maximize the leverage of EU funding.

In line with these provisions, all proposals for works and mixed proposals, combining studies and works activities, must be accompanied by a CBA proposing the co-funding rate requested for the proposed Action, while taking into account the maximum funding rates stipulated in the CEF Regulation.

As stated in section 7.2 of the call texts, for proposals submitted under priorities "European Rail Traffic Management System (ERTMS)", "Rail Interoperability" and "Single European Sky – SESAR - Common Projects category", all project proposals for 'works' or proposals including both 'studies' and 'works' must be accompanied by a cost-effectiveness analysis only, instead of a CBA.

For proposals submitted under priorities "River Information Services" and "Intelligent Transport Services for Road", all project proposals for 'works' or proposals including both 'studies' and 'works' that address implementation of standards laid down in the existing EU legislation must be accompanied either by a CBA or by a cost-effectiveness analysis.

Where such proposals address areas not covered by the existing EU standards, they must be accompanied by a cost-benefit analysis (CBA).

For further details about cost-effectiveness analysis, see section 5.5 below.

The CBA needs to comply with a methodology recognised by the concerned Member State(s). Member States are asked to confirm in the application form part A that a methodology recognised in the respective national context has been used.

For proposals submitted under the Cohesion call, it is strongly recommended that the Cohesion Policy CBA methodology be used, in order to simplify the process of project preparation under the CEF and ESIF funds. For the Cohesion Policy Guide for the CBA methodology is available at the following link:

http://ec.europa.eu/regional_policy/sources/docgener/studies/pdf/cba_guide.pdf.

The CBA should contain both a financial and economic analysis of the project. In principle, these analyses would be supported by results of feasibility studies with demand and option analyses, sensitivity analysis and risk assessment.

5.2. Financial analysis

The financial analysis should address the financial profitability and financial stability of the proposed Action. In this regard, the following key indicators are valuable analytic tools:

- Financial net present value (FNPV) of the planned investment and the financial rate of return (FRR) on investment
- Financial net present value of capital (of the applicant, excluding CEF funding) and the financial rate of return on capital
- A calculation of the estimated cumulated net cash flow for the project over the chosen time horizon.

The purpose of the financial analysis is to confirm the need for the EU co-financing. A brief description of the methodology used and steps taken in the calculations that serve to clarify the conclusions of the analysis should be provided. The chosen financial discount rate (FDR) and time horizon should be stated and justified.

It is strongly recommended to include as a minimum the financial net present value (FNPV) of the investment and the financial rate of return of the investment, in order to confirm the need for the CEF grant. In this respect, the financial analysis should be consistent with the assumptions underlying the socio-economic CBA and relate to the same investment cost parameters. In the case of a PPP, whereby the operator and owner of the investment may be different entities, a consolidated analysis could be carried out first to determine the profitability of the project.

In addition to the FNPV and FRR of the investment, it is highly recommended to provide a financial net present value of capital and the financial rate of return on capital, exclusive of the CEF grant, taking into account the sources of financing in order to provide a more complete picture of the financial profitability of the project. This calculation should be from the point of view of the applicant, whether national or regional/local public authority or private sector promoter. In the case of a PPP, two calculations could be provided, for the public and the private partners respectively.

Financial sustainability is another useful indicator to determine the overall financial viability of a proposed investment and ensure good use of EU funds. If possible, an indication of the financial sustainability of the project should be provided to confirm cumulated positive cash flow over the identified time horizon of the project.

5.3. Funding gap

For revenue-generating projects, the co-funding rate applied to the grant must refer to the part of a project's costs that are not covered by revenues ("funding gap"). Specifically, the discounted net revenues (if any) generated by the project must be subtracted from the discounted investment cost to determine the "funding gap" to which the co-financing rate applies.

The discounted net revenue of the project should be calculated by deducting the discounted costs from the discounted revenue and, where applicable, by adding the residual value of the investment. Revenues and costs should be determined by applying the incremental method based on a comparison of costs and revenues in the scenario-with-the-project with costs and revenues in the scenario-without-the-project. Only cash flows should be taken into consideration when calculating costs and revenues. For revenues, only cash in-flows directly paid by the users (such as charges borne directly by users of the infrastructure) should be considered. In the case of PPPs using shadow tolls or availability payment schemes, such payment mechanisms should be considered as revenues generated by the project.

Specifically:

$$\text{Funding Gap} = \text{DIC} - \text{DNR}$$

$$\text{Funding Gap Rate} = (\text{DIC} - \text{DNR}) / \text{DIC}$$

Where:

DIC is the *discounted investment cost*

DNR is the *discounted net revenue* = discounted revenues – discounted operating costs
+
discounted residual value

5.4. Economic analysis

The economic analysis of the project should calculate the economic net present value of the project and the economic rate of return. As a **minimum**, the following socio-economic information on the proposed Action should be provided:

- Main economic benefits such as time savings, vehicle operating costs savings, accident savings, reduction of GHG and non-GHG emissions, reduction of noise emissions, quality of service improvements
- Economic Net Present Value (ENPV) of the project
- Economic Rate of Return (ERR) of the project
- Social Discount rate used
- Time horizon (Reference period) (years)

The purpose of the economic analysis is to confirm whether the project is worth the EU co-financing. A brief description of the methodology used and steps taken in the calculations (such as fiscal corrections, conversion of market to accounting (shadow) prices, monetisation of non-market impacts (corrections for externalities)) that serve to clarify the conclusions of the analysis should also be included. The incremental analysis and the discounted cash flow methodology should be followed. The chosen social discount rate and time horizon should be stated and justified.

5.5. Cost-effectiveness analysis

In the case of compliance-driven projects, such as the case of ERTMS, other ITS, compliance with TSIs in railways, which aim at complying with EU standards and

generate positive effects well beyond their boundaries (network effects), a cost-effectiveness analysis (CEA) can be performed instead of the full economic analysis of a CBA, in order to verify whether the unit cost of the project is appropriate to achieve the proposed result.

In this case, a qualitative description of the main economic benefits must be provided. The CEA is carried out by calculating the cost per unit of 'non-monetised' benefits and is required to quantify benefits but not to attach a monetary price or economic value to the benefits.

Annex IX of the Cohesion Policy CBA methodology mentioned above contains additional information on cost effectiveness analysis.

6. Procedure for Submission of Proposals

6.1. Deadline for submission

The deadline for the submission of proposals is **Tuesday, 16 February 2016, 17.00 (Brussels time)**.

As a reminder:

- All parts of the application form (A, B, C and D) must be submitted electronically through the TENtec eSubmission module before this deadline.
 - **Application form part A** must be encoded directly in the TENtec eSubmission module.
 - **Application form parts B, C, D** and **CBA/CEA**, where applicable, must be completed, scanned where applicable and uploaded in the TENtec eSubmission module's "Supporting Documents" section under "Required documents for the application" before the proposal submission.
- For any parts of the application requiring signatures or stamps (i.e. forms A2.2, A2.3, annexes B-I, B-II, B-III and B-IV), the signed, stamped and dated originals must be scanned and uploaded in the TENtec eSubmission module's "Supporting Documents" section, under "Additional supporting documents for application". Applicants must keep the originals and provide them to INEA/Commission upon request.
- **E-mails or paper copies sent to the Agency will not be admissible.**

Deleting the proposal

Applicants have the possibility of deleting any draft proposals before they are submitted. Go to the "My applications" section of the TENtec eSubmission module and click on the "Delete" button in the Status column for that proposal. Please note that after a proposal is deleted, the deletion is permanent and the proposal cannot be recovered from the system.

Submitting the proposal

Go to the "Submit this application" section of the TENtec eSubmission module, click on the "Submit this application" button and reconfirm. An automatic e-mail notification will be sent from TENtec to the applicant which submitted the proposal informing him/her

that the proposal was successfully received. This notification should not be taken as an indication that the proposal is admissible or eligible.

Correcting, revising or withdrawing a submitted proposal

It is not possible to make changes to a proposal once it has been submitted. Applicants wishing to correct or revise their proposals must submit a new version of the proposal before the deadline which will replace the previous version.

Applicants who wish to withdraw an already submitted proposal may do this via the TENtec eSubmission module homepage. Click on the "Withdraw" button under the Status column for that proposal and confirm the selection. The status will change to "withdrawn" and the time/owner will be indicated. Please note that only the owner of a proposal (i.e. the user that has created the application in the first place) has the right to withdraw it. Withdrawn proposals are still visible (read-only) in the system, and the contents can be consulted and/or copied and pasted into other applications by both owners and contributors. However, once a proposal is withdrawn it cannot be resubmitted. Withdrawal of proposals is possible until the call deadline.

Applicants who have submitted a proposal must also inform INEA as soon as possible via the call helpdesk of any change of an operational or financial nature that might affect them or the proposal.

6.2. Further information or clarifications

Applicants are encouraged to regularly consult the INEA website and especially the individual call webpages for any further clarifications or information on the call, accessible via the following link:

<https://ec.europa.eu/inea/connecting-europe-facility/cef-transport/apply-funding/2015-cef-transport-calls-proposals>.

Online **FAQs for both general and priority-specific issues** are available at the following link:

<https://ec.europa.eu/inea/connecting-europe-facility/cef-transport/apply-funding/2015-cef-transport-calls-faq>.

Applicants are encouraged to sign up for the e-mail notification service to inform them when new updates to the FAQs are posted online. See the above FAQ link for more information.

Please refer to the online FAQs before contacting the helpdesk. If the information is not addressed or available in the FAQs, any additional questions should be sent to the **call helpdesk**: INEA-CEF-transport-calls@ec.europa.eu.

Applications sent to this e-mail address will not be accepted!

The helpdesk will not send any individual replies to e-mails it receives. Answers to submitted questions will be published in the FAQs to ensure equal treatment of all potential applicants. Questions specific to a particular proposal and for which INEA's reply would provide a comparative advantage to applicants will not be answered.

Any questions related to the content of the calls should be submitted at the latest by **Tuesday, 2 February 2016**, to ensure sufficient time for the last FAQ update on Tuesday, 9 February 2016.

In case of technical questions related to the TENtec eSubmission tool, the helpdesk will respond individually up until the call deadline. Please note that the general TENtec support service will not reply to call related questions.

6.3. Processing of personal data

An applicant's reply to the grant application involves the recording and processing of personal data (such as name, address and CV), which will be processed pursuant to Regulation (EC) 45/2001 on the protection of individuals with regard to the processing of personal data by the Community institutions and bodies and on the free movement of such data. Unless indicated otherwise, applicant's replies to the questions in this form and any personal data requested are required to assess an applicant's grant application in accordance with the specifications of the call for proposals and will be processed solely for that purpose by INEA as data controller for this purpose. An applicant may, upon request, have his/her personal data sent to him/her and rectify any inaccurate or incomplete particulars. Any queries concerning the processing of personal data should be addressed to the entity acting as the INEA Data Controller.

The data subjects have the right of recourse at any time to INEA's Data Protection Officer (INEA-DPO@ec.europa.eu) or in case of conflict with the Controller or Data Protection Officer concerning the processing of his/her personal data, an applicant has the right to submit a complaint at any time directly to the European Data Protection Supervisor (www.edps.europa.eu).

Details concerning the processing of an applicant's personal data are available on the privacy statement on each individual call webpage accessible via the following link: <https://ec.europa.eu/inea/connecting-europe-facility/cef-transport/apply-funding/2015-cef-transport-calls-proposals>.

Personal data included in the application (name, title, organisation, contact information) may be shared with the concerned Member State's representatives in the CEF Coordination Committee on a need to know basis in view of their role in the approval of proposals selected for funding as well as responsibilities under the CEF Regulation.

An applicant's personal data (name, given name if natural person, address, legal form, registration number and name and given name of the persons with powers of representation, decision-making or control, if legal person) may be registered in the Early Warning System (EWS) only or both in the EWS and Central Exclusion Database (CED) by the Accounting Officer of the Commission, should the applicant be in one of the situations mentioned in:

- Commission Decision 2014/792/EU of 13 November 2014 on the Early Warning System to be used by the authorising officers of the Commission and by the executive agencies (OJ 2014 L 329 of 14 November, p.68) (for more information see http://ec.europa.eu/budget/explained/management/protecting/protect_en.cfm#SAP)
- Commission Regulation 2008/1302 of 17.12.2008 on the Central Exclusion Database (OJ L 344, 20.12.2008, p. 12) (for more information see the Privacy Statement on http://ec.europa.eu/budget/library/sound_fin_mgt/privacy_statement_ced_en.pdf)

Applicants are informed that, to ensure that the EU's financial interests are protected, their personal data may be communicated to internal audit services, the European Commission, the European Court of Auditors, the body specialising in financial irregularities (Financial Irregularities Panel) or the European Anti-Fraud Office (OLAF).

The data of applicants in any of the situations referred to in Articles 106(1), 107 and 109(2)(a) of the Financial Regulation may be included in a central exclusion database and communicated to designated persons in the Commission, the other institutions, agencies, authorities and bodies referred to in Article 108(1) and (2) of the Financial Regulation. This also applies to those with powers of representation, decision-making power or powers of control in respect of such applicants. Following a request to the Commission's Accounting Officer, anyone registered in the database is entitled to be informed of the data recorded about them.

7. Reimbursement of Translation Costs

It is strongly recommended that proposals are submitted in English. For proposals which are not in English, applicants (or coordinators, in case of a multi-applicant proposal) should provide full translations in English of the summary in the application form part A and the complete application forms part B, part C and part D. In case of works or mixed proposals, the required Cost Benefit Analysis/ Cost Effectiveness Analysis must also be part of the translated documents.

Applicants who will provide the translations of their proposals need to specify in the application form part A all the relevant details (*see also section 4.2 "Translation information (A4)" of this Guide*). **Translations must be uploaded** in the TENtec eSubmission module's "Supporting Documents" section under "Required documents" **at the latest on 23 February 2016, 17:00 Brussels time**. No other supporting documents will be accepted after the call deadline.

All parts of a proposal translated in English must be identical with the respective parts of the proposal submitted in the original language. The English translation will be the only document to serve as a basis for the evaluation.

INEA will reimburse translation costs up to the maximum of €1,500 per proposal, provided that the proposal has been submitted electronically in the TENtec eSubmission module before the call deadline and is complete (i.e. contains application form parts A, B, C and D), regardless of whether or not the proposal will be selected for funding. VAT is not considered eligible for reimbursement and as such only the net amount of the translations costs will be reimbursed.

The **translation reimbursement requests have to be presented by 31 March 2016** at the latest. In order to be reimbursed, the applicant must provide the following supporting documents:

- i) The original reimbursement request (paper copy), using the template provided in this Guide, and sent to the following address:

European Commission – Innovation and Networks Executive Agency
CEF Transport 2015 calls
W910 - 01/38
Belgium
- ii) A copy of the original invoice, which must include the following elements:
 - a. Full name and address of the applicant,
 - b. The proposal reference number (i.e. the unique proposal code or application number),
 - c. Exact title of the proposal,

- d. Name and address of the translator/ translation services company, including its/his/her official registration number, and
 - e. The unit price applied per word/line/page.
- iii) A Legal Entity Form of the applicant or of the entity to which the payment should be made, duly filled in, together with the related supporting documents. The form is available at the following link:
http://ec.europa.eu/budget/contracts_grants/info_contracts/financial_id/financial_id_en.cfm.
- iv) A Financial Identification Form of the applicant or of the entity to which the payment should be made, duly filled in, together with the related supporting documents. The form is available at the following link:
http://ec.europa.eu/budget/contracts_grants/info_contracts/legal_entities/legal_entities_en.cfm.

The invoice mentioned in point ii) will be considered as evidence that the translation has been performed by a registered translation services company or individual translator. Furthermore, the Agency reserves the right to carry out any checks that might be needed and/ or to request any supporting documents to verify that the costs of translation are reasonably close to the market rates for translation work in the respective Member State. On this basis, if it considers justified, the Agency reserves the right to restrict the reimbursement accordingly.

The documents mentioned in points iii) and iv) shall be provided in addition to those submitted during the application process.

In exceptional cases, if the payment of translation costs is to be made to an entity different from the applicant (or coordinator in case of a multi-applicant proposal) listed in application form part A, further to the documents above, the request for reimbursement of translation costs must be accompanied by:

- v) A letter of agreement issued by the applicant (or coordinator in case of a multi-applicant proposal), duly dated and signed.

If an applicant submits several translated proposals, it is recommended that the reimbursement requests are submitted together. The template for the reimbursement request and the original invoice can group the translation costs of several proposals submitted by the same applicant, as long as the unique proposal code/application number and the exact title of each proposal are referred to. In such cases, both the breakdown of translation costs per proposal and the total translation costs must be clearly indicated in the reimbursement request and in the invoice. In the absence of the breakdown of costs per proposal, the reimbursement request will be rejected.

The request for reimbursement together with the supporting documents shall be sent by registered post or by courier service to the address mentioned in point i) at the latest on 31 March 2016 (as evidenced by the postmark). Applicants must keep proof of the date of sending and be able to present it upon request. Any document sent after the deadline shall not be considered for reimbursement.

Any questions relating to reimbursement of translations need to be addressed to the call helpdesk: INEA-CEF-transport-calls@ec.europa.eu.

TEMPLATE FOR REIMBURSEMENT REQUESTS

Place

Date

Full name of the applicant:

Bank account:

Contact person:

Phone number:

Email address:

Unique proposal code:

Complete title of the proposal:

Call for proposals: Cohesion or General

Subject: Reimbursement of translation expenses

Under the terms foreseen in your 2015 CEF Transport calls for proposals, I would like to be reimbursed for the translation costs incurred for the submission of my proposal(s) in its English version.

The translation has been performed by a registered translation service, which is:

- a company
- an individual

The translation costs (excluding VAT) are of an amount of € *(please write the number in full)* as stated in the invoice(s) provided by the translation service, a copy of which is attached to this letter.

The full name and address of the translation service is

Its national registration number is

Signature of the applicant

8. Glossary

The following explanations are provided for clarity and ease of reference. They have no legal authority and they do not replace any official definitions.

A

Acknowledgement of receipt: An email sent to applicants shortly after the call deadline, confirming that their proposal has been successfully submitted (but not that it is necessarily eligible).

Action: Any activity which has been identified as financially and technically independent has a set timeframe and is necessary for the implementation of a project of common interest or a global project.

Activity: A part of an action that is distinct technically, financially or over time and which contributes to the completion of the action. The implementation of an activity leads to the completion of an expected result or output.

Affiliated Entity: Any legal entity that is under the direct or indirect control of an applicant, or under the same direct or indirect control as the applicant control taking any of the following forms:

(a) the direct or indirect holding of more than 50% of the nominal value of the issued share capital in the legal entity concerned, or of a majority of the voting rights of the shareholders or associates of that entity;

(b) the direct or indirect holding, in fact or in law, of decision-making powers in the legal entity concerned.

Any designated affiliated entities have to comply with the eligibility and selection criteria defined in the relevant work programme.

Applicant: The organisation submitting a proposal to a call for proposals. It is assumed that an applicant may automatically become the action's beneficiary, if the proposal is selected for funding. There may be several applicants in a proposal.

ATM: Air Traffic Management.

Award criteria: Part of the evaluation criteria on the basis of which proposals will be assessed. The award criteria are generally the same for all proposals throughout CEF Transport, and relate to *relevance, maturity, impact and quality*.

B

Bank account: Applicants have to specify the bank account for the possible transfer of the EU assistance by means of the Financial Identification Form (see below).

Beneficiary: Entity designated as such in a grant agreement signed with INEA. Applicants whose proposals are selected for funding by the Commission are expected to become the beneficiaries of the financial aid awarded for the selected action.

Building permit: An official document issued by the relevant authority authorizing the holder to proceed, in accordance with the approved plans, with the construction or alteration of a specific structure at a specific location.

C

Call for proposals (or "call"): An announcement that opens parts of a work programme for proposals, indicating what types of actions are required, including specific details regarding the nature of the actions that may be supported.

CBA: Cost-benefit analysis. A project specific cost-benefit analysis, consistent with the methodology drawn up pursuant to Article 7 (2) (c) of the TEN-T Guidelines, must demonstrate the existence of significant positive externalities by country concerned, including their (monetary) valuation.

CEF: Connecting Europe Facility.

CEF Regulation: Regulation (EU) No 1316/2013 of European Parliament and of the Council of 11 December 2013 establishing the Connecting Europe Facility, amending Regulation (EU) No 913/2010 and repealing Regulations (EC) No 680/2007 and (EC) No 67/2010 (OJ L 348, 20.12.13, p.129).

CF: Cohesion Fund.

Coordinating applicant: For multi-applicant proposals, the coordinating applicant leads and represents all of the applicants and acts as the point of contact with the Commission or INEA during the application phase.

CPM: Critical Path Method (a project management method). Critical path is the longest sequence of activities in a project plan which must be completed on time for the project to complete on due date. An activity on the critical path cannot be started until its predecessor activity is complete. If an activity on the critical path is delayed, the entire project will be delayed for the same amount of time unless the activity following the delayed activity is completed earlier.

Commissioning: The process of bringing a project into operation once it has been constructed.

Consensus discussion/meeting: Stage in the proposal evaluation process when experts come together to establish a common view on a particular proposal.

D

Deadline: The moment in a particular call after which proposals will not be accepted by the Commission/INEA. Deadlines are strictly enforced.

Direct costs: All eligible costs which can be attributed directly to the Action and are identified by the participant as such, in accordance with its accounting principles and its usual internal rules (for a detailed description, see the model grant agreement).

E

Early Warning System (EWS): An internal information tool of the Commission to flag identified financial risks related to beneficiaries.

EEIG: European Economic Interest Grouping established in line with Council Regulation (EEC) N° 2137/85 of 25 July 1985.

EFSI: European Fund for Strategic Investments.

Eligible costs: The same meaning as in the Financial Regulation (see below). For a detailed description, see the model grant agreement. Eligible costs refer to the part of the Action's costs taken into consideration for the calculation of the EU financial aid. For

Actions supported under the multi-annual work programme, expenditure may be eligible as from the date the application is lodged at the earliest.

Eligibility criteria: The minimum conditions which a proposal must fulfil to be eligible for evaluation.

End date: The day on which the implementation of an Action is expected to be completed. It corresponds to the date up to which costs may be considered eligible. For actions supported under these calls, it should be 31 December 2020 at the latest.

ERDF: European Regional Development Fund.

ERTMS: European Rail Traffic Management System.

ESIF: European Structural and Investment Funds.

Evaluation: The process by which proposals are/are not retained with a view to selection as projects. Evaluation is conducted through the application of eligibility, award and selection criteria identified in a work programme. The evaluation is conducted by INEA assisted by independent experts.

Evaluation criteria: The eligibility, award and selection criteria against which proposals are assessed.

F

FID: Final investment decision.

Financial Identification Form: A form to provide detailed information to identify a company/organisation. Applicants must provide the Financial Identification Form used by the Commission services. The form can be downloaded at the following link: http://ec.europa.eu/budget/contracts_grants/info_contracts/financial_id/financial_id_en.cfm.

Financial Regulation: Regulation (EU, EURATOM) No 966/2012 of the European Parliament and of the Council of 25 October 2013 on the financial rules applicable to the general budget of the Union and repealing Council Regulation (EC, Euratom) No 1605/2002 (OJ L 298, 26.10.2012, p. 1).

FP: Framework Programme.

G

GANTT: A project planning tool used to represent the timing of tasks required to complete a project. GANTT diagrams are used by most project managers for all but the most complex projects.

GIS: Geographic Information System. It is a collection of computer hardware, software, and geographic data for capturing, managing, analysing and displaying all forms of geographically referenced information.

Global project: Where several technically and financially separated parts (including one or more Actions) contribute to the completion of a high, indivisible objective, this common objective is considered as the 'global project'. For example, a railway line connecting two or more metropolitan areas can be composed of several sections which

are technically and financially identifiable, but the line (i.e. the global project) cannot start operations until all of the sections are complete.

Grant: Direct financial contributions covered by a written agreement, by way of donation, from the EU budget in order to finance either an action intended to help achieve an objective forming part of an EU policy.

Grant agreement: Agreement between INEA and the beneficiaries setting out the conditions of the awarding of EU grants under CEF Transport.

Grant agreement preparation: The process of establishing a grant agreement between INEA and an applicant whose proposal has been favourably evaluated, and when funds are available.

I

Implementing body: A public or private undertaking or body designated by a beneficiary, where the beneficiary is a Member State or an international organisation, to implement the Action concerned. Such designation shall be decided upon by the beneficiary under its own responsibility and, if it requires, the award of a procurement contract, in compliance with the applicable EU and national public procurement rules.

Indirect costs: Costs which are not identifiable as direct costs, but which have nevertheless been incurred in connection with the eligible direct costs of the Action. Indirect costs are not eligible costs for CEF Transport grants.

INEA: Innovation and Networks Executive Agency.

International organisation: According to Article 43(1) of the Commission Delegated Regulation (EU) No 1268/2012 (on the rules of application of Regulation (EU, Euratom) No 966/2012 of the European Parliament and of the Council on the financial rules applicable to the general budget of the Union), international organisations are:

- (a) international public sector organisations set up by intergovernmental agreements, and specialised agencies set up by such organisations;
- (b) the International Committee of the Red Cross (ICRC);
- (c) the International Federation of National Red Cross and Red Crescent Societies;
- (d) other non-profit organisations assimilated to international organisations by a Commission decision.

M

Member State: State member of the European Union. In the context of the CEF, the Member State approval of an application may be provided by any Ministry entitled to represent the Member State authority. It is expected that applications under CEF Transport gather the support of the Ministry competent in the area of the given policy and/or the CEF.

Milestones: Indications how an activity or task is progressing and its associated expected results. Each activity should relate to milestones indicating at least its start and end time, as well as preferably its corresponding intermediate milestones.

Multi-applicant proposal: A proposal submitted by more than one applicant. A proposal submitted by more than one applicant. They must have a designated coordinator to facilitate communication with the Commission and INEA on the application (see also "coordinating applicant").

MoS: Motorways of the Sea.

N

Neighbouring country: A country falling within the scope of the European Neighbourhood Policy including the Strategic Partnership, the Enlargement Policy, and the European Economic Area or the European Free Trade Association.

P

Participants: The members of a consortium in a proposal or action.

Project of Common Interest: A project or part of a project identified as being of common interest for the EU in the field of transport in the framework of Article 7 of the TEN-T Guidelines.

Proposal: The application for a proposed Action as a complete package, including application form parts A, B, C and D and their relevant annexes, as specified in the call for proposals.

Public sector body: Regional or local authorities, body governed by public law or association formed by one or several such authorities or one or several such bodies governed by public law, international organisations. A body governed by public law is any body that is:

- (a) established for the specific purpose of meeting needs in the general interest, not having an industrial or commercial character; and
- (b) having legal personality; and
- (c) financed, for the most part by the State, or regional or local authorities, or other bodies governed by public law; or subject to management supervision by those bodies; or having an administrative, managerial or supervisory board, more than half of whose members are appointed by the State, regional or local authorities or by other bodies governed by public law.

R

RIS: River Information Services.

Rules of Application: Commission Delegated Regulation (EU) No 1268/2012 of 29 October 2012 on the rules of application of Regulation (EU, Euratom) No 966/2012 of the European Parliament and of the Council on the financial rules applicable to the general budget of the Union (OJ L 362, 31.12.2012, p.1).

S

Selection Decision: A Commission Implementing Decision establishing a list of proposals selected for financial aid submitted under a specific call for proposals.

Start date: The day on which the implementation of an Action actually begins or is expected to begin. It corresponds to the date from which costs may be considered eligible. For actions supported under these calls, costs may be eligible at the earliest as from the date on which the application is submitted.

Study: Activities needed to prepare project implementation, such as preparatory, mapping, feasibility, evaluation, testing and validation studies, including in the form of software, and any other technical support measure, including prior action to define and develop a project and decide on its financing, such as reconnaissance of the sites concerned and preparation of the financial package.

Study with physical intervention: Studies with physical interventions are projects in which the majority of the activities are studies, but where some physical intervention is undertaken, typically excavations for testing the ground or destructive tests, etc., aimed to define and develop a project fully and decide on its financing or final design.

Study with pilot activities:

Pilot activities⁷ of a study supporting the deployment of any type of infrastructure or technology that would be defined as works under any priority of the work programme in line with Article 2(5) of the CEF Regulation and do not fall under at least one of the two objectives of pilot activities as defined in footnote 1 will not be supported under this type of action.

Pilot activities of a study supporting the deployment of a commercial network do not fall under the scope of the CEF Regulation and will therefore not be supported. Similarly only a limited number of studies with pilot activities will be supported to achieve a critical mass in a given area/sector.

If a study includes pilot activities, a detailed analysis of the data and lessons learned in terms of long term feasibility, including the feasibility of wider deployment of innovative activities being proposed⁸, has to be foreseen by the proposed Action. In particular key performance indicators, to be defined in advance, should allow estimation of the positive impacts of the pilot activities of the study on the relevant specific sector objectives as laid down in Article 4 of the CEF Regulation, depending on the nature of the proposed Action. Comprehensive measures must be foreseen to disseminate the results of pilot activities.

I

TEN-T Programme: The TEN-T Programme was established by the European Commission in 2000 to support the construction and upgrade of transport infrastructure across the European Union. The TEN-T Programme dedicated financial support towards the realisation of important transport infrastructure projects - in line with the overarching goal of European competitiveness, job creation and cohesion. The TEN-T funded projects represent all transport modes – air, rail, road, and maritime/inland waterway – plus logistics and intelligent transport systems. In 2014, the TEN-T Programme was replaced by the Connecting Europe Facility

TENtec: Interactive Information System for the Trans-European Networks.

⁷ In addition to Article 2(6) of the CEF Regulation, studies may include pilot activities that will serve at least one of the following objectives:

to develop, improve or adapt a new technology or an innovative solution and implement it in order to test its feasibility and suitability as well as its added value before deploying it on a larger scale.

to deploy an existing technology, infrastructure or service (i.e. already in use elsewhere but new to a particular sector, system or geographical area) in order to gain experience and/or create market conditions for deployment on a larger scale.

The pilot activities of a study may include the deployment of a certain type of infrastructure or technology but on a limited scale and at a reasonable price and with the objective of testing and validating the viability of the innovative actions proposed for future scale up and roll out.

Pilot activities of a study should be of an experimental nature and designed to test the feasibility of an innovative Action and its usefulness for future large scale implementation. They should not be associated with research activities that are not eligible under this type of action.

⁸ Where such feasibility study has already been carried out, its outcomes should be described in the proposal.

TENtec eSubmission module: The IT tool used to manage the CEF projects during their entire lifecycle and enables the electronic submission of proposals under the CEF calls. It allows electronic encoding of application form part A and the uploading of its other parts (B, C, D) and their respective annexes.

U

Unique proposal code: The proposal code automatically generated by the TENtec eSubmission module upon the submission of a proposal and based on a sequential number of already submitted proposals.

W

Works: The purchase, supply and deployment of components, systems and services including software, the carrying-out of development and construction and installation activities relating to a project, the acceptance of installations and the launching of a project.

Work programme: A Commission Implementing Decision adopted for the implementation of a specific programme that sets out the objectives and results expected. It also contains information that is set out further in this Guide, including the schedule and details of the calls for proposals, indicative budgets, and the evaluation procedure.

9. Creating an ECAS (European Commission Authentication System) account

1. Go to the ECAS register page (<https://webgate.ec.europa.eu/cas>) and enter:
 - a user name
 - your first name, last name and e-mail address and
 - the displayed security code.
2. Select "Sign up"
3. You will receive an e-mail to the address that you specified, containing a link you can use to complete the registration process.
4. Click the link and you will be asked to choose and confirm a password.
5. Go to the TENtec eSubmission website (link is available on each call page).
6. Click "LOGIN" and log in with your ECAS user name and password.