



LET'S DELIVER TOGETHER

# Guidelines for 2016 CEF Transport Calls responses preparation

21 October 2016

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## Executive Summary

The 2016 CEF Transport Calls for proposals have been launched on 13<sup>th</sup> of October 2016 by the European Commission to support the implementation of the Pilot Common Project included in the Implementing Regulation (EC) No 716/2013.

The present “**SDM Guidelines for the 2016 CEF Transport Call**” is issued by the SESAR Deployment Manager (SDM) in support to the Implementing Partners in the phase of elaboration and finalisation of the 2016 CEF Transport Calls responses preparation.

In particular, the paper is providing indications by **SDM in its role of “coordinator of all Implementing Partners’ responses to the CEF Call for Proposals”**, according to the provisions of the **2016 CEF Transport Calls for Proposals - Funding Objective 3 - Single European Sky**.

**Participation to CEF Transport calls through SDM coordination is indeed mandatory** for any candidate project which is PCP related, in order to **comply with CEF eligibility criteria** and to ensure **full alignment with Deployment Programme (DP)**.

SDM will support the elaboration of the **entire proposal(s) to be submitted for 2016 CEF Transport CALLS under General and Cohesion envelope**. For this purpose **Applicants/Implementing Partners shall timely provide the Deployment Manager with all the necessary information that it requires** to ensure coherence and **effective coordination** of the candidate Implementation Projects in accordance with the Deployment Programme.

In particular, the present document aims at providing the Implementing Partners with the **description of the relevant batch of information to be provided, the related instructions and detailed roadmap** for responses proposal(s) finalization and submission.

Please be aware that all relevant information for the Finalisation of the Proposals to be submitted to INEA are reported within section 2 - **2016 CEF Transport Calls for Proposals responses preparation – Roadmap**.

Accordingly, the Guidelines are structured as follows:

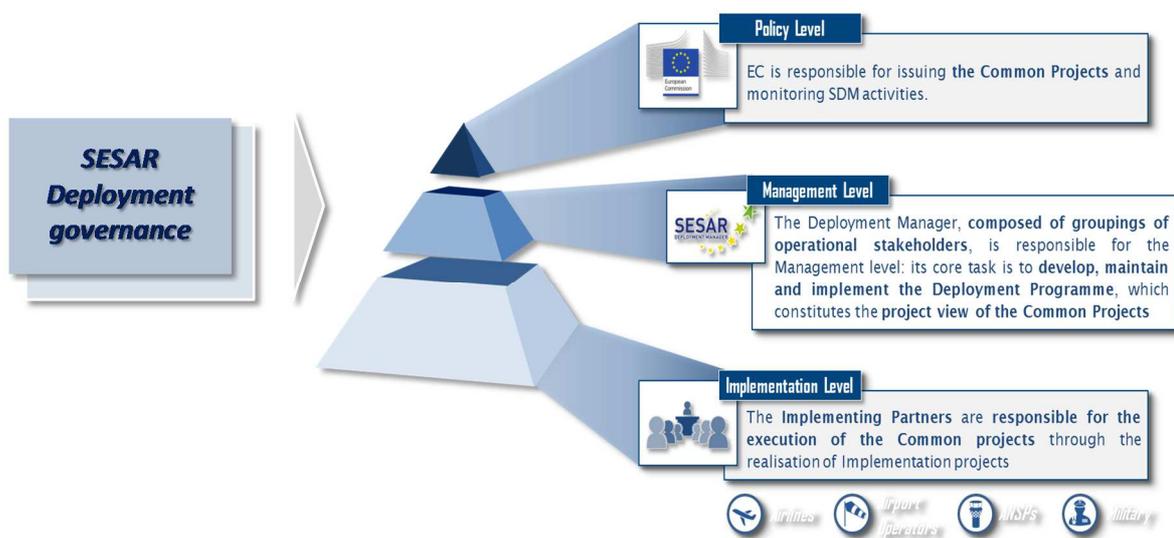
1. **Section 1 - SESAR Deployment Manager**
  - **SESAR Deployment Manager’s context and role** - describes the scenario in which the SDM has been selected and its main roles and responsibilities. The main focus has been put on the role of the Framework Partnership Agreement (FPA) and SDM within the 3-layer Deployment Governance, and their main tasks/responsibilities according to the Implementing Regulation (EU) No 409/2013 art. 9, and its link to DP;
2. **Section 2 – 2016 CEF Transport CALLS Responses preparation**

- **2016 CEF Transport Calls for Proposals - Funding Objective 3** - provides a brief outline of the 2016 CEF Calls and reports the activities to be performed for the proposal(s) submission;
  - **2016 CEF Transport Calls for Proposals responses preparation – Roadmap:** the sections provide all detailed relevant activities to be performed by SDM and Implementing Partners (IPPs) to finalise the proposal(s) within the deadline provided by EC, including explanation of proposal(s) structure;
3. **Section 3 – Subsequent phases “SGA finalization” and “Execution Phase”**
    - providing description of the activities related to the phases which follow proposal(s) submission, and namely “Evaluation and Selection Process” and “SGA preparation and Execution” phases;
    - providing a sneak preview of the task to be performed in case an Action is selected for funding up to the real execution of the Action itself;
  4. **List of Action:** list of the actions to be performed up to submission of the proposal(s) – 7<sup>th</sup> of February 2017;
  5. **Annexes** - the section collects all relevant templates and supporting documents necessary for the proposal(s) elaboration and finalization.

## 1. Section 1 - SESAR Deployment Manager

### 1.1. SESAR Deployment Manager's context and role

On 5<sup>th</sup> December 2014, the SESAR Deployment Alliance, composed of a group of air navigation service providers, airports and airlines, has been appointed as the SESAR Deployment Manager (SDM) by the European Commission (EC)<sup>1</sup>. The *SESAR Deployment Framework Partnership Agreement (FPA)* was signed, with the mandate to synchronise and coordinate the modernisation of Europe's air traffic management system, under the political oversight of the European Commission. Through the SDM selection and the FPA signature, the following **Deployment 3-layer governance** has been established.



- **Level 1 - Policy level**, under the responsibility of the European Commission;
- **Level 2 - Management level**, composed by the Coordinating Partners and under the responsibility of the SESAR Deployment Manager, who ensures the

<sup>1</sup>SESAR Deployment Alliance is composed by 16 Members: NATS (En Route) plc ("NATS"), Société Air France, Société Anonyme ("Air France"), Österreichische Gesellschaft für Zivilluftfahrt mit beschränkter Haftung, limited liability company ("Austro Control"), Croatia Control Ltd. ("Croatia Control"), The State of France, Ministry of ecology, sustainable development and energy, DGAC (Direction générale de l'aviation civile), DSNA (Direction des Services de la Navigation Aérienne), a government entity organised and existing under the laws of France ("DSNA"), DFS DEUTSCHE FLUGSICHERUNG GmbH ("DFS"), ENAIRE, business public entity ("ENAIRE"), ENAV S.p.A. ("ENAV"), British Airways plc ("British Airways"), Irish Aviation Authority, limited liability company (IAA), Luftfartsverket, a state enterprise ("LFV"), Naviar, a state owned company ("NAVIAR"), Polish Air Navigation Services Agency, a state legal entity ("PANS"), Sesar Related Deployment Airport Operators Grouping, EEIG ("SDAG"); Deutsche Lufthansa Aktiengesellschaft ("Lufthansa"); easyJet Airline Company Limited ("easyJet")

coordinated and synchronised implementation of Common Projects in accordance with the Deployment Programme;

- **Level 3 - Implementation level, composed of so-called Implementing Partners** that are responsible for implementing the ATM functionalities of the Common Projects in the European ATM Network through Implementation projects.

The Level 2 of the Governance has been established through the Call for proposals no. MOVE/E2-2014-717/SESAR FPA “*ESTABLISHMENT OF THE SESAR DEPLOYMENT FRAMEWORK PARTNERSHIP*”.

SDA members, being the coordinating Partners of the SESAR Deployment FPA, are collectively the SDM. In line with the Regulation (EU) N°409/2013, and with Article II.1.3 of the SESAR Deployment FPA (No. MOVE/E2-2014-717/SESAR FPA), signed on 5th of December 2014, SDM’s roles and responsibilities can be divided in **two main functions**:

- 1. SESAR Deployment Manager Tasks under Article 9 of the Regulation (EU) No 409/2013.** The SESAR Deployment Manager shall be responsible for the management level of the SESAR deployment governance.
- 2. SESAR Deployment Manager Tasks as Coordinator of the FPA under Article II.1.3 of the SESAR Deployment FPA.** The SESAR Deployment Manager, acting as FPA Coordinator, is required to coordinate the activities of the Implementing Partners.

Both functions are illustrated in figure below, and detailed description can be found in the following paragraphs.



## 1.2. SESAR Deployment Manager under the art. 9

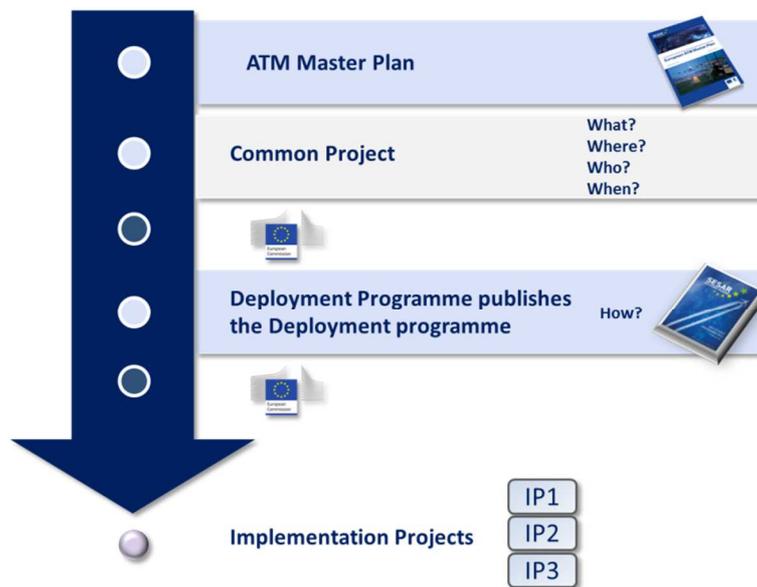
In accordance to the requirements set within Regulation (EU) No 409/2013 art. 9, in the Call for proposals no. MOVE/E2-2014-717/SESAR FPA”, and in line with “Annex I Part B1 Technical part – Action plan 2014-2020 - SESAR Deployment Alliance”, SDM has the following obligations and tasks:

- developing, proposing, maintaining and implementing the deployment programme;*
- associating the operational stakeholders that are required to implement common projects;*
- establishing mechanisms and decision-making processes that ensure efficient synchronisation and overall coordination of the implementation projects and the related investment in line with the deployment programme;*
- ensuring effective management of risks and conflict of interest;*
- advising the Commission on issues related to the implementation of common projects and to the setting up new common projects;*
- implementing Commission decisions and ensuring and monitoring their implementation by the implementation level;*
- identifying the most appropriate financing mechanisms combining public and private funding;*

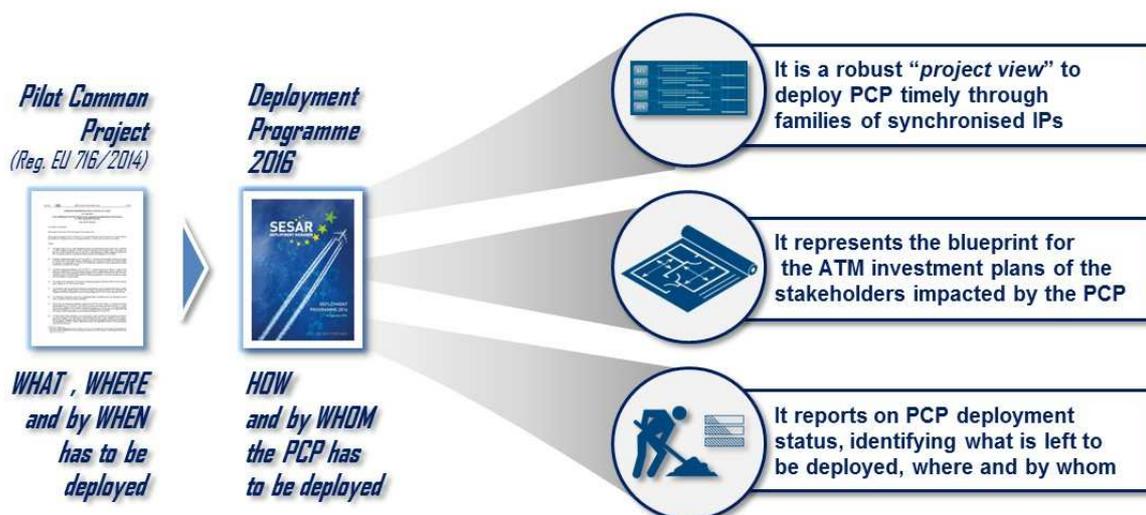
- h) *monitoring implementation of the deployment programme;*
- i) *reporting to the Commission;*
- j) *ensuring appropriate coordination with National Supervisory Authorities.*

To perform the tasks described above, the SDM liaise with the Implementing Partners at different levels, in order to cover in particular the coordination, synchronization, monitoring, and reporting processes.

**One of the main tasks of the SDM, as mentioned above, is to develop, maintain and implement the Deployment Programme.**



Following the Consultation phase with the Operational Stakeholders, the **Deployment Programme** (DP 2016) has been submitted by SDM to EC on 30<sup>th</sup> of September 2016. **The Deployment Programme is the *sole acknowledged reference for Pilot Common Project implementation***, therefore, it represents **the specification for PCP Part of 2016 CEF Call**.



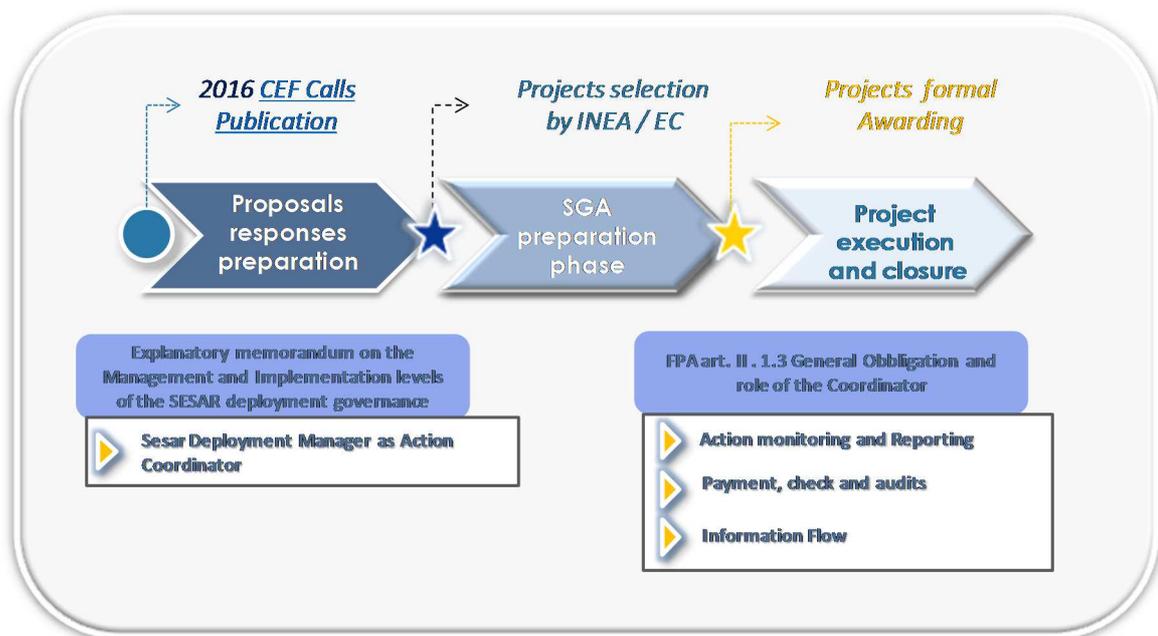
### 1.3. SESAR Deployment Manager as FPA Coordinator

Under **Article II.1.3 of the SESAR Deployment FPA** (General Obligations and Role of the Coordinator) the SESAR Deployment Manager, acting as **FPA Coordinator**, is required to coordinate the activities of the Implementing Partners (FPA Coordinator’s Tasks). In particular, it needs to:

- a) *monitor that the Action plan and actions are implemented in accordance with the Framework agreement and the Specific agreements;*
- b) *be the intermediary for all communications between the partners and the Commission, except where provided otherwise in the Framework agreement or a Specific agreement, and, in particular, the coordinator shall:*
  - (i) *immediately provide the Commission with the information related to any change in the name, address, legal representative as well as in the legal, financial, technical, organizational or ownership situation of any of the partners or of its affiliated entities, or to any event likely to affect or delay the implementation of an action, for which a specific grant was awarded, of which the coordinator is aware;*
  - (ii) *bear responsibility for supplying all documents and information to the Commission which may be required under the Framework agreement or a Specific agreement, except where provided otherwise in the Framework agreement or Specific agreement; where information is required from the*

- other partners, the coordinator shall bear responsibility for obtaining and verifying this information before passing it on to the Commission;*
- c) make the appropriate arrangements for providing any financial guarantees required under the Framework agreement or a Specific agreement;*
  - d) establish the requests for payment in accordance with the Framework agreement and the Specific agreements;*
  - e) ensure that all the appropriate payments are made to the other partners without unjustified delay;*
  - f) bear responsibility for providing all the necessary documents in the event of checks and audits initiated before the payment of the balance, and in the event of evaluation in accordance with Article 11.27.*

In order to best address the above listed tasks in full compliance with obligations set forth within Regulation (EU) No 409/2013, the Framework Partnership Agreement and the “Explanatory memorandum on the Management and Implementation levels of the SESAR deployment governance”, the **SDM, grouped these tasks in 3 main lines of action, which mirror the 3 phases from the proposal preparation to the execution phase:**



SDM performs the tasks following specific working arrangements, which, in particular for the Projects execution phase, are described in the “**FPA Coordination Work-package/Activity**”. This package is **systematically inserted** into the **work breakdown structure of every Implementation Action proposal to be submitted in response to CEF future calls, and to any Specific Grant Agreement (SGA) for Implementation Action selected for co-funding by EC**, with regard to relevant PCP implementation projects.

“Under the terms of the ICA, those tasks of the SESAR Deployment Manager that are not 100% funded by the Commission/INEA, i.e. the **FPA Coordinator’s Tasks performed within each Implementation Project through the FPA Coordination Work-Package**, shall be partly funded (up to 50%) by the **award of specific grants for each Implementation Project and the remaining portion (at least 50%) by the Implementing Partners contributing** to the financial costs of the SESAR Deployment Manager through an **FPA Coordination Fee** (further details are available in Annex 19).

In other words, the FPA coordination activity is co-funded through the FPA coordination fee, a contribution mechanism to be deducted from the co-funding to the other IP partners proportionally to their respective contribution to the project. The **FPA coordination cost results in an amount to be applied to each implementation project budget**, under the assumption that the entire budget will be actually invested.”

### 1.4. Legal setup of the SESAR framework partnership

Since the Management (SDM – coordinating partners) and Implementation levels (implementing Partners IPPs) of the SESAR deployment governance have to be composed either of legal entities representing individuals or groupings of operational stakeholders, including in some cases those from non-EU Member States, each entity must commit to fulfill the obligations defined in Articles 9 and 10 of the **Implementing Regulation (EU) No 409/2013**, depending on the role to be played within these levels.

To do so a structured legal framework has been defined, and it is composed of **3 main Agreements**:

1. The **Framework Partnership Agreement (FPA)** is the long-term cooperation mechanism to establish the management and implementation levels of the SESAR deployment governance (relations between 3 layer governance).

The FPA was signed on 5<sup>th</sup> of December 2014 by the SDM Managing Director (on behalf of 16 Implementing Partners) and by the European Commission. The FPA will



be updated every year on the basis of the involvement of the new Implementing Partners and the relevant Deployment Programme version. Its content is not negotiable since it has been developed by EC and is structured as follows:

- a. Action Plan
- b. General Conditions
- c. Models (Technical, Economical and Financial, and Mandates for the FPA and SGA signature)

2. The **Internal Cooperation Agreement (ICA)** governs the relationship amongst the Coordinating and Implementing Partners regarding their operation and coordination, including all internal aspects related to the management of the partners and the implementation of the Action(s), and has to be signed following the FPA signature.

The Agreement, which entered into a force on 31<sup>st</sup> of May 2015, is structured as follows:



**A. SESAR Deployment Manager structure & operation:**

1. SESAR Deployment Manager tasks and obligations
2. SESAR Deployment Manager governance



**B. Working arrangements with Implementing Partners**

3. Realisation of the Deployment Programme
4. Implementation Project funding through Specific Grant Agreements (SGA)
5. Mandate to the SESAR Deployment Manager
6. No financial responsibility of the SESAR Deployment Manager
7. Action Coordinator; financial payments
8. ...



**C. General Provisions**

9. Term and Termination:
  - a. General
  - b. Cancellation of funding for the SDM
  - c. Continuity of work

3. The **Specific Grant Agreement (SGA)** governs the award of concrete European Union grants to the partners and is signed by the SDM Managing Director (on behalf of the partners) and the European Commission. Through the SGA signature the partners accept the grant and agree to implement the Action in accordance with the terms and conditions of the SGA. The besides the legal content the SGA is composed of the following parts:



**Annex I Description of the Action** (including IP Description dully filled in) - this section provides a detailed description of the activities to be carried out during the lifespan of the Action (it is the proposal which has been accepted)

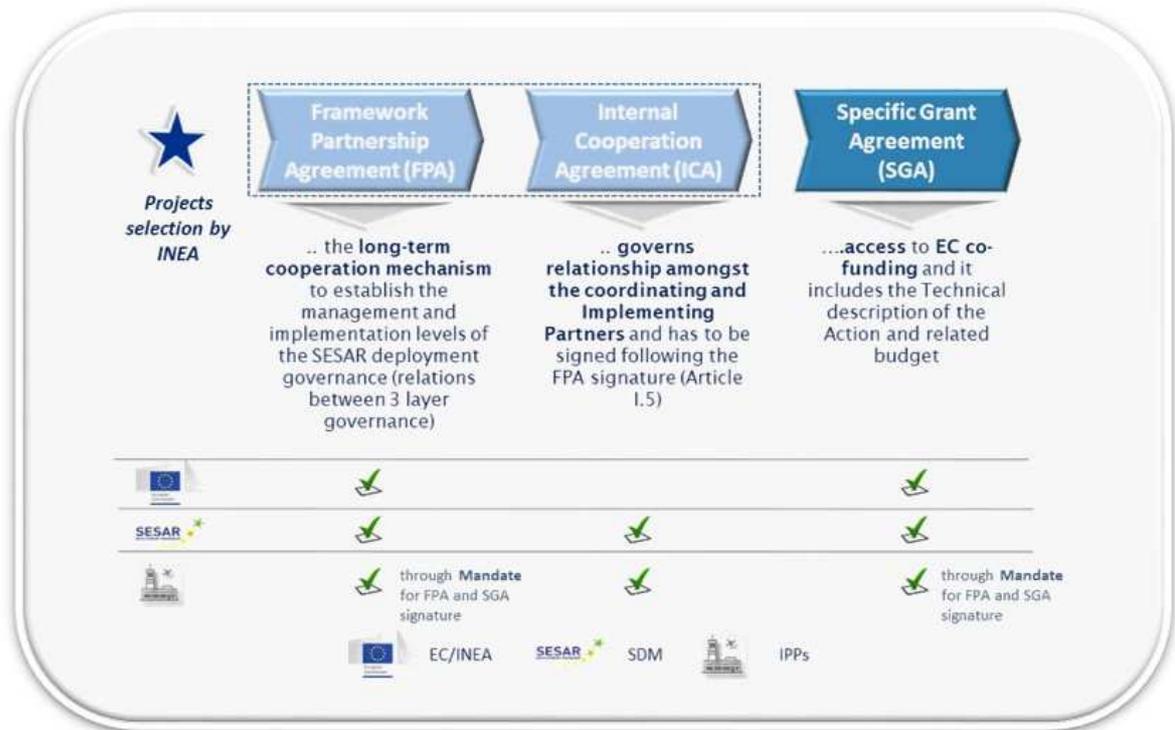
**Annex II Budget** provides an overview of the budget of the Action per partner and per activity

Annexes (I and II) are elaborated on the basis of the Implementing Partners inputs.

The **new Implementing Partners** to effectively receive EU co-funding under the CEF Programme will have to accede to the FPA and SGA (through the Accession Forms) as well as to sign the ICA:

- **New partners become parties of the SESAR Deployment Governance** upon the signature of the FPA. Partners will be granted with co-funding through the SGA. In particular, the SDM Managing Director will sign in the partner's name and on the partner's behalf through a Mandate for the signature of both FPA and SGA.
- **New partners become parties to the ICA** by filling in and signing an accession form to the ICA. In the accession form, the new partner consents to become party to the ICA as an Implementing Partner, and undertakes the rights and obligations there under.

The following pictures illustrate the 3 main agreements and also provide information on the signature level requested.



Future Implementing Partners are required to sign both the FPA and the ICA before signing the SGA . The model FPA and SGA are published with the CEF call for proposals. The terms and conditions of the FPA, SGA and the ICA are not subject to negotiation with the implementing partners so as to ensure an equal treatment between all CEF beneficiaries.

## 1.5. Accession to SESAR Deployment Manager of the SESAR deployment governance

As reported within the **Article 7 “Accession to SESAR Deployment Manager of the SESAR deployment governance”** of the **Internal Cooperation Agreement (ICA)** for the SESAR Deployment Framework Partnership Agreement (Annex 19), a party may apply for accession to the SESAR Deployment Manager (level 2 of the SESAR deployment governance). Any such party wishing to accede must comply with the definition of “operational stakeholder” as set out in Articles 2(10) and 9 of the Regulation, and successfully pass the accession procedure described hereafter.

The **SESAR Deployment Manager**, to maintain a secure and stable membership, foresees that there will be two occasions at which accession could be available; these are:

- After publication of Commission’s decision selecting Implementation Projects as a result from the INEA call 2015;
- Upon the update of the Deployment Programme following the adoption of a revision of Pilot Common Project or New Common Project by the Commission

Candidates shall apply in writing to the Chair of the Supervisory Board<sup>2</sup> to the published address of the SESAR Deployment Manager to join one of the three groupings of operational stakeholders: Airport Operators, Airspace Users or Air Navigation Service Providers.

The Coordinating Partners will accept applications to accede to their respective groupings from any legal person who can demonstrate the fulfillment of the following requirements:

- they intend to commit to the Agreement for the full duration of the SESAR Deployment FPA;
- they are Implementing Partners with a significant level of investment in the active or soon to be launched Implementation Projects that contribute to the implementation of the Pilot Common Project and/or any other future Common Project;
- they have in their own possession skills, knowledge and/or experience which add value to SESAR Deployment Manager and the management of the deployment of SESAR and that these skills, knowledge and/or experience are important and required by the SESAR Deployment Manager for the delivery of its tasks and that these skills, knowledge and/or experience complement and improve those already possessed by the SESAR Deployment Manager;

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<sup>2</sup> The Supervisory Board is the formal decision-making body of the SESAR Deployment Manager

- they are able and willing to provide these required skills, knowledge and/or experience with appropriate resources as a significant contribution to the tasks of the SESAR Deployment Manager and the management of the deployment of ATM functionalities;
- they have experience in international multi-stakeholder implementation and coordination programmes; and
- their accession to the SESAR Deployment Manager will continue to keep the size of SESAR Deployment Manager at a level that maintains and promotes effective and efficient operations.

The Chair of the Supervisory Board shall inform the Commission on the result of the board evaluation of that application.

Upon decision by the Supervisory Board to approve the accession, and as agreed by the Commission, an amendment to the FPA shall be signed to formalise accession of the new Coordinating Partner.

For further details about the Accession to SESAR Deployment Manager of the SESAR deployment governance refer to Annex 19.

## 2. Section 2 – 2016 CEF Transport CALLS Responses preparation

### 2.1. 2016 CEF Transport Calls – Funding Objective 3

The 2016 CEF Transport Calls for Proposals, published on **13<sup>th</sup> of October 2016**, make **€1.9 billion** of funding available for projects of common interest in the transport sector.

The **results expected under these calls** are defined in **Section 5 of the multi-annual work programme** (Annex 7 – Multi Annual Work Programme and Annex 8 - Annex I to the Work Programme). The **implementation of the 2014-2020** multi-annual work programme aims at contributing to the realisation of the transport core network by 2030, thereby further enhancing the effectiveness and visibility of the trans-European transport network, while promoting growth and job creation, in line with Europe 2020 Strategy. It is expected that the granting of support on the basis of this programme will contribute to the timely and efficient development of a number of Core Network Corridors in their entirety or in significant parts, will support the realisation of a robust and resource efficient European transport system and will contribute to addressing climate change.

The **actions which will be completed with financial assistance allocated** under these calls will directly **contribute to the achievement of important transport policy objectives**.

The **2016 CEF Transport Multi-annual Call's Funding Objective 3 (Annex 9 – General Call)**, aims at optimising the integration and interconnection of transport modes and enhancing the interoperability of transport services, while ensuring the accessibility of transport infrastructures. In particular, objective 3.3.1 targeted the support of SES timely implementation, with specific reference to the deployment of SESAR.

For funding objective 3 - **Single European Sky – SESAR** European Commission has established the following amounts:

- **Cohesion Fund : €100,000,000**
- **Connecting Europe Facility- General Call: €300,000,000**

#### Cohesion Fund

The Cohesion Fund is aimed at Member States whose Gross National Income (GNI) per inhabitant is less than 90 % of the EU average. It aims to reduce economic and social disparities and to promote sustainable development. For the 2014-2020 period, the Cohesion Fund concerns Bulgaria, Croatia, Cyprus, the Czech Republic, Estonia, Greece, Hungary, Latvia, Lithuania, Malta, Poland, Portugal, Romania, Slovakia and Slovenia.

#### General Call

The aim of the General Call is to accelerate investment in the field of trans-European networks and to leverage funding from both the public and the private sectors, while increasing legal certainty and respecting the principle of technological neutrality. The CEF

should enable synergies between the transport, telecommunications and energy sectors to be harnessed to the full, thus enhancing the effectiveness of Union action and enabling implementing costs to be optimized (open to EU Member States).

As requested from Annex I (*"CALL FOR PROPOSALS CONCERNING PROJECTS OF COMMON INTEREST"*), separated Action proposals, with specific Clustering of IP Descriptions, shall be submitted under the Cohesion Fund and the General Call:

1. **Connecting Europe Facilities general call:** the proposal(s) will address the Funding Objective 3 – Single Sky Europe - SESAR, including all projects in line with the eligibility criteria (Article 9 and 11) of CEF Regulation;
2. **Cohesion Fund call:** the proposal(s) will address the Funding Objective 3 – Single Sky Europe - SESAR, including all projects in line with the eligibility criteria (Article 9 of CEF Regulation).

The process to be followed to finalise the proposal(s) will be performed, by SDM and Implementing Partners, in parallel with complementary tasks and activities within the same timeline (further details are available under 2.4.2).

The proposed Actions under this objective shall include works and studies under one of the following 2 categories:

- **Common Projects:** This category includes **civil and military Implementation** projects deploying ATM functionalities identified in Common Projects<sup>3</sup>, in accordance with the Deployment Programme, falling under the coordination of Deployment Manager
- **Other Projects:** This category comprises other projects not included in Common Projects and not falling under the coordination of the Deployment Manager that contribute to the implementation of the SES by promoting the optimal provision of air navigation services and seamless functioning of the European ATM system

For proposals submitted under the **"Single European Sky – SESAR"** priority, **"Common Projects"** category and coordinated by SDM, in accordance to the Call text **priority** will be given to:

- a) ***"Implementation projects that support the implementation of the families identified in the Deployment Programme (main reference for the calls):"***

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<sup>3</sup> The first Common project is defined in Commission Implementing Regulation (EU) No 716/2014 of 27 June 2014 on the establishment of the Pilot Common Project supporting the implementation of the European Air Traffic Management Master Plan Text with EEA relevance, OJ L 190, 28.6.2014, p. 19–44

- 1.1.2: **AMAN** (Arrival Manager) upgrade to include extended Horizon function
  - 1.2.3: **RNP1** (Required Navigation Performance) operations in high density TMAs (Terminal Control Areas) ground capabilities
  - 2.2.1: **A-SMGCS** Levels 1 and 2 (Advanced Surface Movement Guidance and Control System)
  - 2.4.1: **A-SMGCS** routing and planning functions
  - 2.5.1: Airport safety nets associated with **A-SMGCS** (Level 2)
  - 2.5.2: Aircraft and vehicle systems contributing to airport safety nets
  - 3.2.1: Upgrade of **AATM** systems (NM, ANSPs, AUs) to support Direct Routings (DCTs) and Free Routing Airspace (FRA)
  - 3.2.4: Implement **free route** airspace
  - 4.2.2: Interactive rolling Network Operations Plan (**NOP**)
  - 5.1.2: New **PENS** – Future Pan-European Network Service
  - 5.1.3: Common **SWIM** (System Wide Information Management) infrastructure components
- b) Implementation projects aiming to **implement datalink capability** in support to **AF6- Initial Trajectory Information Sharing**: these projects shall be implemented in accordance with the recovery plan<sup>4</sup> developed by the SESAR Deployment Manager and shall respect the regulatory deadlines prescribed by the Commission Implementing Regulation (EU) No 2015/310 (Costs incurred after the deadlines for the implementation of these projects will not be funded)”.

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** (named “Twinned proposals”), the application/proposal must be split and each part must be submitted separately under either the Cohesion call or the General CEF call (as appropriate). The application numbers/title of the proposed Actions must be cross-referenced in order to allow clear identification of the two parts in the appropriate part of the application form. Complementary applications will be evaluated jointly to appreciate their common EU added value.

SDM will provide specific instructions to the impacted project proposals to implement properly the *twinned proposals* scheme through the process described in par.2.4.2 Proposal Preparation roadmap.

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<sup>4</sup> [http://ec.europa.eu/transport/modes/air/sesar/deployment\\_en](http://ec.europa.eu/transport/modes/air/sesar/deployment_en)

**Granting of financial assistance** to these actions should help to **reach important milestones** marking the way towards the completion of the trans-European transport network, as approved by the European Parliament and the Council. EU funding should help to mobilise as much public and private financing as needed to meet the challenging timetables.

In order to guarantee the full alignment of the Implementation Projects proposals to DP, and the proper coordination and management of the activities to support the Implementing Stakeholders in the participation to the INEA call, the SDM set up a coordination and support service, all details are provided in Section 2.

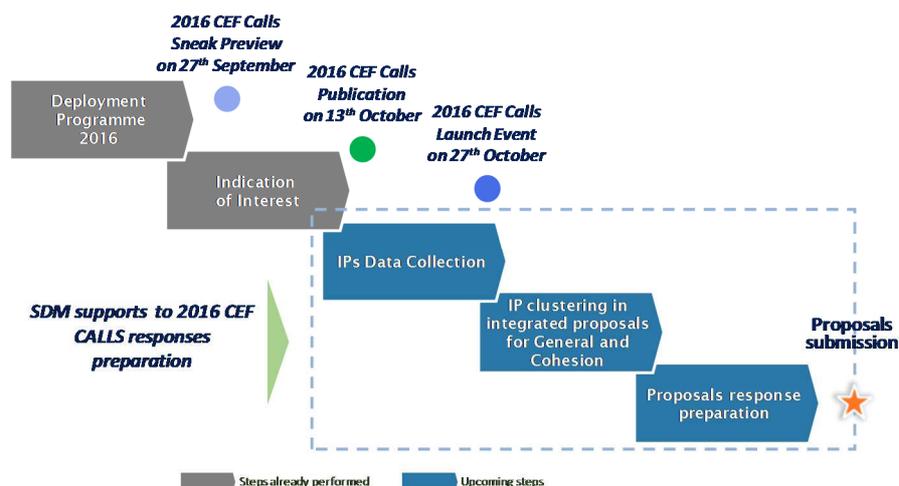
Participation to CEF Transport Calls through SDM coordination is mandatory for any candidate project which is PCP related, in order to comply with CEF eligibility criteria and to ensure full alignment with DP.

## 2.2. SDM support to 2016 CEF transport calls responses preparation

The present chapter describes the process set up by the SDM to support the candidate Implementing Partners in participating to the 2016 CEF Transport Calls for proposals. In particular this chapter details relevant activities to be performed by SDM and Implementing Partners (IPPs) to finalise the proposal(s) within the 7<sup>th</sup> of February 2017, deadline provided by the EC for the proposals submission.

The Deployment Programme is the reference and driver of **the technical content for the 2016 CEF Transport Call for proposal**.

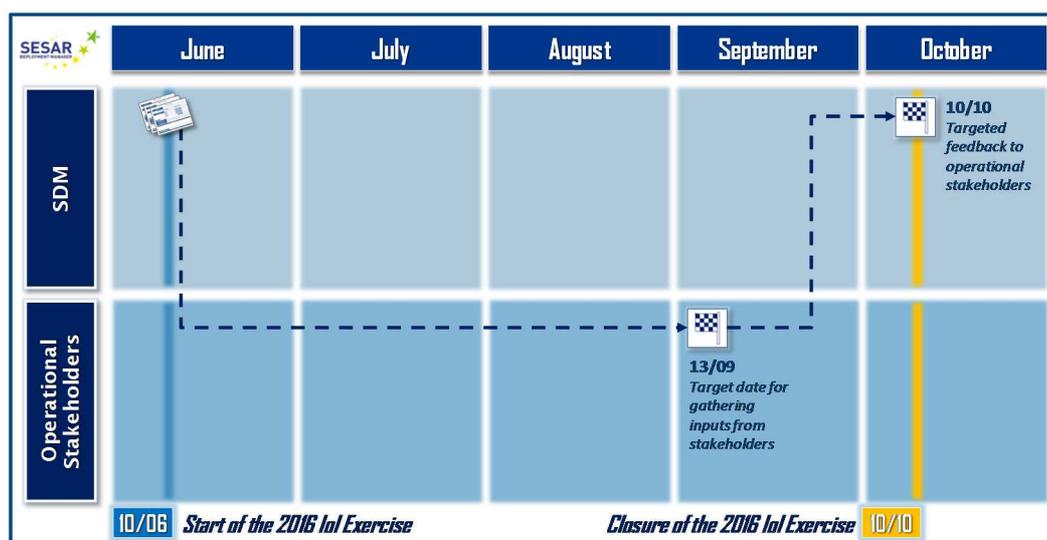
Please find below the **Logical Flow** from proposals to co-funded projects.



## 2.2.1. Call for Indication of Interest (IoI) – CEF Transport Calls 2016

In order to stimulate preparation for the upcoming 2016 CEF Transport Calls, and to foster the awareness among the ATM community about the Pilot Common Project implementation and its relevance for the CEF Framework, SDM started **engaging operational stakeholders in a preliminary exercise** – a Call for Indication of Interest (IoI) – aimed at defining an **early view of the potential future Implementation Projects, capitalizing on the availability of the specification for these calls**, i.e. the Deployment Programme (DP 2016), in anticipation to their actual launch by INEA.

Building on the similar exercise performed in the fall of 2015, the SESAR Deployment Manager - without **any obligation or prejudice to later application to the formal call**, has invited Operational stakeholders to indicate, by the beginning of June, their interest in **submitting specific PCP-related Implementation Projects**. The timeframe of the Indications of Interest Exercise was anticipated to early summer in order to provide potential candidate Implementing Partners with almost three months to submit their inputs to SDM (deadline on September 13<sup>th</sup>).



With this preliminary exercise, SDM's objective aimed at supporting stakeholders for the upcoming Call through the execution of the following activities:

- Checking projects' **relevance to the Pilot Common Project** scope and their alignment with their Deployment Programme, especially with regard to its association to one of the **48 families listed in the DP 2016**;
- Promoting **projects targeting the full closure of one (or more) of the existing implementation gaps** identified within the DP 2016;

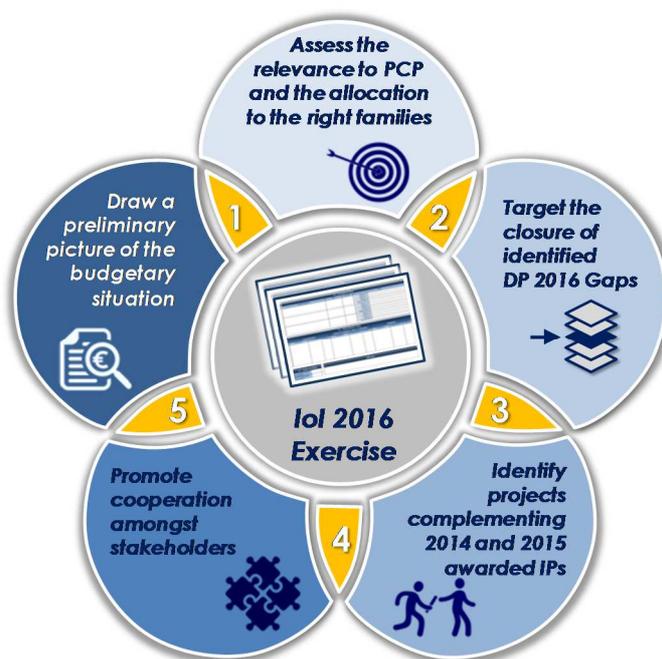
- Identifying **those initiatives** which aims at **complementing projects already awarded through 2014 and 2015 Actions**, in order to safeguard the continuity of implementation;
- **Fostering cooperation among stakeholders** to enable defragmentation of PCP deployment activities by bringing together **operational stakeholders** for the elaboration of multistakeholder project;
- **Drawing a preliminary picture of the expected budgetary situation** towards the submission for 2016 CEF General and Cohesion Call, supporting the elaboration of a suitable and tailored **bid strategy**;

Despite being a non-binding and voluntary exercise, the **Indications of Interest Exercise 2016** matched the massive participation already experienced during the **2015 Exercise**: more than 200 Indications of Interest were received and processed by SDM, SDM considers such participation as a tangible and visible proof that **European stakeholders stands ready to invest into the modernization of the European ATM infrastructure**.

All Stakeholders category participated in the assessment, which involved **both military authorities and civil organizations from all Europe**. SDM assessment of the submitted Indications of Interest resulted into targeted feedback which was distributed to the respective submitter by October 10<sup>th</sup>.

SDM provided targeted feedback to each operational stakeholder having specific regard to the following topics:

- **Relevance to both PCP and DP 2016** scope and clear and correct association to one of the 48 Families of the Programme;
- **Timing of the initiative**, both in terms of time span of the initiative and of maturity of the technologies to be deployed;
- **Relevance to one (or more) of the existing implementation gaps**;
- **Identification of potential overlaps** between initiatives, potentially leading to merging several projects into one wide-ranging multistakeholder project;



- **Completeness and clarity of the proposed implementation initiative.**

The Indications of Interest are still considered as the “trigger” for the **SDM support to 2016 CEF CALLS responses preparation phase**.

However, before entering in the description of the proposal preparation tasks, it is important to present the structure of the proposal according to INEA “Guide for Applicants” (Annex 6), this will help you in understanding the link between the requested information by the SDM and the final package which will have to be submitted by SDM to INEA.

## 2.3. Proposal Structure

This paragraph introduces the overall structure of the Application to be submitted to INEA in response to the 2016 CEF Transport calls for proposals. Indeed, before presenting the details of expected process to be followed by SDM and Implementing Partners for the **proposal preparation process** (paragraph 2.4), it is important that the **overall structure of the Application** is addressed, so to increase the awareness on the **global process** and the **interdependencies** among information to be provided and general framework, as well as the **overall timeline**.

Please note that within the description of the Proposal structure, in bright red are highlighted the requested documents/forms to be provided by the Implementing Partners to SDM.

These documents/forms (Part A; Part B; Part C), shall be provided by each Applicant/Implementing Partner (at Company Level) according to:

- Legal Status of the Applicant/Implementing Partner (see details below on 2.3.1)
- Timing indicated by SDM (see details below on 2.4.2)

All other sections will be filled in by SDM on the basis of the information provided by the Implementing Partners.

All the documentation needs to be independent for each Cluster. That is, each Implementing Partner needs to replicate the documentation as many times as the number of Clusters it participates in.

In order to properly elaborate the technical part of the proposals (Application Form Part D), each Implementing Partner shall provide SDM with all information and supporting documents requested in the Forms A, B and C, since some of the information will feed Application Form Part D.

Proposals to be submitted under the **CEF-Transport annual and multi-annual calls for proposals** must describe planned activities, information on who will carry them out, their

deliverables and related milestones, the costs, and the reason why they should be supported financially by the EU.

Applicants wishing to apply for **funding under CEF-Transport calls must complete and submit the application forms provided on the INEA website**, together with the supporting documents requested in the application forms (i.e. the annexes).

**SDM acts as “coordinator” of all Implementing Partners’ responses to the CEF Call for Proposals.** SDM is in charge to finalise all the documentation (Part A; Part B; Part C and Part D) required by INEA, for the proposal(s) submission on the 7<sup>th</sup> of February 2017, on the basis of the documentation provided by each Applicant/Implementing Partner.

The proposal is composed of 4 Application Forms (including their respective annexes) as follows:

- **Application form Part A** identifies the main characteristics of the proposal (e.g. brief description of the proposed Action and its activities, contact details and characteristics of the applicants/Implementing Partner, as well as information related to the funding requested, the transport mode, financial information on the global project/ proposed Action etc.).
- **Application form Part B** provides administrative information about the Applicants/Implementing Partners, their designated affiliated entities and information used to demonstrate compliance with financial and operational capacity.
- **Application form Part C** provides information on the compliance of the proposed Action with EU policies and law in the fields of environmental protection, interoperability, state aid, public procurement, and other sources of EU funding.
- **Application form Part D** provides technical and financial information on the Action/Global Project submitted for funding.

In order to submit the final application, all parts (Part A Parts B, C and D, including their annexes) and relevant supporting documents **shall be uploaded by SDM on TENtec website using the eSubmission module**.

SDM is the only responsible of uploading proposals on TENtec using the eSubmission module (**the applicants shall not use the TENtec Information System**).



### 2.3.1. Part A

Application Form Part A includes the administrative information related to the each of the Applicants and proposal budget. **It must be created and submitted using the TENtec eSubmission module.** The data uploading will be performed by SDM according to the information provided by each Applicant.

In order to allow the timely submission of the proposal on the TENtec eSubmission module, each Implementing Partner has to provide SDM with the information included into Part A, according to the “Category”<sup>5</sup> reported into the section 2.4.2 and relative roadmap for provisioning (deadline).

Part A of the application is composed as follows:

- **A1 - General information on the proposal in terms of (to be filled by SDM):**
  - funding priority and sub-priority
  - title of the proposed action



<sup>5</sup> EU Member State; Neighbouring/third country; Public sector undertaking or body established in the EU; Private sector undertaking or body established in the EU; Public sector undertaking or body established outside the EU; Private sector undertaking or body established outside the EU; International organisation; European Economic Interest Grouping (EEIG) and Joint undertaking

- proposal type, by specifying whether the proposal addresses works, studies or combines them
- start and end date
- scope and objective of the proposed Action
- indication if the proposed Action entails studies investigating possibilities of Public Private Partnerships or other activities relating to or preparing projects to use financial instruments
- twinned proposals, if the application is twinned with another proposal
- Transport mode
- Network Type
- Corridors and section
- **A2 – Coordinating Applicant (to be filled by SDM):** since the proposal is presented by many applicants, this section asks that a coordinating applicant be found to represent all partners and act as the point of contact with the Commission. The Coordinating Partner will be the SDM.
- **A2.1 – Applicant: (to be filled by each Implementing Partner and submitted to SDM, including all relevant supporting documents requested within the form):** this section aims at providing details about official legal name, general administrative data and legal status among the following options:
  1. 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
- **A2.2 - Contact points (to be filled by each Implementing Partner and submitted to SDM):**

this section must provide the contact details of the person in charge of the proposal and the **representative authorised to sign the application**. The person indicated as the contact point will be contacted by the Commission in the first instance should this become necessary during or after the evaluation process. The application form page

containing these details must be printed and signed by **the authorised representatives and then scanned and submitted to SDM**

*If this part of the application form is not signed by the applicant the applicant proposal will be considered not compliant with the formal requirements specified in the call text and will not be submitted by SDM to INEA (Applicant will be removed from the final proposals to be submitted to INEA) .*

**A2.3 - Designation of an Implementing body, agreement of the EU Member State approving the proposal and participation of third countries/ neighbouring countries or entities established therein (to be filled by each Implementing Partner except for Members State and submitted to SDM):**

- All applicants (except for EU Member States) need the Endorsement of the Member States concerned by the action and have to fill “*EU Member State Approval*”. Please refer to the Form A2.3b included in the Annexes (Annex 1b)
- Applicants that are a Member State or an international organization have to fill the section “*Implementing bodies*” (if applicable). Please refer to the Form A2.3a included in the Annexes (Annex 1a)

The A2.3 format has to be provided by each Applicant/Implementing Partner duly signed by its Member State responsible for the Endorsement of the projects submitted under the calls. Please note that a Member State may have a particular process in place for providing its approval for proposals. It is strongly recommended that applicants contact the relevant Member State authority at an early stage of the preparation of proposals to clarify any specific procedures for obtaining such approval. For this reason, SDM will prepare all information to be submitted to the Member States for endorsement by **9<sup>th</sup> of January, 2017**. For more details of Member State contact point, applicant should refer to Annex 22.

**Applicants shall print form A2.3, and have it signed and dated by the concerned Member States. The signed version of the section A2.3 must then be scanned and submitted to SDM.** The compliance with this requirement will be verified during the eligibility check phase of the evaluation by INEA.

- *If the application form part A2.3 duly signed by the Member State(s) concerned is not provided, the proposal will be considered not compliant with the eligibility criteria specified in the call text **and will not be submitted by SDM to INEA** (Applicant will be removed from the final proposals to be submitted to INEA). Should be noted that one **A2.3 form must be completed, dated and signed** by the concerned EU Member State **for each applicant**. Accordingly Member State competent authority shall complete and sign one A2.3 form for each of the applicants participating to the proposal (number of A2.3 forms equal to the number of Applicants).*

Proposals submitted by or including neighbouring countries or entities established in a neighbouring country as applicants must provide proof of support of the Member State and, for public or private entities established in a neighbouring country, a proof of support of a neighboring country concerned by the proposed Action (Section A2.3, in accordance with Article 9(4) of the CEF Regulation).

**A2.4 –Affiliated entities (to be filled by each Implementing Partner and submitted to SDM if applicable):**

Applicants must complete the form about their affiliated entities in case they wish to designate one or more of them to be involved in the implementation of the proposed Action. All affiliated entities to be involved have to comply with the eligibility and selection criteria<sup>6</sup>.

**A3.1 – Information about the Action for which a grant is requested (filled by SDM on the basis of the information provided by Implementing Partners though the IP Description ):**

- *Location of the Action* has to be identified among the Member States and regions or third countries.
- *Activities of the proposed Action* needs to contain all requested information about the proposed Action (name, description, start and end date, applicant(s) responsible for its implementation and verifying milestone).
- *Milestones of the proposed Action* asks to insert information about the milestones, which indicate how the Activity and its expected results are progressing. Milestones should be evenly distributed all over the duration of the proposed Action and their number per activity will depend on the complexity of each activity. Each Activity, should be include a sufficient number of milestones (ideally one per year) and should be avoid concentration of milestones towards the end of the Action. Additionally, Milestones must be "SMART": specific, measureable, achievable, relevant and time-related and must have a clearly identified means of verification, etc.
- *EU financial instruments* proposes a choice whether the Action entails activities investigating PPP possibilities and/or it involves a form of procurement that could enable the use of financial instruments in combination with CEF funding.

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<sup>6</sup> An "affiliated entity" is an entity affiliated to the beneficiary within the meaning of Article 122 of the Financial Regulation, available at the following link: <http://eur-lex.europa.eu/legal-content/EN/ALL/?uri=CELEX:32012R0966>

**A3.2 – Financial information regarding (filled by SDM on the basis of the information provided by Implementing Partners through the IP Description):**

- *Sources of financing:* asks to indicate the financial contribution to the Action from all possible sources of funding.
- *Indicative breakdown of estimated eligible costs by activity:* asks to indicate the breakdown of estimated eligible costs by activity, applicant and year
- *Related Actions:* where all actions already funded are specified in case the proposed Action is part of a large project previously supported by the EU.

**Eligible Cost for the Calls**

Eligible costs are costs actually incurred by the beneficiary of a grant which meet all the criteria laid down in **Article 126 (2) of the Financial Regulation**. The same criteria apply to the costs incurred by affiliated entities and implementing bodies.

*Costs will be eligible, at the earliest, from the date on which an application is submitted and, at the latest, to the date of completion of the Action, which must be 31 December 2020 at the latest.*

To be considered “Eligible costs” costs have to meet all of the following criteria, inter alia:

- they are incurred during the duration of the action or of the work programme, with the exception of costs relating to final reports and audit certificates
- they are indicated in the estimated overall budget of the action or work programme
- they are necessary for the implementation of the action or of the work programme which is the subject of the grant
- they are identifiable and verifiable, in particular being recorded in the accounting records of the beneficiary and determined according to the applicable accounting standards of the country where the beneficiary is established and according to the usual cost accounting practices of the beneficiary
- they comply with the requirements of applicable tax and social legislation
- they are reasonable, justified, and comply with the principle of sound financial management, in particular regarding economy and efficiency
- .....,etc

Indirect costs are not eligible.

Detailed information on eligible and ineligible costs is included in the model grant agreement, which is available in the Annex 13.

- **A4 – Translation information (to be filled by SDM):**

information relevant only in case the application was submitted in a language different than English. Include information on the language/s used and the costs incurred if the form was translated into English. It's strongly recommended the use of the English language.

- **A5 –Contribution to CEF Objectives (to be filled by SDM):**

the aim of this section is to measure the contribution of the Action to the funding objective specified in the Regulation. The questions to be answered vary depending from the specificity of the Action, following the answers of parts A1.

### 2.3.2. Part B

Application Form Part B provides additional administrative information and supporting documents requested by INEA

Each Implementing Partner has to provide SDM with the information included into Part B, according to the “Category”<sup>7</sup> it belongs to as reported in the specific field of Form A2.1.

- **1 – Legal Entity Form (to be filled by each Implementing partner except EU Member States, regions or provinces, and neighbouring / third countries and submitted to SDM):**

Implementing Partners need to provide the Legal Entity form duly **filled in, signed, dated and stamped by the company’s legal representative**. The form is available on the following link:

[http://ec.europa.eu/budget/contracts\\_grants/info\\_contracts/legal\\_entities/legal\\_entities\\_en.cfm](http://ec.europa.eu/budget/contracts_grants/info_contracts/legal_entities/legal_entities_en.cfm).

Each Applicant needs to choose the form on the basis of the company legal status:

- “Private/Public Law Body with Legal Form”: please complete and sign the form and provide supporting



The image shows the cover page of the 'Application Form Part B' for the Connecting Europe Facility 2014-2020 Transport Calls for Proposals 2016. The form is titled 'APPLICATION FORM PART B Administrative Information'. It includes two input fields: 'Title of the proposed action' and 'TENs number'.

<sup>7</sup> EU Member State; Neighbouring/third country; Public sector undertaking or body established in the EU; Private sector undertaking or body established in the EU; Public sector undertaking or body established outside the EU; Private sector undertaking or body established outside the EU; International organisation; European Economic Interest Grouping (EEIG) and Joint undertaking

- documents (register(s) of companies, official gazette, VAT registration)
- Public Law Body: please complete and sign the form and provide supporting documents (resolution, law, register(s) of companies, official gazette, VAT registration)

**Applicants that do not have a legal personality**, as declared in the application form part A2.1, are requested to provide evidence that their representatives have the capacity to assume legal obligations on their behalf by attaching to the application supporting documents to demonstrate that the representative of the applicant **has the capacity to undertake legal obligations on its behalf** (e.g. the statutes of the applicant or the relevant abstract thereof).

**2 – Grounds for exclusion (to be filled by each Implementing Partner except EU Member States, regions or provinces, and neighbouring / third countries and submitted to SDM)**

Implementing Partners need to complete and sign Annex B-I and Annex B-II (where applicable), confirming they are not in one of the exclusion situations when applying for EU funding

**3 – Financial Identification form (to be filled by each Implementing Partner and submitted to SDM):**

The form needs to be downloaded from the link:

[http://ec.europa.eu/budget/contracts\\_grants/info\\_contracts/financial\\_id/financial\\_id\\_en.cfm](http://ec.europa.eu/budget/contracts_grants/info_contracts/financial_id/financial_id_en.cfm) and filled in, following the explanation and according to the information requested (Privacy Statement for Legal Entity and Bank Account Validation). The Form has to be completed, signed, dated and stamped, and provided to SDM along with any additional document referred into the form (e.g. recent bank statement). If necessary, please also have the form signed and stamped by the Bank representative.

**4 – Requirements on financial and operational capacity (to be filled by each Implementing Partners and submitted to SDM):**

The Table below provides an overview of which categories of applicants are required to demonstrate their financial and/or operational capacity by providing relevant supporting documents.

Category of applicant	Supporting documents to be provided
<ul style="list-style-type: none"> <li>▪ Member State</li> <li>▪ Neighbouring /third country</li> <li>▪ Public sector undertaking/body established in the EU</li> <li>▪ International organisation</li> <li>▪ Joint undertaking</li> <li>▪ European Economic Interest Grouping in which at least one member is a public body</li> </ul>	Exempted
<ul style="list-style-type: none"> <li>▪ Private sector undertaking or body established in the EU</li> <li>▪ Public sector undertaking/body established outside the EU</li> <li>▪ Private sector undertaking/body established outside the EU</li> <li>▪ European Economic Interest Grouping (EEIG) in which no members are public bodies</li> </ul>	Supporting documents to demonstrate their operational and financial capacity
<ul style="list-style-type: none"> <li>▪ Designated affiliated entities</li> </ul>	Compliance of affiliated entities will be checked at a later stage only for those proposals selected for funding and only where the designated affiliated entities will be the only ones implementing the proposed Action

On the basis of the company legal status, the appropriate documents must be submitted to attest the possession of the technical and operational capacity to complete the Action for which the grant is sought:

- *Financial capacity:* a) the financial capacity check form to be completed can be downloaded from following link [https://ec.europa.eu/inea/sites/inea/files/2016\\_financial\\_capacity\\_check\\_cef\\_transport.xlsx](https://ec.europa.eu/inea/sites/inea/files/2016_financial_capacity_check_cef_transport.xlsx) and b) Financial statements (i.e. balance sheet, income statement and cash flow statement) for the last financial year for which the accounts were closed. Moreover, Implementing Partners, which have been operating for less than one year, need to present the financial statement

covering the last financial year, a letter of support from a third part and the completed financial capacity check form of the entity providing the letter of support showing 'satisfactory' or 'good' financial capacity as the result of the ratio analysis;

- *Operational capacity*: the operational capacity needs to be indicated through the presentation of appropriate documentation ( annual reports of the company which describe similar activities undertaken, proof of adequate professional qualifications of the team responsible for implementing the proposed Action (such as CVs of management and key team members involved in the development of the Action), reports of similar projects realised where a company cooperated with European or international bodies.

A specific part of this section is left to multi-applicant proposals and/or designated affiliated entities.

- **5 - Requirements for applicants that are neighbouring / third countries or entities established in neighbouring / third countries (filled by Implementing Partner named neighbouring / third countries or entities established in neighbouring / third countries and submitted to SDM)<sup>8</sup>:**

The table below indicates the supporting document to be provided by applicants that are either neighbouring/third countries or entities established in neighbouring/third countries:

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<sup>8</sup> The neighbourhood Policy covers: Algeria, Armenia, Azerbaijan, Belarus, Egypt, Georgia, Israel, Jordan, Lebanon, Libya, Moldova, Morocco, Palestine, Syria, Tunisia, Ukraine

The enlargement Policy covers Albania, The former Yugoslav Republic of Macedonia, Montenegro, Serbia, Turkey, Bosnia and Herzegovina, Kosovo

EEA and EFTA cover: Norway, Iceland, Switzerland and Lichtenstein

Category of applicant	Supporting documents to be provided
Neighbouring/ third country	Completed Annex B-IV of the application form part B
Entity established in a neighbouring/third country	<ul style="list-style-type: none"> <li>▪ Support from neighbouring/third country government provided in Annex B-III of the application form part B</li> <li>▪ Completed Annex B-IV to part B of the application form</li> </ul>

### 2.3.3. Part C

This paragraph aims at providing information regarding the **compliance of the proposal(s) with EU policies and law**. In accordance with Article 23 of the CEF Regulation, only actions in conformity with EU law and which are in line with the relevant EU policies, in particular, in the areas of competition, protection of the environment, state aid and public procurement, shall be financed.

Form C finalisation will be performed by SDM according to the contributions provided by Implementing Partners for their projects.

Each Implementing Partner has to provide SDM with **one full Part C**, which will need to take into account **all candidate implementation project/s which fall/s under its responsibility, both as Project Leader and as Contributor**.

If different Projects for the same Partner require different answers, differentiated Forms can be provided, by making specific reference to which ones of them each form refers to.

Application form C is divided into seven sections, as described below.

Applicants should first indicate whether the proposed Action is:

- studies without physical intervention
- studies with physical intervention
- Works

The table below provides an overview of which section of application form C should be filled in, depending on the type of the proposed project.

Project category	Section of the application form C to be filled in					
	I	li	lii	iv	v	vi
Studies without physical interventions	No	Yes	Yes	Yes	Yes	Yes
Works	Yes	Yes	Yes	Yes	Yes	Yes
Studies with physical interventions	Yes	Yes	Yes	Yes	Yes	Yes



- **Section I – Compliance with EU environmental policy:** this section indicates if the project is for studies or works. All works or studies implying physical intervention are required to demonstrate their compatibility with Union policy on environment.

- Implementing Partners only need to fill this section if their Implementation Projects include physical interventions (e.g. installation of antennas affecting a site designated as protection zone under the "Habitats" (92/43/EC) and Birds (2009/147/EC) Directives. Moreover, Section 1.6 "Actions with a potential impact on water - Water Framework Directive 2000/60/EC" needs to be completed only if

these physical interventions are located in protected waters as defined in Article 1 of this Directive. In all other cases, if no physical interventions are envisaged, please specify that the section is not applicable (N/A).

- **1.1 – Consistency of the project with environmental policy:** a description must be inserted here to show how the project proposal takes into account the environmental policy objectives.
- **1.2: Development consent** Explain whether development consent has already been given to this proposed Action. If yes, a date has to be specified. If no, an indication on when the formal request was introduced and when the final decision is expected needs to be included. "Development consent" means the decision of the competent (national) authority or authorities which entitles the developer to proceed with the proposed Action
- **1.3 – Application of Council Directive 2011/92/EU** of the European Parliament and of the Council on the assessment of the effects of certain public and private

projects on the environment : the documents specified in the application form must be provided to ensure that the environmental implications of the decision are taken into due account.

- **I.4 – Application of Council Directive 2001/42/EC** on the assessment of the effects of certain plans and programmes on the environment : if the proposed project results from a plan falling within the scope of the SEA Directive (text available at: <http://ec.europa.eu/environment/eia/sea-legalcontext.htm>), the following documents have to be provided:
  - non-technical summary of the Environmental Report carried out for the plan or program as required by Article 5(1) of Annex I (j) of the SEA Directive,
  - documentation as required by Article 9.1 (b) of the SEA Directive,
- **I.5 – Application of the Directive 92/43/EEC** on the conservation of natural habitats and of wild fauna and flora (Habitats Directive); assessment of effects on Natura 2000 sites: following the text of Council Directive 92/43/EEC (21 May 1992):
  - If the project/proposal is not likely to have a significant effect on sites included or intended to be included in the Natura 2000 network, and hence an assessment was not deemed necessary, Implementing Partners have to fill the Annex C-I, together with a map of the area showing the Action sites.
  - If the proposed project/proposal is likely to have an effect on sites in the Natura 2000 network, an assessment needs to be carried out:
    - the decision of the competent authority approving the project;
    - the results of the appropriate assessment carried out in accordance with Article 6(3) of the Habitats Directive;
    - a map (at a scale of 1:100,000 or the nearest possible scale) indicating the location of the action and the Natura 2000 sites concerned;
- and, only where the competent authority has determined that the project has significant negative effects on one or more sites included or intended to be included on the Natura 2000 network:
  - a copy of the standard notification according to Article 6(4) of the Habitats Directive
  - an opinion of the Commission under Article 6(4) of the Habitats Directive.
- **I.6 – Application of the Directive 2000/60/EC** of the European Parliament and of the Council establishing a framework for Community action in the field of water policy (Water Framework Directive): if relevant for the proposed project/proposal,

information on any new modification to the physical characteristics of a surface water body has to be provided.

- Section II: N/A
- Section III: N/A
- Section IV: N/A
- **Section V – Compatibility with EU law on state Aids:** Following Articles 107(1) and 108(3) of the Treaty on the Functioning of the European Union, provide further information whether the proposed project /proposal is or will be financed through state or public funding involving State aid which might be incompatible with the law. If so, have to explain if a notification has taken or will take place, and set out grounds for compatibility.
- **Section VI – Compatibility with EU law on public procurement:** have to provide information, as requested in the form, of public procurements planned during the implementation of the proposed project proposal, and of compliance with the Union Directives 2004/17/EC and 2004/18/EC.
- **Section VII – Other sources of EU financing** have to provide information in case the proposed project proposal benefits or will benefit from any other source of Union funding, or if it has applied to any Union financial aid other than TEN-T/CEF.

## 2.3.4. Part D

Application Form Part D is composed of 7 sections and it requires to fill-in information on the **global project** and the proposed Action, to set the basis for the evaluation of the proposal.

**SDM will finalise Part D according to the contributions provided by Implementing Partners through the collection of the IP Description** (Annex 21) (During the first round an excel template shall be used for the collection of the IPs Description. During the 2° and 3° rounds the information will be collected through STAR Tool. Please refer to the 2.4.2 Proposals Preparation processes for further details).

The table below presents the seven sections to be completed, as well as their relevant “Related Questions” listed in Form D:

Application form D sub sections	Related questions
<b>General description of the Global Project</b>	• 1.1 – 1.3
<b>Description of the Proposed Action</b>	• 2.1 – 2.6
<b>Award criteria – Relevance</b>	• 3.1 to 3.6
<b>Award criteria - Maturity</b>	• 4.1 to 4.12
<b>Award criteria - Impact</b>	• 5.1 to 5.11
<b>Award criteria - Quality</b>	• 6.1 to 6.9
<b>Supporting Documents</b>	• 7

Please note that the information in Form D is required at the Global-Project-level, for this information, the SDM is responsible. On the other hand, other information requested at project level will be provided by the candidate Implementing Partners through the elaboration of the IP Descriptions (IPPs responsible for completing).

**On the basis of the information collected from IPPs through the IP Descriptions, SDM will prepare the following sections:**

- **Section 1 – General Description of the Global Project:** the form has to be filled with information on the Global project (composed by all projects included in the Action to be submitted to INEA).
- **Section 2 – Description of the proposed Action:** the form has to be filled with information on the

Connecting Europe Facility 2014-2020  
TRANSPORT CALLS FOR PROPOSALS 2016

APPLICATION FORM  
PART D  
Technical and Financial Information

Title of the proposed Action: \_\_\_\_\_  
IPPs number: \_\_\_\_\_

proposed Action as a stand-alone project, which should deliver well-defined results and achievements.

- **Section 3 – Award Criteria, Relevance: of the proposed Action to TEN-T policy objectives, priorities of the work programme and the call and the EU added value of the proposed Action:** the form has to be filled with answers to the questions related to the aforementioned statement.
- **Section 4 – Award Criteria, Maturity of the Action:** the form has to be filled with answers to the questions of this section, which address the actual state of the proposed Action, including approvals, permits, procurement, various issues and others.
- **Section 5 – Award Criteria, Impact of the proposed Action:** the form has to be filled with information on the potential impacts that the proposed Action could have on all aspects listed in the form (eg. Impact of CEF funding on the financing of the proposed Action and the commitment of the different stakeholders; Impact of the studies as a decision-making tool and/or in terms of policy-making and developing best practices,...).
- **Section 6 – Award Criteria, Quality of the proposed Action:** the form has to be filled with information on organisational structure, control procedures, Quality management, Risk management, monitoring and audits, communication, and others.
- **Section 7 – Annexes/Supporting Documents:** Annexes will be provided as supporting document, appropriately listed and numbered, providing additional information that supports the application form..

**Further details to elaborate the above sections are provided directly by INEA (Guide for Applicants) on the INEA website, and they are also available on the SDM website and repository.** In regards to completing Form D, for ease of reference, please refer to pages 61 to 75 of the 2016 Guide for Applicants for CEF Transport.

Please be aware that **Application Form Part D is finalised** also by taking into account the contribution received by the Implementing Partner within the **“Other Impacts” section** presents within the IP Description (both in the excel template and STAR tool)

As indicated in the Call text Chapter 9, “Impact” is one of the four criteria on which not only the proposal, but each single project will be evaluated. In light of this reasoning, SDM would like to highlight the **importance of correctly and extensively fill in the above mentioned section, with the highest and most detailed information available**

## 2.4. Proposal preparation process

Candidate Implementing partners interested to submit under **3.3.1. Single European Sky – SESAR** category, must coordinate their applications with the Deployment Manager. SDM will coordinate the proposal(s) preparation phase supporting the filling in and finalisation of all the **4 parts of the Application** (Part A; Part B; Part C and Part D).

The coordination will be performed according to the indications provided in the present document with regard to the role and responsibilities of the SDM and Implementing Partners. In particular, SDM and Implementing Partners shall follow the proposal preparation roadmap (technical and administrative) to ensure that the proposal/s will be submitted within the call deadline: 7<sup>th</sup> of February 2017 17:00 Brussels time.

### 2.4.1. Roles and responsibilities

SDM will coordinate the proposal(s) preparation phase supporting the filling in and finalisation of all the **4 parts of the Application** (Part A; Part B; Part C and Part D).

In order to perform the aforementioned activities, all Implementing Partners (IPPs) have to support the SDM during the entire process by providing all the necessary information to be included in the following parts:

- **Part A** - Main characteristics of the proposal and budget of the Action (included Members State approval)
- **Part B** - Administrative Information on Applicants
- **Part C** - Compliance with Union Policy and Law
- **Part D** - Technical and Financial Information

In this respect **SESAR Deployment Manager (SDM)** is responsible to:

- coordinate the preparation phase of the proposal
- assist the Implementing Partners in responses of the 2016 CEF Transport Call by keeping the application in compliance with:
  - Call deadline (planned for 7<sup>th</sup> February 2017)
  - Deployment Programme
  - Eligibility and Valuation criteria set by INEA, and complementarity of the proposals/cluster
- make sure that the application is complete and addresses all formal and technical requirements set in the call.

**Implementing Partners (IPPs)** are responsible of (during the proposal preparation):

- responding to the 2016 CEF Call if they need co-funding for the implantation of their projects
- providing information to SDM in accordance to the identified roadmaps by filling in and signing (where applicable) the templates to collect the information for the finalise the proposals: e.g. Legal and Administrative information, Declaration of Compliance with EU policy and law, Financial and Technical information

To support the Implementing Partners (IPPs) during the proposal(s) elaboration, in order to guarantee the proposal(s) submission within the **deadline** set by INEA (**7<sup>th</sup> of February**), two **Roadmaps** have been elaborated by SDM:

- **Technical/Financial:** plans the activities to be accomplished by all IPPs within the deadlines detailed into the roadmap, in order to finalise the Technical (Part D) and Financial (section of Part A) parts of the proposal(s)
- **Administrative/Legal:** plans the activities to be accomplished by all IPPs within the deadlines detailed into the roadmap, in order to finalise the administrative and legal (Part A/Part B and Part C) sections of the proposal(s)

**SDM Event “CEF Call 2016 Launch Event”** to be held in Brussels **on 27<sup>th</sup> of October** will present the details of the 2016 CEF Transport Calls preparation activities, which have been defined in accordance to the scope, priorities and timeline set for within the Call published on 13/10/2016.

In the following paragraphs are reported in details the activities to be performed by:

- **SDM as coordinator**<sup>9</sup> of all Implementing Partners’ responses to the CEF Call for Proposals
- **Implementing Partners (IPPs):** as responsible for providing all supporting documents (Legal/Administrative, Technical and Financial information and Declaration of compliance to the EC Policy (on SDM inputs)) on which basis the proposal will be elaborated

## 2.4.2. Proposal Preparation roadmap

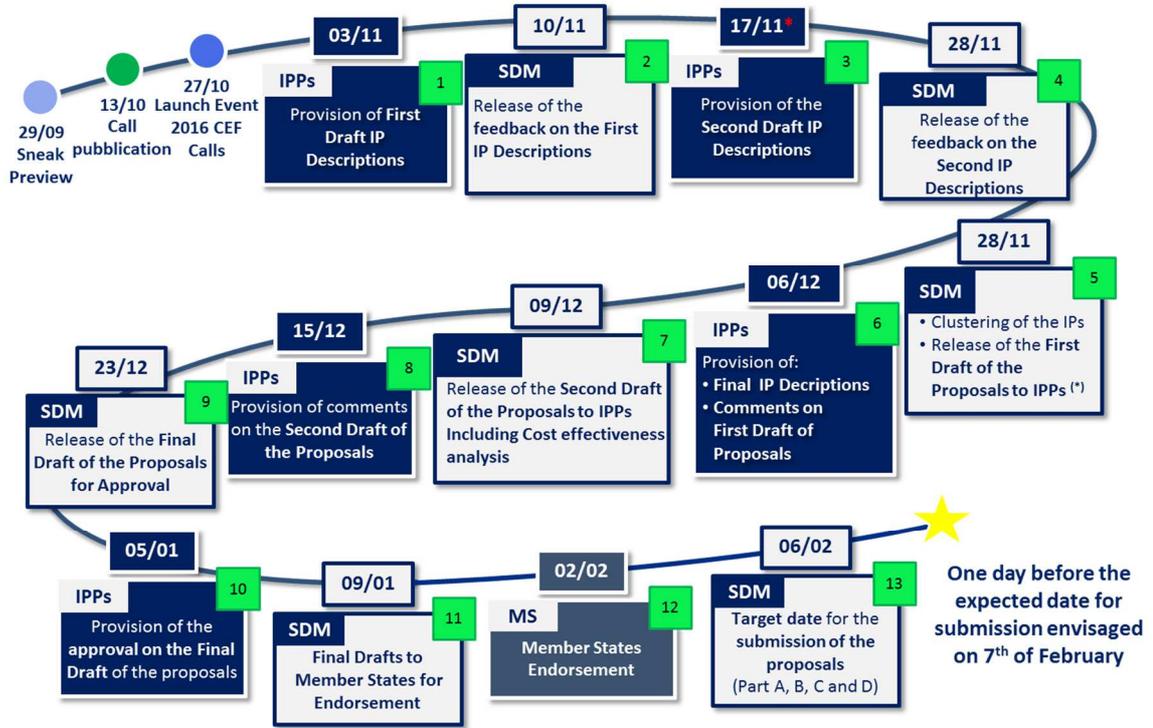
In order to coordinate all the necessary steps, SDM has set and overall roadmap which will enable the submission of CEF proposal in due time and in alignment with INEA requirements. The roadmaps have been further split in two parts: technical/financial and administrative/legal roadmap.



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<sup>9</sup>Article II.1.3 of the SESAR Deployment FPA (No. MOVE/E2-2014-717/SESAR FPA)

**Technical/Financial Roadmap – from 13<sup>th</sup> of October 2016 until 6<sup>th</sup> of February 2017**



(\*) DLS IPs will be submitted to SDM from the 2<sup>nd</sup> round. Only 2 rounds will be available for the DLS Projects finalisation

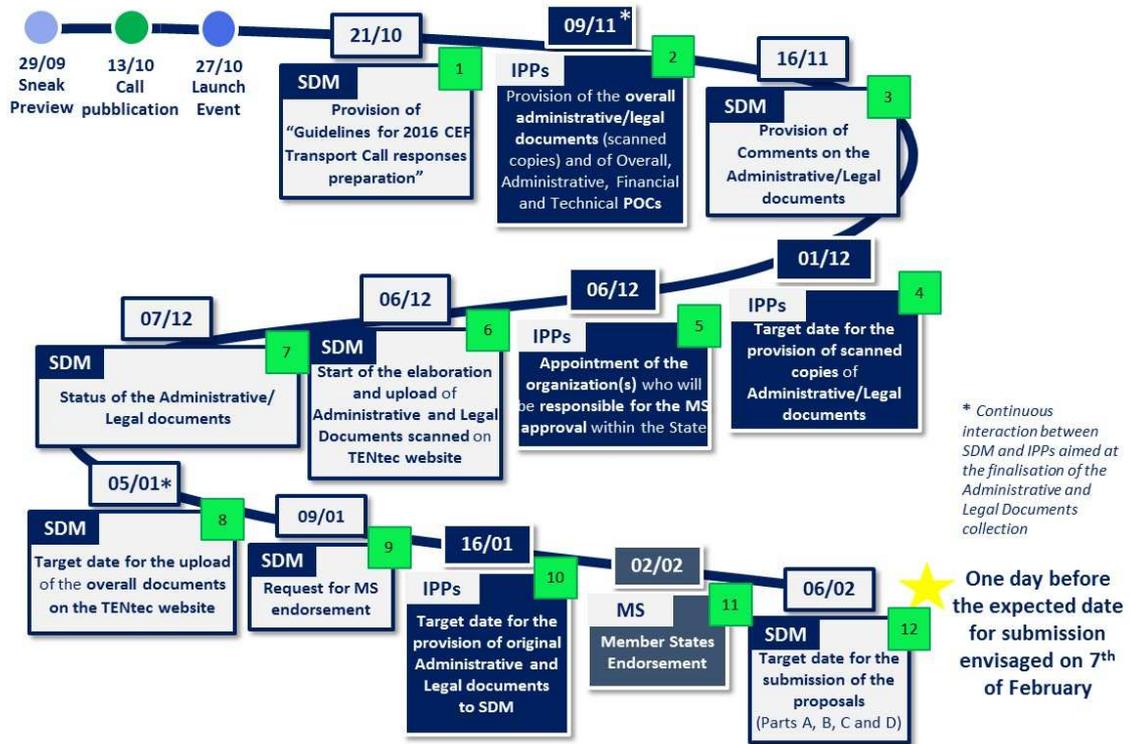
#	Activity	Description of the Activity	Date	Owner
1	Provision of First Drafts IP Descriptions	IPPs provide SDM with the First draft of the IP Descriptions by filling the IP Description in excel format (one per each project), elaborated with all information required within the template. The submission will be performed by IPPs trough the dedicated email account (General/Cohesion)	03/11/2016	IPPs
2	Release of feedback on the First IP Descriptions	SDM: performs the analysis of the received IP Description in excel format and provides IPPs with comments/recommendations to better address the call requirements (e.g. Technical matters)	10/11/2016	SDM
3	Provision of Second Drafts IP Descriptions	IPPs fill in the Second Draft of the IP Descriptions on STAR, duly updated in line with the comments/suggestions provided by SDM during the previous phase	17/11/2016	IPPs

#	Activity	Description of the Activity	Date	Owner
4	Release of feedback on the Second IP Descriptions	SDM performs a further analysis of the IP Descriptions received on STAR and provides IPPs with more comments/recommendations	28/11/2016	SDM
5	<ul style="list-style-type: none"> <li>• Release of the First Draft of the Proposals to IPPs</li> <li>• Clustering of the IPs</li> </ul>	<p>SDM uploads the First Draft of the:</p> <ul style="list-style-type: none"> <li>• the Technical Part (Part D) filled with: <ul style="list-style-type: none"> <li>○ the information provided by IPPs through the IP Description in excel format general sections of the proposals (first release of the contents)</li> </ul> </li> <li>• economic section (budget) filled with the information provided by IPPs through the IPs</li> </ul> <p>Moreover, SDM performs the clustering of the IPs, in order to define the Actions structure</p>	28/11/2016	SDM
6	<p>Provision of:</p> <ul style="list-style-type: none"> <li>• Final IP Descriptions</li> <li>• Comments on First Draft of the Proposals</li> </ul>	<p>IPPs:</p> <ul style="list-style-type: none"> <li>• Fill in on STAR the final version of the IP Description</li> <li>• provide SDM with comments on Part D (e.g. Modifications related to the description/dates of the projects, updates of the information provided during the previous phases,..)</li> <li>• provide SDM with comments on the budget (e.g. Verification of the costs breakdown per year per each project, verification of the costs split per partners (multi-stakeholders project), project start date/end date,...)</li> <li>• provide SDM comments on the general sections of the proposals</li> </ul>	06/12/2016	IPPs

#	Activity	Description of the Activity	Date	Owner
7	Release of the Second Draft of the Proposals to IPPs including CEA	SDM, according to the additional comments provided by IPPs, uploads an updated Second Version of technical part and budget, including the Cost Effectiveness Analysis (CEA) at Action Level, feed by the contribution provided by IPPs through the “performance grid”	09/12/2016	SDM
8	Provision of Comments on the Second Draft of the Proposals	<p>IPPs:</p> <ul style="list-style-type: none"> <li>• provide SDM with further comments on Part D (e.g. Modifications related to the description/dates of the projects, updates of the information provided during the previous phases,...)</li> <li>• provide SDM with further comments on the budget (e.g. Verification of the costs breakdown per year included per each project, verification of the costs split per partners (multi-stakeholders project), project start date/end date,...)</li> <li>• provide SDM with further comments on the general sections of the proposals</li> </ul>	15/12/2016	IPPs
9	Release of the Final Draft of the Proposals for Approval	SDM, according to the comments provided by IPPs, uploads an updated and final version of the Proposals (Part D and Budget) for IPPs approval. Final version will include all the contents envisaged for the final submission.	23/12/2016	SDM
10	Provision of the approval on the Final Drafts of the Proposals	IPPs provide SDM with the approval of the Final Draft of the Proposals	05/01/2017	IPPs
11	Final Drafts to Member States for endorsement	SDM provides each Member State involved with a communication about the proposal(s) finalisation and request for its endorsement. Each Member State will be provided by SDM with an access rights on the TENTec system on the basis of the list provided by INEA and available on the INEA website (page 2016 CEF Transport Calls)	09/01/2017	SDM

#	Activity	Description of the Activity	Date	Owner
12	Member States Endorsement	<p><b><u>Member State Endorsement</u></b></p> <p>IPPs (or MS according to the specific country procedures) provide SDM with the Final endorsement received by Member State. The endorsement (form A2.3*) must be provided to SDM <u>both in hard copy duly signed by Member States and in scanned copy.</u></p> <p>Please refer to the elaboration of Part A par. 2.3.1 for details</p> <p><b><i>(*)Any applicant that cannot provide the agreement of the Member State concerned will not be eligible</i></b></p>	02/02/2017	IPPs
13	Target Date for the submission of the Proposals	Proposal(s) e-submission by TENTec system	06/02/2017	SDM

**Administrative/Legal Roadmap – from 13<sup>th</sup> of October 2016 until 6<sup>th</sup> of February 2017**



#	Activity	Description of the Activity	Date	Owner
1	Guidelines provision	SDM provides IPPs with a document “SDM Guidelines for 2016 CEF Transport Calls” to support Implementing Partners during the preparation and finalisation of the 2016 CEF Transport Calls	21/10/2016	SDM
2	Provision of the overall administrative scanned documents and of the Company’s PoCs by uploading them on STAR tool	<p>IPPs</p> <ul style="list-style-type: none"> <li>to provide SDM with the first draft of the Legal and Administrative documentations requested for proposal(s) finalisation, by uploading them on the dedicated section of the STAR tool repository (<i>for details please refer to the aforementioned paragraphs related Part A/Part B and Part C</i>)</li> <li>to provide SDM with: <ul style="list-style-type: none"> <li><u>Overall PoC</u> (at Company Level): person in charge to be a single point of contact for general matters during the call responses preparation (eg. Communication about the Member State Endorsement request)</li> <li><u>Administrative/Legal POC</u>: person in charge for the matters related to the Legal and Administrative fields (eg. Legal Entity Form)</li> <li><u>Financial PoC</u>: person in charge for the matters related to the Financial field (eg. Budget breakdown per year)</li> <li><u>Technical PoC</u>: person in charge for the matters related to the Technical field (eg. Tasks; milestone etc)</li> </ul> </li> </ul>	09/11/2016	IPPs
3	Provision of comments on the Administrative/ Legal documents	SDM will provide IPPs with the first comments on the first draft of the Administrative/Legal documents received (continuous interactions are envisaged with the IPPs during the process for Admin and Legal documentation finalisation)	16/11/2016	SDM

#	Activity	Description of the Activity	Date	Owner
4	Target date for the provision of Administrative/ Legal documents	On the basis of the comments received from SDM, the IPPs will provide the final batch of Administrative/Legal documents	01/12/2016	IPPs
5	Appointment of organisation(s) responsible for MS endorsement within the State	IPPs have to identify per each Members State involved the <b>organisation responsible</b> for seeking Member State Endorsement. The organisation will be in charge for provisioning Member State with the overall batch of the documentation to be endorsed for the final submission to INEA and provides SDM with A2.3 duly signed by Member State  <i>Please be aware that each Member State has a specific internal procedure. We strongly recommend to verify in advance with your MS if this step is applicable or not</i>	06/12/2016	IPPs
6	Start of the elaboration and upload of Administrative/ Legal documents on TENtec	SDM uploads the scanned copies received by IPPs on TENtec system for the section where they are requested according to the Guide for Applicant	06/12/2016	SDM
7	Status of the Administrative/ Legal documents	Publication of the results of the collection of Administrative/Legal documents. SDM will publish on STAR tool the status of the collection of the Administrative/Legal documents	07/12/2016	SDM
8	Target date for the upload of overall documents on TENtec	All Administrative/Legal document will be uploaded on TENtec system. The uploading will be finalised in order to enable the MS endorsement	05/01/2017	SDM
9	Request for MS Endorsement	SDM communicates to Member States that the documentation has been uploaded and ready for their endorsement (directly on the TENtec)	09/01/2017	SDM

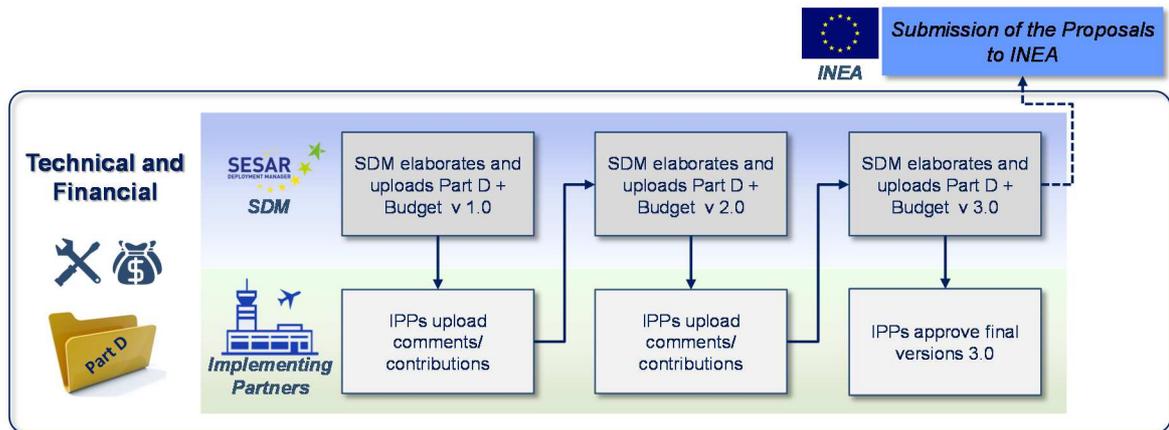
#	Activity	Description of the Activity	Date	Owner
10	Target date for the provision of <b>original</b> Administrative/ Legal documents to SDM	End date for IPPs to provide SDM with all Legal and Administrative documentation in original ( <b>only documentation undersigned has to be provide to SDM</b> ). The originals have to be delivered to SESAR Deployment Manager – attn. Paola Di Giovanni Avenue de Cortenbergh 100, Brussels 1000, Belgium  <i>Please consider: Only A2.3 form original has to be provided by 02/02/2017</i>	16/01/2017	IPPs
11	MS endorsement	<b><u>Member State Endorsement</u></b> IPPs (or MS according to the specific country regulations) provide SDM with the Final endorsement received by Member State. The endorsement (form A2.3*) must be provided to SDM <u>both in hard copy duly signed by Member States and in scanned copy</u> .  Please refer to the elaboration of Part A par. 2.3.1 for details  <b>(*)Any applicant that cannot provide the agreement of the Member State concerned will not be eligible</b>	02/02/2017	IPPs
12	Target date for the submission of the Proposals	Proposal(s) e-submission by TENTec system	06/02/2017	SDM

For the purpose of Partner *confidentiality*, and also to guarantee safe continuous interactions between IPPs and SDM, the latter will create a specific **Repository** that will support the exchange of documents between the SDM and the IPPs (see next paragraph for details) during the preparation phase of the proposal(s), further details are provided in the paragraph 2.4.4 Supporting Tools.

### 2.4.3. Proposal preparation feedback process

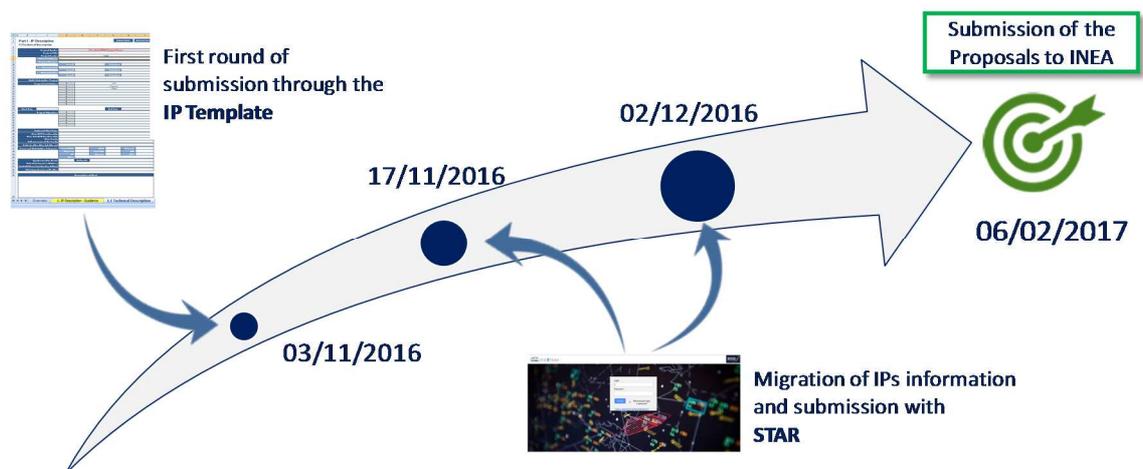
In line with the roadmaps detailed above, here below are reported the processes to be applied to exchange the information between the SDM and IPPs.

The **Technical part of the Proposal (PART D)** including **Budget** will be elaborated on the basis of **3 iterations** between SDM and IPPs. The financial and technical information that



will feed this part of the proposal will be provided by the Implementing Partners through the submission of the IP Descriptions and of the administrative documentation contained within Application Forms Parts B and C.

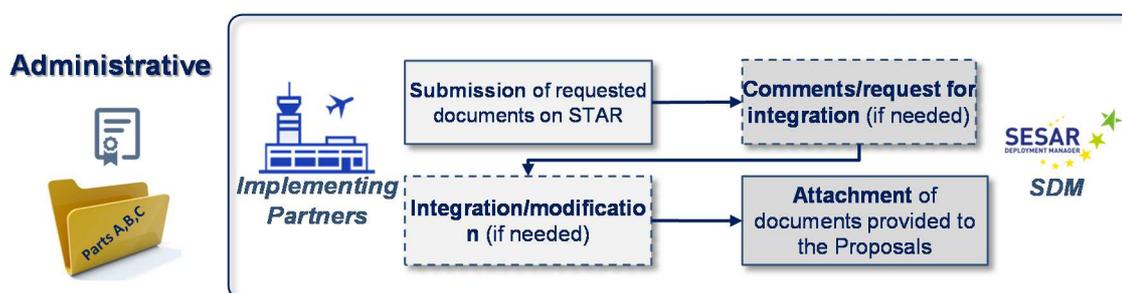
In order to provide SDM with all information needed to elaborate and finalise Part D of the proposal(s), Implementing Partners have to provide SDM with the IP Descriptions, through three different rounds. During **the first round** Implementing Partners are required to **fill in the IP Description in excel format**, while in **the second and third round** the same information will be exchanged using **STAR** (please refer to Annex 24 – STAR IP Proposal Guidelines).



The **IP Description**, indeed, aims at **collecting all relevant information by stakeholders** about the **candidate project** in terms of:

- **Technical Aspects:** technical description (e.g. tasks, milestones, deliverables, etc.)
- **Economics:** economic and financial aspects of the project (e.g. HR cost, Travel cost, procurement etc.)
- **Performance: expected performance of the project** (self-assessment performed by stakeholders)

The **Administrative part of the Proposal (PART A, B, C)** including the supporting documents (Legal and Administrative) will be elaborated and finalise on the basis of the following process:



**Applicant/Implementing Partner agrees** inter alia that (Annex 20 – Authorization – SESAR 2016 CEF Transport Calls):

- **all information, data and documents** provided to the SDM for the purpose of 2016 CEF Call will be sent by SDM or person acting on behalf of the SDM
- **authorize the SDM in its role of coordinating** the applications for grants (all of them jointly referred hereafter as the SDM) under the 2016 CEF Transport Calls for Proposals, published on 13 October 2016, be it under the section “Cohesion Call” or the section “General Call” (jointly referred to as 2016 CEF Call)

Please note that all Administrative documentation **will have to be submitted to SDM**, within the given deadlines, **by uploading all necessary Forms and Documents to the dedicated repository created on the STAR Tool.**

Here below are reported for each “**Legal Status**” of the Applicant (IPPs) all documentation to be provided by IPPs to SDM to duly finalise the proposal(s). The legal status available are the following:

1. EU Member State
2. Neighbouring/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

For further details about the documentation included into the table below see Section 2 – 2.3 Proposal Structure

## SDM Guidelines for 2016 CEF Transport CALLS Responses preparation

Applicant – Legal Status (category)		1	2	3	4	5	6	7	8	9
<b>Part A</b>	Form A2.1 + Statuses or relevant abstracts (if applicable)	✓	✓	✓	✓	✓	✓	✓	✓	✓
	Form A2.2	✓	✓	✓	✓	✓	✓	✓	✓	✓
	Form A2.3 – Implementing bodies	✓	✗	✗	✗	✗	✗	✓	✗	✗
	Form A2.3 – EU Member State Approval	✗	✓	✓	✓	✓	✓	✓	✓	✓
	Form A2.4 (if applicable)	✓	✓	✓	✓	✓	✓	✓	✓	✓
<b>Part B</b>	1. Legal Entity Form + Required additional documents <sup>1</sup>	✗	✗	✓	✓	✓	✓	✓	✓	✓
	2. Grounds for exclusion <ul style="list-style-type: none"> <li>• Annex B-I</li> <li>• Annex B-II</li> </ul>	✗	✗	✓	✓	✓	✓	✓	✓	✓
	3. Financial Identification Form + Recent bank statement (if applicable)	✓	✓	✓	✓	✓	✓	✓	✓	✓
	4. Requirements on the financial and operational capacity of the applicant <sup>2</sup> <ul style="list-style-type: none"> <li>• Financial capacity form</li> <li>• Financial statement / Letter of support</li> <li>• Operational capacity</li> </ul>	✗	✗	✗	✓	✓	✓	✗	✓ <sup>3</sup>	✓
	5. Requirements for applicants in neighbouring / third countries <ul style="list-style-type: none"> <li>• Form A2.3</li> <li>• Annex B-III</li> <li>• Annex B-IV</li> </ul>	✗	✓	✗	✗	✓	✓	✗	✗	✗
<b>Part C</b>	Section I. Compliance with EU environmental policy + required documents <sup>4</sup>	✓	✓	✓	✓	✓	✓	✓	✓	✓
	Section II. Compatibility with EU Policy on Interoperability	✗	✗	✗	✗	✗	✗	✗	✗	✗
	Section III. Compatibility with EU law on road charging	✗	✗	✗	✗	✗	✗	✗	✗	✗
	Section IV. Compatibility with Road Safety and Tunnel Safety directives	✗	✗	✗	✗	✗	✗	✗	✗	✗
	Section V. Compatibility with EU law on State Aids	✓	✓	✓	✓	✓	✓	✓	✓	✓
	Section VI. Compatibility with EU law on public procurement	✓	✓	✓	✓	✓	✓	✓	✓	✓
	Section VII. Other sources of EU financing	✓	✓	✓	✓	✓	✓	✓	✓	✓
Authorization - SESAR 2015 CEF Transport Calls	✓	✓	✓	✓	✓	✓	✓	✓	✓	

<sup>1</sup>Eg: register(s) of companies, official gazette, vat registration...

<sup>1</sup> Provide the required documents and fill in the required parts of the application form, where applicable

<sup>1</sup> Except for European Economic Interest Groupings that are 100% publicly owned

<sup>1</sup> For example: Annex C-I, notes from competent authorities

## 2.4.8. Supporting tools

During the preparation phase of the **CEF Transport Call responses preparation**, the SDM will support and help the Implementing Partners to submit a proposal which is complete in all its parts and which responds to high qualitative standards. In order to efficiently manage the preparation of the responses, and to facilitate the interaction with Implementing Partners, the SDM will provide some supporting tools to all Implementing Partners:



- **Sesar Deployment Manager Website:** All participants can be supported during their application process by visiting the SDM website, which contains all relevant information: [www.sesardeploymentmanager.eu](http://www.sesardeploymentmanager.eu)



- **Videos:** In the dedicated section of the SDM website, participants can find informative videos about the content of the Development Programme and the FPA responses preparation. <http://www.sesardeploymentmanager.eu/multimedia/introducing-sesar-deployment-programme-version-1/>



- **Email address (Cef Call 2016):** The dedicated email addresses [2016\\_generalcall@sesardeploymentmanager.eu](mailto:2016_generalcall@sesardeploymentmanager.eu) and [2016\\_cohesioncall@sesardeploymentmanager.eu](mailto:2016_cohesioncall@sesardeploymentmanager.eu) have been set up to ease the communication between the Implementing Partners and the SDM during the responses preparation phase.



- **Questions & Answers:** The SDM website will contain a dedicated, publicly available, section where all relevant Questions & Answers will be published every two weeks.



- **Repository:** To ensure that each Implementing Partner involved in the Proposals Preparation will get all the documents, **to facilitate the collection of administrative documents** from SDM, and for reasons of Partner confidentiality, **SDM has created a specific repository**. Repository will be structured in two main areas:

- **Public** – will be used by SDM to share the Drafts of Part D and Budget, and will contain the Call documents, Guidelines, Roadmap, FAQ subfolders ecc;
- **Restricted** – differentiated area for each Partner involved in the responses preparation phase, where all administrative (Parts A, B and C) documentation will be uploaded



- **Bi-weekly to do list:** in order to support the Operational Stakeholders, the SDM will send a “to-do-list” on a bi-weekly basis. This communication will contain a list of all the activities to perform in the upcoming weeks, and the administrative/contractual documents to provide with their respective deadlines

## 2.5. Proposals Submission Procedure

**The deadline for the submission of proposals is 7 February 2017 at 17:00 Brussels time.**

Proposals in response to the **2016 CEF Transport Calls** must be submitted electronically using the **TENtec eSubmission module** at the <https://webgate.ec.europa.eu/tentec/grant/esubmission/>

The electronic submission of all parts of a proposal must be completed at the latest by **Tuesday, 07 February 2017 at 17:00 Brussels time.**

In particular, the following documents have to be uploaded to the TENtec Information System before the deadline:

- **Application form Part A** generated automatically in the TENtec Information System eSubmission module
- **Application form Parts B, C, D** and their annexes duly filled in and scanned electronic versions
- **Any supporting documents** must also be uploaded before this deadline

Implementing Partners must be able to provide the original documents and send them to the Commission/Agency services upon request.

## 2.6. European Commission Evaluation and Selection Process

The evaluation and selection of proposals, submitted under the CEF-Transport, is carried out exclusively by the Commission, with the assistance of INEA and the support of independent technical experts, whose role is to ensure that only the most high-quality proposals, which best meet the award criteria 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 which meet the formal requirements and the eligibility and selection criteria specified in the work programmes and call texts are evaluated on the basis of the award criteria (such as relevance, maturity, impact and quality).



Following is reported the expected timetable until the signature of individual grant Agreements:

Date of publication of call for proposals	13 October 2016
Deadline for the submission of proposals	7 February 2017 (17:00 Brussels time)
Deadline for the submission of translations (if applicable)	14 February 2017
Evaluation of proposals	February-May 2017
Consultation of CEF Coordination Committee Information of European Parliament	June 2017
Adoption of Selection Decision	July 2017
Signature of individual grant Agreements	As of July 2017

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

As a first step for all proposals submitted in response to a CEF call for proposals, the compliance with the formal requirements set by the call text are verified, such as that proposals have been submitted before the call deadline and are complete in all their parts. Then, each proposal is assessed against the eligibility and the selection criteria as set by the call text. Any proposal which does not meet these criteria is rejected, and applicants are informed of the reason. The compliance of the proposal with the relevant EU law is also verified during this stage. In case further clarifications are needed, applicants may be contacted throughout the evaluation process. Any concern 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 in the individual grant agreement.

### 2.6.2. External Evaluation and Final Selection process

Proposals which meet the formal requirements and the eligibility and selection criteria are then assessed by technical experts against the award criteria. Technical experts are independent external experts who perform assessments in their personal capacity and not as representatives of their employer, their country or any other entity.

A **Selection Committee** composed of representatives from the Commission's Directorate General for Mobility and Transport and INEA (and including representatives of other Directorates General, if appropriate) will assess the list of proposals recommended for funding and the list of those not to be funded. During the final selection process the Commission will pay 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,
- The programming for the European Structural and Investment Funds in order to ensure complementarity between the two sources of funding,
- How the proposed Action fits in the national transport plan in the Member State(s) concerned, where appropriate,
- any identified/identifiable risks of double-funding from other Union 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;
- budgetary constraints.

Once approved, DG for Mobility and Transport verifies compatibility with other policies, and to ensure there is no risk of double funding for the same action.

During the final selection process, a list of proposals recommended for funding is prepared. For each proposal, a recommendation for the level of funding and the duration of the proposed Action is given, as well as any other recommendations considered appropriate.

### **2.6.3. Endorsement by Member States and information to the European Parliament**

The list of proposed projects selected for funding must receive a positive opinion by Member States representatives in the CEF Coordination Committee. The European Parliament is informed about the proposed list. On this basis, a Selection Decision is adopted, listing all proposals selected for funding, their respective maximum amounts of funding per Action and the beneficiaries of the Action. Applicants are subsequently informed whether or not their proposal is selected for funding. Each applicant whose proposal is selected for funding will be invited to enter into a SGA finalization phase aiming at the signature of the SGA.

### 3. Section 3 - SGA finalization and Execution Phase

The **Specific Grant Agreement Preparation (SGA)** phase will start after the publication of the INEA selection results (on the basis of the outcomes of the CEF Coordination Committee) as shown in the figure below, and will last until the Specific Grant Agreement signature.



#### 3.1. SGA finalisation main steps envisaged

The main aims of the **Specific Grant Agreement Preparation phase** are:

- to align the technical and financial contents of the proposal submitted in response to CEF Transport Call 2016 according to the results coming from the evaluation process and indications received from INEA;
- to finalize the administrative and legal aspects (such as Mandates, Accession to ICA, etc.);
- to allow the Specific Grant Agreement (SGA) signature, and all its prerequisites.

According to INEA indications, the SDM is meant to act as a single interface between Level 1 and Level 3. To this extent, the SDM has structured a tailored process, during the last 2014/2015 CEF Call, and established subsequent deadlines to ensure the SGA signature (still working process for 2015 CEF Transport Calls).

In this respect, the **Specific Grant Agreement Preparation phase** can be divided in **three thematic areas of activities** described in the following paragraphs:

1. **Administrative** (e.g. Declaration status quo and bank account)
2. **Technical** (e.g. Action Structure; Implementation project details, etc...)
3. **Legal and Contractual** (e.g. Framework Partnership Agreement (FPA); Internal Cooperation Agreement (ICA) and Specific Grant Agreement (SGA))

The **guidelines on how to reach the objectives of the SGA preparation phase**, including the detailed description of the *actions* to be performed and the *templates* to provide, will be reported in a dedicated documentation, published by SDM, available after the CEF 2016 CEF Call evaluation (Projects selection by INEA).

### 3.2. Execution Phase

The execution phase starts with **the SGA signature and it lasts until the end of the Action(s)**.

During the execution phase, in order to ensure that the Action is performed in line with FPA and SGA contents, and to secure that the FPA coordination process aligns with INEA requirements in compliance with SDM general obligation (Implementing Regulation (EU) No 409/2013- art.9), the **Implementing Partners will be fully supported** for the **whole project's life-cycle** by the **FPA Coordination Manager** and the related Team, through the **FPA Information working package, videos and tutorials, online tools, periodic updating workshops** etc.

The above mentioned information package and supporting tool will be available after the INEA CALL evaluation performed by INEA/CEF Financial Committee.

An Information package will be also provided, together with further relevant information (such as processes and procedures, templates to be used, documentation to be provided, payments etc.) to support all Implementing Partners during the execution phase.

#### 4. List of Actions

#	Action	Description of the Action	Deadline	Owner
1	Guidelines provision	SDM provides IPPs with a document "SDM Guidelines for 2016 CEF Transport Calls" to support Implementing Partners during the preparation and finalisation of the 2016 CEF Transport Calls.	21/10/2016	SDM
2	Provision of 1st Drafts IP Descriptions	IPPs provide SDM with the first draft of the IP Descriptions by filling the IIP Description in excel format (one per each project), elaborated with all information required within the template	03/11/2016	IPPs

#	Action	Description of the Action	Deadline	Owner
3	Provision of the overall administrative scanned documents and of the Company's PoCs	<p>IPPs</p> <ul style="list-style-type: none"> <li>to provide SDM with the first draft of the Legal and Administrative documentations requested for proposal(s) finalisation, by uploading them on the dedicated section of the STAR tool repository (<i>for details please refer to the aforementioned paragraphs related Part A/Part B and Part C</i>)</li> <li>to provide SDM with: <ul style="list-style-type: none"> <li><u>Overall PoC</u> (at Company Level): person in charge to be a single point of contact for general matters during the call responses preparation (eg. Communication about the Member State Endorsement request)</li> <li><u>Administrative/Legal POC</u>: person in charge for the matters related to the Legal and Administrative fields (eg. Legal Entity Form)</li> <li><u>Financial PoC</u>: person in charge for the matters related to the Financial field (eg. Budget breakdown per year)</li> <li><u>Technical PoC</u>: person in charge for the matters related to the Technical field (eg. Tasks; milestone etc)</li> </ul> </li> </ul>	09/11/2016	IPPs

#	Action	Description of the Action	Deadline	Owner
4	Release of feedback on the 1 <sup>st</sup> IP Descriptions	SDM: performs the analysis of the IP Description in excel format received and provides IPPs with comments/recommendations to better address the call requirements (e.g. Technical matters)	10/11/2016	SDM
5	Provision of comments on the Administrative/Legal documents	SDM will provide IPPs with the first comments on the Administrative/Legal documents received (continuous interactions are envisaged with the IPPs during the process for Admin and Legal documentation finalisation)	16/11/2016	SDM
6	Provision of 2nd Drafts IP Descriptions	IPPs upload the 2 <sup>nd</sup> Draft of the IP Descriptions on STAR, duly updated with the comments/suggestions provided by SDM during the previous phase	17/11/2016	IPPs
7	Release of feedback on the second IP Descriptions	SDM performs a further analysis of the IP Descriptions received on STAR and provides IPPs with more comments/recommendations	28/11/2016	SDM

#	Action	Description of the Action	Deadline	Owner
8	<ul style="list-style-type: none"> <li>• Release of the First Draft of the Proposals to IPPs</li> <li>• Clustering of the IPs</li> </ul>	<p>SDM uploads the First Draft of the:</p> <ul style="list-style-type: none"> <li>• the Technical Part (Part D) filled with:                             <ul style="list-style-type: none"> <li>○ the information provided by IPPs through the IP Description</li> <li>○ general sections of the proposals (first release of the contents)</li> </ul> </li> <li>• economic section (budget) filled with the information provided by IPPs through the IPs</li> </ul> <p>Moreover, SDM performs the clustering of the IPs, in order to define the Actions structure.</p>	28/11/2016	SDM
10	Target date for the provision of Administrative/Legal documents	On the basis of the comments received from SDM, the IPPs will provide the final batch of Administrative/Legal documents	01/12/2016	IPPs

#	Action	Description of the Action	Deadline	Owner
11	Provision of: <ul style="list-style-type: none"> <li>Final IP Descriptions</li> <li>Comments on First Draft of the Proposals</li> </ul>	IPPs: <ul style="list-style-type: none"> <li>upload on STAR the final version of the IP Description</li> <li>provide SDM with comments on Part D (e.g. Modifications related to the description/dates of the projects, updates of the information provided during the previous phases,..)</li> <li>provide SDM with comments on the budget (e.g. Verification of the costs breakdown per year per each project, verification of the costs split per partners (multi-stakeholders project), project start date/end date,...)</li> <li>provide SDM comments on the general sections of the proposals</li> </ul>	06/12/2016	IPPs
	Appointment of organisation(s) responsible for MS endorsement within the State	IPPs have to identify per each Members State involved the <b>organisation responsible</b> for seeking Member State Endorsement. The organisation will be in charge for provisioning Member State with the overall batch of the documentation to be endorsed for the final submission to INEA and provides SDM with A2.3 duly signed by Member State.  <i>Please be aware that each Member State has a specific internal procedure. We strongly recommend to verify in advance with your MS if this step is applicable or not.</i>	06/12/2016	IPPs

#	Action	Description of the Action	Deadline	Owner
12	Start of the elaboration and upload of Administrative/Legal documents on TENtec	SDM uploads the scanned copies received by IPPs on TENtec system for the section where they are requested according to the Guide for Applicant	06/12/2016	SDM
13	Release of the Second Draft of the Proposals to IPPs including CEA	SDM, according to the additional comments provided by IPPs, uploads an updated Second Version of technical part and budget, including the Cost Effectiveness Analysis (CEA) at Action Level, feed by the contribution provided by IPPs through the “performance grid”	09/12/2016	SDM
14	Status of the Administrative/Legal documents	Publication of the results of the collection of Administrative/Legal documents. SDM will publish on STAR tool the status of the collection of the Administrative/Legal documents	07/12/2016	SDM
15	Provision of Comments on the Second Draft of the Proposals	<p>IPPs:</p> <ul style="list-style-type: none"> <li>• provide SDM with further comments on Part D (e.g. Modifications related to the description/dates of the projects, updates of the information provided during the previous phases,..)</li> <li>• provide SDM with further comments on the budget (e.g. Verification of the costs breakdown per year included per each project, verification of the costs split per partners (multi-stakeholders project), project start date/end date,...)</li> <li>• provide SDM with further comments on the general sections of the proposals</li> </ul>	15/12/2016	IPPs

#	Action	Description of the Action	Deadline	Owner
16	Release of the Final Draft of the Proposals for Approval	SDM, according to the comments provided by IPPs, uploads an updated and final version of the Proposals (Part D and Budget) for IPPs approval. Final version will include all the contents envisaged for the final submission.	23/12/2016	SDM
17	Provision of the approval on the Final Drafts of the Proposals	IPPs provide SDM with the approval of the Final Draft of the Proposals	05/01/2017	IPPs
18	Target date for the upload of overall documents on TENtec	All Administrative/Legal document will be uploaded on TENtec system. The uploading will be finalised in order to enable the MS endorsement.	05/01/2017	SDM
19	Final Drafts to Member States for endorsement	SDM provides each Member State involved with a communication about the proposal(s) finalisation and request for its endorsement. Each Member State will be provided by SDM with an access rights on the TENtec system on the basis of the list provided by INEA and available on the INEA website (page 2016 CEF Transport Calls)	09/01/2017	SDM
20	Request for MS Endorsement	SDM communicates to Member States that the documentation has been uploaded and ready for their endorsement (directly on the TENtec)	09/01/2017	SDM

#	Action	Description of the Action	Deadline	Owner
21	Target date for the provision of original Administrative/Legal documents to SDM	<p>End date for IPPs to provide SDM with all Legal and Administrative documentation in original (<b>only documentation undersigned has to be provide to SDM</b>). The originals have to be delivered to SESAR Deployment Manager – attn. Paola Di Giovanni Avenue de Cortenbergh 100, Brussels 1000, Belgium</p> <p><i>Please consider: Only A2.3 form original has to be provided by 02/02/2017</i></p>	16/01/2017	IPPs
22	Member States Endorsement	<p><b><u>Member State Endorsement</u></b></p> <p>IPPs (or MS according to the specific country regulations) provide SDM with the Final endorsement received by Member State. The endorsement (form A2.3*) must be provided to SDM <u>both in hard copy duly signed by Member States and in scanned copy.</u></p> <p>Please refer to the elaboration of Part A par. 2.3.1 for details.</p> <p><b><i>(*Any applicant that cannot provide the agreement of the Member State concerned will not be eligible</i></b></p>	02/02/2017	IPPs
23	Target date for the submission of the Proposals	Proposal(s) e-submission by TENTec system	06/02/2017	SDM

## 5. Annexes

- Annex 1 - Application form Part A
- Annex 1a Application Form A2.3a
- Annex 1b Application Form A2.3b
- Annex 2 - Application form Part B
- Annex 3 - Application form Part C
- Annex 4 - Application form Part D
- Annex 5 - Financial Capacity Check
- Annex 6 - Guide for Applicants
- Annex 7 – Multi Annual Work Programme
- Annex 8 – Annex I to the Work Programme
- Annex 9 - General Call
- Annex 10 - Cohesion Call
- Annex 11 - CEF Regulation
- Annex 12 - EU Financial Regulation
- Annex 13 - Model Grant Agreement
- Annex 14 - Privacy Statement
- Annex 15 - Regulations Ten-T Guidelines
- Annex 16 - Rules of application
- Annex 17 - Cohesion Policy CBA Methodology
- Annex 18 - SESAR Framework Partnership Agreement (FPA)
- Annex 19 - Internal Cooperation Agreement
- Annex 20 – AUTHORIZATION – SESAR 2016 CEF Transport Calls
- Annex 21 – Excel IP Description Call 2016\_V1.0
- Annex 22 – Contact Points
- Annex 23 – FPA Amendment No. 2
- Annex 24 – STAR IP Proposal Guidelines