

ANNEX

ANNEXbis

1. BUDGET

1.1. Budget line

Article 06 03 03 – Financial support for projects of common interest in the trans-European transport network.

1.2. Budgetary resources

On the basis of this amendment to the Annual Work Programme which grants financial aid in the field of the trans-European transport network in 2013, the additional amount of funds available is €70 million (including €90,000 for evaluation of the proposals) in the areas described below.

This amount complements the €145 million budget already made available under the adopted 2013 Annual Work Programme, €45 million for the loan guarantee instrument in accordance with Article 6(1) (d) of the TEN Regulation and €100 million for a contribution to the pilot phase of the risk-sharing instrument for project bonds in accordance with Article 6(1) (d) and (g) of the TEN Regulation, as amended.

2. OBJECTIVES

Commission Decision C(2013) 1029 of 27 February 2013 established the basis for a contribution to the loan guarantee instrument in accordance with Article 6(1)(d) of the TEN Regulation and to the pilot phase of the risk-sharing instrument for project bonds in accordance with Article 6(1)(d) and (g) of the TEN Regulation, as amended.

The overall objective is to attract proposals for mature and sustainable projects, which are expected to reflect in a targeted way the Union transport priorities, as defined in the TEN-T Guidelines. In this respect, the amendment to the 2013 Annual Work Programme will also prepare the ground for the future Union transport and TEN-T policy, including notably addressing the climate change challenge, and the future development of the TEN-T network.

In addition, this amending Decision establishes the basis for the granting of EU financial aid in the form of grants to projects of common interest, defined in Article 7 of the TEN-T Guidelines in the following fields, as listed below.

2.1. Studies concerning the acceleration and facilitation of the implementation of TEN-T projects of common interest, defined in Article 7 of the TEN-T Guidelines.

This priority will address studies for all modes of transport, as part of the projects of common interest, in accordance with Article 7 of the TEN-T Guidelines.

In particular, this priority will address studies related to mature projects aiming at the establishment and development of the key links and interconnections, eliminating bottlenecks,

filling in missing sections and completing the main transport routes, especially their cross-border sections in accordance with Article 5 of the TEN-T Guidelines.

Also studies related to the preparation of the TEN-T projects under the future Regulation establishing the Connecting Europe Facility (CEF) will be considered under this priority.

Actions linked to any priority project, in accordance with art. 23 of the TEN-T Guidelines **shall not** be supported under this priority.

2.2. Measures to promote innovation and new technologies for transport infrastructure and facilities contributing to decarbonisation or the reduction of external costs in general. (e.g. congestion, road accidents)

These measures will address studies that should support the testing and deployment of new technologies and of enabling infrastructure components and facilities (in accordance with Articles 2(2) (a,d) and 5 (f,g,h) of the TEN-T Guidelines) with a view to contributing and adapting to climate change as well as reducing the impact of transport on the environment and enhancing transport efficiency.

Studies promoting innovation and new technologies related to any priority project, in accordance with art. 23 of the TEN-T Guidelines **shall not** be supported under this priority.

3. SPECIFIC PRIORITIES

This amendment to the Annual Work Programme 2013 addresses in particular the following priority:

3.1 Studies concerning the acceleration and facilitation of the implementation of TEN-T projects of common interest, defined in Article 7 of the TEN-T Guidelines.

This priority addresses studies concerning the development of projects of common interest with the aim of creating a mature project pipeline for 2014 and beyond, to be implemented *inter alia* under the future Regulation establishing the Connecting Europe Facility (CEF).

In particular under this priority TEN-T support will be granted to preparatory studies that will accelerate the implementation of projects for all modes.

3.2 Promote innovation and new technologies for transport infrastructure and facilities contributing to:

i) the reduction of environmental costs in general and aiming at oil substitution and decarbonisation in particular.

As the general objective, as stated in the Europe 2020 strategy, recalled in the Communication from the Commission¹ "Clean Power for Transport: A European alternative fuels strategy, union aid shall support studies addressing technologies that reduce external costs, including mitigation and adaptation to climate change in the areas of freight and/or passenger transport". These technologies need to demonstrate that they have the highest potential for rapid deployment across the TEN-T network, thereby creating the necessary critical mass.

A specific objective shall be the development of the necessary TEN-T infrastructure and facilities, including ICT as well as infrastructure-vehicle interfaces and upgrading/adaptation of already existing alternative fuels infrastructure, that will support the use of alternative fuels and propulsion replacing fossil fuels, including, electric propulsion of any type, hydrogen, CNG, LNG, including LNG bunkering vessels, and biofuels as well as any combination

¹ COM(2013) 17 final of 24 January 2013

thereof. Facilities may also include emissions reduction and energy storage equipment installed in the vehicles, energy demand management and traveller information systems enabling data collection aiming at the functioning of the alternative fuels infrastructure.

Particular attention shall be paid to the use of alternative fuels or of technologies for the reduction of emissions from transport beyond the existing emission mandatory standards in view of preparing compliance with future standards. TEN-T follows a "market-oriented" instead of a "research-oriented" approach by focussing on New Technologies and Innovation ready for deployment, i.e. no research is supported. The mastering of long distances is for TEN-T an essential element and therefore should be covered in the study (including in its deployment part, if any).

The scope of studies shall be the testing of new technologies and shall integrate a clearly elaborated consumer-oriented business-model, because in such cases innovation for technology should be accompanied by innovation of processes, i.e. on how the new technology is introduced into the market with a clear objective to become viable, at least in medium or long term. A business-model aiming at short term viability, i.e. at the end of the EC support, would be ideal, but is not a requirement, given the various degrees of readiness of the different technologies and problems facing their market introduction. Clearly, the potential user of the infrastructure has to be in the focus of the trial (and study).

Priority will be given to studies that include pilot deployment of the technologies and/or of enabling infrastructure and facilities, i.e. incorporating a real-life trial (rather than just a demo). At the end of the trial, as part of the study, an analysis shall be presented which shows how to scale-up the trial to mass application, i.e. how to roll-out the technology with the then optimised business-client relation onto the entire country, corridor or even the entire TEN-T network.

A further specific objective shall be the development of the necessary TEN-T infrastructure and facilities, including ICT as well as infrastructure-vehicle interfaces, to reduce noise. Studies with the possibility of integrated deployment shall be elaborated and supported in a similar way as for the previous objective, except that it is sufficient to aim for cost effectiveness instead of viability.

ii) the development and deployment of a new generation of smart / connected transport towards integrated traffic management and improved road safety.

Another specific objective shall be the development of the necessary TEN-T infrastructure and technologies, including infrastructure-vehicle communication interfaces and upgrading/adaptation of already existing infrastructure, to enhance safety and reliability of the network as well as traffic efficiency, therefore also contributing to emission reduction. Studies with the possibility of interoperable and integrated deployment shall be elaborated and supported in a similar way as for the abovementioned general objective.

Three types of studies are envisaged: (a) Studies without deployment, (b) Studies with regional or local pilot deployment in at least one Member State and (c) studies with deployment on a scale of a trajectory/corridor of at least 500 km serving at least two Member States. For type (c) the roaming functionality and interoperability of solutions, including cross-borders, should be clearly addressed.

4. RESULTS EXPECTED

The implementation of this amendment to the 2013 Annual Work Programme aims at further enhancing the effectiveness and visibility of Union financing on targeted priorities of the trans-European transport network. It is expected that the granting of support on the basis of

this programme will contribute to the timely and efficient completion of a number of TEN-T projects in their entirety or in significant parts and will contribute to addressing climate change.

The call for proposals is expected to accelerate the delivery of the TEN-T infrastructure, which is crucial for Europe's long-term competitiveness and mobilise additional national investment (public and/or private) for the implementation of the TEN-T network. It is also expected to pave the way for further shaping an adequate European infrastructure system meeting the needs of the 21st century, in line with upcoming Connecting Europe Facility.

The projects which will be completed with financial aid allocated through the programme will thus directly contribute to the achievement of important transport policy objectives such as: the establishment of major transport axes interconnecting national networks and facilitating the functioning of the internal market; ensuring interoperability along these axes; more balanced modal distribution; savings in terms of the environmental effects of transport thereby contributing to the achievement of sustainable transport..

5. TIMETABLE FOR THE ANNUAL CALL FOR PROPOSALS 2013 AND INDICATIVE AMOUNT AVAILABLE

The total indicative amount of funds available for the 2013 Annual Work Programme is up to €215 million. For the Call for Proposals 2013, the total indicative amount for grants for projects in the field of the trans-European transport network is €70 million.

Indicative timetable for calls for proposals and amounts available in annual work programme from 2013

Priorities	Calls (indicative date)	Indicative amounts
The acceleration/facilitation of the implementation of TEN-T projects	December 2013	€20 million
Promote innovation and new technologies	December 2013	€50 million
TOTAL		€70 million

The above breakdown is indicative, therefore budget transfer between priorities is allowed.

6. ELIGIBILITY CRITERIA

6.1. Eligible applicants

Only written applications submitted by legal persons of private or public law legally constituted and registered in a Member State are eligible for Union financial support.

Applications must be presented by:

- one or more Member States, and / or

- with the agreement of the Member State(s) concerned, by international organisations, joint undertakings, or public or private undertakings.

Project proposals submitted by natural persons are not eligible.

In no case can third countries or legal or natural persons established outside EU countries be beneficiaries of the funds.

The Commission services reserve themselves the right to requalify a project proposal, received under this work programme, to another priority under this work programme or a priority under the multi-annual work programme adopted by decision C(2013)1675 of 21 March 2013, as amended.

6.2. Eligible projects

6.2.1. Common interest

Only projects related to one or several of the projects of common interest identified in the TEN Guidelines may receive Union financial aid.

6.2.2. Compliance with the Union Law

The granting of Union aid to projects of common interest is conditional upon compliance with relevant Union law² inter alia concerning interoperability, environmental protection³, competition and public procurement.

6.2.3. Other sources of financing

No Union financial aid shall be awarded for parts of projects receiving funds from other sources of Union financing.

6.2.4. Independence of works / studies

A proposal must address studies, within the meaning of Article 2(8) of the TEN Regulation.

6.3. Grounds for Exclusion

In the call for proposals the Commission will draw applicants' attention to Articles 106 to 109 and Article 131 of the Financial Regulation, as well as to Article 141 of the Rules of Application.

7. SELECTION CRITERIA

The applicant(s) must have access to solid and adequate funding sources, so as to be able to maintain activities for the period of the project funded and to co-finance the project. The applicant(s) must have the professional skills and qualifications required to complete the proposed Action.

² According to Article 3.1 of the TEN Regulation

³ In particular the EIA (Directive 2011/92/EU), SEA (Directive 2001/42/EC), Habitats (Directive 92/43/EEC) and Birds Directives (Directive 2009/147/EC), as well as the Water Framework Directive (Directive 2000/60/EC) (these exact references – number and title - of these legislations should be given)

The demonstration of the financial and operational capacity does not apply to applicants which are a Member State, a public sector body (i.e. regional or local authority, body governed by public law⁴ or association formed by one or several such authorities or one or several such bodies governed by public law, in particular Joint Undertaking in line with the eligibility criteria established under Article 187 of the Treaty on the Functioning of the European Union (ex Article 171 TCE)⁵, international organisation⁶) or a European Economic Interest Grouping (EEIG) established in line with Council Regulation (EEC) N° 2137/85 of 25 July 1985 and 100% owned by public body(ies).

7.1. Financial capacity

The applicant(s) must have the financial capacity to complete the Action for which the grant is sought and will provide their financial statements certified by an external auditor for the last financial year for which the accounts have been closed with the application.

7.2. Operational capacity

The applicant(s) must have the operational and technical capacity to complete the project for which the grant is sought and must provide appropriate documents attesting to that capacity.

Information submitted by applicants who benefited from TEN-T support as from 2004 may be taken into account in the evaluation of these applicants' operational capacity.

8. AWARD CRITERIA

According to the level of contribution to the objectives and priorities as stated above, only proposals compliant with the eligibility and selection criteria will be evaluated. A decision to grant Union financial aid shall take into account, inter alia, the following general award criteria:

- the maturity of the project;
- the stimulating effect of the EU intervention on public and private finance;
- the soundness of the financial package;
- socio-economic effects;
- environmental consequences and benefits;

⁴ Body governed by public law: any body:
(a) established for the specific purpose of meeting needs in the general interest, not having an industrial or commercial character; and
(b) having legal personality; and
(c) financed, for the most part by the State, or regional or local authorities, or other bodies governed by public law; or subject to management supervision by those bodies; or having an administrative, managerial or supervisory board, more than half of whose members are appointed by the State, regional or local authorities or by other bodies governed by public law

⁵ e.g. Joint Undertaking established under Article 187 of the Treaty on the Functioning of the European Union (ex Article 171 TCE)

⁶ According to article 43 (2) of the Rules of Application, international organisations are:
(a) international public sector organisations set up by intergovernmental agreements, and specialised agencies set up by such organisations;
(b) the International Committee of the Red Cross (ICRC);
(c) the International Federation of National Red Cross and Red Crescent Societies.

- the need to overcome financial obstacles;
- the complexity of the projects, for example that which arises from the need to cross natural barriers;
- the degree of contribution to the continuity and interoperability of the network, as well as to the optimisation of its capacity;
- the degree of contribution to the improvement of service quality, safety and security;
- the degree of contribution to the internal market and other priorities of the trans-European transport networks;
- the degree of contribution to the re-balancing of transport modes in favor of the most environmentally friendly ones;
- the quality of the application;
- within the scope of the global objectives herewith established, additional specific criteria for Innovation projects may be set out in the text of the call for proposals.

Clarification shall be provided in the calls for proposals and accompanying documents on how these criteria shall be interpreted and weighted in the evaluation process.

Upper and / or lower thresholds of EU financing may be recommended in the calls for proposals or accompanying documents.

9. MAXIMUM POSSIBLE RATE OF CO-FUNDING⁷

The amount of Union financial aid shall not exceed the following rates:

- (a) studies: a maximum of 50 % of the eligible cost of studies

10. INSTRUMENT FOR IMPLEMENTATION

The financial aid shall be covered by individual financing decisions adopted by the Commission.

⁷ According to Art. 6(2) of the TEN Regulation