



CEF TRANSPORT 2014 CALLS FOR PROPOSALS

Guide for Applicants

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1. Introduction

The purpose of the Guide for Applicants is to provide guidance to those wishing to apply for financial support from the Connecting Europe Facility (CEF) programme under the 2014 calls for proposals in the field of the trans-European transport infrastructure published in September 2014. The Guide aims to support applicants in preparing their applications.

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

- Regulation (EU) No 1316/2013 of European Parliament and of the Council of 11 December 2013 (hereinafter the 'CEF Regulation'),
- Regulation (EU) No 1315/2013 of the European Parliament and of the Council of 11 December 2013 (hereinafter the 'TEN-T Regulation'),
- Regulation (EU, EURATOM) No 966/2012 of the European Parliament and of the Council of 25 October 2012 (hereinafter the 'Financial Regulation'),
- Commission Delegated Regulation (EU) No 1268/2012 of 29 October 2012 (hereinafter the 'Rules of Application'),
- Commission Implementing Decision (C(2014)1919 final) of 26 March 2014 (hereinafter the 'Annual WP adopted in 2014'),
- Commission Implementing Decision (C(2014)1921 final) of 26 March 2014 (hereinafter the 'Multiannual WP adopted in 2014'),
- Call for proposals concerning projects of common interest under the Connecting Europe Facility in the field of the trans-European transport infrastructure (hereinafter for the annual call for proposals '2014 AP call text' or for the multiannual call for proposals '2014 MAP call text').

Other documents referred to in this guide are:

- Model text for an individual grant agreement, and
- TENtec eSubmission User Manual.

All above documents are available on the Innovation and Networks Executive Agency (INEA) website:

http://inea.ec.europa.eu/en/cef/cef_transport/apply_for_funding/cef_transport_call_for_proposals_2014.htm.

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

2. Funding under 2014 Work Programmes

Two work programmes were adopted under the CEF programme in 2014:

A Multi-annual Work Programme was adopted on 26 March 2014, under which calls were published on 11 September 2014, with an indicative budget up to € 11 billion with € 6 billion allocated to removing bottlenecks and bridging missing links, € 250 million allocated to ensuring sustainable and efficient transport in the long run, € 750 million allocated to optimising the integration and interconnection of transport modes and enhancing interoperability, safety and security of transport and € 4 billion allocated under the Cohesion Fund.

An Annual Work Programme was adopted on 26 March 2014, under which a call was published on 11 September 2014, with a maximum budget of almost € 1 billion. It addresses objectives which reflect transport infrastructure development/transport policy

priorities of a shorter term nature, less mature, reduced in scope and/or for more diffuse in coverage.

The Multi-annual WP and the Annual WP detail the priorities and the maximum available budget to be committed for each of the priorities under CEF Transport's first calls. The calls for proposal are based on the respective Work Programmes. The details of the different Funding Objectives and their priorities are available on the call homepage:

http://inea.ec.europa.eu/en/cef/cef_transport/apply_for_funding/cef_transport_call_for_proposals_2014.htm

3. Evaluation and Selection Process

The evaluation and selection of proposals submitted under the CEF-Transport is carried out 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 as described in the relevant work programme and call text, are selected for funding.

The evaluation process is based on two key principles:

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

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 defined in the relevant work programme and call texts. The award criteria relate to relevance, maturity, impact and quality.

3.1. 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 that the proposal is complete. Applicants are informed by email that their proposal has been successfully submitted, although this acknowledgment of the receipt of proposal does not imply that the proposal is eligible.

Next, each proposal is assessed against the eligibility and the selection criteria as set by the call text. Any proposals which do not meet these criteria are rejected, and applicants are informed of the reason. In the absence of such a notification applicants may assume their proposal has successfully passed the assessment against the eligibility criteria.

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

3.2. External Evaluation

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.

The experts perform assessments in their personal capacity and not as representatives of their employer, their country or any other entity. They sign confidentiality and absence of conflict of interest declarations and a contract. Experts are required to adhere to confidentiality rules at all times before, during and after the evaluation.

As a first step, each application form is assessed independently against the applicable award criteria by a minimum of three experts, each of which completes an Individual Assessment Form. Each expert assigns a score per criterion, up to the maximum points available for that particular criterion.

Experts are also required to provide comments to justify each score given. These comments must be consistent with scores awarded and serve as input to the consensus discussions and consensus reports. Experts may also make recommendations regarding the amount of funding and/or the duration of a proposed Action.

The minimum threshold for each criterion is 60% of the maximum points for that particular criterion. In other words, experts will not recommend for funding any proposal which does not obtain at least the minimum of points for each criterion.

As a second step, a consensus meeting is held with all experts assigned to a proposal, once they have completed their individual assessment forms. During this meeting, a consensus report is agreed and signed for each proposal, providing a score for each criterion and comments to justify these.

If a common point of view on any particular aspect of the proposal cannot be agreed on, the moderator may ask an additional expert to examine the proposal. If after the additional input consensus still cannot be reached, the report is prepared, setting out the majority view of the experts and any dissenting views.

In addition to technical experts evaluating proposals, an independent expert may be appointed as an observer. The observer's role is to give advice on the conduct and fairness of the evaluation process, on ways in which the expert evaluators apply the evaluation criteria, and any recommendations for improving the evaluation procedures.

3.3. Final Selection Process

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,
- 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.

For projects funded under the CEF Transport call for Cohesion countries two additional criteria will be taken into account:

- 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.

Once approved, DG for Mobility and Transport launches an inter-service consultation to obtain comments from other services of the Commission (in particular DG Environment and DG Regional and Urban Policy), to verify 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.

3.4. Approval 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, the 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 is then invited to finalise the terms of the grant agreement.

4. Preparing an Application

Proposals 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 cost, and why they should be supported financially by the EU.

An application is submitted for an action: any activity which has been identified as financially and technically independent, has a set timeframe, and is necessary for the implementation of a global project of common interest and which may be granted financial assistance following a call for proposals and evaluation process.

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).

In submitting a proposal, applicants are required to use exclusively the application form made available on INEA's website:

http://inea.ec.europa.eu/en/cef/cef_transport/apply_for_funding/cef_transport_call_for_proposals_2014.htm.

The application form is composed of four parts (including their respective annexes) as follows.

- **Part A** identifies the main characteristics of the proposal (e.g. brief description of the proposed Action and its activities, contact details and characteristics of the applicants, as well as information related to the funding requested, the transport mode, placement on the network etc.).
- **Part B** provides administrative information about the applicants, their designated affiliated entities and their financial capacity.
- **Part C** provides information on the compliance of the proposed Action with EU law in the fields of environmental protection, interoperability, state aid, road charging, public procurement, and other sources of EU funding.
- **Part D** provides technical and financial information on the Action submitted for funding.

Supporting documents

In order to submit application, Part A has to be encoded in TENtec using the eSubmission module. All others parts of the application (Parts B, C and D, including their annexes) and relevant supporting documents must be uploaded in TENtec using the eSubmission module.

The TENtec eSubmission module is part of the TENtec Information System whose overall objective is to create a central database and a portal that enables all Actions funded under the Connecting Europe Facility (CEF) to be monitored. The eSubmission module allows applicants to submit a proposal to apply for funding support from the EU under the CEF. For further guidance on the eSubmission module, please refer to the manual available on the INEA homepage under the guidance documents on the webpage of each specific call.

All information relevant for the evaluation of the proposal should be contained within the application.

Please first upload the additional documents and then choose a corresponding document name from the dropdown list. Please upload any other supporting documents not included in the list and clearly identify each document in its name.

Contributors Panel

The eSubmission module provides the possibility to give access to the application to additional users, either in read-only mode or with rights to edit the application. It is recommended that the actual applicant (or coordinating applicant in case of a multi-applicant proposal that will also finalise and submit the application), creates the application in the first place and adds the contributors subsequently, as appropriate.

4.1. Part A

Application form Part A must be created and submitted using the TENtec eSubmission module. The link to the module can be found on each call website.

Note that for multi-applicant proposals, Sections A2.1, A2.2, A2.3 and A2.4 must be completed, signed and stamped (if applicable) by each applicant.

All proposals need to submit application form Part A. If the applicant chooses to involve any of its affiliated entities in the implementation of the proposed Action, he/she needs to provide the relevant information in Section A2.4. This part has to be filled in as many times as there are affiliated entities involved in the proposal.

The applicants should then print application form Part A using the TENtec eSubmission module. The reference number of a proposal (unique proposal code) is generated during submission and will be automatically included on each page of the printout.

When completing Part A of the application, please refer to the TENtec eSubmission User Manual for the technical aspects of using the eSubmission module. The manual is available on each call website.

At any stage of the proposal creation, the applicant can communicate with INEA using the unique identification code that is given to each application before submission.

A1 – General information on the proposal

To create an application, an applicant must select either an annual or multi-annual call option, the funding priority under the respective funding objective. For further information on the specific priorities please refer to the annexes available on the respective call website under "Call for Proposals documents" of each call text.

The applicant must also indicate the proposal type, by specifying whether the proposal addresses works, studies (for definition, see section 6 of this Guide) or combines them.

The applicant must also indicate if the proposed Action entails studies investigating possibilities of Public Private Partnerships or other activities relating to or preparing projects to use financial instruments. Detailed information in this respect is to be provided under question 4.10 in Application Form Part D.

Do not use continuous capital letters or appreciations when choosing the proposal's title.

A2.1 – Applicant

In this section the applicant must provide its official legal name, general administrative data and its 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 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

Note that for multi-applicant proposals, section A2.1 will appear as many times as there are applicants and must be completed for each applicant.

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

A2.2 - Contact points

In this section the applicant 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/ INEA in the first instance should this become necessary during or after the evaluation process.

For multi-applicant proposals, Section A2.2 will appear as many times as there are applicants and must be completed, signed and stamped for each applicant.

The signed version of Section(s) A2.2 must be scanned and uploaded into TENtec and the original(s) must be included in the paper copy of the application.

Please note that if this part of the application form is not signed by the applicant the proposal will be considered not compliant with the formal requirements specified in the call text and will not be evaluated. In the case of a multi-applicant proposal, the applicant concerned may be excluded from the proposal.

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

Designation of an Implementing Body

This section applies only to applicants that are EU Member States and international organisations. All other applicants are not entitled to designate an implementing body. This section will automatically appear in the form if one of these categories has been selected in Section A2.1.

Should the applicant concerned wish to designate an entity as implementing body to be involved in the implementation of the proposed Action, it must provide the official legal name of the entity and general administrative data to allow its identification without ambiguity (for the definition, see Section 6 of this Guide).

If there is more than one implementing body, the same type of information must be introduced for each entity.

Agreement of the EU Member State approving the proposal

This section applies to all applicants except for EU Member States that need the approval of the Member States concerned by the action. It will automatically appear if one of the following categories is selected in Section A2.1:

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

'Member States concerned' are considered to be all Member States on the territory of which the proposed Action will be implemented.

Details of the Ministry and its representative that supports the application must be provided in this form.

Note that for multi-applicant proposals, Section A2.3 must be completed, signed and stamped for each applicant (even if there is more than one applicant from the same country).

For a proposal submitted by international organisations or European Economic Interests Groupings (EEIG), only one Member State would be enough to validate the participation in the proposal of this organisation/entity.

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

IMPORTANT

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 neighbouring country concerned by the proposed Action (Section A2.3, in accordance with Article 9(4) of the CEF Regulation (see summary table below).

Applicant category	Section(s) to be completed in Form Section A2.3
Neighbouring / third country	Section on the approval of the ministry in the EU Member State concerned
Entity established in a neighbouring / third country	Section on the approval of the ministry in the EU Member State concerned AND Section on the approval of the ministry in the neighbouring / third country concerned

If possible, it is recommended that any proposals that include applicants from neighbouring countries are submitted jointly with applicants established in the EU.

According to Article 7.2.c of the TEN-T Regulation (No 1315/2013), a project of Common Interest shall "be economically viable on the basis of a socio-economic cost-benefit analysis (CBA)" – which means a positive Economic Net Present Value (and Internal Rate of Return).

Article 10.6, of the CEF Regulation (No 1316/2013) states that the CEF contribution shall be modulated according to the CBA – i.e. that the co-financing rate applied to the grant shall refer to the part of project that is not covered by financial revenues ("financing gap"), except in the case of State Aids. That means that discounted net revenues (if any) generated by the project shall be subtracted by the Project's cost to determine the "funding gap" to which the co-financing rate applies.

In line with these provisions, all project proposals for 'works' must be accompanied by a CBA proposing the co-funding rate requested for the project, while taking into account the maximum funding rates stipulated in the CEF Regulation.

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

For projects submitted under the Cohesion envelope Call it is strongly recommended that the Cohesion Policy CBA methodology be used, in order to simplify the process of project preparation under the CEF and ESIF funds. While the Cohesion Policy Guide for the CBA methodology is under review (new text expected to be adopted in November 2014), project proponents may already use the present methodology (see http://ec.europa.eu/regional_policy/sources/docgener/guides/cost/guide2008_en.pdf).

In the case of compliance-driven projects, such as the case of ERTMS, other ITS, compliance with TSIs in railways, these projects that aim at complying with EU standards and generate positive effects well beyond their boundaries (network effects), a cost-effectiveness analysis (CEA) can be performed instead of a full economic part of the CBA, in order to verify if the unit cost of the project is appropriate to achieve the proposed result. In this case, a qualitative description of the main economic benefits should be provided. The CEA is carried out by calculating the cost per unit of 'non monetised' benefit and is required to quantify benefits but not to attach a monetary price or economic value to the benefits.

A2.4 - Affiliated entities

This section should be completed if any of the applicant(s) wish to designate one or more affiliated entity to be involved in the implementation of the proposed Action.

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

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

Applicants must complete the information about their affiliated entities. If there is more than one affiliated entity per applicant, the same type of information must be introduced for each entity.

Any designated affiliated entities have to comply with the eligibility and selection criteria defined in the work programme and the call for proposals. In this respect, designated affiliated entities are requested to complete and sign the declaration on honour in Annex B-I to Part B to the application form (see also section 4.2 of this guide).

A2.5 - Coordinating applicant

This section needs to be filled in only if there is more than one applicant in a proposal. Applicants have the possibility to define a coordinating applicant. The coordinating applicant leads and represents all of the applicants and acts as the point of contact with the Commission or INEA during the application phase.

In the eSubmission module, all applicants in the proposal will be automatically listed in this form. Please mark the check box for the entity that will act as a coordinating applicant and enter the contact information for the person in charge of the application at this entity. The person indicated will be contacted in the first instance should this become necessary during or after the evaluation process.

For these proposals a coordinating applicant has to be designated in part A2.5. Unless specified otherwise by the applicant it is assumed that the coordinating applicant becomes automatically the Action's coordinator if the proposal is selected for funding. The coordinator will perform the tasks as described in the model grant agreement.

A3.1 –Information about the Action for which a grant is requested under CEF-Transport

It is strongly recommended that the text introduced in this section to describe the activities and the milestones is identical to the one provided in Application Form Part D. As a matter of principle, please ensure a maximum of consistency, both in terms of wording and content, between the information provided in this section and the information provided in the Application Form Part D.

Location of the Action: Please choose among the pre-defined Member States and regions or third countries. For more information about NUTS 2 classification used for regions, please see the following link:

http://epp.eurostat.ec.europa.eu/portal/page/portal/nuts_nomenclature/introduction.

Activities of the proposed Action: Enter name, description, start and end date, and verifying milestone for each activity of the proposed Action. An activity is a part of the proposed Action that is distinct technically, financially or over time and which contributes to the completion of the proposed Action. The implementation of an activity leads to the completion of an expected result or output.

Milestones of the proposed Action: Enter the milestone name, end date and means of verification for all milestones related to the proposed Action. Milestones indicate how the activity and its associated expected result(s) are progressing. The number of milestones per activity will depend on the complexity of each activity. Each activity should relate to milestones indicating at least its start and end time and preferably also corresponding intermediate deliverables.

Milestones have to be evenly distributed all over the duration of the proposed Action. In this respect, concentration of milestones towards the end of the Action must be avoided because it would give limited means for monitoring the implementation of the Action. The start-up event (which constitutes the start of the implementation period of the Action) and the end event (what constitutes the end of the implementation period of the Action) should be clearly identified. Intermediate milestones are particularly relevant for multi-annual projects as they facilitate intermediate payments.

Examples of milestones include: approval or submission of a final design plan, publication of a tender, signature of contract, starting / end of construction works, and others.

For each milestone, establish which means of verification will be used to verify that the milestone has been reached / completed. By definition the milestones are one-off events and therefore the means of verification should be easy, concrete and verifiable – for example publication of the notice of the tender to the appropriate media, the issuing of a certificate of acceptance, the signature of a contract by the last contractual party, date in an order notice to commence the works, etc.

Contribution of the proposed Action to the TEN-T policy objectives: If the Action is part of a Global Project previously supported under CEF (after 2014) or TEN-T (before 2014) budget, please specify the decision number and the title.

A3.2 - Financial information on the global project and the proposed action

In this section applicants will provide all relevant budgetary and funding information related to the proposed Action. Its first part addresses the Global Project, while the second part the proposed Action only. Please indicate financial contribution to the proposed Action from all applicable sources of financing, including from state, or regional budgets, applicants themselves, EIB loans, other loans, other EU funds (such as

European Regional Development Fund (ERDF), TEN-T, Cohesion Fund, etc.) and the amount of CEF-Transport funding requested.

For multi-applicant proposals, please give:

- only the total amounts per category regarding the Global Project;
- the state, regional and applicants' respective contribution by applicant regarding the proposed action.

Proposed Actions, especially those under the multi-annual programme, are often part of a Global Project that is technically and financially far bigger than the proposed Action. In these cases the information on the Global Project is necessary to contextualise the proposed Action. However, it can also be the case that the proposed Action is a self-standing one-off action, not embedded in a larger project. In such cases, the financial information is expected to be identical in both tables, namely under "Global project" and "Proposed Action".

All amounts must be in full euros, no decimals must be encoded. In converting to euros, applicants should use the monthly accounting rate established by the Commission (ideally the rate of the month of submission of the application or, if not published at the time of the submission, the rate from the preceding month). The exchange rate is published on the following website: <http://ec.europa.eu/budget/inforeuro/index.cfm?Language=en>. The exchange rate used when preparing the application should be specified.

A3.3 – Indicative breakdown of estimated eligible costs of the proposed action by activity

Under this part, only the financial information relevant to the proposed Action should be indicated.

Enter the indicative breakdown of the estimated eligible costs of the proposed Action (i.e. the action for which a financial contribution from the CEF-Transport is requested in this proposal) per activity and year, as well as the co-financing rate requested. The total eligible cost must match the total of funding sources for the proposed Action (Form A3.2). The total requested CEF-Transport financing must match the amount specified for the proposed action in Form A3.2.

For information on the eligibility of costs please refer to the relevant call texts' section 14.2.2. and points (3) to (8) of Article 8 of the CEF Regulation as well as Article 126 of the Financial Regulation and Article 187 of its Rules of Application concerning the eligibility of costs as well as the model grant agreement available on the relevant call home page on the INEA website.

All amounts must be in full euros, no decimals must be encoded. In converting to euros, applicants should use the monthly accounting rate established by the Commission (ideally the rate of the month of submission of the application or, if not published at the time of the submission, the rate from the preceding month). The exchange rate is published on the following website:

<http://ec.europa.eu/budget/inforeuro/index.cfm?Language=en>

The exchange rate used when preparing the application should be specified.

4.2. Part B: Administrative information on Applicants

This part of the application contains the administrative information used to demonstrate compliance with financial and operational capacity. For multi-applicant proposals, the relevant parts of the Application Form Part B must be completed for each applicant.

4.2.1. Legal Entity Form

All applicants except Member States, regions and provinces and neighbouring / third countries – i.e. all public and private undertakings or bodies, international organisations and European Economic Interest Grouping and designated affiliated entities need to provide the Legal Entities Form. The editable form can be downloaded in all Union languages at the following website: http://ec.europa.eu/budget/execution/legal_entities_en.htm.

Several additional documents referred to in the legal entity form must be attached to the proposal both electronically and in the paper version of the application.

4.2.2. Grounds for exclusion

All applicants and their designated affiliated entities (except Member States, regions, provinces and municipalities of the EU, and neighbouring / third countries), must also complete and sign the declaration form respectively in Annex I and Annex III of the application form Part B, as applicable.

4.2.3. Requirements on financial and operational capacity

Applicants must select their legal status among the following categories:

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

Applicants which are NOT a Member State, a public sector body or a neighbouring country (i.e. applicants that qualify as private undertakings or bodies) have to prove that they have the financial and operational capacity to carry-out the proposed Action (please see Annex II of form Part B).

For proving the operational capacity, applicants must submit appropriate documents attesting that they have the technical and operational capacity to complete the Action for which the grant is sought. These may include proof of adequate professional qualifications of the team responsible for implementing the Action, proof of recent experience in carrying out similar or related projects, or evidence of previous cooperation with European or international bodies.

For multi-applicants proposals, a table in the application form Part B must be completed, confirming, for each applicant that is not a Member State, a public sector body or a European Economic Interest Grouping (EEIG) which are 100% owned by public body(ies) that the documentation required to prove the financial and operational capacity is provided with this proposal. Rows may be added as required. If the documentation proving the financial and operational capacity is missing for one or several applicants, this must be explained.

B-III: Financial capacity check

Applicants that do not fall in the categories described above, must complete the financial capacity check form (Annex B-II of Part B) and upload it in the eSubmission module in Excel format together with supporting documents to allow crosschecks on the reliability of the information provided.

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

The form must be filled in with information from the two most recent completed annual accounting exercises of the organisation. The financial capacity ratios are calculated automatically and are shown in one of the worksheets 'Ratio Analysis'.

If the overall result is not satisfactory, this worksheet will recommend that the applicant submit a letter of support, obtained by a third party or by another applicant of the proposed Action. If a letter of support is submitted by a third party, it should be accompanied by the financial capacity check form completed by the third party, including the relevant annexes (financial statements for the last two years) and showing 'satisfactory' or 'good' as the result of the ratio analysis. If the form shows "There is an error in..." message in the result field, any corresponding errors should be addressed before submission.

For a newly created company (applicants that do not have certified financial data available for two consecutive financial years), a letter of support must be presented.

For proposals with multiple applicants, the financial capacity check form must be filled in separately by each applicant if applicable. For multi-applicant proposals, the conclusion 'weak' and the absence of a letter of support for an individual applicant does not automatically exclude the proposal from being evaluated. The potential impact will be thoroughly assessed on a case by case basis and may give ground to further steps to be undertaken by the involved applicants.

4.3. Part C: Compliance with Union policy and law

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

Please note that the support (by signature and stamp) provided by a Member State to the proposal (in Application Form Part A2.3) does not substitute the signature of the relevant authority under this Part C. Therefore, the certifications, if applicable, needs to be signed separately.

Chapter I - Compliance with Union law on environmental protection

Indicate if the proposal is for a study or works (see definitions in Section 6 of this Guide). In case of a study, indicate whether the study involves physical interventions.

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

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

Section 1 – Consistency of the project with environmental policy

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

Section 2 – Development Consent

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

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

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

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

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

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

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

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

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

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

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

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

Section 5 – Impact of the Action on Natura 2000 sites

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

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

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

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

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

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

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

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

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

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

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

This section must be filled in for all proposals including construction of rail infrastructure or deployment of ERTMS, whether on conventional or high speed lines. All railway Actions must comply with Directive 2008/57/EC on the interoperability of the rail system within

the Community and with relevant Technical Specifications for Interoperability (TSIs). Studies must anticipate carrying out the works in line with Union legislation.

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

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

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

Chapter III: Compatibility with EU law on State Aids

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

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

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

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

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

Chapter V: Compatibility with the EU law on public procurement

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

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

Chapter VI- Other sources of Union funding

Refer to the Commission information note concerning combination of Union funding: http://ec.europa.eu/ten/temp/doc/draft_information_note_on_combination_of_community_funding_en.pdf

If the proposed Action (or the Global Project) benefits from any other source of Union funding, provide detailed information on: financial instrument concerned (e.g. European Regional Development Fund, Cohesion Fund, Research budget), amount allocated, references of relevant decisions, activities to be supported, beneficiary(-ies), etc.

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

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

4.4. Part D: Technical and financial information

This part of the application requests information on the global project and the proposed Action and addresses questions which provide the basis for the evaluation of the proposal. It is therefore important to answer all of the questions in this part of the application form, as the absence of an answer will result in a lower score given by the evaluators for the relevant criteria, thus diminishing the chance that the proposal will be selected. If an answer for a particular question is not available/not applicable, this should be clearly explained.

Application form Part D is composed of the following sections:

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

Every section provides information which will be used for the evaluation of the proposal and the grant agreement preparation (if selected). To this end, it is necessary that the information provided is complete, clear and self-explanatory. No request for further information, clarification or explanation will be made during the evaluation of the proposals. It is the applicant's responsibility to provide all elements that demonstrate how the proposal addresses the priority, sub-priority and objectives under which it has been submitted, including the four award criteria.

The following guidance sets the minimum information that needs to be provided in each section of Part D of the application so that the description of the proposed Action is complete and may be evaluated against the set criteria. However the type of information described below is not exhaustive. It is the applicant's responsibility to include any further information that the applicant deems necessary for the full appreciation of the merits and justification of the proposed Action. It is also necessary to make sure that specific reference is made to all points, including cases where no information exists or it is not applicable.

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

Section 1 - General description of the Global Project

Question 1 - General Description of the Global Project including needs and objectives

Provide information on and description of:

- i) The general context within which the proposed Action fits. This may be a larger project, a master plan, a development plan and the like. All these fit the definition of a global project;
- ii) The problems, needs and/or issues to be addressed by the Global Project;
- iii) The objectives and aim of the Global Project;
- iv) Total cost and timetable for the realisation of the Global Project;
- v) The management structure, associated stakeholders, their respective role and responsibilities and contribution to the global project;
- vi) The current state of play, results and/or objectives achieved so far;
- vii) Other parts of the Global Project that are planned to be implemented in parallel with the proposed Action but do not form part of it, and their interdependencies with the proposed Action.

Section 2 – Description of the proposed Action

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

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

Please provide information on or description of the following (NB. It is also necessary to ensure consistency with all information or description provided in Part A of the Application Form):

- i) The specific problems, needs and/or issues to be addressed by the action. Problems and issues may be of any nature (bottlenecks, congestion, pollution, capacity constraints of current infrastructure, etc.) and - to the extent possible - quantified;
- ii) Linked to the above: the justification for EU support and added value (bridging a financial gap, links with specific policy and priority objectives, removal of bottlenecks, etc.);
- iii) The specific objectives of the proposed Action, which should in general represent what should be achieved by implementing it, or the respective desired results. Explain these expected results as quantitative as possible, depending on the nature of the proposed Action and include information on the need for EU support. Non-exhaustive list of examples of main objectives:
 - Development and implementation of innovative safety technology
 - Introduction of new services
 - Increased speed of railway link
 - Improvement of navigability of water ways
 - Increased capacity of locks
 - Harmonisation of signalisation
 - Increased inter-operability
 - Increased co-modality
 - Improved safety
 - Completion of a study
 - Development of analytical framework for assessment of PPP arrangements
 - Completion of feasibility study to assess PPP as an alternative financing mechanism
- iv) The indicators (different from the milestones to be defined per activity) which will be used to assess the extent to which the proposed Action's main objectives are being /

have been achieved, and their sources of verification. Make sure that there is at least one indicator for every objective. Indicators should be SMART:

- **Specific** (an observable Action or achievement is described)
- **Measurable**, quantifiable (a reliable system is in place to measure progress towards the achievement of the objective)
- **Achievable** (can be reached/achieved within the framework of the Action)
- **Relevant** (is important/relevant for the achievement of the main objectives)
- **Time bound** (can be measured within the framework of the Action).

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

v) the current state of play, results and/or objectives achieved so far

Question 2.2 - Contribution of the proposed Action to the Global Project and expected results

Please provide information on or description of the following:

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

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

It is important that the action is composed by a number and size of activities which are proportionate to the size, complexity and duration of the proposed Action. Major works and study contracts have to be identified as distinct activities so that their start and completion dates may be set as milestones, including eventually the tendering phase if not yet awarded.

Provide a detailed description of each activity listed in the table "Activities of the proposed Action" (Application Form Part A, Section A3.1) including the following (NB. in case an activity contains interrelated distinct components, steps or phases, the applicants needs to ensure that a proportionate description and information is provided for each component):

- i) how it contributes/relates to the overall objectives of the proposed Action;
- ii) in case an activity has started before the start date of the proposed Action is expected to be completed after the completion date of the proposed Action provide information on the state of play on the respective dates. Applicants may not use percentage values for completion degrees but qualitatively describe the completion level at the corresponding date. Moreover, for such cases, in addition to the cost for the part of the activity planned to be performed during the implementation period of the proposed Action provided in Part A, information has to be provided, as required, on the cost of the part performed before the start-up date of the proposed Action, and/or the cost of the activity to be performed after the end of the proposed Action;

iib) in case the implantation of an activity is expected to start and/or be completed within the implementation period of the proposed Action, describe the start-up event and/or the end event of the activity as essential monitoring milestones (for example: signature of contract, submission of a final report, end of works, etc....). for activities with a total duration of 3 years or more please provide at least one milestone per calendar year.

iii) quantitative facts about dimension, capacity, duration, etc.;

iv) expected output/result as quantitatively as possible;

v) the duration of each activity and working assumption on performance rates;

vi) the interdependences of each activity with other activities of the proposed Action. This might be in a form of finish-to-start, start-to-start, finish-to-finish or start-to-finish. If there is no dependence at all, it needs to be clearly stated. State also whether an activity is on the critical path.

The information in (v) and (vi) above needs to be coherent with and reflected to the information provided under Question 2.5;

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

In general, each activity must be clearly detailed from both the technical and organisational point of view. In particular for proposals submitted under the multi-annual call for proposals, separating clearly the different activities – with specific milestones, implementation period and costs (as indicated in Application Form Part A, Section A3.3) - will help the Commission to focus its support on activities for which Union funding could bring greater benefits.

Financing can be requested only for activities carried out during the eligibility period as specified in the call for proposals. For more information on cost eligibility see the model grant agreement on the call websites and the CEF Transport FAQ: http://inea.ec.europa.eu/en/cef/cef_transport/apply_for_funding/2014-cef-transport-call-faq.htm

Question 2.4 – Location of the proposed Action

Please provide information on the location of the proposed Action by using one of the two following means, Vector datasets or cartographic representation:

Vector datasets

In addition to the map, GIS data of adequate quality should also be provided as one or more vector datasets:

- If the proposal concerns a specific geographic location, a point vector file should be supplied or, alternatively, a text file containing a comprehensive list of coordinates as described above.
- If the proposal concerns a linear segment or section of a road, rail or waterway, a line vector should be supplied.
- If the proposal concerns an area, a polygon vector file should be supplied.
- A conclusive list of NUTS codes corresponding to the proposed action's geographical coverage can be supplied as an alternative to a polygon vector file.

The following requirements apply for all vector datasets:

- Vector File format: ESRI open format (shapefile), ESRI proprietary format (personal geodatabase, file geodatabase), OpenGIS format (Google KML). Please note that the ESRI formats are the preferred option.
- Scale: The source scale of point, line and polygon vector data must be of adequate quality to yield good display results at a cartographic scale of 1/100 000. It is therefore recommended to digitise vector data at this scale. It is commonly accepted that the accuracy for a same level of 1/100 000 is about 50 meters.
- Reference system: All geographic vector data must be referenced in the spatial reference system ETRS89 (EPSG code 4258 – ESRI GCS_ETRS_1989)

```

GEOGCS["ETRS89",
  DATUM["European_Terrestrial_Reference_System_1989",
    SPHEROID["GRS 1980",6378137,298.257222101,
      AUTHORITY["EPSG","7019"]],
    AUTHORITY["EPSG","6258"]],
  PRIMEM["Greenwich",0,
    AUTHORITY["EPSG","8901"]],
  UNIT["degree",0.01745329251994328,
    AUTHORITY["EPSG","9122"]],
  AUTHORITY["EPSG","4258"]]

```

If it is not possible to provide data in this reference system, the only other accepted reference systems is WGS84 (EPSG code 4326).

```

GEOGCS["WGS 84",
  DATUM["WGS_1984",
    SPHEROID["WGS 84",6378137,298.257223563,
      AUTHORITY["EPSG","7030"]],
    AUTHORITY["EPSG","6326"]],
  PRIMEM["Greenwich",0,
    AUTHORITY["EPSG","8901"]],
  UNIT["degree",0.01745329251994328,
    AUTHORITY["EPSG","9122"]],
  AUTHORITY["EPSG","4326"]]

```

Spatial Feature Attributes: Any spatial feature attributes are optional for vector files, but if they are supplied, they must be adequately documented, meaning at least a comprehensive description of attribute fields and explanation of possible attribute code values (if applicable).

Cartographic representation

Please annex a map showing the detailed location of the proposed Action and the Global Project the Action is located on. To ensure sufficient level of detail all types of actions, irrespective whether they include works or studies, should be digitised at a scale of at least 1:100.000.

Question 2.5 – Action Plan (graphic representations)

Include a Gantt chart of the proposed Action (and the Global Project if applicable however by making a clear distinction between the proposed Action and the Global Project) detailing the critical path, including their interdependencies and milestones (insert in the box in the Application Form or attach as an annex).

For proposed Actions addressing SESAR only:

The 'Action Plan' in this section shall not be confused with the 'Action Plan' in the Annex I of the Framework Partnership Agreement. The Gantt chart in this section should nevertheless refer to the Deployment Programme.

Question 2.6 - Risk Assessment Grid by activities

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

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

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

The following questions essentially relate to the relevance of the proposed Action to CEF policy objectives and its Union dimension (relevance of the Global Project of which the proposed Action may be part, should be already addressed in section 2.2). Please be advised that providing proof and documentation on your statements helps to clarify the content of your proposal in the evaluation phase.

Question 3.1- Contribution of the proposed Action to TEN-T Core Network corridors and related pre-identified sections or other sections of the Core Network, Horizontal Priorities or classification as a project of common interest

Clarify if the proposed Action belongs to a core network corridor, as described in Part I.2 of Annex I to Regulation (EU) No 1316/2013. If so, indicate precisely which section of a corridor project this proposed Action will target according to Part I of Annex I of the above said regulation. If the proposed Action does not belong to a corridor but contributes or links to it, explain how. According information has also to be encoded in Application Form Part A1.

If the proposed Action does not belong to a corridor, clarify how it classifies as a project of common interest, as defined in Article 7 of the TEN-T Guidelines. In particular, explain how the Action (i) either contributes to another section of the core network not covered by Annex I of the CEF Regulation as described in Chapter III, Articles 38 to 41 of the TEN

Guidelines or to the comprehensive network as described in Chapter II, Articles 9 to 37 of the above said Guidelines, (ii) relates to the routes identified on the maps in Annex I of the TEN Guidelines (adding the network map with the indication of the proposed Action is then strongly recommended), (iii) corresponds to the specifications or criteria in Annex II of the TEN Guidelines, and/or (iv) addresses one of the Horizontal Priorities according to Annex I, Part 1.1 of the CEF Regulation.

Describe any "network effect" produced by the proposed Action (or the Global Project) by linking with or complementing other TEN-T actions.

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

Specify how the proposed Action addresses the TEN-T priorities, as defined in Article 10 of the TEN-T Regulation (e.g. interoperability, intermodality, elimination of bottlenecks).

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

For proposals submitted under priorities with more than one specific objective, such as ERTMS, as well as applications submitted under the annual call for proposals.

Explain how the proposed Action addresses the objectives, priorities and expected results as specified in the relevant parts of the call for proposals.

For ERTMS applications: Explain why this priority has been chosen against the others. Then explain how the proposed Action will contribute to its objectives and expected results as specified in the call for proposals. It should be pointed out if the proposal also addresses the other priorities of the call for proposals.

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

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

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

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

Question 3.6 Added value of EU funding on the financing of the proposed Action and the commitment of the different stakeholders

Describe how the potential granting of Union financial assistance under the CEF budget would have a stimulating/leverage effect on the financing of the proposed Action and the commitment of the different stakeholders and, in contrast, the negative impact the absence of CEF funding would have.

Examples could include: attraction of other funding, acceleration of the works, lower interest rates from the banks, higher quality standards and stability at national level.

Question 3.7 - Cross-border section

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

As spelled out in Article 10 (2) b of the CEF regulation, for the grants for works in the transport sector:

- for railway networks, and road networks in the case of Member States with no railway network established in their territory or in the case of a Member State, or part thereof, with an isolated network without long-distance rail freight transport: 20 % of the eligible costs; the funding rate may be increased to a maximum of 30 % for actions addressing bottlenecks and to 40 % for actions concerning cross-border sections and actions enhancing rail interoperability;
- for inland waterways: 20 % of the eligible costs; the funding rate may be increased to a maximum of 40 % for actions addressing bottlenecks and to a maximum of 40 % for actions concerning cross- border sections;
- for actions to support cross-border road sections: 10 % of the eligible costs.

The Member States involved in a cross-border section must give the Commission all necessary guarantees regarding the financial viability of the project and the timetable for carrying it out and show that they have committed themselves jointly to the project and to putting in place a common structure for it.

The written agreement has to be signed by representatives of each Member State at an appropriate level (in general at the level of the ministers concerned) to ensure the Commission that the agreement will be implemented on both sides.

A joint application is required for proposals with cross-border sections, as a demonstration of the good coordination between the parties concerned.

Question 3.8 - Bottleneck

Applicants should explain under this question whether the proposed Action addresses improving a bottleneck in the sense of Article 3 (q) of the TEN-T Regulation.

Section 4 – Maturity of the Action

Question 4.1 - Approval of the proposed Action

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

Question 4.2- Political commitments to the proposed Action (and Global Project)

Give information on the political commitments regarding the implementation of the proposed Action and, if relevant, on the Global Project (including cross-border commitments where relevant). List and briefly describe all formal and informal documents demonstrating these political commitments – such as decisions of Government, Parliament, or Regions, as well as Memorandums of understanding, written agreements, inclusion of the proposed Action in National Master Plans or in sectorial strategies.

Question 4.3- Public consultation

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

Question 4.4- Readiness / technical maturity of the proposed Action

For every activity, describe the precise state of preparation or implementation at the time of the submission of the application (e.g. Terms of Reference ready, tendered, contract signed, started, etc.), and how it will contribute to the subsequent physical implementation of a project.

Describe possible dependencies on the results of any previous or on-going feasibility or technical studies undertaken for the proposed Action (and, if applicable, for the Global Project).

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

If the proposed Action has already started, indicate the current status of the implementation of each on-going activity.

Question 4.5 - Building permits

Provide a full list of sections/parts of the proposed Action, as described in section 2.5, for which a separate building permit procedure must be obtained. Indicate the risk that already obtained permits can still be challenged (e.g. indicate deadlines until when an appeal could be filed).

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

Section 4.6 - Procurement

Question 4.6.1 Procurement in general

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

Question 4.6.2 Contracts already awarded and procedure(s) applied

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

Question 4.6.3 Procurements planned during implementation

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

Question 4.7 - Pending legal/administrative/technical issues

Describe any problems or issues of a legal/administrative/technical/other nature which remain to be settled before activities can start (e.g. legal proceedings against the building permit, appeal against a contract award etc.). Please provide coherent information together with the risk management plan described in section 2.9.

Question 4.8- Information on funding sources (state budget(s), regional/ local budget(s), applicant's self-financing, EIB loan(s), other loans)

For each funding source listed in the tables in application form Part A section A3.2, describe the nature and legal status of the funds. Specify the relevant legal basis, the modalities of budget allocation and the timing of the funds' availability.

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

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

All applications must be submitted in full euros, no decimals must be encoded. However, for applications for which the funding sources / budget have been calculated using another currency, the exchange rate used to translate these currencies in euros for the purpose of this application for CEF funding must be indicated in section A 3.2.

Applicants using currencies other than euro should use the monthly accounting rate established by the Commission (ideally the rate of January 2015 for proposals under the AP and the MAP calls, and, if not published at the time of the submission of the proposal, the rate of November or December 2014) and published at <http://ec.europa.eu/budget/inforeuro/index.cfm?Language=en>.

Question 4.9 - Public-private partnership

If the proposed Action is part of a Global Project and not a self-standing one, include explicit reference to the underlying global investment project and its capital investment plans. This applies in particular to proposed studies investigating possibilities of PPP or the use of financial instruments to realise specific future capital investments.

If the proposed Action will only receive public financing, describe the underlying reasons. Explain whether a Public-Private Partnership (PPP) and/or financial instruments were considered, and, if so, why it was rejected.

If the proposed Action is a PPP:

- Explain why a decision has been taken to explore a PPP and how the project was determined to be a suitable candidate.
- Has the affordability of the project been determined under a conventional procurement model?
- Are there any major legal or regulatory issues that would need to be addressed before the PPP could be implemented, i.e. enabling legislation?

Question 4.10 - Revenues of the proposed Action

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

Section 5 – Impact of the proposed Action

For **studies only**, complete sections 5.1 to 5.3 and, where appropriate, other sections. For proposals involving **works only**, complete sections 5.3 to 5.9.

Wherever applicable, do not feel restricted by the examples set out in this guide. Refer to the FAQ of CEF Transport funding and try to give as comprehensive information about your proposed Action as possible.

Question 5.1 - Impact of the study as a decision-making tool

Indicate the level in the organisation/Member State which will use/rely on the output of the study for its decision-making, and the period over which it will be used.

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

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

Question 5.2 - Impact of the study in terms of policy making and best practices

Describe the extent to which the study:

- considers the policy context in which it will be undertaken
- provides a sound basis for institutional and national policy-making

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

Question 5.3 - Ex-ante evaluation(s)

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

Provide information on the ex-ante evaluation(s) of the proposed Action and summarize the main results (attach in Annex the ex-ante evaluation(s)). In particular, describe the objectives, activities and policy options taken into account. Describe the main indicators used in the ex-ante evaluation and make reference to the appropriate statistical base.

Outline the alternative options considered.

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

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

If the evaluation carried out goes beyond the scope of the proposed Action (i.e. the proposed Action is part of a Global Project), give an overview of the ex-ante evaluation of the Global Project and explain how it is linked to the proposed Action.

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

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

For proposed Actions addressing maritime ports only:

Information on the required needs assessment, market analysis and assessment of intermodal exchanges (please see the respective call texts) should be provided under this question.

Question 5.4 - Financial analysis

Provide the main results of any financial analysis conducted – including the cost benefit analysis. As a **minimum** provide the following financial information on the Action:

- Net Present Value
- Internal Rate of Return
- Discount rate used
- Reference period (years)

Also provide the main results of any sensitivity analysis. If the analysis has been carried out at the Global Project level, describe its main findings and explain how it links to the proposed Action, drawing as much as possible concrete conclusions for the proposed Action.

Question 5.5 - Social and economic impact

Describe the findings and results of the socio-economic analysis concerning the proposed Action (making reference to the Global Project, if necessary). Indicate the main hypotheses and parameters used for this analysis and explain them. Describe the methodology used.

Question 5.6 - Impact of the proposed Action on traffic management, congestion, modal split, inter-operability, service quality, safety and security

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

Question 5.7 - Impact of the proposed Action on regional and / or local development and land use

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

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

Question 5.8 - Impact on competition

If this is the case, describe the expected positive and / or negative impacts of the proposed Action on regional and national competition.

Question 5.9. - Impact on the environment

In addition to the information already provided in application form Part C on Environment, provide the results and conclusions of any environmental assessment(s) or study(-ies).

List in detail the expected positive and negative environmental impacts of the proposed Action (and the Global Project if applicable): contribution to the re-balancing of transport modes in favour of the most environmentally friendly ones, reduction of fuel consumption or greenhouse gas / CO2 emissions, etc. Describe in detail the measures that are foreseen to monitor, prevent and mitigate a negative impact on the environment, and provide an estimation of the associated costs.

Section 6 – Quality of the proposed Action

The breakdown of eligible costs is part of the quality of the proposed Action. As this information is provided in section A 3.3 of the Application Form it is not duplicated here.

Question 6.1 - Organisational structure

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

Question 6.2 - Control procedures and Quality Management during implementation

Describe the control procedures to be put in place in the Action.

Explain the main features of the quality assurance plan and quality control system to be used during the implementation of the Action.

Question 6.3 - Risk management methods and procedures

Is there a risk management plan? If there is none foreseen, what is your general approach to risk management?

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

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

This question addresses the proposed Action's risk management in more global perspective in the framework of its general project management approach. Only methods and major elements to be taken into account for risk management shall be described here whereas the detailed risks per activity of the proposed Action are to be described in the risk assessment grid under question 2.9.

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

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

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

Article 28(1) of the CEF Regulation states: "Beneficiaries and, where appropriate, Member States concerned shall ensure that suitable publicity is given, and transparency applied, to aid granted under this Regulation in order to inform the public of the role of the Union in the implementation of the projects".

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

More specific guidelines are currently being developed. In the meantime, you may wish to consult the "Publicity guidelines and logos" section for the TEN-T Programme on the INEA webpage:

http://inea.ec.europa.eu/en/ten-t/beneficiaries_info_point/publicity_guidelines_logos/publicity_guidelines_logos_02.htm

Question 6.6 - Other information

Provide any additional information which could be useful or should be taken into consideration during the evaluation. In particular, indicate if a proposal for this Action has already been submitted to the European Commission in a previous call.

Section 7 - ANNEXES

List and number all the annexes attached to the application form.

All relevant information for assessing the proposal must be provided in the application form. The purpose of annexes – which are not systematically read through – is to provide additional information that supports, illustrates or provides evidence of an element described in the application form.

Please avoid sending extensive annexes; only reasonable amounts of (supporting) information about your relevant statements in the proposal can be processed during the evaluation. Often executive summaries provide a good opportunity to relay information instead of sending entire documents.

NB! Any annexes included must be clearly referred to and the relevant parts summarized in the application forms.

5. Procedure for Submission of Proposals

5.1. Deadline for submission

The deadline for the submission of proposals is **26 February 2015**.

5.2. Electronic submission

Application form Part A (e-Submission) generated in the TENtec Information System eSubmission module must be submitted electronically before the deadline of **17h00 (Brussels local time) on 26 February 2015**.

Application form Parts B, C, D and their annexes duly filled in and scanned electronic versions must be uploaded in the eSubmission module before the deadline of **17h00 (Brussels local time) on 26 February 2015**. Any supporting documents must also be uploaded before this deadline.

For any parts of the application where signatures or stamps are required (such as forms A2.2, A2.3, Part B annexes, Part C), please make sure to scan the signed, stamped and dated originals and also upload them into eSubmission, along with the rest of the application.

5.3. Paper submission

A paper version of the application form including form A and its annexes (one original, signed and stamped where applicable) must be submitted no later than **26 February 2015**.

The application must be sent either by registered post, by courier service, or by hand delivery (in person or by any party representing the applicant) to the following address:

European Commission - Innovation and Networks Executive Agency
CEF Transport 2014 (AP/MAP; select one as appropriate) call for proposals
W910 - 01/38
Avenue du Bourget, 1
B-1140 Bruxelles (Evere)
Belgium

For deliveries made in person, delivery will be confirmed by a receipt dated and signed by an official from the Commission's Central Mail Department who accepts delivery of the documents. The Central Mail Service is open from 7h00 to 17h30 Monday to Fridays and closed on Saturdays, Sundays and Commission holidays.

For deliveries by registered post or by courier service, the valid date of sending will be the postmark or the dispatch date as evidenced on the courier's delivery note or the dispatch receipt.

Applicants must retain the proof of the date of sending or hand delivery and be able to present it upon request.

The paper version of the proposal (i.e. the original of the Application Form A and its annexes, signed and stamped where applicable) must be placed inside two sealed

envelopes, one inside the other. The inner envelope must bear the relevant indication. Please refer to the corresponding call text for guidance.

Correcting or revising the proposal

It is not possible to make changes to a proposal once it has been submitted. If you wish to make changes, you must submit a new proposal before the deadline, which will replace the previous version.

If more than one copy of the same proposal is received, only the most recent eligible version will be evaluated. If you re-submit a proposal, to avoid complications during the evaluation, please inform INEA through the call helpdesk.

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

5.4. Further information or clarifications

Applicants are encouraged to regularly consult INEA CEF Transport 2014 calls website where further clarifications or information on the call may be published:

http://inea.ec.europa.eu/en/cef/cef_transport/apply_for_funding/cef_transport_call_for_proposals_2014.htm.

Any additional specific questions related to these calls may be addressed to the **call helpdesk**: INEA-CEF-transport-calls-2014@ec.europa.eu, by specifying in subject the specific call concerned where relevant.

Please refer to the FAQ on each call website before contacting the helpdesk. The FAQ can be found here:

http://inea.ec.europa.eu/en/cef/cef_transport/apply_for_funding/2014-cef-transport-call-faq.htm

Answers to submitted questions will be published in the FAQ list on the call webpage, to ensure equal treatment of all potential applicants. Questions which are specific to a particular proposal and where the answer of INEA would provide a comparative advantage to the applicant will not be answered. Applications must not be delivered to this email address.

Please note that questions related to the calls should be submitted at the latest by 13 February 2015, to ensure sufficient time for the last update of the FAQs by 19 February 2015.

The helpdesk will respond individually to questions of technical nature related to TENtec eSubmission tool. Such questions will be treated until the call deadline. Please note that the general TENtec support service will not reply to call related questions.

5.5. Processing of personal data

As specified in the call text, the personal details of applicants and, if they are legal entities, persons who have powers of representation, decision-making or control over them, may be registered in the Early Warning System (EWS) or Central Exclusion Database (CED) if they are in one of the situations mentioned in:

- Commission Decision 2008/969 of 16.12.2008 on the Early Warning System, or
- Commission Regulation 2008/1302 of 17.12.2008 on the Central Exclusion Database.

The EWS is a system of warning signs to inform the various services of the Commission and the Executive Agencies. It alerts them that third parties concerned by those warnings and with whom the Commission has or is likely to have financial relations:

- Are suspected of having committed fraud or serious administrative errors,
- Are subject to an attachment order ("saisie-arrêt" in French) which prevents the Commission to pay directly the third parties,
- Are subject to significant recovery orders issued by the Commission on which payment is significantly overdue, i.e. are "very bad debtors".

It incites the Commission services in these various situations to take the appropriate measures provided in the EU legislation to protect the financial interest of the EU. Access to the EWS is restricted to a defined category of authorised users, who have to keep the information confidential, except in certain circumstances where they can disclose some information only to the third party directly concerned by the warning (but not to other persons). For further information see:

http://ec.europa.eu/budget/sound_fin_mgt/ews_en.htm.

The CED was set up by the Commission at European level as from 1 January 2009, containing all the entities which are under an exclusion situation (Articles 106, 107 and 108 of the Financial Regulation). For further information see:

http://ec.europa.eu/budget/sound_fin_mgt/ced_en.htm.

6. Glossary

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

A

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

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

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

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

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

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

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

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

ATM: Air Traffic Management

B

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

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

C

Call for proposals: Call for proposals concerning projects of common interest under the Connecting Europe Facility in the field of trans-European transport infrastructure.

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

CEF: Connecting Europe Facility.

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

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

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

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

CF: Cohesion Fund

D

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

E

Eligible costs: The same meaning as in the Financial Regulation (see below). For a detailed description, see the model grant agreement. Eligible costs refer to the part of the Action's costs taken into consideration by the Commission for the calculation of the Union financial aid. For Actions supported under the multi-annual work programme adopted in 2014, expenditure may be eligible as from the date the application is lodged at the earliest.

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

ERDF: European Regional Development Fund

ERTMS: European Rail Traffic Management System

F

FID: Final investment decision.

Financial Identification Form: Applicants must provide the Financial Identification Form used by the Commission services. The form can be downloaded at the following link:

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

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

FRP: Framework Programme Research

G

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

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

Global Project: where several technically and financially separated parts (including one or more Actions) contribute to the completion of a high, indivisible objective, this common objective is considered as the 'global project'. For example, a railway line connecting two or more metropolitan areas can be composed of several sections which are technically and financially identifiable, but the line (i.e. the global project) cannot start operations until all of the sections are complete

I

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

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

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

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

M

Milestones: Milestones indicate how the activity or sub-activity is progressing and its associated expected results. Each activity should relate to milestones indicating at least its start and end time and preferably also corresponding intermediate deliverables.

Multi-applicant proposal: Proposal for CEF-Transport funding may be submitted by more than one applicant for CEF assistance. It is strongly advised that a coordinator is indicated for the multi-applicant proposals to facilitate communication with the Commission and INEA on the application (see also 'coordinating applicant'). In case the partnership is not proposing a coordinating applicant for the action, the management structure should be thoroughly explained.

MoS: Motorways of the Sea

N

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

P

Pilot Activities:

Pilot activities¹ of a study supporting the deployment of any type of infrastructure or technology that would be defined as works under any priority of the Work Programme in line with Article 2(5) of the CEF Regulation and do not fall under at least one of the two objectives of pilot activities as defined in footnote 1 will not be supported under this type of action.

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

If a study includes pilot activities, a detailed analysis of the data and lessons learned in terms of long term feasibility, including the feasibility of wider deployment of innovative activities being proposed², has to be foreseen by the proposed Action. In particular key performance indicators, to be defined in advance, should allow estimation of the positive impacts of the pilot activities of the study on the relevant specific sector objectives as laid down in Article 4 of the CEF Regulation, depending on the nature of the proposed Action. Comprehensive measures must be foreseen to disseminate the results of pilot activities.

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

Proposal: This refers to the application as a complete package and includes the application form parts A, B, C and D and their relevant annexes, as specified in the call for proposals.

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

¹ In addition to Article 2(6) of the CEF Regulation, studies may include pilot activities that will serve at least one of the following objectives:

- to develop, improve or adapt a new technology or an innovative solution and implement it in order to test its feasibility and suitability as well as its added value before deploying it on a larger scale.
- to deploy an existing technology, infrastructure or service (i.e. already in use elsewhere but new to a particular sector, system or geographical area) in order to gain experience and/or create market conditions for deployment on a larger scale.

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

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

² Where such feasibility study has already been carried out, its outcomes should be described in the proposal.

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

R

RIS: River Information Services

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

S

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

Start date: The day on which the implementation of an Action actually begins, as stated in the individual funding Decision. It must be the same as the date from which costs are eligible.

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

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

T

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

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

TENtec eSubmission: TENtec eSubmission module allows the electronic encoding of Part A of the application form and uploading the its other Parts, Parts B, C, D and their respective annexes.

U

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

W

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

Work Programme: A formal Commission document adopted for the implementation of a specific programme that sets out the objectives and results expected. The Work Programmes applicable for these calls for proposals are Commission Implementing Decision (C(2014)1919 final) of 26 March 2014 and Commission Implementing Decision (C(2014)1921 final) of 26 March 2014 detailing the priorities and the maximum available budget to be committed for each of the priorities under CEF Transport's first calls.