

CEF Transport – 2015 CALLS FOR PROPOSALS

FREQUENTLY ASKED QUESTIONS – General

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1. SCOPE OF THE CALLS AND PRIORITIES

1.1. *Why do you refer to Annex of the multi-annual work programme as Annex I when the title of the document is Annex II?*

The multi-annual work programme, on the basis of which the 2015 CEF Transport calls for proposals are launched, is established by the Commission Implementing Decision C(2015)7358. This Decision is an amendment to the Commission Implementing Decision C(2014)1921, which established the multi-annual work programme for 2014 for financial assistance in the field of Connecting Europe Facility (CEF) - Transport sector for the period 2014-2020.

Therefore, the Annex to the multi-annual work programme adopted on 30 October 2015 is Annex I to the Decision C(2015)7358 but becomes Annex II to the Decision C(2014)1921.

Since these are legally binding documents, the titles cannot be changed.

1.2. *I cannot find the annual call for proposals.*

There is no annual work programme for 2015, so there is no annual call for proposals in 2015. The calls for proposals published in 2015 are based on the multi-annual work programme only.

1.3. *Under which priorities is the Cohesion Fund allocation made available to Member States?*

Cohesion Fund allocation is only available for proposals submitted under the Cohesion call. For the list of targeted priorities, please refer to the Call for proposals and the work programme.

1.4. *Under which priorities and under which conditions can the Member States eligible to the Cohesion Fund allocation submit a proposal?*

Proposals from Member States eligible to the Cohesion Fund allocation can be submitted either under the Cohesion call or the General call.

If selected, proposals submitted under the Cohesion call would benefit from the funding rates applicable under the Cohesion Fund and funding requested would count towards the national envelope of the Member State in question.

If selected, proposals submitted to the General call would benefit from the general CEF transport funding rates and the funding would not count towards the national envelope of the Member State in question.

1.5. *Under which priority can I submit a proposal?*

It is the responsibility of the applicant to assess which priority is better addressed by the nature of the proposal.

If a proposal addresses several priorities, it is important that the applicant choose the priority which is better addressed by the nature of the proposal. Such decision could take into account, for example, which priority the majority of the activities in the proposal are related to. How well the proposal addresses the priority to which it is submitted will be assessed under the relevance criterion.

1.6. *I would like to have an appointment with someone at INEA to prepare a proposal.*

For reasons of equal treatment of all applicants, INEA does not provide tailored advice to potential applicants on the preparation of their proposals.

Any questions related to the on-going calls can be addressed only in writing to the call helpdesk. The replies to questions received are made available to all potential applicants through Frequently Asked Questions, to facilitate the preparation of proposals.

1.7. *Is there already an indicative call planning for future calls in specific fields and the respective available funding?*

There is currently no formal decision on the work programmes and calls for the coming years and the potential funding envelopes.

1.8. *Is it possible to submit a proposal for the development of a regional airport under Funding Objective 3? We foresee the reconstruction of movement areas and building a technological base - technical yard.*

There is no specific priority targeting the construction or development of airports. However, your proposal, depending on the exact nature of its activities, may correspond to some priorities, for example regarding connections between airports and the rail network or air traffic management.

1.9. *Would a proposal developed in a location belonging to the Comprehensive Network be eligible under the 2015 CEF Transport calls?*

According to section 7.2 of the call texts, only proposals which address pre-identified projects or horizontal priorities listed in Part I of Annex I of the CEF Regulation are eligible under the 2015 calls. The comprehensive network is not covered by this annex and therefore proposed Actions located on the comprehensive network are not eligible under these calls.

1.10. *During the CEF Transport Info Day on 30 November 2015 it was mentioned that there will be no calls for non-Cohesion Member States before 2018. Which is the reason? Which priorities will be covered in future calls?*

As stated in FAQ 1.7, there is currently no formal decision on the work programmes and calls for the coming years and the potential funding envelopes. However, given the frontloading of the available CEF funding for the whole period 2014-2020 in the 2014 and 2015 calls, it is not likely that a new call concerning the general CEF envelope could be launched before 2018. It is likely to launch a call in 2016 for the Cohesion envelope only in case the Cohesion envelope is not fully used after the 2015 calls.

There is also no indication so far on the priorities that would be covered by future calls for proposals.

1.11. *What is the difference between priority and sub-priority?*

Each priority may or may not have sub-priorities. If it is the case, then you may choose both the priority and the sub-priority under which you want to submit your application.

1.12. *Pre-identified projects in the Core Network listed in Annex I Part I of the CEF Regulation concern mainly rail. If my project concerns a Cohesion Member State but a different transport mode (in particular, ports), could it be eligible?*

As stated in section 7.2 of the call texts, projects or horizontal priorities listed in Part I of Annex I of the CEF Regulation are eligible under the 2015 CEF Transport calls. While pre-identified projects on some Core Network Corridors (point 2 of the Annex) concern mainly rail, the horizontal priorities (point 1 of the Annex) cover a wide range of horizontal priorities and modes, including core ports.

Core ports from Cohesion Member States may apply for funding, either if they are located on the Core Network Corridors or on other sections of the Core Network. These core ports do not have to be explicitly mentioned in the pre-identified projects in Annex I Part I.

1.13. *Which is the difference between CEF and Cohesion Funds? How are they distributed?*

They are different funding programmes with different legal basis. Connecting Europe Facility has been set up to support the development of high performing, sustainable and efficiently

interconnected trans-European networks in the fields of transport, energy and digital services. Funding under CEF programme is distributed primarily through competitive calls for proposals.

The Cohesion Fund is aimed at Member States whose Gross National Income (GNI) per inhabitant is less than 90% of the EU average. It aims to reduce economic and social disparities and to promote sustainable development. The funding under the Cohesion Fund is primarily managed by national governments in EU countries.

However as Cohesion Fund priorities cover, among others, also transport, €11.3 billion of the Cohesion Fund budget related to transport infrastructure has been transferred to be spent in line with the CEF Regulation exclusively in Member States eligible for funding from the Cohesion Fund. This is why specific calls targeting Cohesion countries are launched under the CEF.

1.14. Which is the difference between the General and Cohesion calls?

The general call is open to actions concerning all Member States and projects will be funded from the general envelope of the CEF. The Cohesion call is open to actions concerning Cohesion Member States only and projects will be funded from the Cohesion Fund allocation to the CEF. The funding conditions differ between the calls, namely on aspects such as funding rates and eligible costs.

1.15. Can we submit an application to several priorities?

If a proposal addresses several priorities, it is important that the applicant chooses the priority which is better addressed by the nature of the proposal (see FAQ 1.5). It is not possible to submit the same proposal simultaneously under different priorities. However, different proposals by the same applicant can be submitted under different priorities.

1.16. Which is the difference between Core Network Corridors and Core Network?

These notions refer to the European transport infrastructure policy (TEN-T).

Core Network represents the most strategic parts of TEN-T network, which must be implemented by 2030. To facilitate the coordinated implementation of the Core Network, it is structured around nine multimodal Core Network Corridors. They bring together public and private resources and concentrate EU support from the CEF, particularly to remove bottlenecks, build missing cross-border connections and promote modal integration and interoperability.

Core Network Corridors are identified in the Annex I to the CEF Regulation, which includes a list of projects on these corridors pre-identified for possible EU funding during the period 2014–2020, based on their added value for TEN-T development and their maturity status.

There are parts of the Core Network that do not belong to any of the Core Network Corridors.

Please refer to DG MOVE website for more information:

http://ec.europa.eu/transport/themes/infrastructure/index_en.htm

1.17. How is CEF funding pre-allocated to each Cohesion Member State?

The national pre-allocations transferred to the CEF for each of the Cohesion Member States are listed in Annex XI of the [Commission Implementing Decision 2014/190/EU of 3 April 2014](#). As stated in Article 11(2) of the CEF Regulation, these national allocations shall be respected until 31 December 2016. As of 1 January 2017, any remaining funding transferred to CEF from the Cohesion Fund can be allocated to any Member State eligible to the Cohesion Fund.

1.18. What happens if a Cohesion Member State has already consumed its national allocation? Can a Cohesion Member State apply under the General call?

Cohesion Member States that have already consumed their national allocation will not be able to receive funding under the Cohesion call, as the selection of projects eligible for financing must respect the national allocations until 31 December 2016. However, as of 1 January 2017, any remaining funding transferred to CEF from the Cohesion Fund can be allocated to any Member State eligible to the Cohesion Fund.

Cohesion Member States can also submit and support proposals submitted to the General call as any other EU Member State. In that case, if selected, those proposals would benefit from the general CEF Transport funding rates and the funding would not count towards the national envelope of the Cohesion Member State in question.

The [remaining national allocations for Cohesion Member States](#) for the CEF Transport 2015 Cohesion call are available on the [Cohesion call website](#).

In case the Cohesion envelope is not fully used after the CEF Transport 2015 calls, another call could be launched in 2016 for the Cohesion envelope only.

2. DEFINITIONS

2.1. *What are studies with pilot activities and which is the applicable funding rate?*

Studies with pilot activities are studies that 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, which are not covered by this call.

A study with pilot activities is considered as a study, so the applicable funding rate under the General call is up to 50% and under the Cohesion call, up to 85%.

2.2. *The concept of cross-border section applies only to a 'physical' connection between two countries or it also refers to interoperability (e.g. of an infrastructure, technology, etc.) between these two countries?*

According to the Article 3 of the TEN-T Guidelines and Article 2§2 of the CEF Regulation, cross-border section is defined as the section which ensures the continuity of a project of common interest between the nearest urban nodes on both sides of the border of two Member States or between a Member State and a neighbouring country. As such, this applies to physical connection between the countries.

3. ELIGIBILITY CRITERIA - APPLICANTS

3.1. *If I submit a proposal under the current call but do not succeed in being selected for funding, does this jeopardise a second submission under any future call for proposals?*

No, it does not. Any proposal can be re-submitted under a subsequent call for proposals, subject to still matching the objectives and priorities of such future call. Objectives and priorities may change from call to call.

3.2. *I submitted a proposal under the CEF Transport 2014 calls for proposals but it was not selected for funding. Can I submit the same proposal to the 2015 calls?*

Yes. A proposal already submitted under the previous calls can be resubmitted, provided it meets the priorities and criteria of one of the current calls. Any such proposals must be re-submitted using the application forms of the current calls, must be encoded in the TENtec eSubmission module, and must provide the necessary supporting documents, even if were provided under the previous call. Like any other proposal, any re-submitted proposal will be assessed against the criteria set out in the 2015 CEF Transport call under which it will be submitted.

3.3. *Can a proposed Action be submitted by a public entity which is not a Member State?*

Yes, in line with section 7.1 of the calls, public entities which are not a Member State can submit an application, provided they have secured the agreement of the Member State(s) concerned by the proposed Action (application form A2.3 duly signed and stamped).

3.4. *Can a proposed Action be submitted by a private company or a non-profit organisation without involving public entities or as coordinating applicant with other public entities?*

Yes. Private entities (regardless if they are profit or non-profit organisations) can submit proposals without involving public entities whether in a multi-applicant proposal with other private and/or public entities or as single applicants, provided that they can demonstrate the agreement of the Member State(s) concerned by the proposed Action (application form A2.3 duly signed and stamped).

All applicants must also comply with other applicable provisions, notably in respect of its operational and financial capacity. This is without prejudice to the minimum number of applicants required under specific calls and/or priorities.

3.5. Under how many priorities can the same organisation apply?

There is no limitation for the number of applications that can be submitted by the same organisation, provided it is eligible to apply under the respective calls and has the financial and operational capacity to carry out all proposed Actions. However, the same application cannot be submitted under several priorities.

3.6. Can you apply as a single applicant or do you need partners to submit a proposal?

Both options are possible: you can apply as a single applicant or as a part of a multi-applicant proposal. The agreement of the Member State(s) concerned by the proposed Action is to be secured in both cases.

3.7. Can an applicant established in a non-Cohesion Member State submit an application under the Cohesion call? If so, which type of approval from Cohesion Member States is required? Which would be the applicable funding rate for this non-Cohesion applicant?

It is possible for an applicant established in a non-Cohesion Member State to apply under the Cohesion call, provided the application relates to a proposed Action which exclusively concerns Cohesion Member State(s).

In such cases, the Cohesion Member State(s) concerned by the proposed Action must give its approval to the applicant by signing the application form part A2.3.

The applicable funding rate will be that applicable for the proposal as a whole.

3.8. Can a proposal imply participation of partners outside the EU?

As stated in section 7.1 of the call texts, applicants from outside the EU can participate in the current calls for proposals, under certain conditions.

More specifically, applications may be presented by neighbouring countries or entities established in neighbouring countries, with the agreement of the Member State(s) concerned. They may not receive financial assistance unless it is indispensable the achievement of the objectives of a given project of common interest.

In addition to the agreement of the Member State(s) concerned, proposals with participation of such entities must also provide a declaration on why the participation of the neighbouring country applicant is necessary and/or indispensable (Annex B-IV of the application form part B) and, for entities established in neighbouring countries, proof of the support of the neighbouring country authorities (Annex III of the application form part B).

Please see section 4.3 of the Guide for Applicants for specific requirements.

3.9. If a European Grouping of Territorial Cooperation (EGTC) that has its seat in a Member State but has members from four Member States plus a third country applies as an applicant to a proposal, do all four Member States need to support the application or only the one where the EGTC has its seat?

The approval of the Member State(s) concerned relates to the Member State(s) where the proposed Action will be or is being implemented. If the EGTC has its own legal personality, only the concerned Member State(s) approval is sufficient to validate the participation of this entity in the proposal.

3.10. Is an EGTC considered as a "public sector undertaking or body established in the EU" or as an "international organization"?

The EGTC (European Grouping of Territorial Cooperation) is a European legal instrument designed to facilitate and promote cross-border, transnational and interregional cooperation. The EGTC is a legal entity and as such, it enables regional and local authorities and other public bodies from different member states, to set up cooperation groupings with a legal personality. For example, an EGTC or EGTC members can be:

- Member States
- Regional or local authorities
- Associations

- Any other public body

The EGTC is unique in the sense that it enables public authorities of various Member States to team up and deliver joint services, without requiring a prior international agreement to be signed and ratified by national parliaments. Member States must however agree to the participation of potential members in their respective countries. The law applicable for the interpretation and application of the convention is that of the Member State in which the official EGTC headquarters are located.

An EGTC could be considered as a public undertaking if its members are public entities only.

The definition of international organization, given in Article 43(2) of the Rules of Application of the Financial Regulation, does not apply to EGTCs.

More information about EGTCs:

http://ec.europa.eu/regional_policy/en/policy/cooperation/european-territorial/egtc/

3.11. Can an EGTC with members from different countries act as one partner in a consortium with other partners that are not members to the EGTC?

The EGTC has its own legal personality. Therefore, it can submit a proposal as single applicant or together with other partners, regardless if they are or not members of the EGTC.

3.12. Are the members of the EGTC seen as "affiliated entities" to the EGTC, with or without having costs incurred separately?

If the applicant is the EGTC itself, its members are not considered as individual entities for the purposes of the application, according to the definition of the affiliated entities in section 8 of the Guide for Applicants. However, if any of the members of the EGTC will incur costs separately (e.g. staff), this member should be part of the application, as an additional applicant in a multi-applicant proposal or as an affiliated entity to the EGTC.

3.13. There is a non-EU partner in the EGTC. If the EGTC is seen as one applicant, how can the budget/funding rate be differentiated to show that only EU members of the EGTC will receive funding?

If the applicant is the EGTC itself, CEF funding will go to the EGTC as the beneficiary and not its members. It is important to demonstrate in the proposal that the proposed Action concerns the EU Member States and is eligible under the current calls according to section 7.2 of the call text.

3.14. Is there a recommended maximum number of applicants in a proposal for study?

No, it is up to the applicants themselves to determine the number of applicants needed to implement the proposed Action.

3.15. Can a Swiss company participate in a project coordinated by a Cohesion Member State?

Switzerland is considered as a neighbouring country under the CEF Transport programme. According to section 7.1 of the Cohesion call text, applications may be presented by entities established in neighbouring countries, with the agreement of a Member State(s) concerned by the proposal and eligible to the Cohesion Fund. Such entities may participate in actions where necessary to achieve the objectives of a given project of common interest and may receive financial assistance only where it is indispensable to the achievement of the objectives of a given project of common interest. Please note that only actions concerning Cohesion Member States are eligible under this call.

4. ELIGIBILITY CRITERIA - ACTIONS

4.1. Can an applicant participate in a proposed Action, even though the proposed Action is not taking place in the country where this applicant is established?

Yes. There is no restriction for entities to participate only in proposed Actions implemented in the country of their establishment. In any case, the agreement of the Member State concerned by the proposed Action is compulsory.

4.2. Our proposal was selected for funding under the CEF Transport 2014 calls. We would like to apply for a new proposal that addresses the connection of the corridor supported by the already selected project to an urban node. Is it too early to apply for such a study under the 2015 calls?

You can submit any proposal that meets the priorities and criteria of the current calls. It is up to the applicant to assess the level of maturity of the proposed Action and the likelihood for it to be evaluated positively under this criterion.

4.3. *Our proposal targets Cohesion and non-Cohesion Member States. Can we submit only one proposal, or should we submit two twinned proposals?*

As explained in section 7.2 of the call texts, if a multi-applicant proposal concerns an action for which some parts are entitled to funding under the Cohesion Fund envelope and other parts under the general CEF Transport envelope, the application must be split in two proposals, with each part submitted separately under the Cohesion call and the General call. The application numbers/title of the proposed Actions must be cross-referenced in the application form part A1.

However, a proposal concerning both Cohesion and non-Cohesion Member States can also be submitted under the General call as a single proposal. In such case, the entire proposal will be covered by the conditions of the General call and the applicable funding rates would be those of the CEF (Article 10(2) of the CEF Regulation).

5. MEMBER STATES' SUPPORT

5.1. *What is the definition of "Member State concerned" by the proposed Action?*

As stated in Article 9 of the CEF Regulation, "Proposals shall be submitted [...] with the agreement of the Member States concerned". 'Member State concerned' should be understood as the Member State in the territory of which the proposed Action is planned to be (or is being) implemented.

5.2. *What are the responsibilities of a Member State agreeing to a proposal submitted under the CEF Transport 2015 calls?*

The agreement of a Member State on proposals submitted under the CEF Transport 2015 calls provides reassurance to the Commission that the Member State(s) concerned by a given proposal is duly informed of an Action that will be or is being implemented on its territory and/or by a beneficiary established on its territory.

The agreement by a Member State to a proposal does not necessarily involve a financial commitment of the Member State to the proposed Action.

Furthermore, in line with Article 22 of the CEF Regulation (Regulation (EU) No 1316/2013), Member States are entrusted with the technical monitoring, financial control and certification of funded action and/or of beneficiaries' expenditure. These tasks may be undertaken by the Member State in which the beneficiary is established, or by the Member State which has approved the proposal.

Please refer to the model grant agreement for more details about this obligation (Article II.23): https://ec.europa.eu/inea/sites/inea/files/model_grant_agreement_en.pdf.

5.3. *Who is responsible to give an approval on behalf of a Member State?*

It is the sole responsibility of each Member State to define the Ministry and the person(s) authorised to endorse the proposal by signing the application form part A2.3.

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

A list of Member State contact points is available on the call webpages: https://ec.europa.eu/inea/sites/inea/files/cef_transport_contact_persons_151201.pdf.

5.4. *We are ready to submit a proposal but the Member State concerned will not sign the application form part A2.3 until it has completed its internal evaluation procedure of potential proposals. Would it be acceptable that a proposal is submitted with a "preliminary signature" of that Member State, which would give its "final signature" at a later stage? If so, could the proposal be considered as submitted with the "preliminary signature" and, therefore, costs be eligible as from that date?*

There is no such mechanism as "preliminary signature" and "final signature". Once the Member State signs application form part A2.3, it endorses the application. If an application is submitted without the approval of the Member State concerned, it will be considered as non-eligible and will not be evaluated.

The procedures that each Member State applies for giving its agreement to the proposals submitted under the CEF Transport calls are exclusively within the remit of each Member State.

5.5. How can I submit application form part A to my national authorities?

If a Member State requires you to submit part A of the application form during the internal procedure to grant the support to CEF proposals, and in the absence of any other indication from the Member State, you can submit the pdf that is generated in the TENtec eSubmission module, on the basis of the data that you have already introduced in the system. The pdf can be generated using the TENtec eSubmission's "Export Form A" section.

6. COMPLIANCE WITH EU LAW

6.1. Should section I of Application Form C on compliance with EU environmental policy be filled in for any type of action?

No. Section I of Application Form C should be filled in only for actions which relate to works or studies with physical interventions. This section should also be filled in for mixed actions, i.e. including both works and studies.

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

6.2. Is the completion of the application form part C, section I on compliance with EU environmental policy needed for a proposal addressing environmental efforts of a ship that will be sailing in the EU waters?

Concerning application form part C, vessels retrofitting proposals need to fill in Section 1 "Compliance with EU policy on environmental protection" ONLY if the proposed action includes physical works affecting a site designated as protection zone under the "Habitats" (92/43/EC) and Birds (2009/147/EC) Directives and Section 1.6 "Actions with a potential impact on water - Water Framework Directive 2000/60/EC" ONLY if these physical works are located in protected waters as defined in Article 1 of this Directive.

If the signature of a competent authority is needed, it should be the one designated by the Member State concerned by the proposed Action.

7. SELECTION CRITERIA: FINANCIAL AND OPERATIONAL CAPACITY

7.1. Shall all applicants demonstrate their financial and operational capacity?

No. Applicants which fall into one of the following categories do not have to demonstrate their financial and operational capacity: Member States, neighbouring/third countries, public undertakings or bodies established in the EU, international organisations, EEIGs which are 100% owned by public bodies.

7.2. If the result of the financial capacity check is 'weak', should we submit a letter of support from a parent company or a third party?

The letter of support is only necessary if the applicant has been operating for less than one year. In such case, the letter of support can be provided by a parent company or another applicant in the proposal.

If the result of the financial capacity check is "weak", an applicant may be asked to provide a financial guarantee. However, this is not necessary at the time of the application. It will be determined at the stage of the grant agreement preparation, if the proposal is selected for funding.

7.3. Where should we take into account the changing accumulated depreciation and non-recurring costs in the Financial Capacity Check form in the Profit & Loss Account sheet? In "Tax Expenses"?

The extraordinary items have been included in the Financial Capacity Check form, which has been updated and published on the call webpages on 15 December 2015.

7.4. Will depreciation costs, such as for ships, be eligible under these calls?

No, depreciation costs are not eligible under the CEF Transport 2015 calls. However, full costs of purchase of equipment and infrastructure which is treated as capital expenditure is an eligible cost based on Article 8.4 of the CEF Regulation, provided such costs meet the general conditions of the eligibility of costs as laid down in Article II.19 of the model grant agreement.

8. FUNDING SOURCES / FINANCIAL INSTRUMENTS

8.1. We have applied for EFSI funds for our project but they have not yet been granted. How can we reflect this in the application form for CEF?

Any information about EFSI funds, requested or granted, should be provided in the application form part A if it relates to the proposed Action (part A3.2 or Costs section) or part D (questions 1.2-1.3) if it relates to the global project. Additional information on funding sources, for example, where those have been requested but not yet received can also be provided under questions 4.8-4.10 of the application form part D.

9. ELIGIBLE COSTS / CO-FUNDING RATES

9.1. What is the period of the eligibility of costs?

The conditions on the eligibility of costs are included in section 12.2.2 of the calls. Costs incurred between the date of submission of the application and the completion date of the proposed Action, which should be no later than 31 December 2020, may be considered as eligible.

During the implementation of the Action, an extension of the duration of the Action may be considered in reasonable and duly justified cases, subject to the assessment by the Agency/ the Commission and in line with the provisions of the Grant Agreement.

For proposed Actions that have already started by the time the application is submitted, costs incurred before the date of submission will not be considered as eligible.

9.2. Can our project be supported by CEF Transport funding if it has received funding from other EU sources (e.g. Structural Funds)?

According to the call texts section 12.1.1 and pursuant to Article 129 of the Financial Regulation, the same costs cannot be supported more than once by the EU budget.

It is however possible that a global project receives funding from different EU sources for different activities. These activities can be implemented simultaneously or at different stages of the development of the global project. In such cases, the activities have to be operationally and financially managed and reported as separate Actions, to exclude any ambiguity of double funding.

The same applies if CEF Transport funding is requested for different activities related to the same global project either under several calls or as separate proposals under the same call.

Please note that proposals under CEF Transport calls have to indicate all sources of funding in the application for the global project (application form part D) and the action proposed for funding (application form part A3.2).

9.3. How are project management costs handled under CEF calls? Can these costs be built into the actual costs for activities or could project management be a separate activity?

The type of costs you mention are an example of "transversal activities". The direct costs of transversal activities can be presented as a separate activity or as part of other activities, as long as they are clearly identified. This is a choice to be made by the applicant, depending on which option would better suit the structure of the proposed Action.

Please bear in mind that during the evaluation process the proportionality of proposed activities and estimated costs will be thoroughly analysed and inconsistencies may lead to low scoring against the criterion of quality.

9.4. What is the minimum budget of a proposal submitted under these calls?

There is no minimum budget for any type of proposals. However, as stated in section 12.2.1 of the call texts, applicants are strongly encouraged to submit applications for actions with a total requested EU contribution to the eligible costs of no less than €500,000 for studies and no less than €1,000,000 for works.

9.5. Which date will be considered as the start of the period of eligibility of costs for proposals concerning the retrofitting of suitable scrubbers? In normal suprastructure cases (e.g. gantry cranes or tug-masters), the cost occurs when the delivery of the equipment is taken in the port. Will the treatment be the same for scrubbers, e.g. when the actual scrubber system has been installed and delivered?

According to Article II.19 of the model grant agreement, costs of contracts for goods, works or services or of subcontracts are considered to be incurred when the contract or subcontract (or a part of it) is executed, i.e. when the goods, works or services (including studies) are supplied, delivered or provided, and not the date of the invoice. Please note that, for proposals submitted under the CEF Transport 2015 calls, costs will be eligible, at the earliest, from the date on which the application is submitted and until the date of completion of the Action, which should be 31 December 2020 at the latest.

Therefore, if the scrubber system has been installed and delivered after the submission of the application, such costs may be considered eligible, provided they meet the general conditions for eligibility of costs described in Article II.19 of the model grant agreement.

9.6. Are losses an eligible cost?

The conditions on the eligibility of costs are described in Article II.19 of the model grant agreement available on the call webpages. Losses are not considered as eligible cost under CEF.

9.7. I understand that costs incurred before the date of submission may be eligible. In which cases?

No. Costs incurred before the date of submission of an application are not eligible under the 2015 CEF Transport calls.

9.8. Can an Action that has finished before the closure of the call be eligible?

Pursuant to Article 130 of the Financial Regulation, no grants may be awarded retrospectively for actions already completed. A grant may be awarded for an action which has already begun provided that applicant(s) can demonstrate the need for starting the action prior to signature of the grant agreement. Therefore, if an action finishes before the grant agreement is signed, such action will not receive EU funding. Please note that costs are eligible, at the earliest, from the date on which the application is submitted.

9.9. The funding rate under the Cohesion call is up to 85%. In which cases could this funding rate be lower than 85%?

The requested funding rate for a proposal could be reduced to below 85% during the evaluation of the proposal, for example, based on assessment of the "funding gap" of the proposed Action, reduction in activities or costs considered not eligible or budgetary constraints.

10. SUB-CONTRACTING / IMPLEMENTATION CONTRACTS

10.1. Can an applicant "A" be a coordinator of a proposal (partly funded) and at the same time subcontractor to another applicant "B" for other activities of the proposal ("B" will be partly funded but pay partner "A" 100% as a subcontractor)?

The need to subcontract an activity to another beneficiary of the same grant agreement is exceptional. It has to be duly justified and the award must be done while respecting the conditions established by Article II.9 of the model grant agreement.

10.2. Can an applicant from a non-Cohesion Member State subcontract activities to a company from a Cohesion Member State? Are there any authorisations necessary? What would be the funding rate for the activities performed by the subcontractor from the Cohesion Member State? Can a non-EU partner be funded as a subcontractor?

Sub-contractors are not applicants in a proposal and their place of establishment has no bearing on the funding rate applied to the proposal. If a proposal is submitted under the Cohesion call by applicants that are eligible to this call, the applicable rates will be those under the Cohesion Fund.

If the application is submitted under the General call, the applicable rates will be those of the CEF (Article 10(2) of the CEF Regulation).

All subcontracting to be done in relation to the activities of the proposed Action should be clearly explained in the application form part D (questions 4.6.1 to 4.6.3 in particular).

10.3. *If a public body awards a tender to a private company for the implementation of an Action (or parts of it), does this private company need to be an applicant in the proposal? Which entity is responsible for the implementation of the Action?*

Subcontractors do not need to be an applicant in the proposal. If a proposal is selected for funding, the applicant becomes the beneficiary of CEF funding and remains responsible for the implementation. If the beneficiary is a public body and, for the implementation of the Action (or some of the activities), tenders are awarded to private companies, only the public body remains the beneficiary and, therefore, the responsible entity for the implementation of the Action.

11. COST-BENEFIT / COST-EFFECTIVENESS ANALYSIS

11.1. Is a CBA required for a proposal for a study with pilot deployment under the General or the Cohesion calls?

No. A CBA must be provided only for proposals for works or for the works parts in mixed proposals (including both studies and works). A study with pilot deployment is considered as a study.

11.2. For a proposal under the category "other projects" under the priority "Single European Sky – SESAR" is it sufficient to provide a CEA or is it mandatory to provide a CBA?

According to section 7.2 of the call texts, for proposals submitted under the priority "Single European Sky – SESAR - Common Projects category", all project proposals for 'works' or proposals including both 'studies' and 'works' (i.e. mixed proposals) must be accompanied by a cost-effectiveness analysis instead of CBA. For proposals for works or mixed proposals under the category "Other projects" submitted under this priority, a CBA must therefore be provided. Where a proposed Action concerns a part of a larger project of common interest, a CBA may cover this larger project of common interest instead of just the proposed Action.

11.3. *We are working on a proposal which addresses both works and studies. Does the cost-benefit analysis need to be done for all activities or just the works activities?*

In case of mixed proposals, combining studies and works activities, the CBA must cover the activities which are considered as "works". However, if the proposed Action is part of a larger global project, the CBA may cover this larger project.

11.4. *Will INEA accept a single document that addresses socio-economic CBA, financial net present value (FNPV), financial rate of return (FRR), economic net present value (ENPV) and economic rate of return (ERR) and needs assessment?*

A single document that addresses both socio-economic and financial CBA will be accepted, provided that the different parts can be clearly identified in such document.

11.5. *Are there any instructions/template for the cost-effectiveness analysis?*

Please refer to section 5 of the Guide for Applicants for further guidance on cost-benefit and cost-effectiveness analysis. Annex IX of the Cohesion Policy CBA methodology mentioned in this section of the Guide for Applicants contains additional information on cost effectiveness analysis. This methodology can be found at:

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

11.6. *Our proposal consists of several different parts for which separate CBAs have already been performed. Could the existing CBAs be used, explaining how the different parts contribute to the overall Action?*

It is important that the CBA addresses the proposal as a whole, not only parts of it. However, if the proposed Action is part of a larger global project, the CBA may cover this larger project instead.

11.7. *Our proposed Action is part of a global project which comprises both Actions on the Core Network and on the Comprehensive Network. Do we need to provide a CBA for the global project or only for the Actions that could be eligible under the current calls?*

The CBA should cover the proposed Action. However, if the proposed Action is part of a larger global project, the CBA may also cover this larger project, in addition to or instead the specific CBA for the proposed Action.

11.8. How will the funding gap calculation be taken into account in order to determine the CEF Transport support?

For projects generating net revenue, the CBA must be accompanied by a calculation of the funding gap – the share of the project's costs that is not covered by the revenue. CEF Transport funding will be modulated on the basis of this funding gap, meaning that the proposal cannot receive more funding than is identified by the funding gap.

12. APPLICATION FORMS

12.1. Where can I find the application forms to be used for submission under the CEF Transport 2015 calls?

All call-related documents can be accessed on the individual call webpages at the following link: <https://ec.europa.eu/inea/en/connecting-europe-facility/cef-transport/apply-funding/2015-cef-transport-calls-proposals>.

12.2. How can I submit a proposal?

Applications must be submitted **electronically** using the TENtec eSubmission module, accessible at the following link: <https://webgate.ec.europa.eu/tentec/grant/esubmission>. The link is also available on the individual call webpages.

All the required application forms (parts A, B, C and D) must be completed and all required supporting documents uploaded in the module. The Guide for Applicants available on the individual call webpages provides guidance on how to fill the application forms and how to use the eSubmission module.

Any proposals or part(s) of proposals submitted by-email or in hard copy will not be admissible.

12.3. Should proposals for works and studies submitted under the same priority be combined into one single proposal or kept as two separate proposals, even if they are closely related?

Each call text stipulates: "A proposal submitted under this call must address either works or studies within the meaning of Article 2(5) and (6) of the CEF Regulation. Proposals may combine studies and works as long as the respective activities and related budget are clearly defined and separated". However, it is strongly recommended that the works activities do not depend on the execution/completion of study activities within the same Action.

In such cases it is strongly recommended to submit separate applications for studies and works in order to minimise the risk of implementation delays which could arise from the works' dependency on the preliminary studies.

12.4. Is the signature of a partnership/consortium/association agreement a necessary prerequisite before submitting multi-applicant proposals?

No, such agreements are not a formal requirement for submitting a proposal. However, it is strongly recommended to sign an internal cooperation agreement in view of the implementation of the grant agreement, if the proposal is selected for funding. The signature of such an agreement already at the application stage may nevertheless contribute to demonstrating a high level of preparedness and may underline the maturity of a proposal.

12.5. Are annexes included in the 40 pages limit for application form part D? Which are the consequences if the 40 pages limit is not respected?

Annexes are not included in the 40-page limit for application form part D. However, annexes that are not specifically requested will not systematically be read for the purposes of the evaluation. Proposals including more than 40 pages in application form part D will not be automatically excluded but they risk scoring low under the award criteria "quality".

12.6. In application form part A.5., can you reply by "not applicable" if you do not know / do not have the reply?

Yes, but you must provide an answer to all the questions that will appear in the application form. "Not applicable" is always a possible choice.

12.7. For a works proposal, do we need to submit the climate change risk assessment?

No, proposals do not need to submit a climate change risk assessment in the application. However, according to section 7.2 of the calls, applications for works should include an estimate of the costs of such climate change impact assessment as part of the activities of the proposal, as selected proposals subject to CBA may be designated on the basis of a sampling method to perform an ex-post climate change impact assessment of the proposed Action. The costs of such assessment will be considered as studies and will benefit from a co-funding rate of up to 50% under the General call and up to 85% under the Cohesion call. The payment of the balance after the completion of the action will be conditional upon the submission of the completed climate change impact assessment.

12.8. In case of twinned proposals, should there be a coordinator for each proposal? Can they be different? Can an overall coordinator be nominated?

It is up to the applicants of twinned proposals to determine which applicant is best suited for the role of coordinator in a proposal. In the case of twinned proposals, it could be advantageous to nominate the same coordinator for both proposals but this is not an obligation. In any case, a coordinator has to be explicitly mentioned for each multi-applicant proposal.

13. GEOGRAPHICAL INFORMATION

13.1. Is the use of the Interactive Map Editor mandatory or can maps created with other tools and be uploaded?

The use of the Interactive Map Editor (IME), embedded in the TENtec eSubmission module, is compulsory for the geographical information required in the proposal. The IME requires the applicant to submit the location of the proposed Action by entering at least one point, one line or one polygon as its geographic representation. The data entered in the IME will be used as the main source of information on the location of the proposed Action during the evaluation of the submitted proposals. It is therefore in the interest of the applicant to provide such information and at a sufficient level of detail using the Interactive Map Editor.

IME also allows import of GIS data from other sources and in various formats. Please refer to the user manual for more details.

Any further graphical information on the location of the proposed Action can be uploaded as part of the application form part D or as supporting documents.

14. SUPPORTING DOCUMENTS

No questions so far.

15. eSUBMISSION MODULE / SUBMISSION PROCEDURE

15.1. How can I submit a twinned application?

There is no particular procedure to submit twinned proposals. The only requirement is, when filling in application form part A in the TENtec eSubmission module, to indicate the application number, proposal code and/or title of the twin proposal in the 'General information' section of the module (application form part A1).

15.2. TENtec eSubmission allows me to enter costs only until 31.12.2018, while costs can be eligible until 31.12.2020. How is this possible?

Costs incurred until 31 December 2020, at the latest, may be eligible. However, the possibility to enter costs also depends on the duration of the proposed Action and of the activities. If you have indicated an activity end date or an Action end date before 31 December 2020, then you will be able to enter costs until that date.

16. GRANT AGREEMENT PREPARATION / MANAGEMENT

16.1. In the case that twinned proposals are selected for funding, will there be one common grant agreement or individual grant agreements per proposal?

Twinned proposals will be evaluated jointly, when it comes to their joint EU added value. If both proposals are selected for funding, they will nonetheless have two grant agreements, as it is not possible to combine funding provided from the Cohesion and General envelopes in a single grant agreement.

17. SELECTION PROCESS

17.1. Could you please give examples of issues for the consideration of the EU added value of a proposed Action?

These are specified in section 9 of the call texts, under the award criteria "relevance" and include considerations of whether the proposal remedies major missing cross-border projects and improves major bottlenecks and other cross-border sections, as well as whether it concerns multimodal integration and interoperability.

18. MISCELLANEOUS

No questions so far.