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1 Introduction

The purpose of this Guide for Applicants is to provide guidance to applicants wishing to apply for financial support from the Connecting Europe Facility programme (CEF) in the field of the trans-European transport infrastructure under the 2019 MAP CEF Transport call for proposals published on 16 October 2019.

Overview of the Guide

This Guide for Applicants is structured as follows:

- **Section 1** introduces the purpose and structure of the Guide;
- **Section 2** provides an overview of the CEF Transport funding, the call and its aim;
- **Section 3** provides an overview of the evaluation and selection process under the call;
- **Sections 4 and 5** provide information on how to create an application and fill in Application Form parts A, B, C and D;
- **Section 6** provides an overview of the Cost-Benefit Analysis;
- **Section 7** describes the submission procedure;
- **Sections 8, 9 and 10** provide additional information and clarification.

Applicants will also find across this Guide:

- **Information boxes** which contain more detailed information about a particular topic or specific cases; recommendations on how to prepare documents and/or to improve the quality of proposals; or examples that further clarify the type of information expected from applicants; and

- **TENtec related information** (in red) which aims to flag to applicants functionalities of the TENtec eSubmission module, the IT tool for submitting CEF proposals.

A glossary at the end of the Guide provides definitions of the most important terms used across this document.

Reference documents

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

This Guide for Applicants, the legal references, other guidance, background documents and useful information are available on the call webpage on the Innovation and Networks Executive Agency (INEA) website accessible via the following link:


Any specific questions related to this call must be addressed to the call helpdesk: INEA-CEF-transport-calls@ec.europa.eu. Answers to submitted questions will be published in the FAQ list on the call website, to ensure equal treatment of all potential applicants.

Documents available on the call page may be updated while the call is open. Applicants are strongly encouraged to subscribe to the call updates, via the form available on the call page itself, in order to receive a notification whenever the call page is updated, including publication of new FAQ.

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

CEF supports trans-European networks and infrastructures and fills the missing links in Europe’s energy, transport and telecommunications sectors. It is a key EU instrument to promote growth, jobs and competitiveness through targeted investment at European level.

The main objective of the Connecting Europe Facility Transport sector, as set out by the TEN-T Guidelines, is to help complete the Core Network and its Corridors by 2030. To achieve this objective, a total budget of €24 billion\(^1\) has been made available for projects on the Trans-European network for Transport (TEN-T) for the period 2014-2020. In relation to its predecessor, the CEF budget available for transport projects increased almost three times. Out of this budget, €11.3 billion is reserved for projects in the Member States eligible for the Cohesion Fund\(^2\).

In light of the main aims of the CEF, the funding allocated to projects is organised around three funding objectives:

- Funding Objective 1 (FO1): Removing bottlenecks and bridging missing links, enhancing rail interoperability, and, in particular, improving cross-border sections.

- Funding Objective 2 (FO2): Ensuring sustainable, safe and efficient transport systems in the long run, to prepare for expected future transport flows, as well as enable decarbonisation of all transport modes through transition to innovative low-carbon and energy-efficient transport technologies.

- Funding Objective 3 (FO3): Optimising the integration and interconnection of transport modes and enhancing the interoperability of transport services, while ensuring the accessibility of transport infrastructures.

In order to ensure best use of limited EU resources the vast majority of CEF funding during the programming period will be directed to major cross-border projects and projects addressing main bottlenecks and missing links on the nine TEN-T multimodal Corridors, as well as horizontal priorities such as the implementation of traffic management systems, which allow the best use of existing infrastructure (e.g. ERTMS for railways, SESAR for aviation, ITS for road, RIS for inland waterways).

CEF funding is awarded mainly in the form of grants (through calls for proposals), but also in the form of financial instruments (managed in cooperation with entrusted entities, notably the European Investment Bank). A number of programme support actions are being carried out, notably to improve the capacity of Member States and project promoters to prepare the project pipelines.

The work programme details the priorities and the maximum available budget to be committed for each of the priorities under the call.

The multi-annual work programme 2019 covers seven priorities, which are addressed by three calls:

- 2019 CEF Transport MAP call – General envelope

Priorities:
- Pre-identified projects on the Core Network
- Safe and secure infrastructure, including safe and secure parking on the road core network
- Intelligent Transport Services for road (ITS)

---

\(^1\) This figure includes the total amount, not only what is delegated to INEA for management

\(^2\) Bulgaria, Croatia, Cyprus, the Czech Republic, Estonia, Greece, Hungary, Latvia, Lithuania, Malta, Poland, Portugal, Romania, Slovakia and Slovenia
- Single European Sky – SESAR
- Actions implementing transport infrastructure in nodes of the core network, including urban nodes (passengers transport)
- Motorways of the Sea (MoS)

- 2019 CEF Transport MAP call – Cohesion envelope

Priorities:
- Pre-identified projects on the Core Network
- Safe and secure infrastructure, including safe and secure parking on the road core network

- 2019 CEF Transport MAP call – General envelope ERTMS

Priority:
- European Rail Traffic Management System (ERTMS): on-board deployment

Further details on the 2019 CEF Transport MAP call are available on the call webpage:

3 Proposal Evaluation and Selection Process

The Innovation and Networks Executive Agency (INEA) and the European Commission are responsible for the evaluation and selection of proposals submitted under the CEF Transport calls for proposals.

The aim of the evaluation is to ensure that only the proposals which best meet the award criteria as described in the respective work programme and call text are selected for funding.

The evaluation process is based on these 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 shall meet the admissibility requirements, as well as the eligibility and selection criteria, and will be evaluated on the basis of the award criteria defined in the relevant work programme and call text. The award criteria relate to **relevance**, **maturity**, **impact** and **quality**.

As described in Figure 1, the main stages of the evaluation and selection process are:

- Proposal admissibility and eligibility checks
- Technical evaluation
- Internal evaluation
- Opinion of the EU Member States/Information to the European Parliament
- Adoption of the Selection Decision
- Preparation and signature of grant agreements

Figure 1: CEF Transport Evaluation Process
3.1 Step 1: Proposal admissibility and eligibility checks

Once a proposal is submitted, an applicant is informed by means of an automatic email that the proposal was successfully received. However, this acknowledgment of receipt should not be taken as an indication that the proposal is admissible (see below) but only that the proposal was successfully submitted in the system.

3.1.1. Admissibility

All proposals submitted in response to a CEF call are first checked for compliance with admissibility requirements set by the call text, notably whether the proposal has been submitted electronically in the TENTec eSubmission module, whether it has been submitted on time, if it is complete (i.e. if Application Form parts A, B, C and D have been submitted), and if Application Form part A2.2 has been signed by all applicants (see section 6 of the call text).

Proposals which do not meet any of the above mentioned requirements will be rejected and the concerned applicants will be duly informed about the ground(s) for rejection.

3.1.2. Eligibility check

Each admissible proposal is assessed against the eligibility criteria (see section 7 of the call text).

Eligibility criteria cover:

- **Eligibility of applicants**: Section 7.1 of the call text describes the types of eligible applicants. Some applicants (e.g. natural persons, applicants that cannot provide the agreement of the EU Member State concerned) are not considered eligible.

- **Exclusion criteria**: As described in section 7.2 of the call text, applicants in certain situations will not be considered as eligible applicants (e.g. applicants that are bankrupt or being wound up, applicants that have been guilty of grave professional misconducts, etc.).

- **Eligibility of the Action**: As described in section 7.3 of the call text, only actions which can be identified as projects of common interest\(^3\) are eligible. Further eligibility criteria are set per call together with specific priorities.

Proposals which do not meet the eligibility criteria laid down in the call for proposals will be rejected, and applicants will be duly informed about the ground(s) for rejection.

**Box 1: Recommendation**

It is recommended that applicants start preparing their application by checking whether they meet all the admissibility and eligibility criteria for this call.

Applicants should refer to the following documents:
- Call text
- Work programme
- Presentations at the Info day
- This Guide for Applicants
- FAQs published on the call webpage
- Application checklist

\(^3\) Ref. Article 7 of the TEN-T Guidelines
- CBA checklist

All the above can be found on the 2019 CEF Transport MAP call webpage, at the following link: https://ec.europa.eu/inea/en/connecting-europe-facility/cef-transport/apply-funding/2019-map-transport-cef-call.

If further clarifications are needed on admissibility or eligibility criteria, applicants may contact the call helpdesk at INEA-CEF-Transport-calls@ec.europa.eu. Answers will be provided in the FAQs available on the call webpage.

3.1.3. Selection criteria

The selection criteria are detailed in section 8 of the call text and relate to the financial and operational capacity of applicants and affiliated entities where relevant.

The applicants must have the operational and technical competencies and capacities required to complete the proposed Action for which the grant is awarded – i.e. operational capacity. The applicants must also have stable and sufficient sources of funding to maintain their activity throughout the period during which the action is being carried out and to participate in its funding – i.e. financial capacity.

If the applicant (or any of the applicants in a multi-applicant proposal) falls within one of the categories of applicants required to demonstrate its (their) operational and financial capacity, the relevant supporting documents as specified in Application Form part B must be provided (see section 5.3 of this Guide).

In case any further clarifications are needed, applicants may be contacted during the evaluation process.

3.1.4. Compliance with EU legislation

The compliance of a proposal with the relevant EU legislation as described in section 11 of the call text is also verified during this stage. In case any further clarifications are needed, applicants may be contacted during the evaluation process. Any concerns about the compliance of the proposal with the relevant EU legislation will be taken into account during the final selection process and may also be addressed during the individual grant agreement preparation. For additional information, see also section 5.4.

### Box 2: Compliance with EU law and policy

Proposals will be requested to demonstrate their compliance with EU law and policy in various fields by filling in relevant sections of Application Form part C and will be assessed against the information provided.

<table>
<thead>
<tr>
<th>Type of action</th>
<th>EU law/policy</th>
<th>Section of Application Form part C</th>
</tr>
</thead>
<tbody>
<tr>
<td>Works or studies with physical interventions</td>
<td>Protection of the environment</td>
<td>I</td>
</tr>
<tr>
<td>Railways actions</td>
<td>interoperability</td>
<td>II</td>
</tr>
<tr>
<td>Road actions</td>
<td>Road charging, road safety and tunnel safety</td>
<td>III and IV</td>
</tr>
<tr>
<td>ALL PROPOSALS</td>
<td>State aid, public procurement and other sources of EU funding</td>
<td>V, VI and VII</td>
</tr>
</tbody>
</table>

3.2 Step 2: Technical evaluation
Eligible proposals are assessed by technical experts. Technical experts are independent external experts not part of the staff of the Commission/INEA, selected on the basis of their technical knowledge, taking into account the thematic focus of the call, and with consideration of geographical and gender balance. The experts perform assessments in their personal capacity and not as representatives of their employer, country or any other entity. They sign a contract with INEA, as well as declarations on confidentiality and absence of conflicts of interest. Experts are required to adhere to confidentiality rules at all times before, during and after the evaluation.

Each application is first assessed independently by a minimum of three experts against the following four award criteria: relevance, maturity, impact and quality. Each call details the specific aspects per criteria on the basis of the nature and priorities of the call.

Each expert completes an Individual Assessment Form and assigns a score per criterion, on a scale from 0 (insufficient) to 5 (excellent). A proposal must obtain at least 3 points for each award criteria to be recommended for funding. Experts are also required to provide comments to justify their scores, which must be consistent with the scores awarded.

The proposal scoring is detailed below:

5 (Excellent) The proposal successfully addresses all relevant aspects of the criterion. Any shortcomings are minor.
4 (Very good) The proposal addresses the criterion very well but a small number of shortcomings are present.
3 (Good) The proposal addresses the criterion well, but a number of shortcomings are present.
2 (Unsatisfactory) The proposal broadly addresses the criterion but there are significant weaknesses.
1 (Poor) The criterion is inadequately addressed or there are serious inherent weaknesses.
0 (Insufficient) The proposal fails to address the criterion or cannot be assessed due to missing or incomplete information.

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

3.3 Step 3: Internal Evaluation/Final Selection Process

An internal Committee composed of representatives from the Commission's Directorate General for Mobility and Transport (MOVE) assisted by INEA and including representatives of other Directorates General, will assess the outcome of the technical evaluation and draw up the list of proposals both recommended and not recommended for funding.

During the final selection process, the following aspects will be taken into account, 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 of the proposed Action in relation to other proposed Actions;
• Any identified/identifiable risks of double-funding from other Union sources;
• Budgetary constraints;

In exceptional and duly justified cases, and on the basis of the above-mentioned aspects, the Commission may recommend for funding a proposal that has obtained less than 3 points in one or more blocks of award criteria. In the same way, it may decide to not recommend for funding a proposal that has obtained at least 3 points for each block of award criteria.

In addition to the list of proposals selected for funding, the Commission may establish and include in its Selection Decision a reserve list of proposals which it may subsequently decide to fund should budget become available. In that case, proposals on the reserve list would be ranked based on the criteria in sections 9 and 10 of the call texts as appropriate.

3.4 Step 4: Opinion of the EU Member States and information to the European Parliament

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

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

3.5 Step 5: Preparation and signature of grant agreements

Applicants whose proposal is selected for funding will be invited to sign an individual grant agreement with INEA.

The model grant agreement is published on the call webpage: https://ec.europa.eu/inea/en/connecting-europe-facility/cef-transport/apply-funding/2019-map-transport-cef-call

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

The model grant agreement is not negotiable and will be signed in English. Grant agreement preparation covers technical, legal and financial as well as other relevant aspects of the proposal based on the results of the evaluation. Upon finalisation, the grant agreement is sent to the beneficiary(-ies)/coordinator for signature.

Box 3: Recommendation

For multi-beneficiary Actions, a coordinator must be designated. The coordinator will be the contact point for INEA and will be, inter alia, responsible for coordinating the reporting exercise(s), including receiving (and distributing) the payment(s).

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

4.1 Register in EU Login

To use the TENtec eSubmission module, an applicant must first have an EU Login, which provides a single sign-on across a large number of Commission information systems.

In order to obtain an EU Login, applicants need to:

1. Go to the EU Login page (https://webgate.ec.europa.eu/cas) and enter their:
   - e-mail address;
   - first name, last name and e-mail address, confirmation of the e-mail address, choice of e-mail language and;
   - the displayed security code.
   Applicants must also confirm that they have read and understood the privacy statement by checking the box indicated.

2. Select "Create an account".
3. An e-mail will be sent to the e-mail address specified, containing a link to complete the registration process.
4. Click on the link and then choose and confirm a password.
5. Go to the TENtec eSubmission website (link is available on the call webpage).
6. Click "LOGIN" and log in with your EU Login.

Applicants can register in EU Login as many different users as they deem necessary. However, only the user that has created the application in the TENtec eSubmission module is the owner of the application and the only one that can submit it.

4.2 Create an application in the TENtec eSubmission module

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

Applications under the CEF calls must be submitted electronically via the TENtec eSubmission module. The TENtec eSubmission module is available via the following link: https://webgate.ec.europa.eu/tentec/grant/esubmission.

The link to the TENtec eSubmission module can also be found on the call webpage.

For the best results when working in the TENtec eSubmission module, use Google Chrome, Internet Explorer and Firefox browsers.

To create an application, applicant must:

- Log in to the TENtec eSubmission module and click on the button "Create new application".
• Select from the dropdown menu either the "CEF-T-2019-MAP-General" or "CEF-T-2019-MAP-Cohesion" or "CEF-T-2019-MAP-ERTMS" call.
• Select from the dropdown menu the call priority field.
• Select from the dropdown menu the call sub-priority field, if applicable.
• Provide a title for the proposed Action: The number of characters for the proposal title is limited to 120. When choosing the proposal title, do not use continuous capital letters or abbreviations.
• Click on the "Create button".

Once the application has been created, it is possible to edit it by clicking on the application in the home screen of TENtec eSubmission module (see below).
Once created in the TENtec eSubmission module, the application can be identified by a unique code composed of eight digits (the application number). When communicating with INEA, the applicant(s) should refer to this application number for questions directly related to the technical aspects of the preparation of the application.

4.3 Overview of the Application Form

The Application Form under the 2019 CEF Transport MAP call is composed of four parts, as described in table 1 (below).


<table>
<thead>
<tr>
<th>Application Form parts</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Part A</td>
<td>Identifies the main characteristics of the proposal (e.g. global project it relates to, applicants, proposal type, amount of CEF Transport funding requested, description of the proposed Action).</td>
</tr>
<tr>
<td>Part B</td>
<td>Requests additional administrative information about the applicants and their designated affiliated entities.</td>
</tr>
<tr>
<td>Part C</td>
<td>Includes information on the compliance of the proposed Action with EU law in the fields of environmental protection, interoperability (railway Actions only), road charging and road safety, tunnel safety (road Actions only), public procurement, state aid, and other sources of EU funding.</td>
</tr>
<tr>
<td>Part D</td>
<td>Provides detailed technical and financial information on the proposed Action.</td>
</tr>
</tbody>
</table>

Applicants are advised to be as complete, informative and precise as possible - particularly as regards the description of the proposed Action and its activities as this data is essential for the evaluation of the proposal and is used for the grant agreement preparation.

Applicants are strongly recommended to start preparing their proposal well before the call deadline and are reminded that any application submitted after the deadline will not be considered.
5 Completing an Application

The following section provides specific guidance and instructions on how to complete each part of the Application Form. Applicants are reminded to refer to the legal documents listed in section 1 of this Guide (Introduction) and available on the call webpage for any other explanations. The proposal checklist can be used when finalising the application to help ensure that all parts of the application have been addressed.

5.1 Important information before you get started

An application for 2019 CEF Transport MAP call is submitted for an Action.

An Action is defined as: "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".

Under the 2019 CEF Transport MAP call the following type of Actions can be submitted:

- **Studies**: means 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. Only mature studies may be supported under this call. Feasibility and market studies, as well as studies including pilot activities, will not be supported under this call;

- **Works**: means 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;

The type(s) of Actions to be funded are further specified in the description of each specific priority and sub-priority (section 3 of the work programme, and section 2 of the call texts).

<table>
<thead>
<tr>
<th>Box 4: Distinction between Action, global project and Project of Common Interest</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>An Action</strong> is to be distinguished from a global project and a Project of Common Interest.</td>
</tr>
<tr>
<td>As provided for by Article 2 (8) of the CEF Regulation, an <strong>Action</strong> shall mean any activity (or set of activities) which has been identified as financially and technically independent, has a set timeframe, is necessary for the implementation of a <strong>Project of Common Interest</strong> and for which a grant is sought under this call. An Action is made up of one or more activities.</td>
</tr>
<tr>
<td>A <strong>Project of Common Interest</strong> is a project or part of a project identified as being of common interest for the EU in the field of transport in the framework of Article 7 of the TEN-T Guidelines.</td>
</tr>
<tr>
<td>A <strong>global project</strong> refers to several technically and financially separated parts (including one or more Actions) that contribute to the completion of a high-level, indivisible objective.</td>
</tr>
</tbody>
</table>

---

4 Action, Global project and Project of Common Interest are further defined in the Glossary
the line (i.e. the global project) cannot start operations until all of the sections are complete.

Applicants are reminded that the evaluation will focus on the proposed Action and not on the global project to which the proposal relates. While applicants are requested to provide information on the global project in some parts of the application (A and D), the information provided should mostly relate to the Action for which financial support is requested.

5.2 Application Form Part A

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

**TENtec:** Part A must be encoded in the TENtec eSubmission module, whereas the other parts and any supporting documents/annexes must be uploaded to the TENtec eSubmission module. Please note that for application form part A, ONLY the information encoded in the TENtec system will be taken into account for the evaluation (notwithstanding the obligation to upload completed and signed versions of application forms part A2.2 and A2.3 (see below).

✓ The link to the TENtec eSubmission module ([https://webgate.ec.europa.eu/tentec/grant/esubmission/](https://webgate.ec.europa.eu/tentec/grant/esubmission/)) can also be found on the individual call webpages. The Word version of part A included on the call webpages is for REFERENCE ONLY. It is formatted slightly differently to how it is displayed in the TENtec Submission module user interface. For reference, the section numbers of the Word version are listed below in (parentheses).

✓ Tip: First download the Word version of part A to become familiar with the information required before inputting data in the TENtec eSubmission module.

**IMPORTANT:** Application Form Part A includes parts that require signature of the applicants (A2.2) and Member State validation (A2.3), which must be printed, signed, scanned and uploaded as separate documents. These are verified during the admissibility and eligibility checks, respectively. As indicated in sections 6 and 7 of the call text, a proposal will not be evaluated if it is not duly signed by the applicant(s) and if it does not provide the agreement of the EU Member State concerned.

✓ Any parts of the application form that require signatures of applicants or relevant authorities must be scanned and uploaded into the TENtec eSubmission module.

✓ Information included in the uploaded forms must correspond to the information included in the TENtec eSubmission module.

✓ The forms must clearly indicate to which proposal and to which applicant they correspond and they must be perfectly legible so that there can be no doubt as to words and figures.

✓ Forms not complying with the above-mentioned requirements will not be accepted.

Applicants' attention is drawn to the fact that for Application Form Part A, only the information encoded in the TENtec eSubmission module will be taken into account for the evaluation (notwithstanding the requirement to upload signed versions of Application Forms Part A2.2 and A2.3).
Please note that all items marked with an asterisk (*) in the TENtec eSubmission module indicate the minimum amount of information necessary to save the application in the system. Completion of all remaining fields is required for the final submission of the proposal.

In order to check the progress of the proposal completion, click on "Submit this Application". The list of missing elements will be displayed and must be completed before the proposal can be successfully submitted. In addition, the relevant incomplete sections on the left hand side menu will turn red. Completed sections will show a check mark (√). This feature can also be used as a checklist to ensure follow-up of the missing information, ideally well before the call deadline. Remember that any application submitted after the call deadline will not be considered.

Contributors panel

Access to the application may be provided to additional users, either in read-only mode or with editing rights. Click on the TENtec eSubmission module's "Contributors" section, which is the first link under the "Application Management" section in the Application Editor navigation list.
Click the "Add contributor" button and enter in the box as indicated the contributor’s exact e-mail address associated with his/her EU Login. Please note that only those users with an EU Login will be permitted. (See section 7 below for details on how to do this.)

Check the "Contributor restricted to read-only access" box if this person should only have read-only access to the application (i.e. no editing rights).

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

Only the owner of the application is able to finalise, submit, withdraw and reopen the application.

**Locking/unlocking an application in the TENtec eSubmission module:** If several users have access to the same application, the application is automatically locked as soon as one of the users starts to edit the information. After a contributor finishes editing, (s)he should click on the red "Unlock Application" box in the upper right corner of the screen before logging out of the session, in order that another contributor is able to edit.
Inputting any data will once again lock the application. Please note that no simultaneous editing is possible. Click on the "What's this?" link next to the "Unlock Application" for more information.

### 5.2.1 General information (A1)

Applicants should click on the "Edit" button under the "General information" section in order to edit the details entered during the creation of the application.
The fields entered when creating an application are automatically exported but can still be edited.

**Priority** and **sub-priority**: select from the drop down menu. For further information about the sub-priorities please refer to the work programme available on the call page.

**Proposal type**: choose studies or works. For definitions, see section 10 of this Guide.

Information on the **start** and **end date** of the proposed Action is displayed on the General information page but is not editable. The start and end date of the proposed Action will be calculated automatically based on the earliest starting date and latest end date of the activities of the Action.

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

The **End date** is the date on which the implementation of an Action is expected to be completed. The latest possible end date that can be encoded, as specified in section 12.2.2 of the call text is **31 December 2023**.

**Scope and objectives of the proposed Action**: Add a concise summary, which must be no more than 2000 characters. The description must address the Action that the proposal covers in a way that is understandable for the general public. This is of particular importance because this text will be used as you have drafted, with no additional proofreading, it in a publication detailing the results of the call.

This summary will be used in subsequent reporting on the results of the call, communication material, and if the proposal is selected for funding for the grant agreement, Clarity and conciseness are therefore important. More technical details can be provided in question 2.1 in application form part D.

At least the following main elements should be reflected in the description of the Action see more detailed drafting guidance in section 11:

- Where relevant, **the links between the Action and the global project**. Explain the context of the proposed Action in the framework of the global project, Corridor and Network, as applicable, as well as the region where they are located, and provide the necessary description of the infrastructure.

- **State the objective** of the proposed Action and its components.
• **Describe the scope** of the proposed Action, which refers to the extent of the coverage of the Action.

• **Explicitly spell out what the proposed Action aims to achieve** as deliverables and what the expected outcomes are.

**Twinned proposal:** if the application is twinned with another proposal (as indicated in section 7.3 of the calls for proposals), the application code or proposal number and title of the twinned proposal must be indicated in this section.

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

Twinning is not possible for the ERTMS call.

**Transport project information**

Click on the "Edit" button.

**Transport mode:** Indicate the transport mode/traffic management system which is addressed by the proposal. The drop down menu depends on the priority previously selected.

**Network type:** The system allows to indicate whether the proposal addresses the Core or Comprehensive Network.

**5.2.2 Applicants (Form Parts A2-A2.4)**

In this section, the applicant(s) must provide its official legal name, general administrative data and contact details.

In the TENtec eSubmission module’s "Applicants" section, applicants should click on the "Create new applicant" button.

**Legal entity (Form Part A2.1)**

**Legal status**

Applicants should provide the applicant's official legal name, general administrative data and its legal status among the following options (for definitions, see section 10 of this Guide):
1. Member State
2. Neighbouring/third country
3. Public sector undertaking or body established in the EU
4. Private sector undertaking or body established in the EU
5. Public sector undertaking or body established outside the EU
6. Private sector undertaking or body established outside the EU
7. International organisation
8. European Economic Interest Grouping
9. Joint undertaking

NOTA BENE: 'Branches' of a legal entity, which thus do not have a separate legal personality from the main legal entity, that apply under this Call need to select the status corresponding to the main legal entity.

Applicants without a VAT number may write "Not applicable" in the relevant box.

**Legal personality**

Applicants that fall within categories 3, 4, 5, 6, 8, and 9 must specify whether they have the legal personality in accordance with applicable national legislation. In the absence of legal personality, the applicants concerned must provide their statutes (or relevant abstracts) demonstrating that their representative has the capacity to undertake legal obligations on their behalf and offer guarantee for the protection of the Union's financial interests equivalent to that offered by legal persons.

**NOTA BENE**: 'Branches' of a legal entity, which thus do not have a separate legal personality from the main legal entity, must answer this question on the basis of the legal personality of the main legal entity.
This information is to be uploaded in the TENtec eSubmission module's "Supporting documents" section in the top part "Required documents related to the applicant(s)", using a single zip file if there are multiple documents.

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

Once the applicant is created, applicants should click on the applicant name in the summary table in the "Applicants" section to enter additional information related to the applicant.

**Person in charge (Form Part A2.2)**

**Person in charge:** In this tab, each applicant should provide the contact details of the person in charge of the proposal by clicking on the "Edit" button.
The person indicated under this section will be considered as the contact point of the applicant, if necessary, during or after the evaluation process. In the "Email" and "Confirm email" fields, you must include a valid email address containing the character @ and at least one full stop (.) Make sure to save any changes.

**Authorised representatives (Form Part A2.2)**

**Authorised representatives:** In this tab, each applicant should provide details about the person authorised to sign Application Form Part A by clicking on the "Edit authorised representative" button. The signed Part A2.2 containing these details must be printed and
signed by the authorised representative and then scanned and uploaded by the applicant in the TENtec eSubmission module.

A second authorised representative may be entered by clicking "Edit additional authorised representative" button. It should be noted that a second representative is optional and should only be added if the statutes of the applicant require joint representation.

Once all of the necessary information about an applicant has been entered, a green tick (✓) appears next to the name of that applicant.
**TENtec**: Once the information is entered in the system, applicants should go to "Download this application" section, download and print the form(s) A2.2, and sign and date for each applicant. The signed version of the form A2.2 must then be scanned and uploaded into TENtec eSubmission module as a separate and well-identified document. Please note that applicants must be able to provide the original document and send them to INEA/European Commission upon request.

Advanced electronic signatures based on a qualified certificate as defined by Regulation 910/2014 on electronic identification and trust services for electronic transactions in the internal market (eIDAS Regulation) and which comply with the signature formats specified in Commission Implementing Decision 2015/1506 will be accepted. If a document is e-signed, a printable version of the document must be uploaded in the TENtec eSubmission module.

Please note that if Application Form part A2.2 is not signed by all the applicant(s), the proposal will be considered not compliant with the admissibility conditions specified in section 6 of the call text and will not be further evaluated. In case of a multi-applicant proposal, the applicant concerned may be excluded from the proposal.

**TENtec**: Go to "Supporting documents" section and upload the signed version of the form A2.2 as a separate and well-identified document under "Signature of Applicant".

For a list of trusted certificate providers please see: https://ec.europa.eu/digital-single-market/en/eu-trusted-lists-trust-service-providers
Implementing body (Form Part A2.3)

Implementing body: This tab will appear only for applicants that are EU Member States or international organisations. All other applicants are not entitled to designate an implementing body (for the definition, see the Glossary in section 10 of this Guide).

This section should be completed only if an EU Member State or international organisation wishes to designate an entity as implementing body to be involved in the implementation of the proposed Action. If that is the case, applicants should click on the "Add implementing body" button and add the implementing body’s name, legal status and administrative information to allow its identification without ambiguity.

Approval Ministry (Form Part A2.3)
All applicants, except if the applicant is an EU Member State(s), require the approval of the EU Member State(s) concerned by the proposed Action.

Member States refer to States that are member of the EU.

"Member States concerned" are considered to be all Member States on the territory of which the Action will be implemented. If the territory of more than one Member State is concerned by the Action, more than one approval will be needed as relevant (see below).

In most cases the concerned Member State will also be the Member State of the establishment of the applicant. However, in cases in which an applicant takes part in a proposal located in a different Member State, the approval should be sought from the Member State where the Action is being implemented.

The "Approval Ministry" tab will only appear if one of the following categories is selected for legal status of the applicant:

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

Applicants should click on the "Edit Approval Ministry" button to add the details of the Authority of the EU Member State(s) responsible to approve the application and the name and contact details of representative(s) that is/are authorised to sign Application Form Part A2.3.
It should be noted that for multi-applicant proposals, this part of the application must be completed for each applicant, even if there is more than one applicant from the same country.

If more than one Member State is concerned by the proposed Action, Application Form A2.3 must be signed as many times as relevant. To do so, applicants should use the Word version of Application Form Part A available on the call webpage in order to collect the signature of all the concerned Member States. When no implementing bodies are designated, this is reflected in the part of Application Form Part A2.3 related to the Implementing Bodies by mentioning "not applicable".

Applicants must be able to provide the original documents and send them to INEA/European Commission upon request.

**TENtec:** Once the information is entered in the system, applicants should print form A2.3, and have it signed and dated by the concerned Member State(s). The signed version(s) of Application Form part A2.3 must then be scanned and uploaded into the TENtec eSubmission module as separate and well-identified document(s). The compliance with this requirement will be verified during the eligibility check phase of the evaluation. The completed and scanned A2.3 form with the DRAFT watermark will be accepted.
Advanced electronic signatures based on a qualified certificate\(^6\) as defined by Regulation 910/2014 on electronic identification and trust services for electronic transactions in the internal market (eIDAS Regulation) and which comply with the signature formats specified in Commission Implementing Decision 2015/1506 will be accepted.

It should be noted that if Application Form Part A2.3 duly signed by the Member State(s) concerned is not provided, the proposal will be considered not compliant with the eligibility criteria specified in the call text and will not be further evaluated. In case of a multi-applicant proposal, the applicant concerned may be excluded from the proposal.

**Box 5: Agreement of the EU Member State approving the proposal**

Under Article 9 of the CEF Regulation\(^7\), Member States are requested to provide proof of their agreement for the submission of the proposals asking for CEF funding which do not originate from their administrations. Such agreement allows the Commission to make sure that the Member State(s) concerned by a given proposal is/are duly informed of the proposal that is to be, or is being implemented, on its/their territory and/or implemented by a beneficiary established therein. The Member State approval therefore constitutes an endorsement of the application.

The EU Member State approval does not entail any commitment of the Member State to financially support the proposed Action and/or any liability in case of irregularities or errors.

In line with Article 22 of the CEF Regulation, 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 in which the Action is implemented.

Please refer to the model grant agreement for more details about this obligation (Article II.23), available on the call webpage.

The list of Member States contact points for this call is available on the call webpage.

Please note that a Member State may have a particular process in place for providing its approval for proposals under this call. It is strongly recommended that applicants contact the relevant Member State authority at an early stage of the preparation of proposals to clarify any specific procedures for obtaining such approval.

**Affiliated entities (Form Part A2.4)**

This tab should be completed only if an applicant (or any of the applicants in a multi-applicant proposal) wishes to designate one or more affiliated entities to be involved in the implementation of the proposed Action.

An "affiliated entity" is an entity affiliated to the beneficiary within the meaning of Article 187 of the Financial Regulation.

Click on the "Add affiliated entity" button and add the affiliated entity’s name, legal status and administrative information.

\(^6\) See footnote 5
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 Application Form Part B2 (see section 5.3.2 of this Guide). The compliance of the affiliated entities with the selection criteria will be checked at a later stage, for those proposals that are selected for funding and where the affiliated entities are the only ones implementing the proposed Action (see also further information on Application Form Part B in section 5.3 of this Guide).

**List of applicants and Coordinating applicant (Form Part A2)**

All applicants in the proposal will be automatically listed in this tab.
If there is more than one applicant in a proposal, the **coordinating applicant** section must be filled in.

Select from the drop down menu the legal entity that will act as the coordinating applicant. The person indicated to be the person in charge for this entity will automatically be considered the first contact point for the application if necessary during or after the evaluation process.

**The coordinating applicant** leads and represents all of the applicants and acts as the point of contact for the Commission or INEA during the application and evaluation phase. A coordinating applicant may not necessarily become the coordinator of the Action in the grant agreement if the proposal is selected for funding. The designation of a coordinator in the grant agreement would require formal designation by the other beneficiaries before the signature of the grant agreement.

TENtec: For applications with "Draft" status in the TENtec eSubmission module, the application's owner will receive one automatic email notification seven days before the call deadline and another one 24 hours before the deadline. Such notifications will also be received by the "Person in Charge" for the coordinating applicant. If there is no coordinating applicant, such notifications will be received by the “Person in Charge” for each applicant.

### 5.2.3 Location of the Action (Form Part A3.1)

In this section, applicants are requested to provide information on the:
- Member States, regions and third countries where the proposed Action is located;
- Map of the location of the Action in the Interactive map editor.
**Member States and regions:**

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

NUTS 2 classification is used for regions. For more information, see the following link: [http://ec.europa.eu/eurostat/web/nuts/overview](http://ec.europa.eu/eurostat/web/nuts/overview).
Neighbouring/Third countries:

If the Action is located or partly located in a neighbouring/third country, applicants should click on the "Add third country" button, which will open a new window. Select a country from the drop down menu and click 'Save'. Applicants should repeat the steps to add more third countries if necessary.

Interactive map editor:

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

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

5.2.4 Activities and Milestones (Form part A3.1)

**Activities:**

An activity is a part of the proposed Action that is distinct technically, financially or over time and that is necessary for the completion of an Action.

Click on the "Add activity" button and for each activity of the proposed Action, enter the activity name, description, start and end date and the applicant(s) responsible for its implementation.

For the ERTMS call, the activities can only be chosen from the drop-down menu and correspond to the categories of unit contributions. The applicant(s) responsible for its implementation do not need to be indicated here. The list of applicants will appear automatically in the costs table under “Financial information on the Action (Form Part A3.2)” (see below).
**TENtec:** Verifying milestones cannot be added to an activity before the activities themselves are added (see below).

The activity description should provide in a structured and concise way the following information:

- Specific objective: how the activity contributes/relates to the overall objectives of the proposed Action and what is the specific objective of the activity;
• Tasks to be performed: relevant quantitative information pertaining to the activity in question, including dimensions and capacity of infrastructure, etc.; and

• Deliverables: expected output/result, if possible in quantitative terms.

A more detailed description of the activities should be provided in section 2.3 of Application Form Part D.

**Milestones:**

Milestones indicate how the activity and its associated expected result(s) are progressing. A milestone is a significant event or stage in the lifecycle of the Action that allows the Action to be monitored over time. It provides the Action management team with a means to track the development of the Action at intermediate intervals.

Each activity should have at least two milestones related to it (i.e. start and end date) and, if relevant, one or more corresponding intermediate milestone. The number of milestones per activity will depend on the complexity of each activity.

By definition, milestones are one-off events and therefore the means of verification should be easy and concrete.

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

• Examples of means of verification include: publication of the notice of the tender to the appropriate media, the issuing of a certificate of acceptance, the signature of a contract by the last contractual party, date in an order notice to commence the works, etc. A deliverable can be also used as a mean of a milestone's verification.

To start encoding the milestones, the applicant should first click on the "Add milestone" button and then enter its description, summary, indicative completion date and means to be used to verify its achievement/completion. Repeat this step to add multiple milestones. Go back to the list of activities, click once on the selected activity and select the verifying milestone(s) for the activity. The operation should be repeated as necessary to attribute milestones to all activities.
Box 6: Recommendations

- Evenly distribute milestones all over the duration of the proposed Action.
- Include a sufficient number of milestones (ideally one per year per activity), particularly for activities of long duration or those that are very costly.
- Avoid concentration of milestones towards the end of the Action.
- The start-up event (which constitutes the start of the implementation period of the Action) and the end event (which constitutes the end of the implementation period of the Action) should be clearly indicated.
- The milestones must be consistent with the activity start and end date.
- Milestones must be "SMART": specific, measurable, achievable, relevant and time-related and must have clearly identified means of verification.

5.2.5 Financial information on the Action (Form Part A3.2)

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

Indicative breakdown of eligible costs by activity (except for ERTMS where unit contributions apply):

In this table, enter the breakdown of estimated eligible costs by activity, applicant and year.

First, indicate if the requested co-financing rate is 'single' (the same funding rate for all activities) or 'multiple' (different funding rates depending on activity). If the 'single' co-financing rate is selected, indicate the requested rate in the text box (up to two decimals
are allowed) and click on 'Apply co-financing rate'. The co-financing rate will be automatically pre-filled in the table. If the 'multiple' co-financing rate is selected, the co-financing rate must be entered per activity in the table.

The applicable funding rates are listed in the section 12.2.1 of the call text.

Then, click on each applicant involved in an activity and enter an indicative breakdown of estimated eligible costs to be incurred during the implementation of the proposed Action for that activity and applicant per year. Costs can only be entered for the years during which the activity is implemented and should be entered in the year they are incurred. If for any reasons there are no costs reported in one or more years during the reported period of the activity, please provide justification in question 2.3 of Application Form Part D.

All amounts must be in Euro (€) and no decimals can be encoded. The requested CEF funding will be automatically calculated.
Costs may be considered eligible at the earliest from the date on which the application is submitted and up to the date of completion of the Action, which should be 31 December 2023 at the latest.

For more information on eligible costs, see section 12.2.2 of the call text and Article II.19 of the model grant agreement.

In order to ensure efficiency in EU funding interventions, 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, except for proposals submitted under the priority Safe and secure infrastructure, for which the recommended minimum requested EU contribution can be of no less than €500,000. Where possible, related actions should be grouped and submitted as one proposal.

**TENtec:** In order to add costs in this table, the related activity and applicant(s) responsible for carrying them out must first be added in the "Activities and Milestones" section of the TENtec eSubmission module. If the activity lasts for more than a calendar year, the costs must be split per year. If the duration of an activity is reduced at a later stage, this may require adapting costs accordingly.

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**Box 7: Example of costs**

Activity X is added in the "Activities and Milestones" section with a duration from 1 July 2020 until 31 December 2023. The estimated costs related to the Action are:
- €180,000 for 2020
- €100,000 for 2021
- €100,000 for 2022
- €20,000 for 2023

The total cost of the activity is €400,000.

The applicant, after having encoded and saved the above data, realises that the end date of the Action is incorrect, as it should be 31 December 2022. When the duration of Activity X is reduced by one year (to 31 December 2022), the costs planned for 2023 (€20,000) will be automatically deleted. Consequently, the applicant also needs to modify, if relevant, the other costs in order to add the missing amount to arrive to €400,000 for the total cost.

**Sources of financing:** click on an applicant to indicate the financial contribution to eligible costs of the proposed Action (as defined in the Glossary) for each applicant from all applicable sources of financing. These can be:
- Requested CEF financing
- Applicants’ own resources
- EIB loan
- Other loans
- State budget(s)\(^8\)
- Regional/local budget(s)
- Income generated by the proposed Action
- Other sources\(^9\)

\(^8\) Should these state budgets contribute to the implementation of the Action please fill in Section II "Compliance with EU law on state aid" in the Application Form part C.

\(^9\) Such as other EU funds, CEF financial instruments, etc.
All amounts must be in Euro. The totals per category will be calculated automatically.

**TENtec:** The total eligible costs of the proposed Action in the "Indicative costs" table must match the total in the "Sources of financing" table.

**Financial information on the Acton (Draft N°: 27956530)**

**Indicative breakdown of estimated eligible costs by activity**

<table>
<thead>
<tr>
<th>Activity</th>
<th>2018</th>
<th>2019</th>
<th>2020</th>
<th>Estimated total eligible costs</th>
<th>Requested co-financing rate (%)</th>
<th>Requested CEF financing</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Activity 1</strong></td>
<td>590,000</td>
<td>590,000</td>
<td>0</td>
<td>1,098,000</td>
<td>20</td>
<td>209,000</td>
</tr>
<tr>
<td>Applicant 1</td>
<td>590,000</td>
<td>590,000</td>
<td>0</td>
<td>1,098,000</td>
<td>20</td>
<td>209,000</td>
</tr>
<tr>
<td><strong>Activity 2</strong></td>
<td>590,000</td>
<td>590,000</td>
<td>590,000</td>
<td>1,368,000</td>
<td>20</td>
<td>300,000</td>
</tr>
<tr>
<td>Applicant 2</td>
<td>590,000</td>
<td>590,000</td>
<td>590,000</td>
<td>1,368,000</td>
<td>20</td>
<td>300,000</td>
</tr>
<tr>
<td><strong>Activity 3</strong></td>
<td>590,000</td>
<td>590,000</td>
<td>590,000</td>
<td>1,368,000</td>
<td>20</td>
<td>300,000</td>
</tr>
<tr>
<td>Applicant 3</td>
<td>590,000</td>
<td>590,000</td>
<td>590,000</td>
<td>1,368,000</td>
<td>20</td>
<td>300,000</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>1,770,000</td>
<td>1,770,000</td>
<td>1,770,000</td>
<td>4,306,000</td>
<td>20</td>
<td>600,000</td>
</tr>
</tbody>
</table>

**Sources of financing**

<table>
<thead>
<tr>
<th>Beneficiary name</th>
<th>Requested CEF financing</th>
<th>Applicant’s own resources</th>
<th>EIB loan</th>
<th>Other loans</th>
<th>State budget(s)</th>
<th>Regional/local budgets(s)</th>
<th>Income generated by the proposed Action</th>
<th>Other sources</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Applicant 1</td>
<td>590,000</td>
<td>2,200,000</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Applicant 2</td>
<td>300,000</td>
<td>1,200,000</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>890,000</td>
<td>3,400,000</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>

**TENtec:** The "Requested CEF financing" field is pre-filled with data exported from the "Indicative costs" table. Therefore, this field and the corresponding column in the "Sources of financing" table are not editable.
For ERTMS the indicative CEF support is calculated automatically on the basis of the number of units encoded per applicant and per activity, so no indicative costs are to be encoded here.

Indicative breakdown of the estimated number of units:

In this table, enter the breakdown of estimated number of units per activity, per applicant and per year.

Click on each unit category (associated with the title of the activity) listed under each applicant involved and enter an indicative breakdown of estimated number of units for that unit category, per applicant and per year. The requested CEF funding will be automatically calculated multiplying the number of units by the total contribution per unit.

The applicable unit contributions are listed in the section 12.2.1 of the call text.
**Related Actions:** If the proposed Action is part of a larger project previously supported by any EU funding such as CEF, TEN-T, Marco Polo II, Cohesion Fund, FP7, Horizon 2020, IPA, ESIF, etc., click the "Add related Action" button. Provide the Action title, the name of the funding programme, the amount awarded in Euro and the reference number of the signed grant agreement or adopted grant Decision.

**Exchange rate:** If applicable, specify the exchange rate used when preparing the application. In converting to Euro, use the monthly accounting rate established by the Commission (ideally the rate of the month of submission of the application or, if not published at the time of the submission, the rate from the preceding month), available here: [http://ec.europa.eu/budget/contracts_grants/info_contracts/inforeuro/index_en.cfm](http://ec.europa.eu/budget/contracts_grants/info_contracts/inforeuro/index_en.cfm).
5.2.6 Translation information (Form Part A4)

Submission of the proposal in English is strongly encouraged as proposals will be evaluated in English.

Indicate whether the application form parts A, B, C, and D, and the cost-benefit analysis, as applicable are submitted in English or in a different language. In case one or more of these documents are provided in a different language, please indicate whether an English translation is provided (or will be provided by the deadline for the submission of translations).

INEA will reimburse translation costs up to €2,000 per proposal provided the proposal is found to be admissible in accordance with section 6 of the call text. For more details, please refer to section 9 of this Guide.

Annexes and other supporting documents do not need to be translated unless the applicant deems it necessary. Please consider that only the translation costs of the mandatory documents (Application Forms A, B, C, D, and the CBA, as applicable) will be reimbursed.

TENtec: Click on "Translation information" and then on each document listed in the table to open a new window. Select from the drop down menu the language of the document and indicate whether an English translation is provided (only for documents which are not in English). If applicable, provide an estimate of the overall translation costs in the text box, by clicking the "Introduce estimate" button.
5.2.7 Contribution to CEF objectives (Form Part A.5)

The questions in this section aim to measure the contribution of the proposed Action to the funding objectives specified in Article 4 of the CEF Regulation. Questions appearing in this section depend on the type of proposal and priority under which it is submitted. Information provided in this section must be consistent with the information elsewhere in the application form, where the applicants have the possibility to provide further explanations and clarifications about the proposal’s contribution to CEF objectives.
It is possible for a given proposal that specific questions regarding the contribution of the proposal to CEF objectives do not need to be completed. Applicants nonetheless have to explain and clarify the contribution of the proposal to CEF and TEN-T policy objectives elsewhere in the application form.

All questions that appear must be answered.

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

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

The full list of questions is reproduced below for information and further explanation on the type of replies expected. The questions will not appear for proposals addressing studies only:

1. List the bottlenecks which the action will remove

Article 3(q) of the TEN-T Guidelines defines bottleneck as a physical, technical or functional barrier which leads to a system break affecting the continuity of long-distance or cross-border flows and which can be surmounted by creating new infrastructure, or substantially upgrading existing infrastructure, that could bring significant improvements which will solve the bottleneck constraint.

If applicable, enter the name of the bottleneck. Indicate whether the bottleneck is on a cross-border connection. For bottlenecks on a cross border connection, indicate if the cross-border connection is new or improved. Only one bottleneck can be entered at a time. If the proposed Action removes different bottlenecks, click on 'Add bottleneck' and repeat the steps.

Within the meaning of Article 2(2) of the CEF Regulation and Article 3(m) of the TEN-T Guidelines, "cross-border section" means 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.

For ERTMS on-board Actions, the name of the bottleneck is “Rail Interoperability Improved".
2a. How many kilometres of railway line will the action adapt to the European nominal gauge standard?

If applicable, indicate the number of km to be adapted. Only full figures can be encoded (no decimals or separators can be encoded).

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

If applicable, indicate the number of km to be fit with ERTMS. Only full figures can be encoded (no decimals or separators can be encoded).

2c. For how many kilometres of the railway will the action fully electrify the line tracks and, as far as necessary for electric train operations, sidings?

If applicable, indicate the number of km to be fully electrified. Only full figures can be encoded (no decimals or separators can be encoded).

2d. For how many kilometres of the railway will the action improve freight lines of the Core Network as indicated in Annex I, at least 22.5 t axle load, 100km/h line speed and the possibility of running trains with a length of 740 m?

If applicable, indicate the number of km of the Core Network only. Only full figures can be encoded (no decimals or separators can be encoded).

3. How many kilometres of the inland waterway network will the action upgrade?

Select inland waterway class from the drop down menu (Class I-VII). Indicate the number of km of the respective class to be upgraded. Only full figures can be encoded (no decimals or separators can be encoded).

Only one class can be selected at a time. If the proposed Action concerns different inland waterway classes, click on 'inland waterway class' and repeat the steps.

4. How many supply points for alternative fuels for vehicles using the TEN-T Core Network for road transport will the action create?

Please select fuel type from the drop down list (CNG, electricity, hydrogen, LNG) and indicate the number of supply points for this alternative fuel type (parallel charging in the same point should be counted individually). If the proposed Action concerns supply points for several alternative fuel types, click on 'add fuel type' and repeat the steps.

5a. How many inland ports of the TEN-T Core Network will the action equip with supply points for alternative fuels?

Choose from the list of inland ports of the Core Network (according to Annex 2 of the TEN-T Guidelines) by clicking on the name of a port in the left hand box, followed by a right arrow, or by double-clicking on a port to be added. Select as many ports as covered by the proposal. To de-select a port, click on its name in right hand box, followed by a left arrow, or double-click on the name of the port to be de-selected.

5b. How many maritime ports of the TEN-T Core Network will the action equip with supply points for alternative fuels?

Choose from the list of maritime ports of the Core Network (according to Annex 2 of the TEN-T Guidelines) by clicking on the name of a port in the left hand box, followed by a right arrow, or by double-clicking on a port to be added. Select as many ports as covered by the
5.2.8 Completion of part A

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

Applicants are invited to pay attention to the following elements:

- **One A2.2 form is generated per applicant.** For multi-applicant proposals, sections A2.2 (i.e. the form that includes the administrative details and signature of
each applicant certifying its participation) must be dated and signed by each applicant. Each A2.2 form must be scanned and uploaded as a supporting document before proposal submission.

- If section A2.2 is not signed by an applicant, the proposal will be considered not compliant with the admissibility criteria specified in the call text and will not be further evaluated. In the case of a multi-applicant proposal, the applicant concerned may be excluded from the proposal which may negatively affect the outcome of the evaluation.

- **One A2.3 Form is generated per applicant.** Section A2.3 (i.e. the form certifying Member State approval) must be completed, dated and signed by the concerned EU Member State for each applicant (that is not a Member State), even if there is more than one applicant from the same country.

**NOTA BENE:** If more than one Member State is concerned by the proposed Action, the support of all Member States concerned by the proposed Action must be provided via the Application Form A2.3. Each applicant does not need to provide the support of all Member States concerned but at least of one.

Application Form A2.3 must be scanned and uploaded as a supporting document before proposal submission. Please see also the "Approval Ministry" section.

- If section A2.3 is not signed by the concerned Member State(s) (when required), the proposal will be considered not compliant with the eligibility criteria specified in the call text and will not be further evaluated. In the case of a multi-applicant proposal, the applicant concerned may be excluded from the proposal which may negatively affect the outcome of the evaluation.

- Applicants must keep the original documents and send them to the Commission/INEA services upon request. Note that successful applicants should keep these documents for a period of five years after the grant agreement signature.

- All supporting documents referred to in part A of the application must be uploaded in the TENtec eSubmission module "Supporting Documents" section and should be clearly named to allow their easy identification.

- Advanced electronic signatures based on a qualified certificate as defined by Regulation 910/2014 on electronic identification and trust services for electronic transactions in the internal market (eIDAS Regulation) and which comply with the signature formats specified in Commission Implementing Decision 2015/1506 will be accepted.

5.3 Part B: Administrative information

This part of the Application Form requests the administrative information on applicant(s) carrying out the Action and information used to demonstrate their compliance with the required financial and operational capacity (for those applicants needing to demonstrate it).

**TENtec:**
- Application Form Part B must be downloaded from the call webpage, duly completed and then uploaded in the TENtec eSubmission module.

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10 See footnote 5
For multi-applicant proposals, the relevant parts of Application Form Part B must be completed for each applicant.

- Application form part B must ALWAYS be provided, even if only section 4.1 is to be filled in.
- A proposal not including application form part B will be considered inadmissible and will not be further evaluated (see admissibility requirements in section 6 of the call text).
- This is also applicable if the proposal has submitted the parts B1, B2, B3 and/or B4, (if and as applicable) but not the application form part B itself.
- Applicants/affiliated entities failing to provide signed parts B1/B2, if applicable, will be considered ineligible (see eligibility requirements in section 7 of the call text)
- Information included in the uploaded forms must correspond to the information included in the TENtec eSubmission module.
- The signed forms must clearly indicate to which proposal and to which applicant they correspond and they must be perfectly legible so that there can be no doubt as to words and figures.
- Forms not complying with the above-mentioned requirements will not be accepted.

5.3.1 Legal Entity Form (Section 1)

All applicants (except EU Member States, regions or provinces, and neighbouring/third countries) as well as all designated affiliated entities need to provide the Legal Entity Form. The editable form can be downloaded in all EU languages from the following website: http://ec.europa.eu/budget/contracts_grants/info Contracts/legal_entities/legal_entities_en.cfm.

- The signed form should be scanned and uploaded into the TENtec eSubmission module as a separate and well-identified document in the "Supporting Documents" section under "Required documents for the application".

TENtec:
• Several additional documents referred to in the legal entity form must be clearly identifiable and must be uploaded under "Supporting Documents" section under "Additional documents for the application".

NOTA BENE: 'Branches' of a legal entity, which thus do not have a separate legal personality from the main legal entity, that apply under this Call need to provide the LEF corresponding to the main legal entity.

Box 8: Applicants that do not have a legal personality

Applicants that do not have a legal personality, as declared in Application Form Part A2.1, are requested to provide evidence that their representatives have the capacity to assume legal obligations on their behalf and offer guarantee for the protection of the Union's financial interests equivalent to that offered by legal persons by attaching to the application supporting documents to demonstrate that the representative of the applicant has the capacity to undertake legal obligations on its behalf (e.g. the statutes of the applicant or the relevant abstract thereof).

NOTA BENE: 'Branches' of a legal entity, which thus do not have a separate legal personality from the main legal entity, must provide the requested supporting documents related to the main legal entity where relevant.

5.3.2. Grounds for exclusion – form parts B1 and B2 (Section 2)

Section 7.2 of the call text refers to the situations which could lead to the exclusion of an applicant from participating in the call for proposals. Applicants must therefore sign a declaration confirming they are not in one of the exclusion situations when applying for EU funding.

Table 2: Requirements on exclusion criteria per type of applicant

<table>
<thead>
<tr>
<th>Type of applicant</th>
<th>Declaration to be completed, signed and uploaded</th>
</tr>
</thead>
<tbody>
<tr>
<td>All applicants (except EU Member States, regions or provinces, and neighbouring/third countries)</td>
<td>Application Form part B1</td>
</tr>
<tr>
<td>All designated affiliated entities</td>
<td>Application Form part B2</td>
</tr>
</tbody>
</table>

**TENtec:** The signed Application Form parts B1 and B2 should be scanned and uploaded into the TENtec eSubmission module in the "Supporting Documents" section under "Additional documents for the application".

The body or undertaking subject to the declarations made in part B1 and/or part B2 may be subject to rejection from the evaluation procedure and to administrative sanctions (exclusion or financial penalty) if any of the declarations or information provided as a condition for participating in this procedure prove to be false.

Evidence upon request
As specified in the Form part B1 and part B2, the Commission/Agency may request any entity subject to these declarations to provide information and the applicable evidence on any person that is member of an administrative, management or supervisory body (persons with powers of representation, decision or control with regard to that entity).

The Commission/Agency may request any entity subject to these declarations to provide the applicable evidence concerning the entity itself.

Evidence may be requested as follows:

- For situations described in (a), (c), (d), (f), (g) and (h) of section I of the Form part B1 and section II of Form part B2, production of a recent extract from the judicial record is required or, failing that, an equivalent document recently issued by a judicial or administrative authority in the country of establishment of the entity showing that those requirements are satisfied.

- For situations described in point (b) of section I of the Form part B1 and section II of Form part B2, production of recent certificates issued by the competent authorities of the State concerned is required. These documents must provide evidence covering all taxes and social security contributions for which the entity is liable, including for example, VAT, income tax (natural persons only), company tax (legal persons only) and social security contributions. Where any document described above is not issued in the country concerned, it may be replaced by a sworn statement made before a judicial authority or notary or, failing that, a solemn statement made before an administrative authority or a qualified professional body in its country of establishment.

If an entity has already submitted such evidence for the purpose of another procedure and provided that the submitted documents are still valid and that the time that has elapsed since the issuing date of the documents does not exceed one year, the entity will be requested to declare on its honour that the documentary evidence has already been provided and confirm that no changes have occurred in its situation.

5.3.3. Financial Identification Form (Section 3)

The applicant in a single-applicant proposal or only the coordinating applicant in a multi-applicant proposal must provide the completed financial identification form. It is important that the denomination (title) and the address of the account mentioned on the form are in conformity with what is recorded at the bank.

The official Financial Identification Form is available in all EU official languages at the following link:
http://ec.europa.eu/budget/contracts_grants/info_contracts/financial_id/financial_id_en.cfm
**TENtec:** The signed form should be scanned and uploaded into the TENtec eSubmission module as a separate and well-identified document in the "Supporting Documents" section under "Required documents for the application".

**5.3.4. Requirements on financial and operational capacity (Section 4)**

Indicate the applicable legal status among the following (consistent with what is selected in Application Form Part A2.1):

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

**NOTA BENE:** 'Branches' of a legal entity, which thus do not have a separate legal personality from the main legal entity, that apply under this Call need to select the status corresponding to the main legal entity.

As mentioned earlier, applicants falling under categories 1, 2, 3, 7, and/or 9 as listed above are exempted from providing evidence of their financial and operational capacity.

Applicants that fall under category 8 -in which at least one member is a public body- are exempted from providing evidence of their financial and operational capacity.

Applicants which fall under categories 4, 5, 6 and/or 8, (for category (8) -in which no member is a public body), must prove that they have the financial and operational capacity to carry out the proposed Action.

**Overview (Section 4.1)**

For all applicants, please indicate in the table whether the applicant needs to provide evidence of financial and operational capacity. If so, please confirm the relevant supporting documentation is provided with the proposal.
For multi-applicant proposals, rows in the overview table may be added as required.

If any documentation proving the financial and operational capacity from one or more applicants is missing, this must be explained in the box below the overview table.

**Financial capacity (Section 4.2)**

Applicants which are required to demonstrate their financial capacity must provide the following documents:

a) The Financial Capacity Check form as provided on the call webpage duly filled in

AND

b) Financial statements (i.e. balance sheet, income statement and cash flow statement) for the last financial year for which the accounts were closed.

OR, if an applicant has been operating for less than one financial year, the following documents are requested:

a) a letter of support obtained from a third party (e.g. the applicant's parent company) or by another applicant of the proposed Action

AND

b) the completed Financial Capacity Check form of the entity providing the letter of support showing 'satisfactory' or 'good' financial capacity as the result of the ratio analysis

AND

c) the financial statements for the entity providing the letter of support (i.e. balance sheet, income statement and cash flow statement) for the last year for which the accounts were closed.

**Financial Capacity Check form**

Applicants that do not fall in the exempted categories described above, must complete the Financial Capacity Check form available on the call webpage and upload it to the TENtec eSubmission module in Excel form together with supporting documents.

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 information in the financial capacity form on costs must be entered regarding only the proposed Action in the "Overview" worksheet (e.g. duration of the proposed Action, share of the applicant in the total costs of the proposed Action, CEF contribution requested) and not for the global project to which the Action relates or for activities that go beyond the Action.

The "Balance Sheet" and "Profit and Loss Account" worksheets must be filled in with information from the most recent completed annual accounting exercise of the organisation. It must be completed in the same currency as the supporting documents/financial statements. For ease of reference, the translated terminology which can be used by an applicant's accounting department is available in French, German and English in the "Translations" worksheet.
The co-financing ratio into Euro will be automatically calculated in a separate table using the exchange rate indicated by the applicant in the "Overview" worksheet.

The financial capacity ratios are calculated automatically and are shown in the "Ratio Analysis" worksheet.

If the form shows "There is an error in..." message in the result field, any indicated errors should be addressed before submission.

If the figures encoded in the Financial Capacity Check form are a result of grouping (adding) certain positions from the financial statements, please be sure to clearly cross-reference (link) these to each other. This will facilitate the financial capacity check and reduce the risk of being assessed as "weak".

Please note that the Financial Capacity Check form must be filled in separately by each applicant.

A "weak" conclusion does not automatically exclude the proposal from being evaluated. Indeed, the potential impact of the financial capacity check will be assessed on a case-by-case basis and may give ground to further steps. For example, applicants may be contacted during the evaluation period for additional information.

In the event the financial capacity is not satisfactory for a proposal that is selected for funding, the pre-financing payment may be subject to the receipt of a financial guarantee for up to the same amount as the pre-financing payment to be made. A financial guarantee is not necessary during the application stage.

**Financial statements**

Financial statements – balance sheet, income statement and cash flow statement – for the last financial year for which the accounts were closed must be enclosed with the financial capacity check.

Only those reference documents (or parts of documents) containing the data used to complete the Financial Capacity Check form must be uploaded in the TENtec eSubmission module. In the event that the figures encoded in the Financial Capacity Check form are a result of grouping (adding) certain positions from the financial statements, it is important to clearly cross-reference (link) these to each other thereby facilitating the capacity check and reducing the risk of being assessed as "weak".

**Operational capacity (Section 4.3)**

Applicants who must demonstrate their operational capacity need to provide appropriate documents attesting that capacity. They should include:

- a description of the profile of the people primarily responsible for managing and implementing the operation accompanied by *curriculum vitae*;
- a list of previous Actions and activities performed in the field of TEN-T infrastructure actions of the same kind;
- an inventory of the technical equipment, tools or facilities and patents at the disposal of the applicant and relevant for the Action (if relevant).
In addition, applicants are required to provide the organisations’ activity reports for at least the last year as supporting document to be annexed to the proposal.

For multi-applicant proposals only, the following information must be provided:

- a description of the consortium as a whole (including designated affiliated entities and/or implementing bodies) and how it contributes to achieving the objectives of the proposed Action;
- an explanation of what each participant’s contribution to the Action is and how the participants complement one another (and cover the value chain, where appropriate).

**TENtec:** All required supporting documents must be uploaded into the TENtec e-Submission module

**Table 3:** Overview of financial and operational capacity requirements per type of applicant

<table>
<thead>
<tr>
<th>Category of applicant</th>
<th>Supporting documents</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Member State</td>
<td>Exempted from providing information and documents to demonstrate financial and operational capacity</td>
</tr>
<tr>
<td>• Neighbouring/third country</td>
<td></td>
</tr>
<tr>
<td>• Public sector undertaking/body established in the EU</td>
<td></td>
</tr>
<tr>
<td>• International organisation</td>
<td></td>
</tr>
<tr>
<td>• Joint undertaking</td>
<td></td>
</tr>
<tr>
<td>• European Economic Interest Grouping in which at least one member is a public body</td>
<td></td>
</tr>
<tr>
<td>• Private sector undertaking or body established in the EU</td>
<td>Information and supporting documents to demonstrate operational and financial capacity are to be provided</td>
</tr>
<tr>
<td>• Public sector undertaking/body established outside the EU</td>
<td></td>
</tr>
<tr>
<td>• Private sector undertaking/body established outside the EU</td>
<td></td>
</tr>
<tr>
<td>• European Economic Interest Grouping (EEIG) in which no members are public bodies</td>
<td></td>
</tr>
<tr>
<td>• Designated affiliated entities</td>
<td>Documents demonstrating compliance of affiliated entities with financial and operational capacity requirements need to be provided only after the selection phase, only for those proposals selected for funding and only where the designated affiliated entities will be the only ones implementing the proposed Action</td>
</tr>
</tbody>
</table>

**Designated affiliated entities (Section 4.4)**

Designated affiliated entities must be specified in the table in part B listing which applicant they relate to and whether the affiliated entity will fully implement the proposed Action. They must also complete Application Form Part B2.

**Table 4:** Designated affiliated entities

<table>
<thead>
<tr>
<th>Applicant</th>
<th>Designated affiliated entity (as indicated in Application Form Part A2.4)</th>
<th>Does/will the affiliated entity fully implement the proposed Action? Yes/No</th>
</tr>
</thead>
</table>
5.3.5. Requirements for applicants that are neighbouring/third countries or entities established in neighbouring/third countries (Sections 5 and 6)

Section 7.1 of the call text stipulates requirements for applicants that are either neighbouring/third countries or entities established in neighbouring/third countries, in order to ascertain that their participation is necessary and indispensable to achieve the objectives of a given Project of Common Interest, as required by Article 9(4) of the CEF Regulation.

If possible, it is recommended that any proposal that includes applicants from neighbouring/third countries be submitted jointly with applicants established in the EU.

The following documents are required for applicants from neighbouring/third countries:

- agreement of an EU Member State concerned by the proposed Action (Application Form Part A2.3);
- the explanation on why the participation of the third/neighbouring country applicant(s) is necessary and/or indispensable (part B4).

AND

- If the Action includes works or studies with physical interventions in the territory of a neighbouring/third country, proof of the support of the neighbouring/third country authorities concerned by the Action (if this last is not the applicant (part B3).

Please note that these documents are requested in addition to the documents required under sections 1 to 4 of application form part B.

5.4 Part C: Compliance with Union policy and law

The purpose of Application Form Part C is to present information regarding the compliance of the proposal with EU policies and law, in particular on environmental protection, interoperability, road charging, road and tunnel safety, competition (state aid), public procurement and accumulation of EU funding sources.

Application Form part C is divided into seven sections:
i. Compliance with environmental policy;
ii. Compliance with EU policy on interoperability;
iii. Compliance with EU law on road charging;
iv. Compliance with road safety and tunnel safety Directives;
v. Compliance with EU law on state aids;
vi. Compatibility with EU law on public procurement;
vii. Other sources of EU financing.

Applicant(s) should first indicate whether the proposed Action relates to:
- studies without physical intervention
- studies with physical intervention
- Works

If the application is for a study, indicate if it entails physical interventions.

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

**Table 5: Overview of the sections of application form C to be filled per type of Action**

<table>
<thead>
<tr>
<th>Action category</th>
<th>Section of the application form C to be filled in</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>i</td>
</tr>
<tr>
<td>Studies without physical interventions</td>
<td>No</td>
</tr>
<tr>
<td>Works and studies with physical interventions</td>
<td>Yes</td>
</tr>
<tr>
<td>ERTMS on-board</td>
<td>No</td>
</tr>
</tbody>
</table>

Information in Application Form Part C, including environmental information, is only requested for the proposed Action submitted for financial aid and not for the global project to which it relates or activities that go beyond the Action.

If needed, however, the applicant may include documentation or information going beyond the proposed Action and related to the global project, if such documentation or information is indivisible.

While only one Application Form Part C is expected per proposal, it is possible to also submit the relevant parts of Application Form Part C per activity rather than for the entire Action, if it facilitates the process of collecting signatures from the various environmental authorities.

TENtec: Application Form Part C must be downloaded from the call webpage, duly completed and then uploaded in the TENtec eSubmission module.

**5.4.1 Compliance with EU environmental policy (section I)**

As indicated in table 5, only proposals including works and/or studies with physical interventions (e.g. destructive tests, excavations) are required to demonstrate their compatibility with EU environmental policy and have to fill in section I of the application form part C.

For Actions addressing ERTMS, SESAR, ITS, VTMIS, 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, this section only needs to be
completed if the physical interventions (e.g. installation of antennas) affect a site designated as protection zone under the Habitats Directive\(^\text{11}\) and Birds Directive\(^\text{12}\). For such Actions, Section I.6 "Actions with a potential impact on water - Water Framework Directive 2000/60/EC" needs to be completed only if the physical interventions are located in protected waters as defined in Article 1 of the aforementioned Directive.

In particular, applicants must provide information about consultation of all relevant environmental, nature conservation and water bodies and that the proposed Action complies with the environment-related EU Directives.

This section of Application Form Part C must only address activities that are part of the proposed Action, and not the global project to which it relates.

A proposed Action may include different activities in different locations or countries that might require approvals from different authorities. Therefore, this section of Application Form Part C can be completed as many times as the number of the respective environmental authorities which need to be consulted.

This section is not applicable to the ERTMS call, as it addresses only on-board deployment. Please fill-in the respective text boxes in section I with "Not applicable – ERTMS".

**Consistency of the project with environmental policy**

Under this section, applicants are requested to:

- describe how the project contributes and takes into account the environmental policy objectives. As guidance, consider the following: resource efficiency, preservation of biodiversity and ecosystem services, reduction of greenhouse gas emissions, and resilience to climate change impact;
- 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.

**Box 9: "Polluter pays" principle**

The "polluter pays" principle means that the environmental costs of economic activities, including the cost of preventing potential harm, should be internalised, i.e. borne by those that cause the environmental costs, rather than imposed upon society at large.

**Development consent**

Under this section, please explain whether development consent has already been granted to this Action.

- If yes, please specify on which date;
- If an appeal has or could be launched against the development of consent, please explain;
- If no, specify when the formal request was introduced and when the final decision is expected.


Please also specify which competent authority has given/will give the development consent.

Box 10: Development consent

Within the meaning of the EU environmental legislation (e.g. Directive 2011/92/EU), "development consent" means the decision of the competent national authority or authorities that entitles the developer to proceed with the Action.

Environmental Impact Assessment (EIA) Directive

In this section, applicants are required to prove compliance with the EIA Directive.13

First, specify whether the proposed Action falls under a class of development covered by
- Annex I;
- Annex II; or
- neither of the two Annexes of the EIA Directive.

Table 6: Documents to be provided to prove compliance with the EIA Directive

<table>
<thead>
<tr>
<th>Type of Action</th>
<th>Documents to be provided to prove compliance with EIA Directive</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Action falls under Annex I</strong></td>
<td>• non-technical summary of the EIA report;</td>
</tr>
<tr>
<td></td>
<td>• information on consultations with environmental authorities, the public and, if applicable, consultations with other Member States, carried out in accordance with Articles 6 and 7 of the EIA Directive;</td>
</tr>
<tr>
<td></td>
<td>• decision of the competent authority issued in accordance with Articles 8 and 9 of the EIA Directive, including information on how it was made available to the public.</td>
</tr>
<tr>
<td><strong>Action falls under Annex II and an EIA has been carried out for this Action</strong></td>
<td>• non-technical summary of the EIA report;</td>
</tr>
<tr>
<td></td>
<td>• information on consultations with environmental authorities, the public and, if applicable, consultations with other Member States, carried out in accordance with Articles 6 and 7 of the EIA Directive;</td>
</tr>
<tr>
<td></td>
<td>• decision of the competent authority issued in accordance with Articles 8 and 9 of the EIA Directive, including information on how it was made available to the public.</td>
</tr>
<tr>
<td><strong>Actions falls under Annex II and an EIA has NOT been carried out for this Action</strong></td>
<td>• a copy of the determination required in Article 4(2) of the EIA Directive (known as 'screening decision'), including justification that the project will not have significant environmental effects;</td>
</tr>
<tr>
<td></td>
<td>OR</td>
</tr>
<tr>
<td></td>
<td>• explanation on why the Action has no significant environmental effects on the basis of the thresholds or criteria established by the relevant national legislation (this information is not needed, if it is already included in the decision mentioned above).</td>
</tr>
<tr>
<td><strong>Action does not fall under either two Annexes of the EIA</strong></td>
<td>• Section 3.4 of Application Form C should be completed: the competent Authority must declare that the Action submitted for funding is not included in Annex I nor in Annex II of the EIA Directive.</td>
</tr>
</tbody>
</table>

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**Box 11: EIA Directive**

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](http://ec.europa.eu/environment/eia/home.htm).


**Strategic Environmental Assessment (SEA) Directive**

Under this section, applicants should provide information on whether the proposed Action is implemented as a result of a plan or programme and if so, whether such plan or programme was made subject to a strategic environmental assessment in accordance with the SEA Directive.¹⁴

**Table 7:** Documents to be provided to prove compliance with the SEA Directive

<table>
<thead>
<tr>
<th>Type of Action</th>
<th>Documents to be provided to prove compliance with SEA Directive</th>
</tr>
</thead>
<tbody>
<tr>
<td>The proposed Action does NOT result from a plan or programme (e.g. plan or programme prepared for the energy/transport sector, country planning or land use, etc.)</td>
<td>• N/A</td>
</tr>
</tbody>
</table>
| The proposed Action results from a plan or programme which was subject to a strategic environmental strategy in accordance with the SEA Directive | • non-technical summary of the Environmental Report carried out for the plan or programme - AND -  
• information required by Article 9.1 (b) of the SEA Directive (either an internet link of an electronic copy) |
| The proposed Action results from a plan or programme which was NOT subject to a strategic environmental strategy in accordance with the SEA Directive | • A short explanation should be added |

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Box 12: SEA Directive

The text of the SEA Directive can be found at: http://ec.europa.eu/environment/eia/sea-legalcontext.htm

Compliance with the Habitats Directive and assessment of effects on Natura 2000 sites

In this section, please indicate whether the proposed Action is likely to have significant effects on sites included or intended to be included in the Natura 2000 network, in accordance with the Habitats Directive15.

Table 8: Documents to be provided to prove compliance with the Habitats Directive and assessment of effects on Natura 2000 sites

<table>
<thead>
<tr>
<th>Type of Action</th>
<th>Documents to be provided to prove compliance with the Habitats Directive and assessment of effects on Natura 2000 sites</th>
</tr>
</thead>
<tbody>
<tr>
<td>The proposed Action is likely to have a significant effect on sites included or intended to be included in the Natura 2000 network</td>
<td>- decision of the competent authority approving the Action;</td>
</tr>
<tr>
<td></td>
<td>- the results of the appropriate assessment carried out in accordance with Article 6(3) of the Habitats Directive (this information is not needed, if it is already included in the decision mentioned under point above);</td>
</tr>
<tr>
<td></td>
<td>- a map (at a scale of 1:100,000 or the nearest possible scale) indicating the location of the Action and the Natura 2000 sites concerned; and</td>
</tr>
<tr>
<td></td>
<td>- only in cases where the competent authority has determined that the project has significant negative effects on the conservation objectives of one or more sites included or intended to be included on the Natura 2000 network and intends to allow the project, the following information should be provided:</td>
</tr>
<tr>
<td></td>
<td>o a copy of the standard notification form &quot;information to the European Commission according to Article 6(4) of the Habitats Directive&quot;, as notified to the Commission (DG Environment); and/or</td>
</tr>
<tr>
<td></td>
<td>o 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.</td>
</tr>
<tr>
<td>The proposed Action is NOT likely to have a significant effect on sites included or intended to be included in the Natura 2000 network</td>
<td>- completed, signed, stamped and dated Annex C-I &quot;Declaration by the Authority responsible for Natura 2000 sites&quot; by the authority responsible for monitoring Natura 2000 sites</td>
</tr>
</tbody>
</table>

**Box 13: Habitats Directive and impact on Natura 2000 sites**


**Application of the Water Framework Directive**

This section needs to be completed even if physical interventions are not located in protected waters as defined by Article 1 of the Water Framework Directive\(^{16}\), with the exceptions mentioned in the introductory paragraph.

If it is the case, indicate whether the proposed Action involves a 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.

**Table 9**: Documents to be provided to prove compliance with the Water Framework Directive

<table>
<thead>
<tr>
<th>Type of Action</th>
<th>Documents to be provided to prove compliance with Water Framework Directive</th>
</tr>
</thead>
</table>
| **The proposed Action DOES involve a 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** | • Assessment of the impacts on the water body and a detailed explanation of how the conditions under Article 4(7) of the Water Framework Directive were/are fulfilled.  
• Where appropriate, applicants should justify their explanations  
• Confirmation by the Authority responsible for water management of information provided in Application Form Part C |

---

<table>
<thead>
<tr>
<th>Type of Action</th>
<th>Documents to be provided to prove compliance with Water Framework Directive</th>
</tr>
</thead>
<tbody>
<tr>
<td>The proposed Action DOES NOT involve a 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 OR is NOT located in protected waters</td>
<td>• Confirmation by the Authority responsible for water management of information provided in Application Form Part C</td>
</tr>
</tbody>
</table>

**TENTec:** The support provided by a Member State to the proposal (in Application Form Part A2.3) does not substitute the signature of the relevant environmental authority under Annex C-I of Application Form Part C.

Please note that applicants must be able to provide the original documents and send them to the Commission/INEA services upon request.

**Box 14: Water Framework Directive**


**5.4.2 Compliance with EU policy on interoperability (railway actions and ERTMS only) (section II)**

Section II of the Application Form Part C must be completed for all proposals including construction of rail infrastructure or track-side deployment of ERTMS, whether on conventional or high speed lines, for the sections addressed by the proposal. All railway actions must comply with Directive (EU) 2016/797, where it has already been transposed into national law, or Directive 2008/57/EC on the interoperability of the rail system within the European Union and with relevant Technical Specifications for Interoperability (TSIs). Studies must anticipate carrying out the works in line with EU legislation.

Compliance with the TSI is compulsory. Should certain provisions of the 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 the TSI will be closely assessed by the Commission services.

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5.4.3 Compliance with the EU law on road charging (section III) - for road actions only

Section III of the Application Form Part C must be completed for all proposals subject to Article 7(f) of the EU Directive 1999/62/EC on the charging of the heavy goods vehicles for the use of certain infrastructures.

Box 15: EU law on Road charging


5.4.4 Compliance with Road safety and Tunnel safety Directives (section IV) - for road actions only

Section IV of the Application Form Part C must be completed for all road actions subject to the EU Directives 2008/96/EC and 2004/54/EC on road infrastructure safety management and minimum safety requirements for tunnels in the trans-European road network.

Box 16: EU requirements on Road and Tunnel safety


5.4.5 Compliance with EU law on State Aid (section V)

In section V of Application Form Part C, an explanation should be given if any state aid have been granted or are foreseen to be granted to the proposed Action that might be incompatible with competition law.

Box 17: EU Law on state aid

All Actions must comply with Articles 107–109 of the Treaty on the Functioning of the European Union. In particular, except 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.

In order to be compliant with the Treaty, the applicant shall put into evidence that such aid is granted without discrimination. The following aids, amongst others, may be considered to be compatible with the common market:
- Aid to promote the economic development of areas where the standard of living is abnormally low or where there is serious underemployment;
- Aid to promote the execution of an important project of common European interest or to remedy a serious disturbance in the economy of a Member State;
- Aid to facilitate the development of certain economic activities or of certain economic areas, where such aid does not adversely affect trading conditions to an extent contrary to the common interest.

Compatibility with EU law on public procurement (section VI)

Section VI of Application Form Part C shall be used to indicate whether public procurements planned during the implementation of the Action (as indicated in question 4.6 of Application Form Part D) are in compliance with EU law on public procurement.

Box 18: EU law on public procurement

The EU Public Procurement Directives 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.

5.4.6 Other sources of EU financing (section VII)

In section VII of Application Form Part C, indicate whether the proposed Action benefitted or is expected to benefit from other sources of EU financing. If yes, please note each source and the amount of EU financing (or expected EU financing) and where relevant, which proposed activity is concerned.

Box 19: Recommendation:

Ensure consistency of information with Application Form Part A3.2.

5.5 Part D: Technical and financial information

This part of the application form requests information on the proposed Action and the global project as defined in the TEN-T Guidelines which is necessary for the evaluation of the proposal.

The information provided must be complete, clear and self-explanatory. No request for further information, clarification or explanation will be made during the evaluation of the proposals. The absence/incompleteness of the information provided is likely to result in a lower score given by the external experts for the relevant award criteria, thus reducing the chance that the proposal will be selected. If information for a particular Section is not available/not applicable, this should be clearly explained and justified. In order to avoid repetitions, applicants may insert a cross-reference if the same information is already provided in other parts of the application.

Applicants are strongly encouraged to be concise and to keep Application Form Part D within the limit of 40 pages.
Table 10: Overview of Application Form Part D

<table>
<thead>
<tr>
<th>Application Form D overall structure</th>
<th>Related Sections/ questions</th>
</tr>
</thead>
<tbody>
<tr>
<td>General description of the project</td>
<td>• Section 1, questions 1.1 – 1.2</td>
</tr>
<tr>
<td>Description of the proposed Action</td>
<td>• Section 2, questions 2.1 – 2.5</td>
</tr>
<tr>
<td>Award criteria – Relevance</td>
<td>• Section 3, questions 3.1 to 3.6</td>
</tr>
<tr>
<td>Award criteria - Maturity</td>
<td>• Section 4, questions 4.1 to 4.8</td>
</tr>
<tr>
<td>Award criteria - Impact</td>
<td>• Section 5, questions 5.1 to 5.11</td>
</tr>
<tr>
<td>Award criteria - Quality</td>
<td>• Section 6, questions 6.1 to 6.9</td>
</tr>
<tr>
<td>Annexes</td>
<td>• Section 7</td>
</tr>
</tbody>
</table>

Box 20: Recommendations:

- Make sure to provide information for all the sections of the form and to substantiate any statements. Information provided should be complete and clear, taking into consideration the level of detail and the supporting data included. If information is not available/not applicable for a particular section, this should be clearly explained and justified.
- Make sure that the application is consistent and provides measurable information (i.e. Gantt charts, milestones, risks assessment, action plan and timetable).
- Avoid including conflicting or inconsistent information in various sections of the application, particularly for important issues, such as the purpose, costs or timeframe of the proposed Action.

**TENtec**: Application Form Part D must be downloaded from the call webpage, duly completed and then uploaded in the TENtec eSubmission module together with any requested supporting documents.

5.5.1 General Description of the global project including needs, objectives and financial information (Section 1)

Section 1 of the application D form aims to provide technical and financial information about the global project (and not on the proposed Action, which is described under section 2).

5.5.1.1 General description of the global project including needs and objectives (question 1.1)

If the proposed Action is part of a global project\(^{19}\), provide information on and description of the following aspects of the global project:

- general description of the global project and of the context within which the proposed Action fits; this may be a larger project, a master plan, a development plan, all of which fall under the definition of a global project;
- problems, needs and/or issues to be addressed by the global project;

\(^{19}\) For the definition of global project and of Action and for information on how they are interrelated, please see the Glossary and box 4 of this Guide.
objectives and aims of the global project;
- total cost budgeted for the global project, with breakdown by main set of activities and physical components that can be identified.
- management structure, associated stakeholders, their respective roles and responsibilities and contribution to the global project;
- current state of play, results and/or objectives achieved so far;
- other parts and activities of the global project that are planned to be implemented in parallel with or that are related to the proposed Action but do not form part of the proposed Action itself, and their interlinking with the proposed Action.
- Timetable of the global project and interdependence with the timetable of the Action (consistent with information to section 5.5.2.5) and relation of the Action with the progress on other activities comprised in the global project.

5.5.1.2 Financial Information about the global project (question 1.2)

This question is not applicable for ERTMS.

Indicate the financial contribution to the global project from all possible sources of financing, including the amount of expected or already received from ongoing CEF Transport grants for the global project (consistent with information included in application form part A3.2).

All amounts must be in Euro (€).

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

For the definition of global project, please see the Glossary in section 10 of this Guide. It is not required to enter information beyond the global project, for example regarding an entire Core Network Corridor, in this table.

5.5.2 Description of the proposed Action (Section 2)

Section 2 of the application form D aims to provide information about the proposed Action itself (and not on the global project, which is described under section 1).

The proposed Action must be presented as a stand-alone project, even if it is part of a global project (as described in section 1 of the application form).

This section should include:
- a) the justification for the proposed Action (i.e.: needs to be addressed, starting situation, objectives, contribution to the global project, achievements that will be delivered, expected results, etc.);
- b) its rationale and logic of intervention (i.e: proposed activities, interdependencies and planning, location, etc.).

Referenced to the global project should be made when requested by the specific questions as indicated here below.

The information provided under this section should be consistent with the description provided in Application Form Part A.

5.5.2.1 General description of the proposed Action, including needs and objectives (consistent with Application Form Part A1) (question 2.1)

Provide a description of the following aspects:
• Explain the context of the proposed Action in the framework of the global project, corridor and network as well as the region where they are located, and provide the necessary technical parameters of the infrastructure, as applicable.

• The needs that justify the proposed Action, the starting situation and the objectives of the Action.

• The scope of the proposed Action, which refers to the extent of the coverage of the Action rationale and logic of intervention (activities are to be detailed in question 2.3).

• What the proposed Action aims to achieve as deliverables and what the outputs are.

Examples of main objectives include (non-exhaustive list):
• Development and implementation of innovative safety technology
• Introduction of new services
• Harmonisation of signalisation
• Increased interoperability
• 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

List and explain 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.

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 proposed Action)
• Relevant (is important/relevant for the achievement of the main objectives)
• Time bound (can be measured within the framework of the proposed Action).

For each indicator, define the source(s) of verification that will be used to assess the extent to which the objective 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, methods used to collect the information should also be described.

5.5.2.2 Contribution of the proposed Action to the global project and expected results (question 2.2)

If the proposed Action coincides with the global project, this section is not applicable. If so, please indicate "not applicable as the proposed Action is the same as the global project".

In case the proposed Action is part of a global project, please provide a description of:
• how the proposed Action contributes to the implementation and final completion of the global project;
• the next phase(s) of the global project and how they relate to or depend on the completion of the Action; and
the expected results of the proposed Action and how it contributes to the achievement of the objectives of the global project.

5.5.2.3 Description of the activities of the proposed Action, including their interdependencies (question 2.3)

Provide a clear, structured and detailed description of the activities of the proposed Action. The description included in this question should be consistent with the summary provided in Application Form Parts A1 and A3.1.

It is important that the activities are proportionate to the size, complexity and duration of the proposed Action.

Each activity should be described following the below structure:

i) Specific objective: describe the specific objective of the activity and how this contributes/relates to the overall objectives of the proposed Action.

ii) Tasks to be performed: provide a description of the tasks necessary for the implementation of the activity. Provide relevant quantitative information pertaining to the activity in question, including dimensions and capacity of infrastructure, etc.

iii) Deliverables: list the expected outputs/results and quantify them, where applicable.

Please make sure to also indicate/describe:

- The duration of each activity and working assumptions on performance rates.

- The start and/or the end event of the activity as essential monitoring milestones (e.g. signature of contract, submission of a final report, end of works, etc.). In case an activity has started before the start of the proposed Action or is expected to be completed after the end date of the proposed Action, provide information on start/end dates of this activity. Do not use percentage values for completion degrees but describe in qualitative terms the completion level at the corresponding date. Moreover, in addition to the cost of the part of the activity to be performed during the implementation period of the proposed Action, provide information on the costs of the activity before and/or after the implementation period of the proposed Action.

- The interdependencies between the activities of the proposed Action (e.g. finish-to-start, start-to-start, finish-to-finish or start-to-finish). If there is no dependence between activities, this needs to be clearly stated. Explain whether an activity is on the critical path.

- The relevant stakeholders, implementing body/bodies, authorisation and approval procedures, lines of authority.

The information above should be coherent with and reflected in the graphical representation provided under question 2.5 of application form part D.

Each activity must be clearly detailed from both the technical and organisational point of view.

Clear structure of the different activities in terms of milestones, implementation period and costs will help the Commission to focus its support on activities where EU funding could bring the greatest benefits.

In case an activity contains interrelated distinct components, steps or phases, a proportionate description and information must be provided for each component.
Make sure that the yearly technical and financial plans of the proposed Action are consistent with each other. In case of inconsistencies (e.g.: activity X starts in year Y, but no costs are reported for this activity in year Y), an explanation should be provided.

Note that financing can be requested only for activities carried out during the eligibility period as specified in the call for proposals (see also section 5.2.5 of this Guide).

5.5.2.4 Description of the location of the proposed Action (question 2.4)

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

If a map is included in this question, it should aim only to facilitate the reading of the proposal.

A detailed map must be provided through the Interactive map editor accessible in the TENtec eSubmission module ("Location of the Action" section – entering a valid shape in the map editor is a requisite for submission). Refer to the GIS Data Submission User Guide, available on the call webpage, for guidance on how to use this tool.

5.5.2.5 Planning overview of the Action (question 2.5)

Provide as annex to Application Form Part D a graphical representation of the planning of the proposed Action (e.g. using graphic project management tools like Gantt, PERT, CPM), detailing the critical path as well as the milestones of the proposed Action and their interdependencies.

If the proposed Action is part of a global project, provide also the graphical representation of the global project, making sure that it covers the planning of both (the proposed Action and the global project) and that they are clearly and distinctively identified.

Make sure the planning is coherent with the information provided in the application form part A and question 2.3 of application form D.

5.5.3 RELEVANCE: contribution of the proposed Action to the TEN-T policy objectives and EU dimension (Section 3)

The following questions under section 3 of application form part D relate to the relevance of the proposed Action to TEN-T policy objectives, priorities of the call for proposals and work programme, as well as the EU added-value of the proposed Action.

It is important that statements are substantiated.

5.5.3.1 Contribution of the proposed Action to the TEN-T network (Core and/or Comprehensive) or classification as a Project of Common Interest (question 3.1)

Explain why the proposed Action is considered a Project of Common Interest according to Article 7 of the TEN-T Guidelines and how it contributes or links to the Comprehensive Network. Relevant information must also be encoded in the Application Form Part A in the "General information" section (see also section 4.1 "General information (A1)".
5.5.3.2 Contribution of the proposed Action to TEN-T and CEF priorities (question 3.2)

Specify how the proposed Action addresses TEN-T priorities, as defined in Article 4 of the TEN-T Guidelines (e.g. interoperability, intermodality, elimination of bottlenecks etc.). Describe any "network effect" produced by the proposed Action (or the global project) by linking with or complementing other TEN-T/CEF Actions.

5.5.3.3 Contribution of the proposed Action to the objectives of the priority/sub-priority under which it is submitted (question 3.3)

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

5.5.3.4 Contribution of the proposed Action to the internal market, the cohesion policy and promoting growth and jobs creation in line with the Europe 2020 strategy (question 3.4)

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

5.5.3.5 Cross-border section

This section is not applicable to the ERTMS call

The following series of questions aim to determine whether the proposed Action relates to a cross-border section and to describe any agreements between the concerned Member States or with concerned neighbouring country in this regard.

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 States and neighbouring/third countries concerned by the completion of the cross-border section (see section 7.3 of the call text).

5.5.3.5.1 Continuity of a project of common interest or of a Core Network Corridor (question 3.5.1)

Article 2(2) of the CEF Regulation and Article 3(m) of the TEN-T Guidelines define cross-border section 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.

The nearest urban areas on each side of the border means those including or close to ports, including passenger terminals, airports, railway stations, logistic platforms and freight terminals. In or around these urban areas, the transport infrastructure of the TEN-T network is connected with other parts of that infrastructure and with the infrastructure for regional and local traffic.

The definition of cross-border sections does not specify a precise distance between these urban areas and the border nor a precise distance between the urban areas themselves.

Grants for works addressing a cross-border section may benefit from a higher co-funding rate, as foreseen in Article 10(2) of the CEF Regulation.
A joint application is strongly recommended for proposals with cross-border sections, as a demonstration of the good coordination between the parties concerned.

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

This question aims at verifying whether or not any part of the proposed Action corresponds to the definition of cross-border section. Applicants should indicate “Yes” or "No".

If "Yes" is chosen, provide justification for classifying the proposed Action (or part of the proposed Action) as cross-border, indicate which Member States and, if applicable, neighbouring/third country(ies) are directly concerned and which activities each of them will be carrying out in the framework of the proposed Action. Please indicate which Core Network Corridors are addressed, if applicable.

If the information provided under this question is "No", the information provided under the following question 3.5.2 below should be "N/A".

5.5.3.5.2 Cross-border section agreement between Member States concerned and between Member States and neighbouring/third country(ies) concerned (question 3.5.2)

According to Article 7(2) of the CEF Regulation, transport-related Actions involving a cross-border section or a part of such a section shall be eligible to receive EU financial assistance only if there is a written agreement between the Member States concerned or between the Member State(s) and neighbouring/third country(ies) concerned relating to the completion of the cross-border section.

The written agreement should be signed by representatives of each Member State and, if applicable, neighbouring/third country(ies) at an appropriate level to ensure that the agreement will be implemented on both sides. No specific format or content is foreseen in the CEF Regulation or the TEN-T Guidelines for this agreement, as long as the support of the Member States and, if applicable, the neighbouring/third country(ies) concerned relating to the completion of the cross-border section, is clearly stated.

If such agreement has been concluded, check "Yes" and describe its main elements in the box and attach the agreement as an annex.

If there is no written agreement, check "No" and clearly explain this in the box.

If the reply to question 3.5.1 is "No", the reply to question 3.5.2 should be N/A.

- **This written agreement is an additional requirement to the application forms.**
- **Proposals submitted jointly by Member State(s) concerned and, if applicable, neighbouring/third countri(ies) relating to the completion of the cross-border section must also include information about the written agreement.**
- **Endorsement of the proposal by the Member State(s) concerned (signed application form part A2.3) and, if applicable, neighbouring/third countri(ies) (signed form B3) does not substitute the written agreement referred to in this question.**
5.5.3.5.3 Cross-border section joint commitments between Member States concerned and between Member States and neighbouring/third country(ies) concerned (question 3.5.3)

Indicate if there are any other joint commitments between Member States and, if applicable, neighbouring/third countries, in addition to the written agreement specified in question 3.5.3.

Such commitments could relate, for example, to a common financial plan or coordinated financial plans, a common timetable for the works, including a coordinated date of opening of service, agreement on coordinated procedures for assessing environmental effects and other similar arrangements.

If the answer provided is "Yes" – i.e. such commitments exist –, then clarify and detail (as appropriate) in the box and attach copies of the related documents as an annex, in particular any legally binding agreements.

5.5.3.6 Bottleneck (question 3.6)

This question is not applicable to the ERTMS call

Applicants should explain under this question whether the proposed Action addresses improving a bottleneck in the sense of Article 3 (q) of the TEN-T Guidelines, i.e. a physical, technical or functional barrier which leads to a system affecting the continuity of long-distance or cross-border flows and which can be surmounted by creating new infrastructure, or substantially upgrading existing infrastructure, that could bring significant improvements which will solve the bottleneck constraint.

If the answer is "Yes" – i.e. the proposed Action addresses such a bottleneck – indicate in the box which bottleneck(s) will be improved and which activities of the proposed Action will facilitate this.

Ensure consistency with the information entered in the Application Form Part A5, as explained in section 5.2.7 of this Guide.

5.5.4 MATURITY of the proposed Action (Section 4)

The assessment of the Maturity of the proposed Action will be based on the information contained in Section 4 of the Application Form D.

5.5.4.1 Approval of the proposed Action to commence the planned activities (at government, regional local level, including environmental approvals) (question 4.1)

Clarify if the proposal has received the necessary approvals to commence the proposed Action and planned activities at governmental, regional, local level, including environmental approvals. If received, provide information on these approvals; if not received, provide information on when these approvals are expected.

5.5.4.2 Political commitments to the proposed Action (and global project) (question 4.2)

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

5.5.4.3 Public consultation(s) (question 4.3)

This question is not applicable to the ERTMS call.

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

5.5.4.4 Readiness/technical maturity of the proposed Action (question 4.4)

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

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

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

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

Please explain if there are any authorisations of a technical nature that are critical to the start and completion of the Action such as connexion to grid, or other utilities, access to and use of land etc. Indicate if such authorisations have been obtained.

5.5.4.5 Building permits (question 4.5)

This question is not applicable to the ERTMS call.

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

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

5.5.4.6 Procurement (question 4.6)

Provide information on the procurement procedures needed to implement the Action.

5.5.4.6.1 Procurement in general (question 4.6.1)

Specify which procurement method has been selected for which part of the proposed Action.
5.5.4.6.2 Contracts already awarded and procedure(s) applied (question 4.6.2)

For each activity, explain the contracts already awarded and their typology. The status of the contract preparation is a good indicator of the proposed Action’s maturity.

5.5.4.6.3 Procurements planned during implementation (question 4.6.3)

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.

5.5.4.6.4 Pending legal/administrative/technical issues (question 4.7)

Describe any problems or issues of a legal/administrative/technical/other nature which remain to be settled before activities of the proposed Action can start (e.g. legal proceedings against the building permit, appeal against a contract award, authorisations, etc.) or that would delay completion of the Action. Please provide information coherent with the risk assessment grid in question 6.9.

5.5.4.7 Financial maturity (question 4.8)

Applicants are requested to provide information referring to the financial maturity of the project.

5.5.4.7.1 Envisaged financing model (question 4.8.1)

This question is not applicable to the ERTMS call.

If the proposed Action (or the global project that includes the Action) is not expected to generate revenues or it is expected to be funded through public budget this section is not applicable.

If the proposed Action (or the global Project that includes the Action) is expected to be financed also through financing (loans, equity or guarantee), mention under which model (or a combination thereof):

- “Recourse” financial structure where the repayment obligation may exceed the level of the sole revenues generated by the Action or global project, or is guaranteed with the existing own resources of the beneficiary.

- “Non-recourse” financial structure (whether or not involving a Special Purpose Vehicle), such as Project Finance where the repayment obligation toward the provider of the financing may not exceed the level of the revenues generated by the Action or global project.

Explain what considerations lead to the choice (or rejection) of any of the financing model above or if the decision is still pending, and explain why the selected model is considered to be acceptable to providers of financing.

Provide a diagram of entities participating to the financing structure, with their shareholders, indicating the various financial contribution envisaged and their nature.

5.5.4.7.2 Evidence on the status of securing the financial commitments for all funding and financing sources of the proposed Action (question 4.8.2)

This question is not applicable to the ERTMS call.
For each funding source listed in the tables in Application Form part A.3.2, 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:

- the amount and nature (capital or shareholders loan/equity bridge loan) of equity;
- the amount of financing sought from external lenders and status of discussion with lenders;
- the role (if any) of the EIB, and the status of discussions that have taken place within EIB to formalize EIB’s support; and
- the nature of the main financial facilities or guarantees supporting the implementation (primarily) and operation (such as working capital, letter of credit, guarantees);
- the EU financial Instruments that are requested for the financing of the project;
- the contribution in equity (or similar form with a similar degree of exposure) that is expected from industrial or financial partners that are not applicants
- the amount of public support (other than EU funding) and the nature/legal basis of such support.

Specify if the availability of all source of funds above is certain, and for any sources of financing which are not fully confirmed, describe the current status, the magnitude of due diligence still required, and provide supporting evidence of obtaining the funds. Indicate what the alternatives are if a specific source of financing would not be available.

Indicate what is the expected date when all sources of funds necessary to implement the project are confirmed and if applicable available for drawing. Indicate if the Action would start even if not all the funding is available.

5.5.5 IMPACT (Section 5)

IMPACT OF THE PROPOSED ACTION

5.5.5.1 Impact of the studies as a decision-making tool and/or in terms of policy-making and developing best practices (question 5.1)

This question is not applicable to the ERTMS call.

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

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

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

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

5.5.5.2 Demand analysis (question 5.2)

This question is not applicable to the ERTMS call.

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

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

If the evaluation carried out goes beyond the scope of the proposed Action, give an overview of the demand analysis of the global project and explain how it is related to the proposed Action.

Clarify if TEN-T/CEF or other EU programmes have provided financial support for the evaluation(s) and quantify this contribution.

5.5.5.3 **Alternative options considered to achieve the Action's objectives and feasibility** *(question 5.3)*

This question is not applicable to the ERTMS call.

If the proposal has been subject to an ex-ante evaluation, please provide details.

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

Outline the strategic and technical alternative options considered in the option analysis.

Summarise the multi-criteria analysis or any other method used to shortlist the alternatives and what have been the arguments used to exclude cheaper but still relevant solutions. Mention if climate change vulnerability and risk appraisal have been considered in the selection.

Summarise the findings of the simplified/high-level CBA comparison of the shortlisted options or any other method used that led to the final selection.

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

Clarify if TEN-T/CEF or other EU programmes have provided financial support for the ex-ante evaluation(s) and quantify this contribution.

5.5.5.4 **Economic and social effects of the proposed Action** *(congestion, modal split, interoperability, traffic management, safety and security, accessibility, service quality, health, environment and CO2 emissions)* *(question 5.4)*

Describe the expected positive and/or negative impacts of the proposed Action on time savings. If quantified in the CBA, mention the total monetary value of such impact (€ NPV) and the main assumptions in terms of quantities (e.g. change in number of hours) and unit values (e.g. €hour).

Describe the expected positive and/or negative impacts of the proposed Action on modal split.
Describe the expected positive and/or negative impacts of the proposed Action on safety and security. If quantified in the CBA mention the monetary value of such impact (€ NPV) and the main assumptions in terms of quantities (e.g. change in number of accidents, injuries and fatalities) and unit values (€ per accident).

Describe the expected positive and/or negative impacts of the proposed Action on the emission of air pollutants (such as Particulate Matter - PM$_{2.5}$, Nitrogen oxides - NO$_X$, Sulphur Dioxides - SO$_2$, etc). If quantified in the CBA mention the total monetary value of such impact (€ NPV) and the main assumptions in terms of quantities (change in tonnes or vehicle*km) and unit values (e.g. €tonne or €vkm).

Describe the positive and/or negative contribution of the Action to the Climate change targets (such as the Paris Agreement and the 2030 climate and energy framework). In particular specific if it helps reducing the emissions of greenhouse gases (GHG) and limiting global warming.

Explain how the Action is impacting upstream and downstream emissions (e.g. emissions from purchased electricity as well as full life cycle)

For works proposals submitting a CBA, also include the total monetary value of such impact (€ NPV) and the main assumptions in terms of quantities (avoided tonnes of GHG) and unit values (e.g. €tCO$_2$equivalent).

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

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

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

Describe the expected positive and/or negative impacts of the proposed Action on noise emissions. If quantified in the CBA mention the total monetary value of such impact (€ NPV) and the main assumptions in terms of quantities (e.g. change in number of trains) and unit values (e.g. €train).

Describe the expected positive and/or negative impacts of the proposed Action on congestion, traffic management, interoperability, optimisation of existing capacity and service quality. If quantified in the CBA mention the total monetary value of such impact (€ NPV) and the main assumptions in terms of quantities (change in number of vehicles) and unit values (e.g. €vkm).

For works proposals submitting a CBA, also include the main results of the economic analysis of the cost benefit analysis (ERR and ENPV) as a summary of the impact that could be quantified (see section 6.1.3).

If the scope of the economic analysis addressed by the CBA is different from the scope of Action explain to what extent findings of the CBA are relevant for the specific Action. Guidance on unitary values can be found in DG MOVE "Handbook on External Costs of Transport" (available here).

Please note that the aim of this question is to provide a summary of the main results of the CBA. Under no circumstances, and whatever is the length of the information provided, the information included under this or other questions may replace the obligation to provide a CBA report as stand-alone document and the CBA Cash Flow Template.
For studies proposals, provide the main results of socio-economic impacts resulting from studies and analyses already conducted, if any.

5.5.5.5 Other considerations (e.g. competition, regional and/or local development, land use and climate resilience) (question 5.5)

Please describe any other relevant consideration such as, for example:

- The expected positive and/or negative impacts of the proposed Action on regional and national competition.
- The expected positive and/or negative impacts of the proposed Action on regional and/or local development, and land use. Assess the positive and/or negative impacts on the neighbouring regions.
- If the proposed Action is linked to urban development plans, or if it will contribute to increasing the land value.
- How was climate change was taken into consideration when designing the project and its components, for example with regard to external forces (e.g. temperature differences, wind load, snow load) and impacts (e.g. heat waves, drainage, risk of flooding as well as prolonged dry periods affecting e.g. soil characteristics).
- Where significant risks were identified because of the project type or its location, what relevant measures to ensure the resilience of the project to the current and future climate

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5.5.5.6 Revenues and revenue potential (question 5.6)

This question is only applicable to proposals including a CBA.

Indicate whether, after the implementation of the proposed Action, the defined global project has potential to generate cash revenues taking into account the aspects described below.

Provide information relating to nature and diversity (in nature and scale) of entities providing cash revenues to the global project. Please indicate magnitude of number of paying users (or industry) and typical nature and duration of contractual agreements supporting the cash generation. In addition explain how the products/services will be marketed and which sale channels will be used.

Present a broad comparison of the price set for the Action with those of alternative good/services as well as a comparison of the prices with the willingness/capacity to pay of users. Provide a judgement on the sensitivity of users to prices and if they are captive.

Provide indications with respect to the degree of certainty of cash revenues, within the scope of an existing contractual agreement with a paying user. Address questions such as i) to what extent a portion of revenues can be considered as fixed after completion and ii) to what extent a portion of revenues may be variable (i.e. subject to performance of other duties, the nature of which should be briefly described.

Provide indication as to whether the defined global project may operate in an autonomous manner or if the expected level of revenues will materially depend on the completion of additional Actions (other than the proposed Action), such as investments, legal or political decisions.
If revenues may include a "Residual Value component" and especially relevant when projects or Actions involve movable assets (the cost of which may necessitate additional expenditure up-front), indicate how the upfront additional cost may be offset by lower operating or environmental cost, higher competitiveness or to a higher resilience to commercial/technical obsolescence.

5.5.5.7 Financial viability before CEF and other financial obstacles (question 5.7)

This question is only applicable to proposals including a CBA.

Describe how the lack of financial viability without any EU funding is an obstacle for the implementation of the Action. For works proposals submitting a CBA, also mention the value of the financial indicators before CEF (FRR(C) and FNPV(C))

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

The lack of financial viability could result from a misalignment between the risk profile and the discount rate. If this is the case, a proportionate risk premium can be added to the base financial discount rate (of 4%) in order to quantify the magnitude of the financial obstacle. In this case, the definition of such a risk premium needs to be duly substantiated, for instance, by the use of market references, Internal Rate of Return of the sector, Weighted Average Cost of Capital ("WACC"), etc. providing in each case relevant justification, and explaining why such reference is accurate measure of the financial risk of the project.

For Projects viable also without the EU Funding, then indicate if, without funding, the Project would experience delays or difficulties due to existing financial obstacles.

Please mention any other relevant financial obstacle.

5.5.5.8 Funding gap rate (question 5.8)

This question is only applicable to proposals including a CBA.

For works proposals, provide for all net revenue-generating projects, the calculation of the funding gap rate in accordance with section 6.1.2.1 of this Guide for Applicants. For projects that do not generate net revenues this section is also not applicable.

Table 11: Recommended form for the presentation of the funding gap rate calculation.

<table>
<thead>
<tr>
<th>Funding gap rate calculation</th>
<th>Amount in EUR</th>
</tr>
</thead>
<tbody>
<tr>
<td>a) Discounted revenues</td>
<td></td>
</tr>
<tr>
<td>b) Discounted costs</td>
<td></td>
</tr>
<tr>
<td>c) Discounted residual value</td>
<td></td>
</tr>
<tr>
<td>d) Discounted net revenues</td>
<td></td>
</tr>
<tr>
<td>e) Discounted investment cost</td>
<td></td>
</tr>
<tr>
<td>f) Funding gap (e-d)</td>
<td></td>
</tr>
<tr>
<td>g) Funding gap rate (f/e)</td>
<td></td>
</tr>
</tbody>
</table>

This table is replicated also in the CBA Cash Flow Template ("Output Funding Gap" Sheet) and data can be sourced from there.

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20 Cells C17 and C18 of the "Output Financial Analysis" Sheet of the CBA Cash Flow Template
The Funding Gap rate is calculated on the basis of the financial analysis of the CBA and is applied to the eligible costs of the Action (even in the cases when the CBA has a broader scope than the Action).

5.5.5.9 Effect of the EU financial support on the financial viability (question 5.9)

For studies proposals this section is not applicable.

Present the effect of the EU financial support on the financial viability. For works proposals submitting a CBA, mention the value of the financial indicators after CEF funding (i.e. assuming that CEF support is granted for the amount requested) (FRR(C after CEF) and FNPV(C after CEF)).

Compare the profitability achieved after CEF funding with national and international benchmarks for the sector.

For projects still not financially viable after CEF Funding:
- Explain why the applicant would still proceed with the project despite it insufficient financial viability.
- Illustrate how the project will be at least financially sustainable (i.e. not likely to default and not putting at risk the commitment from the EU budget). Unprofitable/non-viable projects can be sustainable if for example the project benefits from other supports (such as national/local grants or operational subsidies) or there are other sources of revenues that can compensate or the applicant has financial capacity to absorb potential losses or accept deferral of profits.
- For works proposals submitting a CBA, also confirm that the cumulated cash flows are always positive.

Explain whether CEF will permit or accelerate the project in comparison to a situation without the EU funding.

5.5.5.9.1 Stimulating effect of the EU financial support on public and private investment and financial leverage (question 5.10)

This question is not applicable to the ERTMS call.

Please provide your assessment on the capacity of the grant to trigger a bigger investment.

Express your opinion whether the CEF grant will help mobilising additional public and private funding. In particular conclude if the financial leverage has been optimised in terms of amount and duration.

5.5.5.9.2 Impact of CEF funding on the commitment of the different stakeholders (question 5.11)

Explain how the commitment of different stakeholders (public and private) could be reinforced with CEF funding.

In a similar way, please explain which would be the effects, in terms of commitment of stakeholders, if the Action is not allocated CEF funding.

21 Cells C30 and C31 of the “Output Financial Analysis” Sheet of the CBA Cash Flow Template
22 Row 73 of the “Output Financial Analysis” Sheet of the CBA Cash Flow Template
5.5.6 QUALITY of the proposed Action (Section 6)

5.5.6.1 Breakdown of eligible costs per cost category (question 6.1)
This question is not applicable to the ERTMS call.

List the estimated eligible costs per activity (and applicant if possible) per category of costs (e.g. staff, equipment, subcontracting, etc.), consistently with the information provided in Application Form Part A. Please add as many columns as necessary.

5.5.6.2 Description and justification of the level of resources needed for implementing the Action (question 6.2)
For each activity of the proposed Action, explain and justify the level of resources needed for implementing the proposed Action, with reference to the table in question 6.1 as relevant. These may relate to human resources, financial resources, buying equipment, etc. It is important to demonstrate the appropriateness of costs (in terms of both type and level of costs) needed for the implementation of the proposed Action.

5.5.6.3 Organisational structure (question 6.3)
Describe the organisational structure set up to implement the proposed Action. In particular, explain the distribution of roles and responsibilities between the different stakeholders in the proposed Action, the lines of communication and decision-making processes. Describe the main contractual arrangements.

Describe if the various governance bodies that will conduct the proposed Action have already been established; if member have already been nominated and what is the status of approval of governance rules and the degree of implementation.

If a special purpose company ("SPC") or vehicle ("SPV") is envisaged, indicate whether a shareholder agreement has been or will be prepared for the entity developing and operating the proposed Action. In the latter case, indicate which evidence exists as regards the degree of finalisation of the agreement.

List any pending decisions on the organisational structure.

5.5.6.4 Control procedures and quality management during implementation (question 6.4)
Describe the control procedures that will be put in place for the implementation of the proposed Action. Explain the main features of the quality assurance plan and quality control system that will be used during the implementation of the proposed Action.

5.5.6.5 Risk management methods and procedures (question 6.5)
This question addresses the proposed Action’s risk management more generally as a part of the project management approach. Only methods and major elements to be taken into account for risk management need to be described, whereas the detailed risks per activity of the proposed Action shall be described in the risk assessment grid under question 6.9.

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

Explain how these risks will be mitigated and describe the main features of any contingency plan available.
Where a risk management plan is not in place, explain the general approach to risk management.

5.5.6.6 Ex-post monitoring and audit(s) (question 6.6)

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.

5.5.6.7 Communication and visibility given to the CEF Transport co-financing (question 6.7)

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

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

Consult the "Publicity guidelines and logos" section of the INEA website for more information: https://ec.europa.eu/inea/connecting-europe-facility/cef-energy/beneficiaries-info-point/publicity-guidelines-logos.

5.5.6.8 Other information (question 6.8)

Provide any additional information which could be useful or should be taken into consideration during the evaluation of the proposal.

5.5.6.9 Risk assessment grid by activities (question 6.9)

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

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

5.5.7 Annexes (Section 7)

List and number all the annexes attached to the Application Form and upload them in the TENtec eSubmission module in the "Supporting Documents" section under "Additional documents for the application".
Box 22: About annexes

All relevant information for assessing the proposal must be provided in the Application Form. If additional information to support, illustrate or provide evidence in support of an element described in the Application Form is considered necessary, these may be included in annex.

Avoid sending extensive annexes, since only reasonable amounts of (supporting) information about relevant statements in the proposal can be processed during the evaluation. Executive summaries could be one way to provide information instead of entire documents.

Any supporting annexes included must be clearly referred to and the relevant parts summarised in the Application Form.
6 Cost-Benefit analysis

General provisions

According to Article 7(2)c of the TEN-T Regulation, a Project of Common Interest must "be economically viable on the basis of a socio-economic cost-benefit analysis (CBA)".

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

In line with these provisions, the works proposals, must be accompanied by a CBA proposing the co-funding rate requested for the proposed Action, while taking into account the maximum funding rates stipulated in the CEF Regulation. The CBA must be submitted as a standalone document. A minimum length of 20 pages is expected in this respect.

A checklist is provided to applicants to help addressing the CBA provisions. In particular this checklist will list all appropriate elements for a complete proposal and highlight key points assessed during the evaluation process. This checklist is available on the call website.

Proposals addressing the ERTMS call do not have to be accompanied by a CBA as the amount of the financial assistance to be granted, taking the form of unit contribution, is determined in advance on the basis of Decision authorising the use of unit contribution to support ERTMS deployment under the Connecting Europe Facility (CEF) - transport sector, dated 19 February 2019, available on the call website.

Proposals submitted under the priority "Intelligent Transport Services for road (ITS)" can replace a full Cost-Benefit Analysis by a Cost-Effectiveness Analysis (CEA).

Proposals submitted under "Safe and secure infrastructure", as long as they only address the implementation of standards laid down in the existing EU legislation, can also replace a full Cost-Benefit Analysis by a Cost-Effectiveness Analysis (CEA).

Proposals submitted under the Single European Sky – SESAR priority shall submit CBAs prepared for the specific Actions proposed and not the CBA of the Pilot Common Project (PCP).

6.1 Cost-Benefit Analysis

The CBA needs to comply with a methodology recognised by the concerned Member State(s). By signing Application Form Part A2.3, Member States confirm that a methodology recognised in the respective national context has been used.

It is strongly recommended to follow the Cohesion Policy CBA methodology for Major Projects, in order to simplify the process of project preparation under the CEF and ESIF funds. The Cohesion Policy Guide for the CBA methodology is available at the following link: http://ec.europa.eu/regional_policy/sources/docgener/studies/pdf/cba_guide.pdf.

Irrespective of the methodology applied, the CBA should contain both a financial and economic analysis of the project. These analyses would be supported by results of feasibility studies with demand and option analyses, sensitivity analysis and risk assessment. Therefore, the CBA document should be at least 20 pages long.

When submitting a CBA applicants shall also fill in and submit the "CBA Cash Flow Template" (available here) to present the results of the CBA in a common and simplified format.

In principle, the scope of the CBA should cover the proposed Action.
The CBA should be targeting a self-sufficient unit of analysis meaning that no essential component should be left outside the scope of the analysis. In general, a project can be defined as technically self-sufficient if it is possible to produce a functionally complete infrastructure and put a commercial service into operation without dependence on other new investments. If the proposed Action does not constitute such a unit, the CBA should be prepared for a broader perimeter rather than the specific Action and as last resort option the Global Project.

Usually the scope of the socio-economic analysis and the scope of the financial analysis are be the same.

6.1.1 Financial analysis

The financial analysis should address the financial profitability and financial sustainability of the proposed Action, or the global project (as per general provisions above). In this regard, the following key indicators are valuable analytic tools:

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

The calculation (substantiated with sequence of cash flows used) of the financial net present value (FNPV) of the investment and of the financial rate of return (FRR) of the investment should be provided in order to substantiate the need for the CEF grant. In this respect, the financial analysis should be consistent with the assumptions underlying the socio-economic CBA and relate to the same investment cost parameters and scope (or perimeter) of CBA.

The chosen time horizon and financial discount rate (FDR) should be stated and justified. Applicant may retain, for the purpose of the Financial Analysis of the CBA, a discount rate that exceeds the value for the financial discount rate recommended in CBA methodologies targeting public investment such as the Cohesion Policy Guide for the CBA methodology (i.e. 4%). If the applicant decides to use an higher rate, then the applicant should substantiate the level of the discount rate selected (i.e. if possible, by the use of market references, Internal Rate of Return of the sector, the level of its Weighted Average Cost of Capital "WACC" together with relevant explanation, etc.) and provide also an indicative calculation of the Financial net present value (FNPV) based on the recommended discount rate. If the Financial Discount Rate used exceeds the WACC, the applicant should provide an additional explanation of why the project is comparatively more risky than the average risk profile of the applicant, what are the other business segments (and their relative size) which are comparatively less risky than the one to which project belongs.

In cases where the operator and owner of the investment are different entities (e.g. in a PPP or a concession, or a rail infrastructure being used by rail operator(s)), a consolidated analysis should be carried out to determine the overall profitability of the Project. This consolidation will lead to a neutralisation of cash flows between owners and operators while still presenting all the in and outflows for this aggregated entity. Additional guidance on this point is available in the Cohesion Policy CBA methodology for Major Projects (page 86).

A "CBA Cash Flow Template" has been prepared for the applicant to provide a cash flows statement describing, on a yearly basis and for the duration of the reference period, the costs and revenues of the project.

When submitting a CBA this template is also required and is available on the call website.
This template, in addition to the FNPV and FRR of the investment, illustrates the financial profitability of the Project by providing a calculation of the financial net present value of capital and of the financial rate of return on capital, exclusive of the CEF grant, taking into account the sources of financing of the Project.

Financial sustainability is another useful indicator that is calculated in this template to demonstrate that, thanks to the EU funding, the cumulated cash flows should remain positive over the identified time horizon of the Project.

In addition, the template calculates the FRR of the investment after the CEF contribution ("Return on Investment after CEF"). This indicator is the rate of return of the capital expenditure outlays required by the Project, after deduction of the requested CEF grant, and of the net operating revenues (i.e. net of operating costs) generated by the Project and including the residual value, during the reference period.

**6.1.2 Funding gap**

Applicants are required to calculate the funding gap for all net revenue-generating Projects (except for Projects that are required to provide only a cost-effectiveness analysis).

For projects that are not generating net revenues (or revenues at all), it is not necessary to calculate the funding gap and applicants can request the maximum co-funding rate applicable to the specific priority.

For all the projects generating net revenues, the co-funding rate applied to the grant for the Action shall be the lowest amount of the following: (i) funding gap rate; (ii) the co-funding rate. This is because in the context of this call the "modulated co-funding amount" is the lowest between "funding gap amount" and the "co-funding amount". To determine the funding gap amount, the discounted net revenues (if any) generated by the Project must be subtracted from the discounted investment cost to determine the "funding gap".

Revenues and costs should be determined by applying the incremental method based on a comparison of costs and revenues in the scenario-with-the-project with costs and revenues in the scenario-without-the-project.

Only cash flows should be taken into consideration when calculating costs and revenues. This means all accounting items such as depreciations and reserves should be excluded.

For revenues, only cash in-flows directly paid by the users (such as charges borne directly by users of the infrastructure) should be considered.

For a project to fall under the definition of revenue-generating projects its discounted revenues should exceed discounted operating costs. For the definition of revenue-generating projects the residual value shall not be considered. However, the discounted net revenues used in the calculation of the funding gap should include the residual value of the investment.

Please note that unless transferred to users by a reduction of fares or compensated by an equal reduction in the operating subsidy, cost savings contribute to the potential of a project to generate revenues as defined above (discounted revenues – discounted operating costs). It follows that projects enabling operational efficiencies might fall under the definition of revenue generating projects for which the calculation and application of the funding gap is needed.
The table below is the recommended form for the presentation of the funding gap rate calculation in the Cost Benefit Analysis.

<table>
<thead>
<tr>
<th>Description</th>
<th>Calculation</th>
</tr>
</thead>
<tbody>
<tr>
<td>a) Discounted revenues</td>
<td>Discounted Revenues</td>
</tr>
<tr>
<td>b) Discounted costs</td>
<td>Discounted Operating Costs</td>
</tr>
<tr>
<td>c) Discounted residual value</td>
<td>Discounted Residual Value</td>
</tr>
<tr>
<td>d) Discounted net revenues</td>
<td>Discounted Net Revenues = Discounted Revenues - Discounted Operating Costs + Discounted Residual Value</td>
</tr>
<tr>
<td>e) Discounted investment cost</td>
<td>Discounted Investment Cost</td>
</tr>
<tr>
<td>f) Funding gap</td>
<td>Discounted Net Revenues - Discounted Investment Cost</td>
</tr>
<tr>
<td>g) Funding gap rate</td>
<td>Funding Gap / Discounted Investment Cost</td>
</tr>
</tbody>
</table>

After being defined in the CBA, the funding gap rate shall be used in the application form part A3.2 to define the appropriate EU co-funding rate. The additional steps of the calculation of the "modulated co-funding amount" are illustrated in the table below.

<table>
<thead>
<tr>
<th>Description</th>
<th>Calculation</th>
</tr>
</thead>
<tbody>
<tr>
<td>h) (Maximum) EU co-funding rate</td>
<td>Min (EU co-funding rate, Funding Gap rate)</td>
</tr>
<tr>
<td>i) Modulated EU co-funding rate</td>
<td>(g*h)</td>
</tr>
</tbody>
</table>

This presentational structure and calculation steps are replicated in the CBA Cash Flow template where the funding gap is calculated automatically. For project not generating net revenues, the CBA cash flow template will mention that the calculation of the funding gap is not applicable and applicants can request the maximum co-funding rate applicable to the specific priority.

Note that the co-funding rate requested in the indicative eligible costs table in application form part A3.2 should be the modulated EU co-funding rate.

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

- Main economic benefits (fuel savings, CO2 emission savings, productivity gains, delay savings, time savings, vehicle operating costs savings, accident savings, reduction of GHG and non-GHG emissions, reduction of noise emissions, quality of service improvements)
- Economic Net Present Value (ENPV) of the project
- Economic Rate of Return (ERR) of the project
- Social Discount rate used
- Time horizon (Reference period)

The purpose of the economic analysis is to confirm whether the project is worth the EU co-financing. A brief description of the methodology used and steps taken in the calculations (such as fiscal corrections, conversion of market to accounting (shadow) prices, monetisation of non-market impacts (corrections for externalities) that serve to clarify the conclusions of the analysis should also be included. Categories of externalities can be found in DG MOVE "Handbook on External Costs of Transport" (available here, with the annexes here).

The incremental analysis and the discounted cash flow methodology should be followed. The chosen social discount rate and time horizon should be stated and justified.
7 Procedure for Submission of Proposals

7.1 Deadline for submission

The deadline for the submission of proposals is Wednesday, 26 February 2020, 17:00.00 (Brussels local time).

All parts of the Application Form shall be submitted electronically through the TENtec eSubmission module before the abovementioned deadline:

- **Application Form Part A** shall be filled in directly in the TENtec eSubmission module.
- **Application Form Parts B, C and D** shall be duly filled in and uploaded in the TENtec eSubmission module ("Supporting documents" section, as "Required documents for the application") before the proposal submission.
- When required, the **CBA shall be submitted as a separate document** in the "Supporting documents" section, as "Required documents for the application" before the proposal submission.
- When required, the Financial Identification Form, Legal Entity Form and proof of capacity to undertake legal obligations, shall be uploaded in the "Supporting documents" section, as "Required documents for the applicant(s)" before the proposal submission.
- Annexes can be uploaded in the "Supporting Documents" section, as "Additional documents for the application"

For any parts of the application requiring **signatures** (i.e. forms A2.2, A2.3, part B1, B2 and B3), the signed and dated originals must be scanned and uploaded in the TENtec eSubmission module "Supporting Documents" section, as "Additional documents for the application". If a document is electronically signed, a printable version of the document must be uploaded in the TENTec eSubmission module.

**Proposals or parts of proposals sent to INEA by e-mail or as paper copies will not be accepted.**

TENtec: The submission of the proposal will not be possible, if any of the following documents are not uploaded and identified with a corresponding document name:

1) Application Form Parts B, C and D;
2) Financial identification form for the coordinating applicant.

7.2 Submitting the proposal

Once all the information has been completed and all of the Application Form Parts and supporting documents have been uploaded, the application's owner should go to the "Submit this application" section of the TENtec eSubmission module.

*This section will display any missing information that must be provided before the application can be submitted.*
After resolving all the error messages in this section, only the application's owner, meaning the user that has created the application, can submit the application. Click on the "Submit this application" button and re-confirm.
The proposal code, which is automatically generated during submission of an application, will appear in the right column of the onscreen table and on the printout of Application Form Part A following submission. This code will be used by INEA to identify the proposal during the evaluation as well as during all the subsequent steps, including if the proposal is selected for funding. Use this proposal code when communicating with INEA after the submission of proposal.

7.3 Automatic notification

After the proposal has been submitted, the user that has created and submitted the application (i.e. application's owner) will receive an automatic e-mail acknowledgement of receipt of the application. This e-mail should not be taken as an indication that the proposal is admissible, only that it was submitted.

The owners of applications with "Draft" status in the TENTec eSubmission module will receive one automatic email notification seven days before the call deadline, and another one 24 hours before the deadline, to remind them that they have applications pending submission. Such notifications will also be received by the "Person in Charge" for the coordinating applicant. If there is no coordinating applicant, such notifications will be received by the "Person in Charge" for each applicant.

7.4 Withdrawing, re-opening, re-submitting or deleting a proposal

Withdrawing a submitted proposal

Applicants who wish to withdraw an already submitted proposal may do so before the call deadline via the TENTec eSubmission module. Please note that only the application's owner (i.e. the user that has created the application in the first place) has the right to withdraw it.

Click on the "Withdraw" button under the Status column for that proposal and then click "OK" to confirm the selection.
The status of the proposal will change to "withdrawn".

When the application's owner withdraws an application, an e-mail notification is sent both to that person and to INEA for its records.

Please note that withdrawn proposals are still visible (read-only) in the system, and the contents can be consulted and/or copied and pasted into other applications by the application's owner and by any contributor to that proposal.

**WARNING:** Withdrawn proposals will **not** be taken into account for the evaluation.

Applicants who may wish to withdraw a proposal after the call deadline must contact INEA on the call helpdesk and request the withdrawal of their proposal in writing.

**Re-opening a submitted or withdrawn proposal**

It is possible to make changes to a proposal after submission but before the call deadline via the "re-open" functionality. The "re-open" functionality can be used in several cases:

- if the application's owner has withdrawn an application by mistake
- if the application's owner wishes to modify and/or add information to an already submitted proposal

Please note that only the application's owner (i.e. the user that has created the application in the first place) of the withdrawn/submitted proposal has the right to re-open it.

Go to the TENtec eSubmission module homepage. Click on the "Re-open" button under the Status column for that proposal and then click "OK" to confirm the selection.
Once the withdrawn/submitted proposal is re-opened, its status changes from "Withdrawn"/"Submitted" back to "Draft" and it can be edited and re-submitted until the call deadline. If a re-opened proposal is not re-submitted before the call deadline it will stay as "Draft" and, therefore, not submitted.

**WARNING:** It is not possible to re-open a proposal after the call deadline.

**Re-submitting a proposal**

To re-submit any re-opened proposal, the application's owner should go to the "Submit this application" section of the TENtec eSubmission module. This section will display any missing information that must be provided before the application can be re-submitted.

Only the application's owner (i.e. the user that has created the application in the first place) can submit the application. Click on the "Submit this application" button and reconfirm.

Please note that if the application is re-submitted, a new proposal code will be generated. Please retain this number for your own records. The latest submitted version of the proposal will be the only one taken into account for the evaluation.

**WARNING:** It is not possible to re-submit a proposal after the call deadline.

**Deleting a draft proposal**

The application's owner (i.e. the user that has created the application in the first place) has the possibility of deleting any draft proposals before they are submitted. Go to the "My applications" section of the TENtec eSubmission module and click on the "Delete" button in the Status column for that proposal.

**WARNING:** Please note that after a proposal is deleted, the deletion is permanent and the proposal cannot be recovered from the system. It is not possible to delete a draft proposal after the call deadline.

Please note that only the application's owner (i.e. the user that has created the application in the first place) of a draft proposal can delete it.
8 Further information or clarifications

INEA website and 2019 CEF Transport MAP call webpage

Applicants are encouraged to regularly consult the call webpage where further clarifications or information on the call may be published:


Applicants are also strongly encouraged to subscribe to the call updates, via the form available on the call page itself, in order to receive a notification whenever the call page is updated.

CEF Transport call helpdesk

Any specific questions related to this call must be addressed to the call helpdesk: INEA-CEF-Transport-calls@ec.europa.eu.

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

Questions related to the call should be submitted at the latest on 29 January 2020, to ensure sufficient time for the last update of the FAQs by 12 February 2020.

The helpdesk will respond individually up to the call deadline to questions of technical nature related to TENtec eSubmission module.

Processing of personal data

The reply to any call for proposals involves the recording and processing of personal data (such as name, address and CV). Such data will be processed pursuant to Regulation (EU) 2018/1725 on the protection of natural persons with regard to the processing of personal data by the Union institutions, bodies and agencies and on the free movement of such data. Unless indicated otherwise, the questions and any personal data requested that are required to evaluate the application in accordance with the call for proposal will be processed solely for that purpose by INEA.

Personal data may be registered in the Early Detection and Exclusion System by the Commission, should the beneficiary be in one of the situations mentioned in Articles 136 141 and 142 of the Financial Regulation. For more information see the Privacy Statement on the call page:

9 Reimbursement of translation costs

It is strongly recommended that proposals are submitted in English as the evaluation of proposals is performed in English. For proposals which are not in English, applicants (or coordinating applicants in case of a multi-applicant proposal) should provide translations in English of Application Forms parts A, B, C and D. Where a CBA is required, the CBA must also be part of the translated documents. Other supporting documents, including annexes and the CBA cash flow template, do not need to be translated.

Applicants providing translations of their proposals need to specify in Application Form Part A4 all of the relevant details (see also section 5.2.6 of this Guide). Translations must be uploaded in the TENtec eSubmission module's "Supporting Documents" section under "Additional documents for the application" at the latest by 04 March 2020, 17:00 Brussels time. No other supporting documents will be accepted after the call deadline. No other translations will be accepted after this date.

All parts of the proposal translated into English must be identical with the respective parts of the proposal submitted in the original language. It is the responsibility of the applicant to ensure the consistency between the original language version of the proposal and its English translation. Only the English version of the application will be evaluated.

INEA will reimburse translation costs up to the maximum of €2,000 per proposal, provided that the proposal is found to be admissible in accordance with section 6 of the call text. VAT is not considered eligible for reimbursement and as such only the net amount of the translation costs will be reimbursed.

The translation reimbursement requests have to be presented by 8 April 2020 at the latest. No other translation reimbursement requests will be accepted after this date.

In order to be reimbursed, the applicant must provide the following supporting documents:

i) The original reimbursement request (paper copy), using the template provided in this Guide (page 102) and sent to the following address:

European Commission – Innovation and Networks Executive Agency
2019 CEF Transport MAP call
W910 - 01/38
Avenue du Bourget, 1
1140 Brussels
Belgium

ii) A copy of the original invoice, which must include the following elements:

a. Full name and address of the applicant
b. The proposal reference number (i.e. the unique proposal code which is automatically generated by the TENtec eSub tool upon submitting a proposal),
c. Exact title of the proposal
d. Name and address of the translator/translation service company, including its/his/her official registration number, and
e. The unit price applied per word/line/page.

iii) A Legal Entity Form of the applicant or of the entity to which the payment should be made, duly filled in, together with the related supporting documents. The form is available at the following link: http://ec.europa.eu/budget/contracts_grants/info_contracts/financial_id/financial_id_en.cfm.
iv) A Financial Identification Form of the applicant or of the entity to which the payment should be made, duly filled in, together with the related supporting documents. The form is available at the following link: http://ec.europa.eu/budget/contracts_grants/info_contracts/legal_entities/legal_entities_en.cfm.

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

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

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

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

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

The request for reimbursement together with the supporting documents must be sent by registered port or by courier service to the address mentioned in point (i) at the latest on 8 April 2020 (as evidenced by the postmark). Applicants must keep proof of the date of sending and be able to present it upon request. Any document or request sent after the deadline will not be considered for reimbursement.

Any questions relating to reimbursement of translations should to be addressed to the call helpdesk: INEA-CEF-Transport-calls@ec.europa.eu.
2019 CEF Transport MAP call
TEMPLATE FOR REIMBURSEMENT REQUESTS

Date

Full name of the applicant:  
Bank account:  
Contact person:  
Phone number:  
Email address:

Unique proposal code:  
Complete title of the proposal:

Subject: Reimbursement of translation expenses

Under the terms foreseen in the 2019 CEF Transport MAP call for proposals, I would like to be reimbursed - within the maximum limit of €2,000 per proposal - for the translation costs incurred for the submission of my proposal(s) in its English version.

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

☐ a company  
☐ an individual

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

Full name and address of the translation service:

Translation service national registration number:

Signature of the applicant
10 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 automatic email sent to the application’s owner following submission of the proposal in the TENtec eSubmission module, confirming that the proposal has been successfully submitted.

Action: Pursuant to Article 2(8) of CEF Regulation, an Action should be understood as any activity (or set of activities) which has been identified as financially and technically independent, has a set time-frame and is necessary for the implementation of a Project of Common Interest. The application for funding under CEF is submitted for an Action, such as for preparatory studies or works. An Action is made up of one or more activities.

Activity: A part of a proposed Action that is distinct over time, technically and financially distinctive and that is necessary for the completion of an Action. Examples of activities for works include the purchasing of material and the construction of an overhead transmission line.

Affiliated entity: an entity affiliated to the beneficiary within the meaning of Article 187 of the Financial Regulation
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. The applicant is expected to become the grant beneficiary, if the proposal is selected for funding. There may be several applicants in a proposal.

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

B

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

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

Bottleneck: According to Article 3(q) of the TEN-T Guidelines, a bottleneck is a physical, technical or functional barrier which leads to a system affecting the continuity of long-distance or cross-border flows and which can be surmounted by creating new infrastructure, or substantially upgrading existing infrastructure, that could bring significant improvements which will solve the bottleneck constraint.

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

C

Call for proposals (or "call"): An announcement that opens parts of a work programme for proposals, including what type of actions are required with specific details regarding the nature of the actions that may be supported.
**CBA:** Cost-benefit analysis. A project specific cost-benefit analysis, which must demonstrate that the project is economically viable, pursuant to Article 7 (2) of the TEN-T Guidelines.

**CEF:** Connecting Europe Facility.


**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. The coordinating applicant will be contacted in the first instance should this become necessary during or after the application or evaluation process. A coordinating applicant may not necessarily become the coordinator of the Action in the grant agreement.

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

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

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

**Cross-border section:** Within the meaning of Article 2 (2) of the CEF Regulation and Article 3 (m) of the TEN-T Guidelines, 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.

**D**

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

**Development consent:** Within the meaning of the EU environmental legislation (e.g. Directive 2011/92/EU), development consent means the decision of the competent national authority or authorities that entitles the developer to proceed with the Action.

**Direct eligible costs:** 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 Article II.19 of the model grant agreement).


**EFSI:** European Fund for Strategic Investments. EFSI is an EU initiative launched jointly by the Commission and the EIB Group to assist in overcoming the current investment gap in the EU by mobilising private financing for strategic investments and SMEs.
Eligible costs: The same meaning as in the Financial Regulation. For a detailed description, see Article II.19 of 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 and which comply with eligibility criteria as laid down in Article II.19 of the model grant agreement. For Actions supported under this call, expenditure may be eligible as from the date the application is submitted at the earliest.

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

End date: The end date is the date on which the implementation of an Action is expected to be completed, which should be 31 December 2023 at the latest.

ERDF: European Regional Development Fund

ERTMS: European Rail Traffic Management System

ESIF: European Structural and Investment Funds. Among them are the European Regional Development Fund (ERDF) and the Cohesion Fund (CF).

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

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

FID: Final investment decision.

Financial Identification Form: A form to provide detailed information to identify a company/organisation. Applicants must provide the Financial Identification Form used by the Commission services. The form can be downloaded on the call website.


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 (i.e. several Actions), but the line (i.e. the global project) cannot start operations until all of the sections are complete.
**Grant**: Direct financial contributions covered by a written agreement, by way of donation, from the EU budget in order to finance either an action intended to help achieve an objective forming part of an EU policy.

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

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

**I**

**Implementing body**: As provided for by Article 2 (11) of the CEF Regulation, 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 under the 2018 CEF Transport call for proposals.

**INEA**: Innovation and Networks Executive Agency.

**International organisation**: see Article 156 of the Financial Regulation

**IPA**: Instrument for Pre-Accession Assistance

**ITS**: Intelligent Transport Services for road

**J**

**Joint Undertaking**: Joint undertaking refers to entities set up by the EU necessary for the efficient execution of Union research, technological development and demonstration programmes (Article 187 of the Treaty on the Functioning of the European Union).

**L**

**Legal Entity Form**: The legal entity form is intended to communicate legal co-ordinates so that they can be recorded in the "Legal Entity File (LEF)" managed by the Accounting Officer of the Commission. Under the terms of the regulatory provisions, the Agency cannot launch awarding procedures for a contract or a subvention, nor can proceed to the authorization of payments in beneficiary's favour, as long as co-ordinates are not recorded and centrally validated.

**M**

**Means of verification**: Means by which the completion of a milestone will be measured. It must be specific, measurable, achievable, relevant and time-related – 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.

**Member State**: State member of the European Union. In the context of the CEF, the Member State approval of an application may be provided by any Ministry entitled to represent the Member State authority. It is expected that applications under the CEF Transport calls would request the support of the Ministry competent in the area of transport policy and/or the CEF.
**Milestones:** Milestones indicate how the activity and its associated expected result(s) are progressing. A milestone is a significant event or stage in the lifecycle of the Action that allows the Action to be monitored over time. It provides the Action management team with a means to track the development of the Action at intermediate intervals. The number of milestones per activity will depend on the complexity of each activity.

**Multi-applicant proposal:** An application for CEF funding that is submitted by more than one applicant. It is strongly advised that a coordinator is indicated for multi-applicant proposals to facilitate communication with the Commission and INEA on the application (see also 'coordinating applicant').

**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**

**PERT:** Programme evaluation and review technique. A statistical tool used in project management designed to analyse and represent the tasks involved in completing a given project.

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

**Proposal:** This refers to the entire application including the application form parts A, B, C and D and their relevant annexes and supporting documents, as specified in the call for proposals.

**Proposal code:** code automatically generated by the TENtec eSubmission module upon the submission of a proposal for CEF funding.

**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. For the purpose of assessing the selection criteria as set in the call for proposals, will be assimilated to a public sector body, a body governed by public law that is:
(a) established for the specific purpose of meeting needs in the general interest, not having an industrial or commercial character; and
(b) having legal personality; and
(c) financed, for the most part by the State, or regional or local authorities, or other bodies governed by public law; or subject to management supervision by those bodies; or having an administrative, managerial or supervisory board, more than half of whose members are appointed by the State, regional or local authorities or by other bodies governed by public law

**R**

**RIS:** River Information Services

**S**

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

**Single-applicant proposal:** An application for CEF funding that is submitted by one applicant.
**Start date:** The day on which the implementation of an Action begins, as stated in the individual grant Agreement. It corresponds to the date from which costs are eligible. For Actions supported under this call, costs may be eligible at the earliest as from the date on which the application is lodged.

**Studies:** As provided for by Article 2 (6) of the CEF Regulation, 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. Studies with physical interventions are proposals in which the majority of the activities are studies, but where some physical intervention is undertaken, typically excavations for testing the ground.

**Studies with physical intervention:** Studies that imply physical interventions such as destructive tests, excavations, etc., aimed to define and develop a project fully and decide on its financing or final design.


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

**TENtec:** The information system for the trans-European networks, used for grant management cycle under the CEF.

**TENtec eSubmission module:** part of the TENtec eSubmission system which allows the electronic submission of the applications for CEF funding.

**Third country:** Any neighbouring country or any other country with which the Union may cooperate to achieve the objectives pursued by the CEF Regulation.

**Unique identification number:** A unique code composed of eight digits which is assigned to an application, once it is created in the system. The applicant can communicate with INEA using this unique identification code (or application number) before submission of the application. The proposal receives a specific proposal code, once the application is submitted (see "proposal code").

**Works:** As provided for by Article 2 (5) of the CEF Regulation, 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 for a specific period that sets out the objectives and results expected.
Guidelines for drafting the description of the Action (application form part A1)

In the section below you will find guidelines and tips to ensure that the description of the Action to be provided in application form part A1 is understandable to the general public. This is of particular importance because this text will be used as you have drafted it, with no additional proofreading, in a publication detailing the results of the call.

The writing process

Plan your messages and their order:
- Consider the level of detail needed for your intended audience(s)
- Make a clear, logical plan of what you want to communicate before you start writing

A paragraph at a time:
- consciously write one paragraph applying the key points of clarity and conciseness
- check it before you move on to the next one

Edit and proof your text schematically.

Tips for clear writing

KISS rule (Keep It Short and Simple):
- Avoid using acronyms or give too technical details
- Put the main message first and give details or reasons after
- Write sentences with no more than one linking word
- Organise sentences in paragraphs with no more than 4-6 lines (= 3 to 4 sentences)
- Be concise and to the point (avoid redundancies)
- Prefer the active over the passive

Some useful linking words

<table>
<thead>
<tr>
<th>Addition</th>
<th>Contrast</th>
<th>Time/Order</th>
<th>Cause &amp; Effect</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Notwithstanding</td>
<td></td>
<td>Hence</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Thus</td>
</tr>
<tr>
<td>Moreover</td>
<td>Nevertheless</td>
<td>Firstly</td>
<td>Therefore</td>
</tr>
<tr>
<td>Furthermore</td>
<td>Nonetheless</td>
<td>Finally</td>
<td>Consequently</td>
</tr>
<tr>
<td>Additionally</td>
<td></td>
<td>While</td>
<td>As</td>
</tr>
<tr>
<td>In addition (to)</td>
<td>However</td>
<td>When</td>
<td>Since</td>
</tr>
<tr>
<td></td>
<td>Although</td>
<td>After (that/which)</td>
<td>As a result</td>
</tr>
<tr>
<td></td>
<td>Though</td>
<td>Subsequently</td>
<td>As a consequence</td>
</tr>
<tr>
<td></td>
<td>Despite</td>
<td>Previously</td>
<td></td>
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<tr>
<td></td>
<td>In spite of</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Besides</td>
<td>But</td>
<td>Then</td>
<td>So</td>
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<tr>
<td>Also</td>
<td>At first</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Too</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Example</td>
<td>Emphasis</td>
<td>Reason</td>
<td></td>
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<tr>
<td>------------------</td>
<td>--------------</td>
<td>-------------------</td>
<td></td>
</tr>
<tr>
<td>For instance</td>
<td>In fact</td>
<td>Owing to</td>
<td></td>
</tr>
<tr>
<td>For example</td>
<td>Indeed</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Such as</td>
<td>Primarily</td>
<td></td>
<td></td>
</tr>
<tr>
<td>e.g.</td>
<td>not only…but also</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Because (of)</td>
<td></td>
<td></td>
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<td></td>
<td>Due to</td>
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<td>As</td>
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</tr>
<tr>
<td></td>
<td>Since</td>
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</tr>
</tbody>
</table>

**Some common drafting issues**

- Names of rivers, railway sections, road sections: the proper names always go before the infrastructure, i.e. the M river - NOT the River M; the B to L railway section - NOT the railway section B to L
- The divisor for thousands is the comma ",” - as in €10,000,000 (ten million).
- Distances: 25 km (no capitalisation of km and insert space)
- Please use British English, i.e. standardisation NOT standardization / metres and NOT meters
- You WILL need a hyphen for: cross-border, pan-European, Public-Private Partnership
- You WILL NOT need a hyphen for: ongoing

**Example**

The proposed Action concerns the construction of a new railway line between A and B. It is part of the A-B-C global project.

The line runs for approximately XX km, mainly in natural tunnels, and interlinks with the existing network.

The proposal will address a missing link on the X Core Network Corridor and is vital for the future development of passenger and freight traffic alike. The line will allow for the shifting to rail of a significant proportion of current road freight traffic.