



**Call for proposals for projects of common interest
in the field of the trans-European transport network
under the Annual Work Programme 2011**

1. INTRODUCTION

1.1. Subject:

This call for proposals is established under the 2011 Annual Work Programme as amended¹. The work programme defines the objectives, the specific priorities, the results expected in relation to this call as well as the eligibility and award criteria and the maximum possible co-financing rates.

1.2. Date of publication:

The date of publication of this call is 10 January 2012.

1.3. Indicative budget:

The indicative budget available to support projects selected under the 2011 annual call is €200 million.

2. OBJECTIVES

2.1. Objectives:

The objectives of the five priorities of this call are defined in Section 2 of Annex bis of the 2011 Annual Work Programme as amended.

The first objective (under Priority 1) is to promote the development of an integrated and environmentally friendly transport system. This will include studies and works for inter-modal platforms and the interconnection nodes of different modes of transport, with the objective of increasing the contribution of 'low carbon' transport modes to freight transport.

The second objective (under Priority 2) is to promote infrastructure development contributing to mitigation and adaptation to climate change, through studies and the preparation of deployment projects facilitating the introduction and use of new technologies and alternative fuels, as well as through studies and works supporting the reduction of the impact of maritime transport on air pollution.

¹ Commission Decision C(2011)1776, as amended by Commission Decision C(2011)9531

The third objective (under Priority 3) is to accelerate/facilitate the implementation of TEN-T projects, with the aim of creating a mature project pipeline for 2014 and beyond. This will include studies for all modes and works for mature projects in the rail, road, ports and inland waterways sectors, and projects aiming at European network benefits in support of the Single European Sky (SES) policy.

The fourth objective (under Priority 4) is to increase the involvement of the private sector in the development and financing of Union-supported transport infrastructure projects, notably through the implementation of Public-Private Partnerships (PPPs). The priority seeks to support the feasibility analysis of a PPP arrangement as part of early-stage project development as well as to assist more mature projects, having already chosen a PPP arrangement as their preferred structure, to continue to develop the PPP.

The fifth objective (under Priority 5) is to support the long term implementation of the TEN-T network, in particular the development of corridors that shall enable a coordinated implementation of the network, by supporting projects embedding multimodal aspects, investment options and efficient managerial structures.

2.2. Specific priorities:

Priority 1: Promote the development of an integrated and multi-modal transport system

The specific priorities of Priority 1 are defined in Section 3.1 of Annex bis of the 2011 Annual Work Programme as amended.

Priority 2: Promote infrastructure development contributing to mitigation and adaptation to climate change and reducing the impact of transport on the environment

2.a) Studies and preparation of deployment projects contributing to mitigation and adaptation to climate change (GHG emissions)

The specific priorities of Priority 2.a) are defined in Section 3.2 of Annex bis of the 2011 Annual Work Programme as amended.

2.b) Studies and works supporting the reduction of the impact of maritime transport on the environment (air pollutants)

The specific priorities of Priority 2.b) are defined in Section 3.2 of Annex bis of the 2011 Annual Work Programme as amended.

In particular, proposals can address the development of one or several infrastructures and facilities in ports that will contribute to reducing the impact of maritime transport on the environment (air pollutants), e.g. shore-side electricity, LNG, reception facilities for residues from scrubbers, etc. Provision for compliance with future standards, e.g. regarding LNG installations, must be addressed comprehensively in the proposal. To receive EU support the relevant infrastructure must be accessible to any user on a fair and non-discriminatory basis.

Priority 3: Accelerate/facilitate the implementation of TEN-T projects

The specific priorities of Priority 3 are defined in Section 3.3 of Annex bis of the 2011 Annual Work Programme as amended. Particular priority will also be given to actions supporting future developments on the TEN-T network for the transport modes addressed by this Priority in the Work Programme.

Priority 4: Support to Public Private Partnerships (PPPs) and innovative financial instruments

The specific priorities of Priority 4 are defined in Section 3.4 of Annex bis of the 2011 Annual Work Programme as amended.

Public-Private Partnerships are a viable alternative to a traditional procurement when it can be demonstrated that a proposed PPP model provides value for money for the public sector. In order to properly assess value for money, a business case must be developed that assesses possible procurement options for a given project and identifies an optimal model.

To this end, the following Actions could be supported:

a) Projects that are more advanced in their development of a PPP solution, having already demonstrated value for money in the initial assessment studies, may wish to apply for funding for additional technical or financial studies necessary to refine the business plan including:

- 'proof of concept' studies related to design or technical innovation
- technical studies necessary in order to define output specifications
- further risk analysis and risk transfer pricing models
- financing studies, which may also include studies relevant to the consideration of capital market financing solutions, detailed revenue generation models
- Preparation of tender documentation, including PPP model contract, ie. Design, Build, Finance, Maintain (DBFM) contract

b) Studies that constitute a project screening procedure that incorporates a value for money assessment, with particular consideration given for proposals that present a well-developed business case that could include the following elements:

- 'market scan' to identify opportunities for the private sector to add value; feasibility studies
- qualitative studies such as socio-economic analysis, risk analysis, strategic analysis of the project investment decision
- quantitative studies such as a public sector comparator or equivalent, financial analysis related to affordability and funding or other
- value for money analysis which must include development of financial models based on robust cost estimates and current financial markets' information and quantitative risk assessment

Where available, proposals should include the public sector comparator report in annex, along with any other integrated report that supports the identification of the project as a candidate for a PPP procurement.

Priority 5: Support to the long term implementation of the TEN-T network, in particular development of corridors that shall enable a coordinated implementation of the network

In line with the specific priorities of Priority 5 as defined in Section 3.5 of Annex bis of the 2011 Annual Work Programme as amended, actions to be supported will be studies for the implementation of TEN-T corridors. The White Paper 'Roadmap to a Single European Transport Area – Towards a competitive resource efficient transport system'² introduces the corridor concept by stipulating that “*a corridor approach to infrastructure investment, overcoming cross-border difficulties, appears promising and in line with the establishment of an efficient core network.*”

Without prejudice to the ongoing discussion on the Commission proposals COM(2011) 650 (new TEN-T Guidelines) and COM(2011) 665 (proposal for a Regulation establishing the Connecting Europe Facility) the studies to be supported under this priority must define and consolidate all the different aspects of a TEN-T corridor taking into account at least the following elements:

- A corridor needs to be multi-modal on the basis of its cost-effectiveness and taking into account future developments in traffic. In that respect, modal integration and interoperability need to be fully developed across the entire corridor, justified and accompanied by technical solutions and timetable. Modal connections have to be duly elaborated based on the optimisation of modal split including shifting strategies.
- A corridor must demonstrate its high EU added value and potential. Benefits within and beyond the transport sector have to be well established so that a long term support from all involved parties as well as an EU commitment are justified. In that respect, international cooperation is a critical part to success. Cross-border aspects have to be particularly addressed and developed in order to ensure a smooth implementation of the corridor. Similarly, the operational concepts and practices that will be applied to the corridor need to ensure uniform implementation of legislation across the corridor. Environmental aspects and bottlenecks have to be embedded in the implementation and the operational strategies.
- The multiplicity of challenges and the complexity of the corridor concept reinforced by multi-modal and cross-border aspects need to be adequately addressed through adapted managerial structures. A corridor needs to be endowed with a multi-level management structure that will involve all the concerned stakeholders at the appropriate level. Therefore, different management levels have to be defined and applied in line with technical, operational, financial and political requirements. Efficient and effective coordination among the different levels is key to success of the whole concept and must be ensured.
- As part of the implementation strategy for a corridor, a detailed investment plan with realistic options has to be included. Proposed options need to take into account the optimisation of public and private funds synergies as well as expected developments in the financial environment. The financial strategy to be developed for every corridor must be consistent and needs to ensure long term reliable financing. Financial commitments by the main stakeholders and sources are part of the validation plan requirement.

² COM(2011)144, 28/03/2011

The maturity of these projects will be determined by the degree of preparedness for integrating all different aspects defining and justifying the corridor concept. Their final output should be mature implementation plans validated by all concerned parties.

2.3. Results expected:

Priority 1:

The results expected under Priority 1 are defined in Section 4 of Annex bis of the 2011 Annual Work Programme as amended.

Priority 2:

The results expected under Priority 2, sub-priorities 2.a) and 2.b) are defined in Section 4 of Annex bis of the 2011 Annual Work Programme as amended.

Priority 3:

The results expected under Priority 3 are defined in Section 4 of Annex bis of the 2011 Annual Work Programme as amended.

Priority 4:

The results expected under Priority 4 are defined in Section 4 of Annex bis of the 2011 Annual Work Programme as amended.

In particular, it is expected that the resulting studies will assist in the development of a systematic assessment of a project in order to determine whether implementation using a PPP procurement can achieve value for money as compared to a traditional procurement. In the case of projects where the PPP procurement has been established as the preferred option, it is expected that the resulting studies will move the project closer to implementation.

Priority 5:

The results expected under Priority 5 are defined in Section 4 of Annex bis of the 2011 Annual Work Programme as amended. In particular, Actions to be supported by this call are expected to put together all the components of the corridor concept in view of accelerating their implementation through mature, realistic and duly validated implementation plans.

3. ELIGIBILITY, SELECTION AND AWARD CRITERIA

3.1. Eligibility criteria:

The eligibility criteria for applicants and for projects, as well as the grounds for exclusion, are defined in Section 6 of Annex bis of the 2011 Annual Work Programme as amended.

3.2. Selection criteria:

The selection criteria (i.e. operational and financial capacity) are defined in Section 7 of Annex bis of the 2011 Annual Work Programme as amended.

3.3. Award criteria:

The general award criteria against which each proposal will be evaluated are specified in Section 8 of Annex bis of the 2011 Annual Work Programme as amended.

For the purpose of the evaluation, these criteria will be grouped in the following four blocks of criteria:

- relevance
- maturity
- impact
- quality

During the external evaluation, each block of criteria will be given a score between 0 and 5 points (with 5 being the maximum). The minimum threshold for an individual block of criteria is 3 points. In other words, external experts will not recommend for funding any proposal which does not obtain at least 3 points for each block. However, the Commission is not bound by the opinion of the external experts.

The activities proposed to be carried out by each applicant should be specified and consistent with their role in the proposal. Applicants shall apply in a proposal either for works or studies.

In relation to proposals submitted under sub-section a) of Priority 2 and under Priority 4, the following specific elements shall in particular be taken into consideration during the evaluation in addition to the general award criteria and should therefore be clearly described in Application Form Part B.2.:

Priority 2.a):

➤ *Relevance:*

- Extent to which the proposed Action addresses the development of an integrated and environmentally-friendly transport system notably by addressing climate change and introducing relevant new technologies into TEN-T infrastructure (Application Form B.2 Section 3.3).

➤ *Maturity:*

- Based on sound analyses and studies, the extent to which the proposed technology has proven its high potential and its readiness for deployment (Application Form B.2 Section 4.4);
- Extent to which the initial results of the studies/pilot schemes are expected to be ready by the end of 2012 (Application Form B.2 Section 4.4).

➤ *Impact:*

- Extent to which the studies will help determine which technologies have the highest potential for a rapid and efficient deployment in the different transport modes and how to best introduce them into the transport infrastructure of the TEN-T network (Application Form B.2 Sections 5.1 and 5.2).
- Extent to which the studies will enable or demonstrate the possibility of the deployment of a technology or concept at EU level (for instance, the swift harmonisation of minimum standards), thereby demonstrating a high European added value. However, studies analysing and testing new concepts in a single Member State or at the local level are not excluded, particularly if the applicability of the concept at EU level is demonstrated (Application Form B.2 Sections 5.1 and 5.2).

Priority 4:

➤ *Relevance:*

- Extent to which TEN-T funding of the Action will assist in stimulating the development of increased private sector financing of TEN-T projects (Application Form B.2 Sections 3.1, 3.3 and 3.6).

➤ *Maturity:*

- Extent to which the Action has a proven value for money assessment or a clear methodology for developing such an assessment (Application Form B.2 Sections 4.4 and 4.6).

➤ *Impact:*

- Extent to which the Action would have a positive impact on project preparation and management, service and/or maintenance quality, risk assessment and risk sharing, or technical or design innovation (Application Form B.2 Section 5.1).

➤ *Quality:*

- Extent to which the proposal is realistic and complete from the point of view of assessing a PPP arrangement (Application Form B.2 Sections 6.1 and 6.3).

3.4. Final selection process:

During the final selection process, the following policy-related aspects will also be taken into consideration, as appropriate:

The extent to which:

- the proposal/project contributes to the balanced development of the network,
- the proposal/project is cross-border or whether it produces cross-border effects,

- the proposal/project addresses a bottleneck; where relevant, whether it offers a suitable remedy to the problem,
- the proposal/project addresses a missing link so that it maximises the impact of investments already made in the region/country/global project,
- the proposal/project is of comparative EU added value (high, medium, low),
- the proposal/project has an absorption or performance capacity, based on previous experience (where existing),
- there is any identified/identifiable risk of double-funding from other Union sources.

4. CO-FINANCING & ELIGIBLE COSTS

4.1. Co-financing:

The maximum possible rates of Union co-funding are specified in Section 9 of Annex bis of the 2011 Annual Work Programme as amended.

The Commission reserves the right to award a grant of less than the amount requested by the applicant. Grants will not be awarded for more than the amount requested.

4.2. Eligible costs:

Detailed information on eligible costs are described in Annex III, section III.3.7 'Eligibility of Costs', of the model individual Decision granting financial aid for an Action, which is available on the TEN-T EA³ website (<http://tentea.ec.europa.eu>). Costs incurred between the date on which an application is lodged (as evidenced by the date of dispatch, the postmark or the date of the deposit slip / receipt) and the completion date, which must be 31 December 2014 at the latest, may be considered as eligible.

Union financial aid for projects of common interest established under this call can take the form of grants for studies, works or studies with physical interventions. The European Investment Bank's operations shall be compatible with the granting of financial aid under this call.

As defined in Article 2(8) of the TEN Regulation⁴, 'studies' means activities needed to prepare project implementation, including preparatory, feasibility, evaluation and validation studies, and any other technical support measure, including prior action to define and develop a project fully and decide on its financing, such as reconnaissance of the sites concerned and preparation of the financial package. 'Works' (Article 2(9) of the TEN Regulation) means the purchase, supply and deployment of components, systems and services, the carrying out of construction and installation works relating to a project, the acceptance of installations and the launching of a project.

³ Trans-European Transport Network Executive Agency

⁴ Regulation (EC) n° 680/2007 of the European Parliament and of the Council of 20 June 2007, laying down general rules for the granting of Community financial aid in the field of the Trans-European Transport and Energy Networks (OJ L 162, 22.6.2007, p. 1)

5. **PRACTICAL INFORMATION**

In general, all practical information on the call for proposals and the evaluation process is detailed in the Guide for Applicants, which is available on the TEN-T EA⁵ website. It is important to read this guide carefully as proposals which do not follow the instructions may not be evaluated.

5.1. **Application form:**

Proposals must be submitted using the application forms provided on the TEN-T EA website (<http://tentea.ec.europa.eu>).

A **complete proposal** consists of:

√ Application form Part A (must be generated in the eSubmission module, which is part of the TENtec Information System), and

√ A package to be sent by post/courier service or delivered by hand, containing all of the following:

- The printout of Application form Part A, generated by the eSubmission module after the electronic submission (*one signed original and four additional copies if the proposal is submitted in English. If the proposal still requires translation only one copy is sufficient*),

- The printout of Application form Parts B1 and B2 and their annexes (*one signed original and, if submitted in English, four additional copies*),

- CD-ROM or DVD-R disk (non-rewritable therefore USB sticks are not eligible) containing the complete proposal (i.e. Application form Parts A, B1 and B2 and their annexes) in electronic format (PDF or formats readable by MS Office programmes).

Proposals in their paper version must be signed by the applicant or his duly authorized representative and be perfectly legible so that there can be no doubt as to words and figures. Proposals may be prepared in any official Union language for submission by the call deadline. Nevertheless, if a proposal is not submitted in English and if the applicant has indicated in the Application Form that an English translation will be provided, the English translation of the proposal must be submitted before the deadline specified below – otherwise the proposal may not be evaluated⁶.

The applicant(s) specified in the Application Form will automatically be considered as the beneficiary(ies) if the proposal is selected for funding.

Applicants should indicate in Application form Part A under which Priority (Priority 1, Priority 2, Priority 3, Priority 4 or Priority 5 – as defined above) their proposal is submitted.

⁵ Trans-European Transport Network Executive Agency

⁶ The Commission will reimburse the translation costs resulting from the translation into English of a proposal submitted in response to this Call, for up to an amount of €2500 per proposal, provided that the proposal has been submitted before the deadline specified

5.2. Submission of the proposals:

- a) Application form Part A must be submitted using the TENtec eSubmission module;
- b) After completing step a), the complete proposal (including annexes) must then be sent (by registered mail, private courier or hand delivery) to the following address:

European Commission
TEN-T Executive Agency
W910 - 03/17
Calls 2011
Avenue du Bourget, 1
B-1140 Bruxelles
Belgique

Proposals sent by registered mail or by private courier have to be dispatched not later than 13 April 2012, the deadline for the submission of proposals (as evidenced by the postmark, or proof of receipt deposit slip): Applicants must keep proof of the date of sending and be able to present it up on request. Failure to provide proof of the date of sending will exclude the proposal from being evaluated.

Proposals delivered by hand to the Central Mail Service of the European Commission have to be dispatched, **no later than 16h00** (Brussels local time) on 13 April 2012 in this case, a receipt must be obtained as proof of submission, signed and dated by the official who took delivery in the Central Mail Service.

The Central Mail Service is open from 7h00 to 17h00 Monday to Thursday and from 7h00 to 16h00 on Fridays. It is closed on Saturdays, Sundays and Commission holidays.

If a proposal is submitted after the deadline indicated above, the proposal will not be evaluated.

The components constituting a complete proposal, the address for submission and further practical details are described in the Guide for Applicants, which is available on the TEN-T EA website. It is important to read this carefully as proposals which do not follow these instructions may not be evaluated.

5.3. **Timetable:**

Deadline for the submission of proposals	13 April 2012
Submission of translations in English (if applicable)	25 April 2012
Evaluation of proposals	May-June 2012 (indicative)
Consultation of Financial Assistance Committee; execution of scrutiny right by European Parliament	July 2012 (indicative)
Adoption of individual Decisions	As from September 2012 (indicative)

5.4. **Communication from TEN-T EA on the call for proposals**

Further information or clarifications on this call for proposals may be published on the TEN-T EA website. In particular, a list of Frequently Asked Questions (FAQ) will be regularly updated as questions arise. It is therefore strongly recommended to all applicants to regularly consult the TEN-T EA website to make sure they have all the latest information on the call.

Any additional specific questions related to this call may be addressed to the TEN-T Helpdesk email:

tenea-helpdesk-call-annual-2011@ec.europa.eu

The answers to submitted questions which could be of interest to other applicants will be published in the FAQ list on the TEN-T EA website, to ensure equal treatment between all potential applicants. Questions which are specific to a particular proposal and where the answer of the TEN-T EA would provide a comparative advantage to the applicant will not be answered.

Applications may not be delivered to this email address. This address is reserved for information and assistance by the TEN-T EA Helpdesk.

6. **ADDITIONAL INFORMATION**

6.1. **Prior information of applicants:**

Your reply to the grant application involves the recording and processing of personal data (such as your name, address and CV), which will be processed pursuant to Regulation (EC) No 45/2001 on the protection of individuals with regard to the processing of personal data by the Community institutions and bodies and on the free movement of such data. Unless indicated otherwise, your replies to the questions in this form and any personal data requested are required to assess your grant application in accordance with the specifications of the call for proposals and will be processed solely for that purpose by Trans-European Transport Network Executive Agency as data controller for this purpose. You may, upon

request, have your personal data sent to you and rectify any inaccurate or incomplete particulars. Should you have any queries concerning the processing of your personal data, please address them to the entity acting as data controller within TEN-T EA. The data subjects have the right of recourse at any time to the Data Protection Officer of the Executive Agency (TENEA-DPO@ec.europa.eu) or in case of conflict with the Controller or data protection officer concerning the processing of your personal data, you have the right to submit a complaint at any time to the directly to the European Data Protection Supervisor. (http://www.edps.eu.int/01_en_presentation.htm)

Details concerning the processing of your personal data are available on the privacy statement at the page:

http://ec.europa.eu/dataprotectionofficer/privacystatement_publicprocurement_en.pdf

Your personal data (name, given name if natural person, address, legal form, registration number and name and given name of the persons with powers of representation, decision-making or control, if legal person) may be registered in the Early Warning System (EWS) only or both in the EWS and Central Exclusion Database (CED) by the Accounting Officer of the Commission, should you be in one of the situations mentioned in:

- the Commission Decision 2008/969 of 16.12.2008 on the Early Warning System (OJ L 344, 20.12.2008, p. 125) (for more information see the Privacy Statement on http://ec.europa.eu/budget/info_contract/legal_entities_en.htm), or

- the Commission Regulation 2008/1302 of 17.12.2008 on the Central Exclusion Database (OJ L 344, 20.12.2008, p. 12) (for more information see the Privacy Statement on http://ec.europa.eu/budget/library/sound_fin_mgt/privacy_statement_ced_en.pdf).

You are informed that, to ensure that the Union's financial interests are protected, your personal data may be communicated to internal audit services, the European Commission, the European Court of Auditors, the body specialising in financial irregularities (Financial Irregularities Panel) or the European Anti-Fraud Office (OLAF).

The data of applicants in any of the situations referred to in Articles 93(1), 94 and 96(2)(a) of the Financial Regulation⁷ may be included in a central exclusion database and communicated to designated persons in the Commission, the other institutions, agencies, authorities and bodies referred to in Article 95(1) and 95(2) of the Financial Regulation. This also applies to those with powers of representation, decision-making power or powers of control in respect of such applicants. Following a request to the Commission's Accounting Officer, anyone registered in the database is entitled to be informed of the data recorded about them.

6.2. **General conditions for paying grants:**

In order to limit the financial risks connected with the payment of pre-financing, the Commission or the TEN-T EA may, on the basis of a risk assessment, either require the beneficiary to lodge a guarantee in advance (for up to the same amount as the pre-financing) or split the payment into several instalments. The Commission may waive

⁷ Regulation 1605/2002 of 25 June 2002 on the Financial Regulation applicable to the general budget of the European Communities (OJL 248, 16.9.2002, p. 1)

this obligation to lodge a guarantee in advance for public sector bodies and international organisations⁸.

6.3. Important documents:

In preparing your application, please ensure that you refer to all of the following documents, which are available on the TEN-T EA website:

- 2011 Annual Work Programme as amended⁹
- Guide for Applicants (as well as the eSubmission module User Manual)
- Application form (parts A, B1 and B2)
- TEN Regulation¹⁰
- TEN Guidelines¹¹
- Model text for an individual Decision granting financial aid
- (if applicable) the definition of cross-border sections of priority projects endorsed by the TEN-T Guidelines Committee for Monitoring Guidelines and the Exchange of Information
- Guide to TENs and environmental legislation: Annex 2 of the Commission Staff Working Document which accompanied COM (2007) 135 final, Trans-European Networks: Toward an integrated approach.

⁸ Art. 118 of Regulation 1605/2002 of 25 June 2002 on the Financial Regulation applicable to the general budget of the European Communities (OJ L 248, 16.9.2002, p. 1) and Art. 182 of Regulation 2342/2002 of 23 December 2002 laying down detailed rules for the implementation of Regulation 1605/2002 (OJ L 357, 31.12.2002, p. 1)

⁹ Commission Decision C(2011)1776, as amended by Commission Decision C(2011)9531

¹⁰ Regulation (EC) n° 680/2007

¹¹ Decision n° 661/2010/EC of the European Parliament and of the Council of 7 July 2010 on Union guidelines for the development of trans-European transport network (OJ L 204, 5.8.2010, p. 1.)