



**Call for proposals for projects of common interest
in the field of the trans-European transport network
under the multi-annual programme 2007-2013
for the year 2011 (Field n° 14)**

**Projects in the field of Motorways of the Sea (MoS)
(2011-MOS-14)**

1. INTRODUCTION

1.1. Subject:

This call for proposals for Actions in the field of Motorways of the Sea (MoS) (Article 13 of the TEN Guidelines¹) is established under the multi-annual work programme 2011². The work programme defines the general and specific objectives, and the results expected in relation to this call.

1.2. Date of publication:

The date of publication of this call is 28 June 2011.

1.3. Indicative budget:

The indicative budget available to support MoS projects selected under the 2011 call is €70 million.

2. OBJECTIVES

2.1. General objectives:

The general objectives of this call are defined in Section 3.1 of the multi-annual work programme 2011.

2.2. Specific objectives:

The specific objectives of this call are defined in Section 3.2 of the multi-annual work programme 2011.

¹ 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.)

² Commission Decision C(2011) 1766 of 22 March 2011, as amended by Commission Decision C(2011)4317 of 22 June 2011

The work programme foresees three types of projects, which can also be submitted in combination to support the implementation of the concept of MoS. The three types of projects are as follows:

- Implementation projects (works projects);
- Studies taking the form of Pilot actions;
- Studies.

A proposal may address one of these types alone, or a single proposal may combine implementation projects with studies or with studies taking the form of Pilot actions.

The objectives of the proposed Actions must be consistent with the type of project proposed. Furthermore, the activities must be relevant and balanced to meet the objectives of the Actions.

Unless specified otherwise in the decision granting financial aid for duly justified reasons, any TEN-T funds granted to physical facilities under this call entail the obligation for the facilities to be available as required and customarily used by the transport services subject to the decision granting financial aid for at least 4 years following the completion of the respective Action. In addition, the physical facilities must be open to all users on a non-discriminatory basis for at least 4 years following the completion of the respective Action (otherwise the co-financing falls under start-up aid which is limited to 2 years of depreciation).

2.3. Results expected:

The results expected from this call are defined in Section 4 of the multi-annual work programme 2011.

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 Sections 6.1 to 6.3 of the multi-annual work programme 2011.

In addition, in line with Article 13(4) of the TEN Guidelines, proposals in the area of Motorways of the Sea must:

- involve in general private and public sectors, and
- for implementation projects (works), have been evaluated and pre-selected first within a public call for tenders organised by the Member States concerned.

3.2. Selection criteria:

The selection criteria are defined in Section 7 of the multi-annual work programme.

3.3. Award criteria:

The general award criteria against which each proposal will be evaluated are specified in Section 8 of the multi-annual work programme 2011.

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.

Studies, pilot actions and/or implementation projects should be clearly identified, even if combined in a single proposal. Priority will be given to implementation projects.

In relation to MoS proposals, the following specific elements shall in particular be taken into consideration during the evaluation in addition to the generic criteria and should therefore be clearly described in the Application Form B.2.:

➤ **Relevance:**

Under this criterion, the main elements considered will be the following:

- Degree of integration of the Action into a multimodal transport chain, e.g. information systems and hinterland connections linking to the various modes of transport and the transport services (Application Form B.2 Section 3.2);
- Evidence that the Action would develop a new or improve an existing maritime link(s), predominantly focussing on freight transport (Application Form B.2 Section 3.3);
- For Actions having wider benefits, confirmation of the clear relevance for the implementation of MoS (Application Form B.2 Section 3.3);
- Degree of EU/regional added value of the proposed Action (Application Form B.2 Section 3.3);
- For the maritime link, the letters of support submitted by transport operators should reflect properly their involvement in the Action and demonstrate the Action's viability. This may range from a direct involvement as a beneficiary of financial aid (in which case no letter is needed), to a supportive involvement without direct financial implications for the operator(s). In the latter case, the operator(s) should prove that it will collaborate with other members of the MoS consortium to deliver the expected outcome of the Action, i.e. set up new or improve the existing transport connections. The support letters, presented most

preferably as letters of intent, should state clearly the operator's firm, explicit and credible commitment to the project (Application Form B.2 Section 3.6);

- Where a proposal is extended to a neighbouring country(ies), it should be demonstrated that this country(ies) is committed to the Action (i.e. signature of an authorised representative(s) of that country(ies) at national level) (Application Form B.2 Section 3.6).

➤ **Maturity:**

Under this criterion, the main elements considered will be the following:

- Viability of the new or improved transport service, substantiated through relevant analyses on freight flows, demand, business plans, etc. Data sources should be specified (Application Form B.2 Section 4.4);

- For pilot actions, demonstration that the Action is sufficiently mature to be put into the pre-implementation phase (Application Form B.2 Section 4.4);

- Demonstration of concrete plans and their readiness to remove identified bottlenecks throughout the transport chain – in hinterlands, ports, and maritime link(s) (Application Form B.2 Section 4.4).

➤ **Impact:**

Under this criterion, the main elements considered will be the following:

- Impact of the Action on modal shift: estimates of modal shift until 2025 should be provided (applicants are advised to use the modal shift calculator available on http://ec.europa.eu/transport/marcopolo/calls/2010docs_en.htm) (Application Form B.2 Section 5.6);

- For Actions having wider benefits, demonstration of the degree of impact on the MoS operations (Application Form B.2 Section 5.6);

- Contribution of the foreseen activities to improved efficiency and effectiveness of the transport chain (on the specific corridor), in particular compared to road transport (Application Form B.2 Section 5.6);

- Impact of the proposed transport services on competing transport services and ports in the same geographical areas (Application Form B2 Section 5.8);

- Impact on the reduction of externalities, in particular environmental impact (Application Form B2 Section 5.9).

➤ **Quality:**

Under this criterion, the main elements considered will be the following:

- Appropriateness of the number and nature of involved participants in relation to the Action's objectives and credibility of commitments, including involvement of relevant actors and stakeholders (Application Form B2 Section 6.1);

- Presentation of mechanisms put in place to monitor the impact of the Action during and after its implementation (Application Form B2 Section 6.4).

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 for double-funding from other EU sources.

4. **CO-FINANCING & ELIGIBLE COSTS**

4.1. **Co-financing:**

The maximum possible rates of Union co-funding for MoS Actions are specified in Section 9 of the multi-annual work programme 2011.

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 as from 1st January 2011 may be considered as eligible. Actions to be selected under this call must have an end date before 31 December 2014.

European Investment Bank 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,

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

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.

Article 13 of the TEN Guidelines details the various categories of items related to MoS Actions which can receive financial support under the TEN Regulation. These consist of:

Infrastructures: port infrastructures, infrastructures for direct land a sea access, waterway and canal infrastructures (Art. 13 (3) of the TEN Guidelines).

Facilities: electronic logistics management systems, safety, security, administrative and customs facilities, facilities for ice-breaking and dredging operations (Art. 13 (2) of the TEN Guidelines).

In practice, this can include facilities and infrastructure open to all users on a non-discriminatory basis⁵. These can include elements such as:

- dikes, breakwaters, locks and other high water protection measures,
- lights, buoys, beacons; floating pontoon ramps in tidal areas,
- infrastructure for utilities up to the terminal site,
- direct land and sea access to port, including short connecting links to the national transport networks or to the TEN-T network and connections to intermodal centres with a high potential of concentrating freight on the MoS,
- port facilities, e.g. equipment available to all users,
- electronic logistics management systems,
- information systems, including traffic management (VTMIS) and electronic reporting systems,
- safety and security measures,
- administration and customs,
- waterways and canals linking two European Motorways of the Sea or two sections thereof, substantially shortening sea routes. These measures for waterways and canals can include a number of relevant facilities and infrastructure,
- ways of ensuring year-round navigability:
 - facilities for dredging,
 - icebreakers and facilities for icebreaking for winter access.

In addition, the following costs are eligible:

and energy networks (OJ L 162, 22.6.2007, p. 1)

⁵ As concerns complementary national or regional funding for such infrastructures, the following applies: as these infrastructure are generally referred to as 'public' or 'general', investments in those are normally considered by the Commission as general measures, being expenditures incurred by the State in the framework of its responsibilities for planning and developing a transport system in the interests of the general public. For this, the infrastructure must de jure and de facto be open to all users, actual or potential, in accordance with Community legislation. However, the characteristics of a specific case may show that such infrastructure benefits a specific undertaking in its commercial activities. In that case, state aid and public procurement rules under U law may apply. Source: Communication from the Commission to the European Parliament and the Council 'Reinforcing Quality Service in Sea Ports: A Key for European Transport', COM (2001) 35 final, 13.2.2001 (<http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=COM:2001:0035:FIN:EN:PDF>)

Start-up aid related to capital costs: in line with the dual nature of MoS as mixed infrastructure/facilities projects, start-up aid for capital costs within the project may be granted for a maximum period of two years in accordance with Art. 13 (5) of the TEN Guidelines, with a maximum intensity of 30%.

Activities which have wider benefits and are not linked to specific ports: such as making available facilities for icebreaking and dredging operations, as well as information systems, including traffic management and electronic reporting systems.

Except in duly justified cases, the minimum total requested EU contribution to the eligible costs of a proposed Action will be €1 million for works and €500,000 for studies.

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 EA website⁶. It is important to read this guide carefully as proposals which do not follow its 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.

⁶ <http://tentea.ec.europa.eu>

The components constituting a complete proposal, the address for submission and other 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.

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 it will provide an English translation, the English translation of the proposal must be submitted before the deadline specified below – otherwise the proposal may not be evaluated⁷.

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

5.2. **Timetable:**

Deadline for the submission of proposals	23 September 2011
Submission of translations in English (if applicable)	7 October
Evaluation of proposals	October – December (indicative)
Consultation of Financial Assistance Committee; execution of scrutiny right by European Parliament	January – February 2012 (indicative)
Adoption of individual Decisions	As from March 2012 (indicative)

N.B. The deadline for the submission of proposals is the deadline by which proposals must be:

- either sent by registered post or courier service (postmark, deposit slip or proof of receipt);
- or delivered by hand to the address mentioned in the Guide for Applicants. In this case, a receipt must be obtained as proof of submission, signed and dated by the official who took delivery.

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

5.3. **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.

⁷ 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

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

tenea-helpdesk-call-map2011@ec.europa.eu

The answers to 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. Processing of personal data:

The follow-up of responses to the call for proposals will require the recording and further processing of personal data (e.g. name, address). These data will be processed in accordance with the requirements of Regulation (CE) 45/2001 on the protection of individuals with regard to the processing of personal data by Community institutions and bodies and on the free movement of such data. Unless stated otherwise, replies to questions and personal data requested are necessary for the purpose of assessing your application (according to the specifications of the call for proposals) and will only be processed within TEN-T EA as data controller, for this purpose. For the purposes of safeguarding the financial interests of the Union, the personal data may also be transferred to internal audit services, to the European Court of Auditors, to the Financial Irregularities Panel or to the European Anti-Fraud Office ('OLAF').

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. As regards the processing of your personal data, you have the right to bring the matter before the European Data Protection Supervisor at any time.

6.2. 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 Union 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. 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 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 Regulation⁸ 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.

6.3. **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 this obligation to lodge a guarantee in advance for public-sector bodies and international organisations⁹.

6.4. **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:

- Multi-annual work programme 2011¹⁰ and its amendment¹¹

⁸ 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)

⁹ 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)

¹⁰ Commission Decision C(2011) 1766 of 22 March 2011

¹¹ Commission Decision C(2011) C(2011)4317 of 22 June 2011

- Guide for Applicants (including the eSubmission module User Manual)
- Application form (parts A, B1 and B2)
- TEN Regulation¹²
- TEN Guidelines¹³
- Model text for an individual Decision granting financial aid
- 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

If applicable, please refer also to the definition of cross-border sections of priority projects endorsed by the Committee for Monitoring Guidelines and the Exchange of Information.

¹² 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)

¹³ 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.)