

TRANS-EUROPEAN TRANSPORT NETWORK
PROGRAMME 2007-2013

Granting of EU financial aid in the field of
the trans-European transport network
CALLS FOR PROPOSALS 2011

GUIDE FOR APPLICANTS

Version 5



About this Guide

Further copies of this Guide, together with all information related to the TEN-T calls for proposals, can be downloaded from the following website:

http://tentea.ec.europa.eu/en/apply_for_funding/follow_the_funding_process/calls_for_proposals_2011.htm

This is version n. 5 of the TEN-T Guide for Applicants.

The Guide is based on the rules and conditions contained in the legal documents relating to TEN-T, which can also be consulted on the following website:
http://tentea.ec.europa.eu/en/about_us/mission__introduction/history__legal_framework.htm

The Guide does not in itself have legal value, and thus does not supersede those documents.

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1 Introduction

The purpose of this document is to provide guidance to those wishing to apply for financial support from the Trans-European Network Transport (TEN-T) programme in 2011. It aims to support applicants in filling in the application forms and to familiarise them with the evaluation criteria and the process which will be applied in the assessment of proposals.

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

- TEN Guidelines¹
- TEN Regulation²
- Multi-Annual Work Programme for grants awarded under the MAP, adopted on an annual basis (hereinafter referred to as 'MAWP')
- Annual Work Programme for grants in the field of the TEN-T network, adopted on an annual basis (hereinafter referred to as 'AWP')
- Calls for proposals for projects of common interest in the field of the trans-European transport network under the MAWP / AWP (hereinafter referred to as 'call texts')

Other documents referred to in this guide are:

- TENtec eSubmission User Manual
- Model funding Decision
- Note on the definition of cross-border sections

All above documents are available on the TEN-T EA website:

http://tentec.europa.eu/en/apply_for_funding/follow_the_funding_process/calls_for_proposals_2011.htm

This Guide is for information purposes only. It has no legal value and it does not supersede the rules and conditions laid out in the relevant legal documents, including the Financial Regulation applicable to the general budget of the European Communities³ and the Implementing Rules for the Financial Regulation⁴.

This document in its main part includes information on the procedures, priorities setting and legal background. It also details the different steps followed and criteria applied during the evaluation, in connection with the requirements for filling in the application forms. In

¹ Decision n° 661/2010/EU of the European Parliament and of the Council of 7 July 2010 on Union guidelines for the development of trans-European Transport Network, OJL 204, 05.08.2010, p. 1

² 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

³ Council Regulation (EC, EURATOM) n° 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.

⁴ Commission Regulation (EC, EURATOM) n° 2342/2002 of 23 December 2002 laying down detailed rules for the implementation of Council Regulation (EC, EURATOM) n° 1605/2002 of 25 June 2002 on the Financial Regulation applicable to the general budget of the European Communities, OJL 357, 31.12.2002, p. 1

Annexes 1 and 2, more detailed guidance is provided on the way form parts B1 and B2 have to be filled in. Finally, a glossary of terms and abbreviations used is provided in Annex 3.

2 Getting started

In the 2007-2013 TEN-T programme, funding decisions are made on the basis of proposals submitted following calls published by the TEN-T Executive Agency (hereafter 'TEN-T EA'). Proposals describe planned activities, information on who will carry them out, how much they will cost, and why they should be supported financially by the European Union (hereafter 'the Union').

The entire selection process, from the publication of the work programmes through to the adoption of individual Decisions, is summarised in the diagram below.

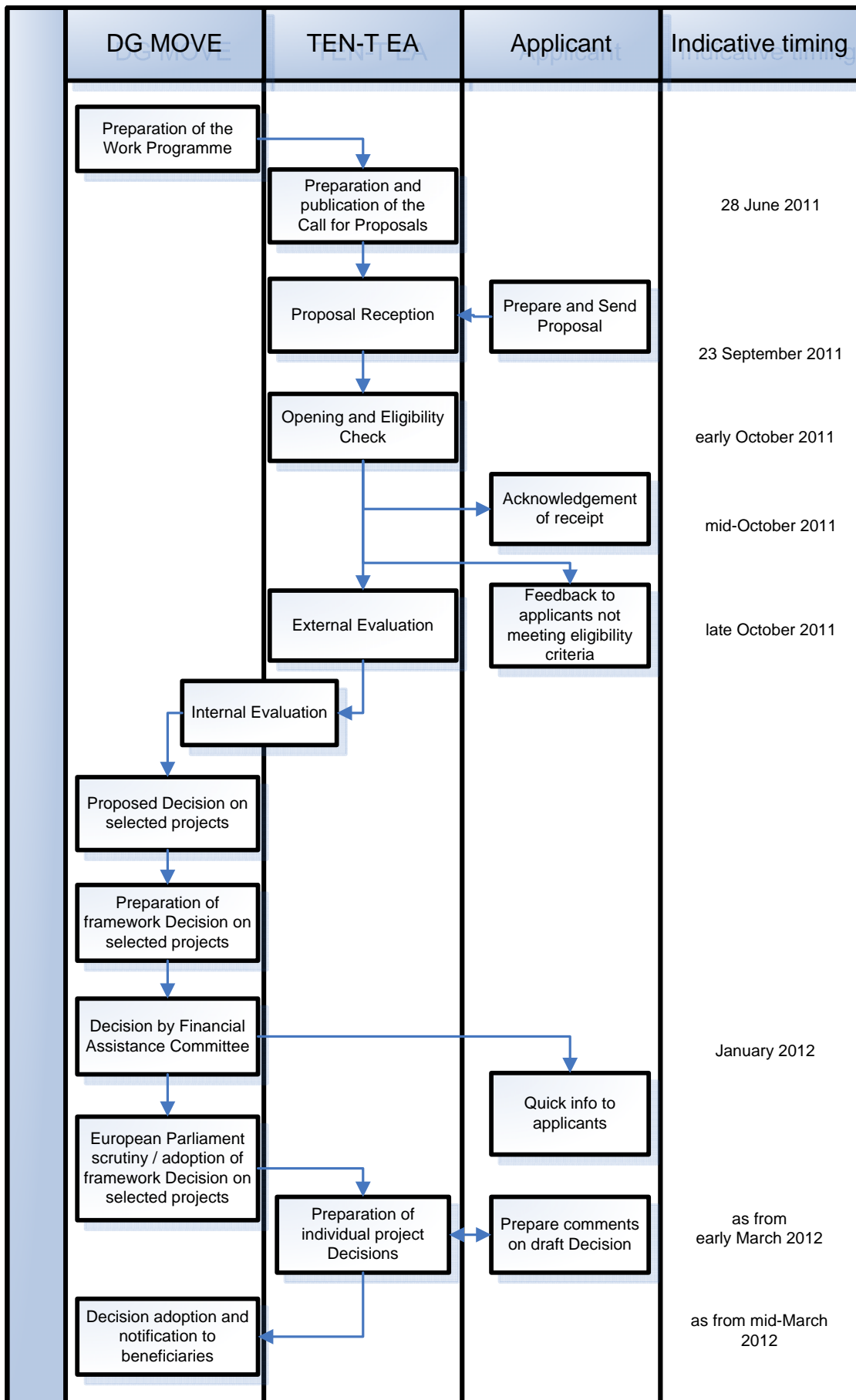
This Guide for Applicants contains the essential information to guide you through the mechanics of preparing and submitting a proposal.

In preparing your proposal, you must also refer to the **work programme**, which describes the general and specific objectives, and the results expected, as well as the relevant **call text**, which describes in detail any specific eligibility, selection and award criteria.

The Work Programmes and call texts are adopted on an annual basis, so make sure you refer to the latest version before preparing your proposal.

Information on the 2011 work programmes and the corresponding call texts can be found on the website mentioned in the Introduction

For each proposal, only the criteria and procedures appropriate to the specific TEN-T call under which it is submitted will be used.



3 Funding in 2011

A work programme was adopted under the **Multi-Annual Work Programmes (MAWP)** 2007-2013 on 22 March 2011⁵ and amended on 22 June 2011⁶.

In line with this MAWP and its amendment calls for proposals are launched during the last week of June 2011 in the following fields:

1. Motorways of the Sea (MoS) (TEN-T Priority Project n°21⁷) with a maximum indicative budget of €70 million (€30 million earmarked in the MAWP and another €40 million in its amendment).
2. River Information Systems (RIS, Field n. 15) with a maximum indicative budget of €10 million, and
3. European Rail Traffic Management System (ERTMS, Field n. 16) with a maximum indicative budget of €100 million.

4 Forms of support

The eligibility criteria for **applicants** are defined in section 6.3.1.

Union financial aid takes the form of grants for works, studies or studies with physical interventions. The maximum amount of Union aid which can be awarded to an individual Action is defined in Article 6.2 of the TEN Regulation (EC) No 680/2007 as summarised in the table below. Within this maximum, additional limits (minimum and/or maximum) may be specified in individual calls.

Maximum co-financing rates (simplified)		
		Maximum co-financing rate of eligible costs
Studies		
	All projects of common interest	50%
Works		
	Priority Projects	20%
	Cross-border sections of Priority Projects	30%
	Projects other than Priority Projects	10%
ERTMS		
	Trackside (studies and works)	50%
	On board equipment	50%

⁵ C(2011)1766

⁶ C(2011)4317

⁷ Annex III, TEN Guidelines

Traffic Management Systems (RIS, ITS, ATM)		
	Works for different transport modes	20%

Works can be defined as the purchase, supply and deployment of components, systems and services, and the carrying out of construction and installation works relating to the project, the acceptance of installations and the launching of the project.

Studies are activities needed to prepare project implementation (including preparatory, feasibility, evaluation and validation studies) and any other technical support measure, including prior action to define the project fully and decide on its financing, such as reconnaissance of the sites concerned and preparation of the financial package. This definition of studies may be further elaborated on in specific calls

Studies with physical interventions are projects in which the majority of the activities are studies, but where some physical intervention is undertaken, typically excavations for testing the ground.

For RIS and ERTMS a proposal must address either works or studies (including those with physical interventions), within the meaning of Article 2(8) and (9) of the TEN Regulation. For MoS proposals shall include the following instruments or a combination of them: implementation projects (i.e. projects aiming to deliver full scale transport operations), studies taking the form of pilot actions and studies.

The eligibility criteria for **projects** are described in detail in Section 6.3.2.

5 How to apply

5.1 Presenting your proposal

Applicants wishing to apply for funding under a TEN-T call must complete and submit the application form provided on the TEN-T EA website, together with the supporting documents requested in the application forms (i.e. the annexes).

An application form consists of three parts:

Part A contains the administrative information about the proposal and the applicants. The information requested includes a brief description of the work, contact details and characteristics of the applicants, as well as information related to the funding requested. The applicant is considered to become the beneficiary if the proposal is selected for funding.

Guidelines on how to complete Application Form Part A are provided in the TENtec eSubmission module User Manual (available on the TEN-T EA website).

Note that for multi-applicant proposals, parts A2.1, A2.2, A2.3 and A2.4 must be completed, signed and stamped by each applicant. For these proposals a coordinator has to be designated. Unless specified otherwise by the applicant it is assumed that a proposal's coordinator

becomes automatically the Action's coordinator if the proposal is selected for funding. The coordinator will perform the tasks described in article I.4.2 of the funding Decision.

Part B1 contains the administrative information (in particular on financial and operational capacity) and information on compliance with relevant Union policy and law. The necessary documents and declarations must be attached to the application form.

Guidelines on how to complete Application Form Part B1 are provided in Annex 1.

Part B2 contains the technical and financial information about the proposal, including detailed descriptions of the proposal's relevance, maturity, potential impact and quality.

Guidelines on how to complete Application Form Part B2 are provided in Annex 2.

The information in these forms will be carefully analysed by the external experts and Commission staff during the evaluation process.

Applicants must provide only the supporting documents requested in the application forms. Any hyperlinks to other documents, embedded material, or company brochures, reports, audio, video, multimedia, etc. will not be considered.

Applicants must complete all Parts and sections of the application form. If no answer is available for a particular section, the applicant should simply state this. Bear in mind that one of the award criteria on which proposals are assessed is 'quality', which includes completeness of the proposal.

5.2 Proposal language

As the working language of the external evaluators is English, it is recommended that proposals are prepared in English. For proposals which are not in English, applicants must specify in Application Form Part A4 whether they intend to submit an English translation of the project summary in Application Form Part A, of Application Form Part B1 and / or of Application Form Part B2. Translations must be submitted electronically before 7 October 2011 to the following address: tenea-helpdesk-call-map2011@ec.europa.eu

The TEN-T EA will reimburse translation costs up to the maximum of €2500 per proposal, provided that the proposal has been submitted before call deadline (regardless of whether or not the proposal is selected for funding)⁸. For each translation reimbursement request, an official invoice for the translation services must be attached to the application form.

An information note on the reimbursement of translation expenses and a standard letter to request reimbursement are available on the TEN-TEA website (http://tentea.ec.europa.eu/download/calls_2011/info_note_reimbursement_2011.pdf). The translation reimbursement requests have to be presented by 25 November 2011 at the latest.

5.3 Proposal submission

5.3.1 What should I send?

A **complete proposal** consists of:

⁸ 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 Member State.

√ Application form Part A (must be generated in the TENtec 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 TENtec 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 additional to the signed original is sufficient*) (note: the unique proposal code which is automatically generated by the TENtec eSubmission module upon submitting a proposal must appear on the printout),
- 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).

The unique proposal code generated by submitting Application form Part A must be clearly indicated in the space provided on the cover page of Parts B1 and B2 and their annexes.

It is strongly recommended to submit documents in black and white only. Photocopies of the documents will not be made in colour.

Please note that the originals of the application forms and annexes will not be returned to applicants at any point.

Additional documents to those specified in the application form may be included as separate annexes. However, all relevant information for assessing the proposal must be provided in the Application Form. The purpose of additional annexes - which are not systematically read through - is to provide further information that supports, illustrates or provides evidence of an element described in the Application Form. Any additional annexes included must be clearly referred to and their relevant parts summarised in the application forms. They do not need to be translated unless the applicant deems this necessary.

5.3.2 Where should I send my application?

The proposal must be submitted as follows:

a) Application form Part A must be submitted using the TENtec eSubmission module

Application form Part A must be completed and submitted using the TENtec eSubmission module before 17h00 (Brussels local time) on 23 September 2011. An electronic version of Part B1 and Part B2 as well as any annexes (preferably in pdf format) must be attached to the Part A in the TENtec eSubmission module and submitted together with Application form Part A. See the TENtec eSubmission module User Manual for details.

The date and time of the electronic submission are generated automatically by the tool and are embedded in the submission. In order to prove authenticity, a unique proposal code is automatically generated.

After submitting the application via the TENtec eSubmission module, applicants should print out Application Form Part A using the TENtec eSubmission module. The reference number will automatically be included on each page of the printout.

Applicants must sign this printout in the space provided and send it to TEN-T EA together with Parts B1 and B2 and annexes, in line with points b) or c) below.

Any electronic submission generated after the printout has been generated will not be accepted.

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 23 September 2011 (as evidenced by the postmark or 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 may also be delivered by hand to the Central Mail of the European Commission, **no later than 16h00** (Brussels local time) on 23 September 2011 (as evidenced by the signed and dated receipt provided by the Central Mail staff). The Central Mail department is open from 7.00 to 17.00 Monday to Thursday, and from 7.00 to 16.00 on Fridays. It is closed on Saturdays, Sundays and Commission holidays.

It is the sole responsibility of the applicant to ensure that the signed original of the complete proposal is identical to the electronic file submitted on the disk. If there is a difference, the signed paper copy prevails.

*It is also the responsibility of the applicant to ensure that proposals are sent to the address set out in this Guide for Applicants. The Commission cannot be held responsible for consignments which are not addressed correctly. Proposals sent in several parts which are not clearly marked so as to enable them to be put together will not be evaluated. **Applicants must be able to present proof of postage otherwise their proposal will not be evaluated further.***

5.3.3 Instructions for sealing the envelope

The complete proposal must be placed inside **two sealed envelopes**, one inside the other.

The inner envelope must bear the words:

Title of call (i.e. Motorways of the Sea, River Information Services or ERTMS)
Call for proposals
TEN-T EA
Multi-annual work programme 2011
- Not to be opened by the Postal Service of the Internal Mail Department –

█ *Applications which fail to comply with the formal requirements described in sections 5.3.1 to 5.3.3 shall not be evaluated further.*

5.3.4 Multi-applicant proposals

For proposals with more than one applicant, a **joint application** should be submitted. Instructions on how to prepare the electronic version of Application Form Part A are available in the TENtec eSubmission module User Manual. For these proposals a coordinator has to be designated. Unless specified otherwise by the applicant it is assumed that a proposal's coordinator becomes automatically the Action's coordinator if the proposal is selected for funding. The coordinator will perform the tasks described in article I.4.2 of the funding decision.

For the paper copies of Application Form Part A and Part B1, if three or more applicants are involved, it is not necessary that they sign the same form itself (i.e. it is not necessary to physically circulate the document between applicants), as long as the coordinating applicant (and not each applicant individually) sends all signed forms together with the complete proposal.

█ *It is important to finalise Application Form Parts A and B1 sufficiently in advance of the call deadline in order to allow time for applicants to send their signed copy to the coordinating applicant. All physical copies should be sent by the coordinator in one package.*

5.4 **Timetable**

The timing of the 2011 TEN-T multi-annual calls for proposals (in the fields of MoS, ERTMS and RIS) in 2011 is as follows:

Publication of the calls	27 June 2011
Deadline for submission of proposals	23 September 2011
Deadline for submission of translations (if applicable)	7 October 2011
Evaluation	October - December 2011 (indicative)

Consultation of FAC European Parliament right of scrutiny	January – February 2012 (indicative)
Adoption of individual Decisions	as from March 2012 (indicative)

5.5 Correcting or revising your proposal

It is not possible to make changes to a proposal once it has been submitted. If you wish to make changes, you must submit a new proposal before the deadline, which will replace the previous version. Instructions on how to do this are given in the TENtec eSubmission module User Manual available via:

http://tentea.ec.europa.eu/en/apply_for_funding/follow_the_funding_process/calls_for_proposals_2011.htm

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

Applicants who have submitted a proposal must inform the TEN-T EA as soon as possible of any change of an operational or financial nature that might affect them or the proposal.

5.6 Further information

Further information or clarifications on the 2011 calls 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:

http://tentea.ec.europa.eu/en/apply_for_funding/follow_the_funding_process/faq_-_calls_for_proposals_2011.htm

Please note that the FAQ will be frozen on 16 September 2011, one week prior to submission deadline, to ensure equal treatment of applicants. Questions will therefore have to be submitted on 13 September 2011 at the latest in order to be considered.

Any additional specific questions related to TEN-T 2011 multi-annual calls for proposals may be addressed to the TEN-T EA helpdesk:

Multi-annual programme helpdesk: 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.

Applicants are strongly recommended to consult the FAQs for updates on a regular basis.

6 Evaluation procedure

6.1 General

The Commission, with the assistance of the TEN-T EA, carries out the evaluation and selection of proposals.

The process is supported by external experts, whose role is to ensure that only those proposals which best meet the award criteria as described in the relevant work programme and call text are selected for funding. The experts perform assessments on a personal basis, not as representatives of their employer, their country or any other entity. They are expected to be independent, impartial and objective, and to behave in a professional manner throughout the evaluation process. They sign a contract, including a confidentiality and conflict of interest declaration before beginning their work. Confidentiality rules must be adhered to at all times before, during and after the evaluation.

The process for evaluating proposals submitted for funding by the TEN-T programme is based on two key principles:

- **Equal treatment:** All proposals are evaluated in the same manner against the same criteria.
- **Transparency:** Adequate feedback will be provided to applicants on the outcome of the evaluation of their proposals.

With a view to ensuring a high degree of transparency, the Agency may appoint an independent expert to act as observer of the evaluation process from the point of view of its working and execution. The observer's role is to give independent advice to the Agency on the conduct and fairness of all phases of the evaluation sessions, on ways in which the expert evaluators apply the evaluation criteria, and on ways in which the procedures could be improved. He / she will report the findings and make recommendations to the Agency. In the framework of their work, the observer may not express views on the proposals under evaluation or on the experts' opinions on the proposals.

6.2 The evaluation process

For each proposal that fulfils the formal requirements described in sections 6.3.1 to 6.3.3 of this Guide, the eligibility criteria are checked. Additional information or clarifications may be requested during the evaluation process. Any contact with applicants shall be appropriately recorded. In the case, however, of missing documents of substance, the proposal shall be deemed ineligible.

Proposals which meet the eligibility criteria are then assessed according to the selection criteria.

In a next step, proposals which meet the formal requirements, the eligibility criteria and the selection criteria are evaluated by means of the following procedure:

- Assessment by external experts against all award criteria;
- Pre-evaluation by an Internal Evaluation Panel;
- Evaluation by an Evaluation Committee.

The criteria and process are described in more detail in the following sections.

6.3 Eligibility criteria

All relevant information for the eligibility criteria is included in Parts A and B1 of the application form.

The basic eligibility criteria are the following (additional eligibility criteria may apply for specific calls, if stipulated in the respective call texts):

6.3.1 Conditions for applicants

Only written applications submitted by legal persons of private or public law legally constituted and registered in a Member State are eligible for Union financial support.

Applications must be presented by:

- one or more Member States, and / or
- with the agreement of the Member States concerned, by international organisations, joint undertakings, or public or private undertakings.

Applications are not eligible if submitted by:

- natural persons (applicants other than a Member State must show that it exists as a legal person, by providing the form relative to legal entities as set out in the application form),
- non EU Member States or legal persons established outside Union countries, or
- international organisations, joint undertakings, or public or private undertakings without the agreement of the Member States concerned.

6.3.2 General conditions for the eligibility of projects

Overall, eligibility is subject to a **commitment** by the applicant for Union financial aid and, where appropriate, by the Member States concerned, to make a financial contribution to the project submitted, mobilising private funds if necessary.

- Proposals must relate to a **project of common interest**, as defined in Article 7 of the TEN Guidelines.

- Applications which are not submitted by a Member State must obtain the **written agreement** of the State(s) concerned.

- **Non-cumulation of Union funding**: TEN-T financial aid shall not be assigned to projects or stages of projects which benefit from other sources of Union funding.

This means that expenditure within a project that is part of an operational programme receiving financial assistance from the Structural Funds and/or the Cohesion Fund cannot benefit from other Union funding. It follows that when expenditure, for example for ERTMS equipment or electrification of a railway line, is not receiving financial assistance from the Structural Funds and/or the Cohesion Fund, it could benefit from TEN-T funding.

The actual construction of the railway line could be funded by the ERDF or the Cohesion Fund. Projects could also be divided into geographical sections, which could be co-financed either by ERDF/Cohesion or TEN-T funding. When granting TEN-T subsidies, the Commission will therefore check if the projects have not received funding from the Structural Funds or the Cohesion Fund.

- The granting of Union financial aid to projects of common interest is conditional to **compliance with relevant Union law**. This includes legislation related to the environment (Environmental Impact Assessment (EIA) Directive⁹, Strategic Environmental Assessment (SEA) Directive¹⁰, Habitats Directive¹¹, Birds Directive¹², Water Framework Directive¹³), state aid and competition, award of public contracts and, for railway actions, interoperability.

6.3.3 *Eligibility of costs*

Detailed information on eligible costs are described in Annex III, section III.3.7 of the model Decision available on the call website:

http://tentea.ec.europa.eu/download/useful_documents/Decision_Model_Text_2011-EN.pdf.

Costs in the application form must be presented in euros. In converting to euros, applicants should use the monthly accounting rate established by the Commission (ideally the rate of August 2011, and, if not published at the time of the submission of the proposal, the rate of July or June 2011) and published on the following website: <http://ec.europa.eu/budget/foreuro/index.cfm?Language=en>. The exchange rate used when preparing the application should be specified in the Application Form's section A3.2.

Value Added Tax (VAT) is not considered as eligible cost, unless the Beneficiary can demonstrate that he is unable to recover it (Article 10(2) Regulation (EC) No 680/2007). VAT paid by public bodies is not an eligible cost.

Therefore, VAT paid by Member States and public sector bodies (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) is not an eligible cost.

If you are using the possibility of flat rate for indirect costs, as described in article III.3.7 point 4 of the model Decision, you should be prepared to provide the calculation method in case your proposal would be selected for funding.

More information and advice concerning this issue is available from the Good Practices Working Group documents at:

http://tentea.ec.europa.eu/en/beneficiaries_info_point/good_practice_working_group/good_practice_working_group_02.htm.

6.4 *Selection criteria*

The proposal shall show that the applicant has the financial and operational capacity to carry out the proposed action. However, the demonstration of the financial and operational capacity does not apply to applicants which are a Member State, a public sector body (regional or local

⁹ Directive 85/337/EEC on the assessment of the effects of certain public and private projects on the environment, as amended by 97/11/EC and 2003/35/EC.

¹⁰ Directive 2001/42/EC on the assessment of the effects of certain plans and programmes on the environment

¹¹ Directive 92/43/EEC on the conservation of natural habitats and of wild fauna and flora

¹² Directive 2009/147/EC on the conservation of wild birds

¹³ Directive 2000/60/EC establishing a framework for Community action in the field of water policy

authority, body governed by public law¹⁴ or association formed by one or several such authorities or one or several such bodies governed by public law¹⁵, international organisation¹⁶) or an European Economic Interest Grouping (EEIG)¹⁷.

If applicable, an assessment of the technical and financial capacity of the beneficiary and the proposed action is performed by the Agency.

6.5 Award criteria

Each project proposal which meets the selection and eligibility criteria will be evaluated in an equal manner against the award criteria defined in the call text. These award criteria are grouped in the following four blocks:

- Relevance
- Maturity
- Impact
- Quality

Application form Part B2 includes a section for each of these blocks, in order to help guide the external experts in conducting their assessments.

In order to facilitate and ensure coherency in the assessment of proposals, a number of detailed issues (prompting points) are defined for each block, which the external expert must consider during the assessment. These prompting points are listed in sections 7.5.1 to 7.5.4. These questions are the same for all calls for proposals. However, if a particular interpretation applies to a specific call, this will be indicated in the relevant call text.

It is important to note that when examining proposals, external experts may only apply the award criteria which are set out in the evaluation forms. No other factors shall be taken into consideration. Furthermore, only information included in the application form (and its annexes) will be considered by the experts.

6.5.1 Relevance

¹⁴ Body governed by public law: any body:

- (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

¹⁵ e.g. Joint Undertaking established under Article 187 of the Treaty on the Functioning of the European Union (ex Article 171 TCE)

¹⁶ According to article 43 (2) of the Regulation 2342/2002, international organisations are:

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

¹⁷ established in line with Council Regulation (EEC) N° 2137/85 of 25 July 1985.

Relevance refers to the contribution of the Action to the TEN-T priorities (as laid out in the TEN-T Guidelines) and the objectives described in the call for proposals text, as well as to the macro socio-economic benefits at EU level and the need for TEN-T support.

This block of evaluation criteria shall assess the proposal if each of the following elements is met:

- The Action belongs to one of the 30 priority projects as defined in Annex III of the TEN Guidelines, or how it classifies as project of common interest as defined in Art. 7 of the TEN Guidelines.
- The Action addresses TEN-T priorities as identified in Art. 5 of the TEN Guidelines.
- The Action addresses the objectives, priorities and expected results of the Call for proposals.

This block of evaluation criteria shall assess the proposal in terms of the extent to which:

- The Action contributes to the internal market, the cohesion policy and the Europe 2020 strategy.
- The Action generates socio-economic benefits (e.g. competition, jobs, social integration) at macro level (EU level).
- The Union funding of this proposal has a stimulating / leverage effect on public and private financing and the commitment of the different stakeholders, and avoids the negative impact the absence of TEN-T funding would have.

6.5.2 Maturity

Maturity refers to the status of preparation of the activities, in particular the capacity to implement the Action in accordance with the foreseen time plan and technical specifications. In other words: is the project ready to go?

This block of evaluation criteria shall assess the proposal in terms of the extent to which:

- The proposal has received formal approval at governmental, regional, local level.
- Political commitments have been given to the Action and, if applicable, to the Global Project (including cross-border commitments where relevant).
- Public consultations have been positively accomplished and the plans to involve stakeholders throughout the Action are appropriate and well-developed.
- The project is ready to start from a technical point of view.
- The necessary building permits have been received / the procedures to receive them are well advanced.
- Procurement procedures are defined and well advanced.
- There are risks and factors of uncertainty of legal/administrative/technical/other nature which remain to be settled before activities can start.

- The proposal has secured or is at an advanced stage in the process of securing adequate financial resources to implement the planned activities, and the revenues foreseen are realistic.

6.5.3 *Impact*

Potential impact refers to the anticipated socio-economic effects of the Action (at the micro level) as well as the impact on the environment.

For proposals involving works, this block of evaluation criteria shall assess the proposal in terms of:

- Socio-economic effects (reflected in the results of ex-ante evaluation(s), socio-economic and/or cost/benefit analyses), and in particular the extent to which:
 - The Action would have positive direct and indirect socio-economic effects (in particular in relation to the results of the ex-ante evaluation(s), socio-economic and cost/benefit analyses).
 - The Action would have a positive impact on in terms of mitigating traffic growth consequences, improving multimodal split, enhancing inter-operability, regional or national development, service quality, safety and security.
 - The Action would have a positive impact on regional and / or local development and land use. Please assess also positive and negative impacts on neighbouring regions.
 - The Action would have a positive impact on competition.
- Environmental impact (reflected in the expected impact of the Action on nature, emissions, noise, land use, etc. and in the measures to reduce or compensate any negative impacts), and in particular the extent to which:
 - The Action would contribute to the re-balancing of transport modes in favour of the most environmentally friendly ones.
 - The proposed Action would have positive and negative effects on the environment (only for works).
 - The Action, in case of possible environmental negative effects, has foreseen adequate measures of prevention, monitoring and mitigation.

For proposals involving studies, this block of evaluation criteria shall assess the proposal in terms of the:

- Impact of the study as a decision-making tool:
 - Level in the organisation/Member State which will use/rely on the output of the study for its decision-making, and period over which it will be used.

- Extent to which the output of the study will be relied upon for decision-making, possibly in relation to other studies, and at what level: i.e. at the level of a future Action or national project, or at Global Project level.
- Relevance and economic value of the study in terms of costs / benefits.
- Impact of the study in terms of policy-making and best practices:
 - Extent to which the study:
 - considers the policy context in which it will be undertaken
 - provides a sound basis for institutional and national policy-making
 - Degree to which elements of the study could be used to develop best practices
- Socio-economic effects (reflected in the results of ex-ante evaluation(s))

6.5.4 *Quality*

Quality of the Action refers to its completeness and clarity, in terms of the description of the planned activities, the soundness of the project management process and the coherence between its objectives and planned resources / activities.

This block of evaluation criteria shall assess the proposal in terms of the extent to which:

- The overall proposal is of good quality in terms of its logic, completeness and clarity.
- The proposed activities are coherent with the Action's objectives and are adequate to achieve them.
- The proposal is realistic and consistent from a technical point of view.
- The costs budgeted for each activity are realistic and reasonable.
- The organisational structure and the project management plan put in place for the Action are sound.
- A sound risk management plan has been prepared.
- Sound control procedures and quality management are in place.
- Sound arrangements for monitoring, internal / external audits and evaluations are in place or foreseen.
- A satisfactory level of publicity regarding the funding support requested from the TEN-T programme is planned.

6.6 Evaluation process: in detail

6.6.1 Step 1: Assessment of compliance with eligibility and selection criteria, and Community laws

Firstly, an Opening Committee shall verify that proposals have been submitted before the call deadline and that the proposal is complete. Applicants are then informed by email ('acknowledgement of receipt') that their proposal has been successfully submitted (this does not, however, necessarily imply that it is eligible).

Next, each proposal is assessed against the eligibility criteria (Section 6.3) and the selection criteria (Section 6.4).

Any proposals which do not meet these criteria shall be rejected; applicants of these proposals shall be notified and informed of the reason.

As specified in the call text (Article 6.2) the personal details of applicants and, if they are legal entities, persons who have powers of representation, decision-making or control over them, may be registered in the Early Warning System (EWS) or Central Exclusion Database (CED) if they are in one of the situations mentioned in

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

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

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

It incites the Commission services in these various situations to take the appropriate measures provided in the Community legislation to protect the financial interest of the Communities.

Access to the EWS is restricted to a defined category of authorised users, who have to keep the information confidential, except in certain circumstances where they can disclose some information only to the third party directly concerned by the warning (but not to other persons).

For further information see: http://ec.europa.eu/budget/sound_fin_mgt/ews_en.htm

The CED was set up by the Commission at European level as from 1 January 2009, containing all the entities which are under an exclusion situation (Articles 93, 94 and 96 of the Financial Regulation).

For further information see: http://ec.europa.eu/budget/sound_fin_mgt/ced_en.htm

6.6.2 Step 2: Assessment by external experts

Proposals which meet the eligibility and selection criteria are assessed by external experts against the award criteria.

All external experts are briefed orally before their assessment by representatives of the TEN-T EA, in order to inform them of the general assessment guidelines, the objectives of the TEN-T priorities for the different modes of transport, rules regarding conflicts of interest, logistical arrangements, etc.

All the key written documents (e.g. TEN Regulation, TEN Guidelines, work programmes, call texts) are sent to the external experts in advance of the evaluation. In addition, other documents dedicated to specific transport modes, and relevant for the evaluation, may be supplied.

In a first step, each application form is assessed independently against the applicable award criteria by a minimum of three external experts, each of which completes an Individual Assessment Form with marks and comments.

Marking proposals: External experts examine the prompting questions and, for each block of evaluation criteria, award a mark on a six-point scale from 0 to 5. Half marks may be given. In this scheme, the scores indicate the following with respect to the block under examination:

- | | |
|-----|--|
| 0 - | <i>The proposal fails to address the criterion under examination or cannot be judged due to missing or incomplete information</i> |
| 1 - | <i>Poor. The criterion is addressed in an inadequate manner, or there are serious inherent weaknesses.</i> |
| 2 - | <i>Fair. While the proposal broadly addresses the criterion, there are significant weaknesses.</i> |
| 3 - | <i>Good. The proposal addresses the criterion well, although improvements would be necessary.</i> |
| 4 - | <i>Very good. The proposal addresses the criterion very well, although certain improvements are still possible.</i> |
| 5 - | <i>Excellent. The proposal successfully addresses all relevant aspects of the criterion in question. Any shortcomings are minor.</i> |

*Unless indicated otherwise in the call text, in calculating the average score of a project, each block of criteria is considered to be of **equal weighting**.*

*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 one (or more) block(s). However, the Commission is not bound by the opinion of the experts and may deviate from their view.*

External experts are required to provide comments to accompany each of their scores. These comments must be consistent with any scores awarded and serve as input to the consensus discussions and related consensus reports.

The prompting questions for each block of criteria are not scored; external experts will only record their observations on them in the evaluation form. These questions are reminders to

help the external expert in supporting his/her judgement on what score to assign to the criterion concerned when he/she has finished reading, and also to remind him/her of issues he/she may wish to raise later during the consensus meeting.

External experts may make recommendations regarding the amount of funding and/or the duration of an Action.

In a second step, a consensus meeting with a minimum of three external experts is convened when all experts assigned to a proposal have completed their individual assessment form. During this meeting, a consensus report is agreed and signed for each proposal, providing a score for each block of criteria and comments to justify these. TEN-T EA staff moderates these meetings.

If a common point of view on any particular aspect of the proposal cannot be agreed on, the moderator may ask an additional external expert to examine the proposal. If after his/her input consensus can still not be reached, the report sets out the majority view of the experts but also records any dissenting views from any particular external expert(s).

6.6.3 Step 3: Internal Evaluation Panel

An Internal Evaluation Panel, composed of representatives from DG MOVE and the TEN-T EA (and including representatives of other Directorates General, if appropriate), reviews all of the proposals, together with the consensus reports, and recommends proposals for funding. In addition to the award criteria,

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.

The Panel may re-discuss/re-examine the consensus reports of the external experts for all proposals and may revise, in duly justified circumstances, only the consensus overall comments. Ultimately, the Panel prepares a list of proposals recommended for funding, which it submits to the Evaluation Committee. For each proposal, a recommendation for the level of

funding and the duration of the Action is given, as well as any other recommendations considered appropriate.

A number of proposals may be suggested in a reserve to allow for eventualities such as the failure of concluding a financing Decision, the withdrawal of proposals, budget savings agreed during negotiation, or the availability of additional budget from other sources.

6.6.4 Step 4: Evaluation Committee

The Evaluation Committee, composed of DG MOVE Directors, assesses the Internal Evaluation Panel's list of proposals recommended for funding and the list of those not to be funded. The Committee makes any modifications it considers appropriate, following which it presents final lists of projects to be proposed for funding and to be rejected to the Director-General of DG MOVE.

Once approved, DG MOVE launches an inter-service consultation to obtain comments from other services of the Commission (in particular DG Environment and DG Regional Development), to verify compatibility with other policies, and to ensure there is no risk of double financing for the same activity or project.

6.6.5 Step 5: Approval by Programme Committee and European Parliament scrutiny

The list of projects selected by the Evaluation Committee must then be approved by Member State representatives via the Financial Assistance Committee (FAC), followed by which the European Parliament has a 'right of scrutiny' (i.e. it has the right to oppose the list according to certain conditions). On this basis, a 'framework Decision' is adopted, listing the proposals selected for funding, indicating the respective amounts of funding as well as the co-funding rates to be awarded to each Action.

6.6.6 Feedback to applicants

Proposals which do not meet the eligibility criteria, and cases where non-compliance with Union law is detected, will be rejected and the applicants will be notified of the grounds for such a decision after Step 1 of the evaluation process.

After the European Parliament scrutiny, each applicant whose proposals are selected for funding are then invited to finalise in cooperation with TEN-T EA the terms of the grant Decision¹⁸, before it is adopted for each selected Action.

7 Check list

7.1 Preparing your proposal

- ✓ **Does your proposal fit in the scope of the call for proposals?** Check that your proposed activities do indeed address the objectives and results expected identified in the relevant call. It will only be evaluated against the criteria specified for the call, and if relevant the priority, under which the proposal is submitted.

¹⁸ The sole purpose of the negotiation and clarification procedure is to clarify points of detail or to negotiate groupings into partnerships to facilitate subsequent management of the financial aid. Under no circumstances may it lead to any substantial amendments which would change the nature of the original application evaluated and selected.

- ✓ **Does your proposal satisfy all the formal requirements for submission?** Please check carefully the formal arrangements for the submission of proposals provided in the call. Proposals which do not meet these requirements will not be evaluated.
- ✓ **Is your proposal eligible?** The eligibility criteria are given in the call. Proposals which do not meet the eligibility requirements will be considered ineligible and will not be evaluated.
- ✓ **Is your proposal complete?** An application must include:
 - Application form Part A using the TENtec eSubmission module, and
 - A package containing:
 - * a CD-ROM or DVD-R containing the complete proposal in electronic format;
 - * the printout of Part A, as it is generated by the TENtec eSubmission module at the time of the electronic submission (one signed original and four additional copies);
 - * Application form Parts B1 and B2 (one signed original and four additional copies);
 - * Annexes (one original and four additional copies).
- ✓ **Does your proposal follow the required structure?** Proposals should be precise and should clearly respond to the questions posed. Omitting requested information will almost certainly lead to lower scores and could lead to exclusion. For large projects consider breaking down the scope of the Action in several activities to allow evaluation and possible future monitoring of the Action. Similarly, large activities consuming a disproportionate high share of the total estimated cost of the Action; should be broken down to smaller distinct parts (activities or sub-activities). Milestones should be evenly spread all over the Action duration to allow a sound monitoring of the Action.
- ✓ **Did you validate the correctness of your GIS data?** Proposals have to provide accurate GIS data to indicate without ambiguity where the activities of the proposal are located. You may use services as GOOGLE maps to facilitate the validation:
- ✓ **Have you maximised your chances?** There will be strong competition. Therefore, edit your proposal tightly and see if you can strengthen weak points. Put yourself in the place of an expert evaluator; refer to the award criteria given in Section 7.5 of this Guide. Arrange for your draft to be evaluated by experienced colleagues; use their advice to improve it before submission.

For this you might consider presentations given during the 2010 project management workshop on how to improve your proposal, for example:

http://tentea.ec.europa.eu/download/events/12-13_January_Workshop/presentations/giorgiworkshop_jan2010_superfinal.pdf

http://tentea.ec.europa.eu/download/events/june2010infoday/northcalls_for_proposals_hints_and_tips_superfinal.pdf

7.2 *Final checks before submission*

- ✓ **Do you have the approvals** of all the Member States directly concerned by your proposal?

- ✓ **Have all the requested documents been completed** (e.g. Declarations of compliance with Union policy and law, financial identification form, legal entity form, Annex I) and signed by the competent authority(ies) and/or organisation(s)?
- ✓ **Have all the requested additional documents** (such as the Natura 2000 map, EIA, SEA and WFD documentation) **been attached** to the proposal?

7.3 The deadline

Make sure that the proposal is delivered before the deadline and that you keep proof of this. The evidence may be requested.

Annexes

Annex 1: Guidelines to complete Application form Part B1

Annex 2: Guidelines to complete Application form Part B2

Annex 3: Glossary and Acronyms

Annex 1: Guidelines to complete Application Form Part B1

Cover page

The following information is requested on the cover page:

- Whether the proposal responds to a call for proposals under the Multi-Annual Work Programme 2011 (and then if it responds to the call for proposals for RIS, ERTMS or MoS)
- The title of the proposed Action, which must be the same as the title indicated in Application Form Part A1
- The unique project code of the proposal, as automatically generated by TENtec

Application Form Part B.1. is composed of the following sections:

Section 1: Administrative information on applicants

1. Legal entity
2. Additional formal requirements on the financial and operational capacity of the applicant

Section 2: Compliance with Union policy and law

1. Compliance with Union policy on environmental protection
2. Compatibility with Union policy on interoperability (Railway actions only)
3. Compatibility with Union law on state aids
4. Compatibility with Union law on road charging
5. Compatibility with Union law on public procurement
6. Annex I: Declaration form of the public or private undertakings or bodies applying for the Union financial aid
7. Annex II-A: Declaration by the authority responsible for Natura 2000
8. Annex II-B: Information on actions likely to have significant negative effects on Natura 2000 sites
9. Annex II-C: Declaration by the authority responsible for water management

Note: for multi-applicant proposals, Application Form Part B1 must be completed for each applicant

SECTION 1: ADMINISTRATIVE INFORMATION ON APPLICANTS

1. Legal Entity

- √ All applicants except Member States, Regions and Provinces – i.e. all public and private undertakings or bodies, international organisations and European Economic Interest Grouping (EEIGs) - need to provide the Legal Entities form.
- √ The editable form can be downloaded in all Union languages at the following Internet address:
 - http://ec.europa.eu/budget/execution/legal_entities_en.htm
- √ Several additional documents referred to in the legal entity form must be attached to the proposal.

2. Additional formal requirements on the financial and operational capacity of the applicant

- √ Applicants must select their legal status among the following categories:
 - Member State

- public sector body (regional or local authority, body governed by public law¹⁹ or association formed by one or several such authorities or one or several such bodies governed by public law²⁰, international organisation²¹)
 - European Economic Interest Grouping (EEIG) established in line with Council Regulation (EEC) N° 2137/85 of 25 July 1985.
 - Private undertaking or body (by default, all other organisations)
- √ Applicants which are NOT a Member State, a public sector body or an EEIG (i.e. applicants that qualify as private undertakings or bodies) have to prove that they have the financial and operational capacity to carry-out the proposed action, by providing the following documentation:
- financial statements (balance sheet, income statement and cash flow statement) certified by an external auditor for the last financial year for which the accounts have been closed
 - appropriate documents attesting that they have the technical and operational capacity to complete the Action for which the grant is sought (e.g. adequate professional qualifications of the team responsible for implementing the Action, proof of recent experience in carrying out similar or related projects, previous cooperation with European or international bodies...)
- √ For multi-applicants proposals, complete the table in Application Form Part B1, confirming, for each applicant that is not a Member State, a public sector body or an EEIG, that the documentation required to prove the financial and operational capacity is provided with this proposal. Rows may be added as required. If the documentation proving the financial and operational capacity is missing for one or several applicants, explain. For joint proposals, co-applicants must send their documentation to the coordinating applicant, who will compile a complete proposal.
- √ It should be noted that successful applicants which are NOT a Member State, a public sector body or an EEIG (i.e. applicants that qualify as private undertakings or bodies) will have to lodge an advance guarantee for up to the same amount as the pre-financing, as per Article 118 of the Financial Regulation and Article 182 of the Implementing Rules.
- √ All Applicants except Member States, Regions, Provinces and Municipalities must also comply with Article 114(3) of the Financial Regulation²², be aware of Article 134b of its Implementing Rules²³ and complete and sign the declaration form in Annex 1.

SECTION 2: COMPLIANCE WITH UNION POLICY AND LAW

¹⁹ Body governed by public law: any body:

(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

²⁰ e.g. Joint Undertaking established under Article 187 of the Treaty on the Functioning of the European Union (ex Article 171 TCE)

²¹ According to article 43 (2) of the Regulation 2342/2002, international organisations are:

(a) international public sector organisations set up by intergovernmental agreements, and specialised agencies set up by such organisations;

(b) the International Committee of the Red Cross (ICRC);

(c) the International Federation of National Red Cross and Red Crescent Societies.

²² Council Regulation (EC, Euratom) n° 1605/2002 of 25 June 2002 on the Financial Regulation applicable to the general budget of the European Communities, OJ L 248 of 16 September 2002, p. 1 as amended

²³ Commission Regulation (EC, Euratom) n°2342/2002 laying down detailed rules for the implementation of Council Regulation (EC, Euratom) n°1605/2002 (OJ L 357 of 31.12.2002 p.1), as last amended by Commission Regulation (EC, Euratom) n°478/2007 of 23 April 2007 (OJ L 111 of 28.04.2007, p.13)

- √ Indicate if the proposal is for study(ies), study involving some physical intervention (e.g. excavation, testing), or work (see "study" and "work" definitions in the glossary).
- √ For proposals in the fields of RIS and ERTMS studies and works may not be combined in a single proposal.

1. Compliance with Union policy on environmental protection

- √ All construction activities and studies implying physical interventions (destructive tests, excavations, any activity related to a Natura 2000 site...) are required to demonstrate their compatibility with Union policy on environment, meaning they have to fill in this section of Application Form Part B1. In particular, applicants must state that all relevant environmental, nature conservation and water bodies have been consulted, and that the project complies with the environment-related European Directives.
- √ Proposals for studies not involving physical interventions do not need to demonstrate their compliance with Union environmental law. In this case, it must clearly be stated that no physical intervention will take place as part of this Action.
- √ ERTMS, ATM/FAB and RIS proposals only need to fill in Section 1 "Compliance with EU policy on environmental protection" if the proposed action includes physical works (e.g. installation of antennas) affecting a site designated as protection zone under the "Habitats" (92/43/EC) and Birds (2009/147/EC) Directives. Section 1.6 "Actions with a potential impact on water - Water Framework Directive 2000/60/EC" needs to be completed only if these physical works are located in protected waters as defined in Article 1 of this Directive.

1.3. Environmental Assessment:

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

1.3.2 Application of Council Directive 85/337/EEC on Environmental Impact Assessment

- √ Detailed information on the Council Directive 85/337/EEC on the assessment of the effect of certain public and private projects (also called the Environmental Impact Assessment, or EIA, Directive) as amended can be found at:
<http://ec.europa.eu/environment/eia/eia-legalcontext.htm>
- √ If the Action is covered by the Annex I of the EIA Directive, provide the following documents:
 1. the non-technical summary of the Environmental Impact Assessment carried out for the Action
 2. the information referred to in Article 9 (1) of the Directive: content of the decision (on the granting of the development consent) and any conditions attached thereto; main reasons and considerations on which the decision is based; description, where necessary, of the main measures to avoid, reduce and, if possible, offset the major adverse effects
 3. information on consultations with environmental authorities, the public concerned and, if applicable, with other Member States.
- √ If the Action is covered by the Annex II of the Directive, either (i) provide the information required in above section 1.3.2.2 or (ii) explain why the Environmental Impact assessment has not been carried out and give the thresholds, criteria or case by case examination carried out to reach the conclusion that the Action has no significant environmental effects

1.3.3 Application of the Council Directive 2001/42/EC on Strategic Environmental Assessment

- √ The text of the Council Directive 2001/42/EC on the assessment of the effects of certain plans and programmes on the environment, known as the Strategic Environmental Assessment Directive (also called the SEA Directive) can be found at:

- √ <http://ec.europa.eu/environment/eia/sea-legalcontext.htm> If the Action results from a plan or programme falling within the scope of the SEA Directive, provide the documentation as required by Article 9 (b) of the SEA Directive, the non-technical summary of the Environmental Report carried out as required by Article 5 of the SEA Directive, and information on the public consultations carried out with the competent authorities and the public.
- √ If it does not result from such a plan or programme, explain.

1.4. Natura 2000 (Directive 92/43/EEC and Directive 2009/147/EC):

- √ Information on the Natura 2000 network can be found at:
http://ec.europa.eu/environment/nature/natura2000/index_en.htm
- √ The text of Council Directive 92/43/EEC of 21 May 1992 on the conservation of natural habitats and of wild fauna and flora, known as the Habitats Directive, can be found at:
http://ec.europa.eu/environment/nature/legislation/habitatsdirective/index_en.htm
- √ The text of Council Directive 2009/147/EC on the conservation of wild bird, commonly referred to as the Birds Directive can be found at:
http://ec.europa.eu/environment/nature/legislation/birdsdirective/index_en.htm
- √ If the Action is not likely to have a significant effect on sites included or intended to be included in the Natura 2000 network:
 - Attach a completed Natura 2000 declaration (Annex II-A) filled, signed, stamped and dated by the relevant authority and enclose a map of the area showing the Action and Natura 2000 sites.
- √ If the Action is likely to have a significant effect on sites included or intended to be included in the Natura 2000 network:
 - Provide a summary of the conclusions of the assessment carried out in accordance with Article 6(3) of Directive 92/43/EEC²⁴ and a map of the area showing the Action and Natura 2000 sites at a scale of 1:100.000.
 - If the assessment carried out in accordance with Article 6 (3) has led the competent national authorities to ascertain that the project will not adversely affect the integrity of the Natura 2000 sites, attach a completed Annex II-A form, signed, dated and stamped by the relevant authority.
 - If the conclusion of the assessment carried out in accordance with Article 6(3) is negative or uncertain, then Article 6(4) applies. Attach a completed Annex II-B form, signed, dated and stamped by the relevant authority.

1.5. Additional environmental integration measures

(e.g. environmental audit, environmental management, specific environmental monitoring)

1.6. Water Framework Directive

- √ The text of the Water Framework Directive 2000/60/EC can be found at:
http://ec.europa.eu/environment/water/water-framework/index_en.html
- √ If the Action is not expected to lead to a deterioration or failure to achieve good water status:
 - Provide Annex II-C declaration, completed, signed, stamped and dated by the competent authority
- √ If the Action is likely to lead to a deterioration or failure to achieve good water status:
 - Answer two questions on mitigating measures and on alternative means to achieve the objectives of the Action
- √ The form must bear the stamp and signature of the appropriate authority.

2. Compatibility with Union policy on Interoperability (Railway Actions only)

²⁴ Council Directive 92/43/EEC of 21 May 1992 on the conservation of natural habitats and of wild fauna and flora

- √ This section must be filled in for all proposals including construction of rail infrastructure or deployment of ERTMS, whether on conventional or high speed lines. All railway Actions must comply with Union Directives related to interoperability and with relevant Technical Specifications for Interoperability (TSIs).
- √ Studies must anticipate carrying out the works in line with Union legislation.
- √ Compliance with the technical specifications for interoperability is compulsory. Should certain provisions of a TSI not be respected, the applicant must provide information regarding any notification sent to the Commission with a request to derogate from the TSI and, if applicable, of the outcome of the procedure for derogation, which is set out in the applicable Directive. Any proposal including a possible derogation from a TSI will be closely assessed by Commission services.
- √ In case some elements of the interoperability specifications are not respected, include information on derogations agreed with the Commission services or pending exemption request(s).
- √ [Directive 2008/57/EC of 17 June 2008](#) will repeal with effect from 19 July 2010 [Council Directive 96/48/EC](#) of 23 July 1996 (as amended by [Directive 2004/50/EC](#) of 24 April 2004) on the interoperability of the trans European high-speed rail system as well as [Council Directive 2001/16/EC](#) on the interoperability of the European conventional rail system. Detailed information can be found at:
http://ec.europa.eu/transport/rail/interoperability/interoperability_en.htm
- √ The form must bear the stamp and signature of the appropriate authority.

3. Compatibility with Union law on State Aids

- √ All Actions must comply with Articles 107 – 109 of the Treaty on the Functioning of the European Union,
- √ In particular, save as otherwise provided in this Treaty any aid granted by a Member State or through State resources in any form whatsoever which distorts or threatens to distort competition by favouring certain undertakings or the production of certain goods shall, in so far as it affects trade between Member States, be incompatible with the common market.
- √ In order to be compliant to 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.

4. Compatibility with Union law on Road charging (for road actions only)

- √ The question refers to Article 7(10) of the Directive 1999/62/EC of 17 June 1999 on the charging of the heavy goods vehicles for the use of certain infrastructures, which can be found at:
<http://ec.europa.eu/transport/infrastructure/doc/directive1999-62.pdf>

5. Compatibility with Union law on public procurement

- √ The question refers to the compliance of the Action with Union Law on public procurement, especially with (i) Directive 2004/18/EC of the European Parliament and of the Council of 31 March 2004 on the coordination of procedures for the award of public works contracts, public supply contracts and public service contracts (OJ L 134, 30.4.2004, p. 114), and (ii) Directive 2004/17/EC of the European Parliament and of the Council of 31 March 2004 coordinating the procurement procedures of entities operating in the water, energy, transport and postal services sectors (OJ L 134, 30.4.2004, p. 1)
<http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=CELEX:32004L0018:EN:NOT>

<http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=CELEX:32004L0017:EN:NOT>

Annex 2: Guidelines to complete Application Form Part B2

Cover page

The following information is requested on the cover page:

- Whether the proposal responds to a call for proposals under the the Multi-Annual Work Programme (and if it responds to the call for proposals for ERTMS, RIS or MoS)
- The title of the proposed Action, which must be the same as the title indicated in Application Form Part A1
- The unique proposal code of the proposal, as automatically generated by TENtec

Application Form Part B.2 is composed of the following sections:

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

Each section consists of several questions, the answers to which will provide the basis for the evaluation. The structure of the Application Forms is the same as the structure of the Evaluation Forms used by the evaluators. It is therefore very important to answer all of the questions in this Application Form, as the absence of an answer(s) will result in a lower score given by the evaluators for the relevant criteria, thus diminishing the chance that the proposal will be selected. If an answer is not available / not applicable for a particular section for a duly justified reason, this should be stated in the Application Form.

1. GENERAL DESCRIPTION OF THE GLOBAL PROJECT

Fill in this section only if the Action for which support is requested is part of a larger project (hereinafter referred to as "the Global Project") – *see the Glossary (Annex I) for detailed definitions.*

1.1. General outline of the Global Project

- √ Give a general outline of the Global Project, including a technical description (type, size, main features, services to be provided, etc.)
- √ Give an indication of the current status of the Global Project, including past and future achievements.

1.2. Current situation and main needs addressed by the Global Project

- √ Describe the current situation and the main needs for an intervention, which will be addressed by the Global Project

1.3. Main objectives of the Global Project

- √ Describe the main objectives of the Global Project

2. DESCRIPTION OF THE PROPOSED ACTION

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

2.1. General outline and context of the proposed Action

- √ Give a general outline of the Action, including a technical description (type, size, main features, services to be provided, etc.)
- √ Identify the main stakeholders of the Action: beneficiary(ies), coordinator, promoters, sponsors, implementing body, supervising body, etc.

2.2 Main objectives of the proposed Action

- √ Describe the main objectives of the Action, which should be general and represent what should be achieved by implementing the Action, or the desired results. The main objectives should address the main needs identified in Section 2.3.
- √ Non-exhaustive list of examples of main objectives:
 - development and implementation of innovative safety technology
 - introduction of new services
 - increased speed of railway link
 - improvement of navigability of water ways
 - increased capacity of locks
 - harmonisation of signalisation
 - increased inter-operability
 - increased co-modality
 - improved safety
 - completion of a study
 - development of analytical framework for assessment of PPP arrangements
 - completion of feasibility study to assess PPP as an alternative financing mechanism
- √ If applicable, explain the importance of the Action for the physical development of the network (e.g. add a key missing link, support modal shift).

2.3. Contribution of the proposed Action to the Global Project

- √ If applicable, describe how the Action will contribute to the Global Project. If the Action represents a necessary step for the realisation of the Global Project, please explain.
- √ Make a clear distinction between the Action, for which Union financial aid is requested by this application, and the Global Project to which the Action belongs.

2.4. Indicators on proposed Action's implementation

- √ Specify the indicators (different from the milestones) which will be used to assess the extent to which the main objectives are being / have been achieved, and their sources of verification.
- √ Indicators should be SMART:
 - **Specific** (an observable action or achievement is described)
 - **Measurable**, quantifiable (a reliable system is in place to measure progress towards the achievement of the objective)
 - **Achievable** (can be reached/achieved within the framework of the Action)
 - **Relevant** (is important/relevant for the achievement of the main objectives)
 - **Time bound** (can be measured within the framework of the Action).
- √ In addition to the indicators listed in section A3.4 of Application Form Part A, possible indicators might include:
 - increase in traffic capacity of at least x%,
 - decrease in traffic congestion of at least y%,
 - travel / transport time reduced by at least x%
 - passengers carried increased by at least x M people
 - freight tonnage increased by at least x M tons
 - reduction in CO₂ emission of at least z%,
 - capacity of locks increased by at least x%
- √ Sources of verification:
 - For each indicator, define the source(s) of verification that will be used to assess the extent to which the indicator is being achieved, and, for quantitative indicators, to

calculate them (e.g. ex-ante evaluation(s), institution or organization collecting statistical information, database).

- If relevant, the methods used to collect the information should be described.

2.5. Description of the Activities of the proposed Action (including interdependencies)

- √ Give a detailed description of each activity listed in the table "Activities of the Action" (Application Form Part A, Section A3.1).
- √ If one activity is disproportionately large compared to the others in the same Action, consider to split it into different activities or sub-activities, depending on the very nature of the Action.
- √ All activities upon which the success of the Action will depend have to be described in this Application Form, including those which started before the start date of this Action and for which no Union funding is being requested.
- √ Financing can be requested only for activities carried out during the eligibility period (i.e. annual call: starting no earlier than the date of the submission of the proposal - multi-annual call: starting no earlier than 1 January 2011).
- √ Each activity must be clearly detailed from both the technical and organisational point of view. In particular for proposals submitted under the multi-annual call for proposals, separating clearly the different activities – with specific milestones, implementation period and costs (as indicated in Application form Part A, Section A3.3) - will help the Commission to focus its support on activities for which Union funding could bring greater benefits.
- √ Include in this description any activities essential for the completion of the Action but which would not be funded by the Union.

2.6. Action plan (graphic representations)

- √ Include a GANTT chart of the Action (and the Global Project if applicable) detailing the critical path and including the milestones of the Action and their interdependencies (*insert in the box in the Application Form or attach as an annex*).

2.7. Location of the proposed Action

- √ Reporting of text based coordinates
This is the obligatory minimum requirement corresponding to section A 3.1 of Part A of the application form. You should provide relevant coordinates (only points) by means of X, Y coordinates there. These coordinates
 - can be reported in any text format (MS Word, Excel, Text file, CSV, XML).
 - must clearly mention which reference system is applicable (ETRS89 or WGS84 see above)
 - must be reported either in Degrees Minutes Seconds (DMS) or Decimal Degrees (DD). For DD, the value of minutes and seconds must never exceed 59 (e.g. 51° 23' 94" is NOT a valid coordinate).

In addition, you are strongly encouraged to use the following means to explain the location of the Action you are proposing:

- √ Cartographic representation
Attach a map (i.e. JPEG or pdf format) with the geographic location of the proposal at a scale of 1:100.000 (or the nearest possible scale to fit the project on a page size of minimum A4). Such a map should also contain identifiable landmarks or a geographic grid to allow precise localization of the project.
- √ Vector datasets

In addition to a map, GIS data of adequate quality should be delivered as one or more vector datasets.

- If the proposal concerns a specific geographic location, a point vector file should be supplied or, alternatively, a text file containing a comprehensive list of coordinates (see 2.8.3)
- If the proposal concerns a linear segment or section of a road, rail or waterway, a line vector should be supplied.
- If the proposal concerns an area, a polygon vector file should be supplied.
- A conclusive list of NUTS codes corresponding to the proposed action's geographical coverage can be supplied as an alternative to a polygon vector file.

The following requirements apply for all vector datasets

I. Vector File format

- ESRI open format (shapefile)
- ESRI proprietary format (personal geodatabase, file geodatabase)
- OpenGIS format (Google KML)

Note that the ESRI formats are the preferred option

II. Scale

The source scale of line and polygon vector data must be of adequate quality to yield good display results at a cartographic scale of 1 / 100 000. It is therefore recommended to digitize vector data at this scale.

III. Reference system

All geographic vector data must be referenced in the spatial reference system ETRS89 (EPSG code 4258 – ESRI GCS_ETRS_1989)

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

If you are unable to produce data in this reference system, the only other accepted reference systems is WGS84 (EPSG code 4326).

```
GEOGCS["WGS 84",
```

```

DATUM[ "WGS_1984" ,

      SPHEROID[ "WGS 84" , 6378137 , 298.257223563 ,

                AUTHORITY[ "EPSG" , "7030" ] ] ,

      AUTHORITY[ "EPSG" , "6326" ] ] ,

PRIMEM[ "Greenwich" , 0 ,

        AUTHORITY[ "EPSG" , "8901" ] ] ,

UNIT[ "degree" , 0.01745329251994328 ,

      AUTHORITY[ "EPSG" , "9122" ] ] ,

AUTHORITY[ "EPSG" , "4326" ] ]

```

IV. Spatial Feature Attributes

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

2.8. Overview of the proposed Action

The purpose of this table, which essentially summarises information provided in earlier sections, is to **have an overall view of the Action and its logic**: from its main objectives (achievement of which is assessed through measurable indicators) to its activities (progress of which is measured through milestones).

This table can be on more than one page if needed.

Activities

- √ List (in bullet point format) the activities (and sub-activities if relevant) which will be carried out in the framework of the Action (this must be in line with Section 2.6).

Results

- √ The implementation of each activity should lead to the completion of an expected result, or an output. List (in bullet point format) these results.
- √ Non-exhaustive list of examples of results:
 - completion of design study
 - land acquired
 - completion of lot x
 - renovation of structure x completed
 - x kilometres of road / rail with specific standards completed
 - completion of certification
 - acceptance of the work x
 - innovative safety technology fully developed and ready to be implemented
 - decision made on whether or not to implement a project (after feasibility study)

Milestones

- √ Define (in bullet point format) the milestones associated with each (sub)activity and expected result(s) (this has to be in line with the table "Milestones of the Action" in Application Form Part A Section A3.1).

- √ The number of milestones per activity will depend on the complexity of each activity, but normally there should be at least two milestones per activity marking the start and the completion of this activity.
- √ One milestone of each (sub)activity will represent the "end event" of the (sub)activity and indicate whether or not the (sub) activity and its expected result have been successfully achieved.
- √ Milestones have to be evenly distributed all over the duration of the proposed Action. In this respect, concentration of milestones towards the end of the Action must be avoided because it would give limited means for monitoring the implementation of the Action.
- √ Milestones have to be verifiable and precise.
- √ Non-exhaustive list of examples of milestones:
 - Approval or submission of a final design plan
 - Publication of a tender
 - Signature of contract
 - Starting / end of construction works (certificate of acceptance)
 - Road / railway / river section open for traffic
- √ Intermediate milestones are particularly relevant for multi-annual projects, as they facilitate intermediate payments.
- √ The start up event (which constitutes the start of the implementation period) and the end event (what constitutes the end of the implementation period) should be clearly identified. NB. Normally there should be only one start and one end event.

On critical path

- √ Indicate for each activity as 'yes' or 'no' whether the activity is located on the critical path of the Action. This needs should be linked with the associated milestones.

Means of verification

- √ For each milestone, establish which means of verification will be used to verify that the milestone has been reached / completed (NB. By definition the milestones are one-off events and therefore the means of verification should be easy – 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 etc. date in an order notice to commence the works, etc.)

2.9 Risk Assessment Grid by activities

- √ Provide information concerning the risk management plan for the Action. The plan shall include description of:
 - The risks (linked to specific activities)
 - Their potential impact
 - Their likelihood of occurrence
 - The level of control of these risks and
 - The mitigation actions undertaken or planned

3. RELEVANCE: CONTRIBUTION OF THE PROPOSED ACTION TO THE TEN-T POLICY OBJECTIVES AND UNION DIMENSION

The following questions essentially relate to the relevance of the proposed Action to TEN-T policy objectives and its Union dimension (relevance of the Global Project of which the Action may be part, should be already addressed in section 2.2.).

3.1 Contribution of the proposed Action to TEN-T priority projects, or classification as a project of common interest

- √ Clarify if the Action belongs to one of the 30 TEN-T priority projects, as described in Annex III of the TEN Guidelines²⁵. If so, indicate precisely which section of the priority project this Action will target. If the Action does not belong to a priority project but contributes or links to it, explain how.
- √ If the Action does not belong to a priority project, clarify how it classifies as a project of common interest, as defined in Art. 7 of the TEN Guidelines. In particular, explain how the Action (i) contributes to an element of the network described in Articles 9 to 18 of the TEN Guidelines, (ii) relates to the routes identified on the maps in Annex I of the TEN Guidelines (adding the network map with the indication of the Action is then strongly recommended), and/or (iii) corresponds to the specifications or criteria in Annex II of the TEN Guidelines.
- √ Describe any "network effect" produced by the Action (or the Global Project) by linking with or complementing other TEN-T actions.

3.2 Contribution of the proposed Action to TEN-T priorities

- √ Specify how the Action addresses the TEN-T priorities, as defined in Art. 5 of the TEN Guidelines (e.g. interoperability, intermodality, elimination of bottlenecks).

3.3 Contribution of the proposed Action to the objectives of the Call for proposals. For ERTMS applications: contribution of the proposed Action to the objectives of the priority under which the proposal is submitted.

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

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

- √ Explain the expected contribution of the Action (making reference to the Global Project if necessary) to the internal market²⁶, the cohesion policy²⁷ and the Europe 2020²⁸.
- √ Explain the expected network benefit at the European level (not at local level).

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

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

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

²⁵ 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 (hereafter "TEN Guidelines")

²⁶ The single market is about bringing down barriers and simplifying existing rules to enable everyone in the EU - individuals, consumers and businesses - to make the most of the opportunities offered to them by having direct access to 27 countries and 480 million people. Its cornerstones are often said to be the 'four freedoms' - the free movement of people, goods, services and capital.

²⁷ The economic and social cohesion policy is an expression of solidarity between the EU Member States and regions, aimed at balancing development throughout the EU, reducing structural disparities between regions and promoting equal opportunities for all

²⁸ Europe 2020 is the EU's growth strategy for the coming decade. The Union has set five ambitious objectives - on employment, innovation, education, social inclusion and climate/energy - to be reached by 2020. See http://ec.europa.eu/europe2020/index_en.htm for more details. .

- √ Describe how the potential granting of Union financial assistance under the TEN-T budget would have a stimulating/leverage effect on the financing of the Action and the commitment of the different stakeholders and, in contrast, the negative impact the absence of TEN-T funding would have.
- √ Examples could include: attraction of other funding; acceleration of the works; lower interest rates from the banks; higher quality standards; stability at national level.

3.7. Cross-border section

- √ This section aims at verifying whether or not any section of the proposed Action corresponds to the definition of cross-border sections of priority projects²⁹, as detailed at the following link:
http://tentea.ec.europa.eu/download/calls_2009/definition_cross_border_sections_en.pdf
- √ Projects involving cross-border sections of priority projects may receive Union financial aid at a maximum financial aid rate of 30% (Article 6 (2)(b)(i) of the TEN Regulation). Eligibility, as spelled out in Article 3(3) of the TEN Regulation, is subject to a written agreement between the Member States concerned, or the Member States and the third countries concerned relating to the completion of the cross-border section. Exceptionally, when a project is necessary to link to the network of a neighbouring Member State or a third country but does not actually cross the border, such written agreement may not be required (Art. 3(3) TEN Regulation).
- √ The Member States involved in a cross-border section of a priority project must give the Commission all necessary guarantees regarding the financial viability of the project and the timetable for carrying it out and show that they have committed themselves jointly to the project and to putting in place a common structure for it.
- √ The written agreement has to be signed by representatives of each Member State at an appropriate level (in general at the level of the ministers concerned) to ensure the Commission that the agreement will be implemented on both sides.
- √ A joint application is required for proposals with cross-border sections, as a demonstration of the good coordination between the parties concerned.

4. MATURITY OF THE PROPOSED ACTION

4.1. Approval of the proposed Action

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

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

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

4.3. Public consultation

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

4.4. Readiness / technical maturity of the proposed Action

²⁹ as endorsed on 25 April 2007 by the Committee for Monitoring Guidelines and the Exchange of Information, set up in accordance with Article 18 (2) of the TEN-T Guidelines

- √ For every activity, describe the precise state of preparation or implementation at the time of the submission of the application (e.g. ToR ready, tendered, contract signed, started, etc.), and how it will contribute to the subsequent physical implementation of a project.
- √ Describe possible dependencies on the results of any previous or ongoing feasibility or technical studies undertaken for the Action (and, if applicable, for the Global project)
- √ For projects with high technological value (such as infrastructure crossing natural barriers, intelligent traffic management systems or aerospace initiatives), provide additional information on the foreseen technology and materials.
- √ If the Action has already started, indicate the current status of the implementation of each ongoing activity.

4.5. Building permits

- √ Provide a full list of sections/parts of the Action, as described in section 2.5, for which a separate building permit procedure must be obtained. Indicate the risk that already obtained permits can still be challenged (e.g. indicate deadlines until when an appeal could be filed).
- √ Complete the table, indicating in the first column the subject of each individual procedure and a concise description of the geographical extension and/or the kind of works concerned. Code numbers must be avoided.

4.6 Procurement

4.6.1 Procurement in general

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

4.6.2 Contracts already awarded and procedure(s) applied

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

4.6.3 Procurements planned during implementation

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

4.7. Pending legal/administrative/technical issues

- √ Describe any problems or issues of a legal/administrative/technical/other nature which remain to be settled before activities can start (e.g. legal proceedings against the building permit, appeal against a contract award etc.). Links with the risk management plan.

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

- √ For each funding source listed in the tables in Application Form Part A section A3.2, describe the nature and legal status of the funds. Specify the relevant legal basis, the modalities of budget allocation and the timing of the funds availability.
- √ Specify if the financing is secured and explain. For any sources which are not fully secured, describe in detail the current status.
- √ If a specific financing scheme exists (for example for on-board ERTMS equipment), describe its modalities and in which way it is compatible with State aid rules.
- √ All applications must be submitted in Euros. However, for applications for which the funding sources / budget have been calculated using another currency, the exchange rate used to translate these currencies in euros for the purpose of this application for TEN-T funding must be indicated in section A 3.2. Applicants should use the monthly accounting rate established by the Commission (ideally the rate of August 2011, and, if not published

at the time of the submission of the proposal, the rate of July or June 2011) and published on the following website: <http://ec.europa.eu/budget/inforeuro/index.cfm?Language=en>

4.9 Other sources of Union funding

- √ Refer to the Commission information note concerning combination of Union funding: http://ec.europa.eu/ten/temp/doc/draft_information_note_on_combination_of_community_funding_en.pdf
- √ If the Action (or the Global Project) benefits from any other source of Union funding, provide detailed information on: financial instrument concerned (e.g. European Regional Development Fund, Cohesion Fund, Research budget), amount allocated, references of relevant decisions, activities to be supported, beneficiary(-ies), etc.
- √ Clarify if the Action (or the Global Project) has also applied for any Union financial aid other than TEN-T. If so, explain the status of the application and provide information on the financial instrument concerned, amount requested, activities to be supported, beneficiary(-ies), etc.
- √ If applicable, explain if further Union support will be applied for in the future.

4.10 Public-private partnership (PPP)

- √ If the Action will only receive public financing, describe the underlying reasons. In particular, the applicant should explain if a Public-Private Partnership model has been considered, and, if so, why it has been rejected.
- √ Has the affordability of the project already been determined under a conventional procurement model?
- √ The project has been identified as a PPP candidate because there is a) revenue potential, b) precedent from similar projects successfully using PPPs, c) private sector interest in pursuing PPP arrangement.
- √ If applicable, describe the revenues generated by the Action (tolls, user charges, revenues from commercial or other use, contributions from third parties etc.).
- √ If no tariffs or charges are planned, explain how operating, service and/or maintenance costs will be covered.
- √ Is the availability of specialised products (such as LGTT, construction grants to support availability payment schemes) of interest and/or are there plans to consider their use in the proposed Action?

4.11 Revenues of the proposed Action

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

5. IMPACT OF THE PROPOSED ACTION

For proposals involving both works and studies (under the 2011 MAP calls this can be MoS proposals only), complete all sections 5.1 to 5.9.

For proposals for studies only, complete sections 5.1 to 5.3 and, where appropriate, other sections.

For proposals involving works only, complete sections 5.3 to 5.9.

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

- √ Indicate the level in the organisation/Member State which will use/rely on the output of the study for its decision-making, and the period over which it will be used.
- √ Describe the extent to which the output of the study will be relied upon for decision-making, possibly in relation to other studies, and at what level: at the level of a future TEN-T Action or national project, or at Global Project level.
- √ Describe the relevance and economic value of the study in terms of costs / benefits.

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

- √ Describe the extent to which the study:
 - considers the policy context in which it will be undertaken
 - provides a sound basis for institutional and national policy-making
- √ Explain the degree to which elements of the study could be used to develop best practices

5.3 Ex-ante evaluation(s)

- √ With the exception of feasibility studies including amongst their activities an evaluation, all proposals must have previously been subject to an ex-ante evaluation.
- √ Provide information on the ex-ante evaluation(s) of the Action and summarize the main results (*attach in Annex the ex-ante evaluation(s)*). In particular, describe the objectives, activities and policy options taken into account. Describe the main indicators used in the ex-ante evaluation and make reference to the appropriate statistical base.
- √ Outline the alternative options considered.
- √ Provide the results of any demand / traffic forecast study – which should ideally include one scenario with the project being implemented and one "status quo" scenario. Give an outline of the overall context and scope of the study, explain the methodology chosen and the assumptions made regarding the demand growth rate and the utilisation rate on completion of the Action.
- √ Provide the list of indicators and their sources of verification (institution or organization collecting statistical information, website, database, etc).
- √ If the evaluation carried out goes beyond the scope of the Action (i.e. the Action is part of a Global Project), give an overview of the ex-ante evaluation of the Global Project and explain how it is linked to the Action.
- √ If an ex-ante evaluation has been conducted at European level (e.g. ERTMS, ITS), describe it.
- √ Clarify if TEN-T or other EU financing is included in the financing of the evaluation(s). Quantify this EU funding.

5.4. Financial analysis

- √ Provide the main results of any financial analysis conducted – including the cost benefit analysis.
- √ Provide as a minimum the following financial information on the Action:
 - Net Present Value
 - Internal Rate of Return
 - discount rate used
 - reference period (years)
- √ Provide the main results of any sensitivity analysis.
- √ If the analysis has been carried out at the Global Project level, describe its main findings and explain how it links to the Action, drawing as much as possible concrete conclusions for the Action.

5.5. Social and economic impact

- √ Describe the findings and results of the socio-economic analysis concerning the Action (making reference to the Global Project, if necessary). Indicate the main hypotheses and parameters used for this analysis.
- √ Explain on which main hypothesis and parameters the analysis is based, describe the methodology used.

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

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

5.7. Impact of the proposed Action on regional and / or local development, and land use

- √ Describe the expected positive and / or negative impact of the Action on regional and / or local development, and land use. Assess also the positive and / or negative impacts on neighbouring regions
- √ Explain if the Action is linked to urban development plans, or if it will contribute to increase the land value.

5.8. Impact on competition

- √ If the case, describe the expected positive and / or negative impacts of the Action on regional and national competition.

5.9. Impact on the environment

- √ In addition to the information already provided in Application Form Part B1 on Environment, provide the results and conclusions of any environmental assessment(s) or study(-ies).
- √ List in detail the expected positive and negative environmental impacts of the Action (and the Global Project if applicable): contribution to the re-balancing of transport modes in favour of the most environmentally friendly ones, reduction of fuel consumption or greenhouse gas / CO₂ emissions, etc.
- √ Describe in detail the measures that are foreseen to monitor, prevent and mitigate a negative impact on the environment, and provide an estimation of the associated costs.

6. QUALITY OF THE PROPOSED ACTION

6.1 Organisational structure

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

6.2 Control procedures and Quality Management during implementation

- √ Describe the control procedures to be put in place in the Action.
- √ Explain the main features of the quality assurance plan and quality control system to be used during the implementation of the Action.

6.3 Risk management methods and procedures

- √ Is there a risk management plan? If there is none foreseen, what is your general approach to risk management?
- √ Explain the main features of the risk management plan. Describe the main risks / factors of uncertainty / major elements of complexity of the Action / externalities which may affect the implementation of the Action, whether political, institutional, financial, organisational, social and/or, technical.
- √ Explain how these risks will be mitigated. Explain the main features of any contingency plan available.

6.4 Ex-post monitoring and audit(s)

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

6.5 Communication and visibility given to the TEN-T co-financing

- √ Article 17(3) of the TEN Regulation states: *"The Member States concerned and, where appropriate, beneficiaries shall ensure that suitable publicity is given to aid granted*

under this Regulation in order to inform the public of the role of the EU in the implementation of the projects".

- √ Describe the communication plan and strategy developed to provide visibility to the (possible) TEN co-financing (e.g. billboards, reports, websites, brochures, information leaflets, reports, factsheets, newsletters, press articles, presentations)
- √ Consult the webpage "Publicity guidelines and logos":
[TEN-T Executive Agency || Publicity guidelines & logos](#)

6.6. Other information

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

7. ANNEXES

- √ List and number all the annexes attached to the Application Form.
- √ All relevant information for assessing the proposal must be provided in the Application Form. The purpose of annexes - which are not systematically read through- is to provide additional information that supports, illustrates or provides evidence of an element described in the Application Form.
- √ Any annexes included must be clearly referred to and the relevant parts summarized in the application forms.

Annex 3: Glossary and Acronyms

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: Email sent to (coordinating) applicants shortly after the call deadline, confirming that their proposal has been successfully submitted (but not, however, that it is necessarily eligible)

Action: The set of activities for which Union funding is requested/agreed, by means of an individual financing Decision established following a call for proposals

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

Applicant(s): The organisation submitting a proposal to a call for proposals. It is assumed that a proposal's applicant(s) become(s) automatically the Action's beneficiary(ies), if the proposal is selected for funding.

ATM: Air Traffic Management

Availability payment schemes: financing schemes for infrastructure projects built and operated by a private investor who receives periodic payments after the construction phase for the infrastructure service provided. The payment level depends on the degree of achievement of the contractually agreed performance levels. The availability payments are made during the duration of the contract between the contract awarding authority and the project promoter and serves to cover the construction costs, the financing costs, the maintenance costs and the operational costs

AWP: Annual Work Programme

B

Bank account: Applicants have to specify the bank account for the possible transfer of the EU assistance by the mean of the Financial Identification Form (see below). Furthermore, applicants classified as European Economic Interest Groups (EEIG) or private undertakings or bodies in section A 2.1 of the application form have to provide a bank account bearing interests (to be stated in section A 2.3).

Beneficiary(ies): One or more Member States, international organisations or joint undertakings (within the meaning of Article 187 of the Treaty), or public or private undertakings or bodies, having complete responsibility for an Action and proposing to invest their own resources or funds provided by third parties with a view to its completion. It is assumed that a proposal's applicant(s) becomes automatically the Action's beneficiary(ies) if the proposal is selected for funding.

Bottleneck: Obstacles, in terms of speed and/or capacity, which may on a temporary or permanent basis undermine the continuity of transport flows

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

Coordinating applicant: For multi-applicant proposals, the coordinating applicant leads and represents all of the applicants. He / she acts as the point of contact with the Commission in submitting the proposal. Unless specified otherwise by the applicant it is assumed that a proposal's coordinator

becomes automatically the Action's coordinator if the proposal is selected for funding. The coordinator will perform the tasks described in article I.4.2 of the funding decision.

CPM: Critical Path Method (a project management method)

Critical Path: 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.

D

Direct costs: All eligible costs which can be attributed directly to the Action and are identified by the participant as such, in accordance with its accounting principles and its usual internal rules (for a detailed description, see the model Decision on the TEN-T EA website)

E

Eligible costs: For a detailed description, see the model Decision on the TEN-T EA website. Essentially, it refers to the part of the Action's costs taken into consideration by the Commission for the calculation of Union financial aid. For Actions supported under the 2011 MAWP, expenditure is eligible as from 1 January 2011. For actions supported under the 2011 AWP, expenditure is eligible from the date on which the proposal is submitted (postmark or proof of deposit) (see also: Start date)

ERTMS: European Rail Traffic Management System
Europe 2020: Europe 2020 is the EU's growth strategy for the coming decade. The Union has set five ambitious objectives - on employment, innovation, education, social inclusion and climate/energy - to be reached by 2020. See !!
HYPERLINK "http://ec.europa.eu/europe2020/index_en.htm"

¶ http://ec.europa.eu/europe2020/index_en.htm¹ for more details.

F

FAB: Functional Airspace Block

FAC: Financial Assistance Committee – a group of Member State representatives which assists the Commission in implementing the TEN-T programme and which has regulatory status under the comitology procedure (Decision 1999/468/EC)

Financial Identification Form: Applicants must provide the Financial Identification Form used by the European Commission's services which can be downloaded here: http://ec.europa.eu/budget/info_contract/ftiers_en.htm.

G

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

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

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

I

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 shall satisfy the general criteria specified at article III.3.7.1 of the General Conditions and may be eligible for flat rate funding fixed at not more than 7% of the total eligible costs.

Applicants will be asked to explain the methodology used in determining the percentage of the flat rate (between 0 and 7%) before concluding the individual funding Decision in case the proposal should be selected. Costs included in the calculation method of indirect costs cannot be claimed otherwise as direct costs.

L

Loan guarantee instrument: a guarantee issued by the European Investment Bank (EIB) in favour of a stand-by liquidity facility provided to projects of common interest in the field of transport. It covers the debt service risks due to demand shortfalls and the resulting unforeseen loss of revenue during the initial operating period of the project. The loan guarantee instrument is used only for projects whose financial viability is based, in whole or in part, on revenues, tolls or other income paid by or on behalf of the users or beneficiaries. In 2011, the Commission is contributing €40 million to this instrument

M

Milestones: Milestones indicate how the (sub-)activity and its associated expected result(s) are progressing. Each activity should relate to milestones indicating at least its start and end time and preferably also corresponding intermediate deliverables.

Multi-applicant proposals: Proposals may be submitted by more than one applicant for TEN-T assistance. By default, a coordinator should be indicated (see also 'coordinating applicant'). In case the partnership is not proposing one for the action the management structure should be thoroughly explained.

MAWP: Multi-Annual Work Programme

MoS: Motorways of the Sea

P

Priority Project: A project listed in Annex III of the TEN-T Guidelines

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

Proposal: This refers to the application as a complete package, i.e. it includes the Application form parts A, B1 and B2 and their annexes, both in electronic and paper copy as required

Public sector body: regional or local authorities, body governed by public law³⁰ or association formed by one or several such authorities or one or several such bodies governed by public law³¹, international organizations³²

³⁰ Body governed by public law: any body:

(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

³¹ e.g. Joint Undertaking established under Article 187 of the Treaty on the Functioning of the European Union (ex Article 171 TCE)

³² According to article 43 (2) of the Regulation 2342/2002, international organisations are:

(a) international public sector organisations set up by intergovernmental agreements, and specialised agencies set up by such organisations;

R

RIS: River Information Services

S

Start date: The day on which the implementation of an Action actually begins, as stated in the Decision granting financial aid. It must be the same as the date from which costs are eligible (see also: Eligible costs)

Study: Activities needed to prepare project implementation, including preparatory, feasibility, evaluation and validation studies, and any other technical support measure, including prior action to define the Global Project or Action fully and decide on its financing, such as reconnaissance of the sites concerned and preparation of the financial package

T

TEN-T EA: Trans-European Transport Network Executive Agency

TENtec: Interactive geographical Information System for the Trans-European Transport network

TENtec eSub tool: the TENtec eSubmission module ('eSub tool') allows the electronic submission of Part A of the application form

U

Unique proposal code: The proposal code will be automatically generated by TENtec. This code must also be indicated on Parts B1 and B2 of the application form. It will be based on a sequential number of already submitted proposals.

V

Value Added Tax (VAT): Is not considered as eligible cost, unless the Beneficiary can demonstrate that he is unable to recover it (Article 10(2) Regulation (EC) No 680/2007). VAT paid by public bodies is not an eligible cost.

Therefore, VAT paid by Member States and public sector bodies (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) is not an eligible cost.

W

Works: The purchase, supply and deployment of components, systems and services, and the carrying out of construction and installation works relating to the project, the acceptance of installations and the launching of the project

Work Programme: A formal Commission document adopted on an annual basis for the implementation of a specific programme that sets out the objectives and results expected

(b) the International Committee of the Red Cross (ICRC);
(c) the International Federation of National Red Cross and Red Crescent Societies.