

**Call for proposals for projects of common interest
in the field of the trans-European transport network
under the multi-annual programme 2007-2013
for the year 2009**

Field n°10: European Rail Traffic Management System (ERTMS)

1. INTRODUCTION

1.1. Subject:

This call for proposals for Actions in the field of European Rail Traffic Management System (hereafter 'ERTMS'), as defined in Article 10 of the TEN Guidelines¹, is established under the multi-annual work programme 2009² (Commission Decision C(2009) 2178). The work programme defines the general and specific objectives, the results expected in relation to this call as well as the eligibility and general award criteria.

1.2. Date of publication:

The date of publication of this call is 31 March 2009.

1.3. Indicative budget:

Within the framework of the multi-annual work programme for the period 2007 - 2013³, an indicative amount of €500 million has been programmed for ERTMS Actions. This amount is foreseen to be distributed over several calls. The indicative budget available to support ERTMS Actions selected under the 2009 call is €240 million.

The call for proposals under the multi-annual work programme 2009 also addresses the fields of Motorways of the Sea (MoS, indicative budget: €30 million) and Intelligent Transport Systems for Road (ITS Road, indicative budget: €100 million). In addition, an annual call (indicative budget: €80 million) and a European Economic Recovery Plan call (indicative budget: €500 million) are being launched.

¹ Decision n° 1692/96/EC of the European Parliament and of the Council of 23 July 1996 on Community guidelines for the development of trans-European Transport network, as last amended by Council Regulation N°1791/2006/EC of 20 November 2006 (OJ L 363, 20.12.2006)

² available on the TEN-T EA website:

http://ec.europa.eu/transport/infrastructure/ten_t_ea/call_for_proposals_2009_en.htm

³ Commission Decision C(2007)2158 of 23 May 2007 establishing a draft multi-annual work programme for grants in the field of trans-European Transport network (TEN-T) for the period 2007-2013

2. **OBJECTIVES**

2.1. **General objectives:**

The general objectives of field n°10 of this call are defined in Section 3.1.3 of the multi-annual work programme 2009.

Through the elimination of technical barriers to interoperability, the deployment of the European Rail Traffic Management System (ERTMS) increases the interoperability of the rail network, contributes to achieving optimisation of the capacity and efficiency of infrastructure, as well as improves the safety and reliability of the network.

Actions to be funded under this call shall focus on speeding up the coordinated deployment of the European Train Control System (ETCS) onboard and ERTMS trackside as well as promoting activities which ensure the accelerated implementation of the Memorandum of Understanding (MoU) signed on 4 July 2008 between the European Commission and the European Railway Associations concerning the strengthening of cooperation for speeding up the deployment of ERTMS. In particular, since the deployment of ETCS is occurring more slowly than that of GSM-R⁴, community funding granted to ERTMS initiatives under this call will prioritize actions which promise the highest added value for a rapid and coordinated deployment of ETCS.

In addition, priority shall be given to actions which deploy ERTMS on freight routes and/or along lines referred to in the national ERTMS deployment plans notified to the European Commission and/or to proposals submitted jointly or in a coherent manner by several Member States or by organisations involving infrastructure managers or operators from different Member States.

2.2. **Specific objectives:**

As indicated in Section 3.2.3 of the multi-annual work programme 2009, the more specific objectives of ERTMS will involve funding, as a priority, three activities, taking into account the following particularities:

- **Activity 1:** *Fitting or retrofitting of ETCS onboard equipment*

Basic principles

One component of ERTMS, the European Train Control System, or ETCS, guarantees a common standard that enables trains to cross national borders and enhances safety. In particular, it makes it possible to transmit speed information to the train driver, to monitor the driver's compliance with speed instructions, and, in case of non-compliance, to slow down the train. Funding will be concentrated on actions which will produce the highest added value for a rapid and coordinated deployment of ETCS.

Interoperability Statement

Applicants shall submit an interoperability statement describing all activities related to the achievement of conformity with the applicable Technical Specifications for

⁴ Global System for Mobile Communications - Railways

Interoperability⁵ - hereafter "TSI" - , including the interoperability tests foreseen and/or those already carried out.

Applicants shall also define a work package (activity) for the verification of conformity of the ETCS equipment with the TSI for control-command and signalling (CCS) in force. This work package should include the testing of the ETCS equipment in a reference laboratory⁶ or clear information on the interoperability tests already carried out (specifying the date and place of the tests, and the tests' results). The technical files accompanying the European Community declarations of conformity issued by the relevant Notified Bodies⁷ shall be presented as deliverables in the proposal.

For proposals related to "Fitting or retrofitting of ETCS onboard equipment", the following information must be provided (Application form B.2 Section 2.6):

- **Interoperability tests:** Detail all relevant test activities foreseen until commercial putting into service. In particular, for each test activity indicate who is responsible, the entities involved, deliverables. Specify if any reference laboratory has been or will be involved in the tests. If tests have already been carried out, specify (date, place, results...). Explain if any cross tests are foreseen (tests in different countries on lines equipped with ETCS) and in which countries.
- **Certification procedure:** Indicate the number of countries in which the locomotive(s) shall be certified. Specify the countries involved and, for each of them, detail the process to be applied, clearly referencing the appropriate legislation and rules. Identify the responsible body. List the deliverables: authorisation to enter in service, acceptance, etc...
- **Activities of the Notified Bod(ies) :** Detail the scope of the work that is (will be) contractually specified for the Notified Bodi(es) (reference specifications, deliverables, use of independent laboratories, ...).

Specific priorities

Funding priority will be given to proposals dealing with the early retrofit of large series of locomotives that will run in several Member States and to locomotives that run on freight corridors. In that respect, "early retrofit" is considered retrofitting which starts in 2009 and is completed by 2011 at the latest (completion shall include conformity verification). Higher priority will be given to actions with retrofitting finishing in 2009 or 2010.

⁵ as defined in Annex A to Decision 2006/679/EC of 28 March 2006 concerning the technical specification for interoperability relating to the control-command and signaling subsystem of the trans-European conventional rail system and Annex A to Decision 2006/860/EC of 7 November 2006 concerning the technical specification for interoperability relating to the control-command and signaling subsystem of the trans-European high speed rail system

⁶ as described in Article 36 of the Memorandum of Understanding signed on 4 July 2008 between the European Commission and the European Railway concerning the strengthening of cooperation for speeding up the deployment of ERTMS

http://ec.europa.eu/transport/rail/interoperability/ertms/doc/2008_memorendum.pdf

⁷ "Notified Bodies" is defined in Directive 2008/57/EC of the European Parliament and of the Council on the interoperability of the rail system within the Community as "the bodies which are responsible for assessing the conformity or suitability for use of the interoperability constituents or for appraising the 'EC' procedure for verification of the subsystems". A list of Notified bodies can be consulted at the following link: <http://ec.europa.eu/enterprise/newapproach/legislation/nb/en96-48-ec.pdf>

When evaluating the proposals, the submission by the concerned railway or other private undertaking of a commitment to only order/purchase new locomotives equipped with ERTMS will be considered as a positive element.

For actions involving contracts with an option to upgrade to ETCS version 3, the quality of the proposed upgrade clause to be inserted into the contract with manufacturers, or in the case of existing contracts the actual upgrade clause, will be taken into consideration when assessing the quality of the application.

Funding ceilings per unit of onboard equipment

Community support shall prioritise locomotive series that shall be used in international traffic. Local adaptations of ETCS equipment and Specific Transmission Modules (STM) will not be funded.

As specified in Commission Decision C(2007)2158, for existing locomotives or traction units, eligible costs will be limited to €150,000 per ERTMS equipment unit installed on a locomotive or traction unit. For new locomotives or new traction units, eligible costs will be limited to €100,000 per ERTMS equipment unit. These ceilings will also apply to high speed locomotives and traction units.

The above ceilings also apply to prototypes.

Essential Information

Proposals related to "Fitting or retrofitting of ETCS onboard equipment" must provide the following minimum data and information:

For proposals related to locomotive/train-set series:

(a) Main characteristics of the locomotive/train-set (Application form B.2 Section 2.1)

- Accurate **description of the type** of locomotive/train-set. (Indicate the identification number, code or other identification type. If different identifications are used in different countries please provide them).
- **Number of ETCS equipment** onboard the locomotive/train set.
- **Number of units to be retrofitted** in the framework of the project. Specify the number of units currently in operation that will be retrofitted in the framework of the project, the associated timing as well as the approximate age of these units, and their main characteristics as regards signalling systems. Indicate also other units that may be retrofitted in the framework of other projects, as well as known information on associated timing and costs.
- Indicate if the locomotive is dedicated to **freight, passengers** (high speed/conventional) or can be used for both.
- **Current geographical use:** Specify the sections of the European railway network where every type of unit mentioned above is currently authorised for service.
- Indicate **additional relevant characteristics** (such as maximal speed, energy systems, pantograph information...).

(b) Technical information related to the locomotives/train-sets (Application form B.2 Section 2.1)

If the required information below is not yet available, please indicate whether or not the questions will be addressed in the framework of the project (and if so, how). If the questions will not be addressed, explain why.

- **ETCS level⁸**: will the locomotive / train-set only be equipped for Level 1 or also for Level 2? Will it be equipped with infill devices and which ones? Indicate the signalling systems that will be present onboard.
- Describe all **additional technical information** that could be relevant in the framework of the project, such as:
 - management of cryptographic keys, and management of other parameters that may change during system life cycle.
 - "optional functions" or "specific cases" (see the TSI CCS for conventional rail⁹ and the TSI CCS for high speed rail¹⁰) and/or derogations applicable or relevant for the project¹¹ - please set out the legal basis, give evidence of justification and outline the impact on interoperability, mitigation/migration strategies.
- **Maintenance**: Provide details as where the provisions are included in the contracts, for how many years, covering which parts/subsystems, software/hardware etc... Are Line Replaceable Units (LRU) defined? Is there any possibility of procurement of LRUs from different suppliers?
- **Management of system evolution**: Provide details on how the provisions are contractually defined. Indicate the role/responsibility of user, customer, supplier, etc., and, if relevant specify the process to revalidate/re-authorise service. Does the contract cover the migration in an appropriate time to subsequent versions of the specification (upgrade clause to version 3)?
- **Public specifications**: list all the specifications (if any) and deliverables that will be developed in the course of the project and will be made available in the public domain. For each specification detail the type (functional, performance, test specification, etc.) and the scope (interface, component, assembly, etc.).
- **Retrofit of remaining locomotives/train-sets**: (*Note: these questions are only relevant in case all units that could be potentially retrofitted (as previously indicated) are not retrofitted in the framework of this project*). According to your knowledge, is it foreseen to retrofit these remaining locomotives and when? How will these potential retrofit activities benefit from the project? In particular, is there any commitment (or is it planned to request a commitment,

⁸ as referred to in (a) section 2.2.3 of Decision 2006/679/EC of 28 March 2006 concerning the technical specification for interoperability relating to the control-command and signalling subsystem of the trans-European conventional rail system and (b) section 2.2.3 of Decision 2006/860/EC of 7 November 2006 concerning the technical specification for interoperability relating to the control-command and signalling subsystem of the trans-European high speed rail system.

⁹ in particular sections 7.2.6 of 7.4 of Decision 2006/679/EC

¹⁰ in particular sections 7.3 and 7.5 of Decision 2006/860/EC

¹¹ as defined in Article 7 of Council Directive 96/48/EC of 23 July 1996 on the interoperability of the trans-European high-speed rail system, Article 7 of Directive 2001/16/EC of 19 March 2001 on the interoperability of the trans-European conventional rail system and Article 9 of Directive 2008/57/EC of 17 June 2008 on the interoperability of the rail system within the Community

for example as an option in the contract) from the manufacturer on a maximum price for the retrofit of the remaining locomotives?

For proposals related to prototypes:

(a) Main characteristics of the prototype (Application form B.2 Section 2.1)

- Accurate **description of the type** of locomotive/train-set. (Indicate the identification number, code or other identification type. If different identifications are used in different countries please provide them).
- **Number of ETCS equipment** onboard the prototype.
- **Number of units to be potentially retrofitted:** specify the number of units currently in operation that could re-use the ERTMS installation solutions defined by the project. When known, please also specify their owners. Indicate the approximate age of these units (when have these locomotives/train-sets been put into service), as well as their main characteristics as regards signalling systems.
- **Country packages** : Where a locomotive exists in several "country packages" (e.g. with different signalling systems or technical characteristics) please indicate the characteristics of the prototype subject to the study and give a brief assessment of the usefulness of this work for prototyping other "country specific configurations" of this locomotive. When possible, indicate the number of locomotives for the different country packages.
- **Specify the number of units to be potentially retrofitted:** If known, indicate more particularly the number of locomotives of that type due to be retrofitted before 2015 on the basis of this prototype. How firm is the commitment to retrofit these locomotives? (give any relevant information, such as date for tenders, tentative date for commercial applications etc.). Provide all known information on the cost for retrofitting these locomotives.
- Indicate if the locomotive is dedicated to **freight, passengers** (high speed/conventional) or can be used for both.
- **Current geographical use:** Specify the parts of the European railway network where every type of unit mentioned above are currently authorised to service.
- Please indicate **additional relevant characteristics** (such as maximal speed, energy systems, pantograph information...).

(b) Technical information regarding prototypes (Application form B.2 Section 2.1)

If the information required below is not yet available, indicate whether or not the questions will be addressed in the framework of the project (and if so, how). If the questions will not be addressed, explain why.

- **ETCS level¹²** : will the prototype only be equipped for Level 1 or also for Level 2? Will it be equipped with infill devices and which ones? Indicate the signalling systems that will be present onboard.

¹² as defined in section 2.2.3 of Decision 2006/679/EC and section 2.2.3 of Decision 2006/860/EC

- Describe all **additional technical information** that could be relevant in the framework of the project, such as:
 - management of cryptographic keys, and management of other parameters that may change during system life cycle.
 - "optional functions" or "specific cases" (see the TSI CCS for conventional rail¹³ and the TSI CCS for high speed rail¹⁴) and/or derogations applicable or relevant for the project¹⁵ - please set out the legal basis, give evidence of justification and outline the impact on interoperability, mitigation/migration strategies.
- **Maintenance:** Provide details on related provisions in the contracts, for how many years, covering which parts/subsystems, software/hardware etc... Are Line Replaceable Units (LRU) defined? Is there any possibility of procurement of LRUs from different suppliers?
- **Management of system evolution:** Provide details on how the provisions are contractually defined. Indicate the role/responsibility of user, customer, supplier, etc., and, if relevant, specify the process to revalidate/re-authorise service. Does the contract cover the migration in an appropriate time to a subsequent version of the specification (version 3)?
- **Public specifications:** list all the specifications (if any) and deliverables that will be developed in the course of the project and will be made available in the public domain. For each specification, detail the type (functional, performance, test specification, etc.) and the scope (interface, component, assembly, etc.).
- **Retrofit of remaining locomotives/train sets:** (questions only relevant in case all units that could be potentially retrofitted (as previously indicated) are not all retrofitted in the framework of this project). According to your knowledge, is it foreseen to retrofit these remaining locomotives and if so, when? How will these potential retrofit activities benefit from the prototyping work? In particular, is there any commitment (or will a commitment be requested, for example as an option in the contract) from the manufacturer on a maximum price for the retrofit of the remaining locomotives?

• **Activity 2:** *ERTMS Trackside equipment*

Basic principles

Community funding for ERTMS trackside equipment will be limited to activities related to cabling, interfacing with existing systems, balises and certification. Interlockings are not considered as ERTMS trackside equipment and will therefore not be funded under this call.

Interoperability statement

During the evaluation of proposals, the description of a plan to carry out cross tests with locomotives equipped by different manufacturers will be considered as a positive element.

¹³ in particular sections 7.2.6 of 7.4 of Decision 2006/679/EC

¹⁴ in particular sections 7.3 and 7.5 of Decision 2006/860/EC

¹⁵ as defined in Article 7 of Council Directive 96/48/EC

A description of how and when the operational scenario(s) related to the line(s) concerned by the action will be included in the database of the reference laboratories will be considered as a positive element during the evaluation of proposals. Costs related to the preparation and running of laboratory tests associated with these scenarios are eligible.

For proposals related to ERTMS trackside equipment, the following information must be provided (Application form B.2 Section 2.6)

- **Interoperability tests:** Detail all relevant test activities foreseen until commercial putting into service. In particular, for each test activity indicate who is responsible, the entities involved, deliverables. Specify if any reference laboratory has been or will be involved in the tests. If tests have already been carried out, specify (date, place, results, ...). Explain if any cross tests are foreseen (tests in different countries involving locomotives running under ETCS supervision in several countries).
- **Involvement of reference laboratories:** with a view to increase the cost effectiveness of laboratory testing of ETCS onboard computers, it is foreseen to specify a given format for including the parameters and the description of all ETCS lines in Europe. The data to be supplied in a commonly agreed format will in particular include the locations of the balises, the telegrams sent by the balises and RBCs, the location of the switching points and the relevant test cases and sequences. Please indicate if it foreseen / accepted to provide such data in the commonly agreed format within the framework of the project. The testing procedure could also involve the possibility to test onboard prototypes in a reference laboratory connected to RBCs or mock-up RBCs. Please indicate if a connection between an RBC or mock-up RBC and a reference laboratory is foreseen or accepted so that the compatibility of onboard prototypes can be remotely tested.
- **Certification procedure :** Specify the Member State(s) involved and, for each of them, detail the process to be applied, clearly referencing the appropriate legislation and rules. Identify the responsible body. List the deliverables: authorisation to enter in service, acceptance, etc... Indicate the procedures put in place in order to avoid redundancy in ERTMS related tests (acceptance of similar tests already carried out in another Member State).
- **Activities of the Notified Bodi(es) :** Detail the scope of the work that is (will be) contractually specified for the Notified Bodi(es) (reference specifications, deliverables, use of independent laboratories, ...).

Specific priorities

As indicated in Article 10 of the TEN-T Guidelines¹⁶, priority will be given to actions contributing to the coordinated deployment of ERTMS in Europe, with particular attention to proposals submitted jointly or in a coherent manner by several Member States or by organisations involving several infrastructure managers from different Member States. In this context, particular attention will be given to actions along freight corridors and/or actions referred to in the national ERTMS deployment plans notified to the European Commission.

Funding priority will be given to proposals which start in 2009 and aim to be completed as soon as possible.

Funding ceiling per kilometre of trackside equipment

As specified in Commission Decision C(2007)2158¹⁷, eligible costs will be limited to €150,000 per kilometre of double-track line equipped with ERTMS. This ceiling includes costs related to testing and conformity verification when needed. For specific situations such as marshalling yards, ceilings may be adapted on a case by case basis.

Costs related to the above described cross tests of locomotives equipped by different manufacturers and to the above described operational scenarios and tests with reference laboratories are not included in this ceiling.

Essential Information

Proposals related to ERTMS trackside equipment must provide the following minimum data and information:

(a) Main characteristics of the line (Application form B.2 Section 2.1)

- Type of line (High Speed, Conventional, etc...). If the project is made of several line sections, give the relevant information per line section.
- Length of the line (specify whether it is single track, double track or other type of track).
- Traffic: specify whether the line is dedicated to freight, passengers or mixed traffic. Give a rough indication of the quantity of traffic (passenger km, tonne km, trains per day etc.).
- Additional relevant characteristics (such as maximal speed according to the types of trains, gauge, energy system, width of contact shoe (pantograph), capacity in trains per day, maximum train mass, maximum train length).

(b) Technical information (Application form B.2 Section 2.1)

If the information required below is not yet available, indicate whether or not the questions will be addressed in the framework of the project (and if so, how). If the questions will not be addressed, explain why.

- **ETCS level** (specify the level or levels used, indicate if the lateral signalling and/or national speed control system will be kept, for which purpose and until

¹⁶ Decision n° 1692/96/EC

¹⁷ Commission Decision C(2007)2158

which date. Indicate whether ETCS infill will be used, the infill device used and if trains will need to be equipped with infill devices).

- Short assessment of the reasons underpinning **the choice of the ETCS level**. In particular, present a short analysis of the advantages and drawbacks of different technical possible solutions (including ETCS level 1, ETCS level 1 with infill, ETCS level 2).
 - Point in **time** when a train, equipped with ETCS 2.3.0d will be able to run on the line for **commercial services**.
 - Describe all **additional technical information** that could be used as track access conditions such as:
 - management of cryptographic keys, and management of other parameters that may change during system life cycle.
 - "optional functions" or "specific cases" (see the TSI CCS for conventional rail¹⁸ and the TSI CCS for high speed rail¹⁹) and/or derogations applicable or relevant for the project²⁰ - please set out the legal basis, give evidence of justification and outline the impact on interoperability, mitigation/migration strategies.
 - **Maintenance:** Provide details as where the provisions are included in the contracts, for how many years, covering which parts/subsystems, software/hardware etc... Are Line Replaceable Units (LRU) defined, is there any possibility of procurement of LRUs from different suppliers?
 - **Management of system evolution:** Provide details on how the provisions are contractually defined. Indicate the role/responsibility of user, customer, supplier, etc., and, if relevant specify the process to revalidate/re-authorise service. In the case of proposals for trackside implementation based on the draft SRS for baseline 3, provide assurance that related contract(s) adequately address the fact that as a result of the test and validation phase for baseline 3, minor adjustments to the SRS may still be introduced. The contract(s) should also include a clause which ensures that, in the case of such minor adjustments, the line will be made fully compatible with the TSI.
 - **Public specifications:** list all the specifications (if any) and deliverables that will be developed in the course of the project and will be made available in the public domain. For each specification detail the type (functional, performance, test specification, etc.) and the scope (interface, component, assembly, etc.).
- **Activity 3:** *Activities aimed at the accelerated implementation of the Memorandum of Understanding concerning the strengthening of cooperation for speeding up the deployment of ERTMS (MoU)*²¹.

In general, priority will be given to activities aiming at ensuring the compatibility of existing lines and trains with version 2.3.0d equipped trains and infrastructure,

¹⁸ in particular sections 7.2.6 of 7.4 of Decision 2006/679/EC

¹⁹ in particular sections 7.3 and 7.5 of Decision 2006/860/EC

²⁰ as defined in Article 7 of Council Directive 96/48/EC

²¹ signed on 4 July 2008 between the European Commission and the European Railway Associations

obtaining a tested and legalised baseline 3²² by 2012 and improving testing procedures.

Particular attention will be given to proposals related to the following activities:

i) upgrade of lines already equipped with ETCS in order to ensure compatibility with version 2.3.0.d:²³

Related proposals shall satisfy the following conditions:

- Member State(s) concerned by the action shall already have notified, pursuant to Commission Decision 2008/386/EC, the time by which trains compliant with the specifications referred to in the Commission Decision - known as "version 2.3.0d specifications" - can operate on the line(s) concerned by the action;
- a detailed description of all incompatibilities between the current version(s) of ETCS installed on the line(s) concerned by the action and "2.3.0d-equipped" trains is included in the proposal;
- a description of the precise tests that will be carried out to ensure that "2.3.0d" trains can run on the line(s), once upgraded, is included in the proposal.

For proposals related to the upgrade of lines already equipped with ETCS in order to ensure compatibility with version 2.3.0.d, the following information must be provided (Application form B.2 Sections 2.3 and 2.6):

- list of Change Requests (CRs) already implemented in the trackside that are incompatible with Subset-26 v.2.3.0 or Subset-108 v.1.2.0
- list of CRs not implemented or to be modified and needed to reach interoperability with 2.3.0d trains (Subset-26 v.2.3.0 or Subset-108 v.1.2.0).
- testing strategy for proving conformity of the trackside (e.g. reference laboratory, supplier laboratory, on site testing, railway laboratory), scenarios requested (e.g. suppliers scenarios, railway scenarios) and role of the Notified Bodies.

ii) upgrade of locomotives or train-sets already equipped with ETCS in order to ensure compatibility with version 2.3.0.d:

Related proposals shall satisfy the following conditions:

- a detailed description of all incompatibilities between the current version(s) of ETCS installed on the locomotive(s) or train-set(s) concerned by the action and "2.3.0d" lines is included in the proposal;
- a clear indication of the precise tests that will be carried out to ensure that the upgraded onboard equipment is fully compliant with 2.3.0d specifications is included in the proposal;
- a commitment to run tests in reference laboratories and to communicate the results of such tests to the European Commission will be considered a positive element in the evaluation of the proposal.

²² as referred to in Article 12 of the of the Memorandum of Understanding signed on 4 July 2008 between the European Commission and the European Railway Associations

²³ as defined in Commission Decision 2008/386/EC of 23/04/2008 - OJ L 136, 24.5.2008

For proposals related to the upgrade of locomotives or train-sets already equipped with ETCS in order to ensure compatibility with version 2.3.0.d, the following information must be provided (Application form B.2 Sections 2.3 and 2.6):

- list of Change Requests (CRs) already implemented in the onboard equipment that are incompatible with Subset-26 v.2.3.0 or Subset-108 v.1.2.0;
- list of CRs not implemented or to be modified and needed to reach interoperability with lines equipped with 2.3.0d (Subset-26 v.2.3.0 or Subset-108 v.1.2.0);
- Testing strategy for proving conformity of the onboard equipment (e.g. reference laboratory, supplier laboratory, on site testing, railway laboratory), scenarios requested (e.g. suppliers scenarios, railway scenarios, Subset-076) and the role of the Notified Bodies.

iii) development of a tested and legalised baseline 3 by 2012 and improvement of testing procedures for ETCS and GSM-R:

In particular, priority will be given to proposals related to the:

- validation and testing of the System Requirements Specification version 3;
- support to the other European Railway Agency (ERA) activities related to baseline 3, where the proposal clearly indicates how it will be ensured that the ERA can maintain full control over the activities carried out within the framework of such actions.

iv) strengthened coordination and achievement of technical compatibility at corridor level.

Related proposals shall be submitted by an entity representing several Infrastructure Managers and shall aim at ensuring technical and/or operational compatibility of ERTMS along the corridor and/or between two or more corridors.

v) other activities aimed at the accelerated implementation of the MoU

Related proposals shall be evaluated on a case by case basis and on the basis of the European added value that they can produce.

2.3. Results expected:

The implementation in 2009 of part of the multi-annual work programme for the period 2007-2013 aims at further enhancing the effectiveness and visibility of Community financing for the highest priorities of the trans-European transport network (TEN-T). It is expected that, within this context, the granting of support to key ERTMS actions will contribute to the timely and efficient completion of an interoperable network.

3. ELIGIBILITY, SELECTION AND AWARD CRITERIA

3.1. Eligibility criteria:

The general eligibility criteria for applicants and for projects, as well as the grounds for exclusion, are defined in Section 6 of the multi-annual work programme 2009.

3.2. Selection criteria:

The selection criteria (i.e. technical and financial capacity) applicable to applicants

which are not public sector bodies²⁴ or bodies governed by public law²⁵ are defined in Section 7 of the multi-annual work programme 2009.

3.3. Award criteria:

The general award criteria against which each proposal will be evaluated are specified in Section 8 of the multi-annual work programme 2009.

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

- relevance
- maturity
- impact
- quality

During the external evaluation, each block of criteria will be given a score between 0 and 5 points (with 5 being the maximum). The minimum threshold for an individual block of criteria is 3 points. In other words, external experts will not recommend for funding any proposal which does not obtain 3 points for one (or more) block(s). The Commission's evaluation committee will use the expert's opinions as a basis for formulating its recommendations, however it may deviate from their view.

The following specific elements shall also be taken into consideration during the evaluation of ERTMS proposals:

➤ ***Relevance:***

Contribution of the project to the achievement of objectives set out in the work programme and in this call will be given due attention, notably as regards deployment of ERTMS on freight routes and/or along lines referred to in the national ERTMS deployment plans notified to the European Commission and/or to proposals submitted jointly or in a coherent manner by several Member States or by organisations involving infrastructure managers or operators from different Member States. (Application form B.2 Section 3.3)

As regards the degree of contribution to the continuity and interoperability of the network as well as to the optimisation of its capacity, particular attention will be given to the existence of a coordinated approach and testing procedures involving several Member States. (Application form B.2 Section 3.3)

The negative impact of the absence of TEN-T funding will be taken into account. (Application form B.2 Section 3.6)

➤ ***Maturity:***

²⁴ For the purpose of the TEN-T Programme, a 'public sector body' means the State, regional or local authorities, bodies governed by public law and associations formed by one or several such authorities or one or several such bodies governed by public law

²⁵ For the purpose of the TEN-T Programme, a 'body governed by public law' means 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 having an administrative, managerial or supervisory board, more than half of whose members are appointed by the State, regional or local authorities.

Particular attention will be given to the status of activities and to the assessment of the applicant(s)' capacity to implement them in accordance with the foreseen time plan and in compliance with the technical specifications. The time by which locomotives and lines will be certified will also be a key element to analyse the maturity of the project. (Application form B.2 Section 4)

➤ **Impact:**

The results of ex-ante evaluation of the impact of the implementation of ERTMS on the quality, reliability and safety of rail transport, notably rail freight transport will receive particular attention. (Application form B.2 Section 6.1)

The degree of contribution to the re-balancing of transport modes and to the potential increase of rail traffic due to the accessibility of the line(s) by ERTMS-only equipped locomotives will be an element in the evaluation. (Application form B.2 Section 6.4)

➤ **Quality:**

Particular importance will be given to: the completeness and clarity of the proposal, quality of the project management in general and of the procedures put in place in order to ensure interoperability, the accuracy in the description of the action, a detailed action plan, including implementation planning, risk assessment and risk mitigation measures.

For proposals related to software upgrade, particular attention will be paid to the distribution of resources allocated for software development (number of person-days) and for testing (number of person-days, including a list of tests to be carried out). Proposals should include a justification of estimated costs and describe the way these costs can be verified. (Application form B.2 Section 7.5)

All proposals should include the following information related to project partners, resource allocation and project management (Application form B.2 Sections 2, 4 and 7):

- National Administration, Organisation, Undertaking, Body, etc... involved;
- Short description of the main actors involved in the project including the name(s) of supplier(s);
- Project Management Structure;
- Project status at the date of submission of this proposal (e.g. not yet started, design phase, installation, testing...). If possible, describe the activities by way of a Gantt Diagram containing appropriate sub-activities and related milestones. Give a brief overview of the work already carried out (main activities, costs related to these activities etc.);
- Main milestones requested in Application form B.2 Section 2.9 should include testing, validation and commercial putting into service;
- Description of the main risks to the project, in particular as regards delays, availability of funds, and interoperability. If any, please specify the procedures put in place to mitigate these risks.

4. CO-FINANCING & ELIGIBLE COSTS

4.1. Co-financing :

The maximum possible rates of Community co-funding for ERTMS Actions are specified in Section 9 of the multi-annual work programme 2009.

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

4.2. Eligible costs:

Detailed information on eligible costs are described in Annex III, section III.3.7 "Eligibility of Costs", of the model individual Decision granting financial aid for an Action, which is available on the TEN-T EA²⁶ website (http://ec.europa.eu/transport/infrastructure/ten_t_ea/call_for_proposals_2009_en.htm), and in Commission Decision C(2007)2158²⁷.

Costs incurred between 1 January 2009 and 31 December 2013 may be considered as eligible.

Community financial aid for projects of common interest established under this call can take the form of grants for studies or works. EIB operations shall be compatible with the granting of financial aid under this call.

As defined in Article 2(8) of the TEN Regulation²⁸, 'studies' means activities needed to prepare project implementation, including preparatory, feasibility, evaluation and validation studies, and any other technical support measure, including prior action to define and develop a project fully and decide on its financing, such as reconnaissance of the sites concerned and preparation of the financial package. 'Works' (Article 2(9) of the TEN Regulation) means the purchase, supply and deployment of components, systems and services, the carrying out of construction and installation works relating to a project, the acceptance of installations and the launching of a project.

5. PRACTICAL INFORMATION

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

5.1. Application forms:

Proposals must be submitted using the application forms provided on the TEN-T EA website.

Proposals in their paper version must be signed by the applicant or his duly authorized representative and be perfectly legible so that there can be no doubt as to

²⁶ Trans-European Transport Network Executive Agency

²⁷ Commission Decision C(2007)2158

²⁸ 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)

words and figures.

The components constituting a complete proposal, the address for submission and other practical details are described in the Guide for Applicants.

As the working language of the external evaluators is English, it is recommended that proposals are prepared in English. If a proposal is not submitted in English, it is highly recommended that, for the sake of clarity and a quick and proper evaluation of proposals, applicants submit an electronic version of application form Parts B1 and B2 in English before 29 May 2009²⁹. Upon request and on the basis of supporting documents, the corresponding costs will be reimbursed up to €2500 per proposal³⁰.

A proposal may not be submitted in response to more than one TEN-T call for proposals in 2009. If the same, or a very similar, proposal is submitted to more than one call, the proposals will both be considered ineligible.

5.2. Indicative Schedule:

Deadline for the submission of proposals	15 May 2009*
Submission of translations in English	29 May 2009
Evaluation of proposals	June -August 2009
Consultation of Financial Assistance Committee; execution of scrutiny right by European Parliament	September - December 2009
Indicative date for adoption of individual Decisions	before 31 May 2010

*This is the deadline by which proposals must be:

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

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

5.3. Communication from TEN-T EA on the call for proposals:

Further information or clarifications on this call for proposals may be published on the TEN-T EA website until at least one week before the call deadline. In particular, a list of Frequently Asked Questions (FAQ) will be regularly updated as questions arise.

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

tenea-helpdesk-call-map2009@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.

²⁹ tenea-proposal-call-map2009@ec.europa.eu

³⁰ Instructions for requesting reimbursements are available in the Guide for Applicants

Applications may not be delivered to this email address, which is reserved for information and assistance by the TEN-T EA helpdesk (as indicated in the Guide for Applicants, electronic submissions should be submitted to the following email address: tenea-proposal-call-map2009@ec.europa.eu).

6. ADDITIONAL INFORMATION

6.1. Processing of personal data:

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

You may, upon request, have your personal data sent to you and rectify any inaccurate or incomplete particulars. Should you have any queries concerning the processing of your personal data, please address them to the entity acting as data controller within TEN-T EA³¹. As regards the processing of your personal data, you have the right to bring the matter before the European Data Protection Supervisor at any time.

6.2. General conditions for paying grants:

In order to limit the financial risks connected with the payment of pre-financing, the Commission or the TEN-T EA may, on the basis of a risk assessment, either require the beneficiary to lodge a guarantee in advance (for up to the same amount as the pre-financing) or split the payment into several instalments. Such a guarantee may be replaced by a joint and several guarantee by the Member State concerned (i.e. approving the project) or, where there is more than one beneficiary, by the joint guarantee of the beneficiaries. The Commission may waive this obligation to lodge a guarantee in advance for public-sector bodies and international organisations³².

6.3. Important documents:

In preparing proposals, applicants should ensure that they consult all of the following documents, which are available on the TEN-T EA website:

- Multi-annual work programme 2009³³
- Guide for Applicants
- Application form (parts A, B1 and B2)
- TENtec eSub guidance note
- TEN Regulation³⁴

³¹ TENEA-DPO@ec.europa.eu

³² Art. 118 of Regulation 1605/2002 of 25 June 2002 on the Financial Regulation applicable to the general budget of the European Communities (OJL 248, 16.9.2002, p. 1.) and Art. 182 of Regulation 2342/2002 of 23 December 2002 laying down detailed rules for the implementation of Regulation 1605/2002 (OJL 357, 31.12.2002, p. 1)

³³ C(2009) 2178

- TEN Guidelines³⁵
- Model text for an individual Decision granting financial aid
- (if applicable) definition of cross-border sections of priority projects endorsed by the TEN-T Guidelines Committee for Monitoring Guidelines and the Exchange of Information..

³⁴ Regulation (EC) N° 680/2007

³⁵ Decision n° 1692/96/EC