CEF TRANSPORT 2016
CALL FOR PROPOSALS

Guide for Applicants
1. Introduction

The purpose of this Guide for Applicants is to provide guidance to applicants wishing to apply for financial support from the Connecting Europe Facility programme in the field of the trans-European transport infrastructure under the 2016 calls for proposals published on 13 October 2016.

Overview of the Guide

This Guide for Applicants is structured as follows:

- **Section 2** provides an overview of the calls and their aim;
- **Section 3** provides an overview of the evaluation process under the calls;
- **Section 4 and 5** provide information on how to prepare an application and fill in the application form parts A, B, C and D; and
- **Section 6** describes the submission procedure.

Applicants will also find across this guide:

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

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

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

Reference documents

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

- **Multi-annual work programme**: Commission Implementing Decision (2016)6388 of 7 October 2016;
• **Annual work programme:** Commission Implementing Decision (2016)6380 of 7 October 2016.

Other documents referred to in this Guide are the:

• **Model grant agreement**, including its annexes which specifies the terms and conditions to which an applicant or consortium will be expected to agree if its proposal is selected for funding;

• **Proposal checklist**;

• **GIS data submission User Guide**.

All of the above-mentioned documents are available on the individual call webpages of the Innovation and Networks Executive Agency (INEA) website accessible via the following link:


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

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

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

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

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

- **Funding Objective 1 (FO1):** Removing bottlenecks and bridging missing links, enhancing rail interoperability, and, in particular, improving cross-border sections
- **Funding Objective 2 (FO2):** Ensuring sustainable, safe and efficient transport systems in the long run, to prepare for expected future transport flows, as well as enable decarbonisation of all transport modes through transition to innovative low-carbon and energy-efficient transport technologies
- **Funding Objective 3 (FO3):** Optimising the integration and interconnection of transport modes and enhancing the interoperability of transport services, while ensuring the accessibility of transport infrastructures

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

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

The multi-annual and annual work programmes details the priorities and the maximum available budget to be committed for each of the priorities under CEF Transport 2016 calls. Under these work programmes, four calls were published on 13 October 2016, of which two are dedicated to proposals in Member States eligible to the Cohesion Fund and two are open to all Member States:

**Annual calls for proposals:**

- Cohesion envelope: €250 million
- General envelope: €190 million

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

\(^2\) Bulgaria, Croatia, Cyprus, the Czech Republic, Estonia, Greece, Hungary, Latvia, Lithuania, Malta, Poland, Portugal, Romania, Slovakia and Slovenia
Multi-annual calls for proposals:

- Cohesion envelope: €849.5 million
- General envelope: €650 million

The details of the priorities open under each call are available on the call webpages: https://ec.europa.eu/inea/connecting-europe-facility/cef-transport/apply-funding/2016-cef-transport-calls-proposals
3. Proposal Evaluation and Selection Process

3.1. Overview of the evaluation and selection process

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

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

The evaluation process is based on two key principles:

- **Equal treatment** – all proposals are evaluated in the same manner against the same criteria, and
- **Transparency** – adequate feedback is provided to applicants on the outcome of the evaluation of their proposals.

Proposals must meet the admissibility requirements, as well as the eligibility and selection criteria, and are evaluated on the basis of the award criteria defined in the relevant work programme and call text. The award criteria relate to **relevance**, **maturity**, **impact** and **quality**.

As described in Figure 1.1, the main stages of the evaluation and selection process are:

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

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

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

### 3.2.1 Admissibility

All proposals submitted in response to a CEF call are first checked for compliance with admissibility requirements set by the call text, notably whether the proposal was submitted electronically in the TENTec eSubmission module, whether it was submitted on time, if it is complete and if it was signed by the applicants (see section 6 of the call text).

Any proposals which do not meet these requirements are rejected and applicants are duly informed of the ground(s) for rejection.

### 3.2.2 Eligibility check

Each proposal compliant with admissibility requirements is then assessed against the eligibility criteria (see section 7 of the call text).

Eligibility criteria cover:

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

- **Exclusion criteria**: As described in section 7.1 of the call text, applicants in certain situations will not be considered as eligible applicants (e.g. applicants that are bankrupt or being wound up, applicants that have been guilty of grave professional misconducts, etc.).

- **Eligibility of the Action**: As described in section 7.2 of the call only actions which can be identified as projects of common interest\(^3\) are eligible. Further eligibility criteria are set per call together with specific priorities.

Any proposals which do not meet these criteria are rejected, and applicants are duly informed of the ground(s) for rejection.

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**Box 1: Recommendation**

It is recommended that applicants start preparing their application by checking whether they meet all the eligibility criteria corresponding to the call to which they intend to submit an application.

Applicants should refer to the following documents:
- Work programme
- Call text
- Guide for Applicants
- FAQs published on the call webpage

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\(^3\) Ref. Article 7 of the TEN-T Guidelines
If further clarifications are needed on eligibility criteria, applicants should contact the call helpdesk at INEA-CEF-Transport-calls@ec.europa.eu. Answers will be provided in the form of an FAQ.

3.2.3 Selection criteria

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

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

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

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

3.2.4 Compliance with EU legislation

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

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

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

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

**3.3. Step 2: Technical Evaluation**

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

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

Each expert completes an Individual Assessment Form and assigns a score per criterion, on a scale from 0 to 5, with 5 being the highest score. Half marks are allowed. Experts are also required to provide comments to justify their scores, which must be consistent with the scores awarded.

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

A proposal must obtain at least 3 points for each of the award criteria to be recommended for funding.

**3.4. Step 3: Internal Evaluation/Final Selection Process**

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

During this phase the following aspects are taken into account, as appropriate:

- the contribution of the proposed Action to the balanced development of the network,
- the complementarity of the proposed Action with other EU funded projects, in view of optimising the impact of investments already made in the region/country/global project,
- the comparative EU added value (high, medium, low) of the proposed Action in relation to other proposed Actions, taking into account the respective Cost Benefit Analysis where appropriate,
- any identified/identifiable risks of double-funding from other EU sources,
- potential synergies across the different CEF sectors and/or other EU Programmes, notably Horizon 2020, where particular consideration will be given to Actions involving the deployment of innovation and technology developed under the EU's research programmes, and
- budgetary constraints.
For projects funded under the two Cohesion calls, two additional criteria are taken into account:

- the programming for the European Structural and Investment Funds in order to ensure complementarity between the two sources of funding, and
- how the proposed Action fits in the national transport plan in the Member State(s) concerned, where appropriate.

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

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

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

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

Applicants/coordinating applicants of all the submitted proposals are informed in writing about the outcome of the evaluation for their proposal. The indicative timetable of the call foresees that information on the results of the call will be available to applicants in July 2017.

3.6. Step 5: Preparation and signature of grant agreements

Each applicant whose proposal is selected for funding is invited to finalise and sign an individual grant agreement with INEA.

The model grant agreement is available on the call webpage, accessible via the following link:

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

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

Box 3: Recommendation

For multi-beneficiary Actions, a coordinator must be designated. The coordinator will be the contact point for INEA and will be, inter alia, responsible for coordinating the reporting exercise(s), including receiving the payment(s).
In addition, it is also strongly recommended that for multi-beneficiary Actions, beneficiaries sign an internal cooperation agreement regarding their operation and coordination, including all internal aspects related to the management of the beneficiaries and the implementation of the proposed Action. Such internal cooperation agreements shall not undermine, under any circumstances, the terms and conditions of the model grant agreement.

4. Creating an Application

To create an application under the CEF Transport calls, applicants must:

- Be registered in ECAS/EU Login
- Create an application in TENtec e-Submission module
- Complete application forms A, B, C and D and upload all necessary documents
- Submit their application

4.1. Register in EU Login/ECAS

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

In order to register in EU Login/ECAS, applicants need to:

1. Go to the EU Login/ECAS register page (https://webgate.ec.europa.eu/cas) and enter:
   - Email address
   - First name, last name and e-mail address and
   - The displayed security code
2. Select "Sign up"
3. An e-mail will be sent to the address specified, containing a link to complete the registration process
4. Click on the link and then choose and confirm a password
5. Go to the TENtec eSubmission website (link is available on each call page)
6. Click "LOGIN" and log in with your EU Login/ECAS email address and password

Box 4: Important notice on EU Login/ECAS

European Commission Authentication Service (ECAS) will be replaced by EU Login as from October 2016. Users who already have an ECAS account will login with their email address rather than their username whereas credentials and personal data are unchanged.

4.2. Create an application in the TENtec eSubmission module

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

Applications under the CEF calls must be submitted electronically via the TENtec eSubmission module. The TENtec eSubmission module is available on the call website at the following link: https://webgate.ec.europa.eu/tentec/grant/esubmission.
Applicants are advised to use one of the following browsers in order to increase compatibility: Internet Explorer 11 or up, FireFox 31 or up, Chrome 50 or up.

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

Once created in the TENtec eSubmission module, the application can be identified by a unique code composed of eight digits (the application number). When communicating with INEA, the applicant(s) should refer to this application number for questions directly related to the preparation of the application.

To create an application, applicant must:

- Sign in to the TENtec eSubmission module and click on the button "Create new application".

- Select from the dropdown the specific call for proposals for which the application is being prepared. Under the 2016 CEF Transport calls, the following call identifiers are available:
  - CEF-Transport-2016-MAP-General
  - CEF-Transport-2016-MAP-Cohesion
  - CEF-Transport-2016-AP-General
  - CEF-Transport-2016-AP-Cohesion
- Select the call priority and sub-priority fields (if relevant).
- Select the proposal type: works or studies for annual calls; works, studies or mixed for multi-annual calls.
- Provide a title to the proposed Action: The number of characters for the proposal title is limited to 120. When choosing the proposal title, do not use continuous capital letters or abbreviations.
- Click the "Create button".
Once the application has been created, it is possible to edit it by clicking on the application in the home screen of TENtec eSubmission module (see below) but it is no longer possible
to change the call under which the application is being prepared. If the proposed Action addresses a different call for proposals, a new application will need to be created.

4.3. Overview of the application form

The application form under the CEF Transport calls is composed of four parts, including their respective annexes as described in table 1 (below).
When preparing a proposal, applicants are required to use the application form made available on INEA website: https://ec.europa.eu/inea/connecting-europe-facility/cef-transport/apply-funding/2016-cef-transport-calls-proposals

Table 1. Overview of the application form parts

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

Applicants are advised to be as complete, informative and precise as possible, particularly on the description of the proposed Action and activities as this data is not only essential for the evaluation of the proposal but it is also used for the grant agreement preparation.

In the TENtec eSubmission module all fields marked with an asterisk (*) represent the minimum amount of information necessary to save the application in the system. Completion of all remaining fields is required for the final submission of the proposal.

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

**Box 4: Recommendation**

In order to check the progress of the proposal completion, applicants can click on "Submit this Application" in order to be redirected to the list of missing elements (in red). All the missing elements displayed must be completed before the proposal can be successfully submitted. This feature can also be used as a checklist to ensure follow-up of the missing information.

The TENtec eSubmission module will only request confirmation of the action "Submit this Application" once all the mandatory elements for submission have been provided.

Applicants can also use the proposal checklist available on the call webpage when finalising the application to help ensure that all requirements of the application have been addressed.

**4.4. Contributors Panel**

The TENtec eSubmission module’s "Contributors" section provides the possibility to the owner of the application to give access to the application to additional users. The owner of the application can choose to add contributors with editing rights or read only access.

If you are the owner of the application click the "Add contributor" button and add the email of the contributor(s). Please note that only email addresses associated with a valid EU
Login/ECAS account can be added (see section 4.2 for how to create an EU Login/ECAS account). They can then access the proposal by login in to TENtec with their email address and password. Please note that contributors will not receive a notification that they have been granted access to a proposal.

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

TENtec: Locking/unlocking an application - If several users have access to the same application, the application is automatically locked as soon as one of the users starts to edit the information. Simultaneous editing is not possible. When one of the contributors has finished editing the proposal, he/she should click on the red "Unlock Application" box in the upper right corner of the screen before logging out of or closing the session so that another contributor can edit the application. Closing the browser or the computer will not unlock the
5. Completing an Application

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

5.1. Getting started

This section provides information on the type of Actions which are funded under the CEF Transport calls 2016.

5.1.1 Type of Actions

An application for CEF Transport calls is submitted for an Action.

An Action is defined as: "any activity which has been identified as financially and technically independent, has a set timeframe and is necessary for the implementation of a project of common interest".

Under the CEF Transport calls 2016, the following type of Actions can be submitted:

- **Studies**: means activities needed to prepare project implementation, such as preparatory, mapping, feasibility, evaluation, testing and validation studies, including in the form of software, and any other technical support measure, including prior action to define and develop a project and decide on its financing, such as reconnaissance of the sites concerned and preparation of the financial package;

  Under MAP calls (check the details of the specific priorities), studies may include pilot activities that will aim:

  - to develop, improve or adapt a new technology or an innovative solution and implement it in order to test its feasibility and suitability as well as its added value before deploying it on a larger scale; and/or
  - to deploy an existing technology, infrastructure or service (i.e. already in use elsewhere but new to a particular sector, system or geographical area) in order to gain experience and/or create market conditions for deployment on a larger scale.
The pilot activities of a study may include the deployment of a certain type of infrastructure or technology but on a limited scale and at a reasonable price and with the objective of testing and validating the viability of the innovative actions proposed for future scale up and roll out. Pilot activities of a study should be of an experimental nature and designed to test the feasibility of an innovative action and its usefulness for future large scale implementation. They should not be associated with research activities that are not covered by this call.

- **Works:** means the purchase, supply and deployment of components, systems and services including software, the carrying-out of development and construction and installation activities relating to a project, the acceptance of installations and the launching of a project;

- **Mixed:** combination of studies and works. This possibility is allowed for MAP calls only and only for some priorities.

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

**Box 5: Recommendation**

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.

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

**5.2. Application form Part A**

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

**TENtec:** Part A must be encoded in the TENtec eSubmission module, accessible at the following link: [https://webgate.ec.europa.eu/tentec/grant/esubmission](https://webgate.ec.europa.eu/tentec/grant/esubmission). The link to the module can also be found on the call webpages. The Word version is provided on the call webpage for reference purposes. The Word version of part A is organised slightly differently to how the information is displayed in the TENtec eSubmission module user interface: the section numbers of the Word version are listed below in parentheses ( ). Applicants are advised to first download the Word version of part A to become familiar with the information required before inputting data in the TENtec eSubmission module.

**IMPORTANT:** Part A includes forms that require signature of the applicants (A2.2) and Member State validation (A2.3), which must be printed, scanned and uploaded as separate documents. These are verified during the admissibility and eligibility checks, respectively. As indicated in sections 6 and 7 of the call text, a proposal will not be evaluated if it is not duly signed by the applicant(s) and if it cannot provide the agreement of the EU Member State concerned.
5.2.1 General information (A1)

Applicants should click on the "Edit" button under the "General information" section in order to edit the details entered during the creation of the application.

Remember that, at this stage, it will no longer be possible to change the call under which the application is being prepared.
**Priority** and **sub-priority**: choose the priority and sub-priority addressed by the proposal from the drop down menu. The available options depend on the previously chosen call. For further information about the specific priorities please refer to the work programme available on the respective call page.

**Proposal type**: choose studies, works or mixed. For definitions, see section 9 of this Guide. Studies and works are available for all AP calls, whereas studies, works and mixed are available for all MAP calls irrespective of whether the proposal type is relevant to the specific priority or not. Consequently, applicant should select the types of action to be funded based on the description of each specific priority in the respective work programme.

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

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

The **End date** is the date on which the implementation of an Action is expected to be completed. The latest possible end date that can be encoded depends on the call under which the application is submitted, as specified in section 12.2.2 of the respective call text:

- 31 December 2020 for proposals submitted under the AP and MAP calls (General and Cohesion);
- OR
- 31 December 2023 – **ONLY** – for proposals submitted under the MAP Cohesion call under Funding Objective 1 AND in reasonable and duly justified cases.

**Scope and objectives of the proposed Action**: Add a concise summary, which should be no more than 2000 characters. The description must address the proposed Action that the proposal covers, and not the Global Project to which the Action contributes. This summary will be used in subsequent reporting on the results of the call, as well as for the grant agreement, if the proposal is selected for funding. Clarity and conciseness are therefore important.

At least the following main elements should be reflected in the description of the Action:

- **The link between the Action and Global Project.** Explain the context of the proposed Action in the framework of the Global Project, Corridor and Network, as applicable, as well as the region where they are located, and provide the necessary description of the infrastructure.

- **State the objective** of the proposed Action and the components that constitute it.

- **Describe the scope** of the proposed Action, which refers to the extent of the coverage of the Action. Detail the studies that will be carried out and why.

- **Explicitly spell out what the proposed Action aims to achieve** as deliverables and what the outputs are.
**Twinned proposal:** if the application is twinned with another proposal (as indicated in section 7.2 of the calls for proposals), the application code or proposal number and title of the twinned proposal must be indicated in this section.

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

**Transport project information**

Click on the "Edit" button.

**Transport mode:** Indicate the transport mode/traffic management system which is addressed by the proposal. The drop down menu depends on the priority previously selected. If a proposal relates to more than one transport mode, select 'multimodal' from the drop down menu. Please note that changing the application priority may reset the transport mode if the transport mode already entered is not relevant for the new priority. If this is the case, the user will be alerted.

**Network type:** Indicate whether the proposal addresses Core or Comprehensive Network. It is possible to select both. If no option is chosen, it means Core Network as a whole.

**Corridors and sections:** For proposals on the Core Network, indicate all applicable Corridors and sections.

A new window will open, allowing selecting a Core Network Corridor, Other sections of the Core Network or "Non pre-identified sections on the Core Network" from a drop down menu. For a full list of pre-identified sections on the Core Network Corridors and Other sections of the Core Network, refer to Annex I, Part I of the CEF Regulation.
If the proposal is not located on a Core Network Corridor or Other sections of the Core Network, then the option "Non pre-identified sections on the Core Network" should be chosen. If no option is chosen under the Corridor drop down, it means the proposal addresses the Core Network as a whole.

If a Core Network Corridor or Other sections of the Core Network is previously selected, applicants can also select a pre-identified section from the second drop down menu. If the proposal is located on a Core Network Corridor but not on a pre-identified section, it is possible to choose "Non pre-identified section" within each Corridor. If no option is chosen under the section drop down, it means the proposal addresses the whole Corridor.

To add an additional Corridor or section, the above-mentioned steps should be repeated.

To delete a Corridor or section, use the delete button.
5.2.2. Applicants (A2-A2.4)

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

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

Legal entity (A2.1)

Applicants should provide the applicant's official legal name, general administrative data and its legal status among the following options (for definitions, see section 9 of this Guide):

1. Member State
2. Neighbouring/ third country
3. Public sector undertaking or body established in the EU
4. Private sector undertaking or body established in the EU
5. Public sector undertaking or body established outside the EU
6. Private sector undertaking or body established outside the EU
7. International organisation
8. European Economic Interest Grouping
9. Joint undertaking
Applicants that fall within categories 3, 4, 5, 6, 8, and 9 must specify whether they have the legal personality in accordance with applicable national legislation. In the absence of legal personality, the applicants concerned must provide their statutes (or relevant abstracts) demonstrating that their representative has the capacity to undertake legal obligations on their behalf.

This information is to be uploaded in the TENtec eSubmission module's "Supporting documents" section in the top part "Required documents related to the applicant(s)“, using a single zip file if there are multiple documents.

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

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

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

**Person in charge:** In this tab, applicants should provide the contact details of the person in charge of the proposal by clicking on the "Edit" button. The person indicated under this section will be considered as the first contact point of the application, if necessary, during or after the evaluation process.
Authorised representatives (A2.2)

Authorised representatives: In this tab, applicants should provide details about the person authorised to sign the application by clicking on the "Edit authorised representative" button. The application form page containing these details must be printed and signed by the authorised representative and then scanned and uploaded by the applicant in the TENtec eSubmission module.
A second authorised representative may be entered by clicking "Edit additional authorised representative" button. It should be noted that a second representative is optional and should only be added if the statutes of the applicant require joint representation.

**TENtec**: Once the information is entered in the system, applicants should go the “Export Form A” section, download and print the form(s) A2.2, and sign and date for each applicant. The signed version of section A2.2 must then be scanned and uploaded into TENtec eSubmission module as a separate and well-identified document. Please note that applicants must be able to provide the original document and send them to INEA/European Commission upon request.

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

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

**Implementing body (A2.3)**
**Implementing body:** This tab will appear only for applicants that are EU Member States or international organisations. All other applicants are not entitled to designate an implementing body (for the definition, see section 9 of this Guide).

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

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**Approval Ministry (A2.3)**

All applicants, except for EU Member States, require the approval of the EU Member State(s) concerned by the proposed Action.

'Member States concerned' are considered to be all Member States on the territory of which the Action will be implemented. If the territory of more than one Member State is concerned by the activity, more than one approval will be needed as relevant (see below).
While in most cases the concerned Member States will also be the Member State of the establishment of the applicant, in cases in which an applicant takes part in a proposal located in a different Member State, the approval should be sought from the Member State where the proposal is being implemented.

This tab will only appear if one of the following categories is selected for legal status of the applicant:

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

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

Should there be more Member States concerned by the proposed Action than applicants in a proposal (for example, where there is only one applicant but the proposed Action concerns two Member States), applicants are invited to use the Word version of the application form part A available on the call webpage in order to enter the information of the additional concerned Member States providing their support to the application.

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

**TENtec:** Once the information is entered in the system, applicants should print form A2.3, and have it signed and dated by the concerned Member State(s). The signed version(s) of the section A2.3 must then be scanned and uploaded into the TENtec eSubmission module as separate and well-identified document(s). The compliance with this requirement will be verified during the eligibility check phase of the evaluation. The completed and scanned A2.3 form with the DRAFT watermark will be accepted.

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

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

**Box 6: Agreement of the EU Member State approving the proposal**

The EU Member State approval does not entail any commitment of the Member State to financially support the proposed Action and/or any liability in case of irregularities or errors.
It is only intended to ensure that Member State(s) are informed of proposals submitted to the CEF calls for proposals that do not originate from their administrations. By approving the proposal, the Member State representative endorses the application.

In line with Article 22 of the CEF Regulation (Regulation (EU) No 1316/2013), Member States are entrusted with the technical monitoring, financial control and certification of funded action and/or of beneficiaries' expenditure. These tasks may be undertaken by the Member State in which the beneficiary is established, or by the Member State which has approved the proposal.

Please refer to the model grant agreement for more details about this obligation (Article II.23): https://ec.europa.eu/inea/sites/inea/files/model_grant_agreement_en.pdf

For the list of Member States contact point under CEF Transport is available on: https://ec.europa.eu/inea/sites/inea/files/cef_transport_contact_persons_151201.pdf

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

**Affiliated entities (A2.4)**

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

An **"affiliated entity"** is an entity affiliated to the beneficiary within the meaning of Article 122 of the Financial Regulation, available at the following link: http://eur-lex.europa.eu/legal-content/EN/ALL/?uri=CELEX:32012R0966

Applicants should click the "Add affiliated entity" button and add the affiliated entity's name, legal status and administrative information.
If there is more than one affiliated entity per applicant, the same type of information must be introduced for each entity.

Any designated affiliated entities have to comply with the eligibility and selection criteria defined in the work programme and the call for proposals. In this respect, designated affiliated entities are requested to complete and sign the declaration on honour in Annex B-II to part B to the application form (see section 5.3.2 of this Guide). The compliance of the affiliated entities with the selection criteria will be checked at a later stage, for those proposals that are selected for funding and where the affiliated entities are the only ones implementing the proposed Action (see also further information on application form part B in section 5.3).

**Coordinating applicant (A2)**

This section needs to be filled in **only** if there is more than one applicant in a proposal.

The coordinating applicant leads and represents all of the applicants and acts as the point of contact with the Commission or INEA during the application phase. A coordinating applicant may not necessarily become the coordinator of the Action in the grant agreement if the proposal is selected for funding. The designation of a coordinator in the grant agreement would require formal designation by the other beneficiaries before the signature of the grant agreement.
All applicants in the proposal will be automatically listed in this tab. Select from the drop down menu the legal entity that will act as the coordinating applicant. The person indicated to be the person in charge at this entity will automatically be considered the first contact point for the application if necessary during or after the evaluation process.

5.2.3. Location of the Action (A3.1)

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

Member States and regions:

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

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

Applicants should click on the "Add third country" button, which will open a new window. Select a country from the drop down menu and click 'Save'. Applicants should repeat the steps to add more third countries.
Interactive map editor:

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

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

5.2.4 Activities and Milestones (A3.1)

Activities: An activity is a part of the proposed 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. Together all activities contribute to the completion of the Action.

Click on the "Add activity" button and for each activity of the proposed Action, enter the activity name, description, start and end date and the applicant(s) responsible for its implementation.
**TENtec:** Verifying milestones cannot be added to an activity before the milestones themselves are added (see below).

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

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

A more detailed description of activity can be provided in the question 2.4 of the application form part D.

**Milestones:** Milestones indicate how the activity and its associated expected result(s) are progressing. A milestone is a significant event or stage in the lifecycle of the Action that allows the Action to be monitored over time. It provides the Action management team with a means to track the development of the Action at intermediate intervals.
Each activity should have at least two milestones related to it (i.e. start and end date) and, if relevant, one or more corresponding intermediate milestone. The number of milestones per activity will depend on the complexity of each activity.

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

- Examples of milestones include: approval or submission of a final design plan, publication of a tender, signature of contract, starting / end of construction works, etc.
- Examples of means of verification include: publication of the notice of the tender to the appropriate media, the issuing of a certificate of acceptance, the signature of a contract by the last contractual party, date in an order notice to commence the works, etc.

First, applicants should click on the "Add milestone" button and then enter its description, summary, indicative completion date and means will be used to verify its achievement/completion. Repeat this step to add multiple milestones. Go back to the list of activities, click once on the selected activity and select the verifying milestone(s) for the activity. The operation should be repeated as necessary to attribute milestones to all activities.
Box 7: Recommendations

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

Financial instruments: The applicant must indicate if the proposed Action:

a) entails activities investigating possibilities of Public Private Partnerships (PPP), concessions or studies that could enable the use of financial instruments

AND/OR

b) involves a PPP, concession or other form of procurement that could enable the use of financial instruments, possibility in combination with CEF grant funding.

Click on 'Edit Financial instruments' button, to select either 'Yes' or 'No' answer.

A 'Yes' response to this question means that either a) or b) or both are applicable to the proposed Action. A 'No' response to this question means that neither a) nor b) are applicable to the proposed Action.
5.2.5 Financial information on the Action/Costs (A3.2)

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

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

In this table, breakdown of estimated eligible costs by activity, applicant and year should be entered.

First, indicate if the requested co-financing rate is 'single' (the same funding rate for all activities) or 'multiple' (different funding rates depending on activity). If 'single' co-financing rate is selected, indicate the requested rate in the text box (up to 2 decimals are allowed) and click 'Apply co-financing rate'. The co-financing rate will be automatically pre-filled in the table. If a 'multiple' co-financing rate is selected, the co-financing rate must be entered per activity in the table.

The applicable funding rates are listed in the section 12.2.1 of the call text.
For proposals under the AP and MAP General envelope calls, in line with Article 10(5) of the CEF Regulation, applicable co-funding rates may be increased by up to 10 percentage points for actions with synergies between transport and at least one other sector covered by the CEF Regulation, which address the priorities of Article 4 of the CEF Regulation. Please indicate if the requested funding rate includes a top up rate for synergies with other CEF sectors.

Then, click on each applicant involved in an activity and enter an indicative breakdown of estimated eligible costs to be incurred during the implementation of the proposed Action for that activity and applicant per year. Costs can only be entered for the years during which the activity is implemented and should be entered in the year they are incurred. If for any reasons there are no costs reported in one or more years during the reported period of the activity, it is recommended to provide justification. This can be done, for example, in question 2.4 of the application form part D.

All amounts must be in euros; no decimals can be encoded. The requested CEF funding will be automatically calculated.

Costs may be considered eligible at the earliest from the date on which the application is submitted and up to the date of completion of the Action, which should be 31 December 2020 for proposals submitted under the AP and MAP calls (General and Cohesion). In reasonable and duly justified cases, and ONLY for proposals submitted under the MAP Cohesion call under Funding Objective 1, the end date can be 31 December 2023.

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

In order to ensure efficiency in EU funding interventions, applicants are strongly encouraged to submit applications for actions with a total requested EU contribution to the eligible costs of no less than €500,000 for studies and €1,000,000 for works. Where possible, related actions should be grouped and submitted as one proposal.

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

**Box 8: example of costs**

Activity X is added in the "Activities and Milestones" section with duration from 01.01.2017 until 31.12.2020. The estimated costs related to the action are €100,000 for 2017, €80,000 for 2018, €100,000 for 2019, €100,000 for 2020 and €20,000 for 2021. The total cost of the activity is €400,000.

The applicant, after having encoded and saved the above data, realises that the end date of the action incorrect, as it should have been 31.12.2020. When the duration of Activity X is reduced by one year (until 31.12.2020), the costs planned for 2021 (€20,000) will be automatically deleted. Consequently, the applicant needs to also modify, if relevant, the costs in order to add the missing amount to arrive to €400,000 for the total cost.

**Sources of financing:** click on an applicant to indicate the financial contribution to eligible costs of the proposed Action for each applicant from all applicable sources of financing. These can be:

- CEF Transport financing
- Applicants’ own resources
- EIB loan
- Other loans
- State budget(s)⁴
- Regional/local budget(s)
- Income generated by the proposed Action
- Other sources⁵

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⁴ Should these state budgets contribute to the implementation of the Action please fill in Section II "Compliance with EU law on state aid" in the application form part C.

⁵ Such as other EU funds, CEF financial instruments, etc.
All amounts must be in euros. The totals per category will be calculated automatically.

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

**Related actions:** If the proposed Action is part of a larger project previously supported by any EU funding such as CEF, TEN-T, Marco Polo II, Cohesion Fund, FP7, Horizon 2020, EIPA, IPA, ESIF, etc., click the "Add related action" button. Provide the Action title, the name of the funding programme, the amount awarded in euros and the reference number of the signed grant agreement or adopted grant Decision.

**Exchange rate:** Specify the exchange rate used when preparing the application. In converting to euros, use the monthly accounting rate established by the Commission (ideally the rate of the month of submission of the application or, if not published at the
time of the submission, the rate from the preceding month), available here: http://ec.europa.eu/budget/inforeuro/index.cfm?Language=en.

5.2.6 Translation information (A4)

Submission of the proposal in English is strongly encouraged.

Click on each part of the application form and, if applicable, cost-benefit/cost-effectiveness analysis to open a new window and select from the drop down the language of the document as well as to indicate whether an English translation will be provided in case the document is provided in a different language.

INEA will reimburse translation costs up to €1,500 per proposal provided the proposal is found to be admissible in accordance with section 6 of the call. For more details, please refer to section 8 of this Guide.
If applicable, provide an estimate of the overall translation costs in the text box, by clicking on "Introduce estimate" button.

Annexes and supporting documents do not need to be translated unless the applicant deems this necessary.

5.2.7 Contribution to CEF objectives (A5)

The questions in this section aim to measure the contribution of the proposed Action to the funding objectives specified in Article 4 of the CEF Regulation. Questions appearing in this section depend on the type of proposal and priority under which it is submitted. Information provided in this section must be consistent with the information elsewhere in the application form, where the applicants have the possibility to provide further explanations and clarifications about the proposal's contribution to CEF objectives.

It is possible for a given proposal that specific questions regarding the contribution of the proposal to CEF objectives do not need to be completed. Applicants nonetheless have to explain and clarify the contribution of the proposal to CEF and TEN-T policy objectives elsewhere in the application form.

All questions that appear must be answered.
To introduce an answer, click 'Edit answer' or use the 'Add' functionality (for questions 1, 3, 4, 6 and 7) and a new window will open. For each question, all requested information must be provided. However, the applicant has the possibility to choose 'not applicable' instead, if the question is not applicable to the proposed Action.

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

The full list of questions is reproduced below for information and further explanation on the type of replies expected:

1. List the bottlenecks which the action will remove

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

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

Within the meaning of Article 2(2) of the CEF Regulation and Article 3(m) of the TEN-T Guidelines, "cross-border section" means the section which ensures the continuity of a project of common interest between the nearest urban nodes on both sides of the border of two Member States or between a Member State and a neighbouring country.

2a. How many kilometres of railway line will the action adapt to the European nominal gauge standard?
If applicable, indicate the number of km to be adapted. Only full figures can be encoded (no decimals or separators can be encoded).

2b. How many kilometres will the action fit with ERTMS?
If applicable, indicate the number of km to be fit with ERTMS. Only full figures can be encoded (no decimals or separators can be encoded).

2c. For how many kilometres of the railway will the action fully electrify the line tracks and, as far as necessary for electric train operations, sidings?
If applicable, indicate the number of km to be fully electrified. Only full figures can be encoded (no decimals or separators can be encoded).

2d. For how many kilometres of the railway will the action improve freight lines of the Core Network as indicated in Annex I, at least 22.5 t axle load, 100km/h line speed and the possibility of running trains with a length of 740 m?
If applicable, indicate the number of km of the Core Network only. Only full figures can be encoded (no decimals or separators can be encoded).

3. How many kilometres of the inland waterway network will the action upgrade?
Select inland waterway class from the drop down menu (Class I-VII). Indicate the number of km of the respective class to be upgraded. Only full figures can be encoded (no decimals or separators can be encoded).
Only one class can be selected at a time. If the proposed Action concerns different inland waterway classes, click on ‘inland waterway class’ and repeat the steps.

4. How many supply points for alternative fuels for vehicles using the TEN-T Core Network for road transport will the action create? Please select fuel type from the drop down list (CNG, electricity, hydrogen, LNG) and indicate the number of supply points for this alternative fuel type (parallel charging in the same point should be counted individually). If the proposed Action concerns supply points for several alternative fuel types, click on ‘add fuel type’ and repeat the steps.

5a. How many inland ports of the TEN-T Core Network will the action equip with supply points for alternative fuels? Choose from the list of inland ports of the Core Network (according to Annex 2 of the TEN-T Guidelines) by clicking on the name of a port in the left hand box, followed by a right arrow, or by double-clicking on a port to be added. Select as many ports as covered by the proposal. To de-select a port, click on its name in right hand box, followed by a left arrow, or double-click on the name of the port to be de-selected.

5b. How many maritime ports of the TEN-T Core Network will the action equip with supply points for alternative fuels? Choose from the list of maritime ports of the Core Network (according to Annex 2 of the TEN-T Guidelines) by clicking on the name of a port in the left hand box, followed by a right arrow, or by double-clicking on a port to be added. Select as many ports as covered by the proposal. To de-select a port, click on its name in right hand box, followed by a left arrow, or double-click on the name of the port to be de-selected.

6. Which TEN-T multimodal logistics platforms will the action connect to the railway network? Choose what the multimodal platform type that will be connected to the railway network among the following:
   - Airports
   - Inland ports
   - Maritime ports
   - Rail road terminals

   The names of core and comprehensive nodes that will appear in the 'node name' drop down reflects the type of note on the basis of Annex 2 of the TEN-T Guidelines.

   Indicate whether the connection is new improved.

   To enter multiple nodes, click on 'Add node' and repeat the steps.

7. Which new or improved connections between ports through Motorways of the Sea will the proposal address? Indicate all maritime ports which constitute the new or improved Motorways of the Sea the proposed Action addresses. Choose from the list of maritime ports in the core and comprehensive maritime ports as per Annex 2 of the TEN-T Guidelines by clicking on the name of a port in the left hand box, followed by a right arrow, or by double-clicking on a port to be added. Select as many ports as covered by the connection (at least two ports need to be selected). To de-select a port, click on its name in right hand box, followed by a left arrow, or double-click on the name of the port to be de-selected.

   Specify if the connection is new or improved.
   If the proposal addresses several new or improved Motorways of the Sea connections, repeat the steps by clicking on 'Add connection'.

8. How many kilometres of inland waterways will the proposal fit with RIS?
Indicate the number of km to be fit with RIS. Only full figures can be encoded (no decimals or separators can be encoded).

9. How many priority actions of the ITS Directive (2010/40/EU) does the proposal address? Choose from with the list of priority action a) to f) and Cooperative systems by clicking on all applicable priority actions in the left hand box, followed by a right arrow, or by double-clicking on a priority action to be added. Select as many priority actions as covered by the proposal. To de-select, click on the name of the priority action in right hand box, followed by a left arrow, or double-click on the name of priority action to be de-selected.

5.2.8 Completion of part A

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

Applicants are invited to pay attention to the following elements:

- For multi-applicant proposals, sections A2.2 (i.e. the form that includes the administrative details and signature of each applicant certifying its participation) must be dated and signed by each applicant. Each A2.2 form must be scanned and uploaded as a supporting document before proposal submission.
  
  o If section A2.2 is not signed by an applicant, the proposal will be considered not compliant with the formal requirements specified in the call text and will not be evaluated. In the case of a multi-applicant proposal, the applicant concerned may be excluded from the proposal which may negatively affect the outcome of the evaluation.

- Section A2.3 (i.e. the form certifying Member State approval) must be completed, dated and signed by the concerned EU Member State for each applicant (that is not a Member State) and for each Member State concerned, even if there is more than one applicant from the same country. It must be scanned and uploaded as a supporting document before proposal submission. Please see also the "Approval Ministry" section.
  
  o If section A2.3 is not signed by the concerned Member State (when required), the proposal will be considered not compliant with the eligibility criteria specified in the call text and will not be evaluated. In the case of a multi-applicant proposal, the applicant concerned may be excluded from the proposal which may negatively affect the outcome of the evaluation.

- Applicants must keep the originals and provide them to INEA/Commission upon request.

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

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

This part of the application form requests the administrative information on applicant(s) and information used to demonstrate compliance with financial and operational capacity.

**TENtec:**
- The application form part B must be downloaded from the call webpage, duly completed and then uploaded in the TENtec eSubmission module.
- For multi-applicant proposals, the relevant parts of the application form Part B must be completed for each applicant.

### 5.3.1 Legal Entity Form

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

**TENtec:**
- The signed form should be scanned and uploaded into the TENtec eSubmission module as a separate and well-identified document in the “Supporting Documents” section under “Required documents for the application”.
- Several additional documents referred to in the legal entity form must be clearly identifiable and must be uploaded under "Supporting Documents" section under "Additional documents for the application".

### Box 9: Applicants that do not have a legal personality

Applicants that do not have a legal personality, as declared in the application form part A2.1, are requested to provide evidence that their representatives have the capacity to assume legal obligations on their behalf by attaching to the application supporting documents to demonstrate that the representative of the applicant has the capacity to undertake legal obligations on its behalf (e.g. the statutes of the applicant or the relevant abstract thereof).
5.3.2. Grounds for exclusion

Section 7.1 of the call text refers to the situations which could lead an applicant to be excluded from participating in the call for proposals. Applicants must therefore sign a declaration confirming they are not in one of the exclusion situations when applying for EU funding.

Table 2: Requirements on exclusion criteria per type of applicant

<table>
<thead>
<tr>
<th>Type of applicant</th>
<th>ANNEX to be completed, signed and uploaded</th>
</tr>
</thead>
<tbody>
<tr>
<td>All applicants (except EU Member States, regions, provinces, and neighbouring/third countries)</td>
<td>Annex B-I of the application form part B</td>
</tr>
<tr>
<td>All designated affiliated entities</td>
<td>Annex B-II of the application form part B</td>
</tr>
</tbody>
</table>

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

5.3.3. Financial Identification Form

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

The official Financial Identification Form is available at the following website: [http://ec.europa.eu/budget/contracts_grants/info_contracts/financial_id/financial_id_en.cfm](http://ec.europa.eu/budget/contracts_grants/info_contracts/financial_id/financial_id_en.cfm)

**TENtec:** The signed form should be scanned and uploaded into the TENtec eSubmission module as a separate and well-identified document in the "Supporting Documents" section under "Required documents for the application".
5.3.4. Requirements on financial and operational capacity

For single-applicant proposals, indicate the applicable legal status among the following (consistent with what is selected in the application form part A2.1):

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

Table 3 provides an overview of which categories of applicants are required to demonstrate their financial and/or operational capacity by providing supporting documents.

Table 3: Requirement on financial and operational capacity per type of applicants

<table>
<thead>
<tr>
<th>Category of applicant</th>
<th>Supporting documents to be provided</th>
</tr>
</thead>
<tbody>
<tr>
<td>Member State</td>
<td>Exempt</td>
</tr>
<tr>
<td>Neighbouring /third country</td>
<td></td>
</tr>
<tr>
<td>Public sector undertaking/body established in the EU</td>
<td></td>
</tr>
<tr>
<td>International organisation</td>
<td></td>
</tr>
<tr>
<td>Joint undertaking</td>
<td></td>
</tr>
<tr>
<td>European Economic Interest Grouping in which at least one member is a public body</td>
<td></td>
</tr>
<tr>
<td>Private sector undertaking or body established in the EU</td>
<td>Supporting documents to demonstrate their operational and financial capacity</td>
</tr>
<tr>
<td>Public sector undertaking or body established outside the EU</td>
<td></td>
</tr>
<tr>
<td>Private sector undertaking or body established outside the EU</td>
<td></td>
</tr>
<tr>
<td>European Economic Interest Grouping (EEIG) in which no members are public bodies</td>
<td></td>
</tr>
<tr>
<td>Designated affiliated entities</td>
<td>Compliance of affiliated entities will be checked at a later stage only for those proposals selected for funding and only where the designated affiliated entities will be the only ones implementing the proposed Action</td>
</tr>
</tbody>
</table>

Multi-applicants proposals must complete the table in the application form part B, listing each applicant and its legal status, and whether the documentation required to prove operational and financial capacity of this applicant is provided in the proposal. Rows may be added as required. If the documentation proving the financial and operational capacity is missing for one or several applicants, this must be explained.

Table 4. Multi-applicant proposals table
The designated affiliated entities must complete the table in part B listing which applicant they relate to and whether the affiliated entity will fully implement the proposed Action. They should also complete the declaration in annex B-II.

Table 5. Designated affiliated entities

<table>
<thead>
<tr>
<th>Applicant</th>
<th>Designated affiliated entity (as indicated in application form part A2.4)</th>
<th>Does/ will the affiliated entity fully implement the proposed Action? Yes/No</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
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<td></td>
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<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

How to demonstrate your financial capacity?

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

a) The financial capacity check form as provided on the call webpage duly filled in

AND

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

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

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

AND

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

AND

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

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

The financial capacity check consists of a financial analysis based on a set of ratios. In order to be financially viable, an organisation must be liquid, solvent, profitable and autonomous. In other words, the organisation should be capable to cover its short-term and long-term commitments and it should be able to generate profits independently.

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

The "Balance Sheet" and "Profit and Loss Account" worksheets must be filled in with information from the most recent completed annual accounting exercise of the organisation. It must be completed in the same currency as the supporting documents/financial statements. For ease of reference, the translated terminology which can be used by an applicant's accounting department is available in French, German and English in the "Translations" worksheet.

Converting the necessary figures for the co-financing ratio into Euro will be automatically calculated in a separate table using the exchange rate indicated by the applicant in the "Overview" worksheet.

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

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

In the event that the figures encoded in the financial capacity check form are a result of grouping (adding) certain positions from the financial statements, it is important to clearly cross-reference (link) these to each other thereby facilitating the capacity check and reducing the risk of being assessed as 'weak'.

The financial capacity check form must be filled in separately by each applicant. The conclusion 'weak' does not automatically exclude the proposal from being evaluated.

The potential impact of the financial capacity check will be assessed on a case-by-case basis and may give ground to further steps. For example, applicants may be contacted during the period of the evaluation of the proposal for additional information.

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

**Financial statements**

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

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

**How to demonstrate your operational capacity?**

Applicants who must demonstrate their operational capacity need to provide appropriate documents attesting that capacity.

There is no specific template for providing the operational capacity of an applicant. Instead, applicants must submit documents attesting that they have the technical and operational capacity to complete the Action for which the grant is sought.

Such documents may include:

- annual reports of the company which describe similar activities undertaken (e.g. development of transport infrastructure),
- proof of adequate professional qualifications of the team responsible for implementing the proposed Action (such as CVs of management and key team members involved in the development of the Action),
- reports of similar projects realised where a company cooperated with European or international bodies.

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

### 5.3.5. Requirements for applicants that are neighbouring/third countries or entities established in neighbouring/third countries

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

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

The following documents are required for applicants from third countries:

Table 6. Supporting documents to be provided by third countries and entities established in third countries

<table>
<thead>
<tr>
<th>Applicant category</th>
<th>Supporting documents to be provided</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Neighbouring/third country</strong></td>
<td>• EU Member State support provided in the application form part A2.3</td>
</tr>
<tr>
<td></td>
<td>• Completed Annex B-IV of the application form part B</td>
</tr>
<tr>
<td><strong>Entity established in a neighbouring/third country</strong></td>
<td>• EU Member State support provided in the application form part A2.3</td>
</tr>
<tr>
<td></td>
<td>• Support from neighbouring/third country government provided in Annex B-III of the application form part B</td>
</tr>
<tr>
<td></td>
<td>• Completed Annex B-IV to part B of the application form</td>
</tr>
</tbody>
</table>
5.4 Part C: Compliance with Union policy and law

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

Application form C is divided into seven sections:

i. Compliance with environmental policy
ii. Compliance with EU policy on interoperability
iii. Compliance with EU law on road charging
iv. Compliance with road safety and tunnel safety Directives
v. Compliance with EU law on state aids
vi. Compatibility with EU law on public procurement;

vii. Other sources of EU financing.

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

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

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

Table 6: Overview of the sections of application form C to be filled per type of Action

<table>
<thead>
<tr>
<th>Action category</th>
<th>Section of the application form C to be filled in</th>
</tr>
</thead>
<tbody>
<tr>
<td>Studies without physical interventions</td>
<td>i  ii  iii  iv  v  vi</td>
</tr>
<tr>
<td>Works and studies with physical interventions</td>
<td>Yes  Yes  Yes  Yes  Yes  Yes</td>
</tr>
</tbody>
</table>

Information in this form, including environmental information, is only requested for the proposed Action submitted for financial aid and not for the global project to which it relates.

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

While only one application form part C is expected per proposal, it is possible to also submit the relevant parts of the application form part C per activity rather than for the whole proposal, if it facilitates the process of collecting signatures from various environmental authorities.

TENtec: The application form part C must be downloaded from the call webpage, duly completed and then uploaded in the TENtec eSubmission module.
5.4.1. Compliance with EU environmental policy

As indicated in table 6, only works and studies with physical interventions (e.g. destructive tests, excavations) are required to demonstrate their compatibility with EU environmental policy and have to fill in section I of the application form part C.

For actions addressing ERTMS, SESAR, ITS, VTMIS, telematics application systems, actions exclusively related to implementation of electric vehicles charging stations in already existing build areas, installation to improve accessibility for persons with reduced mobility, and vessels and rail rolling stocks retrofitting proposals this section only need to be completed if the proposed Action includes physical interventions (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" for such actions needs to be completed only if these physical interventions are located in protected waters as defined in Article 1 of this Directive.

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

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

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

Consistency of the project with environmental policy

- Describe how the project contributes and takes into account the environmental policy objectives. As guidance, consider the following: resource efficiency, preservation of biodiversity and ecosystem services, reduction of greenhouse gas emissions, and resilience to climate change impacts.
- Describe how the project respects the precautionary principle, the principle of preventive Action, the principle that environmental damage should as a priority is rectified at source and the "polluter pays" principle.

Box 10: "Polluter pays" principle

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

Development Consent

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

Also specify which competent authority has given or will give the development consent.
**Box 11: Development of consent**

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

**Environmental Impact Assessment Directive**

In this section, applicants are required to prove their compliance with Council Directive 2011/92/EU (the 'EIA Directive').

First, specify whether the proposed Action falls under a class of development covered by

- Annex I;
- Annex II or
- neither of the two Annexes of the EIA Directive.

Table 7: Documents to be provided to prove compliance with EIA Directive

<table>
<thead>
<tr>
<th>Type of Action</th>
<th>Documents to be provided to prove compliance with EIA Directive</th>
</tr>
</thead>
</table>
| Action falls under Annex I | • the non-technical summary of the EIA report  
• information on consultations with environmental authorities, the public and, if applicable, consultations with other Member States, carried out in accordance with Articles 6 and 7 of the EIA Directive  
• the decision of the competent authority issued in accordance with Articles 8 and 9 of the EIA Directive, including information on how it was made available to the public. |
| Action falls under Annex II and an Environmental Impact Assessment has been carried out for this Action | • the non-technical summary of the EIA report  
• information on consultations with environmental authorities, the public and, if applicable, consultations with other Member States, carried out in accordance with Articles 6 and 7 of the EIA Directive  
• the decision of the competent authority issued in accordance with Articles 8 and 9 of the EIA Directive, including information on how it was made available to the public. |
| Actions falls under Annex II and an Environmental Impact Assessment has NOT been carried out for this Action | • a copy of the determination required in Article 4(2) of the EIA Directive (known as 'screening decision'), including justification that the project will not have significant environmental effects;  
• explain the reasons why the Action has no significant environmental effects on the basis of the thresholds or criteria established by the relevant national legislation (this information is not needed, if it is already included in the decision mentioned above)  |
| Action does not fall under neither of the two Annexes of the EIA Directive | • Section 3.4 of application form C should be completed: the competent Authority must declare that the Action submitted for funding is not included in Annex I nor in Annex II of EIA Directive |

**TENtec**: The support provided by a Member State to the proposal (in the application form part A2.3) does not substitute the signature of the relevant authority under this question of
the application form. Therefore, the certifications, if applicable, need to be signed separately and uploaded in the TENtec e-submission module.

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

**Box 12: Environment Impact Assessment Directive**

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


**Strategic Environmental Assessment Directive**

Provide information on whether the proposed Action is implemented as a result of a plan or programme and if so, whether such plan or programme was made subject to a strategic environmental assessment in accordance with the Directive 2001/42/EC (the ‘SEA Directive’).

**Table 8: Documents to be provided to prove compliance with Directive 2001/42/EC (SEA Directive)**

<table>
<thead>
<tr>
<th>Type of Action</th>
<th>Documents to be provided to prove compliance with Directive 2001/42/EC (Strategic Environmental Assessment Directive)</th>
</tr>
</thead>
<tbody>
<tr>
<td>The proposed Action does NOT result from a plan or programme (e.g. plan or programme prepared for the energy/transport sector, country planning or land use, etc.)</td>
<td>• N/a</td>
</tr>
<tr>
<td>The proposed Action results from a plan or programme which was subject to a strategic environmental strategy in accordance with the SEA Directive</td>
<td>• provide non-technical summary of the Environmental Report carried out for the plan or programme AND • the information required by Article 9.1 (b) of the SEA Directive (either an internet link of an electronic copy)</td>
</tr>
<tr>
<td>The proposed Action results from a plan or programme which was NOT subject to a strategic environmental strategy in accordance with the SEA Directive</td>
<td>• A short explanation should be added</td>
</tr>
</tbody>
</table>

**Box 13: Strategic Environmental Assessment Directive**

Application of the Habitats Directive and assessment of effects on Natura 2000 sites

Indicate whether the proposed Action is likely to have significant effects on sites included or intended to be included in the Natura 2000 network, in accordance with the Directive 92/43/EEC (Habitats Directive).

Table 9: Documents to be provided to prove compliance with the Habitats Directive and assessment of effects on Natura 2000 sites

<table>
<thead>
<tr>
<th>Type of Action</th>
<th>Documents to be provided to prove compliance with the Habitats Directive and assessment of effects on Natura 2000 sites</th>
</tr>
</thead>
</table>
| The proposed Action is likely to have a significant effect on sites included or intended to be included in the Natura 2000 network | - the decision of the competent authority approving the Action  
- the results of the appropriate assessment carried out in accordance with Article 6(3) of the Habitats Directive (this information is not needed, if it is already included in the decision mentioned under point above);  
- a map (at a scale of 1:100,000 or the nearest possible scale) indicating the location of the Action and the Natura 2000 sites concerned; and  
- only in cases where the competent authority has determined that the project has significant negative effects on the conservation objectives of one or more sites included or intended to be included on the Natura 2000 network and intends to allow the project, the following information should be provided:  
  - a copy of the standard notification form “Information to the European Commission according to Article 6(4) of the Habitats Directive, as notified to the Commission (DG Environment) and/or  
  - an opinion of the Commission under Article 6(4) of the Habitats Directive in case of projects having significant impacts on the priority habitats and/or species and justified by imperative reasons of overriding public interest other than human health and public safety or beneficial consequences of primary importance for the environment |
| The proposed Action is NOT likely to have a significant effect on sites included or intended to be included in the Natura 2000 network | - attach Annex C-I "Declaration by the Authority responsible for Natura 2000 sites" filled in, signed, stamped and dated by the authority responsible for monitoring Natura 2000 sites  
- enclose a map (at a scale of 1:100,000 or the nearest possible scale) indicating, with clear demarcation, the location of the Action and the Natura 2000 sites concerned |

**TENTec**: The support provided by a Member State to the proposal (in the application form part A.2.3) does not substitute the signature of the relevant environmental authority under Annex C-I of the application form part C.

Applicants must be able to provide the original documents and send them to the Commission/INEA services upon request.
Box 5.5: Habitats Directive and impact on Natura 2000 sites


Application of the Water Framework Directive

This section needs to be completed only if physical interventions are located in protected waters as defined by Article 1 of the Water Framework Directive.

If it is the case, indicate whether the proposed Action involves a new modification to the physical characteristics of a surface water body or alterations to the level of bodies of groundwater which deteriorate the status of a water body or cause failure to achieve good water status/potential.

Table 10: Documents to be provided to prove compliance with Directive 2000/60/EC (Water Framework Directive)

<table>
<thead>
<tr>
<th>Type of Action</th>
<th>Documents to be provided to prove compliance with Water Framework Directive</th>
</tr>
</thead>
</table>
| The proposed Action DOES involve a new modification to the physical characteristics of a surface water body or alterations to the level of bodies of groundwater which deteriorate the status of a water body or cause failure to achieve good water status/potential | • the assessment of the impacts on the water body and a detailed explanation of how the conditions under Article 4 (7) of the Water Framework Directive were/are fulfilled.  
• Where appropriate, applicants should ground their explanations  
• Provide the confirmation by the Authority responsible for water management of information provided in the application form part C |
| The proposed Action does DOES NOT involve a new modification to the physical characteristics of a surface water body or alterations to the level of bodies of groundwater which deteriorate the status of a water body or cause failure to achieve good water status/potential | • Provide the confirmation by the Authority responsible for water management of information provided in the application form part C |

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

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

Box 14: Water Framework Directive

5.4.2 Compatibility with EU policy on interoperability (railway actions only)

The section II must be completed for all proposals including construction of rail infrastructure or deployment of ERTMS, whether on conventional or high speed lines, for the sections addressed by the proposal. All railway actions must comply with Directive 2008/57/EC on the interoperability of the rail system within the Community and with relevant Technical Specifications for Interoperability (TSIs). Studies must anticipate carrying out the works in line with the EU 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.


5.4.3 Compatibility with the EU law on road charging

The section III must be filled in for all proposals subject to Article 7(f) of the EU Directive 1999/62/EC on the charging of the heavy goods vehicles for the use of certain infrastructures.

Box 15: EU law on Road charging


5.4.4 Compliance with Road safety and Tunnel safety directives

The section IV must be filled in for all road actions subject to the EU Directives 2008/96/EC and 2004/54/EC on road infrastructure safety management and minimum safety requirements for tunnels in the trans-European road network.

Box 16: EU requirements on Road and Tunnel safety


5.4.3 Compliance with EU law on State Aids

In the section V you should explain if any state aids have been granted or are foreseen to be granted to the proposed Action that might be incompatible with competition law.

**Box 17: EU Law on state aids**

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

In order to be compliant 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.

5.4.5 Compatibility with the EU law on public procurement

In the section VI indicate whether public procurements planned during the implementation of the Action (as indicated in the application form part D, question 4.6) are in compliance with the Union law on public procurement.

**Box 18: EU law on public procurement**


The application of inappropriate procurement procedures may have as a consequence that the costs related to these procedures will be considered ineligible.

5.4.6 Other sources of EU financing

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

**Box 19: Recommendation:**

Ensure consistency of information with the application form part A3.2.
5.5 Part D: Technical and financial information

This part of the application form requests information on the proposed Action and the Global Project as defined in the TEN-T Guidelines which is necessary for the evaluation of the proposal. It is therefore important to answer all of the questions in this part of the application form, as the absence of an answer will not allow a full appraisal by the evaluators for the relevant criterion, thus diminishing the chance of the proposal to be selected.

Applicants are strongly encouraged to be concise and to keep application form part D within the limit of 40 pages, all tables included.

Table 11. Overview of application form part D

<table>
<thead>
<tr>
<th>Application form D sub sections</th>
<th>Related questions</th>
</tr>
</thead>
<tbody>
<tr>
<td>General description of the Global Project</td>
<td>• 1.1 – 1.3</td>
</tr>
<tr>
<td>Description of the Proposed Action</td>
<td>• 2.1 – 2.6</td>
</tr>
<tr>
<td>Award criteria – Relevance</td>
<td>• 3.1 to 3.6</td>
</tr>
<tr>
<td>Award criteria - Maturity</td>
<td>• 4.1 to 4.12</td>
</tr>
<tr>
<td>Award criteria - Impact</td>
<td>• 5.1 to 5.11</td>
</tr>
<tr>
<td>Award criteria - Quality</td>
<td>• 6.1 to 6.9</td>
</tr>
<tr>
<td>Supporting Documents</td>
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Box 20: Recommendations

- Make sure to elaborate all answers and to substantiate any statements. Information provided should be complete and clear, taking into consideration the level of detail and the supporting data included. If an answer is not available / not applicable for a particular question, this should be clearly explained.

- Make sure that the application is consistent and provides measurable information (i.e. Gantt charts, milestones, risks assessment, action plan and timetable).

- Avoid including conflicting or inconsistent indications throughout several sections of the application, particularly on important information, such as the purpose, the costs or timeframe of the proposed Action.

**TENtec**: The application form part D must be downloaded from the call webpage, duly completed and then uploaded in the TENtec eSubmission module together with any requested supporting documents.

5.5.1. General Description of the Global Project

5.5.1.1 General description of the global project including needs and objectives

Provide information on and description of:

- the general context within which the proposed Action fits; this may be a larger project, a master plan, a development plan, all of which fall under the definition of a global project;
• the problems, needs and/or issues to be addressed by the global project;
• the objectives and aims of the global project;
• total cost and timetable for the realisation of the global project;
• the management structure, associated stakeholders, their respective roles and responsibilities and contribution to the global project;
• the current state of play, results and/or objectives achieved so far;
• other parts of the global project that are planned to be implemented in parallel with the proposed Action but do not form part of the proposed Action itself, and their links with the proposed Action.

5.5.1.2 Financial Information about the Global Project

Indicate the financial contribution to the global project from all possible sources of financing. These can be the applicant’s own resources, loans (from the European Investment Bank (EIB), National Development Bank loans or commercial loans), Member State and regional/local budgets, possible income generated by (parts of) the global project, other EU funds, private sector equity, EU financial instruments other sources and the amount of expected or ongoing CEF Transport financing for the global project.

All amounts must be in euros.

Include explicit reference to the underlying global investment project and its capital investment plans. This applies in particular to proposed studies investigating possibilities of PPP or the use of financial instruments to realise specific future capital investments.

If the global project foresees making use of public-private partnerships and/or EU financial instruments, total contributions coming from these sources need to be indicated in the table. A breakdown per funding source and additional information can be provided in question 1.3.

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

For the definition of global project, please see the Glossary in section 6 of this Guide. It is not required to enter information beyond the global project, for example regarding an entire Core Network Corridor, in this table.

5.5.1.3 EU financial Instruments

Indicate if EU financial instruments are used by the global project (as specified in line 11 in the table in question 1.2).

If yes, explain what financial instruments are being used, what their respective amounts are (in case there is more than one) and what amount of private investment has been enabled by the use of these financial instruments.

5.5.2. Description of the proposed Action

The proposed Action must be presented as a stand-alone project, even if it is part of a global project. It should be based on a well-defined starting situation and deliver well-defined results and achievements.

5.5.2.1 General description of the proposed Action including needs and objectives

The information provided under this question should be consistent with the description provided in the application form part A1, even if it is more detailed. The description must address the proposed Action that the proposal covers, and not the Global Project to which the Action contributes.
Provide information on or description of the following:

- The link between the proposed Action and Global Project. Explain the context of the proposed Action in the framework of the Global Project, corridor and network as well as the region where they are located, and provide the necessary technical parameters of the infrastructure, as applicable.

- State the objective of the proposed Action and the components that constitute it.

- Describe the scope of the proposed Action, which refers to the extent of the coverage of the Action. Detail the studies that will be carried out and why.

- Explicitly spell out what the proposed Action aims to achieve as deliverables and what the outputs are.

Examples of main objectives include (non-exhaustive list):

- Development and implementation of innovative safety technology
- Introduction of new services
- Increased speed of railway link
- Improvement of navigability of waterways
- Increased capacity of locks
- Harmonisation of signalisation
- Increased interoperability
- 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

Explain also the indicators (different from the milestones to be defined per activity) which will be used to assess the extent to which the proposed Action’s main objectives are being / have been achieved, and their sources of verification. Make sure that there is at least one indicator for every objective.

Indicators should be SMART:

- Specific (an observable action or achievement is described)
- Measurable, quantifiable (a reliable system is in place to measure progress towards the achievement of the objective)
- Achievable (can be reached/achieved within the framework of the proposed Action)
- Relevant (is important/relevant for the achievement of the main objectives)
- Time bound (can be measured within the framework of the proposed Action).

For each indicator, define the source(s) of verification that will be used to assess the extent to which the indicator is being achieved, and, for quantitative indicators, to calculate them (e.g. ex-ante evaluation(s), institution or organisation collecting statistical information, database). If relevant, the methods used to collect the information should also be described.

5.5.2.2 Contribution of the proposed Action to the global project and expected results

Please provide information on or description of the following:

- how the proposed Action contributes to the implementation and final completion of the global project;
• the next phase of the global project and how it relates to or depends on the completion of the action; and

• how the proposed action contributes to the achievement of the objectives of the global project.

5.5.2.3 Location of the proposed Action

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

If a map is included in this section, it should aim only to facilitate the reading of the proposal. A detailed map must be provided through the Interactive Map Editor accessible in the TENtec eSubmission module ("Location of the Action" section). Refer to the GIS Data Submission User Guide, available on the call webpages, for guidance on how to use this tool.

5.5.2.4 Description of the activities of the proposed Action, including their interdependencies

Provide a detailed description of the activities of the proposed Action into which the proposed Action is divided. The description included in this question should be consistent with the summary provided in the application form parts A1 and A3.1.

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

Provide a detailed description of each activity listed in application form part A, in a structured way as follows:

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

ii) Tasks to be performed: relevant quantitative information pertaining to the activity in question, including dimensions and capacity of infrastructure, etc.

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

Please make sure to also reflect:

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

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

• The interdependencies between the activities of the proposed Action (e.g. finish-to-start, start-to-start, finish-to-finish or start-to-finish). If there is no dependence between activities, this needs to be clearly stated. Explain whether an activity is on the critical path.
The relevant stakeholders, authorisation procedures, implementing body, lines of authority and approval procedures.

The information above should be coherent with and reflected in the graphical representation provided under question 2.5.

In general, each activity must be clearly detailed from both the technical and organisational point of view. Clear structure of the different activities in terms of milestones, implementation period and costs will help the Commission to focus its support on activities where EU funding could bring the greatest benefits.

In case an activity contains interrelated distinct components, steps or phases, a proportionate description and information must be provided for each component.

Financing can be requested only for activities carried out during the eligibility period as specified in the call for proposals (see also section 5.2.5 of this Guide). If for any reasons there are no costs reported in one or more years during the reported period of the activity, it is recommended to provide justification.

**5.5.2.5 Planning overview of the Action (graphic representations)**

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

If applicable, provide also the graphical representation of the global project but make sure to make a clear distinction between the proposed Action and the global project.

For proposed Actions addressing SESAR only, the 'Action Plan' in this section should not be confused with the 'Action Plan' in the Annex I of the Framework Partnership Agreement. The Gantt chart in this section should nevertheless refer to the Deployment Programme.

**5.5.2.6 Financial support to third parties**

Only for proposed Actions submitted under the priority "New technologies and innovation" and which entail financial support to third parties, give details about the funding scheme such as maximum amount to be granted to each third party, the criteria for determining the amount and the award procedure.

Describe how the principles of transparency and equal treatment and the conditions of Article 9 of the CEF Regulation will be ensured.

**5.5.3. Relevance of the Action**

The following questions relate to the relevance of the proposed Action to TEN-T policy objectives, priorities of the work programme and the call and the EU added value of the proposed Action. It is important that statements are substantiated.

**5.5.3.1 Contribution of the proposed action to the TEN-T network (core and/or comprehensive) or classification as a project of common interest**

Clarify if the proposed Action relates to the Core and/or Comprehensive Network and, more specifically, to a Core Network Corridor, as described in Part I, Annex I of the CEF Regulation. If so, indicate precisely which Corridor and section of a Corridor the proposed Action addresses. If the proposed Action does not belong to a Corridor but contributes or
links to it, explain how. Relevant information must also be encoded in the application form part A in 'General information' (see also section 4.1 "General information (A1)").

Where a proposed Action addresses a horizontal priority, explain why it is considered a project of common interest according to Article 7 of the TEN-T Guidelines.

5.5.3.2 Contribution of the proposed Action to TEN-T and CEF priorities

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

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

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

If a proposal also addresses other priorities of the call for proposals, this should be clearly explained.

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

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

5.5.3.5 Cross-border section

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

5.5.3.5.1 Cross-border section of the Core Network

Article 2(2) of the CEF Regulation and Article 3(m) of the TEN-T Guidelines define cross-border section as the section which ensures the continuity of a project of common interest between the nearest urban nodes on both sides of the border of two Member States or between a Member State and a neighbouring country.

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

The definition of cross-border sections does not specify a precise distance between these urban areas and the border or between the urban areas themselves.

This question aims at verifying whether or not any section of the proposed Action corresponds to the definition of cross-border section.
Grants for works addressing a cross-border section may benefit from a higher co-funding rate, as foreseen in Article 10(2) of the CEF Regulation.

A joint application is strongly recommended for proposals with cross-border sections, as a demonstration of the good coordination between the parties concerned. Nevertheless, if a multi-applicant proposal concerns an Action for which some parts are entitled to funding under the Cohesion Fund envelope and other parts under the general CEF Transport envelope, they can be submitted as twinned proposals, as specified in section 7.2 of the call texts and section 5.2.1 "General information (A1)" of this Guide.

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

5.5.3.5.2 Cross-border section agreement between Member States concerned

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

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

If such agreement has been concluded, describe its main elements and attach it as an annex.

If there is no written agreement, this should be clearly explained.
If the reply to question 3.5.1 is 'No', the reply to question 3.5.2 should be 'N/A'.

5.5.3.5.3 Cross-border section joint commitments

State if there is any other joint commitments between Member States and, if applicable, neighbouring/third countries, in addition to the written agreement specified in question 3.5.2. Such commitments could relate, for example, to a common financial plan or coordinated financial plans, a common timetable for studies and works, including a coordinated date of opening of service, agreement on coordinated procedures for assessing environmental effects and other similar arrangements.

If such commitments exist, clarify and detail and attach copies of the related documents, in particular any legally binding agreements.

If the reply to question 3.5.2 is 'No' or 'N/A', the reply to question 3.5.3 should be 'N/A'.

5.5.3.6 Bottleneck

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

If the proposed Action addresses such a bottleneck, indicate which bottleneck(s) will be improved and which activities of the proposed Action will facilitate this. Ensure consistency with the information entered in the application form part A5, as explained in section 5.2.7 "Contribution to CEF objectives (A5)" of this Guide.

5.5.4. Maturity of the proposed Action

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

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

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

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

5.5.4.3 Public consultation(s)

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

5.5.4.4 Readiness / technical maturity of the proposed Action

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

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

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

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

5.5.4.5 Building permits

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

5.5.4.6 Procurement

Please provide an overview of the procurements related to the Action.

5.5.4.6.1 Procurement in general

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

5.5.4.6.2 Contracts already awarded and procedure(s) applied

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

5.5.4.6.3 Procurements planned during implementation

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

5.5.4.7 Pending legal/administrative/technical issues

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

5.5.4.8 Information on funding sources of the proposed Action (state budget(s), regional / local budget(s), applicant's own resources, EIB loan(s), other loan(s)), other sources)

For each funding source listed in the tables in the application form part A, 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, for any sources which are not fully secured, describe in detail the current status.

If a specific financing scheme exists (e.g. for on-board ERTMS equipment), describe its modalities and in which way it is compatible with state aid rules.

5.5.4.9 Envisaged financing model

If the information is available, indicate if the proposed Action is expected to be financed through any of the following financing model (or a combination thereof):

- Recourse financial structure using the applicant's own resources (i.e. any financial resources of the applicant and/or that it could obtain or borrow from external provider of funds on a recourse basis meaning with a repayment obligation that is irrespective of the revenues generated by the Action or global project).
- Non-recourse financial structure (whether or not involving a Special Purpose Vehicle, such as Project finance) where the repayment obligation is limited to the level of the revenues generated by the Action or global project.
Please explain what considerations lead to the choice (or rejection) of any of the financing model above or if the decision is still pending.

5.5.4.10 Information on the potential for private sector financing (including Public-Private Partnership), that could enable the use of EU financial instruments

If private sector financing through the use of Public-Private Partnership), concession or other financing mechanism has been or are being explored, describe it in detail. If not, explain why these mechanisms have not been explored or were not relevant for the proposal in question.

If the proposed Action will only receive public financing, describe the underlying reasons. In case PPPs and/or financial instruments were considered and finally rejected, explain why.

5.5.4.11 Information on the expected private sector financing (including Public-Private Partnership) which could enable the use of EU financial instruments, possibly in combination with CEF grant funding

If the exploratory phase described in question 4.10 has been concluded and the outcome is negative or if such exploratory phase has not been conducted (as explained in question 4.9), this section should be filled in as 'Not applicable'.

If the exploratory phase described in question 4.10 has been concluded and the outcome is positive, provide more information on nature of private sector financing and how it will contribute to implementation of the proposed Action.

5.5.4.12 Revenues of the proposed Action

Indicate if the proposed Action is expected to generate any revenue and their expected magnitude. If this is not yet feasible, please indicate the status of demand analyses or other studies contributing to the determination of revenue potential.

5.5.5. Impact

5.5.5.1 Impact of CEF funding on the financing of the proposed Action and the commitment of the different stakeholders

Explain how CEF funding will contribute to the financial viability of an economically and socially desirable investment. Explain which other funding could be leveraged that would not be available without CEF funding and how the commitment of different stakeholders (public and private) could be reinforced with CEF funding.

In a similar way, please explain which would be the effects, in terms of availability of other funding and commitment of stakeholders, without CEF funding.

5.5.5.2 Impact of the studies as a decision-making tool and/or in terms of policy-making and developing best practices

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

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

Describe the relevance and economic value of the study in terms of costs and benefits.
Explain the degree to which elements of the studies could be used to develop best practices.

5.5.5.3 Ex-ante evaluation(s)

With the exception of feasibility studies, all proposals must have previously been subject to an ex-ante evaluation.

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

Outline the 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 studies, explain the methodology chosen and the assumptions made regarding the demand growth rate and the utilisation rate on completion of the proposed Action.

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

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

If an ex-ante evaluation has been conducted at European level (e.g. ERTMS, ITS), describe the relevant evaluation.

Clarify if TEN-T/CEF or other EU financing is included in the financing of the evaluation(s) and quantify this contribution.

For proposed Actions addressing maritime ports only, information on the required needs assessment, market analysis and assessment of intermodal exchanges should be provided under this question.

5.5.5.4 Financial analysis and its results including the Financial Rate of Return (FRR) and Financial Net Present Value (FNPV) of the investment

For studies proposals, provide the main results of any financial analysis already conducted (if any) in relation to the planned investment.

With reference to section 6 of this Guide on the provision of a CBA for works and mixed proposals, include the main results of the financial analysis of the cost benefit analysis.

Provide a short description of the methodology used (including key hypothesis made in terms of financial discount rate and reference period, assumptions made concerning operating costs, capital replacement costs, revenues and residual value, macroeconomic parameters used, steps considered in the calculations, data used to perform the analysis) and the main findings of the financial analysis including the main indicators of the financial analysis, i.e. Financial Rate of Return (FRR) and Financial Net Present Value (FNPV), calculation of net revenues and the funding gap.

Provide the main results of any options and sensitivity analyses and risk assessments carried out in relation to the financial analysis presented.
If the analysis has been carried out at the global project level, describe its main findings and explain how it is relevant to the proposed Action, drawing concrete conclusions as much as possible for the proposed Action.

5.5.5.5 Revenue-generating capacity of the project

When a CBA is required, and with reference to the unit of analysis defined in section 6 of this Guide, indicate whether after the implementation of the proposed Action the defined global project has potential to generate cash revenues taking into account the aspects described below.

Provide information relating to nature and diversity (in nature and scale) of entities providing cash revenues to the global project. Please indicate magnitude of number of paying users (or industry) and typical duration of contractual agreements supporting the cash generation.

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

Provide indication as to whether the defined global project- may operate in an autonomous manner or if the expected level of revenues will materially depend on the completion of additional actions (other than the proposed Action), such as investments, legal or political decisions.

If revenues may include a "Residual Value component" and especially relevant when projects or action involve movable assets (the cost of which may necessitate additional expenditure up-front), indicate how the upfront additional cost may be offset by lower operating or environmental cost, higher competitiveness or to an higher resilience to commercial/technical obsolescence.

5.5.5.6 Funding gap rate

With reference to section 6.3 of this Guide on the provision of a CBA, indicate the value of the funding gap rate.

5.5.5.7 Economic analysis and its results including the Economic Rate of Return (ERR), Economic Net Present Value (ENPV) and main economic costs and benefits

For studies proposals, provide the main results of socio-economic impacts resulting from studies and analyses already conducted, if any.

With reference to section 6 of this Guide on the provision of a CBA for works and mixed proposals, include the main results of the economic analysis of the cost benefit analysis.

Provide a short description of the methodology used (including key hypothesis made in terms of social discount rate and reference period, assumptions made concerning operating costs, capital replacement costs, revenues and residual value, macroeconomic parameters used, steps considered in the calculations, data used to perform the analysis) and the main findings of the economic analysis including the main indicators of the economic analysis i.e. Economic Rate of Return (ERR) and Economic Net Present Value (ENPV) as well as a quantification of negative externalities and positive externalities (e.g. network effects of the proposed action in relation to TEN-T corridors/network).
5.5.5.8 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 impacts of the proposed Action on traffic management, congestion, modal split, optimization of existing capacity, interoperability, service quality, safety and security.

5.5.5.9 Impact of the proposed Action on regional and / or local development and land use

Describe the expected positive and / or negative impacts of the proposed Action on regional and / or local development, and land use. Assess the positive and / or negative impacts on the neighbouring regions.

Explain if the proposed Action is linked to urban development plans, or if it will contribute to increasing the land value.

5.5.5.10 Impact on competition

Describe the expected positive and / or negative impacts of the proposed Action on regional and national competition.

5.5.5.11 Impact on the environment

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

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

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

5.5.6. Quality

5.5.6.1 Breakdown of eligible costs

List the estimated eligible costs per activity (and applicant if possible) per category of costs (e.g. staff, equipment, subcontracting, etc.), consistently with the information provided in application form part A. Applicants may add as many columns as necessary.

5.5.6.2 Resources needed

Explain and justify for each activity, with reference to the table in question 6.1 as relevant, the level of resources needed for implementing the proposed Action. These may relate to human resources, financial resources, buying equipment, etc. It is important to demonstrate the appropriateness of costs needed for the implementation of the proposed Action.

5.5.6.3 Organisational structure

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

5.5.6.4 Control procedures and quality management during implementation

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

5.5.6.5 Risk management methods and procedures

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

Explain how these risks will be mitigated. Explain the main features of any contingency plan available.

Where a risk management plan is not in place, explain the general approach to risk management.

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

5.5.6.6 Ex-post monitoring and audit(s)

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

5.5.6.7 Communication and visibility given to the CEF Transport co-financing

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

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


5.5.6.8 Other information

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

5.5.6.9 Risk assessment grid by activities

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

5.5.7. Annexes

List and number all the annexes attached to the application form and upload them in the TENtec eSubmission module in the "Supporting Documents" section under "Additional documents for the application".

All relevant information for assessing the proposal must be provided in the application form. If additional information to support, illustrate or provide evidence in support of an element described in the application form is considered necessary, these may be included in annex. Such annexes are not systematically read during the evaluation.

✓ Avoid sending extensive annexes, since only reasonable amounts of (supporting) information about relevant statements in the proposal can be processed during the evaluation. Executive summaries could be one way to provide information instead of entire documents.
✓ Any supporting annexes included must be clearly referred to and the relevant parts summarised in the application form.

6. Cost-benefit/Cost-effectiveness analysis

6.1. General provisions

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

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

In line with these provisions, all proposals for works and mixed proposals (combining studies and works activities), must be accompanied by a CBA proposing the co-funding rate requested for the proposed Action, while taking into account the maximum funding rates stipulated in the CEF Regulation.

As stated in section 7.2 of the call texts, for proposals submitted under priorities "European Rail Traffic Management System (ERTMS)", "Rail interoperability" and "Single European Sky – SESAR", all project proposals for 'works' or proposals including both 'studies' and 'works' must be accompanied by a cost-effectiveness analysis only, instead of a CBA.

For proposals submitted under priorities "Intelligent Transport Services for Road", and "Rail Freight Noise" all project proposals for 'works' or proposals including both 'studies' and 'works' that address implementation of standards laid down in the existing EU legislation must be accompanied by a cost-effectiveness analysis. Where such proposals address areas
not covered by the existing EU standards, they must be accompanied by a cost-benefit analysis (CBA).

For further details about cost-effectiveness analysis, see section 6.5 below.

The CBA needs to comply with a methodology recognised by the concerned Member State(s). Member States are asked to confirm in the application form part A2.3 that a methodology recognised in the respective national context has been used.

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

Irrespective of the methodology applied, the CBA should contain both a financial and economic analysis of the project. In principle, these analyses would be supported by results of feasibility studies with demand and option analyses, sensitivity analysis and risk assessment.

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

On the other hand, actions of some Motorways of the Sea applications (e.g. actions upgrading maritime links) sometimes include more than one self-sufficient unit of analysis. In these cases, the submission of multiples CBA is accepted.

6.2. Financial analysis

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

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

The purpose of the financial analysis is to confirm the need for the EU co-financing. A brief description of the methodology used and steps taken in the calculations that serve to clarify the conclusions of the analysis should be provided. The chosen financial discount rate (FDR) and time horizon should be stated and justified.

It is strongly recommended to include as a minimum the financial net present value (FNPV) of the investment and the financial rate of return of the investment, in order to confirm the need for the CEF grant. In this respect, the financial analysis should be consistent with the assumptions underlying the socio-economic CBA and relate to the same investment cost parameters. In the case of a PPP, whereby the operator and owner of the investment may be different entities, a consolidated analysis could be carried out first to determine the profitability of the project.
In addition to the FNPV and FRR of the investment, it is highly recommended to provide a financial net present value of capital and the financial rate of return on capital, exclusive of the CEF grant, taking into account the sources of financing in order to provide a more complete picture of the financial profitability of the project. This calculation should be from the point of view of the applicant, whether national or regional/local public authority or private sector promoter. In the case of a PPP, two calculations could be provided, for the public and the private partners respectively.

Financial sustainability is another useful indicator to determine the overall financial viability of a proposed investment and ensure good use of EU funds. If possible, an indication of the financial sustainability of the project should be provided to confirm cumulated positive cash flow over the identified time horizon of the project.

6.3. Funding gap

For revenue-generating projects, the co-funding rate applied to the grant must refer to the part of a project's costs that are not covered by revenues ("funding gap"). Specifically, the discounted net revenues (if any) generated by the project must be subtracted from the discounted investment cost to determine the "funding gap" to which the co-financing rate applies.

Revenues and costs should be determined by applying the incremental method based on a comparison of costs and revenues in the scenario-with-the-project with costs and revenues in the scenario-without-the-project. Both scenarios should be presented explicitly and separately (i.e. with respective revenues and costs).

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

For revenues, only cash in-flows directly paid by the users (such as charges borne directly by users of the infrastructure) should be considered. In the case of PPPs using shadow tolls or availability payment schemes, such payment mechanisms should be considered as revenues generated by the project.

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

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

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<td>a) Discounted revenues</td>
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<td>b) Discounted costs</td>
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<td>c) Discounted residual value</td>
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<td>d) Discounted net revenues ((a-b+c))</td>
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<td>e) Discounted investment cost</td>
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<td>f) Funding gap ((d-e))</td>
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<tr>
<td>g) Funding gap rate ((f/e))</td>
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Note that the co-funding rate requested in the indicative eligible costs table in application form part A3.2 should be the funding gap rate.

### 6.4. Economic analysis

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

- Main economic benefits such as time savings, vehicle operating costs savings, accident savings, reduction of GHG and non-GHG emissions, reduction of noise emissions, quality of service improvements
- Economic Net Present Value (ENPV) of the project
- Economic Rate of Return (ERR) of the project
- Social Discount rate used
- Time horizon (Reference period) (years)
The purpose of the economic analysis is to confirm whether the project is worth the EU co-financing. A brief description of the methodology used and steps taken in the calculations (such as fiscal corrections, conversion of market to accounting (shadow) prices, monetisation of non-market impacts (corrections for externalities)) that serve to clarify the conclusions of the analysis should also be included. The incremental analysis and the discounted cash flow methodology should be followed. The chosen social discount rate and time horizon should be stated and justified.

6.5. Cost-effectiveness analysis

In the case of compliance-driven projects, such as the case of ERTMS, SESAR, ITS, Rail interoperability, Rail Freight Noise, which aim at complying with EU standards and generate positive effects well beyond their boundaries (network effects), a cost-effectiveness analysis (CEA) can be performed instead of the full economic analysis of a CBA, in order to verify whether the unit cost of the project is appropriate to achieve the proposed result.

In this case, a qualitative description of the main economic benefits must be provided. The CEA is carried out by calculating the cost per unit of 'non-monetised' benefits and is required to quantify benefits but not to attach a monetary price or economic value to the benefits.

Annex IX of the Cohesion Policy CBA methodology mentioned above contains additional information on cost effectiveness analysis.

7. Procedure for Submission of Proposals

7.1. Deadline for submission

The deadline for the submission of proposals is Thursday, 7 February 2016, 17:00.00 (Brussels local time).

All parts of the application form must be submitted electronically through the TENtec eSubmission module before the deadline.

- Application form part A must be filled in directly in the TENtec eSubmission module.
- Application form parts B, C, D and their annexes must be duly filled in and uploaded in the TENtec eSubmission module before the proposal submission.

For any parts of the application requiring signatures or stamps (i.e. forms A2.2, A2.3, annexes B-I, B-II, and B-III), the signed and dated originals must be scanned and uploaded in the TENtec eSubmission module's "Supporting Documents" section. Advanced electronic signatures based on a qualified certificate as defined by Regulation 910/2014 on electronic identification and trust services for electronic transactions in the internal market (eIDAS Regulation) and which comply with the signature formats specified in Commission Implementing Decision 2015/1506 shall be accepted. If a document is e-signed, a printable version of the document must be uploaded in the TENtec eSubmission module.

Proposals sent to INEA by email or as paper copies will not be admissible.

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

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

7.2. Submitting the proposal

Once all the information has been filled in and all of the application form parts and supporting documents have been uploaded, the owner of the proposal should go to the "Submit this application" section of the TENtec eSubmission module.

*This section will display any missing information that must be provided before the application can be submitted.*

After resolving all the errors in this section, only the user that has created the application (the owner) can submit the application. Click on the "Submit this application" button and re-confirm.
The proposal code, which is automatically generated during submission of an application, will appear in the right column of the onscreen table and on the printout of the application form part A following submission. This code will be used by INEA to identify the proposal during the evaluation as well as during the subsequent steps, if the proposal is selected for funding. Use this proposal code when communicating with INEA after the submission of proposal.

7.3. Acknowledgement of receipt

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

7.4. Correcting, deleting or withdrawing a submitted proposal

Correcting, editing and revising a proposal
It is not possible to make changes to a proposal once it has been submitted. Applicants wishing to correct or revise their proposals must submit a new version of the proposal before the deadline which will replace the previous version.

Deleting a proposal
Applicants have the possibility of deleting any draft proposals before they are submitted. Go to the "My applications" section of the TENtec eSubmission module and click on the "Delete" button in the Status column for that proposal. Please note that after a proposal is deleted, the deletion is permanent and the proposal cannot be recovered from the system.

Withdrawing a proposal
Applicants who wish to withdraw an already submitted proposal may do this before the call deadline via the TENtec eSubmission module homepage. Click on the "Withdraw" button under the Status column for that proposal and confirm the selection. The status will change to "withdrawn" and the time/owner will be indicated. Please note that only the owner of a proposal (i.e. the user that has created the application in the first place) has the right to withdraw it. Withdrawn proposals are still visible (read-only) in the system, and the contents can be consulted and/or copied and pasted into other applications by both owners and contributors. However, once a proposal is withdrawn it cannot be resubmitted.
Withdrawal of proposals in the TENtec eSubmission module is possible until the call deadline. After the call deadline, the applicants must contact INEA on the call helpdesk and request the withdrawal of their proposal in writing.

Applicants who have submitted a proposal must also inform INEA as soon as possible via the call helpdesk of any change of an operational or financial nature that might affect them or the proposal.

7.5. Further information or clarifications

INEA website and CEF Transport 2016 call webpage

Applicants are encouraged to regularly consult the call webpage where further clarifications or information on the call may be published: https://ec.europa.eu/inea/connecting-europe-facility/cef-transport

CEF Transport call helpdesk

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

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

Questions related to the call should be submitted at the latest on 24 January 2017 to ensure sufficient time for the last update of the FAQs by 31 January 2017.

The helpdesk will respond individually up to the call deadline to questions of technical nature related to TENtec eSubmission module. General TENtec support service will not reply to call-related questions.

Applications shall not be delivered to the call helpdesk email address.

7.6. Processing of personal data

An applicant's reply to the grant application involves the recording and processing of personal data (such as name, address and CV), which will be processed pursuant to Regulation (EC) 45/2001 on the protection of individuals with regard to the processing of personal data by the Community institutions and bodies and on the free movement of such data. Unless indicated otherwise, applicant's replies to the questions in this form and any personal data requested are required to assess an applicant's grant application in accordance with the specifications of the call for proposals and will be processed solely for that purpose by INEA as data controller for this purpose. An applicant may, upon request, have his/her personal data sent to him/her and rectify any inaccurate or incomplete particulars. Any queries concerning the processing of personal data should be addressed to the entity acting as the INEA Data Controller.

The data subjects have the right of recourse at any time to INEA's Data Protection Officer (INEA-DPO@ec.europa.eu) or in case of conflict with the Controller or Data Protection Officer concerning the processing of his/her personal data, an applicant has the right to submit a complaint at any time directly to the European Data Protection Supervisor (www.edps.europa.eu).
Details concerning the processing of an applicant's personal data are available on the privacy statement on each individual call page accessible via the following link: https://ec.europa.eu/inea/connecting-europe-facility/cef-transport/apply-funding/2016-cef-transport-calls-proposals

Personal data included in the application (name, title, organisation, contact information) may be shared with the concerned Member State representatives in the CEF Coordination Committee on a need to know basis in view of their role in the approval of proposals selected for funding as well as responsibilities under the CEF Regulation.

As specified in the call text, 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 by the Accounting Officer of the Commission in the Early Detection and Exclusion System (EDES) established by the Commission pursuant to Article 108(1) of Regulation (EU, Euratom) No 966/2012 on the financial rules applicable to the general budget of the Union, as amended by Regulation (EU, Euratom) No 2015/1929 (OJ L 286, 30.10.2015, p. 1).


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

The data of applicants in any of the situations referred to in Articles 106(1), 107 and 109(2)(a) of the Financial Regulation may be included in a central exclusion database and communicated to designated persons in the Commission, the other institutions, agencies, authorities and bodies referred to in Article 108(1) and (2) of the Financial Regulation. This also applies to those with powers of representation, decision-making power or powers of control in respect of such applicants. Following a request to the Commission’s Accounting Officer, anyone registered in the database is entitled to be informed of the data recorded about them.

8. Reimbursement of Translation Costs

It is strongly recommended that proposals are submitted in English. For proposals which are not in English, applicants (or coordinating applicants in case of a multi-applicant proposal) should provide translations in English of the application forms part A, B, C and D. In case of works or mixed proposals under the MAP calls, the required Cost Benefit Analysis/ Cost Effectiveness Analysis must also be part of the translated documents.

Applicants who will provide the translations of their proposals need to specify in application form part A5 all the relevant details (see also section 5.2.6 "Translation information (A4)" of this Guide). **Translations must be uploaded** in the TENtec eSubmission module’s "Supporting Documents" section under "Additional documents" **at the latest on 14 February 2017, 17:00 Brussels time**. No other supporting documents will be accepted after the call deadline.

All parts of a proposal translated in English must be identical with the respective parts of the proposal submitted in the original language. The English translation will be the only document to serve as a basis for the evaluation.
INEA will reimburse translation costs up to the maximum of €1,500 per proposal, provided that the proposal is found to be admissible in accordance with section 6 of the call for proposals. VAT is not considered eligible for reimbursement and as such only the net amount of the translation costs will be reimbursed.

The **translation reimbursement requests have to be presented by 14 April 2017** at the latest. In order to be reimbursed, the applicant must provide the following supporting documents:

i) The original reimbursement request (paper copy), using the template provided in this Guide (page 88) and sent to the following address:

   European Commission – Innovation and Networks Executive Agency
   CEF Transport 2016 calls
   W910 - 01/38
   Avenue du Bourget, 1
   1140 Brussels (Evere)
   Belgium

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

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

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

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

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

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

In exceptional cases, if the payment of translation costs is to be made to an entity different from the applicant (or coordinator in case of a multi-applicant proposal) listed in application form part A, further to the documents above, the request for reimbursement of translation costs must be accompanied by:
v) A letter of agreement issued by the applicant (or coordinator in case of a multi-applicant proposal), duly dated and signed.

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

The request for reimbursement together with the supporting documents shall be sent by registered port or by courier service to the address mentioned in point i) at the latest on 14 April 2017 (as evidenced by the postmark). Applicants must keep proof of the date of sending and be able to present it upon request. Any document sent after the deadline shall not be considered for reimbursement.

Any questions relating to reimbursement of translations need to be addressed to the call helpdesk: INEA-CEF-transport-calls@ec.europa.eu.
Subject: Reimbursement of translation expenses

Under the terms foreseen in your 2016 CEF Transport calls for proposals, I would like to be reimbursed - within the maximum limit of €1,500 per proposal - for the translation costs incurred for the submission of my proposal(s) in its English version.

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

☐ a company
☐ an individual

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

The full name and address of the translation service is

Its national registration number is

Signature of the applicant
9. Glossary

The following explanations are provided for clarity and ease of reference. They have no legal authority and they do not replace any official definitions.

A

**Acknowledgement of receipt:** An automatic email sent to applicants following submission of the proposal in the TENtec eSubmission module, confirming that the proposal has been successfully submitted.

**Action:** Any activity (or set of activities) which has been identified as financially and technically independent, has a set timeframe and is necessary for the implementation of a PCI. The application for funding under CEF is submitted for an Action, such as for preparatory studies or works. An Action is made up of one or more activities.

**Activity:** A part of the Action that is distinct technically, financially or over time and which contributes to the completion of the Action. Together all activities contribute to the completion of the Action. Examples of activities include (for studies) feasibility studies, the final design studies, and (for works) the purchasing of material and the construction of an overhead transmission line. An Action can be also composed by a single activity.


Any designated affiliated entities have to comply with the eligibility and selection criteria defined in the relevant work programme.

**Applicant:** The organisation submitting a proposal to a call for proposals. It is assumed that the applicant becomes automatically the Action’s beneficiary, if the proposal is selected for funding. There may be several applicants in a proposal.

**ATM:** Air traffic management.

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

B

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

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

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

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

Call for proposals (or "call"): An announcement that opens parts of a work programme for proposals, including what type of actions are required with specific details regarding the nature of the actions that may be supported.

CBA: Cost-benefit analysis. A project specific cost-benefit analysis, which must demonstrate that the project is economically viable, pursuant to Article 7 (2) of the TEN-T Guidelines.

CEF: Connecting Europe Facility.


Coordinating applicant: For multi-applicant proposals, the coordinating applicant leads and represents all of the applicants and acts as the point of contact with the Commission or INEA during the application phase. The coordinating applicant will be contacted in the first instance should this become necessary during or after the application or evaluation process. A coordinating applicant may not necessarily become the coordinator of the Action in the grant agreement.

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

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

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

Cross-border section: Within the meaning of Article 2 (2) of the CEF Regulation and Article 3 (m) of the TEN-T Guidelines, the section which ensures the continuity of a project of common interest between the nearest urban nodes on both sides of the border of two Member States or between a Member State and a neighbouring country.

D

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

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

Direct eligible costs: Costs which can be attributed directly to the Action and are identified by the participant as such, in accordance with its accounting principles and its usual internal rules (for a detailed description, see Article II.19 of the model grant agreement).

EFSI: European Fund for Strategic Investments

Eligible costs: The same meaning as in the Financial Regulation (see below). For a detailed description, see Article II.19 of the model grant agreement. Eligible costs refer to the part of the Action's costs taken into consideration by the Commission for the calculation of the Union financial aid and which comply with eligibility criteria as laid down in Article II.19 of the model grant agreement. For Actions supported under this call, expenditure may be eligible as from the date the application is submitted at the earliest.

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

End date: The End date is the date on which the implementation of an Action is expected to be completed, which should be 31 December 2020 for proposals submitted under the AP and MAP calls (General and Cohesion). In reasonable and duly justified cases, and ONLY for proposals submitted under the MAP Cohesion call under Funding Objective 1, the end date can be 31 December 2023.

ERDF: European Regional Development Fund.

ERTMS: European Rail Traffic Management System.

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

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

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

F

FID: Final investment decision.

Financial Identification Form: A form to provide detailed information to identify a company/organisation. Applicants must provide the Financial Identification Form used by the Commission services. The form can be downloaded at the following link: http://ec.europa.eu/budget/contracts_grants/info_contracts/financial_id/financial_id_en.cfm


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.

Grant: Direct financial contributions covered by a written agreement, by way of donation, from the EU budget in order to finance either an action intended to help achieve an objective forming part of an EU policy.

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

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

Implementing body: A public or private undertaking or body designated by a beneficiary, where the beneficiary is a Member State or an international organisation, to implement the Action concerned. Such designation shall be decided upon by the beneficiary under its own responsibility and, if it requires, the award of a procurement contract, in compliance with the applicable Union and national public procurement rules.

Indirect costs: Costs which are not identifiable as direct costs, but which have nevertheless been incurred in connection with the eligible direct costs of the Action. Indirect costs are not eligible under 2016 CEF Transport calls for proposals.

INEA: Innovation and Networks Executive Agency.

International organisation: According to Article 43(1) of the Commission Delegated Regulation (EU) No 1268/2012 (on the rules of application of Regulation (EU, Euratom) No 966/2012 of the European Parliament and of the Council on the financial rules applicable to the general budget of the Union), 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;
(d) other non-profit organisations assimilated to international organisations by a Commission decision.

ITS: Intelligent transport systems

Joint Undertaking: Joint undertaking refers to entities set up by the EU necessary for the efficient execution of Union research, technological development and demonstration programmes (Article 187 of the Treaty on the Functioning of the European Union).
**Legal Entity Form:** The legal entity form is intended to communicate legal co-ordinates so that they can be recorded in the "Legal Entity File (LEF)" managed by the Accounting Officer of the Commission. Under the terms of the regulatory provisions, the Agency cannot launch awarding procedures for a contract or a subvention, nor can proceed to the authorization of payments in beneficiary's favour, as long as co-ordinates are not recorded and centrally validated.

**Means of verification:** Means by which the completion of a milestone will be measured. It must be specific, measurable, achievable, relevant and time-related – for example publication of the notice of the tender to the appropriate media, the issuing of a certificate of acceptance, the signature of a contract by the last contractual party, date in an order notice to commence the works, etc.

**Member State:** State member of the European Union. In the context of CEF, the Member State approval of an application may be provided by any Ministry entitled to represent the Member State authority. It is expected that applications under the CEF Transport calls would gather the support of the Ministry competent in the area of transport policy and/or CEF.

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

**Mixed proposal:** A proposal combining studies and works components (see also 'studies' and 'works').

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

**Neighbouring country:** A country falling within the scope of the European Neighbourhood Policy including the Strategic Partnership, the Enlargement Policy, and the European Economic Area or the European Free Trade Association.

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

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

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

**Proposal code:** Proposal code is automatically generated by TENtec eSubmission module upon the submission of a proposal for CEF funding.
**Public sector body:** regional or local authorities, body governed by public law or association formed by one or several such authorities or one or several such bodies governed by public law, international organizations. A body governed by public law is a 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

**R**

**RIS:** River Information Services


**S**

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

**SESAR:** Single European Sky ATM Research

**Single-applicant proposal:** An application for CEF funding that is submitted by one applicant.

**Start date:** The day on which the implementation of an Action begins, as stated in the individual grant Agreement. It corresponds to the date from which costs are eligible. For Actions supported under this call, costs may be eligible at the earliest as from the date on which the application is lodged.

**Studies:** Activities needed to prepare project implementation, such as preparatory, mapping, feasibility, evaluation, testing and validation studies, including in the form of software, and any other technical support measure, including prior Action to define and develop a project and decide on its financing, such as reconnaissance of the sites concerned and preparation of the financial package. Studies with physical interventions are proposals in which the majority of the activities are studies, but where some physical intervention is undertaken, typically excavations for testing the ground.

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

**Studies with pilot activities:** studies that include pilot activities aiming to:
- develop, improve or adapt a new technology or an innovative solution and implement it in order to test its feasibility and suitability as well as its added value before deploying it on a larger scale; and/or
- deploy an existing technology, infrastructure or service (i.e. already in use elsewhere but new to a particular sector, system or geographical area) in order to gain experience and/or create market conditions for deployment on a larger scale.
Pilot activities of such studies may include the deployment of a certain type of infrastructure or technology but on a limited scale and at a reasonable price and with the objective of testing and validating the viability of the innovative actions proposed for future scale up and roll out. Pilot activities of a study should be of an experimental nature and designed to test the feasibility of an innovative action and its usefulness for future large scale implementation. They should not be associated with research activities.


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

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

**TENtec eSubmission:** TENtec eSubmission module allows the electronic submission of the applications for CEF financing.

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

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

**Works:** The purchase, supply and deployment of components, systems and services including software, the carrying-out of development and construction and installation activities relating to a project, the acceptance of installations and the launching of a project. Works proposals are not covered under the CEF Synergy call.

**Work Programme:** A formal Commission document adopted for the implementation of a specific programme for a specific period that sets out the objectives and results expected. The work programme applicable for this call for proposals is Commission Implementing Decision C(2016) 1778 of 31 March 2016 on the adoption of the annual work programme for 2016 for a multi-sectoral call for proposals under the Connecting Europe Facility.