

TRANS-EUROPEAN TRANSPORT NETWORK
PROGRAMME 2007-2013

Granting of Community financial aid in the field of
the trans-European transport network

CALLS FOR PROPOSALS 2009

GUIDE FOR APPLICANTS

Version 2



*Further copies of this Guide, together with all information related to this call for proposals, can be downloaded from the following web-site:
http://ec.europa.eu/dgs/energy_transport/grants/proposal_en.htm*

About this Guide

This is version n. 2 of the TEN-T Guide for Applicants.

The Guide is based on the rules and conditions contained in the legal documents relating to TEN-T, which can be consulted via the TEN-T EA website: <http://ec.europa.eu/tentea>

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

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1 Introduction

The purpose of this document is to provide guidance to those wishing to apply for financial support from the Trans-European Network Transport (TEN-T) programme in 2009. It aims to support applicants in filling in the application forms and to familiarise them with the evaluation criteria and the process which will be applied in the assessment of proposals.

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

- TEN Guidelines¹
- TEN Regulation²
- Multi-Annual Work Programme for grants awarded under the MAP, adopted on an annual basis (hereinafter referred to as 'MAWP') (ref)
- Annual Work Programme for grants in the field of the TEN-T network, adopted on an annual basis (hereinafter referred to as 'AWP') (ref)
- European Economic Recovery Plan Work Programme for grants in the field of the TEN-T network, adopted on an *ad hoc* basis in 2009 (hereinafter referred to as 'EERP') (ref)
- Calls for proposals for projects of common interest in the field of the trans-European transport network under the MAWP (hereinafter referred to as 'MAWP call texts')
- Call for proposals for projects of common interest in the field of the trans-European transport network under the AWP (hereinafter referred to as 'AWP call text')
- Call for proposals for projects of common interest in the field of the trans-European transport network under the EERP (hereinafter referred to as 'EERP call text')

These documents are available on the TEN-T EA website: <http://ec.europa.eu/tentea>

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

¹ Decision n° 1692/96/EC of the European Parliament and of the Council of 23 July 1996 on Community guidelines for the development of trans-European Transport Network, OJL 228, 09.09.1996, p. 1

² Regulation (EC) n° 680/2007 of the European Parliament and of the Council of 20 June 2007, laying down general rules for the granting of Community financial aid in the field of the trans-European transport and energy networks, OJ L 162, 22.6.2007, p. 1

³ Council Regulation (EC, EURATOM) n° 1605/2002 of 25 June 2002 on the Financial Regulation applicable to the general budget of the European Communities, OJL 248, 16.9.2002, p. 1.

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

2 Getting started

In the 2007-2013 TEN-T programme, funding decisions are made on the basis of proposals submitted following calls published (as from 2009) by the newly-established TEN-T Executive Agency (hereafter 'TEN-T EA'). Proposals describe planned activities, information on who will carry them out, how much they will cost, and why they should be supported financially by the EU.

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

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

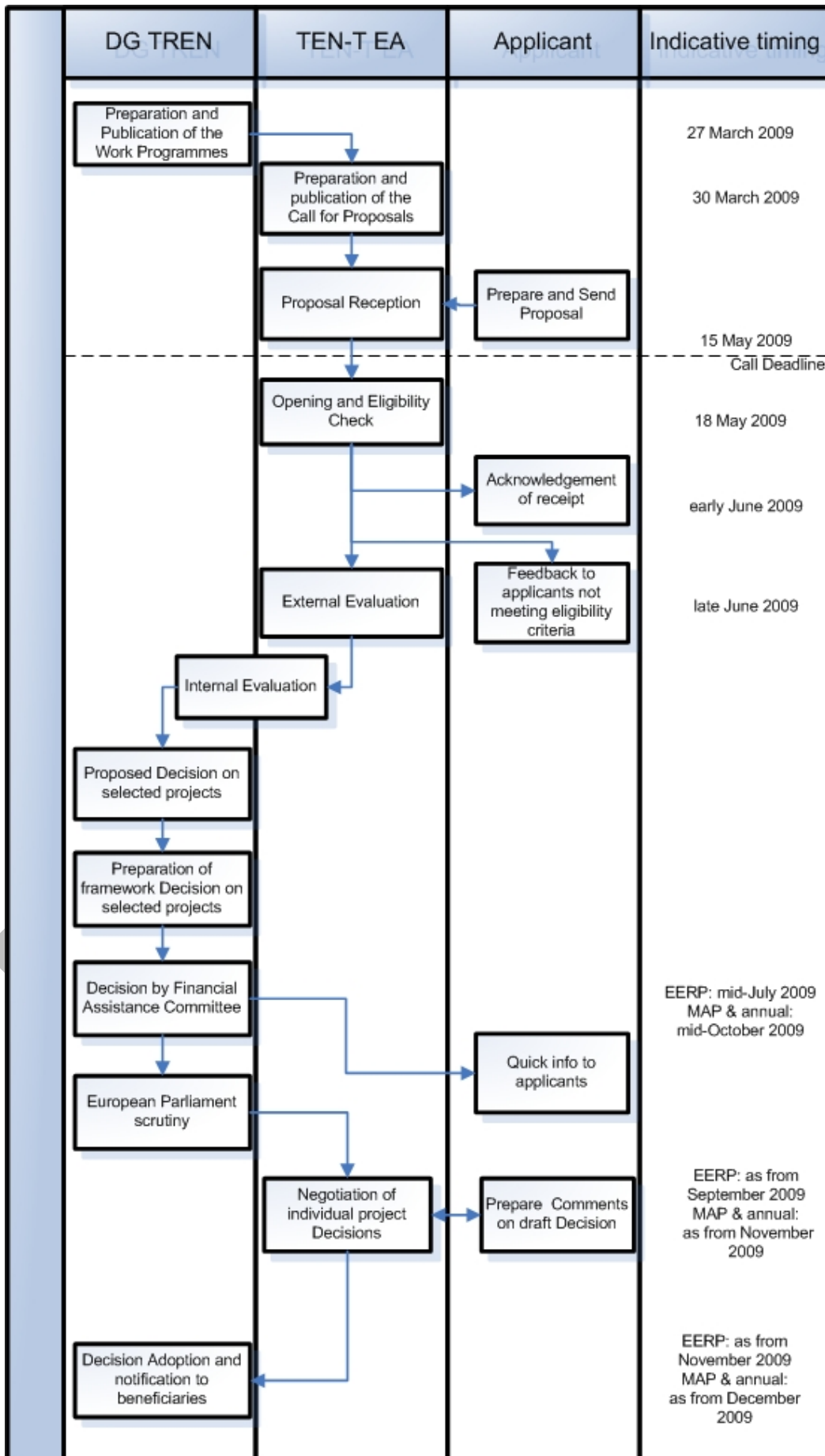
In preparing your proposal, you must also refer to the relevant **work programme** (i.e. MAWP, AWP or EERP), which describes the general and specific objectives, and the results expected, as well as the relevant **call text**, which describes in detail any specific eligibility, selection and award criteria.

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

The work programmes and call texts can be found on the following page:

<http://ec.europa.eu/tentea>

The application forms and in some cases the evaluation criteria may differ according to the specific TEN-T call. For each proposal, only the criteria and procedures appropriate to the specific TEN-T call must be used.



3 Funding schemes in 2009

In 2009, the TEN-T EA is launching five calls for proposals, which are established under three separate work programmes:

- the **Multi-Annual Work Programme** (MAWP) 2007-2013, which aims to further enhance the effectiveness and visibility of Community financing of the highest priorities of the TEN-T network. Calls are launched in specific fields each year, in line with the indicative timetable included in the MAP.

In 2009, calls for proposals under the multi-annual work programme 2007-2013 are open in three fields:

- **Field n. 8: Motorways of the Sea** (MoS) (TEN-T Priority Project n°21⁵)
Maximum amount available for the selected proposals: **€30 million**
- **Field n. 9: European Rail Traffic Management Systems** (ERTMS)
Maximum amount available for the selected proposals: **€240 million**
- **Field n. 10: Intelligent Transport Systems for Roads** (ITS Roads)
Maximum amount available for the selected proposals: **€100 million**

- the **Annual Work Programme** (AWP), which intends to complement the efforts developed in the MAWP and does not support actions already supported there under. Given its annual nature, it has a high degree of flexibility to meet new priorities of the projects of common interest (as defined in Article 7 of the TEN Guidelines). The AWP includes a dedicated budget for the Loan Guarantee Instrument, for which the Community's contribution is managed by the European Investment Bank (EIB), and which may be used to support projects implemented either under the MAWP or the AWP.

The indicative amount of funds available for the annual work programme in 2009 is **€140 million**, of which a total amount of €80 million is available for grants for projects of common interest in the field of TEN-T and an amount of €60 million is available for the Loan Guarantee Instrument.

- An *ad hoc* work programme has been adopted in 2009 in response to the financial crisis⁶ - the **European Economic Recovery Plan Work Programme** (EERP). A call for proposals under this programme brings forward €500 million of existing funds in order to support **works** which can start in 2009 or, at the latest, in 2010 and be largely implemented over this two-year period, or have already started but can be accelerated over 2009 and 2010.

⁵ Annex III, TEN Guidelines

⁶ Communication from the Commission to the European Council, COM(2008) 800 final of 26.11.2008

4 Who can apply and what can be supported

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

Community financial aid takes the form of grants for works, studies or studies with physical interventions. The maximum amount of Community aid which can be awarded to an individual Action is defined in Article 6.2 of the TEN Regulation. Within this maximum, additional limits (minimum and/or maximum) may be specified in individual calls.

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

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

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

Only **projects of common interest** (as defined in Article 7 of the TEN Guidelines) are eligible to receive Community financial aid. In addition, eligibility is subject to a **commitment** by the applicant for Community financial aid and, where appropriate, by the Member States concerned, to make a financial contribution to the project submitted, mobilising private funds if necessary.

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

5 How to apply

5.1 Presenting your proposal

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

An application form consists of three parts:

Part A contains the administrative information about the proposal and the applicants. The information requested includes a brief description of the work, contact details and characteristics of the applicants, as well as information related to the funding requested. Guidelines on how to complete Application Form Part A are provided in Annex 2.

Part B1 contains the administrative information (in particular on financial and technical capacity) and information on compliance with relevant Community policy and law. The necessary documents and declarations must be attached to the application form. Guidelines on how to complete Application Form Part B1 are provided in Annex 3.

Part B2 contains the technical and financial information about the proposal, including detailed descriptions of the proposal's relevance, maturity, potential impact and quality. Guidelines on how to complete Application Form Part B2 are provided in Annex 4.

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

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

5.2 Proposal language

Proposals may be prepared in any official Community language. Nevertheless, if a proposal is not submitted in English, an English translation of the complete proposal and its annexes must be submitted within two weeks of the call deadline – otherwise the proposal will not be evaluated. A letter signed by the applicant certifying that the translation is identical to the originally submitted proposal must be provided together with the translation. If this letter is not submitted or if any discrepancy is found between the translation and the proposal originally submitted, the proposal as a whole will be considered ineligible and excluded from the evaluation.

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

An information note on the reimbursement of translation expenses and a standard letter to request reimbursement are available on:

http://ec.europa.eu/dgs/energy_transport/grants/proposal_en.htm#ten-t

5.3 Proposal submission

5.3.1 What should I send?

A **complete proposal** consists of:

√ Application form Part A (must be generated in the TENtec eSub tool) submitted by email, and

√ A package containing all of the following:

- the printout of Application form Part A, generated by the TENtec eSub tool after the electronic submission (one signed original and four additional copies) (note: the 36 digit reference code which is automatically generated by the TENtec eSub tool upon submitting a proposal must appear on the printout),

- the printout of Application form Parts B1 and B2 and their annexes (one signed original and four additional copies),

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

The 36 digit reference code generated by submitting Application form Part A must be clearly indicated in the space provided on the cover page of Parts B1 and B2 and their annexes.

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

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

5.3.2 Where should I send my application?

The application form must be submitted as follows:

a) **Application form Part A must be submitted in electronic form by email (using the TENtec eSub tool)**

Application form Part A must be completed using the TENtec eSub tool and submitted by **email** to one of the following functional email addresses, before 17h00 (Brussels local time) on 15 May 2009. The email should contain the file in the TENtec eSub version. It is not necessary to include a PDF version!

Multi-Annual call: tenea-proposal-call-map2009@ec.europa.eu

Annual call: tenea-proposal-call-annual2009@ec.europa.eu

EERP call: tenea-proposal-call-eerp2009@ec.europa.eu

The date and time of the electronic submission are generated automatically by the tool and are embedded in the submission. In order to prove authenticity, a 36 digit reference code is automatically generated.

After submitting Part A by email, applicants should print out the final version using the TENtec eSub tool. The reference code will automatically be included on each page of the printout.

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

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

IN ADDITION, after completing step a), the complete application form (including annexes) must then be

b) EITHER: sent by registered mail or by private courier

The proposal may be sent by registered mail or by private courier to the address indicated below, dispatched not later than 15 May 2009 (as evidenced by the date of dispatch, the postmark or the date of the deposit slip) to the address indicated below.

c) OR: delivered by hand

Proposals may be delivered by hand to the Central Mail of the European Commission, **no later than 16h00** (Brussels local time) on 15 May 2009 (as evidenced by the signed and dated receipt) to the address indicated below.

The department is open from 8.00 to 17.00 Monday to Thursday, and from 8.00 to 16.00 on Fridays. It is closed on Saturdays, Sundays and Commission holidays.

Address:

x

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

It is also the responsibility of the applicant to ensure that proposals are sent to the address set out in the call for proposals. The Commission cannot be held responsible for consignments which are not addressed correctly. Proposals sent in several parts which are not clearly marked so as to enable them to be put together will not be evaluated. If necessary, applicants must be able to present proof of postage.

5.3.3 Instructions for sealing the envelope

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

For proposals responding to the calls launched under the MAWP, the inner envelope must bear the words:

Call for proposals
TEN-T EA
Multi-annual work programme 2009
- Not to be opened by the Postal Service of the Internal Mail Department –
x

For proposals responding to the call launched under the AWP, the inner envelope must bear the words:

Call for proposals
TEN-T EA
Annual work programme 2009
- Not to be opened by the Postal Service of the Internal Mail Department –
x

For proposals responding to the call launched under the EERP, the inner envelope must bear the words:

Call for proposals
TEN-T EA
EERP work programme 2009
- Not to be opened by the Postal Service of the Internal Mail Department –
x

The Commission may ask an applicant to provide additional information or to clarify the supporting documents submitted with the proposal, in particular in the case of obvious clerical errors. The Commission shall keep appropriate records of contacts with applicants during the procedure.

Applicants are invited to consult the TEN-T website regularly until the call deadline.

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

5.3.4 Multi-applicant proposals

For proposals with more than one applicant, a **joint application** is strongly encouraged. If more than two applicants are involved, it is not necessary that they sign the same form itself (i.e. it is not necessary to physically circulate the document between applicants), as long as all signed forms are sent together with the complete proposal.

In a jointly submitted application is impossible, applicants must ensure that the application forms make a clear cross-reference to each other.

5.4 Indicative timetable

The timing of all TEN-T calls in 2009 is as follows (this includes calls launched both under the MAWP, the AWP and the EERP):

	EERP call	Annual call Multi-Annual calls
Publication of the calls	30 March 2009	
Deadline for submission	15 May 2009	
Evaluation	June 2009	June – August 2009
Consultation of FAC EP right of scrutiny	July – September 2009	September – December 2009
Indicative date for adoption of individual decisions	by November 2009	by May 2010

5.5 Correcting or revising your proposal

If you wish to make changes to your proposal after it has been submitted, you may do so only before the deadline. To make changes, you must submit a new proposal, which will replace the previous version. Instructions on how to do this are given in the TENtec eSub tool manual.

Once the deadline has passed, the Commission cannot accept any further additions, corrections or re-submissions.

If more than one copy of the same proposal is received, only the most recent eligible version will be evaluated.

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

5.6 Further information

For any questions concerning the TEN-T 2009 calls for proposals, please contact the relevant helpdesk:

Multi-Annual programme helpdesk: tenea-helpdesk-call-map2009@ec.europa.eu

Annual programme helpdesk: tenea-helpdesk-call-annual2009@ec.europa.eu

European Economic Recovery Plan programme helpdesk:

tenea-helpdesk-call-eerp2009@ec.europa.eu

Please note that, to ensure equal treatment of proposals, only questions of a general nature can be answered.

Applicants are invited to consult the TEN-T EA website regularly until the call deadline.

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6 Evaluation procedure

6.1 General

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

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

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

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

6.2 The evaluation process

For each proposal that fulfils the formal requirements described in sections 5.3.1-5.3.3 of this Guide, the eligibility criteria are checked.

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

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

- Assessment of eligibility and selection criteria by the TEN-T EA;
- Assessment by external experts against all award criteria;
- Pre-evaluation by an Internal Evaluation Panel;
- Evaluation by an Evaluation Committee.

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

6.3 Eligibility criteria

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

The eligibility criteria are the following:

6.3.1 Conditions for applicants

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

Applications must be presented by:

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

Projects are not eligible if submitted by:

- natural persons (applicants other than a Member State must show that it exists as a legal person, by providing the form relative to legal entities as set out in the application form), or
- by third Countries or legal persons established outside EU countries

6.3.2 General conditions for the eligibility of projects

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

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

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

- The granting of Community financial aid to projects of common interest is conditional to **compliance with relevant Community law**. This includes legislation related to the environment (Environmental Impact Assessment (EIA) Directive⁷, Strategic Environmental Assessment (SEA) Directive⁸, Habitats Directive⁹, Birds Directive¹⁰, Water Framework Directive¹¹), state aid and competition, award of public contracts and, for railway actions, interoperability.

6.4 **Selection criteria**

Public or private bodies operating under private law (i.e. NOT a public sector body or body governed by public law - see definitions in the Glossary) must demonstrate their financial and technical capacity to complete the Action.

It should be noted that successful applicants which are NOT a public sector body or body governed by public law (as defined in the Glossary) will have to lodge an advance guarantee for up to the same amount as the pre-financing, as per Article 118 of the Financial Regulation and Article 182 of the Implementing Rules.

⁷ Directive 85/337/EEC on the assessment of the effects of certain public and private projects on the environment, as amended by 97/11/EC and 2003/35/EC.

⁸ Directive 2001/42/EC on the assessment of the effects of certain plans and programmes on the environment

⁹ Directive 92/43/EEC on the conservation of natural habitats and of wild fauna and flora

¹⁰ Directive 79/409/EEC on the conservation of wild birds

¹¹ Directive 2000/60/EC establishing a framework for Community action in the field of water policy

6.5 Award criteria

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

- Relevance
- Maturity
- Impact
- Quality

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

In order to facilitate and ensure coherency in the assessment of proposals, a number of detailed issues (prompting points) are defined for each block, which the external expert must consider during the assessment. These prompting points are listed in sections 6.5.1- 6.5.4.

These questions are the same for all calls for proposals. However, if a particular interpretation applies to a specific call, this will be indicated in the relevant call text. For example, the 2009 MoS call for proposals states that modal shift will be considered by evaluators in assessing the extent to which a proposal satisfies the criterion "impact of the Action".

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

6.5.1 Relevance

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

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

- The Action belongs to one of the 30 priority projects as defined in Annex III of the TEN Guidelines, or how it classifies as project of common interest as defined in Art. 7 of the TEN Guidelines.
- The Action addresses TEN-T priorities as identified in Art. 5 of the TEN Guidelines.
- The Action addresses the objectives, priorities and expected results of the Call for proposals
- The Action contributes to the internal market, the cohesion policy and the Lisbon strategy.
- The Action generates socio-economic benefits (e.g. competition, jobs, social integration) at macro level (EU level).

- The Community funding of this proposal has a stimulating / leverage effect on public and private financing and the commitment the different stakeholders, and the negative impact the absence of TEN-T funding would have.

6.5.2 Maturity

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

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

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

6.5.3 Impact

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

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

- Socio-economic effects (reflected in the results of ex-ante evaluation(s), socio-economic and/or cost/benefit analyses), and in particular the extent to which:
 - The Action would have positive direct and indirect socio-economic effects (in particular in relation to the results of the ex-ante evaluation(s), socio-economic and cost/benefit analyses)
 - The Action would have a positive impact on traffic growth, multimodal split, interoperability, regional or national competition, service quality, safety and security.
 - The Action would have a positive impact on regional and / or local development and land use. Please assess also positive and negative impacts on neighbouring regions.
 - The Action would have a positive impact on competition.

- Environmental consequences (reflected in the expected impact of the Action on nature, emissions, noise, land use etc. and in the measures to reduce or compensate any negative impacts), and in particular the extent to which:
 - The Action would contribute to the re-balancing of transport modes in favour of the most environmentally friendly ones
 - The proposed Action would have positive and negative effects on the environment (only for works).
 - The Action, in case of possible environmental negative effects, has foreseen adequate measures of prevention, monitoring and mitigation.
 - The proposed Action would have positive and negative effects on the environment (only for works).
 - The Action, in case of possible environmental negative effects, has foreseen adequate measures of prevention, monitoring and mitigation.

6.5.4 Quality

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

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

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

6.6 Evaluation process: in detail

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

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

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

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

6.6.2 Step 2: Assessment by external experts

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

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

All the key written documents (e.g. TEN Regulation, TEN Guidelines, work programmes, call texts) are sent to the external experts in advance of the evaluation. In addition, other documents dedicated to specific transport modes, and relevant for the evaluation, may be supplied. Additional documentation (such as previous application / evaluation forms and Commission Decisions) may be provided for actions which are already being financed by the Commission or which were submitted in response to a previous call.

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

In a second step, the evaluators which assessed a particular proposal are brought together in a consensus meeting, which is chaired by a TEN-T EA representative, and in which a consensus report is produced for each proposal, faithfully reflecting the common views of the external experts and their achieved consensus. These reports are usually prepared by one of the experts acting as rapporteur. The external experts must agree on and sign a consensus report, including a joint assessment, scoring of the proposal and overall comments.

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

- | | |
|-----|---|
| 0 - | <i>The proposal fails to address the criterion under examination or cannot be judged due to missing or incomplete information</i> |
| 1 - | <i>Poor. The criterion is addressed in an inadequate manner, or there are serious inherent weaknesses.</i> |

- | | |
|-----|--|
| 2 - | <i>Fair. While the proposal broadly addresses the criterion, there are significant weaknesses.</i> |
| 3 - | <i>Good. The proposal addresses the criterion well, although improvements would be necessary.</i> |
| 4 - | <i>Very good. The proposal addresses the criterion very well, although certain improvements are still possible.</i> |
| 5 - | <i>Excellent. The proposal successfully addresses all relevant aspects of the criterion in question. Any shortcomings are minor.</i> |

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

The **minimum threshold** for an individual block of criteria is 3 points. In other words, experts will not recommend for funding any proposal which does not obtain 3 points for one (or more) block. However, the Commission is not bound by the opinion of the experts and may deviate from their view if duly justified.

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

The prompting questions for each block of criteria are not scored; experts will only record their observations on them in the evaluation form. These questions are reminders to help the evaluator in supporting his/her judgement on what score to assign to the criterion concerned when he/she has finished reading, and also to remind him/her of issues he/she may wish to raise later during the consensus meeting.

A feature of the procedure as described is to allow the experts to reflect on the individual issues comprising the blocks of criteria. By only taking the overall score for each of the four blocks of criteria into consideration in the final assessment of the proposals, experts are encouraged to “look at the wider picture” and score the proposal against these important blocks of criteria as a whole, rather than applying a “mechanical” process of adding any marks given on individual issues. Experts may make recommendations regarding the amount of funding and/or the duration of an Action.

When all experts to whom a proposal has been assigned have completed their individual assessment form (minimum of three experts per proposal, a consensus meeting is convened. During this meeting, a consensus report is agreed for each proposal, providing a score for each block of criteria and the comments to justify these. The meeting is moderated by a member of staff of the TEN-T EA.

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

6.6.3 Step 3: Internal Evaluation Panel

An Internal Evaluation Panel, composed of representatives from DG TREN and the TEN-T EA (and including representatives of other Directorates-General, if appropriate), reviews all of the proposals, together with the consensus reports, with a view to recommending proposals for funding. This selection also takes into account the available budget, the strategic objectives of the programme and the policy relevance of the proposals, as well as their overall balance. The Panel may re-discuss/re-examine the consensus reports of the external experts for all proposals and may revise, in duly justified circumstances, only the consensus overall comments.

Ultimately, the Panel prepares a list of proposals recommended for funding, which it submits to the Evaluation Committee. For each proposal, a recommendation for the level of funding and the duration of the Action is given, as well as any other recommendations considered appropriate.

A number of proposals are suggested in a reserve to allow for eventualities such as the failure of negotiations on Actions, the withdrawal of proposals, budget savings agreed during negotiation, or the availability of additional budget from other sources.

6.6.4 Step 4: Evaluation Committee

The Evaluation Committee, composed of DG TREN Directors, assesses the Internal Evaluation Panel's list of proposals recommended for funding and the reserve list. The Committee makes any modifications it considers appropriate, following which it presents a final list of projects to be proposed for funding and a reserve list to the Director-General of DG TREN.

Once approved, DG TREN launches an inter-service consultation, to obtain comments from other services of the Commission (in particular DG ENV and DG REGIO) and to verify compatibility with other policies and whether there is any risk of double financing for the same activity or project.

6.6.5 Adoption by Programme Committee and European Parliament scrutiny

The list of projects selected by the Evaluation Committee must then be approved by Member State representatives via the Financial Assistance Committee, followed by which the European Parliament has a 30-day 'right of scrutiny' (i.e. it has the right to oppose the list according to certain conditions). On this basis, a 'framework Decision' is adopted, listing the proposals selected for funding and indicating the amount of funding to be awarded to each Action.

6.6.6 Feedback to applicants

As mentioned above, proposals which do not meet the eligibility or award criteria, or in cases where non-compliance with Community law is detected, will be rejected and the applicants will be notified and informed of the grounds for such a decision, shortly after Step 1 of the evaluation process.

Applicants whose proposal has met the eligibility and selection criteria will be informed of how their proposal did in the evaluation process after the meeting of the Financial Assistance Committee.

After the European Parliament scrutiny, applicants whose proposals are selected for funding are then invited to enter into negotiations with the TEN-T EA. Subject to their successful outcome, individual financing Decisions granting Community aid are then adopted for each selected Action.

7 Check list

7.1 Preparing your proposal

- ✓ **Does your proposal fit in the scope of the call for proposals?** Check that your proposed activities do indeed address the objectives and results expected identified in the relevant call (i.e. in 2009: ERTMS, MoS, ITS, annual or EERP).
- ✓ **Does your proposal satisfy all the formal requirements for submission?** Please check carefully the formal arrangements for the submission of proposals provided in the call. Proposals which do not meet these requirements will not be evaluated.
- ✓ **Is your proposal eligible?** The eligibility criteria are given in the call. Proposals which do not meet the eligibility requirements will be considered ineligible and will not be evaluated.
- ✓ **Is your proposal complete?** An application must include:
 - Application form Part A using the TENtec eSub tool, and
 - A package containing:
 - * a CD-ROM or DVD-R containing the complete proposal in electronic format;
 - * the printout of Part A, as it is generated by the TENtec eSub tool at the time of the electronic submission (one signed original and one additional copy);
 - * Application form Parts B1 and B2 (one signed original and one additional copy);
 - * Annexes (one signed original and one additional copy).
- ✓ **Does your proposal follow the required structure?** Proposals should be precise and should clearly respond to the questions posed. Omitting requested information will almost certainly lead to lower scores and could lead to exclusion.
- ✓ **Have you maximised your chances?** There will be strong competition. Therefore, edit your proposal tightly, strengthen or eliminate weak points. Put yourself in the place of an expert evaluator; refer to the evaluation criteria given in Section 6.5 of this Guide. Arrange for your draft to be evaluated by experienced colleagues; use their advice to improve it before submission.

7.2 Final checks before submission

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

7.3 The deadline

Make sure that the proposal is delivered before the deadline.

Annexes

Annex 1: Glossary and Acronyms

Annex 2: Tentec manual - Guidelines to complete Application form Part A

Annex 3: Guidelines to complete Application form Part B1

Annex 4: Guidelines to complete Application form Part B2

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Annex 1 : Glossary and Acronyms

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

A

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

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

Activity: A part of the Action that is independent 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.

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

AWP: Annual Work Programme

B

Beneficiary(ies): One or more Member States, international organisations or joint undertakings (within the meaning of Article 171 of the Treaty), or public or private undertakings or bodies, having complete responsibility for an Action and proposing to invest their own resources or funds provided by third parties with a view to its completion

Bottleneck: Obstacles, in terms of speed and/or capacity, which make it impossible to guarantee the continuity of transport flows

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

C

Coordinating applicant: For proposals with more than one applicant, the coordinating applicant leads and represents all of the applicants. He / she acts as the point of contact with the Commission in submitting the proposal.

CPM: Critical Path Method (a project management method)

D

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

E

EERP: European Economic Recovery Plan

Eligible costs: For a detailed description, see the model Decision on the TEN-T EA website. Essentially, it refers to the part of the Action's costs taken into consideration by the Commission for the calculation of Community financial aid. For Actions supported under the 2009 MAWP, expenditure is eligible as from 1 January 2009. For Actions supported under 2009 AWP and the EERP, expenditure is eligible from the date on which the proposal is submitted (postmark or proof of deposit). (see also: Start date)

ERTMS: European Rail Traffic Management System

F

FAC: Financial Assistance Committee – a group of Member State representatives which assists the Commission in implementing the TEN-T programme

G

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

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

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

I

Indirect costs: Costs which are not identifiable as costs specific to the Action, directly linked to its implementation or are directly assigned to it, but which can be identified and justified by the beneficiary using its accounting system as having been incurred in connection with the eligible direct costs of the action. For a detailed description, see Article III.3.7(5) of the model Decision on the TEN-T EA website.

ITS: Intelligent Transport System

L

Loan guarantee instrument: a guarantee issued by the European Investment Bank (EIB) in favour of a stand-by liquidity facility provided to projects of common interest in the field of transport. It covers the debt service risks due to demand shortfalls and the resulting unforeseen loss of revenue during the initial operating period of the project. The loan guarantee instrument is used only for projects whose financial viability is based, in whole or in part, on revenues, tolls or other income paid by or on behalf of the users or beneficiaries. In 2009, the Commission is contributing €80 to this instrument.

M

Milestones: Milestones indicate how the (sub-)activity and its associated expected result(s) are progressing.

MoS: Motorways of the Sea

MAWP: Multi-Annual Work Programme

P

PERT: Program Evaluation and Review Technique (a project management tool which depicts task, duration and dependency information)

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

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

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

Public sector body: State, regional or local authorities, bodies governed by public law and associations formed by one or several such authorities or one or several such bodies governed by public law

Body governed by public law: any body:

- (a) established for the specific purpose of meeting needs in the general interest, not having an industrial or commercial character; and
- (b) having legal personality; and
- (c) financed, for the most part by the State, or regional or local authorities, or other bodies governed by public law; or subject to management supervision by those bodies; or having an administrative, managerial or supervisory board, more than half of whose members are appointed by the State, regional or local authorities or by other bodies governed by public law

S

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

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

T

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

W

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

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

Annex 2: TENCtec Manual – Guidelines to complete Application Form Part A

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Annex 3: Guidelines to complete Application Form Part B1

Cover page

The following information is requested on the cover page:

- whether the proposal responds to a call for proposals under the Annual Work Programme, the Multi-Annual Work Programme (and then if it answers the call for proposals for ERTMS, MoS or ITS), or the European Economic Recovery Plan Work Programme
- the title of the proposed Action, which must be the same as the title indicated in Application Form Part A1
- the 32-digit number of the proposal, as generated by TENtec

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

Section 1: Administrative information on applicants

1. Legal entity
2. Additional formal requirements for public and private undertakings and bodies

Section 2: Compliance with Community policy and law

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

SECTION 1: ADMINISTRATIVE INFORMATION ON APPLICANTS

1. Legal Entity

- √ Only public and private undertakings or bodies and international organisations need to provide the Legal Entities form.
- √ The editable form can be downloaded in several languages at the following Internet address:
 - http://ec.europa.eu/budget/execution/legal_entities_en.htm
- √ Several additional documents referred to in the legal entity form must be attached to the proposal.

2. Additional formal requirements for public and private undertakings and bodies¹²

- √ An applicant that is a public/private undertaking/body (i.e. NOT a public sector body or body governed by public law - see definitions in the Glossary of the Guide for Applicants) must demonstrate its technical and financial capacity to complete the Action for which the grant is sought.
- √ Provide your annual accounts certified by an external auditor for the last financial year for which the accounts have been closed.
- √ Provide appropriate documents attesting that you have the technical and operational capacity to complete the Action for which the grant is sought (adequate professional qualifications of the team responsible for implementing the Action, proof of recent experience in carrying out similar or related projects, previous cooperation with European or international bodies...)

¹² As specified in Article 173(2) of the Implementing Rules, and Article 8 of the Commission Decision of 23 May 2007 establishing a draft of the multi-annual work programme for grants in the field of trans-European Transport network (TEN-T) for the period 2007-2013

- √ Complete and sign the declaration form in Annex I of the Application Form Part B1, to confirm compliance with Article 114(3) of the Financial Regulation.

SECTION 2: COMPLIANCE WITH COMMUNITY POLICY AND LAW

- √ Indicate if the proposal is for study(ies), study involving some physical intervention (e.g. excavation, testing), or work (see "study" and "work" definitions in the glossary).
- √ If study is not strictly related to upcoming works or the works can be decided only after the results of the study, two separate applications have to be submitted, one for works, and one for the study.
- √ If the study is strictly related to the construction or deployment phase, you may prepare one proposal covering both the study and works. In this case, tick both "studies" and "works" in Application Form Part A, Section A1 and in Application Form Part B1, section "Compliance with Community Policy and Law". Then, distinguish clearly in the table in Application Form Part A section A3.3 and in Application Form Part B section 2.5 activities which should be considered as studies or works. This distinction is important as the Commission could decide to separate activities in two or more financing decisions and to grant to the study part of the Action a Community financial aid with a higher co-financing rate.

1. Compliance with Community policy on environmental protection for works

- √ All construction activities and studies implying physical interventions (destructive tests, excavations, any activity related to a Natura 2000 site...) are required to demonstrate their compatibility with Community policy on environment, meaning they have to fill in this section of Application Form Part B1. In particular, applicants must state that all relevant environmental, nature conservation and water bodies have been consulted, and that the project complies with the environment-related European Directives. Proposals for studies which are foreseeing to include the assessment for compliance with Community law should only clarify this and move the next section.

1.3. Environmental Assessment:

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

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

- √ Detailed information on the Council Directive 85/337/EEC¹³ on the assessment of the effect of certain public and private projects (also called the Environmental Impact Assessment, or EIA, Directive) can be found at: <http://ec.europa.eu/environment/archives/eia/eia-legalcontext.htm>
- √ If the Action is covered by the Annex I of the EIA Directive, provide the following documents:
 1. the non-technical summary of the Environmental Impact Assessment carried out for the Action
 2. the information referred to in Article 9 (1) of the Directive: content of the decision (on the granting of the development consent) and any conditions attached thereto; main reasons and considerations on which the decision is based; description, where necessary, of the main measures to avoid, reduce and, if possible, offset the major adverse effects

¹³ As amended by Directive 97/11/EC and Directive 2003/35/EC

3. information on consultations with environmental authorities, the public concerned and, if applicable, with other Member States.
- √ If the Action is covered by the Annex II of the Directive, either (i) provide the information required in above section 1.3.2.2 or (ii) explain why the Environmental Impact assessment has not been carried out and give the thresholds, criteria or case by case examination carried out to reach the conclusion that the Action has no significant environmental effects

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

- √ The text of the Council Directive 2001/42/EC on the assessment of the effects of certain plans and programmes on the environment, known as the Strategic Environmental Assessment Directive (also called the SEA Directive) can be found at:
<http://ec.europa.eu/environment/archives/eia/sea-legalcontext.htm>
- √ If the Action results from a plan or programme falling within the scope of the SEA Directive, provide the documentation as required by Article 9 (b) of the SEA Directive, the non-technical summary of the Environmental Report carried out as required by Article 5 of the SEA Directive, and information on the public consultations carried out with the competent authorities and the public.
- √ If it does not result from such a plan or programme, explain.

1.4. Natura 2000 (Directive 92/43/EEC and Directive 79/409/EEC) :

- √ Information on the Natura 2000 network can be found at:
http://ec.europa.eu/environment/nature/natura2000/index_en.htm
- √ The text of Council Directive 92/43/EEC of 21 May 1992 on the conservation of natural habitats and of wild fauna and flora, known as the Habitats Directive, can be found at:
http://ec.europa.eu/environment/nature/legislation/habitatsdirective/index_en.htm
- √ The text of Council Directive 79/409/EEC on the conservation of wild bird, commonly referred to as the Birds Directive can be found at:
http://ec.europa.eu/environment/nature/legislation/birdsdirective/index_en.htm
- √ If the Action is not expected to have significant negative effects on Natura 2000 sites:
 - Attach a completed Natura 2000 declaration (Annex II-A) filled, signed, stamped and dated by the relevant authority and enclose a map of the area showing the Action and Natura 2000 sites.
- √ If the Action is likely to have significant negative effects on Natura 2000 sites:
 - Provide: a) a summary of the conclusions of the assessment carried out in accordance with the Directive 79/409/EEC and/or Article 6 (3) of Directive 92/43/EEC approved by the environmental authority; b) Annex II-B form filled, signed, stamped and dated; and c) a map of the area showing the Action and Natura 2000 sites at a scale of 1:100.000.

1.5. Additional environmental integration measures

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

1.6. Water Framework Directive

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

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

- √ This section must be filled in for all proposals including construction of rail infrastructure, whether conventional or high speed. All railway Actions must comply with the EC Directives related to interoperability and the different Technical Specifications for Interoperability –TSIs (whether high-speed and / or conventional rail).
- √ Studies must anticipate carrying out the works in line with the EC legislation.
- √ The compliance with the technical specifications is in general compulsory. Should some prescriptions of the TSIs not be respected, explicit reasons must be given by the applicant, which will then be assessed by the Commission. In particular, the applicant must inform of any notification sent to the Commission of an intention to derogate to the TSIs, and of the answer provided by the competent Commission services. These derogations must then be verified by the Commission.
- √ Detailed information on the [Council Directive 96/48/EC](#) of 23 July 1996 (as amended by [Directive 2004/50/EC](#) of 24 April 2004) on the interoperability of the trans-European high-speed rail system and [Council Directive 2001/16/EC](#) on the interoperability of the European conventional rail system can be found at:
<http://europa.eu/scadplus/leg/en/lvb/l24095.htm>
- √ In case some elements of the interoperability specifications are not respected, include information on derogations agreed with the Commission services or pending exemption request(s).
- √ [Directive 2008/57/EC of 17 June 2008](#) will repeal with effect from 19 July 2010 Directive 96/48/EC on the interoperability of the European high-speed rail system as well as Directive 2001/16/EC on the interoperability of the European conventional rail system. Detailed information can be found at:
http://ec.europa.eu/transport/rail/interoperability/interoperability_en.htm
- √ The form must bear the stamp and signature of the appropriate authority.

3. **Compatibility with Community law on State Aids**

- √ All Actions must comply with Articles 87-89 of the [EC Treaty](#),
- √ In particular, save as otherwise provided in this Treaty any aid granted by a Member State or through State resources in any form whatsoever which distorts or threatens to distort competition by favouring certain undertakings or the production of certain goods shall, in so far as it affects trade between Member States, be incompatible with the common market.
- √ In order to be compliant to the Treaty, the applicant shall put into evidence that such aid is granted without discrimination. The following aids, amongst others, may be considered to be compatible with the common market:
 - Aid to promote the economic development of areas where the standard of living is abnormally low or where there is serious underemployment;
 - Aid to promote the execution of an important project of common European interest or to remedy a serious disturbance in the economy of a Member State;
 - Aid to facilitate the development of certain economic activities or of certain economic areas, where such aid does not adversely affect trading conditions to an extent contrary to the common interest.

4. **Compatibility with Community law on Road charging**

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

Annex 4: Guidelines to complete Application Form Part B2

Cover page

The following information is requested on the cover page:

- whether the proposal responds to a call for proposals under the Annual Work Programme, the Multi-Annual Work Programme (and then if it responds to the call for proposals for ERTMS, MoS or ITS), or the European Economic Recovery Plan Work Programme
- the title of the proposed Action, which must be the same as the title indicated in Application Form Part A1
- the 32-digit number of the proposal, as generated by TENtec

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

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

In each section, several questions have to be answered that will provide the basis for the evaluation. The logic of the Application Forms is the same as the logic of the Evaluation Forms used by the evaluators. It is therefore very important to answer all the questions of this Application Form, as the absence of answer will result in a reduced score given by the evaluators for the relevant criteria, diminishing the chances of the proposal to be selected.

1. GENERAL DESCRIPTION OF THE GLOBAL PROJECT

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

1.1. **General outline of the Global Project**

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

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

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

1.3. **Main objectives of the Global Project**

- √ Describe the main objectives of the Global Project

2. DESCRIPTION OF THE ACTION

2.1. **General outline of the Action**

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

2.2. Contribution of the Action to the Global Project

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

2.3. Current situation and main needs addressed by the Action

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

2.4. Main objectives of the Action

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

2.5. Indicators

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

2.6. Description of the Activities of the Action

- √ Give a detailed description of each activity listed in the table "Activities of the Action" (Application Form Part A, Section A3.1).
- √ If the description of one activity is more than 3,500 characters, or if it is deemed appropriate, split the activity in sub-activities.
- √ All activities upon which the success of the Action will depend have to be described in this Application Form, including those which started before the start date of this Action and for which no EC funding is being requested.
- √ Financing can be requested only for activities carried out during the eligible period (i.e. annual call and EERP: starting no earlier than the date of the submission of the proposal - multi-annual call: starting no earlier than 1 January 2009).
- √ Each activity must be clearly detailed from both the technical and organisational point of view. In particular for proposals submitted under the multi-annual and EERP calls for proposals, separating clearly the different activities – with specific milestones, implementation period and costs (as indicated in Application form Part A, Section A3.3) - will help the Commission to focus its support on activities for which Community funding could bring greater benefits.
- √ Include in this description any activities essential for the completion of the Action but which would not be funded by the Community.

2.7. Action plan (graphic representations)

- √ Include graphic representations of the Action (and the Global Project if applicable) project such as GANTT, PERT, and CPM, as appropriate (*insert in the box in the Application Form or attach as an annex*).

2.8. Location of the Action

- √ Attach a map (JPEG, pdf,... format) with the geographic location of the Action at a scale of 1:100.000 (or the nearest possible scale).
- √ Provide in annex any available GIS file with the map representing the Action using one of the following formats:
 - Shapefile
 - ArcInfo coverages
 - DGN (5.x to 8)
 - DWG (Release 12 to AutoCAD 2006)
 - DXF (Release 12 to AutoCAD 2006)
 - PC ArcInfo coverages.

2.9. Overview of the Action

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

This table can be on a couple of pages if needed.

Main Objectives:

- √ List (in bullet point format) the main objectives of the Action (this must be in line with Section 2.4).

Indicators:

- √ List (in bullet point format) the indicators which will show the extent to which the Action is achieving its main objectives (this must be in line with Section 2.5).

Activities

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

Results

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

Milestones

- √ Define (in bullet point format) the milestones associated with each (sub)activity and expected result(s) (this has to be in line with the table "Milestones of the Action" in Application Form Part Section A3.1).
- √ The number of milestones per activity will depend on the complexity of each activity, but normally there should be at least two milestones per activity marking the start and the completion of this activity.
- √ One milestone of each activity will represent the "end event" of the (sub)activity and indicate whether or not the (sub) activity and its expected result have been successfully achieved.
- √ Milestones have to be verifiable and precise.
- √ Non-exhaustive list of examples of milestones:
 - final design plan
 - tender procedure launched / completed
 - signature of contract
 - starting / end of construction works
 - road / railway / river section open for traffic
- √ Intermediate milestones are particularly relevant for multi-annual projects, as they facilitate intermediate payments.

Means of verification

- √ For each milestone, establish which means of verification will be used to verify that the milestone has been reached / completed
- √ Non-exhaustive list of examples of means of verification:
 - acceptance report
 - site control
 - delivery certificate
 - signed contract
 - delivery of documentation

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

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

- √ Clarify if the Action belongs to one of the 30 TEN-T priority projects, as described in Annex III of the TEN Guidelines¹⁴. If so, indicate precisely which section of the priority

¹⁴ Decision n° 1692/96/EC of the European Parliament and of the Council of 23 July 1996 on Community guidelines for the development of trans-European Transport network¹⁴ (hereafter "TEN Guidelines") http://ec.europa.eu/echo/files/about/actors/fpa/single_form_guidelines_final_en.pdf

project this Action will target. If the Action does not belong to a priority project but contributes or links to it, explain how.

- √ If the Action does not belong to a priority project, clarify how it classifies as a project of common interest, as defined in Art. 7 of the TEN Guidelines. In particular, explain how the Action (i) contributes to an element of the network described in Articles 9 to 17 of the TEN Guidelines, (ii) relates to the routes identified on the maps in Annex I of the TEN Guidelines (adding the network map with the indication of the Action is then strongly recommended), and/or (iii) corresponds to the specifications or criteria in Annex II of the TEN Guidelines.
- √ Describe any "network effect" produced by the Action (or the Global Project) by linking with or complementing other TEN-T actions.

3.2 Contribution of the Action to TEN-T priorities

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

3.3 Contribution of the Action to the objectives of the Call for proposals.

- √ Explain how the Action addresses to the objectives, priorities and expected results as specified in the relevant call for proposals.

3.4. Contribution of the Action to the internal market, the cohesion policy and the Lisbon strategy

- √ Explain the expected contribution of the Action (and the Global Project if applicable) to the internal market¹⁵, the cohesion policy¹⁶ and the Lisbon strategy¹⁷.
- √ Explain the expected network benefit at the European level (not at local level).

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

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

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

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

3.7. Cross-border section

- √ This section aims at verifying whether or not any section of the proposed Action corresponds to the definition of cross-border sections of priority projects¹⁸, as detailed at

¹⁵ The single market is about bringing down barriers and simplifying existing rules to enable everyone in the EU - individuals, consumers and businesses - to make the most of the opportunities offered to them by having direct access to 27 countries and 480 million people. Its cornerstones are often said to be the 'four freedoms' - the free movement of people, goods, services and capital.

¹⁶ The economic and social cohesion policy is an expression of solidarity between the EU Member States and regions, aimed at balancing development throughout the EU, reducing structural disparities between regions and promoting equal opportunities for all

¹⁷ The Lisbon Strategy, agreed by the Heads of State or Government at the European Council in Lisbon (March 2000), aims to make the EU the most competitive economy in the world and achieve full employment by 2010

the following link:

http://ec.europa.eu/dgs/energy_transport/grants/doc/2008/ten_t/common/definition_cross_border_sections_en.pdf

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

4. MATURITY OF THE ACTION

4.1. Approval of the Action

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

4.2 Political commitments to the Action (and Global Project)

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

4.3 Public consultation

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

4.4 Readiness / technical maturity of the Action

- √ For studies, demonstrate that the study is well-defined and ready to be launched, and how it will contribute to the subsequent physical implementation of a project.
- √ For works, explain the extent to which the Action is technically ready to be implemented.
- √ Describe the results of any previous or ongoing feasibility or technical studies undertaken for the Action (and, if applicable, for the Global project) and attach these in annex
- √ If relevant, specific technical / technological choices, layout or design should be explained in the feasibility study(-ies).
- √ For projects with high technological value (such as infrastructure crossing natural barriers, intelligent traffic management systems, aerospace initiatives, etc), provide additional information on the foreseen technology and materials.

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

- √ If the Action has already started, indicate the current status of the implementation.

4.5. Building permits

- √ Provide a full list of sections/parts of the Action, as described in section 2.5, for which a separate building permit procedure must be obtained.
- √ Complete the table, indicating in the first column the subject of each individual procedure and a concise description of the geographical extension and/or the kind of works concerned. Code numbers must be avoided.

4.6 Procurement

- √ Specify which procurement method has been selected for which part of the Action, and the status of the procurement preparation.
- √ The status of the contract preparation is a good measure of the Action's maturity. Explain the typology of contracts and the current status of the most important ones.

4.7. Pending legal/administrative/technical issues

- √ Describe any problems of a legal/administrative/technical/other nature which remain to be settled before activities can start (e.g. specification still to be granted, legal proceedings against the building permit)

4.8. Potential future obstacles to the Action

- √ Describe any issues which could block or slow down the Action, and measures foreseen to address these.

5. FINANCIAL INFORMATION

5.1 Funding sources

- √ For each funding source listed in the tables in Application Form Part A section A3.2, describe the nature and legal status of the funds. You may add rows, as appropriate. Specify the relevant legal basis, the modalities of budget allocation, the timing of the funds.
- √ Specify if the financing is secured and comment. For any sources which are not fully secured, describe in detail the current status.
- √ If a specific financing scheme exists (for example for on-board ERTMS equipment), describe its modalities and in which way it is compatible with State aid rules.

5.2. Other sources of Community funding

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

5.3 Public-private partnership

- √ Describe decisions taken regarding a public-private partnership approach (e.g. concession award, availability payment scheme) or the measures to be taken to examine the feasibility of such an approach.
- √ If the Action will only receive public financing, describe the underlying reasons. In particular, the applicant should explain if a Public-Private Partnership model has been considered, and, if so, why it has been rejected.
- √ If applicable, describe the revenues generated by the Action (tolls, user charges, revenues from commercial or other use, contributions from third parties etc.).
- √ Provide the financial forecasts of these revenues and describe the risks and uncertainties associated with these projected revenues.
- √ Explain how these revenues will be managed (public, private, or mixed management organisation),
- √ If no tariffs or charges are planned, explain how operating and maintenance costs will be covered.

6. IMPACT OF THE ACTION

6.1 Ex-ante evaluation(s)

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

6.2. Financial analysis

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

- √ As the Commission strongly encourages harmonised procedures, it supported a study for "Harmonised European Approaches for Transport Costing and Project Assessment" – HEATCO, which is available at the following site:
<http://heatco.ier.uni-stuttgart.de/>

6.3. Social and economic impact

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

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

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

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

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

6.6. Impact on competition

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

6.7. Impact on the environment

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

7. QUALITY OF THE ACTION

7.1 Organisational structure

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

7.2 Control procedures and Quality Management

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

7.3 Risk management

- √ Explain the main features of the risk management plan. Describe the main risks / factors of uncertainty / major elements of complexity of the Action / externalities which may affect the implementation of the Action, whether political, institutional, financial, organisational, social, technical.
- √ Explain how these risks will be mitigated. Explain the main features of any contingency plan available.

7.4 Monitoring and audit(s)

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

7.5. Breakdown of eligible costs

- √ For each activity, provide a breakdown of the eligible costs, as indicated in Table 3.3 of Application Form Part A. If appropriate, this breakdown can be done at sub-activity level. At the minimum, provide the budgeted cost of external contracts. Other costs could be direct staff costs, equipment, audit...
- √ Insert a table in the Application Form section 7.5., or attach an annex, as appropriate

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

- √ Article 17 par 3 of the TEN Regulation states: "The Member States concerned and, where appropriate, beneficiaries shall ensure that suitable publicity is given to aid granted under this Regulation in order to inform the public of the role of the Community in the implementation of the projects".
- √ Describe the communication plan and strategy developed to provide visibility to the (possible) TEN co-financing (billboards, reports, websites, brochures, information leaflets, reports, factsheets, newsletters, press articles, presentations ...)
- √ Consult the document "Publicity Requirements for Beneficiaries" at the following link (*to be provided*):

7.7. Other information

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

8. ANNEXES

- √ List and number all the annexes attached to the Application Form.