



**CALL FOR PROPOSALS CONCERNING PROJECTS OF COMMON INTEREST UNDER THE  
CONNECTING EUROPE FACILITY IN THE FIELD OF TRANS-EUROPEAN TRANSPORT NETWORK  
MULTI-ANNUAL WORK PROGRAMME 2014-2020  
CEF TRANSPORT 2019 - GENERAL ENVELOPE  
ON THE BASIS OF THE COMMISSION IMPLEMENTING DECISION C(2019)7303 OF 16  
OCTOBER 2019 – ANNEX I**

**Pre-identified projects on the Core Network**

**Safe and secure infrastructure, including safe and secure parking on the road core  
network**

**Intelligent Transport Services for road (ITS)**

**Single European Sky – SESAR**

**Actions implementing transport infrastructure in nodes of the core network, including  
urban nodes (passengers transport)**

**Motorways of the Sea (MoS)**

**1. SUBJECT**

In the context of the Connecting Europe Facility (CEF)<sup>1</sup> and on the basis of the multi-annual work programme<sup>2</sup>, a call for proposals is launched under the general envelope of the CEF.

This call for proposals addresses the following objectives of the CEF Regulation<sup>3</sup>:

- Funding Objective 1: bridging missing links, removing bottlenecks, enhancing rail interoperability, and, in particular, improving cross-border sections;
- Funding Objective 2: ensuring sustainable and efficient transport systems in the long run, with a view to preparing for expected future transport flows, as well as enabling all modes of transport to be decarbonised through transition to

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<sup>1</sup> Regulation (EU) No 1316/2013 of the European Parliament and of the Council of 11 December 2013 establishing the Connecting Europe Facility, amending Regulation (EU) No 913/2010 and repealing Regulations (EC) No 680/2007 and (EC) No 67/2010, OJ L 348 of 20.12.2013, p.129.

<sup>2</sup> Commission Implementing Decision C(2019)7303 of 16 October 2019 amending Commission Implementing Decision C(2014) 1921 establishing a Multi-Annual Work Programme 2014-2020 for financial assistance in the field of Connecting Europe Facility (CEF) - Transport sector for the period 2014-2020.

<sup>3</sup> Regulation (EU) No 1316/2013



- innovative low-carbon and energy-efficient transport technologies, while optimising safety; and
- Funding Objective 3: optimising the integration and interconnection of transport modes and enhancing the interoperability of transport services, while ensuring the accessibility of transport infrastructures.

Where appropriate, applicants to this call are encouraged to deploy and use CEF Digital building blocks.<sup>4</sup>

## **2. PRIORITIES**

This call for proposals addresses a number of priorities, as described in sections 3.1 to 3.3 of the multi-annual work programme, falling within one of the Funding Objectives of the CEF Regulation outlined above:

Funding Objective 1:

- Pre-identified projects on the Core Network

Funding Objective 2:

- Safe and secure infrastructure, including safe and secure parking on the road core network

Funding Objective 3:

- Intelligent Transport Services for road (ITS)
- Single European Sky – SESAR
- Actions implementing transport infrastructure in nodes of the core network, including urban nodes (passengers transport)
- Motorways of the Sea

This call for proposals also aims at accelerating the deployment of technologies which have been developed, tested and validated by projects funded under EU's research programmes, notably by the Horizon 2020 programme<sup>5</sup>.

### **2.1 Further specifications**

#### **2.1.1 Cost-Benefit Analysis cash flow template**

To facilitate the assessment of proposals including a Cost-Benefit Analysis, as described in section 6 of the work programme and section 7.3 below, applicants shall also fill in and submit the CBA cash flow template available on the call website.

#### **2.1.2 Single European Sky – SESAR funding priority**

In addition to the provisions of the work programme (section 3.3.2), the following specifications shall apply to the SESAR funding priority.

Subject to the publication of the relevant EUROCAE ED-133 updated standard, actions under this priority shall support the deployment of a subset of Flight Objects Interoperability

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<sup>4</sup> <https://ec.europa.eu/cefdigital/wiki/display/CEFDIGITAL/Building+Blocks>

<sup>5</sup> <https://ec.europa.eu/programmes/horizon2020/en>

functionalities (including inter-centres mechanisms) included in the families 5.3, 5.4, 5.5 or 5.6 of the Deployment Programme<sup>6</sup> for the Pilot Common Project<sup>7</sup>, as a first building block for full deployment of Flight Objects Interoperability.

To avoid a fragmented approach to deployment of the above-mentioned functionalities and to ensure alignment of national industrialisation and implementation activities, the proposed action shall be submitted as a multi-stakeholder synchronised implementation project involving at least two different Member States and at least two different Flight Data Processing systems. The project shall be coordinated by the SESAR Deployment Manager<sup>8</sup> and shall aim to improve cross-border operations between at least two Member States.

Grants shall only be awarded to support coordination activities and stakeholders that present local negative business cases in deploying the above-mentioned Flight Objects Interoperability functionalities.

Funding shall not be granted for Actions or parts of Actions addressing obligations under Union Law, in particular relating to the SES, whose deadline for implementation has expired by the date on which this call is published. In any case, costs for addressing obligations under Union Law, in particular relating to the SES shall not be eligible after the deadline for implementation of these obligations.

### **2.1.3 Actions implementing transport infrastructure in nodes of the core network, including urban nodes (passengers transport) funding priority**

In addition to the provisions of the work programme (section 3.3.3), the following specifications shall apply to this funding priority.

Regarding missing links and / or bottlenecks within and between transport modes of the TEN-T in urban nodes, priority shall be given to:

- Connections from city centre to airports, such as rail, light rail, tramway, subway, bus;
- Interchange facilities between long-distance networks (such as automated people mover, terminal adaptation e.g. ‘kiss-and-ride’ zones etc).

Regarding integrated public multi-modal transport solutions and multimodal transport hubs for passengers, in addition to ‘hard’ infrastructure actions, ‘soft’ measures (such as digitalisation, Mobility as a Service (MaaS), integrated ticketing, multimodal journey planner etc) may be supported provided they are subsidiary elements of a wider action.

### **2.1.4 Motorways of the Sea funding priority**

In addition to the provisions of the work programme (section 3.3.4), priority under Motorways of the Sea shall be given to Actions addressing one or a combination of the following objectives:

- Measures concerning the provision of alternative fuels or energy in ports,
- The establishment of a new maritime link (i.e. an alternative short sea shipping route) or the upgrade of an existing maritime link.

Actions aiming at the implementation of new facilities and technologies regarding the provision and use of alternative fuels (e.g. LNG bunkering facilities for vessels, shore-side

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<sup>6</sup> <https://www.sesardeploymentmanager.eu/wp-content/uploads/2019/02/Sesar-Deployment-Programme-edition-2018-FINAL.pdf>

<sup>7</sup> Commission Implementing Regulation (EU) N° 716/2014.

<sup>8</sup> Article 9, Commission Implementing Regulation (EU) N° 409/2013 (<https://www.sesardeploymentmanager.eu/>).

electricity provision) must be in line with Directive 2014/94/EU. These Actions must involve coordinated investments in at least two EU core or comprehensive ports and benefit the maritime industry widely at either a regional or EU level.

Actions related to the upgrade or establishment of maritime links must involve at least two EU ports (two core ports or one core and one comprehensive port) from at least two EU Member States connected by a regular short sea shipping service. The application must include a letter of support from a maritime operator attesting the (intended) usage of the maritime route.

The maritime link related investments in ports must focus on the alleviation of congestion and/or reduction of the environmental impact of land transport, namely by:

- Improving the connectivity with the ports' hinterland,
- Reducing the bottlenecks within the maritime ports, including basic maritime infrastructure,
- Development of infrastructure for direct land and sea access including capital dredging,
- Construction of port reception facilities for oil and other waste, including residues from exhaust gas cleaning systems,
- Improvement of port handling capacity, e.g. through the construction or upgrade of freight and passenger terminals, investments in customs, phytosanitary, immigration or security measures but excluding mobile superstructures, car parks and warehouses,
- Improvement of the logistics chain processes, with seamless connectivity of the door-to-door chain.

Should the upgrade of the existing link or establishment of a new MoS service not be implemented by the end of a co-funded project, the European Commission reserves the right to revoke, reduce or recover part of the grant accordingly.

## **2.2 Type of Actions**

A proposal must address studies or works within the meaning of Article 2(5) and (6) of the CEF Regulation. Proposals may not combine studies and works.

## **2.3 Cross-cutting priorities**

Where applicable as part of a broader project of common interest, proposed Actions may include activities for the adaptation of TEN-T infrastructure to ensure the continuity of bicycle infrastructure for long-distance cycling paths such as the EuroVelo routes. These activities may include relevant adaptation of traffic signaling systems or the addition of infrastructure dedicated to cyclists and pedestrians, such as tunnels, bypasses, bridges, aerial cycling and walkways and protected cycling paths. They may cover activities extending along TEN-T routes or at crossings between TEN-T routes and long-distance cycling paths.

In combination with other works activities, in particular for railway stations and transport chains, e.g. accessible multi-modal terminals, the scope of the proposed Actions may include activities for improved accessibility to transport infrastructure for persons with disabilities and persons with reduced mobility according to Article 10 (2)(b)(v) of the CEF Regulation.

Increasing the opportunities for private investment to support TEN-T projects is an overarching objective of the CEF Transport programme. For all priorities under this call, in addition to specific objectives, priority will also be given to projects that include the use of private finance, in particular the financial instruments available through the European Fund

for Strategic Investments, developed by the Commission and implemented by the European Investment Bank.

### 3. RESULTS EXPECTED FROM THE FINANCIAL ASSISTANCE

The results expected under this call are defined in section 1.4 of the multi-annual work programme.

### 4. INDICATIVE BUDGET

The indicative amount to be allocated on the basis of this call for proposals to projects of common interest in these specified areas is EUR 700 million:

Funding Objective 1: EUR 500 million

- Pre-identified projects on the Core Network: EUR 500 million

Funding Objective 2: EUR 20 million

- Safe and secure infrastructure, including safe and secure parking on the road core network: EUR 20 million

Funding Objective 3: EUR 180 million

- Intelligent Transport Services for road (ITS): EUR 20 million
- Single European Sky – SESAR: EUR 20 million
- Actions implementing transport infrastructure in nodes of the core network, including urban nodes (passengers transport): EUR 110 million
- Motorways of the Sea: EUR 30 million

Budget transfers among priorities within the same funding objective under the multi-annual work programme are permitted.

### 5. TIMETABLE

Date of publication of call for proposals	16 October 2019
Deadline for the submission of proposals	26 February 2020 (17:00:00 Brussels time)
Deadline for the submission of translations (if applicable)	4 March 2020
Evaluation of proposals	February 2020 - June 2020 (indicative)
Consultation of CEF Coordination Committee; information of European Parliament	July 2020 (indicative)
Adoption of Selection Decision	July 2020 (indicative)
Preparation and signature of individual grant	As of July 2020 (indicative)

agreements	
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## 6. ADMISSIBILITY REQUIREMENTS

Proposals **must be:**

- submitted electronically in the TENtec Information System eSubmission module. In this respect, proposals or part(s) of proposals submitted by email or in hard copy shall not be admissible.
- submitted by the deadline for submission of proposals (*see sections 5. "Timetable" and 14.2. "Submission process"*).
- complete (i.e. application form (A, B, C and D) are uploaded in the TENtec).
- duly signed by the applicant(s).

Failure to comply with any of these requirements will lead to the rejection of the application.

## 7. ELIGIBILITY CRITERIA

### 7.1 Eligible applicants

#### General eligibility criteria

Pursuant to Article 9 of the CEF Regulation, only those proposals submitted by one of the following types of applicants are eligible:

- One or more Member States; and/or
- With the agreement of the Member State(s) concerned, international organisations, joint undertakings, or public or private undertakings or bodies established in an EU Member State.



For British applicants: Please be aware that eligibility criteria must be complied with for the *entire* duration of the grant. If the United Kingdom withdraws from the EU during the grant period without concluding an agreement with the EU ensuring in particular that British applicants continue to be eligible, you will cease to receive EU funding (while continuing, where possible, to participate) or be required to leave the project on the basis of Article II.16.3.1 (a) (*change of the legal situation of the beneficiary*) of the grant agreement.

### **Neighbouring/third countries and entities established in neighbouring/third countries**

Neighbouring/third countries and entities established in neighbouring/third countries may participate in actions contributing to projects of common interest where necessary in order to achieve the objectives of a given project of common interest. They may not receive financial assistance except where it is indispensable to the achievement of the objectives of a given project of common interest.

In such cases and pursuant to Article 8(1) of the TEN-T Guidelines<sup>9</sup>, applications may be presented by neighbouring/third countries or entities established in neighbouring/third countries, with the agreement of a Member State concerned.

### **Applicants without legal personality**

Proposals may be submitted by entities which do not have legal personality under the applicable national law, provided that their representatives have the capacity to undertake legal obligations on their behalf and offer guarantee for the protection of the Union's financial interests equivalent to that offered by legal persons.

### **Natural persons**

Proposals submitted by natural persons are not eligible.

### **Affiliated entities**

Applicants may designate affiliated entities within the meaning of Article 187 of the Financial Regulation, for the purpose of supporting the implementation of the action submitted for funding. Such affiliated entities must comply with the eligibility criteria for applicants as specified in this section.

### **Member State agreement**

Any applicant that cannot provide the agreement of the Member State(s) concerned shall not be eligible.

## **7.2 Exclusion criteria<sup>10</sup>**

An applicant will be excluded from participating in the call for proposals procedure if it is in any of the following situations:

- a) the applicant is bankrupt, subject to insolvency or winding up procedures, its assets are being administered by a liquidator or by a court, it is in an arrangement with creditors, its business activities are suspended or it is in any analogous situation arising from a similar procedure provided for under national legislation or regulations;
- b) it has been established by a final judgement or a final administrative decision that it is in breach of its obligations relating to the payment of taxes or social security contributions in accordance with applicable law;
- c) it has been established by a final judgement or a final administrative decision that it is guilty of grave professional misconduct by having violated applicable laws or regulations or ethical standards of the profession to which the applicant belongs, or by having engaged in any wrongful intent or gross negligence, including, in particular, any of the following:
  - i. fraudulently or negligently misrepresenting information required for the verification of the absence of grounds for exclusion or the fulfilment of selection criteria or in the performance of a contract, a grant agreement or a

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<sup>9</sup> Regulation (EU) No 1315/2013 of the European Parliament and of the Council of 11 December 2013 on Union guidelines for the development of the trans-European transport network and repealing Decision No 661/2010/EU, OJ L 348 of 20.12.2013, p.1.

<sup>10</sup>Articles 136,137,139,141,142 and 225 of the Regulation (EU, Euratom) 2018/1046 of the European Parliament and of the Council of 18 July 2018 on the financial rules applicable to the general budget of the Union (Financial Regulation) are applicable.

- grant decision;
  - ii. entering into agreement with other persons with the aim of distorting competition;
  - iii. violating intellectual property rights;
  - iv. attempting to influence the decision-making process of the Agency during the award procedure;
  - v. attempting to obtain confidential information that may confer upon it undue advantages in the award procedure;
- d) it has been established by a final judgement that it is guilty of the following:
- i. fraud, within the meaning of Article 3 of Directive (EU) 2017/1371 of the European Parliament and of the Council and Article 1 of the Convention on the protection of the European Communities' financial interests, drawn up by the Council Act of 26 July 1995;
  - ii. corruption, as defined in Article 4(2) of Directive (EU) 2017/1371 or Article 3 of the Convention on the fight against corruption involving officials of the European Communities or officials of EU Member States, drawn up by the Council Act of 26 May 1997, or conduct referred to in Article 2(1) of Council Framework Decision 2003/568/JHA, or corruption as defined in the applicable law;
  - iii. conduct related to a criminal organisation, as defined in Article 2 of Council Framework Decision 2008/841/JHA;
  - iv. money laundering or terrorist financing within the meaning of Article 1(3), (4) and (5) of Directive (EU) 2015/849 of the European Parliament and of the Council;
  - v. terrorist offences or offences linked to terrorist activities, as defined in Articles 1 and 3 of Council Framework Decision 2002/475/JHA, respectively, or inciting, aiding, abetting or attempting to commit such offences, as referred to in Article 4 of that Decision;
  - vi. child labour or other forms of trafficking in human beings as referred to in Article 2 of Directive 2011/36/EU of the European Parliament and of the Council;
- e) the applicant has shown significant deficiencies in complying with the main obligations in the performance of a contract, a grant agreement or a grant decision financed by the Union's budget, which has led to its early termination or to the application of liquidated damages or other contractual penalties, or which has been discovered following checks, audits or investigations by an Authorising Officer, OLAF or the Court of Auditors;
- f) it has been established by a final judgment or final administrative decision that it has committed an irregularity within the meaning of Article 1(2) of Council Regulation (EC, Euratom) No 2988/95;
- g) it has been established by a final judgement or final administrative decision that the applicant has created an entity in a different jurisdiction with the intent to circumvent fiscal, social or any other legal obligations of mandatory application in the jurisdiction of its registered office, central administration or principal place of business;



- h) it has been established by a final judgement or final administrative decision that an entity has been created with the intent referred to in point (g);
- i) for the situations referred to in points (c) to (h) above, the applicant for the is subject to:
  - i. facts established in the context of audits or investigations carried out by the Court of Auditors, OLAF or internal audit, or any other check, audit or control performed under the responsibility of an authorising officer of an EU institution, of a European office or of an EU agency or body;
  - ii. non-final administrative decisions which may include disciplinary measures taken by the competent supervisory body responsible for the verification of the application of standards of professional ethics;
  - iii. facts referred to in decisions of persons or entities being entrusted with EU budget implementation tasks;
  - iv. information transmitted by Member States implementing Union funds;
  - v. decisions of the Commission relating to the infringement of the Union's competition rules or of a national competent authority relating to the infringement of Union or national competition law; or
  - vi. decisions of exclusion by an authorising officer of an EU Institution, of a European office or of an EU agency or body.

### **Remedial measures**

If an applicant/affiliated entity declares one of the situations of exclusion listed above, it should indicate the measures it has taken to remedy the exclusion situation, thus demonstrating its reliability. This may include e.g. technical, organisational and personnel measures to prevent further occurrence, compensation of damage or payment of fines. The relevant documentary evidence which illustrates the remedial measures taken must be provided in annex to the declaration. This does not apply for situations referred in point (d) above.

### **Rejection from the call for proposals**

Grants will not be awarded to applicants who:

- a) are in an exclusion situation established in accordance with the list above;
- b) have misrepresented the information required as a condition for participating in the procedure or has failed to supply that information; or
- c) were previously involved in the preparation of calls for proposal documents where this entails a distortion of competition that cannot be remedied otherwise.

These same exclusion criteria also apply to affiliated entities. Applicants and their affiliated entities, if applicable, must certify that they are not in one of the situations listed above.

Administrative sanctions may be imposed on applicants, or affiliated entities where applicable, if any of the declarations or information provided as a condition for participating in this procedure prove to be false.

## **7.3 Eligible Actions**

### General eligibility criteria

Only actions which can be identified as projects of common interest as defined in Article 7 of the TEN-T Guidelines and which address pre-identified projects or horizontal priorities listed in Part I of Annex I of the CEF Regulation are eligible under this call.

Concerning inland ports, core inland ports, as identified in Annex II point 2 of the TEN-T Guidelines, and all inland ports located on a pre-identified section on Core Network Corridor, as stipulated in Annex I, Part I point 2 of the CEF Regulation, are eligible under this call.

Concerning roads, only Actions located in Member States with no railway network established in their territory or located in Member States, or part thereof, with an isolated network without long-distance rail freight transport, may be funded.

Concerning maritime ports, all core maritime ports, as identified in Annex II point 2 of the TEN-T Guidelines are eligible under this call.

For proposals submitted under the priority "Urban Nodes" (section 3.3.3 of the work programme) proposals must be located in one (or several) of the nodes listed in Annex II part 1 of the TEN-T Guidelines and/or those listed in Annex II part 2 of the TEN-T Guidelines which are located on a Core Network Corridor.

For proposals submitted under the priority "Motorways of the Sea" (section 3.3.4 of the work programme), proposals must include applicants from (and be supported by) a minimum of two different Member States.

In addition, proposals that address the upgrade or establishment of a maritime link, must relate, at least, to either two EU core ports or one core and one comprehensive port located in two different Member States, as identified in Annex II point 2 of the TEN-T Guidelines,. Such link may also be extended to a core or comprehensive port of a neighbouring country<sup>11</sup> without prejudice to fulfilling the above requirement.

#### Cross-border sections

Actions involving a cross-border section or a part of such a section shall be eligible to receive Union financial assistance only if there is a written agreement between the Member States concerned, or between the Member States and neighbouring/third countries concerned by the completion of the cross-border section.

#### Twinned proposals

If a multi-applicant proposal concerns an Action for which some parts are entitled to funding under the Cohesion Fund envelope and other parts under the general CEF Transport envelope, the application must be split and each part submitted separately under the relevant Cohesion call or General call. The proposal code or application number and the title of the twinned proposal must be cross-referenced in order to allow clear identification of the two parts in the appropriate part of the application form. Twinned proposals will be evaluated jointly to appreciate their common EU added value.

#### Cost Benefit Analysis/Cost Effectiveness Analysis

Pursuant to Article 10 of the CEF Regulation and in view of assessing the socio-economic and financial viability, all proposals for works, must be accompanied by a Cost-Benefit Analysis (CBA), presented as a stand-alone document, clearly identified as such, proposing the co-funding rate requested for the action, while taking into account the maximum funding rates provided in the CEF Regulation.

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<sup>11</sup> According to Commission Delegated Regulation (EU) 2016/758 of 4 February 2016

Proposals submitted under the priority "Intelligent Transport Services for road (ITS)" can replace a full Cost-Benefit Analysis by a Cost-Effectiveness Analysis (CEA).

Proposals submitted under "Safe and secure infrastructure", as long as they only address the implementation of standards laid down in the existing EU legislation, can also replace a full Cost-Benefit Analysis by a Cost-Effectiveness Analysis (CEA).

Proposals submitted under the Single European Sky – SESAR priority shall submit CBAs prepared for the specific Actions proposed and not the CBA of the Pilot Common Project (PCP).

The use of the Cohesion Policy methodology for Cost-Benefit Analysis is recommended.

For projects generating net revenue, the Cost-Benefit Analysis shall be followed by a calculation of the "funding gap" describing, in a clear and concise manner, the share of the Action's costs that is not covered by net revenue. The modulated co-funding to be requested shall be the lowest of the following: (i) funding gap amount; (ii) the co-funding amount.

The CBA cash flow template indicated in section 2.1.2 above does not substitute the Cost-Benefit Analysis.

Pursuant to Article 22(3) of the CEF Regulation, with a view to monitoring the achievement of climate-change objectives, selected proposals subject to CBA may be designated on the basis of a sampling method to perform an ex-post climate change impact assessment of the proposed Action. For this purpose, applications for works should include an estimate of the costs of such climate change impact assessment. These costs will be considered as studies and will benefit from a co-funding rate of up to 50%. The payment of the balance after the completion of the Action will be conditional upon the submission of the completed climate change impact assessment.

## **8. SELECTION CRITERIA**

The selection criteria are detailed in section 6b of the multi-annual work programme. The operational and financial capacity of applicants will be assessed as specified below.

The need to demonstrate financial and operational capacity **does not** apply to applicants which are:

- a Member State,
- a neighbouring/third country,
- a public sector body established in the EU (i.e. regional or local authority, body governed by public law or association formed by one or several such authorities or one or several such bodies governed by public law),
- international organisation<sup>12</sup>,
- a European Economic Interest Grouping (EEIG) established in line with Council Regulation (EEC) N° 2137/85 of 25 July 1985, in which at least one member is a public body, or
- a Joint Undertaking in line with eligibility criteria established under Article 187 of the Treaty on the Functioning of the European Union.

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<sup>12</sup> As per article 156 of the Financial Regulation

The requirement to demonstrate operational and financial capacity also applies to affiliated entities **only where**, according to the proposal, the affiliated entity(ies) will be the only one(s) implementing the proposed Action.

### **8.1 Financial capacity**

The applicant(s) must have stable and sufficient sources of funding to maintain the proposed activities throughout the period during which the action is being carried out and to participate in its funding.

Together with the application, applicant(s) whose requested amount exceeds EUR 750,000 must provide their financial statements certified by an external auditor for the last financial year for which the accounts have been closed.

If an applicant has been operating for less than one financial year, the financial statements may be replaced by a letter of support obtained from a third party (e.g. the applicant's parent company) or by another applicant of the proposed Action, accompanied by the financial statements of the party providing the support. The template for such letter of support is available in the form to be completed for the financial capacity check.

### **8.2 Operational capacity**

The applicant(s) must have the operational and technical competencies and capacity required to complete the Action for which the grant is sought and must provide appropriate documents and information attesting to that capacity, such as:

- description of the profile of the people primarily responsible for managing and implementing the operation (e.g. accompanied by curriculum vitae);
- the organisations' activity reports for at least the last year;
- a list of previous Actions and activities performed in the field of TEN-T infrastructure Actions of the same kind;
- an inventory of the technical equipment, tools or facilities and patents at the disposal of the applicant and relevant for the Action.

If compliant with the abovementioned requirements, the information submitted by applicants who benefited from TEN-T support as from 2004 or CEF support as from 2014 may be taken into account in the evaluation of these applicants' operational capacity.

## **9. AWARD CRITERIA**

Proposals failing to comply with the admissibility and/or eligibility criteria will not be further evaluated.

The award criteria are specified in Section 6c of the multi-annual work programme. For the purpose of the evaluation, these criteria are specified as follows:

- **Relevance.** This refers to the contribution of the proposed Action to the TEN-T priorities as laid out in the TEN-T Guidelines, the funding priorities as laid down in the CEF Regulation and specific priorities and objectives described in the work programme and addressed by the call for proposals.

In addition, the following aspects will be assessed under relevance:

- the European added-value as defined in point (d) of Article 3 of the TEN-T Guidelines;
  - the cross-border dimension, when applicable;
  - removal of bottlenecks, enhancing rail interoperability, bridging missing links and improving cross-border sections as stipulated in the CEF Regulation;
  - contribution to innovation, digitalisation, sustainable transport and decarbonisation.
  - where applicable, multimodal integration and interoperability will also be considered as part of the relevance of the proposed Action.
- **Maturity.** This refers to the state of preparation of the proposed Action and the readiness to start the implementation of the proposed activities. This will be determined by the degree of financial maturity and completion of preparatory steps as well as the conditions required for the start of the proposed Action. Proposed Actions that have received political commitments, completed a number of administrative procedures and committed financial resources, as well as proposed Actions which involve the final steps of implementation, can be considered as demonstrating strong maturity. Maturity will also be evidenced by low uncertainty/risks about the start of the Action. In particular, the maturity of the Action in the project development will be assessed. Proposed Actions should be ready to start, at the latest, within six months after the closure of the call and shall be completed by 31 December 2023 at the latest.
  - **Impact.** This refers to the expected effect of the EU financial support on the financial viability of an economically and socially desirable investment. An assessment will be made of the impact of the financing plan to drive the most efficient use of EU financial support. This assessment will be based on the information included in the application, and when applicable, the socio-economic Cost-Benefit Analysis (CBA), including the CBA cash flow template, the financial analysis required in the Cost-Benefit Analysis, and the information supporting the calculation of the funding gap. For studies, the use of the study as a decision-making tool and its impact in terms of policy-making and best practices will also be assessed under this criterion.

In particular, the following aspects will be assessed:

- Stimulating effect of the Union support on public and private investment, when applicable;
  - The need to overcome financial obstacles, such as the lack of market finance;
  - The economic, social, climate and environmental impact, and accessibility, as applicable.
- **Quality.** This refers to the soundness of the proposed Action. This will be determined by the coherence between the objectives of the proposed Action, the proposed activities, the planned resources, and the appropriateness of the project management processes. Under this criterion, the capacity for the Action to be completed in accordance with the proposed timeline, implementation plans and the technical specifications will be assessed. In particular, the soundness of the implementation plan proposed will be assessed. Other aspects related to the quality of the proposed Action include the soundness of control procedures, quality management and risk management during the implementation of the proposed Action; plans for monitoring, evaluation and internal/external audit of the proposed Action, and publicity regarding the financial support from the CEF. Additionally, the completeness and clarity of the

information provided by the applicant(s) will also be taken into account during the assessment of this criterion.

Applicants are requested to answer to all the applicable questions in the application forms in order to provide relevant information for assessing the above blocks of award criteria.

Each block of award criteria will be given a score on a scale from 0 (insufficient) to 5 (excellent). A proposal must obtain at least 3 points for each block of award criteria to be recommended for funding.

When it is considered that a proposal is more relevant to a priority or sub-priority other than that under which it was submitted, the Commission services may propose to transfer the proposal to the priority or sub-priority in question. Such transfer is only carried out during the phase of evaluation of the proposals provided that: (i) the proposal is eligible under the conditions of the funding priority to which it is proposed to be transferred; and (ii) there is written agreement of the applicant(s). In such case, the funding conditions of the funding priority to which a proposal has been transferred shall apply. Such transfer shall not include any other modifications in the proposal. The transfer of a given proposal does not prejudice the results of its evaluation.

## **10. FINAL SELECTION PROCESS**

During the final selection process, the Commission will in particular take into account the following aspects, as appropriate:

- The contribution of the proposed Action to the balanced development of the network,
- The complementarity of the proposed Action with other Union funded projects, in view of optimising the impact of investments already made in the region/country/global project,
- The comparative Union added value of the proposed Action in relation to other proposed Actions,
- Any identified/identifiable risks of double-funding from other Union sources,
- Budgetary constraints.

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

In addition to the list of proposals selected for funding, the Commission may establish and include in its Selection Decision a reserve list of proposals which it may subsequently decide to fund should budget become available. In that case, proposals on the reserve list would be ranked based on the criteria in sections 9 and 10 as appropriate.

## **11. COMPLIANCE WITH EU LAW**

In accordance with Article 23 of the CEF Regulation, only actions in conformity with EU law and which are in line with the relevant EU policies, in particular, in the areas of

interoperability, environmental protection<sup>13</sup>, competition and public procurement, shall be financed.

## **12. FINANCIAL PROVISIONS**

### **12.1 General principles**

#### *12.1.1 Non-cumulative award*

An action may only receive one grant from the EU budget.

Under no circumstances shall the same costs be financed twice by the Union budget. To ensure this, applicants shall indicate in the grant application the sources and amounts of Union funding received or applied for the same action or part of the action or for its (the applicant's) functioning during the same financial year as well as any other funding received or applied for the same action.

In that respect, any proposed Action or part thereof that receive or have already received EU funding under the CEF or other EU Programmes (i.e. TEN-T, Marco Polo II, Cohesion Fund, FP7, Horizon 2020, ESIF, etc.) will not be funded under this call.

#### *12.1.2 Non-profit principle*

For projects generating income, the no-profit principle applies, as defined in Article 192 of the Financial Regulation.

#### *12.1.3 Non-retroactivity principle*

A grant may be awarded for an action which has already begun only where the applicant can demonstrate in the grant application the need to start the action before the grant agreement is signed.

In such cases, costs eligible for financing may not have been incurred prior to the date of submission of the grant application.

### **12.2 Funding form**

Grants to be awarded further to this call for proposals will take the form of reimbursement of a specified proportion of the eligible costs actually incurred.

#### *12.2.1 Co-funding rates*

In line with Article 10(2) of the CEF Regulation, the EU financial assistance to be granted under this call for proposals cannot exceed the rates referred to in section 5.1 of the multi-annual work programme:

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<sup>13</sup> In particular, but not limited to: the EIA (Directive 2011/92/EU of the European Parliament and of the Council on the assessment of the effects of certain public and private projects on the environment, OJ L 26, 28.1.2012), SEA (Directive 2001/42/EC on the assessment of the effects of certain plans and programmes on the environment, OJ L 197, 21.7.2001), Habitats (Directive 92/43/EEC on the conservation of natural habitats and of wild fauna and flora, OJ L206, 22.7.1992, p.7) and Birds Directives (Directive 2009/147/EC of the European Parliament and of the Council of 30 November 2009 on the conservation of wild birds, OJ L 20, 26.1.2010, p.7), as well as the Water Framework Directive (Directive 2000/60/EC of the European Parliament and of the Council establishing a framework for Community action in the field of water policy, OJ L 327, 22.12.2000, p.1)

(a) with regard to grants for studies, 50% of the eligible costs;

(b) with regard to grants for works:

- (i) for railway networks, and road networks in the case of Member States with no railway network established in their territory or in the case of a Member State, or part thereof, with an isolated network without long-distance rail freight transport: 20 % of the eligible costs; the funding rate may be increased to a maximum of 30 % for Actions addressing bottlenecks and to 40 % for Actions concerning cross-border sections and Actions enhancing rail interoperability;
- (ii) for inland waterways: 20 % of the eligible costs; the funding rate may be increased to a maximum of 40 % for Actions addressing bottlenecks and to a maximum of 40 % for Actions concerning cross- border sections;
- (iii) for inland transport, including connections to inland and maritime ports and airports, safe and secure infrastructure, including safe and secure parking, as well as the development of ports and of urban nodes: 20% of the eligible costs;
- (iv) for better accessibility to transport infrastructure for disabled persons: 30% of the eligible costs (not exceeding 10% of the total eligible cost of the Action);
- (v) for ITS: 20% of the eligible costs;
- (vi) for SESAR: 50% of the eligible costs for land based components and 20% of the eligible costs for on-board components;
- (vii) for Motorways of the Sea: 30% of the eligible costs.

In line with Article 10(5) of the CEF Regulation, these co-funding rates may be increased by up to 10 percentage points for actions with synergies between transport and at least one other sector covered by the CEF Regulation, which address the priorities of Article 4 of the CEF Regulation.

The Commission reserves the right to award a grant of less than the amount requested by the applicant.

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

### *12.2.2 Eligible costs*

Eligible costs are costs actually incurred by the beneficiary of a grant which meet all the criteria laid down in Article 186 of the Financial Regulation.

The beneficiary's internal accounting and auditing procedures must permit direct reconciliation of the costs and revenue declared in respect of the action with the corresponding accounting statements and supporting documents.

The same criteria apply to the costs incurred by affiliated entities and implementing bodies designated by the beneficiary.

Applicants should refer to points (3) to (8) of Article 8 of the CEF Regulation concerning the eligibility of costs. The full costs of purchase of equipment and infrastructure which are treated as capital expenditure are eligible under this call, provided that they are:



- treated as capital expenditure in accordance with the tax and accounting rules applicable to the beneficiary;
- recorded in the fixed assets account of the beneficiary's balance sheet; and
- purchased in accordance with the procurement rules as specified in Article II.9 of the model grant agreement.

Costs will be eligible, at the earliest, from the date on which an application is submitted and, at the latest, to the date of completion of the Action, which shall be 31 December 2023 at the latest. The attention of applicants is drawn to the fact that ceilings and/or limitations may be applicable to eligible costs under specific priorities as specified in section 5.1 of the work programme and section 12.2.1 above.

### **Indirect costs**

Indirect costs of the action are those costs which are not specific costs directly linked to the implementation of the action and can therefore not be attributed directly to it.

Indirect costs are not eligible.

### **VAT**

In line with the first subparagraph of Article 8(7) of the CEF Regulation and Article 126(3)(c) of the Financial Regulation, VAT paid by beneficiaries of grants awarded following this call for proposals is eligible except:

- deductible VAT (VAT paid by the beneficiary for the implementation of taxed activities or exempt activities with right of deduction);
- VAT paid for the implementation of activities engaged in as a public authority by the beneficiary where it is a Member State, regional or local government authority of a Member State or another body governed by public law of a Member State.

#### *12.2.3 Payment arrangements*

A first pre-financing payment corresponding to 40% of the first instalment of grant awarded as specified in the grant agreement will be transferred to the beneficiary within 30 days after the last party signs the grant agreement.

Further pre-financing payments may be made upon request and in accordance with the financial needs of the Action.

Requests for interim payments must be submitted at least every two years.

The cumulative amount of all pre-financing and interim payments shall not exceed 80% of the maximum amount of the financial aid awarded.

However, in those cases where the low complexity of the Action may require a simpler payment arrangement, the following payment arrangements may be provided for: a single pre-financing payment corresponding to 40% of the maximum grant amount awarded will be made within 30 days after the last party signs the grant agreement. No interim payment may be made.

In the event that the beneficiary's financial capacity is not satisfactory, the pre-financing payment(s) may be subject to the receipt of a financial guarantee for up to the same amount as the pre-financing payment to be made.

The financial guarantee, in euro, shall be provided by an approved bank or financial institution established in one of the EU Member States. When the beneficiary is established in a third country, INEA may agree that a bank or financial institution established in a third

country may provide the guarantee if the bank or financial institution is considered to offer equivalent security and characteristics as those offered by a bank or financial institution established in a Member State. Amounts blocked in bank accounts will not be accepted as financial guarantees.

The guarantee may be replaced by a joint or several guarantees provided by third parties or by a joint guarantee of the beneficiaries of an action that are parties to the same grant agreement. The guarantee will be released when the pre-financing is cleared against the interim payment, if applicable, and/or the balance of payment(s) made, in accordance with the conditions laid down in the grant agreement.

In the event that the beneficiary's financial capacity is not satisfactory, a limited joint and several financial liability for recoveries may be applied in accordance with the terms and conditions of the model grant agreement.

The final amount of the grant to be awarded to the beneficiary is established after completion of the Action, upon approval of the request for payment including, where applicable, the supporting documents as described in the model grant agreement.

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

### **13. MODEL GRANT AGREEMENT**

Applicant(s) will be invited to sign the grant agreement if a proposal is selected for funding. The standard model grant agreement is not negotiable and will be signed in English.

Submitting an application implies the acceptance of the terms and conditions of the model grant agreement, available on the call page. Applicants are invited to carefully read this document and its annexes before submitting an application.

Grants for actions for the implementation of Common Projects of the Single European Sky – SESAR priority under Funding Objective 3, will be awarded through Specific Grant Agreements established under the SESAR Deployment Framework Partnership Agreement. The Deployment Manager<sup>14</sup> is to act as coordinator in each of these Actions. Applicants who are awarded a grant under this call and are not partners in the SESAR Deployment Framework Partnership will be required to join the SESAR Deployment Framework Partnership, as partners, by signing the Framework Partnership Agreement before being able to sign the Specific Grant Agreements covering their Actions.

### **14. PROCEDURE FOR SUBMISSION OF PROPOSALS**

All practical information on this call for proposals and the evaluation process is detailed in the Guide for Applicants. It is available, together with the application forms, model grant agreement, the multi-annual work programme, the CEF Regulation, the TEN-T Guidelines, and other relevant documents, on the call page, accessible via the following link:

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<sup>14</sup> <http://www.sesardeploymentmanager/eu/contact/>

<https://ec.europa.eu/inea/en/connecting-europe-facility/cef-transport/apply-funding/2019-map-transport-cef-call>

Applicants are requested to carefully read all call-related documents, including the instructions given in the Guide for Applicants and other guidance documents and information, in particular the Frequently Asked Questions (FAQ), and use the checklists.

Documents available on the call page may be updated while the call is open. Applicants are strongly encouraged to subscribe to the call updates, via the form available on the call page itself, in order to receive a notification whenever the call page is updated.

#### **14.1 Application forms**

Proposals must be submitted using the application forms provided on the call page at the link above. Applicants are strongly encouraged to submit their applications in the English language as the evaluation of proposals is entirely conducted in English.

Notwithstanding, applicants also have the possibility to submit their proposal, including the CBA/CEA, in another EU official language together with an English translation<sup>15</sup>. The latter will be used for the evaluation.

The applicant(s) specified in the application form part A will automatically be considered as the beneficiary(ies) if the proposal is selected for funding. If applicants designate affiliated entities within the meaning of Article 187 of the Financial Regulation to support the implementation of the proposed Action, the information on these affiliated entities must be encoded in the application form part A, and any relevant supporting documents must be provided.

#### **14.2 Submission process**

Proposals must be submitted ***electronically*** using the TENtec eSubmission module at the following link: <https://webgate.ec.europa.eu/tentec/grant/esubmission/> before the call deadline: **26 February 2020 at 17:00.00 Brussels time** (see also Section 6. "Admissibility requirements").

Application form part A is automatically generated by the TENtec eSubmission module. Application form parts B, C and D must be downloaded from the call page at the link above and duly completed. Application form part D may not exceed 40 pages. Once final, these must be uploaded into the TENtec eSubmission module. The same applies to any annexes or supporting documents accompanying the proposal.

Applicants' attention is drawn to the fact that for application form part A, only the information encoded in the TENtec eSubmission module will be taken into account for the evaluation (notwithstanding the requirement to upload signed versions of application forms part A2.2 and A2.3). For the other forms and documents, only the last version uploaded in the TENtec eSubmission module will be taken into account for the evaluation.

Any parts of the application form that require signatures of applicants or relevant authorities

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<sup>15</sup> The Commission will reimburse the translation costs resulting from the translation into English of a proposal submitted in response to this call, for a maximum amount of €2000 per proposal, provided that the translation was submitted before the specified deadline. Please see the Guide for Applicants for details on the reimbursement procedure.

must be scanned and uploaded into the TENtec eSubmission module. Information included in the uploaded forms must correspond to the information included in the TENtec eSubmission module. The forms must clearly indicate to which proposal and to which applicant they correspond and they must be perfectly legible so that there can be no doubt as to words and figures. Advanced electronic signatures based on a qualified certificate as defined by Regulation 910/2014 on electronic identification and trust services for electronic transactions in the internal market (eIDAS Regulation) and which comply with the signature formats specified in Commission Implementing Decision 2015/1506 shall be accepted.

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

## **15. INFORMATION FOR APPLICANTS**

Further information or clarifications on the call for proposals will be published on the call webpage. Please refer to all of the following documents, available on the call webpage, when preparing the application:

- Multi-annual work programme
- CEF Regulation
- TEN-T Guidelines
- Extension of the TEN-T network to the neighbouring countries<sup>16</sup>
- Application form (parts A, B, C and D)
- Guide for Applicants
- FAQs published on the call page
- Application and CBA checklists
- EU Financial Regulation
- Commission Decision on the reimbursement of personnel costs<sup>17</sup>
- Cohesion Policy CBA methodology
- CBA cash flow template
- SESAR Deployment Framework Partnership Agreement

Applicants are invited to regularly consult this page and the INEA website/Twitter feed (@inea\_eu) regularly until the deadline for submission of proposals.

Questions related to this call may be addressed to the call helpdesk: [INEA-CEF-transport-calls@ec.europa.eu](mailto:INEA-CEF-transport-calls@ec.europa.eu).

The answers to submitted questions will be published in a FAQ list on the call page, to ensure equal treatment of all potential applicants. Questions related to the call should be submitted at least by 29 January 2020 to ensure sufficient time for the last update of the FAQs by 12 February 2020. However, individual technical questions related to TENtec eSubmission

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<sup>16</sup> Commission Delegated Regulation (EU) 2016/758

<sup>17</sup> Commission Decision C(2016)478 final of 3.2.2016 on the reimbursement of personnel costs of beneficiaries of the Connecting Europe Facility

module will be treated until the call deadline.

Questions which are specific to a particular proposal and where the answer would provide a comparative advantage to the applicant will not be answered.

Proposals must not be sent to the helpdesk e-mail address.

## **16. PROCESSING OF PERSONAL DATA**

The reply to any call for proposals involves the recording and processing of personal data (such as name, address and CV). Such data will be processed pursuant to Regulation (EU) 2018/1725<sup>18</sup> on the protection of natural persons with regard to the processing of personal data by the Union institutions, bodies and agencies and on the free movement of such data. Unless indicated otherwise, the questions and any personal data requested that are required to evaluate the application in accordance with the call for proposal will be processed solely for that purpose by INEA.

Personal data may be registered in the Early Detection and Exclusion System by the Commission, should the beneficiary be in one of the situations mentioned in Articles 136 and 141 of Regulation (EU, Euratom) 2018/1046<sup>19</sup>. For more information see the Privacy Statement on the call page:

<https://ec.europa.eu/inea/en/connecting-europe-facility/cef-transport/apply-funding/2019-map-transport-cef-call>

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<sup>18</sup> <https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=CELEX%3A32018R1725>

<sup>19</sup> <https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=CELEX%3A32018R1046>