



## **Trans-European Transport Network Executive Agency**

### **Calls for proposals for projects of common interest in the field of the trans-European transport network under the Multi-annual Work Programme 2013 as amended**

#### **Projects in the field of European Rail Traffic Management System (ERTMS)**

## **1. INTRODUCTION**

### **1.1. Subject:**

This call for proposals is established under the 2013 Multi-annual Work Programme as amended<sup>1</sup>. The work programme defines the objectives, the specific priorities, the results expected in relation to this call as well as the eligibility and award criteria and the maximum possible co-financing rates.

### **1.2. Date of publication:**

The date of publication of this call is 11 December 2013.

### **1.3. Indicative budget:**

The indicative budget available to support projects selected in the field of European Rail Traffic Management System is €70 million. Budget transfers between fields/priorities under the 2013 multi-annual calls are allowed.

## **2. OBJECTIVES**

### **2.1. Objectives:**

The objectives of this call for proposals are defined in Section 3.1.2 of Annex bis to the 2013 Multi-annual Work Programme as amended.

Based on Article 10 of the TEN-T Guidelines, the objective of the call for proposals in this area is to promote the deployment of the European Rail Traffic Management System (ERTMS) which today consists of two components GSM-R and ETCS (the European Train Control System).

Only the ETCS component of ERTMS is eligible for funding under this Call for proposals.

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<sup>1</sup> Commission Decision C(2013) 1675 final of 21.3.2013 as amended by Commission Decision C(2013)8755



## 2.2. **Specific objectives:**

The specific objectives of this call are defined in Section 3.2.2 of Annex bis to the multi-annual work programme 2013 as amended.

The overall purpose is to achieve enhanced consolidation of ERTMS deployment throughout the rail market. In this respect, any TEN-T funds granted to on board equipment under this call entail the obligation for the equipped trains to remain and operate in EU territory for at least 5 years following the completion of the respective Action. Transit through non-EU countries is not considered as compromising this obligation.

Such consolidation should concretely ensure that, as soon as possible, ERTMS equipped vehicles can cross borders on ERTMS equipped lines, without any additional compatibility tests being necessary.

The Actions to be funded shall focus on facilitating and speeding up implementation of the European Deployment Plan<sup>2</sup>, in particular on the ERTMS corridors' sections that shall be equipped by 2015, on upgrading lines and vehicles, retrofitting vehicles as well as on performing test campaigns of the Baseline 3 test specifications.

## 2.3. **Results expected:**

The results expected under these calls are defined in Section 4 of Annex bis of the 2013 Multi-annual Work Programme as amended.

## **3. PRIORITY AREAS**

As stated in Section 3.2.2. of Annex bis of the multi-annual work programme 2013 as amended, this call includes four priority areas. These are described in detail in this section.

Proposed actions can address elements of more than one of the following priorities. However, the application can only be submitted in the priority area deemed more relevant or appropriate by the applicant(s). On-board and track-side ETCS deployment/upgrade cannot be submitted in one application. The two areas should be presented in separate applications. Similarly, studies and works cannot be presented in one proposal.

The scope of proposals can be implemented in one or more Member States.

### 3.1. **Priority Area 1: ETCS track-side deployment on ERTMS Corridors according to the European Deployment Plan**

#### 3.1.1. **Description**

Under this Priority Area, the following components (presented in the order of priority) are to be supported:

- 1) ETCS track-side deployment on cross-border sections of ERTMS Corridors that are expected to be equipped by 2015;
- 2) ETCS track-side deployment on ERTMS Corridors' sections and/or their connections to ports and terminals that are expected to be equipped by 2015;
- 3) Preparatory actions (including feasibility studies) to speed up the ETCS deployment

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<sup>2</sup> Commission Decision C(2009) 5607 final of 22.7.2009 amending Decision 2006/679/EC as regards the implementation of the technical specification for interoperability relating to the control-command and signalling subsystem of the trans-European conventional rail system

on ERTMS Corridors' sections and on connections to ports and terminals that are expected to be equipped beyond 2015. The preparatory actions should be the basis for launching a procurement process for the ETCS deployment.

### **3.1.2. Essential conditions**

ETCS to be deployed on the corridors' section shall be CCS TSI compliant.

ETCS deployment and preparatory actions cannot be submitted together in one application.

Feasibility studies can only be presented as a part of Preparatory action package and are not eligible as a stand-alone document.

Procurement procedure for ETCS deployment must be launched by 31 December 2015 as a result of the Preparatory actions.

### **3.1.3. Information to be included in a proposal**

During the evaluation particular importance will be given to information related to:

#### **i) for proposals related to a **deployment of ETCS on ERTMS Corridors:****

- Identification of the (pilot) line in subject and its main characteristics, incl. location, length, single/double track, type of traffic i.e. freight, passenger, mixed, etc.;
- characteristics and description of the ETCS track-side subsystem to be installed;
- A description of tests in line with CCS TSI, performed with an on-board unit provided by at least one different supplier to the one in charge of the equipment of the line. The on-board unit used for tests shall be compliant with CCS TSI;
- Expected date when the ETCS track-side subsystem (ETCS Baseline 2 Release 2.3.0d or Baseline 3) equipped Corridor section will be certified and the expected date for the section to be placed in service;
- Evidence of the activities completed/ planned to obtain the authorisation to place the line in service (e.g. cooperation with NoBo or NSA already at place);
- Identification and justification for infrastructure works for track-side equipment (falling under the definition in Article 2.9 of the TEN-T Regulation) which are necessary for the implementation of ETCS level 2 (e. g. upgrade or renewal of interlockings);
- Description of the provisions to be put in place to ensure that ERA is informed in case issues that may have an impact on the specifications are detected.

#### **ii) For proposals related to **preparatory actions:****

- Description of preparatory actions proposed, including its contribution to subsequent physical deployment of ETCS on the corridor(s) section(s) in question;
- Identification of the line in subject and its main characteristics, incl. location, length, single/double track, type of traffic i.e. freight, passenger, mixed, etc.;
- Characteristics of the ETCS track-side subsystem to be installed, timing for its deployment, and expected date for placing in service, if available by the time of the proposal's submission;

- Justification of the need of the preparatory action prior to the procurement process for the deployment of the ETCS;
- Information demonstrating that the procurement process will start by the 31 December 2015.

#### **3.1.4. Funding conditions**

Eligible costs for the **equipment of the lines** will be limited to a ceiling of €150,000 per kilometre of double-track line equipped with ERTMS. Infrastructure works for track-side equipment (falling under the definition in Article 2.9 of the TEN-T Regulation) which are necessary for the implementation of ETCS level 2 (e.g. upgrade or renewal of interlockings) are also eligible and are covered by the ceiling.

The EU financial aid shall amount to maximum:

- 50% of eligible costs of ETCS deployment, and
- 20% of eligible costs of infrastructure works.

For specific situations such as marshalling yards, ceilings may be adapted on a case by case basis.

The applicants are invited to present the infrastructure works and/or specific situations in a separate activity(ies) to facilitate their technical and financial distinction from ETCS deployment.

Eligible costs for **preparatory actions** are not subject to the ceiling and will be evaluated individually. In such cases the applicant(s) are invited to provide thorough financial information substantiating total costs and respective TEN-T support.

The EU financial aid for preparatory actions shall amount to maximum 50% of the eligible costs.

#### **3.1.5. Expected deliverables of selected proposals**

Expected deliverables of a project selected and implemented within this priority area shall cover:

i) for **ETCS deployment on ERTMS Corridors**:

1) Tests:

a) Information regarding tests results (test report including operational scenarios) in line with the latest applicable TSI CCS, performed with an on-board unit(s) provided by at least one different supplier to the one in charge of the equipment of the line. The on-board unit(s) used for tests shall be compliant with the applicable TSI CCS;

2) Authorisation procedure:

a) EC declaration of conformity for each interoperability constituent relevant for ERTMS issued by the supplier or the supplier's authorised representative established within the Union, including the certificate of conformity from a Notified Body;

b) EC declaration of verification of the subsystem issued by the applicant for each CCS subsystem installed including the EC certificate of verification of subsystem from a Notified Body;

c) Copy of an application for a National Safety Authority authorisation placing the ETCS equipped railway line in service or the NSA authorisation in case available by the time the final payment claim is due.

The applicants are invited to use the Commission Recommendation of 29 March 2011 on the authorisation for the placing in service of structural subsystems and vehicles under Directive 2008/57/EC of the European Parliament and of the Council (2011/217/EU).

Deliverables must demonstrate compliance with applicable TSI.

ii) for **preparatory actions**:

- 1) documentation or other deliverables contributing to speeding up the ETCS deployment on ERTMS Corridors' sections and on connections to ports and terminals that shall be equipped according to the European Deployment Plan beyond 2015;
- 2) confirmation that the outputs of the preliminary activities are included and considered in the procurement process for the ERTMS deployment;
- 3) confirmation of launching the procurement by 31 December 2015.

### **3.2. Priority Area 2: Upgrade of lines to ETCS Baseline 2 Release 2.3.0d or vehicles to ETCS Baseline 2 Release 2.3.0d or Baseline 3**

#### **3.2.1. Description**

Lines and vehicles already in operation and equipped with pre-2.3.0d SRS release compliant ETCS and planned for upgrade to ETCS Baseline 2 Release 2.3.0d or upgrade of vehicles to Baseline 3 standards by the end of 2015 are eligible for TEN-T support under this Priority Area.

Upgrade to Baseline 2 release 2.3.0.d of railway line sections located on ERTMS Corridors is of higher priority compared to upgrade of other lines.

#### **3.2.2. Essential conditions**

Initial ETCS SRS version of the lines and vehicles must be pre-2.3.0d compliant.

Lines covered by this priority must be upgraded to ETCS Baseline 2 Release 2.3.0d and vehicles covered by this priority must be upgraded to Baseline 2 release 2.3.0d or to Baseline 3.

Vehicles must operate on the EU railway network.

#### **3.2.3. Information to be included in a proposal**

During the evaluation particular importance will be given to information related to:

- i) for proposals related to an **upgrade of a line(s)** to ETCS Baseline 2 Release 2.3.0d:
  - Identification of the line in subject and its main characteristics, incl. location, length, single/double track, type of traffic i.e. freight, passenger, mixed, etc.;

- Definition of the ETCS track-side subsystem already installed, including a copy of the authorization placing the ETCS-equipped line in service issued by the competent National Safety Authority;
  - A detailed description of all incompatibilities between the current version(s) of ETCS installed on the line(s) concerned by the proposal and ETCS Baseline 2 Release 2.3.0d/ Baseline 3-equipped vehicles. The detailed information concerning the deviations and/or restrictions derived from existing certificates and conformity declarations shall be provided;
  - A description of planned tests in line with CCS TSI, to be performed with an on-board unit provided by at least one different supplier to the one in charge of the equipment of the line. The on-board unit used for tests shall be compliant with CCS TSI;
  - Identification and justification for infrastructure works for track-side equipment (falling under the definition in Article 2.9 of the TEN-T Regulation) which are necessary for the upgrade of ETCS level 2 (e. g. upgrade or renewal of interlockings);
  - Expected date when ETCS Baseline 2 Release 2.3.0d/ Baseline 3 equipped vehicles will be able to run on the line for commercial services;
  - Evidence of the activities completed/ planned to obtain the authorisation to place the line in service following its upgrade;
  - Description of the provisions to be put in place to ensure that ERA is informed in case issues that may have an impact on the specifications are detected.
- ii) For proposals related to an **upgrade of vehicle(s)** to ETCS Baseline 2 Release 2.3.0d or Baseline 3:
- Identification of the vehicle(s) type(s), including its basic characteristics, supplier, serial numbers of vehicles to be retrofitted, etc.;
  - Identification of a line(s) on which they operate today and/or on which they might operate in the near future;
  - Definition of the ETCS on-board subsystem already in service, including a copy of the authorization to place in service the ERTMS on-board issued by the competent National Safety Authority;
  - Current certificates of conformity of the constituents and certificates of verification of the subsystem. A detailed description of all incompatibilities between the version(s) of ETCS currently installed on the vehicle(s) concerned by the proposal and ETCS Baseline 2 Release 2.3.0d/ Baseline 3-equipped lines. The detailed information concerning the deviations and/or restrictions derived from existing certificates and conformity declarations shall be provided;
  - A description of tests that will be carried out following CCS TSI;
  - Evidence of the activities completed/ planned to obtain the authorisation to place the vehicle(s) in service following the upgrade.

#### **3.2.4. Funding conditions**

Eligible costs for an upgrade of lines or vehicles are not subject to a ceiling and will be evaluated individually. In such cases the applicant(s) are invited to provide thorough financial information substantiating total costs and respective TEN-T support. Infrastructure works for track-side equipment (falling under the definition in Article 2.9

of the TEN-T Regulation) which are necessary for the upgrade of ETCS level 2 (e.g. upgrade or renewal of interlockings) are also eligible.

The EU financial aid shall amount to maximum:

- 50% of eligible costs of ETCS upgrade, both track-side and on-board, and
- 20% of eligible costs of infrastructure works.

The applicants are invited to present the infrastructure works in a separate activity(ies) to facilitate their technical and financial distinction from ETCS upgrade.

The EU financial aid for an upgrade of lines or vehicles shall amount to maximum 50% of the eligible costs.

### **3.2.5. Expected deliverables of selected proposals**

Expected deliverables of a project selected and implemented within this priority area shall cover:

i) for **upgrade of lines**:

1) Tests:

- a) Information regarding tests results (test report including operational scenarios) in line with the latest applicable TSI CCS, performed with an on-board unit(s) provided by at least one different supplier to the one in charge of the upgrade of the line. The on-board unit(s) used for tests shall be compliant with the applicable TSI CCS;

2) Authorisation procedure:

- a) EC declaration of conformity for each interoperability constituent relevant for ERTMS issued by the supplier or the supplier's authorised representative established within the Union, including the certificate of conformity from a Notified Body;
- b) EC declaration of verification of the subsystem issued by the applicant for each CCS subsystem installed including the EC certificate of verification of subsystem from a Notified Body;
- c) Copy of a complete application for a National Safety Authority authorisation placing the ETCS upgraded railway line in service or the NSA authorisation in case available by the time the final payment claim is due.

ii) for **upgrade of vehicles**:

1) Tests:

- a) Information regarding tests results (test report) in line with the applicable TSI CCS (in particular Subset-076);
- b) Confirmation on using a laboratory accredited according to ISO 17025.

2) Authorisation procedure:

- a) EC declaration of conformity for each interoperability constituent relevant for ERTMS issued by the supplier or the supplier's authorised representative established within the Union, including the certificate of conformity from a Notified Body;
- b) EC declaration of verification of the subsystem issued by the applicant for each CCS subsystem installed on a vehicle and including the EC certificate of verification of subsystem from a Notified Body;

- c) a copy of a complete application for authorisation placing the ETCS upgraded vehicle(s) in service submitted to at least one National Safety Authority of countries concerned or the NSA authorisation in case available by the time the final payment claim is due.

The applicants are invited to use the Commission Recommendation of 29 March 2011 on the authorisation for the placing in service of structural subsystems and vehicles under Directive 2008/57/EC of the European Parliament and of the Council (2011/217/EU).

Deliverables must demonstrate compliance with applicable TSI.

### **3.3. Priority Area 3: Retrofitting vehicles with ETCS Baseline 2 Release 2.3.0d or Baseline 3**

#### **3.3.1. Description**

Retrofitment of existing vehicles already operating on the EU railway network, with ETCS Baseline 2 Release 2.3.0d or Baseline 3 by the end of 2015 is eligible for TEN-T support under this Priority Area. Eligible elements of the retrofitment procedure may cover prototyping, type authorisation, compatibility testing activities (including equipment of trains and tests of test trains) as well as serial retrofitment.

#### **3.3.2. Essential conditions**

The vehicles shall be authorised for operation on the EU railway network prior to submission of the application and they cannot be equipped already with ETCS.

ETCS to be deployed on the vehicles shall be ETCS Baseline 2 Release 2.3.0d or Baseline 3 compliant.

#### **3.3.3. Information to be included in a proposal**

For proposals related to the retrofitment of vehicles with ETCS Baseline 2 Release 2.3.0d/ Baseline 3, during the evaluation particular importance will be given to information related to:

- Identification of the vehicle(s) type(s), including its basic characteristics, supplier, serial numbers of vehicles to be retrofitted, etc.;
- Description of the current on-board subsystem, including a copy of the authorization placing them into service issued by the competent National Safety Authority;
- Description of the new certification process for the constituents and for the verification of the subsystem (indicating the modules);
- Description of the authorisation procedure of the subsystem to be placed in service, including evidence of the activities completed/ planned to obtain the authorisation;
- Identification of a line(s) on which vehicles operate today and/or on which they might operate in the near future;

- A description of tests that will be carried out to ensure that ETCS Baseline 2 Release 2.3.0d/ Baseline 3 vehicles can run on the ETCS equipped line(s), once retrofitted. Particular attention will be given to tests involving different track-side supplier(s) than the one(s) retrofitting the vehicle(s). The description should include the testing strategy for proving conformity of the on-board equipment (e.g. accredited laboratory, on-site testing, etc.), scenarios requested (e.g. suppliers scenarios, railway scenarios) and a role of a Notified Body(ies).

#### **3.3.4. Funding conditions**

Eligible costs will be limited to a ceiling of €150.000 per ETCS unit to be deployed on an already existing vehicle.

The ceiling does not apply to the costs related to development, test and validation of an on-board Baseline 3 prototype.

The applicants are invited to present tasks not covered by the ceiling in a separate activity(ies) to facilitate their technical and financial distinction.

The EU financial aid for retrofitment of vehicles shall amount to maximum 50% of the eligible costs.

#### **3.3.5. Expected deliverables of selected proposals**

Expected deliverables of a project selected and implemented within this priority area shall cover:

1) Tests:

- a) Information regarding tests results (test report) in line with the applicable TSI CCS (in particular Subset-076);
- b) Confirmation on using a laboratory accredited according to ISO 17025.

2) Authorisation procedure:

- a) EC declaration of conformity for each interoperability constituent relevant for ERTMS issued by the supplier or the supplier's authorised representative established within the Union, including the certificate of conformity from a Notified Body;
- b) EC declaration of verification of the subsystem issued by the applicant for each CCS subsystem installed on a vehicle and including the EC certificate of verification of subsystem from a Notified Body;
- c) a copy of a complete application submitted to at least one National Safety Authority of countries concerned or the NSA authorisation in case available by the time the final payment claim is due.

The applicants are invited to use the Commission Recommendation of 29 March 2011 on the authorisation for the placing in service of structural subsystems and vehicles under Directive 2008/57/EC of the European Parliament and of the Council (2011/217/EU).

Deliverables must demonstrate compliance with applicable TSI.

#### **3.4. Priority Area 4: Test campaigns for ETCS Baseline 3 on-board equipment according to subset-076 principles**

#### **3.4.1. Description**

The test cases (Subset-076-5-2) of the ETCS Baseline 3 will be a cornerstone to prove conformity of the ETCS on-board equipment with the ETCS Baseline 3 test specifications. It is expected that the development of Baseline 3 on-board equipments and their testing in accredited laboratories will provide valuable feedback to further improve Baseline 3 specifications. This priority area addresses test campaigns to be carried out according to the ETCS subset-076 principles.

#### **3.4.2. Essential conditions**

Proposals under this priority area shall perform test campaigns according to the ETCS Subset-076 principles in accredited laboratories i.e. using the test cases in Subset-076-5-2.

The proposal can include the development of test sequences according to Subset-076-6-3 format.

The proposal can only address ETCS Baseline 3 test campaigns; ETCS Baseline 2 is out of scope of this call priority area.

#### **3.4.3. Information to be included in a proposal**

For proposals related to the **test campaigns for ETCS Baseline 3**, during the evaluation particular importance will be given to information related to:

- Details of applicants experience in dealing with ETCS test specifications and proven knowledge about the ETCS test specifications;
- Technical description of the on-board equipment that will be used to carry out the tests, this shall at least identify the version of the SRS used to develop the product and the list of not implemented ETCS functionalities (if any);
- Proof of commitment to undertake a test campaign in an accredited laboratory (i.e. contract signed with an accredited laboratory or a common statement with an accredited laboratory to sign a contract).

#### **3.4.4. Funding conditions**

In the case of proposals submitted under this priority area eligible costs are not subject to any ceiling and will be evaluated on the case by case basis. The applicants are therefore invited to provide thorough financial information substantiating total costs and respective TEN-T support.

The EU financial aid for proposals submitted under this priority area shall amount to maximum 50% of the eligible costs.

#### **3.4.5. Expected deliverables of selected proposals**

Expected deliverables of a project selected and implemented within this priority area shall cover:

- Tests report including an analysis of results;
- Test cases and test sequences (according to Subset-076 format) used during the test campaign;
- Feedback about errors detected in the test cases included in Subset-076-5-2 for

Baseline 3;

- Confirmation on using a laboratory accredited according to ISO 17025;
- Follow-up of relevant results identified in the course of the project that could have any potential impact in the ETCS Baseline 3 specification.

All deliverables shall be communicated to ERA.

#### **4. ELIGIBILITY, SELECTION AND AWARD CRITERIA**

##### **4.1. Eligibility criteria:**

The eligibility criteria for applicants and for projects, as well as the grounds for exclusion, are defined in Section 6 of Annex bis to the 2013 Multi-annual Work Programme as amended.

##### **4.2. Selection criteria:**

The selection criteria (i.e. operational and financial capacity) are defined in Section 7 of Annex bis to the 2013 Multi-annual Work Programme as amended.

Applicants may designate **affiliated entities** within the meaning of Article 122 of the Financial Regulation<sup>3</sup>, for the purpose of supporting the implementation of the Action submitted for funding. Such affiliated entities shall comply with the **eligibility criteria** for applicants as well as with the **selection criteria** as specified in Sections 6.1, 6.3 and 7 respectively of Annex bis of the 2013 multi-annual Work Programme as amended.

##### **4.3. Award criteria:**

The general award criteria against which each proposal will be evaluated are specified in Section 8 of Annex bis to the 2013 Multi-annual Work Programme as amended.

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

- **Relevance.** It refers to the contribution of the Action to the TEN-T priorities (as laid out in the TEN-T Guidelines) and the objectives described in the call for proposals text, as well as to the macro socio-economic benefits at EU level and the need for TEN-T support.
- **Maturity.** It 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.
- **Impact.** It refers to the anticipated socio-economic effects of the Action (at the micro level) as well as the impact on the environment.
- **Quality.** It refers to the completeness and clarity of the Action, 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.

Information for assessing the above blocks of criteria has to be clearly described, in particular in Application Form Part B.2. During the external evaluation, each block of

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<sup>3</sup> Regulation (EU) No 966/2012 of 25 October 2012 on the financial rules applicable to the general budget of the Union and repealing Council Regulation (EC, Euratom) No 1605/2002 (OJ L 298, 26.10.2012, p. 1)

criteria will be given a score between 0 and 5 points (with 5 being the maximum). The minimum threshold for an individual block of criteria is 3 points. In other words, external experts will not recommend for funding any proposal which does not obtain at least 3 points for each block. However, the Commission is not bound by the opinion of the external experts.

The activities proposed to be carried out by each applicant should be specified and consistent with their role in the proposal.

#### 4.4. **Final selection process:**

During the final selection process, the following policy-related aspects will also be taken into consideration, as appropriate:

The extent to which:

- the proposal/project contributes to the balanced development of the network,
- the proposal/project is cross-border or whether it produces cross-border effects,
- the proposal/project addresses a bottleneck; where relevant, whether it offers a suitable remedy to the problem,
- the proposal/project addresses a missing link so that it maximises the impact of investments already made in the region/country/global project,
- the proposal/project is of comparative EU added value (high, medium, low),
- the proposal/project has an absorption or performance capacity, based on previous experience (where existing),
- there is any identified/identifiable risk of double-funding from other Union sources.

## **5. CO-FINANCING & ELIGIBLE COSTS**

### **5.1. Co-financing:**

The maximum possible rates of Union co-funding are specified in Section 9 of Annex bis of the 2013 Multi-annual Work Programme as amended.

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

The total requested Union contribution to the eligible costs of a proposed Action, may not be less than €500,000 EUR.

### **5.2. Eligible costs:**

Detailed information on eligible costs are described in Article III.3.16 'Eligibility of Costs', of the model individual Decision granting financial aid for an Action, which is available on the TEN-T EA<sup>4</sup> website (<http://tentea.ec.europa.eu>).

Costs incurred between the 1<sup>st</sup> January 2013 and the completion date, which must be 31 December 2015 at the latest, may be considered as eligible. In addition, indirect costs<sup>5</sup>, may be eligible for flat rate funding fixed at no more than 7% of total direct eligible costs.

Union financial aid for projects of common interest established under this call can take the form of grants for studies, works.

As defined in Article 2(8) of the TEN Regulation<sup>6</sup>, 'studies' means activities needed to prepare project implementation, including preparatory, feasibility, evaluation and validation studies, and any other technical support measure, including prior action to define and develop a project fully and decide on its financing, such as reconnaissance of the sites concerned and preparation of the financial package. 'Works' (Article 2(9) of the TEN Regulation) means the purchase, supply and deployment of components, systems and services, the carrying out of construction and installation works relating to a project, the acceptance of installations and the launching of a project

## **6. PRACTICAL INFORMATION**

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

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<sup>4</sup> Trans-European Transport Network Executive Agency

<sup>5</sup> Costs, which are not identifiable as direct costs but are incurred in connection with the eligible direct costs of the action

<sup>6</sup> Regulation (EC) n° 680/2007 as amended by Regulation (EU) No 670/2012 of the European Parliament and of the Council of 11 July 2012 amending Decision No 1639/2006/EC establishing a Competitiveness and Innovation Framework Programme (2007-2013) and Regulation (EC) No 680/2007 laying down general rules for the granting of Community financial aid in the field of the trans-European transport and energy networks (OJ L 204, 31.07.2012, p.1)

### 6.1. Application form:

Proposals must be submitted using the application forms provided on the TEN-T EA website [http://tentea.ec.europa.eu/en/apply\\_for\\_funding/follow\\_the\\_funding\\_process/2013\\_map\\_european\\_rail\\_traffic\\_management\\_systems\\_call.htm](http://tentea.ec.europa.eu/en/apply_for_funding/follow_the_funding_process/2013_map_european_rail_traffic_management_systems_call.htm)

A **complete proposal** consists of:

✓ Application form Part A (must be generated in the eSubmission module, which is part of the TENtec Information System), and

✓ A package to be sent by courier service or delivered by hand, containing all of the following:

- The printout of Application form Part A, generated by the eSubmission module after the electronic submission (*one signed original and four additional copies if the proposal is submitted in English. If the proposal still requires translation only one copy is sufficient*),
- The printout of Application form Parts B1 and B2 and their annexes (*one signed original and, if submitted in English, four additional copies*),
- CD-ROM or DVD-R disk (non-rewritable therefore USB sticks are not eligible) containing the complete proposal (i.e. Application form Parts A, B1 and B2 and their annexes) in electronic format (PDF or formats readable by MS Office programmes).

Proposals in their paper version must be signed by the applicant or his duly authorized representative and be perfectly legible so that there can be no doubt as to words and figures. Proposals may be prepared in any official Union language for submission by the call deadline. Nevertheless, if a proposal is not submitted in English and if the applicant has indicated in the Application Form that an English translation will be provided, the English translation of the proposal must be submitted before the deadline specified below – otherwise the proposal may not be evaluated<sup>7</sup>.

The applicant(s) specified in the Application Form 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 122 of the Financial Regulation to support the implementation of the submitted action, they must encode in Part A of the Application form the details of these affiliated entities, and provide the related supporting documents as required.

Applicants must indicate in Application form Part A under which Priority their proposal is submitted.

### 6.2. Submission of the proposals:

Proposals will be evaluated for the priority under which they have been submitted. The Commission services reserve themselves, the right to requalify a project proposal, received under this Call, to another priority under the 2013 multi-annual work programme as

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<sup>7</sup> The Commission will reimburse the translation costs resulting from the translation into English of a proposal submitted in response to this Call, for up to an amount of €2500 per proposal, provided that the proposal has been submitted before the deadline specified

amended or a priority under the 2013 annual work programme adopted by Decision C(2013)1029 of 27 February 2013, as amended. In any cases, such transfer may be allowed only during the evaluation of proposals.

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

b) Application forms Parts B1 and B2 have to be downloaded from the call website [http://tentea.ec.europa.eu/en/apply\\_for\\_funding/follow\\_the\\_funding\\_process/2013\\_map\\_european\\_rail\\_traffic\\_management\\_systems\\_call.htm](http://tentea.ec.europa.eu/en/apply_for_funding/follow_the_funding_process/2013_map_european_rail_traffic_management_systems_call.htm) and duly filled in. Once final, they can be attached to Application Form A (via the TENtec eSubmission module) though this is not compulsory. The same applies to any annexes accompanying the proposal.

c) After completing steps a) and b), the complete proposal (Application Forms A, B1 and B2, including annexes) must be sent (by registered courier or hand delivery) to the following address:

European Commission  
TEN-T Executive Agency  
W910 - 01/38  
Calls 2013  
Avenue du Bourget, 1  
B-1140 Bruxelles  
Belgique

Proposals sent by registered courier have to be dispatched not later than **11 March 2014**, the deadline for the submission of proposals (as evidenced by the postmark, or proof of receipt deposit slip): Applicants must keep proof of the date of sending and be able to present it up on request. Failure to provide proof of the date of sending will exclude the proposal from being evaluated.

Proposals delivered by hand to the Central Mail Service of the European Commission have to be dispatched, **no later than 17h00** (Brussels local time) on **11 March 2014** in this case, a receipt must be obtained as proof of submission, signed and dated by the official who took delivery in the Central Mail Service. The Central Mail Service is open from 7h00 to 17h00 Monday to Thursday and from 7h00 to 16h00 on Fridays. It is closed on Saturdays, Sundays and Commission holidays.

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

The components constituting a complete proposal, the address for submission and further practical details are described in the Guide for Applicants, which is available on the TEN-T EA website. It is important to read this carefully as proposals which do not follow these instructions may not be evaluated.

### 6.3. **Timetable:**

Deadline for the submission of proposals	<b>11 March</b> 2014
Submission of translations in English (if applicable)	<b>18 March</b> 2014
Evaluation of proposals	April 2014 (indicative)

Consultation of Financial Assistance Committee; execution of scrutiny right by European Parliament	July 2014 (indicative)
Adoption of individual Decisions	As from September 2014 (indicative)

#### 6.4. **Communication from TEN-T EA on the call for proposals**

Further information or clarifications on this call for proposals may be published on the TEN-T EA website. In particular, a list of Frequently Asked Questions (FAQ) will be regularly updated as questions arise. It is therefore strongly recommended to all applicants to regularly consult the TEN-T EA website to make sure they have all the latest information on the call.

Any additional specific questions related to this call may be addressed to the TEN-T Helpdesk email: [tenea-helpdesk-call-MAP-2013@ec.europa.eu](mailto:tenea-helpdesk-call-MAP-2013@ec.europa.eu)

The answers to submitted questions which could be of interest to other applicants will be published in the FAQ list on the TEN-T EA website, to ensure equal treatment between all potential applicants. Questions which are specific to a particular proposal and where the answer of the TEN-T EA would provide a comparative advantage to the applicant will not be answered.

Applications may not be delivered to this email address. This address is reserved for information and assistance by the TEN-T EA Helpdesk.

## 7. **ADDITIONAL INFORMATION**

### 7.1. **Prior information of applicants:**

Your reply to the grant application involves the recording and processing of personal data (such as your name, address and CV), which will be processed pursuant to Regulation (EC) No 45/2001 on the protection of individuals with regard to the processing of personal data by the Community institutions and bodies and on the free movement of such data. Unless indicated otherwise, your replies to the questions in this form and any personal data requested are required to assess your grant application in accordance with the specifications of the call for proposals and will be processed solely for that purpose by Trans-European Transport Network Executive Agency as data controller for this purpose. You may, upon request, have your personal data sent to you and rectify any inaccurate or incomplete particulars. Should you have any queries concerning the processing of your personal data, please address them to the entity acting as data controller within TEN-T EA. The data subjects have the right of recourse at any time to the Data Protection Officer of the Executive Agency ([TENEA-DPO@ec.europa.eu](mailto:TENEA-DPO@ec.europa.eu)) or in case of conflict with the Controller or data protection officer concerning the processing of your personal data, you have the right to submit a complaint at any time to the directly to the European Data Protection Supervisor. ([http://www.edps.eu.int/01\\_en\\_presentation.htm](http://www.edps.eu.int/01_en_presentation.htm))

Details concerning the processing of your personal data are available on the privacy statement at the page:

[http://ec.europa.eu/dataprotectionofficer/privacystatement\\_publicprocurement\\_en.pdf](http://ec.europa.eu/dataprotectionofficer/privacystatement_publicprocurement_en.pdf)

Your personal data (name, given name if natural person, address, legal form, registration number and name and given name of the persons with powers of representation, decision-making or control, if legal person) may be registered in the Early Warning System (EWS) only or both in the EWS and Central Exclusion Database (CED) by the Accounting Officer of the Commission, should you be in one of the situations mentioned in:

- the Commission Decision 2008/969 of 16.12.2008 on the Early Warning System (OJ L 344, 20.12.2008, p. 125) (for more information see the Privacy Statement on [http://ec.europa.eu/budget/info\\_contract/legal\\_entities\\_en.htm](http://ec.europa.eu/budget/info_contract/legal_entities_en.htm)), or
- the Commission Regulation 2008/1302 of 17.12.2008 on the Central Exclusion Database (OJ L 344, 20.12.2008, p. 12) (for more information see the Privacy Statement on [http://ec.europa.eu/budget/library/sound\\_fin\\_mgt/privacy\\_statement\\_ced\\_en.pdf](http://ec.europa.eu/budget/library/sound_fin_mgt/privacy_statement_ced_en.pdf)).

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

The data of applicants in any of the situations referred to in Articles 106(1), 107 and 109(2)(a) of the Financial Regulation<sup>8</sup> may be included in a central exclusion database and communicated to designated persons in the Commission, the other institutions, agencies, authorities and bodies referred to in Article 108 (1) and (2) of the Financial Regulation. This also applies to those with powers of representation, decision-making power or powers of control in respect of such applicants. Following a request to the Commission's Accounting Officer, anyone registered in the database is entitled to be informed of the data recorded about them.

## 7.2. **General conditions for paying grants:**

In order to limit the financial risks connected with the payment of pre-financing, the Commission or the TEN-T EA may, on the basis of a risk assessment, either require the beneficiary to lodge a guarantee in advance (for up to the same amount as the pre-financing) or split the payment into several instalments. The Commission may waive this obligation to lodge a guarantee in advance for public sector bodies and international organisations<sup>9</sup>.

## 7.3. **Important documents:**

In preparing your application, please ensure that you refer to all of the following documents, which are available on the TEN-T EA website:

- 2013 Multi-annual Work Programme as amended
- Guide for Applicants (as well as the eSubmission module User Manual)
- Application form (parts A, B1 and B2)
- TEN Regulation<sup>10</sup>

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<sup>8</sup> Regulation 966/2012 of 25 October 2012 on the financial rules applicable to the general budget of the Union and repealing Council Regulation (EC, Euratom) No 1605/2002 (OJ L 298, 26.10.2012, p. 1)

<sup>9</sup> Article 134 of Regulation 966/2012 of 25 October 2012 and Article 206 of Regulation (EU) No 1268/2012 of 29 October 2012 on the rules of application of Regulation No 966/2012 (OJ L 362, 31.12.2012, p. 1)

<sup>10</sup> Regulation (EC) n° 680/2007 as amended by Regulation (EU) No 670/2012 of the European Parliament and of the Council of 11 July 2012 amending Decision No 1639/2006/EC establishing a Competitiveness and Innovation

- TEN-T Guidelines<sup>11</sup>
- Model text for an individual Decision granting financial aid
- (if applicable) the definition of cross-border sections of priority projects endorsed by the TEN-T Guidelines Committee for Monitoring Guidelines and the Exchange of Information
- Guide to TENs and environmental legislation: Annex 2 of the Commission Staff Working Document which accompanied COM (2007) 135 final, Trans-European Networks: Toward an integrated approach.

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Framework Programme (2007-2013) and Regulation (EC) No 680/2007 laying down general rules for the granting of Community financial aid in the field of the trans-European transport and energy networks (OJ L 204, 31.07.2012, p.1)

<sup>11</sup> Decision n° 661/2010/EC of the European Parliament and of the Council of 7 July 2010 on Union guidelines for the development of trans-European transport network (OJ L 204, 5.8.2010, p. 1.)