



## **Call for proposals**

MOVE/C4/2021-545 "Pilot project - Single European Railway Area - Prototype Corridor  
Munich-Verona"

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DG MOVE

**DIRECTORATE GENERAL FOR MOBILITY AND TRANSPORT**  
**Land Transport Directorate**  
**UNIT C4 – Rail interoperability and safety Unit**

## CALL FOR PROPOSALS

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## 0. Introduction

This is a call for proposals for EU **action grants** in the field of Transport.

The regulatory framework for this EU Funding Programme is set out in:

- Regulation 2018/1046 ([EU Financial Regulation](#))
- the basic act (CEF Regulation [2021/1153<sup>1</sup>](#)).

The call is launched in accordance with the COMMISSION DECISION C(2021) 4002 of 8.6.2021 as modified by amending Decision C(2021) 8689 on the financing of five pilot projects in the field of transport for 2021 including a Pilot project named "Single European Railway Area - Prototype Corridor Munich-Verona".

This Call Document outlines the:

- background, objectives, scope, activities that can be funded and the expected results (sections 1 and 2)
- timetable and available budget (sections 3 and 4)
- admissibility and eligibility conditions (including mandatory documents; sections 5 and 6)
- criteria for financial and operational capacity and exclusion (section 7)
- evaluation and award procedure (section 8)
- award criteria (section 9)
- legal and financial set-up of the Grant Agreements (section 10)
- how to submit an application (section 11)

## 1. Background

Based on the Commission table on Brenner's issues below, the aim of the pilot project should be to identify solutions and disseminate and implement them with a view of seamless operation between Munich and Verona.

Commission table on Brenner's issues

Issue	Description of the barrier/issue	Ongoing related activities	Expected outputs
1. Language (Cross-border deployment of train drivers)	Language requirement B1 is settled by Annex VI of Train Drivers Directive (TDD). <i>Problem definition:</i> The obligation to deploy multi-language train drivers for operating throughout	<ul style="list-style-type: none"> <li>• Annex VI TDD sets a method for NSAs authorising cross border language projects of RUs and IMs;</li> <li>• S2R project "Translate4Rail" (H2020-S2RJU-OC-2019, RNE</li> </ul>	<ul style="list-style-type: none"> <li>⇒ To develop and implement a common language regime for the Munich – Verona corridor section.</li> <li>• Brenner operators shall create a language pilot on the Munich-</li> </ul>

<sup>1</sup> Regulation (EU) 2021/1153 of the European Parliament and of the Council of 7 July 2021 establishing the Connecting Europe Facility (OJ L 249, 14.7.2021, p. 38).

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	<p>the DE, AT or IT networks reduces flexibility and increases cost by causing waiting times at border crossings where time and space are scarce.</p> <p>Even if the standard communication would be done by machines/signals the lingual competence of the driver is to express him/herself in extraordinary situations and to communicate with local emergency staff.</p> <p>Despite efforts at corridor level, the dedicated work brought no progress. (Corridor Forum idea generated during the train ride "Brussels – Frankfurt" to use performing computers and fast data exchange to interpret German – Italian with the help of artificial intelligence and self-learning)</p> <p>RUs need to adjust operational concepts: the new infrastructure will enlarge the cross-border operating radius of train drivers (drivers can go further during one shift due to lower travel time) and reduce the possibilities for driver changes along the route (less intermediary stations with less siding capacity)</p>	<p>and UIC) with a pilot project between RFI and ÖBB Infrastructure managers (Tarvisio–Villach);</p> <ul style="list-style-type: none"> <li>• CEF technical assistant (TA) Issues Log Book (ILB): pilot project SNCF reseau and DBNet;</li> <li>• COM to propose a revision of the TDD in 2022.</li> </ul> <p><b>Background TDD:</b> The Commission created the legal base for exploring alternative options to the current language requirements, in the framework of pilot projects. The alternative options must ensure a safety level at least equal with the current requirements. (Commission Regulation (EU) 2019/554 of 5 April 2019, which revises Annex VI TDD). It is possible to request a derogation to the Commission for conducting pilot projects with train drivers having a lower level than B1 of language competence. The impact assessment underpinning the proposal for the revision of the Train Driver Directive 2022 would benefit from inputs from sector and pilot projects.</p>	<p>Verona stretch, building on but not duplicating ongoing CEF TA and S2R projects in order to provide for more flexibility especially for cross border operations, implementation in line with Annex VI of TDD to derogate from B1-requirement on the Verona-Munich section.</p> <p><i>Example: allow driver to run with language less than B1 with alternative solutions such as IT tools to allow same level of safety; to develop standard IM-Train Driver communication for Verona-Munich section; to ensure IM capacity with B1 language level for Italia, Austrian and German network (Munich-Verona); etc</i></p>
<p><b>2. Route knowledge</b> based on train driver license (TDD) and route book.</p>	<p>The <b>Train Driver Directive 2007/59/EC (TDD)</b> defines the framework for certification requirements to ensure train drivers' route knowledge. National rules allowed under the <b>Interoperability Directive 2016/768 (IOD)</b> constitute a (considerable) part of the national elements required for train drivers' route knowledge in accordance with Appendix I of the TDD. Appendix D2 of the Operational TSI (OPE TSI) implementing the IOD, identifies the minimum route book information.</p> <p><i>Problem definition:</i> Train drivers' certified route knowledge and (harmonised) route book information together constitute the essential information ensuring safe driving. Both are generated based on European and national minimum requirements.</p>	<ul style="list-style-type: none"> <li>• <u>4RP requirement</u> for the elimination of non-compliant national rules is in progress between individual MS NSAs and ERA;</li> <li>• <u>At corridor level:</u> "Contingency planning" at the level of Rail Freight Corridors is ongoing. In the framework of planned works but also in case of incident, deviation of the planned routing of trains takes place, implementation of the "contingency planning", which may involve also parallel corridors and even non-rail infrastructures.</li> </ul> <p><b>Background:</b> Route information generated might require better alignment to ensure sufficient and safe route knowledge through licencing and certification versus the information granted by way of route books. Transparent access to</p>	<ul style="list-style-type: none"> <li>⇒ Agree in a harmonised terminology/definition of trackside elements to be collected in the common route book;</li> <li>⇒ To develop and implement a common route book harmonised for the Munich –Verona corridor section and beyond, further into the corridor.</li> <li>⇒ Develop and implement common route knowledge requirements for train drivers to be certified upon for the Munich –Verona corridor section and beyond, further into the corridor;</li> <li>⇒ Identify national rules (if any) that are problematic for a common approach to route knowledge for Munich-Verona stretch;</li> </ul>

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	<p>Lack of harmonisation of Munich-Verona route knowledge and route book information reduce the capacity and flexibility for seamless train operations. Information requirements in relation to or based upon national rules increase unnecessarily the diversity of route knowledge and the information contained in route books. Unjustified national rules create obstacles and barriers to smooth operations.</p> <p>The 4<sup>th</sup> Railway Package (4RP) has set up a framework for eliminating non-compliant or superfluous national rules from MSs' legal frameworks and eventually, from the list of training and certification requirements for train drivers. Work between individual Member States and the European Railway Agency (ERA) is in progress to reduce national rules to a minimum.</p>	<p><i>infrastructure information through RINF</i></p>	<p>⇒ The route book should allow for potential alternative routes in case of contingency with a similar way of details as for main routes (updated contingency plans).</p>
<p><b>3. Brake calculation</b></p>	<p><i>Problem definition:</i> National rules or IM rules (imposed through network statements or other) for brake calculation force RUs to modify braking performances of trains at the border.</p>	<ul style="list-style-type: none"> <li>• ERA delivered an "Acceptable Means of Compliance" on braking in December 2021.</li> <li>• USB (Unified Braking scheme) CEF TA project led by DB Cargo: analysed all national rules and IM rules at EU level; implemented a pilot train on RFC1 route with harmonised braking scheme; developed an IT tool for its calculation and a methodology to be applied by RUs; will deliver a blue print and a training for staff for RUs and IMs by mid-2022.</li> <li>• ERA finalisation of the analysis of national rules and, where necessary, Technical Opinion to be issued according to Art. 26 of ERA regulation (EU) 2016/796.</li> </ul>	<p>⇒ <b>Common braking performance applicable to the Munich –Verona corridor section.</b></p> <p>⇒ Identification of IT, AT or DE national rules or IM rules that still hinder the implementation of a Unified braking scheme along Munich-Verona stretch</p> <p>⇒ Remove of national rules where possible or harmonise them at corridor level.</p> <p>⇒ Modification of RUs and IMs SMS to implement a "unified braking scheme" for the Brenner stretch.</p>
<p><b>4. Vehicle authorisations and safety certificates</b></p>	<p>The <b>Interoperability Directive 2016/768 (IOD)</b> together with the <b>ERA Regulation 2016/797</b> ensure EU-level vehicle authorisations and RU safety certificates issued by ERA for areas of use/operation of one or more MS, based on European and (limited) national rules and through harmonised channels (ERA One stop shop).</p>	<ul style="list-style-type: none"> <li>• <u>TSI revision package 2022:</u> Further harmonisation of interoperability requirement with TSI revision planned in 2022.</li> <li>• <u>National rules:</u> ERA and individual MS "negotiate" the elimination of redundant, non-compliant national rules for vehicles (to be finalised</li> </ul>	<p>⇒ <b>Identification of remaining IT, AT or DE national rules complying with 4RWP but still hindering the implementation of harmonised and seamless operations between Munich and Verona (applying to vehicle authorisation and RU</b></p>

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	<p>Long-term target is European operators run harmonised European trains on EU network. National rules will be linked to infrastructure peculiarities only.</p> <p><i>Problem definition:</i> Various national specific requirements for vehicle authorisation hamper interoperability and cause additional costs for RU and can be considered as a restriction in the access to the network. Notified national technical rules" (NNTR) raise RU and manufacturers investment cost.</p> <p>Even where the authorisation process is carried out by ERA, specific national rules for vehicle authorisation remain valid and trigger NSA intervention in the authorisation/certification processes. Might lead to additional investments in specific vehicle equipment. In principle, this is a topic relevant for all border crossing for rail transport. Due to the fact that most of the traffic on Brenner Corridor is involving at least three countries and the number of relevant NNTR is high, the problem here is more relevant than on other routes</p> <p>As example, there are still some elements remaining in the TSI SRT (tunnels) revision linked to Italian specific case on vehicle fire protection.</p>	<p>early 2022) and safe operation (mid 2022). Those national rules concerning fixed installations (infrastructure technical specifications in TSI SRT, TSI INF and ENE) are being assessed in parallel.</p> <p><i>Background:</i> with 4RP implementation in whole EU rail network since 1 November 2020, the single authorisation for vehicles delivered by ERA covers the areas of use for vehicles in as many Member States as requested by an applicant.</p> <p><i>Removal of National Rules not compliant with 4RWP and general reduction of NNTRs; further harmonised NNTRs on Brenner Corridor is necessary.</i></p> <p><i>Similarly, for single safety certificates for railway undertakings, national safety and operational rules are under review and elimination of non-compliant, redundant national rule will allow for harmonised operation and help increasing efficiency.</i></p> <p><i>The ongoing work for more harmonisation at EU level will be reflected in the TSI 2022 revision, which will achieve further alignment of rules, in particular as concerns ERTMS, digital issues such as automated driving and in relation to increasing the efficiency of freight operations.</i></p>	<p>certification), and work to further harmonise them;</p> <p>⇒ With the transposition of the 4RP by 31 October 2020, redundant national technical rules for rolling stock and train operations should have ceased to exist for current and future operations on the Munich-Verona stretch.</p>
<p><b>5. Technical checks at the border</b></p>	<p><i>Problem definition:</i> Checks at the border are mainly linked to national rules, imposing national specific procedures to be followed or specific checks to be performed. The 4RP is designed to render redundant border checks based on ERA authorisation and certification based on more and more harmonised provisions and their implementation. In the past "trusted handover" reduced checks at the border in the absence of ERA authorisations and certificates covering the cross-border operations.</p> <p><i>Current operations:</i> Despite the scarce infrastructure possibilities the border station of Brenner had been considered as a "natural"</p>	<p>Commission and the ERA are working on:</p> <ul style="list-style-type: none"> <li>ERA analysis (to be finalised early 2022) of national rules on tests and checks in Germany, Austria and Italy and elimination of non-compliant rules with harmonisation by TSIs and the 4RP. Only safety and operational rules that comply with 4RP as implemented by Appendix I of OPE TSI Regulation (EU) 2019/773 and the RID Regulation for dangerous goods shall remain in application. ERA will deliver negative Opinion on non-compliant rules and COM will adopt, if required,</li> </ul>	<ul style="list-style-type: none"> <li>Identification and elimination of national rules triggering technical checks and tests at the border areas DE-AT and AT-IT.</li> <li>For Munich – Verona stretch: agree on EU rules as baseline for checks and tests, define implementation methods to eliminate border stops for tests and checks ensuring route compatibility for the Munich – Verona stretch as a whole.</li> <li>Align parking fees for trains in AT, IT and DE with respect to BBT operations</li> </ul> <p>Brenner should be operated under "One structure, one set of common operating rules":</p>

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	<p>stop, used to perform tests and checks to switch from the Italian to the Austrian operations and vice-versa.</p> <p>RU relayed on trusted handover between different operations (despite operators on each side of the border sometimes belonging to the same holding).</p> <p>As example, an Italian directive requires the <b>intermediate inspection of dangerous goods</b>, which is today carried out at Brenner station. Interested parties need to check with Italian authorities if the inspection is still needed, how it can be done and if it can be located elsewhere e.g. in the origin/destination terminal in Italy.</p> <p><u>Future operations:</u> The future BBT system will no longer enable checks at the border. A complete list of topics of current checks has to be elaborated together with RUs and authorities that need to be delocalised.</p> <p>E.g. it seems that because Germany and Italy request parking fees for trains, operators doing checks and tests prefer Austrian parking premises which leads to congestion on the AT part where no parking fees are due.</p>	<p>implementing acts according to Article 26 of ERA regulation.</p> <ul style="list-style-type: none"> <li>ERA delivered in December 2021 as Acceptable Means of Compliance (AMOC) under chapter 4.4 of the Annex of OPE TSI Regulation (EU) 2019/773 in December 2021 a harmonised procedure for trusted handover.</li> </ul>	<ul style="list-style-type: none"> <li>cleaned operating rules with aligned set of national rules or EU only operating rules;</li> <li>No more checks and tests at Brenner stretch borders required;</li> <li>Seamless operations based on common rules implemented throughout the Munich – Verona stretch and beyond, at corridor level.</li> </ul>
<p><b>6. Second person in driver's cabin</b></p>	<p>The Italian Law 81/2008 and the Decreto 19/2011 related to "safety at work" requires the IM and the RUs to ensure that "emergency care [is provided to a train driver] as soon as possible". The Union „Organizzazione Sindacati Autonomi e di Base (Orsa)" argues that this can only be assured with a second person in addition to the driver in the cabin for freight trains. For that reason, some Italian regional or local health authorities require a second person cabin crew as an implementation option.</p> <p>The Italian ministry of infrastructure answered officially to the director of RFC1 (Mr. Hondebrink) on 20/11/2019 with detailed information on the above.</p>	<ul style="list-style-type: none"> <li><u>Issues Log Book</u> assessment and alternative measures definition (if required by risk assessment);</li> <li><u>General requirement for a second person</u> in addition to the driver is non-compliant with IOD and OPE TSI, and considered as not justified by essential requirements (safety, health at work, etc.)</li> <li>National rules elimination procedure following Article 26 of ERA regulation, through ERA Negative Opinion.</li> </ul>	<p>⇒ <b>Eliminate the need for a second person in the driver's cabin when running across sections of the Brenner corridor in Italy.</b></p>



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	<p><i>Problem definition:</i> The requirement which might be related to issues such as health &amp; safety at work, working time or liability is not mandatory anywhere else in Europe. The second person-requirement creates unduly delays and extra cost for rail compared to road where such requirements do not exist. If not solved by the opening of the BBT it will result in either an additional stop to pick up the second driver or additional costs in transporting that person on sections in Germany and Austria where second drivers are not required.</p>		
<p><b>7. European Train Control-command and Signalling System (ETCS)</b></p>	<p>Parts of the Brenner line are already equipped with ETCS – in parallel to the class B system. Implementing Decision (EC) 2017/6 requires Member States to coordinate the development on cross border sections.</p> <p>Reversing across RBC borders (is not foreseen for ETCS L2). RBC handovers in tunnel systems lead to a restriction of capacity for reasons of tunnel safety aspects (and should be therefore avoided).</p> <p>Technical considerations for the Italian section will have to be coordinated with the Austrian system already installed, the planned system for the BBT and finally also with the German system foreseen for the (Kufstein) – AT/DE-border – München section.</p> <p>The German Minister of Transport expressed to equip the existing line München – Rosenheim – DE/AT border with ETCS to realize the capacity needs by 2030 and assured that the finance for equipping the German lines of the ScanMed corridor by 2030 will come from the “starter kit” finance recently agreed between Germany and German Rail.</p>	<ul style="list-style-type: none"> <li>• <u>2022 TSI revision package</u> will cover harmonisation of operational rules, including ERTMS and Appendix A of OPE TSI on ERTMS operating principles.</li> <li>• <u>ETCS Level 2:</u> Italy announced to equip the existing Brenner line with ETCS and confirmed that the coordination with Austria, RFI and ÖBB, BBT SE as well as with the RUs will take place in the framework of the Brenner Corridor Platform.</li> <li>• Mid 2021: ERTMS working group started its activities</li> <li>• ERA analysis of the national rules and, where necessary, ERA negative Technical Opinion to be issued requesting their removal</li> </ul>	<p><b>In the light of the expected completion of the ERTMS deployment on the Munich-Verona section of the Brenner:</b></p> <ul style="list-style-type: none"> <li>⇒ adapt and harmonise operating rules (Appendix A of OPE TSI).</li> <li>⇒ Identify national technical, operational and safety rules to be analysed for the Munich-Verona stretch part of Brenner for ETCS</li> <li>⇒ Harmonisation of ERTMS implementation rules for the Munich-Verona stretch.</li> <li>⇒ Harmonise ERTMS operational rules over Brenner section and beyond, at further corridor level.</li> </ul>
<p><b>8. BBT - harmonisation of technical parameters, safety standards and operational</b></p>	<p>It is widely expected that the BBT’s infrastructure will comply with TSI and TEN-T requirements for Core Network Corridors in terms of gauge, electricity, ERTM, and will not create gaps due to</p>	<p>Since 2005 <u>multi-system locomotives</u> are in use between Munich and Verona. These locos are able to run in Germany, Austria and Italy with only a small stop at Brenner station.</p>	<ul style="list-style-type: none"> <li>⇒ Agree on common requirements for the infrastructure (new and upgraded) based on TSI and other EU standards, and harmonise beyond</li> </ul>

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<p>rules (OPE TSI etc.)</p>	<p>contradicting line parameters in Austria and Germany.</p> <p>However, on the Italian side certain issues are open such as the frequent change of trains between sections where the new infrastructure will be built (e.g. electricity 25kv AC) and the existing line (3kv DC).</p> <p><i>Problem definition:</i></p> <p>Along the Brenner corridor (Munich – Verona) for both the existing and new infrastructure, the harmonisation of the technical parameters of the infrastructure is still an issue, in particular at the Italian side for the existing lines:</p> <ul style="list-style-type: none"> <li>• Electricity parameters (realisation of harmonisation 2030-2040 only, for which operators need more detailed planning security for locomotive purchase);</li> <li>• Overtaking areas for the future running of 740m trains,</li> <li>• Pantograph geometry. Different power supply in DE/AT in respect to IT requires to switch locomotives or use of multi-system locomotives.</li> <li>• Thoroughgoing 25 t/axle</li> <li>• Elimination of the 1.600 tonnes restriction at Radfeld - Innsbruck</li> </ul>	<p>However, RU require the Brenner station to be upgraded with a switchable AC/DC power supply system so that the locos may run "through" or their stopping time is further reduced and a shunting loco avoided. Until now, the stopping time is also used for removal of the pushing loco, change of the drivers and inspection purposes, but if all these items were solved the stopping would be avoided.</p>	<p>were the leave options;</p> <p>⇒ <b>In depth study of the situation in the terms of electrification of the Italian part of Brenner and solutions to be provided, such as for example installation of a switchable AC/DC power supply.</b></p>
<p><b>9. Longer and heavier trains</b></p>	<p><i>Problem definition:</i> The inclination and trace of the track together with the (distributed) power of locomotive hauled trains limits the overall length and weight of intermodal freight trains at about 550 m and 1650 tons. IMs, RUs and safety authorities have increased this value over the last years and achieved that both directions are almost harmonised in order to allow a rotation of the wagon set in "shuttles".</p>		<p>⇒ <b>Allow running of 740 m long freight trains in regular operation at any time (without time-table restrictions) on the entire line Munich – Verona together with opening of the BBT</b></p> <p>⇒ In depth study to identify which parts of the existing lines do not provide sufficient long overtaking and train forming tracks. Include the upgrade of those sections and nodes (e.g. "Kirchseeon", "Fischbach (Inn)") as part of the BVWP 2030 project N° 2-050-V01 "740m</p>

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			<p>program"). This analysis is part of a wider task being handled in BCP WG Infra: based on corridor forecasts, operational concepts will help to identify missing infrastructure elements in 2030+.</p> <p>⇒ In depth study to <u>enlarge the loading gauge</u> (gabarit) of the infrastructure to allow the transport of the highest trucks accepted for European cross border transport (4 meter height), as well as High-cube containers - the so called "P/C 400" profile since about the year 2000, which has led to an enormous increase of the share of those trailers on rail. RFI strategy is to continue upgrading that infrastructure parameter from North to South so that more and more terminals can be served via the Brenner. All remaining sections with less than P400 profile are located in the south of Italy while the rest of the ScanMed corridor is suited for it already.</p>
<p><b>10. Confidence trains 'seamless handover' to terminals</b></p>	<p><i>Problem definition:</i> currently stops at the border are used to exchange documentation and information on the train.</p> <p>Enhancement of digitalisation through TAF performances required to ensure efficient train handover at borders and to/from terminals.</p> <p>Train tracking and tracing in terms of Train running information, Train Composition, Estimated time of arrival ETA / ETI.</p>	<ul style="list-style-type: none"> <li>• <u>CEF TA:</u> Issues Log Book project "Enhanced real-time communication about train composition and estimated time of arrival, Digital Train 1.0 and Digital Train 2.0" has improved exchange of train information messages between IMs, including train composition for handover as for provisional situation.</li> <li>• <u>Linking train information on TIS</u> (Train Info System, on-line application with APIs): Train Running Info including Train positioning, Train Composition Message, ETA (ETI) – results of Issues Log Book CEF TA and ELETA (all info available early 2022)</li> </ul>	<p>⇒ <b>Stop-less running of trains from Munich to Verona by end-2022</b></p>
<p><b>11. ScanMed RF Corridor Brenner axis Task Force – Traffic Management and Terminal Optimisation</b></p>	<p>Capacity: Purely national approach in respect of track, stations, locos, loco driver capacity, reduces the capacity of the Munich-Verona stretch and the corridor as whole or even the wider European network.</p> <p>TCR coordination: better</p>	<ul style="list-style-type: none"> <li>• <u>Scan-Med corridor:</u> Creating an integrated and holistic Traffic Management along the Brenner Axis. Integrate as if traffic operation from Verona - Munich was managed out of one hand in a seamless operation approach.</li> </ul>	<p>⇒ <b>Joint management of traffic capacity, including short term needs and contingency</b></p> <p>Visibility along the whole Brenner axis would help to anticipate shortages and bottlenecks.</p> <p>➤ Analysis of Status Quo 2021</p>

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	<p>coordination is possible. Closings of Brenner axis for TCRs should consider all transport modes.</p> <p><i>Problem definition:</i></p> <p><u>Traffic Management:</u> Dispatching at DB Netz, ÖBB</p> <p>Infra and RFI in isolation without view to neighbours. Prioritisation of trains e.g. in context of line closures steered by view on national sections of Brenner.</p> <p><u>Incident Managements</u> (non-ICM): Need for faster information on delays and incidents to be able to re-allocate resources. No full coordination of solutions to delays and incidents: commitment to use European tools.</p> <p>Communication: Need for a coordinated communication between DB Netz, ÖBB Infra and RFI. National decisions are affecting the whole corridor traffic.</p> <p>A new socio-economic framework (Green deal, Road transport issues, ...) brought a newly recognized need to improve competitiveness of Brenner axis NOW – Cannot wait for BTT.</p>	<ul style="list-style-type: none"> <li>• <u>Rail terminals:</u> Improve capacity and connectivity of rail terminals along the Brenner Axis. Consider terminals as part of the system and identify capacity needs as well as required improvements for their connectivity to the Brenner traffic system.</li> </ul>	<ul style="list-style-type: none"> <li>➤ Develop Solutions 2022</li> <li>➤ Run Pilot Project 2023</li> <li>➤ Implementation Learnings 2023</li> </ul>
<p><b>12. Capacity management</b> including maintenance works</p>	<p><i>Problem definition:</i> lack of agreements related to the general allocation of train paths (under the condition of an intensive mixed traffic), and strategic coordination (on corridor level) of maintenance works;</p>	<p>Based on the results of RFC Task force elaboration of a trilateral agreement (general goals based related to capacity and the shift between different traffic types) as a basis for the superordinate traffic management process and system.</p>	<ul style="list-style-type: none"> <li>⇒ <b>Common (coordinated) traffic management for the Munich –Verona corridor section.</b></li> <li>⇒ <b>Improvement of re-planning of cancelled paths due to construction works</b></li> </ul>
<p><b>13. Superordinate train disposition</b> (traffic management dispatching process and system)</p>	<p>Pure national and in general insufficient coordinated dispatching of trains in the context of the Brenner corridor.</p> <p>Should be improved before put in service of BBT (taskforce RFC), and must be implemented latest when putting in service of BBT. If not, more problems than today, e.g. related to capacity and traffic management.</p> <p>The implemented new infrastructure requires in any case a new superordinate system for coordination and prioritisation, in particular in case of deviations and irregularities.</p> <p>The implementation of a</p>	<p>Implementation at scan-med corridor level of a Superordinate train disposition (dispatching process and system) could be done in a 2-step approach:</p> <ul style="list-style-type: none"> <li>• On the short term, better coordination of dispatching based on existing systems and software through a closer coordination of dispatchers at the different IMs based on changes to procedures.</li> <li>• On the medium to long term, a more far-reaching approach for a fully integrated dispatching of train along the entire Brenner corridor, involving also additional</li> </ul>	<ul style="list-style-type: none"> <li>⇒ <b>Common traffic management for the Munich –Verona corridor section.</b></li> </ul>

Issue	Description of the barrier/issue	Ongoing related activities	Expected outputs
	superordinate train disposition system is one of the most important issues for the functionality of the corridor, the capacity goals and economic operation.	systems and software (e.g. a common dispatching centres and the supporting systems needed).  <i>Background: Both solutions should be fully coordinated: insights from the short-term solution should inform the medium/long-term solution. The short-term solution should be take into account the state-of-play of planning for the long-term solution. They should also take full account of the ongoing activities on traffic management of Europe's Rail Joint Undertaking.</i>	
<b>14. Infrastructure alignment to operation</b>	In relation to the operational issues: <ul style="list-style-type: none"> <li>• Overtaking tracks</li> <li>• Buffering tracks to optimize capacity use in the BBT</li> <li>• Tracks/yards for traction strengthening/weakening</li> <li>• Tracks/yards for driver rest</li> </ul>		Infrastructure ensuring the best efficient and economic operation.
<b>15. Role of historical line / Brenner station</b>	<ul style="list-style-type: none"> <li>• Maintenance &amp; contingency concept</li> <li>• Handing over of trains with single system locomotives</li> <li>• Pushing service Bolzano-Brenner</li> </ul>		

## 2. Objectives – Themes and priorities – Activities that can be funded – Expected impact

### Objectives (expected outcome)

Pilot project - Single European Railway Area - Prototype Corridor Munich-Verona. The objective of the pilot projects under this grant shall be to support generating knowledge and invaluable lessons assisting to accelerate the ongoing completion of the Single European Railway Area on the Rhine Alpine rail corridor, and in particular between on the Munich and Verona stretch. Based on obstacles identified in the Commission's Brenner issues list, individual projects shall implement long term solutions designed to ensure seamless rail operations without technical and train operation-induced (border) stops on the entire stretch of almost 500 km crossing 2 EU internal borders. Moreover, high efficiency and effectiveness of rail operations by way of cross border traffic management cooperation shall be a final goal. **The pilot project(s) should identify and address shortcomings within the rail ecosystem paying attention to cross-border operations with the aim to establish solutions for the most efficient use of the rail infrastructure on the Munich Verona stretch and beyond.**

Three Member States and five regions (DE/Bavaria, AT/Tyrol and IT/Trentino-Alto Adige, Veneto) would be involved along the corridor stretch that includes one of the flagships of the TEN-T infrastructure cross-border construction projects: the Brenner Base Tunnel.

### Themes and priorities (scope)

#### Increased interoperability:

The approach is based on the Commission's Brenner issues list to link it to similar efforts at European level. Following the issues list ensures that all aspects and needs are considered on an equal footing as identified. Action may involve the entire transport chain (terminals, rail and transport operators, etc.), as well as infrastructure managers and regulatory bodies and take into account of the needs of customers of rail service

Applicants for projects should pick from issues jeopardising the efficiency of the transport chain and may involve regulatory bodies, in particular the national safety authorities of the 3 Member States involved (ANSF/IT - Agenzia Nazionale per la Sicurezza delle Ferrovie e delle Infrastrutture Stradali e Autostradali, EBA/DE - Eisenbahn-Bundesamt, BMK/AT - Oberste Eisenbahnbehörde).

These projects need to implement long-term solutions and disseminate lessons learned, in form of Brenner corridor instructions and guidance, or if more advanced, in jointly agreed "acceptable means of compliance" potentially also applicable at other corridors (European AMOCs), and finally legislative proposals at EU level, if such is required. Examples for solutions should be agreements by authorities and infrastructure managers to e.g. align RINF infrastructure descriptions, issue a joint route book, agree joint braking sheets and technical requirements for rail interlockings, etc.. In order to optimise the performance of a cross-border European rail infrastructure there should be a change of focus on regulatory and operational/safety measures, including cooperation to repeal obsolete redundant national rules or infrastructure instructions/company rules.

These actions should result in effective implementation of the Railway Safety Directive (Directive (EU) 2016/798), the Interoperability Directive (Directive (EU) 2016/797) and the technical specification for interoperability for operation and traffic management (Commission Regulation (EU) 2015/995 and its future revision) with a view to resolving the issues and priorities included in the Commission table on Brenner's issues. The attractiveness and reliability of rail should thereby be improved.

#### Improved traffic Management

The final goal will be to assess the potential for a European rail legal framework paving the way for joint corridor traffic management beyond the provisions on cooperation between regulatory bodies defined in Article 57 of Directive 2012/34/EU, and establish a joint set of rules for the corridor infrastructure on the three jurisdictions responsible for the Munich –Verona stretch (and beyond).

Each project shall attempt to cover 3 jurisdictions and justify its benefits in relation to the overall goal of capacity increase, stopples traffic and seamless border crossing. Thus, the actions proposed would be complementary to the ongoing work covering the Munich–Verona Corridor in the context of Scandinavian-Mediterranean rail freight corridor and Scandinavian-Mediterranean core network corridor.

It would also complement the European "Issues Logbook" initiative of the Commission, which aims to identify interoperability barriers negatively affecting

cross-border rail traffic and to address them with solutions, which can be implemented in the short term.

The methodology that emerges over the course of the work should be closely documented so the output will go beyond producing a recipe to optimise the pilot route in order to provide a European best practice guideline potentially applicable throughout the entire Single European Railway Area.

#### Specific objectives

In its current form, the proposal consists of identifying the needs of users both in passenger and freight transport, of defining and implementing long-term solutions on the Brenner route (Munich–Verona) and of disseminating the lessons learned in a best practice guideline for implementation throughout the Single European Rail Area.

There should be a change of focus on regulatory and operational approaches with the aim to optimise the performance of cross-border European rail services, to ensure the best possible use of rail infrastructure through efficient operations at corridor level. As an ultimate goal solutions for the entire EU rail network, in particular lines included in the TEN-T networks and the EU rail freight corridors should be developed.

Besides, the elimination of obstacles to rail interoperability there could be pilots establishing a joint set of rules for the corridor infrastructure spanning 3 jurisdictions and common or closely coordinated rail traffic management. Currently there is no legislative provision on this type of joint arrangements

Thus, the actions proposed would be complementary to the ongoing work covering the Munich–Verona Corridor in the context of Scandinavian-Mediterranean rail freight corridor and Scandinavian-Mediterranean core network corridor. It would also complement the "Issues Logbook" initiative of the Commission, which aims to identify interoperability barriers negatively affecting cross-border rail traffic and to address them with solutions, which can be implemented in the short term

This fine-tuning of the approach is required to make the tasks more specific as otherwise the action could overlap with existing legal acts, including notably

- Regulation (EU) No 913/2010 which establishes rail freight corridors, including a governance structure involving most stakeholders active in international rail freight transport and with some competences in consulting applicants, and basic functions regarding the management of rail capacity and traffic, the coordination between rail and terminals and the monitoring of performance of rail freight services

- Regulation (EU) No 1315/2013 of the European Parliament and of the Council which establishes 'core network corridors' covering the most important long-distance flows in the core network and intends to improve cross-border links within the Union. Article 46(2) of that Regulation authorises European Coordinators to set up working groups focusing on modal integration, interoperability and the coordinated development of infrastructure in cross-border sections. **Such a working group has already been set up for the Munich–Verona section in the form of the Brenner Corridor Platform and thus cannot be supported through the pilot project**

#### Activities that can be funded (scope)

The project shall be implemented through one major activity, i.e. the development of solutions to harmonise operational feature that currently hinder interoperability in rail transport.

This may include in particular:

- Development and implementation of pilot projects, deployed in a timeline of 12 to 24 months, including tests on site where relevant, where clearly identified and described as output of a project;
- Development and implementation of IT tools or specifications for IT systems, where clearly identified and described as output of a project;
- In order to achieve the activities above, it may also include
  - Training of staff;
  - Studies, analyses;
  - Methodologies to transfer the knowledge from projects to other geographical areas/entities or at European level;
  - Workshops or seminars, where necessary.

The proposal should include an initial planning of the pilot projects, indicating clearly the tasks to be performed in relation to the eligible activities, including, where appropriate, the cooperation role envisaged for the European Union Agency for Railways.

To be eligible for funding the pilot project shall concern one or more of the issues contained in the Commission issues list of Brenner available in section 1 "Background", related to the achievement of Single European Railway Area: each of its 15 lines is defined as one Issue of the Brenner list.

Other items that are not explicitly listed above could also be eligible, provided they tackle important issues for seamless cross-border between Italy, Austria and Germany and relates to technical and operational interoperability as described in chapter 2 of this call for grants "Objective(s) – Theme(s) – Priorities".

Each pilot project should cover at least one issue; a combination of issues is also possible.

Proposals should include a clear process work between the participants designed to deliver concrete operational solutions to the issues identified. They should set out the tasks to be performed, number of meetings and workshops foreseen, IT tools and test runs where necessary. Each proposal shall also build on the already available information and results already achieved by ongoing activities – as also described in the table, and avoid duplication of work.

The outcomes of the pilot project should clearly indicate the solution to the issue(s) tackled in a well-documented form (written report, web or IT tool) containing procedures or good practices or other necessary means necessary to be shared at EU level for the implementation of the proposed solutions by all potential stakeholders. Where no solution can be found, the reasons for this should also be clearly recorded. The outcomes must be part of the final report. The results must be made publicly available, to allow the deployment of solution at corridor and European level by all interested stakeholders.

A final conference, such as in the framework of the Brenner Corridor Platform, could be organised at the end of the programme for sharing of identified solution and their implementation.



Given the overriding objective of promoting interoperability, where the action covers areas under its scope, the project will be expected to cooperate with European Union Agency for Railways (ERA), in order for ERA to provide support to the Commission in examination of project's results and give guidance to the implementation of European legal framework in the context of the solutions proposed by the Pilot projects, in particular where national operating rules are identified as to be eliminated or modified.

The following activities are NOT eligible under this action:

- Lobbying
- Activities already funded by other EU funding mechanisms.

In view of the requirements on separation of accounts set out in the Directive 2012/34/EU of the European Parliament and of the Council of 21 November 2012 establishing a single European railway area (Recast), where rail infrastructure management and transport operations are part of a vertically integrated undertaking, the beneficiary shall demonstrate that grants provided to the railway infrastructure manager are not transferred directly or indirectly to any other entity of the vertically integrated undertaking.

### 3. Available budget

The total budget earmarked for the co-financing of projects under this call for proposals is estimated at **EUR 600.000** as provided for in the COMMISSION DECISION C (2021) 4002 of 8.6.2021 on the financing of five pilot projects in the field of transport for 2021 under budget line 02.200100.PP02 21 08: Pilot project - Single European Railway Area - Prototype Corridor Munich-Verona.

The Commission expects to fund a maximum of 3 proposals.

We reserve the right not to award all available funds, depending on the proposals received and the results of the evaluation.

### 4. Timetable and deadlines

Timetable and deadlines (indicative)	
Call opening:	January 2022
Deadline for submission:	<u>15 March 2022 – 17:00:00 CET</u> (Brussels)
Evaluation:	March - April 2022
Information on evaluation results:	April-May 2022
GA signature:	May - June 2022

### 5. Admissibility and documents

Proposals must be submitted before the **call deadline** (see *timetable section 4*).

Proposals must be **complete** and contain all the requested information and all required annexes and supporting documents:

- Application Form— contains administrative information about the participants (future coordinator, beneficiaries and affiliated entities), and the technical description of the project
- annexes and supporting documents:
  - general budget overview (based on the model published with this call)
  - detailed budget table per WP (based on the model published with this call)
  - timetable/Gantt chart (based on the model published with this call)
  - CVs of core project team
  - activity reports of last year (unless exempted from operational capacity check; *see section 7*)

Your application must be **readable, accessible and printable**.

You may be asked at a later stage for further documents (*for legal entity validation, financial capacity check, bank account validation, etc.*).

## **6. Eligibility**

### Eligible applicants (eligible countries)

In order to be eligible, the applicants (beneficiaries and affiliated entities) must:

- be legal entities (public or private bodies)
- be established in one of the eligible countries, i.e.:
  - EU Member States (including overseas countries and territories (OCTs))

Other entities may participate in other consortium roles, such as associated partners, subcontractors, third parties giving in-kind contributions, etc (*see section 13*).

Moreover:

- participation in any capacity (as beneficiary, affiliated entity, associated partner, subcontractor or recipient of financial support to third parties) is limited to entities from eligible countries
- entities must not be directly or indirectly controlled from a country that is not an eligible country
- project activities (included subcontracted work) must take place in eligible countries (*see section geographic location below and section 10*)
- the Grant Agreement may provide for IPR restrictions (*see section 10*).]

### Consortium composition

The applicant consortium must include at least 2 of the following types of entities:

- Ministries of the 3 Member States involved (IT/AT/DE);
- National safety authorities of the 3 Member States involved (ANSF/IT - Agenzia Nazionale per la Sicurezza delle Ferrovie e delle Infrastrutture Stradali e Autostradali, EBA/DE - Eisenbahn-Bundesamt, BMK/AT - Oberste Eisenbahnbehörde)

- Infrastructure managers (as defined in point (2) of Article 3 of Directive 2012/34/EU) belonging to one of the 3 Member States involved (IT/AT/DE);
- Railway undertakings (as defined in point (1) of Article 3 of Directive 2012/34/EU, and any other public or private undertaking, the activity of which is to provide transport of goods and/or passengers by rail on the basis that the undertaking is to ensure traction; this also includes undertakings which provide traction only) and transport operators active in at least one of the 3 Member States involved (IT/AT/DE);
- Logistic providers and freight forwarders active in at least one of the 3 Member States involved (IT/AT/DE);
- Data analysts and IT specialists.

### Eligible activities

Eligible activities are the ones set out in section 2 above.

Projects should take into account the results of projects supported by other EU funding programmes. The complementarities must be described in the project proposals (Part B of the Application Form).

Projects must comply with EU policy interests and priorities (*such as environment, social, security, industrial and trade policy, etc.*).

Financial support to third parties is not allowed.

### Geographic location (target countries)

A project shall have a geographical coverage of at least 2 out of the 3 Member States involved: Italy, Germany Austria.

Duration

- Project duration: up to 24 months (extensions are possible, if duly justified and through an amendment).
- activities must start between 15<sup>th</sup> March 2022 and 1<sup>st</sup> June 2022;
- activities are to be completed by 31<sup>st</sup> December 2024;

Applications for projects scheduled to run for a longer period than that specified in this call for proposals will not be accepted.

### Project budget

Project budgets (maximum grant amount) are expected to range between EUR 200.000 and EUR 600.000 per project.

## **7. Financial and operational capacity and exclusion**

### Financial capacity

Applicants must have **stable and sufficient resources** to successfully implement the projects and contribute their share. Organisations participating in several projects must have sufficient capacity to implement all these projects.

The financial capacity check will be carried out on the basis of the documents you will be requested to provide during grant preparation (*e.g. profit and loss account and balance sheet, business plan, audit report produced by an approved external auditor, certifying the accounts for the last closed financial year, etc.*).

The check will normally be done for all beneficiaries, except:

- public bodies (entities established as public body under national law, including local, regional or national authorities) or international organisations
- if the individual requested grant amount is not more than EUR 60 000.

If needed, it may also be done for affiliated entities.

If we consider that your financial capacity is not satisfactory, we may require:

- further information
  - an enhanced financial responsibility regime, i.e. joint and several responsibility for all beneficiaries or joint and several liability of affiliated entities (*see below, section 10*)
  - prefinancing paid in instalments
  - (one or more) prefinancing guarantees (*see below, section 10*)
- or
- propose no prefinancing
  - request that you are replaced or, if needed, reject the entire proposal.

### Operational capacity

Applicants must have the **know-how, qualifications** and **resources** to successfully implement the projects and contribute their share (including sufficient experience in projects of comparable size and nature).

This capacity will be assessed together with the 'Quality' award criterion, on the basis of the competence and experience of the applicants and their project teams, including operational resources (human, technical and other) or, exceptionally, the measures proposed to obtain it by the time the task implementation starts.

If the evaluation of the award criterion is positive, the applicants are considered to have sufficient operational capacity.

Applicants will have to show their capacity via the following information:

- general profiles (qualifications and experiences) of the staff responsible for managing and implementing the project
- description of the consortium participants
- applicants' activity reports of last year

Additional supporting documents may be requested, if needed to confirm the operational capacity of any applicant.

Public bodies, Member State organisations and international organisations are exempted from the operational capacity check.

### Exclusion

Applicants which are subject to an **EU exclusion decision** or in one of the following **exclusion situations** that bar them from receiving EU funding can NOT participate<sup>2</sup>:

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<sup>2</sup> See Articles 136 and 141 of EU Financial Regulation [2018/1046](#).

- bankruptcy, winding up, affairs administered by the courts, arrangement with creditors, suspended business activities or other similar procedures (including procedures for persons with unlimited liability for the applicant's debts)
- in breach of social security or tax obligations (including if done by persons with unlimited liability for the applicant's debts)
- guilty of grave professional misconduct<sup>3</sup> (including if done by persons having powers of representation, decision-making or control, beneficial owners or persons who are essential for the award/implementation of the grant)
- committed fraud, corruption, links to a criminal organisation, money laundering, terrorism-related crimes (including terrorism financing), child labour or human trafficking (including if done by persons having powers of representation, decision-making or control, beneficial owners or persons who are essential for the award/implementation of the grant)
- shown significant deficiencies in complying with main obligations under an EU procurement contract, grant agreement, prize, expert contract, or similar (including if done by persons having powers of representation, decisionmaking- or control, beneficial owners or persons who are essential for the award/implementation of the grant)
- guilty of irregularities within the meaning of Article 1(2) of Regulation No [2988/95](#) (including if done by persons having powers of representation, decisionmaking- or control, beneficial owners or persons who are essential for the award/implementation of the grant)
- created under a different jurisdiction with the intent to circumvent fiscal, social or other legal obligations in the country of origin or created another entity with this purpose (including if done by persons having powers of representation, decisionmaking- or control, beneficial owners or persons who are essential for the award/implementation of the grant).

Applicants will also be refused if it turns out that<sup>4</sup>:

- during the award procedure they misrepresented information required as a condition for participating or failed to supply that information
- they were previously involved in the preparation of the call and this entails a distortion of competition that cannot be remedied otherwise (conflict of interest).

## 8. Evaluation and award procedure

The proposals will have to follow the **standard submission and evaluation procedure** (one-stage submission + one-step evaluation).

An **evaluation committee** will assess all applications. Proposals will first be checked for formal requirements (admissibility, and eligibility, *see sections 5 and 6*). Proposals found admissible and eligible will be evaluated against the operational capacity and award criteria and then ranked according to their scores (*see sections 7 and 9*).

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<sup>3</sup> Professional misconduct includes: violation of ethical standards of the profession, wrongful conduct with impact on professional credibility, false declarations/misrepresentation of information, participation in a cartel or other agreement distorting competition, violation of IPR, attempting to influence decision-making processes or obtain confidential information from public authorities to gain advantage.

<sup>4</sup> See Article 141 EU Financial Regulation [2018/1046](#).

For proposals with the same score a **priority order** will be determined according to the following approach:

1. Score obtained under the 'Priority and urgency' criterion
2. Score obtained under the 'Maturity' criterion
3. Score obtained under the 'Impact' criterion
4. Score obtained under the 'Quality' criterion.

All proposals will be informed about the evaluation result (**evaluation result letter**). Successful proposals will be invited for grant preparation; the other ones will be put on the reserve list or rejected.

 No commitment for funding — Invitation to grant preparation does NOT constitute a formal commitment for funding. We will still need to make various legal checks before grant award: *legal entity validation, financial capacity, exclusion check, etc.*

**Grant preparation** will involve a dialogue in order to fine-tune technical or financial aspects of the project and may require extra information from your side. It may also include adjustments to the proposal to address recommendations of the evaluation committee or other concerns. Compliance will be a pre-condition for signing the grant.

If you believe that the evaluation procedure was flawed, you can submit a **complaint** (following the deadlines and procedures set out in the evaluation result letter). Please note that notifications which have not been opened within 10 days after sending are considered to have been accessed and that deadlines will be counted from opening/access. Please also be aware that for complaints submitted electronically, there may be character limitations.

## 9. Award criteria

The **award criteria** for this call are as follows:

- **Priority and urgency (5 points):** evaluating correspondence of the proposal with the sectoral policy objectives and priorities, measuring its EU added-value and where applicable assessing the possible synergies with other sectors.

This criterion refers to the contribution of the proposed pilot project to:

- the achievement of a single European railway area, within the scope as laid out in the Interoperability Directive<sup>(5)</sup>, the Railway Safety Directive<sup>(6)</sup> and the Regulation concerning a European rail network for competitive freight<sup>(7)</sup>; in particular by assisting with the identification and elimination of obstacles to seamless operations along the Munich – Verona corridor;

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<sup>(5)</sup> Directive (EU) 2016/797 of the European Parliament and of the Council of 11 May 2016 on the interoperability of the rail system within the European Union

<sup>(6)</sup> Directive (EU) 2016/798 of the European Parliament and of the Council of 11 May 2016 on railway safety

<sup>7</sup> Regulation (EU) No 913/2010 of the European Parliament and of the Council of 22 September 2010 concerning a European rail network for competitive freight

- support the achievement of the TEN-T objectives and priorities as laid out in the TEN-T Guidelines<sup>(8)</sup> by overcoming operational, technical and administrative barriers to interoperability,
- objectives described in the CEF multiannual Work Programme
- the EU added value - how the project will create benefits at European level beyond those would arise from action at national level;

This latter criterion will assess how the proposal(s) contributes to achieving the objective of the pilot that is finding solutions to the issues listed in the Commission table on Brenner's issues. In particular, the relevance of the expected output will be assessed, with reference to:

- Effectiveness and relevance of the proposed solutions for eliminating the obstacles imposed by the issues, and the likelihood of their long term implementation;
- Pertinence of the proposed solutions to create seamless rail services between Munich and Verona and ensure sustainable and efficient rail transport systems throughout the Single European Rail Area (EU and EFTA/EEA);
- The elimination of barriers hampering the creation of the Single European Rail Area, where national borders cease to impact rail services;
- The replacement of the national rules based approach for the safety management systems of Railway Undertakings or Infrastructure Managers by a risk-based safety management approach applicable throughout the European network, in line with the Railway Safety Directive 2016/798;
- The impact and generation of information and documentation aimed for dissemination and sharing of expected results and in particular, acceptable means of compliance with technical specifications for interoperability;
- Identification of needs and opportunities in the EU regulatory actions aiming at improving the EU regulatory framework, and in particular the technical specifications for interoperability or common safety methods.
- **Maturity (5 points):** assessing the maturity of the action in the project development. The criterion will measure, among others:
  - the state of preparation of the proposed pilot ,
  - the readiness/ability of the project to start the implementation of the proposed activities by the proposed start date and to complete by the proposed end date,
  - the status of the contracting procedures and of the necessary permits, and information on the financial availability needed to complement the CEF investment

The effectiveness and rationality of the proposed organisation (including the timetable, rapidity of project implementation and monitoring) will also be

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<sup>(8)</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;

assessed, in particular with reference to the participants and geographical coverage of the consortium in relation to the coverage of the proposed solutions.

- **Quality (5 points):** evaluating the soundness of the implementation plan proposed, both from the technical and financial point of view, the architecture and design approach, the organisational structures put in place (or foreseen) for the implementation, the risk analysis, the control procedures and quality management and the communication strategy. Moreover, when applicable, it will also assess the information related to the maintenance strategy for the completed project

This criterion will be determined by the coherence between the objectives of the proposed pilot, the proposed activities, the planned resources, the work plan and the appropriateness of the project management processes. Under this criterion, the capacity for the pilot 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.

The organisation of the consortium to achieve the objectives of the Commission table on Brenner's issues programme will be assessed, the strategies to implement effective solutions to the issues, focussing on pilots and/or IT tools developments, as well as the applicability of the projects solution at border crossings.

- **Impact (5 points):** assessing the economic, social and environmental impact, including the climate impact, and other relevant externalities. In addition, assessing the need to overcome financial obstacles such as those generated by insufficient commercial viability, high upfront costs or the lack of market finance. This criterion may be substantiated by a Cost Benefit Analysis (CBA or CEA) or, in the absence of such tool, other forecast of end-user take-up, in which case the evaluation will look at the soundness, comprehensiveness, and transparency of the analysis as well as proposed means to monitor its impact. Moreover, when applicable, the criterion will assess, among others, the innovation and digitalisation, safety and interoperability and accessibility aspects of the proposal, as well as its cross-border dimension, effect/contribution to the network territorial accessibility

This criterion refers to the expected effect of the EU financial support, in particular to the economic impact of the project toward the international rail transport and more specifically how the project will lead to more efficient, economically viable, higher volume and cost effective international rail transport through the Brenner stretch.

Only proposals compliant with the eligibility and selection criteria will be evaluated against the award criteria.

The decision to grant EU financial assistance for each of the activities separately, will take into account the following criteria:



<b>Award criteria</b>	<b>Minimum pass score</b>	<b>Maximum score</b>
Priority and urgency	3	5
Maturity	3	5
Quality	3	5
Impact	3	5
<b>Overall (pass) scores</b>	<b>12</b>	<b>20</b>

Maximum points: 20 points.

Individual thresholds per criterion: 3/5, 3/5, 3/5 and 3/5 points.

Overall threshold: 12 points.

## **10. Legal and financial set-up of the Grant Agreements**

If you pass evaluation, your project will be invited for grant preparation, where you will be asked to prepare the Grant Agreement together with the EU Project Officer.

This Grant Agreement will set the framework for your grant and its terms and conditions, in particular concerning deliverables, reporting and payments.

The Model Grant Agreement that will be used is published with this call text.

### Starting date and project duration

The project starting date and duration will be fixed in the Grant Agreement (*Data Sheet, point 1*). Normally the starting date will be after grant signature. Retroactive application can be granted exceptionally for duly justified reasons but never earlier than the proposal submission date.

Project duration: up to 24 months; extensions are possible, if duly justified and through an amendment.


### Milestones and deliverables

The milestones and deliverables for each project will be reflected in Annex 1 of the Grant Agreement.

### Form of grant, funding rate and maximum grant amount

The grant parameters (*maximum grant amount, funding rate, total eligible costs, etc*) will be fixed in the Grant Agreement (*Data Sheet, point 3 and art 5*).

Project budget (maximum grant amount): projects of any budget are admitted provided they are between EUR 200 000 and EUR 600 000 per project. The grant awarded may be lower than the amount requested.


 Please be aware that you may be asked to request an amendment to reduce the grant awarded if your project encounters major delays during the project implementation. If you do not comply with this request, we may have to terminate the grant (*see art 32*).

The grant will be a budget-based mixed actual cost grant (actual costs, with flat-rate elements). This means that it will reimburse ONLY certain types of costs (eligible costs) and costs that were *actually* incurred for your project (NOT the *budgeted* costs). For flat-rates, you can charge the amounts calculated as explained in the Grant Agreement (*see art 6 and Annex 2 and 2a*).

The costs will be reimbursed at the funding rate fixed in the Grant Agreement (**90%**).

Grants may NOT produce a profit (i.e. surplus of revenues + EU grant over costs). For-profit organisations must declare their revenues and, if there is a profit, we will deduct it from the final grant amount (*see art 22.3*).

Moreover, please be aware that the final grant amount may be reduced in case of non-compliance with the Grant Agreement (*e.g. improper implementation, breach of obligations, etc*).

 Please be aware that project management costs (including related tasks, such as consortium-internal progress meetings, project reporting etc) should not exceed 10% of total costs for the project. Costs exceeding this limit will be rejected during grant preparation.

*Budget categories for this call:*

- A. Personnel costs
  - A.1 Employees, A.2 Natural persons under direct contract, A.3 Seconded persons
  - A.4 SME owners and natural person beneficiaries
- B. Subcontracting costs
- C. Purchase costs
  - C.1 Travel and subsistence
  - C.2 Equipment
  - C.3 Other goods, works and services
- E. Indirect costs

*Specific cost eligibility conditions for this call:*

- personnel costs:
  - average personnel costs (unit cost according to usual cost accounting practices): Yes
  - SME owner/natural person unit cost<sup>9</sup> : Yes
- subcontracting costs:
  - country restrictions for subcontracting costs: Yes, subcontracted work must be performed in the eligible countries

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<sup>9</sup> Commission [Decision](#) of 20 October 2020 authorising the use of unit costs for the personnel costs of the owners of small and medium-sized enterprises and beneficiaries that are natural persons not receiving a salary for the work carried out by themselves under an action or work programme (C(2020)7715).

- travel and subsistence unit cost<sup>10</sup>: No (only actual costs)
- equipment costs: depreciation
- other cost categories:
  - costs for financial support to third parties: not allowed
- indirect cost flat-rate : 7% of the eligible direct costs (categories A-D, except volunteers costs and exempted specific cost categories, if any)
- VAT: VAT is NOT eligible
- other:
  - in-kind contributions for free are allowed, but cost-neutral, i.e. they cannot be declared as cost
  - project websites: communication costs for presenting the project on the participants' websites or social media accounts are eligible; costs for *separate* project websites are not eligible
  - eligible cost country restrictions: Yes, only costs for activities carried out in eligible countries or target countries are eligible

### Reporting and payment arrangements

The reporting and payment arrangements are fixed in the Grant Agreement (*Data Sheet, point 4 and art 21 and 22*).


After grant signature, you will normally receive a **prefinancing** to start working on the project float of normally **35%** of the maximum grant amount; exceptionally less or no prefinancing. The prefinancing will be paid 30 days from entry into force/financial guarantee (if required — whichever is the latest).

There will be one **interim payment** (with detailed cost reporting).

In addition, you will be expected to submit one or more progress reports not linked to payments.

**Payment of the balance:** At the end of the project, we will calculate your final grant amount. If the total of earlier payments is higher than the final grant amount, we will ask you (your coordinator) to pay back the difference (recovery).

All payments will be made to the coordinator.

 Please be aware that payments will be automatically lowered if one of your consortium members has outstanding debts towards the EU (granting authority or other EU bodies). Such debts will be offset by us — in line with the conditions set out in the Grant Agreement (*see art 22*).

Please also note that you are responsible for keeping records on all the work done and the costs declared.

### Prefinancing guarantees

If a prefinancing guarantee is required, it will be fixed in the Grant Agreement (*Data Sheet, point 4*). The amount will be set during grant preparation and it will normally be equal or lower than the prefinancing for your grant.

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<sup>10</sup> Commission [Decision](#) of 12 January 2021 authorising the use of unit costs for travel, accommodation and subsistence costs under an action or work programme under the 2021-2027 multi-annual financial framework (C(2021)35).

The guarantee should be in euro and issued by an approved bank/financial institution established in an EU Member State. If you are established in a non-EU country and would like to provide a guarantee from a bank/financial institution in your country, please contact us (this may be exceptionally accepted, if it offers equivalent security).

Amounts blocked in bank accounts will NOT be accepted as financial guarantees.

Prefinancing guarantees are formally NOT linked to individual consortium members, which means that you are free to organise how to provide the guarantee amount (*by one or several beneficiaries, for the overall amount or several guarantees for partial amounts, by the beneficiary concerned or by another beneficiary, etc*). It is however important that the requested amount is covered and that the guarantee(s) are sent to us in time to make the prefinancing (scanned copy via Portal AND original by post).

If agreed with us, the bank guarantee may be replaced by a guarantee from a third party.

The guarantee will be released at the end of the grant, in accordance with the conditions laid down in the Grant Agreement.

### Certificates

Depending on the type of action, size of grant amount and type of beneficiaries, you may be requested to submit different certificates. The types, schedules and thresholds for each certificate are fixed in the Grant Agreement (*Data Sheet, point 4 and art 24*).

### Liability regime for recoveries

The liability regime for recoveries will be fixed in the Grant Agreement (*Data Sheet point 4.4 and art 22*).

For beneficiaries, it is one of the following:

- limited joint and several liability with individual ceilings — *each beneficiary up to their maximum grant amount*
  - unconditional joint and several liability — *each beneficiary up to the maximum grant amount for the action*
- or
- individual financial responsibility — *each beneficiary only for their own debts*.

In addition, the granting authority may require joint and several liability of affiliated entities (with their beneficiary).

### Provisions concerning the project implementation

Security rules: *see Model Grant Agreement (art 13 and Annex 5)*

IPR rules: *see Model Grant Agreement (art 16 and Annex 5):*

- rights of use on results: Yes
- access to results for policy purposes: Yes

Communication, dissemination and visibility of funding: *see Model Grant Agreement (art 17 and Annex 5):*

- communication and dissemination plan: Yes

- additional communication and dissemination activities: Yes
- special logos: No

Other specificities

n/a

Non-compliance and breach of contract

The Grant Agreement (chapter 5) provides for the measures we may take in case of breach of contract (and other non-compliance issues).

**11. How to submit an application**

Applications must be submitted in the correct form, duly completed and dated. They must be submitted in three paper copies (one original clearly identified as such, plus two copies), include a digital copy on a USB flash drive, and must be signed by the person authorised to enter into legally binding commitments on behalf of the applicant organisation.

All additional information considered necessary by the applicant can be included on separate sheets.

Applications must be sent to the following address:

By registered mail, to the following address:

**European Commission  
Directorate-General for Mobility and Transport  
DM 28 - 0/110 - Mail/Archives  
B-1049 Brussels  
Belgium**

Or

by hand-delivery, (evidence will be constituted by the acknowledgement of receipt), or by courier service (evidence will be constituted by the acknowledgement of receipt ) to the following address:

European Commission

**European Commission  
Directorate-General for Mobility and Transport  
DM 28 - 0/110 - Mail/Archives  
B-1049 Brussels  
Belgium**

Applications sent by fax or e-mail will not be accepted.

The proposal must be submitted before the call deadline in Section 5. After this deadline applications can no longer be submitted.

Once you have submitted your application, you will receive a confirmation e-mail (with date and time of your application). If you do not receive this confirmation e-mail, it means your application has NOT been submitted.

## 12. Contact

Questions should be sent to the following email address: [MOVE-C4-SECRETARIAT-1@ec.europa.eu](mailto:MOVE-C4-SECRETARIAT-1@ec.europa.eu).

Please indicate clearly the reference of the call and topic to which your question relates (*see cover page*).

## 13. Important



### IMPORTANT

- **Don't wait until the end** — Complete your application sufficiently in advance of the deadline to avoid any last minute **problems**. Problems due to last minute submissions will be entirely at your risk. Call deadlines can NOT be extended.
- **Consult** the DG MOVE Website regularly. We will use it to publish updates and additional information on the call (call and topic updates).
- **Consortium roles** — When setting up your consortium, you should think of organisations that help you reach objectives and solve problems.

The roles should be attributed according to the level of participation in the project. Main participants should participate as **beneficiaries** or **affiliated entities**; other entities can participate as associated partners, subcontractors, third parties giving in-kind contributions. **Associated partners** and third parties giving in-kind contributions should bear their own costs (they will not become formal recipients of EU funding).

For EU framework partnerships, the consortium must be formed at FPA level. Only entities which are part of the FPA can become beneficiaries in the grants awarded under the framework partnership.

- **Coordinator** — In multi-beneficiary grants, the beneficiaries participate as consortium (group of beneficiaries). They will have to choose a coordinator, who will take care of the project management and coordination and will represent the consortium towards the granting authority. In mono-beneficiary grants, the single beneficiary will automatically be coordinator.
- **Affiliated entities** — Applicants may participate with affiliated entities (i.e. entities linked to a beneficiary which participate in the action with similar rights and obligations as the beneficiaries, but do not sign the grant and therefore do not become beneficiaries themselves). They will get a part of the grant money and must therefore comply with all the call conditions and be validated (just like beneficiaries); but they do not count towards the minimum eligibility criteria for consortium composition (if any).
- **Associated partners** — Applicants may participate with associated partners (i.e. partner organisations which participate in the action but without the right to get grant money). They participate without funding and therefore do not need to be validated.
- **Consortium agreement** — For practical and legal reasons it is recommended to set up internal arrangements that allow you to deal with exceptional or unforeseen circumstances (in all cases, even if not mandatory under the Grant Agreement). The consortium agreement also gives you the possibility to redistribute the grant money according to your own consortium-internal principles and parameters (for instance, one beneficiary can reattribute its grant money to another beneficiary). The consortium agreement thus allows you to customise the EU grant to the needs inside your consortium and can also help to protect you in case of disputes.
- **Balanced project budget** — Grant applications must ensure a balanced project budget and sufficient other resources to implement the project successfully (*e.g. own*

*contributions, income generated by the action, financial contributions from third parties, etc).* You may be requested to lower your estimated costs, if they are ineligible (including excessive).

- **No-profit rule** — Grants may NOT give a profit (i.e. surplus of revenues + EU grant over costs). This will be checked by us at the end of the project.
- **No double funding** — There is a strict prohibition of double funding from the EU budget (except under EU Synergies actions). Outside such Synergies actions, any given action may receive only ONE grant from the EU budget and cost items may under NO circumstances declared to two different EU actions.
- **Completed/ongoing projects** — Proposals for projects that have already been completed will be rejected; proposals for projects that have already started will be assessed on a case-by-case basis (in this case, no costs can be reimbursed for activities that took place before the project starting date/proposal submission).
- **Combination with EU operating grants** — Combination with EU operating grants is possible, if the project remains outside the operating grant work programme and you make sure that cost items are clearly separated in your accounting and NOT declared twice (see [AGA — Annotated Model Grant Agreement, art 6.2.E](#)).
- **Resubmission** — Proposals may be changed and re-submitted until the deadline for submission.
- **Rejection** — By submitting the application, all applicants accept the call conditions set out in this this Call Document (and the documents it refers to). Proposals that do not comply with all the call conditions will be **rejected**. This applies also to applicants: All applicants need to fulfil the criteria; if any one of them doesn't, they must be replaced or the entire proposal will be rejected.
- **Cancellation** — There may be circumstances which may require the cancellation of the call. In this case, you will be informed via a call or topic update. Please note that cancellations are without entitlement to compensation.
- **Language** — You can submit your proposal in any official EU language (project abstract/summary should however always be in English). For reasons of efficiency, we strongly advise you to use English for the entire application. If you need the call documentation in another official EU language, please submit a request within 10 days after call publication (for the contact information, see [section 12](#)).
- **Transparency** — In accordance with Article 38 of the [EU Financial Regulation](#), information about EU grants awarded is published each year on the [Europa website](#).

This includes:

- beneficiary names
- beneficiary addresses
- the purpose for which the grant was awarded
- the maximum amount awarded.

The publication can exceptionally be waived (on reasoned and duly substantiated request), if there is a risk that the disclosure could jeopardise your rights and freedoms under the EU Charter of Fundamental Rights or harm your commercial interests.

- **Data protection** — 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 of 23 October 2018 on the protection of natural persons with regard to the processing of personal data by the Union institutions, bodies, offices and agencies and on the free movement of such data, and repealing Regulation (EC) No 45/2001 and Decision No 1247/2002/EC.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, 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 the Director of Directorate C of DG MOVE

## **Annexes**

**The following Annexes can be downloaded at:**

[Grants- Calls for proposals in the field of transport](#)

- Annex 1 – Application Form**
- Annex 2 – Legal identity forms**
- Annex 3 – Financial identification form**
- Annex 4 – General Budget Overview template**
- Annex 5 – Detailed Budget Overview template**
- Annex 6 – Timetable template**
- Annex 7 – Model Grant Agreement**



