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C(2020) 8813 final

ANNEX

ANNEX

to the

Commission Implementing Decision

amending Implementing Decision C(2014) 1921 establishing a Multi-Annual Work Programme for financial assistance in the field of Connecting Europe Facility (CEF) - Transport sector for the period 2014-2020

ANNEX

Part I

“ANNEX II *sexies*

CEF - Transport funding referring to objectives and priorities to be implemented by a call for proposals under the Multi-Annual Work Programme 2014-2020 in 2020

1. INTRODUCTION

The multiannual work programme establishes the basis for the allocation of the Union financial support to Projects of Common Interest in the CEF - Transport sector. This amendment to the multiannual work programme contains the funding objectives and priorities to be financed through a call for proposals in 2020. It is consistent with the approach to streamline the investment tools and to make best use of available EU funds.

1.1. Legal basis

Regulation (EU) No 1316/2013 of the European Parliament and of the Council of 11 December 2013 establishing the Connecting Europe Facility, amending Regulation (EU) No 913/2010 and repealing Regulations (EC) No 680/2007 and (EC) No 67/2010, and in particular Article 7(2) and Article 17(1) and (3) thereof.

1.2. Budget lines

- 06020101 - Removing bottlenecks, enhancing rail interoperability, bridging missing links and improving cross-border sections.
- 06020104 - Connecting Europe Facility (CEF) — Cohesion Fund allocation.

1.3. Objectives pursued

The objectives pursued fall within the funding priorities of Regulation (EU) No 1316/2013 as supplemented by the Commission Delegated Regulation (EU) No 2016/1649¹.

In line with the infrastructure components and requirements as set out in Regulation (EU) No 1315/2013² of the European Parliament and of the Council, this work programme shall enable the achievement of policy objectives in the following funding priorities:

- pre-identified projects on the Corridors of the Core Network (railways, inland waterways, roads, maritime and inland ports);
- pre-identified projects on the other sections of the Core Network (railways, inland waterways, roads, maritime and inland ports);

For these funding priorities, within the scope of the general objectives and priorities defined in this Multi-Annual Work Programme, more specific objectives may be elaborated in the call for proposals in 2020.

¹ Regulation (EU) No 2016/1649 of 8 July 2016 supplementing Regulation (EU) No 1316/2013 of the European Parliament and of the Council establishing the Connecting Europe Facility (OJ L 247, 15.9.2016, p. 3).

² Regulation (EU) No 1315/2013 of the European Parliament and of the Council of 11 December 2013 on Union guidelines for the development of the trans-European transport network and repealing Decision No 661/2010/EU (OJ L 348, 20.12.2013, p. 128).

1.4. Expected results

The implementation of the 2014-2020 Multi-Annual Work Programme aims at contributing to the realisation of the transport core network by 2030, while contributing to the achievement of the Green Deal objectives.

It is expected that the granting of support on the basis of a last CEF 1 call for proposals in 2020 will advance the readiness of projects to start construction.

The Actions which will be implemented with financial assistance allocated under the 2020 call **shall be completed at the latest by 31 December 2024.**

2. GRANTS

The global budgetary envelope reserved for grants under this work programme is EUR 200 million, of which:

- EUR 160 million under budget line 06020101;
- EUR 40 million under budget line 06020104.

3. FUNDING PRIORITIES AND OBJECTIVES

3.1. Actions related to the funding objective “removing bottlenecks, enhancing rail interoperability, bridging missing links and, in particular, improving cross-border sections”

3.1.1. *Pre-identified projects on the core network corridors and on the other sections of the core network (railways, inland waterways, roads, maritime and inland ports) as stipulated in Annex I, Part I, points 2 and 3 of the CEF Regulation*

(Under General and Cohesion envelopes)

The general objective under this priority is to prepare the implementation of TEN-T core network projects by supporting the necessary preparatory activities, permitting procedures and preparation of the tendering process (studies).

Financial assistance shall focus on studies concerning:

- Infrastructure projects for railways, inland waterways, maritime and inland ports;
- Infrastructure projects for road networks in the case of Member States with no railway network established in their territory or in the case of a Member State, or part thereof, with an isolated network without long-distance rail freight transport.

4. INDICATIVE TIMETABLE AND AMOUNTS AVAILABLE FOR THE MULTI-ANNUAL CALLS FOR PROPOSALS 2020

Funding Objective	Priority	Indicative date of publication	Indicative amounts under General envelope (in € million) (Budget line 06020101)	Indicative amounts under Cohesion envelope (in € million) (Budget line 06020104)
“Bridging missing links, removing bottlenecks, enhancing rail interoperability, and, in particular, improving cross-border sections”	Projects on the Core Network	December 2020	160	40
TOTAL			200	

The indicative budget for the call is EUR 200 000 000. Of each budget line an amount up to 0.125% and no more than EUR 1 250 000 is earmarked for evaluation expenses and translation costs involved in the evaluation of proposals.

5. FORM OF UNION CONTRIBUTIONS

Union financial assistance shall take the form of reimbursement of eligible costs actually incurred, as provided in Article 125(1)(b) of Regulation (EU, Euratom) 2018/1046.

5.1. For the General envelope of the CEF

In accordance with Article 10(2) of the CEF Regulation, the amount of Union financial assistance shall not exceed 50% of the eligible costs (studies).

5.2. For the Cohesion envelope of the CEF

In accordance with Article 11(5) of the CEF Regulation, the maximum funding rate shall be 85% of the eligible costs (studies).

6. COMMON PROVISIONS

a. Eligibility Criteria

i. Eligible applicants

Project applications must be presented by:

- one or more Member States, and / or;
- with the agreement of the Member States concerned, by international organisations, joint undertakings, or public or private undertakings or bodies or entities established in Member States.

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

Applications submitted by natural persons are not eligible.

Neighbouring/third countries and entities established in neighbouring/third countries may participate in Actions contributing to projects of common interest where necessary in order to achieve the objectives of a given project of common interest. They may not receive financial

assistance except where it is indispensable to the achievement of the objectives of a given project of common interest.

In such cases and pursuant to Article 8(1) of Regulation (EU) No 1315/2013, applications may be presented by neighbouring/third countries or entities established in neighbouring/third countries, with the agreement of a Member State concerned.

Grounds for exclusion:

In the text of the call for proposals the Commission shall draw applicants' attention to Articles 136, 137, 139, 141, 142 and 225 of the Financial Regulation.

ii. Eligible projects

General eligibility criteria

Only projects which can be qualified as projects of common interest identified in Regulation (EU) No 1315/2013 may receive Union financial assistance.

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

Type of Actions

Proposals must only address studies within the meaning of Article 2(6) of Regulation (EU) No 1316/2013.

Priority will be given to studies leading to the start of works between 2021 and 2024, such as studies related to the environmental impact assessment or other environmental permits, advanced design, building permits, geological surveys or public procurement. Studies for new or extension of projects leading to the start of works after 2024 are also eligible, but will be given a lower priority.

b. Selection Criteria

The applicant(s) must have access to solid and adequate funding sources, so as to be able to maintain activities for the period of the project funded and to co-finance the project. The applicant(s) must have the professional skills and qualifications required to complete the proposed Action.

The verification of the financial and operational capacity does not apply to applicants which are a Member State, a neighbouring/third country, a public sector body established in a Member State i.e. regional or local authority, a body governed by public law or association formed by one or several such authorities or one or several such bodies governed by public law, in particular a Joint Undertaking in line with eligibility criteria established under Article 187 of the Treaty on the Functioning of the European Union, or an international organisation.

i. Financial capacity

The applicant(s) must have the financial capacity to complete the Action for which the grant is sought. The applicant will provide their financial statements certified by an external auditor for the last financial year for which the accounts have been closed with the application. In the event that the applicant is a newly created company (and therefore does not have certified financial data available for the last financial year), a letter of support from another company (parent company for instance) or from another applicant in the same proposal should be provided.

ii. Operational capacity

The applicant(s) must have the operational and technical capacity to complete the project for which the grant is sought and must provide appropriate documents attesting to that capacity as specified in the call text.

c. Award Criteria

Only proposals compliant with the eligibility and selection criteria shall be evaluated against the award criteria. A decision to grant Union financial assistance shall take into account as appropriate:

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

and the following award criteria:

i. Relevance

This criterion refers to the contribution of the proposed Action to the TEN-T priorities as laid out in Regulation (EU) No 1315/2013, the funding priorities as laid down in Regulation (EU) No 1316/2013 and specific priorities and objectives described in the Multi-Annual Work Programme and addressed by the call for proposals.

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

- the European added-value as defined in point (d) of Article 3 of Regulation (EU) No 1315/2013;
- the cross-border dimension, when applicable;
- removal of bottlenecks, enhancing rail interoperability, bridging missing links and improving cross-border sections as stipulated in Regulation (EU) No 1316/2013;
- contribution to innovation, sustainable transport and decarbonisation.

ii. Maturity

This criterion refers to the state of preparation of the proposed Action and the readiness to start the implementation of the proposed activities. This will be determined by the degree of financial maturity and completion of preparatory steps as well as the conditions required for the start of the proposed Action. Proposed Actions that have received political commitments, completed a number of administrative procedures and committed financial resources, as well as proposed Actions which involve the final steps of implementation, can be considered as demonstrating strong maturity. Maturity will also be evidenced by low uncertainty/risks about the start of the Action. In particular, the maturity of the Action in the project development will be assessed. Proposed Actions should be ready to start, at the latest, within nine months after the closure of the call and shall be completed by 31 December 2024 at the latest.

iii. Impact

This criterion refers to the extent to which the proposed Action (study) is expected to advance the preparation of a works proposal for submission under the successor programme.

In this context, the extent to which the output of the study will be relied upon for decision-making, in particular in relation to possible future CEF Transport Action, will be given particular attention.

Moreover, the relevance and economic value of the study in terms of costs and benefits and the degree to which elements of the studies could be used to develop best practices will be assessed.

This criterion will also assess the anticipated and expected socio-economic effects of the Action as well as its impact on the climate and the environment in view of the Green Deal's objectives.

iv. Quality

This criterion refers to the soundness of the proposed Action. This will be determined by the coherence between the objectives of the proposed Action, the proposed activities, the planned resources, and the appropriateness of the project management processes. Under this criterion, the capacity for the Action to be completed in accordance with the proposed timeline, implementation plans and the technical specifications will be assessed. In particular, the soundness of the implementation plan proposed will be assessed.

Within the scope of the global objectives herewith established, additional non-essential specific criteria may be set out in the text of the call for proposals.

7. FINANCIAL PROVISIONS

a. No profit principle

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

b. Compliance with the Union Law

The granting of Union financial assistance to projects of common interest is conditional upon compliance of the project with relevant Union law inter alia concerning interoperability, environmental protection, competition and public procurement.

c. Other sources of financing

No Union financial assistance shall be awarded for Actions receiving funds from other sources of Union financing, without prejudice to Article 15(4) of Regulation (EU) No 1316/2013.

d. Eligibility of costs and non-retroactivity principle

A grant may be awarded for an action which has already begun provided that the applicant can demonstrate the need for starting the action prior to signature of the grant agreement.

In accordance with Article 193 of the Financial Regulation, costs eligible for financing shall not have been incurred prior to the date of submission of the grant application.

Costs incurred as of the date of submission of the grant application and until 31 December 2024 are considered eligible for financing.

No grant may be awarded retroactively for Actions already completed.'

Part II

“ANNEX III

Breakdown of annual instalments (October 2020)

Budget lines		2014-2020 commitments	2014 commitments	2015 commitments	2016 commitments	2017 commitments	2018 commitments	2019 commitments	2020 commitments	TOTAL
06.020101	MAWP (Grants) 2014-2020	6.171.311.174	958.609.301	598.682.336	577.393.466	1.174.973.648	1.238.560.649	1.330.880.258	292.211.517	6.171.311.174
	MAWP (Grants) 2015-2020	124.881.758	0	0	14.398.221	4.822.410	34.208.428	33.063.931	38.388.769	124.881.758
	MAWP (Grants) 2016-2020	64.877.271	0	0	0	15.695.420	0	27.130.603	22.051.248	64.877.271
	MAWP (Grants blending-1) 2017-2020	829.878.154	0	0	0	0	104.589.631	107.719.545	617.568.978	829.878.154
	MAWP (Grants blending-2) 2017-2020	115.766.231	0	0	0	0	9.842.924	37.654.165	68.269.142	115.766.231
	MAWP (Grants) 2018-2020	117.535.800	0	0	0	0	20.113.616	48.790.481	48.631.703	117.535.800
	MAWP (Grants blending facility) 2019-2020	97.359.736	0	0	0	0	0	20.000.000	77.359.736	97.359.736
	MAWP (Grants reflow) 2019-2020	771.333.072	0	0	0	0	0	393.999.403	377.333.669	771.333.072
	MAWP (Grants reflow) 2020	160.000.000	0	0	0	0	0	0	160.000.000	160.000.000
	PSA	83.754.544	35.796.179	0	1.940.550	22.276.002	8.571.084	4.667.733	10.502.996	83.754.544
	Costs for the experts	1.622.531	0	579.041	89.907	2.518	591.064	0	360.000	1.622.531
	AWP (Grants) 2014 pour mémoire	127.686.432	127.686.432	0	0	0	0	0	0	127.686.432
	AWP (Grants) 2016 pour mémoire	152.407.281	0	0	152.407.281	0	0	0	0	152.407.281
	AWP (Grants) 2019 pour mémoire	93.529.042	0	0	0	0	0	93.529.042	0	93.529.042
Total reserved by the CEF Transport Work Programmes			1.122.091.911	599.261.377	746.229.425	1.217.769.998	1.416.477.395	2.097.435.160	1.712.677.758	8.911.943.024
CEF commitment appropriations (MFF 2014-2020) including the EFSI contribution, reflows from the administrative lines and transfers between the CEF lines			1.118.525.421	591.973.905	746.075.425	1.217.769.998	1.416.107.256	2.038.535.309	1.707.312.686	8.836.300.000
Internal assigned revenues			3.566.491	7.287.472	154.000	0	370.139	58.899.851	5.365.072	75.643.026
CEF Total commitment appropriations			1.122.091.911	599.261.376	746.229.424	1.217.769.997	1.416.477.394	2.097.435.159	1.712.677.757	8.911.943.025
06.020102	MAWP (Grants) 2014-2020	119.478.456	51.120.003	18.689.857	7.324.057	18.276.375	13.590.572	7.303.505	3.174.086	119.478.456
	MAWP (Grants) 2015-2020	58.706.951	0	21.255.700	16.397.919	3.623.539	10.045.100	2.540.680	4.844.014	58.706.951
	MAWP (Grants) 2016-2020	85.777.163	0	0	0	44.955.241	0	19.622.175	21.199.747	85.777.163
	MAWP (Grants Blending) 2017-2020	104.583.479	0	0	0	0	50.123.547	37.526.578	16.933.354	104.583.479
	MAWP (Grants blending-2) 2017-2020	187.055.551	0	0	0	0	52.144.124	30.988.320	103.923.107	187.055.551
	MAWP (Grants) 2018-2020	100.694.988	0	0	0	0	27.441.687	30.593.648	42.659.653	100.694.988
	MAWP (Grants blending facility) 2019-2020	199.000.000	0	0	0	0	0	28.700.000	170.300.000	199.000.000
	MAWP (Grants reflow) 2019-2020	14.721.865	0	0	0	0	0	10.942.500	3.779.365	14.721.865
	PSA	45.272.695	1.004.350	5.790.000	2.178.345	3.000.000	5.700.000	13.850.000	13.750.000	45.272.695
	Costs for the experts	1.042.999	0	56.400	50.439	693.062	90.000	153.098	0	1.042.999
	AWP (Grants) 2014 pour mémoire	17.739.997	17.739.997	0	0	0	0	0	0	17.739.997
	AWP (Grants) 2016 pour mémoire	59.329.042	0	0	59.329.042	0	0	0	0	59.329.042
	AWP (Grants) 2019 pour mémoire	19.216.850	0	0	0	0	0	19.216.850	0	19.216.850
	Total reserved by the CEF Transport Work Programmes			69.864.350	45.791.957	85.279.802	70.548.217	159.135.030	201.437.354	380.563.326
CEF commitment appropriations (MFF 2014-2020) including the EFSI contribution, reflows from the administrative lines and transfers between the CEF lines			69.864.350	43.000.681	85.279.802	69.093.215	70.820.861	200.761.095	379.941.789	918.761.793
Internal assigned revenues			0	2.791.276	0	1.455.001	88.314.169	676.259	621.537	93.858.242
CEF Total commitment appropriations			69.864.350	45.791.957	85.279.802	70.548.216	159.135.030	201.437.354	380.563.326	1.012.620.035

06.020103	MAWP (Grants) 2014-2020	721.688.126	158.231.888	277.011.554	159.648.379	91.065.177	24.965.136	9.247.352	1.518.640	721.688.126
	MAWP (Grants) 2015-2020	729.431.644	0	0	388.323.520	83.928.394	178.876.109	33.912.592	44.391.030	729.431.644
	MAWP (Grants) 2016-2020	466.679.093	0	0	0	243.444.589	0	127.981.383	95.253.121	466.679.093
	MAWP (Grants) 2017-2020	283.028.958	0	0	0	0	108.723.488	86.837.470	87.468.000	283.028.958
	MAWP (Grants Blending) 2017-2020	25.933.709	0	0	0	0	233.407	12.279.909	13.420.392	25.933.709
	MAWP (Grants blending-2) 2017-2020	72.999.839	0	0	0	0	17.749.091	23.510.227	31.740.521	72.999.839
	MAWP (Grants) 2018-2020	178.370.757	0	0	0	0	39.559.490	37.754.616	101.056.651	178.370.757
	MAWP (Grants reflow) 2019-2020	152.030.614	0	0	0	0	0	58.630.607	93.400.007	152.030.614
	PSA	127.690.889	17.419.200	18.700.000	28.069.499	21.026.869	24.811.213	10.366.773	7.297.335	127.690.889
	Costs for the experts	1.153.658	0	318.639	399.688	12.000	351.830	71.500	0	1.153.658
	Contribution for SESAR JU (CEF regulation art. 6(3))	10.000.000	0	0	0	10.000.000	0	0	0	10.000.000
AWP (Grants) 2014 pour mémoire	33.941.962	33.941.962	0	0	0	0	0	0	0	33.941.962
Total reserved by the CEF Transport Work Programmes			209.593.050	296.030.193	576.441.087	449.477.029	395.269.764	400.592.429	475.545.696	2.802.949.248
CEF commitment appropriations (MFF 2014-2020) including the EFSI contribution, reflows from the administrative lines, transfers between the CEF lines and MFF MTR			209.593.050	224.612.282	534.934.839	420.136.467	395.232.934	383.241.978	473.820.318	2.641.571.868
Internal assigned revenues			0	71.417.911	41.506.248	29.340.562	36.830	17.350.452	1.725.378	161.377.382
CEF Total commitment appropriations			209.593.050	296.030.193	576.441.087	449.477.029	395.269.764	400.592.430	475.545.696	2.802.949.250
06.020104	MAWP (Grants) 2014-2020	3.829.250.457	967.080.000	3.348.163	817.710.873	865.772.709	636.355.363	294.988.562	243.994.787	3.829.250.457
	MAWP (Grants) 2015-2020	4.766.488.133	0	1.212.165.858	880.226.449	459.780.661	806.602.252	557.600.147	850.112.766	4.766.488.133
	MAWP (Grants) 2016-2020	1.451.610.462	0	0	645.981.684	262.303.668	201.302.095	153.401.264	188.621.751	1.451.610.462
	MAWP (Grants reflow) 2019-2020	1.142.298.243	0	0	0	0	0	688.235.521	454.062.723	1.142.298.243
	MAWP (Grants reflow) 2020	40.000.000	0	0	0	0	0	0	40.000.000	40.000.000
	PSA	21.968.892	15.916.970	0	500.000	0	5.126.923	165.000	259.999	21.968.892
	Costs for the experts	1.223.144	0	250.757	284.344	337.043	0	0	351.000	1.223.144
AWP (Grants) 2016 pour mémoire	27.677.107	0	0	27.677.107	0	0	0	0	27.677.107	
Total reserved by the CEF Transport Work Programmes			982.996.970	1.215.764.778	2.372.380.457	1.588.194.081	1.649.386.632	1.694.390.494	1.777.403.026	11.280.516.438
CEF commitment appropriations (MFF 2014-2020)			982.996.970	1.215.582.454	2.372.380.457	1.588.194.081	1.649.386.632	1.694.390.494	1.774.406.625	11.277.337.713
Internal assigned revenues			0	182.324	0	0	0	0	2.996.401	3.178.725
CEF Total commitment appropriations			982.996.970	1.215.764.778	2.372.380.457	1.588.194.081	1.649.386.632	1.694.390.494	1.777.403.026	11.280.516.438
TOTAL UNDER the amended 2014-2020 MAP (GRANTS)		22.982.771.685	2.135.041.192	2.131.153.468	3.507.404.567	3.268.641.831	3.575.026.708	4.251.835.442	4.113.668.477	22.982.771.685
<i>AWP pour mémoire (GRANTS)</i>		319.791.389	179.368.391	0	239.413.430	0	0	112.745.892	0	531.527.713
<i>PSA and experts</i>		313.729.350	70.136.699	25.694.837	33.512.771	47.347.494	45.242.114	29.274.104	62.521.330	313.729.350
<i>Financial instruments</i>		206.354.000	70.000.000	70.000.000	66.354.000	0	0	0	0	206.354.000
CEF Total commitments appropriations			2.454.546.281	2.226.848.304	3.846.684.770	3.325.989.323	3.620.268.820	4.393.855.437	4.346.189.805	24.214.382.747

