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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 quinquies

#### **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 2019**

##### **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 2019 and the budget breakdown for the years 2019 and 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;
- 06020102 - Ensuring sustainable and efficient transport systems in the long run;
- 06020103 - Optimising the integration and interconnection of transport modes and enhancing interoperability, safety and security of transport.
- 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 2016/1649<sup>1</sup>.

In line with the infrastructure components and requirements as set out in Regulation (EU) No 1315/2013<sup>2</sup> 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);

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<sup>1</sup> 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).

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

- pre-identified projects on the other sections of the Core Network (railways, inland waterways, roads, maritime and inland ports);
- deployment of ERTMS;
- safe and secure infrastructure, including safe and secure parkings on the road Core Network;
- Intelligent Transport Services for road (ITS);
- Single European Sky – SESAR;
- Actions implementing transport infrastructure in nodes of the Core Network, including urban nodes and passengers multimodality;
- Motorways of the Sea.

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 2019.

#### **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, thereby further enhancing the effectiveness and visibility of the trans-European transport network, while promoting growth and job creation, in line with Europe 2020 strategy. It is expected that the granting of support on the basis of this programme will contribute to the timely and efficient development of a number of core network corridors in their entirety or in significant parts, will support the realisation of a robust and resource-efficient European transport system and will contribute to addressing climate change.

The Actions which will be implemented with financial assistance allocated under the 2019 call **shall be completed at the latest on 31 December 2023**.

Such Actions will directly contribute, *inter alia*, to the achievement of important transport policy objectives, such as: the establishment of major interoperable transport axes interconnecting national networks and facilitating the functioning of the internal market; the optimal use of existing infrastructure capacities; improving the safety and reliability of the network; enhancing accessibility of peripheral areas of the Union; facilitating congestion relief on rail infrastructure and more balanced modal distribution; and savings in terms of the environmental effects of transport, in particular contributing to addressing climate change.

CEF funding should help mobilising public and private financing contributing to the timely completion of the TEN-T network.

## **2. GRANTS**

The global budgetary envelope reserved for grants under this work programme is EUR 1400 million, of which:

- EUR 550 million under budget line 06020101;
- EUR 20 million under budget line 06020102;
- EUR 180 million under budget line 06020103;
- EUR 650 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”**

The general objective is to implement transport infrastructure projects on the core network corridors.

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

##### ***3.1.1. Pre-identified projects on the Core Network***

###### **(Under General and Cohesion envelopes)**

###### **a) Railways**

Under this priority, only Actions (studies or works) related to the following sections may be funded:

- Projects on the pre-identified sections of the Core Network Corridors, as stipulated in Annex I, Part I, point 2 of the CEF Regulation;
- Projects on the other sections of the Core Network as stipulated in Annex I, Part I, point 3 of the CEF Regulation.

Priority shall be given to eligible Actions addressing:

- Cross-border projects;
- Projects aiming at accelerating the removal of bottlenecks (in terms of capacity and service quality) which hinder the traffic flows;
- Interconnections between rail and other modes of transport, in particular inland waterway and maritime transport and actions aimed at the integration of the rail and air network to make the feeder network for long-haul flights more sustainable. Actions located exclusively within the perimeter of inland ports and maritime ports should be submitted under these priorities respectively.
- Connections of freight terminals to the Core Network, including connecting or siding tracks and adaptation for 740 m train lengths.

Specifically, Actions should address:

- High-speed and conventional railway lines, including sidings, tunnels and bridges;
- High speed lines: new lines equipped for speeds in the order of  $\geq 250$  km/h and upgraded conventional lines  $\approx 200$  km/h;
- Associated equipment (e.g. electrification systems, equipment for the boarding/alighting of passengers, automatic gauge-changing facilities ...);
- Full electrification of line tracks (plus sidings where required);
- Nominal track gauge for new railway lines of 1435 mm.

Actions shall be in line with Chapter III (Core Network) of the TEN-T Guidelines and with the provisions of Directive 2008/57/EC of the European Parliament and of the Council and of Directive 2016/797 of the European Parliament and of the Council<sup>3</sup>.

Support will not be granted to railway stations, except for railway infrastructure components. If the Action includes such components, they shall be presented as a separate activity.

Support is not given to maintenance under this Priority.

#### **b) Inland Waterways and Inland Ports**

Under this priority, only Actions (studies or works) within the following categories may be funded:

- Projects on the pre-identified sections of the Core Network Corridors sections, as stipulated in Annex I, Part I, point 2 of the CEF Regulation, including water-side infrastructure development;
- Projects on other sections of the Core Network, as stipulated in Annex I, Part I, point 3 of the CEF Regulation, including water-side infrastructure development;
- Core inland ports as identified in Annex II point 2 of the TEN-T Guidelines.

Only Actions in line with Chapter III (Core Network) of the TEN-T Guidelines and the specific requirements of Chapter II, section 2 (Articles 14, 15 and 16) of the TEN-T Guidelines on transport infrastructure requirements for inland waterways may be funded.

Inland waterways and inland ports facilities and water-side infrastructure supported under the CEF must be accessible for use by all operators on a non-discriminatory basis.

For Inland Waterways, priority shall be given to the following:

- Upgrade of waterways in order to achieve stable or improved navigation conditions and/or more capacity for the passage of vessels in the meaning of Articles 15 and 16 of the TEN-T Guidelines;
- Creation of new waterways;
- Construction/upgrading/modernisation of locks (including the deployment of remote control systems), to improve the passage of vessels and pushed convoys;
- Increasing of under-bridge clearance;
- Ensuring year-round navigability by means of e.g. hydrological services and dredging;
- Creation and/or upgrade of infrastructure for mooring and waterborne operations along a waterway;
- Interconnection between inland waterways and other modes of transport, in particular rail and maritime transport.

For Inland ports, priority shall be given to providing or improving the following:

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<sup>3</sup> Directive 2008/57/EC of the European Parliament and of the Council of 17 June 2008 on the interoperability of the rail system within the Community (OJ L 191, 18.7.2008, p. 1); Directive 2016/797 of the European Parliament and of the Council of 11 May 2016 (OJ L 138, 26.5.2016, p. 44) which will replace Directive 2008/57/EC as of 16 June 2020.

- Access to inland ports and connections between inland ports and rail and road sections of the Core Network;
- Access, including safe access through navigational aids, of inland ports to inland waterways;
- Basic infrastructure in inland ports in accordance with point (g) of Article 16 of the TEN-T Guidelines;
- Water-side terminals/platforms infrastructure such as storage and stacking areas in accordance with point (g) of Article 16 of the TEN-T Guidelines;
- Reception facilities for oil and other waste, to support the sustainability of waterborne transport services;
- ICT applications, in particular pilot Single Window applications, as well as applications to streamline administrative formalities through a better use of information, communication and positioning technologies, particularly EGNOS and Galileo;
- Providing or improving road/rail access and connections within inland ports;
- Ensuring year-round navigability by means of e.g. hydrological services and dredging of the port and port approaches;
- Implementation of new facilities and technologies regarding provision and use of alternative fuels or energy, e.g. LNG bunkering and shoreside electricity, in line with Directive 2014/94/EU<sup>4</sup>.

Support for ICT applications and facilities, in particular pilot Single Window applications, applications to streamline administrative formalities through a better use of information, communication and innovative positioning technologies like EGNOS and Galileo, for facilities for ice-breaking, hydrological services and dredging and for facilities to improve the digital accessibility of inland waterways and inland ports is eligible.

Water-side infrastructure development projects shall mean infrastructure that enhances the navigability capacity in the meaning of Articles 15 and 16 of the TEN-T Guidelines or improves the multimodal connection of waterborne transport operations. This excludes infrastructure that does not directly benefit waterborne transport operations.

As regards support to dredging activities for both inland waterways and inland ports, routine maintenance dredging shall not be funded; only capital dredging and rehabilitation dredging activities may be funded under this priority. Rehabilitation dredging may only be funded in connection with global Actions that provide for year-round good navigation status for a given section of the waterway.

### **c) Roads**

Under this priority, only Actions (studies or works) located in Member States with no railway network established in their territory or located in Member States, or part thereof, with an isolated network without long-distance rail freight transport, may be funded.

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<sup>4</sup> Directive 2014/94/EU of the European Parliament and of the Council of 22 October 2014 on the deployment of alternative fuels infrastructure (OJ L 307, 28.10.2014)

Actions shall be in line with Chapter III (Core Network) of the TEN-T Guidelines and the specific requirements of Chapter II, section 3 (roads) of the TEN-T Guidelines and may address high-quality roads (motorways, express roads or conventional strategic roads) including bridges, tunnels, junctions, crossings, interchanges, hard shoulders and their associated equipment (e.g. equipment for traffic management, information and route guidance).

Support shall only be granted to Actions compliant with the road safety<sup>5</sup> and tunnel safety<sup>6</sup> Directives.

Support is not given to maintenance under this Priority.

#### **d) Maritime Ports**

Under this priority, only Actions (studies or works) related to core network ports as listed in Annex II, part 2 of the TEN-T Guidelines may be funded.

Actions shall be in line with Chapter III (Core Network) of the TEN-T Guidelines and the specific requirements of Chapter II, section 4 (maritime transport and motorways of the sea) of the TEN-T Guidelines.

Priority shall be given to eligible Actions addressing:

- Hinterland connections to the TEN-T Network (rail, inland waterway or road if other hinterland connections are not an option) with adequate capacity and efficiency;
- Port access aiming at providing safe maritime access in the form of breakwaters, access channels, fairways, locks and navigational aids;
- Basic infrastructure in the form of internal basins, quay walls, berths, jetties, backfills and land reclamation;
- Reception facilities for oil and other waste, including residues from exhaust gas cleaning systems, to meet environmental requirements;
- Ensuring year-round navigability by means of capital dredging;
- Implementation of new facilities and technologies regarding provision and use of alternative fuels or energy, e.g. LNG bunkering and shoreside electricity, in line with Directive 2014/94/EU<sup>7</sup>.
- Actions adapting the transport infrastructure for purposes of security and checks on external borders, including parking areas, in accordance with Regulation (EU) 2019/495<sup>8</sup>, provided this Regulation has entered into force before closure of the call for proposals.

Support is not given to maintenance, to construction, expansion and development of cargo and passenger terminals, and to superstructure, under this Priority.

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<sup>5</sup> Directive 2008/96/EC of the European Parliament and of the Council of 19 November 2008 on road infrastructure safety management (OJ L 319, 29.11.2008, p. 59) (currently under revision).

<sup>6</sup> Directive 2004/54/EC of the European Parliament and of the Council of 29 April 2004 on minimum safety requirements for tunnels in the trans-European road network (OJ L 167, 30.4.2004, p. 39).

<sup>7</sup> Directive 2014/94/EU of the European Parliament and of the Council of 22 October 2014 on the deployment of alternative fuels infrastructure (OJ L 307, 28.10.2014)

<sup>8</sup> Regulation (EU) 2019/495 of the European Parliament and of the Council of 25 March 2019 amending Regulation (EU) No 1316/2013 with regard to the withdrawal of the United Kingdom from the Union (OJ L 851, 27.3.2019, p.16)

Support is also not given to dedicated infrastructure and facilities for cruise ships, except as regards the provision and use of alternative fuels or energy as indicated above.

### **3.1.2. European Rail Traffic Management Systems (ERTMS): on-board deployment**

#### **(Under General envelope)**

Under this priority, only Actions (works) related to the development of prototypes<sup>9</sup> for the retrofit or upgrade of vehicles with ERTMS on-board equipment may be funded. Such Actions shall be:

- compliant with Commission Regulation (EU) No 2016/919<sup>10</sup> as amended by Commission Implementing Regulation 2019/776<sup>11</sup>, or subsequent versions, and with Directive (EC) No 2008/57<sup>12</sup> and Directive (EC) No 2004/49<sup>13</sup>, or Directive (EU) No 2016/797<sup>14</sup> and Directive (EU) No 2016/798<sup>15</sup> or subsequent versions;
- Baseline 3 (B3) compliant.

Baseline 3 (B3) means the set of specifications #2 or #3 in table A2.2 or A2.3 of the Annex of the Commission Regulation (EU) No 2016/919.

### **3.2. Priorities for the objectives of ensuring sustainable and efficient transport systems in the long run, with a view to preparing for expected future transport flows, by supporting innovation and new technologies for all modes of transport**

#### **3.2.1. Safe and Secure infrastructure, including safe and secure parking on the road core network**

##### **(Under General and Cohesion envelopes)**

Under this Priority, only Actions (works) related to safe and secure infrastructure, including safe and secure parking areas on the road Core Network may be funded.

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<sup>9</sup> As defined in the Decision authorising the use of unit contributions (derived from unit costs) for ERTMS deployment in CEF Transport, dated 20 February 2019.

<sup>10</sup> Commission Regulation (EU) 2016/919 of 27 May 2016 on the technical specification for interoperability relating to the 'control-command and signalling' subsystems of the rail system in the European Union (OJ L 158, 15.6.2016, p. 1).

<sup>11</sup> Commission Implementing Regulation (EU) 2019/776 of 16 May 2019 amending Commission Regulations (EU) No 321/2013, (EU) No 1299/2014, (EU) No 1301/2014, (EU) No 1302/2014, (EU) No 1303/2014 and (EU) 2016/919 and Commission Implementing Decision 2011/665/EU as regards the alignment with Directive (EU) 2016/797 of the European Parliament and of the Council and the implementation of specific objectives set out in Commission Delegated Decision (EU) 2017/1474 (OJ L 139 I, 27.5.2019, p. 108).

<sup>12</sup> Directive 2008/57/EC of the European Parliament and of the Council of 17 June 2008 on the interoperability of the rail system within the Community (Recast) (OJ L 191, 18.7.2008, p. 1).

<sup>13</sup> Directive 2004/49/EC of the European Parliament and of the Council of 29 April 2004 on safety on the Community's railways and amending Council Directive 95/18/EC on the licensing of railway undertakings and Directive 2001/14/EC on the allocation of railway infrastructure capacity and the levying of charges for the use of railway infrastructure and safety certification (Railway Safety Directive) (OJ L 164, 30.4.2004, p. 44).

<sup>14</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 (OJ L 138, 26.5.2016, p. 44).

<sup>15</sup> Directive (EU) 2016/798 of the European Parliament and of the Council of 11 May 2016 on railway safety (OJ L 138, 26.5.2016, p. 102).



Actions to be selected under this priority shall be in line with Chapter II, Section 3 of the TEN-T Guidelines.

Priority shall be given to Actions addressing the following areas:

- Works aiming at the development of new safe and secure parking areas on motorways for trucks and commercial vehicles according to the EU Parking Standard<sup>16</sup> (including Information and Communication Technologies) approximately every 100 km;
- Works aiming at upgrading the safety and security of existing rest areas according to the EU Parking Standard (including parking for trucks and commercial vehicles and safety and security Information and Communication Technologies);
- Works optimising the use of existing safe and secure parking areas for trucks and commercial vehicles through static and dynamic information including the collection, processing and dissemination of parking information. These interventions shall comply with Commission Delegated Regulation No (EU) 885/2013<sup>17</sup> and apply Union standards (e.g. DATEX2) and Guidelines (Easyway Deployment Guidelines), set up methods for measuring accurate and reliable data from sensors/cameras/or other monitoring devices and analyse priority zones needs, as defined in Delegated Regulation No (EU) 885/2013, taking into account traffic conditions, infrastructure shortages or weaknesses and driving regulations.

If the Action is not located directly on the Core Network, the application has to justify its utility for the functioning of the Core Network.

Support is not given to maintenance under this Priority.

### **3.3. Priorities for the objective of optimising the integration and interconnection of transport modes and enhancing the interoperability of transport services, while ensuring the accessibility of transport infrastructures**

#### *3.3.1. Intelligent Transport Services for road (ITS)*

##### **(Under General envelope)**

Under this Priority, only Actions (works) related to cooperative ITS may be funded.

Actions addressing this specific objective shall aim at the deployment of Cooperative ITS (C-ITS) services to be further detailed in the call for applications.

Under this priority:

- Actions shall deploy C-ITS services based on the hybrid communication approach defined in the European C-ITS Strategy<sup>18</sup>;

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<sup>16</sup> <https://ec.europa.eu/transport/sites/transport/files/2019-study-on-safe-and-secure-parking-places-for-trucks.pdf>

<sup>17</sup> Commission Delegated Regulation No (EU) 885/2013 of 15 May 2013 supplementing ITS Directive 2010/40/EU of the European Parliament and of the Council with regard to the provision of information services for safe and secure parking places for trucks and commercial vehicles (OJ L 247, 18.9.2013, p. 1).

<sup>18</sup> COM (2016) 766 "A European strategy on Cooperative Intelligent Transport Systems, a milestone towards cooperative, connected and automated mobility".

- In terms of C-ITS security, all actions shall be fully compliant with the European Certificate and Security Policy documents published by the Commission<sup>19</sup>;
- Actions must provide regular feedback on the results of the proposed Actions (including best practices, recommendations on policy making) to the "EU ITS Committee";
- Actions must be coordinated either by a Member State or a public body;
- All involved Member States must be or become core C-Roads Platform members and apply all C-Roads specifications;
- Actions shall ensure that all their pilots are fully interoperable with already deployed C-ITS services under the umbrella of the C-Roads Platform<sup>20</sup>;
- The purchase of mobile equipment (e.g. vehicles) shall not be supported. However, costs of equipment, adaptation or upgrade of vehicles (e.g. sensors, on-board units, etc.) can be supported.

### **3.3.2. SESAR**

#### **(Under General envelope)**

The objective of this priority is to support the timely and efficient implementation of the Single European Sky, in particular, but not limited to, the deployment of the Single European Sky Air Traffic Management Research project (SESAR). In particular, SESAR aims to improve the performance of ATM in Europe by modernising and harmonising ATM systems, synchronising the deployment of essential ATM functionalities, enhancing civil-military interoperability, reducing fragmentation and consolidating the provision of air navigation services.

Actions under this priority (studies or works) shall comply with the provisions of Article 10(2) of Regulation (EU) No 1316/2013 supporting the implementation of the European ATM Master Plan, in particular the pre-deployment of Flight Objects Interoperability, to be further detailed in the call for proposals.

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

#### **(Under General envelope)**

Under this priority, only Actions (studies or works) located in urban nodes listed in Annex II part 1 of the TEN-T Guidelines and in nodes of the core network listed in Annex II part 2 of the TEN-T Guidelines which are located on a Core Network Corridor may be funded. Such Actions shall relate to:

- Missing links and/or bottlenecks within and between transport modes of the TEN-T in urban nodes;
- Integrated public multi-modal transport solutions and multimodal transport hubs for passengers (including public transport solutions, integration of terminals into the wider urban mobility environment, and facilities allowing a better connection between transport modes, especially for users with reduced mobility).

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<sup>19</sup> [https://ec.europa.eu/transport/themes/its/c-its\\_en](https://ec.europa.eu/transport/themes/its/c-its_en)

<sup>20</sup> <https://www.c-roads.eu/platform.html>

Proposed Actions shall be consistent with Sustainable Urban Mobility Plans where applicable. Support is not given to road bypasses and mobile equipment under this Priority.

#### **3.3.4. *Motorways of the Sea***

##### **(Under General envelope)**

Under this priority, only Actions (studies or works) in line with the specific requirements of Chapter II, section 4, article 21 (Motorways of the Sea) of the TEN-T Guidelines may be funded.

Priority shall be given to eligible Actions addressing:

- Implementation of new facilities and technologies regarding provision and use of alternative fuels or energy, e.g. LNG bunkering and shoreside electricity, in line with Directive 2014/94/EU<sup>21</sup>;
- The alleviation of congestion and/or the reduction of the environmental impact of land transport through the creation of alternative short sea shipping routes.

Maritime vessels are not eligible under this priority.

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<sup>21</sup> Directive 2014/94/EU of the European Parliament and of the Council of 22 October 2014 on the deployment of alternative fuels infrastructure (OJ L 307, 28.10.2014)

#### 4. INDICATIVE TIMETABLE AND AMOUNTS AVAILABLE FOR THE MULTI-ANNUAL CALLS FOR PROPOSALS 2019

Objective	Priority	Indicative date of publication	Indicative amounts under general envelope (in € million)	Indicative amounts under cohesion envelope (in € million) (Budget line 060201014)
Bridging missing links, removing bottlenecks, enhancing rail interoperability, and, in particular, improving cross-border sections	Projects on the Core Network	October 2019	500	610
	ERTMS on-board prototypes	October 2019	50	0
<b>Sub-total (Budget line 06020101)</b>			<b>550</b>	<b>610</b>
Ensuring sustainable and efficient transport systems in the long run, as well as enabling all modes of transport to be decarbonised	Safe and Secure infrastructure	October 2019	20	40
<b>Sub-total (Budget line 06020102)</b>			<b>20</b>	<b>40</b>
Optimising the integration and interconnection of transport modes and enhancing the interoperability of transport services, while ensuring the accessibility of transport infrastructures	Intelligent Transport Services for road (ITS)	October 2019	20	0
	SESAR	October 2019	20	0
	Actions implementing transport infrastructure in nodes of the Core Network, including urban nodes	October 2019	110	0
	Motorways of the Sea	October 2019	30	0
<b>Sub-total (Budget line 06020103)</b>			<b>180</b>	<b>0</b>
<b>TOTAL</b>			<b>750</b>	<b>650</b>

The available budget for the call is EUR 1,400,000,000. Of each budget line an amount up to 0.125% 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, or, as regards ERTMS on-board prototypes, of unit contributions derived from unit costs, as defined in Article 125.1(c) of the Financial Regulation.

## **5.1. For the General envelope of the CEF**

### All priorities except ERTMS on-board deployment.

In accordance with Article 10(2) of the CEF Regulation, the amount of Union financial assistance shall not exceed the following rates:

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

### ERTMS on-board deployment.

Union financial support shall take the form of unit contributions as defined in the Decision authorising the use of unit contribution to support ERTMS deployment under the Connecting Europe Facility (CEF) - transport sector, dated 19 February 2019.

## **5.2. For the Cohesion envelope of the CEF**

In accordance with Article 11(5) of the CEF Regulation, the maximum funding rates shall be those applicable to the Cohesion Fund.

## **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.

Projects have to comply with the following provisions of Article 7 of Regulation (EU) No 1315/2013:

- (1) contribute to the objectives falling within at least two of the four categories set out in Article 4 of Regulation (EU) No 1315/2013;
- (2) comply with Chapter III of Regulation (EU) No 1315/2013;
- (3) be economically viable on the basis of a socio-economic cost-benefit analysis;
- (4) demonstrate European added value.

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

A proposal must address studies or works within the meaning of Article 2(5) and (6) of Regulation (EU) No 1316/2013. Proposals may not combine studies and works.

#### Cost Benefit Analysis

Pursuant to Article 10 of Regulation (EU) No 1316/2013 and in view of assessing the socio-economic and financial viability, all proposals for works, must be accompanied by a Cost-

Benefit Analysis (CBA), presented as a stand-alone document, clearly identified as such, proposing the co-funding rate requested for the action, while taking into account the maximum funding rates provided in Regulation (EU) No 1316/2013.

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

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

Proposals for works under priority 3.1. 2. (ERTMS on-board prototypes) do not have to be accompanied by a CBA as the amount of the financial assistance to be granted, taking the form of unit contribution, is determined in advance.

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

#### **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 (e.g. description of the profile of the persons primarily responsible for managing and implementing the operation, organisations' activity report, and proof of experience in carrying out infrastructure projects of the same kind). Information submitted by applicants who benefited from TEN-T support as from 2004 may be taken into account in the evaluation of these applicants' operational capacity when clearly indicated by applicants.

### **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 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 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. In particular the maturity of the Action in the project development will be assessed. Proposed Actions should be ready to start, at the latest, within six months after the closure of the call and shall be completed by 31 December 2023 at the latest

#### *iii. Impact*

This refers to the expected effect of the Union financial support on the financial viability of an economically and socially desirable investment. An assessment will be made of the impact of the financing plan to drive the most efficient use of Union financial support. This assessment will be based on the information included in the application, and when applicable, the Financial Analysis required in the Cost-Benefit Analysis, and the information supporting the calculation of the Funding Gap.

In particular, the following aspects will be assessed:



- Stimulating effect of the Union support on public and private investment, when applicable;
- The need to overcome financial obstacles, such as the lack of market finance;
- The economic, social, climate and environmental impact, and accessibility, as applicable.

*iv. Quality*

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

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 2023 are considered eligible for financing.

No grant may be awarded retroactively for Actions already completed.

## Part II

### “ANNEX III

#### Breakdown of annual instalments (September 2019)

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	6,467,075,287	958,609,301	598,682,336	577,393,466	1,174,973,648	1,238,560,649	1,330,880,258	587,975,630	6,467,075,287
	MAWP (Grants) 2015-2020	136,315,456	0	0	14,398,221	4,822,410	34,208,428	33,063,931	49,822,467	136,315,456
	MAWP (Grants) 2016-2020	67,982,646	0	0	0	15,695,420	0	27,130,603	25,156,623	67,982,646
	MAWP (Grants blending-1) 2017-2020	831,995,300	0	0	0	0	104,589,631	107,719,545	619,686,124	831,995,300
	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	99,000,000	0	0	0	0	0	20,000,000	79,000,000	99,000,000
	MAWP (Grants reflow) 2019-2020	550,000,000	0	0	0	0	0	389,738,265	160,261,735	550,000,000
	PSA	82,993,815	35,796,179	0	1,940,550	22,276,002	8,571,084	4,250,000	10,160,000	82,993,815
	Costs for the experts	1,262,531	0	579,041	89,907	2,518	591,064	0	0	1,262,531
	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	97,689,210	0	0	0	0	0	97,689,210	0	97,689,210	
<b>Total reserved by the CEF Transport Work Programmes</b>			<b>1,122,091,911</b>	<b>599,261,377</b>	<b>746,229,425</b>	<b>1,217,769,998</b>	<b>1,416,477,395</b>	<b>2,096,916,458</b>	<b>1,648,963,424</b>	<b>8,847,709,987</b>
<b>CEF commitment appropriations (MFF 2014-2020) including the EFSI contribution, reflows from the administrative lines and transfers between the CEF lines</b>			<b>1,118,525,421</b>	<b>591,973,905</b>	<b>746,075,425</b>	<b>1,217,769,998</b>	<b>1,416,107,256</b>	<b>2,038,543,817</b>	<b>1,648,963,424</b>	<b>8,777,959,246</b>
<b>Internal assigned revenues</b>			<b>3,566,491</b>	<b>7,287,472</b>	<b>154,000</b>	<b>0</b>	<b>370,139</b>	<b>58,372,641</b>	<b>0</b>	<b>69,750,743</b>
<b>CEF Total commitment appropriations</b>			<b>1,122,091,911</b>	<b>599,261,377</b>	<b>746,229,425</b>	<b>1,217,769,998</b>	<b>1,416,477,395</b>	<b>2,096,916,458</b>	<b>1,648,963,424</b>	<b>8,847,709,988</b>
06.020102	MAWP (Grants) 2014-2020	127,422,082	51,120,003	18,689,857	7,324,057	18,276,375	21,477,214	7,303,505	3,231,070	127,422,082
	MAWP (Grants) 2015-2020	72,181,951	0	21,255,700	16,397,919	3,623,539	23,520,100	2,540,680	4,844,014	72,181,951
	MAWP (Grants) 2016-2020	86,794,785	0	0	0	44,955,241	0	19,622,175	22,217,369	86,794,785
	MAWP (Grants Blending) 2017-2020	106,445,321	0	0	0	0	50,123,547	37,526,578	18,795,196	106,445,321
	MAWP (Grants blending-2) 2017-2020	199,701,038	0	0	0	0	30,782,482	30,988,320	137,930,236	199,701,038
	MAWP (Grants) 2018-2020	111,938,046	0	0	0	0	27,441,687	30,593,648	53,902,711	111,938,046
	MAWP (Grants blending facility) 2019-2020	99,000,000	0	0	0	0	0	28,700,000	70,300,000	99,000,000
	MAWP (Grants reflow) 2019-2020	20,000,000	0	0	0	0	0	10,491,847	9,508,153	20,000,000
	PSA	28,222,695	1,004,350	5,790,000	2,178,345	3,000,000	5,700,000	10,550,000	0	28,222,695
	Costs for the experts	1,224,901	0	56,400	50,439	693,062	90,000	335,000	0	1,224,901
	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	19,485,600	0	0	0	0	0	19,485,600	0	19,485,600	
<b>Total reserved by the CEF Transport Work Programmes</b>			<b>69,864,350</b>	<b>45,791,957</b>	<b>85,279,802</b>	<b>70,548,217</b>	<b>159,135,030</b>	<b>198,137,353</b>	<b>320,728,749</b>	<b>949,485,457</b>
<b>CEF commitment appropriations (MFF 2014-2020) including the EFSI contribution, reflows from the administrative lines and transfers between the CEF lines</b>			<b>69,864,350</b>	<b>43,000,681</b>	<b>85,279,802</b>	<b>69,093,215</b>	<b>70,820,861</b>	<b>197,881,734</b>	<b>320,728,749</b>	<b>856,669,392</b>
<b>Internal assigned revenues</b>			<b>0</b>	<b>2,791,276</b>	<b>0</b>	<b>1,455,001</b>	<b>88,314,169</b>	<b>255,619</b>	<b>0</b>	<b>92,816,065</b>
<b>CEF Total commitment appropriations</b>			<b>69,864,350</b>	<b>45,791,957</b>	<b>85,279,802</b>	<b>70,548,216</b>	<b>159,135,030</b>	<b>198,137,353</b>	<b>320,728,749</b>	<b>949,485,457</b>

Budget lines		2014-2020 commitments	2014 commitments	2015 commitments	2016 commitments	2017 commitments	2018 commitments	2019 commitments	2020 commitments	TOTAL
06.020103	MAWP (Grants) 2014-2020	742,268,735	158,231,888	277,011,554	159,648,379	91,065,177	43,760,681	9,247,352	3,303,704	742,268,735
	MAWP (Grants) 2015-2020	745,880,706	0	0	388,323,520	83,928,394	178,876,109	33,912,592	60,840,092	745,880,706
	MAWP (Grants) 2016-2020	472,891,763	0	0	0	243,444,589	0	127,981,383	101,465,791	472,891,763
	MAWP (Grants) 2017-2020	286,388,508	0	0	0	0	108,723,488	86,837,470	90,827,550	286,388,508
	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	183,028,738	0	0	0	0	20,763,945	37,754,616	124,510,177	183,028,738
	MAWP (Grants reflow) 2019-2020	180,000,000	0	0	0	0	0	58,630,607	121,369,394	180,000,000
	PSA	130,169,406	17,419,200	18,700,000	28,069,499	21,026,869	24,811,213	13,237,626	6,905,000	130,169,406
	Costs for the experts	1,082,158	0	318,639	399,688	12,000	351,830	0	0	1,082,158
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
<b>Total reserved by the CEF Transport Work Programmes</b>			209,593,050	296,030,193	576,441,087	449,477,029	395,269,764	403,391,781	554,382,620	2,884,585,524
<b>CEF commitment appropriations (MFF 2014-2020) including the EFSI contribution, reflows from the administrative lines, transfers between the CEF lines and MFF MTR</b>			209,593,050	224,612,282	534,934,839	420,136,467	395,232,934	386,112,830	554,382,620	2,725,005,022
<b>Internal assigned revenues</b>			0	71,417,911	41,506,248	29,340,562	36,830	17,278,951	0	159,580,503
<b>CEF Total commitment appropriations</b>			<b>209,593,050</b>	<b>296,030,193</b>	<b>576,441,087</b>	<b>449,477,029</b>	<b>395,269,764</b>	<b>403,391,781</b>	<b>554,382,620</b>	<b>2,884,585,525</b>
06.020104	MAWP (Grants) 2014-2020	4,127,014,981	967,080,000	3,348,163	818,210,873	865,772,709	636,355,363	582,144,970	254,102,903	4,127,014,981
	MAWP (Grants) 2015-2020	5,087,852,663	0	1,212,165,858	880,226,449	459,780,661	806,602,252	853,532,385	875,545,058	5,087,852,663
	MAWP (Grants) 2016-2020	1,362,669,249	0	0	645,981,684	262,303,668	201,302,095	58,128,654	194,953,148	1,362,669,249
	MAWP (Grants reflow) 2019-2020	650,000,000	0	0	0	0	0	200,419,485	449,580,516	650,000,000
	PSA	21,433,893	15,916,970	0	0	0	5,126,923	165,000	225,000	21,433,893
	Costs for the experts	872,144	0	250,757	284,344	337,043	0	0	0	872,144
AWP (Grants) 2016 pour mémoire	27,677,107	0	0	27,677,107	0	0	0	0	0	27,677,107
<b>Total reserved by the CEF Transport Work Programmes</b>			982,996,970	1,215,764,778	2,372,380,457	1,588,194,081	1,649,386,632	1,694,390,494	1,774,406,625	11,277,520,037
<b>CEF commitment appropriations (MFF 2014-2020)</b>			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
<b>Internal assigned revenues</b>			0	182,324	0	0	0	0	0	182,324
<b>CEF Total commitment appropriations</b>			<b>982,996,970</b>	<b>1,215,764,778</b>	<b>2,372,380,457</b>	<b>1,588,194,081</b>	<b>1,649,386,632</b>	<b>1,694,390,494</b>	<b>1,774,406,625</b>	<b>11,277,520,037</b>
TOTAL UNDER the amended 2014-2020 MAP (GRANTS)		23,146,082,834	2,135,041,192	2,131,153,468	3,507,904,567	3,268,641,831	3,575,026,708	4,247,123,650	4,281,191,418	23,146,082,834
AWP pour mémoire (GRANTS)		324,220,308	179,368,391	0	239,413,430	0	0	117,174,810	0	535,956,631
PSA and experts		267,261,542	70,136,699	25,694,837	33,012,771	47,347,494	45,242,114	28,537,626	17,290,000	267,261,542
Financial instruments		206,354,000	70,000,000	70,000,000	66,354,000	0	0	0	0	206,354,000
<b>CEF Total commitments appropriations</b>			<b>2,454,546,281</b>	<b>2,226,848,305</b>	<b>3,846,684,771</b>	<b>3,325,989,324</b>	<b>3,620,268,821</b>	<b>4,392,836,087</b>	<b>4,298,481,418</b>	<b>24,165,655,007</b>