

FICHE NO 3
IMPLEMENTING ACT ON FORMATS FOR MAJOR PROJECTS
VERSION NO 1 – 20/03/13

Regulation	Article
Common Provisions Regulation (CPR)	Article 91(1) Information necessary for the approval of major projects
	Article 92(1) Decision on a major project

This document is provisional, without prejudice to the on-going negotiations in the Trilogues between the European Parliament and the Council (in line with the principle that "nothing is agreed until everything is agreed"). This document is a draft that shall be adjusted following the expert meeting.

It does not prejudge the final nature of the basic act, nor the content of any delegated or implementing act that may be prepared by the Commission.

IMPLEMENTING ACT ON FORMATS FOR MAJOR PROJECTS

(1) *EMPOWERMENT*

Article 91 (1) of the CPR

"The Commission shall provide guidance on the methodology to be used in carrying out a quality review of a major project and shall establish the format for the submission of the information set out in Article 91 (a) to (i) by means of implementing acts".

Article 92 (1) of the CPR

"The Commission shall establish the format for the notification by means of implementing acts. Those implementing acts shall be adopted in accordance with the examination procedure referred to in Article 143(3)" *[new procedure and empowerment proposed by the Council, pending discussions with the European Parliament]*.

(2) *MAIN OBJECTIVES AND SCOPE*

Article 91 CPR foresees two possibilities to assess major projects. The first option is an assessment of the major project by an independent expert which is followed by a notification of the Commission by the managing authority on the selection of the major project for support. In addition the complete appraisal by the Commission as carried out in this programming period (2007-2013) is still possible.

Article 91(1) CPR defines the information necessary for assessing the major project. Article 92 (1) defines the extent of information given in case of a notification. The implementing act will establish standard formats for these sets of information.

(3) *MAIN ELEMENTS*

The implementing act should set out:

- The format for information required by Article 91 (1) of CPR for the approval of major projects;
- The format for notification the Commission of the selected major project in accordance with Article 92(1) *[new procedure and empowerment proposed by the Council, pending discussions with the European Parliament]*.

(4) *CONTENT*

The information required before the major project is approved should include:

- (a) the body responsible for implementation of the major project, and its capacity;
- (b) a description of the investment and its location;
- (c) total cost and total eligible cost, taking account of the requirements set out in Article 54;
- (d) feasibility studies carried out, including the options analysis, and the results;
- (e) a cost-benefit analysis, including an economic and a financial analysis, and a risk assessment;
- (f) an analysis of the environmental impact, taking into account climate change adaptation and mitigation needs, and disaster resilience;
- (g) the consistency with the relevant priority axes of the operational programme or operational programmes concerned, and its expected contribution to achieving the specific objectives of those priority axes;
- (h) the financing plan showing the total planned financial resources and the planned support from the Funds, the EIB, and all other sources of financing, together with physical and financial indicators for monitoring progress, taking account of the identified risks;
- (i) the timetable for implementing the major project and, where the implementation period is expected to be longer than the programming period, the phases for which support from the Funds is requested during the 2014 to 2020 programming period.

The major project notification to the Commission of the selected major project (Article 92 (1) of the CPR) should include the following information: *[new procedure and empowerment proposed by the Council, pending discussions with the European Parliament]*

(a) the document referred to in Article 114(3)(c) setting out:

- (a) the body to be responsible for implementation of the major project;
- (b) a description of the investment, its location, timetable and expected contribution of the major project to the objectives of the relevant priority axis or axes;
- (c) total cost and total eligible cost, taking account of the requirements set out in Article 54 and;
- (d) the financing plan, and the physical and financial indicators for monitoring progress, taking account of identified risks;

(b) the quality review of the independent experts, providing clear statements on the investment's feasibility and economic viability.

(5) MAIN CHANGES COMPARED TO THE PERIOD 2007-2013

Summary table of main changes in the formats for data on major projects

2014-2020 format	2007-2013 format	Reason for change
Amended structure		Need to ensure consistency with CPR
Information on capacity of the body responsible to implement the project	Not required by Council Regulation 1083/2006	Art. 91 (1) (a) of CPR
Information on climate change issues	Not required by Council Regulation 1083/2006	Art.91(1) (f) of CPR
Calculation of Union contribution: 3 methods i.e. standard funding gap method, flat rate method and decreased co-financing rate method	Primarily based on funding gap method	Art.54(3)(b) of CPR Art.54(3)(a) of CPR Art.54(5) of CPR
Procurement plan including information on first works' contract	Information only partly required	Art.92 (3) of CPR

(6) ANNEXES

Annex 1: Format for information on major projects as set out in Article 91 (1) (a) to (i) CPR

Annex 2: Format for the notification of major projects as set out in Article 92 (1) CPR
[new procedure and empowerment proposed by the Council, pending discussions with the European Parliament]

**ANNEX 1: FORMAT FOR INFORMATION ON MAJOR PROJECTS AS
SET OUT IN ARTICLE 91 (1) (A) TO (I) CPR**

**MAJOR PROJECT¹
REQUEST FOR CONFIRMATION OF ASSISTANCE UNDER ARTICLES 91.1 OF
COMMON PROVISIONS REGULATION (CPR) (EC) NO (...)²**

**EUROPEAN REGIONAL DEVELOPMENT FUND /
COHESION FUND**

INFRASTRUCTURE INVESTMENT

[Project title]

CCI No [.....]

**A. THE BODY RESPONSIBLE FOR IMPLEMENTATION OF THE MAJOR
PROJECT, AND ITS CAPACITY**

A.1. Authority responsible for project application (Managing Authority or Intermediate Body)

A.1.1. *Name:*

A.1.2. *Address:*

A.1.3. *Contact person and position:*

A.1.4. *Telephone and fax:*

A.1.5. *E-mail:*

A.2. Body responsible for project implementation

A.2.1. *Name:*

A.2.2. *Address:*

¹ Major project is an operation comprising a series of works, activities or services intended in itself to accomplish an indivisible task of a precise economic or technical nature which has clearly identified goals and for which the total eligible cost exceeds EUR 50 000 000 and in the case of operations contributing to the thematic objective under Article 9(7) where the total eligible cost exceeds EUR 75 000 000 (a 'major project') as defined in Article 90 of CPR. Financial Instruments and Joint Action Plans are not considered major projects.

² This draft application form is based on the current Presidency Compromise and will be subject to amendments following further discussions.

A.2.3. *Contact person and position:*

A.2.4. *Telephone and fax:*

A.2.5. *E-mail:*

A.3. Please confirm capacity of the responsible body by referring to technical, financial and institutional aspects

Technical capacity for implementing the project (at minimum please give overview of expertise required and indicate the estimate number of staff with such expertise available within the organisation and allocated to the project)

TEXT BOX

Financial capacity (at minimum please provide cashflow projections for the project for all the years considered for implementation and financial standing of the responsible body)

TEXT BOX

Institutional capacity (at minimum please indicate the EU-funded as well as comparable projects carried out in the last five years)

TEXT BOX

B. A DESCRIPTION OF THE INVESTMENT AND ITS LOCATION

B.1. Title of project / project phase:

TEXT BOX

B.2. Categorisation of project activity³

		<i>Code</i>	<i>Percentage</i>
<i>B.2.1.</i>	Code for the thematic objective dimension		
<i>B.2.2.</i>	Code(s) for the main intervention field dimension(s)		
<i>B.2.3.</i>	Code for the form of finance dimension		
<i>B.2.4.</i>	Code for the territorial dimension		

³ Annex to Regulation (EC) No/2013 (Implementation Regulation to be adopted) unless otherwise specified.

B.2.5. Code for the economic dimension (NACE Code ⁴)		
B.2.6. Code for the location dimension (s) (NUTS/LAU) ⁵		
B.2.8. Main Investment Priority		

B.3. Title of the related Operational Programme(s):

TEXT BOX

B.3.1. Common Code for Identification (CCI) No of Operational Programme(s)

TEXT BOX

B.3.2. Fund

Please specify the Fund under which co-financing is sought for the project

ERDF Cohesion Fund

In case of major project co-financed by more than one Operational Programme, specify the Fund for each Operational Programme separately:

- Title of the Operational Programme:

TEXT BOX

ERDF Cohesion Fund

- Title of the Operational Programme:

TEXT BOX

ERDF Cohesion Fund

B.3.3. Title of the priority axis or priority axes in case of major project co-financed by more than one Operational Programme

TEXT BOX

B.3.4. Is the project contained in the list of major projects in the operational programme?⁶

Yes No

⁴ NACE-Rev.2, 4 digit code: Regulation (EC) No 1893/2006 of the European Parliament and of the Council (OJ L 393, 30.12.2006, p.1). TBD

⁵ Regulation (EC) No 1059/2003 of the European Parliament and of the Council (OJ L 154, 21.6.2003, p. 1). Use the most detailed and relevant NUTS code. Where a project affect multiple individual NUTS/LAU 2 level areas, consider encoding the NUTS/LAU1 or higher codes. TBD

⁶ As required by Article 91.2. of CPR.

B.4. Project description

(a) Please provide a concise (max. 2 pages) description of the project (or project phase) including a map identifying the project area, geo-referenced data and the main project components with their costs⁷.

TEXT BOX

(b) Where the project is a phase of an overall project, provide a concise description of the proposed phases of implementation and explain whether they are technically and financially independent. Explain what criteria have been used to determine the division of the project into phases. If the project is co-financed by more than one Operational Programme, indicate which parts fall under which Operational Programme and their pro-rata allocation.

TEXT BOX

(c) What is the demand for the project? Please provide a summary of the demand analysis, including predicted utilisation rate on completion and demand growth rate. At the minimum the following information should be included:

- i) assumptions;*
- ii) projections;*
- iii) designed capacity of main infrastructure.*

TEXT BOX

(d) Give details of how the infrastructure will be managed after the project is completed (i.e. name of the operator; selection methods – public management or concession; type of contract, etc).

TEXT BOX

(e) Does the project form part of a Trans-European Network agreed at Union level?

Yes No

If yes, please give details

TEXT BOX

⁷ Please provide the geo-referenced data in vector format, containing polygons, lines and/or points as appropriate to represent the project in preferably ESRI shapefile format.

C. TOTAL COST AND TOTAL ELIGIBLE COST

Please complete table below having in mind the following

- (1) Ineligible costs comprise (i) expenditure outside the eligibility period, (ii) expenditure ineligible under national rules, (iii) other expenditure not presented for co-financing. NB: The starting date for eligibility of expenditure is the date of receipt of the draft operational programme by the Commission or 1 January 2014, whichever is the earlier.
- (2) Contingencies should not exceed 10% of total investment cost net of contingencies. These contingencies may be included in the total eligible costs used to calculate the planned contribution of the funds.
- (3) A price adjustment may be included, where relevant, to cover expected inflation where the eligible cost values are in constant prices. If costs are expressed in current prices, there should be no price adjustment. The approach taken here must be consistent with CBA carried out for the project.
- (4) Where VAT is considered eligible, please give reasons
- (5) Total cost must include all costs incurred for the project, from planning to supervision and must include VAT.

	Euro	TOTAL PROJECT COSTS	INELIGIBLE COSTS⁽¹⁾	ELIGIBLE COSTS
		(A)	(B)	(C)=(A)-(B)
1	Planning/design fees			
2	Land purchase			
3	Building and construction			
4	Plant and machinery or equipment			
5	Contingencies ⁽²⁾			
6	Price adjustment (if applicable) ⁽³⁾			
7	Publicity			
8	Supervision during construction implementation			
9	Technical assistance			
10	Sub-TOTAL			
11	(VAT ⁽⁴⁾)			
12	TOTAL	(5)		

D. FEASIBILITY STUDIES CARRIED OUT, INCLUDING OPTION ANALYSIS, AND THE RESULTS

D.1. Provide a short summary of the main conclusions of the feasibility studies conducted along the following key dimensions: institutional, technical, financial,

economic, risks and sensitivity and environmental to prove feasibility of the project (max. 2-3 pages). Please complete the table by making reference to the relevant documents.

Institutional

TEXT BOX

Technical

TEXT BOX

Financial

TEXT BOX

Economic

TEXT BOX

Risks and sensitivity

TEXT BOX

Environmental

TEXT BOX

Reference table

Key dimension of Feasibility Study	Reference (supporting document and chapter/section/page where the specific information and details can be found)
Institutional	
Technical	
Financial	
Economic	
Risks and sensitivity	
Environmental	

D.2. Option analysis

Please outline the alternative options considered in the feasibility study (max. 2-3 pages) and briefly present a justification for the option chosen (please specify the criteria considered in selecting the best solution).

At least the following information should be included:

- Net Present Value (NPV);
- options for scale and location of the proposed infrastructure and criteria used for the final selection and how these options were considered in the assessment of alternatives in the context of EIA/SEA procedures as appropriate (see section F below);
- technological options – per component and per system;
- risks involved for each alternative and rationale for final selection;
- a summary table containing all pros and cons.

TEXT BOX

In addition to the summary elements to be provided, the full feasibility study document shall be provided in support of this application as Annex....

E. A COST-BENEFIT ANALYSIS, INCLUDING AN ECONOMIC AND A FINANCIAL ANALYSIS, AND A RISK ASSESSMENT

This section should be based on the revised Guidelines on the methodology for carrying out the cost-benefit-analysis of major projects (2013). In addition to the summary elements to be provided, the full cost-benefit analysis document shall be provided in support of this application as Annex....

E.1. Financial analysis

The key elements from the financial analysis of the CBA should be summarised below.

At least the following information should be included:

- Description of the compliance with the methodology proposed by the revised CBA Guideline;
- Financial parameters used in the CBA;
- Steps considered in the calculations;
- Exceptions to the application of the CBA guide;
- Project costs;
- Operating costs and maintenance;
- Generated revenues;
- Main results of the financial analysis with and without project (as to justify the future EU investment)
- Financial sustainability to demonstrate that the project will not run out of cash in the future (where possible provide financial sustainability tables presenting cash flows for all years considered)

E.1.1. Short description of methodology and specific assumptions made

TEXT BOX

E.1.2. Main elements and parameters used in the CBA for financial analysis⁸

	Main elements and parameters	Value Not discounted	Value Discounted (Net Present Value)	Reference to CBA doc.
1	Reference period (years)			
2	Financial			

⁸ All figures must correspond to CBA document. CBA should be drafted in Euro or local currency with the exchange rate clearly indicated.

	discount rate (%) ⁹			
3	Total investment cost excluding contingencies (in euro, not discounted) ¹⁰			
4	Total investment cost (in euro, discounted)			
5 ¹¹	Residual value (in euro, not discounted)			
6	Residual value (in euro, discounted)			
7	Revenues (in euro, discounted)			
8	Operating costs (in euro, discounted)			
Funding gap calculation¹²				
9	Net revenue = revenues – operating costs + residual value (in euro, discounted) = (7) – (8) + (6)			
10	Investment cost – net revenue (in euro, discounted) = (4) – (9) (Article 55(2))			
11	Funding gap rate (%) = (10) / (4)			

Where VAT is recoverable, the costs and revenues should be based on figures excluding VAT¹³.

Exchange rate

E.1.3. Main results of the financial analysis

TEXT BOX

⁹ Specify if the rate is real or nominal. If the financial analysis is conducted in constant prices, a financial discount rate expressed in real terms shall be used. If the analysis is conducted in current prices, a discount rate in nominal terms shall be used.

¹⁰ Investment cost should here exclude contingencies in accordance with working document number 4.

¹¹ If flat rate (Article 54(3)(a) of CPR) or decreased co-financing rate (Article 54(5) of CPR) is used, information in points 5-11 is not required.

¹² This does not apply: 1) for projects subject to the rules on State aids in the meaning of Article 107 of the Treaty (see point G1), pursuant to Article 54 (8) of CPR and 2) if operating costs are higher than revenues the project is not considered as revenue generating, in which case items 9 and 10 can be ignored and funding gap should be set at 100%.

¹³ TBC when CPR is finalised.

	Without Union assistance (FRR/C)		With Union assistance (FRR/K)		Reference to CBA document/comments
	A		B ¹⁴		
1. Financial rate of return (%)		FRR/C		FRR/K	
2. Net present value (euro)		FNPV/C		FNPV/K	

If FRR/K is higher than 10% please justify reasons for public intervention

TEXT BOX

E.1.4. Tariff strategy and affordability (if applicable)

If the project is expected to generate revenues through tariffs or charges borne by users, please give details of charges (types and level of charges, principle or Union legislation on the basis of which the charges have been established).

- (a) Do the charges cover the operational costs and maintenance including routine replacement costs of the project?

Yes

No

Please provide details, a reference to the tariff strategy should also be made

TEXT BOX

- (b) Do the charges differ between the various users of the infrastructure? Please provide details in text box

Yes

No

TEXT BOX

- (c) Are the charges proportional (please provide details in text boxes)

- i) to the use of the project/real consumption, if relevant

Yes

No

TEXT BOX

- ii) to the pollution generated by users?

Yes

No

¹⁴ For the calculation of the project profitability without ("/C") and with ("/K") Union assistance, refer to the CBA guidance provided by the Commission in line with Article 91 of Regulation (EC) No .../2012 (CPR).

TEXT BOX

- iii) has the affordability of proposed tariffs or charges for users been analysed,

Yes

No

TEXT BOX

- (d) If no tariffs or charges are proposed, how will operating and maintenance costs be covered?

TEXT BOX

E.2. Socio-economic analysis

- E.2.1. Please provide a short description of methodology (key assumptions made in valuing costs and benefits and cost components considered – investment costs, replacement costs, O&M costs, CO₂ emissions (greenhouse gas emissions in CO₂ equivalent), climate change adaptation and mitigation, disaster resilience, etc.) and the main findings of the socio-economic analysis and explain the relationship with the Environmental Impact Assessment as appropriate (see section F below):

TEXT BOX

- E.2.2. Give details of main economic costs and benefits identified in the analysis together with values assigned to them:

Benefit	Unit value (where applicable)	Total value (in euro, discounted)	% of total benefits
...
...
Cost	Unit value (where applicable)	Total value (in euro, discounted)	% of total costs
...
...

- E.2.3. Main indicators of the economic analysis in accordance with the CBA document

Main parameters and indicators	Values	Reference to CBA document/comments
1. Social discount rate (%)		
2. Economic rate of return ERR (%)		
3. Economic net present value ENPV (in euro)		

4. Benefit-cost ratio		
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E.2.4. Employment effects of project

Provide an indication of the number of jobs to be created (expressed in terms of full-time equivalents (FTE)).

Number of jobs directly created:	No (FTE) (A)	Average duration of these jobs (months)¹⁵ (B)
During operational phase		

E.2.5. Identify the main non-quantifiable / non valuable benefits and costs:

TEXT BOX

E.3. Risk assessment and sensitivity analysis

E.3.1. Please provide short description of the methodology and summary results

TEXT BOX

E.3.3. Risk assessment

Please present a short summary of the risk assessment including the proposed risk management strategy (special attention should be given to environmental and climate change risks)

TEXT BOX

E.3.2. Sensitivity analysis

State the percentage change applied to the variables tested:

Present the estimated effect on results of financial and economic performance indexes.

Variable tested	Financial Rate of Return variation	Financial Present Value variation	Net Value	Economic Rate of Return variation	Economic Net Present Value variation

Which variables were identified as critical? State which criterion has been applied and mention the impact of the key variables on the main indicators – FRR/K, FNPV/K, ERR, ENPV.

¹⁵ In case of permanent jobs, instead of duration in months, type "permanent".

TEXT BOX

Which are the switching values of the critical variables?

TEXT BOX

F. AN ANALYSIS OF THE ENVIRONMENTAL IMPACT, TAKING INTO ACCOUNT CLIMATE CHANGE ADAPTATION AND MITIGATION NEEDS, AND A DISASTER RESILIENCE

F.1. How does the project:

- (a) contribute to the objective of environmental sustainability (climate change targets in accordance with EU 2020 strategy etc.)

TEXT BOX

- (b) respect the principles of preventive action and that environmental damage should as a priority be rectified at source

TEXT BOX

- (c) respect the "polluter pays" principle.

TEXT BOX

F.2. Consultation of environmental authorities

Have the environmental authorities likely to be concerned by the project been consulted by reason of their specific responsibilities?

Yes No

If yes, please give name(s) and address(es) and explain that authority's responsibility:

TEXT BOX

If no, please give reasons:

TEXT BOX

F.3. Environmental Impact Assessment

F.3.1. DEVELOPMENT CONSENT

F.3.1.1. Is the project already in the construction phase (at least one works contract)?

Yes* No

F.3.1.2. Has development consent already been given to this project?

Yes No*

*Projects in construction phase (Yes answer to question F.3.1.1) and without development consent at the time of their submission to the European Commission are not admissible by the Commission

F.3.1.3. If yes (to F 3.1.2), on which date

DD/MM/YYYY

F.3.1.4. If no (to F 3.1.2), when was the formal request for the development consent introduced:

DD/MM/YYYY

F.3.1.5. If no (to F 3.1.2), specify the administrative steps accomplished so far and describe those remaining:

TEXT BOX

F.3.1.6 By which date is the final decision (or decisions) expected?

DD/MM/YYYY

F.3.1.7. Specify the competent authority (or authorities), which has given or will give the development consent:

TEXT BOX

F.3.2. APPLICATION OF COUNCIL DIRECTIVE 2011/92/EU ON ENVIRONMENTAL IMPACT ASSESSMENT (EIA)¹⁶ as amended

F.3.2.1. Is the project a class of development covered by:

- Annex I to that Directive (go to question F.3.2.2)
- Annex II to that Directive (go to question F.3.2.3)
- Neither of the two annexes (go to question F.3.2.4. and F.3.3)

F.3.2.2. When covered by Annex I to that Directive, include the following documents:

- (a) the information referred to in Article 9(1) of that Directive;
- (b) the non-technical summary¹⁷ of the Environmental Impact Study carried out for the project;

¹⁶ OJ L 26, 28.1.2012, p.1.

¹⁷ Prepared under Article 5(3) of Directive 85/337/EEC.

- (c) information on consultations with environmental authorities, the public concerned and, if applicable, with other Member States.

F.3.2.3. When covered by Annex II to that Directive, has an Environmental Impact Assessment been carried out for this project?

Yes

If the reply is Yes, please include the necessary documents listed under point F.3.2.2

No

If the reply is No, please include the following information:

- a) The decision required in Article 4(4) of Directive 2011/92/EU (known as 'screening decision',
- b) The thresholds, criteria or case by case examination carried out to reach the conclusion that an Environmental Impact Assessment was not required (this information is not needed, if it is already contained in the decision mentioned above under point F.3.2.3.a).
- c) An explanation on the reasons why the project has no significant environmental effects, taking into account the relevant criteria listed at Annex III of Directive 2011/92/EU (this information is not needed, if it is already contained in the decision mentioned above under point F.3.2.3.a).

TEXT BOX

F.3.2.4. When not covered by either of the two annexes of the EIA Directive please explain the reasons:

TEXT BOX

F.3.3. APPLICATION OF THE STRATEGIC ENVIRONMENTAL ASSESSMENT DIRECTIVE 2001/42/EC OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL¹⁸ (SEA-Directive)

F.3.3.1. Is the project implemented as a result of a plan or programme falling within the scope of the SEA Directive?

No

If the reply is No, please provide a short explanation:

TEXT BOX

Yes

¹⁸ OJ L 197, 21.7.2001, p. 30.

If the reply is Yes, in order to appreciate if wider potential cumulative effects of the project have been addressed, please provide either an internet link to or an electronic copy of the non-technical summary¹⁹ of the Environmental Report carried out for the plan or programme.

F.4. Assessment of effects on NATURA 2000 Sites

F.4.1. Is the project likely to have significant negative effects on sites included or intended to be included in the NATURA 2000 network?

Yes

If the reply is Yes,

- (1) Please provide a summary of the conclusions of the appropriate assessment carried out according to Article 6(3) of Council Directive 92/43/EEC²⁰.

TEXT BOX

- (2) In case of a project likely to adversely affect a site included or intended to be included in the NATURA 2000 network and compensation measures were deemed necessary according to Article 6(4), please provide a copy of the form “Information on projects likely to have significant negative effect on NATURA 2000 sites, as notified to the Commission (DG Environment) under Directive 92/43/EEC²¹”.

No

If the reply is No,

please attach a completed Annex I declaration filled in by the relevant authority and the map indicating location of projects and Natura 2000 sites.

F.5. Additional environmental integration measures

Does the project envisage, apart from Environmental Impact Assessment, any additional environmental integration measures (e.g. environmental audit, environmental management, specific environmental monitoring)?

Yes No

If yes, specify

TEXT BOX

¹⁹ Prepared under Annex I (j) to Directive 2001/42/EC.

²⁰ OJ L 206, 22.7.1992, p. 7.

²¹ Document 99/7 rev. 2 adopted by the Habitats Committee (established under Directive 92/43/EEC) at its meeting on 4 October 1999.

F.6. Cost of measures taken for correcting negative environmental impacts

F.6.1. In case of such costs, were these included in the Cost Benefit Analysis?

Yes No

F.6.2. If these costs are included in the total cost, please estimate the proportion of the cost of measures taken to reduce and/or to compensate for negative environmental impacts

%

Please explain briefly:

TEXT BOX

F.7. In case of projects in the areas of water, waste water and solid waste:

Explain whether the project is consistent with a sectoral/integrated plan and programme associated with the implementation of Union policy or legislation²² in those areas:

Water (consistency with Water Framework Directive)

TEXT BOX

Wastewater (consistency with Urban Waste Water Directive)

TEXT BOX

Solid waste (consistency with Waste Framework Directive)

TEXT BOX

F.8. CLIMATE CHANGE

Explain how climate change related risks, adaptation and mitigation needs, and disaster resilience have been taken into account

TEXT BOX

Explain what measures have been adopted to ensure resilience to current climate variability and future climate change within the project

TEXT BOX

²² In particular, Directive 2000/60/EC of the European Parliament and of the Council (Water Framework Directive) (OJ L 327, 22.12.2000, p. 1) Council Directive 1991/271/EC (Urban Waste Water Treatment Directive) (OJ L 135, 30.5.1991, p. 40), Article 7 of Directive 2006/12/EC of the European Parliament and of the Council (Waste Framework Directive) (OJ L 114, 27.4.2006, p. 9), Council Directive 1999/31/EC (Landfill of Waste Directive) (OJ L 182, 16.7.1999, p. 1).

G. JUSTIFICATION FOR THE PUBLIC CONTRIBUTION

G.1. Competition

Does this project involve State Aid?

Yes No

If yes, please give in the table below the total amount of aid (including aid from Member State and EU resources), and, for approved aid the state aid number and the reference of the approval letter, for block-exempted aid the respective registry number, and for pending notified aid the state aid number²³.

Sources of aid (local, regional, national and Union):	Amount of aid (euro)	Intensity of (percentage)	State Aid number/ registry number for block-exempted aid	Reference of approval letter
Approved aid schemes, approved ad hoc aid, or aid falling under a block exemption regulation:				
Aid foreseen under pending notifications (ad hoc aid or schemes) :				
Aid for which a notification is outstanding (ad hoc aid or schemes)				
Total aid granted:				
Total cost of the investment project				

If no, please explain the basis for establishing that the project does not involve state aid (based on the analytical grids or other methods).

TEXT BOX

G.2. Impact of Union assistance on project implementation

Will Union assistance:

²³ This application does not replace notification to the Commission under Article 108(3) of the Treaty. A positive decision by the Commission on the major project under Regulation (EC) No .../2012 does not constitute state aid approval.

a) accelerate implementation of the project?

Yes No

If yes, please specify how and to what extent it will accelerate implementation. If no, please explain

TEXT BOX

b) be essential to implementation of the project?

Yes No

If yes, please specify how much it will contribute to implementation. If no, please justify the need for Union assistance

TEXT BOX

H. THE CONSISTENCY WITH THE RELEVANT PRIORITY AXES OF THE OPERATIONAL PROGRAMME OR OPERATIONAL PROGRAMMES CONCERNED, AND ITS EXPECTED CONTRIBUTION TO ACHIEVING THE SPECIFIC OBJECTIVES OF THOSE PRIORITY AXES

Please give details on the project's coherence/contribution with/to the following

- What are the main project objectives? Please list them here and give short explanation.

TEXT BOX

-the Operational Programme and the specific priority axis or axes under which the project is funded

TEXT BOX

- describe how the project will contribute to achieve the specific objective(s) of the investment priority(ies) it is part of as set out in the operational programme(s)

TEXT BOX

I. THE FINANCING PLAN THE TOTAL FINANCING RESOURCES AND THE PLANNED SUPPORT FROM THE FUNDS, THE EIB, AND ALL OTHER SOURCES OF FINNACING, TOGETHER WITH PHISICAL AND FINANCIAL INDICATORS FOR MONITORING PROGRESS, TAKING ACCOUNT OF THE IDENTIFIED RISKS

The decision amount and other financial information in this section must be coherent with the basis (total or public cost) for the co-financing rate of the priority axis. Where private expenditure is not eligible for financing under the priority axis it shall

be excluded from the eligible costs; where private expenditure is eligible it may be included.

I.1. Total planned financial resources and planned contribution from the Funds

I.1.1. Union contribution calculation

Please choose the relevant option (only one) and complete the information as required

Standard funding gap method (Article 54(3)(b) of CPR)

		Value
1.	Eligible cost (in euro, not discounted) (Section C.12(C))	
2.	Funding gap rate (%), if applicable = (E.1.2.11)	
3.	Decision amount, i.e. the “amount to which the co-financing rate for the priority axis or priority axes ²⁴ applies” (Article ...) = (1)*(2). If I.1.1.2 not applicable, the decision amount must respect the maximum public contribution according to state aid rules	
3.1	<i>In case of major project co-financed by more than one Operational Programme, indicate the share of the Decision amount corresponding to each Operational Programme (complete 3.1.1 & 3.1.2)</i>	3.1.1 3.1.2
4.	Co-financing rate of the priority axis (complete 4.1) <i>or priority axes (%) in case of major project co-financed by more than one Operational Programme (complete 4.2 & 4.3)</i>	4.1 4.2 4.3
5.	Union contribution (in euro) = (3)*(4.1) <i>OR (in case of major project co-financed by more than one Operational Programme) = (3)*[(3.1.1*4.2) + (3.1.2*4.3)]</i>	

Flat rate method (Article 54(3)(a) of CPR)

		Value
1.	Eligible cost (in euro, not discounted) (Section C.12(C))	
2.	Net revenue flat rate as specified in Annex XXX of CPR (FR) (%)	
3.	Decision amount, i.e. the “amount to which the co-financing rate for the priority axis or priority axes ²⁵ applies” (Article ...) = (1)*(1-FR).	

²⁴ In case of major project co-financed by more than one Operational Programme.

²⁵ In case of major project co-financed by more than one Operational Programme.

	If I.1.1.2 not applicable, the decision amount must respect the maximum public contribution according to state aid rules	
3.1	<i>In case of major project co-financed by more than one Operational Programme, indicate the share of the Decision amount corresponding to each Operational Programme (complete 3.1.1 & 3.1.2)</i>	3.1.1 3.1.2
4.	Co-financing rate of the priority axis (complete 4.1) <i>or priority axes (%) in case of major project co-financed by more than one Operational Programme (complete 4.2 & 4.3)</i>	4.1 4.2 4.3
5.	Union contribution (in euro) = (3)*(4.1) <i>OR (in case of major project co-financed by more than one Operational Programme) = (3)*[(3.1.1*4.2) + (3.1.2*4.3)]</i>	

Decreased co-financing rate method (Article 54(5) of CPR)

		Value
1.	Eligible cost (in euro, not discounted) (Section C.12(C))	
2.	Decision amount, i.e. the “amount to which the co-financing rate for the priority axis or priority axes ²⁶ applies” (Article ...) = Eligible cost If I.1.1.2 not applicable, the decision amount must respect the maximum public contribution according to state aid rules	
2.1	<i>In case of major project co-financed by more than one Operational Programme, indicate the share of the Decision amount corresponding to each Operational Programme (complete 2.1.1 & 2.1.2)</i>	2.1.1 2.1.2
3.	Decreased co-financing rate (%)	
4.	Union contribution (in euro) = (2)*(3)	

I.1.2. Sources of co-financing

In the light of the results of the financing gap calculation (where relevant) the total investment costs of the project shall be met from the following sources:

Source of total investment costs (€)					Of which (for Information)
Total investment cost [H.1.12.(A)]	Union assistance [H.2.1.5]	National public (or equivalent)	National private	Other sources (specify)	EIB/EIF loans:
(a)=	(b)	(c)	(d)	(e)	(f)

²⁶ In case of major project co-financed by more than one Operational Programme.

(b)+(c)+(d)+(e)					
Grants					
Financial Instruments ²⁷					

I.1.3. Annual financing plan of Union contribution

The Union contribution shall be presented below in terms of the share of annual programme commitment. In case of major project co-financed by more than one Operational Programme, the annual financing plan shall be presented separately for each Operational Programme.

(in Euro)	2014	2015	2016	2017	2018	2019	2020
CF							
ERDF							

I.1.4. Other Union financing sources

I.1.4.1 Has an application been made for assistance from any other Union source (TEN-T Budget, CEF, LIFE+, Horizon 2020, other sources of Union finance) for this project?

Yes No

If yes, please give details (EU programme concerned, reference number, date, amount requested, amount granted, etc.):

TEXT BOX

I.1.4.2 Is this project complementary to any project already financed or to be financed by the ERDF, ESF, Cohesion Fund, CEF, other source of Union finance?

Yes No

If yes, give details (source of the EU contribution, reference number, date, amount requested, amount granted, etc.):

TEXT BOX

I.1.4.3 Has an application been made for loan or equity support from EIB / EIF for this project?

Yes No

If yes, please give details (financial instrument concerned, reference number, date, amount requested, amount granted, etc.):

²⁷ In the meaning of Article 32 of CPR.

TEXT BOX

I.1.4.4. *Has an application been made for assistance from any other Union source (including ERDF, ESF, Cohesion Fund, EIB, EIF, other sources of Union finance) for an earlier phase of this project (including feasibility and preparatory phases)?*

Yes

No

If yes, give details (source of the EU contribution, reference number, date, amount requested, amount granted, etc.):

TEXT BOX

I.1.5. *Will the construction of the infrastructure be delivered through a public-private partnership (PPP)²⁸?*

Yes

No

If yes, please describe the form of PPP (i.e. selection process for private partner, structure of PPP, infrastructure ownership arrangements, risk allocation arrangements, etc.):

TEXT BOX

I.1.6. *If financial instruments²⁹ are to be used for financing the project, please describe the form of financial instruments (equity or debt instruments):*

TEXT BOX

I.2. Indicators³⁰

Common output indicators, if applicable

Please list in the table provided common output indicators as specified in the operational programme

<i>Name of indicator</i>	<i>Measurement unit</i>	<i>Target for the major project</i>	<i>Target year</i>

²⁸ In the meaning of Article 54/A of CPR.

²⁹ In the meaning of Article 32 of CPR.

³⁰ As required in Article 91.1. (h) of CPR.

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Output indicators

Please use programme-specific output indicators as specified in operational programme

<i>Name of indicator</i>	<i>Measurement unit</i>	<i>Target for the major project</i>	<i>Target year</i>

Result indicators

Please use result indicators, if applicable, as defined by the investment priority which the project is part of

<i>Name of indicator</i>	<i>Measurement unit</i>	<i>Target for the major project</i>	<i>Target year</i>

J. THE TIMETABLE FOR IMPLEMENTING THE MAJOR PROJECT AND, WHERE THE IMPLEMENTATION PERIOD IS EXPECTED TO BE LONGER THAN THE PROGRAMING PERIOD, THE PHASES FOR WHICH SUPPORT FROM THE FUNDS IS REQUESTED DURING THE 2014 TO 2020 PERIOD

J.1. Project timetable

Please give below the timetable for the development and implementation of the overall project and attach a summary schedule of the main categories of works (i.e. a Gantt chart, where available). In addition, a procurement plan for the project must be provided giving details on timing, type of procurement (e.g. design-build), expected value, body responsible etc.

Where the application concerns a project stage, clearly indicate in the table the elements of the overall project for which assistance is being sought by this application:

	Start date (A)³¹	Completion date (B)³²
1. Feasibility studies:	dd/mm/yyyy	dd/mm/yyyy
2. Cost-benefit analysis (including financial analysis):	dd/mm/yyyy	dd/mm/yyyy
3. Environmental impact assessment:	dd/mm/yyyy	dd/mm/yyyy
4. Design studies:	dd/mm/yyyy	dd/mm/yyyy
5. Preparation of Tender documentation:	dd/mm/yyyy	dd/mm/yyyy
6. Expected launch of tender procedure(s):	dd/mm/yyyy	dd/mm/yyyy
7. First works contract - launch of tender and signature of contract:	dd/mm/yyyy	dd/mm/yyyy
8. Land acquisition:	dd/mm/yyyy	dd/mm/yyyy
9. Construction phase / contract:	dd/mm/yyyy	dd/mm/yyyy
10. Operational phase:	dd/mm/yyyy	dd/mm/yyyy

J.2. Project maturity

Please describe the project timetable (J.1) in terms of the technical and financial progress and current maturity of the project under the following headings:

J.2.1. Technical (feasibility studies, project design etc.):

TEXT BOX

J.2.2. Administrative with a minimum reference to necessary authorisations, EIA, land purchase (if relevant), procurement:

TEXT BOX

J.2.3 Public procurement:

Please fill in the information in the table below

Contract	Date of publishing tender	Evaluation of tenders	Signature of contract	Reference (Official Journal of the EU etc.)

³¹ If already complete - please give exact date, if only planned – please give at least month and year.

³² If already complete - please give exact date, if only planned – please give at least month and year.

J.2.4. *Financial (commitment decisions in respect of national public expenditure, loans requested or granted, etc. - give references):*

TEXT BOX

J.2.5. *If the project has already started, indicate the current state of implementation:*

TEXT BOX

K. Is the project subject to a legal procedure for non-compliance with Union legislation?

Yes

No

If yes, please give details:

TEXT BOX

L. ENDORSEMENT OF COMPETENT NATIONAL AUTHORITY

I confirm that the information presented in this form is accurate and correct.

NAME:

SIGNATURE:

ORGANISATION:

(MANAGING AUTHORITY AND IN CASE OF MAJOR PROJECT CO-FINANCED BY MORE THAN ONE OPERATIONAL PROGRAMME THE RESPONSIBLE AUTHORITIES)

DATE:

ANNEX I

DECLARATION BY AUTHORITY RESPONSIBLE FOR MONITORING NATURA 2000 SITES

Responsible Authority _____

Having examined the project application _____

Which is to be located at _____

Declares that the project is not likely to have significant effects on a *NATURA 2000* site on the following grounds:

TEXT BOX

Therefore an appropriate assessment required by Article 6(3) was not deemed necessary.

A map at scale of 1:100.000 (or the nearest possible scale) is attached, indicating the location of the project as well as the *NATURA 2000* sites concerned, if any.

Date (dd/mm/yyyy): _____

Signed: _____

Name: _____

Position: _____

Organisation: _____

(Authority responsible for monitoring *NATURA 2000* sites)

Official Seal:

ANNEX II – Additional environmental information (as required in F.3.2.2 and F.3.3.1)

ANNEX III – Feasibility Study and Cost-Benefit Analysis (as required in C and E)

ANNEX 2: FORMAT FOR THE NOTIFICATION OF MAJOR PROJECTS
AS SET OUT IN ARTICLE 92 (1) CPR

MAJOR PROJECT³³
NOTIFICATION TO THE COMMISSION OF THE SELECTED MAJOR PROJECT
UNDER ARTICLE 92.1. OF COMMON PROVISIONS REGULATION (CPR) (EC)
NO (...)³⁴

EUROPEAN REGIONAL DEVELOPMENT FUND /
COHESION FUND

INFRASTRUCTURE INVESTMENT

[Project title]

CCI No [.....]

³³ Major project is an operation comprising a series of works, activities or services intended in itself to accomplish an indivisible task of a precise economic or technical nature which has clearly identified goals and for which the total eligible cost exceeds EUR 50 000 000 and in the case of operations contributing to the thematic objective under Article 9(7) where the total eligible cost exceeds EUR 75 000 000 (a 'major project') as defined in Article 90 of CPR. Financial Instruments and Joint Action Plans are not considered major projects.

³⁴ This draft application form is based on the current Presidency Compromise and will be subject to amendments following further discussions.

A. BODY RESPONSIBLE FOR IMPLEMENTATION OF THE MAJOR PROJECT

A.1. Authority responsible for project application (Managing Authority or Intermediate Body)

A.1.1. *Name:*

A.1.2. *Address:*

A.1.3. *Contact person and position:*

A.1.4. *Telephone and fax:*

A.1.5. *E-mail:*

A.2. Body responsible for project implementation

A.2.1. *Name:*

A.2.2. *Address:*

A.2.3. *Contact person and position:*

A.2.4. *Telephone and fax:*

A.2.5. *E-mail:*

A.3. Has the quality review of the independent experts been completed and their report attached in annex I?

Yes No*

* projects falling under the proposed Article 92.bis of the CPR do not require the submission of the independent expert report

A.4. Is this major project a Phase of a bigger project³⁵ or a Transferred Project³⁶?

Yes* No

* These projects do not require the submission of the independent expert review (Article 92.bis CPR)

³⁵ A project related to the 2007-2013 programming period in which one or more phases of the whole project have been completed in that programming period and this project represent the last phase of the whole project for which the completion will be related to the new programming period.

³⁶ A project adopted as major project on 2007-2013 period but not implemented and transferred entirely to 2014/20 period or a project rejected and transferred to the new programming period.

B. DESCRIPTION OF THE INVESTMENT, ITS LOCATION, TIMETABLE AND EXPECTED CONTRIBUTION OF THE MAJOR PROJECT TO THE OBJECTIVES OF THE RELEVANT PRIORITY AXIS OR AXES

B.1. Title of project / project phase:

TEXT BOX

B.2. Categorisation of project activity³⁷

	<i>Code</i>	<i>Percentage</i>
B.2.1. Code for the thematic objective dimension		
B.2.2. Code(s) for the intervention field dimension		
B.2.3. Code for the form of finance dimension		
B.2.4. Code for the territorial dimension		
B.2.5. Code for the economic dimension (NACE Code ³⁸)		
B.2.6. Code for the location dimension (s) (NUTS/LAU) ³⁹		
B.2.8. Investment Priority		
B.2.9. Key Action		

B.3. Title of the related Operational Programme(s):

TEXT BOX

B.3.1. Common Code for Identification (CCI) No of Operational Programme(s)

TEXT BOX

B.3.2. Fund

In case of major project co-financed by more than one Operational Programme, specify the Fund for each Operational Programme separately.

ERDF

Cohesion Fund

³⁷ Annex to Regulation (EC) No/2013 (Implementation Regulation to be adopted) unless otherwise specified.

³⁸ NACE-Rev.2, 4 digit code: Regulation (EC) No 1893/2006 of the European Parliament and of the Council (OJ L 393, 30.12.2006, p.1). TBD

³⁹ Regulation (EC) No 1059/2003 of the European Parliament and of the Council (OJ L 154, 21.6.2003, p. 1). Use the most detailed and relevant NUTS code. Where a project affect multiple individual NUTS/LAU 2 level areas, consider encoding the NUTS/LAU1 or higher codes. TBD

B.3.3. *Title of the priority axis or priority axes in case of major project co-financed by more than one Operational Programme*

TEXT BOX

B.3.4. *Is the project contained in the list of major projects in the operational programme?*⁴⁰

Yes

No

B.4. Project description

(a) Please provide a concise (max. 2 pages) description of the project (or project phase) including a map identifying the project area, geo-referenced data and the main project components with their costs.⁴¹

TEXT BOX

(b) Please provide details on the expected contribution of the major project to the objectives of the relevant priority axis or axes of the Operational Programme.

TEXT BOX

(c) Please give below the timetable for the development of the major project and its implementation.

	Start date (A)	Completion date (B)
1. Feasibility studies:	dd/mm/yyyy	dd/mm/yyyy
2. Cost-benefit analysis (including financial analysis):	dd/mm/yyyy	dd/mm/yyyy
3. Environmental impact assessment:	dd/mm/yyyy	dd/mm/yyyy
4. Design studies:	dd/mm/yyyy	dd/mm/yyyy
5. Preparation of Tender documentation:	dd/mm/yyyy	dd/mm/yyyy
6. Expected launch of tender procedure(s):	dd/mm/yyyy	dd/mm/yyyy
7. First works contract - launch of tender and signature of contract:	dd/mm/yyyy	dd/mm/yyyy
8. Land acquisition:	dd/mm/yyyy	dd/mm/yyyy
9. Construction phase / contract:	dd/mm/yyyy	dd/mm/yyyy
10. Operational phase:	dd/mm/yyyy	dd/mm/yyyy

⁴⁰ As required by Article 91.2. of CPR.

⁴¹ Please provide the geo-referenced data in vector format, containing polygons, lines and/or points as appropriate to represent the project in preferably ESRI shapefile format.

C. TOTAL COST AND TOTAL ELIGIBLE COST

- (1) Ineligible costs comprise (i) expenditure outside the eligibility period, (ii) expenditure ineligible under national rules, (iii) other expenditure not presented for co-financing. NB: The starting date for eligibility of expenditure is the date of receipt of the draft operational programme by the Commission or 1 January 2014, whichever is the earlier.
- (2) Where VAT is considered eligible, please give reasons (to be agreed in negotiations).
- (3) Total cost must include all costs incurred for the project, from planning to supervision and must include VAT.

	Euro	TOTAL PROJECT COSTS	INELIGIBLE COSTS⁽¹⁾	ELIGIBLE COSTS
		(A)	(B)	(C)=(A)-(B)
1	Sub-TOTAL			
2	(VAT ⁽²⁾)			
3	TOTAL	(3)		

D. FINANCING PLAN AND PHYSICAL AND FINANCIAL INDICATORS FOR MONITORING PROGRESS TAKING INTO ACCOUNT IDENTIFIED RISKS

D.1. Sources of co-financing

Source of total investment costs (€)					Of which (for Information)
Total investment cost [H.1.12.(A)]	Union assistance [H.2.1.5]	National public (or equivalent)	National private	Other sources (specify)	EIB/EIF loans:
(a)= (b)+(c)+(d)+(e)	(b)	(c)	(d)	(e)	(f)
Grants					
Financial Instruments ⁴²					

D.2. Annual financing plan of Union contribution

The Union contribution shall be presented below in terms of the share of annual programme commitment. In case of major project co-financed by more than one Operational Programme, the annual financing plan shall be presented separately for each Operational Programme.

⁴² In the meaning of Article 32 of CPR.

(in Euro)	2014	2015	2016	2017	2018	2019	2020
CF							
ERDF							

D.3. Project indicators

Common output indicators, if applicable

Please list in the table provided common output indicators as specified in the operational programme

<i>Name of indicator</i>	<i>Measurement unit</i>	<i>Target</i>	<i>Target year</i>

Output indicators

Please use programme-specific output indicators as specified in operational programme

<i>Name of indicator</i>	<i>Measurement unit</i>	<i>Target</i>	<i>Target year</i>

Result indicators

Please use result indicators, if applicable, as defined by the investment priority which the project is part of

<i>Name of indicator</i>	<i>Measurement unit</i>	<i>Target for the major project</i>	<i>Target year</i>

D.4. Risk assessment

Please present a short summary of the main risks to the successful physical and financial implementation of the project including the proposed risk management strategy

TEXT BOX

E. HAS JASPERS CONTRIBUTED TO ANY PART OF THE PREPARATION OF THIS PROJECT?

Yes

No

F. IS THE PROJECT SUBJECT TO A LEGAL PROCEDURE FOR NON-COMPLIANCE WITH UNION LEGISLATION?

Yes

No

If yes, please give details:

TEXT BOX

G. ENDORSEMENT OF COMPETENT NATIONAL AUTHORITY

I confirm that the information presented in this form is accurate and correct.

NAME:

SIGNATURE:

ORGANISATION:

(MANAGING AUTHORITY AND IN CASE OF MAJOR PROJECT CO-FINANCED BY MORE THAN ONE OPERATIONAL PROGRAMME THE RESPONSIBLE AUTHORITIES)

DATE:

ANNEX I The quality review of the independent experts