

# APPLICATION FORM

for Community financial aid in the field of  
the trans-European transport network

Multi-annual work programme 2007-2013

## CALL FOR PROPOSALS 2007

### PART A

#### Administrative information

#### PROJECT TITLE

European Rail Traffic Management System (ERTMS)  
Eixo Ferroviário de Alta Velocidade do Sudoeste Europeu. Eixos "Lisboa-Madrid"  
e "Lisboa-Porto" (PP3)  
Interoperabilidade Ferroviária da Alta Velocidade na Península Ibérica. Corredor  
Norte/Noroeste. Eixo "Porto-Vigo" (PP19)

#### TRANSPORT MODE

Ferroviário (Alta Velocidade)

#### APPLICANT (-s)

N.	Denomination	Member State	Legal Status
1	Ministério das Obras Públicas, Transportes e Comunicações	República Portuguesa	Estado Membro



**For DG TREN use only**

Received on:

Number:

# A1 ADMINISTRATIVE INFORMATION ON APPLICANTS

<b>1. MEMBER STATE APPLYING FOR COMMUNITY FINANCIAL AID</b> (If more than one Member State is applying please copy this page and assign a number to each applicant)	<b>N. 1</b>
<b>1.1 Official Name of the Member State</b>	
Name of the Ministry	Ministério das Obras Públicas, Transportes e Comunicações
Full official Address	Palácio Conde de Penafiel Rua de São Mamede ao Caldas, 23 1100-533 Lisboa Portugal
<b>1.2 Person authorised to sign this application</b>	
Name	Maria do Carmo Vasconcelos
Function	Gestora da Intervenção Operacional de Acessibilidades e Transportes (IOAT) (entidade tutelada pelo Ministério das Obras Públicas, Transportes e Comunicações)
Address	Palácio Conde de Penafiel Rua de São Mamede ao Caldas, 21 1149-050 Lisboa Portugal
Phone	(00351) 218815100
Fax	(00351) 218815420 / (00351) 218867622
E-mail	<a href="mailto:carmo.vasconcelos@iot.gov.pt">carmo.vasconcelos@iot.gov.pt</a>
<b>1.3 Contact person/person responsible for the application</b>	
Name	Tiago Manuel Rodrigues
Function	Director Financeiro da RAVE – Rede Ferroviária de Alta Velocidade, S.A.
Address	Avenida D. João II Lote 1.07.2.1, Piso 1, Ala A Parque das Nações 1990-096 Lisboa Portugal
Phone	(00351) 211064000
Fax	(00351) 211064099
E-mail	<a href="mailto:tmrodrigues@rave.pt">tmrodrigues@rave.pt</a>

<b>1.4 If applicable: Public or private undertaking or body which will implement the project, designated by the Member State on its responsibility</b>	
Full official name	RAVE – Rede Ferroviária de Alta Velocidade, S.A.
Full official address	Avenida D. João II Lote 1.07.2.1, Piso 1, Ala A Parque das Nações 1990-096 Lisboa Portugal
Date	<b><u>Signature and stamp</u></b> of the <b>applying</b> Member State (as named under 1.1 and 1.2)

<b>2. PUBLIC OR PRIVATE UNDERTAKING OR BODY APPLYING FOR COMMUNITY FINANCIAL AID</b> (If more than one body is applying please copy this page and assign a number to each applicant)		<b>N.</b>
<b>2.1 Official Name of the entity</b>		
Legal form of the legal entity		
Full official Address		
<b>2.2 Person authorised to sign this application</b>		
Name		
Function		
Address		
Phone		
Fax		
E-mail		
<b>2.3 Contact person / person responsible for the application</b>		
Name		
Function		
Address		
Phone		
Fax		
E-mail		
<b>2.4 Official name of the Member State approving this application</b>		
Name of the Ministry		
Full official Address		
<b>2.5 Person authorised to sign this application</b>		
Name		
Function		
Address		
Phone		
Fax		
E-mail		
Date	Signature and stamp of the representative of the <b>applying</b> entity (as named under 2.2 and 2.3)	
Date	Signature and stamp of the <b>approving</b> Member State (as named under 2.4 and 2.5)	

<b>3. INTERNATIONAL ORGANISATION APPLYING FOR COMMUNITY FINANCIAL AID</b> (If more than one organisation is applying please copy this page assign a number to each applicant)		<b>N.</b>
<b>3.1 Official Name of the International Organisation</b>		
Full Official Name		
Full official Address		
<b>3.2 Person authorised to sign this application</b>		
Name		
Function		
Address		
Phone		
Fax		
E-mail		
<b>3.3 Contact person / person responsible for the application</b>		
Name		
Function		
Address		
Phone		
Fax		
E-mail		
Date	Signature and stamp of the representative of the <b>applying</b> International Organisation (as named under 3.1 and 3.2)  <b>Please attach the letter(s) containing the approval of the Member State(s) concerned.</b>	

<b>4. JOINT UNDERTAKING APPLYING FOR COMMUNITY FINANCIAL AID</b> (If more than one organisation is applying please copy this page and assign a number to each applicant)		<b>N.</b>
<b>4.1 Official Name of the Joint Undertaking</b>		
Full Official Name		
Full official Address		
<b>4.2 Person authorised to sign this application</b>		
Name		
Function		
Address		
Phone		
Fax		
E-mail		
<b>4.3 Contact person / person responsible for the application</b>		
Name		
Function		
Address		
Phone		
Fax		
E-mail		
Date	<p>Signature and stamp of the representative of the <b>applying</b> Joint Undertaking (as named under 4.1 and 4.2)</p> <p><b>Please attach the letter(s) containing the approval of the Member State(s) concerned.</b></p>	

## 5. FINANCIAL IDENTIFICATION

**Please provide** the bank account to which the Community financial aid shall be paid under the responsibility of the beneficiary. You may download the editable Financial Identification form in your language and for your country and attach it to the application. Please consult this internet address: [http://ec.europa.eu/budget/execution/ftiers\\_en.htm](http://ec.europa.eu/budget/execution/ftiers_en.htm)

### FINANCIAL IDENTIFICATION

PRIVACY STATEMENT [http://europa.eu.int/comm/budget/execution/ftiers\\_fr.htm](http://europa.eu.int/comm/budget/execution/ftiers_fr.htm)

<b>ACCOUNT HOLDER</b>	
NAME	<input style="width: 100%;" type="text"/>
ADDRESS	<input style="width: 100%;" type="text"/>
TOWN/CITY	<input style="width: 80%;" type="text"/>
COUNTRY	<input style="width: 20%;" type="text"/>
CONTACT PERSON	<input style="width: 100%;" type="text"/>
TELEPHONE	<input style="width: 80%;" type="text"/>
E - MAIL	<input style="width: 100%;" type="text"/>
	POSTCODE <input style="width: 20%;" type="text"/>
	VAT NUMBER <input style="width: 20%;" type="text"/>

<b>BANK</b>	
BANK NAME	<input style="width: 100%;" type="text"/>
BRANCH ADDRESS	<input style="width: 100%;" type="text"/>
TOWN/CITY	<input style="width: 80%;" type="text"/>
COUNTRY	<input style="width: 20%;" type="text"/>
ACCOUNT NUMBER	<input style="width: 100%;" type="text"/>
IBAN	<input style="width: 100%;" type="text"/>
	POSTCODE <input style="width: 20%;" type="text"/>

REMARKS :

<b>BANK STAMP + SIGNATURE OF BANK REPRESENTATIVE</b> (Both Obligatory)(1)

<b>DATE + SIGNATURE ACCOUNT HOLDER :</b> (Obligatory)

(1) The bank stamp and signature of its representative are not required if this form is accompanied by a copy of a bank statement. The signature of the account holder is obligatory in all cases.

## **6. LEGAL ENTITY**

The legal form of the public and private undertakings or bodies and international organisations needs to be provided. You may download the editable Legal Entities form in your language and for your country and attach it to the application. Please note that some additional documents referred to in the legal entity form need to be attached. Please consult this internet address:

[http://ec.europa.eu/budget/execution/legal\\_entities\\_en.htm](http://ec.europa.eu/budget/execution/legal_entities_en.htm)

## **7. ADDITIONAL FORMAL REQUIREMENTS FOR PUBLIC AND PRIVATE UNDERTAKINGS AND BODIES**

### **7.1 Financial capacity**

Public and private undertakings and bodies must have the financial capacity to complete the action for which the grant is sought. Please provide therefore the annual accounts for the last financial year for which the accounts have been closed.

### **7.2 Technical capacity**

Public and private undertakings and bodies must have the technical and operational capacity to complete the project for which the grant is sought. Please provide therefore appropriate documents attesting to that capacity (proof of experience in carrying out actions of the type in question).

### **7.3 Compliance with Article 114(2) of the Financial regulation and its Implementing Rules**

The public or private undertakings or bodies should/must be aware of Articles 93 to 96 and Article 114 of the Financial Regulation<sup>1</sup> as well as to Article 134b of its Implementing Rules.<sup>2</sup>

The public or private undertakings or bodies directly concerned with implementing the project should **complete and sign** the declaration form in **Annex I**.

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<sup>1</sup> Council Regulation (EC, Euratom) n° 1605/2002 of 25 June 2002 on the Financial Regulation applicable to the general budget of the European Communities, OJ L 248 of 16 September 2002, p. 1, amended by Council Regulation (EC, Euratom) n° 1995/2006 of 13 December 2006, OJ L 390 of 30 December 2006, p.1

<sup>2</sup> Commission Regulation (EC, Euratom) n°2342/2002 laying down detailed rules for the implementation of Council Regulation (EC, Euratom) n°1605/2002 (OJ L 357 of 31.12.2002 p.1), as last amended by Commission Regulation (EC, Euratom) n°478/2007 of 23 April 2007 (OJ L 111 of 28.04.2007, p.13)

## A2 COMPLIANCE WITH COMMUNITY POLICY AND LAW

### 1. COMPLIANCE WITH COMMUNITY POLICY ON ENVIRONMENTAL PROTECTION FOR WORKS PROJECTS

#### 1.1 How does the project:

- a. contribute to the objective of environmental sustainability (European climate change policy, halting loss of biodiversity, other ...)
- b. respect the principles of preventive action and that environmental damage should as a priority be rectified at source
- c. respect the "polluter pays" principle

Não aplicável.

#### 1.2 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:

Não aplicável.

– If no, please give reasons:

Não aplicável.

#### 1.3. Environmental Impact Assessment

##### 1.3.1. *DEVELOPMENT CONSENT*<sup>3</sup>

1.3.2.1 Has development consent already been given to this project?

Yes  No

1.3.2.1 If yes, on which date

(DD/MM/YYYY)

1.3.2.1 If no, when was the formal request for the development consent introduced:

(DD/MM/YYYY)

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<sup>3</sup> 'Development consent' means the decision of the competent (national) authority or authorities which entitles the developer to proceed with the project.

1.3.2.1 By which date is the final decision expected?

(DD/MM/YYYY)

1.3.2.1 Specify the competent authority or authorities, which has given or will give the development consent

Não aplicável.

1.3.2. *APPLICATION OF COUNCIL DIRECTIVE 85/337/EEC ON ENVIRONMENTAL IMPACT ASSESSMENT (EIA)*<sup>4</sup>

1.3.2.1. Is the project a class of development covered by:

- Annex I of the Directive (go to question 1.3.2.2)
- Annex II of the Directive (go to question 1.3.2.3)
- Neither of the two annexes (go to question 1.3.3)

1.3.2.2. When covered by Annex I of the Directive, include the following documents:

- a. the information referred to in Article 9 (1) of the Directive
- b. the non-technical summary<sup>5</sup> of the Environmental Impact Study carried out for the project
- c. information on consultations with environmental authorities, the public concerned and, if applicable, with other Member States

1.3.2.3. When covered by Annex II of the Directive, has an Environmental Impact Assessment been carried out for this project?

Yes  No

If yes, include the necessary documents listed under point 1. 3.2.2

If no, explain the reasons and give the thresholds, criteria or case by case examination carried out to reach the conclusion that the project has no significant environmental effects

Não aplicável.

1.3.3. *APPLICATION OF THE STRATEGIC ENVIRONMENTAL ASSESSMENT DIRECTIVE 2001/42/EC*<sup>6</sup> (SEA-Directive)

1.3.3.1. Does the project result from a plan or programme falling within the scope of the SEA Directive?

NO - in which case please provide a short explanation:

Não aplicável.

<sup>4</sup> 'Development consent' means the decision of the competent (national) authority or authorities which entitles the developer to proceed with the project.

<sup>5</sup> Prepared under Article 5 (3) of Directive 85/337/EEC, as amended.

<sup>6</sup> Directive 2001/42/EC of the European Parliament and of the Council of 27 June 2001 on the assessment of the effects of certain plans and programmes on the environment, OJ L 197 of 21.7.2001.

- YES - in which case, 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 summary<sup>7</sup> of the Environmental Report carried out for the plan or programme.

Não aplicável.

#### 1.4. Assessment of effects on Natura 2000 sites

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

Yes, in which case:

- (1) Please provide a summary of the conclusions of the appropriate assessment carried out according to Article 6 (3) of Directive 92/43/EEC<sup>8</sup>

Não aplicável.

- (2) In case, 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/EEC<sup>9</sup>” (Annex II-A).

No, in which case attach a completed Annex II-B declaration filled in by the relevant authority.

#### 1.5. 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

Não aplicável.

#### 1.6. Cost of measures taken for correcting negative environmental impacts

If included in total cost, estimate proportion of cost of measures taken to reduce and/or to compensate for negative environmental impacts

%  N/A

<sup>7</sup> Prepared under Annex I (j) of Directive 2001/42/EC.

<sup>8</sup> OJ L 206 of 22.07.92.

<sup>9</sup> Document 99/7 rev.2 adopted by the Habitats Committee (Member States representatives established under Directive 92/43/EEC) at its meeting on 04.10.99.

Explain briefly:

Não aplicável.

**1.7. 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 Community policy or legislation in those areas:

Não aplicável.

## 2. COMPATIBILITY WITH COMMUNITY POLICY ON INTEROPERABILITY (RAILWAY PROJECTS ONLY)

Does the project conform to technical specifications of interoperability (high-speed or conventional rail, depending on the nature of the project) currently in force and/or approved by the "Article 21" Committee, established in accordance with directive 96/48?

Yes  No

If no, please indicate which elements of the interoperability specifications are not respected and why. If appropriate, please make reference to any exemption requests previously addressed to the Commission:

Não aplicável.

For works involving speed testing systems and/or signalling systems including the upgrading of interlocking, will the ETCS system be implemented on the section undergoing the construction works?

Yes  No

If no, please specify the reasons for which ETCS will not be implemented during the execution of the construction works, and indicate at what date the ETCS system will be deployed on the line. If the ETCS system is implemented in the framework of the construction works, please confirm that relevant works are carried out in compliance with version 2.3.0 of the specifications.

Não aplicável.

**Competent authority:**

Contact person:

Name: António Crisóstomo Teixeira  
Function: Presidente do IMTT – Instituto da  
Mobilidade e dos Transportes Terrestres, I.P.  
(entidade tutelada pelo Ministério das Obras  
Públicas, Transportes e Comunicações)

Signature:

Official stamp:

**3. COMPATIBILITY WITH COMMUNITY LAW ON STATE AIDS**

Have State aids been granted, or are foreseen to be granted, to this project which might be incompatible with EC competition law (Articles 87 – 89 of the EC Treaty)?

Yes

No

# ANNEX I

## Declaration form of the public or private undertakings or bodies applying for the Community financial aid

In accordance with Article 114(2) of the Council Regulation No 1605/2002<sup>10</sup> on the award of grants, and in accordance with Commission Regulation No 2342/2002<sup>11</sup>, I declare on my honour:

- I. that the body or undertaking I am representing is not in any of the following situations which would exclude it from participating in a grant award procedure:
- a) it is not bankrupt, being wound up or having its affairs administered by the courts, it is not entered into an arrangement with creditors, it has not suspended business activities, is subject of proceedings concerning those matters, and it is not in any analogous situation arising from a similar procedure provided for in national legislation or regulations;
  - b) it has not been convicted of an offence concerning its professional conduct by a judgment which has the force of *res judicata*;
  - c) it has not been found guilty of grave professional misconduct proven by any means which can be justified;
  - d) it has not failed to fulfil obligations relating to the payment of social security contributions or the payment of taxes in accordance with the legal provisions of the country in which it is established or with those of the Member State which is the beneficiary of the financial support or those of the state where the project is to be executed;
  - e) it has not been the subject of a judgment which has the force of *res judicata* for fraud, corruption, involvement in a criminal organisation or any other illegal activity detrimental to the Communities' financial interests;

The cases referred to in point e) cover:

- i) cases of fraud as referred to in Article 1 of the Convention on the protection of the European Communities' financial interests established by the Council Act of 26 July 1995<sup>12</sup>;
  - ii) cases of corruption as referred to in Article 3 of the Convention on the fight against corruption involving officials of the European Communities or officials of Member States of the European Union, established by the Council Act of 26 May 1997<sup>13</sup>;
  - iii) cases of participation in a criminal organisation, as defined in Article 2(1) of Joint Action 98/733/JHA of the Council<sup>14</sup>;
  - iv) cases of money laundering as defined in Article 1 of Council Directive 91/308/EEC<sup>15</sup>.
- f) it is currently not subject to an administrative penalty referred to in Art: 96 of the Council Regulation No 1605/2002;
- g) it is not subject to a conflict of interest during the grant award procedure;
- h) it is not guilty of misrepresentation in supplying the information for the procedure or of failure to supply this information required during the grant award procedure;
- II. that the body or undertaking I am representing undertakes to provide, as soon as possible, the documents referred to in Article 134 and 174 of Commission Regulation No 2342/2002 at the request of the European Commission, failing which the grant may not be awarded in accordance with Article 114 of the Council Regulation No 1605/2002);
- III. that this application for funding is not the subject of any other application for funding under the Community budget.
- IV. If applicable (in case the applicant is a private body or undertaking): In accordance with article 173 of Commission Regulation No 2342/2002, I declare on my honour that the private body or undertaking I am representing has the financial and operational capacity to complete the action proposed in this application.

Done at: ... .. on ... ..

Name: ... ..

Function: ... ..

Name and address of the body or undertaking: ... ..

Signature: .....

<sup>10</sup> Council Regulation (EC, EURATOM) No 1605/2002 of 25 June 2002 on the Financial Regulation applicable to the general budget of the European Communities (OJ L 248 of 16.09.2002, p. 1) modified by Council Regulation (EC, EURATOM) No 1995/2006 (OJ L 390 of 30.12.2006)

<sup>11</sup> Commission Regulation (EC, EURATOM) No 2342/2002 of 23 December 2002 laying down detailed rules for the implementation of Council Regulation (EC, EURATOM) No 1605/2002 on the Financial Regulation applicable to the general budget of the European Communities (OJ L 357 of 31.12.2002, p. 1) as last modified by Commission Regulation (EC, EURATOM) No. 478/2007 of 23 April 2007 (OJ L 111 of 28 April 2007)

<sup>12</sup> OJ C 316, 27.11.1995, p. 48.

<sup>13</sup> OJ C 195, 25.6.1997, p. 1.

<sup>14</sup> OJ L 351, 29.12.1998, p. 1. Joint action of 21 December 1998 on making it a criminal offence to participate in a criminal organisation in the Member States of the European Union.

<sup>15</sup> OJ L 309, 25.11.2005, p. 15-36. Directive 2005/60/EC of the European Parliament and of the Council of 26 October 2005 on the prevention of the use of the financial system for the purpose of money laundering and terrorist financing (Text with EEA relevance).

## ANNEX II-A

### INFORMATION ON PROJECTS LIKELY TO HAVE SIGNIFICANT NEGATIVE EFFECT ON NATURA 2000 SITES AS NOTIFIED TO THE COMMISSION UNDER DIRECTIVE 92/43/EEC

Document 99/7 rev.2 adopted by the Habitats Committee (Member States representatives established under Directive 92/43/EEC) at its meeting on 04.10.99.

#### Hab. 99/7 Rev. 2

Member State:

Date:

**Information to the European Commission  
according to Article 6 of the Habitats Directive  
(Dir. 92/43/EEC)**

Documentation sent for  information/  
(art. 6(4).1)  opinion/  
(art. 6(4).2)

Competent national authority:

Address:

Contact person:

Tel., fax, e-mail:

## 1. PLAN OR PROJECT

Name and code of Natura 2000 site affected:

This site is

a SPA under the Birds directive

a proposed SCI under the Habitat directive

hosting a priority habitat/species

Summary of the plan or project having an effect on the site:

## 2. NEGATIVE EFFECTS

Summary of the assessment of the negative effects on the site:

N.B.: this summary should focus on the adverse effect expected on the habitats and species for which the site has been proposed for the Natura 2000 network, include the appropriate maps and describe the already decided mitigation measures

### **3. ALTERNATIVE SOLUTIONS**

Summary of alternative solutions studied by the Member State

Reasons why the competent national authorities have concluded that there is absence of alternative solutions

#### 4. IMPERATIVE REASONS

Reason to nevertheless carry out this plan or project:

- Imperative reasons of overriding public interest, including those of a social or economic nature (in the absence of priority habitat/species)
- human health
- public safety
- beneficial consequences of primary importance for the environment
- other imperative reasons of overriding public interest

Short description of the reason:

## 5. COMPENSATION MEASURES

Foreseen compensatory measures and timetable:

## ANNEX II -B

### DECLARATION BY THE AUTHORITY RESPONSIBLE FOR 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:

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: