



REF. N°:.....

**EUROPEAN COMMISSION**

**STRUCTURAL FUNDS MAJOR PROJECTS**  
**REQUEST FOR CONFIRMATION OF THE RATE OF ASSISTANCE**  
**Infrastructure Investment**  
**COUNCIL REGULATION (EC) N° 1260/99 of 21/06/1999**

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## STRUCTURAL FUNDS

### MAJOR PROJECTS

#### REQUEST FOR CONFIRMATION OF THE RATE OF ASSISTANCE (ART. 26.3)

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- ⊕ *The Structural Funds may participate to the cofinancing of major projects (Art. 25), i.e. those:*
  - (a) *which comprise an economically indivisible series of works fulfilling a precise technical function and which have clearly identified aims, and*
  - (b) *whose total cost taken into account in determining the contribution of the Structural Funds exceeds EUR 50 million.*
  
- ⊕ *This request for confirmation of the rate of assistance relates to an **infrastructure investment**.*
  
- ⊕ *Each application should be accompanied by a **project information report** (see annex I) and a completed form on **environmental impact assessment** (see annex II).*

**STRUCTURAL FUNDS:  
REQUEST FOR CONFIRMATION OF THE RATE OF ASSISTANCE  
INFRASTRUCTURE INVESTMENT**

**1. ADDRESSES & REFERENCES**

**1.1 Authority responsible for the Application**

Name: .....  
Address: .....  
Contact: .....  
Telephone: .....  
Telex/Fax: .....  
Internet E-mail: .....

**1.2 Organisation responsible for project implementation**

Name: .....  
Address: .....  
Contact: .....  
Telephone: .....  
Telex/Fax: .....  
Internet E-mail: .....

**1.3 Authority or body empowered to issue the certificates referring to payments**

Name: .....  
Address: .....  
Contact: .....  
Telephone: .....  
Telex/Fax: .....  
Internet E-mail: .....

**1.4 Organisation to which payments are to be made**

Name: .....  
Address: .....  
Contact: .....  
Telephone: .....  
Telex/Fax: .....  
Internet E-mail: .....

**2. PROJECT TYPE AND LOCATION**

**2.1 Title of project – outline description:**

.....  
.....  
.....  
.....

**2.2 Location of project** *(please enclose maps):*

Member State: .....  
Region(s): .....  
District(s): .....

**2.3 Structural Fund:**

ERDF

ESF

EAGGF

FIFG

**2.4 Compatibility and coherency with Operational Programme/ Single programming document**

Title of the related Operational Programme/ Single programming document :.....

Commission decision (n° and date): .....

Title of the measure: .....

Explain briefly how the project contributes to the fulfilment of the measure / Operational Programme / Single programming document

.....  
.....  
.....  
.....  
.....  
.....  
.....



<b>4. PROJECT OBJECTIVES</b>
------------------------------

**4.1 What are the objectives of the project?**

- Fully describe objectives and targets (specify bottlenecks or other problems to be resolved)
- Distinguish between principal and subsidiary objectives
- Quantify the main objectives

.....  
.....  
.....  
.....  
.....  
.....

**4.2 Indicate how the project's objectives link with the priorities of the measure and the Operational Programme/Single programming document related**

.....  
.....  
.....  
.....  
.....  
.....

**4.3 Foreseeable impact on development and conversion of the region**

- Indicate the extent to which the region is at present endowed with the type of infrastructure covered by this application; compare it with what would be required to meet the region's specific need. Indicate the level of infrastructure endowment aimed for by target year 20.....:

.....  
.....

- Main beneficiaries of the infrastructure :

.....  
.....

- Permanent effects of the infrastructure on the region's economic performance (GDP, etc.) and its contribution to exploiting the region's development potential :

.....  
.....

- Is the project part of a transfrontier measure involving two or more Member States?

Yes  No

- If so, specify which measure :

.....  
.....

- Does the project form part of a transeuropean networks agreed at Community level ?

Yes  No

**5. TIMETABLE**

**Give below the anticipated timetable of project for which assistance is sought:**

	<b>Start date</b>	<b>Completion date</b>
Feasibility study:	...../...../.....	...../...../.....
Cost/benefit analysis:	...../...../.....	...../...../.....
Financial analysis:	...../...../.....	...../...../.....
Environmental impact assessment:	...../...../.....	...../...../.....
Design studies:	...../...../.....	...../...../.....
Tender documentation:	...../...../.....	...../...../.....
Land acquisition:	...../...../.....	...../...../.....
Construction:	...../...../.....	...../...../.....
Operational phase:	...../...../.....	

*(please attach a summary schedule of work)*

If project has already started, indicate current state of works:

.....  
.....  
.....  
.....  
.....  
.....

**6. COSTS OF PROJECT**

**6.1 Cost breakdown**

Eligibility date for expenditure\*: ...../...../.....

Euro x 1000 (current prices)

	TOTAL PROJECT COSTS	EXPENDITURE MADE BEFORE ELIGIBILITY DATE	ELIGIBLE COSTS**
Planning/design fees			
Land purchase			
Building and construction			
Plant and machinery			
Contingencies			
Price adjustment			
Technical assistance			
Publicity			
Supervision during implementation			
<b>Sub-TOTAL</b>			
Tax (VAT)***			
<b>TOTAL</b>			

\* Eligibility date for expenditure is the date of receipt of the related Operational Programme/ Single programming document application by the Commission.

\*\* Eligible cost of the expenditure made at or after the eligibility date.

\*\*\* Where VAT is included in cost, give reasons:

.....  
 .....  
 .....

## 6.2 Financial plan

YEAR	TOTAL COST	PUBLIC EXPENDITURE							private	Other financial instruments (to be specified)	EIB loans
		Total Public expenditure	Structural Fund participation (*)	National public participation							
				Total	Central	Regional	Local	Other (to be specified)			
	1=2+9	2=3+4	3	4=5+6+7+8	5	6	7	8	9	10	11
2000											
...											
...											
2006											
TOTAL											

(\*) Specify which one: ERDF or EFS or EAGGF or FIG

### 6.3 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

%

Explain briefly: .....

.....

.....

## 7. COST-BENEFIT ANALYSIS

### 7.1 FINANCIAL ANALYSIS

All application must be accompanied by a financial analysis indicating:

- description of methodology;
- economic life of project;
- capital costs;
- operating and maintenance costs over its lifetime;
- revenues generated over its lifetime;
- discounted cash flow (DCF) analysis.

**7.1.1 In the case of projects generated revenues, briefly describe the main conclusions of the discounted cash flow (DCF) analysis and indicate the estimated financial rate of return resulting from it (with and without Structural Fund assistance):**

.....

.....

.....

.....

.....

.....

#### Cost recovery basis

**7.1.2 Is the project expected to generate revenues through tariffs or charges borne by users?<sup>1</sup>**

Yes  No

<sup>1</sup> The New Programming period 2000-2006: technical papers by theme - Technical Paper 1: Application of the Polluter Pays Principle - Differentiating the rates of Community assistance for Structural Funds, Cohesion Fund and ISPA infrastructure operations, 6.12.1999

**7.1.2.1 If yes, please give details of charges (types and level of charges, principle on the bases of which the charges have been established)**

.....  
.....  
.....

- do the charges cover the operational costs and depreciation of the project?

.....  
.....  
.....

- do the charges differ between the various users of the infrastructure ?

.....  
.....  
.....

- are the charges proportional

- a) to the use of the project/real consumption

.....  
.....  
.....

- b) to the pollution generated by users

.....  
.....  
.....

**7.1.2.2 If no, explain what provisions has been made to cover operating and maintenance cost and to ensure the viability of the project.**

.....  
.....  
.....

**7.2 SOCIO-ECONOMIC ANALYSIS**

All application must be accompanied by a socio-economic analysis indicating:

- description of methodology;
- alternative options considered;
- direct and indirect costs and benefits in construction stage;
- direct and indirect costs and benefits in operational stage;
- key assumptions made in valuing costs and benefits;
- assessment of costs and benefits which cannot be fully quantified or valued;
- overall assessment of the socio-economic costs and benefits of the project;
- indirects benefits for the regional economy stemming from the infrastructure;
- diseconomies created by the infrastructure;
- main beneficiaries of project and anticipated rate of utilisation;
- results of analysis expressed in terms of ERR, NPV or benefit-cost ratios.

**7.2.1 Briefly describe the main conclusions of the cost-benefit analysis (or other economic analysis) undertaken:**

.....  
 .....  
 .....

**7.2.2 If cost-benefit analysis has not been used, give reasons and describe alternative method:**

.....  
 .....  
 .....

**7.2.3 Please show results of economic analysis in terms of the following indicators:**

Economic rate of return	ERR	<input type="text"/>
Net present value	NPV	<input type="text"/>
Indicate the discount rate used .....		<input type="text"/>
Benefit/cost ratio	B/C	<input type="text"/>

**7.2.4 Please give details of main cost and benefits identified in analysis together with values assigned to them:**

<i>Benefit</i>	<i>Unit Value</i>	<i>Total Value(PV)</i>	<i>% of total benefits</i>
.....	.....	.....	.....
<i>Cost</i>	<i>Unit Value</i>	<i>Total Value(PV)</i>	<i>% of total cost</i>
.....	.....	.....	.....

*Comments:* .....

.....  
 .....

*Identify main non-quantifiable / non valuable benefits and costs:*

.....  
 .....

**7.2.5 Please give the indication of the foreseen utilisation rate:**

.....  
 .....

### **7.3 RISK AND SENSITIVITY ANALYSIS**

All applications must be accompanied by a risk/sensitivity analysis indicating:

- sensibility analysis;
- assessment of risk and uncertainties (estimated effect on results of changes in main parameters).

#### **7.3.1 Please describe the determination of the critical variable with the help of the sensitivity analysis:**

.....  
.....  
.....  
.....

#### **7.3.2 Please indicate the theoretical pessimistic and optimistic scenario:**

.....  
.....  
.....  
.....

## **8. EMPLOYMENT IMPACT OF PROJECT**

### **8.1 Number of jobs created:** *(expressed in terms of full-time equivalents)*

Number of jobs directly created:	<input type="text"/>
- During implementation phase	<input type="text"/>
- During operational phase	<input type="text"/>
- Average duration of these jobs	<input type="text"/>
Number of jobs indirectly created:	<input type="text"/>
- During implementation phase	<input type="text"/>
- During operational phase	<input type="text"/>

**9. COMPATIBILITY WITH OTHER COMMUNITY POLICIES AND ACTIONS**

**9.1 Competition**

**Does this project involve State Aids?<sup>2</sup>**

Yes  No

If yes, please give the references of the amount of aid, the state aid number and the reference of the approval letter:

.....  
.....  
.....  
.....  
.....

**9.2 Public procurement**

**9.2.1. Have the contracts been advertised in the Official Journal of the European Communities?**

Yes  No

If yes, give details:

	Date	Reference
Contract .....		
Contract .....		
Contract .....		

(please fulfil the table attached in annex I)

If no, give reasons .....

.....

.....

For each contract awarded, please attach the report foreseen in the Public Procurement directives.

**9.2.2. In the case of concessions, indicate the concessionaire juridical statute and give details of the contract (if already passed):**

.....  
.....  
.....  
.....  
.....

<sup>2</sup> This application does not replace the notification to the Commission under Article 88.3 of the Treaty.

**9.3. Environment**

**9.3.1. How does the project :**

**a) contribute to the objective of sustainable development**

.....  
.....

**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**

.....  
.....

**9.3.2. 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)

.....  
.....

If no, please give reasons

.....  
.....

**9.3.3. Environmental Impact Assessment**

Please complete for each project Annex II to this application form on Environmental Impact Assessment

**9.3.4. 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.....

**9.3.5. 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<sup>3</sup> and programme associated with the implementation of Community policy or legislation in those areas:

.....  
.....  
.....

**9.4 Equal opportunities**

**Expected impact of the project on the promotion of the equality between men and women?**

Positive  Neutral

Please give details:

.....  
.....  
.....

**9.5 Other**

**Please refer to any other Community policy of relevance to the project and explain the connection:**

.....  
.....  
.....  
.....

**9.6 Is the project subject to a legal procedure<sup>4</sup> for compliance with Community legislation ?**

Yes  No

If yes, please give details:

.....  
.....  
.....

---

<sup>3</sup> Sectoral and integrated plans include those associated with community environmental legislation including those required under Directives 75/440/EEC in relation to surface water quality for drinking purposes; 91/271/EEC (Urban waste water treatment); 91/676/EEC (nitrates); 75/442/EEC (as amended by Directive 91/156/EEC) on waste; 91/689/EEC on dangerous waste; 94/62/EC on packaging waste and other plans linked to the coherent implementation of Community environmental legislation and policy in the field of water, waste water and waste.

<sup>4</sup> i.e. under Articles 88, 226 or 228 of the Amsterdam Treaty; Articles 38 or 39 of Council regulation 1260/1999

**10 IMPACT OF COMMUNITY ASSISTANCE ON PROJECT IMPLEMENTATION**

Will Structural Funds assistance :

- accelerate implementation of the project ?

Yes  No

- be essential to implementation of the project ?

Yes  No

For each affirmative answer, give details :

.....  
.....  
.....  
.....

**11. FINANCING PLAN**

**11.1 Amount of eligible expenditure**

Euro

**11.2 Give details of financing sources:**

**National authorities\*:**

**Private sector:**

**Structural Funds**

- ERDF
- ESF
- EAGGF
- FIFG

**EIB**

**Other (specify):**

\*indicate budget

Euro


**11.3 Assistance rate requested: %**  
*(based on eligible expenditure)*

**11.4 Form of the assistance** *(direct grant, interest subsidy, equity participation,...):*

.....  
.....  
.....  
.....

**12. CONSISTENCY WITH OTHER MEASURES FINANCED BY THE COMMUNITY**

**12.1 Is this project complementary to any project financed or to be financed by the Cohesion Fund ?**

Yes  No

If yes, give details:

.....  
.....  
.....

**12.2 Has an application been made for assistance from any other Community source (including Cohesion Fund, EIB, EIF ...) for this project?**

Yes  No

If yes, please give details (*financial instrument concerned, reference N°s, dates, amounts requested, amounts granted, etc.*):

.....  
.....  
.....

**12.3 Has an application been made for assistance from any other Community source (including Cohesion Fund, EIB, EIF ...) for an earlier phase of this project?**

Yes  No

If yes, please give details (*financial instrument concerned, reference N°s, dates, amounts requested, amounts granted, etc.*):

.....  
.....  
.....

**12.4 Please give details of relationship between the project and other measures undertaken with contributions from the Community budget, the EIB and the other financial instruments of the Community:**

.....  
.....  
.....

**13. MONITORING**

**13.1 Specify the physical and financial indicators (Art. 36) to be used for monitoring and assessing the progress of the project:**

(a) Identify key indicators

(b) Give estimated volume of work required to complete project

.....  
.....  
.....  
.....

**14. ARRANGEMENTS FOR MANAGEMENT, MONITORING, CONTROL AND EVALUATION**

**14.1 Are there any special arrangements which apply to this project, in addition to the modalities as laid down in the related OP/SPD ?**

*(e.g. project management, specific monitoring committee ...)*

Yes

No

*If yes, explain:*

.....  
.....  
.....  
.....

**15. PUBLICITY MEASURES**

**Give details of measures to publicise Structural Funds assistance:**

.....  
.....  
.....  
.....

NAME: .....

SIGNATURE:

STAMP:

<b>Technical form of monitoring procedures for public market tender (*)</b>
---

Available information to date (DD/MM/YY)

Type de contract	Amount of contract (1)	Attribution procedure (2)	Date of publication notice (3)	Date of publication of market notice (3)	Date of publication of post-information notice (3)
<b>Services (including studies and technical assistance)</b>					
Contract n°.....1					
Contract n°.....2					
Contract n°.....3					
<b>Works</b>					
Contract n°.....a					
Contract n°.....b					
Contract n°.....c					
<b>Supplies</b>					
Contract n°.....m					
Contract n°.....n					
Contract n°.....p					
<b>Other</b>					
Contract n°.....x					
Contract n°.....y					
Contract n°.....z					
<b>Total</b>					

(1) Send a copy of the contract

(2) Send a copy of the report. For procedures "by mutual agreement" join the justification of your choice.

(3) Send copy of each publication.

(\*) ***This form will be sent the first time together with the application for assistance. During the execution phase of the project it will be periodically up-dated.***

<b>ENVIRONMENTAL IMPACT ASSESSMENT</b>
--

(All parts to be completed for all projects)

**1. DEVELOPMENT CONSENT**

**Has development consent<sup>5</sup> already been given to this project?**

Yes                       No

If yes, on which date    |\_\_|\_\_|\_\_|

If no, when was the formal request for the development consent introduced    |\_\_|\_\_|\_\_|  
and by which date is the final decision expected ?                      |\_\_|\_\_|\_\_|

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

.....  
.....

**2. APPLICATION OF DIRECTIVE ON ENVIRONMENTAL IMPACT ASSESSMENT (EIA)<sup>6</sup>**

**2.1. Is the project a class of development covered by:**

Annex I of Directive 85/337/EEC as amended by Directive 97/11/EC  (go to question 2.2.)

Annex II of Directive 85/337/EEC as amended by Directive 97/11/EC  (go to question 2.3.)

Not covered by Directive 85/337/EEC as amended by Directive 97/11/EC  (go to question 3.)

<sup>5</sup> i.e. decision of the competent authority or authorities which entitle the developer to proceed with the project

<sup>6</sup> Directive 85/337/EEC on the assessment of the effects of certain public and private projects on the environment (OJ L 175 of 5.7.1985) as amended by Directive 97/11/EC (OJ L 73 of 3.3.1997).

**2.2. When covered by Annex I of the Directive include the necessary documents<sup>7</sup>.**

**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, please include the necessary documents<sup>7</sup>
- If no, please explain why not<sup>8</sup>:

.....  
.....  
.....  
.....

**3. ASSESSMENT OF EFFECTS ON NATURA 2000 SITES**

**Will the project have significant negative effects on sites included or intended to be included in the Natura 2000 network<sup>9</sup> ?**

Yes  No

- If yes, please attach a copy of the completed form including information on projects significantly affecting Natura 2000 sites<sup>10</sup>, as notified to the Commission (DG Environment) under Directive 92/43/EEC
  - If no, please complete declaration in Annex II(a)

<sup>7</sup> Necessary documents are:

- a) the non-technical summary of the Environmental Impact Study carried out for the project;
- b) the results of consultations of the competent environmental authorities;
- c) the results of consultations with the public concerned.
- d) in the case of projects where the formal request for the development consent (point 1 above) was introduced after 14 March 1999: the information referred to in article 9.1 of the Directive 85/337/EC as amended by article 11 of Directive 97/11/EC.

Note : In relation to b) and c) these may be represented in the form of a statement, conclusion or certification by the competent environmental authorities, indicating in what way the concerns of the designated consultees and concerned public have been taken into account

<sup>8</sup> The thresholds or criteria applied and/or the case-by case examination carried out to reach this determination should be briefly described. The explanation should show why the project has been determined as not likely to have significant environmental effects.

<sup>9</sup> These sites comprise:

- a) Special Protection Areas classified or requiring classification under the "Birds" Directive (79/409/EEC, OJ L103 of 25.4.79) and
- b) Sites proposed or requiring proposal by Member states under Article 4(1) of the "Habitats" Directive (92/43/EEC, OJ L206 of 22.7.92).

<sup>10</sup> Document no. 99/7-rev2 adopted by the Habitats Committee (Member States' representatives established under Directive 92/43/EEC) at its meeting of 4 October 1999

**DECLARATION BY AUTHORITY RESPONSIBLE FOR  
MONITORING NATURA 2000 SITES**

Responsible Authority.....

Having examined<sup>11</sup> the project application.....

(title).....

which is to be located at.....

we declare that (tick the appropriate box):

- 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.

- following an appropriate assessment, according to Art. 6(3) of Directive 92/43/EEC, the project will not have significant negative effects on a Natura 2000 site.

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.

Signed: ..... (Authority responsible for monitoring Natura 2000 sites)

Official Seal:

<sup>11</sup> taking into account the requirements of Art. 6(3) of Directive 92/43/EEC