



## Questions & Answers

*“INVITATION TO SHIFT2RAIL JU ASSOCIATED MEMBERS TO SUBMIT AN ANSWER IN VIEW OF THE REALIGNMENT OF THEIR ACTIVITIES AND ADDITIONAL COMMITMENT TO THE SHIFT2RAIL PROGRAMME”*

Date of publication: 05/09/2017

Document history		
Revision	Date	Description
1	30/06/2017	First issue <ul style="list-style-type: none"> <li>• Questions 1 to 10, received during the Conf. call on 23/06/2017.</li> <li>• Questions 11 to 12, received in the info-am email until 29/06/2017 midnight.</li> </ul>
2	07/07/2017	<ul style="list-style-type: none"> <li>• Questions 13 to 14, received in the info-am email until 06/07/2017 midnight.</li> </ul>
3	11/07/2017	<ul style="list-style-type: none"> <li>• Questions 15 to 18, received in the info-am email until 10/07/2017 midnight.</li> </ul>
4	24/07/2017	<ul style="list-style-type: none"> <li>• Questions 19, received in the info-am email until 23/07/2017 midnight.</li> </ul>
5	31/07/2017	<ul style="list-style-type: none"> <li>• Questions 20 to 22, received in the info-am email until 30/07/2017 midnight.</li> </ul>
6	04/08/2017	<ul style="list-style-type: none"> <li>• Question 23, received in the info-am email until 03/08/2017 midnight.</li> </ul>
7	05/09/2017	<ul style="list-style-type: none"> <li>• Questions 24 to 25, received in the info-am email until 04/09/2017 midnight.</li> </ul>

**Questions & Answers**

Q	Topic	S2R Answer
1	Some AM Consortia have been applying and selected as AM in the specific Railway operating companies and/or Infrastructure Managers composition. In this setup there are no SMEs or Universities, will it be a disadvantage?	The S2R JU confirmed that, while enlarging the participation of R&I activities to SMEs, Research Centres, Universities remains a priority, this is not a condition as such of the call.
2	Which kind of authorisation are you expecting from the AM for publishing an email contact detail?	<p>The S2R JU shall publicise this AM invitation in the S2R website and will indicate a contact point for those AM who are interest to participate to this invitation. Third parties could therefore enter in contact with the AM and the JU will organise a first public webinar on the 13 July. A functional mailbox might be a solution instead of providing a personal email.</p> <p>The deadline for communicating to the S2R JU (<a href="mailto:info-am@s2r.europa.eu">info-am@s2r.europa.eu</a>) your email contact detail for publication on the S2R website is Wednesday 28 June cob.</p>
3	Increase/decrease the AM commitment. If an AM decreases its current budget commitment, will the corresponding be considered in addition of the EUR 5.6 million of the JU?	Yes and in such a case the foreseen new total S2R funding available will be communicated to all AM. In this respect, the AM are requested to provide in a non-binding manner their intentions of rebalance or additional commitment at two different occasions during the procedure.
4	Will the assessment of the Answers resulting from this invitation will be both assessed technically and economically?	Yes, the quality of each technical Answer will be evaluated in accordance with the criteria detailed in the invitation and the AM financial Answers will only be evaluated if firstly the technical Answer satisfy the defined criteria. The new proposed activities will be selected on the basis of the economically most advantageous answer (best value for money principle).
5	What will happen if the total Answers requests are far beyond the available S2R JU funding?	The negotiation procedure envisaged in the Invitation, Section 5(c), will be activated.
6	How can the decrease be done?	<p>A concerned AM shall maintain its minimum contribution to remain an AM, under the conditions established in the Call to become an AM and following negotiations. The AMs have two ways to decrease their budget: 1) reduce their IP/CCA contribution or 2) Redistribute the budget between IPs/CCA, for example in case when an AM would like to focus its activities and avoid small contributions to a TD.</p> <p>As already mentioned, in principle, an AM cannot decrease its commitment below the minimum threshold per IP as defined in the AM call. (<a href="http://ec.europa.eu/transport/modes/rail/news/doc/2014-10-06-shift-to-rail-call/2014-10-06-call-associated-member-s2rju.pdf">http://ec.europa.eu/transport/modes/rail/news/doc/2014-10-06-shift-to-rail-call/2014-10-06-call-associated-member-s2rju.pdf</a> ) in order not to lose its AM status.</p>

7	<p>-The current AM invitation says that the total new value “of the activities offered by the Associated Member in answering this Invitation added to the value of activities stated in the Membership Agreement in force shall not exceed the total value of the offer submitted by the concerned Associated Members in answering the Call for expressions of interest to become associated member of the Shift2Rail Joint Undertaking” is this value total or per IP?</p>	<p>The value is total, corresponding to the sum of all IP/CCA contribution of such AM.</p>
8	<p>Can an AM make a proposal that concern activities in an IP where today it is not involved?</p>	<p>As indicated in the Invitation, Section 6 third bullet point, in principle the Associated Members should offer activities in answer to this call in IPs where they are already present in accordance with the respective Membership Agreement. Where an Associated Member intend to submit an answer to contribute to other IPs, this should be duly justified and discussed at the level of IP/CCA as indicated in the Invitation.</p>
9	<p>Does the first and second draft submission to the JU will be both technical and financial?</p>	<p>The S2R JU confirms that the not binding submission of answers on 18 July and 12 September shall only be financial, per AM and total amount per IP. The S2R JU will upload the excel table for such report in the S2R Cooperation tool.</p>
10	<p>Can the AM discuss within other AM with FM?</p>	<p>Yes, the interaction between interested parties shall help to obtain the most optimal outcome. The special conditions of this Invitation also explained, “<i>answers to this invitation shall be discussed at the level of IP with the objective to ensure integration and added value.</i>” In addition, as written in the current AM invitation, the S2R JU will provide a feedback to the IP coordinators and FM after each draft submission.</p>
11	<p>The following special condition under point 6 of the present invitation state: the total value of the activities offered by the Associated Member in answering this Invitation added to the value of activities stated in the Membership Agreement in force shall not exceed the total value of the offer submitted by the concerned Associated Members in answering the Call for expressions of interest to become</p>	<p>The Special Conditions you refer to, Section 6 second bullet point, it is an essential condition to ensure that the current procedure remains within the limits and proposals submitted by the Associated Members in the context of the procedure for their selection in 2015. There is no possible derogation to this condition.</p>

	<p>associated member of the Shift2Rail Joint Undertaking</p> <p>From our understanding, this would not allow an Associated Member to increase the IP budget if its initial proposal was approved and accepted in its entirety.</p> <p>Could you please clarify, if the special conditions in chapter 6 are mandatory and irrevocable or if there is room for discussions and potential exceptions?</p>	
12	<p>I am not an AM and the Cooperation Tool is not available for me. Can you provide me with the credentials?</p>	<p>The access to the S2R Cooperation tool is restricted to the S2R JU Associated Members. Nevertheless, minutes and follow up emails will be shared with all the JU Members and Chairs of SRG and SC respectively for information purposes, whenever communication is published in relation to the present Invitation.</p>
13	<p>Regarding the email that you sent to our representatives, I kindly ask you for clarification on the purpose of publishing the email in the S2R website, please. Is it a requirement to participate in the new call, or is it a facility for those that want to participate together with other third parties and they want to be contacted by these 3rd parties?</p>	<p>If you are interested to participate to this invitation, you should provide a contact detail to the JU for publication. We are kindly inviting you to refer to the question nr 2.</p> <p>The publication of your contacts details on the S2R website do not engage you to answer this invitation alone and/or with the participation of third parties.</p> <p>In any case, if you will not be interested to participate and submit any answer to this Invitation, please let us know at your earliest convenience. In that case, your contacts details do not need to be published on our website.</p>
14	<p>May I ask you for some clarification. Do you need the email address from each applying AM or only from applying AMs who are interested in having new parties on board?</p>	<p>We are kindly inviting you to refer to the question nr 13.</p>
15	<p>The main concern is that in the text is indicated that the Invitation is for existing Associated Members to increase their contribution. It is left the possibility to them (the existing AM) to associate with other relevant entities, i.e. to organise a consortium; or to extend their participation to third parties (linked or subco). However, it</p>	<p>This Invitation is not a call for new Associated Members as indicated in the text of the Invitation itself. It does not pre-empt any future decision in this respect.</p> <p>The present Invitation is open to the S2R JU Associated Members to realign their activities and/or provide additional commitment to the Shift2Rail Programme in various ways, including the possibility to involve new entities:</p> <ul style="list-style-type: none"> <li>• directly or through affiliated entities,</li> </ul>

	<p>does not look as open to new Associated Members.</p>	<ul style="list-style-type: none"> <li>• where relevant, additions to existing consortia with the participation of new joining entities, without distorting the initial objectives and nature of the relevant consortia,</li> <li>• through third parties with a legal link (linked third parties), in accordance with the provisions of Article 23 of the H2020 Rules of Participation.</li> </ul> <p>For the full details, refer to Section 4 of the Invitation</p>
16	<p>If I understood it correctly, we should indicate our intention in terms of figures by 18th. Is that correct? Can you confirm if you expect something else from our side in the meanwhile?</p>	<p>The only documentation expected before the first draft submission is the one concerning the contact details to be uploaded in the website.</p> <p>We confirm that by the 18th July, each Associated Member shall indicate the expected increase commitment and/or rebalance to their contribution per IP. The JU will publish in the S2R Cooperation Tool the template document to be used for this purpose the 11 July COB.</p> <p>The point 8.a of the present Invitation contain the details of future steps.</p>
17	<p>I would like to express my interest for the S2R webinar planned for 13 July.</p> <p>Please send me participation conditions and process.</p>	<p>The open webinar event is planned on Thursday 20 July 2017 at 16:30 and will last for about 1 hour and 30 minutes.</p> <p>The S2R JU will present the context of the Invitation and how it may create opportunities to third parties to work together with S2R Associated Members , whilst giving due consideration to the limited amount of resources available.</p> <p>There are no particular participation conditions; the only requirement is to register for the webinar through the following link.  <a href="https://shift2rail.clickmeeting.com/shift2rail/register">https://shift2rail.clickmeeting.com/shift2rail/register</a>        You will then receive in the email indicated for your registration the link to join the webinar, including the Room ID.</p> <p>Please note that the registration is mandatory and that the webinar is limited to 500 participants.</p>
18	<p>It has been mentioned in the conference call at the end of June that all AM will receive a template for the submission of the budget indication. Since the deadline ends next week, we would appreciate it if you could circulate the template soon or distribute more information about the formal process of submission among the AMs.</p>	<p>The budget template for the first draft submission will be uploaded on the S2R Cooperation Tool by 12/07/2017</p>
19	<p>1) In Q16 you answered: We confirm that by the 18th July, each Associated Member shall indicate the expected increase commitment and/or rebalance to their contribution per IP.</p>	<p>1) For balancing the budget within IP, you should indicate a negative amount within the "decrease" cell of IPx and indicate the corresponding positive amount within the "increase" cell of IPy.</p> <p>2) Should that be considered, the corresponding reduction will be followed by a grant agreement amendment. This should be discussed within the</p>

	<p>I see in the template that we have a row to indicate Decrease and other to indicate Increase, but I don't see how I can indicate rebalance within an IP (e.g. move budget from TDX.y to TDX.z)</p> <p>2) Can we propose budget reductions related to a budget that has already been assigned to a specific approved project (related to call 2016 or 2017), but has not been consumed yet?</p> <p>3) I see in the template that the minimum IKAA is updated automatically when any budget modification is done, but not the administrative costs. Can you confirm that we should manually do the calculation to modify the administrative costs, in order to reach the 4,5% of IKOP, please?</p>	<p>project consortium in order to identify how the corresponding activities will be either cancelled or take over by another project partner.</p> <p>3) The input of administrative costs is indeed manual. In the next budget revision exercise, the JU will upload a revised template in the Cooperation Tool showing the minimum administrative contributions, automatically calculated, in order to provide you with an additional control support. Please bear in mind that this is an estimation.</p>
20	<p>It is mentioned in the distributed pdf file with the invitation to the 2nd call that each AM is free to choose an appropriate structure for the description of the proposed action. Also no page limit is fixed. Is this correct and will you not provide any further introduction/details/structure regarding this issue?</p>	<p>You would find the proposed templates in the Annex 2 (of the documents provided) and the budget table upload in the Cooperation tool. We confirm there is no page limit and you can use as many as you need to for the description of the propose action.</p>
21	<p>Regarding the invitation for Associated Members we have the following questions:</p> <p>1. The funding rate for AMs is 44,44%. We suppose that this rate is as well due to legal companies that will join an AM as third party with in a row carrying 55,6% as IKOP. On the other hand universities and the like are funded up to 100%. Our question would be a) if it is possible to invite universities as third party and b) are they in case that this is allowed funded with 100%.</p> <p>2. Is it allowed to invite any third party even if it might not be a linked third party? Is it necessary</p>	<p>1) The associated members of S2R JU can increase their involvement in the activities of the S2R JU through</p> <ul style="list-style-type: none"> <li>-Affiliated Entities, as defined in Regulation (EU) No 1290/2013 of the European Parliament and of the Council of 11 December 2013 laying down the rules for participation and dissemination in Horizon 2020. Means any legal entity that is under the direct or indirect control of a participant, or under the same direct or indirect control as the participant, or that is directly or indirectly controlling a participant.</li> <li>-Third parties with a legal link, that refers to an established relationship which is broad and not specifically created for this invitation and legal (this may be either a legal structure or through and agreement or contract no limited to this action), in accordance with the provisions of Article 23 of the H2020 Rules of Participation.</li> </ul> <p>a) Yes, It is possible to invite universities if they can be included in any of the abovementioned groups.</p> <p>b) The S2R JU activities are implemented through grants. In the case of Members' Grants, in accordance with the overall S2R set up, the Members agrees to limit themselves to a co-funding up to</p>

	<p>to call for tenders if that is allowed?</p>	<p>44.44% declaring eligible costs that would result in receiving no more than the above percentage once compared to the Total Action Cost. It is up to the Member to decide any other agreement with its linked third parties beyond the legal obligation vis à vis the JU.</p> <p>2) An Associated Member can bring anybody who falls under the criteria of the invitation. They need to be sure that those entities can participate to the activities under the GAs.</p>
<p>22</p>	<p>For those Associated Members which may be interested.</p>	<p>We are the Interuniversity Consortium for Optimization and Operation Research (<a href="http://www.icoor.it">http://www.icoor.it</a>).</p> <p>We are a research center aimed at promoting research and studies in Optimization, Operation Research, and related domains. We are a consortium composed of eight universities: Politecnico di Bari, Università di Bologna, Università di Camerino, Politecnico di Milano, Università di Modena e Reggio Emilia, Università di Pisa, Politecnico di Torino and Università di Trieste.</p> <p>Our keywords are Mathematical Modeling and Optimization. We specialize in optimization's topics dealing with the transportation field, in particular we develop decision support systems that help stakeholders to plan and optimize complex systems.</p> <p>Interesting topics that could be part of our project proposal are connected with the development of decision tools for traffic management systems. Moreover, since urban operators' needs are completely missing, it would be interesting in our project proposal to focus on the needs of the rail system and of its users.</p> <p>In the last few years, we had the chance to work on several programs connected with the railway system. One of this has been the OnTime project, Optimal Network for Train Integration Management across Europe (<a href="http://www.ontime-project.eu">www.ontime-project.eu</a>). This project aimed to create a change in railway capacity by reducing delays and improving traffic fluidity.</p> <p>Another important project was Arrival, Algorithms for Robust and online Railway optimization: Improving the Validity and RealiAbility for Large scale systems (<a href="http://www.arrival.cti.gr">www.arrival.cti.gr</a>). The goal of this project was to provide an answer to the issues encapsulated in robust and online planning of complex, large-scale systems (as these in Railways).</p> <p>More recently, we had the chance to participate in several projects dealing with Cooperative ITS in the freight transport sector with the important goals of decreasing co2 emissions and optimize freight transport. One of our project with, among others, this goal has been CO-GISTICS (<a href="http://www.cogistics.eu">www.cogistics.eu</a>) in which we developed a decision support system in order to improve the operations in the terminal area of the port of Trieste. Another interesting project is Aeolix (<a href="http://www.aeloix.eu">www.aeloix.eu</a>) which had, as the main goal, to create visibility across the supply chain, enabling more sustainable and efficient transport of goods across Europe. The AEOLIX project wanted to create a cloud-based collaborative logistics ecosystem in order to manage information that helps logistics decision making to address these issues.</p>

		<p>We would love to understand if, among your several associated members, there is someone that could need our knowledge and experiences in order to collaborate to a project proposal connected with the Shift2Rail project. We have attended your Webinar that was held last Thursday and we would be glad to be part of your promising project.</p>
<p>23.</p>	<p>In reference to the S2R JU invitation to Associated Members we are willing to take part (as affiliated member) in project development within Innovation Programme 4. Having in mind our last webinnar session (that took place on 20th July) please find below some questions we have to face with:</p> <ol style="list-style-type: none"> <li>1. Are there any administrative financial commitments we are obliged to bear towards S2R Joint Undertaking during the project development or entering the programme?</li> <li>2. Are there any administrative financial commitments the EUROCC consortium is obliged to bear towards S2R Joint Undertaking during the project development that can be (partly) taken over by us?</li> <li>3. As far as I am concerned the foreign partner is required to carry out the project within IP4. At the moment we are the only who wishes to develop the project within this topic. Do you have any information whether there is anyone else showing interest in project development within IP4?</li> </ol>	<p>Concerning your questions:</p> <ul style="list-style-type: none"> <li>• For questions 1 and 2: Your company is already a constituent entity of consortium EUROCC, which is a S2R Associated Member eligible to answer the present invitation. If you decide, through EUROCC, to increase its overall commitment to S2R through your participation in IP4, this will result in an additional contribution to the administrative costs of the JU proportionally to the commitment (in the order of magnitude of around 3%). As stated in point 2 of the AM invitation “The increased commitment entailed by the retained offers of the interested Associated Members will result in a proportional adjustment of their contribution to the administrative costs of the S2R JU, in accordance with the provisions of Article 16.2 of the S2R JU Statutes”. It will then be up to the EUROCC consortium to decide how it intend to divide this contribution among its constituent entities.</li> </ul> <p>In addition, EUROCC currently participates in the S2R project with its constituent entities (and its affiliated entities) as direct beneficiaries of the S2R grants, accordingly to the rules of participation of H2020. Such participation requires each beneficiaries to undertake all the necessary project reporting tasks for claiming the costs, as defined in the different Grant Agreements.</p> <ul style="list-style-type: none"> <li>• For question 3: as mentioned above, you are not a “foreign partner”, as your company is a constituent entity of consortium EUROCC and can participate in the S2R projects for Members with its affiliated entities. EUROCC is already participating in IP4 with activities up to EUR 125 990 euros, co-funded by the JU up to EUR 55 990.</li> </ul> <p>In accordance with the procedure, such discussions about additional participation in an IP shall take place at IP Coordinator level. As stated in the point 6 of the AM invitation, “answers to this invitation shall be discussed at the level of IP with the objective to ensure integration and added value. Where, exceptionally, an answer would not be co-ordinated this shall be explicitly stated as well as the reasons behind it. In the latter case, the Executive Director will proceed with the negotiations mentioned under Section 5.c”. We suggest therefore that you enter into contact with the IP4 coordinator Yves Perreal.</p>
<p>24.</p>	<p>1. How will those responses to the Invitation which are accepted by the JU, be processed?</p> <ul style="list-style-type: none"> <li>o Proposed work will be considered for inclusion, via amendment, into one or more current IPX projects?</li> <li>o Proposed work will be considered for inclusion into one or more future IPX projects?</li> </ul>	<p>The S2R AM will have the possibility to implement the accepted additional commitment in any of the three above mentioned solution. It should be noted that the solution should indeed be efficient and agreed by all other involved partners of the IP. Please also bear in mind that ongoing S2R projects (already granted actions) can be amended but in principle the consortium membership, the overall scope and the overall maximum JU co-funding value cannot be changed.</p> <p>The present Invitation do not explicitly ask for a "timeline" of the work proposed as it is implicitly part of the proposal work. On one side each</p>



	<p>o Proposed work will be considered for inclusion into a NEW (as yet un-anticipated) call(s) which will be added to the IPX schedule?</p> <p>o Any combination of the above 3 – as makes sense for an efficient solution?</p> <p>o Other?</p> <p>2. Should the response to the invitation include a 'timeline' for the work proposed? And if so, is it important that this timeline fits with whichever of the answers to the previous question (question 1 in this case) is correct?</p>	<p>proposal is constrained already by the S2R JU duration and on the other side is dependent from the integration of such additional activities in the overall planning of the relevant IP.</p> <p>As indicated in the section 6, special conditions to this Invitation, "answers to this invitation shall be discussed at the level of IP with the objective to ensure integration". You can therefore present your proposal including its timeline fitting with the IP integration and S2R duration.</p>
<p>25.</p>	<p>I am a S2R AM interested in applying to the invitation to propose additional commitment to the S2R programme. I know that the process of proposing additional commitment has already started. Is it still possible for us, a S2R AM, to join the process? If the answer is yes, what is the best way to do this and would it make sense to you to propose such an additional activity?</p>	<p>You can still join the process, as the Invitation to the S2R AM (Ref. S2R.17.AM) is still ongoing.</p> <p>We have been providing all the information concerning the invitation to your company contact through our functional mailbox <a href="mailto:info-am@s2r.europa.eu">info-am@s2r.europa.eu</a> that should be used for the purpose of the Invitation, including any additional question you may have.</p> <p>You can find the Invitation text, the annexes and the questions &amp; answers which are transparently published on our website: <a href="https://shift2rail.org/participate/invitation-shift2rail-associated-members/">https://shift2rail.org/participate/invitation-shift2rail-associated-members/</a></p> <p>You can see in the Invitation text (Ref. S2R.17.AM) that the next deadline for the interested S2R AM is the submission of their second draft budget submission on September 12. To confirm your interest, therefore, please meet this deadline.</p> <p>Yourself and Yves B. have access to the dedicated space (S2R-AM INVITATION) in the S2R Cooperation tool (<a href="https://www.cooperationtool.eu/projects/home.aspx">https://www.cooperationtool.eu/projects/home.aspx</a>) where you can find the excel budget table to be used for the second draft budget submission. The deadline for the full proposal submission through the cooperation tool and confirmation by email is on September 25, as indicated in the text of the Invitation to the S2R AM.</p>