

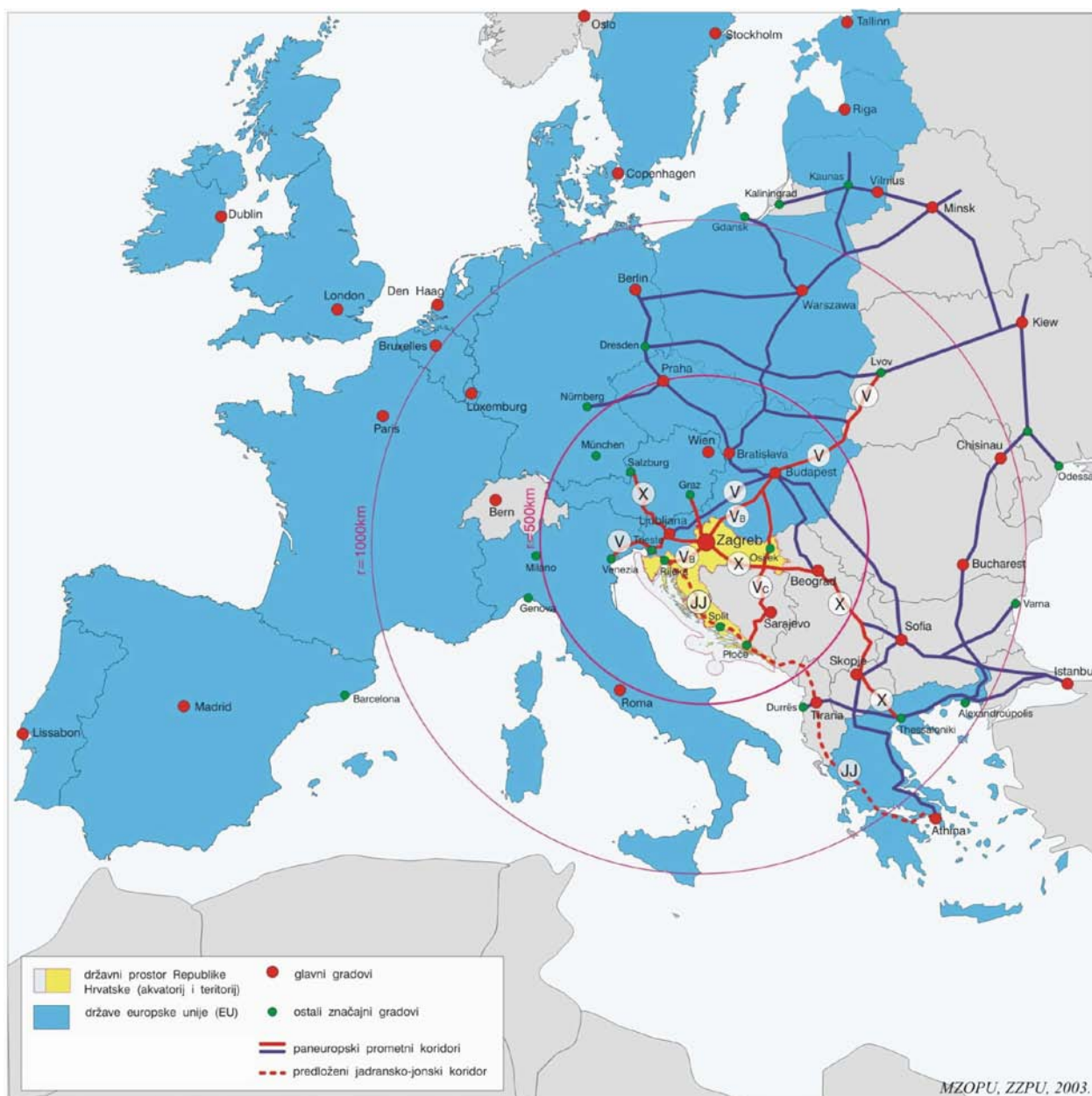


REPUBLIKA HRVATSKA
MINISTARSTVO MORA, TURIZMA, PROMETA I RAZVITKA



OPERATIVNI PROGRAM
„PROMET“ 2007.-2009.
INSTRUMENT PRETPRISTUPNE POMOĆI
2007HR16IPO002

Republika Hrvatska – Integralni dio veće europske prometne mreže



GLOSAR SKRAĆENICA

AGC	Europski sporazum o glavnim međunarodnim linijama
AGN	Europski sporazum o glavnim plovnim putovima od međunarodnog značenja
AGTC	Europski sporazum o važnim međunarodnim pravima kombiniranog transporta i sličnim instalacijama
ATP	Automatski željeznički protokol
BDP	Bruto domaći proizvod
CARDS	Pomoć Zajednice u obnovi, razvoju i stabilizaciji (<i>Community Assistance for Reconstruction, Development and Stabilisation</i>)
COTIF	Konvencija o međunarodnom željezničkom prijevozu
CRO-NEN	Hrvatska ekološka nacionalna mreža
DG	Opća uprava
DG TREN	EK– Opća uprava za promet i energetiku
DZS	Državni zavod za statistiku
EIB	Europska investicijska banka
EIRR	Ekonomska interna stopa povrata
EK	Europska komisija
EU	Europska unija
EUR	Euro
FIRR	Financijska interna stopa povrata
GHG	Emisija stakleničkog plina
GVR	Grupa na visokoj razini
IPA	Instrument za pretpristupnu pomoć
km	Kilometri
km ²	Kvadratni kilometri
CGI	Lokacije od interesa za Zajednicu
M	Milijun
MFI	Međunarodne financijske institucije
MMTPR	Ministarstvo mora, turizma, prometa i razvitka
MRS	Međuresorska radna skupina
NN	Narodne novine
NUTS	francuski - <i>nomenclature des unités territoriales statistiques</i> – nomenklatura teritorijalnih jedinica za statistiku
NVO	Nevladine udruge
OP	Operativni program
OPP	Operativni program „Promet“
OPRK	Operativni program “Regionalna konkurentnost”
OTIF	Međunarodna organizacija za međunarodni željeznički prijevoz
OUS	Okvir za usklađenost strategija
PEP	Pred-pristupni ekonomski program
PGDP	Prosječni godišnji dnevni promet
PLDP	Prosječni ljetni dnevni promet
PP	Pristupno partnerstvo
PPP	Pariteti kupovne moći
PUO	Procjena učinka na okoliš
REBIS	Regionalna studija o infrastrukturi za Balkan
RH	Republika Hrvatska
SSP	Sporazum o stabilizaciji i pridruživanju
SDURF	Središnji ured za razvojnu strategiju i koordinaciju EU fondova
SEETO	Prometni opservatorij za Jugoistočnu Europu
SJFU	Središnja jedinica za financiranje i ugovaranje
SME	Malo i srednje poduzetništvo

SOR	Strateški okvir za razvoj 2006. – 2013.
SWOT	Analiza snaga – slabosti – prilika – prijetnji
TEN-T	Transeuropska mreža za promet
TER	Transeuropski željeznički projekt
TINA	Procjena potreba željezničke infrastrukture (<i>Transport Infrastructure Needs Assessment</i>)
TIRS	Regionalna studija za prometnu infrastrukturu za Balkan (<i>Transport Infrastructure Regional Study for Balkans</i>)
TP	Tehnička pomoć
UN	Ujedinjene nacije
UN-ECE	Gospodarska komisija Ujedinjenih nacija za Europu
VIPD	Višegodišnji indikativni planski dokument
VPD	Višegodišnji planski dokument

UVOD

Republika Hrvatska je jedna od tri države kandidatkinje koje se trenutno pripremaju za pristupanje Europskoj uniji. Status države pristupnice dobila je u lipnju 2004. a pristupni pregovori s Hrvatskom otvoreni su u listopadu 2005.

Hrvatska trenutno koristi različite pretpripradne financijske instrumente Europske unije vezano za promet, tj. ISPA-u (Instrument za strukturne politike u pretpripradnom razdoblju) za promet i okoliš i Phare za jačanje institucija i gospodarsku i socijalnu koheziju.

Od 2007. ISPA program bit će zamijenjen **IPA-om** (Instrument za pretpripradnu pomoć). Kako bi se osigurao kontinuirani proces strukturne prilagodbe u prometnom sektoru i korištenje financijskih sredstava u sklopu IPA III Komponente - Regionalni razvoj, Hrvatska izrađuje **Operativni program „Promet“ (OPP)**. OPP pokriva razdoblje od tri godine (2007.-2009.), temeljeći se na inicijativama financiranim u sklopu prethodnih programa EU-a, posebice u sklopu ISPA-e. U njemu je također dana perspektiva za programsko razdoblje nakon 2009.

Ovaj Operativni program za razdoblje 2007.-2009. pokriva ključna pitanja i informacije kao što su opća politika i socioekonomski kontekst, pozadina prometne politike, status prenošenja *prometnog acquisa* u nacionalno zakonodavstvo, procjena prometnog sektora i slijedom toga strategije i mjere kako bi se zadovoljile razvojne potrebe prometnog sektora u skladu s pristupnim kriterijima, uključujući pokazatelje za praćenje i ocjenjivanje provedbe OPP-a.

Razvoj prometne infrastrukture smatra se neophodnom za ekonomski i socijalni razvoj te promicanje kontakta između regija. Ona predstavlja instrument regionalnog razvoja, olakšava protok robe, kao i pristup ljudi zapošljavanju, zdravstvu, obrazovanju i rekreacijskim aktivnostima. Iskustva iz prethodnih proširenja EU-a pokazuju da je poboljšani ruralni/regionalni pristup i povezanost s arterijskom mrežom, posebice rubnih regija, nužan za ekonomsku i socijalnu koheziju te smanjenje regionalnih razlika.

Hrvatsku presijecaju **Paneuropski prometni koridori V, VII i X** i njihovi ogranci. Zbog svog geografskog položaja Republika Hrvatska je iznimno značajna za uspostavu učinkovitih veza između Zapadne Europe i Balkana, te veza između područja Srednje Europe i Jadranskog mora i Sredozemlja.

Operativni program „Promet“ 2007.-2009. odražava vodeća načela Komisijinog **Višegodišnjeg indikativnog planskog dokumenta (VIPD)**¹ koji je strateški dokument za IPA-u i izravno je povezan s jednim od prioriteta zacrtanih u hrvatskom **Okviru za usklađivanje strategija (OUS)**² i odražava **nacionalnu i EU politiku razvoja prometnog sektora**.

Da bi se postigla održivost prometa, prilikom izrade ovog OPP-a odabran je holistički pristup planiranju kojim se uzima u obzir cijeli prometni sustav (sve vrste prijevoza). Ovaj je pristup odabran kako bi se osigurala **dobra koordiniranost** strategija donesenih za različite prometne pod-sektore (vrste prijevoza) i njihova **komplementarnost** s postojećom pomoći EU-a, međunarodnih financijskih institucija i ostalom pomoći, a time i uzajamna korisnost provedbenih mjera.

Srednjoročna procjena potreba i ciljeva pokazuje da je postojeća mreža primarnih cesta, pomorskih luka, autocesta i zračne plovidbe komparativno dobro razvijena i pruža dobru pokrivenost područja, dok u pod-sektorima željeznice i unutarnjih plovidbenih putova, sektori čiji su udjeli u prometnom tržištu značajno opali, postoje izraziti zaostaci u obnovi i modernizaciji infrastrukture.

¹ VIPD, C(2007) 2566 od 20. 06. 2007.

² Okvir za usklađenost strategija (OUS) usvojen od Vlade RH 25.05.2007., usvojen od EK 18.06.2007., vidi <http://www.strategija.hr/fgs.axd?id=451>

Kako bi se zajamčio uravnoteženi razvoj mreže koji uključuje sve vrste prometa, ovaj **OPP za 2007.-2009.** usredotočuje se na **pod-sektore željeznicu i unutarnju plovidbu**, a za krajnji cilj ima postizanje prihvatljivih standarda i pokrivenosti mreže, unaprjeđenje interoperabilnosti i jačanje konkurentnosti među različitim oblicima prijevoza.

OPP strategija za razvoj pod-sektora željeznice i unutarnje plovidbe konzistentna je sa strateškim prioritetima za pod-sektore iz ranijih regionalnih razvojnih studija, posebice s nedavno usvojenim **Planom razvoja osnovne regionalne prometne mreže Jugoistočne Europe 2007-2011.**³

U pogledu **pod-sektora željeznice** mjere i projekti predloženi OPP-om su logični nastavak aktualnih ISPA mjera rehabilitacije željeznice koje se provode na željezničkom Koridoru X, to jest modernizacije dionice pruge od Vinkovaca do Tovarnika te od Tovarnika do istočne državne granice. Osim toga, prioritetni željeznički projekti uključeni u indikativni popis projekata za razdoblje 2007.-2009. bave se dionicama koridora koje su po svojim operativnim standardima najslabije.

Glede **pod-sektora unutarnje plovidbe**, iako je njemu potrebna neodložna obnova, u ovom trenutku ne postoje dostatno zreli projekti za IPA financiranje tijekom razdoblja 2007.-2009. Međutim, očekuje se da će studija koju trenutno provodi **Komisija za rijeku Savu** rezultirati održivim projektnim prijedlozima koji će se moći uvažiti u programskom razdoblju 2010.-2012. Nadalje, predviđena je tehnička pomoć za pripremu projekta luke Vukovar.

Osim projekta Signalno-sigurnosnih uređaja na Glavnom kolodvoru Zagreb koji je već u naprednoj fazi pripreme, drugi identificirani prioritetni željeznički projekti vezani za Koridor X u pravilu su u ranoj fazi pripreme projekta i nedostaju im potrebne procjene financijske/ekonomske održivosti projekta, detaljne tehničke specifikacije i analiza učinka na okoliš te financijska konstrukcija. Priprema projekata, kao i korištenje tehničke pomoći, za jačanje administrativne sposobnosti za provedbu financijske pomoći dane u sklopu ovog OPP-a predstavljaju, stoga, budući prioriteti.

Mjere i projekti koji su predloženi za sufinanciranje u sklopu IPA-e dostatnog su opsega da bi imali mjerljive učinke na poboljšanje hrvatske prometne mreže i administracije, što će biti procjenjivano uz pomoć **pokazatelja nadzora.**

Pomoć Zajednice u sklopu IPA-a ima oblik bespovratne izravne pomoći. Iznos EU sufinanciranja određen je **Višegodišnjim indikativnim financijskim okvirom (VIFO)**⁴ za Instrument pretprijetne pomoći (IPA) koji daje informacije o indikativnoj raspodjeli troškova ukupnih dodijeljenih IPA sredstava prema prijedlogu Komisije u skladu s IPA Uredbom (EZ) 1085/2006. Stopa EU sufinanciranja iznosi ukupno **53,500,500 eura za razdoblje od tri godine ovog OPP-a, što je ekvivalentno stopi EU sufinanciranja od ukupno 75%.**

Očekivani ukupni utjecaj OPP-a je sljedeći:

- ✓ Razvojne koristi – pomoć u ostvarivanju standarda prometnog *acquisa* EU-a i međunarodnih standarda; upravljanje promjenom obujma prometa na Paneuropskom željezničkom koridoru X; i
- ✓ Edukativne koristi – razvijanje institucionalne sposobnosti RH za upravljanje intervencijama u prometnom sektoru karakterističnim za strukturne fondove; ta će sposobnost pružiti uključenim institucijama vrijedno iskustvo u pripremi za konačno članstvo u EU i s njim povezane odgovornosti.

³ SEETO, Plan razvoja osnovne regionalne prometne mreže Jugoistočne Europe VPD 2007.-2011., studeni 2006.

⁴ Višegodišnji indikativni financijski okvir 2008.-2010., Bruxelles, 8.11.2006, COM(2006) 672 konačni

Operativni ciljevi Operativnog programa 2007.-2009. su sljedeći:

- Povećati/poboljšati interoperabilnost uzduž željezničkog Koridora X;
- Poboljšati kvalitetu željezničkih usluga, pouzdanost i učinkovitost uzduž Koridora X;
- Pripremiti projekte za željeznički Koridor X;
- Pripremiti projekte obnove plovnih putova rijeke Save – poboljšati plovne putove kako bi se približili statusu IV međunarodne kategorije plovidbe;
- Priprema projekta luka Vukovar;
- Pomoću tehničke pomoći poduprijeti provedbu OP-a i jačanje relevantnih institucija.

Sljedeća tablica daju pregled osnovnih elemenata OPP-a za razmatrano razdoblje i predočava logiku „prioritetna os – operativni cilj – mjera“ koja je ključna za odabir indikativnih projekata u ovom OPP-u.

Operativni program „Promet“ 2007.-2009.: PREGLED

Srednjoročne potrebe	Prioritetne osi	Operativni ciljevi OPP-a	Ostvareni kroz projekte u sklopu sljedećih mjera:
Povećati učinkovitost, pouzdanost i konkurentnost željeznice	1 – Unaprjeđenje željezničkog sustava u Hrvatskoj	Povećati/poboljšati interoperabilnost uzduž Koridora X; Povećati kvalitetu željezničkih usluga, pouzdanost i učinkovitost na Koridoru X	- Nadogradnja i modernizacija pruge - Poboljšanje sigurnosti i učinkovitosti rada
Modernizirati lučke infrastrukture i poboljšati plovne standarde	2 – Unaprjeđenje sustava unutarnje plovidbe u Hrvatskoj	Obnoviti luku Vukovar i plovne putove rijeke Save; poboljšati plovnost s ciljem postizanja navigacijskog statusa IV	- Modernizacija i obnova riječnih plovnih putova i lučke infrastrukture
Upravljanje OP-om i jačanje institucionalne sposobnosti	3 – Tehnička pomoć	Koristiti pomoć EU-a pravovremeno i na tehnički prihvatljiv način	- Upravljanje programom i jačanje sposobnosti te aktivnosti vezane za identifikaciju budućih projekata

U svrhu određivanja konačnog redoslijeda provedbe različitih intervencija, mjere će biti predmetom daljnje detaljne analize u kojoj će se voditi računa o kriterijima IPA-e. Prijedlog je da daljnja analiza bude u vidu analize izvedivosti, testova osjetljivosti i rangiranja projekata prema redoslijedu predložene provedbe.

1. KONTEKST, KONZULTACIJE I KOORDINACIJA

1.1 NACIONALNA POLITIKA I SOCIO-EKONOMSKI KONTEKST

U ovom odjeljku se daje pregled ključnih gospodarskih statistika i trendova s kojim se Hrvatska suočava te njihovih posljedica na nacionalnu prometnu politiku. Nadalje, daje se hijerarhija strateških dokumenata kojima se određuje prometna politika RH, od Strateškog okvira za razvoj (SOR)⁵, preko Strategije prometnog razvitka Hrvatske i drugih relevantnih sektorskih strategija do specifičnih investicijskih i strategija upravljanja podsektorima i nacionalne ISPA strategije za prometni sektor.⁶ Navedene su ključne javne institucije zadužene za razvoj i provedbu tih strategija. Završno, opisuje se status hrvatskog pravnog okvira u pogledu prometnog sektora.

1.1.1. Ekonomski i socijalni pokazatelji⁷

Neovisna država Republika Hrvatska ima 4,44 milijuna stanovnika (zadnje dostupne procjene za 2006.) uz trenutni rast od 0% i površinu od 56,5 tisuća četvornih kilometara, što obuhvaća i 1246 otoka.

Zemljopisni oblik RH i njezina teritorijalna povezanost i sa sjevernim nizinskim prometnim pravcima i s istočnom obalom Jadranskog mora ističe vitalni značaj prometne infrastrukture za nacionalni razvoj, te potrebu uspostavljanja učinkovitih kontinentalnih i pomorskih veza s državama Jugoistočne i Srednje Europe te unutar područja RH.

Za RH je karakteristično značajno koncentriranje stanovništva u nekoliko regionalnih središta. Najveću gustoću stanovništva ima glavni grad Zagreb sa 7,5 puta većom gustoćom od drugog najgušće naseljenog područja (Međimurje) i 15,5 puta većom od hrvatskog prosjeka (78,4 stanovnika/km²). Specifičan geografski oblik i distribucija stanovništva zemlje utječe na razvoj prometne infrastrukture i usluga.

U pogledu **makroekonomskog razvoja**, nakon provedbe stabilizacijskog programa u 1993. čiji je primarni cilj bilo zaustavljanje trenda hiperinflacije, hrvatsko gospodarstvo postiglo je stabilnost i uspostavilo relativno stabilnu stopu rasta i niske inflacije.

Povećana osobna potrošnja, oporavak turizma, velika ulaganja (većinom u cestogradnju) i oporavak izvoza u razdoblju nakon rata vratili su hrvatsko gospodarstvo u 2000. godini na pozitivne stope rasta realnog BDP-a (2,9%) s rastom do 4,8 % u 2006.

BDP po glavi stanovnika, izražen u tekućim cijenama, dosegao je 7.037 eura u 2005. i 7.704 eura u 2006. Na temelju informacija Eurostata u 2006., BDP mjeren u paritetu kupovne moći približio se 50% prosjeka EU-27⁸ dok preliminarne procjene sive ekonomije pokazuju da se kupovna moć približava 60% prosjeka EU-27.

Vlada je od 2004. smanjila **fiskalni deficit**, poboljšala transparentnost i proračunske procese. Fiskalni učinak odražava se u neto smanjenju fiskalnog deficita sa 4,8% BDP-a u 2004. na 4,0% BDP-a u 2005. Godine 2006. fiskalni deficit dalje je smanjen na 3% BDP-a. Takav učinak utemeljen je prvenstveno na jakom rastu prihoda uzrokovanim snažnom gospodarskom izvedbom i povećanom učinkovitošću Porezne uprave u ubiranju poreza kao i umjerenom potrošnjom. U skladu sa Smjernicama ekonomske i fiskalne politike 2008. – 2010. Vlada RH namjerava tijekom 2007. dodatno smanjiti fiskalni deficit na 2,6% BDP-a.

⁵ Strateški okvir za razvoj, usvojen od Vlade RH 3. kolovoza 2006., vidi <http://www.strategija.hr/fgs.axd?id=230>

⁶ Nacionalna ISPA strategija za prometni sektor, usvojena od strane MMTPR-a 15. prosinca 2005.

⁷ Statistički podaci korišteni u ovom dokumentu podaci su dostupni u kolovozu 2007.

⁸ Međutim, hrvatska i statistika EU-a nisu u potpunosti usporedive, budući da Hrvatska ne prilagođava iznose BDP-a za učinke sive ekonomije..

Slika 1 – Prometne i razvojne osi RH



RH ima niske stope **inflacije** od 1994. Od tada prosječna godišnja inflacija potrošačkih cijena iznosi 3,4%. Značajno je porasla s 2,1% u 2004. na 3,3% u 2005. i pala na 3,2% u srpnju 2006. Inflacija se drži stabilnom i relativno niskom zbog više čimbenika: aprecijaciji tečaja kuna/euro, sporom rastu nominalnih plaća, blagom rastu produktivnosti rada i intenzivnoj konkurenciji u maloprodaji.

Trajno niska inflacija ostvarena je i zahvaljujući monetarnoj politici definiranoj od Hrvatske narodne banke čiji je primarni cilj bila niska inflacija. Potpomognuta je i stabilnim **tečajem** u „upravljajuće-plutajućem režimu“. U razdoblju između 2001. i 2006. fluktuacije prosječnog mjesečnog tečaja kune i eura nisu prelazile raspon od +/- 4%. U kontekstu visoke eurizacije hrvatskog financijskog sustava, HNB je nastavio čvrsto upravljanje tečajem kune i eura, budući da je on ključni instrument za suzbijanje inflacijskih očekivanja u državi te utječe i na stabilnost cijena uvoza iz eurozone.

Stopa nezaposlenosti mjerena prema ILO anketnoj metodologiji kontinuirano opada. U 2000. mjerena prema anketi o radnoj snazi iznosila je 16,1% i nastavila je padati da bi u 2005. dosegla 12,7%. U prvoj polovici 2006. pala je na 11,2%. U 2005. prosječna neto plaća iznosila je 599,5 eura i u 2006. porasla je na 630,5 eura. Uslužni sektor vodi u stvaranju novih radnih mjesta u RH. Tijekom 2006. RH je bilježila pozitivne trendove na tržištu rada, ali su poboljšanja potrebna posebice zbog slabe usklađenosti između ponude i potražnje na tržištu rada.

Javni dug je ispod mastriških kriterija od 60%. Dug opće države iznosio je oko 40,8% nominalnog BDP-a na kraju 2006., dok je dug javnog sektora (ukupni dug opće države uključujući izdana državna jamstva) iznosio 46,4% BDP-a u nominalnim vrijednostima na kraju 2006.

Unatoč tome, RH se trenutno suočava s izazovima u okviru ekstremne ranjivosti. **Godišnji deficit tekuće bilance** rastao je sa 5,1% BDP-a u 2004. na 6,4% BDP-a u 2005. rastući do 7,8% BDP-a u 2006. Općenito govoreći, deficit je bio uzrokovan nižim rastom izvoza robe i povećanim rastom uvoza robe u usporedbi s prethodnom godinom te višim neto faktorskim plaćanjima nerezidentnima; dok su prihodi od turizma tradicionalno pridonijeli suficitu u uslugama. Konstantan nesrazmjer između štednje i ulaganja doveo je do visokog **vanjskog duga** koji je krajem 2006. iznosio 29,2 milijardi eura, s udjelom vanjskog duga u BDP-u od 85,3%. Kako bi se smanjila vanjska ranjivost i vanjski javni dug, Vlada je tijekom zadnje godine posuđivala uglavnom izdavanjem obveznica ili blagajničkih zapisa i dizanjem kredita na domaćem tržištu, čime je smanjila svoj udio u ukupnom vanjskom dugu s 31,6% u 2004. na 22,8% u 2006. Posljedično tome, povećanje vanjskog duga bilo je uzrokovano najvećim dijelom vanjskim posuđivanjem drugih sektora (između ostalog poslovne banke i domaća poduzeća).

Glede **strukturnih reformi** primjetni su različiti pozitivni koraci, unatoč tome potrebno ih je pojačati kako bi se i dalje unaprjeđivala ekonomska izvedba. U svrhu poboljšanja poslovne klime, hrvatska vlast uvela je niz mjera, npr. uvođenje e-Vlade - usluge namijenjene ubrzavanju i poboljšavanju komunikacije između Vlade, poslovne zajednice i građana; širenje hitro.hr (*one-stop-shop*) čija je svrha smanjivanje vremena potrebnog za pokretanje poduzeća ili obrta; elektronsko registriranje obrta, elektronsko podnošenje specifikacija za plaćanje obveznog doprinosa za osigurane osobe, pristup podacima iz zemljišnih knjiga čiji je sadržaj usklađen sa katastarskim podacima kao i elektronsko podnošenje prijave PDV-a za poslovne subjekte. Daljnji pozitivni primjeri uključuju uspostavu poduzetničkih zona, projekt fokusiranja na pojednostavljivanje pravnog okvira povezanog s poslovanjem u RH kao i razvoj poticaja za smanjivanje poreznog opterećenja pravnih subjekata smanjivanjem „skrivenih pristojbi“. Nadalje, provodi se reforma zdravstvenog sustava, kao i reforma socijalnog sustava koja se fokusira na konsolidaciju različitih socijalnih naknada i pojednostavljivanje i bolje usmjeravanje cijelog sustava. Bankovni sektor kontinuirano raste, agencija za nadzor ne-bankovnog financijskog sektora osnovana je početkom 2006. Daljnja privatizacija državnog naftnog poduzeća INA provedena je inicijalnom javnom ponudom od 15% dionica. Tržišta kapitala zabilježila su snažan rast – burzovni indeks na Zagrebačkoj burzi CROBEX narastao je za 60,7% tijekom 2006. Spajanje Zagrebačke i Varaždinske burze provedeno početkom 2007. trebalo bi rezultirati daljnjim mogućnostima razvoja ne-bankovnog sektora unutar financijskog sustava.

Unatoč ovim pozitivnim trendovima potrebno je riješiti mnoga ozbiljna pitanja. Ne može se ostvariti daljnje poboljšanje poslovne klime bez trajnog smanjivanja administrativnih prepreka, bez bolje organizacije i snažne modernizacije državne uprave, reforme pravosuđa i borbe protiv korupcije koji trebaju pridonijeti lakšem ulasku i izlasku s tržišta te ostvarivanje vjerovničkih i vlasničkih prava. Trebaju se nastaviti naponi na restrukturiranju i privatizaciji posebice u području brodogradnje kao i u okviru preostalih turističkih poduzeća u državnom vlasništvu.

1.1.2. Očekivanja od politike u kratkoročnom i srednjoročnom razdoblju

Ključni izazovi za sljedeće tri godine ostaju rješavanje vanjske ranjivosti, strukturne reforme i daljnja fiskalna konsolidacija. Ovo je posebice bitno u okviru visokih troškova vezanih za pristupni proces, čija se točna mjera i razina tek trebaju precizno definirati, kako pregovarački proces bude napredovao i zahtjevi postanu jasniji.

Prema *Pretpristupnom ekonomskom programu 2007.-2009.*⁹, i Smjernicama ekonomske i fiskalne politike 2008. – 2010. usvojenim krajem 2006. i sredinom 2007., Vlada planira niz strateških mjera u svrhu smanjivanja javnog deficita, javnog duga i vanjskog duga i ponovnog jačanja procesa privatizacije. Glede rashodovne strane, Vlada će nastaviti s planiranim reformama zdravstvenog sektora i socijalnih davanja, te planiranim reformama u području privatizacije velikih poduzeća u državnom vlasništvu. Kako bi se razvila domaća krivulja dobiti i smanjila vanjska ranjivost, Vlada će se nastaviti zaduživati prvenstveno na domaćem tržištu. U pogledu dohodaka, planira se ubrzati reforme procesa ubiranja poreza kako bi se poboljšala njegova učinkovitost. Predviđene strukturalne reforme trebale bi rezultirati smanjenjem opće javne potrošnje u skladu sa GFS 1986 metodologijom (sa 47,8% BDP-a u 2006. na 43,1% BDP-a u 2010.) i smanjenje općeg duga države sa 3,0 BDP-a u 2006. na 0,5% BDP-a u 2010. Nadalje, smanjenje javnog duga (suma općeg duga države i državnih jamstva) sa 46,4% BDP-a u 2006. na 37,1% BDP-a u 2010. (Izvor: Smjernice ekonomske i fiskalne politike 2008. – 2010.). Nadzor od strane Međunarodnog monetarnog fonda bit će ograničen na konzultacije na temelju članka IV koje će se odvijati jednom godišnje. Unatoč tome, očekuje se da će nadzor od strane EU-a postati sve intenzivniji kako pristupni proces bude napredovao. Vlada namjerava uspostaviti vjerodostojnost politike nastavljajući s fiskalnom konsolidacijom i potrebnim strukturnim reformama, ali od najvećeg značaja je stvaranje povoljnog okruženja za poslovanje u kojem će se interes za ulaganje realizirati kroz konkretne projekte i stvoriti nova radna mjesta.

1.1.3. Posljedice za prometnu politiku RH

RH je danas dobro integrirana u sustav međunarodne trgovine. Zahvaljujući napretku učinjenom kroz realizaciju glavnih reformskih programa i ulaganja, RH se općenito smatra funkcionalnim tržišnim gospodarstvom „sposobnim za nošenje s konkurentskim pritiscima i tržišnim snagama unutar EU“ kako je nedavno potvrđeno od strane Europske komisije.¹⁰

Prometna politika značajno pridonosi kako ubrzanju rasta RH tako i rješavanju regionalnih nejednakosti među županijama. Primjerice, BDP po glavi stanovnika u najnerazvijenijim županijama Vukovarsko-srijemskoj i Brodsko-posavskoj iznosi samo 57,5% ponderiranog nacionalnog prosjeka, i u korelaciji je s vrlo visokom stopom nezaposlenosti, znatno iznad prosjeka.¹¹ Uska grla u razvoju, karakteristična za područja znatno ispod nacionalnog prosjeka razvoja, uključuju lošu prometnu i tehnološku infrastrukturu. Opće iskustvo iz drugih područja u Europi je da nedostatna povezanost doprinosi depopulizaciji i socijalnoj isključenosti, dugotrajnoj nezaposlenosti nisko obrazovanih i sve starijoj strukturi stanovništva.

Odgovarajuća razina „usluga javnog prometa“, uključujući željeznicu, smatra se bitnim čimbenikom za unaprjeđenje socioekonomske situacije nerazvijenih područja, i morat će biti uravnoteženo s argumentima za zatvaranje gubitakških pruga.

Izazov reformi i ulaganja nastavlja se u prometnom sektoru, posebice u kontekstu pregovora o pristupanju EU, u kojoj je promet visoko liberaliziran, konkurentan i tržišno orijentiran.

⁹ PEP, kojeg je Vlada RH usvojila 30. studenog 2006.

¹⁰ Izvješće o napretku 2005, EK (COM(2005)561 završno)

¹¹ Okvir za usklađivanje strategija, OUS, usvojen od VRH 25. svibnja 2007., usvojen od EK 18. lipnja 2007., vidi <http://www.strategija.hr/fgs.axd?id=451>

U svjetlu aktualne fiskalne konsolidacije RH je primijenila inovativna financijska rješenja kako bi se zadovoljile buduće investicijske potrebe, posebice u infrastrukturnom sektoru. Jedna od mogućnosti je korištenje javnih financija kao poticaja infrastrukturnim ulaganjima od strane međunarodnih financijskih institucija i privatnog kapitala za infrastrukturna ulaganja, strategija koju je Vlada usvojila za sektor autocesta i luka.

Privatizacija, u smislu ugovaranja vanjskih usluga za djelatnosti koje nisu osnovne, problem je Hrvatskih željeznica (HŽ) d.o.o. Bivše poduzeće Hrvatske željeznice prošlo je kroz restrukturiranje koje je rezultiralo s pet glavnih društava i većim brojem ovisnih društava. Privatizacijske mjere zapravo su već programirane u okviru PAL II zajma EBRD-a.

Osim povećanja konkurencije kao posljedica eurointegracija, buduća politika razvoja prometa morat će na odgovarajući način voditi računa o raznim makroekonomskim učincima za koje bi se moglo očekivati da će značajnije utjecati na ulaganja u prometni sektor i usluge RH, kao što su:

- Povećana „europizacija” prometnog biznisa i time rastuća važnost nacionalnih i međunarodnih saveza, što pretpostavlja užu suradnju između željezničkih poduzeća, komplementarnih oblika prijevoza i industrija;
- Diversifikacija usluga, kao odgovor na kontinuirane promjene u trgovinskim obrascima, ili u robnoj strukturi u pravcu povećanja proizvodnje s višom dodanom vrijednošću;
- Povećana specijalizacija, zbog rastuće složenosti „upravljanja logističkim lancem“ umjesto tradicionalnog sustava distribucije.

1.1.4. Okvir prometne politike

Mnoštvo unutarnjih kao i vanjskopolitičkih dokumenata i međunarodnih inicijativa određuje orijentaciju nacionalne prometne politike u RH kako slijedi:

Razvoj prometne infrastrukture

Središnji nacionalni dokument je **Strateški okvir za razvoj 2006. - 2013. (SOR)**¹² koji definira sljedeće ciljeve za prometni sektor:

- Jačanje tržišnih mehanizama za razvoj i korištenje infrastrukture, i
- Razvoj modernog sustava upravljanja infrastrukturom utemeljenog na informacijskoj tehnologiji, i održivog sustav za financiranje njezine izgradnje i održavanja.

te sukladno tome kao glavne ciljeve postavlja:

- usklađivanje stupnja razvoja, kvalitete i sigurnosti prometne infrastrukture
- promicanje ekološke održivosti u prometu i energetici

U SOR-u se podsjeća na razvojne prioritete za promet definirane u nacionalnoj **Strategiji prometnog razvitka 1999.**¹³, u kojoj se u biti definiraju sljedeći prioriteti:

- Uravnoteženi razvoj prometnog sustava kao jedan od temeljnih ciljeva s obzirom na opću socijalnu i gospodarsku ravnotežu;

¹² SOR, usvojen od Vlade RH 4. kolovoza 2006., vidi <http://www.strategija.hr/fgs.axd?id=230>

¹³ Usvojena od Hrvatskog Sabora 12. studenog 1999. (NN 139/99)

- Povezivanje RH s njezinim europskim i regionalnim susjedima kao primarni cilj u pogledu razvoja prometa kao vida međunarodne komunikacije ;
- Prilagodba mreže novoj političkoj i ekonomskoj situaciji te okolišu, njezina modernizacija u skladu s općim razvojem prometa u svijetu;
- Preispitivanje sudjelovanja individualnih sektora u općem prometu s ciljem primjerene redistribucije prometa na prometnim pravcima i u cilju razvoja intermodalnosti;
- Usmjeravanja prema višoj razini sigurnosti u prometu;
- Jačanje ekološke svijesti i utvrđivanje ekoloških kriterija kao ciljne orijentacije.

Nacionalna ISPA strategija za prometni sektor (2005.)¹⁴ određuje prioritetne željezničke investicijske projekte za Hrvatsku; što je bila osnova za planiranje ulaganja u Hrvatskoj za korištenje 30 milijuna eura dodijeljenih državi u sklopu ISPA mjere za razdoblje 2005.-2006. (detaljnije vidi u Odjeljku 3.4.2.). Ta će sredstva ograničeno pridonijeti ispunjavanju potpunih i značajnih potreba Hrvatske u tom sektoru; međutim, indikativni popis projekata u Nacionalnoj ISPA strategiji predstavlja prioritetna ulaganja za daljnja ulaganja u željezničkom pod-sektoru koja će pridonijeti ispunjavanju obveze unaprjeđenja željezničke pruge. Popis je ažuriran i dodani su mu novi prioritetni projekti (unutarnji plovni putovi) za IPA ulaganja, a njihov stupanj spremnosti opisan je detaljnije u Odjeljku 3.5. ovog OP-a.

Ministarstvo je pripremlilo nacрте **Petogodišnjeg plana razvoja za luke unutarnjih voda i Petogodišnjeg plana razvoja za unutarnje plovne putove** koji su trenutno u fazi međuresorskih konzultacija. Razvojna strategija za infrastrukturu unutarnjih plovnih putova usmjerena je na povećanje sigurnosti i učinkovitosti unutarnje plovidbe. Regulacija plovnih putova mora odgovarati potrebama korisnika, a to znači osiguravanja nesmetane i sigurne plovidbe za brodove s maksimalnom vučom u skladu s klasom plovnih putova. U praksi to znači osiguravanje minimalne dubine od 2,5m za 300 dana u godini (međunarodna klasa plovidbe).

Hrvatski plovni putovi specifični su po tome da su to uglavnom rijeke uz granice Hrvatske. S obzirom na to, regulacijske projekte trebalo bi koordinirati s državama susjedima. Hrvatska smatra te zajedničke projekte prioritetom s obzirom da pomažu uspostavi boljih prometnih veza između država i stvaranju preduvjeta za zajednički gospodarski boljitak.

Hrvatskim riječnim lukama potrebna je kvalitetna i tehnološka modernizacija kako bi se zadovoljila postojeća i očekivana potražnja. Osim modernizacije osnovne lučke infrastrukture, potrebno je ojačati sustav sigurnosti i nadzora u lučkom području. Luke treba povezati s glavnim cestovnim i željezničkim koridorima kako bi se postigla bolja koordinacija s gospodarskim zaleđem i kako bi se stvorili preduvjeti za razvoj intermodalnog prometa.

Pitanja zaštite okoliša

Jasan cilj Nacionalne prometne strategije je razviti prometni sektor koji će biti u skladu s hrvatskim razvojnim potrebama i istovremeno u skladu s međunarodnim, odnosno integriran u paneuropsku prometnu strukturu. Tim se pristupom vodi računa o općim ciljevima gospodarskog i socijalnog razvoja RH, potrebama budućih generacija i zahtjevima vezanim za zaštitu okoliša, regionalni razvoj i nacionalnu obranu. Prometna politika u Hrvatskoj odavno je uspostavila dobre veze s politikom zaštite okoliša, kako bi svoje moguće negativne posljedice na gospodarstvo, društvo i okoliš svela na minimum. Od 1980. obvezno je provođenje procjene učinka na okoliš (PUO) prije izdavanja lokacijske dozvole za sve strukture koje bi mogle imati štetne učinke na okoliš; a u tu se kategoriju ubrajaju prometne strukture.

¹⁴ Nacionalna ISPA strategija za prometni sektor, usvojena od strane MMTPR-a 15. prosinca 2006.

Osnovna obilježja ovih obveznih studija su:

- Omogućiti egzistenciju biljnih i divljih vrsta tipičnih za hrvatske biološko–zemljopisne uvjete,
- Odobriti izgradnju novih infrastrukturnih projekata utemeljenih na kvalitetnim ekološkim informacijama, provjerenim i verificiranim od strane nadležnih tijela u skladu s propisima RH.

Osim toga, u 70.-tim je razvijen sustav prostornog planiranja za planiranje korištenja i zaštitu prostora. Najvažniji dokument u tom smislu, u hijerarhiji dokumenata o prostornom planiranju, jest „**Strategija i program prostornog planiranja RH**“¹⁵, u kojem je detaljno utvrđena cijela cestovna mreža na razini države i na razini regija i županija. Tu Strategiju i program mora usvojiti Hrvatski sabor nakon provođenja javne rasprave koja uključuje i ekološka pitanja.

Glede zaštite okoliša Republika Hrvatska trenutno poduzima pripreme za transpoziciju u nacionalno zakonodavstvo postupaka vezanih za Procjenu strateškog učinka na okoliš planova i programa (Direktiva 2001/142/EZ). To će biti provedeno donošenjem novog Zakona o zaštiti okoliša (usvojen od strane Vlade RH, u proceduri u Saboru).

U pogledu postupaka i dokumentacija potrebnih za izgradnju novih trajnih struktura koje bi mogle imati štetan učinak na okoliš, zakonodavstvo RH trenutno nije u potpunosti usklađeno s procjenom učinka na okoliš i strateškom procjenom učinka na okoliš.

Svi projekti financirani u sklopu ovog OPP-a moraju biti u potpunosti u skladu s načelima EU-a o održivom razvoju i ispunjavati relevantne ekološke norme, posebice direktive o procjeni učinka na okoliš, pticama i staništima (kako bi se izbjegli mogući negativni učinci na potencijalne lokacije NATURA 2000) i moraju biti u skladu s relevantnom pravnom stečevinom o okolišu. Prilikom planiranja ulaganja u prometni sektor koristit će se integrirani i strateški pristup. Projekti koji se moraju financirati moraju se ocjenjivati na temelju svakog pojedinog slučaja kako bi se osigurala njihova koherentnost s relevantnim obvezama iz pravne stečevine o okolišu.

1.1.4.1. Smanjenje stakleničkih plinova

Republika Hrvatska ratificirala je Kyotski protokol¹⁶ u svibnju 2007. Svjesna obveza koje će ratifikacija Kyotskog protokola donijeti, RH je aktivno provodila projekte kojima se povećava energetska učinkovitost i promiče korištenje obnovljivih izvora energije puno prije njegove ratifikacije u RH.

Emisije plina od prometnih gužvi smanjene su zahvaljujući izgradnji novih autocesti.

Prva farma vjetrenjača (snage od 5,9 MW) počela je s radom 2004. godine, a druga farma vjetra (snage od 11,2 MW) dovršena je u 2006. Planira se dovršetak daljnjih šest farmi vjetrenjača do 2010. Intenzivirana je upotreba sunčeve energije i u nekoliko lokalnih zajednica pokrenuti su projekti upotrebe šumske biomase za gradske toplane i proizvodnju struje.

Glede prometa, trenutni porast broja vozila u RH neizostavno je doveo do povećanja emisije stakleničkih plinova.

Izgradnja novih autocesta donijela je smanjenje prometne zakrčenosti i prekomjernog zagađenja zraka posebice u gradu Karlovcu, koji je dugo vremena bio glavno usko grlo za promet koji se slijeva prema jadranskoj obali. Nadalje, planirana izgradnja gradskih zaobilaznica za gradove Rijeku, Split,

¹⁵ Izradilo Ministarstvo zaštite okoliša, prostornog uređenja i graditeljstva (MZOPUG).

¹⁶ Zakon o potvrđivanju Kyotskog protokola uz Okvirnu konvenciju UN-a o promjeni klime, NN Međunarodni ugovori 5/2007

Karlovac, Varaždin i Osijek itd. pridonijet će već postignutom smanjenju ispuštanja stakleničkih plinova.

Može se zaključiti da je Hrvatska, s iznimkom urbanih centara, još daleko od prometne preopterećenosti. Može se ipak očekivati da će prometni uvjeti postajati teži, usporedo s predviđenim rastom prometne potražnje na osnovnoj mreži, osobito za vrijeme turističke sezone.

Kako bi se suprotstavilo mogućim negativnim posljedicama povećanja cestovnog prometa, RH je već uvela zabranu uvoza vozila koja nisu u skladu s homologacijskim standardima. Nadalje, eko-test koji sadrži mjerenja ispušnih plinova dio je obveznog godišnjeg tehničkog pregleda vozila. Od 1. listopada 2004. vozilo ne može dobiti potvrdu tehničke ispravnosti, ako nije zadovoljilo eko-test.

Prema Nacionalnom izvješću o proračunu emisije stakleničkih plinova za razdoblje 1990.-2004.¹⁷ udio prometa u ukupnoj emisiji stakleničkog plina bio je 18% u 2004. Unutar prometnog sektora udio pod-sektora cestovnog prometa je 94%.

Primjerice, uredba o kvaliteti biogoriva, koju je donijela Vlada RH u studenom 2005., definira nacionalni indikativni cilj od 5,75% udjela biogoriva u benzinu i dizelu za prijevozne svrhe, plasiranom na domaće tržište do 31. prosinca 2010. Prvo postrojenje za preradu biodizela s kapacitetom od 20 000 tona godišnje otvoreno je u Ozlju.

U okviru ovog OPP-a specifične intervencije predviđene za IPA sufinanciranje i indikativni popis projekata odražavaju duh Kyotskog protokola, budući da za cilj imaju obnovu željeznice i unaprjeđenje plovidbe na rijeci Savi, s krajnjim ciljem promicanja multimodalnog prometa i stvaranja učinka preusmjerenja prometa sa zagađivačkog cestovnog prometa na energetski učinkovite željezničke/riječne oblike prijevoza.

1.1.4.2. Ekološka mreža

NATURA 2000 je vodeći program u politici zaštite prirode EU-a. Provodi se kroz direktive o staništima i pticama. Svaka država članica pridonosi uspostavi mreže NATURA 2000 određivanjem posebnih područja u skladu s direktivom o staništima.

Uspostava mreže staništa unutar NATURE 2000 provodi se kroz tri osnovne faze:

- Prva faza je znanstvena procjena razine ugroženosti i opsega ugroženih staništa na državnoj razini.
- U drugoj fazi Europska komisija zajedno s državom članicom ocjenjuje svaki lokalitet preporučen na državnom popisu. Nakon ocjenjivanja i odabira „europskog značaja“ odnosno lokaliteta od interesa za Zajednicu konačnu odluku donosi Vijeće ministara EU-a.
- Nakon što je definiran lokalitet od interesa za Zajednicu država članica mora proglasiti „područje pod posebnom zaštitom“.

U 2002. RH je u sklopu procesa pristupanja EU (i u sklopu Sporazuma o stabilizaciji i pridruživanju)¹⁸ pristupila osnivanju Nacionalne ekološke mreže, kao dio Paneuropske ekološke mreže i NATURA 2000 mreže, kroz CRO – NEN projekt. Do sada je završen prvi nacrt projekta.

¹⁷ Nacionalno izvješće o proračunu emisije stakleničkih plinova, naručeno i usvojeno od MZOPUG, broj 112-04/05-01/47, 531-05/02-vg-05-02, srpanj 2005.

¹⁸ SSP, usvojen od EU-a 13. prosinca 2004., Odlukom Vijeća i Komisije 2005/40/EZ, Euroatom

Organizirana i institucionalizirana briga o očuvanju prirode postojala je u RH i prije NATURA 2000. Sukladno nacionalnom zakonodavstvu RH je imala sljedeća zaštićena područja: 8 nacionalnih parkova, 6 parkova prirode, 2 stroga rezervata, 69 zaštićenih rezervata, 23 parka-šume, 28 zaštićenih krajolika, 72 prirodna spomenika, 114 spomenika parkovne arhitekture, s ukupnom površinom od oko 500 000 ha. Prilikom planiranja usklađivanja prometa, sva gore navedena područja moraju biti strogo čuvana i postoji stroga obveza prilagodbe usklađivanja prometne infrastrukture potrebama zaštite prirode.

Specifični prometni projekti i u sklopu ISPA i u sklopu IPA programa podlijegeat će provjerama od strane nadležnih tijela u RH, s obzirom na predložena područja Nacionalne ekološke mreže (CRO – NEN).

1.1.4.3. Pozadina regionalne politike

Međunarodna zajednica proteklih se godina kontinuirano suočava s novim izazovima, prvo uslijed geopolitičkih promjena i nastanka novih nacionalnih država na jugoistoku Europe s jedne strane, i nedavno s proširenjem EU-a u 2004. s 15 na 25 te u 2006. na 27 država članica. Zbog tih događanja ukazalo se nužnim da međunarodna zajednica:

- Osmisli novi koncept paneuropskih prometnih pravaca / koridora, vodeći računa o novim državama kandidatkinjama za ulazak u EU te o novom europskom susjedstvu kao i o razlikama ekonomskih politika tih država „u tranziciji“;
- Pomogne novim kandidatima za ulazak u EU i novim susjedima EU-a u njihovoj integraciji u proširenu TEN-T mrežu koridora, i
- Pruži smjernice u pogledu postupnog usklađivanja s pravnim propisima EU-a (*acquis communautaire*) u području prometa, koji imaju za cilj realizaciju četiriju sloboda¹⁹ kao temelja unutarnjeg tržišta EU-a.

Uključivanje RH u šire europske prometne mreže započinje s **Trećom paneuropskom prometnom konferencijom** održanom u Helsinkiju u lipnju 1997. kada je 10 paneuropskih multimodalnih koridora nadopunjeno²⁰ sa segmentima na područjima država smještenih na Jugoistoku Europe, uključujući dionice Koridora X i Koridora VII (rijeka Dunav) u RH, kao i ogranke Koridora Xa, Vb i Vc.

Prva konkretna inicijativa u prilog stvaranja regionalne prometne mreže u Jugoistočnoj Europi bio je strateški dokument EK-a izrađen 2001. pod naslovom „**Prometna i energetska infrastruktura u Jugoistočnoj Europi**“²¹. Nakon toga uslijedila je „**Regionalna studija prometne politike za Balkan**“ (TIRS) koju je financirala francuska Vlada²². Navedena studija fokusirala se na sedam država, pet država iz studije EK-a iz 2001. plus Rumunjska i Bugarska i nadgledala ju je Europska konferencija ministara prometa. Na koncu je uslijedila „**Studija o regionalnoj infrastrukturi na području Balkana**“ (REBIS) u 2002./03., financirana opet od strane Europske komisije. U potonjoj se predlaže osnovna mreža od regionalnog značaja utemeljena na strateškoj mreži koju je prethodno uspostavila Europska komisija. Temeljeći se na **TINA metodologiji**²³ u navedenoj REBIS studiji odabrani su i ocijenjeni prioritetni projekti za sve oblike prijevoza i dotične države za razdoblje do 2015.

¹⁹ Sloboda kretanja robe, usluga, kapitala i ljudi.

²⁰ Dodan je deseti koridor kao i Paneuropsko prometno područje za pomorske slivove.

²¹ Dokument Europske komisije od 15. listopada 2007.

²² Studija je izrađena u razdoblju od ožujka 2001. do siječnja 2002. od strane francuskog konzultantskog poduzeća "Louis Berger".

²³ Procjena potreba prometne infrastrukture

U ovom trenutku valja spomenuti da je predviđeno korištenje metodologije TINA za pripremu detaljnog ocjenjivanja prioriteta projekata OPP-a sadržanih u indikativnom popisu projekata, kako bi se zajamčila programska strategija usklađena s međunarodnim standardima te kako bi se olakšalo prikupljanje sredstava od međunarodnih financijskih institucija.

Proširenje EU-a dalo je novu dimenziju planiranju infrastrukture i integraciji regionalne mreže.

Isto tako 2003. Slovenija, Hrvatska, Bosna i Hercegovina i Srbija i Crna Gora sklopile su „**Okvirni sporazum o slivu rijeke Save**“ kojim se povezane države obvezuju na sudjelovanje u okviru zajedničkog tijela **Komisije za rijeku Savu** u koordiniranim aktivnostima vezano za upravljanje vodenim resursima, riječnu navigaciju i zaštitu okoliša i poslovanja. Sporazum između ostalog naglašava intermodalno korištenje plovidbenih pravaca i uspostavu međunarodnog režima plovidbe na rijeci Savi i njezinim plovnim pritokama.

Nakon **proširenja EU-a** s 15 na 25 članova 1. svibnja 2004. , oko dvije trećine bivšeg Paneuropskog koridora postalo je dio unutarnje prometne mreže EU-a. Zadatak revidiranja paneuropske prometne mreže, uzimajući u obzir potrebe država kandidatkinja i novog europskog susjedstva, dodijeljen je **Grupi na visokoj razini** s ciljem „širenja glavnih transeuropskih osi na susjedne države i regije“. Grupu su činile 25 država članica plus Bugarska i Rumunjska, susjedne države EU-a, Europska investicijska banka, Europska banka za obnovu i razvoj i Svjetska banka. Grupu je predvodila gđa. Loyola de Palacio, bivša potpredsjednica EK-a.

Na temelju ministarskog sastanka održanog u Santiagu de Compostela (Španjolska) u lipnju 2004. Grupa na visokoj razini odredila je pet glavnih transnacionalnih osi, pri čemu **Jugoistočna multimodalna prometna os** povezuje EU preko Balkana i Turske s Kavkazom i Kaspijskim morem te Egiptom i Crvenim morem. Grupa je objavila „Mrežu za mir i razvoj“ krajem 2005.

U svrhu jačanja regionalne suradnje na području Balkana 11. lipnja 2004. u Luksemburgu je potpisan **Memorandum o razumijevanju o razvoju osnovne regionalne prometne mreže Jugoistočne Europe**.

Prema tom Memorandumu: „*razvoj mreže treba uključivati održavanje, rekonstrukciju, obnovu, modernizaciju i novogradnju glavne i pomoćne infrastrukture kao i njezino poslovanje i korištenje s ciljem poticanja najučinkovitijih i ekološki najprihvatljivijih oblika prijevoza u regionalnim razmjerima. U područje primjene Memoranduma spadaju, stoga, i infrastruktura i s njom povezane usluge, uključujući upravne i regulatorne postupke*“.

Memorandum je omogućio suradnju na multilateralnoj razini u regiji Jugoistočna Europa. Njime je institucionaliziran pojam „osnovne mreže“ za promet. Osnovan je **Prometni opservatorij za Jugoistočnu Europu – SEETO** sa sjedištem u Beogradu kako bi se provele ideje definirane Memorandumom. Njegova funkcija je dvojaka: tehničko tajništvo i tijelo koje skuplja/ažurira informacije vezane za „osnovnu mrežu“. Memorandumom su predviđeni redovni sastanci na ministarskoj razini i razmjena informacija putem Upravnog odbora te izrada petogodišnjeg VPD-a uz

nadležnost SEETO-a za izradu višegodišnjih indikativnih planova razvoja u kojima bi se trebale definirati mjere za osiguravanje bolje regionalne suradnje i određivanje prioriteta projekata.

Višegodišnji planski dokument (VPD) 2007.-2011. za razvoj osnovne mreže Jugoistočne Europe usvojen je u prosincu 2006. na ministarskom sastanku u Bruxellesu. U njemu je jasno prikazana razina suradnje, dani ažurirani popis uvjeta i operativne izvedbe osnovne mreže. VPD je poslužio kao važna podloga i referentni dokument za programiranje OPP-a.

1.1.5. Institucionalni okvir

Na općoj razini, odgovornost za prometnu politiku ima sljedeće ministarstvo:

Ministarstvo mora, turizma prometa i razvitka (MMTPR) je tijelo središnje vlasti nadležno za promet. Između ostalog u njegovu nadležnost spadaju upravni i drugi poslovi vezani za opću prometnu politiku - upravljanje cestovnim prometom, upravljanje željeznicom, upravljanje zračnim prometom, upravljanje pomorskim prometom, upravljanje unutarnjom plovidbom, zaštita Jadranskog mora i organizacija i priprema strateških infrastrukturnih projekata i investicijskih programa. Ono obavlja poslove koordinacije i izradu ekspertiza te sudjeluje u razvoju strateških dokumenata. MMTPR provodi i aktivnosti vezane za proces eurointegracija u prometnom sektoru; prometnu inspekciju; promicanje edukacije o prometu i istraživanja vezana za prometnu politiku. Ustrojstvena jedinica unutar MMTPR-a – Uprava za strateške infrastrukturne projekte – određena je kao vodeća institucija unutar operativne strukture za IPA Komponentu III Regionalni razvoj – promet, Uredbom Vlade RH iz veljače 2007. (NN. 18/07).

Ostala tijela koja se bave prometom u Republici Hrvatskoj su: Hrvatske ceste, Hrvatske autoceste, Hrvatske željeznice, Agencija za plovne putove unutarnjih voda, Riječke kapetanije, Ministarstvo kulture, Ministarstvo zaštite okoliša, prostornog uređenja i graditeljstva.

Za **željeznički sektor** nadležnost ima više tijela.

Unutar **MMTPR**-a za željeznička pitanja nadležne su dvije jedinice:

- Uprava željezničkog prometa, s tri odjela: Odjel željezničkog i kombiniranog prometa, Odjel željezničke infrastrukture i pružnih postrojenja, Odjel unaprjeđenja sigurnosti željezničkog prometa;
- Služba inspekcije sigurnosti željezničkog prometa unutar Uprave prometne inspekcije.

Te jedinice su nadležne za pripremu pravnih instrumenata, izradu strategija, izvješća, analiza i izradu mjera koje odnose na sigurnost i strateška pitanja.

Potrebe osposobljavanja osoblja ispunjavat će se u sklopu CARDS 2006 projekta „Restrukturiranje i razvoj hrvatskog željezničkog sustava u sklopu zakonodavstva EU-a“.

HŽ Infrastruktura d.o.o. društvo je u 100% vlasništvu države osnovano da bi djelovalo kao upravitelj infrastrukture. Odgovorno je za izgradnju, održavanje i rad hrvatske željezničke (infrastrukturne) mreže.

Za **sektor unutarnje plovidbe** nadležna su sljedeća tijela:

Unutar MMTPR-a, **Uprava unutarnje plovidbe** nadležna je za uspostavu pravnog okvira putem izrade i primjene zakona i podzakonskih propisa, te putem izrade višegodišnjih planova i programa za razvoj cijelog sektora.

Uprava za unutarnju plovidbu u MMTPRU-u predlaže, kreira i provodi prometnu politiku pod-sektora unutarnje plovidbe. Sastavni dio Uprave su i lučke uprave. Njihov osnovni zadatak je kontrola i nadzor propisa u području

sigurnosti plovidbe, ali lučke uprave obavljaju i specifične upravne zadatke poput vođenja Hrvatskog registra brodova i određivanje ukupne maritimne sposobnosti brodica za osobnu upotrebu, temeljem pravilnika o brodicama i jahtama (određivanje ukupne maritimne sposobnosti za brodice za osobnu upotrebu može u iznimnim slučajevima biti povjereno Hrvatskom registru brodova)

Inspekcijski poslovi u nadležnosti lučkih uprava provode se temeljem Zakona o plovidbi unutarnjim vodama i Zakona o lukama unutarnjih voda, od strane inspektora u sklopu Odjela za inspekcijske poslove u Upravi za plovidbenu sigurnost i zaštitu mora, koji djeluje u sklopu lučkih uprava.

Agencija za plovne putove unutarnjih voda je javna ustanova u nadležnosti MMTPR-a, osnovana nedavno krajem 2005. i nadležna je za razvoj, održavanje plovnih putova i pomoć u sigurnosti plovidbe.

Međunarodna komisija za sliv rijeke Save uspostavljena je Okvirnim sporazumom o slivu rijeke Save koji su potpisale Republika Slovenija, Republika Hrvatska, Bosna i Hercegovina i bivša Federalna Republika Jugoslavija u Kranjskoj Gori (Slovenija) 3. prosinca 2002. Međunarodna komisija za sliv rijeke Save uspostavljena je u svrhu provedbe Okvirnog sporazuma i realizacije zajednički dogovorenih ciljeva:

1. uspostave međunarodnog plovnog režima na rijeci Savi i njezinim plovnim pritokama;
2. uspostave održivog gospodarenja vodama;
3. poduzimanje mjera za sprječavanje ili smanjenje opasnosti za sigurnost plovidbe kao i uklanjanje štetnog učinka poplava, leda, suše i incidenata koji imaju negativne učinke na vode.

1.1.6. Nacionalni pravni okvir za promet

U skladu sa strateškim fokusom ovog OPP-a, sljedeća ocjena stanja zakonodavstva u prometu koncentrirana se na pod-sektore željeznice i unutarnje plovidbe.

1.1.6.1. Stanje zakonodavstva pod-sektoru željeznice

Pravni sustav koji trenutno uređuje područje željezničkog prometa čine:

- Zakon o željeznici (NN 123/03, 194/03, 30/04)
- Zakon o sigurnosti željezničkog prometa (NN 40/07)
- Zakon o podjeli trgovačkog društva H.Ž. - Hrvatskih željeznica d.o.o. (NN 153/05)
- Zakon o potvrđivanju protokola od 3. lipnja 1999. godine o izmjenama Konvencije o međunarodnom željezničkom prijevozu (COTIF) od 9. svibnja 1980. godine (Protokol 1999.) o Konvencije o međunarodnom željezničkom prijevozu (COTIF) od 9. svibnja 1980. godine u verziji Protokola o izmjenama od 3. lipnja 1999. godine s pripadajućim dodacima (NN, M.u. 12/2000)
- Zakon o osnivanju i djelokrugu rada Agencije za regulaciju željezničkog tržišta (NN 79/07)

S ciljem sklapanja saveza u željezničkom sektoru, Hrvatska je pristupila sljedećim bilateralnim i multilateralnim sporazumima:

- Sporazum o reguliranju graničnog željezničkog prometa između Vlade Republike Hrvatske i Vlade Republike Mađarske (NN 5/95)
- Ugovor između Vlade Republike Hrvatske i Vlade Republike Mađarske o međunarodnom kombiniranom prijevozu stvari, (NN 20/97)
- Sporazum između Vlade Republike Hrvatske i Vlade Republike Slovenije o obavljanju željezničkog prometa preko državne granice (NN, 77/97 i 20/97)

- Sporazum između Vlade Republike Hrvatske i Vlade Republike Slovenije o međunarodnom kombiniranom prijevozu (NN 4/98)
- Sporazum između Vlade Republike Hrvatske i Federalne Republike Jugoslavije o reguliranju graničnog željezničkog prometa (NN 1/98)
- Sporazum između Republike Hrvatske i Republike Bosne i Hercegovine o uređenju graničnog željezničkog prometa (NN 8/00)
- Sporazum između Republike Hrvatske i Republike Bosne i Hercegovine o načinu korištenja i održavanja željezničke pruge Bihać-Knin i obavljanju nadzora od strane državnih graničnih tijela (NN 4/01)
- Ugovor između Vlade Republike Hrvatske i Vlade Slovačke Republike o međunarodnom kombiniranom prijevozu (NN 17/98)
- Ugovor između Vlade Republike Hrvatske i Vlade Republike Bugarske o međunarodnom kombiniranom prijevozu stvari (NN 3/01)
- Ugovor između Vlade Republike Hrvatske i Vlade Republike Austrije o međunarodnom kombiniranom prijevozu stvari (NN 17/98)
- Sporazum između Vlade Republike Hrvatske i Vijeće Ministara Srbije i Crne Gore o međunarodnom kombiniranom prijevozu stvari (potpisan u Zagrebu u studenom 2005.)

U pogledu međunarodnih organizacija u području željezničkog prometa, Republika Hrvatska je pristupila COTIF-u²⁴ i član je OTIF-a²⁵.

Glede članstva u UN-u, predstavnici RH sudjeluju redovno na sastancima UN-ECE-a vezanim za željeznički promet. Hrvatska je i potpisnica AGC i AGTC²⁶ sporazuma te članice TER-a²⁷.

Također, u svibnju 2006. Hrvatska je potpisala „Sporazum o uspostavi željezničke mreže visokih mogućnosti u Jugoistočnoj Europi“, kojim se treba poboljšati stanje željezničke mreže u Jugoistočnoj Europi i time povećati korištenje željezničkih prometnih usluga.

Nadalje, nacionalni željeznički operater HŽ aktivni je član Međunarodne željezničke unije (UIC) kao i Zajednice europskih željeznica (CER).

1.1.6.2. Stanje zakonodavstva u pod-sektoru unutarnje plovidbe

Pravni sustav koji uređuje promet unutarnjim plovnicama čine sljedeći akti:

- Zakon o plovidbi unutarnjim vodama (Narodne novine br. 19/98) i Zakon o lukama unutarnjih voda (Narodne novine br. 142/98)
- Zakon o izmjenama i dopunama Zakona o plovidbi (Narodne novine br. 151/03) i Zakon o izmjenama i dopunama Zakona o lukama unutarnjih voda (Narodne novine br. 65/02)

Republika Hrvatska je potpisala, pristupila ili ratificirala veći broj međunarodnih dokumenata u području unutarnje plovidbe:

- **Europski ugovor o glavnim unutarnjim plovnicama od međunarodnog značaja (AGN)** – temeljem tog sporazuma, plovni putovi rijeka Save, Drave i Dunava i planirani kanal Dunav-Sava uključeni su europsku mrežu plovnicama, dok su luke Vukovar, Slavonski Brod i Sisak uključene u mrežu luka otvorenih za međunarodni promet. Hrvatska je također prihvatila izgradnju plovnicama otvorenih za međunarodni promet, u skladu s

²⁴ Konvencija o međunarodnom željezničkom prijevozu

²⁵ Međuvladina organizacija za međunarodni željeznički prijevoz

²⁶ Europski sporazum o najvažnijim međunarodnim željezničkim prugama; Europski sporazum o glavnim međunarodnim linijama kombiniranog prijevoza i sličnim instalacijama

²⁷ Transeuropski željeznički projekt

propisanim standardima kategorija plovidbe na koje upućuje AGN. Hrvatska je ratificirala taj sporazum i on je stupio na snagu.

- **Europski sporazum o međunarodnom prijevozu opasnih tereta na unutarnjim plovnim putovima (ADN).** Hrvatska je potpisala taj sporazum 14. lipnja 2000.,
- **Budimpeštanska konvencija o ugovoru o prijevozu robe unutarnjim plovnim putovima (CMNI)** – ovim se sporazumom ograničava odgovornost vlasnika broda za nastale štete. Republika Hrvatska je potpisala i ratificirala tu konvenciju.
- **Konvenciju o režimu plovidbe Dunavom, od 18. kolovoza 1948. godine,** koju je Republika Hrvatska prihvatila dodatnim protokolom iz 1998. prema kojem se Hrvatska može smatrati potpisnicom Konvencije kao sljednica bivše Socijalističke Federativne Republike Jugoslavije.
- **Okvirni sporazum o slivu rijeke Save,** kojim se uvodi međunarodni režim plovidbe na rijeci Savi, uravnotežuje metoda upravljanja vodama i koordiniraju pitanja zaštite voda i okoliša u slivu. Sporazum je ratificiran i stupio je na snagu.
- **Regionalni sporazum o uslugama radiotelefonije na unutarnjim plovnim putovima (RAINWAT),** Basel, 2000. Sporazum je ratificiran i stupio na snagu.

1.1.7. Statistike

Podaci za prometni sektor korišteni u ovom OPP-u vode porijeklo iz sljedećih izvora: MMTPR, Hrvatske ceste, Hrvatske autoceste, HŽ Infrastruktura, Agencija za plovne putove unutarnjih voda, Lučke kapetanije, Državni zavod za statistiku (statistički godišnjaci) i EUROSTAT.

Prometni sektor i prometna politika odnose se prvenstveno na nacionalnu razinu a ne na regije, i podaci iz ovog OPP-a odgovaraju nacionalnoj razini (NUTS I).

1.2. STRATEŠKI OKVIR ZAJEDNICE

Operativni program za promet jasno definira i razrađuje prioritete u dotičnom sektoru za predviđeno razdoblje vodeći računa o Okviru za usklađivanje strategija, i sektorskim, tematskim i geografskim mehanizmima koncentracije pomoći kako je definirano u IPA uredbi, članak 155.²⁸

1.2.1. Usklađenost s relevantnim strateškim dokumentima

Može se smatrati da je strategija OPP-a u skladu s glavnim ciljevima politike i prioritetima i Komisijinog **Višegodišnjeg indikativnog planskog dokumenta (VIPD)**²⁹ za Hrvatsku i **Okvira za usklađivanje strategija (OUS) 2007.-2013.**³⁰

Pristupno partnerstvo s Hrvatskom³¹ je osnovni instrument kojim se Hrvatskoj daju smjernice za pripremu pristupanja EU-u. Cilj partnerstva je u jedinstvenom pravnom okviru definirati:

- prioritete za reforme u svrhu pripreme za pristupanje,
- financijsku pomoć za provedbu prioriternih područja i
- načela provedbe Partnerstva.

²⁸ IPA provedbena uredba, članak 155. stavak 2. točka (c), IPA PU Uredba Komisije (EZ-a) br. 718/2007 kojom se provodi Uredba Vijeća br. 1085/2006

²⁹ VIPD, C(2007) 2566 od 20.06.2007.

³⁰ Okvir za usklađenost strategija (OUS) 2007.-2013., usvojen od VRH 25.5.2007., usvojen od EK 18.6.2007., <http://www.strategija.hr/fgs.axd?id=451>

³¹ Pristupno partnerstvo za Hrvatsku, Odluka Vijeća 2006/145/EZ

Jedno od razlikovnih obilježja Partnerstva leži u tome da je ono fleksibilan instrument, osmišljen kako bi se s jedne strane prilagođavao napretku koji je Hrvatska već učinila na svom putu u punopravno članstvo EU-a, a s druge strane koncentrira se na što treba biti učinjeno.

Prioriteti pobrojani na Pristupnom partnerstvu odabrani su na temelju realnih očekivanja da ih Hrvatska može ispuniti ili da može značajno napredovati u njihovom ispunjavanju tijekom narednih nekoliko godina. Razlikuju se kratkoročni prioriteti čije ispunjavanje se očekuje u roku jedne do dvije godine, i srednjoročni prioriteti čije ispunjavanje se očekuje u roku od tri do četiri godine.

Budući da je Operativni program „Promet“ samo jedan od četiri Operativna programa unutar III i IV Komponente u kontekstu IPA programa, on se bavi samo ograničenim brojem širih prioriteta navedenih u Partnerstvu. Poveznice s odredbama Partnerstva su sljedeće:³²

Pristupno partnerstvo kao srednjoročne prioritete u prometnoj politici navodi:

- Nastaviti s radom na potpunom usklađivanju s acquisem EU-a u području cestovnog prometa.
- Raditi na usklađivanju s acquisem EU-a u području unutarnje plovidbe, posebice u pogledu sigurnosti plovnosti i usluga riječnih informacija.
- Nastaviti s provedbom Sporazuma o razumijevanju o razvoju Jugoistočne temeljne regionalne prometne mreže.

Operativni program „Promet“ povezan je s budućom europskom kohezijskom politikom u Hrvatskoj. IPA program se često uspoređuje sa strukturom i mehanizmima strukturnih i Kohezijskog fonda, i u tom smislu IPA predstavlja svojevrsnog prethodnika za buduću provedbu kohezijske politike u Hrvatskoj. U svjetlu toga, u ovom OPP-u se insistira na usklađenosti sa strateškim okvirom europske kohezijske politike i to posebice sa **Strateškim smjernicama Zajednice za koheziju**.³³

Višegodišnji indikativni planski dokument (VIPD) je strateški dokument za IPA-u. Uspostavljen je za tri godine, uz predviđene godišnje revizije i slijedi Višegodišnji indikativni financijski okvir (VIFO) koji indikativno raspoređuje sredstava po korisnicima i komponentama.

Kako bi se definirale strategije koje učinkovito doprinose ostvarivanju općeg cilja, VIPD se temelji na procjeni potreba i izazova kao i prioriteta definiranih u Izvješću o napretku i Pristupnom partnerstvu.

VIPD definira opći okvir koji ovaj OP strogo slijedi te navodi da „*će se pomoć EU-a fokusirati na ulaganja i javne usluge potrebne da bi se povećala dugoročna konkurentnost, stvaranje novih radnih mjesta i održivi razvoj, naime (...) održivi promet (željezničke mreže i mreže unutarnjih plovni putova)*“³⁴

U kontekstu **regionalnog razvitka** definiraju se visoko prioritetni ciljevi i kao jedan od njih „*ojačati infrastrukturnu osnovu zemlje*“³⁵, čije „*gospodarske aktivnosti treba poticati uspostavom odgovarajuće i održive prometne infrastrukture s posebnim naglaskom na restrukturiranje i modernizaciju željezničkog sustava.*“

Za prioritete iz prometne domene u VIPD-u očekuju se sljedeći rezultati:

- *obnovit će se inter-modalna konkurencija;*
- *poboljšat će se veze s Europskom unijom;*
- *značajno će se povećati razina sigurnosti;*
- *smanjit će se prometni čepovi;*
- *povećat će se učinkovitost i održivost;*

³² Pristupno partnerstvo za Hrvatsku, Odluka Vijeća 2006/145/EZ

³³ SSZ, Odluka Vijeća od 6. listopada 2006. o strateškim smjernicama Zajednice o koheziji (2006/702/EZ)

³⁴ VIPD, C(2007) 2566 od 20.06.2007.

³⁵ VIPD, C(2007) 2566 od 20.06.2007.

- smanjit će se vrijeme putovanja u robnom i putničkom prometu.

Najvažniji dokument za ovaj OP, koji je jednu razinu više od njega u strukturalnoj hijerarhiji, jest **Okvir za usklađenost strategija (OUS)**. Njegova **Komponenta III Regionalni razvoj** ima za cilj poduprijeti aktivnosti usmjerene prema:

- Razvoju prometne infrastrukture, posebice međupovezanosti i interoperabilnosti nacionalnih mreža i unutar transeuropskih mreža, te
- Tehničkoj pomoći za pripremu preliminarnih studija i tehničke potpore vezano za prihvatljive aktivnosti, uključujući one koje su nužne za njihovu provedbu; tehničkoj pomoći za aktivnosti pripremanja, upravljanja, nadzora, evaluacije te informativne i kontrolne aktivnosti kao i aktivnosti u svrhu jačanja administrativne sposobnosti za provedbu IPA pomoći unutar te komponente.

U tom smislu OUS predlaže da se „*IPA pomoć u prometnom sektoru koncentrira na pomoć modernizaciji željezničke mreže i kasnije također na pomoć razvoju sustava unutarnjih plovnih putova.*“

Prvi ugovorni odnos između Hrvatske i Europske unije bio je **Sporazum o stabilizaciji i pridruživanju (SSP) između Europskih zajednica i Republike Hrvatske**³⁶ koji je potpisan u listopadu 2001. i stupio na snagu u veljači 2005. SSP propisuje pravni okvir za politički dijalog, regionalnu suradnju, gospodarske odnose i korištenje financijske pomoći Zajednice.

Osim toga, SSP stupio je na snagu u prvom tromjesečju 2005. i propisuje pravni okvir za politički dijalog, regionalnu suradnju, gospodarske odnose i korištenje financijske pomoći Zajednice. Glede prometne infrastrukture „Protokol 6 o cestovnom prometu“ izričito spominje „*mjere za razvoj multi-modalne prometne infrastrukturne mreže.. posebice na Paneuropskim koridorima V, VII, X i u Jadransko-jonskom paneuropskom prometnom području koji povezuje s koridorom VIII*“ (vidi članak 4).

OPP nadalje odražava strategiju programiranja donesenu za razvoj Osnovne mreže za JIE. Posebice je unaprjeđenje željeznice na Koridoru X visoko rangirano na indikativnom popisu prioritetnih projekata za Osnovnu regionalnu prometnu mrežu JIE uključenih u **SEETO-ov VPD 2007.-2009.**³⁷

Republika Hrvatska izradila je **Pretpristupni ekonomski program (PEP)**³⁸ za razdoblje 2005.-2007., nakon kojeg je uslijedio ažurirani PEP za 2006.-2008. i PEP za 2007.-2009. – s ciljem definiranja ekonomske politike i reformi potrebnih za pristupanje Europskoj uniji. U zadnjem se daje jasna definicija srednjoročne ekonomske politike zemlje, prioriteta i strukturalnih reformi planiranih za trogodišnje razdoblje. U poglavlju Promet (dio odjeljka „*Strukturalne reforme*“ u dokumentu) uključene se zakonodavne i „ne-zakonodavne“ mjere koje treba provesti i koje će imati učinak na državni proračun, uz poseban osvrt na nedavno pokrenute reforme u željezničkom sektoru i njegovu liberalizaciju.

EU je posvećena održivom razvoju, i njezina razvojna politika, uključujući kohezijsku politiku, potaknuta je **Lisabonskom strategijom** (gospodarskom strategijom razvoja) i Lisabonskim programom Zajednice (agenda za rast i zapošljavanje); koji su revidirani nakon srednjoročne revizije u 2004. U tom kontekstu, okvir za korištenje Strukturalnih i Kohezijskog fonda dan je u Komunikaciji *Kohezijska politika kao potpora rastu i zapošljavanju, Strateške smjernice Zajednice, 2007.-2013.*³⁹

³⁶ SSP, prihvaćen od EU 13. prosinca 2004., Odluka Vijeća i Komisije 2005/40/EZ, Euratom

³⁷ SEETO, Prometni opservatorij za osnovnu mrežu za Jugoistočnu Europu, Plan za razvoj VPD 2007.-2011., studeni 2006.

³⁸ PEP; usvojen od Vlade RH 30. studenog 2006.

³⁹ Odluka Vijeća od 6. listopada 2006. o strateškim smjernicama Zajednice o koheziji (2006/702/E/)

Osiguravanje učinkovite, fleksibilne i sigurne prometne infrastrukture može se smatrati nužnim preduvjetom za gospodarski razvoj budući da se njime potiče produktivnost, a time i razvojne perspektive dotične regije olakšavanjem kretanja ljudi i roba. Prometne mreže potiču mogućnosti za trgovinu, istovremeno povećavajući učinkovitost. Nadalje, razvoj prometne strukture Europe (posebice relevantnih dijelova od trideset prioritarnih projekata za Transeuropske prometne mreže) s posebnim fokusom na projekte prekograničnog prometa, ključan je za postizanje veće integracije nacionalnih tržišta, posebice u kontekstu proširene Unije.

„Potpora željezničkoj infrastrukturi treba imati za cilj osigurati veću dostupnost. Pristojbe za pruge trebaju olakšati pristup neovisnim operaterima. Također bi se trebalo potaknuti stvaranje interoperabilne mreže u cijeloj EU. Usklađenost i primjena interoperabilnosti i oprema za ERTMS u vlakovima i na prugama trebala bi biti dio svih financiranih projekata.“

Ukratko, fokusiranje ovog OPP-a na pod-sektore željeznicu i unutarnju plovidbu u potpunosti je u skladu s prometnim politikama i strategijama EU, promiče održivu mobilnost putem optimizacije upotrebe jeftinih i za okoliš prihvatljivih oblika prijevoza.

1.2.2. Napredak u prihvaćanju obveza koje proizlaze iz članstva u EU vezano za promet

Općenito, politikom Zajednice traži se prilagodba u sljedeća četiri osnovna područja:

- usklađivanju hrvatskog zakonodavstva s pravom Zajednice;
- nadogradnji i modernizaciji prometnih mreža;
- olakšavanju pristupa nacionalnom prometnom tržištu;
- usklađivanju operativnih standarda i postupaka.

Prema Izvješću o napretku za 2006. RH „treba povećati napore kako bi se uskladila s pravnom stečevinom, posebice daljnjim prihvaćanjem provedbenog zakonodavstva. Jačanje upravne sposobnosti (kako u pogledu broja zaposlenih tako i u pogledu njihove osposobljenosti) također ostaje prioritetno pitanje u većini prometnih sektora.“

Željeznica: RH napreduje u usklađivanju upravljanja hrvatskim željezničkim sektorom i u usklađivanju svog zakonodavstva unutar okvira *acquis communautaire*.

*Ostvaren je određeni napredak u području željezničkog prometa. Zakon o željeznici stupio je na snagu 2006. U prosincu 2005. usvojen je Zakon o podjeli Hrvatskih željeznica, a u tijeku je osnivanje malog holdinga s četiri podružnice, tj. vuča, putnički, teretni i infrastruktura.*⁴⁰

Zakon o željeznici uključuje odredbe Prvog željezničkog paketa direktiva EU 2001/12/EZ kojom se mijenja i dopunjuje 91/440/EEZ, 2001/13 EZ kojom se mijenja i dopunjuje 95/18/ EZ i 2001/14/EZ koja zamjenjuje 95/19/EZ). Te direktive, kronološkim redom, pojašnjavaju formalne odnose između države i upravitelja infrastrukturom s jedne strane i između upravitelja infrastrukturom i operatera (željezničkih društava) s druge strane; uvjete koji željeznički operater mora ispuniti kako bi dobio licencu za pružanje usluga unutar mreže; i opća načela za raspodjelu kapaciteta i naplaćivanje infrastrukture.

Novi zakon o željeznici i zakon o podjeli Hrvatskih željeznica stvorili su neophodne preuvjete za liberalizaciju željezničkog tržišta.

Unatoč tome, hrvatski Zakon o željeznici ne ispunjava u potpunosti zahtjeve zakonodavstva EU-a, što je razvidno iz najnovije analize pravnih neusklađenosti iz 2006. izrađene za pod-sektor željeznički

⁴⁰ Izvješće Europske komisije o napretku za Hrvatsku 2006., COM (2006) 649 završno

promet u sklopu tehničke pomoći Komisije.⁴¹ Daljnje usklađivanje sa zakonodavstvom EU-a tražit će usvajanje Drugog željezničkog paketa (to jest, direktiva 2004/49/EZ, 2004/50/EZ i 2004/51/EZ), uvođenje strukturnih mjera za rješavanje sigurnosti i interoperabilnosti, te daljnju liberalizaciju željezničkog teretnog prometa kako bi se uključilo i domaće tržište.

*Međutim, još nisu prenijeti zakoni o sigurnosti i nedostaju različita tijela za željeznice. Uprava za željeznicu u Ministarstvu mora, turizma, prometa i razvitka preustrojena je kako bi se uspostavila posebna jedinica koja se bavi sigurnošću.*⁴²

Vezano za rezultate prethodno spomenute analize pravnih neusklađenosti iz veljače 2006, najvažnije odredbe, koje nisu uređene ili nisu dovoljno detaljno uređene, su sljedeće:

- Neovisnost menadžmenta željezničkih poduzeća;
- Načela razdvajanja infrastrukture od prometnih poduzeća;
- Poboljšanje financijske situacije (opterećenje dugovima);
- Upotreba željezničke infrastrukture;
- Sigurnost željeznice i istraživanje nesreća;
- Licenciranje smjernica za operatere treće strane.

Pored pitanja zakonodavne i regulatorne reforme koje treba riješiti kako bi se dovršio proces transpozicije, također je vrlo bitno da se ostvari napredak u jačanju institucija. Hrvatskoj trenutno nedostaju važna „tijela“ koja se mogu smatrati preduvjetom za liberalizaciju željezničkog tržišta i „europizaciju“, poput licencnog tijela, regulatornog tijela, sigurnosnog tijela, upravitelja infrastrukturom, tijela za raspodjelu kapaciteta i tijela za određivanje cijena. Međutim, usvojenim Zakonom o Agenciji za regulaciju željezničkih usluga u 2007. uspostavljeno je regulatorno tijelo dok je novim Zakonom o sigurnosti u željezničkom prometu stvorena pravna osnova za osnivanje Tijela nadležnog za sigurnost, Istražnog tijela i Prijavljenog tijela, sukladno EU Direktivama 2004/49/EZ, 96/48/EZ, 2001/16/EZ i 2004/50/EZ.

Kako je navedeno u **SEETO-ovom VPD 2007.-2011.**, relativno mali opseg željeznice u JIE ide u prilog regionalnom pristupu upravljanju infrastrukturom. Prijedlog koji je prihvatio Upravni odbor zapravo je izjava za razvoj regionalne zajedničke mreže, kao skupina zajedničkih uvjeta pristupa, što će vjerojatno biti proces kojem treba tehnička pravna pomoć.

Potreba potpunog usklađivanja sa željezničkim *acquisem* prepoznata je i u trogodišnjem projektu planiranim pod nazivom „Restrukturiranje i razvoj željezničkog sustava Hrvatske unutar okvira zakonodavstva EU“ u sklopu Phare 2006 programa.

Svrha tog projekta je uklanjanje gore spomenutih institucionalnih neusklađenosti i osnivanje navedenih tijela do 2008., uključujući i mjere izobrazbe za osoblje kako bi ga se osposobilo za obavljanje dužnosti koje će se dodijeliti raznim institucijama. Buduća provedba tih mjera bit će određena na način da omogućuje pristup mreži za trećeg operatera u minimalnom roku, istovremeno jamčeći sigurnost željeznice.

Unutarnji plovidbeni putovi: Veći dio nacionalnog zakonodavstva u skladu je s *acquisem*, i da citiramo Komisijino Izvješće o napretku za 2006. „provodi se učinkovito“.

Područje u kojem postoji neusklađenost odnosi se na uzajamno priznavanje diploma, svjedodžbi i drugih dokaza formalnih kvalifikacija, budući da trenutno ne postoji mogućnost priznavanja dokumenata izdanih izvan Hrvatske. Restriktivni pristup postoji i u pogledu kabotaže. Međutim, Vlada RH je u kolovozu 2007. usvojila novi Zakon o plovidbi i lukama unutarnjih voda. Predmetnim će se zakonom osigurati pravni temelj za primjenu pravne stečevine EU u području riječnog prometa,

⁴¹ Atkins, BCEOM, Gopa, TYPASA, COWI: Nacrt pretprijetne strategije, veljača 2006.,

⁴² Izvješće Europske komisije o napretku za Hrvatsku 2006., COM (2006) 649 završno

a posebno uspostaviti načela EU u području pristupa tržištu i profesiji, strukturnih reformi te uvjeta izdavanja i priznavanja ovlaštenja zapovjednika broda.

Dobro napreduje proces usklađivanja i modernizacije konkurentskih oblika prijevoza:

Ceste: Komisija smatra da su hrvatski propisi u tom području blizu *acquisu* dok se istovremeno tvrdi da se „*usklađivanje s acquisem mora nastaviti*“.⁴³ Ipak, *vidljiv je napredak u području cestovnog prometa. Napredak u usklađivanju s acquisem ostvaren je kroz usvajanje pravilnika o prijevozu opasnih tvari cestom, o savjetnicima za sigurnost i uređajima za ograničenje brzine.*⁴⁴ Najveći dio hrvatskog sustava autocesta nedavno je izgrađen u skladu sa standardima EU-a i građevinski radovi ubrzano se nastavljaju.

Republika Hrvatska proaktivno i o svom vlastitom trošku provodi ambiciozan program izgradnje autocesta u skladu s europskim standardima, koji je gotovo dovršen i pokriva sve dionice cesta koje pripadaju jugoistočnom multimodalnom prometnom koridoru. Od početka radova u travnju 2001., izgrađeno je 550 km autocesta i polu-autocesta.

Hrvatske autoceste su među najmodernijim i najsigurnijim u Europi.

Trenutno je u upotrebi 1 065 km autocesta i polu-autocesta.

I u zračnom i u pomorskom sektoru je potrebno daljnje usklađivanje, posebice vezano za „horizontalni sporazum“ u zračnom prometu s jedne strane, i s druge strane poboljšanja glede hrvatske zastave vezano za njezinu oceansku flotu.

RH je trenutno pridruženi član Pariškog memoranduma o suglasnosti o državnom nadzoru luka. Unatoč tome, hrvatska zastava je trenutno na sivoj listi Pariškog memoranduma o suglasnosti. Potrebno je ojačati administrativne kapacitete kako bi se poboljšala učinkovitost pomorskih kontrola.

1.2.3. Koncentracija pomoći

Operativni program „Promet“ predlaže koncentraciju pomoći na obnovu infrastrukture i modernizaciju pod-sektora željeznice i unutarnje plovidbe.

Dok je mreža primarnih cesta, pomorskih luka, autocesta i zračnog prometa u RH relativno dobro razvijena, u usporedbi s tim definitivno postoji zaostatak u održavanju strukture i modernizaciji pod-sektora željeznice i unutarnje plovidbe.

Kako bi se zajamčio razvoj uravnotežene mreže, uključujući sve vrste prijevoza, indikativni projekti predloženi u odjeljku 3.5. imaju za cilj nadogradnju željezničke i mreže unutarnjih plovidbenih putova do postizanja prihvatljivih standarda i pokrivenosti mreže. Ovo, naravno, podrazumijeva da cijeli logistički sustav treba bolje integrirati i međusobno povezati.

Sljedeća tablica daje povijesni pregled ulaganja javnog sektora u promet u proteklih šest godina, očekivanu potrošnju u 2007. te kad su za to dostupni podaci investicijske planove za razdoblje 2008.-2011. (u milijunima eura):

⁴³ Izvješće Europske komisije o napretku za Hrvatsku 2005, COM (2005) 561 završni.

⁴⁴ Izvješće Europske komisije o napretku za Hrvatsku 2006, COM (2005) 649 završni.

	Investirano						Očekivano	Planirano				
	2001	2002	2003	2004	2005	2006		2007	2008	2009	2010	2011
Ceste	405,58	786,59	1.216,36	1.132,90	1.197,03	1.089,92	943,18	903,67	[1]	[1]	[1]	
Željeznice	23,22	36,87	107,86	131,27	94,84	161,78	262,92	335,61	459,60	472,32	[2]	
Unutarnji plovni putovi	5,10	14,48	16,17	12,02	9,74	21,34	55,34	73,10	142,08	147,50	263,67	
Pomorske luke	11,75	11,01	11,85	14,98	18,76	34,55	68,41	89,57	113,30	115,57	80,94	
Zračne luke	7,69	10,98	18,48	16,67	17,58	23,69	51,33	32,77	48,40	37,30	[3]	

1) „Nacionalni program za izgradnju i održavanje javnih cesta u razdoblju 2005.-2008.“ za sada je jedini relevantni dokument, stoga se trenutno ne mogu dati podaci za godine nakon 2009.

2) Novi nacionalni program ulaganja za željeznički sektor trenutno izrađuje resorno ministarstvo, stoga u ovom trenutku nema podataka za 2011.

3) Još nisu potvrđeni podaci za zračnu infrastrukturu nakon 2010.

Kao što tablica pokazuje, u cestovni pod-sektor je otišao najveći dio javnih ulaganja u promet tijekom proteklih pet godina, s prosječno oko 90% ukupne potrošnje godišnje. Takva povijesna aktivnost utemeljena je na odluci Sabora od 1999. o potpori programu izgradnje autocesta, koji je izuzetno uspješan: 80% sustava autocesta predviđenih za izgradnju je sad operativno i cijeli program ulaganja u autoceste bit će dovršen do 2009.⁴⁵

Za razliku od toga, pod-sektori željeznica i unutarnja plovidba dobili su skromnih 5-12% odnosno 1% ukupne potrošnje tijekom proteklih pet godina, iznos dostatan za osnovno održavanje i manje izmjene infrastrukture, ali nije bilo većih ulaganja tijekom tog razdoblja.

Situaciju glede ulaganja u željeznicu dodatno je otežala financijska situacija u željeznici koja je ostavila vrlo malo ili nimalo prostora za ulaganja iz ostvarenih prihoda, i koja objašnjava postojeći manjak ulaganja i slabosti u održavanju željezničkog sektora. To se očituje u sve lošijoj infrastrukturi, postojećim jednokolosiječnim prugama, sve zastarjelijim željezničkim voznim parkom i zastarjelom opremom za signalizaciju i komunikaciju.

U tablici je, ukoliko su dostupni podaci o budućoj potrošnji po vrstama prijevoza, također predočeno preusmjeravanje nacionalne prometne politike i buduće potrošnje na željeznicu i unutarnju plovidbu.

Vlada je odvojila značajna dodatna sredstva kako bi se stvorili uvjeti za interoperabilnost i istovremeno pripremila za konkurenciju na otvorenom tržištu. Prema novom *Programu za nacionalnu željezničku infrastrukturu i održavanje 2007. – 2011.* koji je MMTPR najavio 13. rujna 2006. za radove na obnovi i održavanju željeznice odvojeno je 10 milijardi kuna (otprilike 1,35 milijardi eura) za to razdoblje.

⁴⁵ 100 km državnih cesta modernizirano je samo u razdoblju od 2001. do 2004; 120 km novih državnih cesta izgrađeno je tijekom istog razdoblja. Tijekom 2005. 17 dionica državnih cesta u dužini 55,4 km obnovljeno je povremenim održavanjem. Radovi na poboljšanju ceste trenutno se provode na više od 400 km mreže državnih cesta. Nešto manje od polovice sredstava potrebnih za ovaj program (60 milijuna eura) potječe iz zajmova koje je dala Europska investicijska banka, dok je druga polovica (62 milijuna eura) financirana od strane Hrvatskih cesta, poduzeća odgovornog za nacionalni sustav cesta, iz njegovih vlastitih sredstava.

1.2.4. Iskustva iz prethodnog korištenja pomoći EU

Na temelju iskustva u provedbi projekata i korištenju EU fondova, u nastavku se nalazi prikaz najvažnijih pitanja relevantnih za buduću primjenu prepristupne pomoći:

- ✓ Razvija se sposobnost upravljanja programima i projektima u Hrvatskoj; praktično iskustva stečena do sada moraju se razvijati i uključiti u buduće upravljanje fondovima EU. Dosad je najveću prepreku u provedbi projekata predstavljala slaba institucionalna sposobnost na nacionalnoj i nižim razinama. Iz tih je razloga potrebno osigurati poboljšanje tehničke pomoći i jačanje sposobnosti na svim administrativnim razinama;
- ✓ Nužno je imati osposobljeno i motivirano osoblje i potrebni su daljnji naponi kako bi se identificiralo, obučilo, razvilo i zadržalo takve djelatnike;
- ✓ Neodgovarajući i nedovoljno pripremljeni nizovi projekata glavna su prepreka korištenju pomoći. Stoga je od vitalne važnosti pripremiti dostatan broj dobro oblikovanih i zrelih projekata (posebice izrada projekata i natječajne dokumentacije) kako bi se osiguralo korištenje pomoći EU pravovremeno i na tehnički prihvatljiv način. To je pitanje izravno vezano za potrebu jačanja sposobnosti na svim razinama, ali posebice kod krajnjih korisnika kako bi pripremali kvalitetnu projektnu/natječajnu dokumentaciju u roku;
- ✓ Nužno je poboljšati upravljanje vremenom i osiguranje kvalitete u svim institucijama te poboljšati sposobnost provedbe (izrada natječaja i ugovaranje);
- ✓ Važnost koordinacije između dionika. To zahtijeva opsežne i jasne informacijske tokove s fokusom na zajedničko shvaćanje zadataka, vremenskog okvira i ovisnosti;
- ✓ Nužnost pristupa informacijama i njihove pravovremene distribucije (svim zainteresiranim stranama) i veći naglasak na promidžbene mjere (glede EU pomoći ali i sektorske koordinacije općenito).

1.3. KONZULTACIJE S PARTNERIMA

Operativni program izradila je **Međuresorska radna skupina (MRS)** koju čine predstavnici relevantnih državnih institucija. Članovi su navedeni u Dodatku 1. Cilj partnerskih konzultacija koje je vodilo Ministarstvo mora, prometa, turizma i razvitka bilo je informirati zainteresirane strane o važnosti IPA-e kao novog prepristupnog instrumenta kojim se RH priprema za buduće strukturne fondove i dobiti konstruktivan input o OP-u u skladu s mogućnostima i ograničenjima definiranim u strateškim dokumentima EK (VIPD) i IPA provedbene uredbe. Informirajući partnere o svrsi, ciljevima, mogućnostima i granicama OPP-a, konzultacije su bile strukturirane na način da budu konstruktivne i da se izbjegne stvaranje nerealnih očekivanja o razmjerima i području primjene OPP-a. Sudeći prema dosadašnjem iskustvu konzultacije su uspješno iskorištene kao prilika za bolje informiranje o IPA-i i OPP-u, za postizanje konsenzusa oko njegovih ciljeva i sadržaja te za poduzimanje prvih koraka za okupljanje Nadzornih odbora i stvaranje budućih korisnika i IPA-e i Kohezijskog i strukturnih fondova. U tom smislu konzultacije su predstavljale „javno pokretanje“ OPP-a.

Tijekom izrade OP-a MRS je konzultirala veći broj institucija i interesnih skupina zaduženih za kreiranje i provedbu politike kako bi ocijenila relevantnost aktivnosti predloženih u sklopu OP-a. Pri sastavljanju liste partnera, članovi MRS-a oslanjali su se na postojeću praksu u svojim resornim ministarstvima. Stoga su uključeni predstavnici relevantnih zainteresiranih strana na nacionalnoj razini – kombinacija općih gospodarskih i socijalnih partnera, specifičnih sektorskih institucija, ekoloških nevladinih udruga i novinara. Osobe koje predstavljaju partnerske institucije u procesu

konzultacija odabrali su partneri nakon poziva od strane resornog ministarstva da se pridruži programiranju. Održane su dva kruga konzultacija, prvi krug za predstavnike iz prometnog sektora, i drugi krug za institucije za zaštitu okoliša i novinare. Važno je istaknuti da je na partnerske konzultacije bio pozvan veći broj nevladinih udruga, iako se pojavio samo jedan predstavnik.

Lista partnera koji su sudjelovali u dva kruga konzultacija uključuje:

- Središnji državni ured za razvojnu strategiju i koordinaciju fondova EU
- HŽ Infrastruktura d.o.o
- Institut za promet i komunikacije
- Sveučilište u Zagrebu, Fakultet građevinarstva
- Sveučilište u Zagrebu, Fakultet za promet i prometne znanosti
- Sindikat željezničara Hrvatske
- Sindikat inženjera cestogradnje Hrvatske
- Sindikat infrastrukture Hrvatskih željeznica
- Sindikat tehničke inspekcije pružnih vozila
- Sindikat hrvatskih željezničara
- Sindikat prometnika vlakova Hrvatske
- Agencije za plovne putove unutarnjih voda
- Zelena akcija (NVO za zaštitu prirode)
- Novinari tiskovnih medija i radija

Važno je istaknuti da su neke od gore pobrojanih ustanova redovni partneri Ministarstva mora, prometa, turizma i razvitka. Praksa *partnerstva* provedena u svrhu IPA-e *temelji se na postojećoj nacionalnoj praksi* u kreiranju i provedbi politike. Ta praksa nacionalnog partnerstva u određenoj mjeri razrađena je u odjeljku o politici ovog OP-a. Na sudjelovanju u konzultacijama bio je pozvan i veći broj novinara kako bi se umnožili učinci procesa konzultacija putem predstavljanja javnosti ideje na kojoj se OPP temelji i njegovih glavnih ciljeva.

Konzultacije s partnerima o OP-u za promet provedene su **6. ožujka 2007.** i **13. lipnja 2007.**⁴⁶ u MMTPR-u. Na prvom sastanku odaziv pozvanih partnera bio je vrlo visok a iskazali su zadovoljstvo organiziranjem konzultacija u ranoj fazi procesa programiranja. Na drugom sastanku za ekološki sektor i javne medije, nevladine udruge za zaštitu okoliša nisu se u potpunosti angažirale u procesu konzultacija; iako je na konzultacije bio pozvan veći broj nevladinih udruga, na sastanku se pojavila samo jedna udruga. Oba sastanka su bila organizirana i vođena od strane MMTPR-a kao voditelja operativnog tijela nadležnog za ovaj OP. Nakon uvoda o novom instrumentu pretpriprustupne pomoći – IPA-i i njezinom programiranju i institucionalnom okviru, partnerima i novinarima su predočene ključne informacije o OP-u „Promet“, njegovim individualnim prioritetima i mjerama. Tijekom vremena za raspravu i pitanja koje je uslijedilo prisutni su dobili dodatne detalje i pojašnjenja pitanja koja su ih posebice zanimala. Većina sudionika zanimala se kako sudjelovati u provedbi predloženih projekata tj. u izradi projekata i/ili ugovor o ustupanju radova. Kao nastavak sastanka i u svrhu daljnjih komentara partnerima je dostavljen sažetak OP-a (uključujući prioritete i mjere) i power point prezentacija. Osim toga, sudionicima sastanka ostavljeno je dovoljno vremena za dostavu komentara o svim odredbama OP-a „Promet“.

Komentare je dala nevladina udruga *Zelena akcija* koja je izrazila zadovoljstvo činjenicom da će ulaganja biti usmjerena u željeznički i sektor unutarnje plovidbe, izražavajući žaljenje da je cestogradnja i dalje jedan od prioriteta ciljeva Vlade RH. Izrazili su i zabrinutost da je OP usmjeren na koridor Save i ukazali su na potencijalne štetne učinke radova koji će se provoditi na korito rijeke Save i okolna zaštićena područja. *Zelena akcija* insistirala je na korištenju najboljih dostupnih praksi i tehnologija te na punoj primjeni svih relevantnih hrvatskih i međunarodnih propisa tijekom građevinskih radova. Jednako tako, dali su podršku širenju kapaciteta luke Vukovar ukazujući da se radovi moraju provoditi u skladu s postojećim nacionalnim i međunarodnim propisima kako bi se

⁴⁶ Postupak javnih konzultacija morat će biti ponovno proveden ako Operativni program za promet postane predmetom službene(ih) izmjene(a).

minimalizirali potencijalni štetni učinci na okoliš i prirodu. Glede aktivnosti na rekonstrukciji željeznice na dionici Zagreb-Okučani, nevladina udruga izrazila je svoju načelnu podršku programu obnove tražeći da sve mjere zaštite prirode bude primijenjene na odgovarajući način.

O stajalištima *Zelene akcije* vodit će se računa na razini svakog pojedinačnog projekta primjenom postupka procjene učinka na okoliš u fazi izrade projekta i uz puno poštivanje pravnih zahtjeva koji se odnose na okoliš i zaštitu prirode prije i za vrijeme građevinskih radova. Nevladini sektor bit će kontinuirano informiran o mjerama koje se poduzimaju tijekom provedbe projekta s ciljem izbjegavanja nepotrebnih štetnih učinaka na okoliš i prirodu tijekom provedbe OP-a.

1.4. EX-ANTE EVALUACIJA

Ex-ante evaluacija drugog nacrtu OPP-a⁴⁷ provedena je kako bi se optimizirala raspodjela resursa i poboljšala kvaliteta programiranja angažiranjem vanjskih stručnjaka na reviziji nacrtu OP-a i procjeni:

- njegove relevantnosti – odnos strategije prema utvrđenim potrebama,
- njegove učinkovitosti – vjerojatnost ostvarivanja ciljeva programa,
- njegove korisnosti – prosuđujući vjerojatni učinak na šire socijalne, ekološke i gospodarske potrebe,
- njegove unutarnje i vanjske koherentnosti – uključujući strukturu strategije i njezine financijske alokacije te povezanost strategije s drugim regionalnim, nacionalnim i politikama Zajednice, te
- kvalitete sustava provedbe uključujući pokazatelje nadzora.

Ex-ante evaluaciju je provodio istraživački tim iz European Policies Research Centre (EPRC) sa Sveučilišta Strathclyde u Glasgou. Unutar EPRC-a ex-ante evaluacijom i evaluacijom upravljala i je provodila dr. Sara Davis (viši istraživač).

Evaluatori su za metodološke smjernice koristili sljedeće izvore:

- „Novo programsko razdoblje 2007.-2013.: Indikativne smjernice o metodama evaluacije: Ex-ante evaluacija, Radni dokument br.1“⁴⁸
- „Novo programsko razdoblje 2000.-2006.: Metodološki radni dokumenti, radni dokument br. 2: Ex-ante evaluacija intervencija u Strukturnim fondovima.“⁴⁹
- „Novo programsko razdoblje 2007.-2013.: Indikativne smjernice o metodama evaluacije: Pokazatelji nadzora i evaluacije, radni dokument br. 2“⁵⁰
- „Novo programsko razdoblje 2000.-2006.: Metodološki radni dokument, radni dokument 3: Pokazatelji nadzora i evaluacije: Indikativna metodologija“⁵¹

Svrha ex-ante evaluacije je dobivanje vanjske perspektive tijekom izrade novih programa s ciljem poboljšavanja i jačanja konačne kvalitete programa te optimizacije dodjele resursa. Ex-ante evaluacija imala je peterostruke zadatke: pokrenuti rasprave; dati preliminarnu ocjenu elemenata programa; ocijeniti gledišta partnera; razviti evaluaciju.

Unutar tog okvira u ex-ante evaluaciji ocijenjena su također sljedeća pitanja: „stečena iskustva“ iz prethodne i aktualne pomoći EU; kvaliteta procesa elaboriranja programa; usklađenost programa s

⁴⁷ Postupak ex-ante evaluacije morat će biti ponovno proveden ukoliko Operativni program „Promet“ postane predmetom službene(ih) izmjene(a).

⁴⁸ http://ec.europa.eu/regional_policy/sources/docoffic/2007/working/wd1_exante_en.pdf

⁴⁹ http://ec.europa.eu/regional_policy/sources/docoffic/working/doc/exante_en.pdf

⁵⁰ http://ec.europa.eu/regional_policy/sources/docoffic/2007/working/wd2_indic_en.pdf

⁵¹ http://ec.europa.eu/regional_policy/sources/docoffic/working/doc/indic_en.pdf

pravnom stečevinom EU u ključnim područjima; načini integriranja ekoloških zahtjeva; mogući značajniji učinci na okoliš i poštivanje načela ili politika Zajednice.

Također je provedena ocjena obilježja i učinkovitosti ekološke integracije OPP-a (vidi poglavlje 9. Izvješća o ex-ante evaluaciji), u skladu s načelima procjene strateškog učinka, posebice zahtjeva za informacijama prema Prilogu I Direktive 2001/42/EZ o procjeni učinaka određenih planova i programa na okoliš. Procjena je provedena u skladu s načelima integracije koji su mjereni u smislu percepcije okoliša, usklađenosti s politikom i propisima o zaštiti okoliša, uključivanjem i primjenom ekoloških podataka te učinka na okoliš programa.

Rezultati procjene navedeni u Izvješću o ex-ante evaluaciji bili su sljedeći:

OP „Promet“ pokazuje primjerenu svijest o ekološkim čimbenicima, zakonodavstvu i strategijama, učinci prometnog sektora i pod-sektora jasno su i svrsishodno utvrđeni. Intervencije programa obrazložene su na temelju statističkih podataka, i predstavljaju kontinuitet prethodnih razvoja u politici. OP „Promet“ na primjeren način integrira okoliš, ali i dalje ima prostora za povećanje značaja ekoloških čimbenika, moguće kroz poboljšanu interakciju s Operativnim programom „Zaštita okoliša“. Daljnje materijalne potrebe u projektima u sklopu prioriteta 2, i teme kao što su razvoj novih lučkih objekata traže provedbu PUO. Pokazatelji vezani za okoliš bili bi značajan korak za mjerenje i usmjeravanje učinaka koje program ima na okoliš.⁵²

U nastavku je sažetak ex-ante evaluacije Operativnog programa „Promet“:

OP „Promet“ pokriva sva relevantna pitanja, strukturiran je u skladu s obrascima Europske komisije i napisan je na jasnom, razumljivom engleskom. Analiza daje dobro obrazloženje za predloženu strategiju, iako su potrebne neke dodatne informacije. Sama strategija i alokacija resursa općenito je dobra i u skladu s ciljevima politike prometnog sektora u EU, na široj regionalnoj i nacionalnoj razini, iako su potrebna određena pojašnjenja vezano za predložene projekte i postupak odabira. Dane su informacije o uvjetima provedbe i nadzora (iako bi i za jedno i za drugu bili potrebni dodatni detalji), kao i financijske tablice i indikativan popis glavnih projekata. U OP-u je prisutna odgovarajuća svijest o ekološkim čimbenicima, zakonodavstvu i strategijama, i jasno su identificirani učinci na prometni sektor i pod-sektore.

Unatoč tome, postoji veći broj ključnih područja o kojima bi trebalo voditi računa prilikom finalizacije dokumenta. Moglo bi se još razraditi neke aspekte analize. Na primjer, trebalo bi razmotriti kako su povezani ključni procesi restrukturiranja i strategije javnih ulaganja u prometni sektor. Trebalo bi provjeriti SWOT analizu kako bi se vidjelo jesu li sve točke opravdane i odgovarajuće obrazložene u prethodnim analitičkim odjeljcima. Postavljaju se pitanja glede skiciranih projekata u OP-u, procesa odabira projekata te spremnosti projekata. U OP-u bi također trebala biti dana tablica s pregledom za cijelo razdoblje 2007.-2009. te pojasniti različite stope sufinanciranja. Potrebno je jasnije i detaljnije opisati poveznicu između OP-a i postojećih prometnih strategija. Za sve pokazatelje treba dati podatke o osnovama i ciljevima. Opis konzultacija s partnerima u programu je vrlo kratak i ograničen. Opis sustava provedbe pokriva najvažnije aspekte ali su preostala još brojna pitanja za riješiti. U OP-u bi se također trebao ojačati profil ekoloških čimbenika, npr. navođenjem ekoloških pokazatelja.⁵³

Evaluatori su dali detaljne uravnotežene i konstruktivne preporuke za poboljšanje OP-a koje su i uvažene.

- Tekst je reorganiziran i poboljšán u nekim dijelovima kako je preporučeno, što je pridonijelo da je konačni tekst koherentniji i čitljiviji;

⁵² Ex-ante evaluacija IPA Operativnih programa za Hrvatsku, Operativni program „Promet“, travanj 2007., str. 21.

⁵³ Ex-ante evaluacija IPA Operativnih programa za Hrvatsku, Operativni program „Promet“, travanj 2007.

- Analitički odjeljci su poboljšani kako bi se potkrijepila i odgovarajuće pojasnila SWOT analiza;
- Kriteriji odabira su preispitani i revidirani kako bi ih učinili koherentnijim i jasnijim i naglasak je stavljen na zrelost projekata;
- Pokazatelji nisu ocjenjivani u detalje u ovoj ex-ante evaluaciji zato što u trenutku evaluacije nisu bili dovoljno razvijeni. U međuvremenu pokazatelji su razvijeni, preispitani i neznatno izmijenjeni kako bi se postigla viša razina relevantnosti i kvalitete. Određene su dodatne vrijednosti za pokazatelji i izvore podataka;
- Preporučeni jasniji i precizniji opisi poveznica između ovog OP-a i postojeće prometne politike uneseni su u dokument;
- Proveden je proces javnih konzultacija, uglavnom u razdoblju nakon ex-ante evaluacije, i pružene su detaljnije informacije o tom procesu.

Izvešća o ex-ante evaluaciji dana su u Dodatku 6.

2. PROCJENJIVANJE SREDNJOROČNIH POTREBA, CILJEVA I STRATEŠKIH PRIORITETA

Budući da je Hrvatska smještena u središtu sjeverozapadnog/jugoistočnog prometnog i tranzitnog koridora, modernizacija njezinog prometnog sektora nije samo **preduvjet njezinog unutarnjeg razvoja**, nego i jedna od potencijalnih **komparativnih prednosti** Hrvatske. Činjenica da segmenti pet paneuropskih koridora pripadaju području RH čini njezin zemljopisni položaj ne samo komparativnom prednošću nego i stvara Hrvatskoj obvezu razvijanja mreže za Europu kao cjelinu.

2.1. SOCIOEKONOMSKA ANALIZA (UKLJUČUJUĆI SWOT)

2.1.1. Opća infrastruktura i prometna situacija

Zahvaljujući svom zemljopisnom položaju Hrvatska je vrlo značajna za uspostavu učinkovitih prometnih veza između Zapadne Europe i Balkana, i za uspostavu veza između Srednje Europe i Jadranskog mora i Sredozemlja.

I najvažnije, Hrvatsku presijecaju glavni paneuropski prometni koridori i njihovi ogranci (vidi sliku 2), poput:

- **Koridor X:** Pan TEN Koridor ide od Austrije kroz Grčku do Turske (Salzburg - Villach - Ljubljana - Zagreb – Beograd - Skopje – Solun). On je na osi JI koju je definirala Grupa visoke razine. Hrvatski željeznički i cestovni dijelovi tog glavnog koridora ukupne su dužine 317 km odnosno 306 km.
- **Ogranak Koridora Xa:** Graz - Maribor – Zagreb.
- **Ogranak Koridora Vb:** Rijeka - Zagreb – Budimpešta.
- **Ogranak Koridora Vc:** Ploče - Sarajevo - Osijek - Budimpešta
- **Koridor VII:** rijeka Dunav s pritocima / rijeka Sava

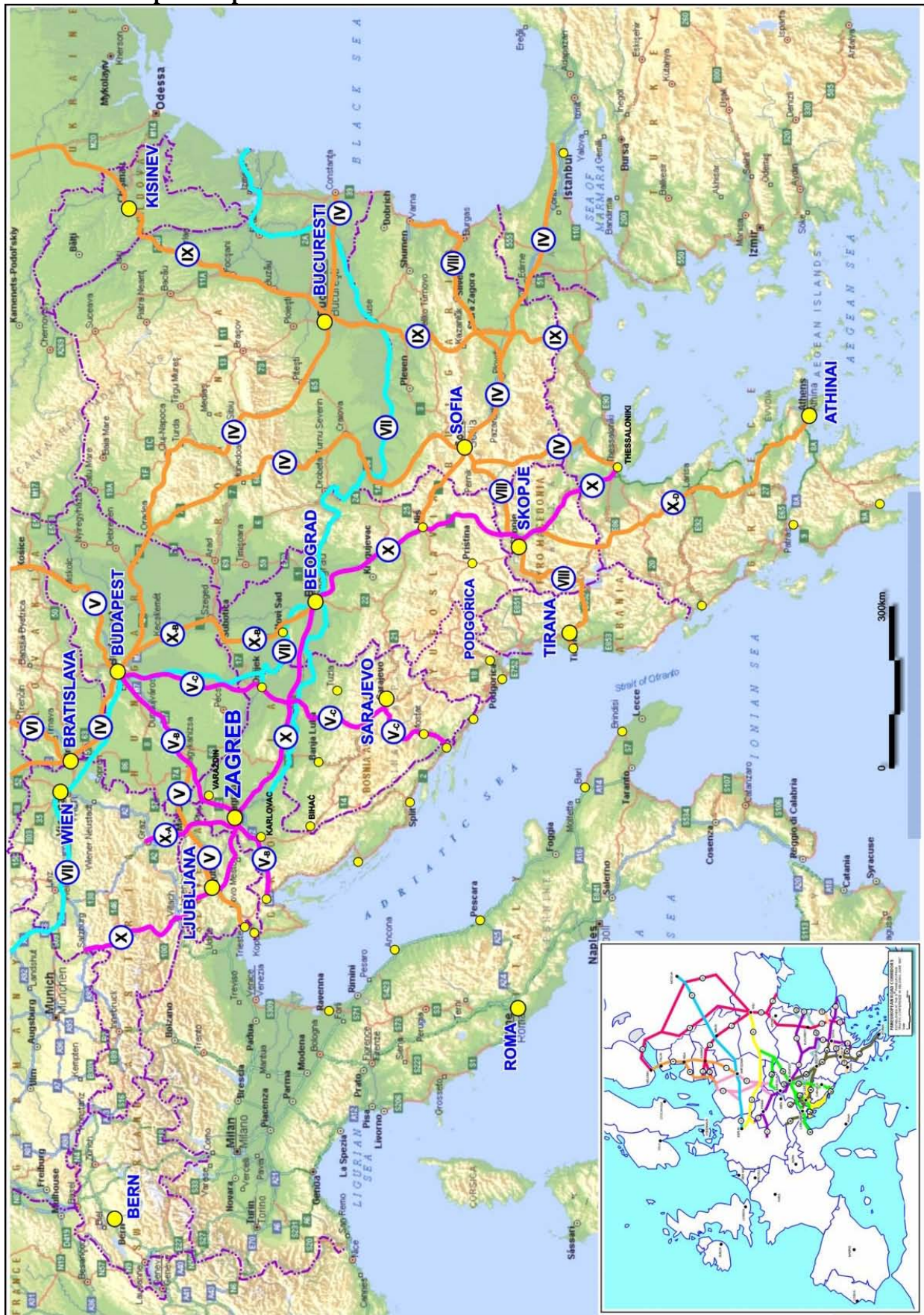
Hrvatski dijelovi sustava paneuropskog koridora, kako je gore opisano, sastavni su dio JIE Osnovne regionalne prometne mreže uključene u ranije spomenuti SEETO-ov VPD za razdoblje 2007.-2011.

Položaj Hrvatske unutar (i) sustava paneuropskog koridora općenito, i (ii) posebice unutar JIE Osnovne regionalne prometne mreže prikazan je na slikama 2 i 3 dolje.

Detaljna procjena infrastrukture i prometne situacije Hrvatske u nastavku fokusira se na pod-sektore željeznicu i unutarnju plovidbu u skladu s predloženim strateškim prioritetima OPP-a i s posebnim osvrtom na relevantnost za JIE Osnovnu mrežu.

Opisani su i opći uvjeti u drugim prometnim pod-sektorima (ceste, luke, intermodalni terminali) u mjeri potrebnoj za bolje razumijevanje strateških prioriteta iz OPP-a.

Slika 2 – Mreža paneuropskih koridora



Slika 3 - Osnovna mreža JIE



2.1.1.1. Željeznice

Hrvatska željeznička mreža ima ukupno 2 720 km pruga, od čega su 254,3 km dvokolosiječne pruge, a 2 465,7 km jednokolosiječne. 977,64 km pruge je elektrificirano.

Hrvatski udio u JIE Osnovnoj željezničkoj mreži je drugi najveći (26%) i iznosi 4 264 km. Željeznički Koridor X na JIE Osnovnoj mreži dugačak je 1 058 km i čini 50% ukupne dužine Koridora X. Hrvatski dio željezničkog Koridora X na JIE Osnovnoj mreži ide od Savskog Marofa preko Zagreba i Vinkovaca do Tovarnika na istočnoj granici i dugačak je 317 km.

U pogledu gustoće željezničke mreže, Hrvatska premašuje prosjek EU sa 62 km na 100 000 stanovnika, naspram 45 km na 100 000 stanovnika u proširenom EU-25. Tijekom rata najveća je šteta nanесena željezničkoj infrastrukturi, dodatno doprinoseći padu prometa nakon neovisnosti. Manjak javnih sredstava tijekom proteklog desetljeća doveo je do zaostataka u ulaganjima i održavanju.

Uvjeti u mreži ostavljaju dosta prostora za unaprjeđenja. Samo je 9% hrvatske željeznice pokriveno dvokolosiječnom prugom, i samo 36% ukupne mreže je elektrificirano. Zbog loših infrastrukturnih uvjeta značajno je smanjena učinkovitost željeznice što se odražava u niskim komercijalnim brzinama na odabranim dijelovima i ponavljanim otkazivanjima i kašnjenjima vlakova.

Dobra ilustracija lošeg stanja željezničke mreže su stalna **ograničenja brzine**. Kao što se može jasno vidjeti iz karte stanja željezničke mreže u nastavku, problem smanjene operativne brzine je prilično ozbiljan:

- Operativna brzina na željezničkom dijelu Koridora X u Hrvatskoj, trenutno između 60 km/h i 120 km/h, niža je od predviđenih standarda od 160 km/h temeljenih na AGC i AGCT sporazumima.
- Najniža je brzina na dionicama Vinkovci – Tovarnik, **Savski Marof-Zaprešić-Zagreb i Dugo Selo–Novska.**
- Duže vrijeme putovanja zbog ograničene brzine dodatno otežava dugo čekanje na granici.

Slika 4 – operativna brzina na Koridoru X



Iz tih razloga predloženi prioritetni projekti unaprjeđenja uključeni u OPP-ov indikativni popis projekata (odjeljak 3.5.) imaju za cilj obnovu pruge, fiksnih struktura, signalizacije i komunikacije kako bi se povećala brzina i smanjilo vrijeme putovanja, poboljšala kvaliteta usluga i ponovno uspostavila potražnja za tim vitalnim međunarodnim prometnim pravcem. Tu valja napomenuti da su sve spomenute problematične dionice uzete u obzir u programiranju unaprjeđenja mreže., Dok je rehabilitacija dionice Vinkovci – Tovarnik već započela u sklopu ISPA 2005., sve druge dionice su dio indikativnog popisa projekata predloženih nje u ovom OPP-u.

Uzmemo li na primjer opet stvarnu brzinu kao pokazatelj kvalitete mreže i uvjeta pruge, na neprekidnih 392 km Koridora X, od *Vinkovaca u Hrvatskoj kroz Beograd do Niša u Srbiji*, prema VPD-u 2007.-2011. stvarna brzina ne prelazi 50% predviđene brzine.

Bilo je umjerenih unaprjeđenja u Hrvatskoj i Osnovnoj regiji nakon REBIS studije, što se vidi i u VPD-u 2007.-2011. Još uvijek se 26% JIE Osnovne željezničke mreže može klasificirati kao loše, i daljnjih 1% kao vrlo loše, dok se za samo 8% smatra da je u dobrom stanju. Prema istom izvoru, i sad se na 70% mreže mogu susresti ograničenja brzine.

U Hrvatskoj je nedavno obnovljena dionica Vinkovci – Vrpolje i njezina geometrijska svojstva omogućavaju vlakovima postizanje maksimalne brzine do 160 km/h. Radovi ipak nisu još dovršeni i još treba postaviti uređaje ETCS-a (Europski sustava upravljanja vlakovima) a tu je i potreba uvođenja daljinske kontrole prometa duž cijele dionice.

Prije rata glavni prihodi željeznice dolazili su od prometa na Koridoru X. **Volumen željezničkog prometa** drastično je opao tijekom 90.-tih na dijelovima Osnovne mreže, ali se sad postupno i kontinuirano oporavlja, što se vidi i iz najnovijih brojki o rastu prometa na Koridoru X. Kako je i potvrđeno u **VPD-u 2007.-2011.**, *«primjećuje se značajan prometni tijek u smislu broja vlakova po danu za veći dio (osnovne) mreže.»*

Glede željezničkog voznog parka, tradicionalni putnički vagoni mogu se smatrati dostatnim u smislu broja i standarda za trenutne aktivnosti. Teretnu flotu čine većinom konvencionalni pokriveni ili otvoreni vagoni, neki od njih prikladni za kombinirane prometne aktivnosti. Veći broj lokomotiva treba zamijeniti, procijenjeno je da će oko 70% doći kraj radnog vijeka u sljedećem desetljeću. Planira se instaliranje sustava ETCS-a na željezničkoj mreži, ali to ovisi o lokomotivama koje se kreću po koridoru koji je također opremljen s takvim sustavom.

HŽ je poduzeo prve korake kao bi modernizirao vozni park.

Glede usluge prijevoza tereta, napravljeno je 50 novih vagona za Ro-La (Rollende Landstrasse – Rolling Road) prijevoz kako bi se potaknulo korištenja Ro-La terminala Spačva, za koji je planirana gradnja odgovarajućeg Ro-La terminala na području Zagreba.

Željeznička društva započela su modernizaciju svoje flote putničkih vagona. Kako bi učinili putničke usluge atraktivnijim, željeznice su nabavile inicijalnu seriju **modernih nagibnih vlakova**, da bi putnicima omogućili udobnije i brže putovanje. Prema međunarodnim iskustvima, nagibni vlakovi mogu ići za 25% do 40% brže u krivinama nego konvencionalni vlakovi, bez utjecaja na udobnost putnika, i stoga mogu značajno povećati prosječnu brzinu i skratiti vrijeme putovanja.

Modernizacija željezničkog voznog parka, paralelno s planiranim poboljšanjima pruge, bit će od vitalnog značaja za jačanje konkurentnosti željezničkog prometa u odnosu na druge oblike prijevoza.

2.1.1.2. Unutarnja plovidba

Ukupna dužina unutarnjih plovnih putova unutar granica Hrvatske je 804,1 km, od čega je:

- Dunav dužine 137,5 km;
- Sava dužine 447,7 km;
- Drava dužine 198,06 km;
- Kupa dužine 5,9 km;
- Una dužine 11 km.

Riječne luke smještene na unutarnjim plovnim putovima su: Osijek, Sisak, Slavonski Brod i Vukovar.

Slika 5 – Mreža unutarnjih plovnih putova u Hrvatskoj



Najznačajniji unutarnji plovni putovi u Hrvatskoj su plovni put Dunava i unutarnji plovni put rijeke Save, ali oni su kao prometni resursi relativno neiskorišteni. Riječne luke su pretrpjele značajne štete tijekom rata, njihova infrastruktura je u lošem stanju i ne omogućava pružanje kvalitetnih usluga. Jednom kad se plovidbeni uvjeti vrate na predratnu razinu i nadograde, postoji potencijal korištenja unutarnjih plovnih putova u kombinaciji sa željezničkim prijevozom kao alternativa trenutno dominantnoj cestovnoj mreži, te u kombiniranim prometnim aktivnostima.

U 1990. je plovidba na rijeci Savi bila dobro razvijena. Komercijalni plovni putovi bili su dugi 586 km i protezali su se od Siska (Hrvatska), 50 km od glavnog grada Zagreba, do Beograda (Srbija). Od ušća Save u Dunav do Brčkog rijeka je bila klase IV (odgovara gazu od 2,5m), dok je od tamo do Siska bila klase III. Povijesno gledano, mogućnosti plovidbe bile su ograničene cijelim putem do Zagreba. Povrh toga, plovidba na drugim dijelovima rijeke, koji su inače izvedivi, ovisi i o sezonskim uvjetima.

Danas, ukupno svega 287 km rijeka Dunava, Save i Drave ispunjava zahtjeve za međunarodnu kategoriju plovnog puta. Ukupna gustoća mreže je značajna u usporedbi s državama EU, ali nema

unutarnje povezanosti između rijeke Dunava i Save, dok je promet na Savi (kao i lučka aktivnost) trenutno ograničen niskom razinom sigurnosti plovidbe na nizvodnom dijelu riječnog sliva zbog ratnih ruševina i visoke sedimentacija na pojedinim mjestima.

Unatoč tome pokrenut je veći broj aktivnosti na obnovi: Komisija za rijeku Savu provela je studiju pred-izvedivosti o potrebama obnove rijeke. Studija je dovršena u ožujku 2007. Srbija je također na zadnjem ministarskom sastanku SEETO-a (u prosincu) najavila plan podnošenja prijave za IPA-u za uklanjanje prepreka u riječnom koritu Save i Dunava.

2.1.1.3. Ceste

Ukupna dužina cestovne mreže iznosi 29 016 km i klasificira ju se kako slijedi:

- autoceste i polu-autoceste: 1 065 km
- državne ceste: 6 812 km
- županijske ceste: 10 604 km
- lokalne ceste: 10 535 km

Ukupna gustoća cestovne mreže (vidi sliku 6) je 51,32 km/100 km², a za same autoceste iznosi 1,88 km/100 km².⁵⁴

Stanje cestovne mreže u korelaciji je s različitim intenzitetom prometa. Prema aktualnim podacima za 2005. prosječni godišnji dnevni promet (PGDP) iznosio je 3,353 vozila po danu.

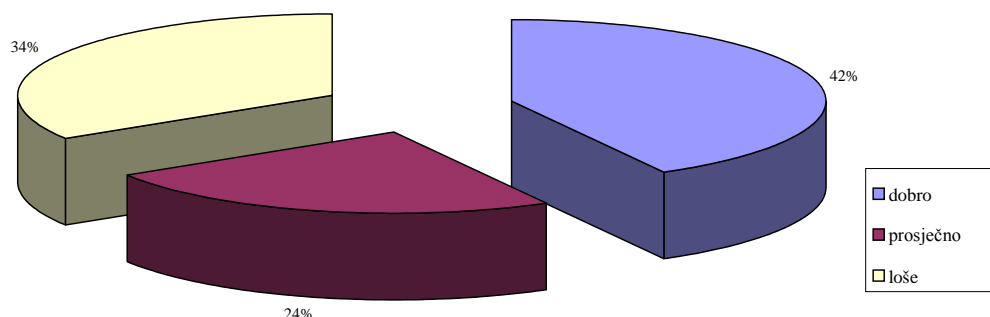
godina	PGDP	trend
2001	3320,67	
2002	3381,23	1,8%
2003	3599,9	6,5%
2004	3483,96	- 3,2%
2005 ⁵⁵	3353,72	- 3,7%

Prema dostupnim podacima o stanju površine cesta glede hrapavosti i oštećenosti, nacionalne ceste se mogu podijeliti na tri kategorije – dobro, zadovoljavajuće i loše stanje. Prikupljeni podaci o stanju površine cesta čuvaju se u bazi podataka o cestama u Hrvatskim cestama d.o.o.

⁵⁴ Trenutno je u fazi planiranja program unaprjeđenja II, s ciljem obnove 52 dionice ili 680 km državnih cesti. Autoceste i polu-autoceste su relativno nove. Prva autocesta otvorena je za promet u prosincu 1972. Cestarina se naplaćuje na svim autocestama smještenim u Republici Hrvatskoj. Hrvatska ima 32 godine iskustva u naplati cestarina. 849,15 km autocesti je trenutno u upotrebi u Hrvatskoj.

⁵⁵ Nisu dostupni podaci za 2006.

Stanje kolnika na državnoj cestovnoj mreži u 2006



Hrvatska danas ima 24 km autocesta na 100 000 stanovnika, što premašuje razinu gustoće unutar EU-15 (14 km autoceste na 100 000 stanovnika). Fokus radova na unaprjeđenju cesta pomiče se sad s autocesta na državne ceste, od kojih samo 35% ima asfaltnu površinu dobre kvalitete.

Hrvatska danas uživa veliku gustoću autocesta, djelomično zbog ulaganja iznesenih u odjeljku 1, istovremeno snažno raste i vlasništvo vozila, i stoga ubrzano raste i broj motornih vozila u Hrvatskoj. U 2006. je registrirano 1,45 milijuna putničkih vozila što je porast od 4,6% u odnosu na prethodnu godinu. Jednako je značajan i porast broja kamiona. 160.549 kamiona je registrirano u 2006., što je porast od 4,4% u odnosu na 2005. Valja istaknuti da od 1997. u Hrvatsku nije dopušteno uvoziti motorna vozila koja nisu homologizirana u skladu s pravilima i standardima UN-ECE-a.

Sve skupa, broj vozila (osobnih vozila, autobusa i kamiona) porastao je za 16% od 2002. što se vidi i iz tablice u nastavku.

	2002.	2003.	2004.	2005.	2006.
Broj vozila (automobili, autobusi i kamioni)	1,377,999	1,436,544	1,487,042	1,542,213	1,599,842

Izvor: Hrvatske ceste

To se odražava u rastućim razinama prometa unutar Osnovne mreže koje su neizbježno najviše tijekom ljetne sezone godišnjih odmora:

Prosječni promet ⁵⁶	dionica Koridora Vb	dionica Koridora X	Pravac 1 ⁵⁷
PGDP	9 900	15 700	8 000
• PLJDP	16 900	17 100	20 500

⁵⁶ PGDP = prosječni godišnji dnevni promet; PLJDP = prosječni ljetni dnevni promet

⁵⁷ Pravac 1 je dio Osnovne mreže i jedan od najvažnijih pravaca u Hrvatskoj

Slika 6 – Cestovna mreža Hrvatske



2.1.1.4. Pomorske luke

Hrvatska obala ima dužinu od 1 400 km. Dvije glavne teretne luke su Rijeka i Ploče; glavne putničke luke su Zadar, Split i Dubrovnik. Samo Rijeka i Ploče imaju značajni kontejnerski promet.

Teretni promet u hrvatskim pomorskim lukama značajno je porastao tijekom zadnjih pet godina u lukama Rijeka, Zadar, Šibenik, Split, Ploče i Dubrovnik. Ukupni volumen je kako slijedi:

GODINA	2001.	2002.	2003.	2004.	2005.	2006.
TERET u milijunima tona	11 833	11 929	14 560	17 077	18 801	19 113

Izvori: 2001.-2003.

Podaci od lučkih kapetanija;

2004.-2005.

Državni zavod za

statistiku (DZS)

Multimodalne aktivnosti su još u začetku. U prvoj polovici 2005. u lukama Rijeka i Ploče pretovareno je ukupno 51000 kontejnera zapremine 1 TEU, što ukazuje na trend rasta u usporedbi s 2004. i 71194 TEU za cijelu 2004. godinu.

Lučka infrastruktura i oprema još uvijek su znatno lošiji od konkurentskih luka u regiji, unatoč značajnim investicijama u zadnjih pet godina.⁵⁸

2.1.1.5. Zračni promet

Republika Hrvatska ima sedam međunarodnih zračnih luka (Zagreb, Dubrovnik, Split, Zadar, Pula, Rijeka i Osijek) i 2 zračna pristaništa (Brač i Mali Lošinj) na kojima se odvija javni zračni promet (linijski i povremeni) kako u domaćem tako i u međunarodnom prometu. Sedam najvećih aerodroma su 4E ICAO kategorije, opremljeni uređajima i opremom koji odgovaraju međunarodnim standardima sigurnosti i zaštite. Kako bi ispunili svoju društvenu zadaću svaki aerodrom mora težiti povećanju razine sigurnosti, podizanju kvalitete usluga, što učinkovitijem poslovanju, te istodobno osigurati potrebni kapacitet sukladno prometnoj potražnji.

Tablica 1 – Zračni promet u Hrvatskoj

Godina	2001	2002	2003	2004	2005	2006
Prijevoz zrakoplovom (kretanja zrakoplova)	45.417	48.265	50.443	54.203	64.601	89.337
Putnički promet, (u 000)	2 348	2 535	2 922	3 297	3 916	4 425
Teretni promet, u tonama	8 997	8 221	8 765	9 936	18 109	11 888

U 2005. godini je u svim zračnim lukama bilo gotovo pola milijuna putnika s tim da je 90% tog prometa ostvareno u tri najveće zračne luke (Zagrebu, Splitu i Dubrovniku).

Prema strategiji razvoja zračnog prometa u Republici Hrvatskoj, koju je izradio Institut prometa i veza 2002. predviđa se da bi zračni promet do 2010. rastao po prosječnoj godišnjoj stopi od 8,8%.

2.1.1.6. Prometni terminali

Multimodalni terminali kojima upravljaju Hrvatske željeznice (HŽ) su: Vrapče (Zagreb), Brajdica (Rijeka) i Spačva (blizu Vinkovaca).

Tri kontejnerska terminala imaju sljedeća obilježja:

Usluga multimodalnog prometa u Hrvatskoj je tek u začetku.

- Vrapče (Zagreb) opremljeno je za prekrcaj kontejnera, izmjenu teretnih kola i za cestovne polu-prikolice do 40 tona težine.
- Brajdica (Rijeka) opremljena je za prekrcaj i skladištenje kontejnera, RO-RO (Roll on-Roll off) prikolica i drugih vozila, kao i za rukovanje s teškim

⁵⁸ U sklopu projekta modernizacije **Riječke luke**, bit će modernizirana putnička luka i izgradit će se novi nautički centar te provesti pripremni radovi za razvoj zona Delte i luke Porto Baroša.

paletama i blokovima. Može prihvatiti 5 000 TEU jedinica odjednom i oko 100 000 TEU jedinica godišnje.

- Novi terminal Spačva smješten je u zoni željezničke stanice **Spačva** blizu autoceste Zagreb - Lipovac (Paneuropski koridor X). Terminal je prvenstveno namijenjen RO-LA aktivnostima. Udaljen je 20 km od granice sa Srbijom u smjeru zapada (Koridor X) i 22 km od granice s Bosnom i Hercegovinom u smjeru sjevera (ogranak Koridora Vc).

Do 2008. izgradit će se drugi RO-LA terminal na području ranžirnog kolodvora **Zagreb**.

- Opći rast željezničkog prometa kontejnerima usko je vezan za promet i razvoj Riječke luke. Na unutarnjim plovnim putovima Hrvatske nema prometa kontejnerima.

2.1.2. Obilježja prometa i struktura prijevoza

Cestovnim promet je dominantan prometni pod-sektor u Hrvatskoj, i u smislu tržišnog udjela i u smislu ostvarenih ulaganja.

2.1.2.1. Teretni promet

U nastavku slika tijekom zadnjih 6 godina:

Hrvatski prijevoznici su u 2006. godini prevezli **ukupno 119,7 milijuna tona robe** (ili 27,47% više nego u 2001.) u željezničkom, cestovnom (javni i privatni prijevoz), pomorskom i obalnom prometu te prometu na unutarnjim plovnim putovima, u zračnom prijevozu i cjevovodima. U nastavku struktura po oblicima prijevoza:

Oblik prijevoza	Milijuni tona (2006.)	Promjena u odnosu na 2001.
Cestovni	63,0	54,4% porast
Pomorski i obalni	31,42	-85,8% pad
Zračni	6,0	-81,3% porast
Željeznički	15,39	32,9% porast
Unutarnji plovni putovi	1,69	50,5 % porast

Ukoliko detaljnije promotrimo teretnu djelatnost željeznice, pojavljuje se sljedeća slika:

260 vlakova se na dnevnoj osnovi koristilo za željeznički teretni prijevoz. Njihova komercijalna brzina bila je 26 km/h, a uobičajeno (prosječno) kašnjenje bilo je 66 minuta na 100 kilometara. Prosječna težina teretnih vlakova bila je 749 tona, a koeficijent praznog vagona bio je 0,79.

Trendovi u željezničkom prijevozu tereta: Brojke za zadnje dvije godine potvrđuju općeniti trend u željeznici. Od 2000. učinkovitost željeznice, mjerena brojem prevezenih tona, porasla je za preko 40%. Mjereno u tonama po prijeđenim kilometrima, porast učinkovitosti je i veći, s 1,928 milijuna na 3,106 milijuna ili porast od 29%. Opći pozitivni trend razvoja odražava pojačane napore na komercijalizaciji željeznice.

Porast prosječne udaljenosti po pošiljci ukazuje ponovno na smanjenje jediničnih troškova po toni za željezničku djelatnost.

Što je najvažnije, zabilježeni porast prometa željeznice doveo je do stalnog porasta prihoda HŽ Infrastrukture, i kao posljedica toga do smanjivanja potrebe za pružanjem potpore HŽ Infrastrukturi iz državnog proračuna.

2.1.2.2. Putnički promet

Tijekom zadnjeg desetljeća slika je bila kako slijedi: U 2006. hrvatski prijevoznici prevezli su na različitim **međugradskim prometnim pravcima** ukupno 123,94 milijuna putnika. U nastavku raspodjela po oblicima prijevoza:

Oblik prijevoza	Milijuni putnika (2006)	Promjena u odnosu na 2001.
Cestovni	63,6	- 5,6% pad
Željeznički	46,2 ⁵⁹	25,6% porast
Pomorski i obalni	12,1	34,3% porast
Zračni	2,07	65,6% porast

Izvor: Državni zavod za statistiku

Sredstva urbanog prijevoza prevezla su tijekom 2006:

Oblik prijevoza	Milijuni putnika (2006.)	Promjena u odnosu na 2001.
Autobusi	186,8	-15,6% pad
Tramvaji	179,5	1,3% porast

Izvor: Državni zavod za statistiku

46,2 milijuna putnika prevezenih **željeznicom** u 2006. odgovaraju 1,362 milijuna putničkih kilometara. Ovo predstavlja 97,3% razine iz 1990., što je zadnja predratna godina.

Osim toga, domaći putnici čine od oko 95,8% svih putnika u 2006. i 67,9% ukupnih putničkih kilometara. Preko 600 vlakova koristilo se svaki dan u domaćem putničkom prometu, kako slijedi:

- gradski i prigradski vlakovi u području Zagreba – 72 vlaka;
- lokalni vlakovi za udaljenosti od oko 100 kilometara koji se koriste u prijevozu radno aktivnih dnevnih i tjednih migranata između gradskih središta i okolnih područja – 515 vlakova;
- međugradski vlakovi koji povezuju gradove i županije – 48 vlaka;
- vlakovi za slobodno vrijeme, sportski vlakovi i vlakovi za posebna događanja koja organizira HŽ putnički prijevoz i turističke agencije.

Međunarodni putnici činili su preostalih 4,2% ukupnih putnika, ali 32,1% putničkih kilometara. Ukupno se 106 vlakova koristilo za međunarodni putnički promet, pri čemu su najvažnije sljedeće putničke usluge/linije:

- Od Zagreba do sljedećih odredišta (i natrag): Beč, Budimpešta, München, Venecija, Zürich, Ljubljana, Beograd.
- Rijeka - Budimpešta i Rijeka - Ljubljana.

Većina međunarodnih putnika željeznicom koristi željeznički Paneuropski koridor X.

Trend u putničkom željezničkom prijevozu: Brojke iz posljednje dvije godine potvrđuju opći trend. Uspješnost željeznice, u smislu broja prevezenih putnika porasla je za skoro 14% od 2000.-2005. Međutim, ako uspješnost željeznice mjerimo brojem prijeđenih kilometara od strane putnika, onda je njezin rast zapravo malen, s 1,252 milijuna na 1,265 milijuna ili 1,04% od 2000.-2005.

⁵⁹ Uključujući prigradski promet

Statistike pokazuju da rast prometa u željezničkom putničkom prometu potječe od kraćih udaljenosti u gradskom i prigradskom prometu, području koje se smatra značajnim potencijalom rasta za željeznicu.

U pogledu kvalitete usluge, komercijalna brzina putničkih vlakova bila je 48km/h, i vlakovi su kasnili obično 5 minuta na svakih prijeđenih 100 km.

Glede **teretnog prijevoza unutarjnim plovim putovima**, on bilježi stalni rast na rijeci Dunavu, dok na rijeci Savi stagnira na niskoj razini, uglavnom zbog vrlo loših sigurnosnih uvjeta za plovidbu u nižem dijelu rijeke. U 2006. u javnom prijevozu robe prevezeno je 1 697 000 tona, isključujući tranzitni promet na Dunavu.

Godišnje brojke za riječni promet temelje se na informacijama koje su dala nadležne lučke uprave i izražene su u broju prevezenih tona. Veća aktivnost hrvatskih luka vezana je za povećanje međunarodnog tereta. Između 2000. i 2005. riječni teretni promet porastao je sa 646 000 tona na 1 629 000 tona u sljedećim lukama: Osijek, Sisak, Slavonski Brod i Vukovar. Najveći porast zabilježen je u luci Vukovar, s vrlo visokim postotkom tranzitnog prometa – 80%.

Promatramo li situaciju na rijeci Savi, obujam teretnog prometa uništen je od predratnog razdoblja. Prije 1990. godišnje je prevoženo oko 7,5 milijuna tona⁶⁰. Do 2005., ne računajući šljunak i pijesak, obim prometa iznosio je više od 200 000 tona riječnog tereta.

Glede **pomorskog prometa**, broj putnika stalno raste od 2001. Ukupno je 9 milijuna putnika prevezeno u 2001., dok je u 2003. prevezeno 10,5 milijuna putnika. U razdoblju od siječnja do listopada 2004. prevezeno je 9,5 milijuna putnika i 22,58 milijuna tona tereta. U 2006. prevezeno je 12 milijuna putnika i 31 423 tona tereta.

U pogledu **zračnog prometa**, ukupno je 4,4 milijuna putnika prevezeno u 2006. u usporedbi s 3,94 milijuna putnika u 2005. Najveći dio putničkog prometa ostvaren je u zračnim lukama Zagreb, Split i Dubrovnik. U „*Razvoju zračnog prometa u Republici Hrvatskoj*“ Instituta za promet i komunikacije iz 2002. predviđen je rast zračnog prometa od 8,8% godišnje sve do 2010.

Analiza stanja hrvatskih zračnih luka pokazuje veliki zaostatak u odnosu na druge europske države, posebice glede putnika, zračnih luka i tehnika rukovanja teretom pri dolasku i odlasku. Zračne luke trenutno operiraju koristeći opremu u skladu s postojećim sigurnosnim standardima, ali kako bi bile konkurentne trebalo bi ih opremiti, modernizirati i dovesti do razine u skladu s trenutnim svjetskim standardima.

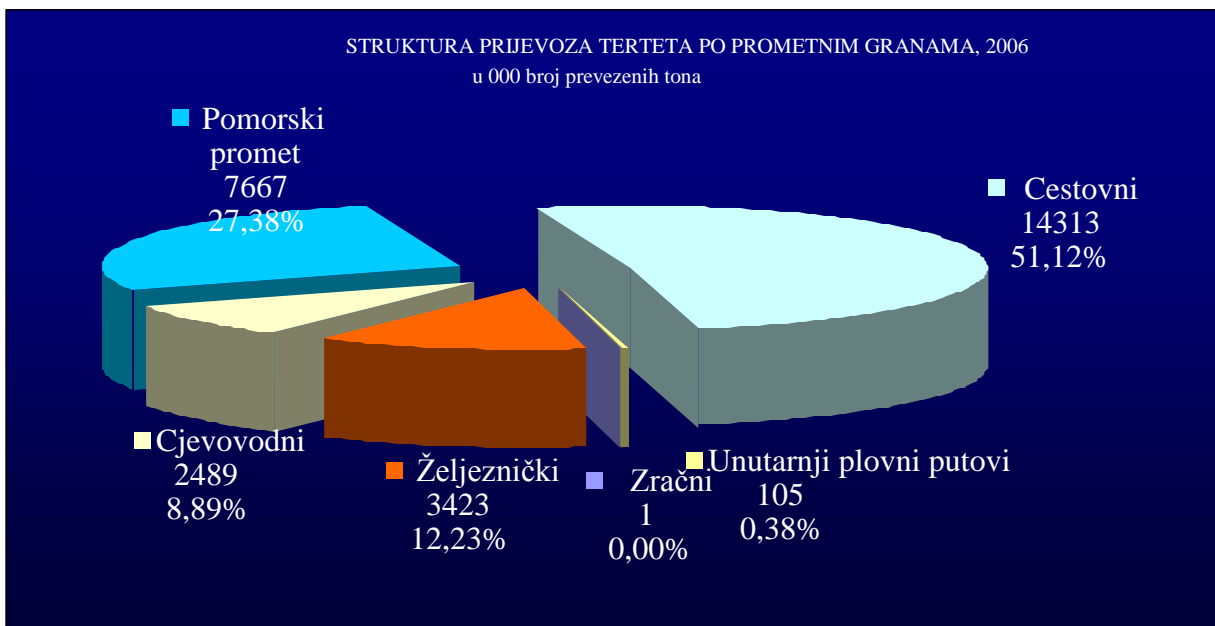
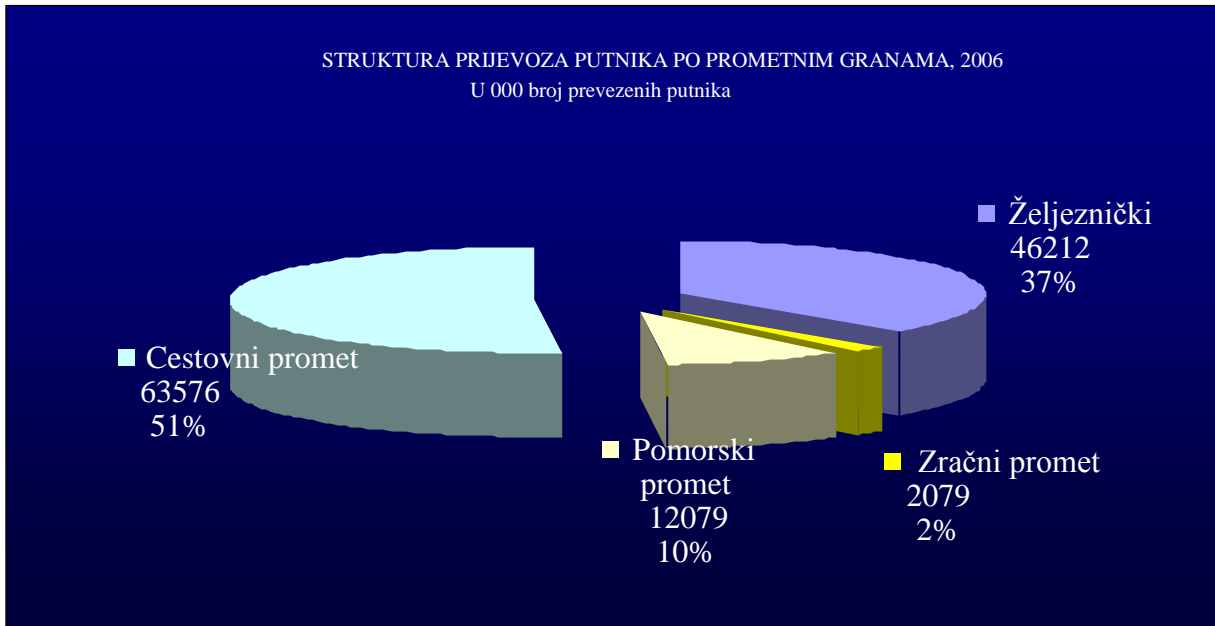
Status zračnih luka u Republici Hrvatskoj reguliran je Zakonom o zračnim lukama (Narodne novine br. 19/98). Danom stupanja na snagu Zakona o zračnim lukama, one su postale društva s ograničenom odgovornošću čiji su dioničari država, županija u kojoj su smještene i tijela lokalne vlasti.

2.1.2.3. Struktura po vrstama prijevoza

U nastavku dajemo strukturu po vrstama prijevoza za putnički i teretni promet za 2006., mjereno u broju prevezenih putnika i tona.⁶¹

⁶⁰ MMTPR; Državni zavod za statistiku (bivše) SFRJ

⁶¹ MMTPR, Državni zavod za statistiku Republike Hrvatske



Slika pokazuje dominaciju cestovnog prometa i u putničkom i u teretnom prijevozu, sa željezničkim prometom čiji je udio samo 37% u putničkom odnosno 12% u teretnom, i unutarnjom plovidbom kojoj pripada manje od 1% prijevoza svih roba.

U ovom kontekstu moramo podsjetiti da je hrvatska željeznička mreža pretrpjela veliku štetu tijekom rata. Njezin vojni park, lokomotive i vagoni, bio je teško oštećen ili jednostavno opljačkan pa iz tih razloga i zbog pada gospodarske aktivnosti tijekom i nakon rata,

Promatramo li strukturu udjela različitih vrsta prijevoza, nameće se osjećaj "krize" u željezničkom i sektoru unutarnje plovidbe.

željeznički promet još uvijek nije dostigao predratnu razinu. Drugi odlučujući čimbenik nesumnjivo je izvrsna arterijska cestovna mreža u Hrvatskoj danas, koja prolazi paralelno s željezničkim koridorima, što za Hrvatske željeznice predstavlja stalnu prijetnju preusmjerenja prometa sa željeznice na ceste.

Isto tako, promet na rijeci Savi gotovo je nestao, većinom zbog opstrukcije plovnih dijelova uzrokovane ratom.

Nadalje, primijetimo sljedeće:

- **Tržišni udio željeznice posebno je nizak u pogledu prijevoza robe** (12,2%), između ostalog i zbog slabe brzine komercijalnih vlakova, dok je tržišni udio unutarnjih plovnih putova trenutno gotovo neznatan.
- **Ogroman udio i u teretnom i u putničkom prometu pripada cestama.** Jaka konkurentska pozicija cestovne vrste prijevoza odražava se na neki način u činjenici da je godišnji porast teretnjaka (3,9% od 2004. do 2005.) manje-više u skladu s rastom BDP-a.
- Unatoč tome, kao što je razvidno iz poboljšanja učinkovitosti u prošlosti, **i u željezničkom i u riječnom prometu primjetni su pozitivni znakovi revitalizacije.**

2.1.2.4. Prekogranični promet

U 2006. u Hrvatsku je **cestom** ušlo 19,99 milijuna osobnih vozila, što je porast od 5,1% u odnosu na 2005. (19,03 milijuna vozila). Od tog broja dvije trećine vozila registrirano je u drugim državama.

Iste je godine ukupno 69,58 milijuna putnika ušlo u Hrvatsku (sve vrste prijevoza), što je porast od 4% u odnosu na 2005. Od te brojke, hrvatski državljani čine 22,9 milijuna (što je porast od 3,2% u odnosu na 2005.) a 47,49 milijuna su strani državljani (4,4% porasta).

Najzanimljivije je da je 66,1 milijuna ili **95,4%** putnika ušlo u zemlju putničkim vozilima, brojka koja dobro ilustrira efekt generiranja prometa izazvan novom mrežom autocesta.

Udio različitih oblika prijevoza u ukupnom prekograničnom prometu je slijedeći:

Vrsta prijevoza	Milijuni putnika (2006.)	Promjena u odnosu na 2005.
Cestovni	66,09	3,6% porast
Pomorski i obalni	1,07	8,7% porast (9,4% porast samo stranci)
Željeznički	0,66	9% pad
Zračni	1,75	16,2% porast

2.1.2.5. Gradski prijevoz

Suočeni s velikim rastom gradskog prometa u gradovima Republike Hrvatske, gradske uprave, a poglavito Grada Zagreba, poduzimale su i poduzimaju brojne planske, tehničke i pravne mjere kako bi smanjile neželjene učinke gradskog prometa na život gradskog stanovništva i time povećali njihovu mobilnost. Osvrnut ćemo se na Grad Zagreb, glavni grad Hrvatske, budući da on predvodi u provedbi mjera vezanih za čisti i sigurni gradski prijevoz.

Planirane mjere, u skladu s rastom putovanja, predviđaju izgradnju brze gradske željeznice. Objektivno se realizacija tih ciljeva može očekivati do 2015. Gradska uprava organizirala je pješačke zone i biciklističke staze gdje god je to moguće. Značajna sredstva usmjerena su na javni promet. Kupljeno je 75 novih tramvaja, i naručeno još 75 novih. Budući da je jasno da je javni promet najbolje rješenje za gradove, gradski autobusi prilagođeni su za korištenje biogoriva.

Gradski autobusi na biogorivo počeli su se koristiti u svibnju 2007. Trenutno je to samo 10 autobusa, ali se očekuje da će nakon probnog razdoblja svih 150 autobusa voziti na biogorivo. Situacija je

slična u drugim gradovima ali zbog manjeg broja stanovnika problema je manje. Unatoč tome, svi problemi vezani za utjecaj prometa na okoliš rješavaju se koordiniranim radom svih hrvatskih gradova.

Neke informacije o broju putnika u hrvatskim gradovima u 2006.:

Autobusi	186 768 000 putnika
Tramvaji	179 515 000 putnika

Broj putnika (u milijunima) u gradskom i prigradskom prijevozu Grada Zagreba.

Godina	2001.	2002.	2003.	2004.	2005.	2006.
Broj putnika	19 533	19 590	19 598	20 144	21 151	27 325

2.1.2.6. Perspektiva

Općenito

Prema trenutnim preliminarnim prometnim prognozama osnovnu prometnu mrežu područja Balkana u sklopu prethodnih procjena prometnog sektora⁶², predviđa se da će promet cestama porasti za 200-300%, i željeznicom za 60-140%. Te brojke odražavaju scenarij umjerenog rasta za prometni sektor.

Čini se logičnim pretpostaviti da će se u slučaju Hrvatske porast međunarodnog putničkog i teretnog prometa koncentrirati na Koridor X.

Za Hrvatsku, kao prirodno tranzitnu državu i središte Paneuropskog prometnog koridora X koji povezuje Austriju s Grčkom, od iznimne važnosti je da **postupno poveća interoperabilnost i postigne nesmetan prijelaz granice**, posebice za željeznicu na Koridoru X, kako bi se uspješno pozicionirala u konkurenciji koridora unutar regije i među regijama i bila u mogućnosti ostvariti značajan udio budućeg prometnog potencijala. Osim toga, povećanje tržišnog udjela u međunarodnom prometu robom i putnicima na Koridoru X preduvjet je financijske isplativosti ulaganja u pruge i poslovanje željeznice.

U razvoju mrežne interoperabilnosti u novom transeuropskom kontekstu, sustav kontrole vlakova ključna je poveznica između nacionalnih mreža i između infrastrukture i poslovanja željeznice. Stoga se u OPP-u, potpuno svjesni činjenice da je intenzivnije usklađivanje sustava bitan cilj kojeg treba ostvariti i u želji da se ubrza standardizacija, fokusira na projekte ulaganja u željeznicu koji se bave unaprjeđenjem sustava signalizacije i instalacijom Europskog sustava upravljanja vlakovima (ETCS)⁶³.

Prognoze za željeznički promet

Glede potencijala budućeg razvoja, razumnim se čine sljedeće pretpostavke:

- Međunarodni promet na većim udaljenostima i intermodalni promet bit će čimbenici u budućem rastu potražnje u Hrvatskoj.

⁶² Odnosi se uglavnom na REBIS studiju financiranu od EU-a, konačno izvješće iz srpnja 2003. U međugradskom prometu, zračni promet je postao konkurencijom za željeznicu. Glavne zračne luke su smještene u Zagrebu, Dubrovniku, Splitu, Zadru, Puli, Rijeci i Osijeku. Postoje još dva aerodroma u Malom Lošinj i Braču za uglavnom posebne usluge, kao i 17 aerodroma za spuštanje zrakoplova općeg tipa, 5 malih aerodroma, 3 heliodroma za ekskluzivnu upotrebu i 4 heliodroma za hitne slučajeve.

⁶³ ETCS treba jamčiti brzo, gusto i sigurno prekogranično kretanje brzih vlakova na europskoj razini.

- Iako se u dostupnim studijama željezničkog tržišta ne identificira značajan potencijal za rast lokalnog međugradskog putničkog prometa, nedavno iskustvo pokazuje da je prigradski promet tržište potencijalnog rasta za željeznicu. Već se danas oko 90% prometa svih dnevnih vlakova odnosi na gradski promet i odlaske na posao migranata.

Prema unutarnjim prognozama za željeznicu, planirani cilj za sljedeće razdoblje je oko 3,9% porasta u unutarnjem putničkom prometu i 4,9% porasta u međunarodnom putničkom prometu.

Za isto je razdoblje planiran prosječan godišnji porast od 4,3% za željeznički teretni promet (u tonama), od toga 8,1 za domaći promet i 3,1% za međunarodni.

Te se prognoze temelje na porastu prometne aktivnosti na arterijskim prometnim pravcima prema istoku, od Srednje Europe u smjeru Južne Europe preko Hrvatske uzduž Koridora X, i daljnji porast prometne aktivnosti od i prema Bosni i Hercegovini, i konačno na povećanju prometa u lukama, posebice u Rijeci.

Dakako, značajan preduvjet za porast udjela željeznice u prometnom tržištu je modernizacija i obnova voznog parka u skladu s trenutnim zahtjevima tržišta, kao i poticanje novih proizvoda, primjerice RO-LA.

Prognoza za unutarnju plovidbu

Trenutno nema konkretnih projekcija za promet riječnim slivom Save. Postoje, međutim, pokazatelji značajnog prometnog potencijala u budućim godinama. Potrebno je stoga provesti studije kako bi se dobili podaci o rastu riječnog prometa i potencijalnim prihodima.

SEETO VPD 2007-2011. ukazuje na potrebu poboljšanja plovidbe na rijeci Savi kako bi se osigurala povezanost Bosne i Hercegovine s Hrvatskom.

Pod uvjetom da se poboljšaju uvjeti plovidbe, očekuje se da bi lokalna i strana industrija generirala veći promet na širem području porječja, kao što su na primjer drvna industrija u Slavanskom brodu, kemijska industrija u Srbiji, crna metalurgija u Srednjoj Bosni, te turizam kao grana koja je snažno zainteresirana za razvoj rijeke Save.

2.1.3. SWOT analiza

Sljedeća analiza prednosti, slabosti, prilika i prijetnji (SWOT) sažima opisano u odjeljcima 2.1.1. i 2.1.2, ali je ograničena na pod-sektore željeznicu i unutarnju plovidbu, s obzirom na planiranu koncentraciju IPA sredstava u ovom Operativnom programu.

SWOT profil - željeznice

Sažetak:. Snaga hrvatske željeznice je u njezinom kapacitetu nosivosti, kao i u njezinoj energetske učinkovitosti u usporedbi s cestovnim prijevoznicima⁶⁴. Veličinu mreže može se promatrati i kao snagu i kao slabost, posljednje zbog problema nerentabilnih linijskih usluga. Zbog loših uvjeta na mreži i nedostatnog financiranja u prošlosti, učinkovitost poslovanja je ugrožena i mreža pati zbog stalnih ograničenja brzine (vidi raspravu u odjeljku 2.1.1.), otkazivanja vlakova i kašnjenja.

⁶⁴ Udio potrošnje energije je oko 4:1 u korist željeznice, pretpostavljajući istu brzinu putovanja (Izvor: Radni dokumenti Svjetske banke 634 "Railways and Energy".

Operativni problemi su karakteristični za Osnovnu regionalnu željezničku mrežu cijele JIE: Prema posljednjim informacijama⁶⁵, 65% Osnovne mreže suočeno je s obveznim ograničenjima brzine.

Željeznica je, ipak, sve više usmjerena na potrebe tržišta, multimodalni promet (uključujući Ro-La) smatra se budućom šansom na tržištu, a izlazak na tržište ovisit će o konkurentnosti željeznica. Porast broja vozila u vlasništvu predstavlja ozbiljan izazov za alternativne vrste prijevoza, što je općenito povezano s povećanim očekivanjima od usluga.

PREDNOSTI:

INFRASTRUKTURA

- Položaj zemljopisne mreže koji pogoduje razvoju međunarodnog prometa kao dijela paneuropskih prometnih koridora X, V i VII;
- Dobra povezanost s gradskim i prigradskim centrima;
- Dobra povezanost s komercijalnim pomorskim lukama;
- Hrvatska i države u susjedstvu imaju istu širinu kolosijeka;
- Dostupnost intermodalnog (RO-LA) teretnog terminala na granici (Spačva)
- Zajednički granični prijelazi s Mađarskom i Slovenijom.

POSLOVANJE

- Mogućnosti prijevoza velike količine rasutog tereta;
- Sigurni, energetske učinkoviti i ekološki prihvatljiv oblik prijevoza,
- Manja ovisnost o vremenskim uvjetima nego kod alternativnih oblika prijevoza;
- Dostupnost multimodalnih transportnih postrojenja (fokus na Ro-La);
- Ulaganja u moderne komponente voznog parka (nagibni vlakovi za putnički promet);
- Bilateralni sporazumi o prekograničnom prometu između Hrvatske i susjednih zemalja.

FINANCIJE

- Postupni rast prihodovne osnove, zahvaljujući rastu obujma prometa i u putničkom i u teretnom sektoru;
Kao posljedica navedenog, smanjivanje potreba za potporama iz državnog proračuna;
- Povećana komercijalna sloboda u pogledu politike cijena;
- Postojanje sustava koncesija (za izgradnju autocesta i njihovu djelatnost)

MENADŽMENT / UPRAVLJANJE

- Uznapredovali proces strukturne prilagodbe Hrvatskih željeznica, s ciljem stvaranja novog željezničkog holdinga;
- Povećano prihvaćanje modernih kriterija za usluge;
- Posebna shema promicanja multimodalnog prometa od strane MMTPR-a.

Pravna transpozicija željezničkog zakonodavstva EU

- Uspješno postupno usklađivanje sa zahtjevima prometnog *acquisa* EU
- Zakonom o željeznici iz 1994. (izmijenjenim i dopunjenim u 1998.) započela je prva faza restrukturiranja HŽ-a iz bivšeg poduzeća u državnom vlasništvu u javno društvo s ograničenom odgovornošću (novi Zakon o podjeli HŽ-a iz siječnja 2006. otvara mogućnost uspostave nove strukture holdinga u željeznici).

⁶⁵ SEETO VPD 2007.-2011.

- Zakonom o željeznici iz srpnja 2003. otvara se put razdvajanju upravljanja infrastrukturom i poslovanja vlakova i novi Zakon o podjeli HŽ-a iz siječnja 2006. omogućuje uspostavu nove strukture holdinga u željeznici.
- Izrađuje se novi Zakon o sigurnosti željeznice.

SLABOSTI:

INFRASTRUKTURA

- Ograničenja mreže (rigidnost) u pogledu područja pokrivenosti;
- Segmenti jednokolosiječne pruge na dionicama arterijskih pruga;
- Hrvatski električni vučni sustav (25 KW) razlikuje se od onog u susjednoj Sloveniji – tehnička prepreka interoperabilnosti.

POSLOVANJE

- Neodgovarajući željeznički vozni park, posebice u pogledu standarda potražnje i kvalitete;
- Zastarjeli sustav signalizacije i telekomunikacije;
- Nužna zamjena lokomotiva na svim granicama;
- Niska komercijalna brzina kao posljedica nedostatka ulaganja u modernizaciju sustava;
- Oronulo stanje i loše održavanje željezničkog voznog parka kao glavni razlog za česte kolapse i infrastrukture i vlakova koji uzrokuju nepravilnosti i kašnjenja što za posljedicu ima da se korisnici okreću drugim vrstama prijevoza;
- Novim propisima se izdvaja poslovanje, ali su komercijalni ciljevi i dalje slabi (koncepti);
- Privatni sektor nije uključen u obnovu ili održavanje;
- Organizacijske strukture i dalje su u velikoj mjeri utemeljene na konceptu tržišta (tržište prodavatelja);
- U ovom trenutku nema otvorenog pristupa željezničkom tržištu, zato što još uvijek nisu utvrđene potrebne pravne odredbe;
- Nedostatna pouzdanost (stizanje na vrijeme).

FINANCIJE

- Ograničena sposobnost samofinanciranja;
- Negativni poslovni rezultati (stvaranje gubitaka);
- Smanjivanje proračunskih resursa za lokalni putnički promet (lokalne linije), što za posljedicu ima moguće ukidanje linija;
- Posluju nerentabilne linije;
- Neodrživa shema nadoknade prometnih troškova za željezničko društvo-kćer AGIT d.o.o., angažirano za kombinirani prijevoz.

MENADŽMENT/UPRAVLJANJE

- Slabo ili gotovo nepostojeće rješavanje pomoćnih djelatnosti (17 ovisnih društava su u većinskom vlasništvu HŽ-a);
- Nema sudjelovanja privatnog sektora u pomoćnim djelatnostima;
- Trenutno Hrvatskoj nedostaju institucije koje su preduvjet za otvaranje tržišta; tijelo za licenciranje; regulatorno tijelo, sigurnosno tijelo, upravitelj infrastrukturom, tijelo za alokaciju kapaciteta, tijelo koje određuje cijene i obaviješteno tijelo, pri čemu su najžurniji neovisno regulatorno tijelo i neovisni upravitelj infrastrukture.
- Problemi s osobljem unutar upravljačke strukture – stalni manjak odgovarajuće osposobljenog osoblja;
- Nedovoljno razvijeni administrativni kapaciteti.

PRAVNA TRANSPOZICIJA ŽELJEZNIČKOG ZAKONODAVSTVA EU

- Doneseni su novi propisi u skladu s prometnim *acquisom*, ali i dalje postoje pravne i institucionalne neusklađenosti i nedostatak podzakonskih propisa i provedbe.

PRILIKE:

- Uskladiti hrvatsku mrežu i sposobnost poslovanja s europskim normama i praksom;
- Povećati kvalitetu usluga, produktivnost i učinkovitost željeznice koristeći europska mjerila i najbolje prakse;
- Razviti željezničku mrežu i usluge u skladu s konceptom održivog prometa;
- Dalje provoditi koncept modernog „upravljanja logističkim lancem“ i intermodalni promet;
- Ponovno zadobiti tržišne udjele u putničkom i teretnom prometu, i posebice stvoriti novo tržište za putovanja na veće udaljenosti na Koridoru X, Vb i Vc;
- Unaprijediti, stabilizirati i konsolidirati financijsku situaciju u željeznici;
- Odgovoriti na sve težu financijsku situaciju u lokalnom putničkom prometu razvijanjem novih modela suradnje zajedno s lokalnim vlastima;
- Pridonijeti stabilizaciji političkih i ekonomskih prilika u širem okruženju;
- Poduprijeti trajnu urbanizaciju i trendove urbanih migracija osiguravanjem odgovarajućih gradskih, prigradskih i međugradskih usluga;
- Iskoristiti u potpunosti porast prometne potražnje u gradskom, prigradskom i međugradskom prometu;
- Doprinijeti i profitirati od obnove domaćih pomorskih luka i luke Vukovar;
- Privući sredstva privatnog sektora za unaprjeđenje željezničkog sustava

PRIJETNJE:

- Manjak značajnih ulaganja smanjit će konkurentske prednosti željezničkog prometa u korist drugih vrsta prijevoza i ta će situacija u međunarodnom prometu pogodovati stranim željezničkim poduzećima, kao i drugim konkurentskim vrstama prijevoza, posebice cestovnom prometu;
- Hrvatska gubi u međunarodnoj konkurenciji koridora.
- Relativno kratko razdoblje primjene projekta (N+3 pravilo)

SWOT profil - unutarnja plovidba

Sažetak: prednost riječnog prometa je njegov veliki kapacitet prijevoza, premda pri niskim komercijalnim brzinama. Glavni argument za otpremnike robe da odaberu prijevoz unutarnjim plovnim putovima je prednost jediničnog troška, posebice za rasute terete kao što su sirovine, nafta i naftne preradevine, rude i metali te kemikalije. Međutim, svi oni predstavljaju tržište na kojem konkurira i željeznica. Čimbenici koji ne idu u prilog riječnom prometu su da razina vode fluktuiraju ovisno o vremenskim uvjetima, što predstavlja element nesigurnosti i vodi do gospodarskih ograničenja. Zaštita okoliša je glavni razlog za davanje prednosti unutarnjoj plovidbi iz perspektive javnog interesa, ali prijevoz opasne robe predstavlja potencijalnu opasnost za kvalitetu vode. Multimodalni promet se može smatrati budućim poslovnim potencijalom.

SNAGE:

- Vrsta prijevoza za prijevoz rasutog tereta velikog obujma;
- Sigurna, energetska učinkovita i za okoliš prihvatljiva vrsta prijevoza;
- Promet se može odvijati 24 sata na dan, 7 dana na tjedan, što omogućava veću fleksibilnost u raspoređivanju aktivnosti;
- Privatizacijski proces u lukama je dovršen odvajanjem administrativnih funkcija od komercijalnih djelatnosti;
- Postoji sustav koncesija;
- Naplaćivanje lučkih pristojbi (za korištenje pristaništa) u skladu s praksom EU;
- Naknada troškova u potpunost se provodi kroz pristojbe;
- Rasprostranjeno sudjelovanje privatnog sektora;
- Komercijalizirana djelatnost održavanja;
- Sklopljen „Okvirni sporazum o slivu rijeke Save“ koji uključuje sve obalne države i uspostavu Odbora za rijeku Savu kojem je povjeren razvoj rijeke Save;
- Dobar napredak u usklađivanju s međunarodnim i zakonodavstvom EU-a.

SLABOSTI

- Fizičke prepreke plovidbe dovode do plovnih rizika.
- Nedostatno održavanje i zastarjela infrastruktura plovnih putova i riječnih luka;
- Relativno niska komercijalna brzina, a time i dugo vrijeme putovanja;
- Nedovoljna pouzdanost (dolazak na vrijeme) zbog nedostatno razvijenih putova;
- Kratko razdoblje plovnosti zbog teških hidrometeoroloških uvjeta (niska razina vode, magla itd.);
- Ograničene konzultacije pri planiranju ulaganja;
- Neusklađenost s prometnim *acquisem* EU-a (uzajamno priznavanje dokumenata);
- Ne postoje planovi za slučaj nužde za slučaj težih zagađenja;
- Zastario sustav signalizacije;
- Prijevoz opasne robe predstavlja potencijalnu prijetnju kvaliteti vode
- Nizak tržišni udio;
- Problemi s osobljem u upravljačkoj strukturi – nedostatak odgovarajuće osposobljenog osoblja;
- Relativno nerazvijeni administrativni kapaciteti.

PRILIKE

- Uspostaviti međunarodno prihvatljiv sustav plovidbe; plovidbene sigurnosti i dovesti plovne putove do razine kategorije IV;
- Uskladiti hrvatsku mrežu i sposobnost poslovanja s europskim normama i praksom;
- Ponovno uspostaviti riječni promet kao privlačnu alternativu i stvoriti učinak preusmjerenja prometa; prometne gužve na tlu mogu se izbjeći prebacivanjem tereta s visokom sklonošću unutarnjoj plovidbi s cesti na unutarnje plovne putove;
- Unaprijediti multimodalna prometna rješenja poboljšanjem prekrcajnih čvorova i postrojenja (riječne luke);
- Poduzeti potrebne aktivnosti kako bi se privatni sektor uključio u obnovu plovnih putova i oporavak komercijalne plovidbe;

- Stvoriti sinergije između plovnog puta Dunava i razvoja sliva rijeke Save, vodeći računa o trećoj Paneuropskoj prometnoj konferenciji, sukladno kojoj se Koridor VII odnosi na povezanost Dunava-Save kao dio relevantnog sustava unutarnjih plovnih putova;
- Revitalizirati gospodarstvo sliva rijeke Save i promicati smještanje industrije u blizini rijeke, uključujući plovne pritoke;
- Povećati kvalitetu usluga, produktivnost i učinkovitost, koristeći europska mjerila i najbolju praksu;
- Razviti riječni sliv u skladu s konceptom održivog prometa;
- Unaprijediti koncept modernog «upravljanja logističkim lancem» i intermodalnog prometa;
- Ponovno zadobiti tržišne udjele u teretnom prometu na tržištima riječne robe;
- Pokrenuti riječni turizam i turističku industriju u riječnom slivu;
- Poboljšati, stabilizirati i konsolidirati financijsku situaciju uprava riječnih luka; NAIADES – Europski akcijski plan za unutarnju plovidbu.⁶⁶

PRIJETNJE

- Kapaciteti se ne koriste dovoljno;
- Neki od infrastrukturnih projekata, posebice na rijeci Dravi, mogli bi imati štetne posljedice na postojeći okoliš (tlo, prirodna staništa) – i o tim će se pitanjima voditi računa pri budućim procjenama učinka na okoliš;
- Manjak značajnijih ulaganja dodatno će pogoršati riječne usluge i potpuno ih marginalizirati unutar prometnog sustava Hrvatske i regije, većinom u korist cestovnog prometa, uz s tim povezane negativne posljedice poput prometnih gužvi i onečišćenja zraka;
- Zbog manjka sredstava razvojni potencijal riječnog sliva Save ostat će neistražen;
- Poseban interes poduzeća koja se bave vađenjem i prijevozom šljunka
- Nekontrolirana eksploatacija u prekograničnom području s Bosnom i Hercegovinom;
- Relativno kratko razdoblje provedbe projekta (N+3 pravilo).

U SWOT analizi iskristalizirao se veći broj zajedničkih pojava, naime:

- Loše stanje infrastrukture kao rezultat više od desetljeća bez investicija;
- Slaba iskoristivost kapaciteta infrastrukture;
- Žurna potreba za značajnim ulaganjima u infrastrukturu;
- Veliki potencijal za rast prometa;
- Problemi s jačanjem ljudskih potencijala i sposobnosti;
- Uža suradnja između pod-sektora već pokrenuta (luke Vukovar, Sisak i Slavonski Brod);
- Međunarodna suradnja intenzivirana u oba pod-sektora.

2.1.4. Srednjoročne potrebe i ciljevi u željeznici

Daljnja ulaganja odnosit će se prvenstveno na Paneuropske koridore Vb, Vc i X, kako bi se ostvarila njihova interoperabilnost u skladu s direktivama Europske unije i kako bi postali privlačniji za druge operatore i prometne organizacije. Nakon planirane nadogradnje infrastrukture, bit će moguće sljedeće brzine vlakova:

- | | |
|--|----------|
| • Međunarodni vlakovi (željeznički koridori) | 160 km/h |
| • Regionalni vlakovi | 120 km/h |
| • Lokalni vlakovi | 80 km/h |

⁶⁶ Novi NAIADES program nastojat će potaknuti prijevoz u unutarnjoj plovidbi kao ekološku alternativu cestovnom teretnom prometu. Akcijski plan baviti će se lošim imidžom sektora i infrastrukturnim problemima.

Te karakteristike i brzine (za međunarodne željeznice) prvenstveno su planirane na željezničkoj dionici Oštarije - Knin – Split i na sljedećim Paneuropskim koridorima i ograncima:

- **X** Savski Marof - Zagreb - Vinkovci - Tovarnik
- **Vb** Rijeka - Zagreb - Botovo
- **Vc** Ploče - Metković i Beli Manastir - Osijek - Vrpolje - Šamac

U skladu s nacrtom **Petogodišnjeg plana razvoja HŽ-a** koji služi kao osnova za pripremu Nacionalnog programa modernizacije željezničke infrastrukture, i drugih nacionalnih programskih dokumenata, srednjoročne potrebe i ciljevi u tom sektoru su:

- Povećati obim i kvalitetu prometa, zajedno s planiranim smanjenjem broja zaposlenika u skladu s modernizacijom i poboljšanom kvalitetom učinka;
- Ulagati u infrastrukturu, posebice u modernizaciju i izgradnju željezničkih pruga od međunarodnog značaja (Koridor X, Vb, Vb1 i Vc),
- Ulagati u prijevoz; nabavu novih motornih jedinica, putničkih i teretnih vagona, višenamjenskih i ranžirnih lokomotiva i modernizaciju lokomotiva, odnosno ulaganja koja imaju za cilj povećani obim i kvalitetu putničkog i teretnog prometa,
- Bolja regionalna, gospodarska i prometna povezanosti Republike Hrvatske, posebice bolja povezanost hrvatskih luka sa željezničkom infrastrukturom,
- Bolja povezanost nacionalnog željezničkog sustava sa susjednim državama,
- Rješavanje pitanja prigradskog prometa u većim gradovima (širenje zagrebačkog prigradskog prometa, primjena prigradskog prometa u Rijeci, Splitu i Osijeku).

2.1.5. Srednjoročne potrebe i ciljevi u riječnom prometu

U skladu s nacrtom **Petogodišnjeg plana za unutarnju plovidbu i luke unutarnjih voda**, i s drugim nacionalnim programski dokumentima, srednjoročne potrebe i ciljevi u ovom sektoru su:

- Uspostava međunarodne klase plovnih putova (Dunav, Drava, Sava) sukladno Europskom sporazumu o glavnim unutarnjim plovnim putovima međunarodne razina (AGN)
- Povećanje udjela unutarnjeg prometa s obzirom na druge oblike prijevoza, uz značajan udio tranzitnog prometa općeg prijevoza, kontejnera i RO-RO prijevoza.
- Modernizacija flote kako bi se prilagodila novim zahtjevima o prometu i okolišu,
- Primjena povoljnih uvjeta za razvoj multimodalnog prometa
- Promicanje poslova, vještina i znanja vezanih uz aktivnosti na plovnim putovima
- Jamčenje sigurnosti ljudi i zaštite okoliša.

Pristupno partnerstvo (prometni sektor) ističe *kratkoročne i srednjoročne* prioritete. Srednjoročni prioritet u sektoru unutarnje plovidbe jest:

- Raditi na usklađivanju s *acquisem* EU u području prijevoza u unutarnjoj plovidbi, posebice u pogledu sigurnosti plovidbe i usluga riječnih informacija.

U smislu Pristupnog partnerstva, OPP će pridonijeti srednjoročnim prioritetima – izradi projekata za ulaganja u nadogradnju međunarodne klase plovnih putova i lučke infrastrukture. Unutarnja plovidba je u **Okviru za usklađivanje strategija 2007.-2013.** postavljena kao jedan od dva prioriteta cilja koja će se financirati u sklopu IPA pomoći.

Prioriteti **Višegodišnjeg indikativnog planskog dokumenta (VIPD)** sadrže ulaganja vezana za *acquis* u unaprjeđenje i modernizaciju mreže unutarnjih plovni putova do europskih standarda na Koridoru VII.

Na temelju Prometne strategije iz 1999. i drugih sektorskih dokumenata Republika Hrvatska investira u luke i unutarnje plovne putove. Pored redovnog održavanja plovni putova, provest će se projekt ozidavanja nasipa na **Dunavu**, i izgraditi objekti za regulaciju vode kako bi se reguliralo plovni put uzvodno od ušća Drave. Planirane su aktivnosti na stabilizaciji riječnog korita rijeke **Drave**, zatvorit će se staro riječno korito a nova luka u vidu bazena bit će izgrađena u području Nemetina. Osim redovnog održavanja rijeke **Save**, planirano je nadograditi plovne putove rijeke Save do kategorije IV, zajedno s Bosnom i Hercegovinom i Komisijom za Savu. Najvažniji poduhvat je izgradnja luke Vukovar, s obzirom na značajnu štetu koju je stara luka pretrpjela tijekom rata (luka je nadograđivana tijekom zadnjih pet godina). Osim aktivnosti na redovnom održavanju, izrađuje se dokumentacija za daljnji razvoj za luke Sisak, Slavonski Brod i Osijek. Luka Osijek gradi luku u vidu bazena u području Nemetina, luka Sisak priprema master plan, a luka Slavonski Brod nastavlja s izgradnjom lučkog i multimodalnog terminala.

2.2. STRATEŠKI PRIORITETI

Ovaj se OPP temelji na VIPD i OUS strategiji i ciljevima prikazanim u gornjem odjeljku 1.2, koji odražavaju smjernice politike EU iz „Bijele knjige: Europska prometna politika za 2010.: vrijeme odluke“ (COM (2001) 370 konačna). Ovaj OPP se bavi slabostima koje su utvrđene u gore navedenoj SWOT analizi i fokusira se na unaprjeđenja infrastrukture/poslovanja željeznice i unutarnje plovidbe.

Sukladno navedenom, strateški pristup iz ovog OPP-a ima za cilj:

- ✓ integraciju mreže, povećanu/poboljšanu interoperabilnost na razinama kvalitete u hrvatskoj mreži koja zadovoljava standarde EU, s naglaskom na željezničku mrežu i sustav unutarnje plovidbe;
- ✓ korištenje komparativnih gospodarskih i ekoloških prednosti željezničkog i prometa unutarnjim plovni putovima koji može podnijeti velike količine umjereno homogenog prometa na veće udaljenosti, kako putničkog tako i teretnog.

Trenutni energetske trendovi dodatno potkrepljuju komparativnu prednost željeznice i unutarnje plovidbe naspram cestovnog prometa i time strateški izbor u korist željeznice i unutarnje plovidbe. Mogućnosti željezničkog i prometa unutarnjim vodama, ipak će znatno ovisiti, o čimbenicima kao što su troškovi pristupa, brzina i uvjeti rute, korištena oprema i što je najvažnije o čimbeniku (iskoristivosti) utovara.

Koncentriranje na željeznicu i unutarnje plovne putove potkrepljuju i sljedeća razmišljanja:

- Kako bi se koncentrirala ograničena raspoloživa sredstva da bi se postigao maksimalan učinak i utjecaj.
- Kako bi se integrirali glavni koridori u europski željeznički program i da bi se uspostavili usklađeni operativni standardi uzduž granica.
- Kako bi se uravnotežila sektorska potrošnja i ojačala intermodalna i međunarodna konkurentnost željeznice.
- Kako bi se ponovno zadobili tržišni udjeli za željeznicu u teretnom prometnom sektoru i odgovorilo na glavne promjene u trgovinskim obrascima i strukturi robe, te kako bi se potakla ulaganja u nove tehnologije (u 2005. udio željeznice u ukupnom prijevozu robe i prijevozu putnika iznosio je 12,7% odnosno 33,7%).
- Kako bi se uspjelo maknuti prijevoz robe s cesti; ovo u načelu ovisi o poboljšanju željezničkih usluga.
- Kako bi se uspostavili, održavali i poboljšali uvjeti za sigurnu i pouzdanu unutarnju plovidbu

- Kako bi se održavali međunarodni plovni putovi u skladu s potrebnim međunarodnim plovnim standardima
- Kako bi se međunarodne luke opremile sadržajima za prikupljanje i preradu ljudskog otpada i uklanjanje mulja iz luka.
- Kako bi se tehnički parametri prilagodili kriterijima transeuropske mreže.
- Kako bi se udovoljilo brizi za okoliš koja ima sve veći utjecaj na prometnu politiku. Jedan od ciljeva politike je prebacivanje cestovnih putovanja na veće udaljenosti i tereta na željeznicu kao energetske učinkovit, čist i siguran oblik prijevoza te kako bi se željeznicu učinilo integralnim dijelom modernog multimodalnog distribucijskog lanca.

Zaključno, ovaj OPP stavlja naglasak na revitalizaciju željeznice i unutarnje plovidbe u Hrvatskoj, kako bi se odgovorilo na postojeće razvojne poteškoće hrvatskog prometnog sektora. Ovaj pristup održava strategiju sektorske održivosti koju je usvojilo Europsko vijeće u Gothenburgu u lipnju 2001.

Nadalje, kako bi se zajamčila najučinkovitija upotreba fondova, planirano je ostvariti komplementarnost s ostalim ISPA i IPA intervencijama, kao i s relevantnim projektima međunarodnih financijskih institucija (kako je predočeno u odjeljku 3.4).

3. PROGRAMSKA STRATEGIJA

3.1. PRIORITETNE OSI I MJERE

3.1.1. IPA ciljevi i prioritetne osi

Cilj OP-a „Promet“ je odabrati projekte koji najbolje odgovaraju ciljevima OP-a, istovremeno izvlačeći korist od učenja kroz sustave i prakse upravljanja IPA-om, budući da IPA koristi procese programiranja i upravljanja projektima koji su bliži programiranju i upravljanju projektima u strukturnim fondovima, nego što je to bio slučaj kod prethodnih prepristupnih fondova EU. IPA ciljevi i prioriteti u svakom slučaju moraju biti u skladu sa strateškim smjernicama iz Pristupnog partnerstva i Nacionalne strategije za razvoj prometa iz 1999. Cilj OPP-a stoga je investirati u projekte koji imaju najveći učinak na modernizaciju željezničkih pruga i istovremeno pripremati projekte za buduća ulaganja u modernizaciju i poboljšanje uvjeta u sektoru unutarnje plovidbe, budući da u ovom trenutku nema primjereno zrelih projekata koji bi se mogli provoditi tijekom razdoblja primjene Operativnog programa. Na koncu, cilj je razviti administrativne i upravne sposobnosti onih institucija koje provode OPP. Provedba mjera OPP-a proizvest će izravne razvojne koristi kao što su smanjeno vrijeme prekrcaja robe, povećana sigurnost putovanja, i učinit će unutarnje plovne putove konkurentnijim i jeftinijim u odnosu na druge oblike prijevoza.

Slijedeći strateški smjer zacrtan u VIPD-u i nastavno u OUS-u, u OPP-u se predlažu mjere i glavni projekti unutar tri prioritetne osi:

PRIORITETNA OS 1	Unaprjeđenje željezničkog sustava u Hrvatskoj
Mjera 1.1	Nadogradnja i modernizacija pruge
Mjera 1.2	Povećanje sigurnosti i učinkovitosti rada željeznice
PRIORITETNA OS 2	Unaprjeđenje sustava unutarnje plovidbe u Hrvatskoj
Mjera 2.1	Modernizacija i obnova riječnih plovnih putova i lučke infrastrukture
PRIORITETNA OS 3	Tehnička pomoć (TP)
Mjera 3.1	Tehnička pomoć za upravljanje OP-om kojom se identificiraju budući projekti, jača sposobnost i pripremaju budući operativni programi.

3.1.2. Kriteriji za odabir projekata

Općenito govoreći, kriteriji za odabir projekata u sklopu programa IPA temelje se s jedne strane na specifičnim IPA kriterijima za prometni sektor navedenim u članku 147. IPA Provedbene uredbe (održivi protok prometa, bolja povezanost i interoperabilnost unutar mreža) i, s druge strane, na načelima i kriterijima definiranim Odlukom br. 1692/967EZ od 23. srpnja 1996. Europskog parlamenta i Vijeća ministara o Smjernicama Zajednice za razvoj transeuropske prometne mreže.⁶⁷

⁶⁷ Službeni list Europskih Zajednica, L, br. 228, 9. rujna 1999., str. 1.

Opći kriteriji

Nakon prikupljanja svih potencijalno prihvatljivih projekata za predložene koridore i oblike prijevoza, projekti koji ne mogu zadovoljiti općenite kriterije *screeninga* neće se dalje razmatrati (kriteriji poredani po prioritetu):

- Projekt mora prvenstveno biti od velikog značaja za JIE Osnovnu regionalnu prometnu mrežu;
- Financijski plan bi trebao biti realan, uključujući pitanje sekundarnih investicijskih troškova (održavanja); i u njemu mora biti predočen udio nacionalnog i vanjskog financiranja;
- Projekt treba imati dovoljnu zrelost, vodeći računa o administrativnim/pravnim barijerama glede provedbe projekta (problemi s kupnjom zemljišta, pravu puta itd.);
- Projekt treba imati dostatnu veličinu i značaj;
- Projektom se ni na koji način ne bi smjeli duplicirati napore treće strane, ali bi trebao biti usklađen s drugim projektima komplementarne prirode kako bi se ostvarila sinergija;
- Treba postojati vidljiva posvećenost hrvatske Vlade ili regionalnih tijela (kao što su SEETO i/ili Komisija za rijeku Savu) za provedbu projekta; stoga treba davati prvenstvo projektima sukladno njihovoj uključenosti u povezane ili prethodno dogovorene prioritetne liste projekata (primjerice REBIS; ISPA);
- Projektom se treba osiguravati ravnoteža među vrstama prijevoza i treba doprinositi okolišu;
- Osnovna tehnička obilježja projekta trebaju biti troškovno učinkovitija (orijentirana na potražnju) u postizanju strateških ciljeva i po mogućnosti usvajanja međunarodnih standarda, nego što su alternativne tehničke opcije.

Općenito su svi prioritetni projekti (osim projekta broj 1) prethodno odabrani i uključeni u indikativni popis projekata za 2007.-2009. (odjeljak 3.5.) u ranoj fazi pripreme projekta koja traži tehničke, ekonomske i, kad je to potrebno, ekološke studije.

Zato će se u drugoj fazi **ocjenjivanja**, predloženi prioritetni projekti provjeravati prema sljedećim parametrima analize.

Posebni kriteriji

Predložene projekte provjeravat će se kako bi se osigurala dovršenost sljedećih standardnih pripremnih aktivnosti, koje treba provoditi prije podnošenja projekta na odobrenje Odboru za odabir projekata (i naknadno Europskoj komisiji, u slučaju glavnih projekata):

- Studija izvedivosti, uključujući preliminarne financijske i ekonomske analize i izračune financijske stope povrata (FIRR) i ekonomske unutarnje stope povrata (EIRR); eventualno preliminarne nacрте;
- Dostupnost sufinanciranja, uključujući uključivanje međunarodnih financijskih institucija;
- Detaljne studije izvedivosti, uključujući financijske i ekonomske analize (FIRR i EIRR), kojima se vodi računa o društvenim (vanjskim) učincima; analize troškova i koristi, analize priuštivosti, preliminarne i detaljne tehnički nacрте, operativni planovi itd.;
- Procjenu učinka na okoliš (EIA), ako je potrebno sukladno hrvatskim i europskim standardima;
- Izvješća o konzultacijama sa zainteresiranim strankama ili s onima na koje ima utjecaja;
- Dobivena odobrenja i dozvole (primjerice građevinska dozvola, ekološka dozvola, pravo na zemljište itd.);
- Zadovoljavajuće ispunjavanje svih dijelova obrasca IPA prijava (obrazac za „glavne projekte“ EK-a u slučaju projekata preko 10 milijuna eura)

Cilj druge faze procesa analize je identifikacija najisplativijih projekata i onih koji imaju najneposredniji i najznačajniji učinak u smislu:

- spremnosti za provedbu (zrelosti)
- povećanja prometne učinkovitosti;
- jamčenja financijske i ekološke održivosti;
- poboljšanja prometne sigurnosti.

Ovisno o mogućnosti, učinak će se ocjenjivati u novčanom smislu, i podvrgnut će se testu osjetljivosti. Glavni projekti bit će pripremljeni u skladu s člancima 150. i 157. IPA provedbene uredbe. Samo projekti sa zadovoljavajuće visokom stopom povrata (FIRR; EIRR) bi trebali biti razmatrani za provedbu.

Zaključno, u obzir treba uzeti pravna i financijska pitanja prilikom procjenjivanja prijave: prvo, prihvaćanje i obvezivanje da će infrastruktura zauvijek ostati javnim vlasništvom, i kao drugo dostupnost proračunskih resursa kako bi se osiguralo sufinanciranje projekata od strane Hrvatske i njihova održivost (poslovanje i održavanje) i nakon razdoblja financiranja.

Gore predložene prioritetne osi i mjere OPP-a kojim se provode strateški ciljevi OPP-a smatraju se najkorisnijim s jedne strane za željeznicu i razvoj riječne mreže, a s druge strane za društvo i okoliš u cjelini jer se njima ispunjavanju obveze prometnog *acquisa*.

Projekti koji ostvaruju prihod

Projekti koji ostvaruju prihod, kako su definirani u članku 150. IPA provedbene uredbe, su aktivnost(i) predložene za pretprijetnu pomoć koje uključuju ulaganja u infrastrukturu, čije korištenje podliježe plaćanju pristojbi izravno od korisnika i kojom se ostvaruje prihod, ili bilo koje aktivnosti koje uključuju prodaju ili iznajmljivanje zemlje ili zgrada.

3.1.3. Prioritetna os 1 – Unaprijeđenje željezničkog sustava u Hrvatskoj

Cilj:

Cilj ove prioritetne osi je razviti prometnu infrastrukturu u Hrvatskoj, posebice vezano za međupovezanost i interoperabilnost nacionalnih mreža i s transeuropskim mrežama. Cilj je postupno povećati kvalitetu željezničkog TEN Koridora X u Hrvatskoj kako bi sve više ispunjavao standarde EU-a.

Zakonodavstvo Zajednice

Aktivnosti unutar ove prioritetne osi oblikovane su kako bi se modernizirala željeznička infrastruktura i kako bi se pomoglo Hrvatskoj u ispunjavanju obveza vezanih za prometni *acquis* kojim je uređen željeznički sustav, i to:

- **Direktiva 91/440/EEZ** o razvoju željeznice Zajednice
- **Direktiva 2001/12/EZ** Europskog parlamenta i Vijeća od 26. veljače 2001. kojom se mijenja i dopunjuje Direktiva 91/440/EEZ o razvoju željeznice Zajednice
- **Direktiva 2001/13/EZ** Europskog parlamenta i Vijeća od 26. veljače 2001. o davanju licenci željezničkim poduzećima
- **Direktiva 2001/14/EZ** o alokaciji kapaciteta željezničke infrastrukture i propisivanju pristojbi za korištenje željezničke infrastrukture i certificiranje sigurnosti (Direktiva o željezničkoj sigurnosti)
- **Direktiva 2004/49/EZ** Europskog parlamenta i Vijeća od 29. travnja 2004. o sigurnosti na željeznicama Zajednice kojom se mijenja i dopunjuje Direktiva Vijeća 95/18/EZ o davanju licenci željezničkim poduzećima
- **Direktiva 2004/50/EZ** Europskog parlamenta i Vijeća od 29. travnja 2004. kojom se mijenja i dopunjuje Direktiva Vijeća 96/48/EZ o interoperabilnosti transeuropskih željezničkih mreža

velike brzine i Direktiva 2001/16/EZ Europskog parlamenta i Vijeća o interoperabilnosti transeuropskog konvencionalnog željezničkog sustava.

- **Direktiva 2004/51/EZ** Europskog parlamenta i Vijeća od 29. travnja 2004. kojom se mijenja i dopunjuje Direktiva Vijeća 91/440/EEZ o razvoju željeznice Zajednice

Posebni ciljevi

Cilj ovog prioriteta je postupno povećati kvalitetu željeznice na TEN Koridoru X unutar Hrvatske kako bi postupno ispunio standarde EU. Ti se ciljevi odnose na:

- obnovu / nadogradnju određenih dionica pruge na TEN Koridoru X čiji su pokazatelji izvedbe najniži
- rekonstrukcija i modernizacija željezničkih stanica kako bi se ispunili standardi EU u pogledu dužine i izgleda pruge te glede opreme za signalizaciju i telekomunikaciju.

Obrazloženje

Prioritetna os zamišljena je da pomogne Hrvatskoj da ispunji svoje potrebe i obveze kako bi udovoljila standardima EU, posebice u kontekstu upravljanja promjenama u potražnji za prometom na Koridoru X. Kako je pokazano u odjeljku 2, željeznički sektor pretrpio je štetu u ratu i infrastrukturi je potrebna modernizacija, kako bi se stvorili učinkoviti i za okoliš prihvatljivi oblici prijevoza.

Intervencija je potrebna kako bi se željezničkoj mreži omogućilo da ostvari uspjeh u konkurenciji koridora među regijama i unutar regije i bude u mogućnosti ostvariti značajne dijelove budućeg regionalnog prometnog potencijala. Povećanje tržišnog udjela željeznice u međunarodnom robnom i putničkom prometu na Koridoru X smatra se istovremeno preduvjetom kako bi se vratila ulaganja u prugu te kako bi se poslovanje željeznice učinilo financijski isplativim i komercijalno privlačnim privatnim operaterima.

Koridor X je dvokolosiječna glavna željeznička linija na relaciji Savski Marof – Zagreb glavni kolodvor – Novska – Tovarnik koja povezuje središnju i jugoistočnu Europu, od Salzburga preko Ljubljane, Zagreba i Skopja do luke Solun. U pogledu prometa ona predstavlja okosnicu željezničkog prometa od istoga do zapada s kojom su povezane gotovo sve linije sjever-jug i linije iz Bosne i Hercegovine. Unutar Hrvatske taj pravac povezuje značajna industrijska i poljoprivredna područja.

Tijekom 90.-tih događaji na području bivše Jugoslavije doveli su do značajnog smanjenja prometa robe i putnika koji se većim dijelom preusmjerio na alternativne prometne koridore. Transitni promet na Koridoru X bio je potpuno uništen tijekom više od 5 godina. U zadnjih nekoliko godina, HŽ Infrastruktura zabilježila je porast prometa na Koridoru X.

Ukupna dužina Koridora X iznosi 2 528,2 km, od kojih je 1 622,7 km (64,2%) jednokolosiječne pruge i 905,5 (35,8%) dvokolosiječne pruge. Od ukupne dužine svih pruga na koridoru, 2 244,5 (88,7%) su elektrificirane. Planirano je da će do 2010. biti 1 461,3 km (57,8%) jednokolosiječnih pruga, 1 066,9 km (42,2%) dvokolosiječnih i 2 348,7 km (92,9%) elektrificiranih pruga.

Opis

Prioritetna os će poduprijeti dvije mjere za nadogradnju i modernizaciju pruge te unaprjeđenje sigurnosti i učinkovitosti na Koridoru X. To podrazumijeva:

- povećanje brzine na 160 km/h;
- povećanje osovinskog opterećenja na 225 kN;
- prilagodbu dužine staničnih platformi (za TEN pravce je 400m);
- instalaciju Europskog željezničkog sustava upravljanja vlakovima ERTMDS do ECTS razine 1, odnosi se na presvlačenje konvencionalnog pružnog sustava signalizacije s fiksnom ECTS infrastrukturom kao prvi korak do uspostave punog ERTMDS-a;

- instalacija/nadogradnja telekomunikacijske opreme uz prugu;
- instalacija/nadogradnja gornjeg ustroja;
- instalacija/nadogradnja sustava drenaže fiksnih putova;
- instalacija automatskih polu- ili potpunih prijelaza u razini.

Usmjerenost

Ova prioritetna os primjenjivat će se na željezničke sektor OPP-a, doprinoseći cilju OPP-a „Obnova i razvoj željezničke mreže u Hrvatskoj kako bi se odgovorilo na očekivani porast u potražnji za željezničkim prometom, posebice na Paneuropskom koridoru X“. Prioritetna os usmjerena je na:

- Unaprjeđenje i obnovu željezničke mreže
- Poboljšanje sigurnosnih uvjeta željezničkog sustava
- Pomoć Hrvatskoj u ispunjavanju obveza provedbe željezničkog prometnog acquisa kojim se uređuje željeznički sustav.

Mjere

U sklopu ove prioritetne osi predložene su dvije mjere:

- **Mjera 1.1.** modernizacija i nadogradnja pruge
Projekti u sklopu ove mjere fokusirat će se na unaprjeđenje fiksnih putova i gornjeg ustroja te na pripremu projektne dokumentacije.
- **Mjera 1.2.** poboljšanje sigurnosti i efikasnosti rada željeznice
Projekti u sklopu ove mjere koncentrirat će se na modernizaciju infrastrukture uz pruge, telekomunikacijske signalizacije, sigurnosne opreme.

Izvedba:

Projekti koji će se financirati u sklopu Prioritetne osi 1 bit će odabrani s indikativnog popisa projekata danog u poglavlju 3.5. Operativnog programa (i odnosne identifikacijske karte projekta priložene u Dodatku 3) u skladu s općim kriterijima odabira i kriterijima specifičnim za određenu mjeru predviđenim Operativnim programom.

Odabrane aktivnosti bit će dostavljene Europskoj komisiji na odobrenje. Ako se projekt ocijeni prihvatljivim Europska komisija izdat će odluku o odobravanju za svaki pojedini projekt u kojoj će se definirati materijalni objekti i prihvatljivi troškovi na koje se primjenjuje stopa sufinanciranja. Zaključno, za svaki odobreni projekt potpisat će se Sporazum o financiranju između Europske komisije i države korisnice u kojem će se utvrditi navedeni elementi. Dopunska sredstva za ta ulaganja bit će osigurana iz nacionalnih sredstava, vanjskih zajmova i drugih izvora i modela financiranja.

Kod projekata koji ne spadaju u „glavne projekte“ (tj. projekti koji su ispod praga od 10 milijuna eura) odluku o pozivu na natječaj donosi Odbor za odabir na temelju kriterija za odabir opisanih u Operativnom programu i potvrđenih od strane Sektorskog odbora za odabir.

Ciljevi i pokazatelji:

Tablica 2 – pokazatelji za prioritetnu os 1

	Definicija	Vrsta	Mjerna jedinica	Polazni podaci	Vremenski podaci	Učestalost revizija	Krajnji cilj (do 2012.)	Izvor podataka
1	Povećana prosječna brzina vlaka na Koridoru X	Rezultat	Km/h	70	2006.	godišnje	103	Hrvatske željeznice Vozni red
2	Poboljšano poštivanje rasporeda za putničke vlakove	Rezultat	Minute / kašnjenje vlaka	9	2006.	godišnje	6	Intervjuiranje putnika; Statistički godišnjaci Hrvatskih željeznica
3	Povećani obujam tereta	Rezultat	Tone, (1000 Tone km (u mil.)	2 691 939	2006.	godišnje	3.495 1.353	Statistički godišnjaci Hrvatskih željeznica

Financijska alokacija i stopa sufinanciranja:

Od ukupnih alociranih sredstava u sklopu ovog OP-a „Promet“ koja iznose ukupno 53 500 500 eura (alokacije za prioritetnu os 1 iznose 12 995 250 eura u 2007., 15 870 000 eura u 2008. i 18 245 250 eura u 2009. (ukupno 47 110 500 eura)

Za željeznički sektor predložena je nacionalna stopa sufinanciranja 25% uz 75% IPA sufinanciranja.

3.1.3.1. Mjere u sklopu Prioritetne osi 1 – Rehabilitacija i razvoj željezničke mreže

Mjera 1.1. Nadogradnja i modernizacija pruge

Poseban cilj

Cilj je postupno povećati i poboljšati interoperabilnost na Koridoru X, u skladu s UIC standardima i zahtjevima za interoperabilnost željeznice temeljenim na Direktivi 2001/16/EZ.

Obrazloženje

Ukupna dužina pruge na Koridoru X od državne granice sa Slovenijom, preko Zagreba, Dugog Sela i Vinkovaca do državne granice sa Srbijom iznosi 316,7km. Od slovenske granice do Zagreba (26,7km) do Dugog Sela (21,25km) do Novske (83,4km) jednokolosiječna pruga, te od Novske do granice sa Srbijom kod Tovarnika (185,4km). Sve su pruge elektrificirane AC 25kv/50Hz sustavom, s automatskom signalizacijom, dok su na stanicama ugrađeni relejni uređaji s mješovitim prometom.

Dionica slovenska granica – Zagreb ima dvokolosiječnu prugu na cijeloj dužini i izvedbenu brzinu do 160km/h, uz iznimku posebnih područja zapadno od Zaprešića i dionice Zaprešić – Tvornica Podsused na kojoj ograničenje brzine u zavojima iznosi 100-120 km/h, dok su na dionici Zagreb Zapadni kolodvor i Zagreb Glavni kolodvor ograničenja brzine do 70 km/h.

Dionica Zagreb - Dugo Selo ima dvokolosiječnu prugu cijelom dužinom i izvedbenu brzinu do 160 km/h, uz iznimku pojedinih dionica na kojima je ograničena brzina. Na zagrebačkom Glavnom

kolodvoru brzina je ograničena do 50 km/h, na ulazu u stanicu Sesvete do 120 km/h i na dionici Sesvete –Dugo Selo do 130 km/h. Zaustavna udaljenost na pruzi Sesvete – Zagreb Glavni kolodvor je 700m, i 1000m na Dugo Selo – Sesvete.

Dionica Dugo Selo – Novska ima jednokolosiječnu prugu i izvedbenu brzinu do 130 km/h, uz iznimku pojedinih zavoja u kojima je brzina ograničena. To se prvenstveno odnosi na ulaske i izlaske iz stanica.

Dionica Novska – državna granica ima dvokolosiječnu prugu na cijeloj dužini i izvedbenu brzinu do 160 km/h, uz iznimku pojedinih zavojitih dionica u kojima je ograničenje brzine od 80 do 140 km/h. To je uglavnom na ulazima i izlazima iz stanice. Zaustavna udaljenost na pruzi iznosi 1,000 m državna granica – Tovarnik – Ivankovo, 1,500 m Ivankovo – Novska.

U sklopu ISPA programa obnovit će se dionica Vinkovci – Tovarnik – državna granica tako da će izvedbena brzina iznositi do 160 km/h uklanjanjem infrastrukturnih ograničenja koja uvjetuju ograničenja brzine, kao što su kratki zavoji i neodgovarajuće stanice.

Opis

Mjera se temelji na intervencijama koje su već planirane i u tijeku u sklopu ISPA programa, i usredotočit će se na modernizaciju najslabijih dijelova na pruzi, u smislu postojećih procjena operativnih standarda, sadržanih u SEETO VPD 2007.-2011. Ova mjera obuhvaćat će projekte vezane za stalne putove, fiksne strukture, instalacije i opremu (vidi Odjeljak 3.5. za indikativni popis prioritarnih projekata).

Prihvatljive aktivnosti

Pomoć u sklopu ove mjere odnosi se na ugovore o nabavi. Aktivnosti u sklopu ove mjere za cilj imaju rehabilitaciju fiksnih pruga, mostova i prijelaza u razini, gornjeg ustroja i modernizaciju stanica. Pomoć će uključiti usluge nadzora, podršku u provedbi, konzultantske usluge, ocjenu ponuda, pripremu projekata za prethodno utvrđene projekte, nadzor i ocjenu projekata.

Kriteriji odabira

Imajući u vidu opće i specifične kriterije odabira nabrojane u poglavlju 3.1.2., primjenjuju se sljedeći kriteriji kako bi se identificirali najisplativiji projekti te oni koji imaju najneposredniji i najznačajniji učinak u sklopu mjere 1.1.:

- spremnost za provedbu (zrelost) vodeći računa o administrativnim/pravnim barijerama glede provedbe projekta (problemi sa stjecanjem zemljišta, pravo puta itd.);
- poboljšanje učinkovitosti prometa povećanjem brzine i kapaciteta pruge;
- poboljšanje sigurnosti prometa.

Krajnji korisnici

Krajnji korisnik za mjeru 1.1. bit će HŽ Infrastruktura.

Pokazatelji nadzora**Tablica 3 – pokazatelji nadzora za mjeru 1.1**

	Definicija	Vrsta	Mjerna jedinica	Osnovni podaci	Vremenski podaci	Učestalost revizija	poseban cilj (do 2012.)	Izvor podataka
1	Km pruge nadograđeni kako bi se postigla prosječna brzina od 160 km/h	Neposredni rezultat	Km pruge	0	2007.	godišnje	19.5	Izvješća o praćenju projekta
2	Obnovljeni mostovi/prijelazi u razini kako bi se postigla prosječna brzina od 160 km/h	Neposredni rezultat	broj	0	2007.	godišnje	33	Izvješća o praćenju projekta
3	Žice za napajanje električnom energijom obnovljene kako bi se postigla prosječna brzina od 160 km/h	Neposredni rezultat	Km pruge	0	2007.	godišnje	19.5	Izvješća o praćenju projekta
4.	Dostavljeni projektni zahtjevi zajedno sa svom dokumentacijom	Neposredni rezultat	broj	0	2007.	godišnje	2	Izvješća o praćenju projekta

Mjera 1.2.: Pобољшanje sigurnosti i učinkovitosti rada željeznice**Poseban cilj**

Cilj je poboljšati kvalitetu, pouzdanost i učinkovitost željezničkih usluga na Koridoru X. To se uglavnom odnosi na unaprjeđenje signalizacije i komunikacije te prilagodbe tehničkim parametrima kriterija Transeuropske mreže.

Образложение

Zbog neodgovarajućeg i nedostatnog održavanja tijekom zadnjih 20 godina, signalna i telekomunikacijska oprema na Koridoru X nije bila nadograđivana i/ili zamjenjivana na redovnoj osnovi u svrhu produživanja životnog ciklusa i ispunjavanja standarda modernizacije. Iz tih su razloga uvedena ograničenja brzine kako bi se održavala sigurnost na prihvatljivoj razini. Kao posljedica ograničenja brzine i povećanih zahtjeva za održavanjem, pogoršala se učinkovitost željezničkog sustava.

Opis:

Projekti u ovoj mjeri trebali bi se fokusirati na modernizaciju sustava signalizacije i telekomunikacija kako bi se omogućila instalacija ETCS-a i opreme za centraliziranu kontrolu prometa čime bi se omogućila integracija željezničke mreže u Hrvatskoj s onom u Europskoj uniji. Mjera će se fokusirati na poboljšanje signalizacije za vlakove 160km/h i obnovu i nadogradnju postojećih sigurnosnih

uređaja automatske zaštite vlakova (ATP uređaji) te obnovu infrastrukture telekomunikacijskih sustava uz prugu.

Prihvatljive aktivnosti

Pomoć u sklopu ove mjere odnosi se na ugovore o nabavi. Aktivnosti unutar ove mjere imaju za cilj unaprjeđenje infrastrukture uz prugu; te opreme za signalizaciju, telekomunikacije i sigurnost. Pomoć će uključiti usluge nadzora, podršku u provedbi, konzultantske usluge, ocjenu ponuda, pripremu projekata za prethodno utvrđene projekte, nadzor i ocjenu projekata.

Kriteriji odabira

Imajući na umu opće i specifične kriterije odabira nabrojane u poglavlju 3.1.2., na odabir projekata u mjeri 1.2. primjenjivat će se sljedeći kriteriji:

- poboljšanje prometne sigurnosti;
- učinak i značaj za cijelu mrežu;
- spremnost za provedbu (zrelost), vodeći računa o administrativnim/pravnim preprekama glede provedbe projekta (stjecanje zemljišta, pravo puta itd.)
- poboljšanje prometne učinkovitosti.

Zagrebački glavni kolodvor, s najvećom frekvencijom vlakova, glavno je željezničko čvorište za međugradski i promet na većim udaljenostima u Hrvatskoj, na raskrižju Koridora X i Vb. Stanica je opremljena s relej sigurnosnom opremom koja je instalirana 1940. Brzina na kolodvoru trenutno je smanjena na 30 km/h zbog stanja u kojem se nalazi signalna oprema. Osim toga, za tako zastarjelu opremu nisu dostupni rezervni dijelovi što čini njezino tehničko održavanje čini vrlo teškim i skupim.

Krajnji korisnici

Krajnji korisnik bit će HŽ Infrastruktura d.o.o

Pokazatelji nadzora

Tablica 4 – pokazatelji nadzora za mjeru 1.2

	Definicija	Vrsta	Mjerna jedinica	Osnovni podaci	Datumi podataka	Učestalost revizija	Krajnji cilj (do 2012.)	Izvor podataka
1	Instaliran i aktivan sustav signalno-sigurnosnih uređaja	Neposredni rezultat	set	0	2007.	godišnje	2007	Izvješća o nadzoru projekta
1.a	Instalirana nova glavna i telesignalizacija	Neposredni rezultat	kom.	0	2007.	godišnje	2007	Izvješća o nadzoru projekta
1.b	Instalirana nova signalizacija za lokomotive	Neposredni rezultat	kom.	0	2007.	godišnje	2007	Izvješća o nadzoru projekta
1.c	Instalirani novi elektro-hidraulički strojevi	Neposredni rezultat	kom.	0	2007.	godišnje	2007	Izvješća o nadzoru projekta

3.1.4. Prioritetna os 2 – Unaprijeđenje sustava unutarnje plovidbe u Hrvatskoj

Cilj

Obnova plovnih putova rijeke Save s ciljem postizanja kategorije IV plovnog statusa, uključujući usklađivanje s Direktivom o riječnom informacijskom sustavu (RIS) te sa sustavom luka u Republici Hrvatskoj. Ova os bit će u skladu s Direktivom 2005/44/EZ koja ima za cilj uspostavu europske platforme za razmjenu podataka za lakšu i ažurnu razmjenu informacija o prometu (kao što su uvjeti na plovnom dijelu itd.) između riječnih nadležnih tijela i operatera i poboljšat će povezivanje podsektora unutarnje plovidbe s drugim vrstama prijevoza.

Zakonodavstvo Zajednice

Aktivnosti u sklopu ove prioritetne osi oblikovane su kako bi se unaprijedio sustav unutarnjih plovnih putova i pomoglo Hrvatskoj u ispunjavanju obveza vezanih za prometni acquis EU-a kojim je uređen sustav unutarnjih plovnih putova, i to:

- **Uredba Vijeća (EZ-a) br. 1356/96** o zajedničkim pravilima koja se primjenjuje na prijevoz robe ili putnika unutarnjim plovnim putovima između država članica s ciljem uspostave slobode pružanja takvih prijevoznih usluga
- **Uredba Vijeća (EEZ-a) br. 3921/91** kojom se utvrđuju uvjeti pod kojim ne-rezidentni prijevoznici mogu prevoziti robu ili putnike unutarnjim plovnim putovima unutar države članice
- **Uredba Vijeća (EZ-a) br. 718/99** od 29. ožujka 1999. o politici Zajednice u pogledu kapaciteta flote s ciljem promicanja prometa unutarnjim plovnim putovima
- **Direktiva Vijeća (EZ-a) br. 96/75** o sustavu iznajmljivanja brodova i određivanja cijena u nacionalnom i međunarodnom prijevozu unutarnjim plovnim putovima u Zajednici
- **Uredba Vijeća (EEZ-a) br. 2919/85** kojom se propisuju uvjeti vezani za pristup Revidiranoj konvenciji o plovidbi rijekom Rajnom vezano za plovila koja pripadaju Rajnskoj floti
- **Direktiva Vijeća (EEZ-a) br. 87/540** o pristupu obavljanju zanimanja nosača dobara plovnim putovima u domaćem i međunarodnom prometu te o uzajamnom priznavanju diploma, certifikata i drugih dokaza formalnih kvalifikacija za obavljanje tog zanimanja
- **Direktiva Vijeća (EEZ-a) br. 91/672** o međusobnom priznavanju nacionalnih certifikata za voditelje brodica za prijevoz tereta i putnika u unutarnjoj plovidbi
- **Direktiva Vijeća (EZ-a) br. 96/50** o harmonizaciji uvjeta za stjecanje nacionalnih certifikata za voditelje brodica za prijevoz tereta i putnika u unutarnjoj plovidbi u Zajednici
- **Direktiva Vijeća (EEZ-a) br. 76/135** o međusobnom priznavanju licenci za plovidbu za vozila u unutarnjoj plovidbi, izmijenjena i dopunjena Direktivom Vijeća 78/1016/EECZ kojom se mijenja i dopunjuje Direktiva Vijeća 76/135/EEZ
- **Direktiva Vijeća (EEZ-a) br. 82/714** kojom se propisuju tehnički zahtjevi za plovila u unutarnjoj plovidbi. Zahtjevi za dodjelu tehničkog certifikata plovilima u skladu s Rezolucijom 17 ECE/UN i Direktivom 82/714/EEZ

U izradi je Zakon o unutarnjoj plovidbi i lukama. Donošenjem novog zakona većina direktiva bit će prenesena u nacionalno zakonodavstvo. Potpuno usklađivanje može se očekivati donošenjem pravilnika.

Posebni ciljevi

Cilj ovog prioriteta je poboljšati i obnoviti sustav unutarnje plovidbe u Hrvatskoj, čineći ga privlačnijim i konkurentnijim u usporedbi s drugim oblicima prijevoza.

Obrazloženje

- Uspostava, održavanje i poboljšanje uvjeta sigurne i pouzdane unutarnje plovidbe stalna je misija Vlade. Ovaj aspekt treba analizirati posebno prema vrstama tereta i očekivanom porastu potražnje prijevoza opasnog tereta. Dodatno povećanje rizika i mogući učinak potencijalnih incidenata na vodi zahtijeva poboljšanje postojeće razine sigurnosti. Kako bi se to postiglo potrebno je, osim primjene usluga riječnih informacija i dostupnosti informacija u realnom

-

- vremenu o kretanju plovila, uspostaviti jasne procedure za aktivnosti koje treba poduzeti u slučaju incidenata, te nadograditi postojeći sustav markiranja i praćenja plovnosti unutarnjih plovnih putova.

- U svrhu integriranja unutarnje plovidbe u intermodalno prometnu mrežu, potrebno je nadograditi razinu pouzdanosti unutarnjih plovnih putova kako bi se osigurali minimalni kriteriji plovnosti unutarnjih plovnih putova. Inicijacija razvojnih ciklusa u hrvatskim riječnim lukama, procesi tehnološke rekonstrukcije lučkih zgrada i objekata i povezivanje luka s glavnim koridorima cesta-željeznica pomaže u stvaranju preduvjeta za intermodalnost riječnog prometa, Sustav usluga riječnih informacija, jezgra informatičkog sučelja i razmjena elektronskih podataka o prometu unutarnjim plovnim putovima igra također veliku ulogu u tom procesu.

Hrvatski **sustav luka** na unutarnjim plovnim putovima uključuje četiri međunarodne luke (Sisak, Slavonski Brod, Osijek i Vukovar) i nekoliko postojećih i budućih pristaništa (Belišće, Aljamaš, Batina i Ilok). Trenutnu situaciju obilježava neuravnotežena potražnja za prijevozom robe na rijekama Savi i Dunavu, općenito kao posljedica različitih uvjeta plovidbe, tehničke i tehnološke zastarjelosti i podkapacitiranosti.

Riječni promet trenutno čini manje od 1% teretnog prometa u Hrvatskoj, i nije trenutno održiva i konkurentna alternativa cestama i željeznici za prijevoz rasute robe.

Opis

Ukupna dužina postojećih **plovnih putova** u Republici Hrvatskoj iznosi 804,1km, od kojih su 593,2km međunarodni plovni putovi. Ukupno 286,9 km ispunjava kriterije međunarodne plovidbene klasifikacije, to jest kriterije za klasu IV. Koncept razvoja infrastrukture unutarnjih plovnih putova usmjeren je na povećanje **sigurnosti i učinkovitosti unutarnje plovidbe**. Regulacija plovnih putova mora biti u službi korisnika, što podrazumijeva osiguravanje nesmetane i sigurne plovidbe za brodove s maksimalnom vučom u skladu s klasama plovnih putova. U praksi to znači **minimalnu dubinu od 2,5 metara tijekom 300 dana u godini** (međunarodna klasa plovnih putova).

Budući zadaci u ovom pod-sektoru jesu:

- Održavati međunarodne plovne putove sukladno međunarodnim standardima klasa,
- Nadograditi klasu međunarodnih plovnih putova čija je klasa niža od potrebne,
- Provesti sustav usluga riječnih informacija,
- Povećati kvalitetu sustava označavanja plovnih putova,
- Primjenjivati ekološke standarde pri regulaciji i održavanju plovnih putova,
- Započeti projekt izgradnje kanala Dunav - Sava.

Hrvatskim riječnim lukama potrebna je modernizacija u smislu kvalitete i tehnologije kako bi zadovoljile postojeću i očekivanu potražnju. Osim modernizacija osnovne lučke infrastrukture, potrebno je ojačati sustav sigurnosti i nadzora u lučkom području. Luke treba povezati s glavnim cestovnim i željezničkim koridorima kako bi se ostvarila bolja integracija s gospodarskim zaledem i kako bi se stvorili preduvjeti za razvoj intermodalnog prometa.

Koncept razvoja riječkih luka temelji se na sljedećim načelima:

- Javna priroda luka, pristup lučkim kapacitetima za sve korisnike pod istim uvjetima,
- Kvaliteta usluga, tehnološka modernizacija i specijalizacija,

- Jačanje prometnih veza sa zaleđem,
- Integracija luka u logistički lanac,
- Primjena sustava nadzora i kontrole prometa i lučkih aktivnosti u lučkom području.

Da bi se riješili uočeni problemi u sustavu luka na unutarnjim plovnim putovima potrebno je napraviti sljedeće:

- Koordinirati potrebe za financijskim ulaganjima u lučku infrastrukturu i financijsku sposobnost države, i u skladu s tim investirati u prioritetne projekte i projekte koji daju bolje gospodarske rezultate u analizama troškova i koristi;
- Osigurati fleksibilnost u određivanju rokova za dodjele koncesija u slučajevima kad privatni ulagač pokazuje interes za ulaganja u lučke zgrade i objekte.
- Riješiti pitanja vlasništva u lučkom području kombinirajući otkup zemlje, podmirivanje dugova od strane Vlade, ugovore o dugoročnom iznajmljivanju i uključivanje povezanih odredbi u ugovore o koncesiji,
- Integrirati luke u sustav riječnih informacija.

Usmjerenost

Ova se prioritetna os primjenjuje na sektor unutarnje plovidbe OPP-a, i doprinosi OPP-ovom cilju pripreme projekata za unaprjeđenje i razvoj sustava unutarnje plovidbe u Hrvatskoj. Ova prioritetna os usmjerena je na:

- Unaprjeđenje uvjeta na plovnim putovima, uspostavu međunarodnog režima plovidbe,
- Razvoj objekata za prekrcaj i lučkih objekata.
- Pomoć Hrvatskoj u ispunjavanju obveza provedbe prometnog *acquisa* u sektoru unutarnje plovidbe.

Mjere:

Unutar ove prioritetne osi predložena je jedna mjera:

- **Mjera 2.1.** Modernizacija i obnova riječnih plovnih putova i lučke infrastrukture

Izvedba

Aktivnosti (projekti) koji će se financirati u sklopu Prioritetne osi 2 bit će odabrani s indikativnog popisa projekata danog u poglavlju 3.5. Operativnog programa (i odnosne identifikacijske karte projekta priložene u Dodatku 2) u skladu s općim kriterijima odabira i kriterijima specifičnim za mjeru predviđenim Operativnim programom.

Odabrane aktivnosti zatim će biti dostavljene Europskoj komisiji na odobrenje. Ako se projekt ocijeni prihvatljivim Europska komisija izdat će odluku o odobravanju za svaki pojedini projekt u kojoj će se definirati materijalni objekti i prihvatljivi troškovi na koje se primjenjuje stopa sufinanciranja za prioritetnu os. Zaključno, za svaki odobreni projekt potpisat će se Sporazum o financiranju između Europske komisije i države korisnice u kojem će se utvrditi navedeni elementi. Dopunska sredstava za ta ulaganja bit će osigurana iz nacionalnih sredstava, vanjskih zajmova i drugih izvora i modela financiranja.

Kod projekata koji ne spadaju u „glavne projekte“ (tj. projekti koji su ispod praga od 10 milijuna eura) odluku o pozivu na natječaj donosi Odbor za odabir na temelju kriterija za odabir opisanih u Operativnom programu i potvrđenih od strane Sektorskog nadzornog odbora.

Ciljevi i pokazatelji

Tablica 5 – pokazatelji za prioritetnu os 2

	Definicija	Vrsta	Mjerna jedinica	Polazni podaci	Datumi podataka	Učestalost revizija	Krajnji cilj (do 2012.)	Izvor podataka
1	Km plovnog puta rijeke Save s povećanom kategorijom plovnosti	rezultat	km	286,9	2006.	godišnje	531,9	Godišnja izvješća Agencije za unutarnju plovidbu
2	Povećani kapacitet luka	rezultat	tona	3.500.000	2006.	godišnje	5.500.000	Godišnja izvješća Lučkih uprava
3	Povećani obujam tereta	rezultat	tone ton a/km	1.600.000	2006.	godišnje	4.000.000	Godišnja izvješća Lučkih uprava

Financijska alokacija i stopa sufinanciranja:

Od ukupnih alociranih sredstava u sklopu ovog OP-a „Promet“ koja iznose ukupno 53.500.500 eura, alokacija za prioritetnu os 2 iznosi 3.750.000 eura u 2007., 1.875.000 eura u 2008. (ukupno 5.625.000 eura).

Za sektor unutarnje plovidbe predloženo je da se postave nacionalne stope sufinanciranja na 25% uz 75% IPA sufinanciranja.

3.1.4.1. Mjere unutar Prioritetne osi 2 – Unaprjeđenje sustava unutarnje plovidbe u Hrvatskoj

Mjera 2.1. – Modernizacija i obnova riječnih plovnih putova i lučke infrastrukture

Posebni ciljevi

Posebni ciljevi ove mjere su:

- Obnoviti hrvatski dio Koridora VII kako bi se ispunili kriteriji međunarodne klasifikacije, kategorije IV;
- Modernizirati i povećati kapacitete luka na Koridoru VII tako da mogu odgovoriti na rastuću potražnju za prometom.

Prihvatljive aktivnosti

Pomoć u sklopu ove mjere odnosi se na ugovore o nabavi (usluge nadzora, podrška provedbi, evaluacija natječaja, konzultantske usluge, izrada projekta za projekte koji su već identificirani, nadzor i evaluacija projekata). Aktivnosti unutar te mjere mogu se također odnositi na inspekciju, poslovanje i nadzor prometnih objekata u prometu unutarnjim plovnim putovima.

Predloženi projekti temeljit će se na indikativnom popisu glavnih projekata (poglavlje 3.5.).

Krajnji korisnik

Krajnji korisnik za mjeru 2.1. bit će Lučke kapetanije i Agencija za plovne putove unutarnjih voda.

Kriteriji odabira

Za ovu mjeru primjenjivat će se sljedeći glavni kriteriji odabira:

- Odabrani su oni projekti u kojima postoji neodložna potreba za većim kapacitetom luke ili kod kojih je očito da su lučki kapaciteti u upotrebi dosegili svoju maksimalnu razinu i trebaju biti prošireni;
- Projekti su odabrani temeljem dokaza da su lučki kapaciteti veći nego kapaciteti samog riječnog plovnog puta, te da je stoga potrebno nadograditi riječni plovni put do odgovarajuće međunarodne klasifikacijske kategorije.

Pokazatelji nadzora

Tablica 6 – pokazatelji nadzora za mjeru 2.1.

	Definicija	Vrsta	Mjerna jedinica	Polazni podaci	Vremenski podaci	Učestalost revizija	Konačni cilj Do 2012.	Izvor podataka
1	Projekti spremni za provedbu s potpunom dokumentacijom	Neposredni rezultat	broj	0	2007.	godišnje	2	Izvješća o praćenju projekta
2	Zahtjevi za odobrenje projekata popunjeni i upućeni za financiranje EU	Neposredni rezultat	broj	0	2007.	godišnje	2	Izvješća o praćenju projekta

3.2. PRIORITETNA OS 3 – TEHNIČKA POMOĆ

Svrha:

Cilj prioritetne osi TP je osigurati da Hrvatska bude sposobna provesti Operativni program, kroz sve aspekte upravljanja programom.

Cilj

Osigurati učinkovito i djelotvorno upravljanje OP-om te razviti institucionalnu sposobnost za pripremu projekata te upravljanje i apsorpciju IPA-e i budućih strukturnih fondova.

Obrazloženje

Hrvatska sposobnost upravljanja programom i projektima – od izrade preko angažiranja do poslovanja – razvija se na nacionalnoj, regionalnoj i lokalnoj razini, potpomognuto zadnjih godina kroz nekoliko programa tehničke pomoći i twinning projekata u sklopu PHARE-a, CARDS-a i bilateralne pomoći. Stručnost u praksi će i dalje rasti i postat će sastavnim dijelom, kako sve više projekata bude dolazilo na red.

Upravljanje IPA-om i posebice ovaj OP uključivat će dodatne troškove koji nisu dio tradicionalnih operativnih troškova hrvatske uprave. To uključuje: informiranje i promidžbu IPA-e; razvoj pokazatelja nadzora i sustava upravljanja informacijama o EU fondovima; izobrazba za hrvatska državna tijela u pripremi projektnih aplikacija za sredstva pomoći EU; angažiranje vanjskih, neovisnih stručnjaka za privremene i tekuće evaluacije; te troškove upravljanja i provedbe IPA programa.

Osim toga IPA je osmišljena kao prethodnica strukturnih fondova i Kohezijskog fonda i neophodno je da Hrvatska razvije kapacitete za provedbu tih fondova. IPA daje mogućnost učenja upravljanja fondovima prema pravilima EU i uspostave održive institucionalne strukture, sustava i vještina za prijelaz na strukturne fondove.

Opis

Vrste aktivnosti u ovoj prioritetnoj osi pripadaju trima osnovnim temama:

i. Specifična, podrška koordinaciji i upravljanju OP-om prilagođena korisniku, uključujući programiranje, informativne i promidžbene aktivnosti, izobrazbu za pripremu zahtjeva za financiranje projekata iz sredstava EU, identifikaciju projekata, procjenu i odabir, provedbu, financijsko upravljanje, kontrolu, nadzor, evaluaciju, revizorska izvješća i reviziju postojećih Operativnih programa;

ii. Pomoć kako bi se olakšala specifikacija, skupljanje podataka i upotreba statistika koje će biti nužne za učinkovit nadzor i evaluaciju u sklopu IPA-e i nastavno u sklopu strukturnih fondova.

Mjere

U sklopu ove osi predložena je jedna mjera:

Mjera 3.1. Upravljanje OP-om i jačanje sposobnosti

Ciljevi i pokazatelji

Tablica 7 – pokazatelji za prioritetnu os 3: tehnička pomoć

	Definicija	Vrsta	Mjerna jedinica	Polazni podaci	Vremenski podaci	Učestalost revizija	Konačni cilj (do 2012.)	Izvor podataka
1	Službenici u državnim tijelima sposobni neovisno identificirati, pripremiti i ocijeniti prijave za projekte	rezultat	broj	0	2007.	godišnje	6	MMTPR
2	Sredstva OP-a apsorbirana u sklopu operativne prioritetne osi	rezultat	%	0	2007.	godišnje	100	MMTPR

Financijska alokacija i stopa sufinanciranja:

Od ukupnih alociranih sredstava u sklopu ovog OP-a „Promet“, koja iznose ukupno 53.500.500 eura, alokacija za tehničku pomoć iznosi 255.000 eura u 2007., 255.000 eura u 2008. i 255.000 eura u 2009. (ukupno 765.000 eura).

Za tehničku pomoć predloženo je da se postave nacionalne stope sufinanciranja na 25% uz 75% IPA sufinanciranja.

Mjera 3.1. Upravljanje OP-om i jačanje institucionalne sposobnosti

Specifični ciljevi

Specifični cilj ove mjere je omogućiti učinkovito i djelotvorno upravljanje OP-om, te ojačati institucionalnu sposobnost za upravljanje i apsorpciju IPA-e i budućih strukturnih fondova.

Obrazloženje

Jedan od temeljnih ciljeva provedbe IPA-e je jačanje administrativne sposobnosti i zbog toga je neophodno da se Hrvatskoj pomogne u identificiranju, razvijanju i zadržavanju kvalificiranih i motiviranih djelatnika, radeći s učinkovitim sustavima i postupcima za dobro upravljanje programom. To će osigurati i uspješno upravljanje IPA-om i uspješan prelazak na veće izazove programiranja Strukturnih fondova i upravljanja portfeljem od potencijalno više tisuća projekata.

Opis

Ovom mjerom omogućit će se Podrška Operativnoj strukturi odnosno tijelima koja se bave provedbom prioritetne osi 1 i 2. Ta podrška bit će specifična i prilagođena aktivnostima koordinacije i upravljanja OPP-om, uključujući programiranje informativne i promidžbene aktivnosti, izobrazbu za

izradu projektnih zahtjeva za EU sredstvima, identifikaciju projekata, ocjenu i odabir projekata, podršku provedbi, financijsko upravljanje, kontrolu, nadzor, evaluaciju, revizorska izvješća i reviziju postojećih operativnih programa i izradu operativnih programa i identifikaciju projekata za naredno razdoblje financiranja. Uzimajući u obzir veliku fluktuaciju kadra unutar javne uprave i složenost poslova upravljanja programa EU u odnosu na standardni posao državnih službenika, sufinanciranje naknada državnih dužnosnika unutar operativne strukture i Odbora za izbor projekata će biti moguće pod ovom mjerom. Sufinanciranje će biti namijenjeno za unaprjeđenje znanja stranih jezika i komunikacijskih vještina, kao i posebne vještine u upravljanju EU programima

Prihvatljive aktivnosti

Namjerava se financirati, poduprijeti i konsolidirati sustave, procese i vještine za upravljanje sredstvima EU-a hrvatske javne administracije (kao budućih agencija za upravljanje, ovjeravanje, reviziju i provedbu za strukturne fondove) za ovaj OP.

Pomoć u sklopu ove mjere odnosi se na ugovore o nabavi; zamišljeno je da tehnička pomoć pokrije konzultantske usluge i davanje podrške (uključujući konzultacije, trening i druge troškove) hrvatskoj administraciji OP-a općenito i posebice operativnoj strukturi za IPA III komponentu – Promet odnosno tijelima koja se bave provedbom prioritetne osi 1 i prioritetne osi 2. Ta podrška uključivat će aktivnosti izobrazbe za:

- a. Neovisnu identifikaciju, pripremu i procjenu projekata i operativnih programa (uključujući reviziju postojećih operativnih programa) u relevantnim sektorima za buduća razdoblja financiranja, te izradu dotičnih projektnih zahtjeva od strane timova zaposlenika u nacionalnim tijelima (operativna struktura) kako bi se stvorila baza nacionalne ekspertize u tom polju;
- b. Provedba studija pred-izvedivosti i izvedivosti, procjena učinka na okoliš, analiza troškova i koristi, financijskih i ekonomskih analiza, preliminarnih nacрта, studija priuštivosti, studija o konsolidaciji sektora;
- c. Provedba i kontrola, uključujući upravljanje nabavom i ugovorima (uključujući podršku operativnoj strukturi, korištenje nadzornih inženjera itd.);
- d. Nadzor, uključujući razvoj struktura nadzora, organizacije i administracije nadzornih odbora i razvoj sustava upravljanja informacijama;
- e. Evaluacija, posebice vanjski evaluatori angažirani za privremene i tekuće evaluacije;
- f. Pripremu i provedbu informativnih i promidžbenih aktivnosti;
- g. Naknada troškova državnih službenika.

Pomoć bi dodatno mogla uključivati i usluge pismenog i usmenog prevođenja te logističke troškove i nabavku opreme vezane za rad nadzornih odbora.

Kriteriji odabira

Pomoć će se osiguravati onim aktivnostima koje će imati najveći učinak učenja posebice u odnosu na stjecanje znanja i iskustva u pripremi/ocjeni projekata.

Krajnji korisnici

Primarni korisnici ove mjere su tijela unutar operativne strukture – Ministarstvo mora, turizma, prometa i razvitka, HŽ Infrastruktura, Središnja agencija za financiranje i ugovaranje, Agencija za plovne putove unutarnjih voda i članovi nadzornih odbora i odbora za odabir.

Pokazatelji nadzora

Tablica 8 – pokazatelji nadzora za mjeru 3.1.

	Definicija	Vrsta	Mjerna jedinica	Polazni podaci	Vremenski podaci	Učestalost revizija	Konačni cilj (do 2012.)	Izvor podataka
1	Održan trening za službenike javne uprave	Neposredn i rezultat	broj	0	2007.	godišnje	10	SDURF
2	Organizacija promidžbenih događanja (tiskovne konferencije, seminari, TV / radio emitiranje)	Neposredn i rezultat	broj	0	2007.	godišnje	10	SDURF
3	Sastanci nadzornih odbora	Neposredn i rezultat	broj	0	2007.	godišnje	10	SDURF
4	Prijave za projektima u prometu ocijenjeni i dostavljeni od strane operativne strukture	Neposredn i rezultat	broj	0	2007.	godišnje	4	SDURF

3.3. HORIZONTALNA PITANJA

3.3.1. Jednake mogućnosti za muškarce i žene

U rujnu 2006. Vlada RH donijela je Nacionalnu politiku za promicanje ravnopravnosti spolova 2006. - 2010. Cilj te strategije, koja je posebice relevantna za IPA komponente III i IV, uključuje smanjenje nezaposlenosti žena i uklanjanje diskriminacije, promicanje ženskog poduzetništva i poboljšanje provedbe relevantnog radnog zakonodavstva. U njoj se također jačaju i promiču mjere kojima se podržava usklađivanje profesionalnih i obiteljskih obveza.

Vlada je također usvojila strateški dokument o glavnim zadacima tijela državne uprave u procesu pristupanja EU 2004. – 2007., od kojih se jedan odnosi na jačanje suradnje između mehanizama države i lokalne uprave u promicanju jednakosti spolova te na kontinuiranu suradnju s nevladinim organizacijama aktivnim u području ravnopravnosti spolova.

Tražiti će se uključenost društva i zajednice u izgradnju infrastrukture, poslovanje i održavanje a sve u svrhu doprinosa smanjivanju nezaposlenosti i uklanjanju siromaštva. Mogućnosti zapošljavanje mogu se poboljšati na održiv način, putem zapošljavanja hrvatske radne snage (muškaraca i žena) na poslovanju i održavanju infrastrukture, posebice u fazi nakon izgradnje.

3.3.2. Održivi promet

Željeznica i unutarnja plovidba predstavljaju najprimjereniju vrstu prometa za prijevoz rasutog tereta na veće udaljenosti (ekonomija razmjera). Međutim, prihvaćeno je da u uvjetima slobodnog tržišta i slobodnog odabira vrste prijevoza na europskom prometnom tržištu, željeznica i unutarnja plovidba moraju operirati komercijalno i odgovarati

Ključ za održivu prometnu politiku je:

- komercijalizirati poslovne aktivnosti;
- osigurati prometnu sigurnost i zaštitu okoliša;
- ostvariti uravnoteženu pokrivenost područja s prijevoznim uslugama;
- uvesti određivanje cijena prometa na temelju korištenja resursa;
- primjenjivati načelo korisnik plaća, i
- promicati korištenje energetski najučinkovitije vrste prijevoza.

potrebama klijenta kako bi se nosili s konkurencijom alternativnih vrsta prijevoza i stvarali dovoljne prihode da bi bili održivi.

3.3.3 Sigurnost prometa i okoliš

- Samo siguran i za okoliš prihvatljiv promet je održiv promet. Bijela knjiga⁶⁸, zapravo, stavlja korisnike prometa u središte prometne politike, odnosno smanjivanje broja nesreća i razvoj čišćih tehnologija.

OP se, usvojivši proaktivnu politiku u tom smislu, koncentrira na poboljšanja energetske učinkovitosti prijevoznika rasutog tereta – željeznicom i rijekom - promičući u isto vrijeme multimodalna prometna rješenja, s riječnim i željezničkim prometom kao dugoročnom perspektivom prometnih trendova.

Kako bi se suzbile postojeće razvojne poteškoće prometa u Hrvatskoj, posebice nejednak rast pojedinih vrsta prijevoza, OP stavlja naglasak na revitalizaciju željeznice, prije nego što bi ekonomski razvoj u kombinaciji s predviđenim ulaskom u EU mogao pogoršati loš tržišni položaj željeznice. OP time slijedi strategiju sektorske održivosti usvojenu od strane Europskog vijeća u Gothenburgu u lipnju 2001.

Utjecaj prometa i prometnih postrojenja na prirodni okoliš prati se u Hrvatskoj od 1980. To se praćenje odnosi na biosferu (floru i faunu), hidrosferu (tlo, vode, more) i atmosferu (zrak). Osnovni ciljevi su uspostava razumnog i uravnoteženog prometnog sustava, sposobnog za ublažavanje negativnih učinaka poput:

- onečišćenja zraka, podzemnih voda i tla,
- neracionalne potrošnje energije,
- smanjenja kvalitete života, posebice u gradovima,
- štete za okoliš i prirodu,
- neprimjerenog korištenja zemljišta,
- vizualne degradacije krajolika.

Svi ti rizici doveli su do uvođenja strogih kriterija za registraciju putničkih vozila i teretnjaka.

Prometni OP fokusira se na željeznicu i unutarnju plovidbu, kao sredstva za uklanjanje prijevoza tereta s cestovne mreže, posebice za promet na velikim udaljenostima. Održivi promet opisan je kao osiguravanje zaštite okoliša, uvođenjem cijena temeljenih na korištenju resursa, usvajanje načela korisnik plaća i promicanjem korištenja energetske najučinkovitijeg prometa. Željeznica je prikazana kao energetske štedljiv, čist i siguran oblik prijevoza.⁶⁹

Republika Hrvatska provodi procjenu učinka na okoliš (PUO) za pojedinačne trendove od 1984., kad je postupak definiran Zakonom o prostornom planiranju i razvoju. Od 1994. kad je donesen Zakon o zaštiti okoliša (NN 94/94, 128/99), procjena učinka na okoliš uređena je tim Zakonom i njegovim provedbenim propisima. Provedbeni propis na snazi kojim se provodi je Pravilnik o procjeni učinka na okoliš (NN 59/00, 136/04, 85/06). Zakon i Pravilnik djelomično uključuju odredbe Direktive Vijeća 85/337/EEZ od 27. lipnja 1985. izmijenjene i dopunjene Direktivama 97/11/EEZ i 2003/35/EZ o procjeni učinaka određenih javnih i privatnih projekata na okoliš koja se odnosi na: uspostavu nadležnih tijela, PUO u prekograničnom kontekstu, opis PUO postupka, i procjenu izravnih i neizravnih učinaka.

⁶⁸ Bijela Knjiga, Europska prometna politika do 2010: vrijeme za odluke, Bruxelles, 12.9.2001., COM(2001) 370 konačna

⁶⁹ Ex-ante evaluacija IPA Operativnih programa za Hrvatsku, Operativni program „Promet“, travanj 2007.

Prenošenje preostalih odredaba Direktive u hrvatsko zakonodavstvo osigurat će se donošenjem novog Zakona o zaštiti okoliša u 2007., te provedbenim propisom o procjeni utjecaja na okoliš. CARDS 2003 projekt „Smjernice i izobrazba za PUO” pruža pomoć pri prijenosu Direktive 85/337/EEZ.

Donošenjem novog Zakona o zaštiti okoliša i s njim povezanih provedbenih propisa:

- prenijet će se odredbe Direktive 2001/42/EZ Europskog parlamenta i Vijeća od 27. lipnja 2001. o procjeni učinaka određenih planova i programa na okoliš;
- prenijet će se odredbe Direktive Vijeća 96/61/EZ od 24. rujna 1996. o integriranoj prevenciji i kontroli zagađenja (IPPC).

Uz to je predviđeno prenošenje Direktive 2004/35/EZ Europskog parlamenta i Vijeća od 21. travnja 2004. o ekološkoj odgovornosti glede sprječavanja i uklanjanja ekoloških šteta. U Hrvatskoj su već na snazi priznata načela zaštite okoliša, uključujući i načelo zagađivač plaća.

3.3.4. Jednakost u pružanju prometnih usluga

Prometna infrastruktura je neophodna za ekonomski i socijalni razvoj i razmjenu među regijama. Ona predstavlja instrument regionalnog razvoja, olakšava protok robe kao i pristup ljudi zapošljavanju, zdravlju, obrazovanju i rekreaciji. Iskustva iz prethodnih proširenja EU jasno dokazuju da je poboljšani ruralni/regionalni pristup i povezanost rubnih regija s arterijskom mrežom neophodan za ekonomsku i socijalnu koheziju i smanjivanje regionalnih razlika. U tu povezanost spada i prekogranični promet sa susjednim državama.

Sektorski pristup iz ovog OP-a osigurat će, stoga, programiranje koje odgovara ekonomskoj potražnji i socijalnim potrebama kao i potrebama integracije mreže te zahtjevima interoperabilnosti.

3.3.5. Uravnotežena struktura vrsta prijevoza

Budući da je infrastruktura skupa, bitno je postići održivost sektora usvajanjem održivih standarda za infrastrukturu koji će pomoći u promicanju uravnotežene strukture vrsta prijevoza koja odražava inherentne troškove i operativne prednosti različitih vrsta prijevoza u Hrvatskoj. To podrazumijeva da će narušavanje troškova biti postupno smanjivano po vrstama prijevoza i umjesto njega uvođen će se utemeljenost cijena na troškovima za različite vrste prijevoza, vodeći računa o troškovima infrastrukture kao i o eventualnim vanjskim troškovima nastalim u društvu kao cjelini, te primijeniti *načelo korisnik plaća* kad god je to izvedivo.

U Hrvatskoj se već primjenjuje načelo „zagađivač plaća“. Od 2001. svako motorno vozilo mora proći godišnji eko-test u skladu s tehnološkim standardima EU (Direktiva Vijeća 96/96/EZ od 2. prosinca 1996.) kako bi se kontrolirala i definirala razina zagađenja. Plaća se ekološki porez za svako registrirano vozilo, ovisno o starosti vozila. Ubiranje tog poreza povjereno je Fondu za energetske učinkovitost i zaštitu okoliša. Načelo „zagađivač plaća“ primjenjuje se od uvođenja sustava cestarina za autoceste u Hrvatskoj.

Osiguravanje prihoda od pristojbi koje plaćaju korisnici podrazumijeva da više nema intervencija Vlade u cijene kako bi se uklonilo narušavanje cijena, a time i narušavanje tržišnog natjecanja. Sukladno tom načelu, naplaćivanje pristojbi u riječnim lukama za korištenje pristaništa usklađeno je s europskom praksom i svi brodovi, neovisno o državljanstvu, plaćaju istu pristojbu čiji je iznos javan.⁷⁰

⁷⁰ MMTPR

3.3.6. Energetski učinkovit promet

Hrvatska vlastita proizvodnja energije zadovoljava samo polovicu njezinih potreba i njezina ponuda primarne energije u stalnom je padu. Povrh toga, Hrvatska troši značajno više energije po jedinici BDP-a od prosjeka EU-a. Shodno tome, potrebno je obratiti dužnu pozornost na poticanje energetske učinkovitosti u prometu fokusiranjem na poboljšanje željezničkog prometa i unutarnje plovidbe.

3.3.6.1. Komercijalizacija

Osim matičnog društva, postoji ukupno 17 povezanih društava podružnica Holdinga Hrvatskih željeznica, koje su u 100% ili većinskom državnom vlasništvu, s ukupno 21 000 zaposlenih⁷¹. Usmjerenost prema komercijalizaciji traži od HŽ-a da nađe način izdvajanja djelatnosti koje nisu osnovne. Time će se omogućiti koncentracija resursa na osnovnu djelatnost željezničke usluge i prenošenje više usluga u privatni sektor. Kao dodatno sredstvo za ostvarivanje održivosti može se uvesti ugovaranje za željezničke usluge, poput prodaje karata, dostave tereta ili održavanje voznog parka. Nadalje, dugoročna održivost podrazumijeva pronalaženje rješenja za probleme vezane za nerentabilne lokalne željezničke pruge.

Mjere modernizacije i restrukturiranja nacionalne željeznice u tom smislu počele su u 1998. i bit će dalje razvijane u sklopu PAL 2005-2007 Svjetske banke, koji se bavi restrukturiranjem HŽ-a.

Luke, pak, predstavljaju važno sučelje, posebice između riječnog i cestovnog prometa. Prenos djelatnosti u privatni sektor predstavlja važan korak prema održivosti, i u sektoru unutarnje plovidbe i u riječnim lukama. Međunarodno iskustvo i praksa pokazuju da prihvaćanje komercijalnog upravljanja i intenzivnog dijaloga s korisnicima luka može smanjiti troškove rukovanja teretom i vrijeme prekrcaja u lukama, kao najvažnijim čvornim točkama za razvoj intermodalnog prometa. U tom je pogledu u Hrvatskoj ostvaren veliki napredak. Administrativne funkcije luke su sad u državnim lučkim upravama i jasno su odvojene od komercijalnog poslovanja luke. Upravljanje lukama, razvoj osnovne infrastrukture i osiguravanje odgovarajućeg pristupa lukama odgovornost je lučke uprave, javnog tijela pod nadzorom MMTPR-a, dok su komercijalne aktivnosti dane u dugotrajne koncesije privatnim lučkim operaterima.

3.3.7. Sudjelovanje civilnog društva i geografska, sektorska i tematska koncentracija

Sudjelovanje predstavnika civilnog društva, uz ostale relevantne institucije, u izradi Operativnog programa opisana je u poglavlju 1.3. Partnerske konzultacije. Detaljan opis načela koncentracije primijenjen u ovom OP-u dan je u poglavlju 1.2.3.

3.4. KOMPLEMENTARNOST I SINERGIJA S DRUGIM OBLICIMA POMOĆI

OPP će pridonijeti ostvarivanju općih IPA ciljeva za Hrvatsku poboljšanjem uvjeta za rast i zapošljavanje unaprjeđenjem prometa te administrativne sposobnosti. U tom smislu sinergija OPP-a s drugim operativnim programima unutar OUS koji pridonose povećanju i poboljšanju kvalitete ljudskog kapitala, razvoju inovacija i društva znanja vodeći računa o prilagođavanju ekonomskim i socijalnim promjenama.

OPP pridonosi *jačanju ekonomske integracije* razvojem prometne infrastrukture i poboljšanjem pristupa uslugama općeg interesa, unaprjeđenjem javne uprave za bolje kvalitetu javne politike kao i dizanjem standarda osposobljenosti unutar prometnog sektora u Hrvatskoj.

⁷¹ Hrvatske željeznice holding

3.4.1. Komplementarnost i sinergija s drugim operativnim programima OUS-a

Sva četiri operativna programa u sklopu IPA komponente III i IV (Regionalna konkurentnost, Promet, Okoliš i razvoj ljudskih potencijala) međusobno su ovisni, budući da je izvedba svih programa zajedno ključni preduvjet za postizanje održivog razvoja. U tom smislu oni su integrirani u svom doprinosu hrvatskoj gospodarskoj, ekološkoj i sociološkoj budućnosti.

Komplementarnost i sinergija između ta četiri OP-a najočiglednija je u svjetlu Okvira za usklađivanje strategija 2007.-2013. (OUS) budući da je njegov glavni zadatak osigurati konzistentnost između prioriteta / aktivnosti u sklopu IPA komponenti III i IV. Prema OUS-u Operativni program „Promet“ usklađen je s druga tri OP-a na sljedeći način:

Regionalna konkurentnost

Odgovarajuće razvijena prometna infrastruktura preduvjet je za ekonomski razvoj, privlačenje investicija i poboljšanje kvalitete života tj. za jačanje infrastrukture vezane za poslovanje te osnovne komunalne i socijalne infrastrukture.

Razvoj osnovne infrastrukture preduvjet je rasta proizvodnih ulaganja i poduzetničkih aktivnosti. Osim toga, ulaganja provedena tijekom OPP-a stvorit će mogućnosti za jačanje razvoja malog i srednjeg poduzetništva, te poboljšati investicijsku klimu i povećati interes domaćih i stranih investitora.

Okoliš

Razvoj prometnih veza i vrsta prometa, s jedne strane je nužan preduvjet ekonomskog razvoja, dok s druge strane prometni sektor ima veliki utjecaj na okoliš (primjerice udio prometa u onečišćenju zraka porastao je prosječno za 20% u razdoblju od 1990. do 1998.). Odgovarajuće razvijena prometna infrastruktura također je preduvjet održivom razvoju regionalnih centara za otpad. U tom smislu razvoj održivog prometa usko je povezan sa zaštitom i očuvanjem okoliša; stoga je naglasak stavljen na razvoj sustava željeznice i unutarnjih plovnih putova. To je također u skladu sa strategijom promicanja multimodalnog prometa i generiranja učinaka preusmjerenja prometa, s cestovnog kao visokog zagađivača na energetske učinkovite željeznički/riječni promet.

Ljudski potencijali

Ulaganja u prometnu infrastrukturu trebala bi stimulirati kratkoročno zapošljavanje u građevinarskom sektoru, ali i gospodarsku aktivnosti unutar regija korisnica. U oba slučaja, važno je da potražnji za radnom snagom odgovara ponuda radne snage. Jačanje institucionalne sposobnosti i učinkovitosti javne uprave i javnih usluga na nacionalnoj, regionalnoj i lokalnoj razini s obzirom na usluge i ulaganja povezana s prometnim sektorom drugi je preduvjet za provedbu prioriteta OPP-a i razvoja općenito (imajući u vidu da će se aktivnosti vezane uz jačanje institucionalne sposobnosti provoditi kroz IPA komponentu I – kako je definirano u IPA Provedbenoj uredbi).

Sva četiri OP-a dakle imaju određene zajedničke ciljeve općeg karaktera – pomoći relevantnim institucijama da postignu spremnost za članstvo u EU te razviju institucionalnu sposobnost za njega te steknu praktično iskustvo za upravljanje intervencijama Strukturnih fondova, to jest sudjeluju u Kohezijskoj politici EU.

3.4.2. Komplementarnost i sinergija s drugim komponentama IPA-e

Naglašena je komplementarnost s drugim OP-ovima, posebice za regionalni razvoj i ljudske potencijale, s naglaskom na postizanje konkurentnosti i održivosti putem ekološki prihvatljivog prometa.⁷²

Osim poveznica između operativnih programa pokrivenih OUS-om, postoji jasna i izrazita komplementarnost OP-a s druge tri komponente IPA-e:

IPA Komponenta I – Pomoć u tranziciji i izgradnja institucija

Jačanje institucionalne sposobnosti i učinkovitosti javne uprave i javnih službi na nacionalnoj, regionalnoj i lokalnoj razini s obzirom na politiku i ulaganja vezana za prometni sektor preduvjet je za provedbu prioriteta OPP-a općenito. Stoga će se uspostaviti i osigurati snažna povezanost između pomoći jačanju institucija u sklopu Komponente I – čiji je glavni zadatak poduprijeti jačanje sposobnosti nadležnih tijela na regionalnoj i lokalnoj razini za usklađivanje s prometnim acquisem i njegovu provedbu – i Komponente III.

IPA Komponenta II – Regionalna i prekogranična suradnja

S obzirom na prirodu prometnih projekata mogu se postići značajni regionalni učinci putem prometne politike, posebice u slučaju projekata vezanih za pod-sektor željeznice i u pogledu velikih projekata (koji imaju snažni prekogranični učinak) i u pogledu malih projekata (koji pokrivaju područja između regija). U tom smislu osigurat će se koordinacija između Komponente III (Promet) i Komponente II (Prekogranična suradnja). (vidi odjeljak 5)

IPA Komponenta V – Ruralni razvoj

Razvoj prometne infrastrukture preduvjet je za gospodarski razvoj, privlačenje investicija i poboljšanje kvalitete života, odnosno za jačanje razvoja ruralne infrastrukture. Razvoj osnovne infrastrukture preduvjet je rasta proizvodnih ulaganja i ruralnih aktivnosti. Osim toga, ulaganja provedena tijekom OPP-a stvorit će mogućnosti za jačanje razvoja u ruralnim područjima i područjima s niskom naseljenošću, te poboljšati investicijsku klimu i povećati interes domaćih i stranih investitora.

Strukture koordinacije

Predložen je veći broj institucionalnih struktura kako bi se potakla komplementarnost i koherentnost između različitih komponenti IPA-e i OP-a „Promet“. Nacionalni IPA koordinator osigurava partnerstvo između Komisije i države korisnice i usku povezanost između općeg procesa pristupanja i korištenja pomoći te snosi opću odgovornost za koherentnost i koordinaciju programa. SDURF, na čijem je čelu nacionalni IPA koordinator, ima opću odgovornost za koordinaciju programa i aktivnosti nadzora programa u sklopu IPA programa u Hrvatskoj. Odjel u SDURF-u za programe EU-a namijenjene jačanju institucionalne sposobnosti za pridruživanje odgovoran je za koordinaciju IPA komponenti I, II i V. Odjel za programe EU-a namijenjene promicanju gospodarske i socijalne kohezije ima odgovornost za koordinaciju IPA komponenti III i IV. Strateški koordinator, pod nadležnosti nacionalnog IPA koordinator, odgovoran je za koordinaciju pomoći dane u sklopu komponente regionalni razvoj i komponente ljudski potencijali.

Glede metoda koordinacije, IPA Nadzorni odbor obavljat će funkciju općeg koordinatora pomoći dane u sklopu IPA programa. Koordinacija će biti osigurana s jedne strane raspravom o provedbi/napretku/ učinku svake IPA komponente te s druge strane sudjelovanjem predstavnika tijela koja su na čelu svake od IPA komponenti (operativne strukture), NIPAK, NDO, EK u Nadzornom odboru. Sektorski nadzorni odbori za promet bit će uspostavljen i podnositi će izvješća IPA Nadzornom odboru. Služit će i kao glavno sredstvo koordinacije budući da će, između ostalih,

⁷² Ex-ante evaluacija Operativnih programa u okviru programa IPA za Hrvatsku, Operativni program „Promet“, travanj 2007.

uključivat predstavnike EK, NIPAK, NDO i strateškog koordinatora za komponente III i IV. Osim toga, pod izravnom odgovornošću NIPAK-a / strateškog koordinatora održavat će se redovni koordinacijski sastanci za IPA komponente III i IV.

U pogledu koordinacije na razini projekata, primjenjuje se standardno pravilo kojim se sprječava financiranje nekog projekta iz više od jednog izvora EU-a. Kako bi se izbjeglo preklapanje i ojačala sinergija između mjera, nastojalo se ojačati učinak ograničenih IPA sredstava dostupnih Hrvatskoj. Koordinacija ovog Operativnog programa s drugim operativnim programima imat će za posljedicu ne samo izbjegavanje nepotrebnog preklapanja nego i poticanje mogućih komplementarnosti i sinergija.

Koordinacija aktivnosti koje provode međunarodne financijske institucije (MFI) i drugi donatori osigurana je kroz cijeli programski ciklus. U fazi programiranja, i SDURF i Ministarstvo financija koordiniraju izradu strategija i projekata financiranih od strane EU-a i MFI-a kako bi se izbjeglo dupliciranje i ostvarile maksimalne sinergije. U fazi provedbe, predstavnici Ministarstva financija bit će uključeni u IPA Nadzorne odbore za projekte koje financiraju MFI, dok će predstavnici SDRUF-a sudjelovati na sastancima za praćenje napretka organiziranim od strane Ministarstva financija za projekte koji se financiraju inozemnim zajmovima i kreditima, kao i u revizorskim misijama MFI-a. Predstavnici ministarstva bit će, po potrebi, na raspolaganju kao revizori/evaluatori za revizijske ili evaluacijske misije organizirane od strane Europske komisije.

Povrh toga, državni tajnik ima funkciju zamjenika glavnog pregovarača za pristupanje EU, dok je zamjenik državnog tajnika sektorski koordinator za Komponente III i IV kao i član radne skupine za poglavlje 22. Regionalna politika i koordinacija strukturnih instrumenata. Izravnu povezanost s procesom pregovora o pristupanju EU omogućuje SDURF-u osiguravanje bliske veze između fondova EU-a i prioriteta pregovaračkog procesa kroz svih pet IPA komponenti.

3.4.3. Komplementarnost s ostalom pomoći EU-a

Općenito, pomoć EU Hrvatskoj razvila se iz poslijeratne pomoći za obnovu i humanitarne pomoći (u kasnim 90.-tim) preko pomoći za stabilizaciju i pridruživanje (CARDS program 2001-2004) do korištenja tri pretpriputna programa (Phare, ISPA i SAPARD za 2005. i 2006).

U sklopu nacionalne komponente CARDS programa u Hrvatskoj u razdoblju 2001.-2004. promet nije bio prepoznat kao jedan od prioritetnih sektora, unatoč tome u sklopu regionalne komponente tog programa provedena je Regionalna studija o infrastrukturi za Balkan (REBIS). REBIS studija je značajna, budući se fokusira na razvoj multimodalne „Osnovne regionalne prometne mreže Jugoistočne Europe“ i kao takva postavlja temelje za daljnji razvoj mreže.

Otvaranjem pretpriputnih programa u 2005. postala je dostupna pomoć i za jačanje institucionalne sposobnosti i za ulaganja u prometnu infrastrukturu. Phare program fokusira se na usklađivanje hrvatskog zakonodavstva s *acquisem* EU-a u području pomorske i željezničke politike, kao i na jačanje sposobnosti za provedbu *acquisa* u tijelima državne uprave relevantnim za provedbu.

Phare

U nastavku se daje opis ključnih Phare projekata koji se odnose na izradu zakonodavnog okvira:

Phare 2005 : Sigurnost na moru: Jačanje upravne sposobnosti za upravljanje i nadzor nad plovilima
Ovaj projekt predstavlja inicijativu za jačanje administrativne i tehničke učinkovitosti pomorske administracije. Odnosi se na upravljanje plovilima, posebice plovilima koja nose opasan ili teret koji bi mogao prouzročiti onečišćenje. Sukladno tome taj projekt doprinosi provedbi *acquisa* u Hrvatskoj,

čime pomaže Hrvatskoj kao državi kandidatu za članstvo u EU u ispunjavanju političkih i ekonomskih kriterija za članstvo.

Phare 2006: Sigurnost na moru: Jačanje upravne sposobnosti za upravljanje i nadzor nad plovilima faza II

Ovaj projekt, koji ima za cilj potpunu primjenu zahtjeva iz Direktive 2002/59/EZ Europskog parlamenta i Vijeća kojom se uspostavlja sustav Zajednice za nadzor i informiranje i kojom se opoziva Direktiva Vijeća 93/75/EZ, podijeljen je u dva dijela: dio koji se odnosi na tehnička pitanja sustava nadzora prometa plovila i informiranja (VTMIS) i dio koji se odnosi na jačanje institucionalne sposobnost hrvatske pomorske administracije vezano za nadzor plovila kao i za primjenu države – zastave.

Phare 2006: Restrukturiranje i razvoj hrvatskog željezničkog sustava u okviru europskog zakonodavstva

Projekt pruža tehničku pomoć, potporu i obuku za Ministarstvo mora, turizma, prometa i razvitka te predviđa tijela i institucije u području restrukturiranja i regulacije željeznice.

ISPA

U sklopu **ISPA** programa sufinancira se projekt većih ulaganja u infrastrukturu na željezničkom Koridoru X, koji se fokusira na rehabilitaciju željezničke pruge u istočnoj Slavoniji od Vinkovaca do Tovarnika na granici sa Srbijom, u dužini od 34,5km čime se utire put budućim ulaganjima u prometni sektor u sklopu OPP-a za razdoblje 2007.-2009. (IPA program).

Radovi u ISPA projektu obuhvaćaju ulaganja od ukupno 75.761 milijuna eura uz 38% IPA udjela.

Nadalje, u sklopu ISPA „Priprema liste projekata za program IPA – promet“ dostupna su sredstva tehničke pomoći za analizu izvedivosti cijele preostale dužine Koridora X u Hrvatskoj.

3.4.4. Ostale povezane intervencije donatora

3.4.4.1. Željeznica

Zajmovi EBRD-a i IBRD-a prošireni su za oporavak nacionalne željezničke kompanije u sklopu projekta modernizacije i restrukturiranja željeznice za razdoblje 1998.-2002., na sljedeći način:

- Zajam IBRD-a 4433 za obnovu i modernizaciju željezničke infrastrukture i zbrinjavanje viška zaposlenika (85,4 milijuna eura);
- Zajam EBRD-a 730 za modernizaciju željezničkih lokomotiva (35 milijuna USD).

S tim u vezi Hrvatski je sabor donio Strategiju restrukturiranja i modernizacije Hrvatskih željeznica 2000. – 2005. kako bi se nastavila provedba i ostvarivanje ciljeva projekta restrukturiranja. Trenutne aktivnosti u tom pogledu su:

- Razdvajanje djelatnosti prijevoza od upravljanja infrastrukturom, odvajanje osnovnih od djelatnosti koje nisu osnovne, osnivanje novih društava za djelatnosti koje nisu osnovne i njihovo pripremanje za privatizaciju, smanjenje broja zaposlenih, smanjenje putničkih usluga koje nisu financijski održive, promicanje poslova s nekretninama, mjere za financijsku konsolidaciju s ciljem slabljenja financijskog opterećenja za državni proračun;
- Restrukturiranje Hrvatskih željeznica (HŽ) u okviru uvjeta PAL-a, Svjetska banka, 2005-2007.

3.4.4.2. Unutarnja plovidba

Do ovog trenutka strani donatori nisu sudjelovali u sektoru unutarnje plovidbe.

3.4.5. Dopunske aktivnosti MMTPR-a

MMTPR trenutno financira ili će financirati sljedeće aktivnosti iz vlastitih sredstava ministarstva.

U tijeku

Riječni promet:

- Petogodišnji plan za razvoj plovih putova i petogodišnji plan za razvoj unutarnjih luka,
- Akcijski plan za riječni promet (provedba NAIADES-a)

Željeznica:

- Priprema Nacionalnog programa za željezničku infrastrukturu.

Planirano za razdoblje OP-a

Željeznica:

- Preliminarni projekt za dionicu Zaprešić -Savski Marof (na željezničkom Koridoru X),
- Izrada studije izvedivosti i preliminarni tehnički nacrti za prioritetni projekt R3 s indikativnog popisa projekata (Sustav signalno-sigurnosnih uređaja na zagrebačkom glavnom kolodvoru)

Riječni promet:

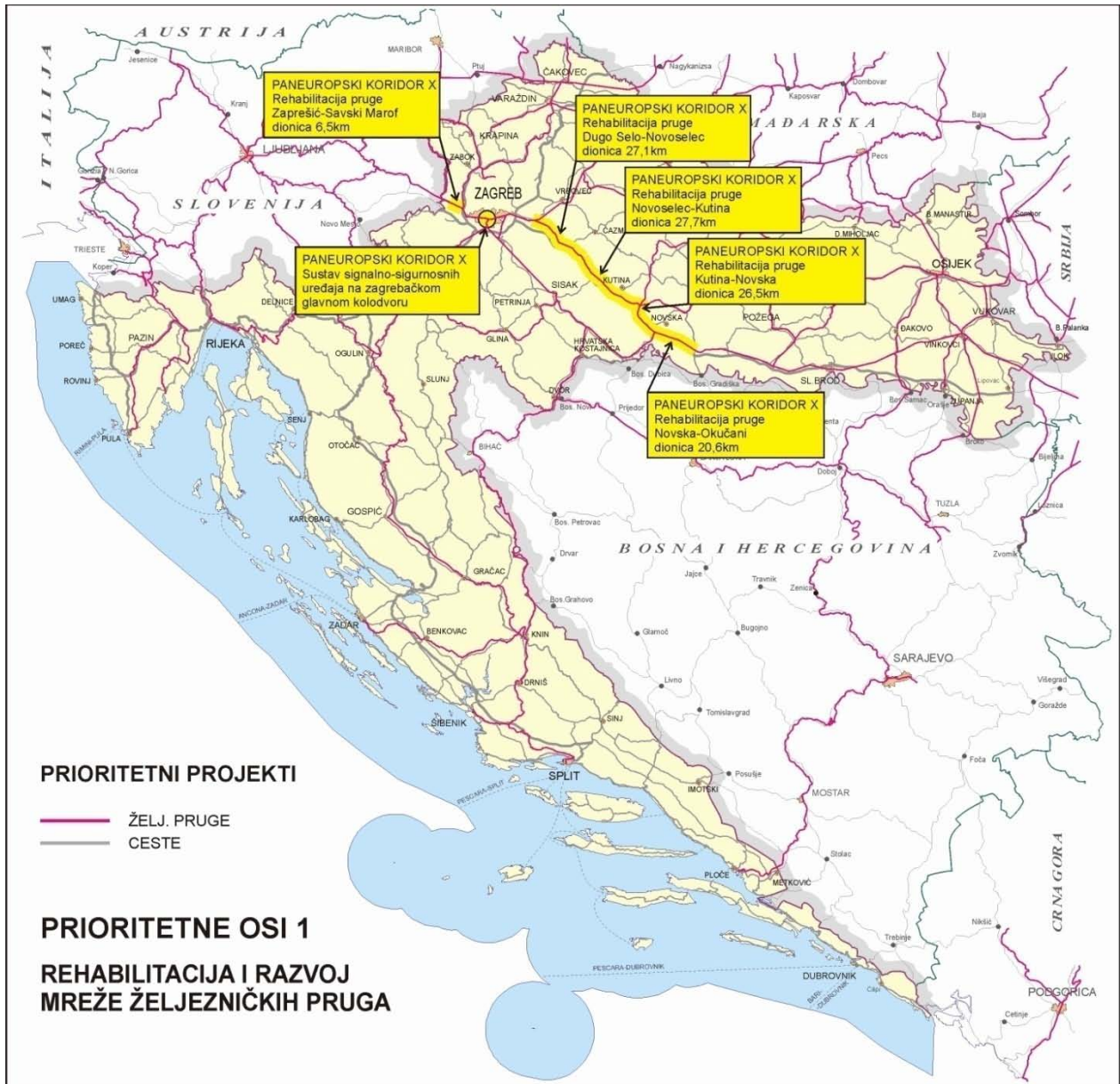
- Izrada akcijskog plana za riječni promet (provedba NAIADES-a);
- Projektna dokumentacija i studija o izgradnji postrojenja za uklanjanje tekućeg otpada iz plovila u hrvatskim riječnim lukama.

3.5. INDIKATIVNI POPIS VELIKIH PROJEKATA (2007.-2009.)

Glede prioritetne osi 1 svi projekti ulaganja u željeznice su smješteni uzduž Paneuropskog koridora X i predstavljaju prirodni nastavak aktivnosti pokrenute u siječnju 2007. odnosno projekta rehabilitacije i modernizacije dionice pruge od Vinkovaca do Tovarnika i državne granice sufinanciran u sklopu ISPA-e.

Glede **Prioritetne osi 2 „Unaprjeđenje sustava unutarnje plovidbe u Hrvatskoj“**, predviđeni projektni prijedlozi smješteni su na Pan-europskom koridoru VII. Iako je neodložno potrebna obnova za čitav koridor u Hrvatskoj, trenutno niti jedan projekt nije dostatno zreo za financiranje u sklopu OPP-a 2007.-2009. Potrebna projektna dokumentacija za projektne prijedloge bit će pripremljena unutar ovog OPP-a zajedno s *tekućom studijom pred-izvedivosti o „Plovnosti rijeke Save“ koju provodi Komisija za rijeku Savu*, što bi moglo rezultirati održivim projektnim prijedlozima koje bi se moglo uvrstiti u kasnije razdoblje programiranja za 2010.-2012.

Slika 7– Lokacija prioritarnih željezničkih projekata



INDIKATIVNI POPIS GLAVNIH ŽELJEZNIČKIH PROJEKATA:

Naziv projekta		Vrsta	Podrška kroz tehničku pomoć	Procjena - ukupno u milijunima eura	Mjera	Komentari	Status
1	<u>Projekt 1:</u> Sustav signalno-sigurnosnih uređaja na zagrebačkom glavnom kolodvoru	izgradnja	Nacionalna sredstva	17,90	Mjera 1.2.	Ovaj projekt ima za cilj prilagodbu tehničkih parametara na željezničkoj stanici zahtjevima transeuropskih mreža. Osnovna korist koja se očekuje od ovog ulaganja je smanjivanje operativnih troškova infrastrukture putem smanjivanja broja kolodvorskog osoblja na Koridoru X. Ovaj je projekt identificiran u studiji REBIS. On uključuje sve potrebne rekonstrukcije i prilagodbe uređaja.	Priprema se za financiranje u proračunskim godinama 2007. i 2008.
2	<u>Projekt 2:</u> Obnova dionice pruge Okučani - Novska	izgradnja	Nacionalna sredstva	38,50	Mjera 1.1.	Zadnji remont pruge na dionici željezničke pruge Okučani – Novska proveden je prije 30 godina. Na jednom dijelu dionice brzina je smanjena na 60 km/h. Nakon predložene obnove, brzina bi bila povećana na 160 km/h, a osovinsko opterećenje na 225 kN. Ti radovi uključuju sve aktivnosti na obnovi potrebne kako bi dionica ispunjavala kriterije definirane za željezničke koridore (AGC kriteriji).	Priprema se za financiranje u proračunskim godinama 2008. i 2009.

Naziv projekta	Vrsta	Podrška kroz tehničku pomoć	Procjena - ukupno u milijunima eura	Mjera	Komentari	Status
3 <u>Projekt 3:</u> Rehabilitacija pruge Novska - Dugo Selo	Izgradnja	ISPA tehnička pomoć	135,00	Mjera 1.1.	<p>Ovaj se projekt može podijeliti u tri faze. Uslijed stanja pruge operativna brzina na toj dionici smanjena je na 70 km a povremeno i na niže. Zadnje održavanje provedeno je u razdoblju 1979.-1980. Taj bi projekt trebao pomoći da se dionica dovede od prvotno predviđenog standarda od 130 km/h do 160 km/h. Kriterij interoperabilnosti bit će ispunjen instalacijom uređaja razine 1 ETCS.</p> <p>3 faze: I. Novoselec – Dugo Selo 27,1 km II. Kutina – Novoselec 27,7 km III. Novska – Kutina 26,5 km</p> <p>Glavne aktivnosti uključuju remont pruge na 81,3 km jednokolosiječne pruge uključujući rekonstrukciju stanica, rekonstrukcija dionica pruge u zavojima kako bi se povećala brzina na 160 km/h, rehabilitaciju podstrukture, sustava propusta i drenaže, zamjenu prijelaza u razini s mostovima na državnim cestama višeg ranga, rehabilitacija drugih prijelaza u razini, zamjenu relejne signalne opreme s elektroničkom i instalacija ETCS sustava, sustav centralizirane kontrole prometa koji pokriva rutu od Okučana do Dugog Sela uključujući Središnju kontrolu prometa u Zagrebu da bi upravljali prometnim aktivnostima od slovenske granice do točke zapadno od Vinkovaca, nadogradnja telekomunikacijskih sustava uključujući uvođenje novog GSM-R sustava i prilagodba opreme gornjeg ustroja.</p>	Priprema se za financiranje u proračunskim godinama 2007. i 2008.

	Naziv projekta	Vrsta	Podrška kroz tehničku pomoć	Procjena - ukupno u milijunima eura	Mjera	Komentari	Status
4	Projekt 4: Rehabilitacija i rekonstrukcija pruge Savski Marof –Zaprešić	izgradnja	ISPA tehnička pomoć	25,00	Mjera 1.1.	<p>Ovaj projekt uključuje remont pruge na 7,5 km dugoj dvokolosiječnoj pruzi uz zamjenu materijala na fiksnim strukturama i rekonstrukciju pruge na stanici u Zaprešiću i u Savskom Marofu.</p> <p>Osim toga, uključivat će remont podstrukture, sustava propusta i odvodnje, zamjenu prijelaza u razini, zamjenu relejne automatske signalne opreme s elektroničkom koja će biti kontrolirana daljinski iz Središnje kontrole prometa u Zagrebu i opremljena s ETCS sustavom, repozicioniranje signala kako bi se omogućila brzina od 160 km/h, nadogradnju telekomunikacijskog sustava (uključujući i instalaciju novog GMS-R sustava) i prilagodbu novom centru za Središnju kontrolu prometa, prilagodbu opreme gornjeg ustroja.</p> <p>Središnja točka ovog projekta je rekonstrukcija željezničke stanice Zaprešić koja će omogućiti razdvajanje putničkog i teretnog prometa u području čvora Zagreb pomoću buduće teretne zaobilaznice na zapadnom ulazu u Zagreb.</p> <p>Dokumentacija potrebna za projekt bit će pripremljena kroz ISPA tehničku pomoć za izradu projekata.</p>	Priprema se za financiranje u proračunskim godinama 2008. i 2009.

INDIKATIVNI POPIS VELIKIH PROJEKATA U UNUTARNJOJ PLOVIDBI

Naziv projekta	Vrsta	Podrška kroz tehničku pomoć	Procjena - ukupno u milijunima eura	Mjera	Komentari	Status
1 <u>Projekt 5:</u> Rehabilitacija i unaprjeđenje plovnih putova rijeke Save	Izgradnja	IPA	40	Mjera 2.1	Već su poduzeti značajni pripremni radovi. Treba razviti projekte u uskoj suradnji s Komisijom za rijeku Savu i drugim članovima Komisije za rijeku Savu.	Priprema se za financiranje u proračunskim godinama 2007. i 2008.
2 <u>Projekt 6:</u> Obnova luke Vukovar – nova luka istok	Izgradnja	IPA	40	Mjera 2.1	Već su poduzeti značajni pripremni radovi. Projekt je trenutno u <i>stand-by</i> stanju budući da nema odgovarajućih kapaciteta za tehničko oblikovanje i projektiranje.	Priprema se za financiranje u proračunskim godinama 2007. i 2008.

4. INDIKATIVNE FINANCIJSKE TABLICE

GODINE 2007. – 2009.

	Javni rashodi			Za informaciju	
	Ukupni javni rashodi	Sufinanciranje Zajednice (IPA)	Nacionalno javno sufinanciranje	IPA stopa sufinanciranja	Ostali (MFI, itd.)
	(1) =(2) + (3) (Eur)	(2) (Eur)	(3) (Eur)	(4)=(2)/(1) (%)	(Eur)

<i>Prioritetna os 1- Unaprjeđenje željezničkog sustava u Hrvatskoj</i>	62.814.000	47.110.500	15.703.500	75%	0
Mjera 1.1 – Nadogradnja i modernizacija pruge	44.914.000	33.685.500	11.228.500	75%	0
Mjera 1.2 – Poboljšanje sigurnosti i učinkovitosti rada	17.900.000	13.425.000	4.475.000	75%	0

<i>Prioritetna os 2 – Unaprjeđenje sustave unutarnje plovidbe u Hrvatskoj</i>	7.500.000	5.625.000	1.875.000	75%	0
Mjera 2.1 – Modernizacija i obnova riječnih plovnih putova i lučke infrastrukture	7.500.000	5.625.000	1.875.000	75%	0

<i>Prioritetna os 3: Tehnička pomoć</i>	1.020.000	765.000	255.000	75%	0
Mjera 3.1 – Upravljanje programom i izgradnja kapaciteta	1.020.000	765.000	255.000	75%	0

<i>Ukupno godine 2007. – 2009.</i>	71.334.000	53.500.500	17.833.500	75%	0
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GODINA 2007.

	Javni troškovi			Za informaciju	
	Ukupni prihvatljivi javni rashodi	Sufinanciranje Zajednice (IPA)	Nacionalno javno sufinanciranje	IPA stopa sufinanciranja	Ukupni prihvatljivi javni rashodi
	(1) =(2) + (3) (Eur)	(2) (Eur)	(3) (Eur)	(4)=(2)/(1) (%)	(Eur)
<i>Prioritetna os 1- Unaprjeđenje željezničkog sustava u Hrvatskoj</i>	17.327.000	12.995.250	4.331.750	75%	0
Mjera 1.1 – Nadogradnja i modernizacija pruge	2.000.000	1.500.000	500.000	75%	
Mjera 1.2 – Poboljšanje sigurnosti i učinkovitosti poslovanja	15.327.000	11.495.250	3.831.750	75%	
<i>Prioritetna os 2 – Unaprjeđenje sustava unutarnje plovidbe u Hrvatskoj</i>	5.000.000	3.750.000	1.250.000	75%	0
Mjera 2.1 – Izrada niza pripremljenih projekata	5.000.000	3.750.000	1.250.000	75%	
<i>Prioritetna os 3: Tehnička pomoć</i>	340.000	255.000	85.000	75%	0
Mjera 3.1 – Upravljanje programom i izgradnja kapaciteta	340.000	255.000	85.000	75%	
<i>Ukupno 2007. godina</i>	22.667.000	17.000.250	5.666.750	75%	0

GODINA 2008.

	Javni rashodi			Za informaciju	
	Ukupni prihvatljivi javni rashodi (1) =(2) + (3) (Eur)	Sufinanciranje Zajednice (IPA) (2) (Eur)	Nacionalno javno sufinanciranje (3) (Eur)	IPA stopa sufinanciranja (4)=(2)/(1) (%)	Ukupni prihvatljivi javni rashodi (Eur)
<i>Prioritetna os 1- Unaprjeđenje željezničkog sustava u Hrvatskoj</i>	<i>21.160.000</i>	<i>15.870.000</i>	<i>5.290.000</i>	<i>75%</i>	<i>0</i>
Mjera 1.1 – Nadogradnja I modernizacija pruge	18.587.000	13.940.250	4.646.750	75%	
Mjera 1.2 – Poboljšanje sigurnosti i učinkovitosti poslovanja	2.573.000	1.930.000	643.000	75%	
<i>Prioritetna os 2 – Unaprjeđenje sustava unutarnje plovidbe u Hrvatskoj</i>	<i>2.500.000</i>	<i>1.875.000</i>	<i>625.000</i>	<i>75%</i>	<i>0</i>
Mjera 2.1 – Izrada niza pripremljenih projekata	2.500.000	1.870.000	625.000	75%	
<i>Prioritetna os 3: Tehnička pomoć</i>	<i>340.000</i>	<i>255.000</i>	<i>85.000</i>	<i>75%</i>	<i>0</i>
Mjera 3.1 – Upravljanje programom i izgradnja kapaciteta	340.000	255.000	85.000	75%	
<i>Ukupno 2008. godina</i>	<i>24.000.000</i>	<i>18.000.000</i>	<i>6.000.000</i>	<i>75%</i>	<i>0</i>

GODINA 2009.

	Javni troškovi			Za informaciju	
	Ukupni prihvatljivi javni rashodi	Sufinanciranje Zajednice (IPA)	Nacionalno javno sufinanciranje	IPA stopa sufinanciranja	Ukupni prihvatljivi javni rashodi
	(1) =(2) + (3) (Eur)	(2) (Eur)	(3) (Eur)	(4)=(2)/(1) (%)	(Eur)
<i>Prioritetna os 1- Unaprjeđenje željezničkog sustava u Hrvatskoj</i>	24.327.000	18.245.250	6.081.750	75%	0
Mjera 1.1 – Nadogradnja i modernizacija pruge	24.327.000	18.245.250	6.081.750	75%	
Mjera 1.2 – Poboljšanje sigurnosti i učinkovitosti poslovanja	0	0	0	75%	
<i>Prioritetna os 2 – Unaprjeđenje sustava unutarnje plovidbe u Hrvatskoj</i>	0	0	0	75%	0
Mjera 2.1 – Izrada niza pripremljenih projekata				75%	
<i>Prioritetna os 3: Tehnička pomoć</i>	340.000	255.000	85.000	75%	0
Mjera 3.1 – Upravljanje programom i izgradnja kapaciteta	340.000	255.000	85.000	75%	
<i>Ukupno 2009. godina</i>	24.667.000	18.500.250	6.166.750	75%	0

5. PROVEDBENE ODREDBE

5.1. STRUKTURE UPRAVLJANJA I KONTROLE

U ovom poglavlju Operativnog programa opisuju se uspostavljeni sustavi i strukture kako je poznato u vrijeme izrade Operativnog programa. No određeni broj ključnih odluka o strukturama i odgovornostima kao i o sustavima upravljanja i informiranja donosit će se u kontekstu akreditacije za prijenos decentraliziranog upravljanja, koja prati drukčiji vremenski raspored nego onaj za usvajanje Operativnog programa. Stoga će se u Okvirnom sporazumu, kao i u Sporazumu o financiranju koji će se potpisati nakon prijena decentraliziranog upravljanja, naći detaljne odredbe o sustavima upravljanja i kontrole. Odredbe u ovom poglavlju stoga treba shvatiti tako da podliježu kasnijim prilagodbama primjenjivih odredbi tih sporazuma, gdje je to potrebno.

SDURF će pratiti provedbu svih pet komponenti programa IPA, a državni tajnik u SDURF-u imenuje se nacionalnim IPA koordinatorom. Ulogu strateškog koordinatora za III. i IV. komponentu programa IPA preuzet će zamjenik državnog tajnika SDURF-a. Strateški koordinator će se brinuti za komplementarnost i usklađenost između programa koji se provode u području regionalnog razvoja i razvoja ljudskih potencijala, posebno s obzirom na ograničeni iznos raspoloživih sredstava u okviru programa IPA i potrebu koncentriranja aktivnosti.

5.1.1. Tijela i institucije

Na temelju IPA provedbene uredbe, Vlada Republike Hrvatske usvojila je vlastite pravne akt/e kojima će odrediti pojedina tijela za upravljanje i provedbu IPA-e⁷³.

Sukladno odredbama navedene Uredbe, sljedeće funkcije/tijela jesu ili će biti određeni/uspostavljeni:

- Nacionalni IPA koordinator
- Strateški koordinator za komponente Regionalni razvoj i Razvoj ljudskih potencijala
- Dužnosnik nadležan za akreditaciju
- Nacionalni dužnosnik za ovjeravanje
- Nacionalni fond
- Tijelo nadležno za reviziju
- Operativna struktura

Uz izuzetak operativne strukture i uloge strateškog koordinatora, ova tijela u osnovi obavljaju zadatke koji su općenito primjenjivi za sve IPA komponente u skladu s njihovim dužnostima određenim u relevantnim člancima IPA provedbene uredbe.

Stoga u skladu s odredbama članka 7.3 navedene Uredbe te kako je određeno u 'predlošku' Okvirnog sporazuma koji je Komisija usvojila 6. srpnja 2007. [ref. *C(2007) 3208 konačni – E/1368/2007*] te će funkcije biti sastavni dio **Okvirnog sporazuma** koji će Komisija sklopiti s Republikom Hrvatskom.

⁷³ Uredba o opsegu i sadržaju odgovornosti te ovlastima tijela nadležnih za upravljanje instrumentom pretprijetne pomoći (NN 18/2007); Izmjene i dopune Uredbe o opsegu i sadržaju odgovornosti te ovlastima tijela nadležnih za upravljanje instrumentom pretprijetne pomoći (NN 82/2007) Odluka o imenovanju osoba nadležnih za upravljanje instrumentom pretprijetne pomoći (IPA) (NN 18/2007); izmjene i dopune odluke o imenovanju osoba nadležnih za upravljanje instrumentom pretprijetne pomoći (IPA) (NN 82/2007)

Operativna struktura

Ovim Operativnim programom upravljat će čelnik operativne strukture koji će, sukladno članku 28.2 IPA provedbene uredbe, biti zadužen za sljedeće poslove:

- pripremu godišnjih ili višegodišnjih programa;
- praćenje provedbe programa i vođenje Sektorskog nadzornog odbora, kako je utvrđeno člankom 59., ponajprije pripremom dokumenata potrebnih za praćenje kvalitete provedbe programa;
- pripremu sektorskih, godišnjih i završnog izvješća o provedbi utvrđenih člankom 61.(1.) te, nakon razmatranja izvješća od strane Sektorskog nadzornog odbora, podnošenje istih Komisiji, nacionalnom IPA koordinatoru i nacionalnom dužnosniku za ovjeravanje;
- osiguranje da su aktivnosti koje se financiraju odabrane i odobrene sukladno kriterijima i mehanizmima primjenjivim za programe; te da su u skladu s relevantnim pravilima Zajednica i nacionalnim pravilima;
- uspostavljanje postupaka za osiguranje pohrane sve dokumentacije potrebne za osiguranje odgovarajućeg revizorskog traga, sukladno članku 20.;
- organizaciju natječajnih postupaka, postupaka za dodjelu darovnica, proizlazeće ugovaranje te izvršenje plaćanja krajnjim korisnicima i povrata od krajnjih korisnika;
- osiguranje da sva tijela uključena u provedbu aktivnosti održavaju zaseban računovodstveni sustav ili zasebne računovodstvene šifre;
- osiguranje da Nacionalni fond i nacionalni dužnosnik za ovjeravanje prime sve potrebne informacije o primijenjenim postupcima i verifikacijama vezano za troškove;
- uspostavu, održavanje i ažuriranje sustava izvješćivanja i informiranja;
- provođenje provjera kako bi se osiguralo da su deklarirani troškovi nastali u skladu s važećim pravilima, da je roba dostavljena i usluge izvršene sukladno odluci o davanju suglasnosti te da su zahtjevi za plaćanjem od strane krajnjeg korisnika valjani. Te provjere odnose se na administrativne, financijske, tehničke i materijalne aspekte aktivnosti, kako bude primjereno;
- osiguranje interne revizije raznih tijela od kojih je sastavljena;
- osiguranje izvješćivanja o nepravilnostima;
- osiguranje poštivanja zahtjeva za informiranjem i promidžbom.

Operativna struktura (OS) bit će sastavljena od sljedećih posebnih tijela u skladu sa člankom 31. IPA provedbene uredbe:

- Ministarstvo mora, turizma, prometa i razvitka (MMTPR),
- HŽ Infrastruktura (HŽI)
- Središnja agencija za financiranje i ugovaranje projekata i programa EU (SAFU).

Položaj i razina nadležnosti, kao i čelnici pojedinih tijela unutar operativne strukture, prikazani su u sljedećoj tablici:

Razina nadležnosti	Nazivi tijela unutar operativne strukture	Pojedinačna tijela unutar operativne strukture Čelnici pojedinačnih tijela unutar operativne strukture	
I. razina Operativnog programa	Tijelo nadležno za OP	Ministarstvo mora, turizma, prometa i razvitka Nazorova 61, 10000 Zagreb Državni tajnik za razvoj	
II. razina prioriteta/mjere	Tijelo nadležno za prioritet/mjeru	Sve prioritete osi Ministarstvo mora, turizma, prometa i razvitka Uprava za strateške infrastrukturne projekte Krležin Gvozd 1a, 10000 Zagreb Pomoćnik ministra	
III. razina projekta	Provedbeno tijelo (Tijelo za ugovaranje)	Prioritetna os 1 HŽ Infrastruktura Mihanovićeve 12, 10000 Zagreb Direktor	Prioritetne osi 2 i 3 Središnja agencija za financiranje i ugovaranje projekata i programa EU (SAFU) Katančićeva 5, 10000 Zagreb Voditelj SAFU-a

Državni tajnik za razvoj Ministarstva mora, turizma, prometa i razvitka bit će voditelj operativne strukture u smislu članka 167. (3.) IPA provedbene uredbe.

Obavijesti o svim promjenama u čelništvu pojedinačnih prethodno navedenih tijela bit će dostavljene Komisiji, po potrebi, uključujući i sve promjene koje utječu na akreditaciju operativne strukture i kasniji prijenos ovlasti upravljanja od strane Komisije.

Podjela dužnosti

Ministarstvo mora, turizma, prometa i razvitka (kao tijelo nadležno za OP i kao tijelo nadležno za prioritet/mjeru) obavljat će sljedeće dužnosti u odnosu na Operativni program u cjelini:

- priprema izrade Operativnog programa i njegove prilagodbe;
- koordinacija praćenja provedbe programa u skladu sa člankom 59. IPA provedbene uredbe;
- koordinacija izrade godišnjih i završnih sektorskih izvješća u skladu s odredbama članka 169. IPA provedbene uredbe;
- uspostava procedura za čuvanje svih dokumenata kako bi se osigurao dovoljno detaljan revizorski trag (članak 20. IPA provedbene uredbe);
- organizacija privremene ocjene tijekom provedbe programa, u suradnji sa SDURF-om;
- čuvanje sve dokumentacije i osiguranje da relevantne informacije budu dostupne radi osiguranja dovoljno detaljnog revizorskog traga;
- utvrđivanje planiranih krajnjih korisnika, očekivani modaliteti odabira i eventualnih povezanih posebnih kriterija odabira (članak 155. IPA provedbene uredbe);
- osiguranje da aktivnosti unutar njihovog sektorskog područja nadležnosti budu odabrane za financiranje i odobrene u skladu s kriterijima primjenjivim na OP;
- u funkciji korisnika, pomoć u tehničkoj pripremi i upravljanju projektima na temelju službenih sporazuma sa provedbenim tijelima;
- procjena kvalitete velikih projekata koje pripremaju krajnji korisnici (gdje je to relevantno) i njihovo podnošenje nacionalnom IPA koordinatoru;
- podnošenje Nacionalnom fondu zahtjeva za plaćanjem i sve popratne dokumentacije;
- osiguranje da Nacionalni fond i nacionalni dužnosnik za ovjeravanje dobiju sve potrebne informacije o procedurama i provjerama koje su provedene u vezi s izdacima;
- osiguranje interne revizije njegovih različitih sastavnih tijela;
- osiguranje izvještavanja o nepravilnostima;
- osiguranje izvještavanja o upravljanju rizicima;
- osiguranje poštivanja zahtjeva za informiranjem i promidžbom.

HŽ Infrastruktura (kao Provedbeno tijelo) obavljat će sljedeće dužnosti za sve mjere u okviru Prioritetne osi 1 – Unaprjeđenje željezničkog sustava u Hrvatskoj

- provjera dokumentacije za nadmetanje zaprimljene od ustanova-korisnika i priprema potpune natječajne dokumentacije;
- organizacija natječajnih postupaka i postupaka dodjele ugovora;
- nastupa kao ugovaratelj ;
- provedba ugovora;

- priprema i slanje zahtjeva za plaćanje tijelu nadležnom za mjeru/prioritet;
- obavlja plaćanje i povrat sredstava od krajnjeg korisnika;
- osiguranje da tijelo/a nadležna za prioritet/mjeru primi(e) sve potrebne informacije o procedurama i provjerama koje se obavljaju u vezi s troškovima;
- provođenje provjera kako bi se osiguralo da iskazani trošak uistinu i nastao sukladno važećim pravilima, da je roba dostavljena ili usluge izvršene sukladno s odlukom o davanju suglasnosti, te da su zahtjevi za plaćanje izdani od strane krajnjeg korisnika točni. Te provjere odnose se na administrativne, financijske, tehničke i materijalne aspekte aktivnosti, kako bude primjereno;
- podrška u izradi dokumentacije za sektorski odbor za praćenje o napretku postignutom u cilju ostvarivanja ciljeva mjera;
- podrška u izradi sektorskih godišnjih i završnih izvješća o provedbi;
- vođenje zasebnog računovodstvenog sustava ili zasebnog računovodstvenog šifriranja;
- interna revizija;
- čuvanje svih dokumenata i osiguranje da sve relevantne informacije budu dostupne radi osiguranja dovoljno detaljnog revizorskog traga;
- izvještavanje o nepravilnostima.

Središnja agencija za financiranje i ugovaranje projekata i programa EU (SAFU) (kao Provedbeno tijelo) će izvršavati sljedeće zadatke u vezi s OP Prioritetnom osi 2 – Unaprjeđenje sustava unutarnje plovidbe u Hrvatskoj⁷⁴ i Prioritetnom osi 3 – Tehnička pomoć:

- provjera dokumentacije za nadmetanje zaprimljene od ustanova-korisnika i priprema potpune natječajne dokumentacije;
- organizacija natječajnih postupaka i postupaka dodjele ugovora;
- nastupa kao ugovaratelj;
- provedba ugovora;
- priprema i slanje zahtjeva za plaćanje tijelu nadležnom za mjeru/prioritet;
- obavlja plaćanje i povrat sredstava od krajnjeg korisnika;
- osiguranje da tijelo/a nadležna za prioritet/mjeru primi(e) sve potrebne informacije o procedurama i provjerama koje se obavljaju u vezi s troškovima;
- provođenje provjera kako bi se osiguralo da iskazani trošak uistinu i nastao sukladno važećim pravilima, da je roba dostavljena ili usluge izvršene sukladno s odlukom o davanju suglasnosti, te da su zahtjevi za plaćanje izdani od strane krajnjeg korisnika točni. Te provjere odnose se na administrativne, financijske, tehničke i materijalne aspekte aktivnosti, kako bude primjereno;
- podrška u izradi dokumentacije za sektorski odbor za praćenje o napretku postignutom u cilju ostvarivanja ciljeva mjera;
- podrška u izradi sektorskih godišnjih i završnih izvješća o provedbi;
- vođenje zasebnog računovodstvenog sustava ili zasebnog računovodstvenog šifriranja;
- interna revizija;
- čuvanje svih dokumenata i osiguranje da sve relevantne informacije budu dostupne radi osiguranja dovoljno detaljnog revizorskog traga;

⁷⁴ SAFU će biti provedbena agencija za Prioritetnu os 2 sve dok se Agencija za plovne putove unutarnjih voda ne akreditira za obavljanje poslova provedbenog tijela

- izvještavanje o nepravilnostima.

Sva tijela unutar operativne strukture konačno su odgovorna Ministarstvu mora, turizma, prometa i razvitka, koje nosi ukupnu odgovornost za upravljanje Operativnim programom, u izvršenju svojih zadataka vezanih uz Operativni program.

Detaljna organizacijska shema sustava upravljanja Operativnim programom nalazi se u Dodatku 3.

5.1.2. Razdvajanje dužnosti

U skladu sa člankom 21.2 IPA provedbene uredbe, odgovarajuće razdvajanje dužnosti bit će osigurano između i unutar utvrđenih tijela.

Razdvajanje dužnosti između tijela

Razdvajanje dužnosti rezultat je gore opisane podjele zadataka. To uključuje sljedeća načela:

- s jedne strane, jasno razdvajanje dužnosti između provjera, kontrola i evaluacija koje provodi operativna struktura i Nacionalni fond; a s druge strane
- jasno razdvajanje između revizija koje provodi tijelo nadležno za reviziju te postupaka za provedbu i plaćanje.

Razdvajanje dužnosti unutar tijela

Organizacijska struktura tijela i njihovi unutarnji postupci za upravljanje i praćenje uzet će u obzir sve zahtjeve za osiguranje primjerenog razdvajanja dužnosti. To uključuje sljedeća načela:

- prije nego što se aktivnost odobri, operativni i financijski aspekti bit će ovjereni od strane zaposlenika koji nisu zaduženi za pokretanje ili provedbu aktivnosti;
- potvrde izjave o troškovima sastavit će osoba ili odjel u Nacionalnom fondu koja/i je funkcionalno neovisna/an od svih službi koje odobravaju zahtjeve;
- pokretanje, ex-ante i ex-post praćenje odvojene su dužnosti, koje obavljaju različite osobe, funkcionalno neovisne jedna o drugoj.

5.2. NADZOR I EVALUACIJA

5.2.1. Sustavi nadzora

Kako bi se osigurala usklađenost i koordinacija provedbe IPA komponenti, programa i aktivnosti, te kako bi se pratio napredak u provedbi IPA pomoći, uspostaviti će se sljedeći nadzorni odbori:

- Nadzorni odbor za program IPA;
- Sektorski nadzorni odbor za Operativni program „Promet“.

Nadzorni odbor za program IPA

Republika Hrvatska uspostaviti će Nadzorni odbor za program IPA kako bi osigurala usklađenost i koordinaciju provedbe svih pet IPA komponenti.

Sektorski nadzorni odbor

Voditelj operativne strukture za Operativni program „Promet“ uspostaviti će Sektorski nadzorni odbor u roku od 6 mjeseci od dana stupanja na snagu IPA provedbene Uredbe.

Odborom će su-predsjedati voditelj operativne strukture te predstavnik Komisije. Članove odbora također će činiti i nacionalni IPA koordinator ili njegov/njezin predstavnik; nacionalni dužnosnik za ovjeravanje ili njegov/njezin predstavnik; Predstavnik Europske komisije; Strateški koordinator za komponente III. i IV ili njegov/njezin predstavnik; Voditelj Nacionalnog fonda ili njegov/njezin predstavnik; Predstavnici svakog od tijela operativne strukture, kao i predstavnici civilnog društva,

socioekonomski partneri; Odbor će uključivati i regionalne i/ili nacionalne organizacije kojima je interes doprinijeti učinkovitoj provedbi programa, a koji će biti dogovoreni na prvom sastanku.

Sastav Sektorskog nadzornog odbora može preispitati i proširiti voditelj operativne strukture u dogovoru s Europskom komisijom, kako bi se osigurala dostatna zastupljenost i članstvo.

Sektorskom nadzornom odboru podršku će davati stalno tajništvo koje će operativna struktura osigurati za pripremu materijala o kojima će raspravljati odbor ili za odobravanje u pisanom postupku. Poslove tajništva obavljat će Uprava za strateške infrastrukturne projekte.

Sektorski nadzorni odbor izvješćivat će Nadzorni odbor za program IPA. Njegovi zadaci uključuju i:

- a. razmatranje i odobravanje općih kriterija za odabir aktivnosti te odobrenje bilo koje izmjene tih kriterija u skladu s potrebama programa;
- b. na svakom sastanku prosuditi napredak prema postizanju specifičnih ciljeva Operativnog programa na temelju dokumenata podnesenih od strane operativne strukture;
- c. na svakom sastanku razmotriti rezultate provedbe, posebno postizanje ciljeva postavljenih za svaku prioritetnu os, mjere te privremene evaluacije; (ovaj nadzor provodit će se prema dogovorenim pokazateljima); O informacijama o broju radnih mjesta otvorenih kao posljedica provedbe pojedinačnih projekata potrebno je posebno izvješćivati i pratiti ih (te je informacije potrebno proslijediti IPA nadzornom odboru);
- d. razmatranje sektorskih godišnjih i završnih izvješća o provedbi, uključujući sažete tablice OP-a;
- e. informiranost o godišnjem revizorskom izvješću o aktivnostima ili o dijelu izvješća koji se odnosi na Operativni program;
- f. razmatranje svih prijedloga za izmjenu financijskog sporazuma programa i predložiti operativnoj strukturi reviziju ili preispitivanje programa koje može omogućiti postizanje ciljeva programa ili unapređenje upravljanja programom, uključujući financijsko upravljanje, kao i nadgledanje horizontalnih pitanja i mjera promidžbe.

Sektorski nadzorni odbor potvrdit će ili dati prijedlog voditelju operativne strukture, Europskoj komisiji, strateškom koordinatorskom i nacionalnom IPA koordinatorskom za reviziju programa, tamo gdje je to potrebno, nakon evaluacije, uključujući rezultate i neposredne rezultate te financijske pokazatelje koji će se koristiti za praćenje pomoći.

Sektorski nadzorni odbor uspostaviti će svoja pravila postupanja u dogovoru s operativnom strukturom i Odborom za praćenje za IPA program. Sastajati će se najmanje dva puta godišnje na zahtjev Komisije. Po potrebi, mogu se dodatno sazvati i prijelazni sastanci.

U načelu, Sektorski odbor za praćenje nastojat će da odluke budu donesene konsenzusom.

5.2.2. Informacijski sustav za upravljanje projektima

Voditelj operativne strukture odgovoran je za učinkovito i pravilno upravljanje i provedbu, a posebno za uspostavu, održavanje i redovito ažuriranje sustava izvješćivanja i informiranja kako bi se prikupile pouzdane financijske i statističke informacije o provedbi koje će se koristiti za pokazatelje praćenja i evaluacije, te za prosljeđivanje tih podataka u skladu s postupcima dogovorenim između NIPAK-a i Komisije.

Sustav će biti razvijen na jednom ili više računalnih sustava, u obliku odabranom od strane operativne strukture, koji će omogućiti:

- praćenje i upravljanje provedbom aktivnosti i projekata, od trenutka natječaja i poziva na dostavu projektnih prijedloga sve do zatvaranje OP-a, a posebice praćenje rezultata kad god je to moguće, te neposrednih rezultata;
- provedbu i praćenje financijskih transakcija;

- osiguranje zahtjeva za izvješćivanjem o provedbi OP-a.

Operativna struktura i sva ostala tijela uključena u provedbu OP-a imat će pristup ovom sustavu.

Informacijski sustav za upravljanje projektima bit će razvijen u okviru komponente tehničke pomoći ovog Operativnog programa. Sustav će se uspostaviti uz vodstvo i nadzor NIPAK-a i strateškog koordinatora, kako bi se osigurala dosljednost i komplementarnost u svim Operativnim programima. Do njegove uspostave, izvješćivanje i prikupljanje podataka bit će provedeno ručno.

5.2.3. Sustavi praćenja i pokazatelji

Kvantitativni i kvalitativni napredak postignut u provedbi programa, kao i njegova učinkovitost i djelotvornost u odnosu na postavljene ciljeve bit će mjereni pomoću pokazatelja evaluacije i praćenja koji se odnose na rezultate i neposredne rezultate za svaku pojedinu mjeru nadzora i evaluacije, u obzir su uzete metode, smjernice i popis primjera pokazatelja koje je objavila Komisija, a posebno „Indikativne smjernice o metodama evaluacije: Pokazatelji praćenja i evaluacije” (kolovoz 2006., radni dokument br. 2 za programsko razdoblje 2007. - 2013.)

Voditelj operativne strukture odgovoran je za praćenje provedbe programa. U tom kontekstu, operativna struktura prikupljat će podatke o rezultatima (neposredni rezultati, rezultati i troškovi) aktivnosti i projekata. Uspostavit će, održavati i ažurirati sustav izvješćivanja i informiranja uzimajući podatke na razini projekta, te objedinjavajući ih na razini mjera, prioriternih osi i cjelokupnog OP-a. Podaci o pojedincima koji su krajnji korisnici moraju biti prikupljeni za svaki projekt i korišteni za objedinjavanje na razini mjere i prioriteta. Na temelju toga će operativna struktura procijeniti napredak OP-a na svim razinama u odnosu na postavljene svrhu i ciljeve, izraditi izvješća za Sektorski odbor za praćenje, izraditi nacрте sektorskih godišnjih i završnog izvješća o provedbi te po potrebi pokrenuti privremene evaluacije.

U kontekstu praćenja i u svrhu upotrebe pokazatelja, operativna struktura će osigurati da:

- a. zahtjevi praćenja budu ugrađeni u dokumentaciju poziva za podnošenje ponuda i projektnih prijedloga (uključivo pripremu prijavnih obrazaca za velike projekte, opise poslova i natječajnu dokumentaciju);
- b. projektne prijave (kod ocjene i odabira) uključuju predložene neposredne rezultate i rezultate, kao i podatke o pojedincima, koji su u skladu s pokazateljima za pojedinu mjeru u OP-u;
- c. pružanje podataka je ugrađeno u ugovore s korisnicima kao obveza, te da se podaci o provedbi pružaju sustavno i u roku od strane korisnika zajedno sa zahtjevom za povratom novca u okviru projekta.

U svrhu nadzora i informiranja uspostaviti će se indikativna podjela po kategorijama programiranog korištenja doprinosa Zajednice ovom Operativnom programu, dok će sektorska godišnja i završna izvješća o provedbi sadržavati informacije o namjeni izdataka u skladu s tim kategorijama.

5.2.4. Odabir aktivnosti

Sve aktivnosti koje nisu veliki projekti i koje provodi krajnji korisnik koji nije nacionalno javno tijelo, odabrat će se putem poziva na dostavu prijedloga projekata.

Operativna struktura uspostaviti će Odbor za odabir za svaki od poziva za dostavu projektnih prijedloga pokrenutih za odabir aktivnosti koje će se financirati u okviru određene mjere. Odbor za odabir će imati neparan broj članova, a činit će ga najprikladniji službenici i stručnjaci s tehničkim kompetencijama za provedbu kvalitativnog ocjenjivanja projektnih prijava. Te će članove predlagati institucije u kojima su zaposleni na poziv tijela nadležnog za provedbu, a imat će pravo glasa u postupku odabira. Član operativne strukture koji je izradio smjernice za podnositelje prijedloga sudjelovat će i u radu Odbora za odabir. Odborom će predsjedati član Provedbenog tijela bez prava glasa. Odbor za odabir ocijenit će projektne prijave u skladu s kriterijima za odabir i metodologijom

odobrenim od strane Sektorskog nadzornog odbora i objavljenim u dokumentaciji poziva za dostavu projektnih prijedloga. Prvo će biti pregledano jesu li prijave u skladu s kriterijima prihvatljivosti i administrativnim kriterijima i udovoljavaju li relevantnim zahtjevima prihvatljivosti utvrđenim u odnosnim mjerama (potpunost, točnost, itd.) te će potom biti ocijenjena njihova kvaliteta. Odbor za odabir dat će preporuke operativnoj strukturi, u skladu s člankom 158. IPA provedbene Uredbe.

Nabava (uključujući dodjelu velikih projekata) će također slijediti gore navedene postupke dodjele ugovora sadržane u „Praktičnom vodiču kroz procedure ugovaranja pomoći EZ trećim zemljama (PRAG)“. Odbori za odabir ponuda uspostaviti će se za ocjenu ponuda za usluge, radove i nabavu roba, dok će im sastav i postupci odlučivanja biti u skladu s načelima iz odnosnih pravila Praktičnog vodiča (PRAG). Svi korisnici (bilo javni ili privatni) isto će tako poštivati načela utvrđena u odnosnim pravilima PRAG-a.

5.2.5. Sektorska godišnja i završno izvješće o provedbi

Sektorska godišnja i završno izvješće o provedbi pripremit će operativna struktura u skladu s člankom 169. IPA provedbene Uredbe. Ta izvješća će procijeniti napredak provedbe u odnosu na postizanje postavljenih ciljeva, probleme na koje se naišlo u upravljanju programom i poduzete mjere, financijsku provedbu kao i izvršene aktivnosti praćenja i praćenja. To će uključivati posebna izvješća o napretku za svaki od velikih projekata, u obliku koji će se dogovoriti s Komisijom. Programi će sadržavati ažuriranu tablicu OP-a u sažetku, a revidirat će se najkasnije na „drugom sastanku“ Sektorskog nadzornog odbora svake godine.

5.2.6. Sustavi za evaluaciju

Evaluacija je sredstvo za procjenu primjerenosti, učinkovitosti i djelotvornosti financijske pomoći kao i utjecaja i održivosti očekivanih rezultata. U okviru odgovornosti voditelja operativne strukture i strateškog koordinatora, minimalno će se provesti ex-ante evaluacija i privremena evaluacija u skladu s načelima postavljenim u IPA provedbenoj Uredbi i smjernicama pruženim od strane Komisije.

Sustavi za evaluaciju i aktivnosti svakog programa u potpunosti će poštovati načelo proporcionalnosti.

Ex ante evaluacija

U okviru odgovornosti operativne strukture i strateškog koordinatora, ex-ante evaluacija Operativnog programa „Promet“ provedena je od strane “European Policy Research Centre” sa Sveučilišta Strathclyde iz Glasgowa i priložena je ovom programu. Sažetak rezultata ex ante evaluacije te opis načina provedbe iste, navedeni su u odjeljku 1.5.

Privremena evaluacija

Voditelj operativne strukture zadužen je za osiguranje provedbe primjerenih evaluacija Operativnog programa. Evaluacije će izvršiti vanjski stručnjaci, funkcionalno neovisni od sustava upravljanja i kontrole. Evaluacijama će upravljati za to određeni službenik u okviru Ministarstva mora, turizma, prometa i razvitka, koji će biti odgovoran za pripremu dokumentacije za nadmetanje i ugovaranje tih stručnjaka u okviru Prioritetne osi 3, pregled nacrtu izvješća o evaluaciji, djelovati kao tajništvo ad hoc Odbora za evaluaciju, te biti posrednik, prema potrebi, između odabranih stručnjaka i navedenog Odbora za evaluaciju.

Odbor za evaluaciju

Sektorski nadzorni odbor odredit će ad-hoc odbor koji će pružati podršku operativnoj strukturi u aktivnostima vezanim za evaluaciju. Odbor će slijediti 'načelo partnerstva' te će uključivati članove (i goste prema potrebi) koji su stručnjaci za evaluaciju. Nadalje, podrška Odbora bit će pružena u svim fazama postupka (smjernice, planiranje, provedba, predstavljanje rezultata) kako bi se osigurala ukupna kvaliteta provedenih evaluacija. Istovremeno će svi relevantni dionici i institucije/organizacije biti pozvani da daju svoj doprinos, tamo gdje je to primjereno.

Imenovanje i uspostavljanje ovog ad-hoc Odbora obaviti će se u skladu s pravilima i procedurama Sektorskog nadzornog odbora usvojenim u skladu sa člankom 167.2 IPA provedbene uredbe.

Evaluacijske aktivnosti i raspored

S obzirom da ovaj program pokriva razdoblje 2007.- 2009., ali uključuje operativne aktivnosti do 31. prosinca 2012. sukladno N+3 pravilu, predlaže se da se provede samo jedna privremena evaluacija, te da ona započne u listopadu 2009. Kako do tada neće biti dovršen niti jedan veliki projekt, to bi predstavljalo evaluaciju procesa, kojom bi se ispitala učinkovitost i djelotvornost programa i provedbe projekta, ali u kontekstu napretka ostvarenog s provedbom, uključujući izvedbu u odnosu na pokazatelje na razini projekta (materijalni i financijski ciljevi) i na razini mjere (neposredni rezultati). To će također uključiti i pregled provedbe horizontalnih pitanja OP-a.

5.3. INFORMIRANJE I PROMIDŽBA

5.3.1. Uvod

Informiranje i promidžba važni su aspekti pretpristupne pomoći, a posebno uspješnog osmišljavanja i provedbe operativnih programa, uzimajući u obzir partnerske osnove na kojima su zasnovani. Priopćavanje za uspješno upravljanje i provedbu operativnih programa može se podijeliti u niz aktivnosti informiranja i promidžbe.

S tim ciljem, članak 62. IPA provedbene Uredbe utvrđuje određene uvjete vezane za informacije koje treba pružiti te promicanje programa i aktivnostima financiranih od strane Zajednice, upućene građanima i korisnicima s ciljem isticanja uloge financiranja od strane Zajednice te osiguranja transparentnosti.

Informacije koje treba pružiti operativna struktura između ostalog uključuju objavljivanje popisa krajnjih korisnika, naziva aktivnosti i iznosa sredstava koji je Zajednica dodijelila za aktivnosti. Komisija također mora osigurati objavljivanje relevantnih informacija o natječajima i ugovorima u Službenom listu Europske unije i ostalim prikladnim medijima i web stranicama.

Članak 63. IPA provedbene Uredbe dodatno navodi da će Komisija i nadležna tijela zemlje korisnice dogovoriti usklađenu grupu aktivnosti koje će se financirati iz prioriteta tehničke pomoći Operativnog programa, kako bi se objavile i bile dostupne informacije o IPA pomoći.

U skladu s gore navedenim odredbama, Ministarstvo mora, turizma, prometa i razvitka, Uprava za strateške infrastrukturne projekte bit će odgovorno za aktivnosti informiranja i promidžbe u okviru programa. Informacije će biti upućene građanima Hrvatske i građanima Europe općenito, te (potencijalnim) korisnicima. Cilj će im biti istaknuti ulogu Zajednice i osiguranje transparentnost IPA pomoći.

5.3.2. Zahtjevi

U skladu s člankom 63. IPA provedbene Uredbe, Ministarstvo mora, turizma, prometa i razvitka Uprava za strateške infrastrukturne projekte pripremit će komunikacijski akcijski plan koji će osigurati stratešku usklađenost grupe aktivnosti za objavljivanje informacija o IPA pomoći. Komunikacijski akcijski plan bit će usklađen sa strategijom informiranja i promidžbe koju izdaje NIPAK. Komunikacijski akcijski plan odnosit će se na razdoblje 2008.-2012. Ministarstvo mora, turizma, prometa i razvitka podnijet će nacrt komunikacijskog akcijskog plana NIPAK-u i Komisiji u roku od četiri mjeseca od dana potpisivanja Financijskog sporazuma koji se odnosi na Operativni program. Komunikacijski akcijski plan će najmanje sadržavati sljedeće točke

- Svrhu i ciljne skupine;
- Strategiju i sadržaj;
- Indikativni proračun;
- Upravne odjele;
- Kriterije koji se koriste za ocjenu projektnih prijedloga.

5.3.3. Aktivnosti

Ministarstvo mora, turizma, prometa i razvitka osigurat će da mjere informiranja i promidžbe budu provedene u skladu s komunikacijskim akcijskim planom ciljajući na najšire moguće medijsko pokrivanje koristeći sve prikladne oblike i metode komunikacije na prikladnoj teritorijalnoj razini. Ministarstvo mora, turizma, prometa i razvitka bit će odgovorno za organizaciju najmanje sljedećih mjera informiranja i promidžbe:

- Velika informativna aktivnost kojom se objavljuje pokretanje Operativnog programa, i u slučaju kada ne postoji konačna verzija komunikacijskog akcijskog plana;
- Najmanje jedna velika informativna aktivnost godišnje, sukladno komunikacijskom akcijskom planu, kojom će se predstaviti postignuća Operativnog programa uključujući velike projekte;
- Objavljivanje (elektroničkim putem ili na drugi način) popisa korisnika, naziva aktivnosti i iznosa sredstava Zajednice i domaćih sredstava alociranih za aktivnosti.

Ministarstvo mora, turizma, prometa i razvitka potencijalnim korisnicima pružit će jasne i detaljne informacije, koje će sadržavati najmanje:

- Mogućnosti financiranja koje zajedno pružaju Zajednica i zemlja korisnica putem OP-a;
- Uvjete prihvatljivosti kojima treba udovoljiti kako bi se konkuriralo za financiranje putem Operativnog programa;
- Opis postupaka za procjenu prijave za financiranje i vremenskom razdoblju koje obuhvaćaju;
- Kriteriji za odabir aktivnosti za financiranje;
- Kontakte na nacionalnoj, regionalnoj ili lokalnoj razini koji mogu pružiti informacije o Operativnom programu.

5.3.4. Indikativni proračun

Indikativni proračun za komunikacijski akcijski plan u okviru ovog Operativnog programa za razdoblje 2007. - 2009. bit će određen na odgovarajućoj razini kako bi se osiguralo dostatno pokriće troškova mjera promidžbe i informiranja. Proračunske alokacije po godinama, kao i indikativni iznosi neophodni za razdoblje 2010. - 2013. bit će izneseni u komunikacijskom akcijskom planu .

5.3.5. Upravljanje i provedba

U okviru Ministarstva mora, turizma, prometa i razvitka, za informiranje i priopćavanje bit će zadužena Uprava za strateške infrastrukturne projekte. Tim za informiranje i promidžbu sastojat će se od jednog službenika čiji će zadaci uključivati podršku voditelju Operativne strukture u provedbi sljedećih zadataka i dužnosti:

- rasprava o komunikacijskom akcijskom planu s Komisijom;
- koordinacija aktivnosti informiranja i promidžbe koje će se provoditi u okviru ostalih IPA financiranih programa;
- komunikacija s medijima;
- razrada, provedba i procjena komunikacijskog akcijskog plana programa;
- predstavljanje programa u relevantnim nacionalnim i Komisijinim informacijskim mrežama;
- obrada upita korisnika;
- praćenje i kontrola ispunjavanja uvjeta za informiranje i promidžbu od strane korisnika;
- izrada, tiskanje i distribucija informativnih materijala; priprema i provedba javnih događanja;
- razvoj i održavanje sadržaja na web stranici programa;

- veza s IT podrškom u pogledu tehničkog održavanja;
- upravljanje vanjskim uslugama;
- razvoj i praćenje godišnjeg komunikacijskog akcijskog plana i koordinacija internih događanja i izobrazbe.

Neke od mjera informiranja i promidžbe zasigurno će zahtijevati vanjske profesionalne usluge (kao što su dizajn i pred-print, web stranica, tiskanje, oglašavanje, fotografiranje i istraživanja javnog mijenja). Odgovornost je tima za informiranje i promidžbu da upravlja tim uslugama i da osigura da se ugovori zaključče u skladu s pravilima o javnoj nabavi.

5.3.6. Nadzor, evaluacija, izvješćivanje

Nadzor, evaluacija i izvješćivanje obvezni su uvjeti za primjenu mjera promidžbe uključenih u komunikacijski akcijski plan programa.

O napretku postignutom u provedbi komunikacijskog akcijskog plana izvješćivat će se tijekom sastanaka Sektorskog nadzornog odbora. Voditelj operativne strukture izvjestit će Sektorski nadzorni odbor o provedenim mjerama informiranja i komunikacije i sredstvima upotrijebljenim za isto. Voditelj operativne strukture osigurat će za Sektorski nadzorni odbor primjere provedenih komunikacijskih mjera.

Godišnja i završno izvješće o provedbi Operativnog programa uključivat će sljedeće informacije:

- primjere informacijskih i komunikacijskih mjera za Operativni program poduzetih pri provedbi komunikacijskog akcijskog plana;
- način provedbe mjera informiranja i promidžbe vezano za objavljivanje, elektroničkim putem ili na drugi način, popisa korisnika, naziva aktivnosti i iznosa javnih sredstava alociranih za aktivnosti;
- sadržaj značajnijih izmjena i dopuna komunikacijskog akcijskog plana.

U komunikacijski akcijski plan bit će uvrštena skupina pokazatelja za evaluaciju mjera promidžbe, što će predstavljati ključni dio plana vezano za procjenu učinkovitosti i djelotvornosti provedenih aktivnosti promidžbe.

Godišnji rezultati kvalitativne i kvantitativne analize bit će korišteni za razmatranje godišnjeg komunikacijskog akcijskog plana te po potrebi, njegove izmjene.

5.3.7. Partnerstvo i umrežavanje

Sljedeća tijela za program mogu djelovati kao instrument za program i širiti informacije namijenjene širokoj javnosti:

- Profesionalna i strukovna udruženja i organizacije;
- Gospodarski i socijalni partneri;
- Nevladine udruge;
- Obrazovne institucije;
- Organizacije gospodarstvenika;
- Informativni centri o Europi i predstavništva Komisije, posebno Delegacija EK;
- Ostali glavni dionici za svaki od prioriteta.

Operativna struktura usko će surađivati s gore navedenim tijelima pri širenju informacija vezanih za program i IPA strategiju pred-pristupne pomoći za IV. komponentu.

5.3.8. Internet

Web stranica programa bit će povezana s web stranicama SDURF-a, MFIN-a DEK-a, DG ELARG, DG EMPL i DG REGIO te s web stranicama ostalih programa. Bit će izrađena u skladu sa sljedećim načelima:

- Pristup najvećem mogućem broju korisnika – osigurati da stranica ima jednostavnu adresu; registrirati je na glavnim tražilicama kako bi se lako mogla pronaći; izraditi je na način da bude vidljiva na ekranima i sa softwareom niskih specifikacija; osigurati da se brzo učitava.
- Davanje prioriteta brzom pristupu vrijednim informacijama – stranica treba imati preglednu strukturu kako bi korisnici na brz i jednostavan način mogli pronaći tražene podatke; informacije, kada je moguće, trebaju biti dostupne za preuzimanje u pdf formatu.
- Vizualna privlačnost – snažan vizualni identitet upotrebom logotipa, boja itd. bez da se ograničava jasnoća, brzina i jednostavnost
- Razvijanje kao trajni resurs;
- Interaktivni sadržaj, korištenjem jedinstvenih prednosti web stranica.

DODATAK 1: ČLANOVI MEĐURESORSKE RADNE SKUPINE (MRS)

*(Napomena: * znači imenovano kao vodeće ministarstvo za upravljanje OP-om)*

Središnji ured za razvojnu strategiju i koordinaciju fondova EU-a (SDURF)

- *Gđa. Nataša Mikuš, zamjenica državne tajnice (predsjedatelj, MRS)*
- *G. Vjeran Bašić, voditelj odsjeka*
- *G Dalibor Dvorny, stručni suradnik*

Ministarstvo mora, turizma, prometa i razvitka (MMTPR)*

- *G. Mate Jurišić, pomoćnik ministra*
- *G. Dražen Antolović, stručni suradnik*

Ministarstvo zaštite okoliša, prostornog uređenja i izgradnje (MZOPUG)

- *Gđa. Anita Gulam, savjetnik*

Ministarstvo vanjskih poslova i europskih integracija (MVPEI)

- *Gđa. Željka Babić, stručni suradnik*

Državni zavod za statistiku

- *Gđa. Edita Omerzo, savjetnik*

CARDS 2003: Pomoć pri nacionalnom razvojnom planiranju

- *G. Franz Goetz, vanjski stručni konzultant*

DODATAK 2: INDIKATIVNI POPIS PROJEKATA I NJIHOVE IDENTIFIKACIJSKE KARTICE

Broj projekta	Ime projekta	mjera	Procijenjena vrijednost projekata u eurima
	PRIORITETNA OS 1		
1	Sustav signalno-sigurnosnih uređaja na Zagrebačkom glavnom kolodvoru	Mjera 1.2	17,900,000
2	Rehabilitacija pruge dionica Okučani - Novska	Mjera 1.1	38,500,000
3	Rehabilitacija pruge dionica Novska - Dugo Selo	Mjera 1.1	135,000,000
4	Rehabilitacija pruge dionica Zaprešić - Savski Marof	Mjera 1.1	25,000,000
	PRIORITETNA OS 2		
5	Obnova i unaprjeđenje plovnih putova rijeke Save	Mjera 2.1	40,000,000
6	Rekonstrukcija luke Vukovar – nova luka Istok	Mjera 2.1	40,000,000

Projekt br.: 1		Prioritetna os: 1		Broj mjere: 1.2.	
Lokacija projekta:		Zagreb			
1. Ime projekta		Sustav signalno-sigurnosnih uređaja na Zagrebačkom glavnom kolodvoru			
2. Vrijednost ulaganja (procjena)		17,900,000 EUR			
3. Opis glavnih projektnih komponenti i/ili aktivnosti		<ul style="list-style-type: none"> • Instalacija nove elektronske signalne opreme na zagrebačkom glavnom kolodvoru, i susjednom odvojkju Trešnjevka, uključujući uklanjanje stare opreme • Instalacija nove opreme za kontrolu međustanične udaljenosti između zagrebačkog Glavnog kolodvora i zagrebačkog Zapadnog kolodvora, uključujući uklanjanje stare opreme • Zamjena starih vanjskih sigurnosnih elemenata i kablova i izgradnja sučelja za susjednu sigurnosno-signalizacijsku opremu • Nadogradnja i rehabilitacija telekomunikacija za podršku novom signalno-sigurnosnom sustavu • Manji radovi na pruži u svrhu prilagodbe postojeće pruge na stanicama i prilagodbe gornjeg pružnog ustroja • Prilagodba postojećih objekata s opremom 			
4. Opis glavnih projektnih ciljeva i očekivanih rezultata		<ul style="list-style-type: none"> • Zamijeniti gotovo 70 godina star sustav sigurnosnih uređaja s novom generacijom elektroničke signalne opreme na jednom od najvećih i najprometnijih željezničkih kolodvora u Hrvatskoj to • Očekivani rezultati su: <ul style="list-style-type: none"> – Poboljšana sigurnost i pouzdanost signalno-sigurnosne opreme – Uštede na troškovima održavanja – Povećana brzina i kapacitet kolodvora 			
5. Mjesec i godina početka provedbe projekta		06/2008	6. Mjesec i godina kraja provedbe projekta		12/2010
				7. Trajanje projekta (mjeseci)	30
8. Spremnost osnovne projektne dokumentacije					
Vrsta dokumenta	status	Opis statusa	Datum dovršetka	komentar	
Studija pred-izvedivosti	<input type="checkbox"/>	nije primjenjivo	nije primjenjivo	Nije nužna za projekt rekonstrukcije/nadogradnje	
Studija izvedivosti (s analizom troškova i koristi, koja uključuje ekonomske i financijske analize)	<input type="checkbox"/>	U izradi	06/2007	Studija povjerena lokalnom poduzeću. Izvedba predviđena za lipanj 2007.	
Studija procjene učinka na okoliš	<input type="checkbox"/>	U izradi	07/2007	Za projekt rekonstrukcije/ nadogradnje nije potrebna potpuna procedura PUO Izvešće o zaštiti okoliša omogućit će odluku od strane nadležnog nacionalnog tijela.	
Natječajna dokumentacija	<input type="checkbox"/>	U izradi	12/2007		
Ostalo (naznačiti)	<input type="checkbox"/>				

9. Status projektne dokumentacija i dozvola				
Vrsta dokumenta	Status (prekr ižiti kvadr atic)	Opis statusa (nema, u izradi, dovršeno)	Datum dovršetka	komentar
Prvi dio projekta – signalno-sigurnosni uređaji				
Konceptualno projektiranje	<input type="checkbox"/>	nije primjenjivo	nije primjenjivo	
Preliminarno projektiranje	<input type="checkbox"/>	nije primjenjivo	nije primjenjivo	
Glavno projektiranje	<input checked="" type="checkbox"/>	dovršeno	05/2007	
Završno projektiranje	<input type="checkbox"/>	nema		Izradit će izvoditelj radova prema žutoj knjizi FIDIC-a
Lokacijska dozvola	<input type="checkbox"/>	nije primjenjivo	nije primjenjivo	nije primjenjivo
Građevinska dozvola	<input type="checkbox"/>	ne	12/2007	
Drugi dio projekta – telekomunikacije				
Konceptualno projektiranje	<input type="checkbox"/>	nije primjenjivo	nije primjenjivo	
Preliminarno projektiranje	<input type="checkbox"/>	nije primjenjivo	nije primjenjivo	
Glavno projektiranje	<input type="checkbox"/>	nije primjenjivo	nije primjenjivo	
Završno projektiranje	<input type="checkbox"/>	ne		Izradit će izvoditelj radova prema žutoj knjizi FIDIC-a
Lokacijska dozvola	<input type="checkbox"/>	nije primjenjivo	nije primjenjivo	Nije primjenjivo
Građevinska dozvola	<input type="checkbox"/>	nije primjenjivo	nije primjenjivo	Nije primjenjivo
Ostalo – tehnički zahtjevi	<input type="checkbox"/>	U izradi	9/2007	Odredit će tehnički odjel korisnika
Treći dio projekta – građevinski radovi – pruga				
Konceptualno projektiranje	<input type="checkbox"/>	nije primjenjivo	nije primjenjivo	
Preliminarno projektiranje	<input type="checkbox"/>	nije primjenjivo	nije primjenjivo	
Glavno projektiranje	<input checked="" type="checkbox"/>	dovršeno	2006	
Završno projektiranje	<input type="checkbox"/>	nije primjenjivo	nije primjenjivo	Nije potrebno
Lokacijska dozvola	<input type="checkbox"/>	nije primjenjivo	nije primjenjivo	Nije primjenjivo
Građevinska dozvola	<input type="checkbox"/>	nije primjenjivo	nije primjenjivo	Nije primjenjivo
Četvrti dio projekta – građevinski radovi – zgrada				
Konceptualno projektiranje	<input type="checkbox"/>	nije primjenjivo	nije primjenjivo	
Preliminarno projektiranje	<input type="checkbox"/>	nije primjenjivo	nije primjenjivo	
Glavno projektiranje	<input type="checkbox"/>	nije primjenjivo	nije primjenjivo	

Završno projektiranje	<input type="checkbox"/>	ne		Izradit će izvoditelj radova prema žutoj knjizi FIDIC-a
Lokacijska dozvola	<input type="checkbox"/>	nije primjenjivo	nije primjenjivo	Nije primjenjivo
Građevinska dozvola	<input type="checkbox"/>	nije primjenjivo	nije primjenjivo	Nije primjenjivo
Ostalo – tehnički zahtjevi	<input type="checkbox"/>	dovršeno		Definirani u glavnom nacrtu za signalizaciju i sigurnosne uređaje

10. Opis vlasničkog statusa nad zemljištem:

U sklopu postojeće infrastrukture – nije potrebno kupovanje zemljišta

11. Opišite trenutni status projekta	Zagrebački glavni kolodvor je glavno željezničko čvorište za međugradске vlakove i putnički i teretni promet na većim udaljenostima na koridoru X i Vb. Opremljen je s relejnim signalno-sigurnosnim uređajima koji su instalirani u 1940. Neki dijelovi opreme u međuvremenu su zamijenjeni. Brzina unutar kolodvora trenutno je reducirana na 30 km/h, zbog stanja signalne opreme. Teško je nabaviti rezervne dijelove za takvu zastarjelu opremu, zbog čega je tehničko održavanje vrlo teško i skupo.
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12. Ime krajnjeg korisnika	H.Ž. Infrastruktura	13. Ime operatera	H.Ž. Infrastruktura
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14. Izvori financiranja

Nacionalna komponenta (uključujući krajnjeg korisnika)	MFI (EIB)	Ostali donatori (naznačiti)	Predložena IPA bespovratna sredstva
4.5 milijuna eura-.....EUR-.....EUR	13.4 milijuna eura

15. Dodatni komentar	Zamjena sigurnosno-signalne opreme predstavlja prvu fazu rekonstrukcije zagrebačkog Glavnog kolodvora i preduvjet je daljnje rekonstrukcije kolodvora.
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Projekt br.: 2	Prioritetna os:1	Mjera br.: 1.2.
Lokacija projekta: Sisačko- Moslavačka županija		
1. Ime projekta	Rehabilitacija pruge Okučani-Novska	
2. Vrijednost ulaganja (procjena)	38.500.000 EUR	
3. Opis glavnih projektnih komponenti i/ili aktivnosti	<ul style="list-style-type: none"> • Remont pruge na 19,5km dvokolosiječnog kolosijeka uz zamjenu materijala na fiksnim strukturama • Rekonstrukcija pruge na kolodvoru u Okučanima • Rehabilitacija stanice Rajić • Rehabilitacija pod-strukture, sustava propusta i drenaže • Instalacija ETCS sustava • Prilagodba opreme gornjeg pružnog ustroja 	

4. Opis glavnih projektnih ciljeva i očekivanih rezultata		<ul style="list-style-type: none"> • Ostvariti brzinu od 160 km/h • Povećati kapacitet pruge • Smanjiti troškove održavanja 			
5. Mjesec i godina početka provedbe projekta	06/2009	6. mjesec i godina završetka provedbe projekta	06/2011	7. trajanje projekta (mjeseci)	24
8. Spremnost projektne dokumentacije					
Vrsta dokumenta	status	Opis statusa	Datum dovršetka	komentar	
Studija pred-izvedivosti	<input type="checkbox"/>	nije primjenjivo	nije primjenjivo	Nije potrebna za projekt rekonstrukciju / nadogradnje	
Studija izvedivosti (s analizom troškova i koristi, koja uključuje ekonomske i financijske analize)	<input type="checkbox"/>	ne	09/2008	Predlaže se za financiranje / realokaciju u sklopu ISPA mjere IPA priprema projekata (promet)	
Studija procjene učinka na okoliš	<input type="checkbox"/>	ne	09/2008	Predlaže se za financiranje / realokaciju u sklopu ISPA mjere IPA priprema projekata (promet)	
Natječajna dokumentacija	<input type="checkbox"/>	ne	10/2008		
Ostalo (naznačiti)	<input type="checkbox"/>				
9. Status projektne dokumentacija i dozvola					
Vrsta dokumenta	Status (prekriziti kvadratić)	Opis statusa (nema, u izradi, dovršeno)	Datum dovršetka	komentar	
Prvi dio projekta – građevinski radovi, pruga i elektrifikacija					
Konceptualno projektiranje	<input type="checkbox"/>	nije primjenjivo	nije primjenjivo		
Preliminarno projektiranje	<input checked="" type="checkbox"/>	u tijeku	09/2007	Samo za rekonstrukciju u Okučanima	
Glavno projektiranje	<input type="checkbox"/>	nije primjenjivo	nije primjenjivo		
Završno projektiranje	<input checked="" type="checkbox"/>	u tijeku	01/2008		
Lokacijska dozvola	<input type="checkbox"/>	ne	12/2007	Samo za rekonstrukciju u Okučanima	
Građevinska dozvola	<input type="checkbox"/>	ne	06/2008		

Dugi dio projekta – signalizacija i telekomunikacije				
Konceptualno projektiranje	<input type="checkbox"/>	nije primjenjivo	nije primjenjivo	
Preliminarno projektiranje	<input type="checkbox"/>	u tijeku	09/2007	Samo za rekonstrukciju u Okučanima
Glavno projektiranje	<input type="checkbox"/>	nije primjenjivo	nije primjenjivo	
Završno projektiranje	<input type="checkbox"/>	u tijeku	01/2008	
Lokacijska dozvola	<input type="checkbox"/>	ne	12/2007	Samo za rekonstrukciju u Okučanima
Građevinska dozvola	<input type="checkbox"/>	ne	06/2008	
Ostalo – tehnički zahtjevi	<input type="checkbox"/>			
10. Opis vlasničkog statusa nad zemljištem: Unutar postojeće infrastrukture – nije potrebna kupnja zemljišta				
11. Opis trenutnog stanja projekta	<ul style="list-style-type: none"> • Dvokolosiječna pruge i za putnički i za teretni promet • Nagib pruge do 6‰ i horizontalno usklađivanje koje dopušta brzinu do 160 km/h iznimkom zavoja na izlazu iz željezničke stanice Okušani u kojem je maksimalna brzina 100 km/h • Zadnji remont u razdoblju 1980.-1981., zbog lošeg stanja pruge smanjena je na 120km/h • Kategorija D4: maksimalno dopušteno osovinsko opterećenje 22,5 t/osovini, tj. 8 t/m • Slobodni krcajni profil: UIC CG • elektrificirano s AC 25kV/50Hz sustavom • zaustavna udaljenost: 1500 m 			
12. Ime krajnjeg korisnika	HŽ Infrastruktura	13. Ime operatera	HŽ Infrastruktura	
14. Izvor financiranja				
Nacionalna komponenta (uključujući krajnjeg korisnika)	MFI (EIB)	Ostali donatori (specificirati)	Predložena IPA bespovratna sredstva	
9.6 milijuna eura-.....EUR-.....EUR	28.9 milijuna eura	
15. Dodatni komentari:	<p>Iskoristivost kapaciteta ove dionice bila je ispod mogućnosti u 2005. - 22%. Unatoč niskoj iskoristivosti kapaciteta ove dionice, brzina je već bila smanjivana u 2006. zbog lošeg stanja pruge i bit će i dalje smanjivana, ako se pruga ne obnovi. Stoga je nužan remont te dionice pruge na dugoročnoj osnovi.</p> <p>Osim toga, intervencije kako bi se ostvarile te brzine zapravo su jednostavne, nije potrebna kupnja zemljišta i izrada projekta (tehničko projektiranje, dozvole) može biti dovršena u kraćem razdoblju nego što je slučaj za jednokolosiječne dionice. Iz tih razloga je ovaj projekt predložen za provedbu prije dionica jednokolosiječne pruge.</p>			

Projekt br.: 3		Prioritetna os: 1		Mjera br.: 1.1	
Lokacija projekta:		županije: Zagrebačka i Sisačko –Moslavačka			
1. Naziv projekta		Rehabilitacija pruge Novska - Dugo selo			
2. Vrijednost ulaganja (procjena)		135.000.000 EUR			
3. Opis glavnih projektnih komponenti i/ili aktivnosti		<ul style="list-style-type: none"> • 3 faze: <ul style="list-style-type: none"> I. Novoselec – Dugo Selo 27,1 km II. Kutina – Novoselec 27,7 km III. Novska – Kutina 26,5 km • Remont pruge na 81,3 km jednokolosiječne pruge uključujući rekonstrukciju stanica • Rekonstrukcija zavoja kako bi se povećala brzina na 160 km/h • Rehabilitacija podstrukture, sustava propusta i drenaže, • Zamjena prijelaza u razini s mostovima na državnim cestama višeg ranga, rehabilitacija drugih prijelaza u razini • Zamjena relejne signalne opreme s elektroničkom i instalacija ETCS sustava • Sustav centralizirane kontrole prometa koji pokriva rutu od Okučana do Dugog Sela uključujući Središnju kontrolu prometa u Zagrebu da bi upravljali prometnim aktivnostima od slovenske granice do zapadne točke u Vinkovcima • Nadogradnja telekomunikacijskih sustava uključujući uvođenje novog GSM-R sustava • Prilagodba opreme gornjeg ustroja 			
4. Opis glavnih projektnih ciljeva i očekivanih rezultata		<ul style="list-style-type: none"> • Povećati brzinu na 160 km/h • Uvesti interoperabilnost putem ETCS-a • Povećati kapacitet pruge • Smanjiti troškove održavanja • Smanjiti broj zaposlenika 			
5. Mjesec i godina početka provedbe projekta		3/2010	6. Mjesec i godina dovršetka provedbe projekta		12/2013
				7. Trajanje projekta (mjeseci)	Do tri godine po fazi
8. Spremnost projektne dokumentacija					
Vrsta dokumenta	status	Opis statusa	Datum dovršetka	komentar	
Studija pred-izvedivosti	<input type="checkbox"/>				
Studija izvedivosti (s analizom troškova i koristi, koja uključuje ekonomske i financijske analize)	<input type="checkbox"/>	ne	12/2008	Bit će predloženo za financiranje u sklopu IPA mjere 1.1	
Studija procjene učinka na okoliš	<input type="checkbox"/>	ne	12/2008	Bit će predloženo za financiranje u sklopu IPA mjere 1.1	
Natječajna dokumentacija	<input type="checkbox"/>	ne	6/2009		
Ostalo (naznačiti)	<input type="checkbox"/>				
9. Status projektne dokumentacija i dozvola					

Vrsta dokumenta	Status (prekr ižiti kvadr atić)	Opis statusa (nema, u izradi, dovršeno)	Datum dovršetka	komentar
Konceptualno projektiranje	<input type="checkbox"/>	nije primjenjivo	nije primjenjivo	
Preliminarno projektiranje	<input type="checkbox"/>	ne	10/2008	Bit će predloženo za financiranje u sklopu IPA mjere 1.1
Glavno projektiranje	<input type="checkbox"/>	ne		
Završno projektiranje	<input type="checkbox"/>	ne	5/2009	Bit će predloženo za financiranje u sklopu IPA mjere 1.1
Lokacijska dozvola	<input type="checkbox"/>	ne	1/2009	
Građevinska dozvola	<input type="checkbox"/>	ne	11/2009	
Ostalo – tehnički zahtjevi	<input type="checkbox"/>			
<p>10. Opis vlasničkog statusa nad zemljištem: Oko 90% unutar postojećeg koridora – NEMA problema s vlasništvom nad zemljištem Potrebna kupnja zemljišta na nekoliko lokacija na kojima se planira rekonstrukcija zavoja ili proširenje pruge na stanici</p>				
11. Opis trenutnog statusa projekta	<p>Opća obilježja:</p> <ul style="list-style-type: none"> • Jednokolosiječna pruga i za putnički i za teretni promet • nagib pruge do 5‰ i horizontalno usklađivanje koje dopušta maksimalnu brzinu od 130 km/h uz iznimku pojedinih zavoja koji ograničavaju brzinu pretežno na ulazu i izlazu iz željezničke stanice • zadnji remont rađen u razdoblju 1979.-1986. (stanica Novska u 1971.) i zbog lošeg stanja pruge brzina je ograničena na 70-80 km/h • kategorija D4: maksimalno dopušteno osovinsko opterećenje 22,5 t/osovini, tj. 8t/m • slobodni krcajni profil: UIC CG • elektrificirano sa AC 25kV/50Hz sustavom • relejna signalna oprema na stanici instalirana u 60.-tim • sigurnosna oprema na međustaničnim udaljenostima automatski se blokira, zaustavna udaljenost 1 000m <p>Novoselec – Dugo Selo stanice: Dugo Selo Ivanić Grad i Novoselec</p> <p>Kutina – Novoselec stanice: Ludina, Popovača, Moslavačka Gračenica i Kutina</p> <p>Novska - Kutina stanice: Banova Jaruga, Lipovljani i Novska</p>			
12. Ime krajnjeg korisnika	HŽ Infrastruktura	13. Ime operatera		HŽ Infrastruktura

14. Izvori financiranja			
Nacionalna komponenta (uključujući krajnjeg korisnika)	MFI (EIB)	Ostali donatori (naznačiti)	Predložena IPA bespovratna sredstva
33.8 milijuna eura-.....EUR-.....EUR	101.2 milijuna eura
15. Dodatni komentari	<p>Iskoristivost kapaciteta za ovu dionicu u 2005. je bila 63%. Daljnjim pogoršavanjem stanja pruge i povećanjem obima prometa na ovoj jednokolosiječnoj dionici od Novske do Dugog Sela, taj će dio ubrzo postati usko grlo Koridora X u Hrvatskoj. Predložena ulaganja u sklopu ove IPA mjere omogućit će širenje postojećih kapaciteta pruge kako bi se prilagodili predviđenom porastu prometa u narednih 10-15 godina nakon kojih bi se razmatralo postavljanje dvokolosiječnog kolosijeka.</p>		

Projekt br.: 4		Prioritetna os: 1		Mjera br.: 1.1	
Lokacija projekta:		Zagrebačka županija			
1. Naziv projekta		Rehabilitacija pruge Zaprešić - Savski Marof			
2. Vrijednost ulaganja (procjena)		25.000.000 EUR			
3. Opis glavnih projektnih komponenti i/ili aktivnosti		<ul style="list-style-type: none"> • Remont pruge na 7,5 km dvokolosiječne pruge uključujući zamjenu materijala na fiksnoj strukturi • Rekonstrukcija pruge na stanicama u Zaprešiću i Savskom Marofu • Rehabilitacija podstrukture, sustava propusta i drenaže, • Zamjena prijelaza u razini s mostovima na državnim cestama višeg ranga, rehabilitacija drugih prijelaza u razini • Zamjena relejne signalne opreme s elektroničkom opremom kojom će se upravljati daljinski iz centra Središnje kontrole prometa u Zagrebu i opremljeno s ETCS sustava • Repozicioniranje signala kako bi se omogućila brzina do 160 km/h • Nadogradnja telekomunikacijskih sustava uključujući uvođenje novog GSM-R sustava • Prilagodba opreme gornjeg ustroja 			
4. Opis glavnih projektnih ciljeva i očekivanih rezultata		<ul style="list-style-type: none"> • Povećati brzinu na 160 km/h • Uvesti interoperabilnost putem ETCS-a • Povećati kapacitet pruge • Smanjiti troškove održavanja • Smanjiti broj zaposlenika 			
5. Mjesec i godina početka provedbe projekta		9/2010	6. Mjesec i godina dovršetka provedbe projekta		7/2013
			7. Trajanje projekta (mjeseci)		34
8. Spremnost projektne dokumentacije					
Vrsta dokumenta	status	Opis statusa	Datum dovršetka	komentar	
Studija pred-izvedivosti	<input type="checkbox"/>	nije primjenjivo	nije primjenjivo		
Studija izvedivosti (s analizom troškova i koristi, koja uključuje ekonomske i financijske analize)	<input type="checkbox"/>	ne	10/2009	Bit će predloženo za financiranje u sklopu IPA mjere 1.1.	
Studija procjene učinka na okoliš	<input type="checkbox"/>	ne	10/2009	Bit će predloženo za financiranje u sklopu IPA mjere 1.1.	
Natječajna dokumentacija	<input type="checkbox"/>	ne	1/2010	Bit će predloženo za financiranje u sklopu IPA mjere 1.1.	
Ostalo (specificirati)	<input type="checkbox"/>				
9. Status projektne dokumentacija i dozvola					
Vrsta dokumenta	Status (<i>prekriziti kvadratić</i>)	Opis statusa (<i>nema, u izradi, dovršeno</i>)	Datum dovršetka	komentar	

Konceptualno projektiranje	<input type="checkbox"/>	nije primjenjivo	nije primjenjivo	
Preliminarno projektiranje	<input type="checkbox"/>	ne	6/2008	Bit će pripremljeno unutar tehničke pomoći za izradu niza pripremljenih projekata u sklopu ISPA-e
Glavno projektiranje	<input type="checkbox"/>	ne	8/2009	Bit će predloženo za financiranje u sklopu IPA mjere 1.3. <i>Priprema projekata</i>
Završno projektiranje	<input type="checkbox"/>	ne		
Lokacijska dozvola	<input type="checkbox"/>	ne	12/2008	
Građevinska dozvola	<input type="checkbox"/>	ne	12/2009	
ostalo	<input type="checkbox"/>			

10. Opis vlasničkog statusa nad zemljištem:

Potrebno stjecanje zemljišta za proširenje pruge na kolodvoru / rekonstrukciju

11. Opis trenutnog statusa projekta	<ul style="list-style-type: none"> • dvokolosiječna pruga i za putnički i za teretni promet • nagib pruge do 5‰ i horizontalno usklađivanje koje dopušta maksimalnu brzinu od 160 km/h uz iznimku željezničke stanice Zaprešić • zadnji remont rađen 1972. i zbog lošeg stanja pruge brzina je ograničena na 80/120 km/h • kategorija D4: maksimalno dopušteno osovinsko opterećenje 22,5 t/osovini, tj. 8 t/m • Slobodni krcajni profil: UIC CG • elektrificirano sa AC 25kV/50Hz sustavom • sigurnosna oprema između državne granice i Savskog Marofa je međustanično ovisna (1 blok između stanica) i između Savskog Marofa i Zaprešića automatsko blokiranje • relejna sigurnosno-signalna oprema instalirana na željezničkim stanicama • zaustavna udaljenost: 1000 m 		
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12. Ime krajnjeg korisnika	HŽ Infrastruktura	13. Ime operatera	HŽ Infrastruktura
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14. Izvori financiranja

Nacionalna komponenta (uključujući krajnjeg korisnika)	MFI (EIB)	Ostali donatori (specificirati)	Predložena IPA bespovratna sredstva
6.25 milijuna eura-.....EUR-.....EUR	18.75 milijuna eura

15. Dodatni komentari	Središnja točka ovog projekta je rekonstrukcija željezničke stanice Zaprešić koja će omogućiti razdvajanje putničkog i teretnog prometa u području čvora Zagreb postavljanjem zaobilaznice za teretni promet na zapadnom ulazu u Zagreb
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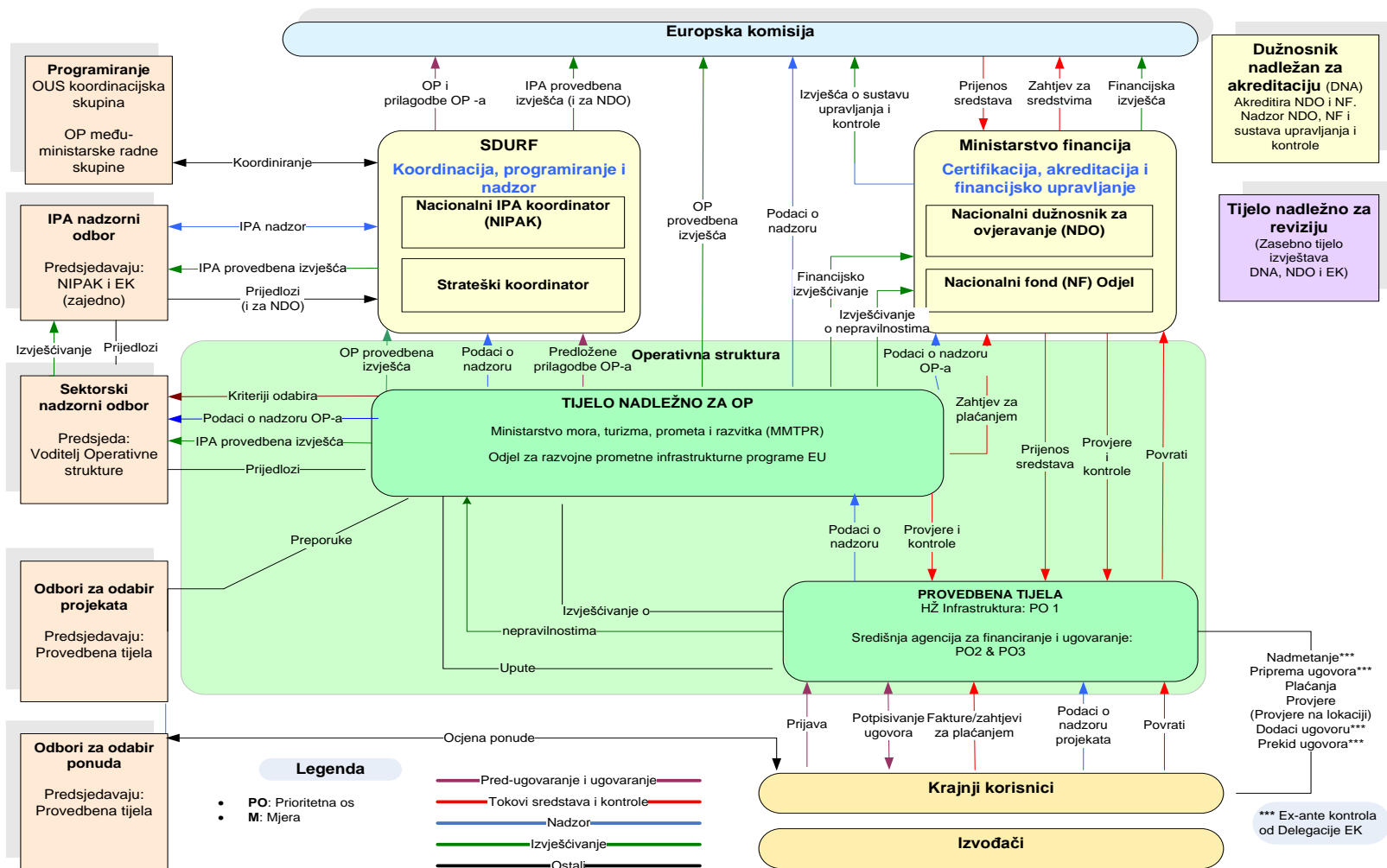
Projekt br.: 5		Prioritetna os: 2		Mjera br.: 2.1	
Lokacija projekta:					
1. Naziv projekta		Obnova i unaprjeđenje plovnih putova rijeke Save			
2. Vrijednost ulaganja (procjena)		40.000.000 €			
3. Opis glavnih projektnih komponenti i/ili aktivnosti		Aktivnosti: 1. Čišćenje bagerom kako bi se poboljšala dubina plovnog puta na dionicama I-XIV 2. Izgradnja područja za čekanje i usmjeravanje prometa na 2 oštre riječne okuke na dionicama XI-XIII 3. Izgradnja područja za čekanje i usmjeravanje prometa na 6 oštih riječnih okuka na dionicama XII – XIV 4. Unaprjeđenje sustava označavanja i održavanja u područjima Kapetanija Slavonski Brod i Sisak 5. Zamjena mostova Jasenovac i Gladovo kako bi se zajamčila minimalna vertikalna visina			
4. Opis glavnih projektnih ciljeva i očekivanih rezultata		Obnova i unaprjeđenje Save, do kategorija CEMT IV			
5. Mjesec i godina početka provedbe projekta		06/2008	6. Mjesec i godina dovršetka provedbe projekta		06/2010
				7. Trajanje projekta (mjeseci)	24
8. Spremnost projektne dokumentacije					
Vrsta dokumenta	status	Opis statusa	Datum dovršetka	komentar	
Studija pred-izvedivosti	DA				
Studija izvedivosti (s analizom troškova i koristi, koja uključuje ekonomske i financijske analize)	NE	U izradi	03/2008		
Studija procjene učinka na okoliš	NE	U izradi	06/2008		
Natječajna dokumentacija	NE				
Ostalo (specificirati)	---				
9. Status projektne dokumentacija i dozvola					
Vrsta dokumenta	Status (prekriziti kvadratić)	Opis statusa (nema, u izradi, dovršeno)	Datum dovršetka	komentar	

Konceptualno projektiranje	DA	dovršeno		
Preliminarno projektiranje	DA	dovršeno		
Glavno projektiranje	NE			
Završno projektiranje	NE			
Lokacijska dozvola	NE	Nakon usvajanja PUO studije	12/2008	
Građevinska dozvola	NE			
Ostalo – tehnički zahtjevi	---			
10. Opis vlasničkog statusa nad zemljištem: država				
11. Opis trenutnog statusa projekta	Projekt je trenutno u fazi razvoja studija izvedivosti i studija vezanih za okoliš			
12. Ime krajnjeg korisnika	Agencija za plovne putove unutarnjih voda	13. Ime operatera		
14. Izvori financiranja				
Nacionalna komponenta (uključujući krajnjeg korisnika)	MFI (EIB)	Ostali donatori (specificirati)	Predložena IPA bespovratna sredstva	
10.0 milijuna eura-.....EUR-.....EUR	30.0 milijuna eura	
15. Dodatni komentari	Projekti se moraju razvijati u uskoj suradnji s Komisijom za rijeku Savu i drugim članovima te komisije (Republika Slovenija, Srbija, BiH)			

Projekt br.: 6		Prioritetna os: 2		Mjera br.: 2.1.	
Lokacija projekta:					
1. Naziv projekta		Rekonstrukcija luke Vukovar – nova luka Istok			
2. Vrijednost ulaganja (procjena)		1. faza - 22.000.000 €		2. faza 18.000.000 €	
3. Opis glavnih projektnih komponenti i/ili aktivnosti		1.) <i>Infrastruktura</i> – vertikalni ključni zid 700m, rekonstrukcija željezničke pruge i lučke ceste <i>Nadstruktura</i> – višenamjenski terminal (skladište), terminal za rukovanje materijalom za zaštitu od vremena, terminal za rasutu robu (oprema za utovar i istovar, otpremači) 2.) infrastruktura: - vertikalni ključni zid 500m, dodatni kapaciteti skladištenja			
4. Opis glavnih projektnih ciljeva i očekivanih rezultata		Luka trenutno ne može odgovoriti na rastuću potražnju za prometom. Razlog je ograničenost kapaciteta i dostupnosti operativne površine. Luka ima veliki značaj u tranzitu robe za industriju Bosne i Hercegovine (80% ukupnog tereta u luci) Takvo stanje posljedica je više godina ratnog razdoblja i nedostatne obnove. Kako bi se razvila moderna luka koja će potaknuti razvoj gospodarstva u gradu Vukovar i regiji. Konačni rezultat je povećati kapacitet luke do 2,5 milijuna tona godišnje i poboljšati operativnu sigurnost.			
5. Mjesec i godina početka provedbe projekta		01/2008	6. Mjesec i godina dovršetka provedbe projekta		01/2012
			7. Trajanje projekta (mjeseci)		48
8. Spremnost projektne dokumentacije					
Vrsta dokumenta	status	Opis statusa	Datum dovršetka	komentar	
Studija pred-izvedivosti	DA				
Studija izvedivosti (s analizom troškova i koristi, koja uključuje ekonomske i financijske analize)	DA				
Studija procjene učinka na okoliš	DA			Djelomično (uključena u studiju izvedivosti, posebna studija PUO prema hrvatskim propisima potrebna je u fazi projektiranja)	
Natječajna dokumentacija	NE				
Ostalo (naznačiti)	---				
9. Status projektne dokumentacija i dozvola					
Vrsta dokumenta	Status (<i>prekriziti kvadratić</i>)	Opis statusa (<i>nema, u izradi, dovršeno</i>)	Datum dovršetka	komentar	

Konceptualno projektiranje	NE	U izradi	03/2008	
Preliminarno projektiranje	NE			
Glavno projektiranje	NE			
Završno projektiranje	NE			
Lokacijska dozvola	NE			
Građevinska dozvola	NE			
Ostalo – tehnički zahtjevi	---			
10. Opis vlasničkog statusa nad zemljištem: državno vlasništvo – djelomično (80%), 20% u procesu eksproprijacije				
11. Opis trenutnog statusa projekta	Trenutno je projekt u fazi <i>stand-by</i> budući da nema odgovarajućih kapaciteta za projektiranje i gradnju.			
12. Ime krajnjeg korisnika	Lučka kapetanija Vukovar	13. Ime operatera		
14. Izvori financiranja				
Nacionalna komponenta (uključujući krajnjeg korisnika)	MFI (EIB)	Ostali donatori (naznačiti)	Predložena IPA bespovratna sredstva	
3.0 milijuna eura	18.0 milijuna eura	7.0 milijuna eura	12.0 milijuna eura	
15. Dodatni komentari				

DODATAK 3: DIJAGRAM INSTITUCIONALNE STRUKTURE



DODATAK 4: AKCIJSKI PLAN ZA OSNOVNU MREŽU ZA JIE

Seq	Mod	rang (MCA)	Koridor or pravac	Ime projekta	Pre.-šifra	lokacija	Inte r vrst a	Km	Cijen a mil. eur	Trenut ni status
1	RD	1	Kor X	Dovršetak zaobilaznice Beograd, sektor 1-3: Dobenovci-Ostružnica	SERRDO17. 2	SER	N	17.0	7.5	CD/F S
	RD	3	Kor X	Dovršetak zaobilaznice Beograd, sektor 4: Ostružnica-Orlovača	SERRDO17. 3	SER	N	8.00	24	CD/F S
	RD	0	Kor X	Dovršetak zaobilaznice Beograd, sektor 5- 6:Orlovaca-Bubanj-Potok	SERRDO17. 4	SER	N	14.0	136	CD/F S
NEW 2	RD	13	Kor X	Nadogradnja ceste dionica Demir Kapija- Udovo-Smokvice	MACRD008	MC	U	33	150	CD
3	RD	28	Kor Vc	Rekonstrukcija Šešlije-Šamac	BIHRD006	BiH	U	48	18.1	TR
	RD	37	Kor Vc	Dovršetak ceste, dionica Zenica/Donja Gračanica-Kakanj	BIHRD049	BiH	N	24.16	230	(FS)F S
	RD	30	Kor Vc	Dovršetak ceste, dionica Kakanj-Vlakovo (zaobilaznica Sarajevo)	BIHRD049 a	BiH	N	(45) 30	30	CD
	RD	27	Kor Vc	Izgradnja zaobilaznice Mostar, povezane s Koridorom Vc	BIHRD010	BiH	N	13	20	(TR)F S
4	RD	21	Kor VIII	Izgradnja zaobilaznica Rogozhine na Koridoru VIII	ALBRD004	ALB	N	4.30	0.02	CD
5	RD	23	Kor VIII	Izgradnja ceste, dionica Deve Bair-Kriva Palanka	MACRD29	MAC	U	13.5	67.35	CD
	RD	35	Kor VIII	Izgradnja ceste, dionica Gostivar-Bukojčani	MACRD28	MAC	R	30	102.8	CD
6	RD	18	Prava c Br. 1	Rehabilitacija ceste (dionica: Debeli brijeg- Bar)	MONRD030	MCN	U	19	8	TR
7	RD	4	Prava	Zaobilaznica Niksic	MONRD028	MCN	N	11	20	TR

			c Br. 2b							
	RD	11	Prava c Br. 2b	Rehabilitacija ceste (dionica: Scepan polje- Pluzine)	MONRD038	MCN	N	28	42	TR
8	RD	29	Prava c Br. 2b	Izgradnja Broda na Drini (Foca)-Hum (Scepan polje)	BIHRD021	BiH	N	21	80	TR
9	RD	31	Prava c Br. 2b	Nadogradnja Hani Hotit-Shkoder ceste	ALBRD007	ALB	U	34	26.64	(FS)F S
10	RD	24	Prava c Br. 4	Istočna mini-zaobilaznica Podgorica	MONRD029	MCN	N	6.5	20	FS
11	RD	36	Prava c Br. 7	Nadogradnja ceste Milot-Morine	ALBRD013	ALB	UN	(110)88	144.3	CD,F S
NEW 12	RD	34	Prava c Br. 7	Kosovo dionica (Prištinska regija) pravca br. 7 Br.Morina-Merdare do Koridora X i Duressa	KOSRD011 a	KOS	N	14. 74	104.1	CD,F S

13	RW	9	Kor X	Nadogradnja željez. signalizacije i telekomunikacije na Koridoru X	MACRW022	MAC	U	37	6	(TR)PS
	RW	10	Kor X	Rehabilitacija željez. linije Tabanovci-Gevgelija (Kor X) dio:Veles-Zgropolci-Demir Kapija	MACRW025	MAC	R	69	150	(TR)PS
NEW 14	RW	15	Kor X	Rekonstrukcija / nadogradnja dvokolosiječne pruge Beograd-Nis/Beograd-Resnik-Klenje-M.Ivanca-M.Krsna-V.Plana	SERRW022.6	SER	N	76	150	TR
	RW	15	Kor X	Rekonstrukcija i modernizacija Nis-Presevo- makedonska granica	SERRW022.9	SER	U	156	77.3	TR
15	RW	17	Kor X	Remont željez. pruge dionica Savski Marof-Zagreb	HRVRW028.1	HRV	R	27	23.3	TR
	RW	25	Kor X	Sustav daljinske kontrole prometa Savski Marof-Zagreb-Tovarnik	HRVRW027	HRV	N	329	23.4	PS
	RW	19	Prava c Br. 4	Rehabilitacija željezničke pruge Vrbnica-Podgorica-Bar	MONRW013	MCN	R	167	25	TR
NEW 16	RW	8	Prava c Br. 4	Rehabilitacija Vrbnica-Podgorica-Bar/dodatni radovi	MONRW012	MCN	R	167	7	TR
17	IW	5	Kor VII	Restauracija riječnog korito Dunava,5 dionica: Apatin,Vernelj-Petres,Staklar,Mohovo,Beska	SERIW032-36	SER	R	14	11.40	TR
	AP	14	Zračna luka	Funkcijska poboljšanja zračne luke Beograd	SERAP003	SER	N	0	7.2	CD
NEW 18	AP	12	Zračna	Modernizacija zračne luke Niš	SERAP066	SER	U	0	4.2	CD

			luka							
19	AP	20	Zračna luka	Zračna luka Split: nova platforma za zrakoplove	HRVAP002	HRV	N	0	15	TR
20	AP	25	Zračna luka	Rehabilitacija zračne luke Priština	KOSAO001	KOS	R	0	31.40	FS
		22	Luka	Integracija prometa i trgovine (TTI), Luka Ploče	HRVSP010	HRV	N	0	86	FS
21		32	Luka	Luka Dubrovnik: Izgradnja terminala za međunarodni putnički promet	HRVSP011	HRV	N	0	20	FS
22		33	Luka	Rekonstrukcija pristaništa Volujica, luke u zaljevu	MONSP011	MCN	R	0	10.5	TR

Izvor: VPD 2007-2011 svezak 1, str. 58

DODATAK 5: PODACI O PARTNERSKIM KONZULTACIJAMA

ZAPISNIK SA SASTANKA ODRŽANOG 15. OŽUJKA 2007.

KONZULTACIJA S PARTNERSKIM INSTITUCIJAMA U PROMETNOM SEKTORU GLEDE OPERATIVNOG PROGRAMA „PROMET“

Ministarstvo mora, turizma, prometa i razvitka organiziralo je prezentaciju Operativnog programa „Promet“ 6. ožujka 2007. u prostorijama Ministarstva, Prislavlje 3, Zagreb.

Domaćin sastanka je bio g. Mate Jurišić, pomoćnik ministra (MMTPR) kao predstavnik Uprave za strateške infrastrukturne projekte, voditelj IPA operativne strukture za prometni sektor. Uz g. Jurišića dio prezentacije je držao g. Dalibor Dvorny, stručni suradnik iz Središnjeg državnog ureda za razvoj i koordinaciju EU fondova kao središnjeg koordinacijskog tijela za program IPA u Hrvatskoj i gđa. Zrinka Ivanović Kelemen iz HŽ - Infrastruktura kao glavnog krajnjeg korisnika.

Na sastanak su bili pozvane sljedeće partnerske organizacije:

Institut za promet i telekomunikacije, Zagreb
Sveučilište u Zagrebu, Fakultet građevinarstva
Sveučilište u Zagrebu, Fakultet za promet i prometne znanosti
Sindikatski hrvatskih željezničara
Sindikatski inženjera i tehničara HŽ
Sindikatski HŽ Infrastrukture
Sindikatski tehničke inspekcije pružnih vozila
Sindikatski hrvatskih željezničara
Sindikatski prometnika vlakova Hrvatske
Agencija za plovne putove unutarnjih voda

Sve pozvane partnerske institucije poslale su svoje predstavnike na sastanak.

Cilj sastanka bio je jasno predstaviti višestruke strane trenutne verzije OP „Promet“ i osim toga objasniti partnerima njihovu aktualnu i buduću ulogu u procesu programiranja.

Prezentacija je bila podijeljena u više dijelova: uvod, pregled institucionalnog ustroja za IPA-u, te prezentacija aktualnih projektnih prijedloga. Domaćini su dali detaljna pojašnjenja glede institucionalnog ustroja IPA-u, institucija uključenih u izradu, procesa međuresorskog pristupa, hijerarhije dokumenata koji su konzultirani, obrasca OP-a, prioriteta, mjera i konačno projektnih prijedloga.

Sastanak se nastavio raspravom o mogućim alternativnim projektnim prijedlozima budući da su partneri predložili buduće projekte vezane za ulaganja u rekonstrukciju i modernizaciju vagona i ulaganja u izgradnju distribucijskih centara. Nakon što je uzajamno prihvaćeno da većina tih ideja nisu prihvatljive za sufinanciranje u sklopu IPA-e, sudionici su bili zadovoljni s objašnjenjem i stoga su dali široku podršku prijedlogu djelomične rekonstrukcije željezničke pruge na Koridoru X, posebice prijedloge glede sigurnosti željezničkog prometa kao glavnog prioriteta.

Sudionici su također dali podršku sličnim budućim inicijativama za prezentacija projekata.

Zaključno je sudionicima dana mogućnost da dostave, u roku od deset dana, pismene komentare i prijedloge vezano za predloženi Operativni program. Budući da nisu zaprimljeni nikakvi komentari do dogovorenog datuma, mišljenja smo da postoji puna podrška Operativnom programu „Promet“.

Zagreb, 15. ožujka 2007.

ZAPISNIK SA SASTANKA ODRŽANOG 13. LIPNJA 2007.

KONZULTACIJE SA SEKTOROM ZAŠTITE OKOLIŠA GLEDE OPERATIVNOG PROGRAMA „PROMET“

Drugi konzultacijski sastanak s partnerima održan je 13. lipnja 2007. u prostorijama Ministarstva mora, turizma, prometa i razvitka, Prisavlje 14 u Zagrebu.

Na sastanku su sudjelovali predstavnici tiska, radija i televizije te predstavnici ekološke udruge Zelena akcija (*Friends of the Earth* Hrvatska). Druge nevladine udruge bilo su također pozvane, ali se njihovi predstavnici nisu pojavili na konzultacijama. Pozivnice su bile distribuirane preko osobnih elektroničkih adresa i preko mreže za zaštitu okoliša «Zeleni forum» te hrvatskog ekološkog tiskovnog centra. Predstavnici MMTPR-a, HŽ Infrastrukture i SDURF-a informirali su prisutne o izradi Operativnog programa „Promet“ 2007.-2009.

Dan nakon toga, informacije o izradi OPP-a dane su tisku, radiju i televiziji. 21. lipnja ekološka udruga Zelena akcija – prijatelji Zemlje Hrvatska uputila je pismo Ministarstvu s općenitim komentarima u kojim se ističu manje štete za okoliš iz preusmjerenja prometa na željeznički i riječni promet. Osim toga, Zelena akcija je mišljenja da treba biti izrađena studija učinka na okoliš te da se trebaju odrediti mjere zaštite za predloženu rehabilitaciju određenih dionica., budući da bi na nekim segmentima dionica predloženih za rehabilitaciju trebalo premjestiti željeznički pravac kako bi se povećao horizontalni polumjer u zavojima. Unaprjeđenje plovidbe na rijeci Savi je prihvatljivo ako se očuva postojeći eko-sustav u maksimalno mogućoj mjeri. Zelena akcija smatra da bi bilo idealno ako se ne bi poduzimale nikakve tehničke intervencije u koritu rijeke Save. Međutim, svjesni su da to nije moguće i stoga traže maksimalne mjere zaštite te primjenu relevantnih nacionalnih i međunarodnih propisa.

Zelena akcija daje podršku izgradnji luke Vukovar, ali naglašava da se radovi na proširenju luke trebaju provoditi u skladu s relevantnim nacionalnim i međunarodnim propisima kako bi se osiguralo najmanji mogući učinak na okoliš tijekom izgradnje luke i tijekom njezine kasnije uporabe.

b) Izmjene i dopune operativnog programa usvojenog Odlukom Komisije C(2010)3771 od 23. lipnja 2010.

Višegodišnji Operativni program „Promet“ mijenja se i dopunjuje kako slijedi:

1. Na naslovnoj stranici, naziv programa se zamjenjuje sljedećim:
 "OPERATIVNI PROGRAM „PROMET“
 INSTRUMENT PRETPRISTUPNE POMOĆI
 2007HR16IPO002"

2. Na stranicama 60. – 71., pokazatelji nadzora u tablicama 2 - 8 u Odjeljku 3.1 zamjenjuju se sljedećim:

Tablica 2 – Pokazatelji za prioritetnu os 1

	Definicija	Vrsta	Mjerna jedinica	Osnovni podaci	Datumi podataka	Učestalost revizija	Krajnji cilj (do 2012.)	Krajnji cilj (do 2014.)	Izvor podataka
1	Povećana prosječna brzina vlaka na Koridoru X	Rezultat	Km/h	70	2006.	godišnje	103	103*	Hrvatske željeznice Vozni red
2	Poboljšano poštivanje rasporeda za putničke vlakove	Rezultat	Minute / kašnjenje vlaka	9	2006.	godišnje	6	6*	Intervjuiranje putnika; Statistički godišnjaci Hrvatskih željeznica
3	Povećani obujam tereta	Rezultat	Tone, (1000 Tone km (u mil.)	2.691 939	2006.	godišnje	3.495 1.353	3.495* 1.353*	Statistički godišnjaci Hrvatskih željeznica

Tablica 3 – Pokazatelji nadzora za mjeru 1.1

	Definicija	Vrsta	Mjerna jedinica	Osnovni podaci	Datumi podataka	Učestalost revizija	Krajnji cilj (do 2012.)	Krajnji cilj (do 2014.)	Izvor podataka
1	Km pruge nadograđeni kako bi se postigla prosječna brzina od 160 km/h	Neposredni rezultat	Km pruge	0	2007.	godišnje	19.5	46,5	Izvješća o praćenju projekta
2	Obnovljeni mostovi/prijelazi u razini kako bi se postigla prosječna brzina od 160 km/h	Neposredni rezultat	broj	0	2007.	godišnje	33	33*	Izvješća o praćenju projekta
3	Žice za napajanje električnom energijom obnovljene kako bi se postigla prosječna brzina od 160 km/h	Neposredni rezultat	Km pruge	0	2007.	godišnje	19.5	46,5	Izvješća o praćenju projekta
4	Dostavljeni projektni zahtjevi zajedno sa svom dokumentacijom	Neposredni rezultat	broj	0	2007.	godišnje	2	4	Izvješća o praćenju projekta

Tablica 4 – pokazatelji nadzora za mjeru 1.2

	Definicija	Vrsta	Mjerna jedinica	Osnovni podaci	Datumi podataka	Učestalost revizija	Krajnji cilj (do 2012.)	Krajnji cilj (do 2014.)	Izvor podataka
1	Instaliran i aktivan sustav signalno-sigurnosnih uređaja	Neposredni rezultat	set	0	2007	godišnje	1	1*	Izvješća o nadzoru projekta
1.a	Instalirana nova glavna i telesignalizacija	Neposredni rezultat	kom.	0	2007	godišnje	47	47*	Izvješća o nadzoru projekta
1.b	Instalirana nova signalizacija za lokomotive	Neposredni rezultat	kom.	0	2007	godišnje	77	77*	Izvješća o nadzoru projekta
1.c	Instalirani novi elektro-hidraulički strojevi	Neposredni rezultat	kom.	0	2007	godišnje	98	98*	Izvješća o nadzoru projekta

*Premda radovi na rehabilitaciji i obnovi na dionici Dugo Selo – Novoselec planirani su za razdoblje 2010. – 2011., pokazatelji se mogu mijenjati nakon dovršetka glavnog projekta i utvrđeni zahtjevi. Glavni projekt za dionicu DS-Novoselec bit će pripremljen u okviru Operativnog programa „Promet“ IPA 2007 - 2009

Prioritetna os 2 – Unaprjeđenje sustava unutarnje plovidbe u Hrvatskoj

Tablica 6 – Pokazatelji nadzora za mjeru 2.1.

	Definicija	Vrsta	Mjerna jedinica	Osnovni podaci	Datumi podataka	Učestalost revizija	Krajnji cilj (do 2012.)	Krajnji cilj (do 2014.)	Izvor podataka
1	Projekti spremni za provedbu s potpunom dokumentacijom	Neposredni rezultat	broj	0	2007.	godišnje	2	4	Izvešća o praćenju projekta
2	Zahtjevi za odobrenje projekata popunjeni i upućeni za financiranje EU	Neposredni rezultat	broj	0	2007.	godišnje	2	5	Izvešća o praćenju projekta

Tablica 7 – Pokazatelji nadzora za prioritetnu os 3

	Definicija	Vrsta	Mjerna jedinica	Osnovni podaci	Datumi podataka	Učestalost revizija	Krajnji cilj (do 2012.)	Krajnji cilj (do 2014.)	Izvor podataka
1	Službenici u državnim tijelima sposobni neovisno identificirati, pripremiti i ocijeniti prijave za projekte	rezultat	broj	0	2007.	godišnje	6	6	MMPI
2	Sredstva OP-a apsorbirana u sklopu operativne prioritetne osi	rezultat	%	0	2007.	godišnje	100	100	MMPI

Tablica 8 – Pokazatelji nadzora za mjeru 3.1.

	Definicija	Vrsta	Mjerna jedinica	Osnovni podaci	Datumi podataka	Učestalost revizija	Krajnji cilj (do 2012.)	Krajnji cilj (do 2014.)	Izvor podataka
1	Održan trening za službenike javne uprave	Neposredni rezultat	Održan trening za službenike javne uprave	0	2007.	godišnje	10	14	Izvešća o praćenju projekta
2	Organizacija promidžbenih događanja (tiskovne konferencije, seminari, TV / radio emitiranje)	Neposredni rezultat	Organizacija promidžbenih događanja (tiskovne konferencije, seminari, TV / radio emitiranje)	0	2007.	godišnje	10	14	SDURF / MMPI
3	Sastanci nadzornih odbora	Neposredni rezultat	Sastanci nadzornih odbora	0	2007.	godišnje	10	14	SDURF / MMPI
4	Prijave za projektima u prometu ocijenjeni i dostavljeni od strane operative strukture	Neposredni rezultat	Prijave za projektima u prometu ocijenjeni i dostavljeni od strane operative strukture	0	2007.	godišnje	4	6	Izvešća o praćenju projekta

3. Na stranicama 84. – 87., „Poglavlje 4. – Financijske tablice“ zamjenjuje se sljedećim:

GODINA 2007.	Ukupni javni trošak	Javni trošak		IPA stopa sufinanciranja
		IPA udio	Nacionalni javni udio	
	(1) =(2) + (3)	(2)	(3)	(4)=(2)/(1)
	(Eur)	(Eur)	(Eur)	(%)
Prioritetna os 1- Unaprjeđenje željezničkog sustava u Hrvatskoj	15.288.530	12.995.250	2.293.280	85%
Mjera 1.1 – Nadogradnja i modernizacija pruge	1.764.706	1.500.000	264.706	85%
Mjera 1.2 – Poboljšanje sigurnosti i učinkovitosti rada	13.523.824	11.495.250	2.028.574	85%
Prioritetna os 2 – Unaprjeđenje sustave unutarnje plovidbe u Hrvatskoj	4.411.765	3.750.000	661.765	85%
Mjera 2.1 – Modernizacija i obnova riječnih plovnih putova i lučke infrastrukture	4.411.765	3.750.000	661.765	85%
Prioritetna os 3: Tehnička pomoć	300.000	255.000	45.000	85%
Mjera 3.1 – Upravljanje programom i izgradnja kapaciteta	300.000	255.000	45.000	85%
Ukupno	20.000.295	17.000.250	3.000.045	85%

GODINA 2008.	Ukupni javni trošak	IPA udio	Nacionalni javni udio	IPA stopa sufinanciranja
	(1) =(2) + (3)	(2)	(3)	(4)=(2)/(1)
	(Eur)	(Eur)	(Eur)	(%)
Prioritetna os 1- Unaprjeđenje željezničkog sustava u Hrvatskoj	18.670.590	15.870.000	2.800.590	85%
Mjera 1.1 – Nadogradnja i modernizacija pruge	16.400.295	13.940.250	2.460.045	85%
Mjera 1.2 – Pобољšanje sigurnosti i učinkovitosti rada	2.270.295	1.929.750	340.545	85%
Prioritetna os 2 – Unaprjeđenje sustave unutarnje plovidbe u Hrvatskoj	2.205.883	1.875.000	330.883	85%
Mjera 2.1 – Modernizacija i obnova riječnih plovinih putova i lučke infrastrukture	2.205.883	1.875.000	330.883	85%
Prioritetna os 3: Tehnička pomoć	300.000	255.000	45.000	85%
Mjera 3.1 – Upravljanje programom i izgradnja kapaciteta	300.000	255.000	45.000	85%
Ukupno	21.176.473	18.000.000	3.176.473	85%

GODINA 2009.	Ukupni javni trošak	IPA udio	Nacionalni javni udio	IPA stopa sufinanciranja
	(1) =(2) + (3)	(2)	(3)	(4)=(2)/(1)
	(Eur)	(Eur)	(Eur)	(%)
Prioritetna os 1- Unaprjeđenje željezničkog sustava u Hrvatskoj	21.465.000	18.245.250	3.219.750	85%
Mjera 1.1 – Nadogradnja i modernizacija pruge	21.465.000	18.245.250	3.219.750	85%
Mjera 1.2 – Pобољšanje sigurnosti i učinkovitosti rada	0	0	0	85%
Prioritetna os 2 – Unaprjeđenje sustave unutarnje plovidbe u Hrvatskoj	0	0	0	85%
Mjera 2.1 – Modernizacija i obnova riječnih plovinih putova i lučke infrastrukture	0	0	0	85%
Prioritetna os 3: Tehnička pomoć	300.000	255.000	45.000	85%
Mjera 3.1 – Upravljanje programom i izgradnja kapaciteta	300.000	255.000	45.000	85%
Ukupno	21.765.000	18.500.250	3.264.750	85%

GODINA 2010.	Ukupni javni trošak	IPA udio	Nacionalni javni udio	IPA stopa sufinanciranja
	(1) =(2) + (3)	(2)	(3)	(4)=(2)/(1)
	(Eur)	(Eur)	(Eur)	(%)
Prioritetna os 1- Unaprjeđenje željezničkog sustava u Hrvatskoj	24.044.119	20.437.500	3.606.619	85%
Mjera 1.1 – Nadogradnja i modernizacija pruge	23.691.177	20.137.500	3.553.677	85%
Mjera 1.2 – Pобољšanje sigurnosti i učinkovitosti rada	352.942	300.000	52.942	85%
Prioritetna os 2 – Unaprjeđenje sustave unutarnje plovidbe u Hrvatskoj	750.000	637.500	112.500	85%
Mjera 2.1 – Modernizacija i obnova riječnih plovniх putova i lučke infrastrukture	750.000	637.500	112.500	85%
Prioritetna os 3: Tehnička pomoć	264.706	225.000	39.706	85%
Mjera 3.1 – Upravljanje programom i izgradnja kapaciteta	264.706	225.000	39.706	85%
Ukupno	25.058.825	21.300.000	3.758.825	85%

GODINA 2011.	Ukupni javni trošak	IPA udio	Nacionalni javni udio	IPA stopa sufinanciranja
	(1) =(2) + (3)	(2)	(3)	(4)=(2)/(1)
	(Eur)	(Eur)	(Eur)	(%)
Prioritetna os 1- Unaprjeđenje željezničkog sustava u Hrvatskoj	24.750.001	21.037.500	3.712.501	85%
Mjera 1.1 – Nadogradnja i modernizacija pruge	24.397.059.001	20.737.500	3.659.559	85%
Mjera 1.2 – Pобољšanje sigurnosti i učinkovitosti rada	352.942	300.000	52.942	85%
Prioritetna os 2 – Unaprjeđenje sustave unutarnje plovidbe u Hrvatskoj	750.000	637.500	112.500	85%
Mjera 2.1 – Modernizacija i obnova riječnih plovniх putova i lučke infrastrukture	750.000	637.500	112.500	85%
Prioritetna os 3: Tehnička pomoć	264.706	225.000	39.706	85%
Mjera 3.1 – Upravljanje programom i izgradnja kapaciteta	264.706	225.000	39.706	85%
Ukupno godina 2011.	25.764.707	21.900.000	3.864.707	85%

GODINE 2007.-2011.	Ukupni javni trošak	IPA udio	Nacionalni javni udio	IPA stopa sufinanciranja
	(1) =(2) + (3)	(2)	(3)	(4)=(2)/(1)
	(Eur)	(Eur)	(Eur)	(%)
Prioritetna os 1- Unaprjeđenje željezničkog sustava u Hrvatskoj	104.218.240	88.585.500	15.632.740	85%
Mjera 1.1 – Nadogradnja i modernizacija pruge	87.718.237	74.560.500	13.157.737	85%
Mjera 1.2 – Pобољšanje sigurnosti i učinkovitosti rada	16.500.003	14.025.000	2.475.003	85%
Prioritetna os 2 – Unaprjeđenje sustave unutarnje plovidbe u Hrvatskoj	8.117.648	6.900.000	1.217.648	85%
Mjera 2.1 – Modernizacija i obnova riječnih plovih putova i lučke infrastrukture	8.117.648	6.900.000	1.217.648	85%
Prioritetna os 3: Tehnička pomoć	1.429.412	1.215.000	214.412	85%
Mjera 3.1 – Upravljanje programom i izgradnja kapaciteta	1.429.412	1.215.000	214.412	85%
Ukupno godine 2007.-2011.	113.765.300	96.700.500	17.064.800	85%

AGREEMENT
BETWEEN
THE GOVERNMENT OF THE REPUBLIC OF CROATIA
AND
THE EUROPEAN COMMISSION

MODIFYING THE FINANCING AGREEMENT
BETWEEN
THE GOVERNMENT OF THE REPUBLIC OF CROATIA
AND
THE EUROPEAN COMMISSION

CONCERNING THE MULTI-ANNUAL OPERATIONAL PROGRAMME
“TRANSPORTATION” FOR COMMUNITY ASSISTANCE FROM THE INSTRUMENT
FOR PRE-ACCESSION ASSISTANCE UNDER THE “REGIONAL DEVELOPMENT”
COMPONENT IN CROATIA

The Government of the Republic of Croatia
and
the European Commission

Having regard to Article 110 of the Financing Agreement,

Whereas

1) A Financing Agreement, regarding the multiannual operational programme "Transportation" 2007 - 2009 was signed on 10 November 2008 between the Government of the Republic of Croatia and the European Commission and entered into force on 15 December 2008.

2) In the meantime, the Treaty of Lisbon entered into force on 1 December 2009, Commission Regulation (EC) No 718/2007 of 12 June 2007 implementing Council Regulation (EC) No 1085/2006 establishing an instrument for pre-accession assistance (IPA)¹ was amended by Regulation (EU) No 80/2010 of 28 January 2010² and on 9 July 2009 the Commission adopted the Multi-Annual Indicative Planning Document (MIPD) 2009-2011 for Croatia.

3) It is necessary for this Agreement to have retroactive effect in order to keep the starting date of eligibility of expenditure laid down in the Financing Agreement signed on 10 November 2008.

4) The Financing Agreement should therefore be modified accordingly,

HAVE AGREED AS FOLLOWS:

Article 1

The text of the Financing Agreement signed on 10 November 2008 between the Government of the Republic of Croatia and the European Commission is replaced by the text of the Financing Agreement set out in the Annex to this Agreement.

Article 2

This Agreement shall enter into force on the date on which the Beneficiary notifies the Commission that all internal procedures in the Republic of Croatia necessary for the entry into force of this Agreement have been fulfilled.

Article 3

This Agreement shall apply as of 10 November 2008.

Article 4

This Agreement is drawn up in duplicate in the English language.

Signed, for and on behalf of the Government of the Republic of Croatia,

¹ OJ L 170, 29.6.2007, p. 1.

² OJ L 25, 29.1.2010, p. 1.

at (place) on (date)
by Hrvoje Dolenec, State Secretary and National IPA Coordinator

.....
Signed, for and on behalf of the Commission,
at (place) on (date)
by Dirk Ahner, Director General
.....

ANNEX

FINANCING AGREEMENT

BETWEEN

THE GOVERNMENT OF THE REPUBLIC OF CROATIA

AND

THE EUROPEAN COMMISSION

**CONCERNING THE MULTI-ANNUAL OPERATIONAL PROGRAMME
“TRANSPORTATION” FOR COMMUNITY ASSISTANCE FROM THE INSTRUMENT
FOR PRE-ACCESSION ASSISTANCE UNDER THE “REGIONAL DEVELOPMENT”
COMPONENT IN CROATIA**

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The Government of the Republic of Croatia
And
The European Commission

Hereafter jointly referred to as "the Parties" or individually as "the Beneficiary", in the case of the Government of the Republic of Croatia, or "the Commission", in the case of the European Commission

Whereas

- 1) On 17 July 2006, the Council of the European Union adopted Regulation (EC) No 1085/2006³ establishing an Instrument for Pre-Accession Assistance (hereinafter the "IPA Framework Regulation"). Applicable from 1 January 2007, the IPA Framework Regulation constitutes the single legal basis for the provision of financial assistance to candidate countries and potential candidate countries in their efforts to enhance political, economic and institutional reforms with a view to becoming members of the European Union;
- 2) On 12 June 2007, the Commission adopted Regulation (EC) No 718/2007⁴ implementing the IPA Framework Regulation, detailing applicable management and control provisions (hereinafter: "IPA Implementing Regulation");
- 3) Croatia figures in Annex I of the IPA Framework Regulation, and should therefore have access to the 5 components established under Article 3(1) of the same Regulation, i.e. (a) Transition Assistance and Institution building; (b) Cross-Border Cooperation; (c) Regional Development; (d) Human Resources Development and (e) Rural Development;
- 4) In accordance with Article 155 of the IPA Implementing Regulation, the assistance under the Regional Development and Human Resources Development components should be implemented through multi-annual operational programmes;
- 5) On 13 June 2007 the Beneficiary submitted to the Commission a strategic coherence framework which, pursuant to Article 154(1) of the IPA Implementing Regulation, constitutes a reference document for the programming of the Regional Development and Human Resources Development components;
- 6) On 29 March 2007 the Beneficiary submitted to the Commission a proposal for a multi-annual operational programme for "Transportation", hereinafter "the programme". On 26 January 2010 the Beneficiary submitted to the Commission a proposal for modification of the programme;
- 7) On 7 December 2007 the Commission adopted a Decision C(2007)6051 approving the programme for IPA co-financing, hereinafter "the Financing Decision". On 22 June 2010 the Commission adopted a Decision C(2010)3771 modifying the programme;
- 8) According to Article 17 of the IPA Framework Regulation the Commission and the Beneficiary should conclude framework agreements and subsidiary agreements concerning the implementation of the assistance;
- 9) On 27 August 2007 the Beneficiary and the Commission concluded a Framework Agreement setting out the rules for co-operation concerning EC financial assistance under IPA;
- 10) According to Article 8 of the IPA Implementing Regulation and Article 5 (3) of the Framework Agreement, where required by the financing decision, the Commission and the

³ OJ L210, 31.7.2006, p.82

⁴ OJ L 170, 29.6.2007, p.1

Beneficiary should conclude a Financing Agreement which may take the form of a multi-annual agreement;

- 11) In accordance with Article 8(4) of the IPA Implementing Regulation, the Financing Agreement should lay down: (a) provisions by which the Beneficiary accepts the assistance of the Community and agrees to the rules and procedures concerning disbursement related to such assistance; (b) the terms on which the assistance is managed, including the relevant methods and responsibilities for implementing the multi-annual programme and/or operations; (c) provisions relating to the establishment and regular updating, by the Beneficiary, of a roadmap with indicative benchmarks and time limits to achieve decentralisation without *ex-ante* controls by the Commission;
- 12) The programme, as adopted by the Commission Decision of 7 December 2007 and modified by Commission Decision C(2010)3771 of 22 June 2010 should form an integral part of the Financing Agreement.

HAVE AGREED AS FOLLOWS:

CHAPTER I – GENERAL PROVISIONS

Article 1

Subject matter

1. This Financing Agreement (hereinafter "Agreement") is concluded between the Government of the Republic of Croatia and the European Commission, pursuant to Article 8 of the IPA Implementing Regulation and Article 5(3) of the Framework Agreement.
2. This Agreement concerns the multi-annual operational programme "Transportation" for Community assistance from the Instrument of Pre-Accession Assistance under the "Regional Development" component in Croatia, adopted by Commission Decision C(2007)6051 of 7 December 2007 and modified by Commission Decision C(2010)3771 of 22 June 2010.
3. All documents and correspondence pertaining to the programme shall bear the reference CCI No: 2007 HR 16IPO 002.
4. Without prejudice to the provisions laid down in the IPA Implementing Regulation and in the Framework Agreement, this Agreement completes the technical, legal and administrative framework and includes specific provisions for the management, monitoring, evaluation and control under which the programme referred to in paragraph 2 and any amendments thereof shall be implemented.

Article 2

Objectives

1. In addition to Article 3 of the Framework Agreement, the objectives to be pursued under the programme shall be consistent with the overall aim to prepare the Republic of Croatia for the implementation and management of the Union's cohesion policy, with a view to EU membership.
2. Operations, projects, actions, and preparatory measures implemented under the programme shall follow a "learning by doing" approach with a view to preparing national authorities to achieve the objective set out in paragraph 1, with due regard to the principle of proportionality, as laid down in the relevant provisions applicable to the Union's cohesion policy and its instruments.

Article 3

Regulatory framework

The regulatory framework applicable to pre-accession assistance, to be observed in the implementation of the programme, includes *inter alia*:

- a.) Council Regulation (EC EURATOM) No 1605/2002 of 25 June 2002⁵ on the Financial Regulation applicable to the general budget of the European Communities, hereinafter "the Financial Regulation";
- b.) Council Regulation (EC) No 1085/2006 of 17 July 2006, establishing an Instrument for Pre-Accession Assistance (IPA)⁶;
- c.) 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 Communities⁷, hereinafter the "Implementing Rules of the Financial Regulation";
- d.) Commission Regulation (EC) No 718/2007 of 12 June 2007⁸ implementing Council Regulation (EC) No 1085/2006 establishing an instrument for pre-accession assistance (IPA);
- e.) Commission Decision C(2007)6051 of 7 December 2007 adopting the multi-annual operational programme "Transportation" in the Republic of Croatia, and any amendments thereto, as may be decided by the Commission until the final closure of the programme;
- f.) Commission Decision C(2008)6273 of 3 November 2008 conferring management powers relating to the Transportation Operational Programme on the Republic of Croatia under the Instrument for Pre-Accession Assistance, and any amendments thereto as may be decided by the Commission until the final closure of the programme.

*Article 4
Conventional framework*

The provisions of the Framework Agreement concluded on 27 August 2007 between the Government of the Republic of Croatia and the Commission shall apply *mutatis mutandis* to this Agreement.

*Article 5
Compliance with applicable regulatory and conventional framework and with other European Union law and policies*

1. The Beneficiary shall take all necessary steps to ensure the proper execution of all activities and to facilitate the implementation of the programme, in compliance with the regulatory and conventional framework referred to under Articles 3 and 4 of this Agreement.
2. The Commission and the Beneficiary shall endeavour to ensure that all activities and the objectives pursued with the implementation of the programme are consistent with the European Union law and policies in force, as may be applicable to the relevant sector, and contribute to the progressive alignment with the standards and policies of the European Union, including where appropriate the *acquis communautaire*.

*Article 6
Interpretation*

1. The provisions of this Agreement shall be interpreted as supplementing and completing the provisions of the regulatory and conventional frameworks provided for under Articles 3 and 4 of this Agreement.

⁵ OJ L 248, 16.9.2002, p.1

⁶ OJ L 210, 31.7.2006, p.82

⁷ OJ L 357, 31.12.2002, p.1

⁸ OJ L 170, 29.6.2007, p 1

2. Notwithstanding paragraph 1, where a contradiction exists between the regulatory and conventional framework referred to under Articles 3 and 4 of this Agreement and the other provisions of this Agreement, the interpretation in accordance with the following order of precedence should be applied:

- a.) regulations and decisions referred to under Article 3 of this Agreement;
- b.) Framework Agreement referred to under Article 4 of this Agreement;
- c.) this Agreement.

3. Where contradictions exist between the provisions in the main part of this Agreement and in its annexes, and in particular the provisions in Chapter V of Annex XIX (the "Implementing Provisions" of the Operational Programme), the provisions contained in the main part of this Agreement shall prevail.

4. Subject to any explicit provision to the contrary in this Agreement, the terms used in this Agreement shall bear the same meaning as attributed to them in the IPA Framework Regulation, in the IPA Implementing Regulation and in the Framework Agreement referred to in Article 4.

5. Subject to any explicit provision to the contrary in this Agreement, references to this Agreement are references to such Agreement as amended, supplemented or replaced from time to time.

6. Any references to Community instruments are references to such instruments as amended, supplemented or replaced from time to time.

7. Headings in this Agreement have no legal significance and do not affect its interpretation.

Article 7

Partial invalidity and unintentional gaps

1. If a provision of this Agreement is or becomes invalid, or if this Agreement contains unintentional gaps, this will not affect the validity of the other provisions of this Agreement. The Parties will replace any invalid provision by a valid provision which comes as close as possible to the purpose of, and intent of, the invalid provision.

2. The Parties will fill any unintentional gap by a provision which best suits the purpose and intent of this Agreement, in compliance with the IPA Framework Regulation, the IPA Implementing Regulation and the Framework Agreement.

Article 8

Coordination, consistency and complementarity

The Commission and the Beneficiary shall ensure adequate coordination, consistency and complementarity of the assistance provided under the programme with other forms of Community assistance, including but not limited to the other IPA components covered by the IPA Framework Regulation, as well as assistance financed by the European Investment Bank, other international financing institutions and bilateral donors.

Article 9

Protection of the Community's financial interests

1. For the purpose of the implementation of Articles 28 and 29 of the Framework Agreement by the Beneficiary, Council Regulation (EC) No 2988/95 of 18 December 1995 on the protection of the European Communities financial interests⁹ shall apply *mutatis mutandis*.

⁹ OJ L 312, 23.12.1995, p.1.

2. The Beneficiary shall adopt all legislative, regulatory and administrative provisions and take any other measures necessary to ensure effective protection of the financial interests of the Community, and particularly in order to:
- a.) check the authenticity and compliance of operations financed by the Community;
 - b.) prevent and pursue irregularities;
 - c.) recover sums lost as a result of irregularities or negligence;
 - d.) report irregularities to the Commission by establishing a mechanism equivalent to that foreseen in section 4 "irregularities" (Articles 27-36) of Commission Regulation (EC) No 1828/2006, of 8 December 2006 setting out rules for the implementation of Council Regulation (EC) No 1083/2006 laying down general provisions on the European Regional Development Fund, the European Social Fund and the Cohesion Fund and Regulation (EC) No 1080/2006 of the European Parliament and of the Council on the European Regional Development Fund¹⁰.
3. The Beneficiary shall inform the Commission of the provisions adopted and measures taken under paragraph 2 and the measures taken for management and control, in compliance with Community legislation concerning support for the programme, in order to protect the financial interests of the Community.

CHAPTER II – IPA FUNDING

Article 10 Programme Funding Sources

1. The total cost of the programme, expressed in terms of eligible public expenditure as defined in Article 17(2) of this Agreement, is estimated at EUR 113 765 294. The breakdown of this amount is set out in the Financial Plan in Annex I.
2. Subject to budgetary availability, the Community undertakes to co-finance the programme by way of a grant from the budget of the European Communities, up to the maximum amount indicated in the Financial Plan in Annex I.
3. The Beneficiary undertakes to co-finance the programme by way of cash contributions, corresponding as a minimum to the national co-financing requirements indicated in the Financial Plan in Annex I. In all instances, the Beneficiary shall ensure that the financing requirements for each operation shall be fully met.
4. The Community contribution referred to in paragraph 2 shall not exceed the ceiling of 85% of the eligible expenditure at the level of each priority axis.
5. The Community contribution to the co-financing of the programme and each operation is subject to the observance of the provisions of this Agreement, as well as the regulatory and conventional framework applicable to pre-accession assistance, namely as provided for under Articles 3 and 4 of this Agreement.

Article 11 Financial Plan

1. The Financial Plan, expressed in euros, applicable to the Community contribution broken down by year and national public contributions to the programme in the period 2007 to 2011, at the level of each priority axis, is the Financial Plan indicated in Annex I.
2. Amendments or modifications to this Financial Plan require the formal agreement of the Commission and must be approved by way of an amending Commission Decision.

¹⁰ OJ L 371, 27.12.2006, p.g 4

3. The Financial Plan may be extended, to include Community and national public contributions to the programme in calendar years 2012 and 2013, subject to the formal agreement of the Commission, approved by way of a Commission Decision.

4. In the event of the extension of the Financial Plan in accordance with paragraph 3, the programme indicators and other relevant strategic and operational elements shall be amended accordingly.

Article 12

Commitment of community funding

1. The Community contribution to the programme, as laid down in Articles 10 and 17 of this Agreement, shall be split in yearly commitments in accordance with the Financial Plan in Annex I.

2. The amount(s) to be committed in year 2011 and in any subsequent years are subject to the approval of the necessary credits in the budget of the European Communities by the budgetary authority.

3. Nothing in this Agreement can be interpreted as implying a financial commitment of the Community in relation to credits which have not yet been approved by the budgetary authority.

Article 13

Automatic decommitment (n+3)

1. Pursuant to Article 166 of the Financial Regulation, the Commission shall automatically decommit any portion of a budget commitment for the programme where, by 31 December of the third year following year *n* being the one in which the budget commitment was made:

- (i) it has not been used for the purpose of pre-financing; or
- (ii) it has not been used for making intermediate payments; or
- (iii) no declaration of expenditure has been presented in relation to it.

2. That part of budget commitments still open on 31 December 2017 for which a declaration of expenditure has not been made by 31 December 2018 shall be automatically decommitted.

CHAPTER III – GENERAL PRINCIPLES OF IMPLEMENTATION

Article 14

Implementation principles

1. The implementation of the programme shall be carried out by the Beneficiary, on the basis of decentralised management, in accordance with Article 5 of the Framework Agreement.

2. The conditions for the conferral of management powers are set out in Section III, Articles 9, 10, 11 and 12 of the Framework Agreement.

3. In addition to the conditions referred to in paragraph 1, the Beneficiary shall ensure strict observance of the principles and conditions laid down in Article 56 of the Financial Regulation.

4. If the conditions and principles referred to in paragraphs 2 and 3 cease to be met, the Commission may suspend or terminate the implementation of this Agreement.

5. The Beneficiary undertakes to pursue the achievement of decentralisation without *ex-ante* controls, as provided for under Article 30 of this Agreement and Article 16 of the Framework Agreement.

6. All investments receiving Community financing under the programme must fully comply with sustainable development principles and meet relevant environmental norms, such as directives on

EIA¹¹, Habitats¹² and Birds¹³ (in order to avoid negative impacts on potential Natura 2000 sites) where appropriate.

Article 15
Final beneficiary and operations

1. In accordance with the provisions of Article 2(8) of the IPA Implementing Regulation, for the purpose of this Agreement, the term "final beneficiary" shall designate any body or firm, whether public or private, responsible for initiating or initiating and implementing operations. In the context of aid schemes, final beneficiaries are public or private firms carrying out an individual project and receiving public aid.

2. To the extent that the Operating Structure retains direct responsibility for the implementation of the operations under the programme, namely for all contracting arrangements and financial transactions associated thereto, the term "final beneficiary" shall be deemed to refer to the Operating Structure, or any body which has been specifically designated in the decision conferring management powers.

3. For the purpose of this Agreement, operations shall comprise a project or a group of projects, initiated or initiated and implemented by one or more final beneficiaries, allowing for the achievement of the goals of the measure and/or the priority axis to which they relate.

Article 16
Co-financing

In addition to the principles laid down in Article 4 of the Framework Agreement, the following principles shall also apply to the implementation of the programme:

- a.) all operations receiving assistance under the programme shall require national and Community contribution;
- b.) the Community contributions to each operation shall be made available at the same time as the corresponding contribution from national sources;
- c.) the Community contribution to each operation shall be subject to the fulfilment of the obligations and conditions set out in the Framework Agreement and in this Agreement.

Article 17
Aid intensity

1. In line with the provisions of Article 149 of the IPA Implementing Regulation, the Community contribution to the programme shall be calculated on the basis of public expenditure.

2. For the purpose of this Article "public expenditure" is any public contribution to the financing of operations whose origin is the European Community or the budget of public authorities of the beneficiary country and any contribution to the financing of operations whose origin is the budget of public law bodies or associations of one or more regional or local authorities or public law bodies.

3. The maximum amount of the Community contribution at the level of each priority axis under the programme is as set in the Financial Plan in Annex I.

¹¹ Council Directive 85/337/EEC of 27 June 1985 on the assessment of the effects of certain public and private projects on the environment [OJ L 175, 5.7.1985, p.40]

¹² Council Directive 92/43/EEC of 21 May 1992 on the conservation of natural habitats and of wild fauna and flora [OJ L 206, 22.7.1995, p.7]

¹³ Council Directive 79/409/EEC of 2 April 1979 on the conservation of wild birds [OJ L 103, 25.4.1979, p.1]

4. No operation shall benefit from a higher co-financing rate than the one relating to the priority axis concerned.

Article 18
Treatment of receipts

p.m.

Article 19
Revenue generating projects

1. Pursuant to the provisions of Article 150 of the IPA Implementing Regulation, for the purposes of this Agreement, a revenue-generating project means any operation proposed for pre-accession assistance involving an investment in infrastructure, the use of which is subject to charges borne directly by users and which generates revenues, or any operation involving the sale or rent of land or buildings or any other provision of services against payments.

2. Eligible expenditure for revenue-generating projects, used for calculating the Community contribution to those projects in accordance with Article 17 of this Agreement, shall not exceed the current value of the investment cost minus the current value of the net revenue from the investment over a specific reference period for (a) investments in infrastructure; or (b) other projects where it is possible to objectively estimate the revenues in advance.

3. Where not all the investment cost is eligible for co-financing, the net revenue shall be allocated *pro rata* to the eligible and non-eligible parts of the investment cost.

4. In the calculation, the Operating Structure shall take account of the reference period appropriate to the category of investment concerned, the category of project, the profitability normally expected of the category of investment concerned, the application of the polluter-pays principle and, if appropriate, considerations of affordability, in particular in the environment sector.

5. Where, at the latest three years after the closure of the operational programme, it is established that an operation has generated revenue that has not been taken into account in accordance with this article, such revenue shall be refunded to the general budget of the European Union, in proportion to the net contribution received from the programme.

6. For the purpose of this Article, the methodology for carrying out the cost-benefit analysis, including the indicative discount rate to be applied and investment reference period, shall be as indicated in Working Document N. 4, or any additional or complementary guidance issued by the Commission's Directorate General for Regional Policy on this matter.

7. The provisions of this Article do not apply to:

- (a) operations co-financed under this component, the total cost of which is equal to or less than EUR 1 million;
- (b) revenues generated throughout the economic lifetime of the co-financed investments in the case of investments in firms;
- (c) revenues generated within the framework of financing instruments which facilitate access to revolving financing through venture capital, loan and guarantee funds.

Article 20
Involvement of International Financing Institutions (IFIs)

1. Pursuant to Article 19(8) of the IPA Framework Regulation, operations co-financed by the Community under the programme may also receive financing from other international organisations, a Member State, a third country or a regional organisation.

2. Where the situation foreseen in paragraph 1 occurs, notwithstanding the provisions of Chapter VIII of this Agreement regarding public procurement, contracts and grants, the Commission may decide to use such procurement and grant procedures as may be agreed among donors, in accordance with Article 56(2) of the Financial Regulation. The Commission must satisfy itself that the Operating

Structure is capable of applying such procurement and grant procedures, in a way that satisfies the conditions laid down in Article 56 (1) of the Financial Regulation.

3. For the purpose of this Agreement, eligibility of expenditure for operations co-financed in accordance with this article begins from the moment when:

- a.) the Operating Structure concerned has been accredited for the use of the IFIs procurement procedures;
- b.) the Commission has conferred the decentralised management of such procedures to the Operating Structure.

4. IFI contribution may also be implemented by parallel co-financing. This means that the funds provided by the various funding sources are dedicated to separate contracts from those covered under IPA.

Article 21 Polluter pays principle

1. When calculating the rate of Community assistance to be provided to a project, due regard must be given to the application of the polluter pays principle¹⁴.

2. The Polluter Pays Principle implies that those who cause environmental damage should bear the costs of avoiding it or compensating for it. Therefore, public financing of environmental policy is in most cases to be avoided, as it should be financed by the polluters themselves as far as they can be identified.

Article 22 Affordability

When calculating the tariffs to be applied on a project, due account must be taken of the end users' ability to pay.

Article 23 Intellectual property rights

1. The Beneficiary and the implementing bodies responsible for the implementation of the programme and any associated projects shall ensure that they acquire all necessary intellectual property rights with regard to information technology, studies, drawings, plans, publicity and any other material made for planning, implementation, monitoring and evaluation purposes.

2. The Beneficiary shall guarantee that the Commission, or any body or person authorised by the Commission, shall have access and the right to use such a material. The Commission will only use such material for its own purposes.

Article 24 Permits and authorisations

Any type of permit and/or authorisation required for the implementation of the programme and its operations shall be provided in due time by the competent authorities of the beneficiary country, in accordance with national law and, where applicable, in compliance with the *acquis communautaire*, having regard, in this case, to the principle of proportionality referred to in Article 2(2) of the Agreement.

¹⁴ Council Recommendation 75/436/Euratom, ECSC, EEC and attached communication

CHAPTER IV – MANAGEMENT STRUCTURE AND AUTHORITIES

Article 25

Structures and authorities common to other programmes

1. In compliance with Article 6 of the Framework Agreement, the following structures and authorities, common to all IPA components, have been designated by the Beneficiary:
 - a.) The National IPA Coordinator: State Secretary, Central Office for Development Strategy and Coordination of EU Funds
 - b.) The Competent Accrediting Officer: Minister, Ministry of Finance
 - c.) The National Authorising Officer: State Secretary, Ministry of Finance
 - d.) The National Fund: State Treasury, Ministry of Finance
 - e.) The Audit Authority: Agency for the Audit of European Union Programmes Implementation Systems
2. The Strategic Co-ordinator is Deputy State Secretary at the Central Office for Development Strategy and Coordination of EU Funds. This structure is common to the Regional Development Component and the Human Resources Development Component.
3. The functions and responsibilities of the structures and authorities referred to in paragraph 1 and 2 are set out in Article 8 and Annex A to the Framework Agreement.

Article 26

Structures and authorities specific to the programme

1. In accordance with paragraph 6 a) of Annex A of the Framework Agreement, the bodies constituting the Operating Structure for the programme are:
 - the Ministry of Sea, Transport and Infrastructure
 - Croatian Railways Infrastructure
 - the Central Finance and Contracting AgencyThe Beneficiary has appointed State Secretary at the Ministry of Sea, Transport and Infrastructure as Head of the Operating Structure, with responsibility for the tasks described in paragraph 6c) of Annex A to the Framework Agreement.
2. The functions and responsibilities of the Operating Structure are set out in Article 8 and paragraph 6 b) of Annex A of the Framework Agreement.
3. In addition to the above-mentioned functions and responsibilities, the Head of the Operating Structure shall also be responsible for:
 - a.) Managing the secretariat of the Sectoral Monitoring Committee;
 - b.) Co-chairing the Sectoral Monitoring Committee;
 - c.) Ensuring the interim evaluation of the operational programme.

Article 27

Delegation of tasks

1. Within the overall framework defined by the conferral of management powers, the Head of the Operating Structure may delegate some or groups of tasks to specific bodies, within or outside the Operating Structure. This grouping and assignation shall respect the principles of segregation of duties imposed by the Financial Regulation. The relevant agreements shall be made in writing between the Head of the Operating Structure and the body(ies) concerned. The final responsibility for the tasks delegated shall remain with the Head of the Operating Structure.

2. Such agreements shall clearly identify the functions to be performed by the delegated body or authority and the type of supporting documents and reports to be sent to the Head of the Operating Structure.
3. Such agreements shall also provide for access, by duly authorised agents or representatives of the Community or the Operating Structure, to information held by the delegated bodies/authorities, and for investigations by such authorised agents or representatives, of any operations financed under the programme, including the carrying out of checks on individual projects and recipients of aid.
4. The Beneficiary shall enable the Head of the Operating Structure to exercise the duties associated with his responsibilities, even where no hierarchical link exists between the Head of the Operating Structure and the bodies and authorities involved in the implementation of the programme.
5. The Beneficiary shall ensure that a system of deputising is in place, to guarantee the continuity of the functions assigned to the relevant authorities.

Article 28
Communication and information

1. Any communication in connection with this Agreement shall be made in writing and in the English language. Each communication must be signed and must be supplied as an original document.
2. Any communication in connection with this Agreement must be sent to the following addresses:

<i>For the Commission:</i>	Directorate General for Regional Policy
Postal Address:	Rue Père de Deken 23, 1040 - Brussels, Belgium
Fax	+32 2 2920139
<i>For the Beneficiary:</i>	Central Office for Development Strategy and Coordination of EU Funds
Postal Address:	Radnička cesta 80/V, 10 000 Zagreb, Croatia
Fax	+385 1 4569 150
3. Any other communications to the structures and authorities involved in the management of the operational programme must be sent to the address specified in Annex V. The National IPA Coordinator shall communicate in writing to the Commission any modification of the appointed institutions or of their addresses.

CHAPTER V – DECENTRALISED MANAGEMENT

Article 29
Conferral of management

1. In accordance with Article 5 of the Framework Agreement, decentralised management shall apply to assistance granted under the programme. The conferral of management powers by the Commission is therefore a precondition to the signing of this Agreement.
2. Based on the requirements and procedures set out in Articles 9 to 12 of the Framework Agreement, the Commission adopted on 3 November 2008 a Decision C(2008)6273 conferring management powers on the Republic of Croatia, for the implementation of the programme. The specific conditions attached to this Decision, including the list of *ex-ante* controls by the Commission, form an integrant part of this Agreement (Annex VI).
3. The provisions of Articles 13 to 15 of the Framework Agreement regarding withdrawal or suspension of the accreditation of the National Authorising Officer, the National Fund and the Operating Structure, as well as regarding the withdrawal or suspension of conferral of management powers, shall apply.

Article 30
Waiving of ex-ante controls

1. Decentralisation without *ex-ante* controls by the Commission is an objective for the implementation of the operational programme. Indicative benchmarks and time limits to achieve decentralised management without *ex-ante* controls by the Commission are set out in the Roadmap referred to in Article 31 of this Agreement.
2. Before dispensing with the *ex-ante* controls laid down in the Commission Decision on conferral of management powers, the Commission shall satisfy itself of the effective functioning of the management and control system concerned, in accordance with the relevant Community and national rules. In particular, the Commission shall monitor the implementation, by the Beneficiary, of the Roadmap referred to in Article 31 of this Agreement and as laid down in Article 8(4)(c) of the IPA Implementing Regulation. The Commission shall take due account of the results achieved by the Beneficiary in this context, in particular in the implementation of assistance and in the negotiation process.

Article 31
Roadmap to the waiving of ex-ante controls

1. In accordance with Article 8 (4) (c) of the IPA Implementing Regulation, the Beneficiary is required to provide a detailed Roadmap with indicative benchmarks and time limits, to achieve decentralised management without *ex-ante* controls by the Commission, in accordance with the requirements of Annex VII.
2. The minimum criteria and conditions for the waiving of *ex-ante* controls are presented as follows, with the preparation of the Roadmap addressing each of the issues listed:
 - a.) there must be a well-defined system within the Operating Structure for managing the funds of the programme with full internal rules of procedure, as well as clear institutional and personal responsibilities;
 - b.) the Beneficiary shall set up a benchmarking system which includes both quantitative and qualitative aspects;
 - c.) the frequency of the reporting on benchmarking shall be on a quarterly basis.

Article 32
Statement of assurance by the National Authorising Officer

The provisions of Article 17 of the Framework Agreement and Annex B thereto, regarding the presentation of an annual statement of assurance by the National Authorising Officer, shall apply.

Article 33
Reports and opinions by the Audit Authority

Reports and opinions by the Audit Authority are to be prepared in accordance with the requirements of Article 18 of the Framework Agreement.

CHAPTER VI – ELIGIBILITY OF EXPENDITURE

Article 34
Eligibility period

1. Notwithstanding the provisions of Article 19 of the Framework Agreement, contracts and addenda signed, expenditure incurred and payments made by national authorities shall not be eligible

for IPA funding before 10 November 2008. Expenditure shall be eligible for Community co-financing if it has been incurred and paid before 31 December 2017.

2. In the case of major projects, within the meaning of Article 53 of this Agreement, the starting date of eligibility, in the sense of paragraph 1, shall be either the date of the signature of the Financing Agreement or the date of the Commission Decision approving the major project, whichever occurs later.

3. Expenditure related to calls for proposals or calls for tenders may also be eligible prior the initial conferral of management and after 1 January 2007, subject to this initial conferral of management being in place within the limits defined in a reserve clause to be inserted in the operations or calls concerned, and subject to prior approval of the documents concerned by the Commission. The calls for proposal or calls for tender concerned may be cancelled or modified, depending on the decision on conferral of management.

Article 35 *Eligible Expenditure*

1. Expenditure incurred in the implementation of the programme shall be eligible for Community co-financing if:

- a.) it has been actually incurred and paid within the eligibility period referred to in Article 34 of this Agreement and is supported by receipted invoices or accounting documents of equivalent probative value;
- b.) if the operations and activities giving rise to such expenditure are consistent with the operations and activities eligible for financing under one or more measures foreseen to be implemented under the programme, as adopted by the Commission (Annex XIX);
- c.) if the operations and activities giving rise to such expenditure have been selected in accordance with the selection criteria and procedures foreseen in the programme and in this Agreement;
- d.) if the rules and procedures regarding *ex ante* controls by the Commission have been respected;
- e.) if the expenditure has been incurred in accordance with the principles of sound financial management and, in particular, of economy and cost-effectiveness.

2. In line with the provisions of Article 34 (3) and Article 148 (2) of the IPA Implementing Regulation, the following expenditure shall not be eligible for funding under the programme:

- a.) taxes, including value added taxes;
- b.) customs and import duties, or any other charges;
- c.) purchase, rent or leasing of land and existing buildings;
- d.) fines, financial penalties and expenses of litigation;
- e.) operating costs;
- f.) second hand equipment;
- g.) bank charges, costs of guarantees and similar charges;
- h.) conversion costs, charges and exchange losses associated with any of the component specific euro accounts, as well as other purely financial expenses;
- i.) contributions in kind;
- j.) depreciation costs for the infrastructures.

3. By way of derogation from paragraph 2, operating costs, including rental costs, exclusively related to the period of co-financing of the operation, may be eligible.

4. The Commission reserves the right to declare other items ineligible, which it deems not relevant to the aims of a particular project, or unnecessary for the purposes of its implementation. In the event that there may be doubt as to the eligibility of a particular item or action, clarification must be sought from the Commission as to its status, prior to that item or action being implemented.

Article 36
Management staff

1. Statutory or temporary civil servants or staff specifically recruited or assigned to the management, implementation and follow-up of the programme, including evaluation and control, financial and physical monitoring and prevention of irregularities, are eligible for Community co-financing under the technical assistance priority of the programme, provided that the following conditions are met:

- a.) the staff is directly recruited in the Operating Structure, by duly-documented decisions of the competent authority/authorities;
- b.) the tasks to be executed must be clearly described and contractually formalised;
- c.) the expenditures must be charged in a transparent manner (e.g. by means of time sheets);
- d.) the period of secondment, or employment does not exceed the final date of eligibility of expenditure under the programme;
- e.) the selection of staff is made in line with the principles of transparency, non discrimination and proportionality;
- f.) the salaries and allowances are in line with prevailing market conditions, including those related to public services.

2. In the case where employees from other services of the public administration are recruited or assigned to perform the activities laid down in paragraph 1, the following conditions must be met:

- a) the employee must have temporarily left his statutory employment in his/her parent service of public administration;
- b) the staff is seconded to the Operating Structure by a duly-documented decision of the competent authority in his/her parent service;
- c) the period of secondment does not exceed the final date of eligibility of the programme.

Article 37
Expenditure incurred with the organisation of Monitoring Committees

1. Expenditure incurred with the organisation of the sectoral monitoring committees and any sub-committees designated by the sectoral monitoring committee is eligible under the technical assistance priority.

2. Eligible costs may, as a general rule, include one or more of the following categories: interpretation services, *ad-hoc* hiring of meeting rooms and audio-visual and other necessary equipment, provision of documentation and related facilities, fees for the participation of experts and travel expenditure in accordance with EC rules¹⁵. The Head of the Operating Structure shall define the modalities applicable in agreement with the Commission services.

3. Salaries and allowances of members of the sectoral monitoring committee and sub-committees, incurred in the context of their participation in such committees, are not eligible.

¹⁵ http://ec.europa.eu/europeaid/work/procedures/implementation/per_diems/index_en.htm

Article 38

Expenditure incurred with the organisation of ad-hoc meetings

The rules specified in Article 37 may be applied by analogy for the organisation of *ad-hoc* meetings organised upon the request of or with the approval of the Commission services.

Article 39

Expenditure regarding information and publicity

Expenditure for measures undertaken pursuant the provisions of this Agreement and in the relevant chapter of the programme regarding information and publicity, is eligible.

Article 40

Site preparation and construction

In the case where public authorities are executing site preparation or construction works, or parts thereof, under their own accounts or under contractual arrangements other than those foreseen in Article 44 of this Agreement, the related expenditures are not eligible.

Article 41

Durable equipment

Expenditure relating to the purchase of equipment forming an essential part of the project, in order to allow the adequate operation of the investments (either permanently installed and fixed in the project, or mobile) is eligible, provided that it is listed in the inventory of durable equipment of the responsible body or authority and that it is treated as capital expenditure in accordance with standard accounting conventions. This provision refers *inter alia* to laboratory and surveying equipment, computer hardware and software related to the operation of the investment, surveying equipment and vehicles with dedicated purposes.

Article 42

Intangible assets

Expenditure related to the purchase and use of intangible assets, as for example patents, is eligible if it is necessary for the implementation of the project.

Article 43

Completion of operations

1. Without prejudice of Article 34, all operations approved for Community co-financing under the programme must have a completion date not later than 31 December of the third year following the latest commitment year referred to in the Financial Plan in force (Annex I). In the event the Financial Plan is extended until 2013, in accordance with the provisions of Article 11(3) of this Agreement, the completion date of operations shall be set not later than 31 December 2017. Expenditure incurred after the completion date of the operation is not eligible.

2. Notwithstanding paragraph 1, training of operating personnel and testing of a project and of its equipment and auditing may be taken into consideration as eligible expenditure after completion, provided that it falls within the eligibility period referred to in Article 34 of this Agreement.

CHAPTER VII – PUBLIC PROCUREMENT, CONTRACTS AND GRANTS

Article 44

Procurement rules and procedures

The award of contracts for services, supplies and works co-financed with Community funding under the programme, is subject to the provisions of:

- a.) Council Regulation (EC, Euratom) No 1605/2002 of 25 June 2002 on the Financial Regulation applicable to the general budget of the European Communities (and in particular Articles 56, 88 to 103, 167 and 168 thereof);
- b.) Commission Regulation (EC, Euratom) No 2342/2002 of 23 December 2002 laying down detailed rules for the implementation of the Financial Regulation, and in particular Articles 116 to 159 and 235 to 252 thereof;
- c.) Council Regulation (EC) No 1085/2006 of 17 July 2006 establishing an Instrument for Pre-Accession Assistance, and in particular Article 19 thereof;
- d.) Commission Decision C(2007)2034 of 24 May 2007 laying down the rules and procedures for service, supply and works contracts financed from the general budget of the European Communities for the purposes of cooperation with third countries;
- e.) The Framework Agreement signed between the Commission and the Republic of Croatia.

Article 45

Grants

The award of grants co-financed with Community funding under the programme, is subject to the provisions of:

- a) Council Regulation (EC, Euratom) No 1605/2002 of 25 June 2002 on the Financial Regulation applicable to the general budget of the European Communities, and in particular Articles 108 to 120, 169 and 169a thereof;
- b) Commission Regulation (EC, Euratom) No 2342/2002 of 23 December 2002 laying down detailed rules for the implementation of the Financial Regulation, and in particular Articles 160 to 184a and 253 thereof;
- c) Council Regulation (EC) No 1085/2006 of 17 July 2006 establishing an Instrument for Pre-Accession Assistance, and in particular Article 19 thereof;
- d) Commission Decision C(2007)2034 of 24 May 2007 laying down the rules and procedures for service, supply and works contracts financed from the general budget of the European Communities for the purposes of cooperation with third countries;
- e) The Framework Agreement signed between the Commission and the Republic of Croatia.

Article 46

Contract procedures

1. Except as provided in paragraphs 2 and 3 of this Article, or if otherwise agreed by the Commission, the procedural guidelines and standard documents for the award and performance of supply, works and service contracts and grants are those as specified in the "Practical Guide to Contract Procedures for EC external actions" and its annexes.

2. Notwithstanding paragraph 1, the general conditions of contracts to be used for works contracts, are those published (latest version) by the International Federation of Consulting Engineers (FIDIC), as appropriate to the type of works required.

3. All works contracts must be executed through the appointment of an independent supervising engineer. Contract procedures for the selection of supervising engineers shall not include selection criteria that unduly restrict competition and are not proportionate to the objectives pursued. Experience with any particular Conditions of Contract will not be an eliminatory professional requirement.

4. Small scale works contracts may require the use of the FIDIC Short Form of Contract. However, in this event, specific prior approval must be obtained from the Commission services to waive the requirement for a supervising engineer.

Article 47

Eligible costs for the performance of services, works and supply contracts

Services, works and supply contracts which implement operations, projects and activities foreseen under the programme may cover all the necessary material inputs forming part of the normal performance of a contract, in accordance with the relevant professional standards and practice, provided that they are directly related and strictly necessary for the implementation of the contract. These inputs may include, *inter alia*, the costs of site preparation, the provision of office space, plant and equipment which are the property of the contractor or are purchased for the performance of the contract.

Article 48

Rules of participation and origin

The rules of participation in the award of procurement and grant contracts and on the origin of supplies and materials purchased through a contract financed with IPA resources under the programme are as laid down in Article 19 of the IPA Framework Regulation. Derogations from these rules are subject to the prior authorisation by the Commission, in accordance with the provisions of Article 19(6) of the IPA Framework Regulation.

CHAPTER VIII – PROGRAMME IMPLEMENTATION

Article 49

Selection of operations by final beneficiaries other than national public bodies

1. Pursuant to Article 158 of the IPA Implementing Regulation, all operations which are not major projects and which are implemented by final beneficiaries other than national public bodies shall be selected through call for proposals. The selection criteria shall be drawn up by the Operating Structure and shall be published with the call for proposals.

2. The Operating Structure shall set up a selection committee for each call for proposals, which shall analyse and select proposals, and recommend results to the Operating Structure.

The Operating Structure shall decide whether to approve the results of the selection procedure and state the reasons for its decision.

The composition of the selection committee and its functioning modalities are set out in Annex XI to this Agreement.

Article 50

General principles for selecting operations

1. The following groups or categories of operations may be selected without recourse to calls for proposals, subject to prior information of the Sectoral Monitoring Committee and the agreement by the Commission services:

- a) operations initiated or initiated and implemented by national public bodies, namely:
 - state structures forming part of the central government structure;
 - central government agencies which perform public governance functions;
 - public authorities or entities set up under public law, by the state, or one of its authorities, acting on behalf of the state with regard to and within the limits of their specific areas of competence and covering the whole territory of the beneficiary country and
 - national or international public-sector bodies, or bodies governed by private law with a public-service mission covering the whole territory of the beneficiary country, providing that they offer adequate guarantees regarding the nature of their mission.
- b) operations, implemented by national public bodies, which co-finance existing national measures, provided that additionality is fully demonstrated;
- c) operations selected and prepared for implementation prior to the entry into force of this Financing Agreement, with a view to permit the early start of the implementation of the programme.

2. Major projects included in the indicative list of major projects of the Operational Programme approved by the Commission, or as may otherwise be subsequently proposed by the Operating Structure and decided by the Commission, may also be selected without recourse to calls for proposals.

3. Operations not falling within the scope of paragraphs 1 and 2 of this Article, and where relevant in the case of a wide range of potential recipients and having regard to the principle of proportionality referred to in Article 2(2) of this Agreement, shall be selected through calls for proposals. Calls for proposals must be organised in such a way as to permit the preparation of a permanent pipeline of operations which can be implemented within the programme's lifespan and which will absorb fully the funds available. Accordingly, the Operating Structure shall organise a timetable of calls for proposals in accordance with the operational and financial management needs of the programme.

4. The selection procedures shall satisfy the principles of transparency, equal treatment and non discrimination. They shall prevent any conflict of interest and ensure stakeholders involvement and public access to information.

5. Pursuant to Article 167 (4) (a) of the IPA Implementing Regulation the Sectoral Monitoring Committee shall consider and approve the general criteria for selecting the operations within six months of the entry into force of this Agreement and approve any revision of those criteria in accordance with programming needs.

6. The Operating Structure shall ensure that operations are selected for funding and approved in accordance with the criteria and mechanisms applicable to the programme, and that they comply with the relevant Community and national rules.

7. Where relevant, the Operating Structure shall be assisted by a selection committee, as provided for under Article 49(2) of this Agreement, whose role is to advise the Operating Structure in the selection of operations. However, the final decision on the approval of operations shall be taken by the Operating Structure, in consultation with the Commission services.

Article 51 *Eligible actions and beneficiaries*

1. The Beneficiary shall ensure that all actions selected for financing under the programme demonstrate a positive contribution to the achievement of the expected outputs and results under each measure.

2. Only those final beneficiaries or categories or groups specifically identified under each measure of the programme shall be considered. Financing of operations by final beneficiaries which

have not been specifically foreseen under each measure of the programme should only be considered after prior consultation with and the approval of the Commission services.

3. Each operation financed under the programme shall be covered by an agreement, signed between the Operating Structure and the end recipient of assistance.

Article 52
Operation identification sheet

1. The Operating Structure shall establish an operation identification sheet for each operation selected for Community co-financing under the programme.

2. The operation identification sheet must contain *inter alia* the following elements:

- identification of the operation and the organisation responsible for its implementation;
- a summary description of the operation and the demonstration of its compatibility with the programme;
- implementation arrangements, risks and assumptions;
- expected outputs, results and impact, including contributions to horizontal themes;
- links with other IPA programmes;
- financing arrangements and estimated budget and
- procedures foreseen for tenders and contracts.

The template for the operation identification sheet is set out in Annex X.

3. The Operating Structure shall transmit a copy of the operation identification sheet to the Commission for information.

4. In the case of projects falling within the definition of major projects in accordance with Article 53 of this Agreement, or where the nature of the project justifies it, the requirements of this Article will be covered with the preparation of application forms, in accordance with the templates set out in Annex VIII to this Agreement, as may be provided by the Commission.

CHAPTER IX – MAJOR PROJECTS

Article 53
Specific rules

In accordance with Article 157 of the IPA Implementing Regulation a major project comprises a series of works, activities or services which is intended, in itself, to accomplish a definite and indivisible task of a precise economic or technical nature, which has clearly identified goals and whose total cost exceeds EUR 10 million.

Article 54
Major project applications

1. Major projects shall be submitted to the Commission for approval by the Operating Structure. The Decision approving the project shall define the physical object and the eligible expenditure to which the co-financing rate for the priority axis applies. It shall be followed by a bilateral agreement with the Beneficiary, laying out the individual elements and requirements that are specific to the project.

2. According to Article 157 of the IPA Implementing Regulation, as a minimum, the following information shall be provided when making an application for major project funding:

- a.) information on the body responsible for implementation;

- b.) information on the nature of the investment and a description of its financial volume and location;
- c.) results of feasibility studies;
- d.) an implementation timetable for the project;
- e.) an assessment of the overall socio-economic impact of the project, based on a cost benefit analysis and including a risk assessment, and an assessment of the impact on the sector concerned, on the socio-economic situation of the beneficiary country and, where the project involves a transfer of activities from a region in a Member State, the socio-economic impact on that region. The methodology adopted for the analysis must be consistent with that provided in the *"Guide to Cost Benefit Analysis of Major Projects"* as well as *"Guidance on the Methodology for Carrying out Cost-Benefit Analysis, Working Document N° 4"* published by Directorate General Regional Policy, as amended from time to time;
- f.) an environmental impact assessment, carried out in accordance with Directive 85/337/EEC, including the results of a full public consultation procedure. A non technical summary of the conclusions of the authority reviewing the EIA should be attached to the project application;
- g.) a financing plan, showing the total financial contributions expected and the planned IPA contribution, as well as other Community and other external financing;. the financing plan shall substantiate the required IPA grant contribution through a financial viability analysis.

3. Major Project funding applications shall be submitted to the Commission using the major project application form set out in Annex VIII, appropriate for the sector. Aside from the information required in paragraph 2, all the additional information required in the standard project application form must also be provided.

Article 55
Bilateral Project Agreement

Bilateral agreements for major projects, referred to in Article 54(1), must, as a minimum, contain the following information:

- a.) the project name and CCI number;
- b.) identification of the project location;
- c.) a concise description of the project, broken down, as necessary, into individual components;
- d.) details of the authority responsible for the project application, the body responsible for implementation, the contracting authority, the final beneficiary and the end recipient;
- e.) details of any IFIs or other donors involved in the project;
- f.) specific project objectives;
- g.) a summary of the main results of the economic and social cost benefit analysis;
- h.) a summary of the financial analysis;
- i.) a summary of the main findings of the environmental impact assessment;
- j.) the total estimated value of the project, as well as an indicative breakdown of the value of individual project elements;

- k.) the estimated total eligible and non-eligible project costs, total public expenditure within the meaning of Article 17(2) of this Agreement, the Community's financial contribution and the co-financing rate applicable to the eligible expenditure;
- l.) any specific conditions related to the project;
- m.) an indicative procurement schedule indicating the specific types and estimated values of contracts to be tendered out and, in case of parallel co-financing with IFIs, the identification of the contracts to be financed by the IFIs, as well as an indication of the date of the start of the tender procedure;
- n.) an indicative implementation schedule;
- o.) an indicative list of key indicators to be used to demonstrate the achievement of the aims of the project;
- p.) the date from which expenditure is eligible.

The template for a Bilateral Project Agreement is attached as Annex IX.

Article 56
Major project modifications

Modifications of approved major projects are subject to the limitations and conditions set out in the Bilateral Project Agreement.

CHAPTER X – FINANCIAL ENGINEERING

Article 57
Financial Engineering Instruments

1. Pursuant to Article 159 of the IPA Implementing Regulation, the Community contribution under the programme may finance expenditure related to an operation comprising contributions to support financial engineering instruments for enterprises, such as venture capital funds, guarantee funds and loan funds. In the context of the programme, such funds may finance only small and medium enterprises (SMEs), including micro-enterprises, as defined in Commission Recommendation 2003/361/EC¹⁶.
2. For the purpose of the programme:
 - a.) venture capital funds means investment vehicles established specifically to provide equity or other forms of risk capital to SMEs;
 - b.) loan funds means investment vehicles established specifically to provide loans to SMEs;
 - c.) guarantee funds means financing instruments that guarantee venture capital, loan funds and other SME risk financing schemes against losses arising from their investments in small and medium enterprise;
 - d.) guarantee funds may also guarantee loans taken out by SMEs with financing institutions under prevailing market conditions.
3. Financial engineering instruments co-financed under the programme shall invest only in small and medium enterprises (SMEs), including micro-enterprises. Such investments may be made only at the establishment, in the early stages, including seed capital, or on expansion of those enterprises, and only in activities which the managers of the financial engineering instruments judge potentially

¹⁶ OJ L 124, 20.5.2003, p. 36

economically viable. They shall not invest in firms in difficulty within the meaning of the Community Guidelines on State aid for rescuing and restructuring firms in difficulty¹⁷.

Article 58
Contribution from the programme

1. The contribution of the programme to the funds may take the form of:
 - a.) participation in existing funds, or setting-up new funds wholly or partially supported by national or regional public or private institutions, international financial institutions or other bilateral donors;
 - b.) participation in publicly-supported mutual funds subscribed by SMEs or in commercially-run funds set-up by private partners; or
 - c.) a combination of both forms.
2. Pursuant to Article 159 of the IPA Implementing Regulation, contributions from the programme to venture capital, loan and guarantee funds shall be treated as expenditure actually paid and may be included in the statements of expenditure provided for under Article 66 of this Agreement, covering the period in which such contributions were made

Article 59
General requirements

1. When the Community co-financing is used to finance operations comprising financial engineering instruments, a business plan shall be submitted by the co-financing partners or shareholders or by their duly authorised representative. The business plan shall specify at least the following:
 - a.) the targeted market of enterprises and the criteria, terms and conditions for financing them;
 - b.) the operational budget of the financial engineering instrument;
 - c.) the ownership of the financial engineering instrument;
 - d.) the co-financing partners or shareholders;
 - e.) the by-laws of the financial engineering instrument;
 - f.) the provisions on professionalism, competence and independence of the management;
 - g.) the justification for, and intended use of, the contribution from Community co-financing;
 - h.) the exit policy of the financial engineering instrument from investments in enterprises;
 - i.) the winding-up provisions of the financial engineering instruments, including the reutilisation of resources returned to the financial engineering instrument from investments or left over after all guarantees have been honoured, attributable to the contribution from the operational programme.
2. The business plan shall be assessed and its implementation monitored by, or under the responsibility of, the Operating Structure.
3. The assessment of the economic viability of the investment activities of the financial engineering instruments shall take into account all sources of income of the enterprises concerned.
4. Financial engineering instruments shall be set up as independent legal entities governed by agreements between the co-financing partners or shareholders or as a separate block of finance within a financial institution.

¹⁷ OJ C244, 1.10.2004, p.2

5. Where the financial engineering instrument is established within a financial institution, it shall be set up as a separate block of finance, subject to specific implementation rules within the financial institution, stipulating, in particular, that separate accounts are kept which distinguish the new resources invested in the financial engineering instrument, including those contributed by the operational programme, from those initially available in the institution.
6. The Commission may not become a co-financing partner or shareholder in financial engineering instruments.
7. Management costs may not exceed any one of the following ceilings, whichever is lowest:
 - 3% of the paid-up capital on a yearly average for the duration of the operation unless, after a competitive tender, a higher percentage proves necessary.
 - 10% of the total Community contribution to the operation, including investment capital and management costs.
8. The terms and conditions for contributions from operational programmes to financial engineering instruments shall be set out in a funding agreement, to be concluded between the duly mandated representative of the financial engineering instrument and the Operating Structure.
9. The funding agreement referred to in paragraph 8 shall include at least:
 - a.) the investment strategy and planning;
 - b.) monitoring of implementation in accordance with applicable rules;
 - c.) an exit policy for the contribution from the operational programme out of the financial engineering instrument;
 - d.) the winding-up provisions of the financial engineering instrument, including the reutilisation of resources returned to the financial engineering instrument from investments or left over after all guarantees have been honoured that are attributable to the contribution from the operational programme.
10. The Beneficiary shall take precautions to minimise distortion of competition in the venture capital or lending markets.
11. Returns from equity investments and loans, less a *pro rata* share of the management costs and performance incentives, may be allocated preferentially to investors operating under the market economy investor principle up to the level of remuneration laid down in the by-laws of the financial engineering instruments, and they shall then be allocated proportionally among all co-financing partners or shareholders.

Article 60
Winding up of the operation

1. At the winding up of the fund or at the partial or final closure of the programme, whichever is earlier, eligible expenditure for the purpose of the programme shall be the total part of the programme's contribution to the fund which has been effectively used for:
 - a.) any payments for investments in SMEs from each of the funds referred to in Articles 57 and 58 of this Agreement;
 - b.) any guarantees provided, including amounts committed as guarantees by guarantee funds; and
 - c.) eligible management costs.

The co-financing rate foreseen under the specific measure and operation concerned shall be applicable *pro rata* to the programme's contribution to the eligible expenditure paid by the beneficiary.

2. That part of the contribution of the programme to the fund which has not been used for the purposes referred to in paragraph 1 shall be returned to programme. The corresponding statement of expenditure shall be corrected accordingly.

3. Interest generated by payments from the programme to the funds, as defined in Article 57 of this Agreement, shall accrue to the contribution of the programme to be taken into account at the winding up of the operation or partial or final closure of the programme.

4. Resources returned to the operation from investments undertaken by the funds as defined in Article 57 of this Agreement or left over after all guarantees have been honoured, which are attributable to the Community contribution to the operation, shall be accrued to the national public contribution to the operation and shall be used exclusively for the benefit of small and medium-sized enterprises.

CHAPTER XI – FINANCIAL MANAGEMENT

Article 61

Transparency in accounting and reporting

The Beneficiary shall ensure that, for the operation to which the programme relates, all public or private bodies involved in the management and implementation of the operations maintain either a separate accounting system or an adequate accounting codification of all transactions concerned which will facilitate the verification of expenditure by the Community and by national control authorities. They must also ensure that all expenditure is correctly attributed to the operation or project concerned.

Article 62

Bank Account

1. In accordance with Article 5 of Annex A of the Framework Agreement, all payments by the Commission shall be made to an interest bearing euro account, opened by the National Fund in a financial or treasury institution, on behalf of the Beneficiary and under the National Fund's responsibility.

2. The account to be used to receive payments from the Commission under the programme shall be communicated by the Head of the National Fund to the Commission no later than 15 days following the signature of the Financing Agreement.

3. This account shall be used exclusively for transactions related to the programme covered by this Agreement.

4. The sole authority authorised to request funds from the Commission and to authorise transfers of funds from this account to the Operating Structure, or any final beneficiary as may be designated by the Operating Structure, is the Head of the National Fund.

5. In case of suspension or withdrawal of the accreditation of the National Authorising Officer, the National Fund, or the Operating Structure, and in case of withdrawal or suspension of conferral of management powers by the Commission, this account shall be blocked and the Commission will cease to make transfers of funds to the Beneficiary. In this event and until the reinstatement of the accreditation, no payment made from this account shall be considered eligible for Community funding.

Article 63

Payments from the Commission

1. Only assistance under the programme which has been granted in accordance with the provisions of the Financing Agreement shall be subject to co-financing by the Community.

2. In line with the provisions of Articles 40 and 160 of the IPA Implementing Regulation, the following provisions shall apply to payments made by the Commission under the programme:

- a.) payment by the Commission of the Community contribution shall be made within the limits of the funds available and according to the Financial Plan at the level of the priority axis;

- b.) payments shall take the form of pre-financing, interim payments and payment of the final balance;
- c.) by 28 February each year, the Beneficiary shall send to the Commission a forecast of its likely payment applications for the financial year concerned and for the subsequent financial year, in relation to the programme. The Commission services may ask for an update of the forecast as appropriate;
- d.) exchange of information concerning financial transactions between the Commission and the national authorities and structures regarding the programme shall, where appropriate, be made by electronic means through the "SFC system" managed by the Commission. For the period until the "SFC system" is fully accessible by the Beneficiary, information regarding financial transactions may be transmitted by electronic means through normal word processing and data processing files, together with signed original documents in paper format in accordance with the model in Annexes II and XVI;
- e.) the combined total of pre-financing and interim payments shall not exceed 90 % of the Community contribution as set out in the financial table in Annex I;
- f.) when the ceiling referred to in sub-paragraph e) is reached, the National Authorising Officer shall continue transmitting to the Commission any certified statements of expenditure, as well as information about amounts recovered;
- g.) the amounts set out in certified statements of expenditure, in payment applications and in expenditure mentioned in the implementation reports, shall be denominated in euro. The Beneficiary shall convert the amounts of expenditure incurred in national currency into euro, using the monthly accounting rate of the euro calculated in accordance with Article 70 of this Agreement ;
- h.) payments by the Commission to the National Fund shall be made to the euro account identified in Article 62 of this Agreement ;
- i.) in the event that the final beneficiary is accredited to perform financial transactions for the relevant priority of measure, the Beneficiary shall ensure that the final beneficiaries receive the total amount of the public contribution in due time and in full. No specific charge or other charge with equivalent effect shall be levied which would reduce these amounts for the final beneficiaries. The National Authorising Officer, the National Fund and the Operating Structure shall ensure the timely treatment of payment requests by final beneficiaries (and from final beneficiaries to the recipient of the assistance);
- j.) the expenditure may be covered by Community financing only if it has been incurred and paid by the final beneficiary;
- k.) expenditure paid by final beneficiaries shall be substantiated by receipted invoices or accounting documents of equivalent probative value or other relevant documents;
- l.) expenditure must be certified by the National Authorising Officer;
- m.) expenditure declared in respect of a period may contain corrections to data declared in respect of the preceding payment application. These corrections are to be declared to the Commission.

Article 64
Pre-financing

1. In order for the Commission to approve a payment application for a pre-financing payment to the National Fund, the following minimum requirements as set out in Article 42(1) of the IPA Implementing Regulation must be fulfilled:

- a.) the National Authorising Officer has notified the Commission of the opening of the euro account concerned;
- b.) the accreditations delivered by the competent accrediting officer and the National Authorising Officer are in force and the conferral of management by the Commission remains valid; and
- c.) this Agreement has entered into force.

2. Pre-financing payments shall amount to 30% of the Community contribution for the first three years of the programme. If necessary and having regard to the budget availability, the pre-financing may be made in two instalments. At the time of the revision of the programme the pre-financing may be increased up to a maximum of 30% of the Community contribution for the three most recent years.

3. The total amount paid as pre-financing shall be reimbursed to the Commission with all interest accrued if no payment application for the programme concerned is sent within 15 months of the date on which the Commission pays the first pre-financing amount. The Community contribution to the programme shall not be affected by such reimbursement.

4. The total pre-financing amount shall be cleared at the latest when the programme is closed. Throughout the lifetime of the programme, the National Authorising Officer shall use the pre-financing payment only to pay the Community contribution to expenditure which is eligible for financing in compliance with this Agreement.

5. The pre-financing amount may be used to pre-finance operations and to reimburse the expenditure incurred and declared by the final beneficiaries and accepted by the National Fund.

Article 65

Property of interest

Any interest earned on the programme-specific euro account remains the property of the Beneficiary. It shall be posted exclusively to the operational programme concerned, being regarded as a resource of the Beneficiary in the form of a national public contribution to the programme. Interest shall be declared to the Commission with each payment declaration and at the time of the final closure of the operational programme.

Article 66

Applications for payment

1. Applications for payment shall certify that all requirements laid down in this Article and in Article 67 of this Agreement are fulfilled.

2. Applications for payment shall be drawn up in accordance with the models in Annex II (interim payments) and XVI (final payment).

3. The National Authorising Officer shall send to the Commission with each application for payment the following elements:

- a.) a certificate of expenditure, signed by the National Authorising Officer, certifying that the expenditure declared complies with applicable Community and national rules and has been incurred in respect of operations selected for funding in accordance with the criteria applicable to the programme and complying with relevant Community and national rules, and that the statement of expenditure is accurate, results from reliable accounting systems and can be supported by receipted invoices or accounting documents of equivalent probative value;
- b.) a certified statement of expenditure, drawn up by priority axis and measure;
- c.) a computerised listing of operations by measure and the corresponding expenditure, including contribution under the IPA Regulation, national public and, when applicable, private contributions;

- d.) details of amounts recoverable following cancellation of all or part of the Community contribution for an operation;
 - e.) the volume of Community funds in the component-specific euro account at the date of the last debit to which this statement refers and the interest earned;
 - f.) revenues generated, calculated in accordance with Article 18 of this Agreement;
 - g.) any corrections made in accordance with Articles 67(4), 68(2) and 76 of this Agreement.
4. A payment application cannot be accepted if payments have been suspended in accordance with Article 72 of this Agreement.
5. An application for payment which does not meet the requirements listed in paragraph 2 of this Article and in Article 67 of this Agreement, shall be considered as unacceptable by the Commission and shall not be taken into account under any of the provisions of this Agreement.

Article 67
Interim payments

1. In order for the Commission services to approve a payment application for an interim payment, the minimum requirements to be fulfilled are the following:
- a.) the National Authorising Officer must have sent to the Commission an application for payment, together with the elements listed in Article 66(3) of this Agreement;
 - b.) the ceilings for Community assistance under each priority axis as laid down in Article 17(3) of this Agreement have been respected;
 - c.) the sectoral annual implementation reports as referred to in Article 85 of this Agreement, including the most recent one due, have been sent to the Commission;
 - d.) the Audit Authority has sent to the Commission, in accordance with the first and second indent of Article 29 (2)(b) of the IPA Implementing Regulation, the most recent annual audit activity report and opinion on the conformity of the management and control systems in place with the requirements of the IPA Implementing Regulation and those set out in this Agreement;
 - e.) the accreditations delivered by the Competent Accrediting Officer and the National Authorising Officer are in force, and the conferral of management by the Commission remains valid.
2. The National Fund shall ensure that applications for interim payments under the operational programme are sent to the Commission at least three times a year. For a payment to be made by the Commission in a given year, the application for payment shall be submitted not later than 31 October of that year.
3. With a view to meeting the level of expenditure necessary to avoid automatic de-commitment, applications for payment may be submitted until 31st December of each year, provided that they are accompanied by adequate evidence of transmission to the Commission (postal stamp or other equivalent evidence) by that date. Payment shall take place in accordance with the time limits indicated in Article 71 of this Agreement.
4. If one or more of the conditions laid down in paragraph 1 are not met, the Beneficiary shall, when so requested and within the time limit fixed by the Commission services, take the necessary steps to remedy the situation before the payment is made.
5. If it appears that the applicable rules have not been complied with or that Community funds have been improperly used, the Commission may reduce interim payments to the Beneficiary, temporarily interrupt payments, or suspend payments, in accordance with Articles 71 and 72 of this Agreement. If any of these situations arises the Commission services shall inform the Beneficiary accordingly.

Article 68
Calculation of Payments

1. Payments shall be calculated on the basis of the Community contribution to the financing of the operations concerned, up to the amount obtained by applying the co-financing rate laid down for each priority axis in the Financial Plan in Annex I to the eligible expenditure, subject to the maximum Community contribution attached to each priority axis.
2. Amounts resulting from the financial adjustments carried out in accordance with Article 76 of this Agreement, which may be re-used for the programme, shall be added to or deducted from the amount of the Community contribution at the time of the next declaration.
3. Without prejudice to the ceiling of 90% as provided for in Article 63(2)(e) of this Agreement, where the combined total of declarations of expenditure exceeds the total programmed for a given priority axis, the amount to be paid shall be capped at the amount programmed for that priority axis in the financing plan in force. Expenditure excluded as a result of this capping may be taken into account in a subsequent declaration of expenditure, provided that an adjusted financing plan has been submitted by the Beneficiary and approved by the Commission.

Article 69
Payment of the final balance

1. In accordance with Article 166 (3) b) of the Financial Regulation the ultimate deadline for the submission of declarations of expenditure to the Commission under the programme is 31 December 2018.
2. The minimum requirements for the Commission to approve the application for the payment of the final balance are the following:
 - a.) the National Authorising Officer has sent to the Commission the final payment application together with the elements listed in Article 66 of this Agreement;
 - b.) the Operating Structure has sent to the Commission the sectoral final report for the Programme, as referred to in Article 102 of this Agreement;
 - c.) the Audit Authority has sent to the Commission its opinion on the final statement of expenditure, supported by a final activity report, in accordance with paragraph 7.c) of Annex A to the Framework Agreement;
 - d.) the accreditations delivered by the Competent Accreditation Officer and the National Authorising Officer are in force, and the conferral of management by the Commission, remains valid.
3. The Commission shall inform the Beneficiary of its conclusions on the content of the Audit Authority opinion referred to in paragraph 2c). This opinion shall be deemed accepted by the Commission in the absence of observations by the Commission within five months from the date of its receipt.
4. In addition to the requirements laid down in paragraph 2 the provisions of Article 67 of this Agreement are also applicable.
5. The Beneficiary shall ensure that the requirements regarding the retention of documents, as provided for under Article 104 of this Agreement, are fully observed. In this regard the Beneficiary shall set up a system which allows it to follow-up on the requirements regarding retention of documents, shall identify the responsible body and shall inform the Commission of the practical arrangements concerning the transfer of responsibilities to this body.

Article 70
Exchange rate

The conversion between euro and national currency or any other currency shall be made using a monthly accounting exchange rate of the euro. The monthly accounting exchange rate shall be the

exchange rate published by the Commission in the internet site <http://ec.europa.eu/budget/inforeuro/> regarding the month in which the expenditure was registered in the accounts of the Operating Structure or, in the case of recoveries, the month in which the recovery takes place. In the event that a rate for a specific month is not published, the rate for the most recent previous month of publication shall be used.

Article 71

Payment deadlines and interruption of payments

1. Subject to available funding, the Commission shall make interim payments no later than two months after the date on which an application for payment meeting all the conditions referred in Articles 66 and 67 of this Agreement is registered with the Commission, except as provided otherwise under paragraph 3.
2. Having regard that the amounts claimed under interim payments have been pre-financed in accordance to Article 64 of this Agreement, payments effected within longer periods shall not give rise to payment of interest.
3. The payment deadline referred to under paragraph 1 may be interrupted by the authorising officer by delegation of the Commission, with the meaning of the Financial Regulation if:
 - a.) in a report of a national or Community audit body there is evidence to suggest a significant deficiency in the functioning of the management and control systems; or
 - b.) the authorising officer by delegation in the Commission has to carry out additional verifications following information coming to his attention alerting him that expenditure in a certified statement of expenditure is linked to a serious irregularity which has not been corrected; or
 - c.) clarifications are needed regarding the information contained in the statement of expenditure.

The National IPA Coordinator and the National Authorising Officer shall be informed immediately of the reasons for the interruption. The interruption shall be ended as soon as the necessary measures to remedy the deficiency, irregularity or lack of clarity have been taken by the Beneficiary.

Article 72

Suspension of payments

1. Notwithstanding the provisions of Article 71, all or part of the payments may be suspended by the Commission where any of the following situations may occur:
 - a.) there is a serious deficiency in the management and control system of the Programme which affects the reliability of the procedure for certification of payments and for which corrective measures have not been taken; or
 - b.) expenditure in a certified statement of expenditure is linked to a serious irregularity which has not been corrected; or
 - c.) clarifications are needed regarding the information contained in the declaration of expenditure;
2. In addition to paragraph 1, the following situations may lead to the suspension of payments by the Commission:
 - a.) the accreditations delivered by the Competent Accrediting Officer and/or the National Authorising Officer are suspended or withdrawn;
 - b.) the conferral of management decision by the Commission is suspended or withdrawn;

- c.) the most recent annual audit activity reports and audit opinions due have not been sent to the Commission, in accordance with Article 18 of the Framework Agreement;
 - d.) the National Authorising Officer has not sent to the Commission the annual statements of assurance as referred to in Article 17 of the Framework Agreement, including the most recent one due.
3. The Beneficiary shall be given the opportunity to present its observations within a period of 2 months, before the Commission decides on a suspension, in accordance with paragraphs 1 and 2 of this Article.
4. The Commission shall end the suspension when the Beneficiary has taken the necessary measures to remedy the deficiency, irregularity, or lack of clarity, referred to in paragraphs 1 and 2 of this Article.
5. If those measures have not been taken by the Beneficiary, the Commission may decide to cancel all or part of the Community contribution to the Programme, in accordance with Article 73 of this Agreement.

Article 73

Financial corrections, repayment and re-use of Community contribution

The provisions of the IPA Implementing Regulation, namely its Articles 49 to 54 and of Articles 30 to 35 of the Framework Agreement, shall apply in the event of financial corrections, repayments to the general budget of the European Union and re-use of Community contributions. Financial corrections may also take place in the case of past non-compliance with the requirements for conferral of management powers, namely as provided for under Articles 15 to 17 of the IPA Implementing Regulation.

Article 74

Supervision, control and audit by the Commission and the European Court of Auditors

The provisions of Article 27 of the Framework Agreement shall apply *mutatis mutandis* to the programme and to all operations and contracts which receive Community funding under the programme covered by this Agreement.

Article 75

Prevention of irregularity and fraud, measures against corruption

The provisions of Articles 28 of the Framework Agreement shall apply *mutatis mutandis* to all operations, contracts and grants which receive Community funding under the programme covered by this Agreement.

Article 76

Financial adjustments

The National Authorising Officer, who bears in the first instance the responsibility for investigating irregularities, shall make the financial adjustments where irregularities or negligence are detected in the management and implementation of the programme or any operations or contracts financed under the programme. He/she shall do so by cancelling all or part of the Community contribution to the operations concerned or the programme. The National Authorising Officer shall take into account the nature and gravity of the irregularities and the financial loss to the Community contribution.

Article 77
Recovery of funds in case of irregularity or fraud

The provisions of Article 29 of the Framework Agreement shall apply *mutatis mutandis* to the programme and all operations, contracts and grants which receive Community funding under the programme covered by this Agreement

CHAPTER XII – MANAGEMENT AND CONTROL SYSTEMS

Article 78
General principles of Management and Control Systems

1. The management and control systems of the operational programme set up by the Beneficiary shall provide for:
 - a.) a clear definition of the functions of the bodies concerned in management and control and the allocation of functions within each body;
 - b.) compliance with the principle of segregation of duties and tasks between and within such bodies;
 - c.) procedures for ensuring the correctness and regularity of expenditure declared under the operational programme;
 - d.) reliable accounting, monitoring and financial reporting systems shall as far as possible be held in computerised forms;
 - e.) arrangements for auditing the functioning of the systems;
 - f.) systems and procedures to ensure an adequate audit trail;
 - g.) reporting and monitoring procedures for irregularities and for the recovery of amounts unduly paid;
 - h.) the proper execution of the measures co financed by the Community contribution in accordance with the terms of the Financing Agreement and with the obligations assigned to the measure;
 - i.) in the case of delegation of tasks, reporting to the authority responsible on the performance of their tasks and means employed.
2. The Beneficiary shall ensure that adequate guidance on the provision of management and control systems necessary to ensure sound financial management of the IPA assistance with generally accepted principles and standards is given to:
 - the body(ies) responsible for the selection of operations in accordance with the established selection criteria;
 - the body(ies) responsible for dealing with public procurement, contracts and grants;
 - the body(ies) responsible for the implementation of operations and projects to be carried out in accordance with the terms and objectives of the funding decisions;
 - the authorities or bodies or individuals responsible for certifying statements of expenditure for which payments are claimed under IPA;
 - the authorities responsible for the general management and coordination of the IPA operations which are identified in Article 25 of this Agreement.
3. The Commission services and the Beneficiary shall cooperate to coordinate audit strategies and plans, methods and implementation, so as to maximise the usefulness of the actions carried out. They shall exchange the results of the checks carried out.

At least once a year the following shall be examined and evaluated:

- a.) the results of the checks carried out by the Beneficiary and the Commission or the European Court of Auditors;
- b.) any comments made by other national or Community Control bodies or institutions;
- c.) the financial impact of the irregularities noted, the steps taken or still required to correct them and, when necessary, adjustments to the management and control systems.

4. Following the above examination and evaluation and without prejudice to the measures taken immediately by the Beneficiary, the Commission services may make observations on the management and control systems and in particular the financial impact of any irregularities detected. These observations shall be communicated to the National IPA Coordinator and the National Authorising Officer. The observations shall be accompanied, where necessary, by a request for corrective measures to remedy the management and control shortcoming found and to correct those irregularities detected which have not been corrected. The Beneficiary shall have the opportunity to comment on these observations.

Article 79

Management verifications

1. The management and control systems put in place shall include procedures to verify whether assets of a relevant operation as well as activities thereof are used in accordance with the objectives of the programme, that expenditure declared has actually been incurred in accordance with applicable rules, the products and services have been delivered in accordance with the approval decision and the payment requests by the final beneficiary are correct. These verifications shall cover administrative, financial, technical, physical and performance aspects of operations, as appropriate.

2. The procedures shall require the recording of verifications on the spot. The records shall state the work done, the results of the verification and the measures taken in respect of discrepancies. Where any physical or administrative verifications are not exhaustive, but performed on a sample of works or transactions, the records shall identify the works or transactions selected and describe the sampling method.

3. The checks shall establish whether any problems encountered are of (a) a one-off character, or (b) of a systemic character, entailing a risk for other or all measures carried out by the same implementing bodies in the beneficiary country. They shall also identify the causes of such situations, any further examination which may be required and the necessary corrective and preventive action.

4. The Commission services may require the Beneficiary to carry out on the spot checks, to verify the correctness of one or more operations and the legality and regularity of the related transactions.

Article 80

Checks carried out by the Commission

1. The Commission in its responsibility for the implementation of the Community budget shall verify that the Beneficiary has smoothly functioning management and control systems so that Community funds are efficiently and effectively used.

To that end, without prejudice to checks carried out by the Beneficiary, Commission officials or servants may carry out on-the-spot checks on the management and control systems and on the operations financed by IPA.

2. The Commission services shall try as much as possible to ensure that any checks that they carry out are performed in a coordinated manner so as to avoid repeating checks in respect of the same subject matter during the same period. The Beneficiary and the Commission services shall exchange any relevant information concerning the results of the checks carried out.

3. On-the-spot checks carried out in order to protect the financial interest of the Community against irregularities, may be prepared and conducted by the Commission services, or the European

Court of Auditors, in close co-operation with the competent authorities of the beneficiary country concerned, which shall be notified in good time of the object and purpose of the checks, so that they can provide all the requisite help.

4. If the Beneficiary wishes, on-the-spot checks and inspections may be carried out jointly, subject to prior agreement of the relevant EC control body.

5. Commission officials shall have access, under the same conditions as national administrative inspectors and in compliance with national legislation, to all the information and documentation on the operations concerned, which are required for the proper conduct of the on-the-spot checks and inspections. They may avail themselves of the same inspection facilities as national administrative inspectors and in particular copy relevant documents.

6. In carrying out on the spot checks, the Commission services may call on outside experts and bodies, acting under their responsibility, to provide technical assistance. The Commission shall ensure that the aforementioned officials and bodies give every guarantee as regards technical competence, independence and observance of professional confidentiality.

7. The Beneficiary shall make available to the Commission any appropriate national control reports on the programme and projects concerned.

8. On-the-spot checks and inspections may be carried out by the Commission services also on economic operators. In order to make it easier for the Commission services to carry out such checks and inspections, economic operators shall be required to grant access to premises, land, means of transport or other areas, used for business purposes.

9. Where the economic operators resist an on-the-spot check or inspection, the Beneficiary acting in accordance with national rules, shall give Commission officials such assistance as they need to allow them to discharge their duty in carrying out an on-the-spot check or inspection. It shall be for the Beneficiary to take any necessary measures in conformity with national law.

10. The Commission services shall report as soon as possible to the Beneficiary any fact or suspicion relating to an irregularity which has come to their notice in the course of the on-the-spot check or inspection.

Article 81

Checks carried out by the Beneficiary

1. Without prejudice to the Commission's responsibility for implementing the Community Budget, the Beneficiary shall take responsibility for the financial control of projects. To that end, the measures it will take shall include:

- a.) verifying that management and control systems have been set up and are being implemented in such a way as to ensure that Community funds are being used efficiently and correctly;
- b.) providing the Commission with a description of these arrangements prior to the conferral of management and at any time that a significant change is introduced in the management and control systems;
- c.) ensuring that operations and projects are managed in accordance with all applicable Community rules and that funds placed at their disposal are used in accordance with the principles of sound financial management;
- d.) certifying that the declarations of expenditure presented to the Commission are accurate and guaranteeing that they result from accounting systems based on verifiable supporting documents;
- e.) preventing and detecting irregularities, notifying these to the Commission, in accordance with the rules, and keeping the Commission informed of the progress of administrative and legal proceedings;

- f.) recovering any amounts lost as result of an irregularity detected and where appropriate charging interest on late payments.

Article 82

Audits of a sample of operations or transactions

1. The Beneficiary shall organise audits on operations and transactions on an appropriate sampling basis, aimed to:
 - a.) verify the effectiveness of the management and control systems in place and
 - b.) verify selectively, on the basis of risk analysis or any other appropriate methodology, expenditure declarations made at the various levels concerned.
2. In the case of a selection made on the basis of risk analysis, the checks shall take into account:
 - a.) the need to check an appropriate mix of type and size of projects;
 - b.) any risk factors which have been identified by national or Community checks; and
 - c.) the need to ensure that the different types of bodies involved in the management and implementation of projects are satisfactorily checked.

In the event of any other appropriate methodology, this should be clearly described and the checks shall be determined on the basis of it.

3. Through the checks the Beneficiary shall verify the following:
 - a.) the practical application and effectiveness of the management and control systems;
 - b.) the execution of operations and projects in accordance with the terms of the funding decisions and the objectives assigned to the projects;
 - c.) for an adequate number of accounting records, the correspondence of those records with supporting documents held by the various bodies, including the National Fund;
 - d.) the presence of a sufficient audit trail;
 - e.) for an adequate number of expenditure items that the nature and timing of this expenditure complies with the eligibility criteria and correspond to the specifications of the project and works actually executed;
 - f.) that the appropriate national co financing has in fact been made available and
 - g.) that the co-financed operations and projects have been implemented in accordance with the Community policies.

CHAPTER XIII – MONITORING AND EVALUATION

Article 83

Monitoring principles

1. In accordance with Article 59 of IPA Implementing Regulation, a Sectoral Monitoring Committee shall be set up to assist the Beneficiary in the achievement of the objectives of the programme. At its first meeting after the entry into force of the Financing Agreement, the Sectoral Monitoring Committee shall review and approve the decisions taken by a "shadow" Sectoral Monitoring Committee.
2. The Sectoral Monitoring Committee shall satisfy itself as to the effectiveness and quality of the implementation of the programme in order to attain the programme's objectives.
3. The Sectoral Monitoring Committee shall meet at least twice a year, at the initiative of the Beneficiary or the Commission.

4. The Sectoral Monitoring Committee shall be co-chaired by the head of the Operating Structure and a representative of the Commission. Its composition shall be decided by the Operating Structure, in agreement with the Commission services. It shall include representatives of the Commission, the National IPA Coordinator, the Strategic Coordinator for the regional development and the human resources development components and the Operating Structure of the programme. Where applicable it shall also include representatives from civil society, socio-economic partners and environmental NGO's. A representative of the International Financing Institutions (IFIs) may participate in an advisory capacity for those operational programmes to which it makes a contribution.

5. The Sectoral Monitoring Committee shall draw up its rules of procedure, in compliance with the mandate set out by the Commission services, and within the institutional, legal and financial framework of the beneficiary country concerned. It shall adopt these rules of procedure in agreement with the Operating Structure and the IPA Monitoring Committee.

6. The Sectoral Monitoring Committee shall report to the IPA monitoring committee. It shall provide the IPA monitoring committee in particular with information relating to:

- a.) the progress made in implementing the programme, by priority axis and, where relevant, by measures or operations; this shall include the results achieved, financial implementation indicators and other factors, and shall be established with a view to reviewing and improving the implementation of the programmes;
- b.) any aspects of the functioning of the management and control systems raised by the Audit Authority, the National Authorising officer or the competent accrediting officer.

7. The Sectoral Monitoring Committee shall:

- a.) consider and approve the general criteria for selecting the operations within six months of the entry into force of the Financing Agreement on the programme and approve any revision of those criteria in accordance with programming needs;
- b.) review at each meeting progress made towards achieving the specific targets of the operational programme on the basis of documents submitted by the Operating Structure;
- c.) examine at each meeting the results of implementation, particularly the achievement of the targets set for each priority axis and measures and interim evaluations; it shall carry out this monitoring by reference to specified indicators;
- d.) examine the sectoral annual and final reports on implementation, prior to their transmission to the Commission and the National IPA Coordinator;
- e.) be informed of the annual audit activity report referred to in Article 29(2)(b) of the IPA Implementing Regulation, or of the part of the report referring to the operational programme concerned, and of any relevant comments the Commission may make after examining that report or relating to that part of the report;
- f.) examine any proposal to amend the Financing Agreement of the programme and/or the programme itself;
- g.) be informed of audit activities being carried out and the opinion given by the audit authorities and the EC concerning the implementation of the programme;
- h.) consider and approve the Communication Action Plan referred to in Article 99 of this Agreement as well as any subsequent updates of the plan; and
- i.) propose periodical meetings at a technical level if needed.

8. The Sectoral Monitoring Committee may propose to the Operating Structure any revision or examination of the programme likely to make possible the attainment of the programme's objectives or to improve its management, including its financial management.

9. The Sectoral Monitoring Committee may also make proposals to the Commission and the National IPA Coordinator, with a copy to the National Authorising Officer, for decisions on any

remedial measures to ensure the achievement of the programme's objectives and enhance the efficiency of the assistance provided.

Article 84
Monitoring sheets

The Operating Structure shall maintain monitoring sheets for each operation, prepared in accordance with the templates and guidance provided by the Commission services, as may be deemed necessary. The monitoring sheets will be presented to the Sectoral Monitoring Committee and will constitute the core part of the Annual Implementation Report, prepared in accordance with Article 85.

Article 85
Sectoral annual report on implementation

1. The Operating Structure shall submit a sectoral annual report in relation to the programme concerned to the Commission and the National IPA Coordinator, by 30 June each year and for the first time by 30 June 2008.
2. The reports shall be sent to the National IPA Coordinator, the National Authorising Officer and the Commission, after examination by the sectoral monitoring committee.
3. Sectoral reports shall include the following:
 - a.) the quantitative and qualitative progress made in implementing the operational programme, priority axes, measures and, where relevant, operations or groups of operations, in relation to their specific, verifiable targets, with quantification, when possible, using indicators at the appropriate level;
 - b.) the financial implementation of the operational programme, detailing for each priority axis and measure:
 - the total expenditure paid out by reference to each beneficiary and included in payment applications sent to the Commission by the National Fund;
 - the total expenditure actually committed and paid out by the National Fund, with the corresponding public or public and private contribution; this shall be accompanied by computerised forms listing the operations, so that they can be followed through from budgetary commitment by the Beneficiary to final payments;
 - the total payments received from the Commission.

Where appropriate, financial implementation may be presented through the major areas of intervention and the regions where assistance is concentrated.

- c.) for information purposes, the indicative breakdown of the allocation under the IPA Regulation shall be given by categories, in accordance with the detailed list included in Annex XIII (for the regional development component);
- d.) the steps taken by the Operating Structure or the Sectoral Monitoring Committee to ensure the quality and effectiveness of implementation, in particular:
 - the monitoring and evaluation measures, including data collection arrangements;
 - a summary of any significant problems encountered in implementing the operational programme and any subsequent measures taken;
 - the use made of technical assistance;
- e.) the activities to provide information on and publicise the programme;
- f.) where appropriate, for the regional development component, the progress and financing of major projects;

4. The sectoral report shall be considered admissible only if it contains all the appropriate information listed in paragraph 3. The National IPA Coordinator and the Operating Structure shall be informed by the Commission services of the admissibility of the sectoral annual report within 10 working days from the date of its receipt.
5. The National IPA Coordinator and the Operating Structure shall also be informed of the Commission's opinion on the content of an admissible sectoral annual report within two months from the date of receipt.
6. The monitoring sheets prepared in accordance with templates and guidance provided by the Commission services will be attached to the report.

Article 86
Interim evaluation

1. During the period of implementation the Beneficiary shall carry out evaluations linked to the monitoring of the programme, in particular where this monitoring reveals a significant departure from the goals initially set or where proposals are made for the revision of the programme. At least one interim evaluation shall be carried out during the period of implementation of the programme. The results of the evaluation shall be sent to the Sectoral Monitoring Committee and to the Commission.
2. Evaluations shall be carried out by internal or external experts or bodies, functionally independent of the authorities referred to in Article 21 of the IPA Implementing Regulation. The results shall be published according to the applicable rules on access to documents.

Article 87
Ex-post evaluation

Ex-post evaluations are the responsibility of the Commission. The Commission services and the National IPA Coordinator shall decide whether *ex-post* evaluations should be carried out at the level of the programme or for a group of programmes or for IPA assistance as a whole.

CHAPTER XIV – AUDIT

Article 88
Audit principles

Audits are to be carried out in line with Sections III, IV and V of the Framework Agreement and Title VIII, Chapter I, of the Financial Regulation. They shall be carried out in accordance with internationally accepted audit standards.

Article 89
Audit Authority

1. The functions and responsibilities of the Audit Authority are those set out in Annex A to the Framework Agreement.
2. Where the audits referred to in Article 88 of this Agreement are carried out by a body other than the Audit Authority, the Audit Authority shall ensure that such bodies have the necessary functional independence.
3. If weaknesses in management or control systems, or the level of irregular expenditure detected do not allow the provision of an unqualified opinion for the annual opinion referred to in Article 18 paragraph 1 point (b) of the Framework Agreement, or in the closure declaration referred to in paragraph 1 point (c), the Audit Authority shall give the reasons and estimate the scale of the problem and its financial impact.

Article 90
Audit trail

1. In accordance with Article 21 of the Framework Agreement the management and control system for the programme shall provide a sufficiently detailed audit trail.
2. For the purposes of this agreement an audit trail shall be considered sufficient where it permits:
 - a.) the aggregate amounts certified to the Commission to be reconciled with the detailed accounting records and supporting documents held at the various administrative levels, by the Operating Structure and the final beneficiaries with regard to operations co-financed under the operational programme;
 - b.) verification of the allocation and transfer of the available Community and national funds;
 - c.) verification of the correctness of the information supplied on the execution of the programme in accordance with the terms of the Financing Agreement granting the assistance and the objectives assigned to the programme;
 - d.) verification of the selection criteria established for the operational programme, and
 - e.) in respect of each operation, as appropriate, the technical specifications and financing plan, documents concerning the grant approval, documents relating to public procurement procedures, progress reports and reports on verifications and audits carried out.
3. An indicative description of the information requirements for a sufficient audit trail is given in Annex XIV.
4. The Beneficiary shall satisfy itself that the following points have been addressed:
 - a) that there are procedures to ensure that documents that are relevant to specific items of expenditure incurred, payments made, works undertaken and verification of them carried out in connection with the programme, and which are required for a sufficient audit trail, are held in accordance with the requirements of Annex XIV;
 - b) that a record is maintained of the body holding them and its location; and
 - c) that the documents are made available for inspection by the persons and bodies who would normally have the right to inspect such documents.
5. The persons and bodies referred to in paragraph 4 (c) shall be:
 - a) the staff of the National Fund, Operating Structure and specific bodies who process payment applications;
 - b) the services undertaking audits of management and control systems;
 - c) the National Authorising Officer as person responsible for certifying interim and final payment applications and the person or department which issues declarations for the winding up of measures; and
 - d) mandated officials of national audit institutions and of the Community.

They may require that extracts or copies of the documents or accounting records referred to in paragraph 4 be supplied to them.

Article 91
Audits of operations

1. The audits referred to in Article 88 of this Agreement shall be carried out each twelve-month period from 1 October of the year following the adoption of the programme, on a sample of operations

selected by a method established or approved by the Audit Authority. The audits shall be carried out on-the-spot on the basis of documentation and records held by the beneficiary.

2. The audits shall verify that the following conditions are fulfilled:
 - a.) the operation meets the selection criteria for the operational programme, has been implemented in accordance with the approval decision and fulfils any applicable conditions concerning its functionality and use or the objectives to be attained;
 - b.) the expenditure declared corresponds to the accounting records and supporting documents held by the beneficiary;
 - c.) the expenditure declared by the beneficiary is in compliance with Community and national rules;
 - d.) the public contribution has been paid to the beneficiary in accordance with Article 40 (9) of IPA Implementing Regulation.
3. Where problems detected appear to be systemic in nature and therefore entail a risk for other operations under the operational programme, the Audit Authority shall ensure that further examination is carried out, including additional audits where necessary, to establish the scale of such problems. The necessary preventive and corrective action shall be taken by the relevant authorities.

Article 92

Documents presented by the Audit Authority and follow-up

1. The annual audit activity report and the annual opinion referred to in Article 29.2(b) of the IPA Implementing Regulation shall be based on the systems audits and audits of operations carried out and shall be drawn up in accordance with the models set out in Annex C to the Framework Agreement.
2. The opinion on the final statement of expenditure referred to in Article 29.2(b) of the IPA Implementing Regulation shall be based on all the audit work carried out by, or under the responsibility of the Audit Authority, in accordance with the annual work plan. The opinion on the final statement of expenditure shall be drawn up in accordance with the model set out in Annex E to the Framework Agreement.
3. If there is a limitation in the scope of examination or if the level of irregular expenditure detected does not allow the provision of an unqualified opinion for the annual opinion referred to in paragraph 1 or in the opinion on the final statement of expenditure referred to in paragraph 2, the Audit Authority shall give the reasons and estimate the scale of the problem and its financial impact.
4. Following the receipt of the reports and opinions by the Audit Authority, the National Authorising Officer shall:
 - a) decide whether any improvements to the management and control systems are required, record the decisions in that respect and ensure the timely implementation of those improvements;
 - b) make any necessary adjustments to the payment applications to the Commission.
5. The Commission services may decide either to take follow-up action itself in response to the reports and opinions, for example by initiating a financial correction procedure, or to require the beneficiary country to take action, while informing the National Authorising Officer and the Competent Accrediting Officer of their decision.

Article 93

Availability of documents

1. For the purposes of this Agreement, the Beneficiary shall ensure that a record is available of the identity and location of bodies holding the supporting documents relating to expenditure and audits, which includes all documents required for an adequate audit trail.

2. The Beneficiary shall ensure that the documents referred to in paragraph 1 are made available for inspection and that extracts or copies thereof are supplied to persons and bodies entitled to have access to them, including at least authorised staff of the Beneficiary, National Fund, Audit Authority and authorised officials of the Community and their authorised representatives.
3. The following, at least, shall be considered commonly accepted data carriers:
 - a.) photocopies of original documents;
 - b.) microfiches of original documents;
 - c.) electronic versions of original documents;
 - d.) documents existing in electronic version only.
4. The procedure for certifying the conformity of documents held on commonly accepted data carriers with the original document shall be laid down by the national authorities and shall ensure that the versions held comply with national legal requirements and can be relied on for audit purposes.
5. Where documents exist in electronic version only, the computer systems used must meet accepted security standards that ensure that the documents held comply with national legal requirements and can be relied on for audit purposes.
6. The Commission services shall ensure that the information forwarded by the Beneficiary, or collected by them in the course of on-the-spot inspections, is kept confidential and secure.

Article 94

Supervision, control and audit by the Commission and the European Court of Auditors

Supervision, control and audit by the Commission and by the European Court of Auditors will be carried out in line with Section IV Articles 27 to 35 of the Framework Agreement and Title VIII, Chapter I of the Financial Regulation.

CHAPTER XV – INFORMATION AND VISIBILITY

Article 95

Personal Data

According to Article 24(2)(d) of the Framework Agreement, the provisions of Regulation (EC) No 45/2001 of the European Parliament and the European Council on the protection of individuals with regards to the processing of personal data by the Community institutions and bodies and on the free movement of such data, and with due observance of the requirements of security, shall apply.

Article 96

Electronic Exchange of Data

1. The Beneficiary shall provide to the Commission an original paper version of the documents, dated and signed by a duly authorised official. The date taken into account shall be the date on which the paper document has been officially sent to the Commission.
2. Apart from the submission of paper documents by the Beneficiary to the Commission, the Beneficiary shall endeavour, whenever possible, to submit an electronic version of those documents.
3. In the event of divergence between the paper and electronic versions of the documents, the original paper document will be considered as the authentic document.
4. All documents and correspondence pertaining to the programme shall bear the CCI reference number indicated by the Commission.

Article 97
Information and publicity

1. The Beneficiary shall provide information on, and publicise the programme and operations, in accordance with Article 24 of the Framework Agreement. The information shall be addressed to the citizens and beneficiaries, with the aim of highlighting the role of the Community and ensuring transparency.
2. In accordance with Article 90 of the Financial Regulation the Commission shall publish the relevant information on contracts and grants. The Commission shall publish the results of tender and call for proposal procedures in the Official Journal of the European Union, on the EuropeAid website and in any other appropriate media, in accordance with the applicable contract procedures for Community external actions.

Article 98
Publication of information on beneficiaries of Community funding

1. In accordance with Article 24.2 of the Framework Agreement, the Beneficiary shall publish the following information in relation to beneficiaries of Community financing:
 - a.) the names and addresses of the final beneficiaries and end recipients;
 - b.) the names of the operations;
 - c.) the amount of Community funding allocated to the operations.
2. The information referred to in paragraph 1 shall be published according to a standard presentation, in a dedicated and easily accessible place of the Beneficiary's internet site. If such internet publication is impossible, the information shall be published by any other appropriate means, including the national official journal.
3. The publication shall take place during the first half of the year following the closure of the budget year in respect of which the funds were attributed to the Beneficiary.
4. The Beneficiary shall communicate to the Commission the address of the place of publication and reference shall be made to this address in the dedicated place of the internet site of the Community institutions referred to in Article 97(2) of this Agreement. If the information is published otherwise, the Beneficiary shall give the Commission full details of the means used.

Article 99
Visibility

1. Activities to make available and publicise in the beneficiary country information about assistance under the IPA, as referred to by Article 24(4) of the Framework Agreement, will be implemented based on a Communication Action Plan (CAP) prepared in accordance with the chapter on Implementing Provisions of the programme. The CAP shall be reviewed by the Sectoral Monitoring Committee and shall set out:
 - a.) the aims of the information and publicity;
 - b.) the target group;
 - c.) the content and the strategy of the resulting communication and information measures;
 - d.) the indicative budget;
 - e.) the administrative departments responsible for implementation;
 - f.) the criteria for evaluating the measures carried out.
2. Funding for information and publicity may be provided from the technical assistance priority of the programme.

3. At the meetings of the Sectoral Monitoring Committee, the Operating Structure shall report on progress in implementing the CAP and provide the Committee members with examples of such measures.
4. When the implementation of the present article implies specific information and publicity activities at operation level, such activities shall be the responsibility of the final beneficiaries, and shall be funded from the amount allocated to the relevant subject.
5. The Operating Structure shall ensure that operations financed in the framework of the programme respect the EU visibility guidelines for external actions¹⁸.

CHAPTER XVI – PROGRAMME CLOSURE

Article 100 *Closure principles*

1. Programme closure implies the financial settlement of outstanding Community commitments, through the payment of the final balance, or the issue of a recovery note, or the de-commitment of the final balance of the budgetary commitment by the Commission. To this end, a final payment application should be submitted to the Commission.
2. The Commission will inform the Beneficiary about the date of the closure of the programme.
3. The programme closure does not prejudice the Commission's right to carry out audits or undertake financial corrections.
4. Notwithstanding the results of any audits carried out by the Commission services or the European Court of Auditors, the final balance paid or the amount to be recovered by the Commission may be amended within nine months of the date on which the final payment is made, or of the date on which the recovery note is issued.
5. In accordance with the provisions of Article 45 of the IPA Implementing Regulation, for the closure of the programme, the following documents should be submitted to the Commission by the Beneficiary by 31 December 2018 at the latest, in order to successfully close the Community assistance:
 - an application for the final payment issued by the National Authorising Officer;
 - a final report submitted by the Operating Structure;
 - a winding up declaration on the final statement of expenditure supported by a final activity report issued by the Audit Authority;
 - an audit opinion on the final statement of expenditure.
6. A precondition for the successful closure of the programme is that the accreditation provisions foreseen in chapter II of the IPA Implementing Regulation are in force and the conferral of management by the Commission remains valid.

Article 101 *Winding up declaration*

1. The winding up declaration sets out the opinion of the independent Audit Authority, designated under Article 29 of the IPA Implementing Regulation, on the final statement of expenditure submitted to the Commission by the National Authorising Officer.
2. The submission of the winding up declaration is a prerequisite for the programme closure. It will be submitted to the Commission and to the Competent Accrediting Officer at the same time as the final statement of expenditure.

¹⁸ http://ec.europa.eu/europeaid/work/visibility/index_en.htm .

3. The basis for forming the opinion expressed in the winding up declaration has to be clearly explained. The Audit Authority is required to declare that the final statement of expenditure and application for the payment of the balance issued by the National Authorising Officer are free of misstatements. The Audit Authority shall address in particular the following:

- correct presentation and compilation of the documents;
- correctness and accuracy of the calculations;
- reconciliation of the final statement presented to the Commission with the statements presented by the implementing bodies to the National Authorising Officer;
- consistency with the financial information, including information on irregularities, provided in the final report;
- the legality and regularity of the underlying financial transactions, in accordance with the eligibility criteria and the procurement directives;
- audits carried out by the Commission services, the European Court of Auditors or the Audit Authority on the National Fund and the National Authorising Officer, the Operating Structure as well as the contracting authorities, by summarising any weakness found in the management and control systems or in the financial transaction findings. The corrective measures put in place to remedy any weakness found in the management and control systems including any financial corrections imposed should be provided;
- sample of financial transactions audited, including information on the total public expenditure and the error percentage, if any.

4. An indicative model of the winding up declaration is contained in Annexe E of the Framework Agreement.

Article 102
Final report

1. The Operating Structure shall draw up a sectoral final report on the implementation of the programme. It shall cover the whole period of implementation and may include the latest annual report.

2. After examination by the Sectoral Monitoring Committee, the Operating Structure shall submit the final sectoral report to the National IPA Coordinator, the National Authorising Officer and to the Commission, at the latest six months after the final date of eligibility of expenditure.

3. The requirements for the content of the final sectoral report are set out in Article 169 of the IPA Implementing Regulation. This report shall include:

- a) the quantitative and qualitative progress made in implementing the programme, by priority and measure, in relation to their specific targets, with quantification of the physical indicators, including results and impact indicators;
- b) the financial implementation of the programme, summarising for each priority axis and measure, the total expenditure actually paid out and included in the payment applications submitted to the Commission by the National Fund, as well as a record of the total payments received from the Commission and the total expenditure actually committed and paid out by the National Fund, with the corresponding public or public and private contribution, accompanied by a list of the operations carried out;
- c) the indicative breakdown of the allocations under the IPA Regulation, by category, in accordance with the detailed list included in Annex XIII;
- d) the steps taken by the Operating Structure and/or the Sectoral Monitoring Committee, to ensure the quality and effectiveness of implementation and in particular:
 - i) the monitoring and evaluation measures, including data collection arrangements;
 - ii) a summary of any significant problems encountered in implementing the programme, including any corrective measures put in place;

- iii) the use made of technical assistance;
 - e) the measures taken to provide information and publicity of the programme;
 - f) where appropriate, the progress and financing of major projects;
 - g) a list of projects implemented and whether these have been completed and are operational.
4. A final report shall be considered admissible if it contains all the information required in paragraph 3. The Commission services shall inform the National IPA Coordinator and the Operating Structure of the admissibility of the final report within 10 working days from the date of its receipt.
5. The Commission's opinion on the content of an admissible final sectoral report shall be provided to National IPA Coordinator and the Operating Structure within five months from the date of receipt of the admissible report.

Article 103
Final application for payment

1. A final application for payment, including a certificate of expenditure and a statement of expenditure, shall be drawn up in the form set out in Annex XVI to the Financing Agreement.
2. Expenditure declared should relate to expenditure actually incurred and paid out by the National Fund. This expenditure should correspond to payments effected supported by receipted invoices or accounting documents of equivalent probative value. Expenditure must have been certified by the National Authorising Officer.
3. The conditions to be checked by the National Authorising Officer in certifying the expenditure are set out in the form prescribed in Annex XVII.
4. The final statement of expenditure should be accompanied by the appendix on recoveries referred to in Annex XVI to this Agreement.
5. The pre-financing paid to the Beneficiary for the programme, pursuant to Article 64 of this Agreement, has to be justified by payments effected by the final beneficiaries at the latest when the final balance of the assistance is claimed.
6. The Beneficiary shall inform the Commission of recoveries made between the submission of the final declaration of expenditure and the final payment by the Commission, so that the Commission can deduct them. The Beneficiary should also inform the Commission of recoveries effected after the submission of the final declaration of expenditure and after closure of the programme and repay the IPA contribution to the Commission.

Article 104
Retention of documents

1. The responsible body and authorities of the Beneficiary shall keep available for the Commission all documents related to the programme, including documents related to the authorisation of payment applications, of the accounting and payment of such applications and of the treatment of advances, guarantees and debts, for a period of at least three years following the closure of the programme.
2. For revenue generating projects, the period referred to in paragraph 1 shall be extended to five years following the date of the final payment to the project or three years after the closure of the programme, whichever comes later.
3. Written records of the entire procurement, grant award and contracting procedure shall be retained by the Operating Structure for a period of at least seven years from the payment of the balance of the contract.
4. The periods referred in paragraphs 1, 2 and 3 shall be interrupted in the case of legal proceedings, financial corrections or at the duly substantiated request of the Commission services.

CHAPTER XVII – FINAL PROVISIONS

Article 105 Consultation

1. Any question relating to the execution or interpretation of this Agreement shall be the subject of consultation between the Contracting Parties, leading where necessary to an amendment of this Agreement.
2. Where there is a failure to carry out an obligation set out in this Agreement which has not been the subject of remedial measures taken in due time, the Commission may suspend the financing of activities under IPA after consultation with the Beneficiary.
3. The Beneficiary may renounce in whole or in part to the implementation of activities under IPA. The Contracting Parties shall set out the details of the said renunciation in an exchange of letters.

Article 106 Settlement of differences, arbitration

The provisions of Article 42 of the Framework Agreement shall apply *mutatis mutandis* to this Agreement.

Article 107 Disputes with third parties

The provisions of Article 43 of the Framework Agreement shall apply *mutatis mutandis* to this Agreement.

Article 108 Annexes

The Annexes shall form an integral part of this Agreement.

Article 109 Validity

1. This signed Agreement shall enter into force on the date on which the Beneficiary notifies the Commission that all internal procedures in the Republic of Croatia necessary for the entry into force of this Agreement have been fulfilled.
2. This Agreement shall continue to be in force until the final date for the retention of documents related to the programme as provided for under Article 104 of this Agreement.
3. In case of legal proceedings or of any duly motivated situation agreed between the parties, the Financing Agreement shall remain in force until the final settlement of the situation that gives rise to the extension of validity.

Article 110 Review and amendment

1. The implementation of this Agreement will be subject to periodic reviews at times arranged between the Parties.
2. Any amendment agreed to by the Parties will be in writing and will form part of this Agreement. Such an amendment shall enter into force on the date determined by the Parties.

3. If the request for an amendment comes from the Beneficiary, the latter shall submit that request to the Commission at least six months before the amendment is intended to enter into force, except in cases which are duly substantiated by the Beneficiary and accepted by the Commission.

Article 111
Termination

1. This Agreement may be terminated by either Party by giving written notice to the other Party. Such termination shall take effect six calendar months from the date of the written notice.

2. The termination of this Agreement shall not preclude the possibility for the Commission to make financial corrections in accordance with Articles 49 to 54 of the IPA Implementing Regulation.

Article 112
Language

This Agreement is drawn up in duplicate in the English language.

Signed, for and on behalf of the Government of the Republic of Croatia,
at (place) on (date)
by Hrvoje Dolenec, State Secretary and National IPA Coordinator

.....
Signed, for and on behalf of the Commission,
at (place) on (date)
by Dirk Ahner, Director General
.....

List of Annexes

Title

- I. Financial Plan
- II. Certificate and Statement of Expenditure and Application for Interim Payment
- III. Annual Statement on withdrawn and recovered amounts and pending recoveries
- IV. Forecast of likely payment applications
- V. Identification of authorities, names and addresses for correspondence
- VI. Specific conditions regarding conferral of management
- VII. Benchmark system for the roadmap to wave ex-ante controls
- VIII. Major project request for confirmation of rate of assistance
- IX. Template for a Bilateral Project Agreement
- X. Model of Operation Identification Sheet
- XI. Composition and functioning modalities for the committee for the selection of operations
- XII. Annual and Final Report
- XIII. Allocations by category of expenditures
- XIV. Indicative description of the information requirements for the audit trail
- XV. List of data on operations to be communicated on request to the Commission for the purpose of documentary and on-the-spot checks
- XVI. Certificate and Statement of Expenditure and Application for Final Payment
- XVII. Final control report and closure declaration
- XVIII. Guidelines for the completion of the standard form for quarterly communications of irregularities
- XIX.
 - a) The operational programme
 - b) Amendment to the operational programme

ANNEX I

Financial Plan

Financial plan of the "Transportation" programme in the Republic of Croatia

<u>Years</u>	Total IPA allocation
2007	17 000 250
2008	18 000 000
2009	18 500 250
2010	21 300 000
2011	21 900 000
Total 2007-2011	96 700 500

Priority	Community Funding	National co-financing	Total funding	Co-financing rate
	(a)	(b)	(c) = (a) + (b)	(d) = (a)/(c)
Priority Axis 1 – Upgrading Croatia's rail transport system	88 585 500	15 632 735	104 218 235	85.00%
Priority Axis 2 – Upgrading Croatia's Inland Waterway System	6 900 000	1 217 647	8 117 647	85.00%
Priority Axis 3 - Technical Assistance	1 215 000	214 412	1 429 412	85.00%
Total (2007-2011)	96 700 500	17 064 794	113 765 294	85.00%

ANNEX II

Certificate and statement of expenditure and application for interim payment

EUROPEAN COMMISSION
INSTRUMENT FOR PRE-ACCESSION ASSISTANCE – IPA
Regional Development Component (Component III)
/Human Resources Development (component IV)
Certificate and statement of expenditure and payment application

Name of operational programme
Commission Decision
Financing Agreement
Commission reference (CCI) No:
National reference (if any)

of

of

CERTIFICATE

I, the undersigned,
National Authorising Officer,
hereby certify that all expenditure included in the attached statement complies with the criteria for eligibility of expenditure set out in the Financing Agreement signed on {DATE} between the European Commission and the Government of {COUNTRY} and has been incurred and paid by the final beneficiaries on the implementation of operations selected under the operational programme in accordance with the conditions for granting IPA assistance.

after⁽¹⁹⁾

		20...
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and amounts to:

euro ²⁰	
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(exact figure to two decimal

places)

The attached statement of expenditure, broken down by priority axis and measures, is based on accounts provisionally closed on

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and forms an integral part of this certificate.

I also certify that operations are progressing in accordance with the terms of the Financing Agreement, and in particular that:

1. all the requirements laid down in Article 67 of the Financing Agreement are fulfilled, in particular
 - The ceilings for IPA assistance under each priority axis as laid down in the Commission financing decision (and the Financing Agreement), have been respected;
 - The sectoral annual implementation reports, including the most recent one have been sent to the Commission by the Operating Structure;
 - The most recent annual audit activity report and opinion on the conformity of the management and control systems in place with the requirements of the Regulation (EC) 718/2007 and those of any agreement between the Commission and the beneficiary country has been sent to the Commission by the Audit Authority;
 - The accreditation delivered by the Competent Accrediting Officer and the National Authorising Officer are in force, and the conferral of management by the Commission remains valid;
2. all conditions of the relevant Bilateral Project Agreements related to payments are fulfilled;
3. the statement of expenditure is accurate, results from reliable accounting systems and is based on verifiable supporting documents;
4. the expenditure declared complies with applicable European Union and national rules and has been incurred in respect of operations selected for funding in accordance with the criteria applicable to the programme and complying with relevant applicable European Union rules and regulations, in particular those referred to in the Financing Agreement and the award of public contracts (PRAG).

(19) Starting date for eligibility of expenditure (Article 34 of the Financing Agreement)

(20) Total amount of eligible expenditure paid by final beneficiaries

5. the statement of expenditure and the payment application take account, where applicable, of any amounts recovered and of any interest received, and of net revenue accruing from operations financed under the operational programme;
6. the breakdown of the underlying operations is recorded on computer files and is available to the relevant Commission departments on request

In accordance with Article 104 of the Financing Agreement, the supporting documents are and will continue to be available for at least three years following the closure of the operational programme by the Commission.

Date

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Name in capitals, stamp, position and
signature
of National Authorising Officer

Statement of expenditure by priority axis and measures: Interim payment

Operational Programme reference (CCI No):					
Name of programme:					
Date of provisional closure of accounts:			Date of sending to the Commission:		
Total certified eligible expenditure²¹ paid:					

Priority axis/measure	Total expenditure incurred to date (between.... ²² and)	Expenditure certified in present declaration	Total expenditure planned (initial budget)	Expenditure incurred to date as proportion of initial budget (%)	Estimated expenditure still required to complete the programme
Priority Axis 1: total					
Measure 1.1					
Of which: - Operation xxx (reference no. plus title) - Major Project xxx (CCI no. plus title)					
Measure 1.2					
Priority Axis 2					
Measure 2.1					
Priority Axis 3					
Measure 3.1					
Priority Axis 4					
Measure 4.1					

²¹ As defined by Articles 148, 150 and 152 of Commission Regulation 718/2007

²² Starting date for eligibility of expenditure (Article 34 of the Financing Agreement)

Breakdown by year of the total certified eligible expenditure²³ (amounts in euros)

Priority axis/measure	2008	2009	2010	2011	2012
Priority Axis 1: total					
Measure 1.1					
Of which: - Operation xxx (reference no. plus title) - Major Project (CCI no. plus title)					
Measure 1.2					
Priority Axis 2					
Measure 2.1					
Priority Axis 3					
Measure 3.1					
Priority Axis 4					
Measure 4.1					

²³ By year: the breakdown mentioned in this table shall correspond to the payments made by the final beneficiaries in the year concerned. Where it is not possible to establish this breakdown precisely, the best estimate of the breakdown should be given.

ANNEX 1 to statement of expenditure:

The computerised listing of operations by measure and operation, and the corresponding expenditure, including contribution under the IPA Regulation and national public expenditure

Priority axis/measure	Total expenditure (EURO)	IPA funds (EURO)	National public expenditure (EURO)	IPA co-financing rate (%)
Priority Axis 1: total				
Measure 1.1				
<i>Operation 1.1.1</i>				
<i>Operation 1.1.2</i>				
.....				
Measure 1.2				
<i>Operation 1.2.1</i>				
<i>Operation 1.2.2</i>				
.....				
Measure 1.3				
<i>Operation 1.3.1</i>				
<i>Operation 1.3.2</i>				
.....				
Priority Axis 2: total				
Measure 2.1				
<i>Operation 2.1.1</i>				
.....				
Priority Axis 3				
Measure 3.1				
<i>Operation 3.1.1</i>				
.....				

ANNEX 2 to statement of expenditure:

Details of amounts recoverable following cancellation of all or part of the IPA contribution for an operation

Name of the priority/measure /operation	
Amount ordered to be recovered	
Debtor	
Date of issue of recovery order	
Authority which issued recovery order	
Date of recovery	
Amount recovered	

ANNEX 3 to statement of expenditure:

The volume of IPA contribution in the component-specific euro account at the date of the last debit to which this statement refers and the interest earned

APPLICATION FOR PAYMENT: Interim payment

Name of operational programme:

Operational programme reference (CCI) No:

Pursuant to Annex A of the Framework Agreement (Article 25 of Regulation (EC) No 718/2007), I, the undersigned (name in capitals of National Authorising Officer), hereby request payment of the amount of EUR as an interim payment.

This application is admissible because:

	Delete as appropriate
(a) no more than the maximum amount of assistance from IPA Funds as laid down in the Financing Agreement and the decision of the Commission approving the operational programme has been paid by the Commission during the whole period for each priority axis.	
(b) the Operating Structure has sent to the Commission the sectoral annual implementation reports, including the most recent one in accordance with art. 67(1)c of the Financing Agreement	<i>— has been forwarded by Operating Structure within the time limit laid down in art. 83 of the Financing Agreement — is attached</i>
(c) the Audit Authority has sent to the Commission, in accordance with Article 92 of the Financing Agreement, the most recent annual audit activity report and opinion on the conformity of the management and control systems in place with the requirements of the Regulation (EC) No 718/2007 and/or those of any agreement between the Commission and the beneficiary country	<i>— has been forwarded by Audit Authority within the time limit laid down in art. 90 of the financing Agreement — is attached</i>
(d) the accreditations delivered by the Competent Accrediting Officer and the National Authorising Officer are in force, and the conferral of management by the Commission remains valid	
(e) the payments have not been suspended in accordance with Article 72 of the Financing Agreement	
(f) None of the situations justifying blocking of payments to major projects have occurred	

The payment should be made by the Commission to the body designated by the beneficiary country for the purposes of making payments

Designated body	
Bank	
Bank account No	
Holder of account (where not the same as the designated body)	

Date

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Name in capitals, stamp, position and signature of
National Authorising Officer

ANNEX III
Annual statement on withdrawn and recovered amounts and pending recoveries
(Article 66(3)d) of the Financing Agreement)

WITHDRAWALS AND RECOVERIES FOR THE YEAR 20.... DEDUCTED FROM
STATEMENTS OF EXPENDITURE

Priority axis	Withdrawals				Recoveries			
	Total expenditure of final beneficiaries	Public contribution	Co-financing rate ²⁴	EU contribution	Total expenditure of final beneficiaries	Public contribution	Co-financing rate ²⁵	EU contribution
1								
Operation 1.1.x								
2								
Operation 2.1.x								
3								
Operation 3.1.x								
Total								

²⁴ This co-financing rate and the method for its calculation are found in the financial table of the operational programme for the priority axis concerned.

²⁵ This co-financing rate and the method for its calculation are found in the financial table of the operational programme for the priority axis concerned.

PENDING RECOVERIES AS AT 31.12. 20..

Priority axis	Year of launch of recovery proceedings	Public contribution to be recovered	Co-financing rate ²⁶	EU contribution to be recovered
1	2007			
Operation 1.1.x				
	2008			
	...			
2	2007			
Operation 2.1.x				
	2008			
	...			
3	2007			
Operation 3.1.x				
	2008			
	...			
Sub-totals	2007			
	2008			
	...			
Grand total				

²⁶ This co-financing rate and the method for its calculation are found in the financial table of the operational programme for the priority axis concerned.

ANNEX IV

Forecasts of likely payment applications (Article 63(2)c) of the Financing Agreement)

Provisional forecasts of likely payment applications by programme, for the current and subsequent financial year (in EUR):

	IPA co-financing ²⁷	
	[current year]	[following year]
Operational Programme 1 (CCI number) total		
Priority 1		
Priority 2		
Priority 3		
Operational Programme 2 (CCI number) total		
Operational Programme 3 (CCI number) total		
Grand Total		

²⁷ Only provisional forecasts of likely payment applications in respect of the IPA contribution, and not total expenditure forecast, should be stated in the table. In the provisional forecasts of likely payment applications, the IPA contribution should be stated for the year in question, and should not be cumulated from the beginning of the programming period.

ANNEX V
Identification of authorities, names and addresses for correspondence
(Article 28(3) of the Financing Agreement)

Field 1. **Operational Programme CCI code: 2007HR16IPO002**

Field 2. **Operational Programme for Transportation**

Field 3. **IPA component III – Regional Development**

Field 4. **Beneficiary – Republic of Croatia**

Field 5. **National IPA Coordinator**

Name: State Secretary, Central Office for Development Strategy and Coordination of EU Funds

Address Radnička cesta 80/V, 10 000 Zagreb

Phone 00 385 1 4569 205

Field 6. **Strategic Coordinator for the regional development and the human resources development components**

Name: Deputy State Secretary, Central Office for Development Strategy and Coordination of EU Funds

Address Radnička cesta 80/V, 10 000 Zagreb

Phone 00 385 1 4569 194

Field 7. **Competent Accrediting Officer**

Name: Minister, Ministry of Finance

Address Katančićeva 5, 10 000 Zagreb

Phone 00385 1 4591 300

Field 8. **National Authorising Officer**

Name: State Secretary, Ministry of Finance

Address Katančićeva 5, 10 000 Zagreb

Phone 00 385 1 4591 479

Field 9. **National Fund**

Name: Head of Sector, Ministry of Finance

Address Katančićeva 5, 10 000 Zagreb

Phone 00 385 1 4591243

Field 10. **Audit Authority**

Name: Director, Agency for the Audit of European Union Programmes
Implementation Systems

Address Koturaška 53/1, 10 000 Zagreb

Phone 00385 1 4585-999

Field 11. **Contracting Authorities**

Name: President of Board, Croatian Railways Infrastructure Ltd

Address Mihanovićeve 12, 10 000 Zagreb

Phone 00385 1 3783302

Name: Director, Central Finance and Contracting Agency

Address Ulica grada Vukovara 284, 10 000 Zagreb

Phone 00 385 1 4591 245

Field 12. **Operating Structure**
Name: Ministry of Sea, Transport and Infrastructure
Address Prislavlje 14, 10 000 Zagreb
Phone 00385 1 3784 543

Field 12.a **Head of the Operating Structure**
Name: State Secretary, Ministry of Sea, Transport and Infrastructure
Address Prislavlje 14 10 000 Zagreb
Phone 00385 1 3784 543

Field 12.b **Specific body - Body responsible for Priority axes 1, 2, 3**
Name: Ministry of Sea, Transport and Infrastructure, Directorate for Strategic Infrastructure Objects
Address Krležin Gvozd 1a, 10 000 Zagreb
Phone 00385 1 3783 991

Field 13. **IPA Monitoring Committee**
Chairperson National IPA Coordinator
Co-Chairperson Representative of the European Commission

Field 14. **Sectoral Monitoring Committee for the Transportation Operational Programme**
Chairperson Head of Operating Structure
Co-Chairperson Representative of the Directorate General for Regional Policy

Field 15. **Directorate General for Regional Policy – Unit IPA/ISPA, accession negotiations**
Address Rue Père de Deken 223, 1040 Brussels, Belgium
Phone 0032 22966721

Field 16: **Authorising Officer by Delegation:**
Name: Director General, Directorate General for Regional Policy

Field 17: **Authorising Officer by Sub-delegation:**
Name: Director, Directorate I "Bulgaria, Cyprus, Greece, Hungary, Romania, IPA/ISPA, accession negotiations"

Field 18: **Audit Unit:**
Name: Control and Audit I

Field 19. **OLAF – European Anti-Fraud Office**
Name: Directorate C- Operational and Policy Support
Address Rue Joseph II 30, B-1049 Brussels, Belgium
Phone (32-2) 299 11 11

ANNEX VI
Specific conditions regarding conferral of management powers²⁸

The management of the Transportation Operational Programme under the Regional Development Component within IPA assistance is conferred on the Republic of Croatia under the following conditions:

- 1) Croatia shall comply with the recommendations and associated deadlines in order to implement them, set out in Annex I to the Decision conferring management powers relating to the Transportation Operational Programme on the Republic of Croatia, and presented in Annex VIa of this Agreement;
- 2) Croatia shall provide the Commission at regular intervals with reports on the implementation of the decentralised system and progress towards fulfilment of the recommendations and associated deadlines in order to implement them, set out in Annex I to the Decision conferring management powers relating to the Transportation Operational Programme on the Republic of Croatia, and presented in Annex VIa of this Agreement;
- 3) Croatia shall inform in advance and obtain approval from the Commission on any substantial change in the IPA management structures and system as described in the application submitted by the National Authorising Officer which was received by Directorate General for Regional Policy on 11 April 2008.

The Commission shall perform the ex-ante controls listed in Annex II to the Decision conferring management powers relating to the Transportation Operational Programme on the Republic of Croatia, and as presented in Annex VIb of this Agreement.

²⁸ The conditions are those made at the time of approving the decision conferring the management powers. Since that time some (or all) recommendations could have been complied with.

		chapters of the MoP refer to it. There are no adequate technical resources to ensure the implementation of MIS and outsourcing is considered.	M	If outsourcing is chosen, terms of reference of the service contract should clearly determine the ownership of the implementation process, the provision of guidance and the overall supervision role. Sufficient training should also be provided. When MIS is completed, ensure that an IT audit is carried out (ISO standards).			Plan
3	CODEF	<u>INCOMPLETE SET-UP OF INTERNAL AUDIT UNIT:</u> In CODEF (inside the Cabinet section), the internal auditor post which was published 6 months ago has not yet been taken over. Auditors of the Commission were informed that there is inadequate interest expressed from potential candidates. Currently, IAU of the MoF is temporarily ensuring internal audit functions of CODEF. No information available on a specific timetable to set up a functional IAU unit within CODEF (specific methodology and procedures).	M	Set up internal audit unit and start building up internal audit capacities as priority. A specific timetable should be provided with indication of methodology and procedures that will be followed.	31/12/2008	5.2.2 F° 2	4.2 NIPAC - CODEF Checklist / Presentation by CODEF
4	CODEF	<u>INCOMPLETE COMMUNICATION STRATEGY:</u> In accordance with Article 62 of IPA implementing regulation and Article 24 of the Framework Agreement NIPAC	M	CODEF should release the IPA communication strategy as soon as possible. Translation of EU visibility guidelines should also be published shortly. This will	30/10/2008	5.2.2 F° 3	4.2 IPA Communicati on Strategy (Final Draft)

		should publicise IPA programmes and operations. This is expected to be accomplished with the development of a publicity officers' network. NIPAC ensures the consistency of publicity activities of the different operating structures through an IPA communication strategy. Although a final draft of this communication strategy was provided to auditors this cannot be considered as finalised. This is a prerequisite for communication action plans at the level of individual programmes and issuance of EU visibility guidelines. No appropriate training to publicity officers yet.		allow development of programme-specific communication plans. Appropriate training should also be intensified by CODEF.			
5	CODEF Heads of OS	<p><u>INSUFFICIENT CONTROLS OVER SENSITIVE FUNCTIONS-POSTS:</u></p> <p>Risk analysis of the positions within the CODEF revealed a number of sensitive functions-posts rated as medium risk. However, the only formal control mechanism over those is the application of the four-eye principle. No rotation policy is envisaged and additional checks foreseen for the IAU are not operational yet since internal audit is not yet functioning (see Finding 3 above).</p> <p>Since similar findings have been detected in all the Operating Structures, it is recommended that also the Head of OS III A, III B and III C carefully examine the introduction of additional checks over</p>	L	CODEF should introduce additional checks over the sensitive functions and posts identified in the organisation. Application of a properly designed rotation policy, together with the set-up of a competent IAU, is recommended. Adjustment of the internal control chapter of the CODEF MoP should also be made.	31/12/2008 31/12/2008	5.2.2 F° 4 5.2.2 F° 4	4.2 NIPAC - CODEF Checklist / Presentation by CODEF See also checklists of OS III A, OS

		the sensitive functions and posts identified in the organisation.		Heads of OS should introduce additional checks over the sensitive functions and posts identified in the organisation. Application of a properly designed rotation policy, together with the set-up or strengthening of IAUs, is recommended. Adjustment of the internal control chapters should also be made.			III B & OS III C
6	NAO/Heads of OS	<u>ANNUAL STATEMENT OF ASSURANCE:</u> Awareness related to the SoA process within the BROP was not sufficient. According to the IA signed between NAO and Head of OS, the contribution of the latter to NAO's issuance of the annual statement of assurance is critical, based on a thorough review of a self-assessment exercise to be conducted by each of the bodies within the OS. Head of OS is also responsible for reporting to NAO any control weakness, information on the execution of corrective measures and any supporting documentation required. We concluded that awareness of this new and essential procedure is still not sufficient, although the procedure is sufficiently described in the internal MoP. Specific knowledge, documentation and training	M	NAO should provide further guidance and organize specific training sessions in relation to SoA. The intermediate internal deadline, 31/7/2008, established by the Croatian authorities for preparing first semi-annual statement of assurance should be used as a test of the general awareness Detailed methodology for the annual statements of assurance should be followed in accordance with the MoPs and the guidance provided by NF.	31/10/2008	5.3.2 F° 1	4.3 Checklists of OS III A, OS III B & OS III C

		were also lacking.					
7	NAO	<p><u>AWARENESS OF EBRD PROCUREMENT RULES:</u></p> <p>Awareness of the main differences between PRAG rules and EBRD rules does not yet appear to be sufficiently developed within the different Operating Structures although MoP are updated</p>	M	<p>Raise awareness on the differences between the two different set of rules (PRAG/EBRD) through specific training. Advertising issues and contract management / modifications of contracts should deserve special attention.</p> <ul style="list-style-type: none"> • 	31/12/2008	5.3.2 F° 2	4.3 Checklists of OS III A, OS III B & OS III C
8	NF	<p><u>ACCOUNTING SOFTWARE</u></p> <p>Accounting in the National Fund is still based on manual paper based system and on the use of MS Excel datasheets. The Commission does not define in detail what type of accounting system the beneficiary countries are to use, but it is evident that the use of current simple unprotected Excel-sheets is extremely prone to errors.</p>	L	<p>Inform whether it is envisaged to replace the manual paper based system with an IT system and, in the affirmative, provide an update on the state of play and timetable to introduce the IT system.</p>	31/12/2008	5.4.2 F° 1	4.4 Checklists of NF
9	AA	<p><u>SET UP OF THE AUDIT AUTHORITY:</u></p> <p>AA has no adequate resources and capacities to carry out the functions assigned to it. It is currently foreseen to outsource the audit activities for a period of 2 years.</p> <p>However, there is the risk that the AA will not be able to develop sufficient</p>	H	<p>Outsourcing the audit work for two years, risks to have limited impact if no structural measures are adopted in parallel. Urgent need to translate expressions of good intentions into legislative actions to ensure conditions at least equivalent</p>	31/12/2008	5.5.2 F° 1	4.5 Checklist AA / Working notes

		<p>internal resources during the period of outsourcing and will rely completely on the work of the external auditors.</p> <p>At the wrap up meeting, auditors were informed that staff from the SAO might be seconded to the AA until the end of the year and SAO will also assist in the recruitment process. No clear timetable and action plan has been provided.</p>		<p>to the ones offered by other sectors of the public administration such as SAO.</p> <p>In relation to the possible secondment of SAO staff, provide detailed information (e.g. names, CVs, starting date of secondment etc) and a clear timetable for implementation</p>			
10	AA	<p><u>OUTSOURCING OF THE AUDIT ACTIVITIES:</u></p> <p>Auditors believe that the ToR already drafted regarding outsourcing the audit activities should better specify the objectives and the expected outcome of the external auditors' activity.</p>	L	<p>It should be clear in the ToR that AA maintains full ownership of the process, provides guidance and exercises supervision.</p> <ul style="list-style-type: none"> • 		5.5.2 F° 2	4.5 Terms of Reference /Checklist AA / Working notes
11	AA	<p><u>RECRUITMENT PROCEDURES:</u></p> <p>AA employs 8 auditors, out of 25 available posts. Currently, 2 auditors are assigned to the Division for the audit of IPA program. Level of salary (about 50% lower than the State Audit Office's level) is not sufficient to attract auditors from the State Audit Office or from the private sector.</p>	M	<p>In parallel with the adaptation of the salary conditions, complete the recruitment process, to enable AA to actively participate in the work of the external auditors.</p> <p>Recruitment should start with filling in the Head of Divisions' posts, to ensure the necessary internal training of less experienced auditors.</p> <p>Objective is to ensure</p>	31/12/2008	5.5.2 F° 3	4.5 Checklist AA / Working notes – Training Appendix

				sufficient and adequate resources for the beginning of 2009, where IPA activities will start increasing considerably.			
12	AA	<p><u>TRAINING STRATEGY:</u></p> <p>No overall training strategy developed. Lack of training priorities, timetables and training providers.</p>	M	<p>An overall detailed training strategy should be established. This should be then translated in specific individual training maps. Monitoring of the whole process with necessary adaptations should be done at least annually.</p>	31/12/2008	5.5.2 F° 4	4.5 Checklist AA / Working notes – Training Appendix
13	AA	<p><u>AUDIT MANUAL:</u></p> <p>An IPA audit manual has not been prepared yet. It is currently foreseen (end of 2008) to be developed on the basis of the SAPARD audit manual, with the assistance of specific TA (under "Phare" 2006).</p>	M	<p>Increased risk that audit activity will be outsourced to external auditors. Completion of IPA audit manual before the start of the audit activity is recommended. Until the TA becomes available, it is suggested to update the existing SAPARD audit manual (legislative references, scope, objectives, methodology).</p>	31/12/2008	5.5.2 F° 5	4.5 Checklist AA / Working notes –
14	AA	<p><u>WORKLOAD ANALYSIS:</u></p> <p>No workload analysis performed – no</p>	L	<p>Carry out a workload analysis to confirm or adjust the IPA staff audit needs.</p>	30/09/2008	5.5.2 F° 6	4.5 Checklist AA / Working notes –

		linkage to recruitment needs					
15	NAO/OS	<p><u>RELIANCE ON THE WORK OF OTHERS:</u></p> <p>Based on discussions with Head of AA, there is no reliance on the work of the IAU within the OSs because either audit units have not yet been set up in some IPA actors (CFCA and MRDFW) or internal audit units lack sufficient resources, experience in auditing EU funds and adequate methodology.</p>	H	Strengthen internal audit units' capabilities.	31/12/2008	5.5.2 F° 7	4.5 Checklist AA / Working notes –
16	NAO	<p><u>Subsequent events</u></p> <p>After the preliminary conclusions on the Audit Authority, as presented during the wrap up meeting of 30 May 2008, the national authorities have decided to take actions already before receiving the present audit report.</p> <p>By letter dated 20 June 2008 (ref. 513-05-06/08-7) the NAO informed the Directorate General for Regional Policy that after further discussion with the State Audit Office on the possibilities of strengthening the capacity of the Audit Authority in a short time period, it was decided to establish the Audit Authority as an Agency.</p>	H	Provide a detailed action plan ensuring that the Agency will be fully staffed and operational by October 2008.	31/08/2008	5.5.3	Letter by NAO (Adonis 11022) dated 20 June 2008
17	CFCA	<p><u>INTERNAL AUDIT:</u></p> <p>IAU has not yet been set up. Based on a signed protocol, MoF temporarily ensures</p>	H	Set up the internal audit unit and building up internal audit capacities. This action which was recommended by KPMG during the national	31/12/2008	5.6.2 F° 1	4.6 Checklist AA / Staffing list of CFCA

		internal audit functions.		<p>accreditation process²⁹ is still outstanding at the time of the conferral of management mission.</p> <p>Sign the agreement between the Minister of the MoF and the Heads of the OSs in which CFCA is involved (III A, B and C) to formally acknowledge the right of the Heads of the OSs to receive internal audit reports. When internal audit unit will be set up within CFCA, replace this agreement with the one between the Director of CFCA and the Heads of the Operating Structures.</p>			
18	CFCA	<p><u>MONITORING ACTIVITIES:</u></p> <p>Verification check-lists of the monthly / quarterly reports received from the FB before submitting them to the next level (BROS) have not been prepared.</p> <p>Increased risk of not preventing potential problems of the smooth implementation</p>	M	<p>Elaborate check-lists to verify the monthly/quarterly reports received from FBs. Information is crucial for Sectoral Monitoring Committees' purposes.</p>	31/10/2008	5.6.2 F° 2	4.6 Checklist CFCA

²⁹ KPMG report of 27 March 2008, point 4.3.2.3 Rights of access of the Internal Audit to all records: "In accordance with the Framework Agreements, Implementing Agreement and Operational Agreement, the Head of the Operating Structure is granted sufficient right to access data and records of other bodies within the Operating Structure. Further, these agreements allow the Internal Audit team to provide their reports directly to the Head of the Operating Structure. However, as the Internal Audit has a formal obligation to report directly to its Minister and/or Director in other institutions only, we recommend that an **Agreement** should be signed between the **Head of the Operating Structure and the Ministers and/or Directors** to formally acknowledge the right of the Head of the Operating Structure to receive the Internal Audit reports. We understand that this recommendation is currently under consideration and should be signed shortly".

		of the projects (underperformance of the contractors or Supervising Engineers, conflicts between involved parties, technical or administrative problems, etc).					
19	CFCA	<p><u>PUBLIC PROCUREMENT:</u></p> <p>Based on interviews on public procurement processes (preparation of technical specifications/tender dossiers, appointment of members of evaluation committees, evaluation process, modifications of contract, grant schemes), it appears that the general level of knowledge is adequate.</p> <p>Special attention should be paid to the rules regarding the modifications of service / works contract and abnormally low tenders.</p>	M	Prepare guidance and develop training in the identified risky areas. Interpretation of unforeseen circumstances to justify the modification appears to be in some cases doubtful and not sufficiently understood.	31/12/2008	5.6.2 F° 3	4.6 Checklist CFCA
20	CFCA	<p><u>CHECK-LIST FOR VERIFICATION OF ADDENDA TO WORKS CONTRACTS:</u></p> <p>No check-list for verification of this very risky area of contract management process.</p>	M	Prepare the checklist including specific questions for the verification of the reasons to request the modification (existence of unforeseen circumstances)	31/10/2008	5.6.2 F° 4	4.6 Checklist CFCA
		B. OS TRANSPORT					
21	NAO/Head	<u>LEGAL FRAMEWORK - FUNCTIONS OF</u>	M	The same list of functions	30/09/2008	5.7.2	IA, OA and

	of OS	<p><u>THE BODIES WITHIN THE OS:</u></p> <p>Functions of the bodies involved in IPA management, described in the IA, OA and in the MoP are sometimes different, conflicting, contradictory or insufficiently described</p>		<p>for the different bodies involved in IPA implementation (BROP, BRPM, IB and IA) should appear in both agreements (IA and OA) or a cross reference should be made. Same applies for the relevant chapters of the MoPs.</p> <p>Ensure that functions are reviewed, fine-tuned and all conflicting, contradictory, overlapping or generic provisions eliminated or modified.</p>		F° 1	MoP for Components. IIIA,
22	MSTI	<p><u>INTERNAL AUDIT OF MSTI - ANNUAL PLAN AND TRAINING:</u></p> <p>According to MoP (Chapter M), internal audit for MSTI is performed by the IAS of the Ministry which reports directly to the Minister.</p> <p>Strategic and annual audit plans are defined in the internal audit working procedures.</p> <p>Our review revealed a very preliminary, incomplete and not officially approved annual audit plan for 2008 (only 1 IPA related audit) without linkage to the strategic three year long term plan. No clear indication of audit objectives, audit scope and audit methodology provided.</p>	H	<p>Revise and update annual audit plan, ensuring adequate coverage of IPA activities. Harmonise the annual audit plan with the strategic three year plan</p> <p>Ensure that the annual audit plan specifies audit objectives, audit scope, audit methodology and staff planning allocation information.</p> <p>IAU of MoF could review and assist in the preparation and initial implementation of the internal audit plans of the MSTI.</p>	31/12/2008	5.7.2 F° 2	4.7 Draft Annual Audit Plan 2007

		Training followed by internal auditors is considered inadequate and quite unstructured.		Organize training for EU funded projects to all internal auditors to understand the new IPA structures and procedures. Submit training plan for audit year 2009			
23	HŽI/MSTI	<p><u>INTERNAL AUDIT OF CROATIAN RAILWAYS (HŽI) – ANNUAL PLAN AND TRAINING:</u></p> <p>Internal audit for HŽI performed by its IAD which is an independent unit directly accountable to the Head of HŽI. It has recently been established and the annual internal audit plan for IPA programme is incomplete. No satisfactory understanding of the internal audit role in the SoA exercise. No clear indication of the audit objectives, audit scope and audit methodology. Training followed is considered inadequate and unstructured.</p>	H	<p>Revise and update annual audit plan, ensuring adequate coverage of IPA activities. Harmonise the annual audit plan with the strategic three year plan</p> <p>Ensure that the annual audit plan specifies audit objectives, audit scope, audit methodology and staff planning allocation information.</p> <p>IAU of MoF could review and assist in the preparation and initial implementation of the internal audit plans of the MSTI.</p> <p>Organize training for EU funded projects to all internal auditors to understand the new IPA structures and procedures.</p> <p>Submit training plan for audit year 2009</p>	31/12/2008	5.7.2 F° 3	4.8 HŽI Annual Internal Audit Plan

24	MSTI	<p><u>RISK ASSESSMENT / RISK MANAGEMENT:</u></p> <p>Risk management cycle has not yet been developed within the MSTI. Risk management coordinator appointed at MSTI only recently and risk assessment - risk management process has not yet been carried out. No clear action plan developed and no concrete steps taken to ensure mitigation of identified risks. No relevant documentation available concerning the identification of the risks identified (e.g. risk register) or minutes of the meetings of the risk management panel.</p>	M	<p>Apply risk assessment / risk management methodology as indicated in the MoPs by:</p> <ul style="list-style-type: none"> - Complying with the different steps described in the MoP; - Dealing with them; - Updating and following them up on a timely basis. 	30/10/2008	5.7.2 F° 4	4.7 Presentation slides of MSTI / Working notes
25	MSTI	<p><u>ON THE SPOT CHECKS:</u></p> <p>In the IA and MoPs, on the spot checks are foreseen for different bodies (BROP, BRPM, IB). Thus increased risk of uncoordinated on the spot checks with potentially contradictory results and delays in expenditure certification and implementation of measures. Unclear link between administrative checks and on the spot checks.</p>	M	<p>MSTI, as BROP, should ensure co-ordination between the different bodies of the Operating Structure performing on the spot checks.</p> <p>Necessity to establish a link between the results of the administrative checks and on the spot checks (e.g. higher intensity of the on the spot checks when administrative checks show recurrent errors).</p>	30/10/2008	5.7.2 F° 5	IA and MoPs regarding Comp III.A

		C. OS ENVIRONMENT					
26	NAO/Head of OS	<p><u>LEGAL FRAMEWORK - FUNCTIONS OF THE BODIES WITHIN THE OS:</u></p> <p>Functions of the bodies involved in IPA management, described in the IA, OA and in the MoP are sometimes different, conflicting, contradictory or insufficiently described.</p>	M	<p>The same list of functions for the different bodies involved in IPA implementation (BROP, BRPM, IB and IA) should appear in both agreements (IA and OA) or a cross reference should be made. Same applies for the relevant chapters of the MoPs. Ensure that functions are reviewed, fine-tuned and all conflicting, contradictory, overlapping or generic provisions eliminated or modified.</p>	30/09/2008	5.8.2 F° 1	IA, OA and MoP for Components. IIIB,
27	EPEEF/Croatian Waters	<p><u>PROJECT AGREEMENTS BETWEEN IMPLEMENTING BODIES AND FINAL RECIPIENTS:</u></p> <p>Two implementing bodies, EPEEF and Croatian Waters, are envisaged to sign project agreements with FRs, located outside of the OS for the delegation of IPA tasks. Agreements will not include any transfer of responsibilities foreseen for the bodies included in the Operating Structure (art. 28 of the implementing regulation). However, draft project agreements were not provided to the auditors.</p>	H	<p>Submit to EC services the standard project agreement to be signed with the final beneficiaries in order to allow the EC services to confirm the conclusions of the Conferral of Management for Component III B. Functions foreseen in article 28 of the implementing regulation must remain within the Operating Structure.</p>	30/09/2008	5.8.2 F° 2	4.9 Presentation slides EPEEF – Contracting Relations

28	MRDFWM	<p><u>INTERNAL AUDIT – SET UP:</u></p> <p>IAU at the MRDFWM (BRPM) has not yet been set up. MoF temporarily ensures internal audit functions. A protocol has been signed in this respect.</p>	H	Set up the IAU and start building up internal audit capacities as a matter of priority	31/12/2008	5.8.2 F° 3	4.10 Organisation chart of MRDFWM
29	MRDFWM	<p><u>RISK ASSESSMENT / RISK MANAGEMENT:</u></p> <p>Risk management cycle has not yet been developed in an adequate manner within the MRDFWM. Risk management coordinator appointed only recently and risk assessment - risk management process has been carried out theoretically. No clear action plan developed and no concrete steps taken to ensure mitigation of identified risks. No relevant documentation available concerning the identification of the risks identified (e.g. risk register) or minutes of the meetings of the risk management panel.</p>	M	<p>Apply risk assessment / risk management methodology as indicated in the MoPs by:</p> <ul style="list-style-type: none"> - Complying with the different steps described in the MoP; - Dealing with them; - Updating and following them up on a timely basis. 	30/10/2008	5.8.2 F° 4	4.10 Checklist of OS III B
30	MEPPPC	<p><u>ON THE SPOT CHECKS:</u></p> <p>In the IA and MoPs, on the spot checks are foreseen for different bodies (BROP, BRPM, and IB). Thus increased risk of uncoordinated on the spot checks with potentially contradictory results and delays in expenditure certification and implementation of measures. Unclear link between administrative checks and on the spot checks.</p>	M	<p>MEPPPC, as BROP, should ensure co-ordination between the different bodies of the Operating Structure performing on the spot checks.</p> <p>Necessity to establish a link between the results of the administrative checks and on</p>	30/10/2008	5.8.2 F° 5	IA, OA and MoP for Components IIIB,

				the spot checks (e.g. higher intensity of the on the spot checks when administrative checks show recurrent errors).			
31	MEPPPC	<u>IRREGULARITY OFFICER AT MEPPPC:</u> Current IO is established at a high management level, i.e. State Secretary's level.	L	It is recommended to have the position of IO at a more operational level.	31/10/2008	5.8.2 F° 6	4.11 Presentation slides MEPPPC/Working notes
32	MRDFWM	<u>IRREGULARITY OFFICER AT MRDFWM:</u> No training foreseen in the training register or the individual training map of IO in 2008. Training need identified.	M	Foresee specific training activity such as participation to seminars, conferences and workshops	31/10/2008	5.8.2 F° 7	4.10 Checklist of OS III B
		D. OS REGIONAL COMPETITIVENESS					
33	NAO/Head of OS	<u>LEGAL FRAMEWORK – FUNCTIONS OF THE BODIES WITHIN THE OS:</u> Functions of the bodies involved in IPA management, described in the IA, OA and in the MoP are sometimes different, conflicting, contradictory or insufficiently described.	M	The same list of functions for the different bodies involved in IPA implementation (BROP, BRPM, IB and IA) should appear in both agreements (IA and OA) or a cross reference should be made. Same applies for the relevant chapters of the MoPs. Ensure that functions are reviewed, fine-tuned and all conflicting, contradictory,	30/09/2008	5.9.2 F° 1	IA, OA and MoP for Components. IIC,

				overlapping or generic provisions eliminated or modified.			
34	MELE	<p><u>LEGAL FRAMEWORK – FUNCTIONS OF THE BODIES RESPONSIBLE FOR PRIORITY AXIS/MEASURE 2.1:</u></p> <p>Two Directorates namely Directorate for SMEs and Cooperatives and Directorate for Investment and Export Promotion are jointly responsible for the Priority axis/measures 2.1 "Enhancing the competitiveness of the Croatian economy/Development of business climate". The government decree which defining the functions of those two Directorates was not available at the time of the audit.</p>	M	Provide copy of the decree	30/09/2008	5.9.2 F° 2	4.11 Presentation slides MELE/Working notes
35	MRDFWM	<p><u>INTERNAL AUDIT – SET UP:</u></p> <p>IAU at the MRDFWM (BRPM) has not yet been set up. MoF temporarily ensures internal audit functions. A protocol has been signed in this respect.</p>	H	Set up the IAU and start building up internal audit capacities as a matter of priority	31/12/2008	5.9.2 F° 3	4.10 Checklist of OS III B / Organisation chart of MRDFWM (same as finding 28)
36	MELE/MSES	<p><u>INTERNAL AUDIT – LEGAL FRAMEWORK:</u></p> <p>Agreements between IAU of MELE (BRPM) and MSES (BRPM) with the Head of the Operating Structure, to formally acknowledge the right of the Head of the Operating Structure to</p>	M	Sign the agreements to formally acknowledge the right of the Head of the Operating Structure to receive the internal audit reports.	30/09/2008	5.9.2 F° 4	4.12 Checklist of OS III C / Working notes

		receive the internal audit reports have not yet been signed. Draft agreements have been prepared but no expected date for signature was indicated to the auditors.					
37	MSES	<u>INTERNAL AUDIT – AUDIT PLAN:</u> Audit plan 2008 of MSES includes two audit IPA assignments (component IIIC and component IV). However, no specific indication of audit objectives and audit scope presented.	M	Develop a precise audit plan for the audit assignments foreseen.	30/10/2008	5.9.2 F° 5	4.13 Annual Internal Audit Plan/ Working notes
38	MRDFWM	<u>RISK ASSESSMENT / RISK MANAGEMENT:</u> Risk management cycle has not yet been developed in an adequate manner within the MRDFWM. Risk management coordinator appointed only recently and risk assessment - risk management process has been carried out theoretically. No clear action plan developed and no concrete steps taken to ensure mitigation of identified risks. No relevant documentation available concerning the identification of the risks identified (e.g. risk register) or minutes of the meetings of the risk management panel.	M	Apply risk assessment / risk management methodology as indicated in the MoPs by: - Complying with the different steps described in the MoP; - Dealing with them; - Updating and following them up on a timely basis.	30/10/2008	5.9.2 F° 6	4.10 Checklist of OS III B
39	MELE	<u>VERIFICATION OF TENDER DOSSIERS / TENDER DOCUMENTS:</u> Bodies responsible for the priority axis/measure (BRPM) have undertaken to verify, on a sample basis, tender dossiers and tender documents. However, procurement capacity at BRPM level is	M	Ensure adequate procurement capacity for BRPM in order to fulfil their verification tasks. If not feasible consider to change the internal procedures to	31/12/2008	5.9.2 F° 7	4.12 Checklist of OS III C / Working notes

		generally insufficient (e.g MRDFW and MELE).		adequately allocate resources against objectives.			
40	MELE	<p><u>ON THE SPOT CHECKS:</u> In the IA and MoPs, on the spot checks are foreseen for different bodies (BROP, BRPM, and IB). Thus increased risk of uncoordinated on the spot checks with potentially contradictory results and delays in expenditure certification and implementation of measures. Unclear link between administrative checks and on the spot checks.</p>	M	<p>MELE, as BROP, should ensure co-ordination between the different bodies of the Operating Structure performing on the spot checks.</p> <p>Necessity to establish a link between the results of the administrative checks and on the spot checks (e.g. higher intensity of the on the spot checks when administrative checks show recurrent errors).</p>	30/10/2008	5.9.2 F° 8	4.12 IA and MoPs for Components. IIC

Annex VIb

The list of the ex-ante controls to be performed by the Commission

In relation to service, supply and works contracts

Procurement procedures

- (1) Approval of the use of competitive dialogue
- (2) Approval of the use of a negotiated procedure
- (3) Approval of the use of a restricted procedure for works contracts of EUR 5.000.000 or more

Publications

- (4) Publication of the individual contract forecast in the Official Journal, on the EuropeAid website and in any other appropriate media
- (5) Publication of procurement notices and tender dossier in the Official Journal, on the EuropeAid website and in any other appropriate media
- (6) Publication of the corrigendum notice in the Official Journal, on the EuropeAid website and in any other appropriate media
- (7) Publication of the references of the local open tender procedure on the EuropeAid website with the address from which firms can obtain further information
- (8) Publication of the additional information during the calls for tender procedure.
- (9) Publication of the contract award notice and the results of the tender procedure in the Official Journal, on the EuropeAid website and in any other appropriate media.
- (10) Publication of the cancellation notice.

The Evaluation Committee

- (11) Approval of the composition of the Evaluation Committee.
- (12) Nomination of an observer to follow all or part of the proceedings of the Evaluation Committee.
- (13) Approval of other observers in the Evaluation Committee

Establishment of shortlists in service contracts

- (14) Endorsement of the short list with less than minimum of four candidates meeting the selection criteria.
- (15) Endorsement of the shortlist report approved by the relevant services of the Contracting Authority

Tender dossier and evaluation

- (16) Endorsement of the tender dossier (Terms of Reference/Technical specifications) prior to issue
- (17) Prior approval of the derogations specifically provided for by PRAG. Authorisation for derogation from the basic rules (e.g. shorter deadline for submission of tenders such as 50 days for services, 60 days for supply, 90 days for works). Derogation from rule of origin, nationality in exceptional cases following approval of HQ.
- (18) In case of particularly complex supplies prior approval of the use of a combination of quality and price as the basis for awarding the contract to the most economically advantageous tender. Provision of technical support on a case-by-case basis.

- (19) Endorsement of the Evaluation Report together with its recommendations.
- (20) Prior approval before cancelling a tender procedure.

Provision and replacement of experts

- (21) Prior approval before cancelling the contract.
- (22) Prior approval before replacing experts.

Award of the contract

- (23) Formal endorsement of award prior to the submission of the notification letter to the successful tenderer.
- (24) Endorsement of the contract dossier.
- (25) Receipt of one signed original from the successful tendered/applicant.

Modifying contracts

- (26) Endorsement of an addendum to the contract.
- (27) Receipt of one signed original of the addendum from the contractor.

In relation to Grants

- (28) Prior approval of the derogations specifically provided for by PRAG.
- (29) Prior approval of the use of a framework partnership agreement.
- (30) Prior approval of the use of the direct award procedure.

Evaluation Committee

- (31) Approval of the composition of the Evaluation Committee.
- (32) Nomination of an observer to follow all or part of the proceedings of the Evaluation Committee.
- (33) Approval of other observers in the Evaluation Committee.
- (34) Approval of the list of assessors where the assessors are to be used for examination of proposals.
- (35) Endorsement of the proposal opening session and administrative check report.
- (36) Endorsement of the evaluation report of the concept note.
- (37) Endorsement of the evaluation report of the application form.
- (38) Endorsement of the Evaluation Report.

Grant procedure and grant award

- (39) Approval of the annual work programmes and the Guidelines for Applicants.
- (40) Publication of the annual work programmes, Guidelines for Applicants and grant award notices.
- (41) Prior approval for cancelling a call for proposals procedure
- (42) Endorsement of details of the proposed grants and where appropriate, the draft contracts
- (43) Endorsement of the grant award
- (44) Notification by the contracting Authority on the signature of the contract

(45) Endorsement of an addendum to a contract.

ANNEX VII
Requirements of the roadmap to waive *ex-ante* controls
(Article 31 of the Financing Agreement)

Decentralisation without *ex-ante* controls by the Commission is the objective for the implementation of the “Transportation” Operational Programme in Croatia.

In accordance with Article 8(4) c of Regulation (EC) No 718/2007, this Financing Agreement lays down the provisions relating the establishment and regular updating by Croatia of a Roadmap to achieve decentralisation without *ex-ante* controls by the Commission.

1. Objective

The objective of the Roadmap is to set the requirements and benchmarks to be met by Croatia in order to achieve decentralised management without *ex-ante* controls by the Commission.

2. Deadline for submission of the Roadmap and frequency of reporting

The Roadmap will be submitted by the NAO to the Directorate General for Regional Policy at the latest three months after the signature of the Financing Agreement.

Croatia shall report to the Commission on a quarterly basis on the current state of affairs with respect to its achievements in meeting the requirements and benchmarks set.

3. Scope and structure

The Roadmap will describe the existing system for managing funds under the “Transportation” Operational Programme. It will identify the steps and improvements necessary to achieve a management and control system with internal rules of procedure as well as clear institutional and personal responsibilities which will function efficiently without *ex-ante* controls by the Commission. The Roadmap will set quantitative and qualitative benchmarks on (non exhaustive list):

- the establishment and management of the institutional set up,
- the staffing,
- the functioning of the decentralised implementation system with *ex-ante* controls,
- the implementation of operations/projects under the “Transportation” Operational Programme.

The Roadmap will additionally include a set of benchmarks relating to the tendering and contracting process. In particular these benchmarks will refer to the increased quality of tender and contract documents submitted to the EC Delegation for *ex-ante* approval and to the timely procurement (procurement plan with binding deadlines).

In the Roadmap Croatia will set the deadline for sending to the Commission the application for the waiving of *ex-ante* controls.

The Roadmap may refer to a phased waiver of different types of *ex-ante* controls.

4. Status of the document and procedure

The Roadmap will be established by Croatia in close consultation with the Commission. The Roadmap will not be adopted/ approved by the Commission, i.e. it will remain a Croatian document. It will be however the basis for the monitoring and assessment of the functioning of the management and control system.

5. Next steps

Before dispensing with *ex-ante* controls laid down in the Commission Decision on conferral of management powers relating to the “Transportation” Operational Programme, the Commission will

satisfy itself as to the effective functioning of the management and control system concerned, in accordance with the relevant European Union and national rules.

The dispensing of ex-ante controls by the Commission will be subject of another Decision once the Commission is satisfied that the requirements set out in Article 18 of Regulation (EC) No 718/2007 are met.

**ANNEX VIII
TEMPLATE**

MAJOR PROJECT

REQUEST FOR CONFIRMATION OF ASSISTANCE

**UNDER ARTICLE 10 OF REGULATION (EC) NO. 1085/2006 AND ARTICLES 157 OF
COMMISSION IMPLEMENTING REGULATION (EC) NO. 718//2007**

**INSTRUMENT FOR PRE-ACCESSION ASSISTANCE
INFRASTRUCTURE INVESTMENT**

TRANSPORT

[Project title]

CCI No [.....]

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- G. JUSTIFICATION FOR THE PUBLIC CONTRIBUTION
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- J. ENDORSEMENT OF COMPETENT NATIONAL AUTHORITY

ANNEX I: DECLARATION BY AUTHORITY RESPONSIBLE FOR MONITORING
NATURA 2000 SITES

ANNEX II: FEASIBILITY STUDY (SUMMARY & FULL VERSION)

ANNEX III: COST –BENEFIT ANALYSIS

ANNEX IV: EIA NON TECHNICAL SUMMARY

ANNEX V: COPIES OF RELEVANT DECISIONS PERMITS & OTHER DOCUMENTS WITH
ENGLISH TRANSLATION

ANNEX VI: MAPS

A. ADDRESSES and REFERENCES

A.1 Authority responsible for the application (operating structure)

- A.1.1 Name: TEXT
- A.1.2 Address: TEXT
- A.1.3 Contact: TEXT
- A.1.4 Telephone: TEXT
- A.1.5 Telex/Fax: TEXT
- A.1.6 E-mail: TEXT

A.2 Final Beneficiary

- A.2.1 Name: TEXT
- A.2.2 Address: TEXT
- A.2.3 Contact: TEXT
- A.2.4 Telephone: TEXT
- A.2.5 Telex/Fax: TEXT
- A.2.6 E-mail TEXT

A.3 Body responsible for tendering and contracting (contracting authority), if different from the body in A.2.

- A.3.1 Name: TEXT
- A.3.2 Address: TEXT
- A.3.3 Contact: TEXT
- A.3.4 Telephone: TEXT
- A.3.5 Telex/Fax: TEXT
- A.3.6 E-mail: TEXT

A.4 End recipient of the project (project owner after implementation)

- A.4.1 Name: TEXT
- A.4.2 Address: TEXT
- A.4.3 Contact: TEXT
- A.4.4 Telephone: TEXT
- A.4.5 Telex/Fax: TEXT
- A.4.6 E-mail: TEXT

B. PROJECT DETAILS

B.1.1 Title of project / project phase:

TEXT BOX

B.2 Categorisation of project activity (to be filled by the Commission)

B.2.1 Code for the priority theme dimension

Code	Percentage
Code	Percentage

B.2.2 Code for the form of finance dimension

Code

B.2.3. Code for the location dimension NUTS II,
if available

B.3 Compatibility and coherence with the Operational Programme

B.3.1 Title of the related Operational Programme:

TEXT BOX

B.3.2 Common Code for Identification (CCI) No of Operational Programme

TEXT BOX

B.3.3 Commission decision (no and date) & the date of signing of the financing agreement for this OP:

TEXT BOX

B.3.4 Title of the priority axis and measure

TEXT BOX

B.4 Project objectives and location

B.4.1 Current infrastructure endowment and impact of the project

Indicate the extent to which the region(s) is/are at present endowed with the type of infrastructure covered by this application; compare it with the level of infrastructure endowment aimed for by target year 20.....(i.e., according to the relevant strategy or national/regional plans, where applicable). Indicate the foreseeable contribution of the project to the strategy/plan objectives and the impact on the sector concerned. Specify potential bottlenecks or other problems to be resolved.

TEXT BOX

B.4.2 Socio-economic objectives

Indicate the project's socio-economic objectives and targets.

TEXT BOX

B.4.3 Contribution to the achievement of the Operational Programme

Describe how the project contributes to the achievement of the priorities of the Operational Programme (provided quantified indicators where possible) linked with the appropriate measure.

TEXT BOX

B.4.4. Project objectives

Fully describe objectives and targets (e.g. specific bottlenecks to be tackled, planned increase in capacity, reduction in transport time, or service levels, national and international traffic growth, etc.)

Quantify as far as possible.

TEXT BOX

B.4.5. *How does the project contribute to the objectives of the Accession Partnership and the National Programme for the Adoption of the Acquis?*

TEXT BOX

B.4.6. *Project's role in the country's national transport policy*

Refer to National Transport Plan or Strategy and state what priority is given to the measure within the plan/strategy.

TEXT BOX

B.4.7. *Is the project located on a Pan-European transport corridor or other part of the network identified in the TINA/ SEETO process?*

Yes No

If yes, specify which corridor/network and illustrate with maps:

If no, describe the project's contribution to the corridor.

B.4.8. *Has the project any immediate trans-border impact?*

Yes No

If yes, refer to any specific agreement with a neighbouring country.

TEXT BOX

B.4.9. *If not included in the TINA/SEETO network, explain why the project can be considered to be of interest in terms of the TINA network?*

TEXT BOX

B.4.10. *Are there any other projects of common interest located on the same transport corridor which are to be realised in the relevant period?*

Yes No

If yes, give brief details and indicate relative priorities between projects (if necessary, in separate note).

B.5 Detailed project description

B.5.1 Project description:

a) Provide a description of the project.

TEXT BOX

b) Where the project is a stage of an overall project, provide a description of all proposed stages of implementation (explaining whether they are technically and financially independent).

TEXT BOX

c) What criteria have been used to determine the division of the project into stages?

TEXT BOX

B.5.2 Technical description of the investment in infrastructure

a) Describe the proposed infrastructure and the work for which assistance is being proposed specifying its main characteristics and component elements.

TEXT BOX

- b) In respect of the work involved, identify and quantify the key output indicators to be used:

TEXT BOX

- c) Identify the monitoring body. Specify arrangements for project managing.

TEXT BOX

- d) End users of the infrastructure (i.e. target population served, quantified where possible):

TEXT BOX

- e) Is the construction of the infrastructure to be delivered through a public contract or any other form of public procurement (i.e. concession, other type of public-private partnership (PPP))?

Yes No

If yes, describe the form of the contract (i.e. legal framework enforced selection process of the operator and when applicable, structures of the PPP, infrastructure ownership arrangements, risk allocation arrangements, etc.):

TEXT BOX

- f) If the infrastructure is to be managed in a different way after the project is completed, give details of how (i.e., public management, new concession, or other form of arrangement)

TEXT BOX

- g) Does the project part of a cross-border measure involving two or more countries?

Yes No

If so, specify which measure:

TEXT BOX

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

Yes No

TEXT BOX

C. RESULTS OF FEASIBILITY STUDIES

C.1 Demand analysis

Provide a summary of the demand analysis, including the predicted utilisation rate on completion and the demand growth rate.

TEXT BOX

C.2 Options considered

Outline the alternative options considered in the feasibility studies.

TEXT BOX

C.3 Provide a summary of the main conclusions of the feasibility studies conducted

TEXT BOX

Give precise references if IPA assistance is/was involved in the financing of the feasibility studies.

TEXT BOX

D. TIMETABLE

D.1 Project timetable

Give below the timetable for the development of the overall project.

Foresee a separate entry in the table for each contract or phase, where relevant. 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)	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	
7. Land acquisition:	dd/mm/yyyy	dd/mm/yyyy
8. Construction phase / contract:	dd/mm/yyyy	dd/mm/yyyy
9. Operational phase:	dd/mm/yyyy	

Please attach a summary schedule of the main categories of works (e.g. Gantt chart).

D.2 Project maturity

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

D.2.1 Technical Feasibility studies

TEXT BOX

D.2.2. Provide a comprehensive list of legal and administrative documents (decisions, authorisations, EIA, land acquisition, invitations to tender permits etc) that would be required for project implementation. Indicate which documents have already been obtained and provide indicated dates for obtaining the remaining documents.

TEXT BOX

D.2.3. Financial (commitment decisions in respect of national public expenditure, loans requested or granted, etc. - give references):

TEXT BOX

D.2.4. If the project has already started, indicate the current state of works:

TEXT BOX

E. COST-BENEFIT ANALYSIS

Cost Benefit Analysis is required in Art; 157 §3 and 157 §4 of the IPA implementing regulation. 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 II. Guidance on the Methodology for Carrying out Cost-Benefit Analysis could be found at the following website

http://ec.europa.eu/regional_policy/sources/docoffic/2007/working/wd4_cost_en.pdf.

E.1 Financial analysis

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

E.1.1 Short description of methodology and specific assumptions made

TEXT BOX

E.1.2 Main elements and parameters used for financial analysis

	Main elements and parameters	Value Not discounted	Value Discounted (Net Present Value)
1	Reference period (years)		
2	Financial discount rate (%) ³⁰ (Specify real or nominal)		
3	Total investment cost (in euro, not discounted)		
4	Total investment cost (in euro, discounted)		
5	Residual value (in euro, not discounted)		
6	Residual value (in euro, discounted)		
7	Revenues (in euro, discounted)		
8	Operating costs (in euro, discounted)		
9	Net revenue = revenues – operating costs + residual value (in euro, discounted) = (7) – (8) + (6)		
10	Funding gap rate (%) = $\{(4)-(9)\}/(4)$		

[The costs and revenues should be based on figures excluding VAT]

E.1.3 Main results of the financial analysis

	Without IPA assistance (FRR/C) A	With IPA assistance (FRR/K) B

³⁰ 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.

1. Financial rate of return		FRR/C		FRR/K
2. Net present value (euro)		FNPV/C		FNPV/K

E.1.4 Revenues generated over its lifetime

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 on the basis of which the charges have been established).

a) Do the charges cover the operational costs and depreciation of the project?

TEXT BOX

b) Do the charges differ between the various users of the infrastructure?

TEXT BOX

c) Are the charges proportional

i. To the use of the project/real consumption?

TEXT BOX

ii. To the pollution generated by users?

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 Provide a short description of methodology (key assumptions made in valuing costs and benefits) and the main findings of the socio-economic analysis:

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

Main parameters and indicators	Values
1. Social discount rate (%)	
2. Economic rate of return (%)	
3. Economic net present value (in euro)	
4. Benefit-cost ratio	

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) (B)
1. During implementation phase		
2. During operational phase		

[NB: indirect jobs created or lost are not sought for public infrastructure investments].

E.2.5 List the benefits and costs which cannot be quantified or assessed:

TEXT BOX

E.3 Risk and sensitivity analysis

E.3.1 Short description of methodology and summary results

TEXT BOX

E.3.2 Sensitivity analysis

- a) State the percentage change applied to the variables tested:
- b) Present the estimated effect on results of financial and economic performance indexes.

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

	variation	variation	variation	variation

Which variables were identified as critical variables? State which criterion is applied.

TEXT BOX

Which are the switching values of the critical variables?

TEXT BOX

E.3.3 Risk analysis

Describe the probability distribution estimate of the project's financial and economic performance indexes. Provide relevant statistical information (expected values, standard deviation)

TEXT BOX

F. ANALYSIS OF THE ENVIRONMENTAL IMPACT

F.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

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 CONSENT³¹

F.3.1.1 Has development consent already been given to this project?

Yes No

F.3.1.2 If yes, on which date?

DD/MM/YYYY

F.3.1.3 If no, when was the formal request for the development consent introduced?

DD/MM/YYYY

F.3.1.4 By which date is the final decision expected?

DD/MM/YYYY

F.3.1.5 Specify the competent authority or authorities, which has given or will give the development consent

TEXT BOX

F.3.2 APPLICATION OF COUNCIL DIRECTIVE 85/337/EEC ON ENVIRONMENTAL IMPACT ASSESSMENT (EIA)³²

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

- Annex I of the Directive (go to question F3.2.2)

³¹'development consent' means the decision of the competent (national) authority or authorities which entitles the developer to proceed with the project.

³² on the assessment of the effects of certain public and private projects on the environment (the "EIA Directive"), OJ L 175, 5.7.1985, as last amended by Directive 2003/35/EC, OJ L 156, 25.6.2003.

- Annex II of the Directive (go to question F.3.2.3)
- Neither of the two annexes (go to question F.4)

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

- a) Non-technical summary³³ of the Environmental Impact Study carried out for the project.
- b) Information on consultations with competent environmental authorities, indicating in what way the concerns of the designed consultees have been taken into account.
- c) Results of the consultations with the public concerned³⁴
- d) Trans boundary consultation with those states affected by the project need to be provided, demonstrating that the procedure of art.7 of the EIA directive has been applied. Indication in what way the concerns of the designed consultees and concerned public have been taken into account should be provided.
- e) Evidence that the decision to grant or refuse development consent has been available to the public by the competent authority³⁵.

In relation to point b), c) and d), project proponents should be informed that these may be represented in the form of a statement, conclusion or certification by the competent environmental authorities testifying that all obligation as described in the items above have been followed and describing how.

³³ - a description of the project comprising information on the site, design and size of the project,
 - a description of the measures envisaged in order to avoid, reduce and, if possible, remedy significant adverse effects
 - the data required to identify and assess the main direct and indirect effects which the project is likely to have on the environment on the following factors:
 - human beings, fauna and flora (including those environmentally sensitive areas which might fall in future under the protection of the Birds (79/409/EEC) and Habitats (92/43/EEC) Directives;
 - soil, water, air, climate and landscape;
 - material assets and the cultural heritage;
 - interaction between the factors mentioned in the first, second and third indents.
 - any further information which might arise from any of the obligations deriving from Annex IV of the EIA Directive.

³⁴ The information provided should cover the following:
 - the concerned public which has been consulted,
 - the places where the information has been consulted,
 - the time which has been given to the public in order to express its opinion,
 - the way in which the public has been informed (for example, by bill-posting within a certain radius, publication in local newspapers, organisations of exhibitions with plans, drawings, tables, graphs, models, etc.),
 - the manner in which the public has been consulted (for example, by written submissions, by public enquiry, etc.)
 - the way in which the concerns of the public have been taken into account.

³⁵Including:
 - the content of the decision and conditions attached thereto,
 - the main reasons and considerations on which the decision has been based,
 - a description, where necessary, of the main measures to avoid, reduce and, if possible, offset the major adverse effects.

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

- Yes
(in which case, include the necessary documents listed under point F.3. 2.2)
- No
(in which case, 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):

TEXT BOX

F.4 ASSESSMENT OF EFFECTS ON SITES OF NATURE CONSERVATION IMPORTANCE

F.4.1 Is the project likely to have significant negative effects on sites included or intended to be included in sites of nature conservation importance?

Definition of sites of nature conservation importance

- a) Sites identified by the competent national authorities as sites to be proposed for the Natura 2000 network as laid down in the Birds Directive (79/409/EEC) and Habitats Directive (92/43/EEC);
- b) Sites listed in the latest inventory of Important Bird Areas (IBA 2000) for candidate countries or (if available) equivalent more detailed scientific inventories endorsed by national authorities;
- c) Wetlands of international importance designated under the Ramsar Convention or qualifying for such protection;
- d) Areas to which the Bern convention on the conservation of European Wildlife and Natural Habitats (Art.4) applies, in particular sites meeting the criteria of the Emerald network;
- e) Areas protected under national nature conservation legislation.

F.4.2

- 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/EEC³⁶

TEXT BOX

- (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 sites of "Nature Conservation Importance, as notified to the Commission (Directorate General Environment) under Directive 92/43/EEC³⁷ .
- No, in which case attach a completed Annex I declaration filled in by the relevant authority.

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)?

³⁶ OJ L 206 of 22.07.92.

³⁷ 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.

Yes

No

If yes, specify

TEXT BOX

F.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

%

Explain briefly:

TEXT BOX

G. JUSTIFICATION FOR THE PUBLIC CONTRIBUTION

The socio economic analysis set out above provides information on the internal rate of return of the project. The financial analysis demonstrates the financing gap and the impact of the IPA assistance on the financial viability of the project. Please complete this information with the elements set out below.

G.1 Competition

Does this project involve State Aid? Answer if possible,

Yes No

G.2 Impact of IPA assistance on project implementation

For each affirmative answer, give details:

Will IPA assistance:

a) Accelerate implementation of the project?

Yes No

b) Be essential to implementation of the project?

Yes No

TEXT BOX

H. FINANCING PLAN

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

H.1 Cost breakdown

Euro	TOTAL PROJECT COSTS (A)	INELIGIBLE COSTS (B)	ELIGIBLE COSTS (C)=(A)-(B)
1. Planning/design fees			
2. Land purchase			
3. Building and construction			
4. Plant and machinery			
5. Technical assistance			
6. Publicity			
7. Supervision during construction implementation			
8. Sub-TOTAL			
9. Contingencies³⁸			
10. TOTAL			
11.(VAT)			

H.2 Total planned resources and planned contribution from IPA

The funding gap rate was already presented under Section E.1.2. This should be applied to the eligible cost to calculate the “amount to which the co-financing rate for the priority axis applies”. This amount is then multiplied by the co-financing rate of the priority axis to determine the IPA contribution.

H.2.1 IPA contribution calculation

		Value
1.	Eligible cost (in euro, not discounted) (Section H.1.10(C))	
2.	Funding gap rate (%) = (E.1.2.10)	

³⁸ 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 assistance – Section H2.

3.	"Eligible expenditure to which the co-financing rate for the priority axis applies" (Article 157§3 IPA Implementing Regulation)= (1)*(2)	
4.	Co-financing rate of the priority axis (%)	
5.	IPA contribution (in euro) = (3)*(4)	

[The costs and revenues should be based on figures excluding VAT]

H.2.2 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:

Sources of co-financing (€)					Of which (for Information)
	Eligible expenditure= H.2.1.3				
Total investment cost [H.1.10.(A)]	IPA assistance [H.2.1.5]	National public (or equivalent)	National private	Other sources (specify)	EIB / other European Union and other external funding
a)= b)+c)+d)+e)	b)	c)	d)	e)	f)

The details of the decision(s) on national public financing, loans, etc., should be provided in Section D.2.3 above.

Loan financing, where it is used, is attributed to the body liable to repay the loan, national public or national private. Only in the case of EIB/EIF loans is it requested to identify the sum of loan financing for information purposes.

H.3 Annual financing plan of IPA contribution

The IPA contribution (H.2.1.5) shall be presented below in terms of the share of annual programme commitment.

(in Euro)	2007	2008	2009	2010	2011	2012	2013

I. COMPATIBILITY WITH EUROPEAN UNION POLICIES AND LAW

Article 1 of Regulation (EC) No 1085/2006 states that "The Community shall assist the countries listed in Annexes I and II in their progressive alignment with the standards and policies of the European Union, including where appropriate the *acquis communautaire*, with a view to membership." In addition to the elements already set out above please provide the following information:

I.1 Other European Union financing sources

Has an application been made for assistance from any other European Union source (including ISPA, IPA, PHARE, CARDS, Turkey Financing Mechanism...)

a) For this project?

Yes No

If yes, please give details (financial instrument concerned, reference numbers, dates, amounts requested, amounts granted, etc.):

TEXT BOX

b) For an earlier phase of this project (including feasibility and preparatory phases)?

Yes No

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

TEXT BOX

c) For a complementary project?

Yes No

If yes, give details (provide precise details, reference N°s, dates, amounts requested, amounts granted, etc.):

TEXT BOX

I.2 IFI financing

Has an application been made for financial support from EIB / other IFI's...

a) For this project?

Yes No

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

TEXT BOX

b) For an earlier phase of this project (including feasibility and preparatory phases)?

Yes No

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

TEXT BOX

c) For a complementary project?

Yes No

If yes, give details (provide precise details, reference N°s, dates, amounts requested, amounts granted, etc.):

TEXT BOX

I.3. Is the project subject to a legal procedure for compliance with European Union legislation?

Yes No

If yes, please give details:

TEXT BOX

I.4. Publicity measures

Give details of the proposed measures to publicise IPA assistance (i.e., type of measure, brief description, estimated costs, duration, etc.):

TEXT BOX

I.5 Public procurement

In cases where contracts have been already advertised in the Official Journal of the European Union, give reference.

Provide indicative procurement plan (services, supplies, works - design & build or measured works) with values of contracts envisaged and start and completion dates.

Contract N°.	Contract type	Estimated commencement date	Estimated completion date	Estimated value
...		

J. ENDORSEMENT OF COMPETENT NATIONAL AUTHORITY

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

NAME:

SIGNATURE:

ORGANISATION:

(OPERATING STRUCTURE)

DATE:

ANNEX I

**DECLARATION BY AUTHORITY RESPONSIBLE FOR MONITORING
SITES OF NATURE CONSERVATION IMPORTANCE**

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 site of nature conservation importance 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 sites of nature conservation importance concerned, if any.

Date (dd/mm/yyyy): _____

Signed: _____

Name: _____

Position: _____

Organisation: _____

(Authority responsible for monitoring sites of sites of Nature Conservation Importance)

Official Seal:

ANNEX IX
TEMPLATE
BILATERAL PROJECT AGREEMENT
BETWEEN
THE GOVERNMENT OF THE REPUBLIC OF {COUNTRY}
AND
THE EUROPEAN COMMISSION
CONCERNING THE CO-FINANCING
OF THE MAJOR PROJECT
(.....)
CCI No:
UNDER
THE INSTRUMENT FOR PRE-ACCESSION ASSISTANCE (IPA)
IPA Component III – Regional Development
Operational Programme
"{Programme Name}"
CCI No: {Number}
Title and Priority Axis No:
Title and Measure No:

The Government of The Republic of {Country}
and
The European Commission

Hereafter jointly referred to as "the Parties" or individually as "the Beneficiary", in the case of the Government of the Republic of {Country}, or "the Commission", in the case of the European Commission

Whereas

- 1) On 17 July 2006, the Council of the European Union adopted Regulation (EC) No 1085/2006 establishing an Instrument for Pre-Accession Assistance³⁹
- 2) On 12 June 2007, the Commission adopted Regulation (EC) No 718/2007⁴⁰ implementing Council Regulation (EC) No 1085/2006 establishing an instrument for pre-accession assistance (IPA)⁴¹, detailing applicable management and control provisions.
- 3) On {DATE}, the Commission adopted Decision C(20XX)XXXX approving the multi-annual operational programme "**{Programme Name}**" for Community assistance from the Instrument for Pre-Accession Assistance for the Regional Development component in {Country}. On {DATE} the Commission adopted Decision C(20XX)XXXX modifying the programme.
- 4) On {DATE}, the Beneficiary and the Commission concluded a Framework Agreement setting out the rules for co-operation concerning the EU financial assistance from the Instrument for Pre-Accession Assistance (IPA).
- 5) On {DATE} the Beneficiary and the Commission concluded a Financing Agreement laying down specific provisions for the implementation of the multi-annual programme "**{Programme Name}**". This Financing Agreement entered into force on {DATE}. On {DATE} the Beneficiary and the Commission concluded a modified Financing Agreement which entered into force on {DATE}.
- 6) In accordance with Article 54 of the Financing Agreement, the Operating Structure submitted to the Commission a major project {NAME} in which it envisages a contribution from the Instrument for Pre-Accession Assistance under priority axis {NAME} of the multi-annual operational programme "**{Programme Name}**" [(where applicable) [At the request of the Commission, the Operating Structure submitted additional information on {DATE}]].
- 7) On {DATE}, the Commission adopted decision C {NUMBER} approving a IPA contribution to the major project {NAME}.
- 8) In accordance with Article 54 of the Financing Agreement, the decision of the Commission approving the project should be followed by a Bilateral Project Agreement with the Beneficiary.

HAVE AGREED AS FOLLOWS:

³⁹ OJ L210, 31.7.2006, p.82.

⁴⁰ OJ L 170, 29.6.2007, p.1

⁴¹ OJ L 170, 29.6.2007, p.1.

Article 1
Subject matter

1. This Bilateral Project Agreement is concluded between the Government of the Republic of *{Country}* and the European Commission. It concerns the project *{NAME}* adopted by Commission Decision C *{NUMBER}* as described in Annex. All documents and correspondence pertaining to this project shall bear the reference CCI *{NUMBER}*.

Article 2
Project funding

1. The eligible expenditure, calculated in accordance with Article 150 of Regulation (EC) No 718/2007, is set at EUR (...).
2. The co-financing rate for the priority axis *{NAME}* of the *{Programme Name}* Operational Programme applies to the project. The maximum IPA contribution to the project is set at EUR (...).
3. The IPA contribution to the co-financing of the project is subject to the fulfilment of the provisions of this Bilateral Project Agreement and the obligations and conditions set out in the Framework Agreement, Financing Agreement as well as the regulatory and conventional framework applicable to pre-accession assistance.

Article 3
Eligibility period

1. The eligibility period is as laid down in Articles 11(3), 34, 43 of the Financing Agreement.

Article 4
Eligible expenditure

1. Expenditure incurred in the implementation of the project shall be eligible for IPA co-financing if:
 - a) it has been actually incurred within the eligibility period referred to in Article 3 and is supported by receipted invoices or accounting documents of equivalent probative value;
 - b) contracts giving rise to such expenditure are consistent with the project, as adopted by Commission Decision C *{NUMBER}* of (date);
 - c) it has been incurred in accordance with the principles of sound financial management and, in particular, of economy and cost-effectiveness and
 - d) it conforms to the eligibility rules laid down in Chapter VI of the Financing Agreement.

Article 5
Agreement

1. An agreement as laid down in Article 51(3) of the Financing Agreement must be signed prior to the commencement of any contract within the project. The agreement shall also define the modalities of handing over the project to the end recipient of assistance after its completion.
2. A signed copy of the agreement shall be sent to the Commission services.
3. Notwithstanding paragraphs 1 and 2, the requirements of Article 27 of the Financing Agreement remain applicable.

Article 6
Procurement rules and procedures

1. The procurement rules and procedures to be followed are stipulated in Articles 44, 46 and 48 of the Financing Agreement. Where applicable, the rules laid down in Article 20 of the Financing Agreement governing procurement by International Financing Institutions (IFIs) shall also apply.

2. In duly substantiated exceptional cases, derogation from the rules of participation and origin might be authorised in line with the provision of Article 19(6) of Regulation (EC) No 1085/2006 {to specify}.

Article 7 Monitoring

1. Monitoring refers to the use of a system of information in order to trace the progress made in implementing the project. Monitoring shall use financial and physical indicators which enable actual progress towards completion of the project to be compared with the Indicative Work Schedule/Expenditure Plan presented in Annex.
2. The implementation of the project shall be monitored in line with the stipulations of Chapter XIII (Monitoring and Evaluation) of the Financing Agreement. This, amongst others, will require:
 - a. the Operating Structure, and where appropriate the relevant Contracting Authority, managing the project monitoring activities;
 - b. the Sectoral Monitoring Committee reviewing the progress of implementation;
 - c. the preparation of the monitoring sheets provided by the Commission: these monitoring sheets form the principal part of the sectoral annual report on implementation in accordance with Articles 84 and 85 of the Financing Agreement;
 - d. special or ad-hoc monitoring reports, if deemed necessary by the Operating Structure or the Commission services;
 - e. physical on the spot checks.

Article 8 Evaluation

1. An assessment of the project may be carried out during its implementation at the request of the Beneficiary, or on the initiative of the Commission, in order to assess whether the project is proceeding towards completion in accordance with the objectives originally laid down in Annex to this Agreement and to propose adjustments to take account of problems encountered during implementation.
2. An ex-post assessment of the impact of the project may be carried out by an assessor appointed either by the Beneficiary or the Commission once the project has been completed.

Article 9 Project modification

1. Any modification to the approved project shall require the approval of the Commission by way of a modifying decision or by exchange of letters between the Beneficiary and the Commission services.
2. Expenditure relating to a physical object introduced in the project by way of a modification is eligible from the date of approval of the modification by the Commission.
3. Any modification to the project described in the Annex which affects the content of the operational programme *{Programme Name}*, will necessitate not only a Commission modifying decision concerning the project, but also a decision concerning modification of the operational programme. Therefore, such project modification requests are receivable only if submitted in parallel with the necessary request for a modification of the operational programme.
4. Any major modification to the project, as described in the Annex requires the approval by the Commission by way of a modifying decision. Such modifications must be supported by a duly motivated request to be submitted before the end of eligibility period referred to in Article 3.

A modification is considered **major** when it involves:

- a) a change in any of the elements described in points 5 (Project Description) and 6 (Objectives) of the Annex; or
 - b) any change in the amount of IPA contribution allocated to the project; or
 - c) a change in the eligible expenditure of the project; or
 - d) a substantial change in the physical characteristics or the functional purposes of the project, which alter its objectives, including the addition of a physical component not covered by the original decision; or
 - e) a change in the conditions of ownership or operation of the project.
5. Any minor modification to the project can be approved by way of an exchange of letters between the Beneficiary and the Commission services, on the basis of a duly motivated proposal to be submitted before the end of eligibility period referred to in Article 3.

Except in cases referred to in paragraph 4, an amendment is considered **minor**, and notably when it concerns:

- a) an extension to the period of implementation initially envisaged in the project application; or
 - b) amendments to the Indicative Work Schedule/Expenditure Plan that do not fall under paragraph 4 point c) above; or
 - c) a change to the physical characteristics or functional purposes of the project that does not affect its overall objectives.
6. The Sectoral Monitoring Committee shall be informed about major and minor project modification proposals.
7. As a general rule, the number of major project modifications requiring a Commission modifying decision should be kept to minimum.
8. Each request for a modification, be it major or minor, will be examined by the Commission on a case-by-case basis.
9. The Commission reserves the right to refuse project modification requests which would result in modifications of the operational programme it deems unacceptable.

Article 10 **Special Conditions**

{List any conditions which have to be fulfilled including related to payments and may be necessary for co-financing the project e.g. financial or legal arrangements, submitting of permits, evidence of the completion of land purchase, preliminary agreements, any requirements for later stages of the project (i.e. timetable for closing remaining landfills, disconnecting cess pits etc.).}

Article 11
Language

This Bilateral Project Agreement is drawn up in duplicate in the English language.

Signed, for and on behalf of the Government of the Republic of *{Country}*,
at
by

Signed, for and on behalf of the European Commission,
at
by

ANNEX

PHYSICAL OBJECT OF THE MAJOR PROJECT

Operational Programme

"{Programme Name}"

CCI No:

Project name

.....

CCI No:

Title and Priority Axis No:

Title and Measure No:

1. AUTHORITY RESPONSIBLE FOR THE APPLICATION (OPERATING STRUCTURE)

Name:
Address:
Contact
Telephone
Fax
E-mail

2. FINAL BENEFICIARY (ARTICLE 15 OF THE FINANCING AGREEMENT)

Name:
Address:
Contact
Telephone
Fax
E-mail

3. END RECIPIENT OF ASSISTANCE

Name:
Address:
Contact
Telephone
Fax
E-mail

4. PROJECT LOCATION

- 4.1. Beneficiary country:.....
4.2. County/province:.....

5. PROJECT DESCRIPTION

5.1. General description of the physical object of the project

- (a) *(Provide a description of the project and the type of problems it addresses?)*
(Main goals, end users (i.e. target population served, quantified where possible) of the infrastructure. Where applicable, indicate the Trans-European Network agreed at EU level the project is linked to)
- (b) *(Where the project is a phase of an overall project, provide a description of the proposed stages of implementation (explaining whether they are technically and financially independent))*

5.2. Technical description of the infrastructure investment

- (a) *(Describe the proposed infrastructure and the work for which assistance is being proposed specifying its main characteristics and component elements - it is important to be comprehensive with this description to reduce doubt later regarding the eligibility of actions or equipment.)*
- (b) *(In respect of the work involved, identify and quantify the key output indicators to be used)*

- (c) (Give details of how the infrastructure is to be managed after the project is completed, (i.e., public management, concession, other form of Public Private Partnership))

6. OBJECTIVES

Outline the objectives of the project

7. INDICATIVE PHYSICAL AND/OR PERFORMANCE INDICATORS

Provide the main physical and/performance indicators:

For drinking water projects e.g. reduction of water losses, increase in drinking water quality, increase in metering of water supplies, reduction in distribution costs, increase in network length, increase in length of network in serviceable condition (for rehabilitation projects) etc.

For waste water projects e.g. reduction in leakages, increase in % of population connected to the network, increase in the amount of sewage treated, increase in the level of sewage treatment, increase in quality of receiving waters, reduction in disposal costs, increase in network length, increase in length of network in serviceable condition etc.

For solid waste projects e.g. reduction in quantity of waste going to landfill, increase in amount of recycled materials, number of landfill sites closed and rehabilitated, % of population covered by waste removal services, etc.

For transportation projects e.g. length of road/rail/waterway constructed/rehabilitated/upgraded, reduction in travel times, reduction in operational and/or maintenance costs, increase in road/rail/waterway traffic capacity.

List the relevant EC Directives that the project will address. For transportation projects also list the technical standards that will be achieved.

The indicators might be refined in the Monitoring Committee when deemed necessary especially upon the finalisation of the contracting. Should it be the case, confirmation of the indicators will be by exchange of letters. In any case, the proposed physical and/or performance indicators are as follows*:

Indicative Indicators	Before	After
a) Physical e.g. length (in km) of new/rehabilitated sewage/water networks, length (in km) of rehabilitated/new single railway track, reduction (%) in unaccounted for water, reductions in water pollutants i.e. BOD, COD, Suspended Solids, Nitrogen, Phosphorous (mg/l or %)		
b) Performance e.g. reduction in travelling time (mins), increase in line speed (km/h), reduction (%) in drinking water quality degradation through distribution, reduction in sewage pollution levels, beneficiary's compliance with discharge standards of Urban Waste Water Treatment Directive (%)		

* Provide more than 1 table as necessary.

8. INDICATIVE WORK SCHEDULE / EXPENDITURE PLAN

Provide information concerning the number and type of contracts envisaged. Include and indicate clearly any IFI financed components

	Description of contract	Contract type* works/supply/se rvice	Estimated contract value** (€)	Tendering Launch month/year	Contract Award month/year	Contract Completion month/year
1						
2						
3						
4						
5						
6						

* indicate whether yellow or red FIDIC for works contracts.

** Contract values are indicative and do not include any contingency which for this project is calculated at EUR

9. SUMMARY OF THE MAIN RESULTS OF THE ECONOMIC AND SOCIAL COST-BENEFIT ANALYSIS

Provide the main conclusions of the economic and social cost benefit analysis:

- The estimated NPV for the project is (...) and the discount rate used is (...)
- The estimated Benefit/Cost ratio is:
- The estimated EIRR =

10. SUMMARY OF THE FINANCIAL ANALYSIS

Provide a summary of the main conclusions of the financial analysis.

Ensure that income generation is taken into account when calculating the IPA contribution:

- Based on the information provided in the application and/or any additional information obtained during appraisal
 - the FNPV for the project is estimated EURmillion.
 - the FIRR is estimated%.
- The eligible expenditure (funding gap) as calculated in accordance with Articles 17 and 19 of the Financing Agreement is set as EUR
- The IPA contribution is set as EUR.....

11. POLLUTER PAYS PRINCIPLE (FOR ENVIRONMENTAL PROJECTS ONLY)

Describe how the Polluter Pays Principle is to be applied on the project.

12. FINANCIAL SUSTAINABILITY AND AFFORDABILITY

Outline the main elements of the pricing policy to be pursued.

13. OPERATION AND MAINTENANCE

Describe the way the project will be operated and maintained. Describe the organisational and legal setup of the body responsible for managing the finished product.

14. SUMMARY OF THE MAIN FINDINGS OF THE ENVIRONMENTAL IMPACT ASSESSEMENT

If a decision has been issued by the relevant body concerning the completion of an EIA list the main conclusions of the non-technical summary. If no EIA has been carried out present a timetable for conducting a full EIA as part of the project, or list the reasons why this is not considered necessary with reference to national EIA legislation.

15. COST AND ASSISTANCE (IN EUR)

Expected financial contribution

Estimated Total Costs (EUR)	of which non eligible (EUR)	Eligible Expenditure (EUR)	of which IPA Contribution (EUR)	Public Contribution (EUR)	of which: National (EUR)	IFI (EUR)	Other (EUR)
(1)=(2)+(3)	(2)	(3)	(4)=(3)x (co-financing rate of the priority axis)	(5)=(6)+(7)+(8)	(6)	(7)	(8)

Note: Data other than eligible expenditures and IPA contribution are indicative. Non eligible expenditures are included in public contribution.

16. INVOLVEMENT OF IFIS

Outline the involvement of any IFIs in the project. Provide a detailed description of their scope of work, together with the financial costs and proposed implementation timescale. In addition provide details of any technical assistance measures envisaged by the IFI e.g. institutional reform as part of the project.

Describe the implementing arrangements (parallel or co-financing), what procurement rules will be applied, and whether the Operating Structure is accredited to apply the relevant procurement rules.

Where applicable, indicate for which contracts derogation from the rules of participation and origin is authorised in line with the provision of Article 19 of Regulation (EC) No 1085/2006 of 17 July 2006.

17. PUBLICITY MEASURES

Describe the publicity measures envisaged for the project

ooOOOoo

ANNEX X

Model of Operation Identification Sheet

(max 5 pages)

1. Title of the Operation:
2. Operating Structure: **insert contacts**
3. Organisation Responsible for the Implementation of the Operation: **insert contacts, including contact person**
4. Compatibility and coherence with the Operational Programme
 - 4.1 Title of the programme
 - 4.2 Title of the priority axis
 - 4.3 Title of the measure
 - 4.4 Final Beneficiary (Article 15 of the Financing Agreement)
 - 4.5 End recipient of assistance
 - 4.6 Category/Type of activities foreseen under the measure
5. Description of the Operation
 - 5.1 Contribution to the achievement of the Operational Programme: Describe how the operation contributes to the achievement of the objectives of the Operational Programme (provided quantified indicators where possible) linked with the appropriate measure.
 - 5.2 Overall Objective: Explain in one sentence
 - 5.3 Operation Purpose: Explain in one sentence
 - 5.4 Location(s): Please keep in mind the eligible regions
 - 5.5 Duration: Duration of the operation cannot exceed the final date of eligibility of expenditure set in the Financing Agreement
 - 5.6 Target group(s) :
 - 5.7 Description of the Operation and background: Maximum 10 lines
 - 5.8 Results with measurable indicators:
 - 5.9 Activities:
6. Implementation arrangements
 - 6.1. Institutional framework: institutional arrangements foreseen for the implementation of the operation, e.g. operation coordination unit, steering committee, regional and/or provincial authorities, technical assistance team
 - 6.2. Proposed monitoring structure and methodology: who will be responsible for monitoring of the operation, how will the operation be monitored, what will be the workflow and reporting lines?
 - 6.3. Required procedures and contracts for the implementation of the operation and their sequencing: list the type of procedures (call for proposals, direct implementation by

national institutions without prior call for proposals, direct agreements with international organisations, etc) and the corresponding contracts (grant contracts, contribution agreements with international organisations, services, supplies, works, etc) for the proposed activities, together with their sequencing

(please provide detailed chronogram for preparatory stages, tendering, contracting and starting of operations)

7. Risks and assumptions:
8. Expected impact of the operation on the target group and multiplier/spill over effects:
9. Sustainability:
10. Equal opportunity, minorities and vulnerable groups (where relevant):
11. Links with other IPA component measures:
12. Requested financing from the European Commission:

The IPA contribution shall not exceed the ceiling of xx% of the eligible expenditure at the level at the priority axis.

(no operation shall benefit from a higher co-financing rate than the one relating to the priority axis concerned – Article 149(3) and 153(3) of IPA Implementing Regulation)

13. Co-financing: (please identify expected total contribution by source)
14. Budget breakdown:

(indicative, per operation component if applicable, including estimated total cost, public expenditure, IPA contribution, national public contribution and private contribution)

15. Cash flow requirements by source of funding

ANNEX XI

Composition and Functioning Modalities of the committee for the selection of operations

1. For all operations which are not major projects and which are implemented by final beneficiaries that are national public bodies the Operating Structure is not under the obligation of selecting operations through calls for proposals in line with the provisions of the Article 49 of the Financing Agreement (FA). Since the *Croatian Railways Infrastructure and the Central Finance and Contracting Agency* are final beneficiaries in the meaning of Article 15 of the FA for all operations, provisions of Article 49 do not apply.
2. In order to comply with the general principles for selecting operations as provided for in Article 50 of the FA, the following provisions apply:
 - a. for Major projects under Priority 1 *Upgrading Croatia's rail transport system* and Priority 2 *Upgrading Croatia's Inland Waterway System* and which are included in the indicative list of the Operational Programme, Article 50.2 of the FA applies (no recourse to call for proposals);
 - b. for operations (other than those in 2 a) under Priority 1 *Upgrading Croatia's rail transport system* and Priority 2 *Upgrading Croatia's inland waterway system*, and for all operations under the Technical Assistance Priority [3] Article 50.1.a of the FA applies (no recourse to call for proposals).
3. For operations whose selection modalities have not yet been decided, the Operating Structure will decide these in agreement with Commission services, and inform the Sectoral Monitoring Committee.
4. Should the Operating Structure decide to have recourse or is obliged to the selection of operations with assistance of a committee, the modalities will be those indicated in the Operational Programme, as follows:

"The Operating Structure will set up a Selection Committee for each call for proposals launched for the selection of operations financed under a specific measure. The Selection Committee will have an odd number of members and it will be composed of the most appropriate officials and experts with technical competence to undertake a qualitative appraisal of project applications. These members will be nominated by the institutions in which where they are employed at the invitation of the body in charge of implementation, and they will have voting rights in the selection process. A member of the Operating Structure who prepared the guidelines for applicants will also participate in the Selection Committee work. The Committee will be chaired by a member of the Implementing Body without a voting right. The Selection Committee will appraise project applications in compliance with the selection criteria and methodologies agreed by the Sectoral Monitoring Committee. The applications will first be screened for their compliance with the eligibility and administrative criteria meeting the relevant eligibility requirements set out in the relevant measures (completeness, accuracy, etc) and thereafter will be evaluated according to their quality. The Selection Committee will then make recommendations to the Operating Structure, in compliance with Article 158 of the IPA Implementing Regulation.

Procurement (including the award of any major projects) will follow the contract award procedures contained in the "Practical Guide to Contract Procedures for EC External Actions" (PRAG). Tender Selection Committees will be established for the evaluation of service, works and supply tenders, while their composition and decision making procedures will be in accordance with the principles set out in the relevant rules of the PRAG. All beneficiaries (whether public or private) will also comply with the principles established under the relevant PRAG rules."

The Commission may participate in the Selection Committee work as an observer.

ANNEX XII
Annual and Final Report
(Articles 85 and 102 of the Financing Agreement)

1. IDENTIFICATION

OPERATIONAL PROGRAMME	Programming period
	Programme number (CCI N°)
	Programme title
ANNUAL IMPLEMENTATION REPORT	Reporting year
	Date of approval of the annual report by the Sectoral Monitoring Committee

2. OVERVIEW OF THE IMPLEMENTATION OF THE OPERATIONAL PROGRAMME

2.1 Quantitative progress (by priority axis and measures)

Information on the physical progress made in implementing the operational programme, priority axes, measures and where relevant, operations or groups of operations, in relation to their specific, verifiable targets, with a quantification, when possible using the indicators at the appropriate level.

Where relevant, for the HRD component all indicators shall be broken down by gender. If the figures (data) are not yet available, information on when they will become available and when the Operating Structure will provide it to the Commission will be stated.

The list of operations financed under the operational programme should be annexed to the report.

2.2 Qualitative analysis

Analysis of the achievements as measured by physical and financial indicators, including a qualitative analysis on the progress achieved in relation to the targets set out initially.

List of unfinished operations and the schedule for their completion (final report only).

2.3 Financial information

	Expenditure paid out by the final beneficiaries included in payment applications sent to the Commission by the National Fund	Total expenditure committed and paid out by the National Fund	Corresponding public contribution	Corresponding private contribution	Total payments received from the Commission
Priority axis 1 Measure 1.1 Measure 1.2 Priority axis 2 Measure 2.1 Priority axis 3					
Total					

(all financial data should be expressed in euro)

In addition, financial information may also be provided graphically.

Indicative breakdown of allocations, by categories of expenditures (for component III only)

Information in accordance with the detailed list included in Annex XIII of the Financing Agreement.

Assistance repaid or re-used

Information on the use made of assistance repaid or re-used following cancellation of assistance as referred to in Articles 54 of the IPA Implementing Regulation.

2.4 Changes in the context of the operational programme implementation (if relevant)

Description of any elements which, without stemming directly from the assistance of the operational programme, have a direct impact on the programme's implementation (such as legislative changes or unexpected socio-economic developments).

2.5 Information about compliance with EU acquis

Any significant problems relating to the compliance with EU acquis which have been encountered in the implementation of the operational programme and the measures taken to deal with them.

2.6 Complementarity with other instruments

Summary of the implementation of the arrangements made ensuring demarcation and coordination between other programmes and components of IPA assistance, the interventions of the EIB and other existing financial instruments.

3. QUALITY AND EFFECTIVENESS OF IMPLEMENTATION

3.1 Monitoring arrangements

Monitoring and evaluation measures taken by the Operating Structure or the Sectoral Monitoring Committee, including data collection arrangements, difficulties encountered and steps taken to solve them.

3.2 Significant problems encountered and measures to overcome them

Any significant problems encountered in implementing the operational programme, including a summary of problems identified under the procedure in Article 29(2)(b) of the IPA Implementing Regulation, where appropriate, as well as any measures taken by the Operating Structure or the Sectoral Monitoring Committee to solve the problems.

3.3 Technical assistance

Explanation of the use made of technical assistance, including where relevant technical assistance prior to the conferral of management

Percentage of the amount of the IPA Funds contribution allocated to the operational programme spent under technical assistance.

4. INFORMATION AND PUBLICITY

Progress achieved in the implementation of the Communication Action Plan submitted according to the operational programme, stressing the measures undertaken and their impact.

5. MAJOR PROJECTS (where appropriate for the Regional Development Component)

- Progress in the implementation of major projects.
- Progress in the financing of major projects.
- Any change in the indicative list of major projects in the operational programme.

6. ACTIONS RELATED TO THE HUMAN RESOURCES DEVELOPMENT COMPONENT

Information on the implementation of horizontal issues such as equal opportunities for men and women, good governance, inclusion of disadvantaged persons, geographical concentration of support or sustainable development and environmental protection (as appropriate).

Where appropriate, a synthesis of the implementation of:

- Gender mainstreaming and gender specific actions
- Participation of migrants in employment

- Integration in employment and social inclusion of minorities and other disadvantaged groups, including people with disabilities.

Where appropriate, a description of how the actions supported by IPA Human Resources Development Component are consistent with and contribute to the actions undertaken in the follow up of the Joint Assessment Paper (JAP) and the Joint Inclusion Memorandum (JIM).

ANNEX XIII
Allocations by category of expenditures
(Article 85(3)c) of the Financing Agreement)
Part A: Codes by Dimension

TABLE 1: CODES FOR THE PRIORITY THEME DIMENSION

Code	Priority theme
1	Transport
1.1	Rail infrastructure
1.1.1	Interconnection/interoperability between national networks
1.1.2	Interconnection/interoperability between national networks and trans-European networks
1.2	Road infrastructure
1.2.1	Interconnection/interoperability between national networks
1.2.2	Interconnection/interoperability between national networks and trans-European networks
1.3	Maritime ports infrastructure
1.4	Inland waterways
1.5	Airports infrastructure
1.6	Multi-modal transport infrastructure
1.7	Intelligent transport systems
1.8	Technical Assistance
1.9	Other
2	Environment
2.1	Waste management
2.2	Water supply
2.3	Urban waste water
2.4	Air quality
2.5	Rehabilitation of contaminated sites and land
2.6	Energy efficiency
2.7	Renewable energy
2.8	Other
2.9	Technical assistance
3	Regional Competitiveness
3.1	provision of business and technology services for enterprises, particularly in the fields of
3.2	access and use of information and communication technologies
3.3	promotion of technological development, research and innovation including through
3.4	development of business networks and clusters
3.5	creation and development of financing instruments which facilitate access to revolving
3.6	provision of local infrastructure and services which contribute to facilitate establishment,
3.7	education and training infrastructures, where necessary for regional development and in
3.8	improvement of tourism potential of regions
3.9	Other
4.0	Technical assistance
4	Technical Assistance
4.1	Preliminary studies and technical support related to eligible activities, including those
4.2	Programme management, monitoring, evaluation, information and control activities and

TABLE 2: CODES FOR THE FORM OF FINANCE DIMENSION

Code	Form of finance
01	Non-repayable aid
02	Aid (<i>loan, interest subsidy, guarantees</i>)
03	Venture capital (<i>participation, venture-capital fund</i>)
04	Other forms of finance

Part B:

Cumulative breakdown of allocations of the IPA contribution by category in the annual and final report on implementation

CCI No: _____

Name of the programme: _____

Date of the last Commission decision for the Operational Programme concerned: __/__/__

Code * Dimension 1 Priority theme	Code * Dimension 2 Form of finance	Amount **

* The categories should be coded for each dimension using the standard classification.

** Allocated amount of the IPA contribution for each combination of categories.

ANNEX XIV

Indicative description of the information requirements for a sufficient audit trail

(Article 90 of the Financing Agreement)

A sufficient audit trail, as referred to in Article 90, is present when, for a given measure, including individual projects within a group of projects:

1. Accounting records kept at the appropriate management level provide detailed information about expenditure actually incurred in the co-financed measure by the Operating Structure, including where the latter is not the final recipient of funding, the bodies and firms involved in the implementation of the measure, whether as concession-holders, delegates or otherwise. The accounting records show the date they were created, the amount of each item of expenditure, the nature of the supporting documents and the date and method of payment. The necessary documentary evidence (e.g., invoices) is attached.
2. For items of expenditure relating only partly to the co-financed measure, the accuracy of the allocation of the expenditure between the co-financed measure and the rest is demonstrated. The same applies to types of expenditure that are considered eligible only within certain limits or in proportion to other costs.
3. The technical specifications and financial plan of the measure, progress reports, documents concerning tendering and contracting procedures, and reports on inspections of the execution of the measure are also kept at the appropriate management level.
4. For declaring expenditure actually incurred in the co-financed measure to the National Fund, the information referred to in paragraph 1 is aggregated into a detailed statement of expenditure broken down by category. The detailed statements of expenditure constitute supporting documents for the accounting records of the National Fund and are the basis for the preparation of declarations of expenditure to the Commission.
5. Where there is one or more delegated bodies between the Operating Structures or the bodies or firms involved in implementation of the measure and the National Fund, each delegated body for its area of responsibility requires detailed statements of expenditure from the body below it as supporting documentation for its own accounting records, from which it provides at least a summary of the expenditure incurred on the measure to the body above it.
6. In the case of computerised transfer of accounting data, all the authorities and bodies concerned obtain sufficient information from the lower level to justify their accounting records and the sums reported upwards, so as to ensure a sufficient audit trail from the total summary amounts certified to the Commission down to the individual expenditure items and the supporting documents at the level of the Operating Structure and the other bodies and firms involved in the implementation of the measure.

ANNEX XV

List of data on operations to be communicated on request to the Commission for the purpose of documentary and on-the-spot checks

(Article 80(5) of the Financing Agreement)

The data requested may include the following, the precise content being subject to agreement with the Beneficiary Country. The field numbers represent the record structure preferred when compiling computer files for transfer to the Commission.

A. Data on operations

Field 1	Operational programme
Field 2	Number of priority
Field 3	Name of fund
Field 4	Code of region or area where operation is located/carried out (NUTS Level or other, if appropriate)
Field 5	Operating Structure
Field 6	National Authorising Officer
Field 7	Final beneficiary or other body that declares expenditure to Operating Structure, if applicable
Field 8	Unique code number of operation
Field 9	Short description of operation
Field 10	Starting date of operation
Field 11	Completion date of operation
Field 12	Body issuing approval decision
Field 13	Approval date
Field 14	Reference of end recipient
Field 15	Currency (if not euro)
Field 16	Total estimated cost of operation (1)
Field 17	Total eligible expenditure
Field 18	Total public eligible expenditure
Field 19	EIB (to include equivalent for IPA) financing

(1) i.e., including private funding but net of non-eligible expenditure and other financing.

B. Expenditure declared on operation

Field 20	Internal reference number of last application for reimbursement from operation
Field 21	Date on which last application for reimbursement from operation was entered into monitoring system
Field 22	Amount of eligible expenditure declared in last application for reimbursement from operation entered into monitoring system
Field 23	Total eligible expenditure for which an application for reimbursement has been made
Field 24	Location of detailed supporting documents for claim if not on premises of beneficiary
Field 25	Expenditure paid in areas adjacent to the eligible areas (cross border cooperation) (non eligible)
Field 26	Expenditure paid by partners located outside the area (transnational cooperation) (non

	eligible)
Field 27	Expenditure paid outside the European Union (cross-border, transnational and interregional cooperation)
Field 28	Expenditure paid for the purchase of land
Field 29	Expenditure paid for housing
Field 30	Expenditure paid for indirect costs/overheads charged at flat rates
Field 31	Revenue deducted from applications for reimbursement, if any
Field 32	Financial corrections deducted from applications for reimbursement, if any
Field 33	Total eligible expenditure declared from operation and included in statement of expenditure sent to the Commission by National Authorising Officer (in EUR)
Field 34	Total eligible expenditure declared from operation and included in statement of expenditure sent to the Commission by National Authorising Officer (national currency)
Field 35	Date of last statement of expenditure of the certifying authority containing expenditure from operation
Field 36	Date of verifications carried out pursuant to Article 81
Field 37	Date of audits pursuant to Article 82
Field 38	Body carrying out the audit or verification
Field 39	Degree of achievement of target for operation, if completed (%)

ANNEX XVI
Certificate and statement of expenditure and application for final payment
EUROPEAN COMMISSION
INSTRUMENT FOR PRE-ACCESSION ASSISTANCE – IPA
Regional Development Component (Component III)
/Human Resources Development (component IV)
Certificate and statement of expenditure and payment application

Name of operational programme

Commission Decision

Financing Agreement

Commission reference (CCI) No:

National reference (if any)

of

of

CERTIFICATE

I, the undersigned,
National Authorising Officer,
hereby certify that all expenditure included in the attached statement complies with the criteria for eligibility of expenditure set out in the Financing Agreement signed on {DATE} between the European Commission and the Government of {COUNTRY} and has been incurred and paid by the final beneficiaries on the implementation of operations selected under the operational programme in accordance with the conditions for granting IPA assistance.

After⁴²

		20...
--	--	-------

 and amounts

Euro ⁴³	
--------------------	--

to:
(exact figure to two decimal places)

The attached statement of expenditure, broken down by priority axis and measures, is based on accounts provisionally closed on

		20...
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and forms an integral part of this certificate.

I also certify that operations are progressing in accordance with the terms of the Financing Agreement, and in particular that:

1. all the requirements laid down in Article 69 of the Financing Agreement are fulfilled, in particular
 - The sectoral final implementation report for the programme concerned has been sent to the Commission by the Operating Structure;
 - An opinion on any final statement of expenditure, supported by a final activity report has been sent to the Commission by the Audit Authority in accordance with Article 92 of the Financing Agreement
 - The accreditation delivered by the Competent Accrediting Officer and the National Authorising Officer are in force, and the conferral of management by the Commission remains valid
2. the statement of expenditure is accurate, results from reliable accounting systems and is based on verifiable supporting documents;
3. the expenditure declared complies with applicable European Union and national rules and has been incurred in respect of operations selected for funding in accordance with the criteria applicable to the programme and complying with relevant applicable European Union and national rules, in particular as regards rules on protection of the environment, transport, competition, and the award of public contracts (PRAG).
4. the statement of expenditure and the payment application take account, where applicable, of any amounts recovered and of any interest received, and of net revenue accruing from operations financed under the operational programme;
5. the breakdown of the underlying operations is recorded on computer files and is available to the relevant Commission departments on request

⁴² Starting date for eligibility of expenditure (date of signature of the Financing Agreement)

⁴³ total amount of eligible expenditure paid by final beneficiaries.

In accordance with Article 104 of the Financing Agreement, the supporting documents are and will continue to be available for at least three years following the closure of the operational programme by the Commission.

Date

		20...
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Name in capitals, stamp, position and
signature
of National Authorising Officer

Statement of expenditure by priority axis and measures: Final payment					
Operational Programme reference (CCI No):					
Name of programme:					
Date of provisional closure of accounts:			Date of sending to the Commission:		
Total certified eligible⁴⁴ expenditure paid:					
Priority axis/measure	Total expenditure incurred to date (between... ⁴⁵ and)	Expenditure certified in present declaration	Total expenditure planned (initial budget)	Expenditure incurred to date as proportion of initial budget (%)	Remarks
Priority Axis 1					
Measure 1.1					
<i>Operation 1.1.1</i>					
<i>Operation 1.1.2</i>					
Priority Axis 2					
Measure 2.1					
Priority Axis 3					
Measure 3.1					
Priority Axis 4					
Measure 4.1					

Breakdown by year of the total certified eligible expenditure⁴⁶ (amounts in euros)

Priority axis/measure	2008	2009	2010	2011	2012
Priority Axis 1					
Measure 1.1					
Priority Axis 2					
Measure 2.1					
Priority Axis 3					
Measure 3.1					
Priority Axis 4					
Measure 4.1					

⁴⁴ As defined by Articles 149, 150 and 152 of Commission Regulation (EC) 718/2007

⁴⁵ Starting date for eligibility of expenditure (signature of the Financing Agreement)

⁴⁶ By year: the breakdown mentioned in this table shall correspond to the payments made by the final beneficiaries in the year concerned. Where it is not possible to establish this breakdown precisely, the best estimate of the breakdown should be given.

ANNEX 1 to statement of expenditure:

The computerised listing of operations by measure and the corresponding expenditure, including contribution under the IPA Regulation and national public expenditure

Priority axis/measure	Total expenditure (EURO)	IPA funds (EURO)	National public expenditure (EURO)	IPA co-financing rate (%)
Priority Axis 1: total				
Measure 1.1				
<i>Operation 1.1.1</i>				
<i>Operation 1.1.2</i>				
.....				
Measure 1.2				
<i>Operation 1.2.1</i>				
<i>Operation 1.2.2</i>				
.....				
Measure 1.3				
<i>Operation 1.3.1</i>				
<i>Operation 1.3.2</i>				
.....				
Priority Axis 2: total				
Measure 2.1				
<i>Operation 2.1.1</i>				
.....				
Priority Axis 3				
Measure 3.1				
<i>Operation 3.1.1</i>				
.....				

ANNEX 2 to statement of expenditure:

Details of amounts recoverable following cancellation of all or part of the IPA contribution for an operation

Name of the priority/measure /operation	
Amount ordered to be recovered	
Debtor	
Date of issue of recovery order	
Authority which issued recovery order	
Date of recovery	
Amount recovered	

ANNEX 3 to statement of expenditure:

The volume of IPA contribution in the component-specific euro account at the date of the last debit to which this statement refers and the interest earned

APPLICATION FOR PAYMENT: final payment

Name of operational programme:

Operational programme reference (CCI) No:

Pursuant to Annex A of the Framework Agreement (Article 25 of Regulation (EC) No 718/2007), I, the undersigned (name in capitals of National Authorising Officer), hereby request payment of the amount of EUR as a final payment.

This application is admissible because:

	Delete as appropriate
(a) no more than the maximum amount of assistance from IPA Funds as laid down in the Financing Agreement and the decision of the Commission approving the operational programme has been paid by the Commission during the whole period for each priority axis.	
(b) the Operating Structure has sent to the Commission the sectoral final implementation reports, in accordance with art. 67 of the Financing Agreement	— has been forwarded by Operating Structure within the time limit laid down in art. 100 of the Financing Agreement — is attached
(c) the Audit Authority has sent to the Commission, in accordance with Article 92 of the Financing Agreement, an opinion on any final statement of expenditure, supported by a final activity report	— has been forwarded by Audit Authority within the time limit laid down in art.90 of the Financing Agreement — is attached
(d) the accreditations delivered by the Competent Accrediting Officer and the National Authorising Officer are in force, and the conferral of management by the Commission remains valid	
(e) the payments have not been suspended in accordance with Article 72 of the Financing Agreement	
(f) none of the situations justifying blocking of payments to major projects have occurred	

The payment should be made by the Commission to the body designated by the beneficiary country for the purposes of making payments

Designated body	
Bank	
Bank account No	
Holder of account (where not the same as the designated body)	

Date

		20...
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Name in capitals, stamp, position and signature of

National Authorising Authority

ANNEX XVII
MODEL
FINAL CONTROL REPORT AND CLOSURE DECLARATION FOR OPERATIONAL
PROGRAMMES
PURSUANT TO ARTICLE 29 OF COMMISSION REGULATION (EC) No 718/2007
Part A: Model final control report

1. INTRODUCTION

- Indication of the responsible audit authority and other bodies that have been involved in preparing the report.
- Indication of the reference period from which the random sample was drawn.
- Identification of the operational programme covered by the report and its Operating Structure and National Authorising Officer,
- Description of the steps taken to prepare the report.

2. CHANGES IN MANAGEMENT AND CONTROL SYSTEMS

- Indication of any significant changes in the management and control systems notified to the audit authority and of the dates from which the changes apply.

3. SUMMARY OF AUDITS CARRIED OUT

For systems audits:

- Indication of the body (ies) that have carried out systems audits, including the audit authority itself.
- Summary list of audits carried out: bodies audited and year of audit.
- Description of the basis for selection of audits in the context of the audit strategy.
- Description of the principal findings and the conclusions drawn from the audit work for the management and control systems and their functioning, including the sufficiency of management checks, accreditation procedures and the audit trail, adequate separation of functions and compliance with European Union requirements and policies.
- Indication of whether any problems identified were considered to be of a systemic character, and the measures taken, including a quantification of the irregular expenditure and any related financial corrections.

For audits of operations:

- Indication of the body (ies) that carried out the sample audits, including the audit authority itself.
- Description of the basis for selection of the sample(s).
- Indication of the materiality level and, in the case of statistical sampling, the confidence level applied and the interval, if applicable.
- Description of the principal results of the audits, indicating in particular the amount of irregular expenditure and the error rate resulting from the random sample audited.
- Indication of the conclusions drawn from the results of the audits with regard to the effectiveness of the management and control system.
- Information on the follow-up of irregularities, including revision of previously reported error rates.
- Indication of whether any problems identified were considered to be systemic in nature, and the measures taken, including a quantification of the irregular expenditure and any related financial corrections (1).

4. FOLLOW-UP OF AUDIT ACTIVITY

- Information on the follow-up of the results of systems audits and audits of operations.

5. ADDITIONAL WORK UNDERTAKEN BY AUDIT AUTHORITY IN PREPARING ITS CLOSURE DECLARATION

- Summary of audits of the closure procedure of the operating structure.
- Summary of the results of the re-performance of controls on the accuracy of the amounts declared in relation to supporting documents.
- Summary of the results of examination of reports of other national or European Union audit bodies (specify, by category, which reports have been received and examined).

- Summary of the results of examination of information relating to follow-up of audit findings and reported irregularities.
- Summary of the results of examination of additional work carried out by the operating structure or any other relevant body to enable an unqualified opinion to be provided.
- Other.

6. LIMITATIONS ON THE SCOPE OF THE EXAMINATION BY THE AUDIT AUTHORITY

- Details of any factors that have limited the scope of the examination by the audit authority should be reported (2).
- Estimated amounts of expenditure and the IPA contribution that are affected must be stated.

7. REPORTED IRREGULARITIES

- Confirmation that the procedure for reporting and following up irregularities, including the treatment of systemic problems, has been carried out in accordance with regulatory requirements in force.
- Confirmation of the accuracy of the information given in the final implementation report on the irregularities reported. .
- A list of cases of irregularity regarded as systemic and the amounts of expenditure affected.

8. OTHER INFORMATION (IF APPLICABLE)

9. TABLE FOR DECLARED EXPENDITURE AND SAMPLE AUDITS

IP A	C CI n°	Program me	Expendit ure declared in referenc e year	Expendit ure in reference year audited for the random sample		Amount and percentag e (error rate) of irregular expenditure in random sample		Other expendit ure Audited (3)		Amount of irregular expenditure in other expenditure sample	Total expendit ure declared cumulati vely	Total expendit ure audited cumulati vely as a percenta ge of total expenditure declared cumulati vely
				(1)	(2)	Amo unt	%	(1)				

(1) Amount of expenditure audited

(2) Percentage of expenditure audited in relation to expenditure declared to the Commission in the reference year

(3) Expenditure from complementary sample and expenditure for random sample not in reference year

Part B: Closure declaration

To the European Commission, Directorate-General

1. INTRODUCTION

I, the undersigned, representing the ... (name of the body designated by the Beneficiary Country), have for the operational programme ... (name of the operational programme, CCI code number, period) examined the results of the audit work carried out on this programme by or under the responsibility of the audit authority in accordance with the audit work plan (and have carried out the additional work I judged necessary). The results of the examination and any additional work I have performed are summarised in the attached final audit activity report (which also contains the information required by the annual audit activity report for the period 1 January 2015 to 31 December 2016). I have planned and performed this work with a view to obtaining a reasonable assurance as to whether the payment application for the final balance of the IPA contribution to the operational programme is correct and valid and the underlying transactions covered by the final statement of expenditure are legal and regular.

2. SCOPE OF THE EXAMINATION

The examination was carried out in accordance with the audit strategy in respect of this programme and reported in the attached final control report pursuant to Article 29 of Commission Regulation (EC) No 10718/2007.

Either

There were no limitations on the scope of the examination.

Or

The scope of the examination was limited by the following factors:

- (a) ...
- (b) ...
- (c) etc.

(Indicate any limitation on the scope of the examination, for example any systemic problems, weaknesses in the management and control system, lack of supporting documentation, cases under legal proceedings, etc., and estimate the amounts of expenditure and the IPA contribution affected. If the audit authority does not consider that the limitations have an impact on the final expenditure declared, this should be stated.)

3. IRREGULARITIES AND ERROR RATES

Either

The cases of irregularity and error rates found in the audit work are not such as to preclude an unqualified opinion given the satisfactory way they have been dealt with by the operating structure and the trend in the level of their occurrence over time.

Or

The cases of irregularity and error rates found in the audit work and the way they have been dealt with by the operating structure are such as to preclude an unqualified opinion. A list of these cases is provided in the final control report, together with an indication of their possible systemic character and the scale of the problem. The amounts of total declared expenditure and public contribution that could be affected are xxxx respectively. As a consequence, the corresponding IPA contribution that could be affected is xxx.

4. OPINION

Either

(Unqualified opinion)

If there were no limitations on the scope of the examination and the cases of irregularity and error rates and the way they have been dealt with by the Operating Structure do not preclude an unqualified opinion:

Based on the examination referred to above, it is my opinion that the final statement of expenditure presents fairly, in all material respects, the expenditure paid under the operational programme, that the

application for payment of the final balance of the IPA contribution to this programme is valid and that the underlying transactions covered by the final statement of expenditure are legal and regular.

Or

(Qualified opinion)

If there were limitations on the scope of the examination and/or the cases of irregularity and error rates and the way they have been dealt with by the Operating Structure call for a qualified opinion but do not justify an unfavourable opinion for all the expenditure concerned:

Based on the examination referred to above, it is my opinion that the final statement of expenditure presents fairly, in all material respects, the expenditure paid under the operational programme, that the application for payment of the final balance of the IPA contribution to this programme is valid and that the underlying transactions covered by the final statement of expenditure are legal and regular, except with regard to the matters referred to at point 2 and/or to the observations at point 3 regarding the error rates and cases of irregularity and the way they have been dealt with by the managing authority, the impact of which is quantified above. I estimate the impact of these qualifications to be xxx of the total expenditure declared. The IPA contribution affected is thus xxx.

Or

(Adverse opinion)

If there were major limitations on the scope of the examination error rates and cases of irregularity and the way they have been dealt with by the Operating Structure such that no conclusion can be reached on the reliability of the final statement of expenditure without considerable further work:

Based on the examination referred to above, and in particular in view of the matters referred to at point 2 and/or the error rates and cases of irregularity and the fact that they have not been dealt with satisfactorily by the Operating Structure as reported at point 3, it is my opinion that the final statement of expenditure does not present fairly, in all material respects, the expenditure paid under the operational programme, that, as a consequence, the application for payment of the final balance of the IPA contribution to this programme is not valid and that the underlying transactions covered by the final statement of expenditure are not legal and regular.

Date

Signature

... ..

ANNEX XVIII
Guidelines for the completion of the standard form for quarterly communications of irregularities



EUROPEAN COMMISSION
EUROPEAN ANTI-FRAUD OFFICE (OLAF)

Operational & Policy Support
Fraud Prevention & Intelligence

WORKING DOCUMENT

Guidelines for the completion of the standard form for quarterly communications of irregularities in connection with the Instrument for Pre-Accession Assistance (IPA)

GUIDELINES FOR THE COMPLETION OF THE STANDARD FORM FOR QUARTERLY COMMUNICATIONS OF IRREGULARITIES IN CONNECTION WITH THE INSTRUMENT FOR PRE- ACCESSION ASSISTANCE (IPA)

INTRODUCTION

In accordance with Article 28 of the Framework Agreements⁴⁷ between Candidate Countries and Potential Candidate Countries benefiting from pre-accession assistance a control and reporting mechanism concerning irregularities⁴⁸ shall be organised according to the provisions set out by Commission Regulation No. 1828/2006, Section 4 Irregularities (Articles 27-36)⁴⁹ Consequently, Beneficiary Countries are equally required to report quarterly to the Commission the irregularities detected in IPA funded projects. In order to facilitate this task and to ensure the uniform recording of cases in the appropriate database, the Commission has developed a standard form (Annex I) based on Regulation (EC) No 1828/2006.

These guidelines are used when the "paper version" of the standard form is filled. An electronic system is in the process of being developed.

GUIDELINES

Preliminary remarks:

1. Within two months following the end of each quarter Beneficiary Countries shall report to the Commission any irregularities which have been the subject of a primary administrative or judicial finding. Irregularities have to be reported in English.
2. It is recommended that Beneficiary Countries designate a competent national body responsible for reporting irregularities to the Commission.
3. All irregularities should be reported using the standard form and accompanied by an explanatory letter sent to the following address:
European Commission
OLAF – European Anti-Fraud Office
Directorate C
Rue Joseph II 30
B-1049 Brussels
Belgium
The irregularity reports should also be forwarded in copy to the Directorates-General in charge of a given component. Please, see the list of Directorates-General in Annex II.
4. The cover letter should contain the following information: which component it relates to, the quarter it refers to, and the various irregularity reports should be attached (separating new reports from updates). In case of a combined cover letter for more than one component, the numbers should be given separately for each component.

⁴⁶ Implementing Article 18 of Council Regulation (EC) No 1085/2006 and Article 19 of Commission Regulation (EC) No 718/2007

⁴⁷ As defined in Article 2(7) of Council Regulation (EC) 1083/2006 (see also point 5.1 of the Guidelines).

⁴⁸ Commission Regulation (EC) No 1828/2006, OJ L371, 27.12.2006, p. 27-32.

5. Please note that Beneficiary Countries are obliged to inform the Commission if no irregularities have occurred in a given quarter. This should be done by letter, stating clearly which quarter the letter refers to.
6. Please note there are different ways of completing the standard form depending on whether the form refers to a communication relating to Article 28 of Regulation (EC) No 1828/2006 (first communication) or Article 30 (an update). In the case of an **Article 28 communication, all currently available information at the time of completion** of the form should be submitted. In the case of an **Article 30 communication, information on important changes resulting from the instituted procedures with respect to irregularities previously notified** should be presented. If no new facts concerning an irregularity have occurred, there is no need to send an update. Updates should be sent to the Commission only if new information concerning the case has become known.
7. Where a Beneficiary Country considers that an amount cannot be recovered or is not expected to be recovered, in accordance with Article 30 (2), it shall inform the Commission, in a special report with sufficiently detailed information to allow the Commission to take the decision on apportionment of the loss. The provisions on Special report are **not** applicable to Component V – IPARD.
8. In order to fill the sections concerning the manner in which the irregularity was discovered and the type of irregularity, as well as the actions taken by the Beneficiary Country and sanctions applied, the non-exhaustive lists included should be used. If the issue is not included on the list, please indicate it in point 22. Suggestions on what should be added to the lists will be taken into account.
9. The following cases need not be reported:
- (a) cases where the irregularity consists solely in the failure to execute, in whole or in part, an operation included in the co-financed operational programme owing to the bankruptcy of the beneficiary. Bankruptcy has to be officially established by the competent national authorities. The relevant proceedings are listed in Council Regulation (EC) No 1346/2000;
 - (b) cases brought to the attention of the Operating structure and the National Fund by the beneficiary voluntarily and before detection by either of them, whether before or after the payment of the public contribution;
 - (c) cases which are detected and corrected by the Operating structure and the National Fund before any payment to the beneficiary of the public contribution and before inclusion of the expenditure concerned in a statement of expenditure submitted to the Commission.

However, irregularities preceding a bankruptcy and cases of suspected fraud must be reported⁴⁹.

10. Irregularities relating to operational programmes under Component II - Cross border cooperation shall be reported by the Participating Country ('shall mean Member State or beneficiary countries, i.e. candidate or potential candidate countries') in which the expenditure is paid by the beneficiary in implementing the operation. The Participating Country shall at the same time inform the managing authority, the certifying authority and the audit authority⁵⁰ (in case of cross border cooperation programmes between Beneficiary Countries and Member States) and the competent Accrediting Officer, the National Authorizing Officer and the audit authority (in case of cross border programmes

⁴⁹ Commission Regulation (EC) No 1828/2006, Art. 28 (2), OJ L371, 27.12.2006, p. 28-29.

⁵⁰ Commission Regulation (EC) No 1828/2006, Art. 28 (4), OJ L371, 27.12.2006, p. 29.

between Non Member States Beneficiary Countries).

11. For cases where there is no obligation to communicate irregularities because the amount involved does not exceed threshold of EUR 10 000, Beneficiary Countries are obliged to register and undertake recovery proceedings but, unless the Commission explicitly requests information, need not inform the Commission⁵¹. However, Beneficiary Countries are obliged to inform the Commission (see Annex II) in the framework of the closure report of the programme about follow up activities concerning all the irregularities detected, irrespective of the reporting threshold.

⁵¹ Commission Regulation (EC) No 1828/2006, Art. 36 (1), OJ L371, 27.12.2006, p. 32.

IDENTIFICATION OF COMMUNICATION

Beneficiary Country: Please indicate the Country

Format: Free text in capitals.

Example: CROATIA

Case N°: The number of the case has to be indicated by the Member State on each page of the form.

Format: XX¹/9999²/999³/XX⁴/9⁵, X = capital letter, 9 = figure from 0 to 9

Examples: HR/2004/001/CB/0 TR/2005/003/HR/2

1. Beneficiary Country's initials: two letters; the initials to be used are:

AL – Albania

BA – Bosnia and Herzegovina

HR – Croatia

KS – Kosovo under UNSCR 1244

MK – The Former Yugoslav Republic of Macedonia

ME – Montenegro

RS – Serbia

TR – Turkey

2. Year: four digits: 2008, 2009, etc.

3. The number of the case: three digits: 001, 002, etc.

NB. Numbering is consecutive and corresponds to each component and to each year separately.

ATTENTION: The initial number of the case stays the same throughout the years only the version number changes!

4. The abbreviation identifying the component which the communication relates to.

It is compulsory to use the abbreviations. The abbreviations for the components to be used are as follows:

TA for Transition Assistance and Institution Building

CB for Cross-Border Cooperation

RE for Regional Development

HR for Human Resources Development

RD for Rural Development

5. New cases or updates of cases already communicated - one digit: 1 for a new case, 2 for a first update, 3 for a second update, etc.

For example: Initial Communication: TR/2008/003/TA/1

Follow-up Communication: TR/2008/003/TA/2

Next Follow-up Communication: TR/2008/003/TA/3

NB. The reference number is unique to the specific case and is attributed when initial communication is sent (Art 28 of Commission Regulation (EC) No 1828/2006). When an update has to be reported (article 30 communication), the same reference number must be used. If by mistake a new one is inserted, this will be considered as a notification of a new case and, consequently, a duplication of the irregularity will occur.

Quarter:

Please indicate the quarter of the year in question.

For updates of existing cases, please tick the current reporting quarter.

Date sent:

The date sent is the date of communication to the Commission. This will normally be a date in the two months following each quarter.

Format: DD/MM/YYYY, Year month day.

Example: **13/12/2004**

NB. This rule is valid for all other dates!**Administrative Department in the Beneficiary Country:**

Please indicate the administrative, national and/or regional department(s) responsible for the administration of the irregularity.

Format: Description in block capitals.

Example: **MIN. OF AGRICULTURE, FISHERIES AND FOOD**

Format in case of an addition to the list: Free text uninterrupted (without blank lines!).

Example: **MINISTRY OF ECONOMIC AFFAIRS**

Address: ...

Contact Point:

Please, specify the details of a contact person, within the administrative department responsible for reporting, who can be contacted in case additional information or clarification is required.

Format: Free text in the given fields.

DETAILS OF IRREGULARITY

1. Description of operation

1.1. Name of programme:

Please quote the name of the annual or multiannual operational programme under one of IPA components, or the form of assistance.

Format: Free text uninterrupted (without blank lines).

Examples: **RD – Multiannual ‘Environmental’ Operational Programme for Croatia**

1.2. Identification number:

Please quote the programme identification number.

Format: Free text uninterrupted (without blank lines).

1.3. Commission decision approving the programme:

Please quote the number and date of the EC Decision by virtue based on which the assistance was granted.

Format: Free text, date DD/MM/YYYY.

Example: **C/2007/6565-1, 13/12/2007.**

1.4. Name of measure and title of project:

Please give the number and the title of the priority axis together with the title of a project.

Measure

Format: Free text.

Example: **Priority 1: Developing Waste Management Infrastructure for Establishing and Integrated Waste Management System in Croatia**

Title of project

Format: Free text.

Example: Regional Waste Management Centre for the County of Istria

1.5. Beneficiary Country's project number:

If the operation was allocated a national reference number, please quote it.

Format: Free text.

2. Provisions infringed:

Please specify which Community or national (including contractual provisions) legislation has been infringed.

Format: Free text.

Example: **Article X of the Penal Code**

3. Date of first information leading to suspicion of irregularity:

Please indicate the date on which the first information leading to the suspicion of an irregularity was received. For example in the case of reporting by phone, the date of the telephone conversation should be given.

Format: DD/MM/YYYY

Example: **25/06/2008**

3.1. Source of first information leading to suspicion of irregularity:

Please indicate how you first became aware of the existence of the irregularity.

Format: Free text.

Example: **Informant, press report, audit, etc.**

4. Manner in which the irregularity was detected

4.1. Who detected the irregularity?

Please select from the list below a relevant authority which detected the irregularity

Format: Number and the authority.

Example: **10 – National administration**

List of authorities:

10 – National administration

20 – European Commission

30 – Court of Auditors

90 – Other

4.2. How was the irregularity detected?

Please select from the list below a relevant method of detection of the irregularity

Format: Number and method.

Example: **10 – Audit**

List of methods of detection:

10 – Audit

20 – Bankruptcy

30 – Control of products

40 – Control of documents ex-ante

45 – Control of documents ex-post

50 – On the spot control

60 – Informant

70 – Media

80 – Analysis

90 – Other

5. Type of irregularity:

Please select from the list below a relevant type of irregularity.

Format: Number and type.

Example: **102 - Incorrect accounts**

List of types of irregularity:

- 102 - Incorrect accounts
- 103 - Falsified accounts
- 104 - Accounts not presented
- 201 - Missing/incorrect /incomplete documents
- 213 - Falsified supporting documents
- 299 - Other cases of irregular documents
- 325 - Non-eligible expenditure
- 402 - Non-existing operator
- 405 - Irregular termination, sale or reduction
- 408 - Operator/beneficiary not having the required quality
- 601 - Failure to respect deadlines
- 608 - Refusal of control
- 609 - Refusal of payment
- 610 - Absence or incompatibility of contract
- 611 - Several requests for the same object
- 612 - Failure to respect other regulations/contract conditions
- 614 - Infringement of rules concerning public procurement
- 741 - Failure to fulfil commitments entered into
- 810 - Action not implemented
- 812 - Action not carried out in accordance with rules
- 822 - Expenditure incurred outside the contracting period
- 832 - Infringement with regard to the co-financing system
- 840 - Undeclared revenue
- 850 – Corruption
- 860 – Conflict of interest
- 999 - Other irregularities (to be specified)

5.1. Qualification of irregularity

Please qualify case as an irregularity or suspected fraud.

Irregularity⁵² - means any infringement of a provision of Community law resulting from an act or omission by an economic operator which has, or would have, the effect of prejudicing the general budget of the European Union by charging an unjustified item of expenditure to the general budget;

suspected fraud⁵³ - means an irregularity giving rise to the initiation of administrative and/or judicial proceedings at national level in order to establish the presence of intentional behavior, in particular fraud, such as is referred to in Article 1(1), point (a), of the Convention on the protection of the European Communities' financial interests;

established fraud – means ‘suspected fraud’ which has been the subject of a judgment which has the force of res judicata for fraud or any other illegal activity detrimental to the Communities' financial interests;

⁵² Council Regulation (EC) No 1083/2006, Art. 2 (7), OJ L 210, 31.07.2006, p.26.

⁵³ Commission Regulation (EC) No 1828/2006, Art. 27 (c), OJ L 371, 27.12.2006, p.27.

no irregularity – means that in the course of an administrative and/or judicial proceedings allegations of irregularity or fraud have not been confirmed;

NB: The case can not be qualified as no irregularity in the initial communication!

5.2. Practices employed in committing the irregularity:

Describe the practice employed (modus operandi).

Format: Free text.

Example: **Falsification of invoices by altering the original amounts.**

5.3. Are these practices considered new? Yes (), No (), Not known ()

Please tick as appropriate. It is up to the Beneficiary Country to decide whether the practices employed are new or not.

6. Are other countries involved: Yes () No () Not known ()

This heading applies to cases involving cross-border operations (participation in the programme by more than one State), or cases where the beneficiary is an international firm participating in actions such as investment projects or training courses in more than one State.

Format: Please tick as appropriate. See point 5.3; Free text in block capitals.

Example: **HUNGARY.**

6.1. If yes, has notification been sent? Yes (), date and references: , No (), Not known ()

Please tick as appropriate. If the answer is yes, please give the date and references of the communication.

Format: date DD/MM/YYYY; for the references: free text.

Example: **Yes (X) Date and reference: 26/05/2008 detailed information sent to Hungarian authorities.**

7. Period of irregularity

Indicate the date(s) on which, or between which, the irregularity was committed.

Format for the date: DD/MM/YYYY.

Example: **25/11/2008**

For the period: date of the beginning of the irregularity/ date of the end of the irregularity.

Format: DD/MM/YYYY – DD/MM/YYYY

Example: **13/05/2008 – 12/06/2008**

If this information is not known, please indicate this by using the first day of the month, the first month of the quarter (01, 03, 06, 09), the first day and month of the year if only the year is known

Example: **01/01/2008**

8. Date of Primary administrative or judicial finding:

“Primary administrative or judicial finding” means a first written assessment by a competent authority, either administrative or judicial, concluding on the basis of specific facts that an irregularity has been committed, without prejudice to the possibility that this conclusion may subsequently have to be revised or withdrawn as a result of developments in the course of the administrative or judicial procedure⁵⁴.

Format: DD/MM/YYYY

9. Authorities or bodies.

9.1. Authorities or bodies which drew up the Primary administrative or judicial finding:

Please name the authority or body which acted upon the initial discovery and drew up the official report using block capitals.

Format: Free text in block capitals, uninterrupted (without blank lines!!).

Example: **MINISTRY OF JUSTICE**

Address: ...

9.2. Authorities or bodies responsible for administrative or judicial follow-up:

Please name the authority or body which is responsible for the administrative or judicial follow-up using block capitals.

Format and example: see 9.1.

10. Name and address of natural and legal persons involved

10.1. Natural persons:

Please give the name, address, etc., of the person(s) involved in the irregularity.

Format: Text, but strict rules have to be followed.

A. surnames and first names have to be given in block capitals

B. special characters are to be avoided (e.g., \$, &);

C. indications like M, Mr, Mrs, etc., are to be avoided;

D. addresses have to be given in small print except for the first letter.

Example: **-Name: ABON**

-First name: PIOTR

-Address: Kurica 25

-Postal code: 2435

-City: Rjeka

-Country: CROATIA

-Function: Administrator

10.2. Legal persons:

⁵⁴ Definition from Art 27 Commission Regulation (EC) No 1828/2006 OJ L 371, 27.12.2006, p.27.

Please give the name, address, etc. of the legal person involved in the irregularity.

Format: Text, but strict rules have to be followed:

- A. names are to be given in block capitals
- B. special characters are to be avoided (e.g. -, \$, &);
- C. legal abbreviations like Ltd, Co, N.V, etc. are to be given in small print, after the name;
- D. addresses are to be given in small print except for the first letter;
- E. the same applies to references to cities or countries in the name of the firm (e.g. IBM ANKARA,)

Example: **-Name: TALKER Ltd**

-Registered Office: Wallstreet 900

-Postal code: 1529

-City: Medias

-Country: BOSNIA AND HERZEGOVINA

The name and address required are those of the company. If individuals working for the company are involved in the irregularity, this information should be entered under point 10.1.

If more names are to be provided as foreseen on page 3 of the form, please copy and paste fields under points 10.1 and 10.2.

NB. In order to comply with rules guaranteeing confidentiality of personal data, please do not refer to the names of physical or legal persons other than under points 10.1 and 10.2.

FINANCIAL ASPECTS

11. Total amount and distribution between sources of financing

11.1. Total amount of the operation:

Please indicate the total amount contracted in the operation. The amount mentioned has to equal the sum of points 11.2 and 11.3 (“11.1”=”11.2”+”11.3”).

The amount has to be in Euro throughout the whole Financial Aspects Section.

Amounts in national currency shall be converted into Euro using the monthly accounting exchange rate of the Commission in the month during which the expenditure was registered in the accounts of the Operating structure of the programme concerned⁵⁵.

Where the expenditure has not been registered in the accounts of the, Operating structure the most recent accounting exchange rate published electronically by the Commission shall be used⁵⁶.

Commission’s monthly accounting rate can be found at: <http://ec.europa.eu/budget/inforeuro/>

Format: 999999999999 currency. Do not separate the figures and do not use decimals. Leave space after the last figure, and then add the currency

Example: **22345000 EUR**

11.2. Community financing:

Please give the share of the amount financed by the Community.

Format: See point 11.1.

11.3. Beneficiary Country financing:

Please give the share of the amount financed by the Beneficiary Country. It should not include the private contribution.

Format: See point 11.1.

12. Nature of the irregular amount:

Please indicate the nature of the irregular amount found irregular.

Format: Free text.

Examples: **Salaries, computer equipment, funding of studies.**

13. Amount of the irregularity

13.1. Total irregular amount:

⁵⁵ See Art. 81(3) of the Council Regulation (EC) No 1083/2006, OJ L 210, 31.07.2006, p.61.

⁵⁶ See Art 36(2) of the Commission Regulation (EC) No 1828/2006, OJ L 317, 27.12.2007, p.32.

Please indicate the total amount **considered to be irregular**. The amount mentioned has to equal the sum of points 13.2, 13.3 (“13.1”=”13.2”+”13.3”)
Format: See point 11.1.

13.2. Community irregular amount:

Please give the Community share of the total irregular amount.
Format: See point 11.1.

13.3. Beneficiary Country irregular amount:

Please give the Beneficiary Country share of the total irregular amount.
Format: See point 11.1.

14. Financial consequences

14.1. Irregular amount under 13.1 already paid:

Please give the irregular amount that has been unduly paid to the beneficiary. The amount mentioned has to equal the sum of points 14.2 and 14.3 (“14.1”=”14.2”+”14.3”)

14.2. Community irregular amount under 13.2 already paid:

Please give the Community share of the irregular amount paid to the beneficiary.
Format: See point 11.1.

14.3. Beneficiary Country irregular amount under 13.3 already paid:

Please give the Beneficiary Country share of the irregular amount paid to the beneficiary.
Format: See point 11.1.

15. Irregular amount not yet paid

15.1. Irregular amount under 13.1 not yet paid:

Please give the irregular amount **not yet paid** to the beneficiary. The amount mentioned has to equal the sum of points 15.2 and 15.3 (“15.1”=”15.2”+”15.3”).
Format: See point 11.1.

15.2. Community irregular amount under 13.2 not yet paid:

Please state the Community share of the irregular amount **not yet paid** to the beneficiary.

15.3. Beneficiary Country irregular amount under 13.3 not yet paid:

Please state the Beneficiary Country share of the irregular amount **not yet paid** to the beneficiary. Format: See point 11.1.

15.4. Has the payment been suspended? Yes () No () Not Applicable ()

Please tick as appropriate.

16. Possibility of recovery:

Please give an assessment of the likelihood of recovery of the funds and state as far as possible the underlying reasons.

Format: Free text.

Example: **Possible** or **Not possible due to bankruptcy**.

17 Amount recovered

17.1. Total amount recovered:

Please state the amount recovered. The amount mentioned has to equal the sum of points 17.2 and 17.3 (“17.1”=“17.2”+“17.3”).

Format: See point 11.1.

Interest rates, penalties, etc. should be specified in the brackets and not included in the basic amount.

17.2. Community amount recovered:

Please state the Community share of the recovered amount.

Format: See point 11.1.

17.3. Beneficiary Country amount recovered:

Please state the Beneficiary Country share of the recovered amount.

Format: See point 11.1.

18. Amount to be recovered

18.1. Total amount to be recovered:

Please state the total amount to be recovered. The amount mentioned has to equal the sum of points 18.2 and 18.3 (“18.1”=“18.2”+“18.3”).

Format: See point 11.1.

Interest rates, penalties, etc. should be specified in the brackets and not included in the basic amount.

18.2. Community amount to be recovered:

Please state the community share of the amount to be recovered.

Format: See point 11.1.

18.3. Beneficiary Country amount to be recovered:

Please state the Beneficiary Country share of the amount to be recovered.

Format: See point 11.1.

NB: Total Irregular amount should equal the sum of amount not yet paid, total amount recovered and total amount to be recovered “13.1”=“15.1”+“17.1”+“18.1”. The amount unduly paid equals to

the amount recovered and to be recovered "14.1"=, "17.1"+"18.1". If due to exchange rates differences the sum is not equal, please, indicate that including exchange rate.

STAGE OF PROCEDURES

19. Action by Beneficiary Country:

Please select from the list below a relevant action taken following the detection of irregularity.

Format: Number and the name of action from the list.

Example: **20 – Judicial proceedings**

List of actions taken:

10 – Administrative proceedings is selected when a normal administrative recovery procedure is ongoing. If a concurrent judicial or penal procedure is on the way, the judicial/penal procedure prevails and is the one to be indicated.

20 – Judicial proceedings shows that the case is currently in front of a non-penal Court. If a concurrent administrative procedure is on the way, the judicial procedure prevails and is the one to be indicated.

30 – Special procedure is used when the amount affected by irregularity turns out to be irrecoverable and the Commission has been informed by means of a special report as required in Article 30 (2) of the Commission Regulation (EC) No 1828/2006.

40 – Penal proceedings is selected when the case is referred to a Penal Court. If a concurrent administrative procedure is on the way, the penal procedure prevails and is the one to be indicated.

50 – Procedures closed is selected when all recovery and related procedures are completed. This means also when the whole procedure is finalised and no irregularity is established or when the outcome of the procedure is that no amount has to be recovered.

20. Has the recovery procedure been abandoned? Yes () No () Not Applicable()

Please tick as appropriate.

21. Have criminal proceedings been abandoned?: Yes () No () Not Applicable()

Please tick as appropriate.

22. Sanction applied (administrative and/or judicial):

Please select from the list below a relevant sanction applied.

Format: Number and the name of a sanction from the list.

Example: **600 - National administrative sanction**

List of sanctions applied:

500 – No sanction imposed

550 – Sanction to be imposed

600 – National administrative sanction

640 – Removal of national subsidies

650 – Exclusion from future national subsidy

660 – Limitation of access to public procurement

740 – Exclusion from future Community subsidies

810 – Fine under penal law

820 – Imprisonment

890 – Other penal sanctions

900 – Other sanctions, to be specified

23. Additional observations:

Please give any additional information/comments which you consider relevant and which has not been covered in the above points.

24. Final communication: Yes () No ()

Please indicate ‘Yes’ if all administrative and/or judicial proceedings have been finalised and irregular amount has been recovered or declared irrecoverable. No further actions concerning communicated irregularity are foreseen.

In case of any questions on filling the form, please, do not hesitate to contact the following persons.

Auste Savickiene
e-mail: Auste.Savickiene@ec.europa.eu
tel: +32-2-295.36.56

Andrea Bordoni
e-mail: Andrea.Bordoni@ ec.europa.eu
tel: +32-2-296.77.37

fax: +32-2-295.97.59

OLAF – European Anti-Fraud Office
Directorate C – Operational and Policy Support
Unit C.2– Fraud Prevention and Intelligence
Rue Joseph II 30,
B-1049 Brussels
Belgium

ANNEX I - Irregularity report

CONFIDENTIAL

Case No: XX/9999/999/X/9

QUARTERLY COMMUNICATION OF IRREGULARITIES IN CONNECTION WITH THE INSTRUMENT FOR PRE-ACCESSION ASSISTANCE (IPA)

IDENTIFICATION OF COMMUNICATION

Beneficiary Country:

Case Number: XX/9999/999/X/9

Quarter:

(a) Quarter I ()

(b) Quarter II ()

(c) Quarter III ()

(d) Quarter IV ()

Date Sent: DD/MM/YYYY

Administrative Department in Beneficiary Country:

Contact Point: Name:

Fax:

Phone:

E-mail:

DETAILS OF IRREGULARITY

1. Description of Operation

1.1. Name of programme:

1.2 Identification number:

1.3. Commission decision approving the programme:

1.4. Name of measure and title of project:

1.5. Beneficiary Country's project number:

2. Provision Infringed:

3. Date of first information leading to suspicion of irregularity:

3.1. Source of first information leading to suspicion of irregularity:

4. Manner in which irregularity was detected

4.1. Who detected the irregularity?

4.2. How was the irregularity detected?

5. Type of irregularity:

5.1. Qualification of Irregularity:

- (a) No irregularity
- (b) Irregularity
- (c) Suspected Fraud
- (d) Established Fraud

5.2. Practices employed in committing the irregularity:

5.3. Are these practices considered new? Yes No Not known

6. Are other countries involved? Yes No Not Known

6.1. If yes, has notification been sent?

Yes Date and reference: No Not known

7. Period of irregularity:

8. Date of primary administrative or judicial finding:

9. Authorities or bodies

9.1. Authorities or bodies which drew up the Primary administrative or judicial finding:

9.2. Authorities or bodies responsible for administrative or judicial follow-up:

10. Name and address of natural and legal persons involved

10.1. Natural persons:

- Name:
- First Name:
- Address:
- Postal Code:
- City:
- Country:
- Function:

10.2. Legal persons:

- Name:
- Registered Office:
- Postal Code:
- Country:

FINANCIAL ASPECTS

11. Total amount and distribution between sources of financing

11.1. Total amount of the operation:

11.2. Community financing:

11.3. Beneficiary Country financing:

12. Nature of the irregular amount:

13. Amount of the irregularity

13.1. Total irregular amount:

13.2. Community irregular amount:

13.3. Beneficiary Country irregular amount:

14. Financial consequences

14.1. Irregular amount under 13.1.already paid:

14.2. Community irregular amount under 13.2.already paid:

14.3. Beneficiary Country irregular amount under 13.3 already paid:

15.1. Irregular amount under 13.1 not yet paid:

15.2. Community irregular amount under 13.2 not yet paid:

15.3. Beneficiary Country irregular amount under 13.4 not yet paid:

15.4. Has the payment been suspended? Yes () No () N/A ()

16. Possibility of recovery:

17. Amount recovered

17.1. Total amount recovered:

17.2. Community amount recovered:

17.3. Beneficiary Country amount recovered:

18. Amount to be recovered

18.1. Total amount to be recovered:

18.2. Community amount to be recovered:

18.3. Beneficiary Country amount to be recovered:

STAGE OF PROCEDURES

19. Action by Beneficiary Country:

20. Has the recovery procedure been abandoned? Yes () No () N/A ()

21. Have criminal proceedings been abandoned? Yes () No () N/A ()

22. Sanction applied (administrative and/or judicial):

23. Additional observations:

24. Final communication: Yes () No ()

ANNEX II – List of responsible Directorate Generals

COMPONENT I - THE TRANSITION ASSISTANCE AND INSTITUTION BUILDING

European Commission
Directorate General Enlargement
Rue de la Loi 170
B – 1049 Brussels
Belgium

COMPONENT II - CROSS-BORDER COOPERATION

European Commission
Directorate General Regional Policy
Rue Pere de Deken 23
B-1040 Brussels
Belgium

COMPONENT III – REGIONAL DEVELOPMENT

European Commission
Directorate General Regional Policy
Rue Pere de Deken 23
B-1040 Brussels
Belgium

COMPONENT IV - HUMAN RESOURCES DEVELOPMENT

Directorate General Employment, Social Affairs and Equal Opportunities
Rue Joseph II 54
B-1000 Brussels
Belgium

COMPONENT V – RURAL DEVELOPMENT

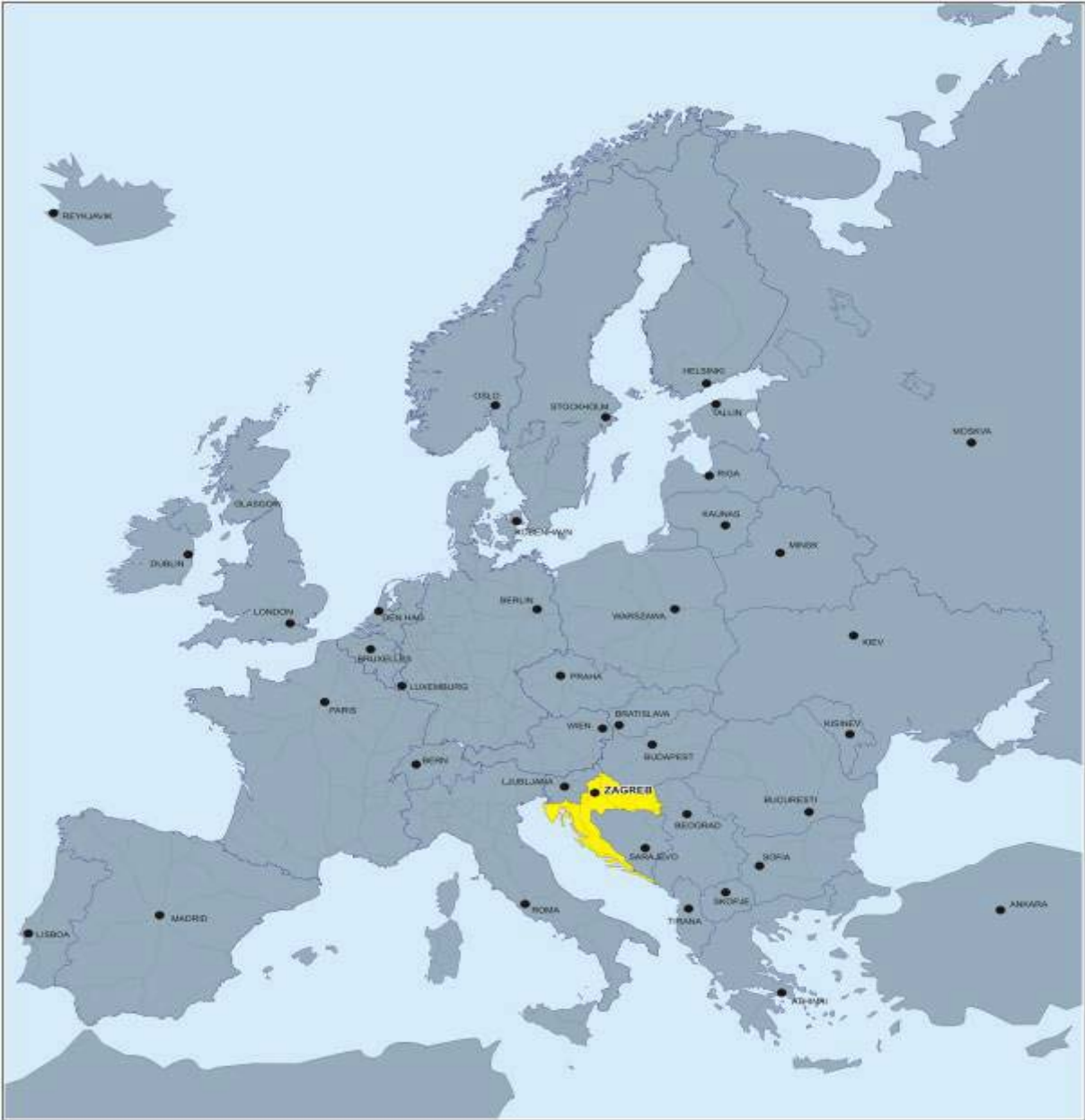
European Commission
Directorate General Agriculture and Rural Development
Rue de la Loi 130
B – 1049 Brussels
Belgium

ANNEX XIX

- a) **The operational programme adopted by Commission Decision C(2007)6051 of 7 December 2007**



REPUBLIC OF CROATIA
MINISTRY OF THE SEA, TOURISM, TRANSPORT AND DEVELOPMENT



**TRANSPORT OPERATIONAL PROGRAMME 2007-2009
INSTRUMENT FOR PRE-ACCESSION ASSISTANCE
2007HR16IPO002
September 2007**

Republic of Croatia – Integral Part of the Greater European Transport Network

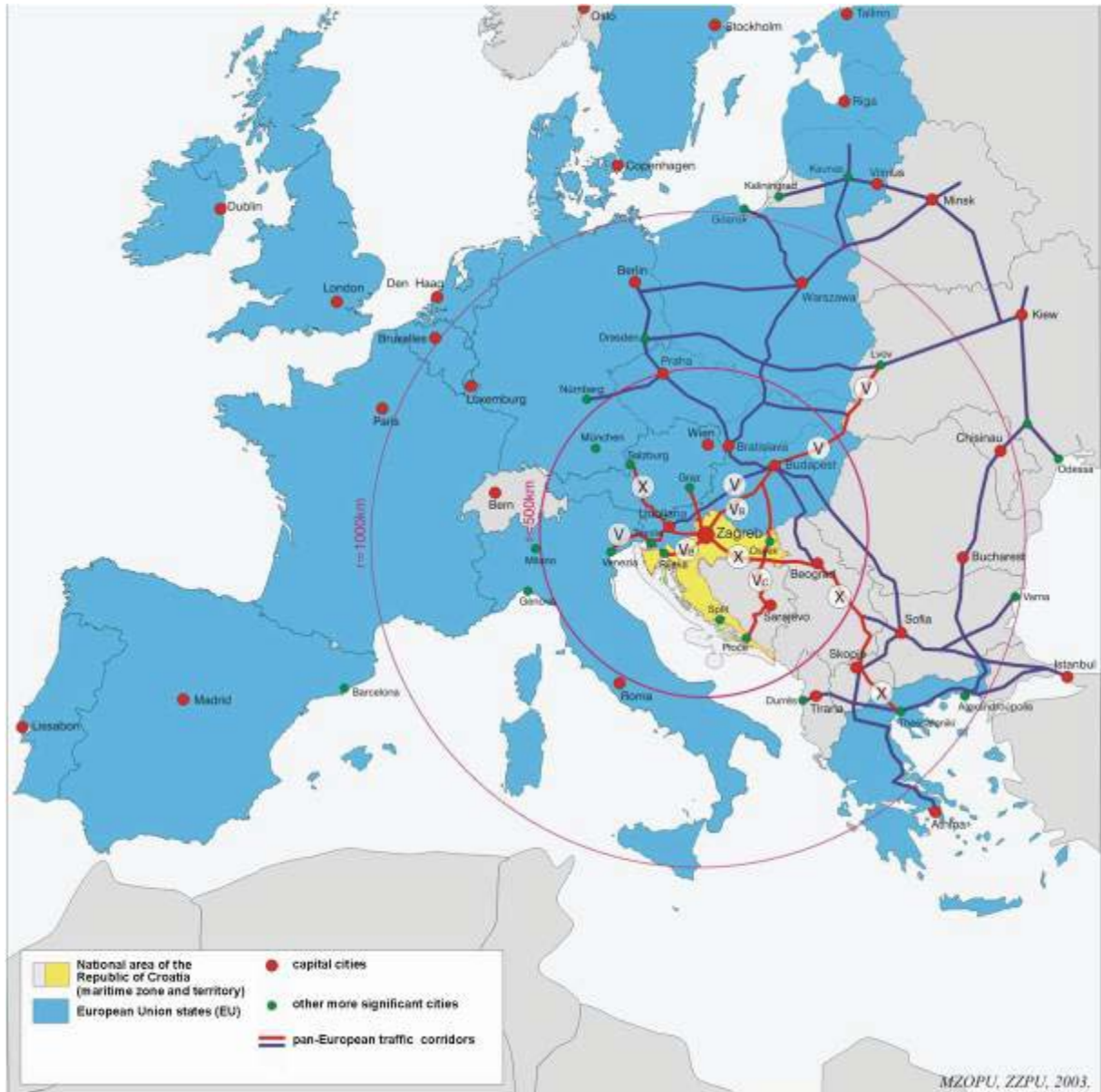


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GLOSSARY OF ABBREVIATIONS

AADT	Average annual daily traffic
AGC	European Agreement on Main International Railway Lines
AGN	European Agreement on Main Inland Waterways of International Importance
AGTC	European Agreement on Important International Combined Transport Lines and Related Installations
AP	Accession Partnership
ASDT	Average summer daily traffic
ATP	Automatic train protocol
CARDS	Community Assistance for Reconstruction, Development and Stabilisation
CBS	Central Bureau of Statistics
CFCU	Central Finance and Contracting Unit
CODEF	Central Office for Development Strategy and Coordination of EU Funds
COTIF	Convention concerning International Carriage by Rail
CRO-NEN	Croatian National Ecological Network
DG	Directorate-General
DG TREN	EC Directorate-General for Transport and Energy
EC	European Commission
EIA	Environment Impact Assessment
EIB	European Investment Bank
EIRR	Economic internal rate of return
EU	European Union
EUR	Euro
FIRR	Financial internal rate of return
GDP	Gross Domestic Product
GHG	Greenhouse gas emissions
HLG	High level group
IFI	International financial institution
IPA	Instrument for Pre-Accession Assistance
IWG	Inter-ministerial working group
km	kilometre
km ²	square kilometre
M	million
MAP	Multi-annual plan
MIPD	Multi-Annual Indicative Planning Document
MSTTD	Ministry of Sea, Tourism, Transport and Development
NGO	Non-Governmental Organisation
NUTS	French - <i>nomenclature des unités territoriales statistiques</i> - Nomenclature of Territorial Units for Statistics
OG	Official Gazette
OP	Operational Programme
OTIF	Intergovernmental Organisation for International Carriage by Rail
PEP	Pre-accession Economic Programme
PPP	Purchasing Power Parity
RCOP	Regional Competitiveness Operational Programme
REBIS	Regional Balkans Infrastructure Study
RoC	Republic of Croatia
SAA	Stabilisation and Association Agreement
SCF	Strategic Coherence Framework
SCI	Sites of Community Interest
SDF	Strategic Development Framework for 2006-2013
SEETO	South East Europe Transport Observatory
SME	Small and Medium Enterprises
SWOT	Strengths-Weaknesses-Opportunities-Threats
TA	Technical Assistance
TEN-T	Trans-European Network for Transport

TER Trans-European Railway Project
TINA Transport Infrastructure Needs Assessment
TIRS Transport Infrastructure Regional Study for Balkans
TOP Operational Programme for Transport
UN United Nations
UN-ECE United Nations Economic Commission for Europe

INTRODUCTION

The Republic of Croatia is one of three candidate countries currently preparing for EU accession. It attained the status of accession country in June 2004 and accession negotiations were opened with Croatia in October 2005.

Croatia currently benefits from various pre-accession financial instruments provided by the European Union, relevant to the transport sector, namely ISPA (Instrument for Structural Policies for Pre-Accession) for transport and environment, and Phare for institution-building and economic and social cohesion.

From 2007, the ISPA programme has been replaced by **IPA** (Instrument for Pre-Accession Assistance). In order to ensure an uninterrupted structural adjustment process in the transport sector and the utilisation of the finance under IPA Component III – Regional Development, Croatia has drafted a **Transport Operational Programme (TOP)**. The TOP covers a three-year rolling period (2007-2009), building on the initiatives funded by previous EU programmes, particularly ISPA. It also offers an outlook on the programming period after 2009.

The present Operational Programme for the 2007-2009 period covers key issues and information, such as general policy and socio-economic context, transport policy background, status of transposition of EU *transport acquis* into national legislation, transport sector assessment and subsequently, strategies and measures to meet transport sector development needs in line with accession requirements, including indicators to monitor and assess the implementation of the TOP.

Transport infrastructure development is considered essential for economic and social development and the promotion of inter-regional exchange. It is an instrument of regional development, facilitating the flow of goods, as well as the access of people to employment, health, education and recreation. Former experience in the framework of EU enlargement demonstrates that improved rural / regional access and links to the arterial network, particularly among peripheral regions, is necessary for economic and social cohesion and the alleviation of regional disparities.

Croatia is intersected by **Pan-European transport corridors V, VII and X** and their branches. Due to its geographic position, the Republic of Croatia is highly significant in terms of the establishment of effective links between the Western Europe and the Balkans, and in terms of the connection between the Central Europe area and the Adriatic Sea and the Mediterranean.

The Transport Operational Programme for 2007-2009 reflects the guiding principles of the Commission's **Multi-annual Indicative Planning Document (MIPD)**⁵⁷ which is the strategic document for IPA. It also directly relates to one of the priorities set out in **Croatia's Strategic Coherence Framework (SCF)**⁵⁸ and reflects **EU and national transport sector development policies**.

To achieve transport sustainability a holistic planning approach - taking into consideration the entire transport system (all modes) - has been taken in the drafting of the present TOP. This approach has been taken to ensure that the policies adopted in the various transport sub-sectors (modes) are well **coordinated and complement** existing EU, IFI and other assistance, and hence, that the respective implementation measures are mutually beneficial.

The **medium-term assessment of needs and objectives** shows that the existing network of primary roads, sea ports, motorways and aviation in Croatia is comparatively well-developed and provides good area coverage, but suggests that there is a clear backlog of infrastructure rehabilitation and modernisation in the railway and inland waterways sub-sectors, both of which have lost out heavily in the share of the transport market.

In order to guarantee the development of a balanced network that includes all modes of transport, the **2007-2009 TOP** focuses on the **railway and inland waterways sub-sectors**, with the ultimate goal of

⁵⁷ MIPD, C(2007) 2566 of 20/06/2007

⁵⁸ Strategic Coherence Framework (SCF), adopted by the Croatian Government on 25/5/2007, adopted by the EC on 18/6/2007, <http://www.strategija.hr/fgs.axd?id=451>

achieving acceptable standards and network coverage, improving interoperability and strengthening inter-modal competitiveness.

The TOP's strategy for the development of the railway and inland waterways sub-sectors is consistent with the strategic priorities for the sub-sectors expressed in earlier regional development studies, particularly the most recently adopted **South-East Europe Core Regional Transport Network Development Plan 2007-2011**.⁵⁹

With regard to the **railway sub-sector**, the measures and projects proposed by the TOP are the logical continuation of current ISPA railway rehabilitation measures carried out on Rail Corridor X, which cover the modernisation of the section of the line from Vinkovci to Tovarnik, and from Tovarnik to the Eastern State Border. Moreover, the railway priority projects included in the indicative project list for the period 2007-2009 address the weakest sections of rail corridor, in terms of operational standards.

Concerning the **inland waterway sub-sector**, although there is an urgent need for rehabilitation work to be carried out in the sub-sector, no sufficiently mature projects are available at this moment in time to be presented for IPA funding in the 2007-2009 period. It is, however, expected that the ongoing pre-feasibility study conducted by the **Sava River Commission** will result in viable project proposals which will then be addressed in the 2010-2013 programming period. Moreover, technical assistance is foreseen for the preparation of the Vukovar port project.

Apart from the Zagreb Main Station Signalling and Interlocking System project, which is already in an advanced preparation phase, other identified Corridor X railway priority projects are generally at an early stage of project preparation and lack the required financial/economic project viability assessment, technical detailed specification and environmental impact analysis and financial engineering. The preparations of projects, as well as the use of the technical assistance to reinforce administrative capacity for implementation of financial assistance delivered under the present TOP, are therefore future priorities.

The measures and projects proposed for co-funding under IPA will be of a sufficient scale to have a measurable effect on the improvement of Croatia's transport network and administration, which will be assessed through **monitoring indicators**.

Community assistance under IPA takes the form of non-repayable direct assistance. The total co-financing is determined by the **Multi-Annual Indicative Financial Framework (MIFF)**⁶⁰ for the Instrument of Pre-Accession Assistance (IPA), which is designed to provide information on the indicative breakdown of the overall IPA envelope proposed by the Commission in accordance with article 5 of the IPA Regulation (EC) 1085/2006. The EU co-financing amounts altogether to **€ 53,500,500 for the three year period of the present TOP, equivalent to EU co-financing rate of 75%**.

The **expected overall impact** of the TOP is the following:

- ✓ Development benefits - assistance in achievement of EU transport *acquis* related and international standards; management of change in the volume of travel on Pan-European railway corridor X; and
- ✓ Learning benefits - equipping Croatia with the institutional capacity to manage Structural Funds-type interventions in the transport sector; this capacity will give the institutions involved valuable experience in preparation for eventual EU membership and its associated responsibilities.

The **operational objectives** of the Operational Programme for 2007-09 are to:

- Increase/improve inter-operability along Railway Corridor X
- Improve railway services quality, reliability and efficiency along Corridor X;
- Preparation of projects for railway corridor X;

⁵⁹ SEETO, South-East Europe Core Regional Transport Network Development Plan MAP 2007-2011. November 2006

⁶⁰ Multi-Annual Indicative Financial Framework for 2008-2010, Brussels, 8.11.2006, COM(2006) 672 final

- Preparation of projects to rehabilitate the Sava river waterway, by making navigational improvements to bring the waterway closer to international IV category navigation status;
- Preparation of Vukovar port project
- By means of Technical Assistance, support the implementation of the OP and the strengthening of relevant institutions.

The following table shows at a glance the main elements of the TOP for the period under review, presented according to the “**priority axis – operational objective – measure**” logic, which is central to the indicative project selection undertaken in the present TOP.

Operational Programme for Transport 2007-2009: AT A GLANCE

Medium-term needs	Priority Axes	TOP operational objective	Delivered through projects under the following measures:
Increase railway efficiency, reliability and competitiveness	1 - Upgrading Croatia's rail transport system	Increase/improve interoperability along Rail Corridor X; Improve railway services quality, reliability and efficiency along Corridor X	- Line up-grading and modernisation - Improvement of the safety and efficiency of railway operations
Upgrade port infrastructure and improve navigation standards	2 - Upgrading Croatia's inland waterway system	Rehabilitate the port of Vukovar and the Sava river waterway - navigational improvements towards category IV navigational status	- Modernisation and rehabilitation of river waterways and port infrastructure
Manage the OP and institutional strengthening	3 – Technical assistance	Use of EU assistance in a timely and technically acceptable manner	- Programme management and capacity-building and activities connected with future project identification

To determine the final order in which the various interventions will be implemented, measures will be subject to a further detailed analysis, taking into account the IPA criteria. It is proposed that this further analysis takes the form of feasibility screening, sensitivity tests and ranking of the projects in order of suggested implementation.

1. CONTEXT, CONSULTATION AND COORDINATION

1.1 NATIONAL POLICY AND SOCIO-ECONOMIC CONTEXT

This section reviews the key economic statistics and trends relative to Croatia and their implications for national transport policy. It then reviews the hierarchy of the strategy documents which govern transport policy in Croatia from the Strategic Development Framework (SDF)⁶¹ through to the Transport Development Strategy Paper and other relevant sector strategies, to the specific investment and sub-sector management strategies and the National ISPA Transport Strategy⁶². It then summarises the key public institutions tasked with developing and implementing these strategies. Finally, it describes the status of Croatia's own legal framework in relation to the transport sector.

1.1.1 Economic and social indicators⁶³

The independent state of the Republic of Croatia has a population of 4.44 million (the latest available estimates for 2006) currently at a zero growth-rate, and a surface area of 56.5 thousand sq. km, comprising 1246 islands.

The geographical shape of the Republic of Croatia and its territorial connection to both northern lowland transport routes and to the eastern coast of the Adriatic Sea, highlights the vital significance of transport infrastructure for national development, and the need to establish efficient inland and sea connections with South-Eastern and Central European countries, and through the territory of Croatia.

The Republic of Croatia is characterised by a significant concentration of population in a few regional centres. The highest population density is in the Capital City of Zagreb, 7.5 times higher than that of the county with the second highest concentration (Međimurje), and 15.5 times higher than the Croatian average (78.4 inhabitants/km²). The particular geographical shape and population distribution of the country impacts on the development of transport infrastructure and services.

As regards recent **macro-economic developments**, following the implementation of the stabilisation programme in 1993, which was aimed primarily at halting hyperinflationary trends, the Croatian economy had an established record of relatively stable growth and low inflation.

After the war, increased private consumption, recovering tourism, large investments (mainly in road construction) and a recovery in exports brought the Croatian economy, in the year 2000, back to positive real GDP growth rates (2.9%), growing to 4.8 % in 2006.

Expressed in current prices, GDP per capita reached 7,037 EUR in 2005 and 7,704 EUR in 2006. According to first releases of Eurostat, in 2006, GDP p.c. measured by the PPP was close to 50% of the EU-27 average⁶⁴ while preliminary estimates with the grey economy included, point towards the level of income close to 60% of the EU-27 average.

Since 2004, the Government has reduced the **fiscal deficit**, improved transparency and the budgeting processes. Fiscal performance is reflected in the net reduction of the fiscal deficit from 4.8% of GDP in 2004 to 4.0% of GDP in 2005. In 2006, fiscal deficit fell further to 3% of GDP. Such a performance is mainly based on strong revenue growth caused by vigorous economic performance and increased efficiency of the Tax Administration in the collection of taxes as well as the moderation in spending. According to the Economic and Fiscal Policy Guidelines 2008-2010, in 2007 Croatian Government aims to further decrease fiscal deficit to 2.6% of GDP.

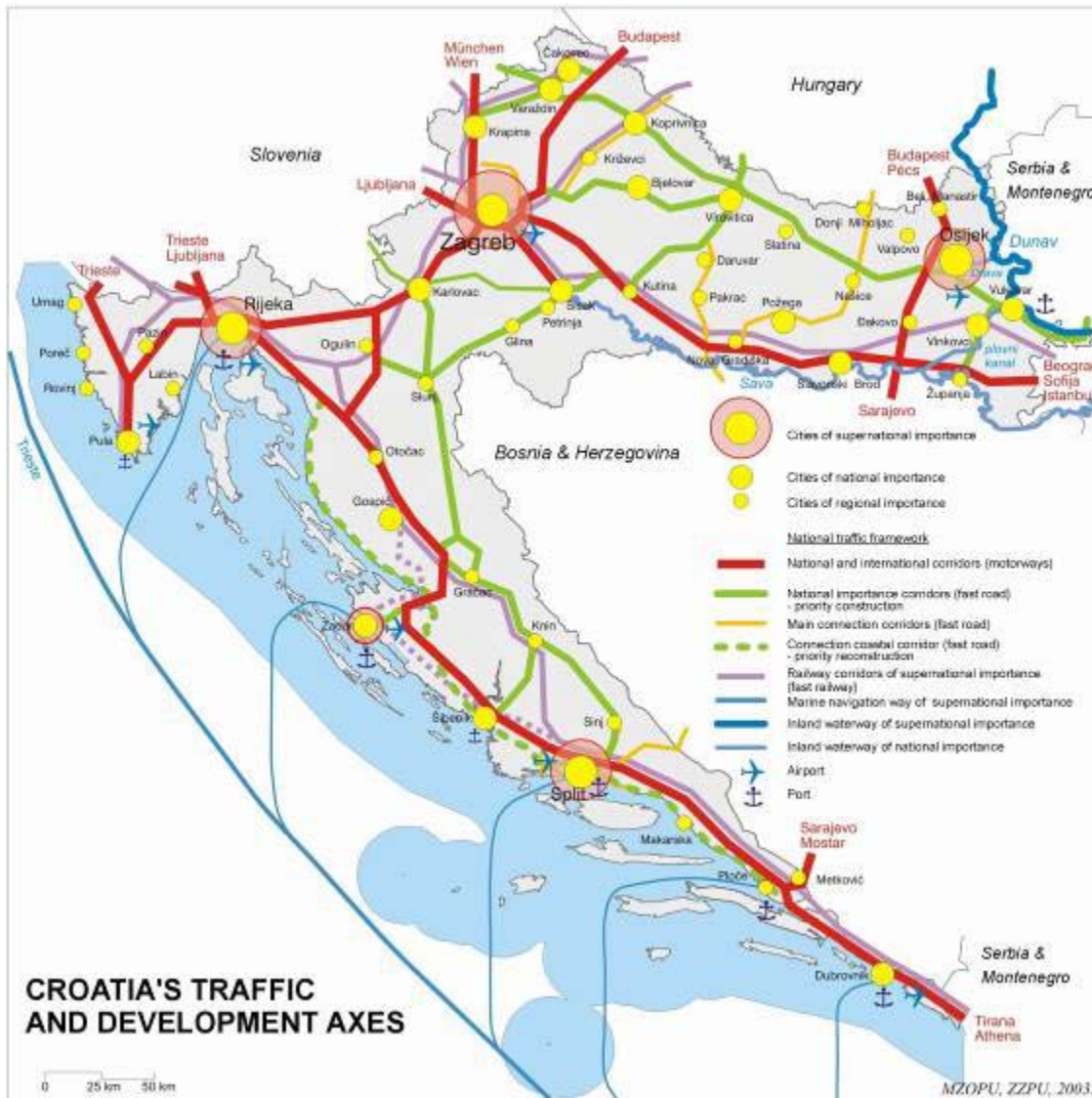
⁶¹ SDF, Adopted by the Croatian Government on 3 August 2006, <http://www.strategija.hr/fgs.axd?id=230>

⁶² National ISPA Strategy for Transport, Adopted by the Ministry of Sea, Tourism, Transport and Development on 15/12/2005

⁶³ Statistical data used in the document are those available in August 2007

⁶⁴ However, Croatian and EU statistics are not fully comparable since Croatia does not adjust GDP figures for the effects of grey economy.

Picture 1 - Croatia's Traffic and Development Axes



Croatia has had low **inflation** rates since 1994. Since then, average annual consumer price inflation amounted to 3.4%. It increased considerably from 2.1% in 2004 to 3.3% in 2005 and fell to 3.2% in 2006. Inflation remained stable and relatively low due to several factors; appreciation of the HRK/EUR exchange rate, slow nominal wage increase, mild labour productivity growth, and intense competition in the retail trade.

The lasting track-record of low inflation is underpinned by the monetary policy determined by the Croatian National Bank whose primary objective has been low inflation. It is being supported by the stable **exchange rate** through the “managed float regime”. In the period between 2001 and 2006, fluctuations in the average monthly HRK/EUR exchange rate have not exceeded a narrow +/-4% band. In the context of high euroisation within the Croatian financial system, the Croatian Central Bank is continuing to tightly manage the EUR/HRK exchange rate, as it is the key instrument for curbing inflationary expectations in the country, and also influences the price stability of imports from the euro-zone.

The **unemployment rate**, measured according to ILO labour survey methodology, has continued to decline steadily. In 2000 the unemployment figure measured by the Labour Force Survey stood at 16.1%;

this figure had fallen to 12.7% by 2005. In 2006 it declined to 11.2%. In 2005 the average nominal net wage totalled 599,5 euros and in 2006 it increased to 630,5 euros. The service sector is the leading sector for job creation in Croatia. In 2006 the labour market revealed positive trends, but improvement is still needed in this area, particularly in relation to the gaps between demand and supply in the labour market.

Public debt is below the Maastricht criterion of 60%. General government debt amounted to 40.8% of nominal GDP at the end of 2006; while public sector debt (total general government debt including issued government guarantees) totalled 46.4% of GDP in nominal terms at the end of 2006.

However, Croatia is currently faced with challenges in the context of external vulnerability. **The annual current account deficit** rose from 5.1% of GDP in 2004, to 6.4% of GDP in 2005, increasing to 7.8% of GDP in 2006. Generally speaking, the deficit was caused by a lower growth in manufacturing exports and increased growth in merchandise imports compared to last year, and by higher net factor payments to non-residents; tourism revenue traditionally contributed to the surplus in services. A continuous savings-investment gap led to high **external debt** which, at the end of 2006 amounted to 29.2 bln EUR, while the ratio of external debt to GDP stood at 85.3%. In order to reduce external vulnerability and external public debt, the Government last year increased borrowing, primarily through issuing bonds and treasury bills, and taking loans on the domestic market, thereby lowering its share of total external debt from 31.6% in 2004 to 22.8% in 2006. Consequently, the increase in the external debt was driven mostly by the external borrowing of other sectors (among which, commercial banks and domestic enterprises).

Regarding **structural reforms**, various positive steps have been taken; however, these steps must be reinforced in order to further improve economic performance. In order to improve the climate for business, Croatian authorities introduced a series of measures e.g. the introduction of e-Government – a service intended to speed up and improve communication between the Government, the business community and citizens; the expansion of hitro.hr (one-stop-shops) intended to reduce the time necessary to start up a company or a craft; electronic registration of crafts, electronic submission of specifications for payment of compulsory contributions per insured person; access to data from the land registry, the content of which has been expanded with cadastral data; and, the electronic submission of VAT applications for commercial entities. Further positive examples include the establishment of entrepreneurial zones, a project focusing on streamlining and simplifying the legal framework connected with doing business in Croatia (regulatory guillotine), and the development of incentives to decrease tax burden of legal entities through reduction of “hidden fees”. Furthermore, a reform of health-care financing is under way, as well as a reform of social welfare focused on consolidation of various social benefits and the simplification and better targeting of the whole system. The banking sector is growing steadily, while the agency for supervision of non-banking financial sector was established at the beginning of 2006. Further privatisation of the state oil company INA was performed through an initial public offering of 15% of all its stocks. Capital markets have recorded a strong growth – the equity index of the Zagreb stock exchange, CROBEX, grew 60.7% during 2006. The merger of Zagreb and Varaždin stock exchanges, executed at the beginning of 2007, should result in further opportunities for the development of the non-banking sector within the financial system.

In spite of these positive trends, many serious issues still remain to be tackled. Further improvement of the business climate cannot be achieved without the continuous cutting of red-tape, the streamlining and vigorous modernisation of the state administration, the reform of justice and the fight against corruption; all of which should contribute to the enforcement of market entry and exit, as well as to the enforcement of creditor and property rights. Restructuring and privatisation efforts should be continued, particularly in the area of shipbuilding, as well as in the context of the remaining state-owned tourist companies.

1.1.2 Policy expectations in the short to medium term period

The key challenges in the next three years will remain the tackling the external vulnerability, the realisation of structural reforms and further fiscal consolidation. This is especially important in the context of high costs connected with the accession process, the exact measure and level of which will be defined in more detail as the negotiation process continues and the exact requirements become clearer.

According to *the Pre-accession Economic Programme 2007 – 2009*⁶⁵, and Economic and Fiscal Policy Guidelines 2008-2010, adopted by the Government at the end of 2006 and mid 2007 respectively, the Government plans a set of policy measures aimed at reducing public deficit, public debt and external debt as well as reinvigorating the privatisation process. On the expenditure side, it will continue with the planned reform of the health insurance and social benefits, and the planned reforms in the area of privatisation of large state-owned enterprises. In order to develop a domestic yield curve and to reduce external vulnerability, the Government will continue primarily borrowing on the domestic market. On the income side, it plans to step up reforms in the process of tax collection in order to improve its efficiency. The foreseen structural reforms should result in the reduction of general government expenditure according to GFS 1986 methodology (from 47.8% of GDP in 2006 to 43.1% of GDP in 2010), as well as the reduction of general government deficit from 3.0 of GDP in 2006 to 0.5% of GDP in 2010. Furthermore, the reduction of public debt (sum of the general government debt and guarantees) is projected from 46.4% of GDP in 2006 to 37.1% of GDP in 2010 (source: Economic and Fiscal Policy Guidelines 2008-2010). Monitoring of the International Monetary Fund will be limited to the Article IV consultations, which are to take place once a year; however, it is expected that the monitoring of the European Union will become more intense as the accession process goes on. The Government plans to establish policy credibility by moving forward with fiscal consolidation and necessary structural reforms, but of outmost importance is creating a business-friendly environment that will turn investment interest into actual projects and create new jobs.

1.1.3 Implications for Croatian transport policy

The Republic of Croatia is today well-integrated into the international trade system. Due to the progress which has been made on the realisation of major reform programmes and investments, Croatia is generally considered to be a functioning market economy “able to cope with the competitive pressure and market forces within the European Union”, as most recently confirmed by the European Commission^{66, 139}.

Transport policy has an important contribution to make to both enhancing the growth of Croatia and addressing regional disparities between counties. For example, GDP per capita in the least developed counties of Vukovar–Sirmium and Brod-Posavina amounts to only 57.5% of the weighted national average, and is correlated with a very high unemployment rate, far above average.⁶⁷ Development bottlenecks, characteristic for areas lagging behind the national development average, include poor transport and technological infrastructure. General experience from elsewhere in Europe is that lack of accessibility contributes to depopulation trends and social exclusion, low skills bases, long-term unemployment, and an ageing population structure.

The adequate provision of “public transport services”, including railways, is considered an important ingredient for the improvement of the socio-economic situation of under-developed areas, and will have to be balanced against the arguments for closing loss-making lines.

The challenge of reform and investment continues in the transport sector, particularly in the context of negotiations for accession to the EU, where transport is highly liberalised, competitive and market-oriented.

In light of ongoing fiscal consolidation, Croatia has employed innovative financial solutions to meet future investment demands, especially in the infrastructure sector. One option is to use public finance to lever in IFI and private capital for infrastructure investment, a strategy adopted by the Government in the motorway and ports sector.

Privatisation, in the sense of outsourcing of non-core activities, is an issue for the state owned Croatian Railways Group. The former company Croatian Railways Ltd. underwent restructuring which resulted in

⁶⁵ PEP, Adopted by the Croatian Government on 30/11/2006

⁶⁶ EC Croatia 2005 Progress Report (COM(2005)561 final)

⁶⁷ Strategic Coherence Framework (SCF), adopted by the Croatian Government on 25/5/2007, adopted by the EC on 18/6/2007, <http://www.strategija.hr/fgs.axd?id=451>

five main companies and a number of dependant companies. In fact, respective privatisation measures have already been programmed under the IBRD's PAL II loan.

Apart from the increased competition to be expected from EU integration, future transport development policy will need to take proper account of several macro-economic effects which can be expected to strongly impact on Croatian transport sector investments and services such as:

- Increased “Europeanisation “ of the transport business and hence, the growing importance of national and international alliances, which implies closer cooperation between railway undertakings, complementary modes of transport and industries;
- Diversification of services in response to continuous changes in the pattern of trade, or in the commodity structure, towards an increasingly higher value-added production system;
- Increased specialisation, due to the growth of the complex system of “logistics chain management”, which is replacing the traditional system of distribution.

1.1.4. Transport Policy Framework

A multitude of internal as well as external policy documents and international initiatives determine the orientation of national transport policy in Croatia, as follows:

Transport infrastructure development

The central internal document is the **Strategic Development Framework 2006-2013 (SDF)**⁶⁸, it sets the main starting points for the further development of infrastructure for the transport sector:

- To strengthen market mechanisms for the development and use of infrastructure, and
- To develop a modern system of infrastructure management based on information technology, and a sustainable system for the financing of its construction and maintenance,

and defines the main goals accordingly:

- to harmonise the degree of development, quality and security of the transport infrastructure
- to promote ecological sustainability in transport and energy

The SDF also recalls the development priorities for transport formulated in the national “**1999 Transport Development Strategy Paper**”⁶⁹, which in essence established the following priorities:

- Balanced development of the transport system as one of the basic goals relating to the overall creation of social and economic balance
- Connecting the Republic of Croatia with its European and regional neighbours as the primary goal in relation to transport development as a function of international communication
- Adaptation of networks to the new political and economic environment, and their modernisation in accordance with general developments in world transport
- Reviewing the participation of individual transport sectors in the overall transport sector with the aim to effect the redistribution of traffic among transport routes and with a view towards inter-modality.
- Orientation towards a higher level of safety in the transport sector
- Increase of environmental awareness and the definition of environmental criteria for use in the transport sector.

The **National ISPA Transport Strategy (2005)**⁷⁰ identifies the country's priority railway investment projects; this was the basis for Croatia's investment planning for the use of 30M€ allocated to the country

⁶⁸ SDF, Adopted by the Croatian Government on 3 August 2006, <http://www.strategija.hr/fgs.axd?id=230>

⁶⁹ Adopted by Croatian Parliament on 12/11/1999 (OG 139/99)

under the ISPA transport measure for the period 2005-2006 (more details in section 3.4.2.). These funds will make a limited contribution to meeting the full and substantial needs of Croatia in this policy area; however, the indicative list of projects in the National ISPA Strategy represent the priority investments for further investment in the railway sub-sector, which will contribute to meeting the goals for the upgrading of the railway network. The list has been up-dated with new priority projects (inland waterways) for IPA investments, and their state of readiness is described in section 3.5 of this TOP.

The Ministry has prepared drafts of an **Inland Ports Five-Year Development Plan** and an **Inland Waterways Five-Year Development Plan**, which are currently in the phase of inter-institutional consultation. The development strategy in relation to the infrastructure of inland waterways is targeted at increasing the safety and efficiency of inland navigation. Waterway regulation must correspond with the needs of the users, which means ensuring smooth and safe navigation for ships with maximum draughts in accordance with the class of the waterway. In practice this means ensuring a minimum depth of 2.5 m for 300 days per year (international waterway class).

Croatian inland waterways are specific in that most of the waterways are rivers which follow Croatia's borders. In consequence, the river bed regulation projects should be coordinated with neighbouring countries. Croatia considers these joint projects a priority, taking into account the fact that they help to establish better transport connections between countries, and help to create preconditions for joint economic prosperity.

Croatian river ports require qualitative and technological modernisation in order to satisfy the existing and expected transport demand. Along with the modernisation of the basic port infrastructure, the system of safety and surveillance in the port area should also be enhanced. Ports need to connect with main road and rail corridors in order to achieve better integration with the economic hinterland and to create preconditions for the development of inter-modal transport.

Environment policy related issues

The declared objective of the National Transport Strategy is to develop a transport sector which is in harmony with Croatian development needs, while also being internationally compatible, that is, integrated into the Pan-European transport structure. This approach takes into account overall objectives for the economic and social development of the Republic of Croatia, needs of future generations, and requirements relating to environmental protection, regional development and national defence. Transport policy in Croatia has long and well-established links to environment policy, which were developed to minimise the possible negative consequences of transport sector developments on the economy, society and the environment. Since 1980, environmental impact assessments (EIAs) have been obligatory prior to the issuance of location permits for all structures that might have adverse effects on the environment; transport structures fall within this category.

The basic determinants of these obligatory studies are:

- To enable the existence of plant and wild life species typical for Croatian bio-geographic conditions,
- To approve the construction of new infrastructure projects based on good quality environmental information, checked and verified by the competent authority, in accordance with Croatian regulations.

In addition, the physical planning system used for land use planning and protection was developed in the 1970s. The primary document in the hierarchy of physical/area planning documents in this regard is "**The Strategy and the Programme of Physical Planning of the Republic of Croatia**"⁷¹, in which the entire road network of the country is set out and detailed at regional and county level. This Strategy and

⁷⁰ National ISPA Strategy for Transport, Adopted by the Ministry of Sea, Tourism, Transport and Development on 15/12/2005

⁷¹ Developed by the Ministry of Environmental Protection, Physical Planning and Construction (MEPPPC)

Programme must be approved by the Croatian Parliament after the conducting of a public hearing which includes also the environmental issues.

In the field of environmental protection, the Republic of Croatia is currently undergoing preparations for the transposition of procedures with respect to Strategic Environmental Assessments (SEA) of plans and programmes (Directive 2001/142/EC) into national legislation. This will be achieved by the adoption of a new Environmental Protection Act (adopted by the Government, using Parliamentary procedure).

Regarding the procedures and documentation that precede the construction of new permanent structures which could have possible adverse effects on the environment, the legislation of the Republic of Croatia on EIA and SEA is not yet fully in line with EU legislation.

All projects financed under the TOP must fully comply with sustainable development principles and meet relevant environmental norms, in particular directives on EIA, Habitats and Birds (in order to avoid negative impacts on potential NATURA 2000 sites), and must comply with the relevant environmental acquis. Investments in the transport sector will be planned using integrated and strategic approaches. The projects to be financed must be appraised on a case by case basis in order to ensure their coherence with the relevant obligations of the environmental acquis.

1.1.4.1. Greenhouse gas reduction

The Republic of Croatia ratified the Kyoto Protocol⁷² in May 2007. Aware of the commitments that the Kyoto Protocol entails, Croatia actively implemented projects that increase energy efficiency and promote the use of renewable energy sources, well in advance of its ratification of the Protocol.

The first wind farm (power of 5.9 MW) became operational in 2004, and the second wind farm (power of 11.2 MW) was completed in 2006. It is planned that, by 2010, six wind farms will have been completed. Use of solar energy is being intensified, and projects on the use of forest biomass for district heating and electricity production are in progress in several local communities.

Gas emissions from traffic congestion have been reduced as a result of the construction of the new motorway.

In the transport sector, the continuing increase in the number of vehicles in Croatia has unavoidably resulted in the increase of greenhouse gas emissions.

The construction of the new motorways has resulted in the elimination of traffic congestion and excessive air pollution especially in the town of Karlovac, which had been a major bottleneck for traffic flows heading to the Adriatic coast. Furthermore, the planned construction of urban bypasses for the towns of Rijeka, Split, Karlovac, Varaždin, Osijek etc. will add to the already achieved reduction of greenhouse gas emissions.

It can be concluded that Croatia, with the exception of its urban centres, is still far from suffering traffic overload. Nevertheless, it can be expected that more difficult traffic conditions will develop, in parallel with the forecasted increase in traffic demand on the core network, especially during the tourist season.

In order to counteract possible negative consequences from increased road traffic, Croatia has already introduced a ban on the import of cars which are not in line with homologation standards. Further, an eco-test is part of the mandatory annual vehicle technical inspection, comprising the measurement of exhaust

⁷² Law on ratification of the Kyoto Protocol and the United Nations Framework Convention on Climate Change, OG International Agreements, 5/2007

gas emissions from motor vehicles. Since 1 October 2004, the roadworthiness of a vehicle cannot be certified if the results obtained by the eco-test are unsatisfactory.

According to the National Inventory Report on GHG emissions for the period 1990-2004⁷³, the contribution of the transport sector to total GHG emissions in Croatia was 18% in 2004. Within the transport sector, the contribution of the road transport sub-sector is 94%.

For example, the regulation on the quality of biofuels, adopted by the Croatian Government in November 2005, sets a national indicative target of 5.75% for the share of biofuels, concerning petrol and diesel for transport purposes, to be placed on the domestic market by 31 December 2010. The first biodiesel processing plant with a design capacity of 20 000 tonnes/year has been opened in Ozalj.

Within this TOP, the specific interventions proposed for IPA co-financing and the indicative list of projects reflect the spirit of the Kyoto protocol, as they aim to achieve the rehabilitation of the railway system, and the improvement of the Sava river navigation system, with the final goal of promoting multi-modal transport and diverting traffic from road transport to energy efficient rail/river transport modes.

1.1.4.2. Ecological networking

NATURA 2000 is the guiding programme in respect of the EU nature conservation policy. It is implemented through the Habitats and Birds Directives. Each EU member contributes to the establishment of the NATURA 2000 network by determining special areas in accordance with the Habitats Directive.

The establishment of the habitat network within NATURE 2000 is carried out in three basic stages:

- The first stage is a scientific assessment of the level of risk and range of endangered habitats at a national level.
- In the second stage, each locality suggested on the national list is appraised by the European Commission in cooperation with the member state. After the appraisal, and the selection of «European importance» Sites of Community Interest (SCI), a final decision is made by the EU Council of Ministers.
- Once the SCI is defined, the member state must proclaim it a 'Special Area of Conservation'.

In 2002, as part of the accession process to the EU (and within the Stabilisation and Association Agreement)⁷⁴ Croatia joined the establishment of the National Ecological network, as a part of the Pan-European Ecological Network and the NATURA 2000 network, through the CRO - NEN project. As of now, the first draft of the project has been completed.

Organised and institutionalised care of nature conservation existed in Croatia even before the introduction of NATURA 2000. According to its national legislation, Croatia has the following protected areas: 8 national parks, 6 nature parks, 2 strict reserves, 69 special reserves, 23 park forests, 28 protected landscapes, 72 nature monuments, 114 park architecture monuments, with a total surface area of approximately 500,000 ha. When planning transport alignments, all the above mentioned areas must be

⁷³ National Inventory Report, Ordered and adopted by the Ministry of Environment Protection, Physical Planning and Construction, number 112-04/05-01/47, 531-05/02-vg-05-02, July 2005

⁷⁴ SAA, approved by EU on 13/12/2004, Council and Commission decision 2005/40/EC, Euratom

strictly preserved and there is a strict duty to adjust the transport infrastructure alignments to nature conservation requests.

Specific transport projects for both the ISPA and IPA programmes will be subject to checks by the competent authority in Croatia, regarding the suggested areas of the National Ecological Network (CRO – NEN).

1.1.4.3. Regional Policy Background

The international community has been continuously faced with new challenges in recent years, firstly as a result of geo-political changes and the creation of new nation states in Europe's south-east, and most recently as a result of the 2004 and 2006 EU enlargement from 15 to 25 and 27 members respectively. These developments have made it necessary for the international community to:

- Devise a new concept of pan-European transport routes / corridors, taking into account the new candidate countries for EU accession and new EU neighbours, as well as the diverse economic policies of these countries "in transition";
- Assist the new EU candidates and new EU neighbours in their integration into the extended TEN-T corridor network, and
- Provide guidance concerning the gradual adoption of EU legal provisions (*acquis communautaire*) in the field of transport, aimed at the realisation of the four freedoms⁷⁵ as the cornerstones of the internal EU market.

The inclusion of the Republic of Croatia into the wider European transport network dates back to the **Third Pan-European Transport Conference**, held in Helsinki in June 1997, when 10 Pan-European multimodal corridors were complemented^{76, 149} by segments of these corridors in the territory of countries situated at the south-east of Europe, including Croatia's sections of Corridor X and Corridor VII (Danube river), as well as of the Corridor branches Xa, Vb and Vc.

The first concrete initiative in favour of the formation of a South-East Europe regional transport network was the EC strategy paper, prepared in 2001, entitled "**Transport and Energy Infrastructure in South Eastern Europe**"⁷⁷. It was followed by the "**Transport Infrastructure Regional Study for Balkans**" (**TIRS**) financed by the French Government⁷⁸. The TIRS study focused on seven countries, the five of the 2001 EC study plus Romania and Bulgaria, and was supervised by the European Conference of Transport Ministers. Finally, there followed the "**Regional Balkans Infrastructure Study**" (**REBIS**) in 2002/3, financed again by the European Commission. This later study proposed a Core Network of regional importance based on the strategic network previously established by the European Commission. Based on the **TINA**⁷⁹ **methodology**, REBIS selected and evaluated priority projects for all modes and countries concerned for the period up to 2015.

EU enlargement brought about a new dimension of infrastructure planning and regional network integration.

It is worthwhile mentioning at this point that it is intended to use the TINA methodology in the preparation of the detailed evaluations of TOP priority projects contained in the indicative project list, to ensure an internationally harmonised planning strategy, and to facilitate the mobilisation of possible project finance by international financing institutions.

⁷⁵ Free movement of goods, services, capital and people

⁷⁶ The X corridor was added as well as the Pan-European Transport Areas for maritime basins.

⁷⁷ An European Commission document, 15/10/2007

⁷⁸ The study was prepared in the period from March 2001 to January 2002 by the French consulting company "Louis Berger".

⁷⁹ Transport Infrastructure Needs Assessment

Also in 2003, the **“Framework Agreement on the Sava River Basin”** was concluded by Slovenia, Croatia, Bosnia and Herzegovina and former Serbia and Montenegro, by which all the connected states pledged to participate, through the framework of a joint body, **the Sava River Commission**, in coordinated activities concerning water resource management, river navigation and protection of the environment and business. The Agreement emphasises *inter alia* the inter-modal use of navigation routes and the establishment of an international regime of navigation on the Sava River and its navigable tributaries.

Following the **EU enlargement** from 15 to 25 members on May 1st, 2004, roughly two thirds of the former Pan-European corridors became part of the inner European transport network. The task of reviewing the Pan-European transport network, taking into consideration the requirements of candidate countries and the new European neighbours was assigned to the **High Level Group (HLG)** “on the extension of the major trans-European transport axes to the neighbouring countries and regions”. It was composed of the 25 EU member states plus Bulgaria and Romania, the EU neighbouring countries, the European Investment Bank, the European Bank for Reconstruction and Development and the World Bank. The Group was led by Mrs. Loyola de Palacio, former EC Vice-President.

Based on the work of a Ministerial Meeting held in Santiago de Compostela (Spain) in June 2004, the HLG determined five major trans-national axes, whereby the **South-East multi-modal transport axis** links the EU, via the Balkans and Turkey, to the Caucasus and the Caspian Sea as well as to Egypt and the Red Sea. The Group published the “Network for Peace and Development” in late 2005.

In terms of fostering regional cooperation in the Balkans area, the multilateral **“Memorandum of Understanding (MoU) on the Development of the South East Europe Core Regional Network”** was signed on 11 June 2004 in Luxembourg.

According to the MoU: *“the development of the network should include maintenance, reconstruction, rehabilitation, upgrading and new construction of main and ancillary infrastructure as well as its operation and use with a view to fostering the most efficient and environmentally friendly transport modes on a regional scale. Thus, both infrastructure and related services, including administrative and regulatory procedures, are within the scope of the Memorandum.”*

The MoU has made co-operation possible at a multilateral level for the South East Europe region. It institutionalised the term “Core Network” of transport. In order to put into effect the ideas defined in the MoU, the **South East Europe Transport Observatory – SEETO** was founded with its seat in Belgrade. It fulfils two functions: technical secretariat and body for collecting/ updating information concerning the “Core Network”. The MoU foresees regular meetings at ministerial level and the exchange of information through a Steering Committee, and stipulates the preparation of a five year annual plan (MAP), with SEETO being responsible for developing multi-annual indicative development plans which define the measures needed to ensure better regional cooperation and which designate the priority projects.

The **Multi-Annual Plan (MAP) 2007-2011 for the development of the South-East Europe Core Network** was adopted at the December 2006 Ministerial Meeting in Brussels. It clearly demonstrates the level of cooperation involved, providing an up-date and inventory of the condition and operational performance of the Core Network. The MAP has served as an important background and reference document for the TOP programming exercise.

1.1.5. Institutional Framework

At the overall level, responsibility for transport policy lies with the following ministry:

The Ministry of Sea, Tourism, Transport and Development (MSTTD) is the central government body responsible for transport. It is, among other activities that fall within its competence, responsible for administrative and other affairs relating to general transport policy - road traffic management, railway management, air traffic management, maritime traffic management, inland waterways management, protection of Adriatic Sea and organisation of preparation of strategic infrastructure projects and

investment programs. It performs the tasks of co-ordination and expert development, and participates in the development of strategic documents. The MSTTD also conducts activities related to the process of EU integration in the transport sector, transport inspection, promotion of transport education and research in connection with transport policy. An organisational unit of the Ministry – the Directorate for Strategic Infrastructure projects has been appointed as the lead institution within the Operating Structure for the IPA Component III Regional development – transport, under the Regulation adopted by the Government of the Republic of Croatia in February 2007 (OG No. 18/07).

Other bodies concerned with transport in the Republic of Croatia are: Croatian Roads, Croatian Highways, Croatian Railways Group, Agency for Inland Waterways, Port Authorities, the Ministry of Culture, and Ministry for Environmental Protection, Physical Planning and Construction.

Responsibility for the **railway sub-sector** lies with a number of bodies:

Within the **MSTTD**, there are two units responsible for railway affairs:

- The Directorate for Railway Traffic, comprising three Departments for railway and combined traffic, infrastructure and rail facilities, and railway safety;
- The Department for Inspection of Safety in Railway Transport, under the Directorate for Transport Inspection.

These units are responsible for the preparation of legal instruments, development of strategies, reports, analysis and drafting measures concerning all other safety and policy issues.

Staff training needs in related matters will be met through the 2006 CARDS project: “Restructuring and Development of the Croatian Railway System within the Framework of the EU Legislation”

Croatian Railways Infrastructure – “HŽ Infrastruktura Ltd”. is a 100% state owned company established to act as infrastructure manager. It is in charge of construction, maintenance and operation of the Croatian railway (infrastructure) network.

Responsibility for **inland waterway sector** lies with the following bodies:

Within the MSTTD, the **Directorate for Inland Navigation** is responsible for establishing the legislative framework through the creation and application of laws and subordinate legislation, as well as through multi-year plans and programmes for the development of the entire sector.

The transport policy of the inland navigation sub-sector, is proposed, created and implemented through the MSTTD Directorate for Inland Navigation. The offices of harbour masters also form constituent parts of the Directorate. Their primary task is control and supervision related to regulations in the field of navigational safety, but the harbour-master offices also perform specific administrative tasks, such as keeping the register of ships, and establishing the sea- worthiness of boats for personal use, pursuant to the ordinance on boats (establishing the sea-worthiness of boats for personal use may, in exceptional cases, be conferred to the Croatian Register of Shipping).

Inspections within the jurisdiction of harbour-master offices are performed, pursuant to provisions of the Inland Navigation Act and the Inland Ports Act, by inspectors from the Department for Inspection Affairs of the Directorate for Navigational Safety and Protection of the Sea.

The **Inland Waterways Agency** is a public institution within the competence of the MSTTD, which was established only recently, at the end of 2005, and is responsible for planning the development of, and maintaining, waterways and navigational safety aids.

The **International Sava River Basin Commission** was established by the Framework Agreement on the Sava River Basin signed by the Republic of Slovenia, the Republic of Croatia, Bosnia and Herzegovina and the former Federal Republic of Yugoslavia) in Kranjska Gora (Slovenia) on December 03 2002. The

International Sava River Basin Commission was established for purpose of implementation of the Framework Agreement, and realisation of the mutually agreed goals:

1. establishment of an international navigation regime on the Sava River and its navigable tributaries;
2. establishment of a system of sustainable water management;
3. undertaking measures for the prevention or reduction of danger to the safety of shipping, and tackling the hazardous impacts of floods, ice, drought and accidents involving substances having negative impact on waters.

1.1.6. National legal framework of transport

Again, in line with the strategic focus taken in the TOP, the following assessment of the transport legal status concentrates on the railway and inland water way sub-sectors.

1.1.6.1. Legal Status in the Railway Sub-sector

The legal system currently regulating the field of railway transport comprises of:

- The Railway Act (OG 123/03, 194/03, 30/04)
- The Railway Safety Act (OG 40/07)
- Croatian Railways Division Law (OG 153/05)
- Act on the ratification of Protocol of 3 June 1999 for the modification of the Convention concerning International Carriage by Rail (COTIF) of 9 May 1980 (1999 Protocol) and the Convention concerning International Carriage by Rail (COTIF) of 9 May 1980, as amended by the Protocol of 3 June 1999 (Official Gazette - International Agreements (OG-IA)12/2000)
- Law on Agency for Railway Service Market Regulation (OG 79/07)

With the aim of alliances in the railway sector, Croatia has entered into the following bilateral and multilateral agreements:

- Agreement on regulating border railway transport between the Government of the Republic of Croatia and the Government of the Republic of Hungary (OG 5/95).
- Agreement between the Government of the Republic of Croatia and the Government of the Republic of Hungary on international combined transport of goods (OG 20/97)
- Agreement between the Government of the Republic of Croatia and the Government of the Republic of Slovenia on railway transport across the state border (OG 77/97 and 20/97)
- Agreement between the Government of the Republic of Croatia and the Government of the Republic of Slovenia on international combined transport (OG 4/98),
- Agreement between the Government of the Republic of Croatia and the Federal Government of the Federal Republic of Yugoslavia on regulating border railway transport (OG 1/98)
- Agreement between the Government of the Republic of Croatia and the Republic of Bosnia and Herzegovina on regulating border railway transport (OG 8/00),
- Agreement between the Government of the Republic of Croatia and the Republic of Bosnia and Herzegovina on the manner of use and maintenance of the railway line Bihać-Knin and the monitoring of the state border bodies (OG 4/01),
- Agreement between the Government of the Republic of Croatia and the Government of the Slovak Republic on international combined transport (OG 17/98),
- Agreement between the Government of the Republic of Croatia and the Government of the Republic of Bulgaria on international combined transport (OG 3/01),
- Agreement between the Government of the Republic of Croatia and the Government of the Republic of Austria on international transport of goods (OG 17/98),

- Agreement between the Government of the Republic of Croatia and the Council of Ministers of Serbia and Montenegro on international combined transport of goods (signed in Zagreb, November 2005)

As regards international organisations in the field of railway transport, the Republic of Croatia has acceded to COTIF⁸⁰ and is a member of OTIF⁸¹.

With regards to UN membership, representatives of the Republic of Croatia regularly participate in UN-ECE meetings related to the railway transport. Croatia is also a signatory to AGC and AGTC⁸² agreements and a member of TER⁸³.

Also, in May 2006, Croatia signed the "*Agreement on the Establishment of a High Performance Railway Network in South East Europe*", which aims to improve the railway network in South East Europe, and thus increase the use of railway transport services.

1.1.6.2. Legal Status in the Inland Waterway Sub-sector

The legal system regulating the inland waterway transport comprises the following acts:

- Inland Navigation Act (Official Gazette No 19/98) and the Inland Ports Act (Official Gazette No 142/98)
- Act Amending the Navigation Act (Official Gazette No 151/03) and the Act Amending the Ports Act (Official Gazette No 65/02)

The Republic of Croatia has signed, acceded to, or ratified a number of international documents in the field of inland navigation, as follows:

- **The European Agreement on Main Inland Waterways of International Importance (AGN)** - by virtue of this agreement, the waterways of the rivers Sava, Drava and Danube and the planned canal Danube-Sava have been incorporated into the network of European waterways, while the ports of Vukovar, Osijek, Slavonski Brod and Sisak have been incorporated into the network of ports open to international traffic. Croatia also accepted to build and develop waterways open to international trade, in compliance with the prescribed standards of navigability categories referred to in the AGN. Croatia ratified this Agreement and it entered into force.
- **The European Agreement concerning the International Carriage of Dangerous Goods by Inland Waterways (ADN)**. Croatia signed the Agreement on 14 June 2000,
- **The Budapest Convention on the Contract for Carriage of Goods by Inland Waterways (CMNI)** – this limits the liability of ship-owners for damages incurred. The Convention has been signed and ratified by the Republic of Croatia.
- **The Convention regarding the Regime of Navigation on the Danube, 1948**, which the Republic of Croatia accepted by additional protocol in 1998, according to which Croatia is considered a signatory of the Convention as a successor of the former Socialist Federative Republic of Yugoslavia.
- **The Framework Agreement on the Sava River Basin**, introducing the international regime of navigation on the Sava River, balances the method of water management and coordinates the

⁸⁰ Convention concerning International Carriage by Rail

⁸¹ Intergovernmental Organisation for International Carriage by Rail

⁸² European Agreement on Main International Railway Lines; European Agreement on Important International Combined Transport Lines and Related Installations

⁸³ Trans-European Railway Project

issues of protection of water and environment in the basin. The Agreement has been ratified and is being enforced.

- **The Regional Agreement concerning the radiotelephone service on inland waterways (RAINWAT)**, Basel, 2000. The Agreement has been ratified and is being enforced.

1.1.7. Statistics

Transport data used in the TOP relies on several data sources: MSTTD, Croatian Roads, Croatian Highways, Croatian Railways Infrastructure, Agency for Inland Waterways, Port Authorities, Croatian Central Bureau of Statistics (Statistical Yearbooks) and EUROSTAT.

The transport sector and transport policy correspond to the situation at national, rather than regional, level, and data provided in TOP refers to national level (NUTS I) statistics.

1.2 COMMUNITY STRATEGIC FRAMEWORK

The Transport Operational Programme clearly sets out and elaborates the priorities in the sector for the rolling period, taking into account the Strategic Coherence Framework and the sectoral, thematic and geographical mechanisms of concentration of assistance, as set in the IPA Regulation, article 155⁸⁴.

1.2.1 Consistency with relevant strategic documents

The strategy of the Transport OP is considered in line with the major policy objectives and priorities of both the Commission's **Multi-annual Indicative Planning Document (MIPD)**⁸⁵ for Croatia and the **Strategic Coherence Framework (SCF) 2007-2013**⁸⁶.

The Accession Partnership with Croatia⁸⁷ is the main instrument providing Croatia with guidance in its preparations for accession to the EU. The objective of the partnership is to register in a single legal framework:

- the priorities for reform with a view to preparing for accession,
- financial assistance for the implementation of those priority areas and
- the principles for the implementation of the Partnership

One of distinctive features of the Partnership lies in the fact that this is a flexible instrument, designed to adapt to the progress already made by Croatia on its way towards full EU membership on the one hand, and on the other hand, to concentrate on what still needs to be done.

The priorities listed in this Accession Partnership have been selected on the basis that it is realistic to expect that Croatia can complete them or take them substantially forward over the next few years. A distinction is made between short-term priorities, which are expected to be accomplished within one to two years, and medium-term priorities, which are expected to be accomplished within three to four years.

Being just one of four Operational Programmes within components III and IV in the context of the IPA programme, the Transport Operational Programme tackles only a limited number of the broad priorities identified in the Partnership document. A clear link to the Partnership provisions can be established as follows:⁸⁸

The Accession Partnership lists as medium-term priorities, under Transport policy the following provisions:

⁸⁴ IPA Implementing Regulation, Article 155 (2) (c), IPA IR Commission Regulation (EC) N. 718/2007 implementing Council Regulation No 1085/2006

⁸⁵ MIPD, C(2007) 2566 of 20/06/2007

⁸⁶ Strategic Coherence Framework (SCF), adopted by the Croatian Government on 25/5/2007, adopted by the EC on 18/6/2007, <http://www.strategija.hr/fgs.axd?id=451>

⁸⁷ The Accession Partnership for Croatia, Council Decision 2006/145/EC

⁸⁸ The Accession Partnership for Croatia, Council Decision 2006/145/EC

- Continue work towards complete alignment with the EU acquis in the area of road transport.
- Work towards alignment with the EU acquis in the area of inland waterway transport, in particular as regards the safety of navigation and River Information Services.
- Continue implementation of the Memorandum of Understanding on the Development of the South East Europe Core Regional Transport Network

The Transport Operational Programme is linked to future European cohesion policy in Croatia. The structure and mechanisms of the IPA programme are often compared to the structure and mechanisms of the Structural and Cohesion Funds, and in that sense IPA represents a sort of precursor of the future implementation of cohesion policy in Croatia. In this light, the TOP complies with the policy framework for European cohesion policy, particularly with those goals set out in the **Community strategic guidelines on cohesion**.⁸⁹

The **Multi-annual Indicative Planning Document (MIPD)** is the strategic document for IPA. It is established for a three-year rolling period, with annual reviews and it follows the Multi-annual Indicative Financial Framework (MIFF) which indicatively allocates funds per beneficiary and per component.

In order to define strategies that effectively contribute to the achievement of the overall objective, the MIPD is based on the assessment of needs and challenges as well as priorities identified in the Progress Report and Accession Partnership.

The MIPD sets out an overall framework which is strictly followed by the Transport OP; it stipulates that *“EU assistance will focus on investments and collective services which are required to increase long-term competitiveness, job creation and sustainable development, namely (...) sustainable transport (**railways and inland waterways**)*.⁹⁰

In the context of **regional development** it defines high priority goals, one of them being to *“strengthen the country's **infrastructural base**⁹¹”* . Those *“economic activities are to be stimulated by the provision of adequate and sustainable **transport infrastructure** with particular attention to the restructuring and upgrading of the **railway system**.”*

The expected results of the priorities supported in the transport sector, as expressed in the MIPD, are:

- *inter-modal competition will be restored;*
- *links with the European Union will be improved;*
- *level of safety considerably increased;*
- *traffic bottlenecks will be reduced;*
- *efficiency and sustainability will be improved;*
- *travel times for freight and passenger traffic will be reduced.*

The most relevant document in relation to the TOP is the **Strategic Coherence Framework (SCF)**, which sits immediately above the OP in the hierarchy of policy documentation. Its **Component III, Regional Development** is intended to support activities directed towards:

- Transport infrastructure development, concerning, in particular, the interconnection and interoperability of national networks and with the trans-European networks; and
- Technical assistance for the preparation of preliminary studies and technical support related to eligible activities, including those necessary for their implementation. Also, technical assistance for preparatory, management, monitoring, evaluation, information and control activities and activities to reinforce the administrative capacity for implementing the IPA assistance under this component.

⁸⁹ CSG, Council Decision of 6 October 2006 on Community strategic guidelines on cohesion (2006/702/EC)

⁹⁰ MIPD, C(2007) 2566 of 20/06/2007

⁹¹ MIPD, C(2007) 2566 of 20/06/2007

In this regard, the SCF proposes “to concentrate IPA assistance to the transport sector on helping to modernise the rail network and, later to also help develop the inland waterway system. “

The relationship between Croatia and the EU was first governed by the "**Stabilisation and Association Agreement (SAA) between the European Communities and the Republic of Croatia**" ⁹², which was signed in October 2001, and came into force in February 2005. The SAA provided the legal framework for political dialogue, regional cooperation, economic relations and the use of the Community financial assistance.

In addition, the SAA came into force during the first quarter of 2005 and provides a legal framework for political dialogue, regional cooperation, economic relations and the use of Community financial assistance. With regard to transport infrastructure, the "Protocol 6 on Land Transport" expressly mentions “*measures to develop multimodal transport infrastructure network ... in particular on the Pan-European Corridors V, VII, X and the Adriatic / Ionian Pan-European transport area connecting to the Corridor VIII*” (see Article 4).

The TOP further reflects the programming strategy adopted for the development of the SEE Core Network. In particular, Corridor X railway improvements rank high on the indicative list of priority projects for the SEE Core Regional Transport Network included in **SEETO’s MAP 2007-2009**⁹³.

The Republic of Croatia has prepared the **Pre-accession Economic Programme (PEP)**⁹⁴ for the period 2005-2007, which was followed by an updated PEP for 2006-2008, and PEP for 2007-2009, - with the objective to define economic policies and reforms necessary for European Union accession. The latter provides a clear definition of the country’s mid-term economic policy, priorities and structural reforms planned for the three-year period. Its Transport Chapter (part of the ‘*structural reforms*’ section of the document) includes legislative and “non-legislative” measures to be implemented, which will have an impact on the State Budget expenditures, with special relation to the recently initiated reforms within railway sector and the liberalisation of the railway sector.

The EU is committed to sustainable development, and its development policy, including the cohesion policy, is driven by the **Lisbon Strategy** (Economic Development Strategy) and the Lisbon Community Programme (Growth and Employment Agenda); these were revised following a mid-term review in 2004. In this context, the framework for the use of Structural and Cohesion Funds is provided in the Communication *Cohesion Policy in Support of Growth and Jobs, **Community Strategic Guidelines, 2007-2013***⁹⁵.

The provision of efficient, flexible and safe transport infrastructure can be regarded as a necessary precondition for economic development as it boosts productivity and, thus, the development prospects of the regions concerned, by facilitating the movement of people and goods. Transport networks boost opportunities for trade, while increasing efficiency. Furthermore, the development of Europe-wide transport infrastructures (notably the relevant parts of the thirty priority projects for Trans-European Transport Networks), with a particular focus on cross-border projects, is essential to achieving greater integration of national markets, especially within the context of an expanded Union.

*“Support for **rail infrastructure** should seek to ensure greater access. Track fees should facilitate access for independent operators. They should also enhance the creation of an EU-wide interoperable network. Compliance and applications of the interoperability and the fitting of ERTMS on board and on track should be part of all projects financed.”*

In summary, the focus of the present TOP on the railway and inland water sub-sectors fully complies with the EU transport policies and strategies, promoting sustainable mobility by optimising the use of low-cost and environmentally friendly modes.

⁹² SAA, approved by EU on 13/12/2004, Council and Commission decision 2005/40/EC, Euratom

⁹³ SEETO, South-East Europe Core Regional Transport Network Development Plan MAP 2007-2011. November 2006

⁹⁴ PEP, Adopted by the Croatian Government on 30/11/2006

⁹⁵ CSG, Council Decision of 6 October 2006 on Community strategic guidelines on cohesion (2006/702/EC)

1.2.2 Progress towards assuming EU membership responsibilities in transport

In general terms, the Community policy calls for adjustments in four principal areas:

- the harmonisation of Croatian legislation with Community law;
- the up-grade and modernisation of transport networks;
- the facilitation of access to the national transport market;
- the harmonisation of operational standards and procedures.

According to the 2006 Progress Report, Croatia "needs to make increased efforts to align with the *acquis*, notably by further adoption of implementing legislation. Reinforcement of administrative capacity (both in staff numbers and in level of training) also remains a matter of priority for most transport sectors."

Railways: Croatia is making progress in adjusting the governance of the Croatian railway sub-sector, and aligning its legislation, within the framework of the *acquis communautaire*.

*There has been some progress in the area of rail transport. The Railway Act entered into force in 2006. In December 2005, the Act on the Division of the Croatian Railway Company was adopted, and a small holding with four different operational subsidiary companies, i.e. traction, passenger, freight and infrastructure is under establishment.*⁹⁶

The *Railways Act* includes the provisions of the First Railway Package of EU directives 2001/12/EC amending 91/440/EEC, 2001/13 EC amending 95/18 EC and 2001/14EC replacing 95/19/EC). These directives, in chronological order, clarify the formal relationship between a state and the infrastructure manager on the one hand, and between the infrastructure manager and train operators (railway companies) on the other; the conditions that railway operators must meet in order to be granted a licence to operate services on the network; and the broad principles for capacity allocation and infrastructure charging.

The new Railway Act and Act on the Division of Croatian Railways have created the necessary pre-conditions for the liberalisation of the railway market.

However, the Croatian Railways Act does not fully meet the requirements of EU legislation, as demonstrated in the most recent (2006) legal gap analysis prepared for the railway sub-sector using Commission technical assistance⁹⁷. Further alignment with EU legislation will require the adoption of a Second Railway Package (that is, directives 2004/49/EC, 2004/50/EC and 2004/51/EC), introducing structural measures to address safety and interoperability, and extending the liberalisation of rail freight to include also the domestic market.

*However, the transposition of safety legislation and the establishment of the different rail authorities remain outstanding issues. The railway directorate in the Ministry of the Sea, Tourism, Transport and Development was reorganised to establish a separate entity dealing with safety.*⁹⁸

Referring to the results of the above-mentioned February 2006 legal gap analysis, the most important provisions not regulated, or not addressed in the required detail, are the following:

- Management independence of railway undertakings
- Principles for separation of infrastructure from transport undertakings
- Improvement of financial situation (burden of debt)
- Use of rail infrastructure
- Railway safety and accident investigation
- Licensing guidelines for 3rd party operators

⁹⁶ EC Croatia 2006 Progress Report, COM (2006) 649 final

⁹⁷ Atkins, BCEOM, Gopa, TYP SA, COWI: Draft Pre-Accession Strategy, February 2006

⁹⁸ EC Croatia 2006 Progress Report, COM (2006) 649 final

In addition to legislative and regulatory reform issues to be addressed to complete the transposition process, it will also be very important to achieve progress in institution building. At present, Croatia lacks important “bodies” which are considered a pre-requisite for railway market liberalisation and “Europeanisation”, such as a licensing authority, regulatory body, safety authority, infrastructure manager, capacity allocation body and charging body. However, with adoption of Law on Agency for Railway Service Market Regulation in 2007 the regulatory body has been established and with adoption of new Railway Safety Act a legal pre-requisite for establishment of safety authority, notification body and investigation body has been made in line with EU Directives 2004/49/EC, 96/48/EC, 2001/16/EC and 2004/50/EC.

As pointed out in the **SEETO MAP 2007-2011**, the relatively small scale of SEE railways advocates a regional approach to infrastructure management. In fact, the proposal adopted by the Steering Committee is for the development of a regional common network statement as a common set of access conditions; this would, most likely, be a process requiring technical legal assistance.

In recognition of the urgency to fully conform to the requirements of the railway *acquis*, a three year project is planned with the title “Restructuring and Development of the Croatian Railway System within the Framework of the EU Legislation” for implementation under the Phare 2006 programme.

This project is intended to close the above-mentioned institutional gap and establish the respective bodies by 2008, including training measures for staff, in order to be able to meet the mandates attributed to the various institutions. The future implementation of these measures should be determined in a way that provides access to the network for 3rd party operators in the minimum time, whilst always guaranteeing that train safety is not compromised.

Inland Waterways: Most of the country’s legislation is considered largely in line with the *acquis*, and in the words of the Commission’s 2006 Progress Report “is being implemented effectively”.

The area of non-compliance concerns mutual recognition of diplomas, certificates and other evidence of formal qualifications, as there is no facility at the moment for recognising documents issued outside of Croatia. Access restrictions also still prevail concerning cabotage. However, the Government of Republic of Croatia has adopted new Inland Navigation and Port Act in August 2007. Aforementioned act is a legal pre-requisite for alignment with EU standards in area of inland waterway transport especially in area of access to market and profession, structural reforms and conditions of issuing and recognition of boat master certificate.

The adjustment and modernisation process is also well advanced in competing transport modes:

Roads: In this sector, the Commission considers the existing Croatian legislation to be close to the *acquis*, while stating at the same time, however, that “*alignment with the acquis must continue*”.⁹⁹ Still, *Progress can be reported in the field of road transport. Progress was made in alignment to the acquis through the adoption of ordinances on the transport of hazardous substances by road, on safety advisors, and speed limitation devices.*¹⁰⁰ The majority of the Croatian motorway system has recently been constructed in line with EU standards, and construction works are continuing.

Pro-actively, the Republic of Croatia implemented on its own account an ambitious motorway construction programme in line with European standards, which is almost complete and which covers all the road sections belonging to the South-East multi-modal transport corridor. Since the start of work in April 2001, 550 km of motorway and semi-motorway have been built.

Croatian motorways are now among the most modern and safe in Europe.

⁹⁹ EC Croatia 2005 Progress Report, COM (2005) 561 final

¹⁰⁰ EC Croatia 2006 Progress Report, COM (2006) 649 final

As of now, 1065 km of motorway and semi-motorway is in operation

Both the air and maritime sectors still require further alignment, particularly concerning the “horizontal agreement” in aviation on the one hand, and Croatian flag improvements regarding its ocean fleet on the other.

Croatia is an Associate Member of the Paris Memorandum of Understanding on Port State Control. Nonetheless, the Croatian flag is currently on the grey list of the Paris Memorandum of Understanding. Administrative capacity needs strengthening in order to improve the effectiveness of maritime checks.

1.2.3 Concentration of assistance

The Transport OP proposes to concentrate assistance on infrastructure rehabilitation and upgrading in the railways and inland waterways sub-sectors

While the network of primary roads, sea ports and motorways in Croatia is comparatively well developed, there is a definite backlog of infrastructure maintenance and modernisation in railways and inland waterways sub-sectors by comparison.

In order to guarantee balanced network development, including all modes of transport, the indicative projects proposed in section 3.5 are aimed at up-grading both the railway and inland waterway networks to acceptable standards and network coverage. This, of course, implies that the entire logistics system needs to be better integrated and inter-connected.

The following table shows historic transport investment by the public sector over the last six years, expected spending in 2007, and, where data is available, investment plans for the period 2008-11 (in € million):

	Invested						Expected 2007	Planned			
	2001	2002	2003	2004	2005	2006		2008	2009	2010	2011
roads	405,58	786,59	1.216,36	1.132,90	1.197,03	1.089,92	943,18	903,67	[1]	[1]	[1]
railways	23,22	36,87	107,86	131,27	94,84	161,78	262,92	335,61	459,60	472,32	[2]
Inland waterways	5,10	14,48	16,17	12,02	9,74	21,34	55,34	73,10	142,08	147,50	263,67
sea ports	11,75	11,01	11,85	14,98	18,76	34,55	68,41	89,57	113,30	115,57	80,94
airports	7,69	10,98	18,48	16,67	17,58	23,69	51,33	32,77	48,40	37,30	[3]

[1] „National Programme for Construction and Maintenance of public roads for period “2005 – 2008“ is the only relevant document for the moment, thus figures for years after 2009 cannot be given at this moment.

[2] A new national investment programme for the railway sector is actually being prepared by the line ministry; therefore the figures for 2011 cannot be given at the moment.

[3] Figures for investments in airport infrastructure after 2010 have not yet been confirmed.

As the table demonstrates, the road sub-sector has received the major share of public investment in transport over the last five years, with, on average, around 90% of total spending per year. This historic

activity is based on the Parliament's decision in 1999 to support a programme of motorway construction, which has been highly successful; 80% of the highway system initially targeted for construction is now operational and the complete motorway investment programme will be finalised by 2009¹⁰¹.

By contrast, the railway and waterways sub-sectors received a modest 5-12% and 1% of total spending respectively over the past five years, these amounts being sufficient for basic maintenance and minor infrastructure modifications, but no major investments have been undertaken during this period.

The situation regarding rail investment has been aggravated by the financial situation in the railway sector, which has left little or no room for investment from revenues earned, and which explains the existing backlog of investment and maintenance in the railway sector. This is evident in the form of deteriorating infrastructure, existing single track lines, increasingly obsolete rolling stock, and outdated signalling and communication equipment.

As far as the available data, presented in the above table, on plans for future spending by transport mode shows, there is a planned shift in future spending under the national transport policy towards the railway and inland waterways sub-sectors.

In order to create interoperability conditions and, at the same time, prepare for open market competition, the Government has earmarked important supplementary funds for network and operations improvements. In the new *"National Railway Infrastructure and Maintenance Programme for the period 2007 - 2011"* announced by MSTTD on 13 September 2006, 10 billion kuna (approx. 1.35 billion EUR) is being set aside for reconstruction and maintenance works on the railways over this period.

1.2.4. Lessons learned from previous EU assistance

Based on the experience of project implementation and utilisation of EU funds, the following is an outline of the main issues relevant for the future implementation of the pre-accession assistance:

- ✓ Croatian programme and project management capacity is evolving; the practical experience gained so far needs to develop and be embedded in future EU funds management structures. So far, weak institutional capacity on a national and sub-national level has proven to be the greatest obstacle in project implementation. Therefore improvement of technical assistance and capacity building at all administrative levels must be secured;
- ✓ It is essential to have skilled and motivated staff and further efforts are needed to identify, train, develop and retain a body of such staff;
- ✓ An inadequate and unprepared project pipeline is an obstacle to the utilisation of assistance. Therefore the preparation of sufficient, well designed and mature projects (in particular project design and tender documentation) is paramount to ensure use of EU assistance in a timely and technically acceptable manner. This issue is directly linked with the need for strengthening the capacity on all levels, but particularly of the final beneficiaries in order to prepare good project/tender documentation in a timely manner;
- ✓ It is necessary to improve time management and quality assurance in all institutions, as well as to improve implementation capacity (tendering and contracting);
- ✓ Importance of coordination between stakeholders. This requires extensive and clear information flows with a focus on a common understanding of tasks, timeframes and interdependencies;

¹⁰¹ 100 km of national roads were modernised in the period from 2001 to 2004 alone; 120 km of new national roads were built in the same period. During 2005, 17 sections of state roads in the length of 55.4 km were reconstructed through periodical maintenance. Improvement work is currently under way on more than 400 km of the national road network. A little less than half of the funding required for this programme (€60 million) originates from loan granted by the European Investment Bank, while the other half of the amount (€62 million) is financed by Hrvatske ceste (Croatian Roads), the company responsible for the national road system, from its own funds.

- ✓ Necessity for access to, and dissemination of, information in timely manner (to all interested parties) and greater emphasis on publicity measures (both EU assistance and sectoral co-ordination in general).

1.3 PARTNERSHIP CONSULTATION

This OP has been prepared by an **Inter-Ministerial Working Group (IWG)** comprising representatives of the relevant state institutions. The membership is shown in Annex 1. The intention of partnership consultations, led by the Ministry of Sea, Transport, Tourism and Development, was to inform interested parties of the importance of IPA as a new pre-accession instrument preparing Croatia for the future Structural Funds, and to receive constructive input on the OP in line with the possibilities and limitations set out in the EC strategic documents (MIPD) and the IPA Implementing Regulation. By informing the partners of the purpose, aims, possibilities and boundaries of the TOP, the consultations were structured so as to be constructive and to avoid raising unrealistic expectations about the scale and scope of the TOP. Judging by the experience so far, the consultations were successfully used as an opportunity to raise awareness of IPA and of the TOP, to build a consensus around its aims and content, and take the first steps towards assembling the Monitoring Committees and generating a constituency of future beneficiaries of both IPA and the Cohesion and Structural Funds. The consultations in that sense represented a 'public launch' for the OP.

In drafting the OP, the Croatian partners were a number of policy-making and policy implementation institutions and interest groups which the IWG consulted in order to assess the relevance of activities proposed under the OP. In putting together the list of partners, members of the IWG relied on the existing practice of their line ministry. Therefore national level representatives of the relevant stakeholders were involved – a mix, notably, of general economic and social partners, sector specific institutions, an environmental NGO and journalists. The representatives of the partner institutions in the OP consultation process were chosen by the partners, upon invitation by the line ministry to join the programming effort. Two rounds of consultations were held, the first round for the representatives of the transport sector, and the second round for the environmental institutions and journalists. It is important to emphasize that a number of environment protection NGO's was invited to the partnership consultations although only one representative attended.

The list of partners who participated in the two consultation rounds includes:

- Central Office for Development Strategy and Coordination of EU Funds
- Croatian Railways Infrastructure, Limited
- Institute of Transport and Communications
- University of Zagreb, Faculty of Civil Engineering)
- University of Zagreb, Faculty of Transport and Traffic Sciences
- Railwaymen Trade Union of Croatia
- Railroad Engineer Trade Union of Croatia
- Infrastructure Union of Croatian Railways
- Rolling Stock Technical Inspectorate Trade Union
- Croatian Railwaymen Trade Union
- Union of Croatian Train Dispatchers
- Inland Waterways Agency
- Green Action (environmental NGO)
- Newspaper and radio journalists

It is important to underline that some of the bodies listed above represent regular consultation partners of the Ministry of Sea, Tourism, Transport and Development. The **partnership** practice undertaken for the purposes of IPA **builds**, in other words, **on an existing national practice** in policy-making and policy implementation. This national partnership practice has been elaborated to some degree under the policy section of the OP. A number of journalists were invited to the consultations in order to multiply the effects of the consultation process by presenting to the public the idea behind the TOP and its major aims.

TOP partnership consultations took place on **6 March 2007** and on **13 June 2007**¹⁰², in the Ministry of Sea, Tourism, Transport and Development. At the first meeting, of the partners invited, a very high number attended and showed their appreciation of the fact that the consultation process had been scheduled relatively early in the programming process. At the second meeting, for environmental sector and public media, the environment protection NGOs did not engage fully with the consultation process; with only one NGO attended the meeting despite invitations being submitted to a number of environment NGOs. Both meetings were organised and chaired by the Ministry of Sea, Tourism and Transport as the head of the operating body responsible for the OP. Following an introduction to the new pre-accession instrument IPA, and to its programming and institutional framework, key information on the Transport OP was presented to the partners and journalists and the individual priorities and measures were set out. In the questions and answer session that followed the attendees received additional detail and clarification regarding particular issues of interest. Most of the participants were interested in learning how to participate in the implementation of the presented projects, i.e. in the project design and/or works contract. As a follow-up to the meeting and a basis for their eventual comments, partners were supplied with a TOP summary (including priorities and measures), and power point presentations. In addition to both meetings, a reasonable timeframe was provided to those invited to submit their comments on any provision of the Transport OP.

Comments were received from the non-governmental organisation *Green Action*, which expressed satisfaction with the fact that investments will be targeted towards the railway and waterway sector, although noticing at the same time with some disappointment that road construction still remains among the priority objectives of the Croatian Government. They expressed concern with the fact that the Operational Programme targets operations on the Sava corridor and pointed to the fact that this may have detrimental effect on the Sava riverbed and the surrounding protected areas; *Green Action* insisted on the use of best available practices and technologies, and the full application of all relevant Croatian and international acts in the course of construction works. Equally so, they supported the extension of the capacity of the Port of Vukovar pointing to the fact that the works should be carried out in accordance with the existing national regulations and international documents in order to minimise potential harmful effects on environment and nature. Regarding the railway reconstruction operations on the section Zagreb-Okučani, the NGO expressed its support for the rehabilitation programme, in principle, and requested that all the environmental protection measures be implemented as appropriate.

The views of the *Green Action* will be addressed at the level of each individual project by the application of the environmental impact assessment procedure in the phase of project preparation and by full respect of the legal requirements that relate to the environment and nature protection prior to and during the construction works. The NGO sector will continue to be informed of the measures undertaken during project implementation to be kept aware of the efforts undertaken to avoid unnecessary detrimental impact on environment and nature during the implementation of the OP.

¹⁰² Public consultations process will have to be re-conducted if Transport Operational Programme will become subject of official revision(s)

1.4. EX ANTE EVALUATION

The ex ante evaluation of the second draft version of the TOP¹⁰³ was conducted to optimise the allocation of resources and to improve the quality of programming, by using external experts to review drafts of the OP and assess:

- its relevance - the relationship of the strategy to the needs identified,
- its effectiveness - whether the objectives of the programme are likely to be achieved
- its utility - judging the likely impacts against wider social, environmental and economic needs,
- its internal and external coherence,- including structure of the strategy and its financial allocations, and the linkage of the strategy to other regional, national and Community policies, and
- the quality of implementation systems including monitoring indicators.

The evaluation was undertaken by a research team from the European Policies Research Centre (EPRC) at the University of Strathclyde in Glasgow. Within EPRC, the ex ante evaluation of the evaluation was managed and undertaken by Dr Sara Davis (Senior Research Fellow).

The evaluators employed the following sources as their methodological guidance:

- “The New Programming period 2007-2013: Indicative guidelines on evaluation methods : Ex ante evaluation, Working Document No.1”¹⁰⁴
- “The New Programming period 2000-2006: Methodological working papers, Working Paper 2: The Ex-Ante Evaluation of the Structural Funds interventions”¹⁰⁵
- “The New Programming period 2007-2013: Indicative guidelines on evaluation methods: Monitoring and evaluation indicators, Working Document No. 2”¹⁰⁶
- “The New Programming period 2000-2006: Methodological working papers, Working Paper 3: Indicators for Monitoring and Evaluation: An indicative methodology”¹⁰⁷

The aim of the ex-ante evaluation was to provide an external perspective on the preparation of the new programmes with a view to improving and strengthening the final quality of the programme and optimising the allocation of resources. The tasks for the ex-ante evaluation were fivefold: an inception discussion; the preliminary appraisal of programme elements; assessment of partner views; development of the evaluation.

Within this framework, the ex-ante evaluation also assessed the following issues: 'lessons learned' from previous and on-going relevant EU assistance; the quality of the process of elaborating the programmes; the coherence of the programmes with the *acquis* in key fields; the arrangements to integrate the environmental requirements; the likely significant effects on the environment; and respect of Community policies or principles.

An appraisal of the characteristics and effectiveness of the environmental integration of the TOP was also conducted (see Chapter 9 of the Ex-Ante Evaluation report), in accordance with the principles of Strategic Environmental Assessment, in particular the information requirements as conveyed in Annex I of EU Directive 2001/42/EC on the assessment of the effects of certain plans and programmes on the environment. The appraisal was conducted in accordance with the principles of Integration and was measured in terms of the perception of the environment, coherence with environmental policy and legislation, inclusion and application of environmental data, as well as programme environmental impact.

¹⁰³ The process of Ex-Ante Evaluation will have to be re-conducted if the Transport Operational Programme is the subject of official revision(s).

¹⁰⁴ http://ec.europa.eu/regional_policy/sources/docoffic/2007/working/wd1_exante_en.pdf

¹⁰⁵ http://ec.europa.eu/regional_policy/sources/docoffic/working/doc/exante_en.pdf

¹⁰⁶ http://ec.europa.eu/regional_policy/sources/docoffic/2007/working/wd2_indic_en.pdf

¹⁰⁷ http://ec.europa.eu/regional_policy/sources/docoffic/working/doc/indic_en.pdf

The result of the assessments presented in the Ex-ante evaluation report is the following:
*The Transport OP demonstrates an appropriate awareness of environmental factors, legislation and strategies, and the impacts of the transport sector and sub-sectors are clearly and purposefully identified. The programme interventions are justified on the basis of statistical evidence and represent continuity of previous policy developments. Environmental integration is adequate in the Transport OP, but there remains scope for increasing the profile of environmental factors, potentially through improved interaction with the Environment Operational Programme. Further material needs to be provided on projects in Priority 2, and themes such as the development of new harbour facilities would require EIA. The provision of environmental indicators will be an essential step to measure and direct programme environmental impacts.*¹⁰⁸

The executive summary of the Transport OP Ex-ante evaluation is as follows:

The Transport OP covers all the required issues, is structured in accordance with the template provided by the European Commission, and is written in clear, comprehensible English. The analysis provides a good justification for the strategy proposed, although some additional information is needed. The strategy itself, and the allocation of resources, is generally sound and is coherent with EU, macro-regional and domestic policy objectives in the transport sector, although some clarification is needed in relation to the proposed projects and the selection process. Information is provided on the implementation and monitoring arrangements (although both require additional detail), as well as financial tables and an indicative list of major projects. The OP demonstrates an adequate awareness of environmental factors, legislation and strategies, and the impacts of the transport sector and sub-sectors are clearly identified.

However, there are a number of key areas that should be taken into account when finalising the document. Some aspects of the analysis could be developed further. For instance, there is a need to consider how key restructuring processes relate to public investment strategies in the transport sector. There is a need to check the SWOT analysis to see that all points are justified and adequately explained in the preceding analytical sections. There are some questions relating to the projects outlined in the OP, the project selection process, and project readiness. The OP should also provide an overview table for the entire 2007-09 period and explain the differing co-financing rates. A clearer and more explicit description is needed of the links between the OP and existing transport policy strategies. For all indicators, data have yet to be provided on baselines and targets. The Programme's description of the consultation arrangements with partners provides only a very brief and limited outline. The description of the implementation system covers most important aspects but a number of issues remain to be addressed. The OP could also increase the profile of environmental factors, e.g. by providing environmental indicators.^{109 82}

The evaluators provided detailed recommendations for the improvement of the OP which were generally balanced and constructive and have been taken into account.

- The text has been reorganised and improved in some sections, as suggested, which has contributed to the final text being more coherent and readable;
- The analytical sections have been strengthened in order to justify and adequately explain the SWOT analysis;
- The selection criteria set has been re-examined and revised to increase coherence and clarity, and to place an emphasis on the maturity of the projects;
- Indicators were not appraised in detail during the ex-ante evaluation as they had not been sufficiently developed at the time. Indicators have since been developed, re-examined and slightly modified in order to achieve a higher level of relevance and quality. Additionally, indicator values and data sources have been determined;
- As suggested, a clearer and more explicit description of the links between the OP and existing transport policy has been given;

¹⁰⁸ The Ex-ante evaluation of IPA Operational Programmes for Croatia, Transport Operational Programme, April 2007, p.21

¹⁰⁹ The Ex-ante evaluation of IPA Operational Programmes for Croatia, Transport Operational Programme, April 2007

- The public consultation process was mainly carried out in the period following the ex-ante evaluation, and more detail information has now been provided on the process.

The ex ante evaluation report is attached at Annex 6.

2. ASSESSMENT OF MEDIUM TERM NEEDS, OBJECTIVES AND STRATEGIC PRIORITIES

Because Croatia is located in the centre of the North-West / South-East transport and transit corridor, the modernisation of its transport sector is not only an **internal development pre-condition**, but also one of Croatia's potential **comparative advantages**. The fact that five Pan-European Corridor segments belong to the territory of Croatia makes its geographical position not only a comparative advantage, but also places an obligation on Croatia in relation to the network development for Europe as a whole.

2.1. SOCIO- ECONOMIC ANALYSIS (INCLUDING SWOT)

2.1.1 General infrastructure and transport situation

Due to its geographic position, Croatia is highly significant for the establishment of effective transport links between Western Europe and the Balkans, and for the connection between Central Europe and the Adriatic Sea and the Mediterranean.

Most importantly, Croatia is intersected by major Pan-European transport corridors and their branches (see picture 2), such as:

- **Corridor X:** The Pan TEN Corridor passes from Austria through Greece to Turkey (Salzburg - Villach - Ljubljana - Zagreb - Belgrade - Skopje – Thessaloniki). It is on the SE Axis established by the High Level Group. The Croatian railway and roads sections of the main corridor axis have a total length of 317 km and 306 km respectively.
- **Corridor Branch Xa:** Graz - Maribor – Zagreb.
- **Corridor Branch Vb:** Rijeka - Zagreb – Budapest.
- **Corridor Branch Vc:** Ploče - Sarajevo - Osijek - Budapest
- **Corridor VII:** the Danube river with tributaries / Sava River

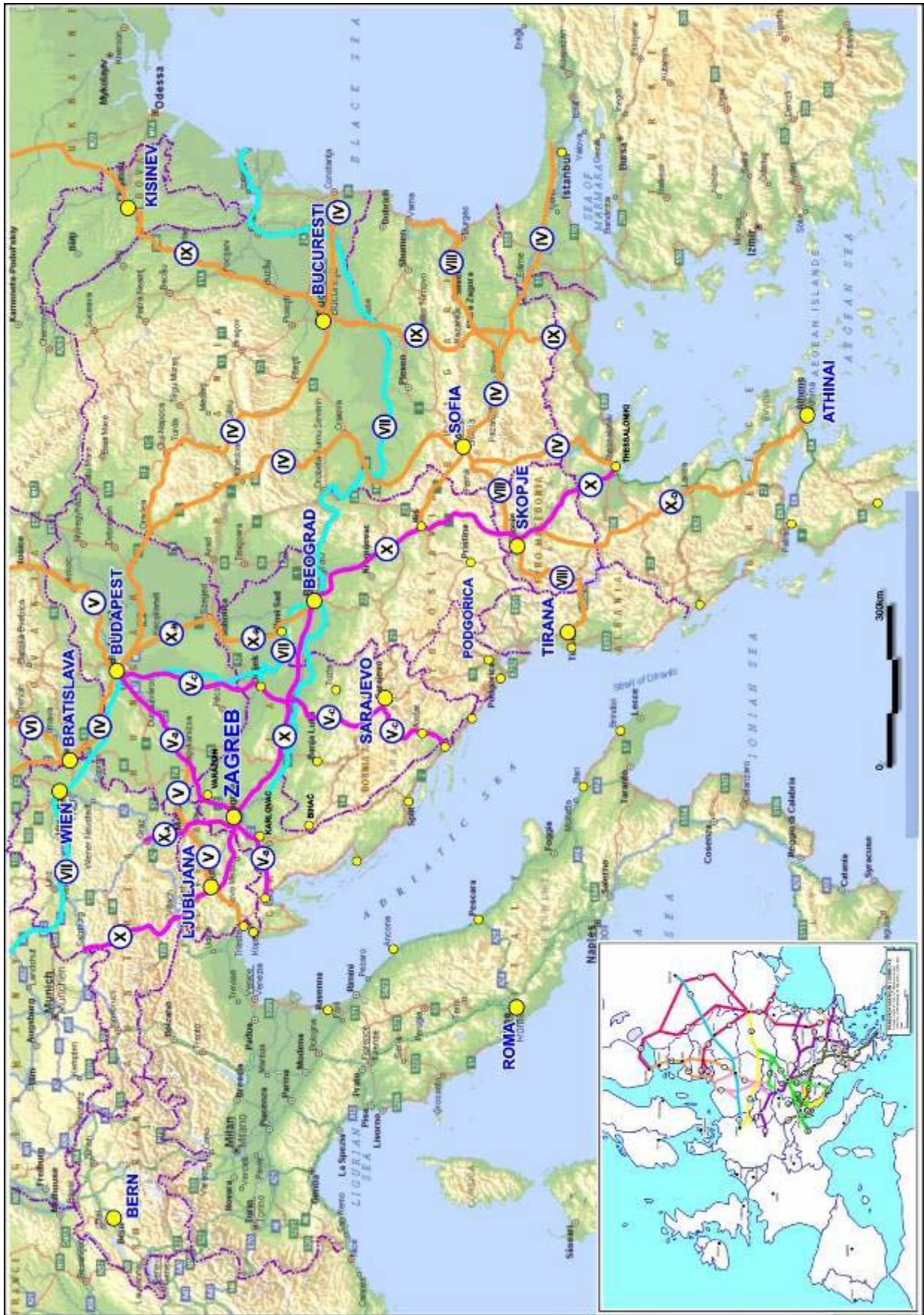
The Croatian sections of the Pan-European Corridor system as described above are integral parts of the SEE Core Regional Transport Network as included in the SEETO MAP for the period 2007-2011.

The location of Croatia within (i) the Pan-European corridor system in general, and (ii) the SEE Core Regional Transport Network in particular, is illustrated in pictures 2 and 3 below.

The following detailed assessment of Croatia's infrastructure and transport situation is focused on the railway and inland water sub-sectors in line with the proposed TOP strategic priorities, and with special reference to SEE Core Network relevance.

The general conditions in other transport sub-sectors (roads, ports, inter-modal terminals) have been described to the extent necessary for a better understanding of the strategic priorities followed in the TOP.

Picture 2 - Pan European Corridor Network



Picture 3 - SEE Core Network



2.1.1.1. Railways

The Croatian railway network comprises, in total, 2,720 km of track, of which 254.3 km is double track and 2,465.7 km is single track; 977.64 km is electrified.

Croatia has the second largest portion (26%) of the SEE Core Rail Network which, overall, is 4,264 km long. Railway Corridor X, again on the SEE Core Network, is 1,058 in length and accounts for about 50% of the overall length of the Corridor X. The Croatian part of the Railway Corridor X on the SEE Core Network passes from Savski Marof via Zagreb and Vinkovci to Tovarnik at the eastern border and is 317 km long.

In terms of the density of the rail network, Croatia exceeds the EU average with 62 km per 100,000 inhabitants, as against 45 km per 100,000 inhabitants in the enlarged EU 25. During the war, great damage was inflicted on the railway infrastructure, contributing to the fall in traffic on the railways since independence. A lack of public funding during the past decade has led to a backlog of investment and maintenance.

Network conditions leave ample room for improvements: Only 9% of Croatian railways have been fitted with double tracks, and only 36% of the total network has been electrified. Due to poor infrastructure

conditions railway performance is significantly reduced, as manifested by rather low commercial speeds on selected sections and recurrent train cancellations and delays.

An illustrative indicator of the railways' poor network condition is the permanent **speed limitations**. As can be clearly seen from the railway operation conditions map below, the problem of reduced operating speeds is rather severe:

- Operating speeds along the Corridor X Croatian railway section, currently ranging from 60 km/h to 120 km/h, are below the envisaged standard of 160 km/h, based on AGC and AGCT Agreements.
- Speed is lowest on the sections: Vinkovci – Tovarnik, **Savski Marof - Zaprešić - Zagreb** and **Dugo Selo –Novska**.
- Longer travel times due to speed limitations are aggravated by lengthy border waiting times.

Picture 4 – Operating speeds along the Corridor X



Therefore, the proposed priority improvement projects included in the TOP indicative project list (section 3.5) aim to rehabilitate track, fix structures, signalling and communications, in order to increase speed and reduce journey time, increase service quality and regenerate demand for this vital international transport

route. It should be noted that all the problem sections mentioned are taken into consideration in network improvement programming: while rehabilitation of the section Vinkovci – Tovarnik has already started under ISPA 2005, all other sections are part of the indicative project list proposed in this TOP.

As an example, taking again actual speeds as an indicator for network quality and track condition, over a continuous 392 km of Corridor X, *from Vinkovci in Croatia through Belgrade to Niš in Serbia*, the actual speed does not exceed 50 % of the design speed, according to MAP 2007-11.

There has been only a modest improvement in Croatia and in the Core region since the REBIS study as shown in the MAP 2007-2011. 26% of the SEE Core Rail Network is still classified as poor, and a further 1% is classified as very poor, while only 8% is considered to be in good condition. According to the same source, speed restrictions may still be found on 70% of the network.

In Croatia, the section Vinkovci – Vrpolje has recently been overhauled and its geometrical properties enable trains to reach a maximum speed of up to 160 km/h. Works however are not yet completed and ETCS (European Train Control System) devices and there is still a need to install remote traffic controls along the entire section.

Before the war, major railway earnings came from Corridor X traffic. **Rail traffic volumes** dropped drastically during the 1990s on the Core Network sections, but are now gradually and steadily recovering as evidenced by recent traffic growth figures along Corridor X. As confirmed in the **MAP 2007-2011**, *“significant traffic flow in terms of trains per day is reported for much of the (Core) network”*.

In terms of rolling stock, the traditional passenger coaches are considered sufficient in terms of numbers and standards for present operations. The freight fleet consists mostly of conventional covered or open wagons, some suitable for combined traffic operations. A large number of locomotives are in need of replacement, with an estimated 70% reaching the end of their working lives within the next decade. There are plans to install ETCS on the rail network, but these depend on the locomotives which run on the corridor also being equipped with the system.

The first steps have been undertaken by HŽ to modernise the fleet.

As regards freight services, 50 new wagons have been built for RoLa (Rollende Landstrasse - Rolling Road) operation for promoting the use of the Spačva RoLa terminal, for which a corresponding RoLa terminal is planned in Zagreb area.

The railway companies have started to modernise their fleet of passenger coaches. To render passenger services more attractive, the railway companies procured an initial series of **modern tilting trains**, to offer passengers a much more comfortable and quicker journey. According to international experience, trains that tilt can go up to 25% to 40% faster around curves than conventional trains without inconveniencing the passengers, and hence can significantly increase average speeds and cut journey times.

The modernisation of the rolling stock, in parallel to planned line improvements, will be vital for strengthening the competitiveness of rail transport in comparison with other transport modes.

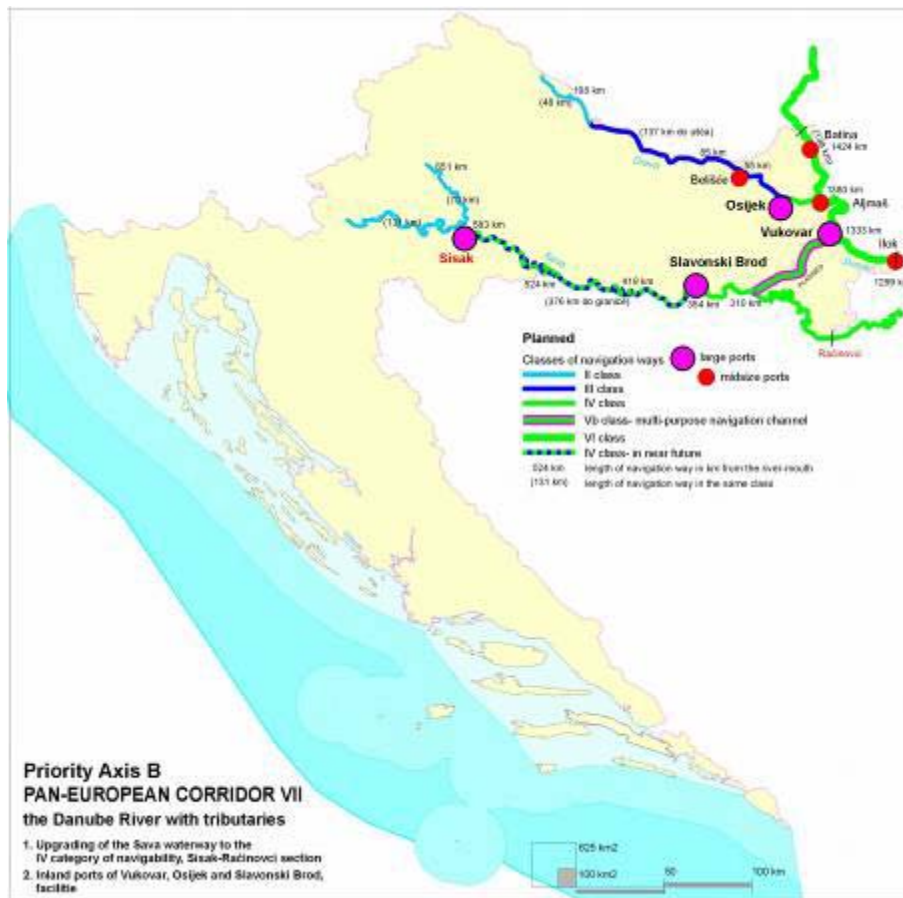
2.1.1.2. Inland Waterways

The total length of inland waterways within Croatia's borders is 804.1 km, of which:

- The Danube is 137.5 km in length;
- The Sava is 447.7 km in length;
- The Drava is 198.06 km in length;
- The Kupa is 5.9 km in length;
- The Una is 11 km in length

The river ports situated along these inland waterways are: Osijek, Sisak, Slavonski Brod and Vukovar.

Picture 5 – Croatia’s Inland Waterways Network



The most significant inland waterways in Croatia are the Danube waterway and the Sava river inland waterway, but as transport resources, they are relatively under-utilised. The river ports suffered heavy damage during the war; their infrastructure is in a poor state and inadequate for the provision of quality services. Once the navigation conditions are brought back to pre-war levels and up-graded, there is potential for the inland waterways to be used in combination with railway transport as an alternative to the currently dominant road transport network, as well as in combined transport operations.

Navigation on the Sava River was well developed in 1990. The commercial waterway had a length of 586 km and reached from Sisak (Croatia) 50 km from the capital Zagreb to Belgrade (Serbia). From the mouth of the Sava at the Danube, the river was Class IV (equal to draught of 2.5m) up to Brčko, while from there to Sisak, it was Class III. Historically, the possibility of navigating all the way to Zagreb has been limited. In addition, navigability on the otherwise feasible river sections depends on seasonal conditions.

Today, in total only 287 km of the rivers Danube, Sava and Drava comply with the requirements for an international class of waterway. The total network density is significant in comparison with EU countries, but there is no internal connection between the Danube and Sava rivers, while traffic on the Sava (as well as port activity) is presently constrained by the low levels of navigational safety in the downstream part of the water basin, due to war debris and heavy sedimentation in particular places.

However, a number of rehabilitation activities have been started: The Sava River Commission carried out a pre-feasibility study of the rehabilitation needs of the river. The study was finalised by February 2007 and officially presented on March 2007. Also, Serbia announced plans at the most recent (December) SEETO Ministerial Meeting to make an IPA application for the removal of obstacles in the river bed of the Sava and Danube.

2.1.1.3. Roads

The road network totals 29,016 kilometres in length, and is classified administratively as follows:

- motorways and semi-motorways : 1,065 km
- national roads : roads 6,812 km
- county roads : 10,604 km
- local roads : 10,535 km

The total density of the road network (see picture 6) is 51.32 km/100km², and for motorways alone is 1.88 km/100 km²¹¹⁰

The condition of the road network is in correlation with various traffic intensities. According to the actual data for the year 2005, the average annual daily traffic (AADT) was 3,353 vehicles /day.

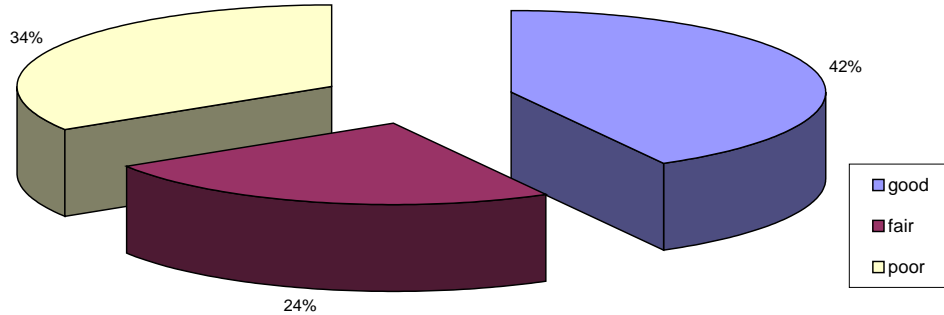
Year	AADT	trend
2001	3320,67	
2002	3381,23	
	1,8%	
2003	3599,9	6,5%
2004	3483,96	-
	3,2%	
2005 ¹¹¹	3353,72	
	- 3,7%	

According to available data describing the condition of road surface in respect of roughness and damage, the condition of road surfaces on the national roads network can be broken down into three categories - good, fair and poor condition. Collected data on the condition of road surfaces are kept in the road data base of Croatian Roads Ltd. (Hrvatske ceste d.o.o.)

¹¹⁰ The Betterment II programme is currently in the planning phase, with the aim of the rehabilitating 52 sections or 680 km of state roads. Motorways and semi-motorways are relatively new. The first motorway was opened to traffic in December 1972. A toll is charged on all motorways located in the Republic of Croatia; Croatia has 32 years of experience in toll collection. 849.15 km of motorways are currently in use in Croatia.

¹¹¹ Data not available for the year 2006

Total condition of the pavement on the national roads network in 2006



Today, Croatia has 24 km of motorway per 100,000 inhabitants, which exceeds density levels within the EU-15 (14 km of motorway per 100,000 inhabitants). The focus of improvement works is currently shifting from motorway construction to national roads, only 35% of which have a good quality asphalt surface.

While Croatia enjoys a high density of motorways, in part due to the investment set out in section 1, vehicle ownership is also growing strongly, and hence, the motorised vehicle stock in Croatia is increasing fast. As regards the country's vehicle stock, 1,45 mln. passenger cars were registered in 2006, representing a 4.6 % increase in comparison with the previous year. The increase in the number of trucks is equally significant. 160,549 trucks were registered in 2006, which is a 4.4 % increase when compared to 2005. It should be noted that, since 1997, the import into Croatia of motor vehicles which are not homologised is not permitted, in accordance with UN-ECE rules and standards.

Altogether, the vehicle stock (passenger cars, busses and trucks) has increased by 16 % since 2002, as can be seen from the table below.

	2002	2003	2004	2005	2006
Vehicle Stock (cars, busses and trucks)	1,377,999	1,436,544	1,487,042	1,542,213	1,599,842

Source: Croatian Roads

This is reflected in growing traffic levels within the Core Network that inevitably peak during the summer holiday season, as shown below:

Average traffic ¹¹²	Corridor Vb Section	Corridor X Section	Route 1 ¹¹³
AADT	9,900	15,700	8,000

¹¹² AADT = average annual daily traffic; ASDT = average summer daily traffic

¹¹³ Route 1 is a part of Core Network and one of the most important routes in Croatia

ASDT	16,900	17,100	20,500
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Picture 6 – Croatia’s Road Network



2.1.1.4. Maritime Ports

The Croatian coastline is 1,400 km in length. The two dominant cargo ports are Rijeka and Ploče; the major passenger ports are Zadar, Split and Dubrovnik. Only Rijeka and Ploče have significant container traffic.

Cargo turnover in Croatia’s sea ports increased strongly over the past five years in the ports of Rijeka, Zadar, Šibenik, Split, Ploče, and Dubrovnik. The total volumes handled are shown below:

YEAR	2001	2002	2003	2004	2005	2006
CARGO in millions of tonnes	11.833	11.929	14.560	17.077	18.801	19.113

Sources: 2001-2003: Data from the port authorities; 2004-2006: Central Bureau of Statistics (CBS)

Multi-modal operations are still in their infancy. In the first half of 2005, a total of 51 000 TEU (Twenty Foot Equivalent Unit) containers were handled by Rijeka and Ploče ports, compared with 71,194 TEU for all of 2004, pointing to an increasing trend year on year.

Port infrastructure and equipment still lags behind other competing ports in the region, despite substantial investments made over the past five years¹¹⁴.

2.1.1.5. Air Transport

The Republic of Croatia has seven international airports (Zagreb, Dubrovnik, Split, Zadar, Pula, Rijeka i Osijek) and two smaller airports (Brač and Mali Lošinj), through which public air transport (line and occasional) takes place, both national and international. The seven biggest airports are of 4E ICAO category, fitted with devices and equipment corresponding to international safety and security standards. In order to fulfil its social role, each airport must address the improvement of its security level, quality of its services, and efficiency of its operations; at the same time, it has to ensure the necessary capacities in accordance with the transport demand.

Table 2 - Air transport in Croatia

YEAR	2001	2002	2003	2004	2005	2006
Airplane transport (movements of airplanes)	45,417	48,265	50,443	54,203	64,601	89,337
Passenger transport, (1,000s)	2 348	2 535	2 922	3 297	3 916	4 425
Cargo transport, in tonnes	8 997	8 221	8 765	9 936	18 109	11 888

In 2005, almost four and a half million passengers in total passed through all Croatian airports; 90% of this volume was accounted for by the three biggest airports (Zagreb, Split and Dubrovnik).

The development strategy for air transport in the Republic of Croatia, elaborated in 2002 by the Institute of Transport and Communications, predicts that the air transport sub-sector will grow at the rate of 8.8 % annually until the year 2010.

2.1.1.6. Transport Terminals

Multi-modal terminals operated by the Croatian Railway Group are: Vrapče (Zagreb), Brajdica (Rijeka) and Spačva (near Vinkovci).

The characteristics of the three container terminals are as follows:

Multi-modal transport services in Croatia are, at present, rudimentary

- Vrapče (Zagreb) is equipped for handling of containers, exchange of truck cases (boxes), and for road semi-trailers up to 40 tonnes in weight.
- Brajdica (Rijeka) is equipped for the handling and storage of containers, RO-RO (Roll on – Roll off) trailers and other vehicles, as well as for handling of heavy pallets and stones. It can accept 5,000 TEU at the one time and about 100,000 TEU annually.

¹¹⁴ In the scope of the **Rijeka gateway project**, the passenger port will be modernised, a new nautical centre will be built, and preparatory works will be carried out for the development of the Delta and Porto Baroš zones.

- The new Spačva terminal is located in the zone of the **Spačva** train station near the Zagreb - Lipovac motorway (Pan-European Corridor X). The terminal is primarily destined for RO-LA operation. It is 20 km away from the Serbian border to the west (Corridor X) and 22 km from the border with Bosnia & Herzegovina to the north (Corridor branch Vc).

By 2008, another RO-LA terminal will be built at the **Zagreb** marshalling yard area.

The overall growth of rail container traffic is strongly related to the Rijeka port turnover and development. There is no container traffic on Croatian inland waterways.

2.1.2. Traffic Characteristics and Modal Split

Road transport is the dominant transport sub-sector in Croatia, in terms of both market share and investments undertaken.

2.1.2.1. Freight Traffic

Over the last six years, the picture is as follows:

In 2006, Croatian carriers transported a **total of 119.7 million tonnes of merchandise** (or 27.47 % more than in 2001) in railway, road (public and private transport), sea and coastal transport, transport on inland waterways, air transport and pipeline transport. The split by modes is shown below:

Transport mode	Millions of tonnes (2006)	Change over 2001
Road	63.0	54.4% increase
Sea and coastal	31.42	-85.8% decrease
Air	6.0	-81.3% decrease
Rail	15.39	32.9% increase
Inland waterways	1.69	50.5 % increase

Looking closer at railway freight operations, the following picture emerges:

260 trains were used on a daily basis for the railway transport of cargo. Their commercial speed was 26 km/h and typical (average) delays were 66 minutes per 100 kilometres. The average weight of freight trains was 749 tonnes, and the coefficient of empty wagon travel was 0.79.

Railway Freight Trends: The last two years' figures confirm the overall railway trend. Since 2000, railway performance, in terms of tonnes carried, increased by over 40%. Measured in tonne-kilometres travelled, rail performance increased at an even higher rate, from 1.928 billion to 3.106 million, or an increase of 61 %. This overall positive development trend reflects the railways' intensified commercialisation efforts.

The increase in average transport distance per consignment again points to decreasing unit cost per tonne of railway operation.

Most importantly, the reported increase in traffic performance of the railways has led to a steady increase of HŽ Infrastructure revenues and, as a consequence, reduced the need for Croatian Railways Infrastructure to be supported by the state budget.

2.1.2.2. Passenger Traffic

Over the last decade the picture has been as follows: In 2006, Croatian carriers transported a total of 123.94 million passengers on various **inter-urban transport routes**. The split by modes of transport is shown in the following table:

Transport mode	Millions of passengers (2006)	Change over 2001
Road	63.6	-5.6% decrease

Rail	46.2 ^{115 188}	25.6% increase
Sea and coastal	12.1	34.3% increase
Air	2.07	65.6% increase

Source: Central Bureau of Statistics

The following numbers of passengers used **urban transport facilities** in 2006:

Transport mode	Millions of passengers (2006)	Change over 2001
Buses	186.8	-15.6% decrease
Tramways	179.5	1.3% increase

Source: Central Bureau of Statistics

The 46.2 million passengers carried in 2006 by the **railways** correspond to 1.362 million passenger kilometres. This represents 97.3 % of 1990 levels, which was the last pre-war year.

Moreover, domestic passengers accounted for 95.8 % of all passengers in 2006, and 67.9 % of total passenger kilometres. Over 600 trains were used every day in domestic passenger transport, as follows:

- urban and suburban trains in the Zagreb area - 72 trains;
- local trains for distances of about 100 kilometres which are used in the transport of daily and weekly commuters between urban centres and surrounding areas - 515 trains;
- intercity trains linking towns and counties - 48 trains;
- vacation trains, sports trains and special event trains organised by Croatian Railways Passenger Transport and tourist agencies

International travellers accounted for the remaining 4.2 % of total passengers, but 32.1 % of passenger kilometres. In total, 106 trains were used for international passenger traffic, the most significant passenger services/lines being:

Most international railway travellers use the Pan-European Corridor X railway corridor.

- Zagreb to the following destinations (and vice versa): Vienna, Budapest, Munich, Venice, Zurich, Ljubljana, Belgrade.
- Rijeka - Budapest and Rijeka - Ljubljana.

Railway Passenger Trends: The last two years' figures confirm the overall trend. Railway performance, in terms of passengers carried, grew by almost 14 % during the period 2000-2005. However, railway performance saw only small growth when measured in passenger kilometres travelled, increasing from 1.252 million to 1.265 million, or 1.04% during 2000-2005.

The statistics show that volume growth in railway passenger traffic originates from short-distance urban and sub-urban traffic, which can be seen as an important growth market for the railways.

As to service quality, the commercial speed of passenger trains was 48 km/h, and trains were typically 5 minutes late for every 100 km of travel.

Freight transport by inland waterways on the Danube River is steadily increasing, whilst on the Sava River it is stagnating at low levels, mostly due to very poor basic safety conditions for navigation in the lower part of the river. In 2006, public cargo transport amounted to 1,697.000 tonnes, excluding Danube transit transport.

Annual river transport figures are based on information provided by Port Authorities and are expressed in tonnes transported. The higher Croatian ports activity is due to the increase in international cargos.

¹¹⁵ Including sub-urban traffic

Between 2000 and 2005, cargo river transport grew from 646.000 tonnes to 1,629.000 tonnes in the following ports: Osijek, Sisak, Slavonski Brod and Vukovar. The highest increase was registered in the port of Vukovar, with a very high percentage of transit transport – 80 %.

As regards the situation on the Sava river, the volume of freight transport has collapsed since the pre-war period. Before 1990, some 7.5 million tonnes were shipped annually^{116, 189}. By 2005, without accounting for gravel and sand, the transport volume amounted to a mere 200 000 tonnes of river cargo

With regard to **maritime traffic**, the number of passengers has been growing steadily since 2001. In total, 9 mln. passengers were transported in 2001, while 10.5 mln passengers were transported in 2003. As many as 9.5 mln. passengers were transported in the period from January to October 2004, and 22.58 mln. tonnes of cargo was transported in the same period. In 2006, 12 passengers and 31,423 tonnes of cargo were transported.

Regarding **aviation**, a total of 4.4 mln. passengers were transported in 2006, compared with 3.94 mln. passengers in 2005. The airports of Zagreb, Split and Dubrovnik account for the vast majority of passenger transport. According to *'Air Transport Development in the Republic of Croatia'*, the strategy produced by the Institute of Transport and Communications in 2002, it is anticipated that air traffic will grow at the rate of 8.8 % annually until the year 2010.

The analysis of the state of Croatian airports shows that they greatly lag behind airports in other European countries, particularly with respect to passenger, airport and cargo handling techniques at arrival and departure. Airports currently operate using equipment compliant with existing safety standards, but to be competitive they should be equipped, modernised and brought to levels consistent with current world standards.

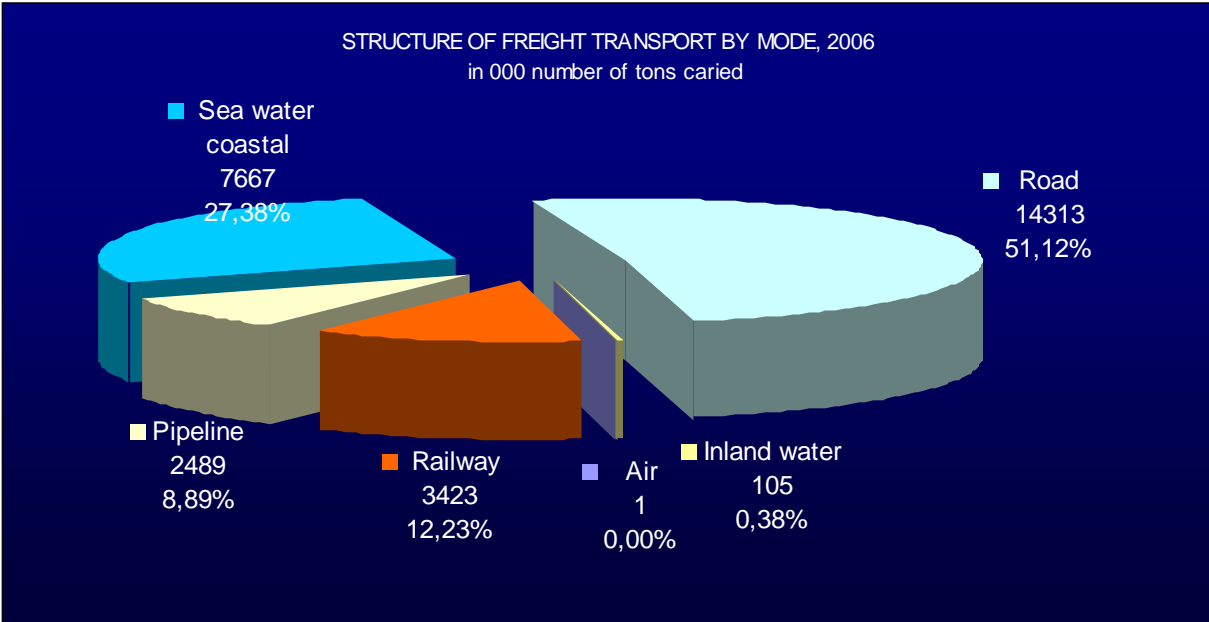
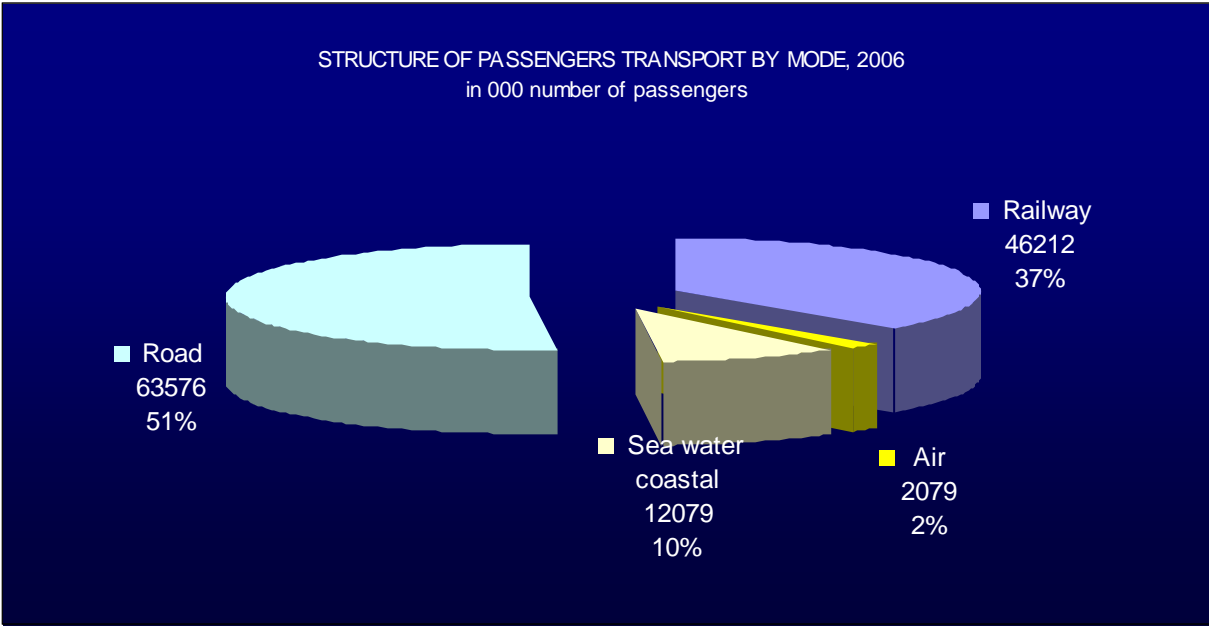
The status of airports in the Republic of Croatia is regulated by the Law on Airports (Official Gazette No. 19/98). On the date of entering into force of the law on airports, airports became limited liability companies, in which the state, the county on the territory of which the airport is situated, and local authorities, all participate as shareholders.

2.1.2.3. Modal Split between Modes of Transport

The resulting modal split for both passenger and freight traffic is depicted below for the year 2006, measured in passengers and tonnes carried:¹¹⁷

¹¹⁶ MSTTD; State Bureau of Statistics of the (Former) Republic of Yugoslavia

¹¹⁷ MSTTD; Central Bureau of Statistics of the Republic of Croatia



The charts demonstrate the dominance of road transport in carrying both passengers and freight, with rail transport enjoying a modal share of only 37% and 12% respectively, and inland waterway responsible for less than 1% of all goods transported.

It needs to be recalled in this context, that the Croatian railway network suffered great damage during the war. Its rolling stock - locomotives and wagons - was either heavily damaged or looted and plundered. Because of this, and also because of the fall in economic activity during and after the war, railway traffic has still not attained pre-war levels. No doubt another determining factor is that the excellent arterial road network of Croatia today, which runs in parallel to the railway corridors, leaves Croatian railways under permanent threat of the diversion of traffic from rail to road.

Similarly, transport on the Sava River has practically disappeared, mainly due to fairway obstructions caused by the war.

Furthermore, the following points should be noted:

- The **market share of railways is particularly weak with regard to freight movement** (12.2%), not least due to low commercial train speeds, while the market share of inland waterways is currently almost insignificant.
- The **lion's share of both freight and passenger traffic is carried by road**. The strong competitive position of the road mode is reflected in the fact that the annual increase of freight carrying vehicles (3.9 % from 2004 to 2005) has been more or less in line with GDP growth.
- However, as seen from past improvements in **both the railways and the river transport sector, there are positive signs of revitalisation**.

2.1.2.4. Cross-border traffic

In 2006, 19.99 million passenger vehicles entered Croatia by **road**, which is a 5.1 % increase over 2005 (19.03 Million vehicles). Of this number, two-thirds of the vehicles were registered in other countries.

In the same year, a total of 69.58 million passengers entered Croatia (all modes), which is a 4% increase over 2005. Of this number, 22.09 million were of Croatian nationality (a 3.2 % increase over 2005) and 47.49 million were foreign nationals (a 4.4 % increase).

Most interestingly, 66.1 million or **95.4%** of passengers entered the country by passenger car, a figure which clearly illustrates the traffic generation effect created by the new motorway network.

The shares of the different modes in total cross-border movements are as follows:

Transport mode	Millions of passengers (2006)	Change over 2005
Road	66.09	3.6% increase
Sea and coastal	1.07	8.7% increase (9.4 % increase in foreigners alone)
Rail	0.66	9% decrease
Air	1.75	16.2% increase

2.1.2.5. Urban transport

Faced with the large growth of urban transport in the cities of the Republic of Croatia, city authorities, and especially the City of Zagreb, have taken and are taking a number of planning, technical and legal measures in order to reduce the unwanted effects of urban transport upon the life of city populations and, by doing so, increase their mobility.

We specifically mention the City of Zagreb, the capital of Croatia, since it leads the way in the implementation of measures regarding clean and safe urban transport.

The planning measures, in line with travel growth, envisage the construction of a fast city railway. It is expected that this project will be fully realised by 2015. The city administration has organised pedestrian zones and bicycle lanes wherever possible. Considerable funds are directed towards public transport. Seventy-five new trams have been bought and another seventy-five are on order. Since it is clear that public transport is the best solution for cities, city buses are being adapted for biofuel use.

City buses fuelled by biofuel began to operate in May 2007. Currently, there are only ten biofuel buses in operation but it is expected that, after the testing period, all 150 buses will be fuelled by biofuel. The situation is similar in other cities, but due to their lower population their problems are fewer. However, all problems in relation to the influence of transport on the environment are being addressed through the coordinated work of all Croatian cities.

Data on the number of passengers in Croatian cities in 2006:

Buses	186	768	000
	passengers		
Trams	179	515	000
	passengers		

The number of passengers (in millions) in urban and suburban transport in the City of Zagreb:

Year	2001	2002	2003	2004	2005	2006
No. of passengers	19 533	19 590	19 598	20 144	21 151	27 325

2.1.2.6. Outlook

General

According to preliminary traffic forecasts produced for the Balkan region's core transport network, in the framework of earlier transport sector assessments¹¹⁸, traffic is predicted to increase by 200-300% by road, and 60-140% by rail. These figures reflect the moderate growth scenario for the transport sector.

For Croatia, being a natural transit country and at the centre of Pan-European Transport Corridor X which connects Austria to Greece, it will be of utmost importance **to gradually improve interoperability and achieve smooth cross-border operation**, especially for the railways along Corridor X, in order to succeed in inter-regional and intra-regional corridor competition and to be able to capture significant parts of future traffic potential. Moreover, increasing its market share in international goods and passenger traffic on Corridor X is a pre-requisite for rendering line investments and railway operations financially feasible.

It seems plausible to assume that in the case of Croatia the international freight and passenger traffic increase will be concentrated on Corridor X.

In developing network interoperability in the new trans-European context, train control systems are a crucial link between national networks and between infrastructure and railway operations. The TOP therefore, in full awareness of the fact that increased harmonisation of systems is an important goal to achieve, and in an effort to advance standardisation, is focused on railway investment projects which deal with signalling system improvements and ETCS¹¹⁹ installation.

Railway Traffic Forecast

As regards future development potential, the following assumptions seem reasonable:

- Long-distance international transport and inter-modal transport will be factors in future demand growth in Croatia.
- While available railway market studies could not identify any significant potential for local intercity passenger growth, recent experience shows that sub-urban transport is a potential growth market for the railways. Already today, some 90 % of all daily trains are engaged in urban and commuter traffic.

¹¹⁸ Reference is mainly to the EU funded REBIS Regional Balkans Infrastructure Study, Final Report July 2003. In intercity traffic, aviation became a competitor for the railways. Major airports are located in Zagreb, Dubrovnik, Split, Zadar, Pula, Rijeka and Osijek. There are further two airfields in Mali Lošinj and Brač for mainly special services, as well as 17 airfields for landing of general purpose airplanes, 5 small airfields, 3 heliports for exclusive use and 4 heliports for emergency use.

¹¹⁹ The ETCS should guarantee fast, dense and safe border-crossing high speed train operation at European level.

According to internal railways forecasts, the planning target for the forthcoming period is a 3.9 % increase for internal passenger transport and 4.9 % increase for international passenger transport.

An average annual increase of 4.3 % for rail transport of cargo (in tonnes) is planned over the same period (domestic transport: 8.1 % and international transport: 3.1 %).

These forecasts have been based on an increase in transport activity along the arterial transport routes toward the east, from Central Europe in the direction of the Southern Europe via Croatia along Corridor X, on a further increase in transport activity to and from Bosnia and Herzegovina, and finally on increased ports' activity, particularly in Rijeka.

Of course, a significant pre-condition for an increase in the transport market share held by railways is the modernisation and renovation of the rolling stock in line with current market requirements, as well as the provision of new products, one of them being the RO-LA.

Inland Waterway Traffic Forecast

There are no specific traffic projections established yet for the Sava river basin. However, there are indications of significant transport potential in the years to come. Studies therefore need to be carried out to provide an indication of river traffic growth and potential revenues.

The **SEETO's MAP 2007-2011** points to the need to improve Sava River navigability to ensure the connectivity of Bosnia and Herzegovina and Croatia.

Provided navigation conditions are improved, major traffic is expected to be generated by local and foreign industries in the greater river catchment area, such as, for example, the timber industry in Slavonski Brod, the chemical industry in Serbia, the steel industry in Central Bosnia, and also from the tourism industry, which is strongly interested in Sava river development.

2.1.3. SWOT analysis

The following analysis of strengths, weaknesses, opportunities and threats (SWOT) summarises what has been discussed in sections 2.1.1 and 2.1.2, but is restricted to the rail and inland waterway sub-sectors, given the planned concentration of IPA resources in this OP.

SWOT profile - Railways

Summary statement: The strength of the Croatian railways is its carrying capacity, as well as its energy efficiency when compared to competing road transporters¹²⁰. Network size can be viewed as both a strength and a weakness, the latter because of the problem of unprofitable line services. Due to poor network conditions and past under-funding of the railways, the efficiency of operations has been compromised and the network suffers from permanent speed restrictions (see discussions under section 2.1.1), train cancellations and delays.

Operational problems are symptomatic for the whole SEE Core Regional Railway Network: According to latest information¹²¹, 65 % of the Core Network suffers from mandatory speed restrictions.

The railways nevertheless are increasingly oriented towards market needs, and are considering multi-modal transport (including Ro-La) as a future market opportunity; market penetration will depend on the railways' competitiveness. Growing car ownership represents a serious challenge to alternative transport modes, as it is generally coupled with increased service expectations.

STRENGTHS

¹²⁰ The ratio of energy consumption is about 4:1 in favour of the railways, assuming same travel speed (Source: World Bank Working Papers 634 "Railways and Energy").

¹²¹ SEETO MAP 2007-2011

INFRASTRUCTURE

- Favourable geographic network positioning for development of international traffic as part of the Pan-European transport corridors X, V and VII;
- Well connected to urban and sub-urban centres;
- Well connected to commercial maritime ports;
- Croatia and its surrounding countries have the same gauge size;
- Availability of intermodal (Ro-La) freight terminal at border (Spačva);
- Joint border crossing points with Hungary and Slovenia.

OPERATIONS

- High volume mode of transport for bulk commodities;
- Safe, energy-efficient and environmentally friendly mode of transport;
- Less dependency on weather conditions than alternative modes;
- Availability of multi-modal transport facilities (focus on Ro-La);
- Investment in modern fleet components (tilting trains for passenger services);
- Bilateral agreements on cross-border traffic between Croatia and surrounding countries.

FINANCE

- Gradual increase of revenue base, due to an increase in transport volume in both passenger and freight sectors;
As a consequence, there have been decreasing requirements for state budget support;
- Increasing commercial freedom as regards pricing policy;
- Concessionaire system in place (for motorways' construction and operation).

MANAGEMENT / ADMINISTRATION

- Advanced structural adjustment process concerning the Croatian Railways, aimed at the creation of a new railway holding;
- Increased recognition of modern services requirements;
- MSTD's specific promotion scheme for multi-modal transports.

LEGAL TRANSPOSITION OF EU RAILWAY LEGISLATION

- Gradual successful alignment with EU transport acquis requirements;
- Railways Act of 1994 (amended in 1998) has initiated the first phase of restructuring HŽ from the former state-owned company into a public limited company (the new "Law on Division of HŽ" of January 2006 opens the way for the creation of a new railway holding structure).
- Railways Act of July 2003 opens the way for separation of infrastructure management and train operations and the new "Law on Division of HŽ" of January 2006 for the creation of a new railway holding structure.
- New Railway Safety Act being drafted.

WEAKNESSES

INFRASTRUCTURE

- Network limitations (rigidity) as far as area coverage is concerned;
- Single track line segments on arterial line sections;
- Croatian electric traction system (25 KW) is different from the one in neighbouring Slovenia - a technical barrier to interoperability.

OPERATIONS

- Inadequate rolling stock, particularly in view of the demand and quality standards;
- Outdated signalling and telecommunications system;
- A change of locomotives is necessary at all the borders;
- Low commercial speeds, due to lack of investment in modernisation of the system;
- The dilapidated state and poor maintenance of the rolling stock is the main reason for frequent breakdowns, affecting both the infrastructure and trains and causing irregularities and delays. In consequence, users - particularly in passenger transport - frequently turn to other modes of transport;
- New laws distance operations, but new companies still have weak commercial objectives (concepts);
- No private sector involvement in rehabilitation or maintenance;
- Organisational structures are still overly based on a traditional concept of the market (sellers' market);
- To date, no open access to the railway market, because required legal implementation requirements have not yet been determined;
- Insufficient reliability (arrival on time)

FINANCE

- Limited self-financing power;
- Negative business result (loss making);
- Decreasing budgetary sources for local passenger transport (local lines) with the consequence of possible line closures;
- Non-profitable line segments in operation;
- Non-sustainable transport cost reimbursement scheme of costs of railway subsidiary AGIT Ltd engaged in combined transport.

MANAGEMENT / ADMINISTRATION

- Little or no divestment of ancillary businesses (17 dependent companies are majority owned by HŽ);
- No private participation in ancillary business;
- At present, Croatia lacks institutions which are a pre-requisite for market opening: licensing authority, regulatory authority, safety authority, infrastructure manager, capacity allocation body, charging body and notified body, whereby the most urgent are the independent regulatory body and the independent infrastructure manager;
- Staffing problems within the management structure – constant lack of adequately trained staff;
- Still underdeveloped administrative capacities

LEGAL TRANSPOSITION OF EU RAILWAY LEGISLATION

- New laws have been passed in accordance with the transport *acquis*, but there are still legal and institutional gaps, and a lack of subordinate legislation and implementation.

OPPORTUNITIES

- To harmonise the Croatian network and operations capability with European norms and practice;
- To increase the quality of services, railway productivity and efficiency, using European benchmarks and best practices;
- To develop railway network and services in line with the concept of sustainable transport;
- To further implement the concept of modern "logistics-chain management" and inter-modal transport;
- To regain market shares in passenger and freight transport, and especially create a new market for the railways for long distance travel along the Corridors X, Vb and Vc;
- To improve, stabilise and consolidate the railways' financial situation;
- To respond to the increasingly tight financial situation in the local passenger transport field by developing cooperation models together with the local authorities;
- To contribute to the stabilisation of political and economic circumstances in the wider area;
- To support the ongoing urbanisation and urban migration trends by providing adequate urban, sub-urban and intercity services;

- To fully take advantage of the increase in urban, sub-urban and intercity transport demand;
- To contribute to and profit from the revitalisation of domestic sea ports and Vukovar port;
- To attract private sector finance for railways systems improvement.

THREATS

- Lack of substantial investment will reduce the competitive edge of railway transport to the benefit of other modes of transport and, in international transport, such a situation will prove beneficial to foreign railway companies, as well as to other competing modes, in particular road transport;
- Croatia loses out in international corridor competition;
- Relatively short project implementation period (the N+3 rule).

SWOT profile - Inland waterways

In summary: the advantage of river transport is its large transport capacity, albeit at low commercial speeds. The main argument for shippers to choose the inland waterway mode is the unit cost advantage, particularly for bulk commodities such as raw materials, oil and oil products, ores and metals and chemicals, all of them however representing markets on which the railways are a competitor. Factors working against river transport are that water levels fluctuate according to weather conditions, representing an element of uncertainty and leading to economic constraints. Environmental protection is a major reason for favouring waterway transport from a public policy perspective, but dangerous goods transport is a potential threat to water quality. Multi-modal transport can be considered a future business opportunity.

STRENGTHS

- High volume mode of transport for bulk commodities;
- Safe, energy efficient and environmentally-friendly mode of transport;
- Traffic can be operated 24 hours a day, 7 days a week, which enables great flexibility of scheduling operations;
- Privatisation process in ports completed by separating administrative functions from commercial operations;
- Commercialisation of port operations has taken place;
- Concessionaire system in place;
- Charging port fees (wharf usage) aligned with EU practice;
- Cost recovery fully operated through tariffs;
- Widespread private sector participation;
- Commercialised maintenance operations;
- Concluded "Framework Agreement on the Sava River Basin" including all riparian states and establishment of Sava River Committee, mandated with Sava river development;
- Good progress in alignment with international and EU legislation.

WEAKNESSES

- Physical navigation obstacles leading to navigation hazards;
- Insufficient maintenance and outdated infrastructure of waterways and river ports;
- Relatively low commercial speed and hence, long travelling time;
- Insufficient reliability (arrival on time) due to insufficiently developed fairway;
- Short navigation periods due to difficult hydro-meteorological conditions (low water levels, fog, etc.);

- Limited consultation in investment planning;
- Gaps in compliance with EU transport *acquis* (mutual recognition of documents);
- No contingency plans developed for serious pollution cases;
- Outdated system of signalling in place;
- Dangerous goods transport potential threat to water quality;
- Low market share;
- Staffing problems within the management structure – lack of adequately trained staff;
- Relatively underdeveloped administrative capacities.

OPPORTUNITIES

- To re-establish an internationally acceptable navigation regime, navigation safety and bring the waterway up to IV category level;
- To harmonise the Croatian network and operations ability with European norms and practice;
- To render river transport again an attractive alternative and create traffic diversion effects: congestion of land travel can be avoided by transferring cargo with high affinity to waterway transport from roads to inland waterways;
- To advance multi-modal transport solutions by improving transshipment nodes and facilities (river ports);
- To take the necessary action to involve private sector into the rehabilitation of the waterway and the revival of commercial shipping;
- To create synergies between the Danube waterway and Sava river basin development, taking into consideration the results of the 3rd Pan European Transport Conference, according to which the Corridor VII refers also to the Danube–Sava link as part of the relevant inland waterway system;
- To revitalise the Sava River basin economy and promote industry settlement in the river vicinity, including navigable tributaries;
- To increase the quality of services, productivity and efficiency, using European benchmarks and best practices;
- To develop the river basin in line with the concept of sustainable transport;
- To further the concept of modern “logistics-chain management” and intermodal transport;
- To regain market shares in freight transport in river commodity markets;
- To launch river tourism and tourist industry in the river basin;
- To improve, stabilise and consolidate the river port authorities’ financial situation;
- NAIADES – European action plan for Inland navigation¹²².

THREATS

- Capacities are insufficiently used;
- Some of the infrastructure projects, especially on the Drava river, could provoke harmful consequences on the existing environment (soil, natural habitats) - these concerns will be taken into account during future EIAs;
- Lack of substantial investment will further degrade river services to an absolutely marginal level of importance within the Croatian and regional transport system, very much to the benefit of road transport with related ill-effects of traffic congestion and air pollution;
- Lack of funding will leave the development potential of the Sava river basin unexploited;
- Specific interests of gravel extraction and transportation companies
- Uncontrolled exploitation in cross border area with Bosnia and Herzegovina
- Relatively short project implementation period (the N+3 rule).

¹²² The new NAIADES programme will try to foster inland waterway transport as an environmentally-friendly alternative to road freight. The action plan will tackle the sector’s poor image and infrastructure problems.

There are a number of common issues that emerge throughout the SWOT, namely:

- Poor infrastructure condition as a result of more than a decades of no investments;
- Low infrastructure capacity usage;
- Urgent need for substantial investments in infrastructure;
- Strong potential for traffic growth;
- Problems with staffing and capacity building;
- A stronger cooperation between sub-sectors already initiated (Ports of Vukovar, Sisak and Slavonski Brod);
- International cooperation intensifying in both sub-sectors.

2.1.4. Medium term needs and objectives in the Railway

Future investments will primarily be made in Pan-European Corridors Vb, Vc, and X, in order to achieve their inter-operability in accordance with directives given by the European Union, and to make them attractive to other operators and transport organisers. After the planned infrastructure upgrade, the following train speeds will be possible:

- | | |
|--|----------|
| • international railways (corridor railways) | 160 km/h |
| • regional railways | 120 km/h |
| • local railways | 80 km/h |

These characteristics and speeds (for international railways) are primarily planned on the railway section Oštarije - Knin – Split and on the following Pan-European corridors and branches:

- **X** Savski Marof - Zagreb - Vinkovci - Tovarnik
- **Vb** Rijeka - Zagreb - Botovo
- **Vc** Ploče - Metković and Beli Manastir - Osijek - Vrpolje - Šamac

In line with the draft of **Croatian Railways Group five year plan** which serves as a basis for the preparation of the National program for modernisation of railway infrastructure, and other national programming documents, the medium term needs and objectives in this sector are:

- An increase of volume and quality of transport, together with planned reduction of employees in line with modernisation and improved quality of performance,
- Investment in infrastructure, especially in the modernisation and construction of railway lines of international importance (Corridor X,Vb,Vb1 and Vc),
- Investment in transportation; procurement of new motor units, freight and passenger wagons, multipurpose and shunting locomotives and modernisation of traction units, i.e. investments aiming at increased volume and quality of freight and passenger transport,
- Better regional, economic and transport linkage within the Republic of Croatia, especially better linkage of Croatian ports with the railway infrastructure
- Better linkage of the national railway system with neighbouring countries
- Dealing with the issue of suburban transport in major towns (expanding Zagreb's suburban transport, system and the implementation of suburban transport systems in Rijeka, Split and Osijek)

2.1.5. Medium term needs and objectives in the River Transport

In line with the drafts of the **5 year plans for inland waterways** and **Inland Ports**, and other national programming documents, the medium term needs and objectives in this sector are:

- Establishment of internationally-classed waterways (Danube, Drava, Sava) in accordance with the European Agreement on Major Inland Waterways of an International Level (AGN)
- Increase the share of inland waterway transport sub-sector with respect to other modes of transportation, with a considerable share of the transit transport of general cargo, containers and RO-RO transportation
- Modernisation of the fleet to adapt it to the new transport and environmental requirements.

- Implementation of favourable conditions for multimodal transport development
- The promotion of jobs, skills and knowledge of waterway activities
- Guaranteeing people's safety and ensuring environmental protection.

The **Accession Partnership** (Transport sector), highlights the *short-term* and *medium-term* priorities. The medium term priority identified for the inland waterway sector is:

- Work towards alignment with the EU acquis in the area of inland waterway transport, in particular with regard to navigational safety and River Information Services.

In terms of the Accession Partnership, the TOP will contribute to the medium-term priority – preparation of projects for investments in upgrading the internationally-classed waterways and port infrastructure. Inland waterway development is identified in the **Strategic Coherence Framework 2007-2013**, as one of two priority objectives to be financed under the scope of IPA assistance.

Priorities identified under the **Multi-annual Indicative Planning Document (MIPD)** are acquis-related investments in improving and modernising the inland waterway network to European standards along Corridor VII.

On the basis of the 1999 Transport strategy and other sectoral documents the Republic of Croatia is investing in the ports and inland waterways. In addition to the regular maintenance of navigable ways, a bank revetment project is to be carried out on the **Danube**, and a water regulation facility is to be built to regulate the navigable passage to upstream of the Drava mouth. River bed stabilisation activities are planned on the **Drava** river; the old riverbed will be closed and a basin-type port will be built in the Nemetin port zone. In addition to regular maintenance of the **Sava** river, it is planned to upgrade the Sava waterway to Category IV, together with Bosnia and Herzegovina and the Sava Commission. The most significant enterprise is the construction of a new port in Vukovar, given the substantial damage to the old port during the war. (The port has been upgraded in the last five years). In addition to regular maintenance activities, the documentation for further development activities is currently being prepared for the ports of Sisak, Slavonski Brod and Osijek. The port of Osijek is building a basin-type port in the Nemetin area, the port of Sisak is preparing the master plan, and the port of Slavonski Brod is continuing with the construction of the waterfront and multimodal terminal.

2.2. STRATEGIC PRIORITIES

The present TOP is based on the **MIPD** and **SCF** strategy and objectives outlined in section 1.2 above, which in turn reflect the EU policy guidelines laid down in the "White Paper: European transport policy for 2010: time to decide" (COM (2001) 370 final). The TOP, addressing the weaknesses identified in the SWOT analysis above, is focused on infrastructure/operations improvements in the railway and inland waterway networks.

Accordingly, the strategic approach taken in the TOP aims at:

- ✓ network integration, increased/ improved interoperability and at quality levels in the Croatian network which meet EU standards, with emphasis being on the railway network and inland waterway system;
- ✓ making use of the comparative economic and environmental advantages of rail and waterway transport which is to carry dense flows of reasonably homogenous traffic over longer distances, whether passenger or freight.

Current energy trends are reinforcing the comparative advantage of rail and waterways against road transport and, hence, are supportive of the strategic choice made in favour of rail and inland waterways. The opportunities in railway and waterway traffic, however, will largely depend on factors such as access costs, speed and route conditions, equipment used and most importantly, the load (utilisation) factor.

The concentration on railways and inland waterways takes its justification from following further considerations:

- The need to concentrate the limited available funds for maximum effect and leverage.
- To integrate major trunk lines (corridors) into the European railway network and to establish a harmonised operating standard across borders.
- To re-balance sector spending and strengthen the railways inter-modal and international competitiveness.
- To regain market share for the railways in the freight transport sector and respond to major changes in the trade pattern and commodity structure, as well as to encourage investment in new technology (in 2005, the railways' share in total goods traffic and passenger traffic amounted to 12.7% and 33.7% respectively)
- To succeed in moving goods transport off the roads; this will depend principally on improving railway services.
- To establish, maintain and improve conditions for safe and reliable inland navigation
- To maintain international waterways according to the required international navigational class standard
- To equip international ports with facilities for the collection and treatment of human waste and the removal of silt from ports.
- To adjust to the technical parameters of Trans-European network requirements.
- To meet environmental concerns which have an increasingly important influence on transport policy. One policy target is to shift long-distance road journeys and cargo onto the railways as an energy-saving, clean and safe mode of transport, and to make the railways an integral part of the modern multi-modal distribution chain.

In summary, the present TOP puts emphasis on the revitalisation of the railways and waterways of Croatia, in an effort to counteract existing development difficulties within the Croatian transport sector. This approach reflects the strategy of sectoral sustainability adopted by the European Council in Gothenburg in June 2001.

Moreover, in order to guarantee the most efficient use of funds, it is intended to achieve complementarity with other related ISPA and IPA interventions, as well as relevant IFI projects (as shown in section 3.4).

3. PROGRAMME STRATEGY

3.1. PRIORITY AXES AND MEASURES

3.1.1. IPA objectives and priority axes

The aim of the Transport OP is to select projects which best fit the OP's objectives, while spreading the benefits of learning from the systems and practices of IPA management, as IPA uses processes of project and programme management which are closer to Structural Fund programme and project management than previous EU pre-accession funds. The IPA objectives and priorities must be in line with strategic directions identified in the Accession Partnership and National 1999 Transport Development Strategy. Therefore, the main objective of the TOP is to invest in projects which will have the greatest impact on the modernisation of the railway lines and, in parallel, to prepare projects for future investments in upgrading and improving the inland waterway sector, since, at this time, there is a lack of suitably mature projects that could be implemented during this Operational Programme period. Finally the aim is to develop the administrative and management capacity of those institutions implementing the TOP. Implementing the TOP measures will produce direct development benefits such as a reduction in the time taken to shift freight, increasing the safety of journeys, and making inland waterways more competitive and less expensive in relation to other transport modes.

Following the strategic direction given by the MIPD and, subsequently, the SCF, the TOP proposes measures (and major projects) under three priority axes:

PRIORITY AXIS 1	Upgrading Croatia's rail transport system
Measure 1.1	Line upgrading and modernisation
Measure 1.2	Improvement of the safety and efficiency of railway operations
PRIORITY AXIS 2	Upgrading Croatia's inland waterway system
Measure 2.1	Modernisation and rehabilitation of river waterways and port infrastructure
PRIORITY AXIS 3	Technical assistance (TA)
Measure 3.1	Technical assistance for OP management, identifying future projects, capacity building and preparing future Operational Programmes

3.1.2. Selection criteria

In general terms, project selection criteria are based, on the one hand, on specific IPA criteria for the transport sector, listed in Article 147 of the IPA Implementing Regulation (sustainable traffic flow, better connections and inter-operability within networks) and, on the other hand, on the principles and criteria set out in the Decision No. 1692/96/EC made on July 23, 1996 by the European Parliament and the Council of Ministers, on Community Guidelines for the Development of the Trans-European Transport Network¹²³

General criteria

After gathering, as a first step, all potentially eligible projects on the proposed corridors and transport modes, projects that could not satisfy the following general screening criteria have been eliminated from further consideration (in order of priority):

- The project should bear a very high relevance to the SEE Core Regional Transport Network;

¹²³ Official Journal of the European Communities, L, No. 228, September 9, 1999, p. 1.

- The financial plan should be realistic, including the question of secondary investment cost (maintenance) coverage, and show in particular the division between national and outside financing;
- The project should show sufficient maturity, taking due account of administrative/legal barriers concerning project implementation (land acquisition problems, right of way etc);
- The project should be of sufficient size and significance;
- The project should in no way duplicate third party efforts, but should match other projects of a complementary nature in order to achieve synergies;
- There should be a visible commitment by the national government or regional bodies (such as SEETO and /or Sava River Commission) to implement the project; projects therefore should be given preference according to their inclusion in related and previously agreed priority project lists (example REBIS; ISPA)
- The project should provide modal balance and contribute to environmental protection
- The basic technical features of the project should be more cost-efficient (demand oriented) in reaching the strategic objectives than alternative technical options, and should be appropriate and correspond to international standards.

Generally all of the priority projects (except for project number 1) which have been pre-selected and included in the indicative project list for 2007-2009 (section 3.5) are at an early stage of project preparation, requiring technical, economic and, if necessary, environmental studies.

Therefore, in a second **appraisal** stage, proposed priority projects will be checked against the following screening parameters:

Specific Criteria

Proposed projects will be checked to ensure the completeness of the following standard preparatory activities, which should be carried out before submitting projects for approval to the Project Selection Committee (and subsequently the European Commission, in the case of major projects):

- Pre-feasibility study; including preliminary financial and economic analysis and calculation of Financial Internal Rate of Return (FIRR) and Economic Internal Rate of Return (EIRR); eventual preliminary drawings;
- Availability of co-financing, including possible involvement of IFIs;
- Detailed feasibility study, including financial and economic analyses (FIRR & EIRR) which take into account societal (external) effects; cost benefit analyses, affordability analyses, preliminary and detailed technical designs; operation plans etc
- Environmental impact assessment (EIA), if needed according to Croatian and European regulations;
- Reports on consultations with interested/affected parties;
- Approvals and permits obtained (for example construction permits, environmental permits, rights of land etc)
- Satisfactory completion of all parts of the IPA application form (EC 'major projects' template, in the case of projects over €10m)

The objective of the second phase screening process is to identify the most feasible projects and those projects having the most immediate and significant impact in terms of:

- readiness for implementation (maturity)
- improving transport efficiency;
- guaranteeing financial and environmental sustainability;
- improving transport safety and security.

As far as possible the impact will be assessed in monetary terms, and subjected to a sensitivity analysis. Major Projects will be prepared in accordance with articles 150 and 157 of the IPA Implementing Regulation. Only projects with a sufficiently high rate of return (FIRR; EIRR) will be considered for implementation.

Finally, two legal and financial considerations will be taken into account in assessing the applications: first, an understanding and undertaking that the infrastructure will remain public property, and second, the availability of budgetary resources to ensure Croatian co-financing of the projects, and their sustainability (operation and maintenance) beyond the funding period.

The TOP priority axes and measures proposed below, through which the TOP's strategic objective is to be implemented, are considered the most beneficial for railway and river network development on the one hand, and for society and the environment on the other, while meeting the EU transport *acquis* obligations..

Revenue generating projects

Revenue generating projects as defined in Article 150 of the IPA Implementing Regulation are operation(s) proposed for pre-accession assistance involving an investment in infrastructure, the use of which is subject to charges borne directly by users and which generates revenues, or any operation involving the sale or rent of land or buildings.

3.1.3 Priority axis 1 - Upgrading Croatia's rail transport system

Aim:

The aim of this priority axis is to develop the railway transport infrastructure in Croatia, concerning in particular the interconnection and interoperability of national networks and with trans-European networks. It aims to gradually improve the quality of the railway along TEN Corridor X within Croatia, in order that it increasingly meets EU standards.

Community legislation

Activities under this priority axis are designed to modernise railway infrastructure and assist Croatia in meeting its obligations related to implementation of the EU transport *acquis* governing the railway system, namely:

- **Directive 91/440/EEC** on the development of the Community's railways
- **Directive 2001/12/EC** of the European Parliament and of the Council of 26 February 2001 amending Council Directive 91/440/EEC on the development of the Community's railways
- **Directive 2001/13/EC** of the European Parliament and of the Council of 26 February 2001 on the licensing of railway undertakings
- **Directive 2001/14/EC** on the allocation of railway infrastructure capacity and the levying of charges for the use of railway infrastructure and safety certification. (Railway Safety Directive)
- **Directive 2004/49/EC** of the European Parliament and of the Council of 29 April 2004 on safety on the Community's railways and amending Council Directive 95/18/EC on the licensing of railway undertakings and
- **Directive 2004/50/EC** of the European Parliament and of the Council of 29 April 2004 amending Council Directive 96/48/EC on the interoperability of the trans-European high-speed rail system and Directive 2001/16/EC of the European Parliament and of the Council on the interoperability of the trans-European conventional rail system,
- **Directive 2004/51/EC** of the European Parliament and of the Council of 29 April 2004 amending Council Directive 91/440/EEC on the development of the Community's railways.

Specific objectives

The objective of this priority is to gradually improve the quality of the railway along TEN Corridor X within Croatia, in order that it increasingly meets EU standards. Specifically, the objectives are:

- rehabilitation / upgrade of specific line sections along TEN Corridor X, showing the lowest performance indicators

- reconstruction and modernisation of railway stations to meet EU standards in terms of track lengths and layout, as well as signalling and telecommunication equipment

Rationale

The priority axis is intended to help Croatia meet its needs and its obligation to meet EU standards, specifically in the context of managing changes in transport demand on Corridor X. As demonstrated in section 2, the rail sector has suffered from war damage, and the infrastructure requires modernisation in order to create an efficient and environmentally friendly mode of transport.

The intervention is needed to ensure the rail network can engage successfully in inter-regional and intra-regional corridor competition and is able to capture significant parts of future regional traffic potential. Moreover, increasing the railways' market share in international goods and passenger traffic on Corridor X is a pre-requisite for rendering line investments and railway operations financially feasible, thereby making the railway system commercially attractive for private operators.

Corridor X is a double track main railway line from Savski Marof – Zagreb Main Station – Novska – Tovarnik which connects central and south-eastern Europe, from Salzburg, via Ljubljana, Zagreb, Belgrade and Skopje, to the port of Thessaloniki. As far as traffic is concerned, it represents the backbone of railway traffic from east to west on which almost all north-south lines and lines from Bosnia and Herzegovina are connected. Within Croatia, this line connects significant industrial and agricultural areas.

During the 1990's, events on the territory of the former Yugoslavia brought about a significant drop in freight and passenger traffic which was, to a great part, redirected into alternative traffic corridors. Transit traffic on Corridor X was completely disrupted for more than five years. In the last few years, Croatian Railways Infrastructure has registered an increase in traffic on Corridor X.

The total length of Corridor X is 2,528.2 km, of which 1,622.7 km (64.2%) are single track and 905.5 km (35.8%) are double track. Of the total length of all the lines on the corridor, 2,244.5 km (88.7%) are electrified. It is planned that by the year 2010, there will be 1,461.3 km (57.8%) single track lines, 1,066.9 km (42.2%) double track lines and 2,348.7 km (92.9%) electrified lines.

Description

The priority axis will support two measures: to upgrade and modernise the line, and to improve safety and efficiency on Corridor X. This implies:

- increasing travel speed to 160km/hour;
- increasing axle load to 225 kN;
- adjusting station platform lengths (for a TEN route it is 400m);
- installing the European Railway Train Management System (ERTMS) to ETCS level 1, which refers to the overlaying of the trackside conventional signalling system with fixed ETCS infrastructure as a first step to full ERTMS.
- installing/upgrading trackside telecommunication equipment;
- installing/upgrading the overhead power supply system;
- installing/improving the permanent way drainage system;
- installing automatic half or full barrier level crossings;

Targeting

This priority axis will apply to the railway sector of the TOP, contributing to the TOP's objective to "Rehabilitate and develop a railway network in Croatia to respond to the expected increase in demand for railway transport, especially on the Pan-European corridor X". The priority axis is targeted at:

- Improvement and rehabilitation of the railway network
- Improvement of safety conditions of the railway system

- Assisting Croatia in meeting its obligations to implement the EU transport acquis governing the railway system

Measures

Two measures are proposed under this priority axis:

- **Measure 1.1.** Line up-grading and modernisation
Projects under this measure will focus on the improvement of the permanent track and overhead power supply system and on the preparation of project documentation
- **Measure 1.2.** Improvement of the safety and efficiency of railway operations
Projects under this measure will concentrate on the modernisation of trackside infrastructure, signalling telecommunication, safety and security equipment.

Delivery

The operations (projects) that will be financed under Priority axis 1 will be selected from the Indicative project list provided in Chapter 3.5 of the Operational Programme (and respective project identification cards attached as Annex 2) in accordance with the general and measure-specific selection criteria provided in the Operational Programme.

The selected operations will then be submitted to the European Commission for approval. If a project is appraised as acceptable the European Commission will issue a decision on the approval for each project which will define the physical object and the eligible expenditure to which the co-financing rate for the priority axis applies. Finally, for each approved project a Financing Agreement between the European Commission and the beneficiary country will be signed, laying down those elements. Complementary funding for these investments will be ensured from national funding, external loans and other sources and models of funding.

In the case of projects that do not fall under the title of “major projects” (i.e. that are under the 10 m€ threshold) the decision on competing calls will be made by the Selection Committee, based on the selection criteria described in the Operational Programme and confirmed by the Sectoral Monitoring Committee.

Targets and Indicators

Table 3 – Indicators for Priority axis 1

	Definition	Type	Measurement unit	Baseline data	Data dates	Frequency of reviewing	Final target (by 2012)	Data source
1	Increased average train speed on the Corridor X	Result	km/h	70	2006	annually	103	Croatian Railways Time-table
2	Improved passenger trains compliance with time table	Result	Minutes / train delayed	9	2006	annually	6	Passenger interviews, Statistical yearbook of Croatian Railways
3	Increased freight volume	Result	Tonnes (1,000s, Tonne km)	2.691 939	2006	annually	3.495 1.353	Statistical yearbook of Croatian

			(mil.)					Railways
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Financial allocation and co-financing rate

Out of the total allocation for the Transport OP that amounts in total to €53,500,500, the allocation for Priority Axis 1 is €12,995,250 in 2007, €15,870,000 in 2008 and €18,245,250 in 2009 (in total €47,110,500).

For the railway sector it is proposed to set the national co-financing rate at 25%, with a 75% rate of IPA co-financing.

3.1.3.1. Measures under Priority axis 1 - Railway network rehabilitation and development

Measure 1.1: Line up-grading and modernisation

Specific objective

The objective is to gradually increase and improve interoperability along Corridor X, in accordance with UIC standards and railway interoperability requirements based on Directive 2001/16/EC

Rationale

The total length of the line on Corridor X from the state border with Slovenia, via Zagreb, Dugo Selo and Vinkovci to the state border with Serbia is 316.7 km long. From the Slovenian border to Zagreb (26.7 km) to Dugo Selo (21.25 km), to Novska (83.4 km) of single track line, and from Novska to the border with Serbia at Tovarnik (185.4 km). All tracks are electrified with the AC 25kV/50Hz system, and have automatic block interlocking, while the stations have installed relay devices on which mixed traffic is run.

The section between the Slovenian border and Zagreb has a double track line along its entire length, on which performance speeds of up to 160km/h are achieved, with the exception of specific areas west of Zaprešić and on the Zaprešić – Podsused Tvornica section. On this section the curve radii limit speeds to 100 - 120 km/h, while on the track section to Zagreb West Station and to Zagreb Main Station speeds are limited to 70 km/h.

The section between Zagreb and Dugo Selo has a double track line along its entire length and performance speeds are up to 160 km/h, with the exception of individual sections of curved track on which speeds are limited. In Zagreb Main station speeds are limited to 50 km/h, at the entrance to the Sesvete station to 120 km/h, and on the Sesvete – Dugo Selo section to 130 km/h. The braking distance on the track is 700 m on the Sesvete – Zagreb MS section, and 1,000 m on the Dugo Selo – Sesvete section.

The section between Dugo Selo and Novska has a single track line and performance speeds are up to 130 km/h, with the exception of individual sections of curved track on which speeds are limited. This occurs primarily at the entrance and exit to stations.

The section between Novska and the State border has a double track line along its entire length and performance speeds are up to 160 km/h, with the exception of individual sections of curved track where speeds are limited to between 80 to 140 km/h. This is primarily the case at the entrance and exit to stations. The braking distance on the track comes to 1,000 m on the State Border – Tovarnik – Ivankovo section, and to 1,500 m on the Ivankovo – Novska section.

Under the ISPA program the section from Vinkovci to Tovarnik to the State border will be rehabilitated so that the performance speed will be up to 160 km/h, through the removal of infrastructural restrictions for speed limits, such as tight curves and inadequate stations.

Description

The measure will build on interventions already planned and underway under the ISPA programme, and will focus on modernising the weakest portions of the line, in terms of existing assessments of operational standards, contained in the SEETO MAP 2007-11. This measure will encompass projects concerning the permanent way, fixed structures, installations and equipment (see section 3.5 for indicative list of priority projects).

Eligible actions

Assistance under this measure refers to procurement contracts. The activities under this measure are aimed at the rehabilitation of the permanent track; bridges and level crossings, overhead power supply and modernisation of stations. The assistance will include supervision services, implementation support, consultancy services, tender evaluation, project preparation for previously identified projects, project monitoring and evaluation.

Selection criteria

Bearing in mind the general and specific selection criteria listed in chapter 3.1.2., the following criteria were applied to identify the most feasible projects and those having the most immediate and significant impact under Measure 1.1.:

- readiness for implementation (maturity), taking into consideration administrative/legal barriers concerning project implementation (land acquisition problems, right of way etc);
- improving transport efficiency by increasing the speed and line capacity;
- improving transport safety and security.

Final Beneficiaries

The final beneficiary for measure 1.1 will be Croatian Railway Infrastructure Ltd.

Monitoring indicators:

Table 4 – Monitoring indicators for the Measure 1.1

	Definition	Type	Measurement unit	Baseline source	Data dates	Frequency of reviewing	Final target (by 2012)	Data source
1	Km of track upgraded to achieve average speed of 160 km/h	Output	Track km	0	2007	annually	19.5	Project monitoring reports
2	Bridges and culverts rehabilitated to attain speed of 160 km/h	Output	Number	0	2007	annually	33	Project monitoring reports
3	Catenary rehabilitated to attain speed 160 km/h	Output	Track km	0	2007	annually	19.5	Project monitoring reports
4	Project applications submitted with full set of documentation	Output	Number	0	2007	annually	2	Project monitoring reports

Measure 1.2: Improvement of the safety and efficiency of railway operations

Specific objective

The objective is to improve the quality, reliability and efficiency of railway services along Corridor X. This will concern mainly signalling and communications improvements and adjustment to the technical parameters of Trans-European network requirements.

Rationale:

Due to inadequate and insufficient maintenance over the last 20 years, signalling and telecommunications equipment along Corridor X has not been upgraded and/or replaced on a regular basis in order to extend the lifecycle and to meet up-to-date standards. For this reason speed restrictions were introduced to maintain safety at an acceptable level. As a consequence of speed restrictions and increased maintenance requirements, the efficiency of the railway system has deteriorated.

Description

Projects under this measure will focus on the modernisation of signalling and telecommunications systems to enable the installation of ETCS and centralised traffic control equipment in order allow for the integration of the railway network in Croatia with the network in the European Union. The measure will focus on improving the signalling for 160km/h train speeds, and on the restoration and upgrading of existing Automatic Train Protection (ATP) safety devices and the restoration of the line-side telephone system infrastructure.

Eligible actions

Assistance under this measure refers to procurement contracts. The activities under this measure are aimed at the improvement of trackside infrastructure; signalling, telecommunications, safety and security equipment. The assistance will include supervision services, implementation support, consultancy services, tender evaluation, project preparation for previously identified projects, project monitoring and evaluation.

Selection criteria

Bearing in mind the general and specific selection criteria listed in chapter 3.1.2., the following criteria will be applied to the selection of projects under Measure 1.2.:

- improving transport safety and security;
- the impact and the importance for the entire network;
- readiness for implementation (maturity), taking due account of administrative/legal barriers concerning project implementation (land acquisition problems, right of way etc);
- improving transport efficiency.

Zagreb Main Station, with the highest frequency of trains, is the main railway junction for inter-city and long distance passenger transport in Croatia, on the intersection of X and Vb Corridors. The station is equipped with relay fail-safe signalling equipment, which was installed in 1940. The speed within the station is currently reduced to 30 km/h, due to the condition of the signalling equipment. In addition, the unavailability of spare parts for such obsolete equipment makes technical maintenance very difficult and expensive.

Final Beneficiaries

The final beneficiary for the measure 1.2 will be Croatian Railways Infrastructure Ltd.

Monitoring indicators

Table 5 – Monitoring indicators for the Measure 1.2

	Definition	Type	Measurement unit	Baseline data	Data dates	Frequency of reviewing	Final target (by 2012)	Data source
1	Installed and operational solid state signalling & interlocking system	Output	sets	0	2007	annually	1	Project monitoring reports
1.a	New main & distant signals installed	Output	pcs	0	2007	annually	47	Project monitoring reports
1.b	New shunting signals installed	Output	pcs	0	2007	annually	77	Project monitoring reports
1.c	New electro-hydraulic point machines installed	Output	pcs	0	2007	annually	98	Project monitoring reports

3.1.4. Priority axis 2 - Upgrading Croatia's inland waterway system

Aim:

The aim is to rehabilitate the Sava river waterway with a view to achieving category IV navigational status, including alignment with the EU River Information System's (RIS) and with the port system in the Republic of Croatia. This axis will comply with Directive 2005/44/EC which aims at the build-up of a European data exchange platform for easy and up-to-date transmission of traffic information (such as fairway conditions etc) from river authorities to operators, and will improve the inter-phasing of the waterway sub-sector with other modes of transport.

Community legislation

Activities under this priority axis are designed to improve the inland waterway system and assist Croatia in meeting its obligations related to implementation of the EU Transport acquis governing inland waterway system, namely:

- **Council Regulation (EC) No 1356/96** on common rules applicable to the transport of goods or passengers by inland waterway between Member States with a view to establishing freedom to provide such transport services.
- **Council Regulation (EEC) No 3921/91** laying down the conditions under which non-resident carriers may transport goods or passengers by inland waterway within a Member State
- **Council Regulation (EC) No 718/99** of 29 March 1999, on a Community fleet capacity policy to promote inland waterway transport
- **Council Directive (EC) No 96/75** on the systems of chartering and pricing in national and international inland waterway transport in the Community
- **Council Regulation (EEC) No 2919/85** laying down the conditions for access to the arrangements under the Revised Convention for the navigation of the Rhine relating to vessels belonging to the Rhine Navigation
- **Council Directive (EEC) No 87/540** on access to the occupation of carrier of goods by waterway in national and international transport and on the mutual recognition of diplomas, certificates and other evidence of formal qualifications for this occupation

- **Council Directive (EEC) 91/672** on the reciprocal recognition of national boat masters certificates for the carriage of goods and passengers by inland waterways
- **Council Directive (EC) No 96/50** on the harmonisation of the conditions for obtaining national boat masters certificates for the carriage of goods and passengers by inland waterway in the Community
- **Council Directive (EEC) No 76/135** on reciprocal recognition of navigability licences for inland waterway vessels, amended by Council Directive 78/1016/EEC modifying Council Directive 76/135/EEC
- **Council directive (EEC) No 82/714** laying down technical requirements for inland waterway vessels. The requirements for granting a ship's technical certificate are in compliance with Resolution 17 ECE/UN and Directive 82/714/EEC

The Act on Inland Navigation and Ports is under preparation. With the adoption of the new Act the majority of directives will be transposed into national legislation. Full alignment can be expected with adoption of Ordinances.

Specific objectives

The objective of this priority is to improve and rehabilitate the Croatian inland waterway system, making it more attractive and competitive in comparison with other modes of transport.

Rationale:

The establishment, maintenance and improvement of conditions for safe and reliable inland navigation is a continuous mission of the government. This aspect should be analysed separately according to the type of cargo and the expected growth in the transportation of dangerous cargo. The resulting increase in risk and possible impact of potential incidents on the water require that the existing safety standards be raised. In order to achieve this in Croatia, besides the implementation of river information services and the availability of just-in-time information regarding the movement of vessels, it is important to establish clear procedures regarding the actions which should be taken in the case of incidents, as well as to upgrade the existing systems of marking and monitoring the navigability of inland waterways.

To integrate inland navigation into an inter-modal transport network, it is necessary to upgrade the reliability of inland waterways in order to ensure that the waterways meet minimal navigational requirements. The initiation of development cycles in Croatian river ports, processes of technological reconstruction of port buildings and structures, and the connecting of the ports with main road-rail corridors will help in the creation of the preconditions for the inter-modality of river transport. The system of river information services, the core of information and electronic data exchange regarding inland waterway transport, also plays a big role in this process.

The Croatian inland water **port system** includes four international ports (Sisak, Slavonski Brod, Osijek and Vukovar) and several existing and future quays (Belišće, Aljmaš, Batina, Ilok). The present situation is characterised by an unbalanced market demand for the transport of cargo on the Sava and Danube rivers, generally as a consequence of different navigational conditions, technical and technological obsolescence and under-capacity.

At present, river transport accounts for less than 1% of freight transport in Croatia, and is not currently a viable and competitive alternative to road and rail transport for moving bulk commodities.

Description

The total length of the existing **waterway** network in the Republic of Croatia amounts to 804.1 km, of which 539.2 km are international waterways. A total of 286.9 km meets the requirements of international navigational classification, i.e. requirements for class IV. The development concept for the infrastructure of inland waterways is targeted at increasing the **safety and efficiency of inland navigation**. Waterway regulation is aimed at the users, which means ensuring smooth and safe navigation for ships with a maximum draught in accordance with the class of the waterway. In practice this means **ensuring a minimum depth of 2.5 m for 300 days per year** (international waterway class).

Future tasks in this sub-sector are:

- To maintain the international waterways in accordance with the criteria required under the international navigational class,
- To upgrade the class of international waterways which are currently at a lower class than that that required,
- To implement a river information service system,
- To enhance the quality of the waterway marking system,
- To apply ecological standards during the regulation and maintenance of waterways,
- To start the project to construct the Danube-Sava canal.

Croatian river ports need qualitative and technological modernisation in order to satisfy the existing and expected transport demand. Along with the modernisation of basic port infrastructure, the system of safety and surveillance in the port areas should also be enhanced. Ports need to connect with main road and rail corridors in order to achieve better integration with the economic hinterland and to create preconditions for the development of inter-modal transport.

The development concept of river ports is based on following principles:

- The public nature of ports, access to port facilities for all users under the same conditions,
- Quality of service, technological modernisation and specialisation,
- Enhancement of traffic connections with the hinterland,
- Integration of the ports into logistic chains,
- Implementation of a system for surveillance and control of traffic and port activities in port areas.

In order to solve the problems identified in the port system on inland waters it is necessary to execute the following:

- To coordinate the needs for financial investments in port infrastructure and the financial abilities of the state, and, in accordance with this, to invest in priority projects and projects which demonstrate positive economic results through cost-benefit analysis,
- To ensure flexibility in defining the deadlines for concession assignment in cases where interest in investing in port buildings and equipment is shown by private investors,
- To settle property ownership issues in the port area, including land redemption, the settling of outstanding debts by the Government, long-term rental contracts and the inclusion of the related clauses within concession contracts,
- To integrate ports into the river information services system

Targeting

This priority axis will apply to the inland waterway section of the TOP, contributing to the TOP's objective to prepare projects aimed at the improvement and development of an inland waterway system in Croatia. The priority axis is targeted at:

- Improvement of fairway conditions; Establishment of an international navigational regime
- Development of trans-shipment points and harbour facilities
- Assisting Croatia in meeting its obligations to implement the EU transport acquis in the inland waterway sector

Measures:

One measure is proposed under this priority axis:

- **Measure 2.1.** Modernisation and rehabilitation of river waterways and port infrastructure

Delivery

The operations (projects) that will be financed under Priority axis 2 will be selected from the Indicative project list provided in Chapter 3.5 of the Operational Programme (and respective project identification

cards attached as Annex 2) in accordance with the general and measure-specific selection criteria provided in this Operational Programme.

The selected operations will then be submitted to the European Commission for approval. If a project is appraised as acceptable European Commission will issue a decision on approval for each project which will define the physical object and the eligible expenditure to which the co-financing rate for the priority axis applies. Finally, for each approved project a Financing Agreement between the European Commission and the beneficiary country will be signed laying down those elements. Complementary funding for these investments will be ensured through national funding, external loans and other sources and models of funding.

In the case of projects that do not fall under the title “major projects” (i.e. that are under the 10 m€ threshold) the decision on competing projects will be made by the Selection Committee, based on the selection criteria described in the Operational Programme and confirmed by the Sectoral Monitoring Committee.

Targets and Indicators

Table 6 – Indicators for the Priority Axis 2

	Definition	Type	Measurement unit	Baseline source	Data dates	Frequency of reviewing	Final target (by 2012)	Data source
1	Km of the Sava river waterway with increased navigation classification	Result	km	286,9	2006	annually	531,9	Agency for Inland Waterways Annual Report
2	Increased capacity of ports	Result	Tonnes	3.500.000	2006	annually	5.500.000	Port Authorities Annual Report
3	Increased freight volume	Result	Tonnes, Tonne/km	1.600.000	2006	annually	4.000.000	Port Authorities Annual Report

Financial allocation and co-financing rate

Out of the total allocation for the Transport OP, which amounts in total to €53,500,500, the allocation for Priority Axis 2 is €3,750,000 in 2007 and €1,875,000 in 2008 (in total €5,625,000)

For the inland waterway sector it is proposed to set the national co-financing rate at 25% with a 75% rate of IPA co-financing.

3.1.4.1. Measures under Priority axis 2 - Upgrading Croatia's inland waterway system

Measure 2.1. – Modernisation and rehabilitation of river waterways and port infrastructure

Specific Objectives

The specific objectives of this measure are:

- To rehabilitate the Croatia's part of Corridor VII in order to achieve the requirements of the international classification, category IV;

- To modernise and increase the capacity of the ports along the Corridor VII so that they can respond to growing transport demands

Eligible actions

Assistance under this measure refers to procurement contracts (including supervision services, implementation support, tender evaluation, consultancy, project preparation for already identified projects, tender evaluation, project monitoring and evaluation). The actions within this measure could also relate to the inspection, operation and monitoring of inland waterway transport facilities.

The projects proposed will be based on the on the Indicative list of major projects (chapter 3.5.).

Final beneficiary

The final beneficiaries for the measure 2.1 will be the Port Authorities and the Inland Waterways Agency.

Selection criteria

For this measure the main selection criteria are as follows:

- The projects will be selected on the basis of the demonstration of an urgent need for higher port capacity, or where it has been demonstrated that the port capacities in use have reached their maximum level and need to be extended;
- The projects will be selected on the basis of the evidence that the port capacities are greater than the capacity of the river waterway itself, and that there is, therefore, a need to upgrade the river waterway to an adequate international classification category.

Monitoring indicators

Table 7 - Monitoring indicators for the Measure 2.1

	Definition	Type	Measurement unit	Baseline source	Data dates	Frequency of reviewing	Final target (by 2012)	Data source
1	Projects ready for implementation with full set of documentation	Output	Number	0	2007	annually	2	Project monitoring reports
2	Project applications completed and submitted for EU funding	Output	Number	0	2007	annually	2	Project monitoring reports

3.2. PRIORITY AXIS 3 – TECHNICAL ASSISTANCE

Aim:

The aim of the TA priority axis is to ensure that Croatia is able to administer the Operational Programme, through all aspects of programme management.

Objective

To ensure efficient and effective OP management, and develop institutional capacity for project preparation, management and absorption of IPA and future Structural Funds;

Rationale

Croatian programme and project management capacity – from design through commissioning to operation – is evolving at the national, regional and local levels, supported in recent years by a number of technical assistance and twinning projects under PHARE, CARDS and bilateral assistance. This practical expertise will continue to grow and become embedded in future years, as more projects come on-stream.

Management of IPA, and specifically, this OP, will involve extraordinary costs that do not form part of the Croatian administration's traditional operating expenses. This includes: information & publicity on IPA; the development of monitoring indicators and an EU funds Management Information System; training for Croatian national bodies in the preparation of project applications for EU assistance funds; the commissioning of external, independent experts for interim and ongoing evaluations; and the costs of managing and implementing the IPA programmes.

Moreover, IPA is designed as a pre-cursor to Structural and Cohesion Funds, and it is essential that Croatia develops the capacity to implement these funds. IPA is an opportunity to learn how to manage funds according to EU rules, and to build sustainable institutional structures, systems and skills for the transition to Structural Funds.

Description

The types of actions under this priority axis will fall under two main themes:

- i. Specific, tailored support for the coordination and management of the OP, including programming, information and publicity, training in the preparation of EU project funding applications, project identification, appraisal and selection, implementation, financial management, control, monitoring, evaluation, reporting audit; as well as revisions of existing Operational Programmes;
- ii. Aid to enhance the specification, collection and use of statistics, which will be necessary for effective monitoring and evaluation under IPA and, subsequently, the Structural Funds;

Measures

One measure is proposed under this priority axis:

- **Measure 3.1.** OP management and capacity building

Targets and indicators

Table 8 – Indicators for the Priority Axis 3: Technical Assistance

	Definition	Type	Measurement unit	Baseline source	Data dates	Frequency of reviewing	Final target (by 2012)	Data source
1	Staff in the national bodies capable of independently identifying, preparing and assessing project applications	Result	Number	0	2007	annually	6	MSSTD
2	OP funds absorbed under operational Priority Axes	Result	%	0	2007	annually	100	MSTTD

Financial allocation and co-financing rate

Out of the total allocation for the Transport OP, which amounts in total to € 53,500,500, the allocation for Technical Assistance is € 255,000 in 2007, € 255,000 in 2008 and € 255,000 in 2009 (in total € 765,000).

For technical assistance it is proposed to set the national co-financing rate at 25% with a 75% rate of IPA co-financing.

Measure 3.1. – OP management and capacity building**Specific Objectives**

The specific objectives for this measure are to ensure efficient and effective OP management, and to develop the institutional capacity for managing and absorbing IPA and future Structural Funds.

Rationale

One of the principal goals of implementing IPA is to build administrative capacity, and hence it is essential that Croatia is supported to identify, train, develop and retain a body of skilled and motivated staff, working with effective systems and procedures for sound programme management. This will ensure both the successful management of IPA and a smooth transition to the still greater challenge of Structural Funds programming and the management of a portfolio of a potentially large number of projects.

Description

Through this measure the support to the Operating Structure i.e. bodies dealing with the implementation of priority axis 1 and priority axis 2 will be provided. That support will be specific and tailored support to for coordination and management of the TOP, including programming, information and publicity, training in the preparation of EU project funding applications, project identification, appraisal and selection, implementation support, financial management, control, monitoring, evaluation, reporting, audit, revisions of existing Operational Programmes and the preparation of Operational Programmes and identification of projects for the next funding period. Given the needs to address staff turnover within the public administration allied to the demands of EU funds management which are typically higher than comparable civil service positions, co-financing of the salary costs of public officials within the management structure and project selection committees will be provided under this measure.

Eligible actions

It is intended to finance, support, train and consolidate the systems, processes and skills for EU funds management by the Croatian public administration (as the future managing, certifying, auditing and implementing agencies for Structural Funds) for this OP.

Assistance under this measure refers to procurement contracts; it is intended that technical assistance will cover consultancy and delivery of support (including advice, training and other costs) to the Croatian OP administration in general, but specifically to the Operating structure for the IPA III component – Transport, i.e. bodies dealing with the implementation of Priority axis 1 and Priority axis 2. That support will relate to training activities for the:

- h. Independent identification, preparation and assessment of projects and Operational Programmes (including revising the existing Operational Programmes) in the relevant sectors for future funding periods, as well as preparation of the respective project applications by teams of individuals in the national bodies (Operating Structure) in order to build up a base of national expertise in this field;
- i. Conducting pre-feasibility and feasibility studies, environmental impact assessments, cost benefit analyses, financial and economic analyses, preliminary designs, affordability studies, sector consolidation studies;
- j. Implementation and controls, including procurement & contract management (including support to the Operating Structure, use of supervising engineers, etc);
- k. Monitoring, including the development of the monitoring arrangements, the organisation and administration of Monitoring Committees and the development of the Management Information System;
- l. Evaluation, particularly external evaluators engaged for interim and ongoing evaluations;
- m. The preparation and implementation of information and publicity activities;
- n. Co-financing of staff salary costs.

Assistance can additionally include provision for translation & interpretation services, as well as logistical expenses and supply of equipment or other items relating to the work of Monitoring Committees.

Selection criteria

Assistance will be granted to those activities that will have the highest learning effect especially in relation to gaining knowledge and experience in project preparation / assessment.

Final beneficiaries

The primary beneficiaries of this measure are bodies within the Operating structure - the Ministry of Sea, Tourism, Transport and Development, Croatian Railways Infrastructure, Central Finance and Contracting Agency, Inland Waterways Agency, and members of the Monitoring Committees and Selection Committees.

Monitoring Indicators

Table 9 – Monitoring indicators for the Measure 3.1

	Definition	Type	Measurement unit	Baseline source	Data dates	Frequency of reviewing	Final target (by 2012)	Data source
1	Training provided for the staff of public bodies	Output	Number	0	2007	annually	10	CODEF
2	Publicity 'events' organised (press conferences, seminars, TV / radio broadcasts)	Output	Number	0	2007	annually	10	CODEF
3	Meetings of Monitoring Committees	Output	Number	0	2007	annually	10	CODEF
4	Transport project applications assessed and submitted by the Operating structure	Output	Number	0	2007	annually	4	CODEF

3.3. HORIZONTAL ISSUES

3.3.1. Equal opportunities for men and women

In September 2006, the Croatian Government adopted the National Policy for the Promotion of Gender Equality, 2006-2010. The objectives of the policy, which are of particular relevance to Components III & IV of IPA, include the reduction of female unemployment and elimination of discrimination, promotion of female entrepreneurship and improved enforcement of relevant labour laws. It also strengthens and promotes measures that support the reconciliation of professional and family obligations.

The Government has also adopted a strategic document on the main tasks of state administrative bodies in the process of accession to EU 2004-2007, one of which is to strengthen cooperation between national and local state mechanisms in relation to gender mainstreaming, and continuous cooperation with non-governmental organisations active in the field of gender equality.

The involvement of society and communities in infrastructure construction, operation and maintenance will be sought, in an effort to contribute to the reduction of unemployment and poverty alleviation. Job opportunities can be enhanced in a sustainable way, through the employment of the Croatian labour force (male and female) especially in the post-construction phase for operations and infrastructure maintenance.

3.3.2. Sustainable transport

The railways and waterways are the most appropriate transport mode for carrying bulk loads over longer distances (economies of scale). It is acknowledged however, that under free market conditions and conditions of free modal choice on the European transport market, the railways and waterways must operate commercially and respond to customer needs in order to withstand competition from alternative modes and

The key to a sustainable transport policy is to

- *commercialise business activities;*
- *ensure transport safety and protection of the environment;*
- *achieve balanced area coverage with transport services;*
- *introduce resource-use based transport pricing;*
- *adopt the user-pay principle, and*
- *promote the use of the most energy efficient transport.*

generate sufficient revenue for providing sustainable transport.

3.3.3. Transport safety and environment

Only safe and environmentally-friendly transport is sustainable transport. In fact, the White Paper¹²⁴ places the transport user at the heart of transport policy, that is, to reduce accidents and develop cleaner technologies.

Adopting a pro-active policy in this regard, the OP concentrates on improvements in the energy-efficient bulk carriers - rail and river - promoting at the same time multi-modal transport solutions whereby rail and river transport cover the long-haul portion of transport movement.

In counteracting the existing development difficulties of Croatian transport, in particular, the unequal growth between modes of transport, the OP emphasises the revitalisation of the railways, to be achieved before economic development, combined with the envisaged accession to the EU, which might exacerbate the railway's weak market position. The OP therefore follows a strategy of sectoral sustainability as adopted by the European Council in Gothenburg in June 2001.

The influence of transport and transport facilities on the natural environment has been monitored in Croatia since 1980. This monitoring concerns the biosphere (flora and fauna), hydrosphere (soil, water, sea) and atmosphere (air). Basic objectives have been set to create a reasonable and balanced transport system, capable of mitigating negative effects, such as:

- pollution of air, ground water and soil,
- the irrational consumption of energy,
- a reduction in the quality of life, particularly in cities
- damage to environment and nature
- the inadequate use of land
- visual degradation of the landscape

All these hazards have led to the introduction of harsh criteria for the registration of passenger cars and trucks.

The Transport OP focuses on railways and inland waterways, justified as a means of removing goods transportation from the road network, particularly long-distance traffic. The pursuit of sustainable transport is described as ensuring protection of the environment, introducing resource-use based pricing, adopting the user-pays principle and promoting the use of the most energy-efficient transport. Railways are presented as an energy-saving, clean and safe mode of transport.^{125,198}

The Republic of Croatia has been performing **environmental impact assessment** for individual developments since 1984, when the procedure was defined by the Act on Physical Planning and Spatial Development. Since 1994, when the Environmental Protection Act was adopted (OG 94/1994, 128/1999), the **environmental impact assessment** procedure has been governed by this Act and its implementing regulation. The effective implementing regulation is the Ordinance on Environmental Impact Assessment (OG 59/00, 136/2004, 85/2006). The Act and Ordinance partly include requirements from Council Directive 85/337/EEC of 27 June 1985 as amended by 97/11/EEC and 2003/35/EC on the assessment of the effects of certain public and private projects on the environment, relating to: the establishment of responsible bodies, EIA in a trans-boundary context, a description of the EIA procedure, and an assessment of direct and indirect effects.

The transposition of the remaining provisions of the Directive into Croatian legislation will be ensured by adoption of the new Environmental Protection Act in 2007, and the implementation regulation on environmental impact assessment. CARDS 2003 project "EIA Guidelines and Training" assisted in the transposition of Council Directive 85/337/EEC.

¹²⁴ White Paper, European Transport Policy for 2010: time to decide, Brussels, 12.9.2001, COM(2001) 370 final

¹²⁵ The Ex-ante evaluation of IPA Operational Programmes for Croatia, Transport Operational Programme, April 2007

By adopting the new Environmental Protection Act and its subordinate special regulations:

- the provisions of Directive 2001/42/EC of the European Parliament and Council of 27 June 2001 on the assessment of the effects of certain plans and programmes on the environment will be transposed,
- the provisions of Council Directive 96/61/EC of 24 September 1996 on Integrated Pollution Prevention and Control (IPPC) will be transposed.

Moreover, a transposition of Directive 2004/35/EC of the European Parliament and Council of 21 April 2004 on environmental liability with regard to the prevention and remedying of environmental damage is envisaged. Recognised principles of environmental protection, including the 'polluter pays' principle, are already in force in Croatia.

3.3.4. Equal provision of transport services

Transport infrastructure is essential for economic and social development and inter-regional exchange. It is an instrument of regional development, facilitating the flow of goods as well as the access of people to employment, health, education and recreation. Previous experience within the framework of EU enlargement clearly shows that improved rural/regional access and the linking of peripheral regions to the arterial network is essential for economic and social cohesion and the alleviation of regional disparities. Such links also include cross-border transport with neighbouring countries.

Hence, the sectoral approach taken in the OP shall ensure that programming corresponds to economic demands and social needs, as well as network integration and interoperability requirements.

3.3.5. Balanced modal split between modes of transport.

Infrastructure being costly, it will be important for achieving sectoral sustainability to adopt infrastructure standards which are affordable, and which help to promote a balanced modal split which reflects the inherent cost and operational advantages of the various transport modes available in Croatia. This assumes that cost-distortions will be gradually reduced across modes and instead cost-based pricing of the various forms of transport will be introduced, taking into consideration infrastructure costs, as well as eventual external costs accruing to the society as a whole, and to adopt the *user-pay principle* wherever feasible.

The "polluter pays principle" is already in operation in Croatia. Indeed, since 2001, each motor vehicle has to pass an annual eco-test - in accordance with EU technological standards (Council Directive 96/96 EC of December 2, 1996), in order to monitor and determine its pollution level. An eco-fee is paid every year for every registered vehicle, in accordance with the vehicle age. The proceeds of this tax are allocated to the Fund for Energy Efficiency and Environment Protection. The "user pay principle" has been applied since 1972, with the introduction of the toll-motorway system in Croatia.

Securing revenue from user charges implies that government interference in pricing is removed in order to eliminate price-distortions and, hence, competitive distortions. Following this principle, river port fees for the use of wharfs have been aligned with the European practice and all ships, regardless of nationality, are liable to pay the same fee, information on which is made publicly available¹²⁶.

3.3.6. Energy-efficient transport

Croatia's own production of energy meets only about half of its energy requirements and its supply of primary energy is in constant decline. Moreover, Croatia spends significantly more energy per unit of GDP than the EU average. Consequently, due attention is to be paid to the promotion of energy efficiency in transport by focusing on rail and waterway transport improvements.

¹²⁶ MSTTD

3.3.6.1. Commercialisation

In addition to the parent company, there are, altogether, 17 dependent subsidiary companies of the Croatian Railways Group, which are 100% or majority owned, with a total employment of 21 000 employees.¹²⁷ Moving towards commercialisation requires HŽ to find ways to dispose of non-core activities. This will enable resources to be concentrated on core railway services and is a means of devolving more services to the private sector. An additional means of achieving sustainability is to introduce contract management for rail services, such as ticketing, ballast supply or rolling stock maintenance. Furthermore, long term sustainability means finding solutions for problems associated with non-profitable local railway lines.

Measures to modernise and restructure the national railways along these lines began in 1998, and will be further developed under the World Bank Programmatic Adjustment Loan 2005-2007, which deals with Croatian Railways Group restructuring.

Ports again provide an important interface, particularly between river and road transport. Contracting out to the private sector constitutes an important step towards sustainability, also in the waterway and river ports sector. International experience and practice shows that adopting commercial management and close dialogue with port users can reduce cargo handling costs and transshipment time at ports, as the most crucial nodal points for the development of inter-modal transport. Substantial progress has been made in this regard in Croatia. Administrative port functions are now with the State Port Authorities and clearly separated from port commercial operations. Administering the ports, developing basic infrastructure and providing adequate port access is the responsibility of the Port Authorities, public bodies under the supervision of the MSTTD, while commercial activities are run by private port operators under long term concession contracts.

3.3.7. Participation of civil society and geographical, sectoral and thematic concentration

Participation of the representatives of civil society, along with other relevant institutions, in the preparation of the Operational Programme is described in Chapter 1.3 Partnership consultations. A detailed description of the concentration principle applied to this OP is given in the Chapter 1.2.3.

3.4. COMPLEMENTARY AND SYNERGIES WITH OTHER FORMS OF ASSISTANCE

The TOP will contribute to the achievement of Croatia's global IPA objectives by improving conditions for growth and employment through the improvement of the transport sector as well as of administrative capacity. In this regard, the TOP's synergies with other OPs within the SCF framework contribute to increasing and improving the quality of human capital, the development of innovation and knowledge society, the adaptability to economic and social changes are considered.

The TOP contributes *to strengthening economic integration* by developing transport infrastructure and enhancing access to services of general interest, by improving governance for a better quality of public policy, and by raising the standard within Croatia's skills-base in the transport sector.

3.4.1. Complementarities and synergies with other SCF OP

All four Operational Programmes under IPA Component III and IV (Regional Competitiveness, Transport, Environment and Human Resource Development) are mutually dependent, since the performance of all sectors together is a key prerequisite for achieving sustainable development. In this sense, they are integrated in their contribution to Croatia's economic, environmental and social future.

¹²⁷ Croatian Railways Group

The complementarity and synergy between the four OPs is most evident in the light of the Strategic Coherence Framework for 2007 – 2013, since its main task is to assure the consistency between priorities / activities under IPA Components III and IV. In relation to the SCF, the TOP is consistent with the other three OPs as follows:

Regional competitiveness

An adequately developed transport infrastructure is a precondition for economic development, attraction of investment and improvement of the quality of life, i.e. for enhancing business related and basic municipal and social infrastructure. The development of basic infrastructure is a prerequisite for growth of productive investments and entrepreneurial activities. Additionally, the investment conducted in the course of the TOP will create opportunities for SME development, as well as improve the investment climate and raise interest among domestic and foreign investors

Environment

The development of transport links and modes is, on the one hand, a necessary prerequisite for economic development, but on the other hand, the transport sector has a major influence on the environment (for example, the share of traffic in air pollution increased by an average of 20% in the period from 1990 to 1998). An adequately developed transport infrastructure is a precondition for sustainable development of regional waste centres. In this sense, the development of sustainable transport is closely linked to environmental protection and preservation; therefore emphasis is laid on the development of the railway and inland waterway transport systems. This is also in line with the strategy to promote multi-modal transport and generate traffic diversion effects, from the higher-polluting road traffic to energy efficient rail/river transport modes.

Human resources

Investment in transport infrastructure should stimulate short-term employment within the construction sector, but it will also underpin economic activity within the beneficiary regions. In both cases, it is important that employment demand is matched by skill supply. Strengthening the institutional capacity and efficiency of public administrations and public services at national, regional and local levels in regard to transport sector related policy and investments is another prerequisite for implementation of the TOP priorities and development in general (bearing in mind that institutional capacity related activities will be conducted through IPA Component I – as set out in the IPA Regulation).

All four OPs also have certain common goals of a more general nature – to help the relevant institutions to achieve readiness for EU membership and develop institutional capacity for, and practical experience with, the management of Structural Funds-type interventions, i.e. to take part in the EU's Cohesion policy.

3.4.2. Complementarity and synergies with other IPA components

Complementarity with other OPs is highlighted, particularly for regional development and human resources, with an emphasis on achieving competitiveness and sustainability through environment-friendly transport^{128, 201}.

Besides the inter-linkages between the Operational Programmes covered by the SCF, a clear and strong complementarity can be established in relation to the other three components:

IPA Component I – Transition Assistance and Institutional Building

Strengthening the institutional capacity and efficiency of public administrations and public services at national, regional and local level in regard to transport sector related policy and investments is another prerequisite for implementation of the TOP priorities and development in general. Therefore a strong link between institutional building assistance under Component I – whose main task is to provide capacity building support for alignment and implementation of the transport acquis to the relevant competent authorities at regional and national level and Component III will be established and secured

¹²⁸ The Ex-ante evaluation of IPA Operational Programmes for Croatia, Transport Operational Programme, April 2007

IPA Component II – Regional and Cross-Border Assistance

Due to the nature of transport projects significant regional effects can be achieved through transport policy, particularly in the case of railway sub-sector related projects, both in terms of large projects (which can have a strong and transboundary effect) and small projects (which can cover the border areas between regions). In that sense coordination between Component III (Transport) and Component II (cross border cooperation) will be assured (see section 5).

IPA Component V – Rural Development

Development of transport infrastructure is a precondition for economic development, attraction of investment and improvement of the quality of life, i.e. for enhancing the development of rural infrastructure. The development of basic infrastructure is a prerequisite for growth of productive investments and rural activities. Additionally, investment conducted in the course of the TOP will create opportunities to increase development in rural areas and in areas with low population densities, as well as to improve the investment climate and raise interest among domestic and foreign investors

Coordination arrangements

A number of institutional arrangements are being proposed to promote complementarities and coherence between the various Components of IPA and the Environment OP. The National IPA Coordinator ensures partnership between the Commission and the beneficiary country, and a close link between the general accession process and the use of assistance and bears overall responsibility for the coherence and co-ordination of the programmes. CODEF, headed by the National IPA Coordinator, takes overall responsibility for coordinating programming and monitoring activities under the IPA programme in Croatia. CODEF's Department for EU Programmes in the Field of Capacity Building for EU Accession is responsible for co-ordinating IPA Components I, II and V. The Department for EU Programmes in the Field of Economic and Social Cohesion takes responsibility for the co-ordination of IPA Components III and IV. The Strategic Co-ordinator, under the responsibility of the national IPA co-ordinator, is responsible for co-ordinating assistance granted under the regional development component and the human resources development component;

Regarding methods of co-ordination, the IPA Monitoring Committee will assume the function of overall co-ordination of assistance granted under the IPA programme. Coordination will be ensured on the one hand through discussion on the implementation / progress / performance of each IPA component and, on the other hand, through the participation of representatives of bodies heading each of the IPA components (Operating Structures), and the NIPAC, NAO, EC, in the Monitoring Committee. Environment Sectoral Monitoring Committees will be established and will report to the IPA Monitoring Committee. It will also serve as the main co-ordination tool since it will, among other members, include representatives of EC, NIPAC, NAO and the Strategic Co-ordinator for Components III and IV. Additionally, under the direct responsibility of the NIPAC / Strategic Co-ordinator, regular coordination meetings for IPA components III and IV will be held.

With regard to project level coordination, the standard rule applies preventing financing a project from more than one EU source. By avoiding overlaps and enhancing synergy across measures, it was sought to enhance the impact of limited IPA financing available to Croatia. Co-ordination of this Operational Programme with other OPs will, therefore, not only ensure that unnecessary overlapping is avoided, but also promote possible complementarities and synergies.

The co-ordination of activities carried out by IFIs and other donors is ensured all along the programme cycle. In the programming phase, both CODEF and the Ministry of Finance coordinate the preparation of strategies and projects financed by the EU and IFIs in order to avoid duplication and achieve maximum synergies. In the implementation phase, representatives of the Ministry of Finance will be included in the IPA Monitoring Committees for projects which are financed by IFIs, while CODEF representatives will participate in progress monitoring meetings organised by the Ministry of Finance for projects financed through foreign loans and credits, as well as in audit missions undertaken by IFIs. In the case of any audit or evaluation missions organised by the European Commission for a specific project, representatives of the Ministry will be at the disposal of the auditors/evaluators as necessary.

In addition, the State Secretary holds the function of the Deputy Chief Negotiator for EU Accession while the Deputy State Secretary is Sectoral Coordinator for Components III and IV, as well as a member of the working group for negotiations on Chapter 22 Regional Policy and Coordination of Structural Instruments. This direct link with the accession negotiations process enables CODEF to ensure a close coordination between EC funding and the accession process priorities across all five of IPA components.

3.4.3. Complementarity with other EU assistance

Overall, EU assistance to Croatia has evolved from post-war re-construction and humanitarian aid (in the late 1990s) through stabilisation and association support (CARDS programme 2001-2004) to the use of three pre-accession programmes (Phare, ISPA and SAPARD for 2005 & 2006).

Under the national component of the CARDS programme in Croatia in the period 2001-2004, transport was not acknowledged as one of the priority sectors; however, the Regional Balkans Infrastructure Study – Transport (REBIS) was conducted under the regional component of the programme. The REBIS study is significant since it focuses on the development of a multi-modal “South East Europe Core Regional Transport Network” and as such sets the foundation for further network developments.

With the opening of pre-accession programmes in 2005, support was made available for both institution-building and infrastructure investment in the transport sector. The Phare programme focuses on the harmonisation of the Croatian legislation with the EU *acquis* in the maritime and railway policy sector, as well as on building capacity in relevant state administration bodies for the implementation of the *acquis*.

Phare

The following paragraphs describe the key Phare projects, which are preparing the legislative framework: Phare 2005 : Maritime Safety: Enforcement of Administration Capacity – Monitoring and Management of Vessels

This project represents an initiative for the enhancement of administrative and technical efficiency of maritime administration. It has to deal with management of vessels, with a special regard to vessels carrying dangerous and polluting goods. Accordingly, it makes a clear contribution to the implementation of the **acquis communautaire** in Croatia, thus helping to meet the political and the economic membership criteria of the Republic of Croatia as a candidate for the EU membership.

Phare 2006: Maritime Safety: Enforcement of Administration Capacity – Monitoring and Management of Vessels – phase 2

The project, aims to give a full and complete effect to the requirements of the Directive 2002/59/EC of the European Parliament and of the Council establishing a Community vessel traffic monitoring and information system and repealing Council Directive 93/75/EE. It is divided into two major parts: a part dealing with technical matters of the Vessel Traffic Monitoring and Information System (VTMIS) and a part dealing with institutional capacity building of the Croatian maritime administration relating to vessel traffic monitoring as well as flag state implementation.

Phare 2006: Restructuring and Development of Croatian Railway system in the Framework of EU Legislation

The project will provide technical assistance, support and training to the Ministry of Sea, Tourism, Transport and Development and stipulated bodies and institutions in the area of rail restructuring and regulation.

ISPA

The **ISPA** programme co-finances a large scale infrastructure project on Railway Corridor X, which focuses on the rehabilitation of the railway line in Eastern Slavonia from Vinkovci to Tovarnik at the border

with Serbia, at a length of 34.5 km, thus paving the way for future transport sector investments under the 2007-2009 TOP (IPA programme).

The ISPA works project comprises a total investment of Euro 75.761 million with a 38% ISPA contribution.

Further, under ISPA "IPA Project Pipeline Preparation – Transport", TA assistance funds are available for feasibility screening the entire remaining length of the Corridor X railway in Croatia.

3.4.4. Other related donor interventions

3.4.4.1. Railways

EBRD and IBRD loans have been extended for the revival of the national railway company within the framework of the 1998-2002 Railway Modernisation and Restructuring Project, as follows:

- IBRD loan 4433 for the reconstruction and modernisation of railway infrastructure and providing for redundant employees (EUR 85.4 million);
- EBRD loan 730 for the modernisation of railway locomotives (USD 35 million).

As a follow up, the 2000 - 2005 Croatian Railways' Modernisation and Restructuring Strategy has been adopted by the Croatian Parliament, with the view to continuing implementation and achievement of the objectives of the restructuring project. Current activities in this regard are:

- Separation of transport operations from infrastructure management, separation of core and non-core businesses, establishment of new companies from non-core activities and their preparation for privatisation, reduction of the number of employees, reduction of passenger services which are not financially viable, promotion of the real estate business, measures for financial consolidation with the view to lessening the financial burden on the State Budget;
- Restructuring of HŽ (Croatian Railways) within the framework of the conditions for a Programmatic Adjustment Loan (PAL), World Bank, 2005-2007.

3.4.4.2. Inland Waterways

Up to this point, foreign donors have not had any input into the inland waterway sector

3.4.5 Supplementary MSTTD Activities

The following activities are either currently funded or will be funded from the Ministry's own funds.

Ongoing

River transport:

- A five-year plan for the development of waterways and a five-year plan for the development of inland ports,
- Action plan for river transport (implementation of the NAIADES)

Railways:

- Preparation of the National Railway Infrastructure Programme.

Planned for the period of the OP

Railways:

- Preliminary design for the section Zaprešić -Savski Marof (on railway corridor X),
- Preparation of a feasibility study and preliminary technical design for the priority project on the indicative project list (Zagreb main station signalling and interlocking system)

River transport:

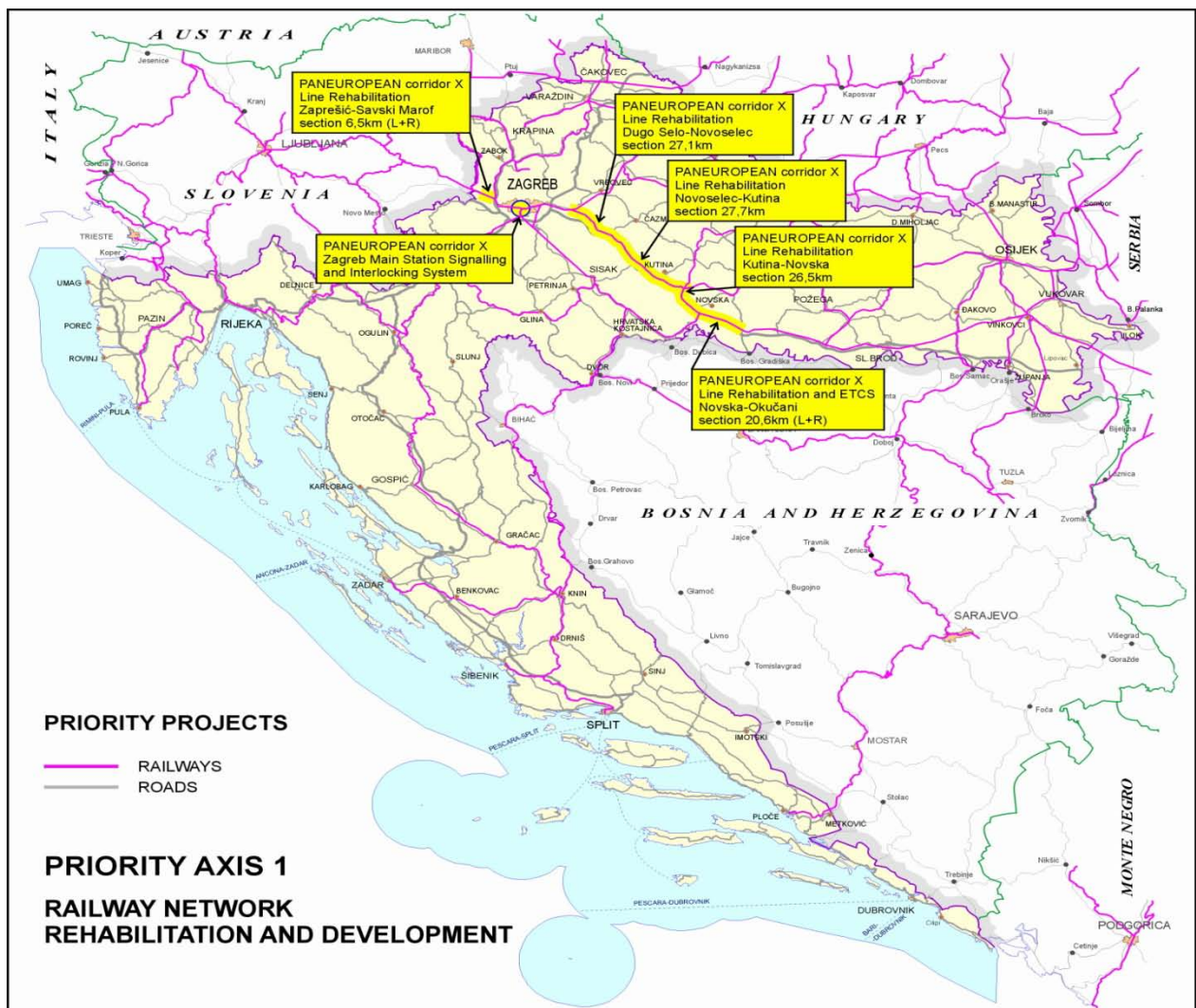
- Elaboration of the action plan for river transport (implementation of the NAIADES);
- Project documentation for, and construction study of, the facility for the removal of liquid waste from vessels in Croatian river ports;

3.5. INDICATIVE LIST OF MAJOR PROJECTS (2007 -2009)

Concerning **Priority Axis 1**, all the **railways improvement projects** are situated along Pan-European Corridor X and constitute the natural continuation of the action targeted under ISPA, the railway rehabilitation and upgrading project on the track section from Vinkovci to Tovarnik state border.

As regards **Priority Axis 2 “Upgrading Croatia’s inland waterway system”**, the foreseen project proposals are situated along Pan-European Corridor VII. There is an urgent rehabilitation need for the whole Croatian part of the corridor. However, none of the projects are presently sufficiently mature for the works to start within the framework of the TOP 2007-2009 period. For the presented project proposals, the necessary project documentation will be prepared through this TOP jointly with the *ongoing-feasibility study on “Sava River Navigability” conducted by the Sava River Commission*. This should result in viable project proposals which then can be addressed in the 2010-2012 programming period.

Picture 7 - Location of priority railway projects



INDICATIVE LIST OF MAJOR RAILWAY PROJECTS:

Project name		Type	TA support	Estimated Total M€	Measure	Comments	Status
1	<u>Project 1:</u> Zagreb Main Station Signalling and Interlocking System	Construction	National funds	17,90	Measure 1.2	The project aims at adjusting railway station technical parameters to Trans-European network requirements. The basic benefit to be gained by this investment is the removal of a traffic bottleneck and consequent speed restrictions on the line due to the antiquated signalling equipment. This project has been identified in the REBIS study. The project includes all necessary reconstruction and adjustments of the device.	Being prepared for funding in budget years 2007 and 2008
2	<u>Project 2:</u> Line Rehabilitation Okučani to Novska section	Construction	National funds	38,50	Measure 1.1	The last track overhaul on the Okučani - Novska railway line was carried out thirty years ago. On one portion of the section, the speed has been reduced to 60 km/h. After the proposed renewal, the speed will be increased to 160 km/h, and the axle load to 225 kN. The work includes all renovations that are needed to make the section compliant with the criteria set for corridor railways (AGC requirements).	Being prepared for funding in budget years 2008 and 2009

Project name		Type	TA support	Estimated Total M€	Measure	Comments	Status
3	<u>Project 3: Line Rehabilitation Novska to Dugo Selo Section</u>	Construction	ISPA TA	135,00	Measure 1.1	<p>This project can be divided in three Phases. Due to the track condition operation speed along this section is reduced to 70 km and occasionally below. Maintenance was last performed in the period 1979-1980. The project should help to bring the section from the original design standard 130 km/h to 160 km/h. The interoperability criterion will be fulfilled by installation of the Level 1 ETCS device.</p> <p>3 phases: I. Novoselec – Dugo Selo 27.1 km II. Kutina – Novoselec 27.7 km III. Novska – Kutina 26.5 km</p> <p>Main activities include track overhaul of the 81.3 km single track line including reconstruction of stations, reconstruction of sections of curved track to increase speed to 160 km/h, rehabilitation of substructure, culverts and drainage system, replacement of level crossings with bridges on a higher rank state roads, rehabilitation of other level crossings, replacement of the relay signalling equipment by electronic one and installation of ETCS system, centralised traffic control system covering route from Okučani to Dugo Selo including CTC centre in Zagreb to manage traffic operations from Slovenian border to a point west of Vinkovci, upgrade of telecommunication system including the introduction of new GSM-R system and adjustment of overhead line equipment.</p>	Prepared for funding in budget years 2007 and 2008

Project name		Type	TA support	Estimated Total M€	Measure	Comments	Status
4	Project 4: Line rehabilitation Savski Marof – Zaprešić Section	Construction	ISPA TA	25,00	Measure 1.1	<p>The project includes track overhaul of the 7.5 km double track line with replacement of the permanent way material and reconstruction of station tracks in Zaprešić and Savski Marof.</p> <p>Additionally it will include rehabilitation of the substructure, culverts and drainage system, replacement of level crossings, replacement of the relay fail-safe signalling equipment by electronic ones which will be remotely controlled from Central Traffic Control centre in Zagreb and fitted with ETCS system, re-positioning of signals to enable the speed of 160 km/h, upgrade of the telecommunication system (including the installation of new GSM-R system) and adjustment to the new Centralised Traffic Control System, adjustment of the overhead line equipment.</p> <p>The central point of this project is the reconstruction of the railway station Zaprešić that will enable the separation of passenger and freight traffic in the area of Zagreb junction through the future freight by-pass on the western entrance to Zagreb.</p> <p>The necessary documentation for this project will be prepared through the ISPA Project Pipeline TA.</p>	Prepared for funding in budget years 2008 and 2009

INDICATIVE LIST OF MAJOR INLAND WATERWAY PROJECTS:

Project name		Type	TA support	Estimated Total M€	Measure	Comments	Status
	<u>Project 5:</u> Rehabilitation and Improvement of the Sava River Waterway	Construction	IPA	40	Measure 2.1	Significant preparatory work already undertaken. Project should be developed in close cooperation with the Sava River Commission	Prepared for funding in budget years 2007 and 2008
	<u>Project 6:</u> Reconstruction of the Port of Vukovar – New port East	Construction	IPA	40	Measure 2.1	Significant preparatory work already undertaken. Project is currently in stand by position because there is no adequate capacity for designing and engineering.	Prepared for funding in budget years 2007 and 2008

4. INDICATIVE FINANCIAL TABLES

YEARS 2007 - 2009

	Public expenditure			For information
	Total Public expenditure	Community Contrib. (IPA)	National Public Contrib.	Other (IFI, etc)
	(1) =(2) + (3) (Eur)	(2) (Eur)	(3) (Eur)	(4)=(2)/(1) (%) (Eur)

Priority Axis 1: Upgrading Croatia's rail transport system	62.814.000	47.110.500	15.703.500	75%	0
Measure 1.1: Line upgrading and modernisation	44.914.000	33.685.500	11.228.500	75%	0
Measure 1.2: Improvement of the safety and efficiency of railway operations	17.900.000	13.425.000	4.475.000	75%	0
Priority Axis 2: Upgrading Croatia's inland waterway system	7.500.000	5.625.000	1.875.000	75%	0
Measure 2.1: Modernisation and rehabilitation of river waterways and port infrastructure	7.500.000	5.625.000	1.875.000	75%	0
Priority Axis 3: Technical Assistance	1.020.000	765.000	255.000	75%	0
Measure 3.1 Programme management and capacity building	1.020.000	765.000	255.000	75%	0
Total Years 2007 - 2009	71.334.000	53.500.500	17.833.500	75%	0

YEAR 2007

	Public expenditure			IPA cofinancing rate	For information
	Total Public expenditure	Community Contrib. (IPA)	National Public Contrib.		Other (IFI, etc)
	(1) =(2) + (3) (Eur)	(2) (Eur)	(3) (Eur)	(4)=(2)/(1) (%)	(Eur)

Priority Axis 1: Upgrading Croatia's rail transport system	17.327.000	12.995.250	4.331.750	75%	0
Measure 1.1. Line upgrading and modernisation	2.000.000	1.500.000	500.000	75%	0
Measure 1.2. Improvement of the safety and efficiency of railway operations	15.327.000	11.495.250	3.831.750	75%	0
Priority Axis 2: Upgrading Croatia's inland waterway system	5.000.000	3.750.000	1.250.000	75%	0
Measure 2.1. Modernisation and rehabilitation of river waterways and port infrastructure	5.000.000	3.750.000	1.250.000	75%	0
Priority Axis 3: Technical Assistance	340.000	255.000	85.000	75%	0
Measure 3.1 Programme management and capacity building	340.000	255.000	85.000	75%	0
Total Year 2007	22.667.000	17.000.250	5.666.750	75%	0

YEAR 2008

	Public expenditure			IPA cofinancing rate	For information
	Total Public expenditure	Community Contrib. (IPA)	National Public Contrib.		Other (IFI, etc)
	(1) =(2) + (3) (Eur)	(2) (Eur)	(3) (Eur)	(4)=(2)/(1) (%)	(Eur)

Priority Axis 1: Upgrading Croatia's rail transport system	21.160.000	15.870.000	5.290.000	75%	0
Measure 1.1: Line upgrading and modernisation	18.587.000	13.940.250	4.646.750	75%	0
Measure 1.2. Improvement of the safety and efficiency of railway operations	2.573.000	1.930.000	643.000	75%	0

Priority Axis 2: Upgrading Croatia's inland waterway system	2.500.000	1.875.000	625.000	75%	0
Measure 2.1. Modernisation and rehabilitation of river waterways and port infrastructure	2.500.000	1.870.000	625.000	75%	0

Priority Axis 3: Technical Assistance	340.000	255.000	85.000	75%	0
Measure 3.1 Programme management and capacity building	340.000	255.000	85.000	75%	0

Total Year 2008	24.000.000	18.000.000	6.000.000	75%	0
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YEAR 2009

	Public expenditure			IPA cofinancing rate	For information
	Total Public expenditure	Community Contrib. (IPA)	National Public Contrib.		Other (IFI, etc)
	(1) =(2) + (3) (Eur)	(2) (Eur)	(3) (Eur)	(4)=(2)/(1) (%)	(Eur)

Priority Axis 1: Upgrading Croatia's rail transport system	24.327.000	18.245.250	6.081.750	75%	0
Measure 1.1: Line upgrading and modernisation	24.327.000	18.245.250	6.081.750	75%	0
Measure 1.2. Improvement of the safety and efficiency of railway operations	0	0	0	75%	0

Priority Axis 2: Upgrading Croatia's inland waterway system	0	0	0	75%	0
Measure 2.1. Modernisation and rehabilitation of river waterways and port infrastructure				75%	0

Priority Axis 3: Technical Assistance	340.000	255.000	85.000	75%	0
Measure 3.1 Programme management and capacity building	340.000	255.000	85.000	75%	0

Total Year 2009	24.667.000	18.500.250	6.166.750	75%	0
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5. IMPLEMENTATION PROVISIONS

5.1 Management and control structures

This chapter of the Operational Programme describes the systems and arrangements in place as they are known at the time of the drafting of the Operational Programme. However, a number of critical decisions regarding structures and responsibilities, as well as management and information systems, will be taken in the context of the accreditation for conferral of decentralised management, which follows a different timing from the adoption of the Operational Programme. To this end, the Framework Agreement, as well as the Financing Agreement to be signed after conferral of decentralised management, will set out detailed provisions regarding management and control systems. The provisions in this chapter must therefore be understood as subject to later adaptations by the applicable provisions of these agreements, where required.

CODEF will oversee the implementation of all five components of the IPA programme. The State Secretary of CODEF is appointed as the National IPA Coordinator. The role of the Strategic Coordinator for IPA Components III & IV will be assumed by the Deputy State Secretary of CODEF. The Strategic Coordinator will ensure that there is complementarity and coherence between the programmes implemented in the regional development and human resources development spheres, especially taking into account the limited amount of financial resources available under IPA and the need for the concentration of activities.

5.1.1 Bodies and authorities

Based on the IPA Implementing Regulation, the Croatian Government has adopted its own legal act/s to designate specific bodies for IPA management and implementation¹²⁹.

Under the provisions of this Regulation, the following positions/bodies have been or will be designated / established:

- National IPA Coordinator
- Strategic Coordinator for the regional development and the human resources development components
- Competent Accrediting Officer
- National Authorising Officer
- National Fund
- Audit Authority
- Operating Structure

With the exception of the Operating Structure and the role of the Strategic Coordinator, these bodies essentially perform tasks which are generally applicable to all IPA components in accordance with their functions specified in the relevant articles of the IPA Implementing Regulation.

Accordingly, in line with the provisions of Article 7.3 of the afore-mentioned Regulation and as specified in the 'model' Framework Agreement adopted by the Commission on 6 July 2007 [ref

¹²⁹ Regulation on the scope and contents of responsibilities and the authority of bodies responsible for managing the instrument for pre-accession assistance (OG 18/2007); Amendments to the regulation on the scope and contents of responsibilities and the authority of bodies responsible for managing the instrument for pre-accession assistance (OG 82 /2007)

Decision on the appointment of individuals responsible for managing the instrument for pre-accession assistance (IPA) (OG 18/2007); amendment to the decision on the appointment of individuals responsible for managing the instrument for pre-accession assistance (IPA) OG 82 /2007)

C(2007) 3208 final – E/1368/2007], such functions will be incorporated under the **Framework Agreement** to be concluded between the Commission and Croatia.

Operating Structure

This Operational Programme will be managed by the Head of the Operating Structure who will be responsible for the following functions in compliance with Article 28.2 of the IPA Implementing Regulation:

- Drafting the annual or multi-annual programmes;
- Programme monitoring and guiding the work of the Sectoral Monitoring Committee as defined in Article 59, notably by providing the documents necessary for monitoring the quality of implementation of the programmes;
- Drawing up the sectoral annual and final implementation reports defined in Article 61(1) and, after their examination by the Sectoral Monitoring Committee, submitting them to the Commission, to the National IPA Co-ordinator and to the National Authorising Officer;
- Ensuring that operations are selected for funding and approved in accordance with the criteria and mechanisms applicable to the programmes, and that they comply with the relevant Community and national rules;
- Setting up procedures to ensure the retention of all documents required to ensure an adequate audit trail, in accordance with Article 20;
- Arranging for tendering procedures, grant award procedures, the ensuing contracting, and making payments to, and recovery from, the final beneficiary;
- Ensuring that all bodies involved in the implementation of operations maintain a separate accounting system or a separate accounting codification;
- Ensuring that the National Fund and the National Authorising Officer receive all necessary information on the procedures and verifications carried out in relation to expenditure;
- Setting up, maintaining and updating the reporting and information system;
- Carrying out verifications to ensure that the expenditure declared has actually been incurred in accordance with applicable rules, the products or services have been delivered in accordance with the approval decision, and the payment requests by the final beneficiary are correct. These verifications shall cover administrative, financial, technical and physical aspects of operations, as appropriate;
- Ensuring internal audit of its different constituting bodies;
- Ensuring irregularity reporting;
- Ensuring compliance with the information and publicity requirements.

The Operating Structure (OS) will be composed of the following specific bodies in accordance with Article 31 of the IPA Implementing Regulation:

- The Ministry of Sea, Tourism, Transport and Development (MSTTD),
- Croatian Railways Infrastructure (CRI)
- The Central Finance and Contracting Agency for EU Programmes and Projects (CFCA).

The position and level of responsibility, as well as the Heads of specific bodies within the Operating Structure, are shown in the following table:

Level of Responsibility	Titles of the bodies within the Operating Structure	Specific bodies within the Operating Structure Heads of specific bodies within the Operating Structure	
IV. Operational Programme level	Body Responsible for OP	<p>The Ministry of Sea, Tourism, Transport and Development</p> <p>Nazorova 61, 10000 Zagreb</p> <p>State Secretary for Development</p>	
V. Priority/Measure level	Body Responsible for Priority/Measure	<p>All Priority Axes</p> <p>The Ministry of Sea, Tourism, Transport and Development</p> <p>Directorate for Strategic Infrastructure Projects</p> <p>Krležin Gvozd 1a, 10000 Zagreb</p> <p>Assistant Minister</p>	
VI. Project level	Implementing Body (Contracting Authority)	<p>Priority Axis 1</p> <p>Croatian Railways Infrastructure</p> <p>Mihanovićeva 12, 10000 Zagreb</p>	<p>Priority Axes 2 & 3</p> <p>Central Finance and Contracting Agency for EU Programmes and Projects (CFCA)</p> <p>Katančićeva 5, 10000 Zagreb</p>

		Director	Head of CFCA
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The State Secretary for Development of the Ministry of Sea, Tourism, Transport and Development will act as the Head of Operating Structure in the meaning of Article 167 (3) of the IPA Implementing Regulation.

Any personnel changes in the Heads of the specific bodies referred to above will be notified to the Commission, as appropriate, including any changes which affect the accreditation of the Operating Structure and the Commission's subsequent conferral of management powers.

Distribution of functions

The Ministry of Sea, Tourism, Transport and Development (as a Body Responsible for OP and as a Body Responsible for Priority/Measure) will execute the following functions in relation to the Operational Programme as a whole:

- Preparation of the Operational Programme and its adjustments;
- Coordination of programme monitoring in accordance with provisions of Article 59 of the IPA Implementing Regulation;
- Coordination of the preparation of annual and final sectoral reports in accordance with the provisions of Article 169 of the IPA Implementing Regulation;
- Setting up procedures for the retention of all documents to ensure a sufficiently detailed audit trail (Article 20 of the IPA Implementing Regulation);
- Organisation of interim evaluations during the period of programme implementation, in cooperation with CODEF;
- Retention of all documents and ensuring that all the relevant information is available to provide for a sufficiently detailed audit trail;
- Identification of the intended final beneficiaries, the expected selection modalities and possible related specific selection criteria (Article 155 of IPA Implementing Regulation);
- Ensuring that operations within their sectoral area of responsibility are selected for funding and approved in accordance with the criteria applicable of the OP;
- In its capacity as a beneficiary, assistance in the technical preparation and management of the projects on the basis of formal agreements with the implementing body;
- Quality appraisal of major projects prepared by the Final Beneficiaries (where relevant) and their submission to the National IPA Coordinator;
- Submission to the National Fund of requests for payment and all supporting documents;
- Ensuring that the National Fund and the National Authorising Officer receive all necessary information on the procedures and verifications carried out in relation to expenditure;
- Ensuring internal audit of its different constituting bodies;
- Ensuring irregularity reporting;
- Ensuring risk management reporting;
- Ensuring compliance with the information and publicity requirements.

Croatian Railways Infrastructure (as an Implementing Body) will execute the following functions with relation to the OP Priority Axis 1 – Upgrading Croatia's rail transport system:

- Verification of tender documents received from beneficiary institutions and preparation of complete tender dossiers;
- Arranging tendering and contract award procedures;
- Acting as the Contracting Authority;
- Contract implementation;
- Preparation and submission of payment claims to the body responsible for measure/priority;
- Making payments to, and recoveries from, the final beneficiary;

- Ensuring that the body/ies responsible for priority/measure receive(s) all necessary information on the procedures and verifications carried out in relation to expenditure;
- Verifying that expenditure declared has actually been incurred in accordance with applicable rules, that the products or services have been delivered in accordance with the approval decision, and that payment requests by the final beneficiary are correct. These verifications shall cover the administrative, financial, technical and physical aspects of operations, as appropriate;
- Supporting the preparation of documents for the sectoral monitoring committee regarding progress made towards achieving the targets of the measures;
- Support in the preparation of sectoral annual and final implementation reports;
- Maintaining a separate accounting system or a separate accounting codification;
- Internal audit;
- Retention of all documents and ensuring that all the relevant information is available to provide for a sufficiently detailed audit trail;
- Irregularity reporting.

The Central Finance and Contracting Agency for EU Programmes and Projects (CFCA) (as an Implementing Body) will execute the following functions with relation to the OP Priority Axis 2 – Upgrading Croatia’s inland waterway system¹³⁰ and Priority Axis 3 – Technical Assistance:

- Verification of tender documents received from beneficiary institutions and preparation of complete tender dossiers;
- Arranging for tendering and contract award procedures;
- Acting as the Contracting Authority;
- Contract implementation;
- Preparation and submission of payment claims to the body responsible for measure/priority;
- Making payments to, and recoveries from, the final beneficiary;
- Ensuring that the body/ies responsible for priority/measure receive(s) all necessary information on the procedures and verifications carried out in relation to expenditure;
- Carrying out verifications to ensure that the expenditure declared has actually been incurred in accordance with applicable rules, the products or services have been delivered in accordance with the approval decision, and the payment requests by the final beneficiary are correct. These verifications shall cover administrative, financial, technical and physical aspects of operations, as appropriate;
- Support in the preparation of documents for the sectoral monitoring committee regarding progress made towards achieving targets of the measures;
- Support in the preparation of sectoral annual and final implementation reports;
- Maintaining a separate accounting system or a separate accounting codification;
- Internal audit;
- Retention of all documents and ensuring that all the relevant information is available to provide for a sufficiently detailed audit trail;
- Irregularity reporting.

All the bodies within the Operating Structure are ultimately accountable to the Ministry of Sea, Tourism, Transport and Development which bears overall responsibility for the Operational Programme management, in the execution of their specific tasks in relation to this Operational Programme.

¹³⁰ The CFCU will be the Implementing body for the Priority Axis 2 only until such time that the Croatian Inland Waterways Agency obtains accreditation to act as the Implementing Body

A detailed organigramme of the Operational Programme management system is provided in Annex 3

5.1.2 Separation of functions

In accordance with the Article 21.2 of the IPA Implementing Regulation, the appropriate segregation of duties will be ensured between and within the designated bodies

Separation of functions between the bodies

The separation of functions results from the division of the tasks described above. This includes the following principles:

- on the one hand, a clear separation between verifications, controls, and evaluations to be carried out by the Operating Structure and by the National Fund; and on the other
- a clear separation between the audits carried out by the Audit Authority and the implementation and payment procedures.

Separation of functions within the bodies

The organisational structure of the bodies and their internal management and control procedures will take into account all requirements to ensure the proper separation of functions. This includes the following principles:

- before an operation is authorised, the operational and financial aspects shall be verified by members of staff other than the one responsible for initiation or implementation of the operation;
- certificates of statement of expenditure shall be drawn up by a person or department within the National Fund who is functionally independent from any services that approve claims;
- initiation, ex-ante, and ex-post controls are separate functions, to be carried out by different persons, functionally independent from each other.

5.2. Monitoring and evaluation

5.2.1. Monitoring arrangements

– In order to ensure coherence and coordination in the implementation of the IPA components, programmes and operations as well as to follow the progress in the implementation of IPA assistance, the following monitoring committees will be established:

- IPA Monitoring Committee;
- Sectoral Monitoring Committee for the Transport Operational Programme.

IPA Monitoring Committee

Croatia will establish an IPA Monitoring Committee to ensure coherence and coordination in the implementation of all five Components of IPA.

Sectoral Monitoring Committee

The Head of the Operating Structure will establish a Sectoral Monitoring Committee within 6 months after the entry into force of the IPA Implementing Regulation

This Committee will be co-chaired by the Head of the Operating Structure and a representative of the European Commission. Its members will include the National IPA Coordinator or his/her representative, the National Authorising Officer or his/her representative, a representative of the European Commission, the Strategic Coordinator for Components III and IV or his/her representative, the Head of the National Fund or his/her representative, representatives of all specific bodies making up the Operating Structures as well as representatives from civil society and socio-economic partners; the Committee will also include regional and/or national organisations with a relevant interest in contributing to the effective implementation of the programme to be agreed at its 1st meeting.

In order to ensure sufficient representation and membership, the composition of the Sectoral Monitoring Committee can be reviewed and extended by the Head of the Operating Structure in agreement with the European Commission.

The Sectoral Monitoring Committee will be assisted by a permanent secretariat provided by the Operating Structure for the preparation of papers for discussion by the committee or for clearance by written

procedure. The secretariat's tasks will be carried out by the Directorate for Strategic Infrastructure Projects.

The Sectoral Monitoring Committee will report to the IPA Monitoring Committee. Its tasks will include to:

- g. Consider and approve the general criteria for selecting operations and approve any revision of those criteria in accordance with programming needs;
- h. Review at each meeting progress towards achieving the specific targets of the Operational Programme on the basis of documents submitted by the Operating Structure;
- i. Examining at each meeting the results of implementation, particularly the achievement of the targets set for each priority axis and measure and interim evaluations (it shall carry out this monitoring by reference to the indicators agreed); Information on the number of jobs created as a result of the implementation of individual projects should be specifically reported and monitored (this information has to be forwarded to IPA Monitoring Committee)
- j. Examining the sectoral annual and final reports on implementation, including OP summary tables;
- k. Inform itself of the annual audit activity report or of the part of the report referring to the Operational Programme;
- l. Examine any proposal to amend the financing agreement of the programme and propose to the Operating Structure any revision or examination of the Programme likely to make possible the attainment of the programme's objectives or to improve its management, including its financial management, as well as to oversee cross cutting themes and publicity measures.

The Sectoral Monitoring Committee shall confirm or make proposals to the Head of the Operating Structure, to the European Commission, the Strategic Co-ordinator and the National IPA Co-ordinator to revise the programme, where relevant, following an evaluation, including its results, as well as output and financial indicators to be used to monitor the assistance.

The Sectoral Monitoring Committee will set up its rules of procedure in agreement with the Operating Structure and the IPA Monitoring Committee. It will meet at least twice a year and upon request by the Commission. Intermediate meetings may also be convened as required.

As a principle the Sectoral Monitoring Committee will aim to take decisions by reaching consensus.

5.2.2 Management Information System

The Head of the Operating Structure is responsible for the efficiency and correctness of management and implementation and in particular for setting up, maintaining and updating regularly a reporting and information system to gather reliable financial and statistical information on implementation, for the monitoring indicators and for evaluation and for forwarding this data in accordance with arrangements agreed between the NIPAC and the Commission.

This system will be developed into one or several computerised system(s), in a form chosen by the Operating Structure, which will enable it to:

- monitor and manage the implementation of operations and projects, from the moment of tendering and call for proposal to the closure of the OP, in particular the results, whenever feasible, and outputs;
- carry out and monitor financial transactions;
- ensure the reporting requirements on the implementation of the OP.

The Operating Structure and all other bodies involved in the implementation of the OP shall have access to this system.

The Management Information System will be developed under the Technical Assistance component of this Operational Programme. The establishment of the Management Information System will be done under the guidance and supervision of NIPAC and the Strategic Coordinator, in order to ensure consistency and complementarity across all the Operational Programmes. Until the system becomes operational, reporting and collection of data will be done manually.

5.2.3 Monitoring System and Indicators

The quantitative and qualitative progress made in implementing the programme as well as its efficiency and effectiveness in relation to its objectives will be measured by the use of evaluation and monitoring indicators related to the results and outputs of the individual measures.

In identifying appropriate monitoring and evaluation indicators, account has been taken of the methodologies, guidelines and lists of examples of indicators issued by the Commission, in particular the "Indicative guidelines on evaluation methods: Monitoring and evaluation indicators" (August 2006, working document No. 2 for the programming period 2007-2013).

The Head of the Operating Structure is responsible for programme monitoring. In this context, the Operating Structure will collect performance data (outputs, results and expenditure) from operations and projects. It will establish, maintain and update the reporting and information system by taking this project-level data and aggregate it to measure, priority axis and whole OP levels. Data on individuals who are the ultimate beneficiaries must be collected for each project and used for aggregation at measure and priority level. On this basis the Operating Structure will assess the progress of the OP at each level against objectives and targets, prepare reports to the Sectoral Monitoring Committee, draft the sectoral annual and final reports on implementation and launch interim evaluations if required.

In the context of monitoring and for the purpose of using indicators, the role of the Operating Structure will also be to ensure that:

- d. Monitoring requirements are built into the calls for tender and proposals documents (including preparation of the major project application forms, terms of reference and tender documentation);
- e. Project applications (when appraised and selected) include proposed outputs and results, as well as data on individuals, that are consistent with the OP indicators for the appropriate measure;
- f. Provision of data is built into the contract with beneficiaries as an obligation, and that performance data is provided systematically and in a timely manner by beneficiaries alongside the project reimbursement claim;

An indicative breakdown by category of the programmed use of the Community contribution to this Operational Programme will be established for monitoring and information purposes while the sectoral annual and final reports on implementation will provide information on the use of expenditure in accordance with such categories.

5.2.4 Selection of operations

All operations which are not major projects, and which are implemented by final beneficiaries other than national public bodies, shall be selected through calls for proposals.

The Operating Structure will set up a Selection Committee for each call for proposals launched for the selection of operations financed under a specific measure. The Selection Committee will have an odd number of members and it will be composed of the most appropriate officials and experts with technical competence to undertake a qualitative appraisal of project applications. These members will be nominated by the institutions in which where they are employed at the invitation of the body in charge of implementation, and they will have voting rights in the selection process. A member of the Operating Structure who prepared the guidelines for applicants will also participate in the Selection Committee work. The Committee will be chaired by a member of the Implementing Body without a voting right. The Selection Committee will appraise project applications in compliance with the selection criteria and methodologies agreed by the Sectoral Monitoring Committee. The applications will first be screened for their compliance with the eligibility and administrative criteria meeting the relevant eligibility requirements set out in the relevant measures (completeness, accuracy, etc) and thereafter will be evaluated according to their quality. The Selection Committee will then make recommendations to the Operating Structure, in compliance with Article 158 of the IPA Implementing Regulation.

Procurement (including the award of any major projects) will follow the contract award procedures contained in the "Practical Guide to Contract Procedures for EC External Actions" (PRAG). Tender Selection Committees will be established for the evaluation of service, works and supply tenders, while their composition and decision making procedures will be in accordance with the principles set out in the relevant rules of the PRAG. All beneficiaries (whether public or private) will also comply with the principles established under the relevant PRAG rules.

5.2.5 Sectoral annual and final reports on implementation

Sectoral annual and final reports on implementation will be prepared by the Operating Structure in accordance with article 169 of the IPA Implementing Regulation. These reports will assess the implementation progress covering the attainment of set objectives, the problems encountered in managing the programme and the measures taken, the financial execution as well as monitoring and evaluation activities carried out. This will include specific progress reports on each major project, in accordance with the format to be agreed with the Commission. Programmes will include an up-to-date OP summary table and will be reviewed at least at the “second meeting” of the Sectoral Monitoring Committee each year.

5.2.6 Evaluation arrangements

Evaluations are a tool for assessing the relevance, efficiency and effectiveness of the financial assistance as well as the impact and sustainability of the expected results. As a minimum, an ex-ante evaluation and an interim evaluation will be carried out under the responsibility of the Head of the Operating Structure and the Strategic Coordinator, in accordance with the principles laid down in the IPA Implementing Regulation and guidance provided by the Commission.

The evaluation arrangements and activities of each programme will fully respect the principle of proportionality.

Ex-ante evaluation

Under the responsibility of the Operating Structure and the Strategic Coordinator, an ex-ante evaluation of the Transport Operational Programme was carried out by the European Policy Research Centre at the University of Strathclyde in Glasgow and is annexed to this programme. A summary of the results of the ex-ante evaluation and the way the evaluation was conducted is set out in section 1.5.

Interim evaluation

The Head of the Operating Structure is responsible for ensuring that adequate evaluations of the Operational Programme are carried out. The evaluations will be carried out by external experts, functionally independent from the management and control system. The evaluations will be managed by a designated official within the Ministry of Sea, Tourism, Transport and Development, who will be responsible for preparing the documents for tendering and contracting these experts under Priority Axis 3, reviewing the draft evaluation reports, acting as secretariat to the *ad hoc* Evaluation Committee, and liaising, as appropriate, between the selected experts and the said Committee.

Evaluation committee

The Sectoral Monitoring Committee will designate an ad-hoc committee to assist the Operating Structure in its evaluation activities. The Committee will adhere to the 'partnership principle' and will include members (and invitees where relevant) who are experts in evaluation. Moreover, the assistance of the Committee will be availed of at all stages of the process (including guidance, planning, implementation and communication of results) in order to ensure the overall quality of the evaluations undertaken. At the same time, all relevant stakeholders and institutions / organisations will be invited to contribute where appropriate.

The designation and establishment of this *ad-hoc* Committee will be made in accordance with the Sectoral Monitoring Committee's rules and procedures adopted in accordance with Article 167.2 of the IPA Implementing Regulation.

Evaluation activities and timing

Given this programme covers the 2007-09 period, but involves operational activity up to 31 December 2012 under the N+3 rule, it is proposed that only one interim evaluation is carried out, and that this will commence in October 2009. As no larger-scale projects will have been completed at this stage, this would be effectively a process evaluation examining the efficiency and effectiveness of programme and project implementation, but within the context of the progress made with implementation, including the performance against indicators at the project level (physical and financial objectives) and at the measure level (outputs). This will also include a review of performance on the horizontal themes of the OP.

5.3 Information and publicity

5.3.1 Introduction

Information and publicity are important aspects of pre-accession assistance and in particular to the successful design and delivery of the Operational Programmes, given the partnership basis on which they are undertaken. Communicating for a successful management and implementation of the Operational Programmes can be broken down into a series of information and publicity activities.

Accordingly, Article 62 of the IPA Implementing Regulation sets out certain requirements regarding the information to be provided and publicity of programmes and operations financed by the Community, addressed to citizens and beneficiaries with the aim of highlighting the role of Community funding and ensuring transparency.

The information to be provided by the Operating Structure should include inter alia the publication of the list of final beneficiaries, the names of the operations and the amount of Community funding allocated to operations. The Commission must also ensure the publication of the relevant information on tenders and contracts in the official Journal of the European Union and other relevant media and websites.

Article 63 of the IPA Implementing Regulation provides further that the Commission and the relevant authorities of the beneficiary country shall agree on a coherent set of activities, to be funded from the TA priority of the Operational Programme, to make available and publicise information about IPA assistance. In accordance with the above provisions the Ministry of Sea, Tourism, Transport and Development, Directorate for Strategic Infrastructure projects shall be responsible for the information and publicity activities under the programme. The information shall be addressed to the citizens of Croatia and to the European citizens in general, and to the (potential) beneficiaries. It shall aim to highlight the role of the Community and ensure that IPA assistance is transparent.

5.3.2 Requirements

In compliance with Article 63 of the IPA Implementing Regulation the Ministry of Sea, Tourism, Transport and Development, Directorate for Strategic Infrastructure projects shall prepare a Communication Action Plan (CAP) to provide strategic coherence to the set of activities to publicise information about IPA assistance. The Communication Action Plan shall be consistent with the information and publicity strategy issued by NIPAC. The CAP shall cover the period 2008-2012. The Ministry of Sea, Tourism, Transport and Development will submit a draft of the Communication Action Plan to the NIPAC and Commission within four months of the date of signature of the Financing Agreement covering the Operational Programme. As a minimum the Communication Action Plan shall include the following points:

- The aims and target groups;
- The strategy and content;
- The indicative budget;
- The administrative departments;
- The criteria used for evaluation.

5.3.3 Activities

The Ministry of Sea, Tourism, Transport and Development shall ensure that the information and publicity measures are implemented in accordance with the Communication Action Plan aiming at the broadest possible media coverage using all suitable forms and methods of communication at the appropriate territorial level. The Ministry of Sea, Tourism, Transport and Development will be responsible for organising at least the following information and publicity measures:

- A major information activity publicising the launch of an Operational Programme, even in the absence of the final version of the Communication Action Plan;
- At least one major information activity a year, as set out in the Communication Action Plan, presenting the achievements of the Operational Programme including major projects;
- The publication (electronically or otherwise) of the list of beneficiaries, the names of the operations and the amount of Community and national funding allocated to the operations

The Ministry of Sea, Tourism, Transport and Development shall provide potential beneficiaries with clear and detailed information on at least the following:

- The possibility of financing opportunities offered jointly by the Community and the beneficiary country through the OP;
- The conditions of eligibility to be met in order to qualify for financing under the Operational Programme;
- A description of the procedures for examining applications for funding and of the time periods involved;
- The criteria for selecting the operations to be financed;
- The contacts at national, regional or local level that can provide information on the Operational Programme.

5.3.4 Indicative budget

The indicative budget for the Communication Action Plan under this Operational Programme for the period 2007-2009 will be set at an appropriate level in order to provide adequate cover for the costs of the publicity and information measures. The budget allocation per year, as well as the indicative amounts necessary for the period 2010-2013, will also be presented in the Communication Action Plan.

5.3.5 Management and implementation

Within the Ministry of Sea, Tourism, Transport and Development, information and communications will be assigned to Directorate for Strategic Infrastructure projects. The information and publicity team will be composed of 1 official whose tasks will involve supporting the Head of the Operating Structure in the performance of the following functions and responsibilities:

- Discussing the Communication Action Plan with the Commission;
- coordinating the information and publicity activities under other IPA funded programmes;
- Communication with the media;
- Elaboration, implementation and assessment of the programme's Communication Action Plan;
- Presenting the programme in the relevant national and Commission information networks;
- Handling enquiries from beneficiaries;
- Monitoring and control on the fulfilment of the P&I requirements from the beneficiaries;
- Development, production and distribution of information material; the preparation and implementation of public events;
- Development and maintenance of the contents of the programme website;
- Liaison with IT regarding technical maintenance;
- Management of out-sourced services;
- Elaboration and monitoring of the annual Communication Action Plans and coordination of internal events and training.

Given that some of the information and publicity measures will require out-sourcing for professional services (such as design and pre-print, web pages, printing, advertising, photography and opinion pools), it will be the responsibility of the information and publicity team to manage such services and ensure they are contracted in accordance with public procurement rules.

5.3.6 Monitoring, evaluation and reporting

Monitoring, evaluation and reporting are a compulsory requirement for the implementation of the publicity measures included within the Communication Action Plan of the programme.

The progress made in the implementation of the Communication Action Plan shall be reported during the meetings of the Sectoral Monitoring Committee. The Head of the Operating Structure shall inform the Sectoral Monitoring Committee of the information and communication measures carried out and the

means of communication used. The Head of the Operating Structure will also provide the Sectoral Monitoring Committee with examples of the communication measures carried out.

The annual and final reports on the implementation of the Operational Programme shall include the following information:

- Examples of information and communication measures for the Operational Programme undertaken during the implementation of the Communication Action Plan;
- The arrangements for the information and publicity measures concerning the publication - electronically or otherwise - of the list of beneficiaries, the names of the operations and the amount of public funding allocated to the operations;
- The content of major amendments to the Communication Action Plan.

A set of indicators for the evaluation of the publicity measures will be included in the Communication Action Plan and will represent the essential part of the plan with regard to the assessment of the efficiency and effectiveness of the implemented publicity activities.

The yearly results of the qualitative and quantitative analysis will be used for the elaboration of the annual Communication Action Plans, including any modifications thereof.

5.3.7 Partnership and networking

Bodies that can act as relays for the programme and disseminate the information concerning the general public will include the following:

- Professional and trade associations and organisations;
- Economic and social partners;
- Non-governmental organisations;
- Educational institutions;
- Organisations representing business;
- EU Information centres and Commission Representations (in particular the EC Delegation);
- Other main stakeholders under each priority.

The Operating Structure will work in close cooperation with the above-mentioned bodies for the dissemination of information regarding the programme and in particular the IPA pre-accession assistance strategy for component IV.

5.3.8 Internet

The website of the programme will be linked to the CODEF, MFIN, ECD, DG ELARG, DG EMPL and DG REGIO websites and with the websites of the other programmes. It will be created according to the following principles:

- Accessibility to as many users as possible – ensuring the site has a simple address; registering it on main search engines so it can be found easily; designing it to be viewable with low specification screens and software; ensuring it is quick to download.
- Prioritising fast access to rich information – the site should be clearly organised so users can find what they are looking for quickly and easily; the information should be available as downloadable pdf format documents, where possible.
- Visual appeal – strong visual identity through logos, use of colours etc. without limiting the clarity, speed and simplicity
- Developing as an ongoing resource
- Interactive content, exploiting the unique strengths of websites

ANNEX 1: MEMBERSHIP OF INTER-MINISTERIAL WORKING GROUP (IWG)

*(Note: * indicates designated lead ministry for managing the OP)*

Central Office for Development Strategy and Coordination of EU Funds (CODEF)

- *Ms Nataša Mikuš, Deputy State Secretary (Chair, IWG)*
- *Mr. Vjeran Bašić, Head of Section*
- *Mr Dalibor Dvorny, Expert Assistant*

Ministry of the Sea, Tourism, Transport and Development (MSTTD)*

- *Mr. Mate Jurišić, Assistant Minister*
- *Mr. Dražen Antolović, Senior Advisor*

Ministry of Environmental Protection, Physical Planning and Construction (MEPPPC)

- *Ms. Anita Gulam, Advisor*

Ministry of Foreign Affairs and European Integration (MFAEI)

- *Ms. Željka Babić, Expert Assistant*

Central Bureau of Statistics

- *Ms. Edita Omerzo, Advisor*

CARDS 2003: Support to National Development Planning

- *Mr Franz Goetz, External Expert Consultant*

ANNEX 2: INDICATIVE LIST OF PROJECTS AND THEIR IDENTIFICATION CARDS

Project number	Project name	Measure	Estimated value of projects in Euros
	PRIORITY AXIS 1		
1	Zagreb Main Station Signalling and Interlocking System	Measure 1.2	17,900,000
2	Line Rehabilitation Okučani to Novska Section	Measure 1.1	38,500,000
3	Line Rehabilitation Novska to Dugo Selo Section	Measure 1.1	135,000,000
4	Line Rehabilitation Zaprešić to Savski Marof Section	Measure 1.1	25,000,000
	PRIORITY AXIS 2		
5	Rehabilitation and Improvement of the Sava River Waterway	Measure 2.1	40,000,000
6	Reconstruction of the Port of Vukovar – New Port East	Measure 2.1	40,000,000

Project No: 1		Priority Axis: 1		Measure No.: 1.2	
Project location: Zagreb					
1. Project name		Zagreb Main Station Signalling and Interlocking System			
2. Investment value (estimated)		17,900,000 EUR			
3. Description of main project components and/or activities		<ul style="list-style-type: none"> • installation of the new electronic signalling equipment on the Zagreb Main Station line, and the neighbouring branching point Trešnjevka including removal of the old equipment • installation of the new equipment for control of the inter-station distance between Zagreb Main Station and Zagreb West Station including removal of the old equipment • replacement of the old outdoor safety elements and cables, and construction of the interface to the neighbouring fail-safe signalling equipment • upgrade and rehabilitation of telecommunications to support the new signalling and interlocking system • minor track works on adjustment of the existing station tracks and adjustment of overhead line equipment • adaptation of the existing equipment building 			
4. Description of main project objectives and expected results		<ul style="list-style-type: none"> • to replace the almost 70 years old relay interlocking system with the new generation of electronic signalling equipment in one of the biggest and busiest railway stations in Croatia. • expected results are <ul style="list-style-type: none"> – Improved safety and reliability of the signalling and interlocking equipment – Maintenance cost savings – Increase of the speed of trains, and capacity of the station 			
5. Month and year of start of project implementation		06/2008	6. Month and year of end of project implementation		12/2010
				7. Project duration (months)	30
8. Readiness of basic project documentation					
Document type	status	status description	completion date	comment	
Pre-feasibility study	<input type="checkbox"/>	n/a	n/a	Not necessary for a reconstruction / upgrading project	
Feasibility study (with cost-benefit analyses which includes economic and financial analysis)	<input type="checkbox"/>	in progress	06/2007	The study commissioned from a local company. Due to be delivered beginning of July 2007	
EIA study	<input type="checkbox"/>	in progress	07/2007	For an reconstruction / upgrade project full EIA procedure not required Environmental protection report will enable the determination by the competent national authority	
Tender documents	<input type="checkbox"/>	in progress	12/2007		
Other (specify)	<input type="checkbox"/>				
9. Status of project design documentation and permits					
Documentation type	Status (tick box)	status description (none/in progress/completed)	completion date	comment	
Project part 1 – Signalling and Interlocking					
Conceptual design	<input type="checkbox"/>	n/a	n/a		

Preliminary design	<input type="checkbox"/>	n/a	n/a	
Main design	<input checked="" type="checkbox"/>	completed	05/2007	
Final design	<input type="checkbox"/>	none		To be developed by the Contractor under FIDIC yellow book
Location Permit	<input type="checkbox"/>	n/a	n/a	Not applicable
Building Permit	<input type="checkbox"/>	none	12/2007	
Project part 2 – Telecommunications				
Conceptual design	<input type="checkbox"/>	n/a	n/a	
Preliminary design	<input type="checkbox"/>	n/a	n/a	
Main design	<input type="checkbox"/>	n/a	n/a	
Final design	<input type="checkbox"/>	none		To be developed by the Contractor under FIDIC yellow book
Location Permit	<input type="checkbox"/>	n/a	n/a	Not applicable
Building Permit	<input type="checkbox"/>	n/a	n/a	Not applicable
Other – Technical requirements	<input type="checkbox"/>	in progress	9/2007	To be determined by technical department of the beneficiary
Project part 3 – Civil Engineering-Track				
Conceptual design	<input type="checkbox"/>	n/a	n/a	
Preliminary design	<input type="checkbox"/>	n/a	n/a	
Main design	<input checked="" type="checkbox"/>	completed	2006	
Final design	<input type="checkbox"/>	n/a	n/a	Not needed
Location Permit	<input type="checkbox"/>	n/a	n/a	Not applicable
Building Permit	<input type="checkbox"/>	n/a	n/a	Not applicable
Project part 4 – Civil Engineering-Building				
Conceptual design	<input type="checkbox"/>	n/a	n/a	
Preliminary design	<input type="checkbox"/>	n/a	n/a	
Main design	<input type="checkbox"/>	n/a	n/a	
Final design	<input type="checkbox"/>	none		To be developed by the Contractor under FIDIC yellow book
Location Permit	<input type="checkbox"/>	n/a	n/a	Not applicable
Building Permit	<input type="checkbox"/>	n/a	n/a	Not applicable
Other – Technical requirements	<input type="checkbox"/>	completed		Determined in the main design for Signalling and Interlocking
10. Description of the land ownership status: Within the existing infrastructure – no land acquisition needed.				
11. Describe current project status	<p>Zagreb Main Station is the main railway junction for inter-city and long distance passenger and freight transport on the X and Vb Corridors. It is equipped with relay fail-safe signalling equipment, which was installed in 1940. Some parts of this equipment were replaced in the meantime.</p> <p>The speed within the station is currently reduced to 30 km/h, due to the condition of signalling equipment.</p> <p>The spare parts for such obsolete equipment are hard to obtain, which makes the technical maintenance very difficult and expensive.</p>			
12. Name of final beneficiary	Croatian Railways Infrastructure	13. Name of Operator	Croatian Railways Infrastructure	

14. Sources of financing			
National component (including final beneficiary)	IFI (EIB)	Other donor (specify)	Proposed IPA grant
4.5 M EUR-.....EUR-.....EUR	13.4 M EUR
15. Additional Comments:	Replacement of the relay fail-safe signalling equipment is the first phase of the reconstruction of the Zagreb Main Station and the prerequisite to the further reconstruction of the station.		

Project No: 2		Priority Axis: 1		Measure No.: 1.1	
Project location:		County: Sisak - Moslavina			
1. Project name	Line Rehabilitation Okučani to Novska Section				
2. Investment value (estimated)	38.500.000 EUR				
3. Description of main project components and/or activities	<ul style="list-style-type: none"> • track overhaul of the 19,5 km double track line with replacement of the permanent way material • reconstruction of station tracks in Okučani • rehabilitation of the Rajić halting-place • rehabilitation of the substructure, culverts and drainage system, • installation of ETCS system • adjustment of overhead line equipment 				
4. Description of main project objectives and expected results	<ul style="list-style-type: none"> • to achieve speed of 160 km/h • to increase line capacity • to decrease maintenance costs 				
5. Month and year of start of project implementation	06/2009	6. Month and year of end of project implementation	06/2011	7. Project duration (months)	24
8. Readiness of basic project documentation					
Document type	status	status description	completion date	comment	
Pre-feasibility study	<input type="checkbox"/>	n/a	n/a	not necessary for an reconstruction / upgrade project	
Feasibility study (with cost-benefit analyses which includes economic and financial analysis)	<input type="checkbox"/>	none	09/2008	To be proposed for financing / reallocation under ISPA measure <i>IPA Project Pipeline Preparation (Transport)</i>	
EIA study	<input type="checkbox"/>	none	09/2008	To be proposed for financing / reallocation under ISPA measure <i>IPA Project Pipeline Preparation (Transport)</i>	
Tender documents	<input type="checkbox"/>	none	10/2008		
Other (specify)	<input type="checkbox"/>				
9. Status of project design documentation and permits					
Documentation type	Status (tick box)	status description (none/in progress/completed)	completion date	comment	
Project part 1 – Civil, Track & Electrification					
Conceptual design	<input type="checkbox"/>	n/a	n/a		
Preliminary design	<input checked="" type="checkbox"/>	in progress	09/2007	Only for the reconstruction in Okučani	
Main design	<input type="checkbox"/>	n/a	n/a		
Final design	<input checked="" type="checkbox"/>	in progress	01/2008		
Location Permit	<input type="checkbox"/>	none	12/2007	Only for the reconstruction in Okučani	
Building Permit	<input type="checkbox"/>	none	06/2008		

Project part 2 – Signalling & Telecommunications				
Conceptual design	<input type="checkbox"/>	n/a	n/a	
Preliminary design	<input type="checkbox"/>	in progress	09/2007	Only for the reconstruction in Okučani
Main design	<input type="checkbox"/>	n/a	n/a	
Final design	<input type="checkbox"/>	in progress	01/2008	
Location Permit	<input type="checkbox"/>	none	12/2007	Only for the reconstruction in Okučani
Building Permit	<input type="checkbox"/>	none	06/2008	
Other	<input type="checkbox"/>			
10. Description of the land ownership status: Within the existing infrastructure – no land acquisition needed.				
11. Describe current project status	<ul style="list-style-type: none"> • double-track line for both passenger and freight transport • track gradient up to 6‰ and horizontal alignment that allows the speed up to 160 km/h, with the exception of a curve on the exit of the railway station Okučani where max speed is 100 km/h, • last overhaul in period 1980-1981; due to the poor condition of the track the speed is reduced to 120 km/h • category D4: maximum permissible axle load 22.5 t/axle, i.e. 8 t/m • clearance gauge: UIC GC • electrified with AC 25kV/50Hz system • breaking distance: 1500 m 			
12. Name of final beneficiary	Croatian Railways Infrastructure	13. Name of Operator	Croatian Railways Infrastructure	
14. Sources of financing				
National component (including final beneficiary)	IFI (EIB)	Other donor (specify)	Proposed IPA grant	
9.6 M EUR-.....EUR-.....EUR	28.9 M EUR	
15. Additional Comments:	<p>The capacity of this section was under-utilised in 2005 – utilisation of the section was 22 %. Despite the low utilisation of capacity on this section, the average speed was reduced in 2006 due to the poor track condition and it will be reduced further, if the line is not rehabilitated; therefore the overhaul of this line section is necessary on a long term basis</p> <p>In addition, the intervention needed to achieve these speeds is rather simple, no land acquisition is expected and the project preparation (technical design, permits) can be finalised in a shorter time period than for the single-track sections. Hence, this project is proposed for implementation before the single-track sections.</p>			

Project No: 3	Priority Axis: 1	Measure No.: 1.1
Project location:	Counties: Zagreb, Sisak - Moslavina	
1. Project name	Line Rehabilitation Novska to Dugo Selo Section	
2. Investment value (estimated)	135.000.000 EUR	

3. Description of main project components and/or activities	<ul style="list-style-type: none"> • 3 phases: I. Novoselec – Dugo Selo 27.1 km II. Kutina – Novoselec 27.7 km III. Novska – Kutina 26.5 km • track overhaul of the 81.3 km single track line including reconstruction of station tracks • reconstruction of sections of curved track to increase speed to 160 km/h • rehabilitation of the substructure, culverts and drainage system, • replacement of level crossings with bridges on a higher rank state roads, rehabilitation of other level crossings • replacement of the relay signalling equipment with electronic equipment and installation of ETCS system • centralised traffic control system covering route from Okučani to Dugo Selo including CTC centre in Zagreb to manage traffic operations from Slovenian border to a point west of Vinkovci • upgrade of telecommunication system including the introduction of new GSM-R system • adjustment of overhead line equipment 				
4. Description of main project objectives and expected results	<ul style="list-style-type: none"> • increase speed to 160 km/h • introduce interoperability through ETCS • increase line capacity • reduce maintenance costs • reduce number of employees 				
5. Month and year of start of project implementation	3/2010	6. Month and year of end of project implementation	12/2013	7. Project duration (months)	Up to 3 years per phase
8. Readiness of basic project documentation					
Document type	status	status description	completion date	comment	
Pre-feasibility study	<input type="checkbox"/>				
Feasibility study (with cost-benefit analyses which includes economic and financial analysis)	<input type="checkbox"/>	none	12/2008	To be proposed for financing under IPA measure 1.1	
EIA study	<input type="checkbox"/>	none	12/2008	To be proposed for financing under IPA measure 1.1	
Tender documents	<input type="checkbox"/>	none	6/2009		
Other (specify)	<input type="checkbox"/>				
9. Status of project design documentation and permits					
Documentation type	Status (tick box)	status description (none/in progress/completed)	completion date	comment	
Conceptual design	<input type="checkbox"/>	n/a	n/a		
Preliminary design	<input type="checkbox"/>	none	10/2008	To be proposed for financing under IPA measure 1.1	
Main design	<input type="checkbox"/>	none			
Final design	<input type="checkbox"/>	none	5/2009	To be proposed for financing under IPA measure 1.1	
Location Permit	<input type="checkbox"/>	none	1/2009		

Building Permit	<input type="checkbox"/>	none	11/2009	
Other	<input type="checkbox"/>			
<p>10. Description of the land ownership status: Approximately 90% within the existing corridor – NO land ownership issues. Land acquisition needed in several locations where major reconstruction of sections of curved track or extension of station tracks is planned.</p>				
11. Describe current project status	<p>Overall characteristics</p> <ul style="list-style-type: none"> • single-track line for both freight and passenger transport • track gradient of up to 5% and horizontal alignment that allows the speed of maximum 130 km/h with the exception of individual curves which limit the speed predominantly on the entrance or exit of the railway stations • last overhaul during 1979-1986 period (Novska station in 1971) and due to the bad condition of the track the speed has been reduced to 70/80 km/h • category D4: maximum permissible axle load 22.5 t/axle, i.e. 8 t/m • clearance gauge: UIC GC • electrified with AC 25kV/50Hz system • relay fail-safe signalling equipment in stations installed in 1960-s • interlocking equipment on interstation distances is automatic block; breaking distance 1000 m. <p>Novoselec – Dugo Selo stations: Dugo Selo Ivanić Grad and Novoselec</p> <p>Kutina – Novoselec stations: Ludina, Popovača, Moslavačka Gračenica and Kutina</p> <p>Novska - Kutina Stations: Banova Jaruga, Lipovljani and Novska</p>			
12. Name of final beneficiary	Croatian Railways Infrastructure	13. Name of Operator	Croatian Railways Infrastructure	
14. Sources of financing				
National component (including final beneficiary)	IFI (EIB)	Other donor (specify)	Proposed IPA grant	
33.8 M EUR-.....EUR-.....EUR	101.2 M EUR	
15. Additional Comments:	<p>The capacity utilisation on this section in 2005 was up to 63%. With the further deterioration of track condition and increase in traffic volumes this single-track section from Novska to Dugo Selo will soon become a bottleneck of the Corridor X in Croatia. The investment proposed under this IPA measure will provide expansion of the existing capacity of the line to accommodate the forecast increases in traffic over the next 10-15 years period, after which time track duplication will have to be considered.</p>			

Project No: 4		Priority Axis: 1		Measure No.: 1.1	
Project location:		County: Zagreb			
1. Project name		Line Rehabilitation Zapresic to Savski Marof Section			
2. Investment value (estimated)		25,000,000 EUR			
3. Description of main project components and/or activities		<ul style="list-style-type: none"> • track overhaul of the 7.5 km double track line with replacement of the permanent way material • reconstruction of station tracks in Zapresic and Savski Marof • rehabilitation of the substructure, culverts and drainage system, • replacement of level crossings with bridges on higher rank state roads, rehabilitation of other level crossings • replacement of the relay fail-safe signalling equipment with electronic equipment which will be remotely controlled from the Central Traffic Control centre in Zagreb and fitted with ETCS system • re-positioning of signals to enable the speed of 160 km/h • upgrade of the telecommunication system (including the installation of new GSM-R system) and adjustment to the new Centralised Traffic Control System • adjustment of the overhead line equipment 			
4. Description of main project objectives and expected results		<ul style="list-style-type: none"> • increase speed to 160 km/h • introduce interoperability through ETCS • increase line capacity • reduce maintenance costs • reduce number of employees 			
5. Month and year of start of project implementation		9/2010	6. Month and year of end of project implementation		7/2013
			7. Project duration (months)		34
8. Readiness of basic project documentation					
Document type	status	status description	completion date	comment	
Pre-feasibility study	<input type="checkbox"/>	n/a	n/a		
Feasibility study (with cost-benefit analyses which includes economic and financial analysis)	<input type="checkbox"/>	none	10/2009	To be proposed for financing under IPA measure 1.1	
EIA study	<input type="checkbox"/>	none	10/2009	To be proposed for financing under IPA measure 1.1	
Tender documents	<input type="checkbox"/>	none	1/2010	To be proposed for financing under IPA measure 1.1	
Other (specify)	<input type="checkbox"/>				
9. Status of project design documentation and permits					
Documentation type	Status (tick box)	status description (none/in progress/completed)	completion date	comment	
Conceptual design	<input type="checkbox"/>	n/a	n/a		
Preliminary design	<input type="checkbox"/>	none	6/2008	To be prepared within ISPA TA Project pipeline preparation	
Main design	<input type="checkbox"/>	none	8/2009	To be proposed for financing under IPA measure 1.3: <i>Project Pipeline</i>	

				<i>Preparation</i>
Final design	<input type="checkbox"/>	none		
Location Permit	<input type="checkbox"/>	none	12/2008	
Building Permit	<input type="checkbox"/>	none	12/2009	
Other	<input type="checkbox"/>			
10. Description of the land ownership status: Land acquisition needed for station tracks extension / reconstruction.				
11. Describe current project status	<ul style="list-style-type: none"> • double-track line for both passenger and freight transport • track gradient up to 5‰ and the horizontal alignment that allows the speed up to 160 km/h, with the exception of the railway station Zapresic, • last overhaul in period 1972; due to the poor condition of the track the speed is reduced to 80/120 km/h • category D4: maximum permissible axle load 22.5 t/axle, i.e. 8 t/m • clearance gauge: UIC GC • electrified with AC 25kV/50Hz system • interlocking system between the state border and Savski Marof is interstation dependence (1 block between stations) and between Savski Marof and Zapresic automatic block • relay fail-safe signalling equipment is installed at the railway stations • breaking distance: 1000 m 			
12. Name of final beneficiary	Croatian Railways Infrastructure	13. Name of Operator	Croatian Railways Infrastructure	
14. Sources of financing				
National component (including final beneficiary)	IFI (EIB)	Other donor (specify)	Proposed IPA grant	
6.25 M EUR-.....EUR-.....EUR	18.75 M EUR	
15. Additional Comments:	The central point of this project is the reconstruction of the railway station Zaprešić that will enable the separation of passenger and freight traffic in the area of Zagreb junction through the future freight by-pass on the western entrance to Zagreb.			

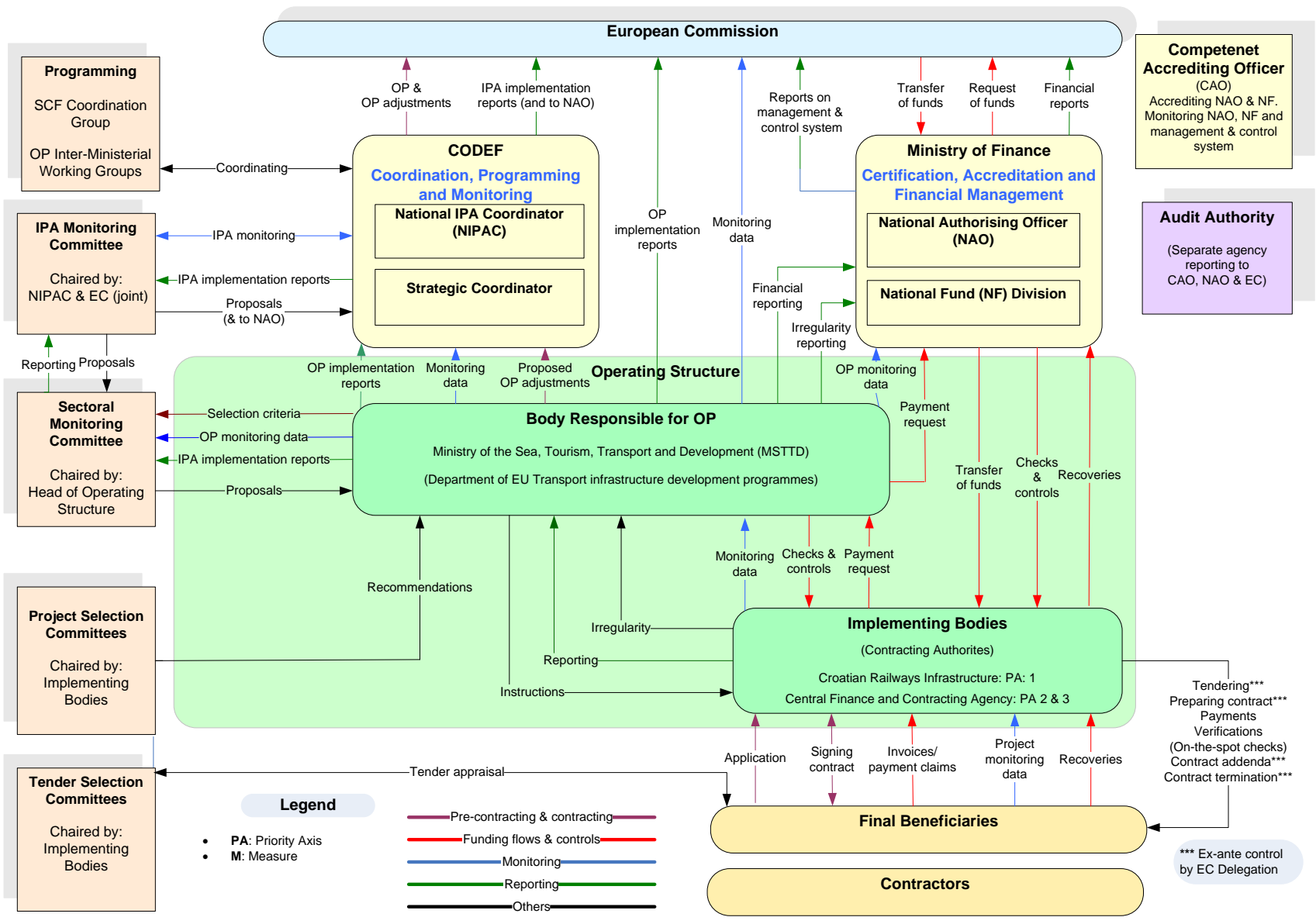
Project No: 5		Priority Axis: 2		Measure No.: 2.1	
Project location					
1. Project name	Rehabilitation and Improvement of the Sava River Waterway				
2. Investment value (estimated)	40.000.000 €				
3. Description of main project components and/or activities	<p>Activities:</p> <ol style="list-style-type: none"> 1. Execute dredging works to improve Sava fairway depth in Sections I - XIV 2. Construction of waiting areas and traffic guidance in 2 sharp river bends in Sections XI – XIII 3. Construction of waiting areas and traffic guidance in 6 sharp river bends in Section XII - XIV 4. Upgrading of the marking system and maintenance in arrear for the Captaincies of Sl. Brod and Sisak 5. Replacement of the Jasenovac and Galdovo bridges to guarantee minimum vertical clearance 				
4. Description of main project objectives and expected results	Rehabilitation and improvement of the Sava, to CEMT IV class				
5. Month and year of start of project implementation	06/2008	6. Month and year of end of project implementation	06/2010	7. Project duration (months)	24
8. Readiness of basic project documentation					
Document type	status	status description	completion date	comment	
Pre-feasibility study	YES				
Feasibility study (with cost-benefit analyses which includes economic and financial analysis)	NO	In progress	03/2008		
EIA study	NO	In progress	06/2008		
Tender documents	NO				
Other (specify)	---				
9. Status of project design documentation and permits					
Documentation type	Status (tick box)	status description (none/in progress/ completed)	completion date	comment	
Conceptual design	YES	Completed			
Preliminary design	YES	Completed			

Main design	NO			
Final design	NO			
Location Permit	NO	Upon adoption of EIA Study	12/2008	
Building Permit	NO			
Other (specify)	---			
10. Description of the land ownership status: State				
11. Describe current project status	Currently the project is in the Feasibility study and Environment study phase of development			
12. Name of final beneficiary	Agency for Inland waterways	13. Name of Operator		
14. Sources of financing				
National component (including final beneficiary)	IFI (specify)	Other donor (specify)	Proposed IPA grant	
10.0 M EUR-.....EUR-.....EUR	30.0 M EUR	
15. Additional Comments:	Project should be developed in close cooperation with Sava river commission and other members of Sava river commission. (Republic of Slovenia, Serbia and BiH)			

Project No: 6		Priority Axis: 2		Measure No.: 2.1	
Project location					
1. Project name	Reconstruction of the Port of Vukovar – New port East				
2. Investment value (estimated)	1. Phase - 22.000.000 €		2. Phase 18.000.000 €		
3. Description of main project components and/or activities	1.) <i>Infrastructure:</i> - Vertical key wall 700m, Reconstruction of rail tracks and port roads <i>Suprastructure:</i> - Multipurpose terminal (warehouse), Terminal for Weather protecting material handling, Bulk terminal (Loading and unloading equipment, conveyers) 2.) <i>Infrastructure:</i> - Vertical key wall 500m, Additional storage capacities				
4. Description of main project objectives and expected results	At the present moment port cannot response to growing transport demands. The reason is capacity limits and availability of operational surface. The port has significant importance in transit of goods for Bosnia and Herzegovina industry (80% of total cargo handled). The poor capacity of the port is as a result of the breakdown in use during the war and an insufficient level of renewal. The project objective is, therefore, to develop modern port facilities that will trigger economic development in Vukovar city and in the region. The final result will be increased port capacity up to 2.5 mil tonnes per year and improvement of operational safety.				
5. Month and year of start of project implementation	01/2008	6. Month and year of end of project implementation	01/2012	7. Project duration (months)	48
8. Readiness of basic project documentation					
Document type	status	status description	completion date	comment	
Pre-feasibility study	YES				
Feasibility study (with cost-benefit analyses which includes economic and financial analysis)	YES				
EIA study	YES			Partially (Included in Feasibility study. Separate EIA study is needed according to Croatian legislation in design phase)	
Tender documents	NO				
Other (specify)	---				
9. Status of project design documentation and permits					
Documentation type	Status (tick box)	status description (none/in progress/completed)	completion date	comment	
Conceptual design	NO	In progress	03/2008		
Preliminary design	NO				

Main design	NO			
Final design	NO			
Location Permit	NO			
Building Permit	NO			
Other (specify)	---			
10. Description of the land ownership status: State ownership – Partially (80%) – 20% in process of dispossession.				
11. Describe current project status	Currently, the project is in stand-by phase, as adequate capacity for the design and engineering of the project does not, in the present moment, exist.			
12. Name of final beneficiary	Port Authority Vukovar	13. Name of Operator		
14. Sources of financing				
National component (including final beneficiary)	IFI (specify)	Other donor (specify)	Proposed IPA grant	
3.0 M EUR	18.0 M EUR	7.0 M EUR	12.0 M EUR	
15. Additional Comments:				

ANNEX 3: DIAGRAM OF THE TOP INSTITUTIONAL STRUCTURE



ANNEX 4: SEE CORE REGIONAL NETWORK ACTION PLAN

Seq	Mod	Ranked (MCA)	Cor Route	Project Name	Pre.-Cod	Location	Inter Type	Km	Cost Meur	Current Status
1	RD	1	Cor X	Completion of Belgrade bypass, Sector 1-3: Dobenovci-Ostružnica	SERRDO17.2	SER	N	17.0	7.5	CD/FS
	RD	3	Cor X	Completion of Belgrade bypass, Sector 4: Ostružnica-Orlovača	SERRDO17.3	SER	N	8.00	24	CD/FS
	RD	0	Cor X	Compl. of Belgrade bypass, Sector 5-6: Orlovaca-Bubanj-Potok	SERRDO17.4	SER	N	14.0	136	CD/FS
NEW 2	RD	13	Cor X	Upgrading of road sec. Demir Kapija-Udovo-Smokvice	MACRD008	MC	U	33	150	CD
3	RD	28	Cor Vc	Reconstruction of Šešljije-Šamac	BIHRD006	BiH	U	48	18.1	TR
	RD	37	Cor Vc	Compl of motorway, Sec Zenica/Donja Gračanica-Kakanj	BIHRD049	BiH	N	24.16	230	(FS)FS
	RD	30	Cor Vc	Compl of motorway, Sec Kakanj-Vlakovo (Sarajevo bypass)	BIHRD049 a	BiH	N	(45) 30	30	CD
	RD	27	Cor Vc	Construction of Mostar bypass, connected to Corridor Vc	BIHRD010	BiH	N	13	20	(TR)FS
4	RD	21	Cor VIII	Construction of Rogozhine bypass on Corridor VIII	ALBRD004	ALB	N	4.30	0.02	CD
5	RD	23	Cor VIII	Construction of motorway, Sec Deve Bair-Kriva Palanka	MACRD29	MAC	U	13.5	67.35	CD
	RD	35	Cor VIII	Construction of motorway, Sec Gostivar-Bukojčani	MACRD28	MAC	R	30	102.8	CD
6	RD	18	Route	Road rehabilitation (section: Debeli brijeg-Bar)	MONRD030	MCN	U	19	8	TR

			No. 1							
7	RD	4	Route No.2	Bypass Niksic	MONRD028	MCN	N	11	20	TR
13	RW	9	Cor X	Upgrading rail signalling and telecommunications along Cor X	MACRW022	MAC	U	37	6	(TR)PS
	RD RW	10	Route No.2 Cor X No.2 b	Reconstruction (section: Stepan polje-Gevgelija (Cor X) - Sluzime-Zgropolci-Demir Kapija)	MONRD038 MACRW025	MCN MAC	N R	28 69	42 150	(TR)PS
NEW 14 8	RW RD	15 29	Route No.2 Cor X	Reconstr/upgr to double track line Beograd-Nis/Belgrade-Resnik-Klenje-M. Ivacka-Consti of Brod na Drini (Foca)-Hum (Scepan M.Krsnjak, Plana polje)	SERRW022. 6 BIHRD021	SER BIH	N N	76 21	150 80	TR TR
	RW	15	Cor X	Reconstruction and modernisation of the line Nis-Presevo-Macedonian border	SERRW022. 9	SER	U	156	77.3	TR
15	RW	37	Route No.2 Cor X No.2 b	Rail track overhaul Savski Marof-Zagreb section Upgrading Hagi Hotit-Shkoder road	HRVRW028. ALBRD007	HRV	B	37	26.64	(TR)FS
	RW	25	Route No.2 Cor X No.2 b	Remote rail control traffic system Savski Marof-Zagreb-Tovarnik	HRVRW027	HRV	N	329	23.4	PS
10	RD	24	Route No.4 No.4	Eastern mini-bypass Podgorica	MONRD029	MCN	N	6.5	20	FS
	RW	19	Route No.4 No.4	Rehabilitation of Vrbnica-Podgorica-Bar railway line	MONRW013	MCN	R	167	25	TR
11	RD	36	Route No.4 No.4	Upgrading Milot-Morine road	ALBRD013	ALB	UN	(110)88	144.3	CD,FS
NEW 16	RW	8	Route No.4 No.4	Rehabilitation of Vrbnica-Podgorica-Bar/additional works	MONRW012	MCN	R	167	7	TR
NEW 12	RD	34	Route No.4 No.4	Kosovo sec (Pristina Region) of route No7 Br.Morina-Merdare to Danube riverbed restoration,5	KOSRD011a	KOS	N	14.	104.1	CD,FS
17	IW	5	Cor VII	Corridor X and Durres sec.A path, Vernelj Petres,Staklar,Mohovo,Beska	SERIW032-36	SER	R	14	11.40	TR
	AP	14	Airport	Functional improvement of airside at Belgrade Airport	SERAP003	SER	N	0	7.2	CD

NEW 18	AP	12	Airport	Modernisation of Nis Airport	SERAP066	SER	U	0	4.2	CD
19	AP	20	Airport	Split Airport: New Aircraft platform i.e.apron	HRVAP002	HRV	N	0	15	TR
20	AP	25	Airport	Rehabilitation of Pristina Airport	KOSAO001	KOS	R	0	31.40	FS
		22	Sea Port	Transport and Trade Integration (TTI), Port Ploce	HRVSP010	HRV	N	0	86	FS
21		32	Sea Port	Port of Dubrovnik: Construction of international passenger terminal	HRVSP011	HRV	N	0	20	FS
22		33	Sea Port	Reconstruction of Volujica Quay, port of Bay	MONSP011	MCN	R	0	10.5	TR

Source: MAP 2007-2011 volume 1, page 58

ANNEX 5: DETAILS ON PARTNERSHIP CONSULTATIONS

MINUTES OF MEETING HELD ON 15 MARCH 2007

CONSULTATIONS WITH PARTNER INSTITUTIONS IN TRANSPORT SECTOR REGARDING TRANSPORT OPERATIONAL PROGRAMME

The Ministry of the Sea, Tourism, Transport and Development organised a presentation of the Transport Operational Programme on 6 March 2007 in the premises of the Ministry, Prisavlje 3, Zagreb.

The meeting was hosted by Mr. Mate Jurišić, Assistant Minister (MSTTD) as a representative of the Directorate for Strategic Infrastructure Projects, the head of the IPA Operating Structure for the transport sector. Along with Mr. Jurišić, parts of presentation were also held by Mr. Dalibor Dvorny, Expert Assistant from Central Office for Development Strategy and Coordination of EU Funds as the central coordination body for IPA programme in Croatia, and Ms. Zrinka Ivanović Kelemen from Croatian Railways Infrastructure as the main final beneficiary.

Invited to the meeting were the representatives of the following partner organisations:

Institute of Transport and Communications, Zagreb
University of Zagreb, Faculty of Civil Engineering
University of Zagreb, Faculty of Transport and Traffic Sciences
Railwaymen Trade Union of Croatia
Railroad Engineer Trade Union of Croatia
Infrastructure Union of Croatian Railways
Technical Inspection of the Rolling Stock Trade Union
Croatian Railwaymen Trade Union
Union of Croatian Train Dispatchers
Agency for Inland Waterways

All of the invited partnership institutions sent their representatives to the meeting.

The scope of the meeting was to clearly present the multiple facets of the current version of the Transport OP, and moreover to explain to the partners their actual and future role in the programming process.

The presentation was divided in several parts; the introduction, an overview of the institutional setup for IPA, and a presentation of the actual project proposals. The hosts provided in-depth explanations concerning the Transport OP: IPA institutional setup, the institutions involved in drafting, the process of Inter-Ministerial Working Group approach, the hierarchy of consulted strategic documents, the OP template, priority axis, measures and finally project proposals.

The meeting then continued with a discussion of possible alternative project proposals as the partners suggested further projects related to investments in reconstruction and modernisation of rolling stock and investments in construction of distribution centres. After it was mutually understood that most of these ideas are not eligible for IPA co-financing the participants were satisfied with the explanation and therefore broadly supported the proposal for partial reconstruction of the railway line on the Corridor X, particularly the proposals regarding safety of the railway transport as the main priority.

The participants also expressed their support for similar future initiatives regarding project presentations.

Finally, the participants were given the possibility to submit, within a ten-day period, written remarks and proposals referring to the presented Operational Programme. Since no comments were received by the agreed closing date, we are of the opinion that the Operational Programme for Transport is fully endorsed.

Zagreb, on 15 March 2007

MINUTES OF MEETING HELD ON 13 JUNE 2007

CONSULTATIONS WITH ENVIRONMENT SECTOR REGARDING TRANSPORT OPERATIONAL PROGRAMME

The second consultation meeting with partners was held on June 13, 2007 at the premises of the Ministry of Sea, Tourism, Transport and Development, at Prisavlje 14, in Zagreb.

The meeting was attended by representatives of the press, radio and television, and by the representative of the environmentalist group GREEN ACTION (Friends of the Earth Croatia). Other NGO's were also invited, but their representatives did not attend the consultations. The invitations were distributed through personal e-mails and through dedicated environment protection networks "The Green Forum" and Croatian Environment PRESS Centre. The representatives of the Ministry, Croatian Railways Infrastructure and CODEF (Central Office for Development Strategy and Coordination of EU Funds) informed the persons present about preparation of the Operational Program for Transport 2007-2009.

The following day, information on the preparation of the TOP was given in the press, radio and television. On June 21, the environmentalist group "Green Action - Friends of the Earth Croatia" sent a letter to the Ministry with general comments highlighting minor damage to environment that would occur from traffic flows being oriented towards railway and river transport routes. In addition, Green Action is of the opinion that an environmental impact study should be prepared and that protection measures should be determined for the proposed railway rehabilitation sections, principally as, on some segments of the sections proposed for rehabilitation, the railway route is to be relocated to allow for an increase in the horizontal curve radii. Improvement of the Sava River navigation capabilities is acceptable if the existing eco-system is preserved to the maximum level possible. Green Action considers that it would be ideal if no technical interventions are made to the Sava River bed. However, they are aware that this is impossible and hence they ask for maximum protection measures, and for implementation of all relevant national and international laws.

Green Action supports the Vukovar Port construction incentive, but emphasises that the port extension work should be carried out in keeping with relevant national and international laws to ensure that the environment will be affected as little as possible during the port construction and during its subsequent use.

b) Amendment to the operational programme adopted by Commission Decision C(2010)3771 of 23 June 2010

The multi-annual operational programme "Transportation" is amended as follows:

1. On the cover page, the title of the programme is replaced by the following:

**"TRANSPORTATION OPERATIONAL PROGRAMME
INSTRUMENT FOR PRE-ACCESSION ASSISTANCE
2007HR16IPO002"**

2. On pages 60-71, the monitoring indicators presented in Tables 2-8 in Section 3.1 are replaced by the following:

Table 2 – Indicators for Priority Axis 1

	Definition	Type	Measurement unit	Baseline data	Data dates	Frequency of reviewing	Final target (by 2012)	Final target (by 2014)	Data source
1	Increased average train speed on the Corridor X	Result	km/h	70	2006	annually	103	103*	Croatian Railways Time-table
2	Improved passenger trains compliance with time table	Result	Minutes / train delayed	9	2006	annually	6	6*	Passenger interviews, Statistical yearbook of Croatian Railways
3	Increased freight volume	Result	Tonnes (1,000s, Tonne km (mil.)	2.691 939	2006	annually	3.495 1.353	3.495* 1.353*	Statistical yearbook of Croatian Railways

Table 3 – Monitoring indicators for Measure 1.1.

	Definition	Type	Measurement unit	Baseline data	Data dates	Frequency of reviewing	Final target (by 2012)	Final target (by 2014)	Data source
1	Km of track upgraded to achieve average speed of 160 km/h	Output	Track km	0	2007	annually	19.5	46,5	Project monitoring reports
2	Bridges and culverts rehabilitated to attain speed of 160 km/h	Output	Number	0	2007	annually	33	33*	Project monitoring reports
3	Catenary rehabilitated to attain speed 160 km/h	Output	Track km	0	2007	annually	19.5	46,5	Project monitoring reports
4	Project applications submitted with full set of documentation	Output	Number	0	2007	annually	2	4	Project monitoring reports

Table 4 – Monitoring indicators for Measure 1.2.

	Definition	Type	Measurement unit	Baseline data	Data dates	Frequency of reviewing	Final target (by 2012)	Final target (by 2014)	Data source
1	Installed and operational solid state signalling & interlocking system	Output	sets	0	2007	annually	1	1*	Project monitoring reports
1.a	New main & distant signals installed	Output	pcs	0	2007	annually	47	47*	Project monitoring reports
1.b	New shunting signals installed	Output	pcs	0	2007	annually	77	77*	Project monitoring reports
1.c	New electro-hydraulic point machines installed	Output	pcs	0	2007	annually	98	98*	Project monitoring reports

* Although the rehabilitation and reconstruction works on the section Dugo Selo – Novoselec are planned for the period 2010-2011 the indicators can be changed after the main design is finished and the requirements defined. Main design for the section DS-Novoselec are to be prepared under IPA 2007-2009 TOP

Priority axis 2 - Upgrading Croatia's inland waterway system

Table 6 – Monitoring indicators for Measure 2.1.

	Definition	Type	Measurement unit	Baseline data	Data dates	Frequency of reviewing	Final target (by 2012)	Final target (by 2014)	Data source
1	Projects ready for implementation with full set of documentation	Output	Number	0	2007	annually	2	4	Project monitoring reports
2	Project applications completed and submitted for EU funding	Output	Number	0	2007	annually	2	5	Project monitoring reports

Table 7 – Monitoring indicators Priority Axis 3

	Definition	Type	Measurement unit	Baseline data	Data dates	Frequency of reviewing	Final target (by 2012)	Final target (by 2014)	Data source
1	Staff in the national bodies capable of independently identifying, preparing and assessing project applications	Result	Number	0	2007	annually	6	6	MSTI
2	OP funds absorbed under operational Priority Axes	Result	%	0	2007	annually	100	100	MSTI

Table 8 – Monitoring indicators for Measure 3.1.

	Definition	Type	Measurement unit	Baseline data	Data dates	Frequency of reviewing	Final target (by 2012)	Final target (by 2014)	Data source
1	Training provided for the staff of public bodies	Output	Number	0	2007	annually	10	14	Project monitoring reports
2	Publicity 'events' organised (press conferences, seminars, TV / radio broadcasts)	Output	Number	0	2007	annually	10	14	CODEF / MMPI
3	Meetings of Monitoring Committees	Output	Number	0	2007	annually	10	14	CODEF / MMPI
4	Transport project applications assessed and submitted by the Operating structure	Output	Number	0	2007	annually	4	6	Project monitoring reports

3. On pages 84-87, "Chapter 4 – Financial Tables" is replaced by the following:

YEAR 2007	Public expenditure			IPA cofinancing rate
	Total Public expenditure	IPA Contribution	National Public Contribution	
	(1) =(2) + (3)	(2)	(3)	
	EUR	EUR	EUR	(%)
Priority Axis 1: Upgrading Croatia's rail transport system	15,288,530	12,995,250	2,293,280	85%
Measure 1.1: Line upgrading and modernisation	1,764,706	1,500,000	264,706	85%
Measure 1.2. Improvement of the safety and efficiency of railway operation	13,523,824	11,495,250	2,028,574	85%
Priority Axis 2: Upgrading Croatia's inland waterway system	4,411,765	3,750,000	661,765	85%
Measure 2.1. Modernisation and rehabilitation of river waterways and inland waterways	4,411,765	3,750,000	661,765	85%
Priority Axis 3: Technical Assistance	300,000	255,000	45,000	85%
Measure 3.1 Programme management and capacity building	300,000	255,000	45,000	85%
Total	20,000,295	17,000,250	3,000,045	85%

YEAR 2008	Public expenditure			IPA cofinancing rate
	Total Public expenditure	IPA Contribution	National Public Contribution	
	(1) =(2) + (3)	(2)	(3)	
	EUR	EUR	EUR	
Priority Axis 1: Upgrading Croatia's rail transport system	18,670,590	15,870,000	2,800,590	85%
Measure 1.1: Line upgrading and modernisation	16,400,295	13,940,250	2,460,045	85%
Measure 1.2. Improvement of the safety and efficiency of railway operation	2,270,295	1,929,750	340,545	85%
Priority Axis 2: Upgrading Croatia's inland waterway system	2,205,883	1,875,000	330,883	85%
Measure 2.1. Modernisation and rehabilitation of river waterways and inland waterways	2,205,883	1,875,000	330,883	85%
Priority Axis 3: Technical Assistance	300,000	255,000	45,000	85%
Measure 3.1 Programme management and capacity building	300,000	255,000	45,000	85%
Total	21,176,473	18,000,000	3,176,473	85%

YEAR 2009	Public expenditure			IPA cofinancing rate
	Total Public expenditure	IPA Contribution	National Public Contribution	
	(1) =(2) + (3)	(2)	(3)	
	EUR	EUR	EUR	
Priority Axis 1: Upgrading Croatia's rail transport system	21,465,000	18,245,250	3,219,750	85%
Measure 1.1: Line upgrading and modernisation	21,465,000	18,245,250	3,219,750	85%
Measure 1.2. Improvement of the safety and efficiency of railway op	0	0	0	85%
Priority Axis 2: Upgrading Croatia's inland waterway system	0	0	0	85%
Measure 2.1. Modernisation and rehabilitation of river waterways ar	0	0	0	85%
Priority Axis 3: Technical Assistance	300,000	255,000	45,000	85%
Measure 3.1 Programme management and capacity building	300,000	255,000	45,000	85%
Total	21,765,000	18,500,250	3,264,750	85%

YEAR 2010	Public expenditure			IPA cofinancing rate
	Total Public expenditure	IPA Contribution	National Public Contribution	
	(1) =(2) + (3)	(2)	(3)	
	EUR	EUR	EUR	
Priority Axis 1: Upgrading Croatia's rail transport system	24,044,119	20,437,500	3,606,619	85%
Measure 1.1: Line upgrading and modernisation	23,691,177	20,137,500	3,553,677	85%
Measure 1.2. Improvement of the safety and efficiency of railway op	352,942	300,000	52,942	85%
Priority Axis 2: Upgrading Croatia's inland waterway system	750,000	637,500	112,500	85%
Measure 2.1. Modernisation and rehabilitation of river waterways ar	750,000	637,500	112,500	85%
Priority Axis 3: Technical Assistance	264,706	225,000	39,706	85%
Measure 3.1 Programme management and capacity building	264,706	225,000	39,706	85%
Total	25,058,825	21,300,000	3,758,825	85%

YEAR 2011	Public expenditure			IPA cofinancing rate
	Total Public expenditure	IPA Contribution	National Public Contribution	
	(1) =(2) + (3)	(2)	(3)	
	EUR	EUR	EUR	
Priority Axis 1: Upgrading Croatia's rail transport system	24,750,001	21,037,500	3,712,501	85%
Measure 1.1: Line upgrading and modernisation	24,397,059	20,737,500	3,659,559	85%
Measure 1.2. Improvement of the safety and efficiency of railway op	352,942	300,000	52,942	85%
Priority Axis 2: Upgrading Croatia's inland waterway system	750,000	637,500	112,500	85%
Measure 2.1. Modernisation and rehabilitation of river waterways ar	750,000	637,500	112,500	85%
Priority Axis 3: Technical Assistance	264,706	225,000	39,706	85%
Measure 3.1 Programme management and capacity building	264,706	225,000	39,706	85%
Total	25,764,707	21,900,000	3,864,707	85%

YEAR 2007 - 2011	Public expenditure			IPA cofinancing rate
	Total Public expenditure	IPA Contribution	National Public Contribution	
	(1) =(2) + (3)	(2)	(3)	
	EUR	EUR	EUR	
Priority Axis 1: Upgrading Croatia's rail transport system	104,218,240	88,585,500	15,632,740	85%
Measure 1.1: Line upgrading and modernisation	87,718,237	74,560,500	13,157,737	85%
Measure 1.2. Improvement of the safety and efficiency of railway op	16,500,003	14,025,000	2,475,003	85%
Priority Axis 2: Upgrading Croatia's inland waterway system	8,117,648	6,900,000	1,217,648	85%
Measure 2.1. Modernisation and rehabilitation of river waterways ar	8,117,648	6,900,000	1,217,648	85%
Priority Axis 3: Technical Assistance	1,429,412	1,215,000	214,412	85%
Measure 3.1 Programme management and capacity building	1,429,412	1,215,000	214,412	85%
Total Years 2007-2011	113,765,300	96,700,500	17,064,800	85%

