

## Annex: Resources used to develop the ENSCC synthesis report

### Project Database

JPI Urban Europe has developed a project database which includes information on funded projects from the first six calls (2012-2017). The database includes the following information:

- Project name and respective call, call topic and Strategic Research and Innovation Agenda topic to which it is dedicated
- Project duration and research type
- Beneficiary names, country, types and funding

The structure of the project database allows for a social network analysis in which project partners are connected via projects. The social network charts in this report are based on the location of the project partners within each project. An analysis of the cities involved in the projects was also conducted using this project database.

### Qualitative Coding

The qualitative coding analysis is based on information from the annual reports of the 17 ENSCC projects. For 11 projects, the final reports were analysed while the latest available annual reports were considered for the remaining 6 projects. The reports were analysed using the MAXQDA computer-assisted qualitative data analysis software.

A thematic analysis was used to inductively code qualitative information from project reports into clusters of similar topics and conceptual categories and, subsequently, identify patterns and relationships between themes and identify relevant examples for the synthesis. The approach is based on the qualitative content analysis method below:

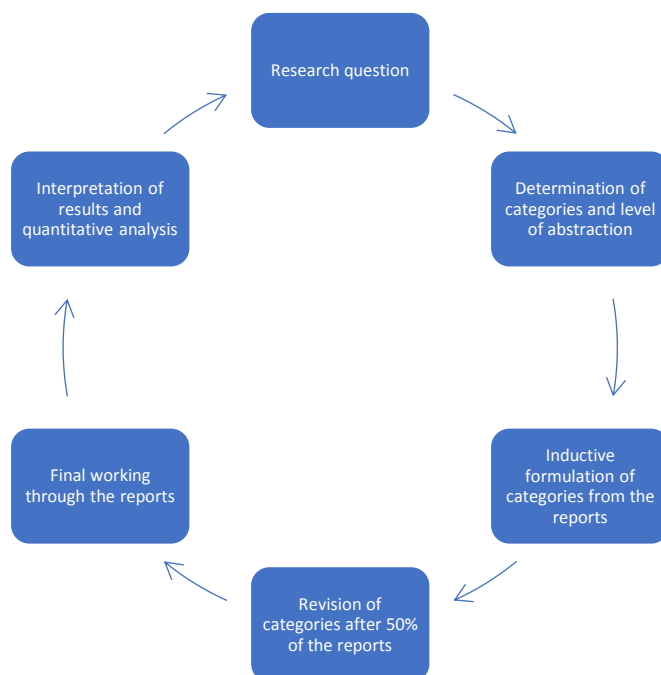


Figure: Step model of qualitative coding approach based on Mayring, Ph, (2000), *Qualitative Inhaltsanalyse. Grundlagen und Techniken*, Weinheim: Deutscher Studienverlag

The following categories were used for the qualitative coding: themes, activities, output, impact, challenges, stakeholder involvement and cooperation. In total 54 initial codes were formulated for the analysis of the reports.

After a first read through of approximately half of the reports, the data was evaluated and the set of codes adapted. While some new codes emerged, many were merged or dropped resulting in a final list of 34 qualitative codes. With the reliable set of codes a final working through the reports was performed.

The results were discussed in terms of overarching patterns to identify the themes presented in this report. Based on the inductively determined codes, quantitative analyses (frequencies of occurrences) were generated and charted.

This approach faces three main limitations due to the design and practice of project reporting:

- 1) Project reports are written by the coordinator: Project coordinators in ENSCC were research organisations with the exception of the *Smart Urban Isle* project. They aim to portray a comprehensive picture of the project, yet they represent only one side of the projects' consortia. The view of other types of project partners are reported indirectly.
- 2) The project coordinator has the incentive to illustrate the project in the best light possible which might lead to obfuscation of some details.
- 3) The report template is designed to efficiently cover the most important aspects of project management and outputs according to grant agreements and keep the burden of reporting low. They are not designed to provide success stories and publishable summaries of impacts.

The first two challenges are addressed by method triangulation involving interviews with other project partners and statistical analysis of the project database. The third challenge will be addressed in future calls by requiring a publishable report.

## Interviews

To learn more about the engagement of city authorities in JPI Urban Europe, interviews with five city authorities involved as project partners in JPI Urban Europe projects were conducted. The JPI UE project database was used to identify cities from different countries. Two of the five cities have been involved in ENSCC while the remaining three are partners in other JPI Urban Europe calls. The interviews were conducted from December 2018 to January 2019 by the Austrian Institute of Technology. The interviews on city engagement in JPI Urban Europe were conducted anonymously to allow cities to voice concerns and criticisms without the risk of being identifiable in the reporting.

To improve understanding of the user perspectives regarding project collaboration, additional interviews were conducted by the Royal Institute of Technology in Stockholm, Sweden with representatives from City of Stockholm (two administrative units working with environmental objectives and traffic planning) and with researchers at the Luleå University of Technology involved in the ENSCC projects *IP-Suntan*, *SURECITY* and *IntegrCiTy*.

In addition, interviews were conducted with members of the ENSCC Management Board and call secretariat to better understand the evolution of management institutions and strategic decisions regarding call themes, text and funding allocation.

## Interview Guidelines: City Engagement in JPI Urban Europe

### **Involvement of city in the JPI UE project**

- How is your city involved in the project?
- How was the cooperation established (i.e., who initiated, have you worked with your partners before, etc.)?
- How would you rate this form of engagement? How satisfied are you?
- How is the project embedded into the city administration (department, level in administration hierarchy)?
- Does your city receive funding its activities in the project by the national R&I funding agency? How do you rate the funding conditions?

### **Relevance of the project**

- To what extent is the project linked and/or embedded in your daily work? Is the problem in the project relevant to your city?
- What impacts do you expect from the project for your city? How would you describe the sustainability of activities and results?

### **Models for science-city cooperation**

#### **Involvement and experience in other science-city projects**

- Is your city also participating in other (national, transnational, European) R&I projects?
- How is the city engaged in such projects (project partner with funding, partner without funding, LOI, expert, other)?

#### **Success factors for science city cooperation**

- From your perspective as a city, what are success factors for science-city cooperation?
- Generally, what works well in R&I projects? What are challenges?
- How could the relevance of an R&I project for a city be ensured (during project development, implementation, ex-post)? What support could JPI UE or your national R&I funding agency provide in this regard?

#### **Engagement in events and networks**

- Have you attended a JPI UE event before? If yes, what was your experience / what benefits did you gain from attendance? If not, why not?
  - Types of JPI UE events: 1) high level policy events, 2) project meetings, 3) matchmaking meeting, 4) stakeholder consultation events for the SRA
- What benefits and added value should events offer to make them interesting for the city? E.g., get in touch with researchers, workshop format to work on certain issues/problems, visibility and outreach to policymakers, etc.

#### **Contact with JPI UE**

- Do you / did you have contact with the following national JPI UE contact persons:
  - GB Member (R&I Ministry or R&I Funding Agency)
  - R&I Funding Agency
  - Members of the Urban Europe Research Alliance (researcher network)

#### **General Benefits from connection to JPI UE**

- What benefits did you gain / do you expect from being connected to JPI UE?

## City Engagement

The following table lists all cities, municipalities and public city authorities related to the 17 ENSCC projects. Information for the table stems from 1) the project database, 2) annual project reports (project coordinators were asked to list involved stakeholders) and 3) the JPI Urban Europe project website<sup>[1]</sup> and 4) the ENSCC Project Results Catalogue<sup>[2]</sup>. The city stakeholders were categorised into 6 categories based on the information available in the project reports, however, for most cities mentioned in the reports no specific information was provided on their exact activities and roles:

- *Pilot / Demonstration*: City stakeholder as partner for piloting or testing project outputs. Often mentioned as implementing party in project reports.
- *Application partner*: Actively involved and co-created results as well as declared that they want to apply the results of the projects (e.g. include them in their city strategies).
- *Living Lab*: Forum for innovation, applied to the development of new products, systems, services, and processes in an urban area and employing working methods to integrate people into the entire development process as users and co-creators
- *Case study areas*: Case study research was performed in relation to the urban setting in the course of the project
- *Expertise Sharing*: City stakeholders who shared their expertise with the projects

Project Name	City / Municipality	Country	Entity Name	Type of Stakeholder	Pilot / Demonstration	Application partner	Living Lab	Case Study	Expertise Sharing
BREATHE	Amsterdam	NL	City Region of Amsterdam (CRA) (Stadsregio)	Municipality		●			
BREATHE	Barcelona	ES	Barcelona Municipality	Municipality					
BREATHE	Gothenburg	SE	City of Gothenburg	Policy Maker					
BREATHE	Gothenburg	SE	Office for Transport Planning	Policy Maker					
BREATHE	Istanbul	TR	Istanbul Metropolitan Municipality	Municipality					
CIVIC	Amsterdam	NL	Municipality of Amsterdam	Public Authority	●				
CIVIC	Brussels	BE	Brussels Mobility	Public Authority		●			
CIVIC	Stockholm	SE	City of Stockholm	Public Authority					
CODALoop	Amsterdam	NL	Local municipalities (Amsterdam North and Amsterdam East)	Local government			●		
CODALoop	Graz	AT	City of Graz	Municipality; project partner			●		
CODALoop	Kadıköy	TR	Kadıköy Municipality	District Municipality		●	●		
CODALoop	Kadıköy	TR	Kadıköy City Council (including "Kadikoy Climate Ambassadors")	District Municipality City Council		●			
DESENT	Helmond	NL	City of Helmond	Municipality					●
DESENT	Steijnker	NO	City of Steijnker	Municipality		●			●
DESENT	Weiz	AT	City of Weiz	Municipality		●			●
IntegrCiTy	Geneva	CH	Canton of Geneva	State-level authority	●				
IntegrCiTy	Hammarby Sjöstad	SE	Hammarby Sjöstad	no info	●				
IntegrCiTy	Stockholm	SE	City of Stockholm	Municipal authority					
IntegrCiTy	Vevey	CH	City of Vevey	Municipal authority	●				
IP-SUNTAN	Stockholm	SE	City of Stockholm	Municipality					
IP-SUNTAN	Vienna	AT	City Administration of Vienna (Municipal Department 65: Legal Affairs: Transport and Traffic, the Municipal Department 18: Urban Development and Planning)	Municipality				●	

me <sup>2</sup>	Amsterdam	NL	Municipality of Amsterdam	Municipality	●		●		
me <sup>2</sup>	Lisbon	PT	Lisbon Municipality Portugal	Municipality	●		●		
me <sup>2</sup>	Rotterdam	NL	Municipality of Rotterdam	Municipality					
me <sup>2</sup>	The Hague	NL	Municipality of The Hague	Municipality					
me <sup>2</sup>	Utrecht	NL	Municipality of Utrecht	Municipality					
PARENT	Amsterdam	NL	no info	Local authority	●		●		
PARENT	Bergen	NO	no info	Local authority	●		●		
PARENT	Brussels	BE	no info	Local authority	●		●		
SCITHOS	Amsterdam	NL	Municipality of Amsterdam	Government					
SCITHOS	Belgrade	Serbia	no info	no info					
SCITHOS	Darmstadt	DE	no info	no info					
SCITHOS	Gothenburg	SE	no info	no info					
SCITHOS	Stavanger	NO	no info	no info					
SCITHOS	Valencia	ES	no info	no info					
Smart Community	Basel	CH	Canton Basel-Stadt	Municipality				●	
Smart Community	Finland	FI	Municipality	Regional Authority					
Smart Community	Gdańsk	PL	Pomorskie Voivodeship	Regional Authority					
Smart Community	Gdynia	PL	Gdynia	Municipality					
Smart Community	Hamburg	DE	District of Altona, Hamburg	Municipality					
Smart Community	Helsinki	FI	Forum Virium Helsinki	Municipality					
Smart Community	Klaipėda	LT	Klaipėda	Municipality					
Smart Community	Korneuburg	AT	District of Korneuburg	no info				●	
Smart Community	Kosakowo	PL	Kosakowo	Municipality					
Smart Community	Kotka	FI	Kotka	Municipality					
Smart Community	Niederösterreich	AT	Amt der NÖ Landesregierung	Regional Transportation authority					
Smart Community	Riga	LV	Freeport of Riga Authority	Local authority					
Smart Community	Riga	LV	Riga Municipality	Municipality					
Smart Community	Södertälje	SE	Södertälje Municipality	Municipality					

<b>Smart Community</b>	Tallinn	EE	Tallinn Municipality	Municipality					
<b>Smart Community</b>	Turku	FI	Föli Turku Region Traffic	Local authority					
<b>Smart Community</b>	Turku	FI	Turku Municipality	Municipality					
<b>Smart Urban Isle</b>	Amsterdam	NL	Municipality of Amsterdam	Public		●			●
<b>Smart Urban Isle</b>	Haarlem	NL	Municipality of Haarlem	Public		●			
<b>Smart Urban Isle</b>	Iasi	RO	Municipality of Iasi	Public Administration		●			
<b>Smart Urban Isle</b>	La Laguna	ES	Municipalities of La Laguna	no info					
<b>Smart Urban Isle</b>	Santa Cruz de Tenerife	ES	Municipalities of Santa Cruz de Tenerife	no info					
<b>Smart Urban Isle</b>	Strem	AT	Municipality of Strem	Public		●			
<b>Smart Urban Isle</b>	Winterthur	CH	Municipality of Winterthur	Public Administration		●			
<b>SmarterLabs</b>	Bellinzona	CH	City of Bellinzona	Government			●		
<b>SmarterLabs</b>	Graz	AT	City of Graz	Government			●		
<b>SmarterLabs</b>	Maastricht	NL	City of Maastricht	Government			●		
<b>SMART-FI</b>	Karlshamn	SE	Municipality of Karlshamn Sweden	Local Municipality	●	●			
<b>SMART-FI</b>	Malaga	ES	Centro Municipal de Informática (Ayuntamiento de Malaga )	Local Municipality	●	●			
<b>SMART-FI</b>	Malatya	TR	Malatya Metropolitan Municipality	Metropolitan Municipality	●	●			
<b>SmartGov</b>	Amsterdam	NL	City of Amsterdam	no info		●			
<b>SmartGov</b>	Limassol	CY	City of Limassol	Municipality	●				
<b>SmartGov</b>	Quart de Poblet	ES	City of Quart de Poblet	Municipality	●				
<b>SmartGov</b>	Valencia	ES	Diputacio de Valencia	Municipality					
<b>SmartGov</b>	Vienna	AT	City of Vienna	no info		●			
<b>SPACERGY</b>	Almere	NL	Almere Municipality	Public Authority	●			●	
<b>SPACERGY</b>	Bergen	NO	Bergen Municipality	Public Authority	●			●	
<b>SPACERGY</b>	Bergen	NO	Public road administration	Public Authority					
<b>SPACERGY</b>	Brescia	IT	no info	no info			●	●	
<b>SPACERGY</b>	Provincie Flevoland	NL	Provincie Flevoland	Public Authority					
<b>SPACERGY</b>	Zurich	CH	Stadt Zürich Stv. (Energiebeauftragter, Departement der Industriellen Betriebe)	Public Authority	●			●	
<b>SPACERGY</b>	Zurich	CH	Kanton Zürich	Public Authority			●		

<b>SURECITY</b>	Almada	PT	City of Almada	Municipality	●				
<b>SURECITY</b>	Judenburg	AT	City of Judenburg	Municipality	●				
<b>SURECITY</b>	Malmö	SE	City of Malmö	Municipality	●				
<b>TRANS-FORM</b>	Geneva	CH	Geneva Direction Générale des Transports (DGT)	Municipality					●
<b>TRANS-FORM</b>	Geneva	CH	Transports Publics Genevois (TPG)	Operator of bus and tram services in Geneva					
<b>TRANS-FORM</b>	Karlshamn	SE	Municipality of Karlshamn	Municipality					
<b>TRANS-FORM</b>	Rotterdam	NL	Metropoolregio Rotterdam Den Haag (MRDH)	Metropolitan public transport planning authority					
<b>TRANS-FORM</b>	The Hague	NL	HTM	Public transport operator				●	●

<sup>[1]</sup> <https://jpi-urbaneurope.eu/projects/>

<sup>[2]</sup> <https://jpi-urbaneurope.eu/app/uploads/2019/04/ENSCC-Results-Catalogue-2019-1.pdf>



## Funding Agency Survey Questionnaire

A survey to the JPI UE Funding Agency Working Group was conducted between December 2018 and January 2019 to provide an overview of current funding and potential other support conditions for cities in the future. The survey was created by AIT in cooperation with the JPI Urban Europe Management Board.

### Support Opportunities for Cities

#### Types of Funded Entities

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1. Which of the following type of entities are eligible for funding for your Funding Agency given your current involvement in JPI Urban Europe? Please also use the box below for comments and specifications! *(multiple answers possible)*

- Researchers (as individuals)
- Universities and other educational institutions (as organisations)
- Other research organisations (e.g. RTO, public research organisations, private research organisations)
- Cities authorities/municipalities
- Businesses (e.g. SME, industry, consultants)
- Other public/governmental institutions and public service providers (e.g. hospitals, other public utilities, public infrastructure companies)
- Special interest groups (e.g. unions, chambers, inter-trade organisations)
- Other non-profit organisations (e.g. NGOs)
- I do not know / I cannot answer

Comments:

2. If city authorities/municipalities are eligible for funding, what role can they play? Please also use the box below for comments and specifications!  
(multiple answers possible)

Project Coordinator

Project Partner

Other, i.e.

I do not know / I cannot answer

Comments:

3. Is there any other entity in your country which supports cities/municipalities with funding?

Yes

No

4. Please specify the name of the entity in your country which supports cities/municipalities with funding!

**Opportunities for supporting city authorities/municipalities**

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5. In what ways can your Funding Agency **currently** support city authorities/municipalities in projects **in terms of funding**? Please also use the box below for comments and specifications! *(multiple answers possible)*

	Yes	No	I do not know
As project partner eligible for funding	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Civil servants of cities can be support as "individual experts"	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Cities can be supported indirectly via urban living labs (e.g as research infrastructure) for the benefit of cities	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
City authorities/municipalities can be supported through subcontracts within projects	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Comments:

6. What type of costs are reimbursed for civil servants of cities as "individual experts" ?

- Travel costs and subsistence are reimbursed in the project
- Working hours can be reimbursed
- Other, i.e.
- I do not know / I cannot answer

Comments:

7. What kind of **non-financial support** does your Funding Agency **currently** provide to engage city authorities/municipalities in projects (e.g. Letter of Intent, in-kind contributions of cities as project partners)? Please use the box below for specifications!

8. How could your Funding Agency better support and engage city authorities/municipalities in projects **in the future**? Please consider financial and non-financial means. Please use the box below for specifications!

### Communication Strategies

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9. Do you engage in communication activities with cities in your country relating to the following:

	Yes	No	I do not know
R&I agenda setting	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Promotion of R&I calls	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
R&I project execution	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Knowledge dissemination	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

10. Do you have established strategic contacts with

- individual city authorities/municipalities
- city networks and platforms
- Other, i.e.
- I do not know / I cannot answer

11. Which communication channels do you use to reach the city authorities/municipalities in your country? Please also use the box below for comments and specifications! (*multiple answers possible*)

- Newsletter
- Website
- Social media channels
- Videos
- Telephone
- E-mail
- Events
- Other, i.e.
- I do not know / I cannot answer

Comments:

12. Which communication channels do you use to reach your (potential) clients? Please also use the box below for comments and specifications!  
(multiple answers possible)

- Newsletter
- Website
- Social media channels
- Videos
- Telephone
- E-mail
- Events
- Other, i.e.
- I do not know / I cannot answer

Comments:

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### Main Challenges

13. What are the main three challenges your Funding Agency or your project proposers experience when seeking to involve city authorities/municipalities?

Challenge 1

Challenge 2

Challenge 3

14. How can JPI Urban Europe support your Funding Agency or your project proposers to engage cities in projects? Please also use the box below for comments and specifications! *(multiple answers possible)*

- providing information material on sustainable urbanisation for download dedicated to cities
- providing a partner search platform for cities
- establishing transnational network for cities (connecting national city networks)
- publishing success stories and good practice on engagement of cities in projects
- supporting the facilitation of events/meetings dedicated for cities
- Promoting common modalities for city engagement in JPI UE projects across participating funding agencies
- Adapt the call instruments to better match the cities circumstances
- Other, i.e.

Comments:

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**Information about you and your organisation**

15. What is the name of your agency/organisation

16. Please indicate the country/region in which your agency/organisation is based.

17. Please indicate your contact information in case any questions occur and the JPI UE Management Board would like to contact you.

Name

E-mail address