

JOINT CALL FOR PROPOSALS
FOR RESEARCH AND INNOVATION PROJECTS ON
URBAN TRANSFORMATION CAPACITIES

Co-funded by the European Commission (Grant N° 101003758)

Draft Call Text



Project No. 101003758

ERA-NET Cofund Urban Transformation Capacities

 <p>WHAT CAN YOU APPLY FOR?</p> <p>Transdisciplinary research and innovation projects that enable capacity building.</p>	 <p>WHO CAN APPLY?</p> <p>Researchers from universities and research institutes, practitioners from urban government authorities, and the private sector, from at least three countries participating in the call.</p>	 <p>HOW MUCH CAN YOU APPLY FOR?</p> <p>See the maximum for each partner in the national requirements.</p>
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Revisions of the call text

If the call text has been updated, the changes are tracked in the table below.

Date	Update in call text

Urban Transformation Capacities

The sense of urgency for a rapid sustainable transformation of our cities has never been greater. There is an increasing need to stake out pathways to reach acceptance of the need for urban transformation and enable capacity building. The current approaches to target urban challenges and meet different international goals are often fragmented and incoherent as they are based on different ambitions and understandings of how cities and urban areas operate. Research and innovation contribute with evidence on how to address urban dilemmas, while supporting capacity building for urban transformation and turning wicked issues into synergistic potential. This needs to be supported by aligning ongoing related initiatives and activities, as well as building upon existing experience and knowledge in order to achieve stronger synergies towards greater impact.

The ERA-NET Cofund Urban Transformation Capacities (ENUTC) is supported by the European Commission and funded under the Horizon 2020 ERA-NET Cofund scheme under grant agreement N°101003758.

Short summary of the call:

This call welcomes a broad range of research and innovation projects that enable capacity building for urban transformations. The projects should clearly build upon previous experiences of building capacity in practice, build upon existing knowledge of transformation capacities towards urban sustainability, resilience and liveability, and/or develop this knowledge further, and will be encouraged to use new technologies and tools aiming towards implementation of research and innovation and ensure possibilities for scaling up. Projects may also study transformation processes and transformative capacity building for increased knowledge and understanding of such processes. This will be applied for all three call topics as an overarching entry point.

All projects are expected to be cross-sectional and will be required to clearly engage stakeholders including the public sector, private sector, civil society and academia, and have a transdisciplinary approach, including relevant disciplines, such as natural sciences, social sciences, technical sciences, and applied fields, to support and implement integrative approaches and strategies to enhance urban transformation capacities.

Joint Programming Initiative (JPI) Urban Europe

JPI Urban Europe is an intergovernmental research and innovation programme addressing the challenges of sustainable urban development. Through coordinated research and innovation, JPI Urban Europe aims to create, discuss and make available knowledge and robust evidence for sustainable urban solutions and pathways. For this reason, JPI Urban Europe connects public authorities, civil society, scientists, innovators, business and industry to provide a new environment for urban research and innovation. Following a challenge-driven approach to address complex urban challenges, dilemmas, in four transition areas have been identified and laid out in the Strategic Research and Innovation Agenda (SRIA 2.0)¹. This call for research and innovation projects is an important activity to implement this agenda.

For more information, please see the JPI Urban Europe website: www.jpi-urbaneurope.eu.

The aim of JPI Urban Europe is to create attractive, sustainable and economically viable urban areas, in which European citizens, communities and their surroundings can thrive. JPI Urban Europe focuses on how to:

- Transform urban areas into centres of innovation and technology
- Ensure social cohesion and integration
- Reduce the ecological footprint and enhance climate neutrality
- Take advantage of technological solutions and realise efficient and sustainable urban systems and networks (mobility, energy, water, waste, resources, information and communication technologies, etc.).

¹ See <https://jpi-urbaneurope.eu/app/uploads/2019/02/SRIA2.0.pdf>

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1. Introduction to urban transformation capacities

The goal of this call is to generate transnational research and innovation projects to support capacity building for urban transformation and address the topics of urban circular economies; community-based developments and urban innovation ecosystems; and robust and resilient urban infrastructure and built environment.

Urban transformation capacities involve the process of building capacities such as skills, insights, tools, organisational and personal capabilities, working methods and processes, access to experiences and verifiable knowledge. Developing strategies to enhance urban transformation capacities also includes public sector innovation and new approaches to governance, building of new structures and procedures e.g. for envisioning and scenario development; for carrying out, evaluating and scaling up urban experiments; for collaboration of the public sector, private sector, academia and civil society; for integrating policies across sectors; and for learning, monitoring and reflection of change processes etc. Capacity building is also enabled and supported by using new technologies and tools, knowledge co-creation, urban experimental approaches at different scales (e.g. urban living labs, city labs, maker spaces), policy labs, and other kinds of systematic approaches for stakeholder including non-academic stakeholder involvement.

Transnational policy documents such as Transforming our world: the 2030 Agenda for Sustainable Development², the New Urban Agenda³ and the Urban Agenda for the EU⁴, stress the great urgency for a rapid sustainable transformation of cities and urban areas worldwide. They present ambitious and comprehensive targets addressing a wide variety of urban challenges in order to make cities and human settlements inclusive, safe, healthy, resilient and sustainable. Furthermore, they highlight the need to stake out pathways for an urban transformation that strengthen relevant stakeholders and actors' capacities to tackle the sustainability challenges ahead. This transformation requires **capacity building by and for all actors** involved in the transition to a sustainable future.

A key challenge in reaching Sustainable Development Goal (SDG) 11 Sustainable Cities and Communities⁵, the New Urban Agenda and the Urban Agenda for the EU is to overcome the gap between research and practice to achieve urban transformations and implement solutions in practice.

Current approaches to meeting these goals and challenges often address different sectors, scales and ambitions. Similarly, these approaches often stay within organisational silos. Implemented solutions might be optimal for a certain sector, but suboptimal and have consequences for the larger urban context.

This calls for comprehensive joint action by stakeholders from across the public sector, private sector, academia and civil society. Integrated approaches are essential for addressing the complexity of urban challenges, delivering urban change and developing efficient strategies towards a transformation to sustainable, resilient and liveable cities and urban areas. In order to facilitate substantial impact that can be

² See: <https://sustainabledevelopment.un.org/post2015/transformingourworld/>

³ See: <https://unhabitat.org/about-us/new-urban-agenda>

⁴ See: https://ec.europa.eu/info/eu-regional-and-urban-development/topics/cities-and-urban-development/urban-agenda-eu_en

⁵ See: <https://sdgs.un.org/goals/goal11>

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implemented in practice, interrelated aspects of urban systems – technological, economic, environmental, social, and cultural models and perspectives – need to be brought together.

The research and innovation projects funded by this call should build upon previous experiences of building capacity in practice, build upon existing knowledge of transformation capacities towards urban sustainability, resilience and liveability and/or develop this knowledge further.

Projects should therefore study and/or support capacity building using integrated approaches to achieve urban transformations towards sustainability, resilience and liveability in at least one of the three call topics, that are transition pathways identified as challenges:

- Urban circular economies
- Community-based developments and urban innovation ecosystems
- Robust and resilient urban infrastructure and built environment.

Innovation projects should clearly address scaling possibilities and include an implementation plan for actual impact, while research projects should bring new perspective to support and create urban transformation capacities.

In order to enable capacity building and underpin urban transformation pathways, it is imperative that projects involve relevant stakeholders, also being the main target groups for capacity building, that is the public sector, private sector, civil society and academia. Projects should include experimental approaches and/or be orientated towards development of tools, technologies, techniques and methods to support urban transformation.

1.1 Available budget and funding scheme

The total available budget for this call is approximately EUR 18M, including support from the European Commission through Horizon 2020.

The national/regional funding agencies, which are the direct beneficiaries of the European Commission grant under the ERA-NET Cofund ENUTC project, are not eligible for funding under this co-funded call.

Each national/regional funding agency will provide funds directly to their eligible beneficiaries in accordance to the agencies' rules and regulations.

An Annex showing the national and regional contribution that is available for this call from each funding agency and funding rules and guidelines for each national/regional funding agency will be included in the final version of this call text.

2. Scope and topics of the call for proposals

2.1 Aims, approaches and recommendations for proposals

The projects resulting from this call are expected to:

Focus on capacity building for a sustainable urban transformation and connect to earlier transnational, European, national and regional research and innovation actions

The projects resulting from this call are expected to enable capacity building for a sustainable urban transformation in research, public and private sectors, and society in general. To build capacity, projects are expected to:

- integrate and build upon previous experiences of building capacity in practice, build upon existing knowledge of transformation capacities towards urban sustainability, resilience and liveability and/or develop this knowledge further
- include experimental approaches and/or be orientated towards development of tools, technologies, techniques, and methods to support urban transformation
- be grounded in successful European (and global) research and/or innovation
- clearly build upon and make use of previous results to enable synergies with projects funded by (but not exclusively) JPI Urban Europe, Horizon 2020 or other transnational, national or regional programmes.

Innovation projects should clearly address scaling possibilities and include an implementation plan for actual impact, while research projects should bring new perspective to support urban transformation capacities.

Support integrated approaches and solutions for sustainable urban development, based on cutting edge transformative change

These integrated approaches and solutions are expected to be targeted towards at least one of the three call topics:

- Urban circular economies
- Community-based developments and urban innovation ecosystems
- Robust and resilient urban infrastructure and built environment.

Include trans-sectoral and transdisciplinary research and/or innovation approaches which make clear progress in tackling urban challenges and finding solutions

Relevant disciplines include but are not limited to for example natural sciences (biology, physics, geology and chemistry), social sciences (economics, geography, political science, psychology, sociology and gender studies), technical sciences (engineering and computer sciences), and applied fields such as transportation planning, logistics, traffic engineering, spatial planning and policy development.

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Include diversity (including gender dimension) or specific populations' considerations

Applicants are highly encouraged to integrate diversity considerations in submitted proposals, as well as underrepresented populations in the planned research/innovation. This includes not only the diversity distribution in the consortium, but also the inclusion of diversity perspectives and analysis in the research/innovation itself if it is relevant. A project is considered diversity (or gender) relevant when it concerns individuals or specific groups of people and/or when its findings may affect individuals or specific groups.

Involve relevant urban stakeholders

The local context and the involvement of urban stakeholders are of high importance for this call. Projects are expected to be cross-sectional involving actors from the public sector, private sector, academia and civil society.

Projects are expected to meet existing priorities, needs and challenges of urban government authorities (such as regional and local government institutions, municipalities and municipal organisations, city authorities, urban government, urban public administration as well as infrastructure and service providers):

- Projects are expected to be well connected to the 'day-to-day' work of urban government authorities by linking to ongoing processes and initiatives of urban government authorities as well as fitting into urban government authority strategies (contributing to aims and/or implementation). This means that projects must begin with an existing challenge or urban government authority project.
- Projects are expected to be relevant for urban government authorities and specify the reasons for urban government authority participation as well as the usefulness of outcomes through aligning with urban government authority needs to ensure matching priorities and impacts of research/innovation projects. Therefore, projects must be practice-based, and apply and demonstrate science into real-life urban settings.
- Urban government authorities are expected to be strongly involved in the co-creation and co-design, and in setting the goals and objectives of the project, ideally from proposal development stage, so that the project can sufficiently take the urban government authority perspective into account.
- Project outcomes are expected to be useful and practicable to be relevant for urban government authority officials. Ideally, they would be practice-based and adapted to needs and language of urban government authorities. Effective communication, i.e. 'translation' of complex science and technology concepts to risk-averse city decision makers is thus key.

2.2 Types of research and innovation activities to be supported

This call is open for proposals referring to a broad range of project types, from research to innovation (see definitions below).

Different funding agencies will have the possibility to fund different parts of the research and innovation (R&I) landscape. An annex to be included in the final version of the call text will indicate the types of activities that will be funded by each funding agency.



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The combination of different of research approaches within one project (with differentiation at work package level) is possible as long as involved funding agencies' eligibility rules are fulfilled. However, it is clear that the purpose, expected impact at the end of the project, level of involvement and role of stakeholders (e.g. the public sector, private sector, civil society and academia) in a project depends on the positioning with respect to R&I activities.

The assessment procedure of the proposals is built to take into account these differences in characteristics, goals and expectations: even if all R&I proposals will be evaluated with the same set of criteria, some sub-criteria will differ (see section 4.4) and the relative weighting between an academic expertise and a more practical expertise will also be adjusted.

The call text and particularly each of the challenges presented below call for proposals that belong to this broad range of R&I activities, depending on the issues.

While strategic and applied urban research are both focused on producing knowledge, "**urban innovation and implementation**" take things one step further, and promotes the actual creation or advancement towards new policies, practices, services, products or processes – such as integrated systems, tools, services and data – in such a manner that the first impact takes place during the project. Policies, practices, processes, services or products being developed could be of commercial value, but equally welcome is innovation directed at public governance, management, and operation. Urban innovation is always carried out in close collaboration with practitioners or other target audience.

Understanding of how cities function is required to influence policy and intervention. Achieving this influence through knowledge creation is often referred to as "**applied urban research**". Applied urban research in this context is about how city officials, inhabitants, practitioners, and others can influence and interact with a city, with a purpose of improving it or adapting it in some respect. In applied urban research there is good opportunity to involve representatives from non-academic institutions in the projects, to bring the practitioners' perspective in order to co-produce knowledge relevant for user stakeholders. Applied urban research is designed to be tangible and applicable to such a degree that the results are likely to have an impact on actual decisions and policy. Apart from publication in peer-reviewed journals, knowledge exchange activities such as policy briefings, policy seminars and other events targeted at stakeholders are important, as well as dissemination in popular media.

The term "**strategic urban research**" is defined as that which is driven by the desire to know, understand, and explain how cities function and interact across domains and sectors. Strategic urban research by this definition encompasses qualitative as well as quantitative approaches, and examples can be found in any academic discipline. The subject of this type of research can be an individual aspect of a city or a city in its entirety, or even a network of related cities. Strategic urban research can be theoretical, comparative or case specific. For strategic urban research, the prime goal is to expand on the common knowledge about how cities function. In line with this, it places a high value on traditional scientific method and publication in high ranking peer-reviewed journals.

See Annex B for further definitions of applied and strategic urban research as well as innovation.

2.3 Call topics for urban transformation capacities

In this call **capacity building for transformation** is related to three main topics, which address a wide variety of urban challenges:

- Urban circular economies
- Community-based developments and urban innovation ecosystems
- Robust and resilient urban infrastructure and built environment.

Projects are expected to address at least one of the three topics.

Topic 1: Urban circular economies

This implies functional urban design in support of circular systems, the use of nature-based solutions – that is actions for societal challenges that are inspired by processes and functioning of nature – for resource circularity and business models supporting circularity in resource use and waste management and for materials needed for smart city development.

Cities and urban areas are drivers of our societies' consumption of natural resources. In the linear ways in which most economies currently work, these resources are either consumed in urban activities or stored in the built environment. To achieve more sustainable cities and urban areas, there is an urgent need to develop sustainable urban circular economy models such as doughnut economies, with special attention to urban equity and justice, and sustainable, efficient and above all reduced use of our limited natural resources. New urban economies will have to move towards a long-term and sustainable transformation of society such as sustainable circular economy models including sustainable ways of using materials, products, services and natural resources, to achieve circular economies through non-toxic and circular cycles and mobilise a broad variety of urban stakeholders.

In recent times, urban areas have gone through significant socio-economic restructuring, following from ongoing digitalisation and technology development. As our cities become increasingly interconnected, this changes the ways in which urban actors can tackle environmental issues, demographic shifts and a changing financial climate. This interconnection of cities and regions to the global market has been highly visible during the COVID-19 crisis. Pertinent in these matters is also inter-city and peri-urban regional dynamics.

Following on from this, capacity must be built for a greater understanding of urban sustainable circular economies, and initiatives to realise these. This should be based on the physical and economic structure of how cities work, relate to physical stocks and productive assets, and how these are connected to global economic systems, but with clear integration of social and environmental issues as needed components of today's economy and sources of welfare. This must include consideration of inhabitants, decision makers and other stakeholders together with legal and regulatory related aspects.

Topic 2: Community-based developments and urban innovation ecosystems

This implies innovative neighbourhoods which enable social innovation and local entrepreneurs, inhabitant engagement and co-creation to support liveable, inclusive and attractive neighbourhoods.

It is a specific challenge to explore and build capacities for urban transformation, which are grounded in urban liveability. The transformation to a resource efficient society is of importance to everyone, and

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transition pathways therefore need to be anchored in all social groups. Cities need to be developed in a way that they remain attractive while still leaving no one behind and integrate the built environment with the socio-politics of urban spaces, including green and blue open spaces.

Innovations need to benefit all sectors of society while also addressing climate challenges. Whether they target for instance urban digitalisation, urban quality of life, urban adjustment to demographic ageing and public service innovation, innovations should promote social and political participation, and cater to the needs of social minorities. Sustainability requires interconnections with a sustainable circular economy and liveable urban development. Thereby, this topic is also aimed at projects tackling democratic deficits and 'antagonistic trajectories' in community development and functional urban areas.

The urban transitions pathways to be pursued here include local urban innovation ecosystems which support liveable urban areas, increase quality of life and benefit public health. This topic integrates aspects of cultural heritage and community-led development, as well as testing business models through disruptive innovation, civil society and social innovation approaches.

This also entails the challenge of how local urban innovation ecosystems are made resilient and sound in the face of global and 'intrinsic' emergencies and crises, such as the COVID-19 pandemic, volatile financial, natural and political events as well as environmental conditions.

Topic 3: Robust and resilient urban infrastructure and built environment

This implies an urban infrastructure and a built environment which can resist natural, environmental, social, economic and technological threats on smaller and larger scales based on efficient use of resources. It also implies a fair access to urban infrastructure and the built environment.

Infrastructure is the central interface between humans and nature. These technical systems facilitate the resource and energy flows needed to sustain our societies while at the same time they consume a lot of materials and energy for their construction, maintenance and upkeep. In this capacity, infrastructure is at the core of urban transformation and has a key role to play in sustainable urban transitions.

Additionally – and for the built environment as a whole – urban resilience may be understood as short and long-term capacity of resistance, adaptation and innovation in order to tackle natural, environmental, social, economic and technological threats and challenges as well as their consequences. In this context climate change adaptation and mitigation measures are central.

The specific challenges for this topic are to build capacities to develop and scale up prototypes and models in sociotechnical systems that connect a broad range of urban infrastructure and the built environment in a sustainable way. Capacity must be built to ensure robust and resilient infrastructure systems which offer equal accessibility and services for various local contexts and socio-economic groups.

Another important aspect is to ensure that urban infrastructure and the built environment in new sustainable and effective ways can become increasingly resilient towards natural, environmental, social, economic and technological threats and challenges. For a sustainable and circular approach, innovation is needed to be promoted along the entire value chain. This could for instance be done by testing theories of system transitions, the development of advanced systems analysis on system transitions or to develop new, adaptive strategies, policies, methods, tools and decision support to manage continuous changes on different scales, which affect the urban systems.

3. Eligibility criteria and guidelines for applicants

Some requirements are common for all applicants and all funding agencies.

In addition to these **general requirements**, there are **specific funding agency rules** which apply to applicants that claim funds from a specific funding agency (to be included in the final version of the call text). Applicants must pay careful attention to the relevant national funding rules and contact the relevant national contact person with any queries to avoid any issues related to national eligibility.

The term “proposal” is used both for the pre-proposal in the first stage of the selection procedure and the full proposal in the second stage.

3.1 Consortium: who can participate and apply

Each project proposal must be submitted by a project consortium consisting of at **least three eligible applicants from at least three participating countries**.

Applicants

Applicants are defined as organisations/institutions/companies (i.e. legal entities).

The Principal Investigator (PI) is defined as the person who is the lead investigator for an Applicant.

The Main Applicant coordinates the whole project.

In addition, a proposal must have at least two additional Co-applicants.

The proposal may also include Co-operation Partners, described below.

Each PI must only participate in a maximum of two proposals, and only once as the PI of a Main Applicant.

Only applicants eligible for funding from participating organisations⁶ from the following countries are eligible to apply as a **Main Applicant** or **Co-applicant**: Austria, Belgium, Bulgaria, Estonia, France, Latvia, Lithuania, the Netherlands, Norway, Poland, Portugal, Romania, Spain and Sweden.

Applicants can be organisations such as:⁷

- Urban government authorities (such as regional and local government institutions, municipalities and municipal organisations, city authorities, urban governments, urban public administrations, and infrastructure and service providers).
- Research organisations (universities, university colleges, research institutes or other authorities with research undertakings).
- Companies and stakeholders (from industry/large companies to small and medium enterprises), especially public utility companies (e.g. in the field of energy supply, other communal supply and disposal systems); infrastructure and service providers; real estate developers; investors; facility management providers; actors from the fields of energy, spatial and transport planning; transport authorities; entrepreneurs and innovators.
- Consumers (e.g. business enterprises and test households)
- Civil society.

⁶ See Annex A

⁷ Please note that a specific funding agency may not fund each type of organisation. If a partner is ineligible for funding, the partner can still participate as Co-operation Partner.

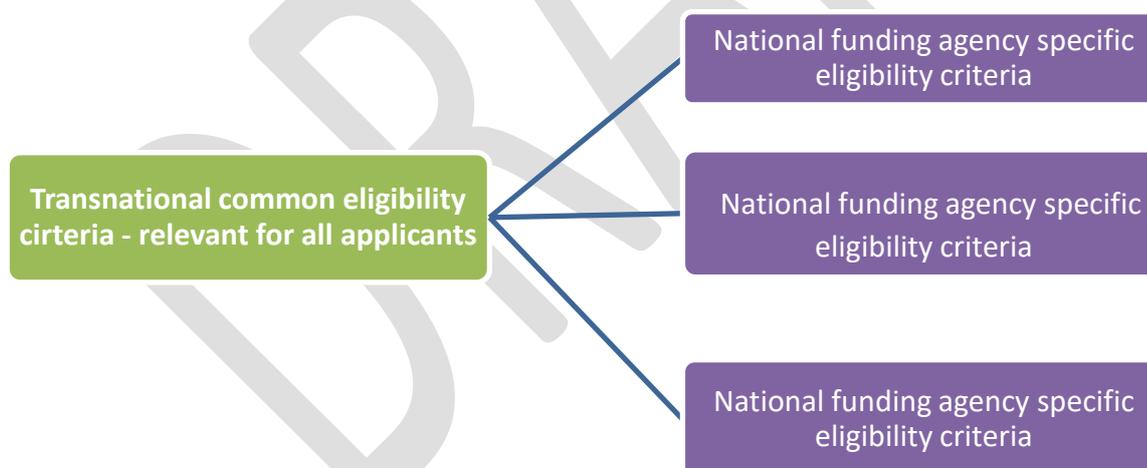
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Consortia must consist of partners active in different parts of the research and innovation system (i.e. strategic research, applied research, innovation/implementation) and across disciplines (such as natural sciences, social sciences, technical sciences, and applied fields). Consortia must include partners representing stakeholder/user groups, or if led by stakeholder such as an urban government authority should include representation from academia. As the focus of this call is on facilitating the implementation of research and innovation into applicable and sustainable solutions, **consortia must include at least one urban government authority partner**, either as an Applicant, Principal Investigator, Main Applicant, Co-applicant, or Co-operation Partner, depending on the national eligibility criteria. Please see the definitions and descriptions of roles in Figure 1 and Table 1.

This call includes both a set of **transnational requirements common for all applicants** (i.e. transnational eligibility criteria) as well as **national requirements** for applicants participating in a consortium (i.e. national eligibility criteria).

All funded partners in this call will be funded by their national funding agencies in accordance with their respective national eligibility criteria. Please note that a specific national agency may not be able to fund all types of organisations. The **national eligibility criteria for specific funding agencies will be included in the final version of the call text**, which will also contain links to their respective websites. Applicants are encouraged to contact the relevant national contact person at the national funding agency about questions concerning the national eligibility.

The transnational and national eligibility criteria are conceptually summarised in Figure 1, which also includes a practical example.



Example Consortium X:

- *Main applicant from Poland:* The common transnational eligibility criteria as well as eligibility criteria of the participating funding agency from Poland applies to the Main Applicant.
- *Co-applicant from Norway:* The common transnational eligibility criteria as well as eligibility criteria of the participating funding agency from Norway applies to the Co-applicant.
- *Co-applicant from the Netherlands:* The common transnational eligibility criteria as well as the eligibility criteria of the participating funding agency from the Netherlands applies to the Co-applicant.

Figure 1: Conceptualising of the transnational and national eligibility criteria

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Table 1: Definitions of roles in project consortium

Roles in project consortium	Definition and description of role
Applicant	Applicants are defined as organisations/institutions submitting a project application.
Principle Investigator (PI)	The Principal Investigator (PI) is defined as the person who is the lead investigator for an applicant. Therefore, a consortium has the same number of PIs as applicants.
Main Applicant	<ul style="list-style-type: none"> • Main Applicants are applicants eligible for funding included in the consortium and located in one of the countries participating in the call. • The Main Applicant is a person representing an applicant eligible for funding and submits a project proposal on behalf of consortium. • The Main Applicant is responsible for running and managing the project. • The Main Applicant will be the contact point for the programme on behalf of the whole consortium throughout the duration of the application procedure and project. • The Main Applicant is responsible for the administrative management of the complete project. • The Main Applicant is responsible for overseeing the project activities.
Co-applicants	<ul style="list-style-type: none"> • Co-applicants are applicants eligible for funding included in the consortium and located in one of the countries participating in the call. • There may be more than one Co-applicant from any one country. • If there is more than one Co-applicant from a country, one of them needs to be identified as the national consortium leader.
Co-operation Partners	<ul style="list-style-type: none"> • Co-operation Partners that are ineligible for funding from participating agencies, e.g. partners from countries not participating in this call, or ineligible to receive funding from a participating country, may be included in a project application as Co-operation Partners. • Co-operation Partners do not count toward the minimum of three eligible applicants from at least three different participating countries.
Project consortium	<ul style="list-style-type: none"> • Consortia need to be balanced between countries both in terms of number of partners and distribution of budget. • There is no limit to the total number of partners who may be involved in each project. However, proposals for projects submitted by consortia comprising applicants from approximately 3-4 funding agencies are expected.

3.2 What you can apply for

Project duration

The expected project duration is three years i.e. the project duration applied for may not exceed 36 months. The exact starting date may depend on the budget allocation (rules) of the specific funding agencies. The end date of a project should be harmonised for all applicants in the same consortium.

Funding

There are no fixed minimum or maximum limits for a project size.

There are national funding limits for the respective partners in the consortium. An annex in the final version of the call text will indicate the interval of funds available from each of the participating national funding agencies in this call and more information on the specific funding agencies' rules.

In the full proposal stage, **a justification of the requested budget is required**. The estimated budget must be given in euros only. The proposal template for the budget must be used. In case of doubt, applicants should consult their respective funding agencies.

Funding agencies' rules and eligibility criteria

In addition to the general rules and procedures laid out in this document, there may be specific funding agencies' rules (e.g. funding agencies' eligibility criteria for certain organisations, co-funding requirements, national evaluation rules, etc.).

Please note also there are limitations regarding the types of activities that different funding agencies can support.

It is strongly recommended that these are checked with the contact person at the respective funding agency before submitting a proposal.

3.3 Summary of the transnationality eligibility criteria

- Each consortium submitting a proposal must involve at **least three applicants eligible** for funding coming from **three different countries whose funders participate in the call**. All three legal entities must be independent from each other.
- Each consortium must include at **least one urban government authority partner**, either as an Applicant, Principal Investigator, Main Applicant, Co-applicant or Co-operation Partner, depending on the national eligibility criteria.
- Proposals must address and contribute to at **least two of the outlined areas and goals in each of the New Urban Agenda, SDG 11 and the Urban Agenda for the EU**.
- Projects must address at **least one of the three call topics**.
- The Main Applicant must be eligible to be funded by their national/regional participating funding organisation(s).
- The duration of a project **must not exceed 3 years (i.e. 36 months)**. Some countries also impose a minimum project duration, please check regional/national eligibility guidelines for further requirements (to be included in the final version of the call text).
- Proposals must be written in English using the required application form. Proposals written in other languages will be ineligible. The whole application form must be filled in. Incomplete application forms will be ineligible.
- Proposals must be submitted via the Electronic Submission System.
- Proposals must be submitted before the corresponding deadlines indicated in this document.

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- Each Main Applicant/national Principal Investigator (PI) must only participate in a maximum of two proposals, and only once as a Main Applicant. Some countries only allow the participation of an PI in one proposal, please check regional/national eligibility guidelines for further requirements (to be included in the final version of the call text).
- Each PI must include their CV in English with information about participation in previous projects.
- In general, no fundamental changes between the pre- and full proposals concerning the composition of the consortia, objectives of the project or requested budget will be accepted. The Call Secretariat, however, may allow such changes in exceptional cases, duly justified.
- Ineligible applicants (e.g. from other countries or ineligible to receive funding from a participating country) can be included in the consortium as Co-operation partners if:
 - a: they finance their activity from other sources, and
 - b: the consortium in general fulfils the requirements on the number of applicants from participating countries.
- No applicant may represent more than 50% of the total budget of the project (some countries may also impose lower participation levels or maximum budgets for their funding, regional/national eligibility guidelines will be included in the final version of the call text).

3.4 Eligibility check

The Call Secretariat will verify the eligibility of the pre-proposals/full proposals according to the transnational eligibility criteria described in the previous section.

The participating funding agencies will perform a check for compliance according to their funding rules. Both transnational and funding agencies' eligibility criteria must be met.

If either the Main Applicant or the proposal does not meet the eligibility requirements, the proposal will not be admitted to the evaluation procedure.

In case (a) Co-applicant(s) is (are) ineligible, the proposal may still be eligible if and when the eligibility criteria are met by the proposal without this (these) partner(s).

In both cases, this will be communicated to the Main Applicant.

If a proposal is "eligible", this does not mean that it will be awarded funding, but only that the proposal will be admitted to the evaluation procedure.

4. Assessment procedure

Within the framework of the call, a two-stage procedure will be adopted:

4.1 Pre-proposal stage

In the first stage, consortia are invited to submit **pre-proposals** (description of consortium members, concise project description of **no more than 12 pages**, and budget indications with limited details fulfilling national requirements).

The pre-proposals will be assessed by an Expert Panel composed of international experts. The panel will consist of recognised experts in relevant fields, academics as well as practitioners and innovators, who can assess the scientific as well as the innovative and practical value of the submitted pre-proposals. The Expert Panel will be appointed by the funding agencies. No other external referees or reviewers will be part of the assessment at this stage. The Expert Panel will assess the pre-proposals using the evaluation criteria described in section 4.4. Each proposal will be assessed by at least three Expert Panel members. The Expert Panel will meet to discuss all proposals, to produce an assessment report for each pre-proposal and a ranking list. Applicants will have no possibility to rebut the Expert Panel's evaluation.

This selection will also be based on available budgets as well as a balance in countries. The agencies aim to not invite more than three times the number of consortia that can be funded based on their committed budgets.

Successful consortia will then be invited to elaborate their ideas to full proposals. Unsuccessful consortia will be provided with an overall assessment of the quality of their pre-proposals.

4.2 Full proposal stage

The full proposals will be assessed by an Expert Panel composed of international experts. The panel will be appointed by the funding agencies. No other external referees or reviewers will be part of the assessment at this stage. Each proposal will be evaluated by at least four independent experts. The Expert Panel will meet to discuss all proposals, to produce an assessment report for each full proposal and a ranking list of proposals recommended to be considered for funding. Based on the ranking by the Expert Panel and considering the available (national) budgets, the participating national and regional funding agencies will take funding decisions.

4.3 Funding decision

Funding decisions are final and cannot be appealed at the transnational level. A written statement on the evaluation of each full proposal will be sent by the Call Secretariat to the Main Applicants. The Call Secretariat will inform the main applicants of projects that have been recommended for funding, and on the subsequent granting procedure. All consortia will be provided with an overall assessment of the quality of their pre-proposals and for the full proposal in the full proposal stage.

Note: Each project recommended for funding is required to have a signed consortium agreement (CA) between all partners within six months following the start of the project, at least addressing the following topics:

- Internal organisation and management of the consortium
- Intellectual property arrangements

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- Settlement of internal disputes.

The CA is needed prior to the start of the project for all projects together with enterprises. See: [https://eurlex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:52014XC0627\(01\)&from=EN](https://eurlex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:52014XC0627(01)&from=EN), par. 27.

Please note that national and regional funding agencies regulations concerning the requirement for a CA, including the date of the signature, may also apply.

4.4 Evaluation criteria

Pre-proposals and full proposals will be assessed according to specific evaluation criteria by using a common evaluation form. A scoring system from 0 to 5 will be used to evaluate the proposal's performance with respect to the different evaluation criteria.

Some sub-criteria are specific to the pathway. The consortium is responsible for assigning a proposal to one of the two pathways.

**) Criteria used for both evaluating the pre-proposals and the full proposals. Criteria without asterisk are used only for the evaluation of full proposals.*

Excellence – Intellectual Merit		5 points
<ul style="list-style-type: none"> ▪ Clarity and pertinence of the objectives *) ▪ Appropriateness of conceptual approach *) ▪ Added value of transnational co-operation *) ▪ Feasibility of aims and objectives of project ▪ Feasibility and suitability of project design and methods ▪ Handling of development risks 		
Sub-criteria adapted to the “research pathway” <ul style="list-style-type: none"> ▪ Originality, contribution to new strategic knowledge, advancing the state of the art *) 	Sub-criteria adapted to the “innovation pathway” <ul style="list-style-type: none"> ▪ Innovativeness of the approach compared to existing solutions *) 	
Impact and User Engagement (societal and broader impacts of project results)		5 points
<ul style="list-style-type: none"> ▪ Fit to address the challenges and topics of the call text *) ▪ Integration of gender and diversity perspectives in the project plan and goals when applicable *) ▪ Engagement of urban stakeholders (e.g. government authorities, civil societies and the private sector) in co-creation and co-design, and the extent to which the project is likely to be of value to urban stakeholders*) ▪ Suitability of proposed arrangements for disseminating and communicating outcomes of the project 		
Sub-criteria adapted to the “research pathway” <ul style="list-style-type: none"> ▪ Potential of the project to provide insights to an important societal issue and produce useful knowledge for stakeholders/decision makers/practitioners 	Sub-criteria adapted to the “innovation pathway” <ul style="list-style-type: none"> ▪ Market potential of the project, capacity to respond to a demand or a need 	

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<i>Quality (Transdisciplinarity and Personnel) and Efficiency of project implementation</i>	5 points
<ul style="list-style-type: none">▪ Value for money *)▪ Appropriateness of costing▪ Feasibility and appropriateness of timescale *)▪ Suitability of expertise, balance of substantial contributions of members to project consortium *)▪ Composition of consortium compared to the topic's needs, transnational relevance and complementarities *)▪ Transdisciplinary, cross-sectorial collaboration, and co-creation *)▪ Adequateness of the work package structure and work plan▪ Appropriateness of governance/management arrangements for project▪ Risk assessment, regulatory and ethics issues properly addressed (when necessary)▪ Other key expertise of consortium members▪ Involvement from widening countries	

Evaluation scores will be awarded for each main criterion and not for the various sub-criteria.

For pre- and full proposals, each criterion will be scored by the Expert Panel, using the following scale:

0: Failure. The proposal fails to address the criterion in question or cannot be judged because of missing or incomplete information.

1: Poor. The proposal shows serious weaknesses in relation to the criterion in question.

2: Fair. The proposal generally addresses the criterion, but there are significant weaknesses that need corrections.

3: Good. The proposal addresses the criterion in question well, but certain improvements are necessary.

4: Very good. The proposal addresses the criterion very well, but small improvements are possible.

5: Excellent. The proposal successfully addresses all aspects of the criterion in question.

Half marks can be used.

The threshold for individual criteria will be 3.

The overall threshold, applying to the sum of the three individual scores, will be 10.

4.5 Conflicts of interest (Expert Panel)

All necessary steps will be taken by the Call Secretariat to ensure no conflict of interest by Expert Panel members. The Expert Panel members will be required to formally declare that no conflict of interest exists at any time of their evaluation duty and will sign a confidentiality agreement concerning all documents and the entire process. In case of breaching the rule of no conflict of interest, the Expert Panel member will be discharged from participation in the Expert Panel. Projects that were assigned to the respective Expert Panel member will be assigned to another Expert Panel member.

The Call Secretariat will perform a first review of potential conflicts of interest before sending the proposals to the Expert Panel members. Expert Panel members are bound to indicate after receiving the proposals whether there is a conflict of interest with any of the researchers or research groups in the proposals for review. Expert Panel members will sign a formal declaration that they will not participate in the call nor have any conflicting interests regarding the researchers or research groups participating in the projects that they review.

5. Project implementation

This call is part of JPI Urban Europe that includes various joint programme activities (e.g. knowledge sharing and networking) described in this section. Projects funded via this call will become part of the programme of JPI Urban Europe. Participants of projects funded in this call are expected to actively participate in the programme activities and to consider this in the planning of their project proposal by including a budget to participate in the programme activities.

5.1 Data management

JPI Urban Europe wish to promote open, transparent and robust urban and global change research by encouraging more open sharing of research data, leading to wider data analysis, more data reuse and the combination of datasets from multiple sources. JPI Urban Europe believes that an increased emphasis on the open sharing of research data has the potential to stimulate new approaches to the collection, analysis, validation and management of data, and to the transparency of the research process. However, JPI Urban Europe also recognise that not all research data can be shared openly, and that there will be legitimate reasons to constrain access, for example the risks to the privacy of individuals must always be considered where data arise from, or are derived from, personally identifiable data. .

5.2 Project monitoring and reporting

Project monitoring and reporting will be in accordance with the respective funding agency's rules. In addition to the funding agency's requirements, the consortia are expected to deliver progress reports to the Call Secretariat, in English, on an annual basis, including a description of their transnational cooperation and a publishable summary of the project status. A reporting template will be provided on the programme website. A detailed survey must be completed by the Main Applicant together with the annual joint reports. This survey includes key performance indicators for project progress and their contribution to the overall aim of the call. Furthermore, one project observer from one of the participating funding organisations will be assigned to each of the funded projects to monitor the progress in transnational cooperation on behalf of the participating funding organisations and to provide a communication link between the project, the Call Secretariat, JPI Urban Europe and the European Commission.

5.3 Programme activities

The coordination of the programme is seen as very important for creating added value to the researchers involved in the programme. Three project events are foreseen. A project kick-off will be organised in 2022, a mid-term event in 2024 and a final event in 2025. Active participation of the funded projects is obligatory, e.g. by preparing short project presentations and/or posters. All consortia of funded projects are expected to prepare popular science summaries of the project contents for programme activities and JPI Urban Europe publications (e.g. for brochures, (digital) newsletters, the website etc.). Note: Projects receiving funding also from the European Commission must ensure that all outcomes [publications, etc.] of transnational ENUTC projects include a proper acknowledgement of JPI Urban Europe, the European Commission, and the respective funding agencies. Time and budget should be reserved by the consortium for monitoring and programme activities.

5.4 Data protection

The provisions of the General Data Protection Regulation (GDPR) shall be complied by the Call Secretariat and the funding agencies participating in the organisation of this call with respect to the processing of personal data.

Depending on the country and the participating funding agency, different national laws might apply, and different electronic systems will be used regarding the processing of personal data.

Please note that by submitting your proposal, the proposal will be forwarded to your responsible funding agency as well as to all other participating funding agencies involved in this call and the Expert Panel.

6. Contact details and other information

General information on the joint call

Updated information on this joint call and all relevant documents/templates are published on www.jpiurbaneurope.eu.

If you have questions on the general call process and proposal submission, please contact the Call Secretariat.

Elena Simion
E-mail: elena.simion@uefiscdi.ro
Tel.: +4021 307 19 93

Contact points of participating funding agencies

Specific information about funding agencies' rules and additional forms will be included in the final version of the call text, as will the details of national contact persons at the participating funding agencies.

Annex A: Funding Agencies

1. FORSKNINGSRÅDET FÖR MILJÖ, AREELLA NÄRINGAR OCH SAMHÄLLSBYGGGANDE (FORMAS), Sweden
2. VALSTS IZGLITIBAS ATTISTIBAS AGENTURA (VIAA), Latvia
3.
 - a. NEDERLANDSE ORGANISATIE VOOR WETENSCHAPPELIJK ONDERZOEK (NWO), the Netherlands
 - b. Nationaal Regieorgaan Praktijkgericht Onderzoek (SIA), the Netherlands
4. AGENCE NATIONALE DE LA RECHERCHE (ANR), France
5. FUNDO REGIONAL PARA A CIENCIA E TECNOLOGIA (FRCT), Portugal
6. INSTITUT POUR L'ENCOURAGEMENT DE LA RECHERCHE SCIENTIFIQUE ET DE L'INNOVATION DE BRUXELLES (Innoviris), Belgium
7. NORGES FORSKNINGSRAD (RCN), Norway
8. NARODOWE CENTRUM NAUKI (NCN), Poland
9. UNITATEA EXECUTIVA PENTRU FINANTAREA INVATAMANTULUI SUPERIOR, A CERCETARII, DEZVOLTARII SI INOVARII (UEFISCDI), Romania
10. STATENS ENERGIMYNDIGHET (SWEA), Sweden
11. FONDS VOOR WETENSCHAPPELIJK ONDERZOEK-VLAANDEREN (FWO), Belgium,
12. LIETUVOS MOKSLO TARYBA (RCL), Lithuania
13. SIHTASUSTUS EESTI TEADUSAGENTUUR (ETAg), Estonia
14. BULGARIAN NATIONAL SCIENCE FUND (BNSF), Bulgaria
15. OESTERREICHISCHE FORSCHUNGSFOERDERUNGSGESELLSCHAFT MBH (FFG), Austria
16. AGENCIA ESTATAL DE INVESTIGACION (AEI), Spain

Annex B: Definitions of strategic and applied research, and innovation

	Strategic research	Applied research	Innovation
Desired impact	Advance towards answering the question “How do cities really function?”, in a way that can be generalised and add to the universal body of knowledge about cities and serve as a foundation for future research.	Advance towards answering the questions: - “How do cities really function?” in a way that can be generalised and add to the universal body of knowledge about cities and serve as a foundation for future research. - “What works, when attempting to improve cities?” in a way that can be generalised enough to serve as useful knowledge for decision makers and practitioners.	Advance towards the development, implementation, demonstration, testing, evaluation, and uptake of approaches for new products, services, policies, practices, and processes, with potential for improving sustainability in cities.
Importance of generating results fitting for publication in reputable academic journals	Highest importance	Very important	Encouraged
Methodological approach	Rigorous scientific and experimental method including methodological advancement	Rigorous scientific and experimental methods including methodological advancement	Systematic, proven approach
Foundation of work on evaluation and analysis of empirical observations	Encouraged	Encouraged	Required
Involvement of practitioners and/or target audience	Involved at least as knowledge co-creators/co-designers	Involved at least as knowledge co-creators/co-designers	Directly involved in the workload
Role for applying <i>Urban Living Labs</i>	Encouraged	Encouraged	Encouraged
Role for policy research	Encouraged	Fits well	May fit
Valorisation of project results	Provision of insights to an important societal issue, production of useful	Provision of insights to an important societal issue, production of useful knowledge for	Market potential of the project or capacity to

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	knowledge for stakeholders/decision makers/practitioners	stakeholders/decision makers/practitioners	respond to a demand or need
Role of	Required		
Academic disciplines expected in project	All welcome		
Preference for qualitative or quantitative methods	Both welcome		
Background of evaluators for project assessment	Well-respected university researchers, well-respected researchers with strong experience in transdisciplinary co-creation projects, representatives from commercial actors in industry and business, government authorities, civil society organisations and innovators, and other relevant stakeholders.		

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