Urban Innovative Actions

Applicant Seminar

3rd Call for Proposals

Zagreb, 23 January 2018

EUROPEAN UNION
European Regional Development Fund

Région Hauts-de-France

Who is in the room?

- Are you a representative of an urban authority (association of urban authorities, regional/national authority, EU institution)?
- Have you already heard about UIA?
- Has the institution you represent applied in the framework of the previous Call for Proposals?
- Is the institution you represent preparing a proposal for the currently open UIA Call for Proposals?
- Which topic are you interested in?

Individual consultations

Time	Table 1: Jobs and Skills in the local economy	Table 2: Air Quality	Table 3: Adaptation to climate change
15.30 – 15.50	Municipality of Irun *Naiara Zabala and Eva Fernandez*	City of Zagreb *Matijana Jergovic*	City of Osijek *Željka Fištrek*
15.55 – 16.15	City of Milan and Tarento *Demis Lorenzi*	City of Debrecen *Laszlo Matyus and Peter Bagi*	Municipality of Vitoria *Rodrigo Sanz*
16.20 – 16.40	Municipality of Dubrovnik *Alisa Vlasic*	Maltese Ministry of European affairs *Donna Borg Micallef*	City of Osijek *Dalibor Radman*
16.45 – 17.05	City of Zagreb *Gregor Mihaljevic*		City of Vienna *Sonja Magnet*
17.10 – 17.30	City of Zagreb *Helena Klakocar*		

Main objectives

Art.8 ERDF: "…*To identify and test new solutions which address issues related to sustainable urban development and are of relevance at Union level.*"

- To provide urban authorities with resources to test how new and unproven solutions work in practice and how they respond to the complexity of real life

- To draw lessons and share knowledge with other urban authorities across Europe

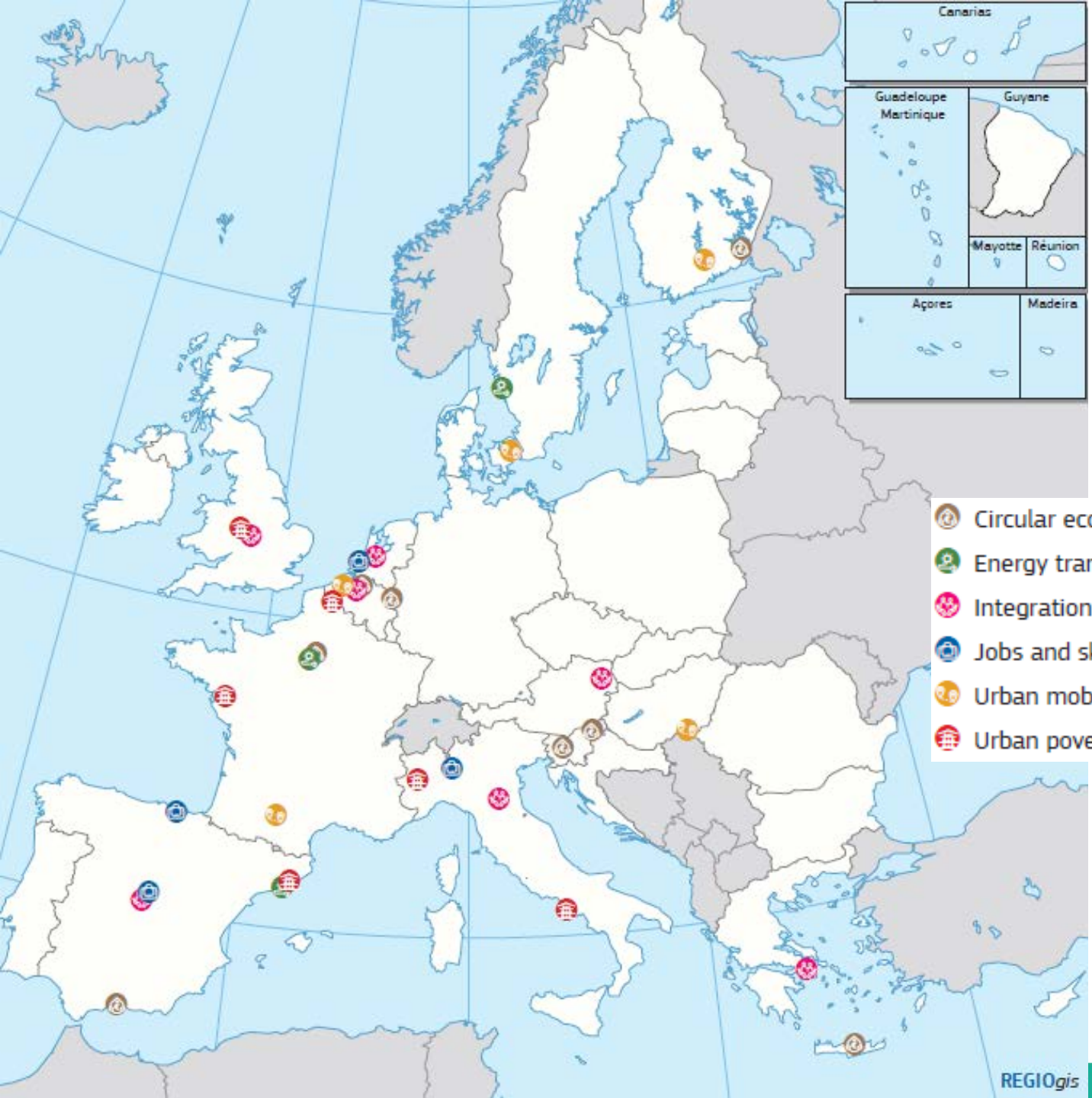
Key figures & funding principles

UIA budget:	EUR 372 Mio ERDF
ERDF per project:	max. EUR 5 Mio ERDF
ERDF rate:	max. 80%
Partner contribution: *private/public* *in-kind/in cash* *own resources or not*	min. 20%
Project duration:	max. 3 years (+1)
ERDF advance payment:	50% on signature of the subsidy contract 30% when expenses reach 35% of budget 20% max. after closure (= pre-financing)

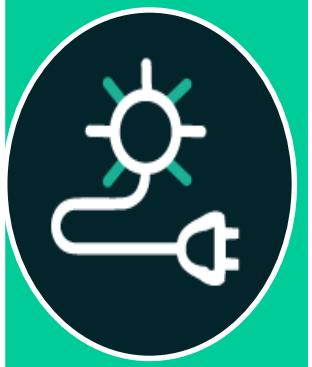
Where are we?

- ✓ 2 Calls for Proposals finalised, showing great interest from cities
  - **584 projects submitted** from **26 Member States**
  - 6 topics of the EU Urban Agenda addressed

- ✓ After 2 Calls for Proposals:
  - **130 EUR Mio** committed
  - **33 approved projects** from **13 Member States**
  - 17 Call 1 projects delivering their first results!


Canarias
Guadeloupe
Martinique
Guyane
Mayotte
Réunion
Açores
Madeira
Circular economy
Energy transition
Integration of migrants and refugees
Jobs and skills in the local economy
Urban mobility
Urban poverty
REGIOgis

33 Projects across the EU



Gothenburg
Paris
Viladecans

Athens
Antwerp
Bologna
Coventry
Fuenlabrada
Utrecht
Vienna

Barcelona
Birmingham
Lille
Nantes
Pozzuoli
Turin

Bilbao
Madrid
Milan
Rotterdam

Antwerp
Kerkrade
Heraklion
Lappeenranta
Ljubljana
Maribor
Sevran
Velez-Malaga

Albertslund
Ghent
Lahti
Szeged
Toulouse

Management structure

European Commission (DG Regio): represents the European Union. In charge of implementing resources allocated to Innovative Actions under indirect management.

Entrusted Entity: Region Hauts-de-France. In charge of the implementation of the UIA Initiative on the basis of the Delegated Act and the Delegation Agreement signed with the EC.

Permanent Secretariat: Based in Lille. In charge of the daily management of the UIA Initiative. It is the “one-stop-shop” for all urban authorities and stakeholders.

Thematic coverage

- Thematic alignment of UIA with the 12 urban topics identified in the framework of the EU Urban Agenda
- Limited number of topics selected by the Commission for each UIA Call for Proposals
- Detailed description of the topics selected for each Call in the specific Terms of Reference

Main features of UIA projects

Requirements:

- Be related to sustainable urban development
- Be of relevance at EU level
- Support the thematic objectives and investment priorities for ERDF

Characteristics:

- **Innovative:** *To what extent the project proposal is a new solution that has the clear potential to add value?*
- **Built and delivered in partnership:** *To what extent is the involvement of key stakeholders relevant for the implementation of the project?*
- **With measurable results:** *To what extent will the project deliver measurable results?*
- **Transferable:** *To what extent will the project be transferable to other urban areas across Europe?*
- **Of good quality:** *To what extent is the work plan realistic, consistent and coherent? To what extent is the budget coherent and proportionate?*

Focus on Innovation

- Agreed definition: « ***Products, services and processes able to add value to the specific policy field and never been tested before in Europe*** »

- 2 main elements:
  - Focus on **products, services and processes**
  - **Never been tested before in Europe** (spot, support and capitalize on most innovative projects in Europe)

- 2 typologies:
  - **Revolutionary**: totally new approaches never tested before
  - **Evolutionary**:
    - ✓ Building on and combining traditional elements to create new meanings
    - ✓ Changing scale
    - ✓ Testing traditional approaches with different target groups

- **Complex set of actions**
  - Average number of actions proposed: between 5 and 10
  - Not all actions can be innovative
  - Challenge 1: ensure the centrality of innovative elements
  - Challenge 2: ensure the overall coherence and integration

Focus on Partnership

Delivery Partners:

- ✓ Institutions, agencies, organisations, private sector partners, associations that will have an active role in the implementation of the project
- ✓ Able to bring knowledge and expertise into project design and implementation
- ✓ Responsible for the delivery of specific activities and the production of the related deliverables/outputs
- ✓ Dedicated budget and local co-financing
- ✓ To be selected through fair and transparent procedures

Wider group of stakeholders:

- ✓ Institutions, agencies, organisations, private sector partners, associations without an active role but that can be involved in the design and implementation of the project
- ✓ No dedicated budget
- ✓ No official status of partner
- ✓ Urban authorities shall design mechanism to ensure their involvement

Focus on measurability

- ✓ Measurability part of the philosophy of creating urban laboratories in each selected city
- ✓ Importance of defining parameters and indicators (especially at the level of results)
- ✓ Monitoring and measurement to be designed as part of a learning loop (continuous improvement of strategy and actions being implemented) for urban authorities
- ✓ Methodologies and techniques can be particularly innovative (e.g. theory of change, Randomised Control Trials, use of big data, etc.)

Questions & Answers

Group discussion

Group discussion

- **Why do you need UIA to develop your project?**
- **How do you plan to do the benchmark?**
- **How do you plan to co-design your project with the relevant stakeholders?**

Testimonies from approved projects

✓ **Christine Petioky – City of Vienna** – CoRE
(1st Call for Proposals – Integration of migrants and refugees)

✓ **Tanja Geršak – City of Ljubljana** - APPLAUSE
(2nd Call for Proposals – Circular Economy)

CORE

Integration im Zentrum

This project is co-financed by the European Regional Development Fund through the Urban Innovative Actions Initiative.

Applying for Urban Innovative Actions

The Vienna Experience

UIA First Call 2016

Topics addressed by the programme

- Urban poverty (with a focus on deprived urban neighbourhoods)
- Integration of migrants and refugees
- Energy transition
- Jobs and skills in the local economy

Topic chosen in Vienna

→Integration of migrants and refugees

Policy Background in Vienna

- 2014: Human Rights City, commitment to mainstreaming human rights in all spheres of life
- 2015: Programme of the coalition government: integration as of Day 1, irrespective of asylum status
- Appointment of a refugee co-ordinator for Vienna by the mayor of Vienna, simultaneously general manager of the Vienna Social Fund
- Health objectives 2025, incl. health literacy, women's health, gender issues
- Start Wien
- Vienna Qualification Plan

Number of Newcomers in 2016

- Austria: approx. 84,800 asylum seekers
- Vienna: approx. 21,000 asylum seekers (i.e. +10,200 since September 2015)

  - 38% living in refugee accommodation facilities
  - 62% living in private accommodation
  - 30% Women
  - Persons entitled to subsidiary protection: 3,000
  - Recognized refugees within four months after recognition: 3,100

Situation to be coped with

- In 2016: 7,980 persons in 82 refugee accommodation facilities (43 of them newly adapted since December 2015) and 19 temporary quarters
- Confined space in accommodation facilities: 30-40 m^2 per family (single persons $8m^2$, every additional person: $4m^2$, up to 5 persons/room)
- Almost no access to the labour market and limited access to training and education
- Unaccustomed linguistic and cultural backgrounds
- Welcome culture, lot of support by civil society, but at the same time protests and increasing scepticism in parts of the host society

Some Specific Needs of Newcomers

- Contacts to the majority population, orientation in the host society
- Protected ‘third space’, in which it is possible to participate and be heard
- Low-threshold offers
- Daytime structure outside the accommodation, avoiding total institutionalization
- Training and maintenance of skills and competences
- Utilization of the additional time available
- Health promotion, inter-culturality, creativity, further qualifications, acquaintance with the educational and labour market systems, prerequisites for self-employment, training and use of the German language
- Accompaniment and support by members of the same community as well as people with similar experiences and people from the host society
- Outlook towards a foreseeable self-determined life
- Perspective of privacy and social inclusion – e.g. a flat of one’s own in the near future

Some Specific Needs of the Host Society

- Low-threshold access to persons from new communities
- In-depth information
- Competent responses to rumours and stereotypes
- Locations where they can provide support
- Locations for the networking of initiatives
- Professional support for volunteers
- Enhancement of intercultural competences
- Co-operation opportunities, e.g. in the field of education
- Creative approaches to social challenges

Some Challenges

- Individual support difficult due to the large number of persons
- Collective solutions and simultaneous consideration of specific needs (gender, sexual orientation, traumatization, health problems, experience of violence)
- Goal of integration as of Day 1 vs. ruptures in the support system:
  Emergency accommodation → semi-permanent housing,
  Persons under 18 → persons over 18,
  Asylum seekers → recognized refugees
- Numerous civil society initiatives in search of facilities for low-threshold activities

Addressing the Challenges

Why do urban authorities need the Urban Innovative Actions Initiative to address their challenge?

Conditions in Cities

- Complex decision-making and administrative structures
- Fixed budgets, earmarked for specific assignments
- Legal obligation to provide specific, defined services
- A tendency towards a scarcity of public funds, austerity policies
- With innovations: complex negotiation processes between decision-makers, administrative levels, experts, population, target groups etc.

UIA Programme Specific Opportunities and Tasks

Resources and spaces

- To test yet unproven ideas
- To tackle common and interconnected European issues
- To implement solutions in complex and real situations

Development and testing

- Of innovative measures for sustainable urban development
- Involving all relevant stakeholders,
- In view of concrete results with the relevant scope
- Transferable to other urban areas in Europe

‘Testing Laboratory’

- In agreement with the objectives of ERDF
- Activities can be combined with ESF subjects without focusing predominantly on them
- Interdisciplinary, multi-perspective approaches
- Creating European added value
- Establishment of local partnerships to implement concrete solutions
- Infrastructure-oriented
- Results as benchmarks

Basic Project Concept

Inspired by day centres for differing target groups in Vienna

- To provide everyday structure outside of accommodation, work place and regular educational facilities
- With combinations of creative, therapeutic, adult educational and counselling offers,
- In small and large groups and individually
- Personal activity, self-determined participation, co-determination and co-ownership

→Supplementary infrastructure of refugee empowerment

Daring Innovativeness

How can cities ensure proposed solutions are innovative?

Some Principles for Innovative Approaches in the Social Field

Should:

- Be participatory
- Be integrative
- Involve users as experts in their own interests
- Offer multi-dimensional solutions to multiple needs
- Strengthen self-help potential, i.e. empowerment
- Consolidate networks
- Employ community-oriented methods
- Include civil society
- Combine practice and scientific research

Implementation of Innovation Principles

In all work packages of the project, i.e.

- Leveraging competences
  - Development of a competence database
  - Competence validation and career development planning
  - Trade-specific preparation for entrepreneurship
  - Tandem-modules for teachers mit refugee and host society backgrounds
- Peer mentoring for refugee empowerment
- Multiple health promotional activities

Implementation of Innovation Principles

- Organizing CORE as a co-working space and shared facility
  - Space for refugees to create their own projects
  - Open studio for handicrafts, arts and cultural activities
  - Specific information and training offers for volunteers
  - Interfaces allowing co-operation with public services
- ‘Housing First’ for refugees
- Empowerment Think-Tank
  - Exchange and reflection platform
  - Interconnection between practice, monitoring, research and European benchmarking

Working in a Partnership

How can urban authorities co-design their solutions?

Delivery Partners

- Municipal Department of Integration and Diversity (lead partner)
- Vienna Social Fund
- Vienna Employment Promotion Fund
- Vienna Business Agency
- Vienna Board of Education

Input of the Relevant Emphasis

- Municipal Department of Integration and Diversity (lead partner):

  Project co-ordination, mentors' training

- Vienna Social Fund:

  Initiation of and support for various networking, awareness-raising and health-promotional activities, support for volunteers

Input of the Relevant Emphasis

- Vienna Employment Promotion Fund, Vienna Business Agency, Vienna Board of Education:

  All educational and vocational activities

- Urban Innovation Vienna:

  Research, benchmarking, evaluation

Co-Design of Solutions

- Development, matching and harmonization of the joint working plan from diverse professional and institutional perspectives
- With mutual appreciation and equal entitlement to proposal or refusal
- Co-ordinated by academics using scientific criteria, i.e. coherence, conciseness and cogency

CORE
Integration im Zentrum

Thank you for your attention!

www.refugees.wien

APPLAUSE (Alien PLAnt SpEcies)

from harmful to useful with citizens' led activities

- 23. 1. 2018, Zagreb, Tanja Geršak, M.Sc.

- **Introduction**

- City of Ljubljana

- **APPLAUSE (Alien PLAnt SpEcies) –**
- **from harmful to useful <u>with citizens' led activities</u>**
-

1st step: Identification of a problem/challenge:

- Approximately 150 alien plant species identified in the City of Ljubljana area
- 0 landfills for IAPS
- Many IAPS are daily removed and mainly burned

- Pilot project – friendly enemy

- **APPLAUSE (Alien PLAnt SpEcies) –**
- **from harmful to useful <u>with citizens' led activities</u>**
-

Short facts:

- 2nd UIA Call for Proposals
- Topic: circular economy

- Project duration: 01/11/2017-31/10/2020
- Total amount/value: EUR 5,202,590
- ERDF co-financing: EUR 4,162,072

- **Project Partnership:**

- City of Ljubljana
- SNAGA - waste management public utility
- University of Ljubljana (Biotechnical Faculty, Faculty of Natural Sciences and Engineering, Faculty of Chemistry and Chemical Technology)
- Jozef Stefan Institute
- National Institute of Chemistry
- Pulp and Paper Institute
- Company for arboriculture and forestry (TISA)
- GDi GISDATA d.o.o. Ljubljana
- Association for the Development of Sustainable Design (TRAJNA) – NGO
- TipoRenesansa
- Centre of Excellence for Space Sciences and Technologies (SPACE-SI)

- **2nd step: innovative solution**

• IAPS as a RESOURCE and starting point of a NEW BUSINESS MODEL (three pillars):

1. Do it yourself
2. Let's do it together
3. Hand it over

• Introduction of new high added & greener innovative technologies in all aspects of IAPS treatment (e.g. pilot enzymatic processing of IAPS fibers instead of chemical)

• Circular economy principles in development of new products (e.g. re-use, zero-waste production)

• ICT technology (open data, new service like IAPS monitoring with data from aerial orthophotos and Sentinel-2 satellites etc.)

• APPLAUSE - Expected results

- Citizens' awareness rising (IAPS' identification, collection and potential).
- Establishment of a public IT platform for identification and lifelong IAPS monitoring System.
- Use of new greener and nonconventional processes and techniques to produce paper from IAPS by using enzymes.
- More than 45.000 kg of IAPS will be collected as raw material for wood and paper production
- New high added-value products will be generated as by-products during transformation process.
- IAPS will be recognised and used as useful resources for food, dyes and home-made formulations against plant harmful organisms.
- Development and implementation of a Circular Business model.

- How we did it?

- **What went well?**

- The project idea is based on a successfully implemented pilot project in 2016 – manufacture of paper from Japanese knotweed on a semi-industrial scale
- Brainstorming of partners from the pilot project – identified additional needed project partners with new fresh innovative ideas
- Involvement of top institutions in Slovenia from different disciplines and sectors (economy, academia, civil society)
- Bottom-up approach - inclusion of needs and ideas of citizens, MUA, scientists and business
- All project partners co-designed and co-wrote the application → very usefully for co-implementation
- Constant focus on main challenge, solution, results (measurable!)… → a need for coordinator
- In case of questions – help of UIA Team
- Keeping positive attitude and belief in project idea
- The application form - friendly to use

- **What went less well?**

- Too many time for discussing project idea(s) and too little time for writting the application
- Sometimes not excellent knowledge of English language ➡ unclear text
- A lot of co-writers ➡ different expressions, writing style, a lot of coordination, a lot of time
- Might be useful to hire professional help for writing the application (as procured service or project partner)
- The application form – characters limitation

- ***Why do urban authorities need the Urban Innovative Actions Initiative to address their challenge?***

• To test bold and unproven ideas → risky to be funded by traditional sources of funding

• The quality of leaving is changing → old solutions to problems need to be upgraded or changed

- ***How can urban authorities ensure proposed solutions are innovative?***

- A good cooperation with institutions from different disciplines and sectors
- International networking (Urban Agenda partnerships, Eurocities etc.) – exchange of ideas, good practices
- Experience with already successfully implemented innovative pilot projects

- ***How can urban authorities co-design their solution?***

• Urban authorities perceive the needs of its citizens, business and scientific sphere

• Urban authorities bring together different stakeholders and involve citizens in tackling problems, define solutions and implement them

- Contact: Tanja Geršak, Project coordinator
- tanja.gersak@ljubljana.si

City of Ljubljana

GDi

University of Ljubljana

snaga

TISA d.o.o.

Jožef Stefan Institute, Ljubljana, Slovenia

PULP AND PAPER INSTITUTE, LJUBLJANA
Innovative Cellulose Products

TRAJNA
Association for the Development of Sustainable Design

NATIONAL INSTITUTE OF CHEMISTRY

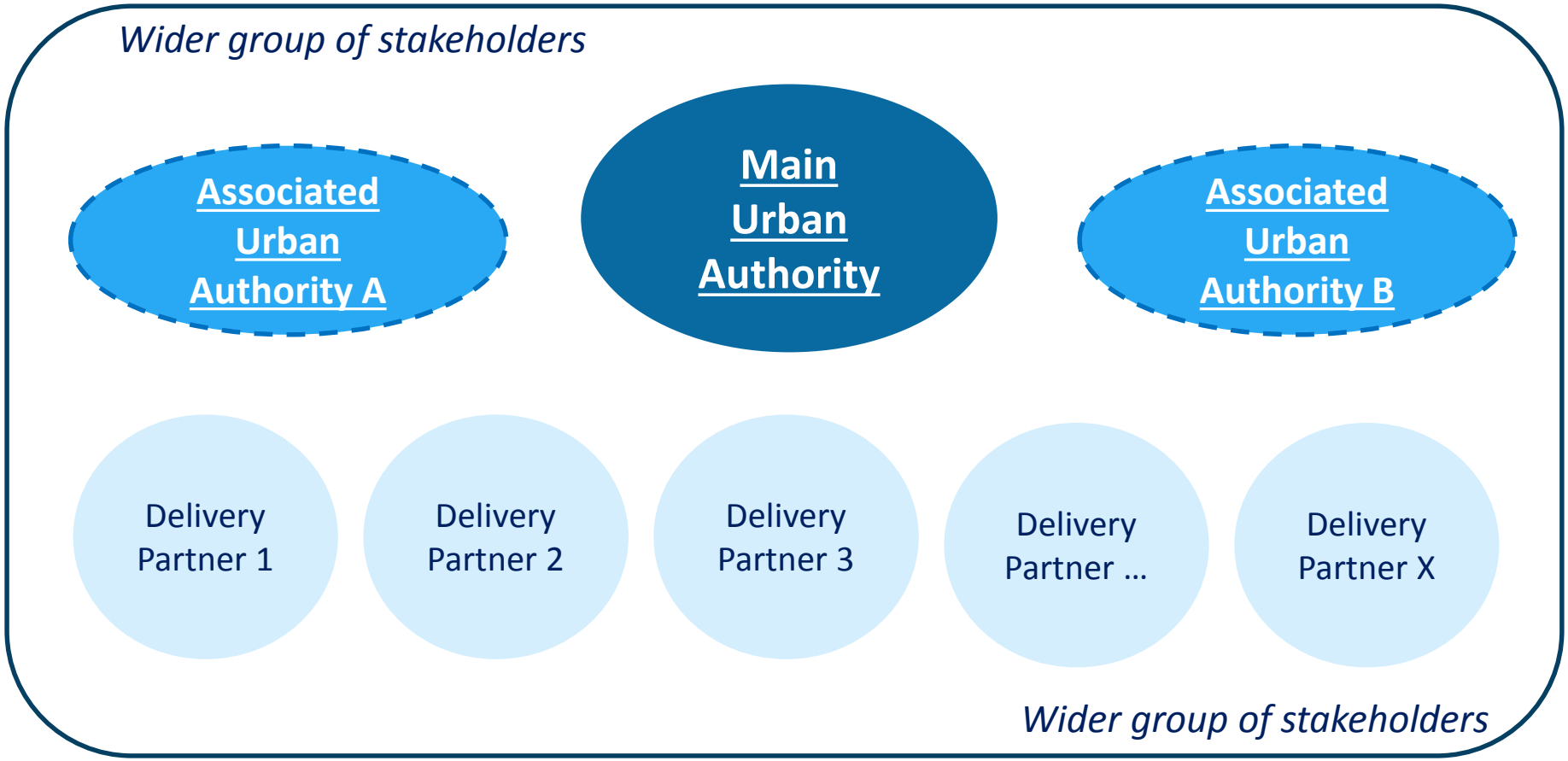
tipoRenesansa

SPACE·SI
CENTRE OF EXCELLENCE FOR SPACE SCIENCE AND TECHNOLOGIES

Questions & Answers

UIA partnership and eligible urban authorities

UIA partnership at a glance



Which Urban Authorities can apply?

Individual Urban Authorities	**Any eligible Local Administrative Units** *E.g. Municipalities, Districts (in case of some larger cities)*
Organisated agglomerations	**Any eligible organised agglomerations** *E.g. Communautés Urbaines (FR), Mancomunidades (ES), Città Metropolitane (IT)*
Several urban authorities applying jointly	**Any group of urban authorities willing to submit a project together**. *E.g. 3 municipalities willing to jointly establish a circular economy cooperative*

What defines an eligible UA for UIA?

- Local Administrative Unit (LAU)
- Population > 50 000 inhabitants
- Degree of Urbanisation (DEGURB): cities, towns or suburbs only!

Definitions based on **Eurostat data**

Where to check?

1 reference table for all MS:

Correspondence table LAU2-NUTS2013, EU28 (2012)

A	B	C	D	E	F	G	H	I	J
NUTS_3	LAU1_NAT_CODE	LAU2_NAT_CODE	CHANGE	NAME_1	NAME_2_LAT	POP	AREA	DEGURBA	COASTAL
ITC11	n.a.	001001	no	Agliè	Agliè	2647	13280000	2	0
ITC11	n.a.	001002	no	Airasca	Airasca	3830	15700000	3	0
ITC11	n.a.	001003	no	Ala di Stura	Ala di Stura	465	46090000	3	0
ITC11	n.a.	001004	no	Albiano d'Ivrea	Albiano d'Ivrea	1792	11730000	3	0
ITC11	n.a.	001005	no	Alice Superiore	Alice Superiore	703	6950000	3	0
ITC11	n.a.	001006	no	Almese	Almese	6325	17910000	2	0
ITC11	n.a.	001007	no	Alpette	Alpette	280	5650000	3	0
ITC11	n.a.	001008	no	Alpignano	Alpignano	16927	11950000	2	0
ITC11	n.a.	001009	no	Andezeno	Andezeno	1969	7480000	3	0
ITC11	n.a.	001010	no	Andrate	Andrate	514	9320000	3	0
ITC11	n.a.	001011	no	Angrogna	Angrogna	871	38690000	3	0
ITC11	n.a.	001012	no	Arignano	Arignano	1039	8230000	3	0
ITC11	n.a.	001013	no	Avigliana	Avigliana	12146	23260000	2	0
ITC11	n.a.	001014	no	Azeglio	Azeglio	1344	9880000	3	0
ITC11	n.a.	001015	no	Bairo	Bairo	694	7160000	3	0
ITC11	n.a.	001016	no	Balangero	Balangero	3165	12900000	2	0
ITC11	n.a.	001017	no	Baldissero Canavese	Baldissero Canavese	534	4370000	3	0
ITC11	n.a.	001018	no	Baldissero Torinese	Baldissero Torinese	3793	15460000	3	0
ITC11	n.a.	001019	no	Balme	Balme	97	61470000	3	0
ITC11	n.a.	001020	no	Banchette	Banchette	3285	2170000	2	0
ITC11	n.a.	001021	no	Barbania	Barbania	1630	12800000	3	0
ITC11	n.a.	001022	no	Bardonecchia	Bardonecchia	3248	132310000	3	0
ITC11	n.a.	001023	no	Barone Canavese	Barone Canavese	600	4000000	3	0
ITC11	n.a.	001024	no	Beinasco	Beinasco	18121	6760000	2	0
ITC11	n.a.	001025	no	Bibiana	Bibiana	3377	18640000	3	0
ITC11	n.a.	001026	no	Bobbio Pellice	Bobbio Pellice	567	93880000	3	0
ITC11	n.a.	001027	no	Bollengo	Bollengo	2114	14220000	3	0
ITC11	n.a.	001028	no	Borgaro Torinese	Borgaro Torinese	13635	14360000	2	0
ITC11	n.a.	001029	no	Borgiallo	Borgiallo	551	6990000	3	0
ITC11	n.a.	001030	no	Borgofranco d'Ivrea	Borgofranco d'Ivrea	3645	13340000	3	0
ITC11	n.a.	001031	no	Borgomasino	Borgomasino	836	12540000	3	0
ITC11	n.a.	001032	no	Borgone Susa	Borgone Susa	2319	5010000	2	0
ITC11	n.a.	001033	no	Bosconero	Bosconero	3057	11090000	3	0
ITC11	n.a.	001034	no	Brandizzo	Brandizzo	8412	6410000	2	0
ITC11	n.a.	001035	no	Bricherasio	Bricherasio	4521	22640000	3	0
ITC11	n.a.	001036	no	Brosso	Brosso	460	11310000	3	0
ITC11	n.a.	001037	no	Brozolo	Brozolo	471	8940000	3	0
ITC11	n.a.	001038	no	Bruino	Bruino	8493	5590000	2	0
ITC11	n.a.	001039	no	Brusasco	Brusasco	1728	14390000	3	0
ITC11	n.a.	001040	no	Bruzolo	Bruzolo	1546	12350000	2	0
ITC11	n.a.	001041	no	Buriasco	Buriasco	1406	14680000	3	0
ITC11	n.a.	001042	no	Burolo	Burolo	1229	5460000	3	0
ITC11	n.a.	001043	no	Busano	Busano	1592	5050000	2	0
ITC11	n.a.	001044	no	Bussoleno	Bussoleno	6361	37380000	2	0
ITC11	n.a.	001045	no	Buttigliera Alta	Buttigliera Alta	6394	8250000	2	0

Overview POP | BE | BG | CZ | DK | DE | EE | IE | EL | ES | FR | HR | IT | CY | LV | LT | LU | HU | MT | NL | AT | PL | PT | RO

1) Individual Urban Authorities

→ Any eligible Local Administrative Unit fulfilling the 3 criteria defining an eligible Urban Authority (LAU, population, degree of urbanisation)

2 possible cases (according to Eurostat data):

Case n°1:

Administrative borders of municipalities/city councils **CORRESPOND to LAUs as defined by Eurostat**
(Most EU Member States)

→ Direct check possible in the Eurostat correspondence table

Case n°2:

Administrative borders of municipalities/city councils **DO NOT CORRESPOND to LAUs as defined by Eurostat**
(Case of PT, EL, UK, LT, LV, IE)

→ Further calculation is needed from the Eurostat correspondence table

Examples – Case n°1 (*most EU MS*)

NAME_2_LAT	POP	AREA	DEGURE
Tarzo	4586	23800000	3
Trevignano	10573	26550000	2
Treviso	81437	55500000	1
Valdobbiadene	10693	60700000	2
Vazzola	7012	26030000	3

Italy

Romania

NAME_2_LAT	POP	AREA	DEGURBA
Dorobanţi	1574	28180000	3
Frumuşeni	2737	43150000	3
Zădăreni	2628	25140000	3
Municipiul Piteşti	166446	40730000	1
Bascov	10029	40960000	2

2) Organised agglomerations

- 4 main criteria to define organised agglomerations:

- **To be officially recognised as a tier of local government** (different from the regional and provincial levels)
- To be **composed only by municipalities/city councils**
- To **have specific and exclusive competences**, fixed by national law, delegated by the municipalities involved for policy areas relevant for the UIA project.
- To have a **specific political** (with indirect representation of the municipalities involved) and **administrative** (dedicated staff) **structure**

- Considered as Single Urban Authority in the AF
  → Represent all municipalities/city councils involved
  → Shall be indicated as Main Urban Authority in the AF

Organised agglomerations: Examples

Eligible

(Non exhaustive list)

- Metropolitan areas
- Intermunicipal associations: (e.g. Communautés de communes, d'agglomération (FR) / Unione di Comuni (IT), Mancomunidades (ES) etc.)
- Combined areas (UK)
- EGTCs *(solely composed by municipalities)*

Not eligible

(Non exhaustive list)

- National associations of cities
- Environment Consortium
- Regional/natural parks
- Provinces, Regions, Counties
- LEADER region
- « Patto dei sindaci »
- Tourism districts

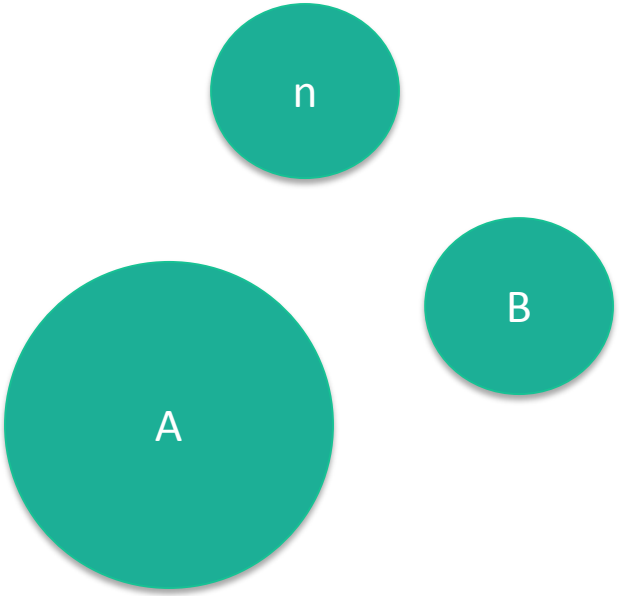
Eligible organised agglomerations?

What are the other eligibility criteria?

- the total number of inhabitants is at least 50.000

- the majority of inhabitants (>50%) lives in the constitutive LAUs involved in the agglomeration that are classified as cities, towns or suburbs according to the degree of urbanisation.

3) Several UAs applying jointly



It is possible provided that:

- **1 MUA and others UA are associated**

- The **total (combined) number** of inhabitants represented in the association > 50 000 inh.
- **Each** single Urban Authority applying is a Local Administrative Unit
- **Each** single Urban Authority applying is considered as a city, town or suburb according to the degree of urbanisation (*DEGURB*) by Eurostat

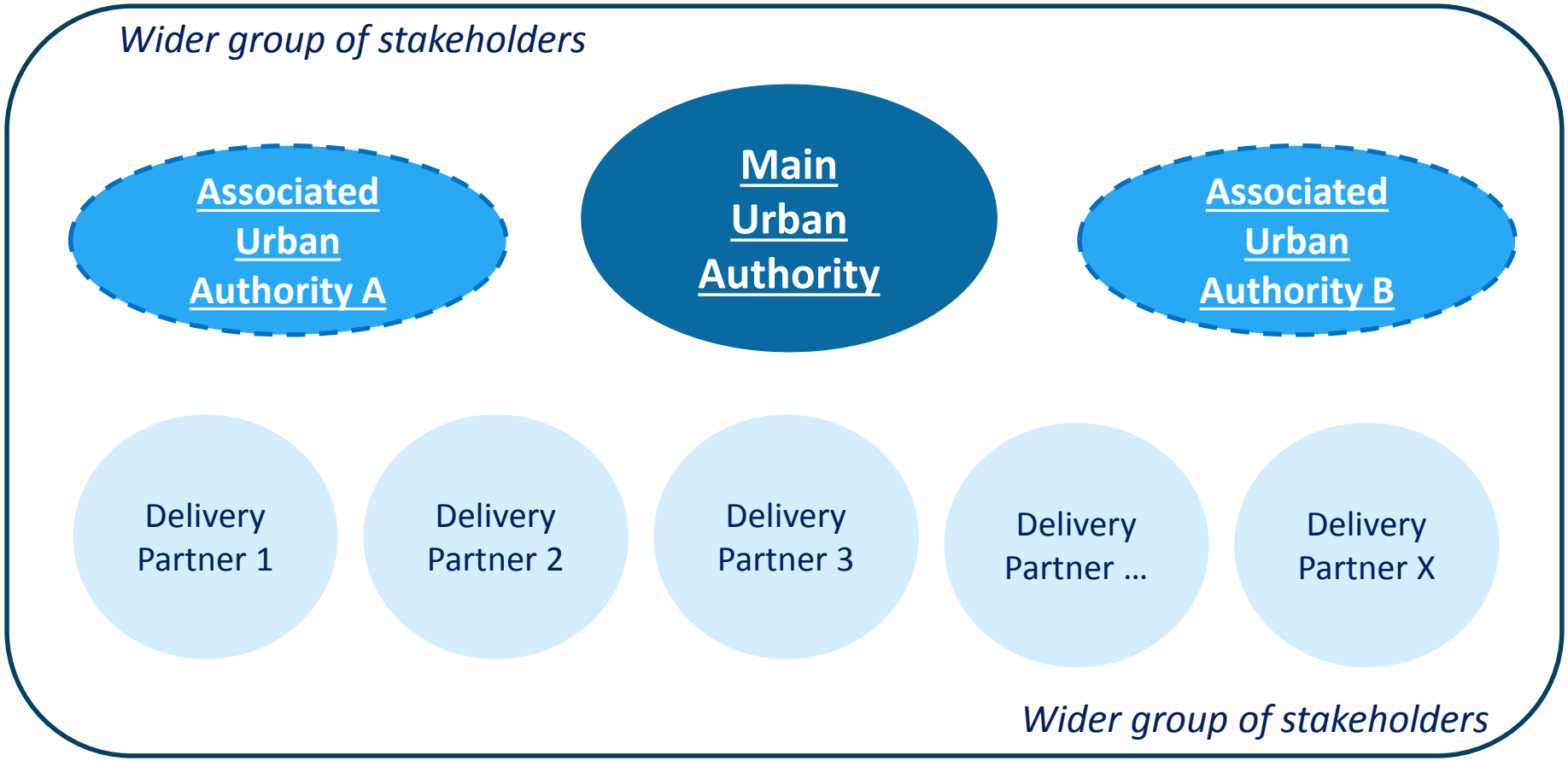
2 main recommendations for territorial impact and coherent project:
Territorial contiguity and **limited number of associated UAs (3 or less)**

Data missing/not available in Eurostat table? Doubts on the accuracy of the data?

3	LAU1_NAT_CODE	LAU2_NAT_CODE	CHANGE	NAME_1	NAME_2_LAT	POP	AREA	DEGURBA	COASTAL	URAU_CITY_ID
	1	1000	no	Λευκωσία	Lefkosia	n.a.	50629100	1	0	CY001C1
	1	1010	no	Άγιος Δομέτιος	Agios Dometios	n.a.	11838200	1	0	CY001C1
	1	1011	no	Έγκωμη Λευκωσίας	Egkomi Lefkosias	n.a.	9904840	1	0	CY001C1
	1	1012	no	Στρόβολος	Strovolos	n.a.	24893000	1	0	CY001C1
	1	1013	no	Αγλαντζιά ή Αγλαγγιά	Aglantzia or Aglangia	n.a.	31181600	1	0	CY001C1
	1	1014	no	Ορτάκιοϊ (*Μιντζέλι*)	Ortakioï (*Mintzeli*)	n.a.	7524350	n.a.	0	
	1	1015	no	Τράχωνας	Trachonas	n.a.	6281600	n.a.	0	
	1	1021	no	Λακατάμεια	Lakatameia	n.a.	27444000	1	0	CY001C1

Contact us at info@uia-initiative.eu

UIA partnership



Delivery Partners

- ✓ Institutions, agencies, NGOs, private sector partners, associations that will have an active role in the implementation of the project
- ✓ Able to bring knowledge and expertise into project design and implementation
- ✓ Responsible for the delivery of specific activities and the production of the related deliverables/outputs
- ✓ Dedicated budget and local co-financing
- ✓ To be selected through fair and transparent procedures

Trends from the 1st approved UIA projects

✓ Size of Partnership:

- From 4 to 17 partners
- Different trends across topics and countries

→ *Up to you to decide which partners and competencies are needed to deliver your innovative solution!*

✓ Delivery Partners: very broad range of organisations

- Universities and research institutes
- Private sector (large companies and SMEs)
- NGOs
- Infrastructure and public service providers
- Sectoral agencies
- Local/regional/national authorities

Wider group of stakeholders

- ✓ Institutions, agencies, organisations, private sector partners, associations without an active role but that can be involved in the design and implementation of the project
- ✓ No dedicated budget
- ✓ No official status of partner
- ✓ Urban authorities shall design mechanisms to ensure their involvement (and clearly explain these in the AF)

Partnership requirements/principles

- A project must be submitted by an eligible Urban Authority
- All partners must be based in the EU
- No transnational partnerships expected (unless specific competencies are needed and justified)
- A given Urban Authority cannot be involved in more than 1 application per Call.
- Delivery Partners have no such restrictions

Questions & Answers

Topics

UIA – Topics

- UIA operates within the framework of the 12 topics of Urban Agenda for the EU
- Topics will be covered on a rolling basis i.e. a few topics per call
- Topic selection per call will be strategic, avoid overlaps and add maximum value
- For individual topics – a narrow focus will be avoided

3rd Call for Proposals: 4 topics

AIR
QUALITY

CLIMATE
ADAPTATION

HOUSING

JOBS & SKILLS
IN THE LOCAL ECONOMY

Speakers from the European Commission:

Michael KLINKENBERG, DG Environment
(Air quality)

Merja Haapakka, DG Regional and Urban Policy
(Housing)

Francesco Amodeo, DG Regional and Urban Policy
(Adaptation to climate change and Jobs and Skills in the local economy)

Clean Air
in European Cities

11 Jan 2018, Clean Air Unit, DG Environment, European Commission

Why is air pollution a problem?

Europe's air quality is slowly improving, but fine particulate matter, nitrogen dioxide and ozone in particular continue to cause serious health impacts.

Estimates point to well above 400.000 premature deaths in EU-28 each year due to particulate matter; and more than 70.000 due to nitrogen dioxide.

1 out of 10 EU citizens are exposed to particulate matter concentrations above the EU limit value; and 9 out of 10 exposed above WHO guidelines.

63 %

Air pollution exceeds eutrophication limits in 63% of ecosystem area, and in 73% Natura2000 area.

Air pollution is an urban challenge

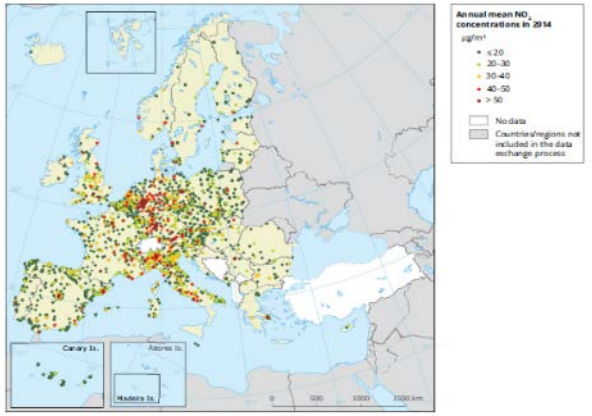
Cities are home 3 out of 4 Europeans, many urban areas suffer from dangerously high levels of air pollution.

More than 130 cities across Europe do not meet EU air quality standards.

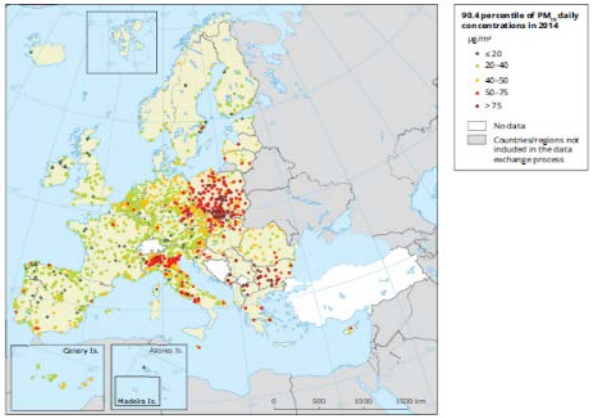
Air pollution costs over €4 billion in healthcare, €16 billion in lost workdays.

Member States need air quality plans to keep exceedance as short as possible.

Nitrogen dioxide (NO2)



Particulate Matter (PM10)



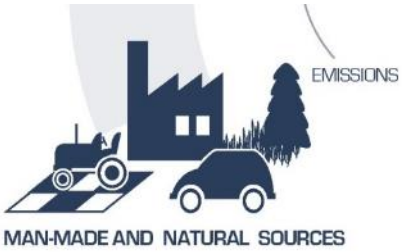
EU Clean Air Policy

Ambient Air Quality Directives

Maximum concentrations of air polluting substances

CONCENTRATIONS

EMISSIONS



National Emission Ceilings Directive

National emission totals (SO_2, NO_x, VOC, $PM_{2.5}$, NH_3)

Source-specific emission standards

-Euro and fuel standards

-Industrial Emissions Directive

-Energy efficiency standards

Working with cities (two examples)

One example: EU Urban Agenda key objectives: include urban dimension in policies, involve cities in the design, mobilise cities in the delivery.

Air quality theme lead by NL, with CZ, HR, PL London, Helsinki, Utrecht, Milano, Constanta & NGOs (EUROCITIES, HEAL, URBACT), Clean Air Ruhr Area and COM.

The Partnership has formulated reflections for better policy (including better regulation, better funding and a better knowledge base), and is working on implementing actions in these areas. More information at https://ec.europa.eu/futurium/en/air-quality

Another example: The EU's Environmental Implementation Review and its innovative Peer-2-Peer platforms to exchange good practices (expert missions, study visits, workshops). More information at http://ec.europa.eu/environment/eir/index_en.htm

Some good practices for cleaner air

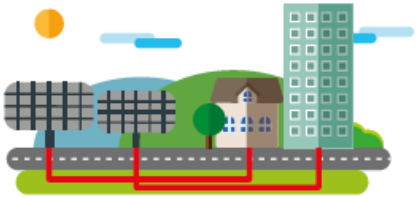
Examples: Cleaner transport

Reliable, affordable and clean **public transport** such as electric buses and trams and new Euro VI or retrofitted buses

Traffic restrictions such as low-emission zones, reduced speed limits and congestion charges

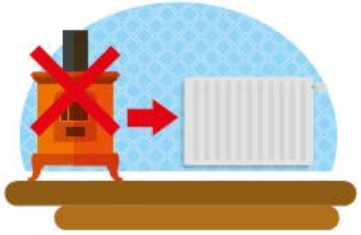
Extensive and safe **cycling networks**, abundant bike-parking facilities with easy access to public transport

Examples: Cleaner energy



City or district heating, using heat from existing industry or renewable energy sources

More **energy-efficient buildings**



Promoting substitution of old, dirty **stoves and boilers** with clean models, and banning **dirty fuels for household heating/cooking**

Eco-innovation forum

Eco-innovation forum on 5 & 6 February 2018, a two-day event in Sofia, Bulgaria, bringing together companies and public authorities that have already succeeded in developing and deploying effective new technologies, or innovative business and governance models, with those who are looking for such solutions and practices.

- air pollution from
  - energy use
  - transport
  - agriculture
- financing for eco-innovative solutions

More information available at
http://ec.europa.eu/environment/ecoinnovation2018/1st_forum/index_en.html

Thank You

http://ec.europa.eu/environment/air

Zagreb, 23 January 2018

3rd Call
Urban Innovative Actions

Housing

Why housing is an important topic ?

- Supply side – insufficient supply, spatial distribution, costs;
- Demand side – increased (risk of) poverty, lower income, difficulty to access financing;
- Policy responses – narrowing possibilities, more pressure on local authorities, conflicting priorities;
- Over the past decade worsening affordability, homelessness, social and housing polarisation, and reinforced housing deprivation have been an increasing concern for public policies.

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European Commission

Relevance for cities

HOUSING

- Housing is **key infrastructure for the economic growth** of cities and **wellbeing** of their cities.
- Cities play an **important role in housing provision** and **rehabilitation** while working creatively with all types of housing providers and promoting sustainable land use.
- **Challenges** faced in many countries and cities are similar: how to renew housing stocks, how to involve communities, how to tackle spatial isolation, how to plan and promote sustainable development, how to fight urban sprawl, how to help people with affordable housing, how to promote energy efficiency among house owners, etc.
- Cities are **increasingly asked to finance, manage and distribute housing assets** which gives an opportunity to provide innovative housing solutions fit for the realities of the housing markets post crisis.

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European Commission

Some key challenges for cities to tackle (1)

HOUSING

One of the key challenges following the economic and financial crisis, is <u>access to affordable housing</u>

Cities lack affordable and social housing across all tenures, while some suffer from housing vacancies and decaying stock.

Examples of urban areas affected**:**

- **Metropolitan areas with heated housing markets, where the demand for housing is increasing, where housing prices are inflated and housing affordability dropping significantly for the wide spectrum of income groups and their varying needs.**
- **Deprived/segregated neighbourhoods where inhabitants cannot afford to invest and/or to cover utility expenses.**
- **Shrinking cities and areas with low demand for housing (i.e. areas with an increased number of vacancies and empty housing).**

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European Commission

HOUSING

Some key challenges for cities to tackle (2)

Vulnerable groups in the society have a particular difficulty in accessing social and affordable housing

- such as people in extreme poverty, Roma, people with disabilities, people with migrant background, homeless, long-term unemployed, youth leaving institutional care, etc.
- actions in this area in particular should be linked with: relevant measures concerning employment/education/training, desegregation measures, healthcare, social affairs, employment, etc.

Cities are invited to consider

HOUSING

- **Responsible housing production and consumption systems** to address the issues of growing and shrinking cities, and deprived neighbourhoods, which

  - **Bring economic benefits such as: increase affordable housing, increased energy efficiency, sustainable land use, local jobs, innovative financing schemes**
  - **Limit waste through: resource efficiency, recyclability, brownfield re-development, housing refurbishment**
  - **Promote people based solutions such as: better access to affordable, quality and social housing, solutions taking account of life courses, demographic and social trends, collaborative housing, desegregation, vulnerable groups**

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European Commission

Useful links

- http://www.uia-initiative.eu/en
- https://ec.europa.eu/futurium/en/urban-agenda

3rd call UIA

Adaptation to Climate Change

Climate change is affecting all European regions – but adaptation needs differ across regions

Arctic region
Temperature rise much larger than global average
Decrease in Arctic sea ice coverage
Decrease in Greenland ice sheet
Decrease in permafrost areas
Increasing risk of biodiversity loss
Some new opportunities for the exploitation of natural resources and for sea transportation
Risks to the livelihoods of indigenous peoples

Atlantic region
Increase in heavy precipitation events
Increase in river flow
Increasing risk of river and coastal flooding
Increasing damage risk from winter storms
Decrease in energy demand for heating
Increase in multiple climatic hazards

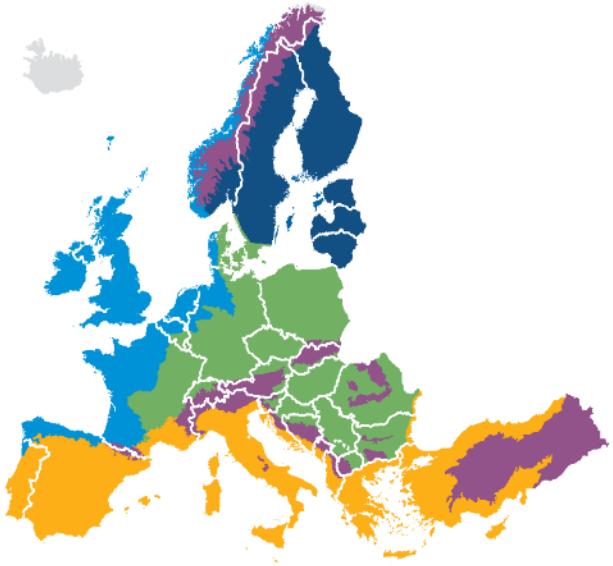
Mountain regions
Temperature rise larger than European average
Decrease in glacier extent and volume
Upward shift of plant and animal species
High risk of species extinctions
Increasing risk of forest pests
Increasing risk from rock falls and landslides
Changes in hydropower potential
Decrease in ski tourism

Coastal zones and regional seas
Sea level rise
Increase in sea surface temperatures
Increase in ocean acidity
Northward migration of marine species
Risks and some opportunities for fisheries
Changes in phytoplankton communities
Increasing number of marine dead zones
Increasing risk of water-borne diseases

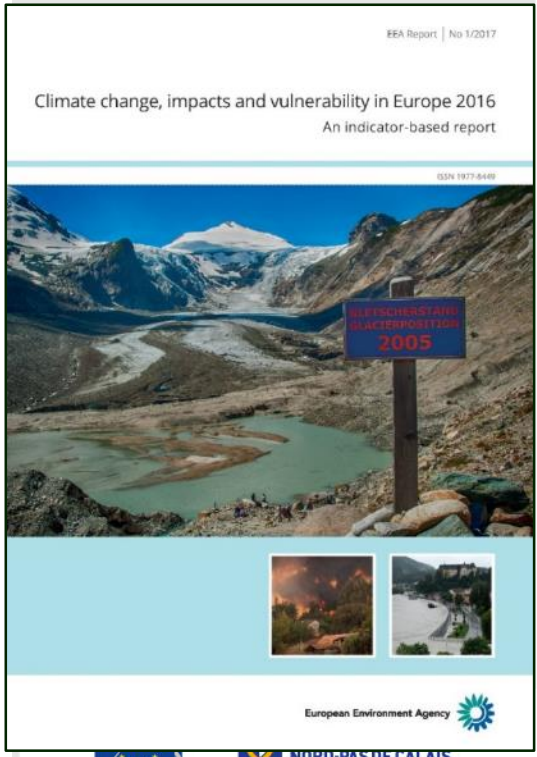
Boreal region
Increase in heavy precipitation events
Decrease in snow, lake and river ice cover
Increase in precipitation and river flows
Increasing potential for forest growth and increasing risk of forest pests
Increasing damage risk from winter storms
Increase in crop yields
Decrease in energy demand for heating
Increase in hydropower potential
Increase in summer tourism

Continental region
Increase in heat extremes
Decrease in summer precipitation
Increasing risk of river floods
Increasing risk of forest fires
Decrease in economic value of forests
Increase in energy demand for cooling

Mediterranean region
Large increase in heat extremes
Decrease in precipitation and river flow
Increasing risk of droughts
Increasing risk of biodiversity loss
Increasing risk of forest fires
Increased competition between different water users
Increasing water demand for agriculture
Decrease in crop yields
Increasing risks for livestock production
Increase in mortality from heat waves
Expansion of habitats for southern disease vectors
Decreasing potential for energy production
Increase in energy demand for cooling
Decrease in summer tourism and potential increase in other seasons
Increase in multiple climatic hazards
Most economic sectors negatively affected
High vulnerability to spillover effects of climate change from outside Europe



2016 EEA Report:
An indicator-based assessment of past and projected climate change and its impacts on ecosystems and society in Europe.



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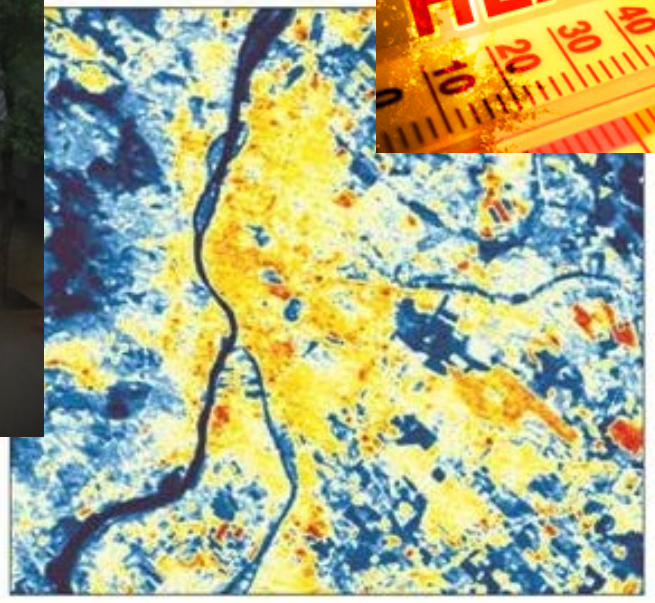
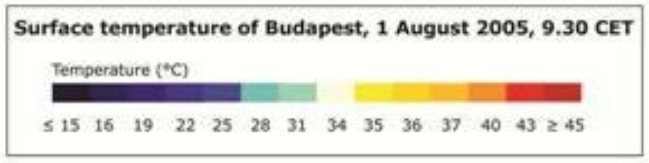
European Union
European Development Fund
European Commission

Urban areas are particularly vulnerable to climate change impacts

Budapest, May 2017. Source: Olvasónk, Gábor/ Index

Urban areas are particularly vulnerable to climate change impacts





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Urban adaptation to climate change (EEA Reports 2012, 2016)

- Cities face specific challenges (**Heat waves/urban heat island, flooding, droughts, soil sealing**)
- Investments for **urban infrastructure** should include adaptation (e.g. improve water retention, urban drainage, sewage systems, building standards)
- Need for **green infrastructure** (forests, parks, wetlands, green walls/roofs) and 'soft' measures (e.g. sharing information, capacity building, participation of stakeholders)
- **Integrated approach** - interaction with other themes and policies (e.g. climate change mitigation, water management, biodiversity)
- **Incremental** adaptation versus **transformational** adaptation (or a combination)
- **Multi-level governance**, knowledge base, awareness, planning, economics, monitoring and reporting.

EU Adaptation Strategy – promoting a resilient Europe

- *Under evaluation!*
- *Public consultation December-February.*
- *More info: https://ec.europa.eu/clima/policies/adaptation/what_en*

1. Promote action by all member states

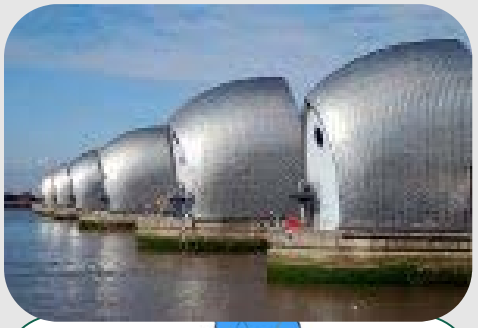
- ✔ Encourage all MS to adopt adaptation strategies
- ✔ Provide funding to help them build resilience
- ✔ Launch voluntary adaptation initiative for towns and cities (Covenant of Mayors)

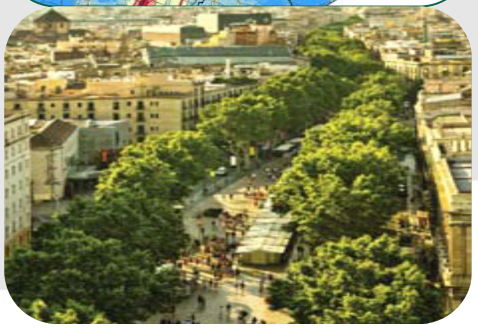
2. Make decision-making better informed

- ✔ Address knowledge gaps through research
- ✔ Develop European climate adaptation platform: Climate-ADAPT (http://climate-adapt.eea.europa.eu/countries-regions/cities)

3. Make EU-level action 'climate-proof' (mainstreaming)

- ✔ Further integrate climate adaptation needs into key vulnerable sectors eg agriculture, fisheries, energy, regional development
- ✔ Make infrastructure more resilient
- ✔ Promote insurance against disasters





Reimagine your city!

EU adaptation strategy – work on Urban adaptation

The Covenant of Mayors for Climate & Energy - informs, mobilises and supports cities, now integrates adaptation (since 2015): Signatories pledge to:

- ✓ **Reduce CO2/GHG emissions by at least 40% by 2030**
- ✓ **Adapt to the impacts of climate change**
- ✓ **Develop local action plans and reporting on their implementation**

The Global Covenant of Mayors - umbrella for reginal covenants around the world

EU Urban Agenda: urban dimension in the spotlight!

- One stop shop (urban adaptation chapter)
- Urban data platform (climate indicators)
- Partnership on Climate Adaptation
- Urban Innovative Actions (3rd call)
- Urban Investment and Advisory Platform

Systemic solutions in Copenhagen

Stormwater storage space at Tåsingeplads in Copenhagen, Denmark

Economic case of Hamburg's green roofs

The green roofs program helps to keep the costs for stormwater management manageable.

Visualisation: TH Treibhaus Landschaftsarchitektur; Image: Matthias Friedel. Source: EEA.

Floating houses - Adapting to rising waters

In Maasbommel, in the low-lying Netherlands,

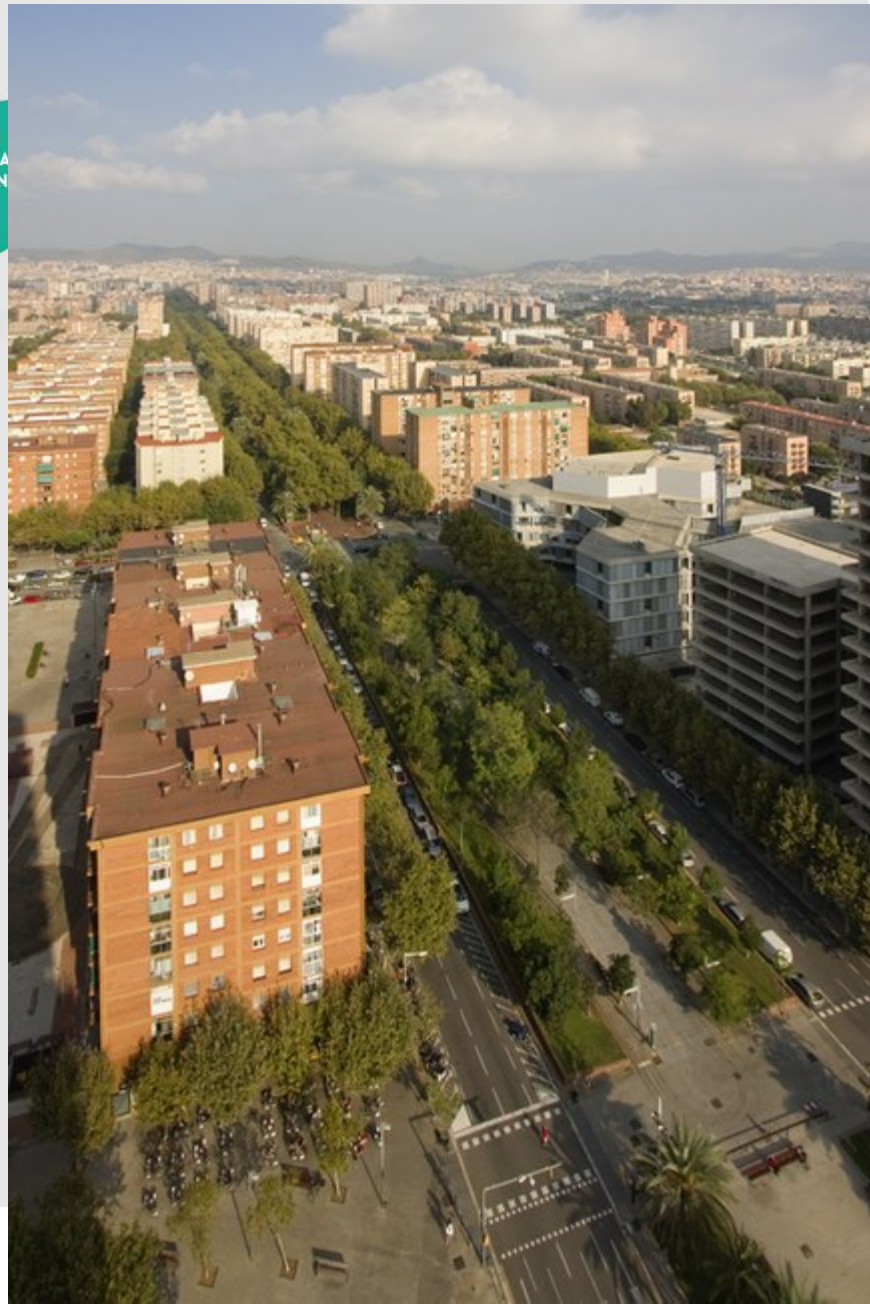
some residents are preparing for more frequent floods by living in amphibious homes that are anchored to the land but designed to rise when the water rises.

Houses in flooded condition. Source: Case study in Climate-ADAPT. Factor Architecten b.v.

European Union
European Regional Development Fund
RÉGION NORD-PAS DE CALAIS

Examples of local actions

The superblocks programme in Barcelona aims to free up space for green areas and recreation to improve the urban micro-climate.



Project in figures:

- 95% of residents now have a bicycle lane within 300 metres of their home
- 300 km of bicycle lanes to be built

Climate achievements:

- 159,100 tonnes of CO_2 to be saved annually
- surface area of public/car-free spaces increased by over 23 ha in pilot areas
- reduction in urban heat island effect
- reduced risk of storm water runoff and flooding

Other benefits:

- better air quality
- healthier and more active lifestyles and greater interaction among residents
- less traffic and noise
- improved public safety

Urban Innovative Actions (3rd call)

- Innovative approaches
- Impacts on a larger territorial scale
- Joint actions
- Cooperation, involvement, multi-level governance
- Long term perspective
- Integrated approaches
- Resilient and liveable cities
- Green/blue infrastructure, nature-based solutions
- Benefits in other areas
- Integrating mitigation and adaptation
- Increased awareness
- Innovative financing mechanisms

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Directorate-General for Climate Action ("DG CLIMA"):
http://ec.europa.eu/clima

EU Strategy on Adaptation to Climate Change: http://ec.europa.eu/clima/policies/adaptation_en

European Climate Adaptation Platform:
http://climate-adapt.eea.europa.eu

Covenant of Mayors for Climate & Energy:
www.covenantofmayors.eu

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European Commission

Jobs and skills in the local economy

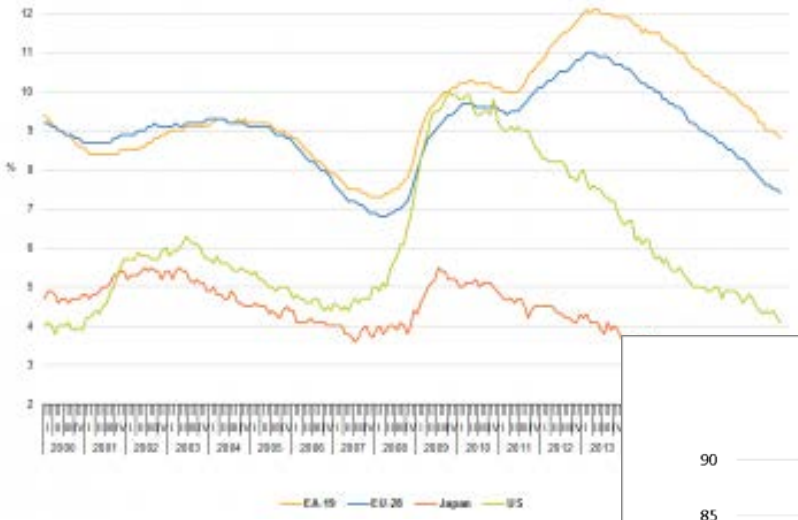
Third call

DG REGIO, Inclusive growth, urban and territorial development

Bucharest, 11 January 2018

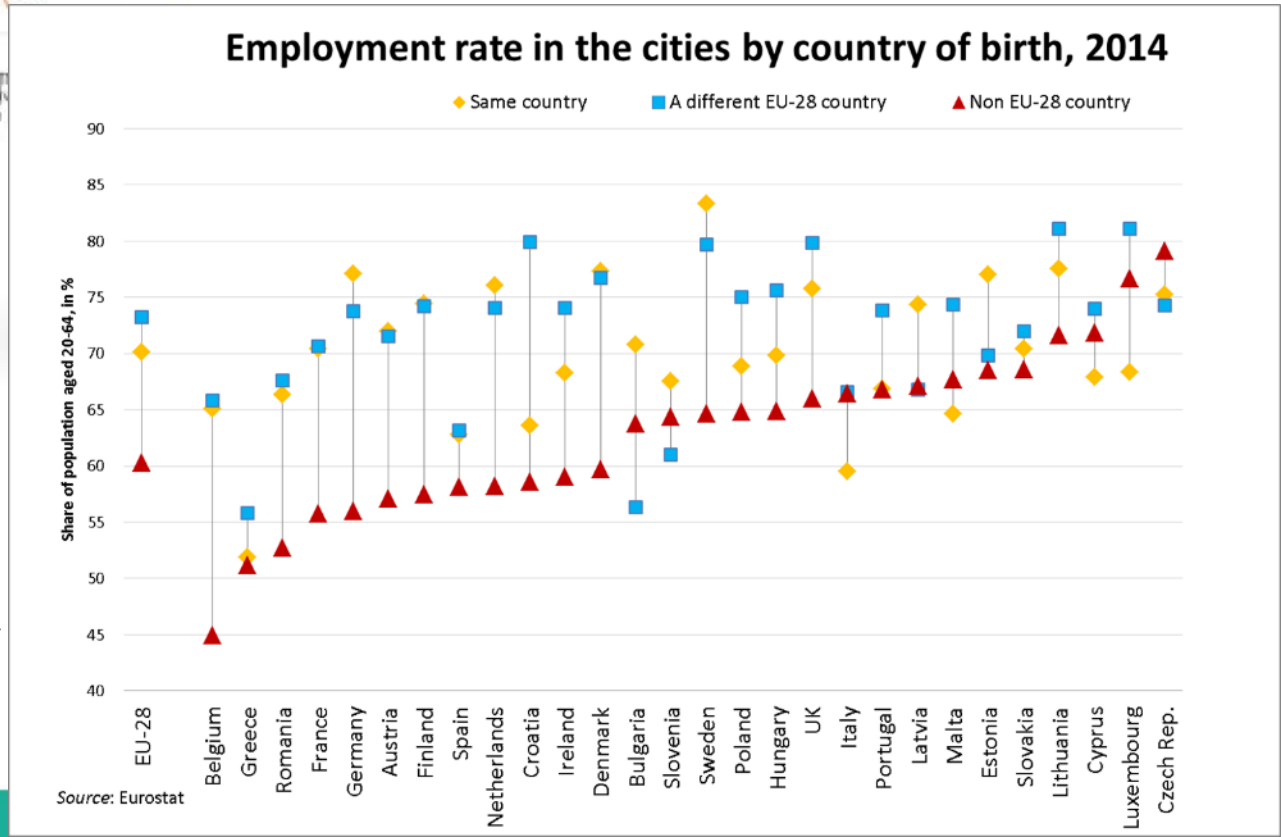
Context

Unemployment rates EU-28, EA-19, US and Japan, seasonally adjusted, January 2000 - October 2017 (%)



Source: Eurostat

18.2 million **unemployed** people in the EU in October 2017



Urban areas

Growth, competitiveness, innovation and jobs

…but also social inequality

EU policy framework

Europe 2020 strategy

75% of the population between 20 and 64 has a job

European Pillar of Social Rights

Rights and principles:

- equal opportunities and access to the labour market
- fair working conditions
- social protection and inclusion

New Skills Agenda

10 key actions in three priority areas:

- Improving the skills quality and relevance across Europe
- Making skills and qualifications more visible and comparable
- Improving skills intelligence and information for better career choices

Relevant EU initiatives

Urban Agenda for the EU, Partnership on jobs and skills in the local economy

- Valorisation of R&D
- Business Location
- Public services
- An Effective Local Governance
- The Next Economy
- Education and Skills

URBACT Networks (e.g. TechTown) and Good Practices (e.g. Inclusive entrepreneurship model of BARCELONA)

Source: URBACT website

Potential areas of action

- Local supply chains and connections between local companies
- SMEs
- Entrepreneurial culture and innovative businesses
- Next economy
- Research and development
- Skills
- Inclusive labour markets

Thank you!

Lamprini Lambropoulou
DG REGIO, Inclusive growth, urban and territorial development

Questions & Answers

Application and selection process

Application Process (1)

- **Call for Proposals**
  - Opening: **15 December 2017**
  - Deadline: **30 March 2018** at 14.00 CET

- **Documents to be submitted online (via EEP)**
  - Application Form
  - Signed Confirmation Sheet
  - *Possibility to add one annex document (non mandatory)*

- **Reference documents**
  - Terms of Reference
  - UIA Guidance
  - Application Form – Working Document
  - Self-assessment tool

Application Process (2)

Application Forms can be submitted in any EU language

BUT applicants are strongly recommended to do it in English

Application Forms not submitted in English shall be translated by the Secretariat for the assessment; however the quality of the translation cannot be guaranteed

3-step selection process

Eligibility check	- April 2018
Strategic Assessment	- June 2018
Operational Assessment	- September 2018
Approval	- October 2018

Eligibility check

Carried out by the Permanent Secretariat

Eligibility criteria	Yes/No
The Application Form has been submitted electronically via the EEP before the deadline indicated in the Terms of Reference of the Call for Proposals	✓
The Application Form is completely filled in	✓
The applicant is an urban authority of a local administrative unit defined according to the degree of urbanization as city, town or suburb and comprising at least 50 000 inhabitants **OR** The applicant is an association or grouping of urban authorities of local administrative units defined according to the degree of urbanisation as city, town or suburb where the total population is 50 000 inhabitants	✓
(If applicable) In case of an association or grouping without a legal status of organised agglomeration, a Main Urban Authority and the Associated Urban Authorities are presented	✓
Time limits are respected: the end date of the project respects the Call and the Initiative requirements	✓
The maximum budget requirements and the co-financing principle are respected	✓
A signed confirmation sheet shall be uploaded in the EEP system and attached to the Application Form by the end of the Call deadline.	✓

Strategic Assessment (1)

Carried out by a Panel of External Experts

- **Innovativeness (40% of total weighting)**
  - Proposed solutions not previously tested and implemented
  - Potential of new solutions to add value
  - Evidence of research into existing best practices
  - Description of potential obstacles/resistance to the new solutions
  - Links to existing policies and practices

- **Partnership (15% of total weighting)**
  - Key stakeholders involved in the design and implementation
  - Group of Delivery Partners is balanced and complementary
  - Delivery partners have relevant experience and necessary capacity

Strategic Assessment (2)

Carried out by a Panel of External Experts

- **Measurability of results (15% of total weighting)**
  - Expected results properly described and quantified
  - Outputs, results and target groups clearly relevant to the urban challenge addressed
  - Methodology for measuring results able to isolate changes attributable to project activities and discount external factors
- **Transferability and scaling up (10% of total weighting)**
  - Relevance of the proposal for other urban authorities in EU
  - Clear evidence that the solution is applicable and replicable
  - Clear explanation of how project will be scaled up

Operational Assessment

Carried out by the Permanent Secretariat

- **Quality of the work plan (20% of the total weighting)**
  - **To what extent is the work plan realistic, consistent and coherent (intervention logic)?**
  - **To what extent are management structures and procedures in line with the project size, duration and needs?**
  - **To what extent does the project budget demonstrate value for money**
  - **To what extent is the budget coherent and proportionate?**
  - **To what extent are the communication activities proportionate and forceful to reach relevant target groups and stakeholders and help achieve the project activities**

Questions & Answers

Application Form

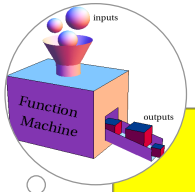
Project Proposal

What resources do you need?

Budget

How will you do it?

Project Work Plan: WPs, activities, deliverables



What do you need to obtain this change?

Project outputs

What do you want to change/ achieve?

- **Project results**
- **Project objectives**

What are your main challenges?

Project idea

AF – Online submission (1)

- 100% online submission process through UIA Electronic Exchange Platform (EEP)
  - **Detailed UIA guidance in all EU languages**

- A courtesy version (Word) of the AF template is available on UIA website
  - **Guidance in English only**
  - **Minor differences with online AF**
  - **Cannot be used to submit AF**

AF – Online submission (2)

https://eep.uia-initiative.eu

- Create your account
- Create your project Application Form
- Add users (read-only or not)
- Technical Guidance of the EEP

AF section A – Summary

- **Project duration**
  - Fixed start date: 1 November 2018
  - Max. 3 years
- **ERDF rate**
  - Max. 80%
- **Topic**
- **Project summary**

AF section B – Partnership

- **Profiles to be created:**
  - Main Urban Authority or Associated Urban Authorities
  - Delivery Partners

- **Main information:**
  - Relevance of the partnership
  - General information (including number of inhabitants, contact persons…)
  - Competences in relation to the topic addressed
  - Experience with other EU-funded and/or international projects
  - Involvement in the design and implementation phases

AF section C – Project description

- **Project relevance and innovativeness**
  - Main challenge(s) to be addressed
  - Proposed solution and its innovativeness
  - Potential obstacles and resistance
  - Integrated approach
  - Link to ERDF Thematic Objectives and Investment Priorities

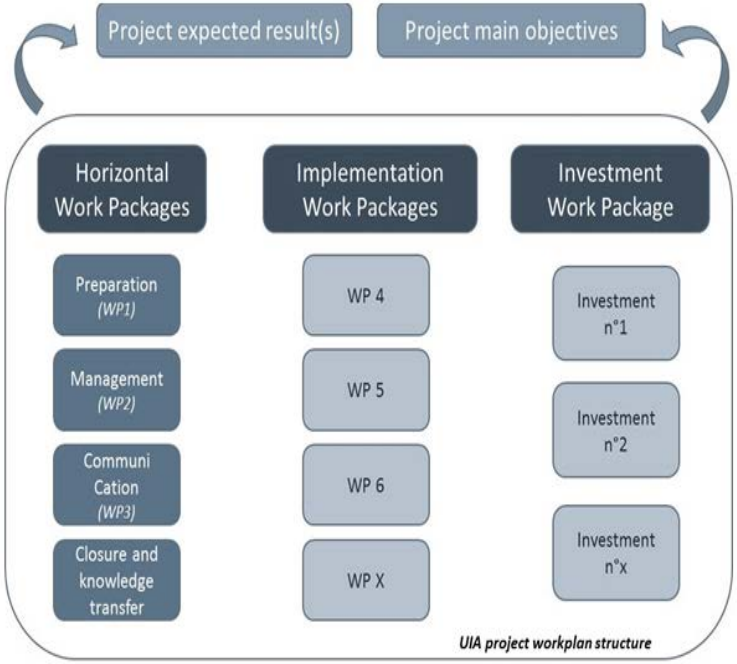
- **Project context and local partnership**
  - Link with other local/regional/national strategies and policies
  - Synergies with other projects and initiatives
  - Involvement of the wider group of stakeholders in design & implementation

- **Project objectives, outputs and results**
  - Description and methodology for monitoring/measurement
  - Target groups

- **Project scaling up and transferability**

AF section D – Work Plan (1)

- The work plan
  - Describes how a project is implemented
  - Structures the project and allows a proper follow-up of its implementation
  - Is central for the operational assessment
  - The Work Plan is structured around Work Packages (WPs)
  - Standardised structure WPs



AF section D – Work Plan (2)

Main elements of the Work Plan

- **WORK PACKAGES: Main pillars of the project, constituted by a group of related project activities, required to produce project outputs**

- **ACTIVITIES: Specific tasks performed for which resources are used**
  - ❖ Each activity shall result in a deliverable and/or output

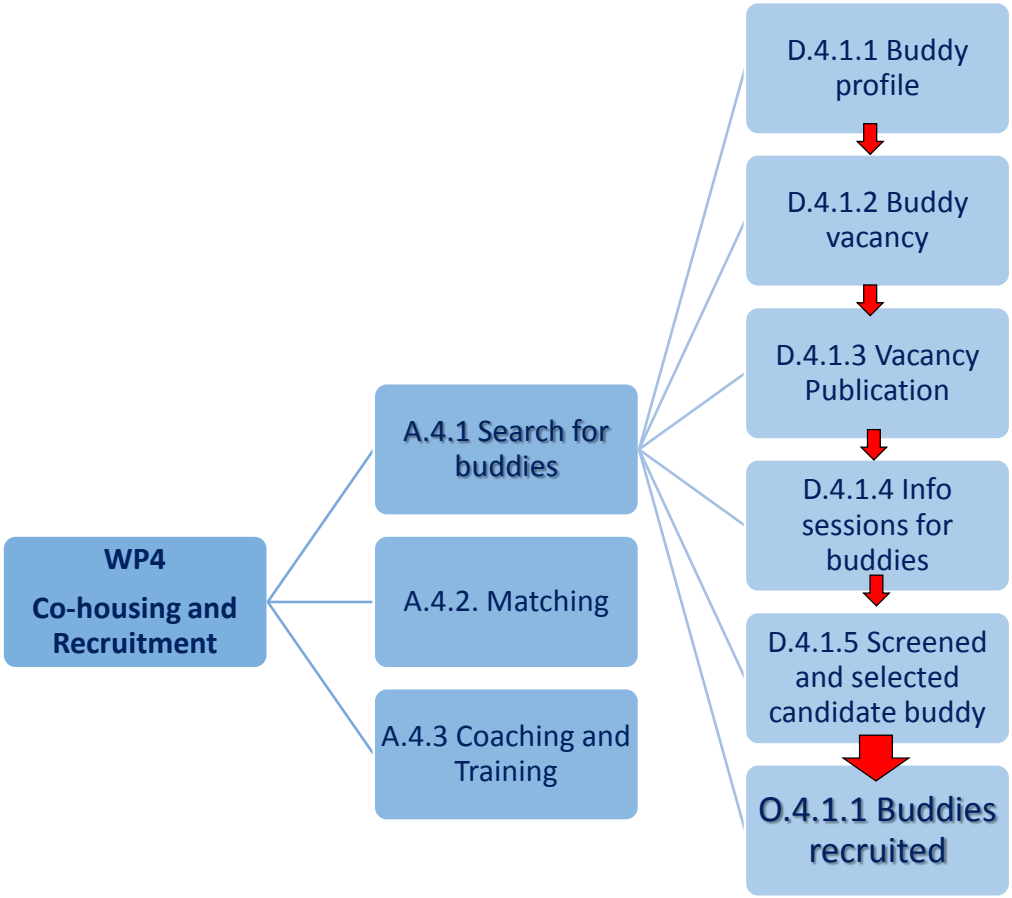
- **DELIVERABLES: Tangible or intangible object delivered within an activity, as a side-product of the project**
  - ❖ Considered as intermediary/ relevant steps in the delivery of a project output
  - ❖ Shall directly contribute to the achievement of the project outputs

- **OUTPUTS: Main product of the project, what has actually been produced as a result of the funding given to the project**
  - ❖ Minimum one per WP Implementation

+ The budget is filled in per WP and per PP

AF section D – Work Plan (3)

Example project CURANT – City of Antwerp



AF section D – Work Plan (4)

WP1 Preparation

- Phase pre-implementation
- Read-only WP with AF as main deliverable
- Covered by a lump sum of EUR 20,000 (EUR 16,000 ERDF) for approved project only
- MUA = sole recipient of the lump sum

WP nr.	WP title	Start date	End date	WP budget
1	**Project preparation** *Read-only WP, no modifications are possible – prefilled start and end date and lump sum*	*MM.YYYY*	*MM.YYYY*	*EUR 20,000*
Partners' involvement				
WP responsible partner	*Main Urban Authority*			
Summary				
Preparation and submission of the application form				

AF section D – Work Plan (5)

WP2 Management

- Description of management and coordination at strategic and operational level
- Structures, responsibilities and procedures for the day-to-day management and coordination
- Coordination mechanism with the wider group of stakeholders
- Reporting to the UIA Permanent Secretariat
- Risk and quality management
- Capitalisation (UIA experts involvement – 50 days)

Costs of Auditors (First Level Controllers) and UIA experts **should not be budgetted** as they are directly covered by UIA

AF section D – Work Plan (6)

WP3 Communication

- Communication strategy = a strategic tool to support the project objective(s)
- Identify your target groups and communication objectives
- Communication activities are standardized
  - **Required**
  - **Recommended**

Clear

Specific

Measurable

AF section D – Work Plan (7)

WP4-WPn Implementation

- Core of the Work Plan: how the proposed innovative solution is carried out
- Max: 4 WPs Implementation and 5 activities per WP
- Each WP must lead to at least one output
- Precise description of the **intermediary steps** necessary to implement each WP
- Cross-references between WPs Implementation

AF section D – Work Plan (8)

WPn+1 Investment

- *Project output that remains in use by the project's target group after the completion of the project*
- **Necessary for the achievement of the project objectives**
- **WP Invesmtent can include different investments**
- **For each investment**:
  - Description and justification
  - Location
  - Related risks
  - list of required documents and permits and final ownership

Stand-alone investments without clear justification and added value for the project will not be supported.

AF section D – Work Plan (9)

WPn+1 Closure

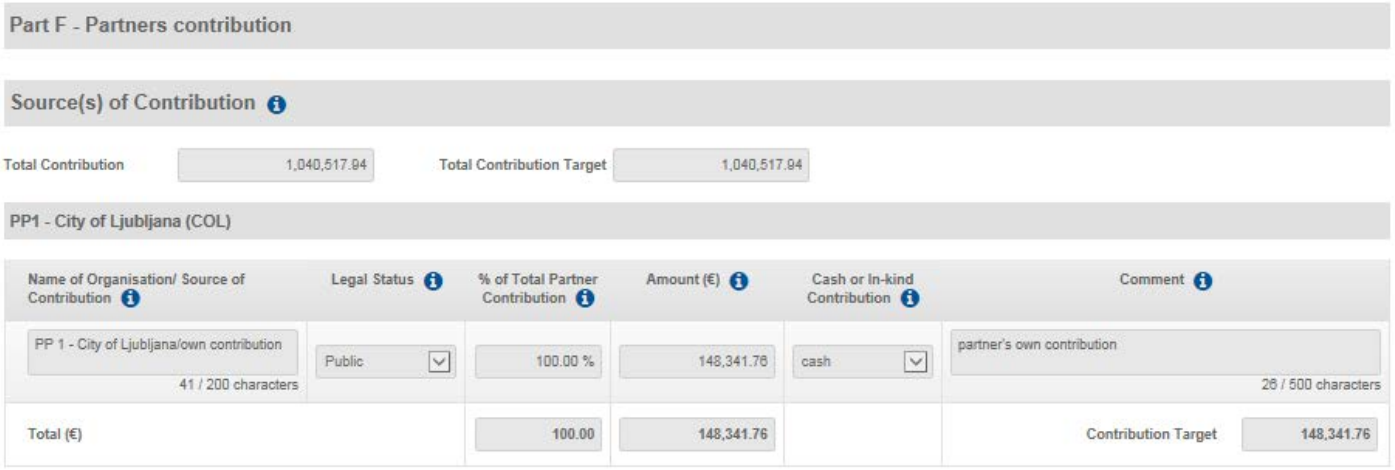
- **Administrative closure with the submission of the last:**
  - Annual Progress Report
  - Financial Claim

- **Knowledge Transfer: projects have 12 months after their official end date to:**
  - Capture and share the main knowledge generated during the implementation
  - produce a Final Qualitative Report

- **Covered by a lump sum of EUR 15 000 (EUR 12,000 ERDF) allocated to the MUA**

AF section F – Partners' contribution

- Each partner needs to secure 20% at least of public or private contribution to complete its funding
- Not from another EU funding source
- Two types: cash or in-kind contribution
- In-kind contribution under staff costs budget line is not eligible



Part F - Partners contribution

Source(s) of Contribution

Total Contribution 1,040,517.94 Total Contribution Target 1,040,517.94

PP1 - City of Ljubljana (COL)

Name of Organisation/ Source of Contribution	Legal Status	% of Total Partner Contribution	Amount (€)	Cash or In-kind Contribution	Comment
PP 1 - City of Ljubljana/own contribution (41 / 200 characters)	Public	100.00 %	148,341.76	cash	partner's own contribution (26 / 500 characters)
Total (€)		100.00	148,341.76		Contribution Target 148,341.76

AF section G – Risk Management

- Description of the risk/s that may affect the project implementation
- Detailed actions that will be taken in order to mitigate the potential risk
- *For example:*
  - ***Project management related risks (partners withdrawal, staff issues, …)***
  - ***Contracting (External experts)***
  - ***Delays in implementation of the activities and deliverables …***

Description of the risk	Impact	Likelihood	Actions to mitigate the risk
[500 characters] Please describe your risk/s.	1- *Incident* 2- *Minor* 3- *Serious* 4- *Major* 5- *Catastrophic*	1- *Improbable* 2- *Remote* 3- *Possible* 4- *Probable* 5- *Likely*	**[500 characters]** Please provide a clear and detailed description of the action/s that will be taken in order to mitigate the potential risk.

Tips for Applicants

- Drafting Style: keep it short, simple and clear; beware the character limit
- Include cross-references in order to facilitate the understanding of lthe project intervention logic
- Mention partners involved in or responsible for the delivery of the activities/outputs/deliverables
- Partners involvement should be reflected in their budget description
- Pay attention to the logical time sequence
- If a deliverable is of a repetitive nature, include it once with the last delivery date(i.e. newsletter); in the description specify the start date and frequency
- **Target values** should capture the quantity of deliverables/outputs produced, not the expected number of beneficiaries or budget

Questions & Answers

ELIGIBLE EXPENDITURES

Main Eligibility Principles

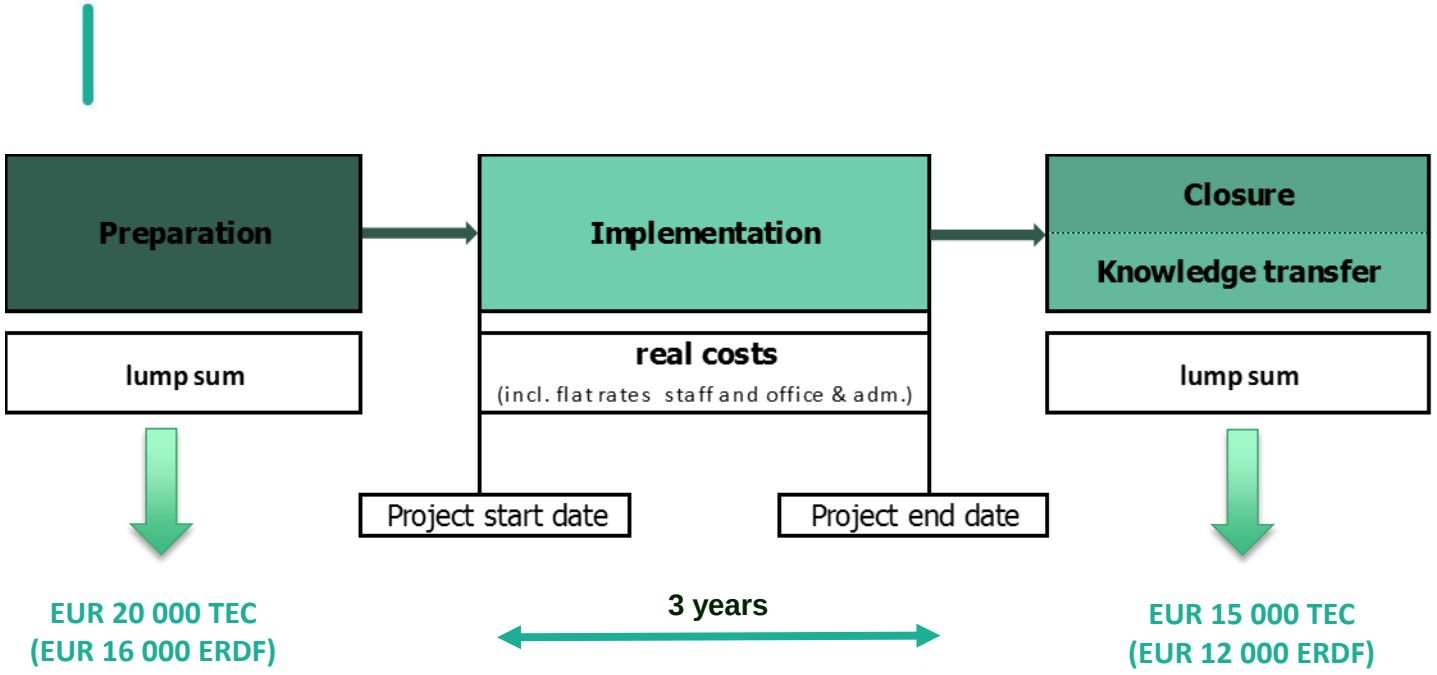
- **Sound financial management**
  - Related to activities listed in the AF
  - Be incurred and paid by PPs
  - Be identified, verifiable, plausible and in compliance with the relevant accounting principles

- **Compliance with EU, national, institutional and UIA rules**
  - ⇒ Strictest rule principle

- **Particular vigilence to be paid to:**
  - Expenses invoiced between partners are not eligible
  - Double financing is not eligible
  - Revenues generated by project activities must be declared
  - Public procurement procedures must be respected

- **Definition, principles and audit trail details are provided in the UIA guidance**

Eligibility periods



Preparation and Closure & knowledge transfer costs:

- Cannot be claimed on real cost basis
- No need to be documented

Implementation costs:

- Related to implementation
- Incurred between the start and end dates

Categories of UIA project costs

- **Lump sums**
  - **Preparation WP – External expertise and services** budget line
  - **Closure WP – External expertise and services** budget line

- **Staff costs**
  - **Staff costs** budget line

- **Flat rate**
  - **Office and administration** budget line

- **Procurement-based costs**
  - **Travel & accommodation** budget line
  - **External expertise and services** budget line
  - **Equipment** budget line
  - **Infrastructure and construction works** budget line

Staff Costs

Gross employment costs of persons <u>employed directly by the Project Partner</u> organisation and working full or part time on the project in line with their respective employment contracts

➢ Calculation principles

- ❖ Based on costs actually paid out – proofed by **pay slips** or equivalent document
- ❖ Calculated **individually** per staff member
- ❖ **% of time worked on the project based on a written assignment** of the employer (no timesheets)

Gross employment costs
(incl. other costs linked to salary
e.g. Employment taxes, pension, health…)
X
% of time worked on the project

➢ <u>Ineligible</u> costs

- ❖ Unpaid voluntary work
- ❖ Dividends, overheads…

Flat Rate

Office and Administration

Any operating and administrative expenses of Project Partners considered as indirect costs

- **Flat rate of 15% of reported staff costs**
  - **If no staff reported, no office and administration costs can be charged**

15%
X
Partner' staff costs

- **Exhaustive list**
  - **Limited to: office rent, utilities, office supplies, general accounting, archives, maintenance, repair and cleaning, security, IT systems of general nature, communication, bank charges**
  - **Cannot be claimed under any other budget line**

- **No audit trail**

Procurement-based costs (1)

Travel and accommodation

- **Costs of partners' employees** that relate to project activities
  - **T&A costs of external experts and service providers : under External Expertise and Services**
- **To be supported by evidences** (invitation, agenda, proof of participation…)
- **In line with the partner's T&A policy/rules**
- T&A outside of the EU : eligible if included in the approved AF

External Expertise and Services

- **Providers outside of the Partnership** to carry out services linked to activities planned in the AF
- Based on a **written contract** (or equivalent document) specifying the service
- **Contracts between partners : ineligible**
- Costs related to UIA Experts and Auditors = not to be budgeted (covered by UIA)

Procurement-based costs (2)

Equipment

- Necessary for project implementation or considered as a project output
- **The extent of the eligibility depends on the nature of the equipment**
  - Equipment necessary for the project implementation : **pro-rata depreciation value**
  - Equipment considered as (part of) a project investment: **full purchase price eligible**

Infrastructure and Construction Works

- Crucial for the achievement of the project's outputs and results
- Included in WP investment
- **Full cost eligible** (no depreciation)
- Purchase/ provision of land limited to max. 10% of the total project budget
- Ownership and durability principles

Ineligible expenditures

- VAT unless it is genuinely and definitely borne by the project partner
- Interests on debts
- Exchange rate losses
- National banking charges
- Fines, financial penalties and expenditure on legal disputes and litigation
- Unpaid voluntary work
- Any costs incurred before the project start date and after the project end date as these project phases are covered by lump sums
- Communication material that is not in line with the UIA rules on communication
- Gifts (except promotional giveaways)
- Tips
- Fees between partners of the same project for services, supplies and work carried out within the project
- Costs related to the contracting of employees of the partner organisations as external experts (e.g. as freelancers)

This list is non-exhaustive!

Points of vigilance (1)

Public Procurements

First cause of findings during financial controls

- **European, National, Institutional and UIA rules**
  - Strictest rule principle
- Rules applicable to any PP fulfilling the definition of **Contracting Authority**
  - PP shall be aware of their applicable procurement rules and act accordingly
  - PP not fulfilling that definition shall however ensure adequate market research for contracts above EUR 5 000 VAT excl. (proof of 3 comparative offers)
- Adherence to procurement rules has to be well **documented** and **recorded**
  - Even when direct contracting for small contract values is allowed (e.g. proof of different request of offers or of market researches, documents tracing the selection and awarding…)
- **In-house contracting**
  - Contractual relationship between a PP and a provider under its control
  - Falls outside public procurement scope provided the stringent conditions are met

Points of vigilance (2)

Revenues

Revenues are cash in-flows directly paid by users for goods or services provided by a project

- Revenues, **even if not foreseen at the application stage**, have to be **declared** and will reduce proportionally the maximum eligible expenditure
  - **Implementation phase: All revenues generated during the project implementation must be reported in the APR before the closure of the project . Accounts of these should be available for control purposes.**
  - **Post-implementation: If positive net revenues (gross revenues less any operating and replacement costs) are expected to be generated, they must be estimated and reported in the last Financial Claim.**

Points of vigilance (3)

State Aid

Any advantage conferred by public authorities on a selective basis to undertakings engaged in an economic activity (5 criteria)

- **Only if there is an economic activity**: state aid risk to be checked at both levels:

1. **ERDF level** (80%): consistency threshold of **EUR 500 000 ERDF** granted to an individual PP
   - Below this threshold: no state aid risk at ERDF level
   - Above this threshold : state aid risk at ERDF level

2. **Contribution level** (20%):
   - Private nature of the contribution: no state at risk at contribution level
   - Economic activity + public nature of the contribution: state aid risk at contribution level

- De minimis Regulation, GBER, SGEI

- **MUA's responsibility** to confirm that the project has been designed in compliance with State aid rules at all levels

Questions & Answers

UIA KNOWLEDGE

UIA Knowledge

Focus on the main challenges of implementing innovative projects:

- ✓ **Deployment** strategy
- ✓ Organising a **smart public procurement** process
- ✓ Ensuring the active involvement of **key stakeholders** (participatory approach)
- ✓ Reorganising the municipal services to ensure **cross-department** and **integrated management**
- ✓ Setting up and implementing an effective **process of monitoring and evaluation** of the actions
- ✓ **Communicating** with local partners
- ✓ **Scaling-up** your project

UIA Experts

- **Role of a UIA Expert to support projects**
  - Advice & guidance
  - Capturing knowledge
  - Knowledge sharing
- **Support to projects for the next 3 + 1 years**
- **Selected by the Main Urban Authorities**
  - February 2018
- **Main outputs**
  - Bilateral advice
  - Project Journals
  - Zoom in
  - Support production Final Qualitative Report

Urban ecosystem

URBACT
Connecting cities
Building successes

European Commission
URBAN AGENDA FOR THE EU
WORKING TOGETHER FOR BETTER CITIES

EUROCITIES

UN HABITAT
FOR A BETTER URBAN FUTURE

urban intergroup

CCRE CEMR
Local & Regional Europe

energycities

ICLEI
Local Governments for Sustainability

Next steps – 3rd Call

11 January 2018:	*Applicants Seminar in Bucharest (RO)*
23 January 2018:	*Applicants Seminar in Zagreb (HR)*
7 February 2018:	Applicants Seminar in Malmö (SE)
22 February 2018:	Applicants Seminar in Brussels (BE)
February 2018:	Webinars (first is online!)
30 March 2018:	**Deadline AF submission**
October 2018:	Approval of projects

4th Call for Proposals

- Expected timeframe: October 2018 – March 2018
- Indicative budget: **80-100 Mio ERDF**
- 4 topics addressed:
  - Digital transition
  - Sustainable use of land – Nature-based Solutions
  - Urban Poverty
  - Circular Economy / Urban Mobility / Security (to be confirmed)

Questions & Answers

For more information

www.uia-initiative.eu

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info@uia-initiative.eu