

JOINT CALL FOR PROPOSALS

2013

Urban Europe

creating attractive, sustainable and
economically viable urban areas

2nd Joint Call for Proposals

Joint Programming Initiative URBAN EUROPE

Submission deadline pre-proposals:

18th of September 2013 at 12:00 CET

Submission deadline full proposals:

21st of January 2014 at 12:00 CET

JPI - URBAN EUROPE

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. 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 realize efficient and sustainable urban systems and networks (mobility, energy, water, ICT, etc.)

Urban Europe

Coordinating research and innovation for making better use of Europe's public funds

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Table 1: National Funding Agencies: Amounts and focuses

Country	Agency	Funding 2014-2017 (3 years)	Focus on stage of the research, development and innovation process (A)		
			Basic research	Applied research	Innovation
Austria	FFG	up to 2.1 M€ ¹	X	XX	XX
Belgium	FWO	0.4 M€	XX		
	Innoviris	0.6 M€	X	XX	XX
	IWT	1.0 M€	X	XX	XX
	SPW	1.0 M€		XX	
	FNRS	0.2 M€	XX		
Cyprus	RPF	0.2 M€		XX	
Denmark	DCSR	0.5 M€	XX	XX	
Italy	MIUR	0.5 M€	X	X	X
Netherlands	NWO	1.2 M€	XX	X	
Norway	RCN	0.6 M€	XX	XX	
Sweden	Formas	3.0 M€	X	XX	X
	Swedish Energy Agency ²	0.9 M€	X	XX	XX
Turkey	TÜBİTAK	0.8 M€	XX	X	XX
United Kingdom	ESRC	2.0 M€	XX	XX	X

A) For the definitions of “basic research”, “applied research” and “innovation” used in this call text, please see Annex B.

XX= The funding agency is primarily focused on funding research in this stage.

X = The funding agency has the mandate to fund projects in this stage.

¹ The current Austrian budget is 0.9 M€ with a likely optional extension to 2.1 M€.

² Energy relevance of the project is a criterion for funding from the Swedish Energy Agency.

1. Introduction

Joint Programming Initiative (JPI) Urban Europe hereby invites researchers, practitioners, innovators, and other stakeholders dedicated to the development of European urban areas, to suggest international projects for research and innovation within the field.

European cities are facing complex and widespread problems. Grand challenges such as demographic transformations, resource depletion and climate change, unequal social participation, congested transport networks, and difficult trade-offs in land use decisions can only be turned into opportunities if appropriate policy strategies are applied. Such policy actions need to be supported by dedicated co-ordination of Research and Innovation on the challenges and opportunities of urban environments in Europe.

The aim of Joint Programming Initiative (JPI) Urban Europe is to coordinate research and innovation in order to make better use of Europe's public funds. As part of this initiative, Urban Europe launched its first pilot call in 2012 with 6 participating countries and a joint budget of 9 M€. The call saw cooperation between funding agencies spanning from basic research to innovation and was able to fund 10 joint European projects. For more information and the abstracts of these projects, see the results of the first pilot call: http://www.jpi-urbaneurope.eu/About/Progress/Results_JPI_Urban_Europe_Pilot_Call_2012

The aim of this second joint call of JPI Urban Europe is, as in the first joint call, to bring together partners from different European countries and thereby enable projects that are more relevant and capable than any one country can produce on its own. In addition to this strong focus on creating value by cooperating across national borders, JPI Urban Europe pays particular attention to work that promotes intensive interaction between researchers, policy makers, business and civil society.

The call aims to cover new and innovative approaches, promote interdisciplinary research and collaboration and encourage the involvement of stakeholders, thus bridging gaps between research disciplines, citizens and decision makers, city and transport planners, producers and consumers.

A total amount of joint public funding of approx. 15.0 M€ will be provided by national funding agencies from Austria, Belgium, Cyprus, Denmark, Italy, the Netherlands, Norway, Sweden, Turkey and the United Kingdom.

The theme and topics of this call have been identified by the JPI Urban Europe Governing Board and participating funding agencies together with research experts and stakeholders. The call will see a two-stage application process, and proposals will be evaluated by an Expert Panel making recommendations to the funding agencies. Projects funded via this call will be adopted into the JPI Urban Europe programme.

The call for pre-proposals is open from the 18th of June 2013 to the 18th of September 2013 (12:00 noon CET). In November applicants will be invited to enter the second stage of the procedure: the call for full proposals will close on the 21st of January 2014 (12:00 noon CET).

This document describes the scope, objectives and content of the call, rules for participation and procedures from proposal to implementation of the projects. Further information on the joint call can be found on the Urban Europe website www.jpi-urbaneurope.eu.

2. Scope and Objectives

Urban design, planning and governance are increasingly affected by the heterogeneous and sometimes conflicting demands of cities and urban areas. Such demands may include actions to ensure social inclusion, safety and security, strengthen sustainability and liveability, and to provide efficient mobility and energy solutions. Worldwide economic competition is shifting from a competition between nations to one between cities and urbanising regions making further actions to vitalise and strengthen urban economies crucial, especially given harsh economic times. A strictly sectorial approach could result in neglecting mutual dependencies of these demands. To overcome such constraints an integrated approach can be used in which research and innovation is part of the process to explore, experiment and evaluate new ideas and creative solutions in a complex and real-world context. In this way research will be effective in addressing several of the 'grand challenges' articulated in the European Commission's Horizon 2020 from a perspective in which all research disciplines, policy areas, and daily practices come together; the cities and urban regions of Europe. This is also reflected in the DG Regions Report *Cities of Tomorrow: Challenges, visions, ways forward*.

Today more than 90% of European research is carried out in a strictly national setting, which reduces the ability or likelihood of researchers from different countries to work together to address questions and problems that are best dealt with at the European level. International collaboration creates considerable added value, not only because there is a wider pool of potential participants to choose from when assembling a (research) team, but also because a wider perspective can be taken when selecting the object of research or innovation. Additionally, research and innovation that has been carried out in a cross border setting has a higher potential for dissemination and uptake, since it has been shown to be interesting for several countries already from the outset.

JPI Urban Europe is convinced that a lot of research and innovation with the potential of shaping urban policies and practices, will take place on the intersection of different disciplines and in collaboration with practitioners and other stakeholders. Therefore this call pays special attention to interdisciplinary and transdisciplinary projects, where findings in one field cross-fertilize with end users as well as with researchers in adjacent fields. Even though inter- and transdisciplinarity are particularly encouraged in this call, a clear and appropriate methodological approach (depending on the type of project) is also expected in each project if it is to be awarded funding. The adoption and development of novel methods is another key element for research in JPI Urban Europe's programme. And finally, Urban Living Labs are also considered a promising option to design a research and innovation project dealing with the multi-dimensional challenges in urban areas (see also Annex C).

The different agencies funding this call for proposals focus on varying research approaches. While the participating funding agencies have gone a long way to unite their requirements, applicants still need to be aware of the differences that remain, especially with regards to the distinction between basic research, applied research, and innovation. Relevant definitions as well as examples of this are provided in Annex B. Applicants are encouraged to consult this annex when assembling the project consortium as well as in preparing and writing the project proposal.

3. Call Topics

This call is open to the funding of projects in two topics. Proposals for collaborative transnational projects on basic research, applied research and innovation are welcome.³ However, there is no funding available for industrial/commercial scale pilot projects.

The call topics are listed below. Each proposal should address at least one of these two topics. Topic descriptions include those fields of research which should be clearly addressed by submitted proposals. However, applicants may also explore additional issues within the given topic.

Topic 1. Governance of Urban Complexity

Urbanisation is a dominating global development; an increasing part of the world's consumption, production and services take place within cities. This general growth of cities results in some cities growing very rapidly, while others contract. As cities change size they also change formation and increase in complexity, which entails distinct governance problems. Cities account for extensive ecological and environmental impact, but at the same time, the resource efficiency and innovative climate of cities might offer solutions to these problems. The social environment in city regions is influenced by technological and socio-economic changes, which may lead to unwanted polarisation. The economic life of cities is also growing more complex, both in terms of the city's internal interactions and in its relations with the outside. These changes in the ecological, social, and economic environments of cities – both growing and shrinking – raise both opportunities and problems, and may require new forms of public governance. At the same time, new technological developments, access to large amounts of data and user demands, provide new possibilities for monitoring and analysis to support such new forms of governance.

Specific project goals could be defined as to fit within one or more of the following broad guidelines:

- Explore new forms of participatory and/or self-organising urban governance in terms of local yet scalable solutions for contextual interaction of diverse urban stakeholders, including scientists, politicians, business and civil society. Explore how different actors, public and private, can get involved in the process of co-creation from concept to implementation.
- Explore policy choices and governance frameworks enabling urban centres to manage and address the challenges of urban complexity, such as strengthening sustainability and ecosystem services or providing efficient mobility, logistics and energy solutions.
- Development of new forms of real-time monitoring and distributed participation in planning and decision making, making use of diffusion of ICT. Suggested areas of application are within urban infrastructure, e.g. energy distribution and sustainable mobility.
- Development of large scale data on urban issues and the use of existing data resources to analyse the complex relationship between different entities.

³ For the definition of the three stages of the research, development and innovation process cf. Annex B. Please take into account that different funding agencies will have the possibility to fund different parts of the R&D chain.

Topic 2. Urban Vulnerability, Adaptability, and Resilience

Urban areas are vulnerable to a number of natural, environmental, social, economic and technological threats and challenges. However, strategic, long-range planning, development and management of the resources using an integrated approach and adapted to the actual place and situation, have the potential to deal with these challenges in new and efficient ways. This second topic focuses on improving our understanding of these challenges and of the potential responses to evade, anticipate and/or deal with the adverse effects thereof. Specific project goals could be defined as to fit within one or more of the following broad guidelines:

- Development and testing of theories of system transitions as well as development of advanced systems analysis on system transitions.
- Development of new, adaptive strategies, policies, methods, tools and decision support to manage large scale disruptions (e.g. in flooding, earth quakes, closing down of major industries and social unrest, demographic changes and migration) as well as small scale continuous changes affecting the urban ecological, social and economic systems (e.g. in food, water, biodiversity, spatial segregation, migration).
- Development of new tools, methods, techniques, and policies to monitor growth and change and to forecast risks.

4. Rules for Participation

Some requirements are common for all applicants and 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. The term “proposal” is used both for the pre-proposal in the first stage of the evaluation procedure and the full proposal in the second stage.

Types of projects

This call is open for proposals for project types ranging from basic research to innovation. For more information on the different types of projects, see Annex B. Different funding agencies will have the possibility to fund different parts of the R&D chain. Table 1 indicates which kind of activity will be funded by which funding agency. A combination of different types of research within one project (differentiation at workpackage level) is possible as long as involved funding agencies' eligibility rules are fulfilled.

Who can apply?

Each project proposal must be submitted by a project consortium consisting of at least three eligible applicants from at least three participating countries. Each of the applicants must have the interest and competence to undertake research, development or innovation within the specified themes.

Applicants

An institution or an individual member of the lead organisation is the Main Applicant.⁴ In addition, a proposal must have at least two Co-applicants. The proposal may also include Co-operation Partners, whose role is described further on. Each individual applicant (the person who acts as Main Applicant and/or Co-applicant) may only participate in a maximum of two proposals, and only once as Main Applicant. In the proposal the participation of all partners involved must be convincingly justified.

Only applicants located in the following JPI Urban Europe countries are eligible to apply as Main Applicant or Co-Applicant, irrespective of their nationality: Austria, Belgium, Cyprus, Denmark, Italy, the Netherlands, Norway, Sweden, Turkey and the United Kingdom. Applicants from other countries may participate as a Co-operation Partner.

Main Applicant's role

The Main Applicant will be responsible for running and managing the project. S/he will be the contact point with JPI Urban Europe on behalf of the whole consortium and is responsible for the administrative management of the complete project, should it be awarded funding. In addition, the Main Applicant is responsible for leading the project activities at his/her own organisation. The Main Applicant must be affiliated with an organisation situated in one of the ten participating countries in this call. The specific eligibility rules of the respective funding agency apply.

⁴ The term “Main Applicant” is used both for organisations/legal bodies and for natural persons, depending on the specific eligibility rules of the different funding agencies.

Co-applicants' role

Each Co-applicant is responsible for leading the project activities at his/her own organisation. 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. Each Co-applicant should be affiliated with an organisation situated in a participating country. The specific eligibility rules of the respective funding agency apply.

Co-operation Partners

Partners from countries not participating in this call may be included in the projects as Co-operation Partners. Co-operation Partners can be included in the consortium 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. Project consortia involving Co-operation Partners must ensure that project results will be relevant for participating countries.

General requirements and recommendations

The call secretariat will verify the eligibility of the proposals according to the transnational eligibility criteria below. The participating funding agencies will verify the suitability for national funding according to their respective eligibility criteria.

Transnational eligibility

The total funding available in this programme amounts up to M€ 15.0 across all participating applicants.

Funding

In the proposal a justification of the requested budget will be required. The estimated budget must be given in Euros only and be tabulated according to the proposal template provided. All costs must be eligible according to the funding agencies' rules available (see Annex A). In case of doubt, applicants should consult their respective funding agencies or the coordination office which can advise on funding rules.

Consortium composition

Each consortium should include partners from at least three countries from the participating countries.

Language and form

Proposals must be prepared in English using the designated proposal form. Proposals written in other languages will not be accepted. The proposal form should be completely filled in; incomplete proposal forms will be ineligible.

Submission

Submission of a pre-proposal must be done by means of the FFG electronic submission system (<https://ecall.ffg.at>) **before the deadline of the 18th of September 2013 12:00 CET.**

Submission of a full proposal must be done by means of the FFG electronic submission system (<https://ecall.ffg.at>) **before the deadline of the 21st of January 2014 12:00 CET.**

The pre-proposal/full proposal may only be submitted if **all partners** have previously **completed and submitted** their partner proposals in eCall. Therefore it is **within the main applicant's duties to ensure timely submission of all partner proposals and of the pre-proposal/full proposal as a whole.** It is not possible to resubmit the pre-proposal/full proposal or parts of it or to revise the

pre-proposal/full proposal after the submission deadline.

By transmitting your pre-proposal/full proposal, you agree that it is forwarded to your responsible funding agency as well as to all other participating funding agencies involved in JPI Urban Europe.

If, after reading the instructions on the website www.jpi-urbaneurope.eu, you still have technical questions about the use of the system, please contact the FFG helpdesk.

Ineligibility

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 single Co-applicant is not eligible, the proposal may still be eligible without this partner if and when the eligibility criteria are met by the proposal. 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.

Funding agencies’ rules and eligibility criteria

In addition to the general rules and procedures laid down in this document, there may be specific funding agencies’ rules to be followed by the applicants, e.g. funding agencies’ eligibility criteria for certain organisations, co-funding requirements, national evaluation rules, etc. It is strongly recommended that these are checked with the contact person at the respective funding agency (see the table ‘Contact points of participating funding agencies’ on page 20) before submitting a proposal.

Please note the limitations regarding the types of activities the different funding agencies are able to support.

Both transnational and funding agencies’ eligibility criteria must be positively met.

Project consortium

The added value resulting from transnational cooperation must be addressed in the proposal. There is no limit to the total number of partners who may be involved in each project. However, proposals for medium-sized projects submitted by consortia comprising around 3-5 applicants are expected. Consortia need to be balanced between countries both in terms of number of partners and distribution of budget.

- Consortia may consist of partners from universities, research organisations, institutes, stakeholder associations, city councils, SMEs, and industry
- Consortia are encouraged to include end-users and stakeholders, and may consist of partners active across several steps of the research and innovation chain (i.e. basic research, applied research, innovation) and across disciplines.

On the Urban Europe website www.jpi-urbaneurope.eu information is provided in order to support consortium building.

Project duration and budget

Projects may be funded for a maximum of 3 years, and must start between May and September 2014. The 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.

There are no fixed minimum or maximum limits for a project size. Medium-sized projects with total budgets in the range of 1-2 M€ are typically expected, which allows approximately 10 projects to be granted funding. However, there are (national) funding limits for the respective partners. Table 1 indicates the bandwidth of funds available from each of the respective national funding agencies. For more information on the specific funding agencies' rules, please see Annex A.

5. Evaluation

Evaluation procedure

For this second call, Urban Europe will adopt a **two-stage procedure**. In the first stage, consortia are invited to submit pre-proposals (consortium members, concise project description of no more than a couple of pages, and a budget indication with limited detail). After the submission of the pre-proposals, a selection of approximately 25 pre-proposals will be made. The 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.

Eligible proposals, both pre-proposals and full proposals, will be evaluated in an open competition in which an independent international Expert Panel will rank proposals according to the programme's evaluation criteria. The Panel will consist of esteemed researchers and otherwise recognised experts in relevant fields. The Panel will be appointed by the participating organisations. Applicants will have no possibility for rebuttal to the committee's evaluation.

Based on the ranking by the Expert Panel, and taking into account the available (national) budgets, the Call Secretariat will propose a funding recommendation to the participating funding agencies. The formal funding decisions will be taken by the funding agencies themselves. Funding decisions are final, and cannot be appealed. Projects funded via this call will become part of the programme of JPI Urban Europe.

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, on the subsequent contracting procedure.

Note: Each project recommended for funding is required to have a signed consortium agreement between the applicants prior to the start of the project.

Evaluation criteria

Proposals will be evaluated according to the following criteria. These criteria as well as their weighting depend on the project type ranging from basic research to innovation. The consortium is responsible for assigning a proposal to (a) specific project type(s). A proposal can be assigned to more than one project type (for example, different work packages might fall under different project types); this will be taken into account during the evaluation.

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

(i) Basic research:

	Weighting
Relevance to Urban Europe call text 2013	25
<ul style="list-style-type: none"> ▪ <i>fit to objectives and topics of the call text *)</i> ▪ <i>added value of European transnational co-operation *)</i> 	

Weighting	
Quality of work	35
<ul style="list-style-type: none"> ▪ <i>originality, innovativeness and contribution to knowledge</i> *) ▪ <i>appropriateness of conceptual approach</i> *) ▪ feasibility of aims and objectives of project ▪ feasibility and suitability of project design and method 	
Project organisation and management	25
<p>Organisation of project</p> <ul style="list-style-type: none"> ▪ <i>value for money</i> *) ▪ appropriateness of costing ▪ <i>feasibility and appropriateness of timescale</i> *) <p>Project consortium and management</p> <ul style="list-style-type: none"> ▪ <i>suitability of expertise, balance of substantial contributions of members to project consortium</i> *) ▪ <i>composition of consortium</i> *) ▪ appropriateness of management arrangements for project ▪ track record and/or other key expertise of consortium members 	
Potential impact of the project	15
<ul style="list-style-type: none"> ▪ <i>extent to which the project is likely to be of value to user communities</i> *) ▪ suitability of proposed arrangements for disseminating and communicating outcomes of the project 	

(ii) Applied research:

Weighting	
Relevance to Urban Europe call text 2013	25
<ul style="list-style-type: none"> ▪ <i>fit to objectives and topics of the call text</i> *) ▪ <i>added value of European transnational co-operation</i> *) 	
Quality of work	30
<ul style="list-style-type: none"> ▪ <i>originality, innovativeness and contribution to knowledge</i> *) ▪ <i>appropriateness of conceptual approach</i> *) ▪ feasibility of aims and objectives of project ▪ feasibility and suitability of project design and method 	

Weighting	
Project organisation and management	25
Organisation of project <ul style="list-style-type: none"> ▪ <i>value for money</i> *) ▪ appropriateness of costing ▪ <i>feasibility and appropriateness of timescale</i> *) Project consortium and management <ul style="list-style-type: none"> ▪ <i>suitability of expertise, balance of substantial contributions of members to project consortium</i> *) ▪ <i>composition of consortium</i> *) ▪ appropriateness of management arrangements for project ▪ track record and/or other key expertise of consortium members 	
Potential impact of the project	20
<ul style="list-style-type: none"> ▪ <i>extent to which the project is likely to be of value to user communities</i> *) ▪ suitability of proposed arrangements for disseminating and communicating outcomes of the project 	

(iii) Innovation:

Weighting	
Relevance to Urban Europe call text 2013	25
<ul style="list-style-type: none"> ▪ <i>fit to objectives and topics of the call text</i> *) ▪ <i>added value of European transnational co-operation</i> *) 	
Quality of work	25
<ul style="list-style-type: none"> ▪ <i>originality, innovativeness and contribution to knowledge</i> *) ▪ <i>appropriateness of conceptual approach</i> *) ▪ feasibility of aims and objectives of project ▪ feasibility and suitability of project design and method ▪ handling of development risks 	

Weighting	
Project organisation and management	25
Organisation of project <ul style="list-style-type: none"> ▪ <i>value for money</i> *) ▪ appropriateness of costing ▪ <i>feasibility and appropriateness of timescale</i> *) Project consortium and management <ul style="list-style-type: none"> ▪ <i>suitability of expertise, balance of substantial contributions of members to project consortium</i> *) ▪ <i>composition of consortium</i> *) ▪ appropriateness of management arrangements for project ▪ track record and/or other key expertise of consortium members 	
Potential impact of the project	25
<ul style="list-style-type: none"> ▪ <i>extent to which the project is likely to be of value to user communities</i> *) ▪ <i>market potential of the project</i> *) ▪ suitability of proposed arrangements for disseminating and communicating outcomes of the project 	

Weighting and thresholds

The sum of the main criteria can reach a maximum of 100 points. A summary grade (A: excellent/high, B: good/medium, C: insufficient/low) for each of the main criteria will be communicated to the applicants. In addition to the summary grade for each of the four main criteria, applications will receive an overall grade (A, B or C).

A project is only eligible for funding if the overall threshold of 60 points is reached and if at least the summary grade B is reached for each main criterion. If a project is scored with zero points for the criterion "Relevance to Urban Europe Call Text 2012" the project will receive an overall grade C and will be rejected.

Time Schedule

18 September 2013	Deadline Submission of pre-proposals
October 2013	Meeting of Expert Panel to assess pre-proposals
November 2013	Invite applicants to submit full Proposals
21 January 2014	Deadline Submission of full Proposals

End January	Eligibility check by the central call secretariat and by the national funding agencies
March 2014	Meeting of Expert Panel to assess full proposals
April 2014	Funding decisions by national funding agencies
May 2014	Adoption of selected proposals by Urban Europe Governing Board
May 2014	Announcement of results to Main Applicants
May-September 2014	Start of projects

Documentation and forms

All documents (including application forms and procedure guidelines) are published on the Urban Europe website: www.jpi-urbaneurope.eu

6. Project Implementation and Urban Europe Activities

This call is part of the transnational Joint Programming Initiative Urban Europe which includes various joint programme activities (e.g. knowledge sharing, networking) that are described in this section. Participants of projects funded via this call are expected to actively participate in the programme activities and to consider this in the planning of their project proposal by including budget to participate in JPI workshops etc.

Project monitoring and reporting

Project monitoring and reporting will be in accordance with the respective funding agency's rules.

In addition to the respective funding agency's requirements, the consortia are expected to deliver short progress reports to the Urban Europe Research 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.

Furthermore, a 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 and the Strategic Research Framework of JPI Urban Europe.⁵

Programme activities

The coordination of the programme is seen as very important for creating added value to the researchers involved in the programme. The programme is directed by the Management Board (MB)⁶ of the JPI Urban Europe. The MB is responsible for ensuring the integration of funded projects. An initial programme seminar for all projects funded within the Urban Europe Second Joint Call will be organised in 2014. Active participation of the funded projects is obligatory, e.g. by preparing short project presentations and/or posters.

All consortia of successfully evaluated 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).

⁵ The Strategic Research Framework of JPI Urban Europe is available on the website www.jpi-urbaneurope.eu

⁶ The MB currently consists of three members: Margit Noll (Chair), Carl Hamilton, and Arjan van Binsbergen.

7. Contacts and Further Information

General information on the joint call

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

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

Johannes Bockstefl

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Contact points of participating funding agencies

For questions regarding specific funding agencies' rules and additional forms please check "Annex A: Specific funding agencies' rules" first. Additional information can be obtained by contacting the following persons at the participating funding agencies.

Country	Agency	Contact Person
Austria	FFG Austrian Research Promotion Agency	Johannes Bockstefl E- mail: Johannes.Bockstefl@ffg.at Tel.: +43-(0)5 7755-5042 www.ffg.at
Belgium	FWO Research Foundation Flanders	Olivier Boehme E-mail: olivier.boehme@fwo.be Tel.: +32-(0)2-550 15 45 www.fwo.be
	Innoviris The Brussels Institute for Research and Innovation	Beata Bibrowska E-mail: bbibrowska@innoviris.irisnet.be Tel.: +32 2 600 50 22 www.innoviris.be
	IWT Agency for Innovation by Science and Technology	Carine Lucas E-mail: cl@iwt.be Tel.: +32 (0)2 432 43 05 or Nico Deblauwe E-mail: ndb@iwt.be Tel.: +32 (0)2 432 43 00 www.iwt.be
	SPW Public Service of Wallonia	Thierry Van Cauwenberg E-mail: thierry.vancauwenberg@spw.wallonie.be Tel.: +32 (0) 81 334540 http://recherche-technologie.wallonie.be/
	FNRS Fund for Scientific Research	Freia Van Hee E-mail: freia.vanhee@frs-fnrs.be Tel.: +32 (0)2 504 93 09 www.frs-fnrs.be
Cyprus	RPF Research Promotion Foundation	Katerina Kari E-mail: kkari@research.org.cy Tel.: +357-22205042 www.research.org.cy
Denmark	DCSR The Danish Council for Strategic Research	Anne Munk Christiansen E-mail: akmc@fi.dk Tel.: +45 7231 8394 www.fivu.dk/dsf

Italy	MIUR Ministry of Education, Universities and Research	Alberto Martuscelli E-mail: alberto.martuscelli@miur.it Tel.: +39 (0)6 9772-7473 www.ricercainternazionale.miur.it
Netherlands	NWO Netherlands Organisation for Scientific Research	Wieske Bressers E-mail: w.bressers@nwo.nl Tel.: +31 70 344 09 79 www.nwo.nl
Norway	RCN Research Council of Norway	Stine Madland Kaasa (<i>before August 1, 2013</i>) E-mail: smk@rcn.no Tel.: +47 22037561 Jonas Enge (<i>after August 1, 2013</i>) E-mail: jen@rcn.no Tel.: +47 22037107 www.rcn.no
Sweden	Formas Swedish Research Council for Environment, Agricultural Sciences and Spatial Planning Swedish Energy Agency	Kristina Björnberg E-mail: kristina.bjornberg@formas.se Tel.: +46 87754052 Mobile: +46 704920623 www.formas.se Emina Pasic E-mail: emina.pasic@swedishenergyagency.se Tel.: +46 16 544 21 89 www.swedishenergyagency.se
Turkey	TÜBİTAK The Scientific and Technological Research Council of Turkey	Serhat Melik E-mail: serhat.melik@tubitak.gov.tr Tel.: +90 312 468 5300/1984 www.tubitak.gov.tr
United Kingdom	ESRC Economic and Social Research Council	Rick Hamilton E-mail: cities@esrc.ac.uk Tel.: +44 (0) 1793 413031 www.esrc.ac.uk

Annex A: Specific Funding Agencies' Rules

AUSTRIA

The organisations which are eligible for funding as well as the eligibility criteria for cooperation are listed in the national guidelines available via www.ffg.at/JPIUrbanEurope

BELGIUM

FWO

For projects proposed for funding by FWO, the regulation on the FWO funding instrument 'Research Projects' is applicable: <http://www.fwo.be/Documentatie.aspx?ID=399b8594-9710-4771-9289-426ff73731e1&L=nl>. You can also contact FWO (olivier.boehme@fwo.be or geertrui.poelaert@fwo.be).

IWT

For IWT applicants, the funding rules of the SBO-programme (Strategic Basic Research, see www.iwt.be/subsidies/sbo) or the industrial R&D projects (see www.iwt.be/subsidies/oeno-bedrijfsproject) apply. For further information, you can also contact Carine Lucas or Nico Deblauwe (contact details, see page 20).

Innoviris

Innoviris will finance basic, applied research and experimental development activities in this call. For approved projects, usual regional funding rules will apply. A specific document explaining the regional conditions of funding will be elaborated and put online at the launching of this call. For further information please contact Beata Bibrowska (contact details page 20).

SPW

A specific web page will be published at the launch of the call presenting all eligibility criteria.

FNRS

The maximum amount that can be granted by FNRS to an applicant from the French-speaking Community of Belgium is 200.000 EUR for a 3 years' research project. Eligible costs include staff, travel, equipment and consumables. Overhead is not an eligible cost. A dedicated webpage is accessible from the FNRS section 'Appels à propositions': <http://www.frs-fnrs.be/fr/financer-les-chercheurs/appels-a-propositions.html>. Please note that applicants requesting funding from FNRS through this call cannot cumulate this with funding requests to (one of) the other Belgian funding agencies participating in this call. For more information please contact freia.vanhee@frs-fnrs.be.

CYPRUS

For Cypriot applicants, the funding rules of the Research Promotion Foundation apply. Please see http://www.research.org.cy/EL/cy_research_fund/20092010/pillar5/diethnis/_call.html or contact Katerina Kari for further information.

DENMARK

For Danish applicants, the funding rules of The Danish Council for Strategic Research apply. Please see www.fivu.dk/en/jpi-funds, where you will find the document "[Guidelines – The Danish Council for Strategic Research's rules for budgeting, grants etc. relating to transnational calls](#)"

([february 2013](#))” in the left column under “Forms and guidelines”. You are also welcome to contact Anne Munk Christiansen for further information.

ITALY

For Italian applicants, the funding rules and national eligibility criteria of MIUR apply. Please see <http://www.ricercainternazionale.miur.it/era/programmazione-congiunta.aspx> or contact Alberto Martuscelli for further information.

NETHERLANDS

For Dutch applicants, the funding rules of NWO apply. Please see www.nwo.nl/urbaneurope or contact Wieske Bressers for further information.

NORWAY

The rules of Researcher projects on eligibility and expenses apply for Norwegian applicants. Please see http://www.forskningsradet.no/en/Researcher_project/1195592882768 for further information or contact Stine Madland Kaasa (before August 1, 2013) or Jonas Enge (after August 1, 2013).

SWEDEN

Formas, The Swedish Research Council for Environment, Agricultural Sciences and Spatial Planning, and Swedish Energy Agency will fund Swedish participants in prioritized consortia.

Formas

The usual funding rules for Formas apply and are described in the publication Formas handbook, available for downloading at www.formas.se. Note that the applicant must have a doctoral degree and that grants can only be administered by Swedish universities, university colleges, research institutes or authorities with research undertakings. For full proposals a National Budget Appendix will be required specifying direct and indirect costs and national co-financing. For further information please contact Kristina Björnberg.

The Swedish Energy Agency

The Swedish Energy Agency works for the use of renewable energy, improved technologies, a smarter end-use of energy, and mitigation of climate change. Our mission is a sustainable energy system. The Agency potentially supports the following types of RTD: industrial / applied research, experimental development, fundamental / basic research. A criterion for funding from the Swedish Energy Agency is that the project has energy relevance.

The Agency potentially supports all private and public applicants, namely: Large Enterprises LE; Small and Medium-sized Enterprises; Public Research Institutions; Research Organisations; other types of organisations.

The maximum rate of support for *fundamental research* is 100% of total costs; for *applied research* max. 100% of total costs for non-profit research organisations, max. 85% of total costs for SMEs and or max. 65% of total costs for LEs; for *experimental development* max. 100% of total costs for non-profit research organisations, max. 60% of total costs for SMEs and max. 40% of total costs for LEs.

The Urban Europe proposal forms can be used for the pre-proposal stage. National application forms have to be used for in the full proposal phase. Further information can be obtained from the national contact points or website.

<http://www.energimyndigheten.se/Om-oss/Utlysningar/>

Funding of enterprise RTD is subject to Swedish legislations *Förordning om statligt stöd till forskning och utveckling samt innovation inom energiområdet* (SFS2008:761).

TURKEY

In the frame of JPI Urban Europe 2013 Pilot Call, TÜBİTAK funds the collaborative research and innovation projects.

In this respect, the applicants from Turkey can be funded by one of the following support programmes of TÜBİTAK. Please check the websites:

- ARDEB 1001 Research Projects Programme (The Support Programme for Scientific and Technological Research Projects), **or**
- TEYDEB 1509 International Industrial R&D Funding Programme.

Proposals that are more academic research oriented are advised to apply for the ARDEB 1001 Research Projects Programme.

Proposals that are more commercial research oriented are advised to apply for the TEYDEB 1509 International Industrial R&D Funding Programme. (For this call, the maximum funding per project that will be funded by the TEYDEB 1509 Programme is expected to be between 250.000 – 300.000 Euros (total for three years) to be shared between participating Turkish partners). The applications made simultaneously to the TÜBİTAK TEYDEB 1509 International Industrial R&D Funding Programme will be subject to TÜBİTAK review in addition to the evaluation made by independent peer-reviewers in the frame of the JPI Urban Europe Call.

For detail information, please also check the document TÜBİTAK National Rules in JPI Urban Europe 2013 Call.

In addition to the national funding regulations provided herewith, all Turkish applicants are strongly advised to check the web pages of these programmes for the conditions of funding, and before applying they are strongly advised to contact with the Turkish national contact point.

UNITED KINGDOM

The ESRC is the UK's leading research and training funding agency addressing economic and social concerns. The ESRC will fund the UK partner(s) of any successful applications that fall within its remit. A full list of acceptable ESRC research areas is available at:

<http://www.esrc.ac.uk/funding-and-guidance/guidance/applicants/proposal-classifications-ESRC-disciplines.aspx>

All UK applicants (whether Main or Co-applicants) must be associated with an eligible Research Organisation. Applicants are encouraged to consult the ESRC Research Funding Guide for eligibility information: <http://www.esrc.ac.uk/RFG>

The ESRC will fund and support high quality basic, strategic and applied research in the social sciences which meets the needs of users and beneficiaries. Our mission places emphasis on ensuring researchers engage as fully with the users of research outcomes. These may be other academics, government departments, public bodies, business, voluntary organisations or other interested partners.

Applicants requesting ESRC funds may therefore also include costs associated with knowledge exchange, co-production and collaboration between researchers and the private, public and civil society sectors. This may include costs for activities such as: academic placements with a civil society, business or public organisation; policy or evidence seminars; the development of tools that emerge from research that can maximise the use of research outputs in practitioner communities; and collaborative research, where researchers are engaging directly with users in shaping the

research agenda in apply social science to current issues relating to policy, strategy or practice. In such cases the ESRC expects to see research and knowledge exchange activities developed in collaboration with non-academic stakeholders, and welcomes co-funding (case or in-kind) as a demonstration of support for such activities.

Further guidance on costing of applications will be provided to applicants invited to submit full proposals. However, once final decisions have been agreed, all successful UK applicants will need to submit their application through Je-S, therefore all UK applicants and co-investigators will need to be Je-S registered.

The ESRC is liaising closely with the [UK Technology Strategy Board \(TSB\)](#) in developing its activities around Cities and Urbanisation and therefore welcomes applications, especially for Urban Living Labs, from UK based teams which seek to build links with the TSB's Future Cities Catapult and 30 Demonstrator Cities that submitted proposals as part of its Future Cities Demonstrator competition. For more information see: <https://connect.innovateuk.org/web/future-cities-special-interest-group/feasibility-studies>

Annex B: Research and innovation

JPI Urban Europe gathers a wide range of funding agencies from a total of 10 countries, each with its own history, ministerial instructions, and strategic focus. This diversity offers ample opportunities for sharing experiences and learning from each other, but it also comes with some administrative and conceptual challenges when planning a joint call.

One simple but important component in managing our differences is to establish a common terminology for the various stages in the research chain. In the following, a table is presented that attempts to define three stages in the research chain by addressing some key characteristics.

Terminology

The term “basic research” is easily grasped when discussing the natural sciences. In social science, however, the term becomes a little vague. In the following, **basic urban research** is defined as that which is driven by the desire to know, understand, and explain cities, how they work and interact across domains and sectors. This does not have anything directly to do with attempts to influence or plan the cities. Basic 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 – such as gentrification, parking, waste water, criminality etc. – or a city in its entirety, or even a network of related cities. Basic urban research can be theoretical, comparative or case specific. For basic urban research, the prime goal is to expand on the common knowledge about cities and how they function. In line with this, it places a high value on traditional scientific method and publication in high ranking peer reviewed journals. This is similar but not identical to what the EU RDI Community Framework⁷ classifies as “*Fundamental Research*”.

Based on an understanding of how cities function, it is natural to take a next step and allow that to influence policy and interventions. Knowledge creation about this process is the field of applied urban science – what works, and under what circumstances? **Applied urban research** is about how city officials, citizens, 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 always has a policy influence on some level, and aims at being tangible and applicable to such a degree that the results are likely to have an impact on actual decisions. 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. This is similar but not identical to what the EU RDI Community Framework classifies as “*Industrial Research*”.

While basic and applied urban research are both focused on producing knowledge, **urban innovation** takes things one step further, and promotes the actual creation or advancement towards new products, services, policies, practices, or processes, such that the first actual impact already takes place during the project. Products, services, policies, practices, and processes 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

⁷ ‘Community Framework for State Aid for Research and Development and Innovation’ (Official Journal of the European Union 2006/C 323/01)

collaboration with practitioners or end users. This is similar but not identical to what the EU RDI Community Framework classifies as "*Experimental Development*".

Table 2: Definitions of basic research, applied research, and innovation

	Basic research	Applied research	Innovation
Desired impact	Advance towards answering the question “ <i>How do cities really function?</i> ”, 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 question “ <i>What works, when attempting to improve cities?</i> ” in a way that can be generalised enough to serve as useful knowledge for decision-makers and practitioners.	Advance towards the development and uptake of new products, services, policies, practices, and processes, with potential for improving economic, social, or environmental sustainability in European cities.
Importance of generating results fitting for publication in reputable academic journals	Highest importance	Very important	Encouraged
Methodological approach	Rigorous scientific method including methodological advancement	Scientific method including methodological advancement	Systematic approach
Foundation of work on evaluation and analysis of empirical observations	Encouraged	Encouraged	Required
Involvement of practitioners and/or end users	Accepted	Encouraged	Required
Role for applying <i>Urban Living Labs</i>	Rarely fits	Welcome	Encouraged
Role for policy research	Rarely fits	Fits well	May fit
Role of multi-disciplinarity	Encouraged		
Academic disciplines expected in project	All welcome		
Preference for qualitative or quantitative methods	Both welcome		
Main background of evaluators for project assessment (<i>evaluators assigned to assess the other project categories will be included vice versa</i>)	Well-respected university researchers	Well-respected researchers	Representatives of companies, cities and other relevant stakeholders

Annex C: Urban Living Labs

Parts of this call are directed at projects employing an approach to research we have chosen to call *Urban Living Labs*. This concept can be defined as follows: It is a forum for innovation, applied to the development of new products, systems, services, and processes, employing working methods to integrate people into the entire development process as users and co-creators, to explore, examine, experiment, test and evaluate new ideas, scenarios, processes, systems, concepts and creative solutions in complex and real contexts.

In the first pilot call of JPI Urban Europe five projects which will employ Urban Living Labs were granted funding. For more information and the abstracts of these projects, see the results of the pilot call:

http://www.jpi-urbaneurope.eu/About/Progress/Results_JPI_Urban_Europe_Pilot_Call_2012

The following points describe the characteristics of Urban Living Labs:

- An Urban Living Lab brings in expertise from several academic disciplines, and integrates them deeply together. The research process is designed not only to add the result from the various disciplines, but also to connect them together to form cycles of learning and feedback. This enables more learning for all parties involved than the simple serial connection of a process from one discipline being followed by a process from another discipline.
- While embracing the fluidity, the openness to serendipity, and the iterative nature of working across disciplines, organisations and sectors, an Urban Living Lab maintains the rigour and orderliness characteristic for scientific method. Constituted by the appropriate methods, knowledge and expertise, the methods applied facilitate the creation of knowledge which is transferable to new areas and new markets.
- An Urban Living Lab may contain activities representing all the steps from basic research to innovation. The major part of its effort is however at the later stages of the innovation process, in innovation and to some extent applied research.
- An Urban Living Lab involves partners representing more than one sector of society other than academia, e.g. a municipal government, a private company, or a non-governmental organization. It is a forum for research and discovery, that by its design is open for learning and exploration in any direction, between any combination of participants.
- An Urban Living Lab is based on users and other stakeholders being co-creator in a systematic way in the innovation process. The users involved are those who are or would be affected in a real situation, with all their experience and expectations available and made useful in the project. Note that this goes far beyond what might be achieved by adding a reference group or panel of users to a traditional research project. In an Urban Living Lab, users are deeply and actively involved from the early stages of the project, and the research is by its design open for surprises and learning that originates from the users involved.
- Users in an Urban Living Lab may refer to both end users of a product or service or other relevant stakeholders, or those involved in service provision. The needs of end users resp. other relevant stakeholders and the working conditions of service providers are both recognized, in their respective context.
- An Urban Living Lab is located right where the process being addressed takes place, in real time and in the real context of the process. When presented with the results from an Urban

Living Lab, nobody will have to ask “But will it work in reality?” because it is already taking place in reality.

The Living Lab concept has successfully been tested in the ICT sector, and is used, for example by the Massachusetts Institute of Technology, in fields such as poverty, health, energy and creative work. As a method, the Urban Living Labs concept is applied to urban areas to design a Research and Innovation system, which deals with the multi-dimensional challenges in urban areas.

If successfully implemented, an Urban Living Lab helps promote close collaboration between scientists, politicians, business and civil society. Its innovative approach gives different actors the opportunity to influence and change the current arena through research involving interaction and learning processes. In this way sustainable urban development can be concretized, tested and translated into real life situations where questions about what constitutes social, cultural and ecological sustainability are included.