

# Call for Transfer Experts

supporting the design, implementation, and  
monitoring of the transfer component of the European  
Urban Initiation – Innovative Actions

Annexes

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# ANNEX 1 – WORK PACKAGE 5 - TRANSFER

## 5.1 INTRODUCTION

A key novelty in comparison to the Urban Innovative Actions projects financed during the 2014-2020 programming period is the embedment of the transnational transfer component as an integral part of EUI-IA projects.

It is important to underline that the primary focus of the EUI-IA projects remains on the testing of new innovative solutions in a given locality, but with this new component it is expected that the processes and results of experimentation will be followed by partner cities from other countries (Transfer Partners). A dedicated Transfer Work Package is now included in all EUI-IA projects, with specific activities, budgets, deliverables and outputs.

EUI-IA is established to identify and support the testing of transferable and scalable innovative solutions to address issues relating to sustainable urban development at the European Union level. It also aims to collect and share results from experimentations (also via supporting transfer activities) to foster innovation capacities and knowledge building for all EU urban areas. The objective is that EUI-IA project outputs are used (replicated, scaled up) by other EU cities increasing the impact of the whole Initiative, contributing to urban policymaking on different levels, as well as supporting cooperation between European urban areas.

### Objectives

Introducing the transfer component into the EUI-IA projects, should achieve the following objectives:

- To increase the general adaptability and replicability of the innovative solution developed by the EUI-IA project to other urban areas in the EU and then enhance its chances to be replicated abroad and deployed at wider scale (possibly with funding from mainstream Cohesion policy programmes).
- To allow Transfer Partners to raise their own innovation potential and increase their capacity for implementing innovative solutions (both in terms of content and process).
- To prepare the process of replicating the tested innovative solution in the cities participating in the transfer activities and benefiting from a ready to replicate solution.
- To contribute to the improvement of local policies and strategies.
- To support knowledge exchange between all Partners.

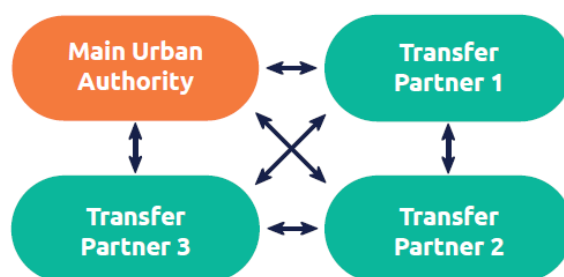
Furthermore, the MUA will be able to benefit from the EU recognition of their transformative role and to test the replicability of their innovative action model by confronting it to other urban realities and experiences.

## Partnership

As presented above in the Chapter 2.1 “Partnership for the European Urban Initiative – Innovative Actions”, the Project Partnership is in principle composed of the MUA (and AUA – if relevant), Delivery Partners and 3 Transfer Partners. For the implementation of the Work Package Transfer, the involvement is obligatory at least for the MUA and the Transfer Partners. If not the MUA itself, it is required that at least one Delivery Partner demonstrates experience in managing or being part of international transfer or networking activities in order to facilitate/support the MUA if needed in the successful implementation of the transfer activities. Moreover, it is highly recommended that Delivery Partners are also actively involved as their presence will be beneficial for reaching the objectives of the transfer component of the EUI-IA projects and the overall legacy of the project.

It’s important to underline that the entire transfer cooperation should support multidirectional exchanges and should not be designed as only one way (from the MUA to Transfer Partners) knowledge transfer (Figure 5 below).

Figure 5. Multidirectional exchanges in the transfer cooperation



## Timeline

As explained in the Chapter 1.7 “Project phases”, the **implementation of the Work Package Transfer must be launched at the latest 12 months after the start of the Implementation phase and must continue until the end-date of the project implementation.**

Launching the Work Package Transfer means that:

- The Partnership Agreement with the Transfer Partners must be signed and provided to the Permanent Secretariat;
- The Application Form (Part B related to Transfer Partners and activities, deliverables and outputs of the Work Package Transfer) must be updated with the transfer cooperation details, based on the workplan jointly discussed and agreed with the Transfer Partners.

## 5.2 IDENTIFICATION AND SELECTION OF THE TRANSFER PARTNERS

The MUA holds the responsibility for the identification and selection of the Transfer Partners that will integrate to the Partnership.

The process of identifying Transfer Partners should start already at the application stage, when applicants are asked to identify other European urban areas that could benefit from replicating the proposed solution in view of the favourable conditions for transfer (similar characteristic, contexts) or of increasing their innovation potential; to elaborate on how the most suitable Transfer Partners will be identified; and if already identified, specify potential Transfer Partners together with the underlying motivations/rationale.

Since one of the EUI-IA's objectives is that project outputs will be used by other cities, increasing the impact of the whole Initiative and that the ambition of the EUI-IA is to increase the replicability of the innovative solutions developed by the projects, it is important that projects at application stage can demonstrate a well-elaborated process, rationale and motivation behind the selection of the most suitable Transfer Partners.

**Transfer Partners must be identified at the latest during the Initiation Phase and successful completion of the Initiation Phase is conditioned by Transfer Partners signing, as minimum, letters of intent.** Signing of the Partnership Agreement is the next step required to launch Work Package Transfer and to launch the transfer of the first part of the lumpsum for Transfer Partners (please see below for the details).

The selection of the Transfer Partners should allow: (i) to maintain a good balance in terms of variety of cities involved in the Partnership (their size (small, medium-sized, large cities) and localisation (less-developed, transition and more developed regions)), and (ii) to gather the most relevant Transfer Partners for the quality of the replication activities.

Therefore, the selection of the Transfer Partners will follow some guiding principles:

- Transfer Partners come from different EU Member States;
- At least two of the four cities involved (MUA + the 3 Transfer Partners) are located in less developed or transition regions<sup>1</sup>;
- The partnership includes cities of different sizes.

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<sup>1</sup> <https://ec.europa.eu/eurostat/web/regions/background>

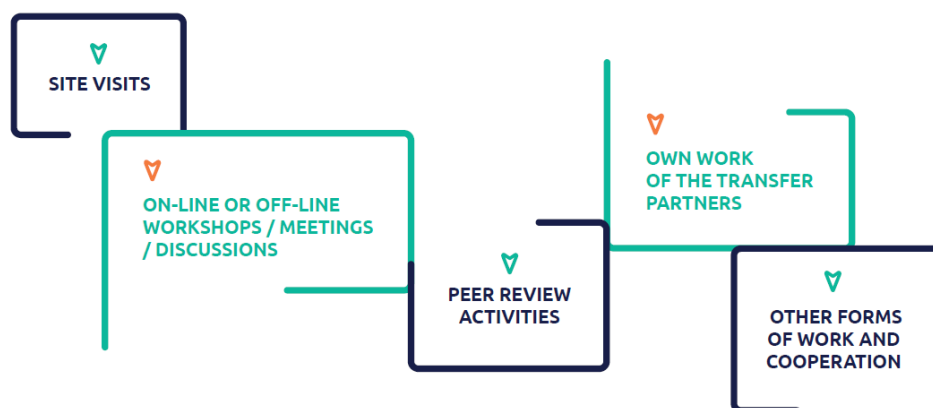
## 5.3 TRANSFER WORKING METHODS

Following the abovementioned objectives and description of the Work Package Transfer presented in the Chapter 2.2 “Project Work Plan”, this Work Package should focus on:

- allowing Transfer Partners to follow the planning and piloting of the tested innovative solution,
- allowing Transfer Partners to analyse their local urban contexts in order to better understand how the innovative solution can be adapted to meet local needs and conditions,
- exchange of knowledge and experience between all the Project Partners,
- sharing critical inputs that can both bring the external perspective to the EUI-IA project and inspire Transfer Partners,
- the preparation by Transfer Partners of a documentation that can serve them for the future replication of the innovative solution (Replication Feasibility and Opportunity Study and investment documentation),
- the preparation, by the MUA and its Project Partners, of the legacy of the EUI-IA project in the form of a EUI - Innovative Solution Model to be used by other EU cities interested in the innovative solution.

The above activities can be realised using the following palette of working methods (Figure 6 below):

Figure 6. Transfer cooperation working methods



- **Site visits.** Site visits can take place both in the city where EUI-IA project is being implemented and in Transfer Partners' cities (local visits) to allow all Project Partners to exchange the knowledge and experience, as well as to better understand local situations in the Transfer Partners cities, in order to advise on adapting innovative solutions to local contexts. It is obligatory that a minimum 3 site visits in the MUA's city will take place:

- opening visit to discuss framework for cooperation, details of the work plan, timeline, communication tools, etc.;
  - a visit dedicated to in-depth understanding of the innovative solution and
  - closing visit summarising transfer cooperation.
- **On-line or off-line workshops/meetings/discussions** about the aspects of preparing and implementing the innovative solution. Partners should make sure that not only the innovative solution as such is discussed but also all other aspects necessary for its successful implementation and further functioning (Figure 7 below).

**Figure 7. Examples of the different aspects of the process of the innovative solution's implementation**



- **Peer review activities** – evaluation of the work done by the Transfer Partners allowing everyone to benefit from external critical inputs.
- **The own work of the Transfer Partners** allowing them to further capitalise on learnings coming from the transfer exchange but also to prepare for future adaptation and replication of the innovative solution.
- **Other forms of work and cooperation** that the Project Partners wish to introduce: work-shadowing, conferences, thematic activities, being part of Advisory Board or Steering Committee, etc.

Transfer Partners are expected to prepare the following pre-defined learning and investment deliverables and outputs:

- **Transfer Capacity Survey** – two self-assessment surveys for each Transfer Partner (at the beginning and at the end of the Work Package Transfer) allowing Transfer Partners to assess their readiness for replicating innovative solution at the beginning and at the end of the transfer cooperation (learning deliverable).
- **Replication Feasibility and Opportunity Study** – (one per each Transfer Partner) summarising what is the local challenge, how the transferred innovative solutions can be adapted to the local context, what are the necessary steps to implement it, what are the identified funding sources, how management structure and key management processes can be shaped, etc. (investment output).

Moreover, if fitting within the timeframe and allocated budget, Transfer Partners are also allowed to finance:

- **Investment documentation** needed for the implementation of the innovative solution – expertise, legal analysis, construction project, environmental impact analysis, etc. and the implementation of a **small-scale pilot investments**.

The MUA is expected to prepare a following output:

- **EUI - Innovative Solution Model** – a final document focused on the transferability and scaling up of the tested innovative solution in order to allow others (not only Transfer Partners but also all interested EU cities) to learn about the findings of the experimentation and receive some guidance on how to approach replication. It is expected that Transfer Partners will contribute to the development of this document adding their perspective on the process. The EUI - Innovative Solution Model will be publicly available on the EU Knowledge Exchange Sharing Platform and EUI webpage as a legacy of the EUI-IA project implementation.

## 5.4 BUDGET AND FINANCIAL PRINCIPLES

Total budget of the Work Package Transfer is to be decided by the EUI-IA applicant and should include:

- a budget allocated to the MUA and relevant Delivery Partners supporting implementation of the Transfer Work Package;
- budgets for each Transfer Partner in a form of a lump sum (simplified cost option) amounting to EUR 150 000 (corresponding to EUR 120 000 ERDF and own contribution of EUR 30 000).

Transfer Partners are expected to cover from their allocated budget the following costs: staff costs related to the involvement in the Transfer Partnership; travel costs related to the participation in the

site visits (travel, food, accommodation); preparation of the Transfer Capacity Survey; preparation of the Replication Feasibility and Opportunity Study; preparation of the investment documentation (if relevant); implementation of the small-scale pilot investments (if relevant); organization of the local visit (if relevant). All other costs related to the implementation of the Work Package Transfer (e.g. management of the Work Package Transfer, communication activities, organisation of the site visits, workshops, meetings and other form of cooperation, etc.) must be covered by the budget allocated for this Work Package by the MUA.

Lump sums for the Transfer Partners will be reported in FCs (30% in FC1 and 70% in FC2). They will be accepted provided that all following conditions are met – for FC1: the Partnership Agreement with the Transfer Partners is signed and provided to the Permanent Secretariat (please note that, in principle, the whole ERDF payment related to FC1 will be suspended in the absence of the above condition); for FC2: Transfer Partners' pre-defined deliverables and outputs are completed and submitted to the Permanent Secretariat. Please note that, as for all other Project Partners, it is the responsibility of the MUA to collect and submit all the Transfer Partners' deliverables and outputs to the Permanent Secretariat and pay lump sums to the Transfer Partners.



## ANNEX 2: SUSTAINABLE URBAN DEVELOPMENT -RELATED THEMES

Thematic areas	Sectoral principles/areas in relation to sustainable urban development	
Level 1	Level 2	Topics that could be covered
<b>Productive, smart and connected</b>		
	Research and Innovation	Social Innovation, Business Incubation
	Digital transition	Digital economy; Digital technologies and processes (AI, data standardisation) ; Data protection (GDPR)
	Local production	green industrialisation; crafts -creative industries
	Mobility	Active mobility; walkable cities ; cycling ; Traffic Management
	Transportation and logistics systems	sustainable supply chains and logistics
	Sustainable tourism	
	Circular Economy	sustainable production and consumption patterns.
	Job creation and entrepreneurship	Social entrepreneurship ; social economy ; jobs all type of industries
<b>Green</b>		
	Sustainable soil and land use	land take ; underused land; sustainable use of land
	Food systems	
	Resilient environments	flood management; fire management; risk prevention and management
	Climate adaptation	Heat islands; Nature Based Solutions
	Climate change mitigation	air quality ; air pollution ; depollution
	Water management	water conservation, stormwater management, and wastewater treatment.
	Nature protection and biodiversity	nature based solutions; urban forest; green infrastructure
	Energy transition	Energy retrofitting, energy production ; renewable energy ; smart energy grids ; energy efficiency ;energy production, energy storage ; Positive Energy Districts
	Waste management	waste and recycling; water management; waste management; construction materials

<b>Just and Inclusive</b>		
	Social inclusion	multidimensional poverty ; social integration and exclusion ; vulnerable groups ; youth ; children ; ageing ; migrants and refugees ; inequality ; gender equality
	Affordable housing	social housing; homelessness ; adequate, accessible and affordable housing , sustainable housing ; right to housing; gentrification ; co-housing; housing cooperative
	Education and employment	employability; training ; life-long learning; apprenticeship ; skills ; talent management; education
	Health and well-being	
	Culture and cultural heritage	cultural preservation
	Safe and secure urban environment	
	Urban regeneration	brownfield regeneration, revitalisation of city centres, shrinking cities ; public space design and activation

<b>Operational topics:</b> implementation related topics		
		Note: integrated approach, sustainable urban development strategies and localising SDGs will be included as tags
<b>Level 1</b>	<b>Level 2</b>	<b>Topics that could be covered</b>
<b>Strategy</b>	Global agendas and policy frameworks	Synergies with global agendas and other policy frameworks, Links with public policies (national, regional), EU policies and policy frameworks (New Leipzig Charter) and Global agendas
	Strategy design	Analysis, knowledge-based strategy making, creating strategic capacities at local level
	SUD strategy implementation	all content related to bridging strategies and operational programmes, project pipelines
<b>Governance</b>	Multi-level governance	Links between National, Regional, local levels
	Multi-stakeholder approach	Partnership creation, stakeholder dialogue, consultation
<b>Participation and Communication</b>	Citizen engagement	co-creation participation strategy and processes
	Communication with beneficiaries	awareness campaign
<b>Resource and funding</b>	Access to funding	sources of funding, selection procedures, criteria for funding; preparation of funding applications
	Financial sustainability	
	Public Procurement	financial schemes; tendering ; awarding
<b>Data management and evaluation</b>	Data collection and analysis	Data management ; data interoperability
	Monitoring and evaluation	data collection for monitoring purposes; assessment; measuring success, localising SDGs
<b>Scaling up and transfer</b>	Capitalisation	Learning from experience; modelling knowledge
	Scaling up	from small scale to bigger scale
	Transfer/Replication	adapting public policies to other contexts
<b>Territorial focus</b>	Functional urban areas	urban- rural linkages
	Integrated territorial tools	Community-led local development Led , Integrated Territorial Investment, Other Territorial Tools
	Territorial Impact Assessment	
	Urban design	design of buildings, groups of buildings, spaces and landscapes, and establishing frameworks and procedures that will deliver successful development (including attention to use, design thinking approaches, )
	Small and medium sized cities	Atlas JRC, URBACT