



CiViTAS
Cleaner and better transport in cities

CAPITAL



Terms of Reference for the 1st call for proposals of the CIVITAS Activity Fund

This document is one of three documents supporting the 1st call for proposals of the CIVITAS Activity Fund. The two other documents are:

- The Application Form;
- The catalogue of inspiring CIVITAS cities and measures.



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THE CIVITAS INITIATIVE
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Terms of Reference for the 1st call for proposals of the CIVITAS Activity Fund

1 Capitalising on CIVITAS

Over the last ten years CIVITAS has supported more than 700 measures in 58 cities across Europe. CIVITAS is one of the most successful EU programmes in promoting innovative solutions for sustainable development. The public and private sector partners in these 19 projects have invested one billion Euros – considerably leveraging the Community support of over 180 million Euros. However, the goals of the EU Transport White Paper can only be achieved through a strategy of capitalising on the experiences and the network of CIVITAS stakeholders and by mainstreaming its principles. The CAPITAL project proposes an effective mechanism to achieve these goals built on the know-how and support of some of the most experienced actors in the "CIVITAS family".

The mission of the CAPITAL project is to contribute significantly to the goals of the European Union's Transport White Paper by capitalising systematically on the results of CIVITAS and creating an effective "value chain" for urban mobility innovation. CAPITAL will help to mainstream CIVITAS into other policy fields by identifying the capacity of sustainable transport measures to contribute to high-level goals.

2 The CIVITAS Activity Fund

CIVITAS CAPITAL is supporting the take-up of sustainable urban mobility measures in Europe. It will issue four calls for take-up activities over the next two years. These Terms of Reference for the first call of the Activity Fund provide details on the purpose, the background, the thematic focus, the different take-up levels (call lines), the eligibility criteria, budget and funding conditions, submission and selection procedures, as well as call timing and deadlines.

2.1 The CIVITAS Activity Fund

The CIVITAS Activity Fund is a co-financing mechanism within the CIVITAS Initiative which aims to support take-up activities in the field of sustainable urban mobility in order to encourage the transfer of successful measures from 'leading' CIVITAS cities to 'learning' cities. In four competitive calls between 2014 and 2015, co-funding (up to 50%) take-up activities set up by individual or teamed-up organisations from 38 European countries¹.

¹ Legal entities applying for funding need to be established in an EU Member State or Albania, the Former Yugoslav Republic of Macedonia, Iceland, Israel, Kosovo, Montenegro, Norway, Serbia, Switzerland or Turkey.

2.2 Thematic focus of the CIVITAS Activity Fund first call for proposals

The mission of the CAPITAL project is to contribute significantly to the goals of the European Union's Transport White Paper by capitalising systematically on the results of CIVITAS and creating an effective "value chain" for urban mobility innovation.

In December 2013, the European Commission announced its Urban Mobility Package to reinforce its support of urban transport. Additional recent policies include the Clean Power for Transport package of January 2013 which supports alternative fuels for sustainable mobility in Europe and the ITS Directive of July 2010 on the framework for the Intelligent Transport Systems deployment in road transport and for interfaces with other modes of transport.

This first call of the CAPITAL Activity Fund focusses on the CIVITAS themes that relate to the aforementioned recent sustainable transport/mobility policy initiatives. Applications should focus on one or more of the following themes:

Thematic focus 1: Integrated Planning

Integrated planning encompasses all CIVITAS themes and looks at developing integrated strategies for sustainable urban mobility, including land use planning. A strong focus is on Sustainable Urban Mobility Plans (SUMP) – a new integrated planning concept promoted by the European Commission. Sustainable Urban Mobility Plans offer a complete approach to support long-term urban mobility planning. The SUMP concept considers the functional urban area and proposes that urban mobility actions are embedded into a wider urban and territorial strategy. SUMP is about fostering a balanced development and a better integration of the different urban mobility modes. It emphasises citizen and stakeholder engagement as well as fostering changes in mobility behaviour.

Thematic focus 2: Urban freight logistics

The delivery of goods makes up a significant share of traffic in European cities and is a major contributor to deteriorating air quality, rising carbon emissions and congestion. CIVITAS cities encourage the use of cleaner freight vehicles and are developing solutions to better coordinate freight logistics. More efficient freight deliveries can reduce congestion, lower emissions and free up space for sustainable modes.

Thematic focus 3: Demand management strategies

Demand management strategies can reduce traffic through a variety of economic incentives, regulatory measures and modern communication technologies. CIVITAS cities experiment with a range of demand management measures to learn about the merit of different initiatives and share lessons learned. These include access restrictions, road pricing, parking policies and marketing campaigns. Pricing strategies can work as powerful incentives to get people to try cleaner ways of transport and make the private car a less appealing choice. Some of the incentives that cities have been testing are special parking tariffs for low-emission vehicles,

financial rewards for avoiding peak times and a “mobility credits” scheme that attaches a financial value to saving or exceeding emissions.

Thematic focus 4: Transport telematics

Modern transport telematics systems offer opportunities to make urban transport faster, more efficient and to support travellers. Communication technology can help to better coordinate traffic flows with the help of satellite-based applications, global positioning systems, wireless data transmission, automated traffic counting devices, and high-resolution cameras. These new technologies allow transport management for example to give priority to public transport, improve parking management and better enforce road rules. They can also provide passengers with real-time information and mobile guidance.

Thematic focus 5: Safety and security

Safety and security make sustainable transport options feasible and attractive. CIVITAS cities are looking into new ways to ensure the safety of urban travellers, especially cyclists, pedestrians and the most vulnerable groups such as children and elderly people. Initiatives include for example traffic calming, improved cycling infrastructure and anti-vandalism activities.

Thematic focus 6: Clean fuels and vehicles

Cleaner fuels and vehicles decrease local air pollution and greenhouse gas emissions, both of which help to improve the quality of life for citizens. CIVITAS cities seek to explore innovations in these fields and share best practice. Many cities try to stimulate the spread of clean and energy-efficient public and private vehicles for passenger and freight transport.

Biodiesel or biogas vehicles are seen as an element on the path towards energy independence from fossil fuels and relief from unstable oil prices. CIVITAS cities test for example the use of biodiesel, biogas, compressed natural gas (CNG) and hybrid vehicles. They develop expertise in procurement and tendering and also explore opportunities to source biofuels locally.

2.3 Take-up levels

The CAPITAL Activity Fund Calls are structured according to four take-up levels, which range from inspirational and small-scale activities such as workshops and study tours, to more systematic transfer activities from a pioneer to a take-up city. Take-up levels therefore differ in terms of scale (inspirational, structural, investigative and implementation-preparatory).

One proposal may include more than one activity within a chosen take-up level (for example a workshop and a study tour), but it needs to be limited to one take-up level only. Since take-up levels build on each other, successful applicants are encouraged to propose activities from a higher take-up level in a later Activity Fund call.

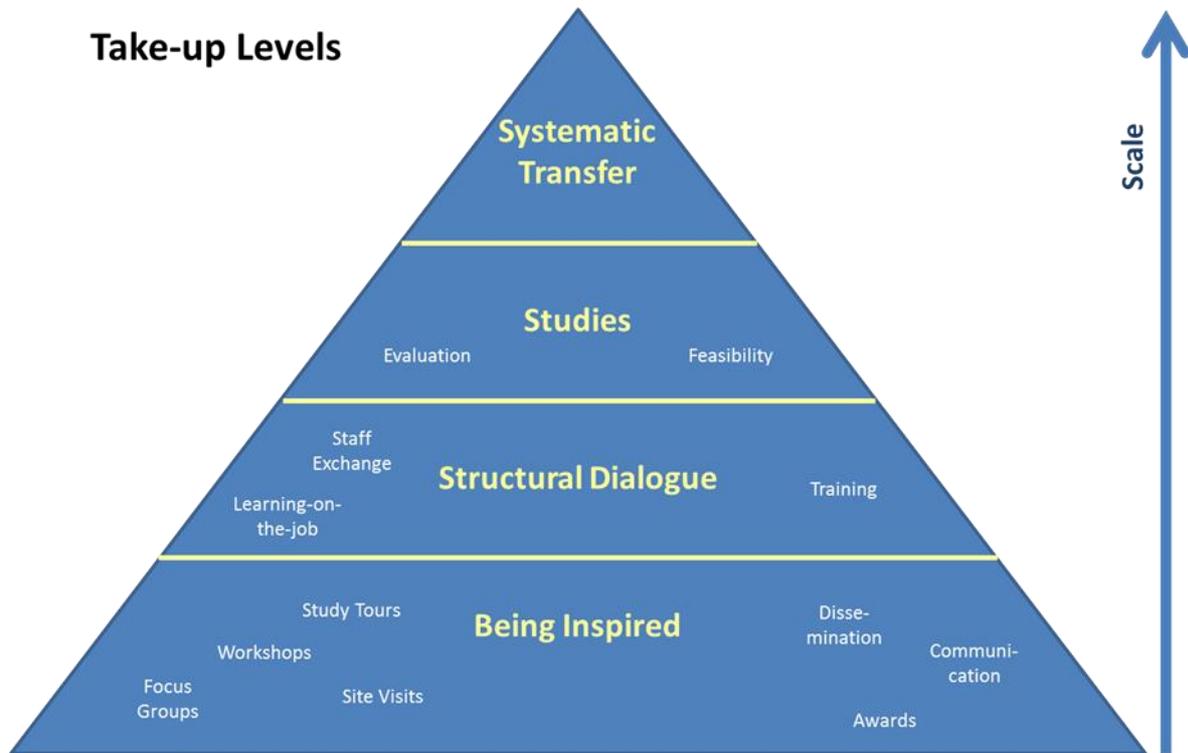


Figure 1: Take-up levels

Activities envisaged in proposals to the Activity Fund Call are described for each take-up level below.

2.3.1 Take-up level 1: 'Being Inspired'

At the initial phase of the take-up process, inspirational and small-scale activities are useful to explore a specific sustainable urban mobility topic or measure a city may want to take-up. Typical examples of such inspirational and small-scale activities include (list not exhaustive):

- **Workshops or focus group meetings** on a specific topic (see paragraph 2.2 on the thematic focus of this call) in either the pioneer or take-up city: These events are typically targeted at planners, implementers and decision makers from local or regional authorities. Focus group meetings should have a maximum of 15 participants. Workshops could be larger, but should not have the character of a conference. Eligible costs include staff time, meeting room rental, catering (food and beverages), travel and subsistence costs, remunerations of experts. Workshops or focus group meetings may be combined with a site visit. Proposals will be evaluated according to best value-for-money. The upper limit for co-funding via the CAPITAL Activity Fund is €2,500 per workshop or focus group meeting.
- **Study tour or site visit** to cities having demonstrated outstanding sustainable urban mobility solutions. This may be an activity proposed individually or in combination with

a workshop or focus group meeting. Study tours or site visits are typically targeted at planners, implementers and decision makers from local or regional authorities. They should be guided by a dedicated person from the leading city who is also been made aware of the specific challenges and requirements of the learning city. Eligible costs typically include staff time as well as travel and subsistence costs. The upper limit for co-funding via the CAPITAL Activity Fund is €2,500 per study tour or site visit.

- **Awards**, for example for young transport professionals or for university students. This activity could seek papers on take-up methodologies or take-up processes in practice. Eligible costs include staff time to prepare the award and to evaluate proposals as well as a monetary award (fixed amount) for example to pay for travel cost and registration fees to a CIVITAS Forum. The upper limit for co-funding via the CAPITAL Activity Fund is €2,500 per award.
- **Dissemination and communication** activities such as the production, distribution and translation of dissemination material communicating urban policies (publications, flyers, posters, etc.). Production, translation and dissemination costs are eligible costs. The upper limit for co-funding via the CAPITAL Activity Fund is €1,000 per activity.

2.3.2 Take-up level 2: 'Structural Dialogue'

In a more mature take-up phase, where concrete relations between the providing and the receiving side of the take-up process have been established, it may be useful to engage in a structural dialogue and carry out one or more of the following activities (list not exhaustive):

- **Staff exchange** between a pioneer city and a take-up city offers individuals a chance to experience the working environment and understand the framework conditions for implementing sustainable urban mobility measures in the counterpart city. The individuals selected for the staff exchange function as multipliers of knowledge and experiences gained (via the staff exchange) in their own working context. Staff exchange implies that one or more training sessions for fellow staff members at the home base will be carried out. Eligible costs include travel and subsistence costs of the respective staff members engaged in the staff exchange. Staff exchanges should not exceed ten working days. Staff members engaged should remain employed and insured at their original employer during the time of the staff exchange. The upper limit for co-funding via the CAPITAL Activity Fund is €5,000 per staff member engaged in the exchange.
- **Learning-on-the-job** is understood as placement of a learning city staff member at a leading city. As within a staff exchange, one or more training sessions for fellow staff members at the home base need to be organised in which the staff member shares his/her experiences. The same framework conditions apply as for staff exchange.
- **Training** events are organised for a group of representatives from one or more learning/take-up cities. They can take the form of physical meetings, but they can also be organised as site visits. In the case of presence-trainings, these may be combined with a site visit (see paragraph 2.3.1). Eligible costs include staff time for the

organisation, moderation and follow-up (reporting) of training events, meeting room rental, catering (food and beverages), travel and subsistence costs and remunerations of trainers. The upper limit for co-funding via the CAPITAL Activity Fund is €5,000 per training.

2.3.3 Take-up level 3: 'Studies'

Take-up of sustainable urban mobility measures necessitates good knowledge about a particular transfer measure (or measure package), its technical, legal and financial requirements as well as potential impact. The CAPITAL Activity Fund therefore co-funds studies to fulfil these requirements in order to prepare the implementation of sustainable urban measures in a (take-up) city, including (list not exhaustive):

- **Evaluation studies** to support fact finding on potential take-up measures. This can include long-term evaluation studies or impact and process evaluations of recent measures or measure package implementations in one or more of the Call topics. The results of the evaluation study are expected to be prepared in an evaluation report, a fact file (maximum two pages) and a presentation (PowerPoint, Prezi or similar). Eligible costs include staff time. Data gathering tools and instruments are non-eligible costs. The upper limit for co-funding via the CAPITAL Activity Fund is €7,500 per evaluation study.
- **Feasibility studies** investigating the potential for measure take-up and/or leading towards pilot demonstrations and implementations. Eligible costs include staff time. The upper limit for co-funding via the CAPITAL Activity Fund is €7,500 per feasibility study.

2.3.4 Take-up level 4: 'Systematic Transfer'

The CAPITAL Activity Fund supports the systematic transfer of sustainable urban mobility measures from a pioneer city where it has been successfully implemented to a take-up city that has already positively assessed the take-up potential of this mere measure. Systematic transfer activities following the TIDE methodology (<http://www.tide-innovation.eu/en/Wiki/TIDE-Systematic-transfer-methodology/>) always involve one pioneer city and one take-up city. Activities are geared at the development of an implementation scenario for integrating one innovative measure into the local transport policy of the take-up city. Eligible costs for systematic transfer activities include staff time and travel and subsistence cost for city representatives taking part in take-up supporting experience and knowledge exchanges between the pioneer city and the take-up city. The upper limit for co-funding via the CAPITAL Activity Fund is €10,000 per systematic transfer.

It is planned to maintain the same call structure and hence same identical take-up levels for all Activity Fund calls.

2.4 Eligibility

An application must satisfy all of the following eligibility criteria in order to be retained for evaluation:

- It is submitted before the deadline stated in the call text, i.e. for the first call 4 April 2014;
- It involves at least one legal entity established in a Member State of the European Union, Albania, the Former Yugoslav Republic of Macedonia, Iceland, Israel, Kosovo, Montenegro, Norway, Serbia, Switzerland or Turkey;
- Legal entities involved in previous demonstration or support projects co-funded by the CIVITAS Initiative are eligible to apply. However, activities that have been previously (co-) funded by CIVITAS cannot be co-funded again;
- It involves a 'CIVITAS city' either as a pioneer city or a take-up city for the process towards take-up of successful sustainable urban mobility measures (see box below);
- It is complete in all elements required in the application form;
- It is submitted in English (official language of the CAPITAL project).

The application form includes an eligibility checklist.

Only proposals that satisfy the above eligibility criteria are acceptable and will be evaluated by the Selection Committee.

A '**CIVITAS city**' is considered to be either CIVITAS demonstration city, a CIVITAS Forum Network city or a member city of a regional or national CIVITAS Network (CIVINET):

- A '**CIVITAS demonstration city**', i.e. one of the so far 64 cities from all over Europe that have implemented measures co-funded in the context of one or more CIVITAS demonstration projects (<http://www.civitas.eu/demo-cities>). These cities have implemented close to 1,000 measures – a large number of them may potentially be taken-up by other cities. (Every pioneer city is also a demonstration city). Some demonstration cities are considered CATALIST pioneer cities. Pioneer cities have particular knowledge and experience in certain thematic focus areas and are able to provide support to potential take-up cities.
- A '**CIVITAS Forum Network city**' (<http://www.civitas.eu/content/forum-network-cities>). These are cities that have signed the CIVITAS Declaration and thereby declared their commitment to a) Introduce an ambitious sustainable urban transport policy, integrating innovative measures, technologies and infrastructure, b) Support and contribute to the achievement of the aims of the CIVITAS Initiative, and c) Share experiences and learn about other cities' progress and achievements by actively

participating in the CIVITAS Forum. Every demonstration city is also a CIVITAS Forum Network city.

- A '**CIVINET city**', i.e. a member city of one of the regional or national CIVITAS networks (<http://www.civitas.eu/content/what-civitas-forum-network>, CIVITAS national and regional networks). Many, but not all CIVINET cities are also 'CIVITAS Forum Network cities'.

2.5 Budget and funding rules

The Activity Fund budget for the first call is €120,000. Per take-up level, 3-5 projects are expected to be co-funded. The maximum amounts of co-funding per take-up level and proposal are €5,000 (being inspired), €5,000 (structural dialogue), €7,500 (studies) and €10,000 (systematic transfer).

Eligible costs include staff time, travel and subsistence costs, meeting costs (room rental and catering costs), remunerations of trainers, registration fees for conferences or workshops, and measurement equipment.

- Resources have to be provided in Euros. If not in Euros, the official conversion rate at the date of requesting cost reimbursement could be used.
- VAT is not eligible.
- Please provide time in hours and based on realistic average hourly rates for the staff involved.

2.6 Procedures

2.6.1 Submission

Proposals must utilise the templates (application forms) available for download on the CIVITAS Website (www.civitas.eu) and follow the procedures detailed in the Terms of Reference. Applications submitted past the deadline or incomplete applications will not be retained for evaluation. Digital versions of the applications should be sent to icre@polisnetwork.eu. Applicants will receive a confirmation e-mail.

2.6.2 Eligibility check / pre-selection:

The eligibility of all received proposals will be assessed, rejecting those not meeting all formal eligibility criteria. In the case of a rejected proposal, applicants are duly informed as to the ineligible criterion and are encouraged to re-apply.

Proposals meeting all formal requirements are forwarded to a Selection Committee, composed of the Management Committee members of CIVITAS CAPITAL and the European Commission.

2.6.3 Proposal evaluation and approval

Evaluators give marks from 0-20 (evaluation criteria 1 and 2) and 0-10 (evaluation criterion 3), respectively, for each proposal.

Evaluation Criterion 1: Proposal idea and the proposed workplan (maximum 20 points)

Evaluation Criterion 2: Take-up potential (maximum 20 points) (i.e. the anticipated impact of the proposed activity).

Evaluation Criterion 3: Resource allocation (maximum 10 points)

The results are consolidated into an average mark per proposal and per criterion. Proposals need to pass two thresholds to move up to the second step of the evaluation:

- At least 50% of the point score per evaluation criterion
- At least 70% (35 Points) of the maximum point score (50).

The proposals will be ranked on the basis of the evaluation scores. A set of best-rated proposals is put forward to the members of the CIVITAS Advisory Board who will provide feedback for the prioritisation to the Management Committee. In a final step, the European Commission reviews the suggestions for co-funding and provides its final decision on the selection of the Activity Fund beneficiaries to the Project Coordinator.

Proposal evaluations will be completed within seven weeks (30 working days) of the closing date of the respective calls:

2.6.4 Negotiations

The Coordinator notifies the intention to negotiate with the successful applicants and the motivations of rejection to unsuccessful applicants. In the latter case, the notification will include an explanation why the application was turned down and how it could be improved. The letter of notification to the awarded party will mark the beginning of the negotiation phase between the awarded applicants and the Coordinator, aiming to conclude a Grant Agreement.

This phase takes the recommendations made by the Management Committee and the CIVITAS Advisory Board into account so as to apply the necessary adjustments or modifications to the work plan and/or budget.

Upon agreement on a work and financial plan, and written approval by the EC, the Coordinator and the awarded party sign a Grant Agreement, which will include the technical and financial terms of reference.

Negotiations between the Coordinator and applicants are expected to be concluded within 10 working days.

2.6.5 Implementation and reporting

Once the Grant Agreement has entered into force, the awarded party can kick off the take-up activities. Projects are expected to start within two months of the closing date, i.e. in the case

of first Activity Fund call in early June 2014 and finalised within six months after their commencement.

A Final Activity Report (including a financial report and receipts) must be submitted by e-mail within 30 working days after the end of the activities to the Coordinator who has ten working days to approve it. The Final Activity Report needs to include a one- to two-page publishable summary intended for the public. Reimbursement will be made by IBAN transfer within 10 working days of approval of the Final Activity Report. The European Commission will review the Final Activity Reports within the frame of the CAPITAL interim reports.

2.6.6 Measures to assure confidentiality and detect/avoid conflict of interest

Conflicts of interest arise when an evaluator's personal situation, goals, and biases inappropriately influence a judgment or decision. Existing and potential conflicts of interest in the evaluation phase of the proposals should be identified by the Management Committee members and communicate to the Coordinator and dealt with openly and honestly.

Appropriate measures will be implemented to address potential conflicts of interest and to assure confidentiality during all stages of the selection and implementation of activities funded by the CIVITAS Activity Fund.

2.7 Timing and deadlines

The first call for proposals of the Activity Fund opened on **28 February 2014** and will close on **4 April 2014**.

For all questions and information, please contact icre@polisnetwork.eu.

Digital versions of the applications should be sent to icre@polisnetwork.eu . Applicants will receive a confirmation e-mail.