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Building successes



**URBACT III OPERATIONAL PROGRAMME  
(2014-2020)**

**CALL FOR PROPOSALS FOR THE CREATION  
OF UP TO 15 IMPLEMENTATION NETWORKS**

**Open 22 MARCH 2016 – 22 JUNE 2016**



## TABLE OF CONTENT

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INTRODUCTION – CALL FOR PROPOSALS .....	3
SECTION 1 - ABOUT URBACT III & TRANSNATIONAL NETWORKS .....	3
1.1 The URBACT III programme .....	3
1.2 Transnational exchange and learning networks in URBACT III .....	4
1.3 What’s in it for cities? .....	4
SECTION 2 - ABOUT IMPLEMENTATION NETWORKS & BENEFICIARIES .....	5
2.1. Main objective and expected results .....	5
2.2. Eligible beneficiaries .....	6
SECTION 3 - THEMATIC COVERAGE FOR IMPLEMENTATION NETWORKS .....	7
3.1. URBACT Thematic Objectives .....	7
3.2. Implementation challenges to be explored by Implementation Networks.....	8
SECTION 4 - PARTNERSHIPS FOR IMPLEMENTATION NETWORKS .....	10
4.1. General framework .....	10
4.2. Lead partners .....	10
4.3. Partnership for phase 1.....	10
4.4. Partnership for phase 2.....	11
SECTION 5 - ACTIVITIES AND WORK PACKAGES .....	12
5.1. Phase 1 of Implementation Networks .....	12
5.2. Phase 2 of Implementation Networks .....	12
SECTION 6 – BUDGETARY ELEMENTS AND EXPERTISE RESOURCES .....	13
6.1. URBACT III Eligible Intervention rates.....	13
6.2. Implementation Network Budgets .....	13
6.3. Expertise.....	14
SECTION 7 - THE CREATION OF IMPLEMENTATION NETWORKS IN URBACT – A TWO-PHASE PROCESS .....	16
7.1. Submission of Phase 1 Applications.....	16
7.2. Submission of Phase 2 Applications.....	16
SECTION 8 – DETAILED PROCEDURE FOR THE CREATION OF IMPLEMENTATION NETWORKS IN THE FRAME OF THE CALL FOR PROPOSALS .....	18
8.1. General overview .....	18
8.2. Stage 1 – Procedure for the submission of Phase 1 Application .....	19
8.3. Stage 2 – Eligibility check of Phase 1 Applications.....	19
8.4. Stage 3 – Assessment of eligible Phase 1 Applications.....	20
8.5. Stage 4 – Submission to the Monitoring Committee and approval.....	22
8.6. Stage 5 – Creation and submission of Phase 2 Application .....	22
8.7. Stage 6 – Eligibility check of Phase 2 Applications.....	22
8.8. Stage 7 – Assessment of Phase 2 Applications .....	23
8.9. Stage 8 – Approval of Implementation Networks for Phase 2 .....	25
SECTION 9 – COMPLAINTS PROCEDURE.....	25
SECTION 10: CONTENT OF PHASE 1 APPLICATION.....	26
SECTION 11: IMPORTANT DATES FOR APPLICANTS .....	27
SECTION 12: USEFUL RESOURCES .....	28
ANNEX 1 – OUTLINE OF MAIN COMPONENTS OF THE APPLICATION FORM FOR PHASE 1 .....	29
ANNEX 2 – TEMPLATE LETTER OF COMMITMENT FOR THE LEAD PARTNER .....	31
ANNEX 3 – TEMPLATE LETTER OF COMMITMENT FOR PROJECT PARTNER.....	32

## INTRODUCTION – CALL FOR PROPOSALS

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The URBACT III Operational Programme (CCI 2014TC16RFIR003) was officially adopted on 12 December 2014 by Commission Implementing Decision C(2014) 9857. The adopted Operational Programme (OP) can be found on the URBACT website<sup>1</sup>.

The OP foresees that URBACT III shall improve the design and implementation of sustainable integrated urban strategies and action plans in cities. To do so, the programme will build on transnational implementation networks to be created by means of open calls for proposals.

**In this context, the “Commissariat Général à l’Egalité des Territoires” (CGET) (France), Managing Authority of the URBACT III Operational programme, issues a CALL FOR PROPOSALS FOR THE CREATION OF UP TO 15 IMPLEMENTATION NETWORKS.**

The terms of reference of the present call for proposals have been approved by the URBACT III Monitoring Committee on 10 March 2015.

**This Call for Proposals is open from 22 March 2016 until 22 June 2016, 03 pm CET<sup>2</sup>.**

## SECTION 1 - ABOUT URBACT III & TRANSNATIONAL NETWORKS

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### 1.1 The URBACT III programme

The URBACT III Programme is part of the European Territorial Cooperation Objective of the Structural Fund policies for the period 2014-2020. The URBACT III Programme is financed through the ERDF, for which principles and regulations are laid down in EU Regulations N° 1303/2013, 1301/2013 and 1299/2013.

URBACT’s mission is to enable cities to work together and develop integrated solutions to common urban challenges, by networking, learning from one another’s experiences, drawing lessons and identifying good practices to improve urban policies.

URBACT promotes exchange and learning between cities. It uses European Structural Funds to achieve its goals. It does not finance investments nor does it carry out pilot projects.

As stated in the Operational Programme, URBACT III is driven by the following specific objectives:

- To improve the capacities of cities to manage sustainable urban policies and practices in an integrated and participative way
- To improve the design of sustainable urban strategies and action plans in cities
- To improve the implementation of sustainable urban strategies and action plans in cities
- To ensure that practitioners and decision-makers at all levels (EU, national, regional and local) have increased access to URBACT thematic knowledge and share know-how on sustainable urban development

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<sup>1</sup> The URBACT III Operational Programme is available at the following link:

[http://urbact.eu/sites/default/files/u\\_iii\\_op\\_adopted\\_12\\_december\\_2014.pdf](http://urbact.eu/sites/default/files/u_iii_op_adopted_12_december_2014.pdf)

<sup>2</sup> The online tool for submitting Proposals for Phase 1, Synergie-CTE, will close at 3 pm CET on 22 June 2016. More details on the submission procedure for Phase 1 proposals are provided in the sections 7 and 8 of the present Call for Proposals.

## 1.2 Transnational exchange and learning networks in URBACT III

The core strand of activities of the URBACT III Programme is composed of transnational exchange and learning networks. URBACT transnational networks aim to impact local policies and practices by supporting the design and implementation of sustainable and integrated urban policies. There are 3 different types of networks (please refer to the OP and programme manual for more details):

- action-planning networks
- implementation networks
- transfer networks

For Implementation Networks, object of the present Call for Proposals, the impact on the implementation of local policies and practices shall be ensured through improving the implementation process and delivery of existing strategies/ action plans by exploring implementation related issues and developing concrete solutions to address these challenges.

The principles and regulations for transnational exchange and learning networks to be implemented within the programme are laid down in the URBACT III Operational Programme. In addition to the Operational Programme, the URBACT III Programme Manual includes specific Fact Sheets outlining how the different tools and actions shall be implemented and shall operate. In particular, potential candidates for implementation networks are invited to refer to the following Fact Sheets:

- Fact Sheets 2B - Implementation Networks
- Fact Sheet 2D - Network Creation
- Fact Sheet 2E - Network Management
- Fact Sheet 2F - Financial Management and Control

## 1.3 What's in it for cities?

With transnational exchange and learning networks, the URBACT programme provides cities and urban practitioners with:

- an opportunity to share and learn from peers in cities across Europe
- an opportunity to work with other cities around a specific policy challenge/ problem, to design innovative solutions in the format of integrated action plans or to implement an integrated urban strategy
- tools and trainings in the field of integrated and participatory approaches to urban challenges and policies
- expertise to support the development and delivery of integrated and participatory policy-making, as well as thematic expertise to feed into local policies and practices
- financial support to work with EU partners and develop integrated action plans

More detailed information on what cities can get from taking part in an URBACT network, about the URBACT method, and what is expected from them is available in the Guide for Implementation Networks published along with the present call for proposals.

## SECTION 2 - ABOUT IMPLEMENTATION NETWORKS & BENEFICIARIES

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### 2.1. Main objective and expected results

The main objective of Implementation Networks is to improve the capacity of cities to manage sustainable urban policies and more specifically to improve the implementation of sustainable integrated urban strategies and action plans in European cities. Implementation Networks are expected to support an organised process of exchange and learning among peers across Europe, with a view to improving local policies through concrete Implementation.

By taking part in an Implementation Network, cities will exchange on specific policy challenges related to the focus of their integrated urban strategies/ action plans and to the implementation of these strategies/ action plans. Sharing experiences, problems and possible solutions, they will generate new ideas to address these challenges related to sustainable urban development.

As a starting point, cities willing to get involved in Implementation Networks should have an integrated strategy and/or action plan addressing a policy challenge at local level as well as secured funding to start or continue the implementation of this strategy/ action plan within the lifetime of the URBACT network. Among cities fulfilling these entry tickets, cities benefiting from ERDF funding for the implementation of integrated urban strategies under Article 7 of the ERDF regulation (Integrated Territorial Investment, urban axis, dedicated programme) or Article 8 (Innovative Actions) are part of the targeted beneficiaries.

Cities willing to get involved in Implementation Networks shall also commit to work on their policy challenges with a participatory approach involving all relevant stakeholders (from within the local administration and beyond, civil society, private sector, associations, etc.) in the implementation process. These key stakeholders will be gathered in an URBACT Local Group. They will be actively involved in the transnational exchange activities and in the development of concrete solutions to the implementation challenges identified by the city (in relation to maintaining the integrated and participatory approach during the implementation, funding, selection of projects, etc.). The participatory approach shall improve the implementation process and the delivery of the urban strategy/ action plan at local level (strengthening the evidence base, ensuring ownership of the problems identified and of the solutions/ policies developed, creating the conditions for a successful delivery, etc.).

As partners in an Implementation Network, cities shall produce an operational framework for the implementation of their urban strategy/ action plan. This output shall be composed of the concrete solutions and policy instruments that will allow cities to effectively address the challenges they have identified in relation to the implementation process. This operational framework will thus be both a driver to the exchange and learning activities and a key concrete output that will lead to an enhanced delivery of their urban strategy/ action plan (with respect to timing/ calendar foreseen for implementation, with respect to the results expected from the implementation of the strategy/ action plan, etc.). Building on the transnational exchange and learning activities, networks shall also produce practical knowledge, policy recommendations, tools, good practices etc. that shall be made available to all urban players across the EU.

## 2.2. Eligible beneficiaries

The URBACT III **programme area** consists of:

- The 28 EU Member States
- 2 Partner States: Norway and Switzerland. Partners from Norway and Switzerland cannot make use of ERDF allocations, but as official Partner States in the URBACT III programme, their cities are co-financed at 50% by national funds.
- Instrument for Pre Accession (IPA) countries. Partners from IPA countries can participate in operations using IPA funding, without receiving ERDF co-financing
- Other countries. Partners from other countries, anywhere in the world, can participate with their own funding.

As outlined in the URBACT III Programme Manual (Fact Sheet 2B – Implementation Networks), the **eligible beneficiaries** for Implementation Networks shall be:

- cities from EU 28 Member States, Norway and Switzerland
- having developed an integrated urban strategy/ action plan
- AND having secured funds for all or part of the projects/actions listed in the strategy/ action plan in order to demonstrate that the city is ready to enter/ has entered the implementation phase

Under URBACT III, the beneficiary “city” refers to the public local authority representing:

- Cities, municipalities, towns;
- Infra-municipal tiers of government such as city districts and boroughs in cases where they are represented by a politico-administrative institution having competences for policy-making and implementation in the policy area covered by the URBACT network concerned in which they are willing to get involved;
- Metropolitan authorities and organized agglomerations in cases where they are represented by a politico-administrative institution having delegated competences for policy-making and implementation in the policy area covered by the URBACT network.

There is no limit of size (population) for cities wishing to participate in URBACT activities.

## SECTION 3 - THEMATIC COVERAGE FOR IMPLEMENTATION NETWORKS

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### 3.1. URBACT Thematic Objectives

As defined in the URBACT III Operational Programme, the thematic coverage of the URBACT III Programme 2014-2020 is in line with the Thematic Objectives (TO) of the EU Cohesion Policy for 2014-2020 and thus strongly linked with the pillars of the Europe 2020 strategy for innovative, sustainable and inclusive growth.

The URBACT III thematic coverage includes the following Thematic Objectives:

- Strengthening research, technological development and innovation (TO1)
- Enhancing access to and use and quality of ICT (TO2)
- Enhancing the competitiveness of SMEs (TO3)
- Supporting the shift towards a low carbon economy in all sectors (TO4)
- Promoting climate change adaptation, risk prevention and management (TO5)
- Protecting the environment and promoting resource efficiency (TO6)
- Promoting sustainable transport and removing bottlenecks in key network infrastructures (TO7)
- Promoting employment and supporting labour mobility (TO8)
- Promoting social inclusion and combating poverty (TO9)
- Investing in education, skills and lifelong learning by developing education and training infrastructure (TO10)

A detailed description of the urban dimension of the 10 Thematic Objectives for EU Cohesion Policy 2014/2020 is available in the Fact Sheet 1 of the URBACT III Programme Manual.

Over the Programming period 2014-2020, URBACT III will concentrate 70% of resources for exchange and learning activities on Thematic Objectives 1, 4, 6, 8 and 9. Nevertheless the present Call for Proposals for Implementation networks is open to all 10 Thematic Objectives.

Applicants shall submit their proposal under 1 of the 10 above listed Thematic Objectives, depending on the main common policy challenges addressed by partners' integrated strategies/ action plans. When considered from an integrated approach perspective, all 10 topics are strongly inter-related. For instance, fostering economic competitiveness goes hand in hand with improving social inclusion, and vice-versa. It is expected that the selected Thematic Objective will be the main entry point into the network while allowing partners to explore connections with other Thematic Objectives.

Candidates should also take stock of the available results and knowledge from existing networks in URBACT II and other programmes.

### 3.2. Implementation challenges to be explored by Implementation Networks

Applicants shall come together on the basis of common urban policy challenges addressed in their integrated urban strategies/ action plans. The exchange and learning activities will develop around these common policy challenges. In addition, as the main aim of Implementation Networks is to improve the implementation and delivery of cities' integrated strategies/ action plans, challenges related to implementation shall be the focus of the networks' exchange and learning activities. **A series of 9 "Implementation Related Challenges"** have been identified, out of which 3 mandatory challenges (to be explored by all Implementation Networks) and 6 optional challenges (networks to select the ones that are most relevant for their partners).

Implementation Related Challenges	Definition and key questions	Mandatory/ Optional
<b>1. Fostering the integrated approach</b>	<b>The integrated approach as understood by URBACT brings together social, economic and environmental actions to address a policy challenge in a holistic manner so as to avoid negative externalities and to promote a genuine solution to complex urban problems. How cities ensure horizontal, vertical and territorial integration in the delivery of their urban strategies/ action plans is a key challenge to be addressed by the network. How would you define this challenge for your city?</b>	<b>Mandatory – To be addressed by all networks</b>
<b>2. Involving local stakeholders</b>	<b>Partnership involves the bringing together of the key economic, social and environmental actors (from public, private and third sectors) in the URBACT local group. Participation is also the engagement of local citizens, whether in their role as service users, entrepreneurs, residents, tenants etc. in policy-making and delivery. Enhancing participation and maintaining it in the delivery phase is a key challenge to be addressed by the network. How would you define this challenge for your city?</b>	<b>Mandatory – To be addressed by all networks</b>
<b>3. Measuring impact</b>	<b>The results framework specifies that a result is the change to be achieved in the future through the policy intervention. The result indicator is the proxy chosen to measure that change. Attention should be paid to defining result indicators, ensuring that there are real, tangible and measurable. Measuring the results and outputs of an urban strategy/ action plan and setting up the appropriate monitoring and reporting structures are key for the success of delivery.</b>  <b>This is a challenge to be addressed in the network. How would you define this challenge for your city?</b>	<b>Mandatory – To be addressed by all networks</b>
<b>4. Building the project pipeline</b>	Building the project pipeline for selecting and monitoring projects involves three stages. 1. Pre- approval support and preparation of the projects, 2. The organization of calls for proposals and tenders, processes for checking eligibility and for selecting projects using robust criteria and 3. Supporting project delivery (project visits, checking that necessary finance and consents have been secured, trouble-shooting on delays, monitoring spend and outputs). How to organize the project pipeline or improve the existing framework?	<b>Optional</b>



<p><b>5. Organising decision-making for delivery</b></p>	<p>Defining the relevant organisation of decision-making for the implementation of the strategy/action plan is key in the success of delivery. How to set up appropriate structures for committees, delivery units and/or arms-length agencies that will ensure transparency, reporting, and separation of powers? How to best organize/ re-organise city departments and staff for delivery (e.g. joint units)?</p>	<p><b>Optional</b></p>
<p><b>6. Moving from strategy to operational action-plan</b></p>	<p>Moving to an operational action plan requires that often broad strategic objectives are translated into operational and detailed specifications that can be used for calls for proposals and public procurement of contracts. It is about specifying actions that will deliver the strategy. In this process, it is challenging to maintain the integrative and participatory approaches that informed the original strategy. How to move from strategy to implementation and ensure that the corresponding actions represent good practice at EU level and deliver the best value for the invested budget and citizens?</p>	<p><b>Optional</b></p>
<p><b>7. Developing Public Private Partnerships</b></p>	<p>Private and civil society actors are a key player in delivering local policies. Building partnerships with private sector players and binding them into agreements is key to maximize the benefits and minimize the risks. How to build such Public Private Partnerships for the successful implementation of integrated urban strategies/ action plans?</p>	<p><b>Optional</b></p>
<p><b>8. Setting up smart public procurement</b></p>	<p>Commissioning goods and services from private and social sector organisations is an important part of the delivery process. New opportunities through the use of social and environmental clauses enable other objectives to be achieved while achieving good value for the invested budget. But this has to be developed in a highly regulated environment at both EU and national levels. How can cities be smarter with procurement and improve their procurement strategies?</p>	<p><b>Optional</b></p>
<p><b>9. Enhancing funding of urban development policies through financial innovation</b></p>	<p>Cities are using equity instruments, revolving funds, crowd funding and other financial innovations to raise money in these austere times. How can this be organised for the delivery of urban strategies/ action plans, so as to maximize benefits, minimize lead times and mitigate risks?</p>	<p><b>Optional</b></p>

Each network shall work on the **3 mandatory challenges (Fostering the Integrated Approach, Involving local stakeholders and Measuring Results) PLUS at least one of the optional challenges.** The choice of optional challenges will be up to the network partners, based on the analysis of the common implementation challenges they face, in the context of the specific policy challenge which the network addresses.

## **SECTION 4 - PARTNERSHIPS FOR IMPLEMENTATION NETWORKS**

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### **4.1. General framework**

Transnational partnerships are cornerstones of URBACT Implementation Networks. The rules defined below shall apply to all partnerships involved in Implementation Networks proposals. These rules translate into eligibility criteria (see section 8.3.) and shall thus be respected. Eligibility criteria are requirements, all of which must be fulfilled for a proposal to be declared eligible. Only eligible proposals shall be considered for further assessment and approval.

### **4.2. Lead partners**

Each partnership has to appoint a Lead Partner selected among the network partners. Lead Partners are key actors of transnational partnerships for Implementation Networks. They take over the full responsibility for management, coordination of activities among the involved partners, implementation of work programme and communication on the project and dissemination of project outputs. The Lead Partner also bears financial and legal responsibility and liability for the whole partnership towards the Managing Authority.

Only cities (according to the definition provided under section 2.2) from the 28 EU Member States and from Switzerland and Norway (Partner States) can be Lead Partner of Implementation Networks. A city may not be Lead Partner in more than one project at a time under the same call.

### **4.3. Partnership for phase 1**

The full partnership will be presented in the Phase 1 Application. The partnership to be proposed for phase 1 of an Implementation Network must include:

- only eligible beneficiaries as defined under section 2.2. of the present call
- minimum 7 and maximum 9 cities (as defined in section 2.2)
- from at least 3 Member and Partner States
- which have designated one of the cities as candidate lead partner

The proposed partnership shall be balanced and include:

- a minimum of 4 cities from Less Developed regions where the total number of partner cities is 8 or 9;
- a minimum of 3 cities from Less Developed regions where the total number of partner cities is 7 partners.

A city may not be partner in more than two approved Implementation Networks at a time under the same call.

#### **4.4. Partnership for phase 2**

The **partnership to be proposed for phase 2** of an Implementation Network shall build on the partnership approved for phase 1. Initial partnerships may be adjusted as a result of phase 1 activities, due to the necessity to replace a partner dropping out or to the opportunity of involving an additional partner. If a new partner is to join the project (whether as a replacement or as an additional partner) during phase 1, this participation will be introduced in the Phase 2 application and will become effective once the project is approved for Phase 2. In any case, it will be mandatory that this partner be covered by the baseline study exercise to be completed during phase 1 by the Lead Expert (see section 5.1. Phase 1 of Implementation Networks).

**In any case, the partnership for phase 2 shall respect the following eligibility criteria:**

- Be composed of eligible beneficiaries as defined under section 2.2. of the present call
- Include minimum 7 and maximum 9 cities (as defined in section 2.2)
- Include partners from at least 3 Member and Partner States
- Include a candidate Lead partner designated among the partner cities
- Include:
  - a minimum of 4 cities from Less Developed regions where the total number of partner cities is 8 or 9;
  - a minimum of 3 cities from Less Developed regions where the total number of partner cities is 7 partners.

A beneficiary may not be partner in more than two approved Implementation Networks at a time.

## SECTION 5 - ACTIVITIES AND WORK PACKAGES

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Implementation Networks shall operate for a total duration of 30 months, structured into 2 phases:

- Phase 1: a 6-month phase dedicated to network development
- Phase 2: a 24-month phase dedicated to the implementation of network activities

The activities to be implemented by Implementation Networks, in each of the 2 phases, are organized around work packages. Each work package has specific objectives, defined actions and related expected deliverables.

### 5.1. Phase 1 of Implementation Networks

During phase 1, partners involved in approved networks will work, with the support of the Lead Expert, on the development of the project final proposal for Phase 2 including: detailed definition of the main challenges of the implementation process to be addressed, baseline situations of all cities involved including detailed description of integrated strategies/plans, methodology for the exchange activities, expected results, etc. The duration of Phase 1 is 6 months, starting from the official notification of approval that follows the decision by the Monitoring Committee.

Phase 1 shall be structured around 2 work packages:

- Work package 1 – Network management and coordination
- Work package 2 – Network development

Main deliverables of phase 1 shall include:

- 2 transnational exchange and learning meetings
- the baseline study presenting in details the starting situations in the different partner cities in relation with the existing urban strategy/ action plan and related implementation challenges (see Guide to Implementation Networks for more information).
- the Phase 2 application

### 5.2. Phase 2 of Implementation Networks

Phase 2 shall be devoted to the implementation of the activities, at transnational and local level, aiming at improving the capacities of each city involved to implement integrated strategies/plans for sustainable urban development. The duration of Phase 2 is 24 months, starting from the official notification of approval, following the final decision of the Monitoring Committee.

Phase 2 shall be structured around 4 work packages:

- Work package 1 – Network management and coordination
- Work package 2 – Transnational exchange and learning
- Work package 3 – Impact on local governance and urban policies
- Work package 4 – Communication and dissemination

Main deliverables of phase 2 shall include:

- Transnational exchange and learning meetings
- Lessons learned on the implementation related challenges identified by the network
- An “operational framework for implementation”, for each partner, including the concrete solutions and policy instruments developed at partner level to address the implementation related challenges and issues identified at the beginning of the network activities

## SECTION 6 – BUDGETARY ELEMENTS AND EXPERTISE RESOURCES

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### 6.1. URBACT III Eligible Intervention rates

The ERDF co-financing rate for an Implementation network is calculated at network level on the basis of the different co-financing rates for each partner.

- Partners from 'more developed' regions shall be co-financed at up to 70% by ERDF
- Partners from 'less developed' and 'transition' regions shall be co-financed at up to 85% by ERDF
- Partners from Norway shall be co-financed at up to 50% by Norwegian national funds
- Partners from Switzerland shall be co-financed at up to 50% by Swiss national funds

### 6.2. Implementation Network Budgets

The total eligible cost for an Implementation Network shall be between 600.000€ and 750.000€. The total budget shall be calculated based on the number of project partners and the specific identified needs of these partners. Implementation Networks requesting the higher budget allocation shall be required to justify this request by demonstrating a higher number of project partners or increased project activity. The Monitoring Committee can approve a lower than requested budget should they consider this is justified.

Implementation Networks shall be financed using European Regional Development Fund and local, regional or national contributions from city partners according to the rates outlined in section 6.1 above.

An Implementation network shall operate in two phases. The total eligible cost for the network combining Phases I and II shall be between 600 000€ and 750 000€. The initial budget for Phase I shall not exceed a total eligible cost of 150.000€.

Considering the foreseen workload required in Phase 1 to ensure a well-balanced and coherent partnership and a high quality baseline study and Phase 2 application, the costs incurred for this first phase of work shall be considered eligible for refund regardless of the approval of the project into Phase 2.

The budgets for Phase 1 and 2 shall be presented using 5 budget categories as follows:

- i) Staff costs**  
Expenditure on staff members employed by the partner organisation, who are formally engaged to work on the project
- ii) Office and Administration Costs**  
Operating and administrative expenses of the partner organisation that support delivery of project activities
- iii) Travel and Accommodation Costs**  
Expenditure on travel and accommodation costs of staff of partner organisations and associated partners that relate to delivery of the project. This category included travel costs, accommodation costs, costs of meals, visa costs, and/or daily allowances/per diems.
- iv) External expertise and services**  
Expenditure for external expertise and services provided by a public or private body or a natural person outside of the partner organisation. This category covers costs paid on

the basis of contracts or written agreements and against invoices or requests for reimbursement to external experts and service providers that are requested to carry out certain tasks or activities, linked to the delivery of the project. All additional costs related to external experts (e.g. travel and accommodation expense for external experts) should be recorded under this budget category. This category also includes all costs linked to the organisation of meetings.

**v) Equipment**

Expenditure for equipment purchased, rented or leased by a partner, necessary to achieve objectives of the project.

Detailed information about the eligibility of costs, the methods for calculation and programme specific rules is available in the URBACT III Programme Manual, Fact Sheet 2F - Financial management and control.

### 6.3. Expertise

In order to support the implementation of the activities of Implementation Networks, the URBACT Programme provides to each approved Implementation Network with an additional specific budget for the **appointment of experts**. Experts support partners in implementing their transnational activities with both thematic content and methods for exchange and learning.

More especially, the expertise envelope should provide all partners with a package of services including:

- Expertise for the design and delivery of transnational exchange and learning activities
- Thematic expertise
- Expertise support to partners in designing and delivering integrated and participatory urban policies

Detailed information concerning specific objectives, activities and expected outputs under each Work Package as well as concerning the additional expertise available for Implementation Networks are provided in the Fact Sheet 2B of the URBACT III Programme Manual and in the 'Guide to Implementation Networks'.

Each network shall have an allocation of € 127.500 maximum to cover the costs of expertise over the lifetime of the project (Phase 1 and Phase 2). This budget available for expertise is additional to the project budget.

As the daily expertise fee for URBACT thematic experts is set at 750 euros/ day all taxes included, this budget corresponds to an envelope of 170 days (including participation to training sessions and other activities at Programme level).

Appointed experts to be funded from this dedicated envelope shall be selected from the pool of validated URBACT Experts (see Programme Manual Fact Sheet 2B - Implementation Networks)<sup>3</sup>. The Lead Partner and partners shall appoint Lead and ad hoc experts following a specific procedure outlined in the URBACT III Programme Manual (Fact Sheet 2B).

For phase 1, the expertise envelope available for each network shall be used to commission an expert who will support the project development phase (baseline study, partnership completion,

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<sup>3</sup> The list of experts validated in the URBACT III pool of experts so far is available at <http://urbact.eu/experts-list>. The call for experts will remain open during the whole lifetime of the programme, so experts may apply any time.

etc.). The expertise budget will be limited to 30.000 euros (40 days of expertise, including participation to information and training sessions organized by the URBACT Secretariat). In phase 1, only one single expert, designated as Lead expert, may be appointed. No additional ad hoc experts may be appointed from the dedicated expertise envelope. Days not used during phase 1 may be used in phase 2.

For phase 2, the expertise envelope shall be used to appoint a Lead expert and ad hoc experts to support the partnership with the delivery of all planned activities and expected deliverables. Experts shall provide support in terms of methods for efficient exchange and learning activities at transnational level, as well as in terms of thematic input and production of thematic outputs capturing learning coming from the network and partners' experiences.

For phase 2, the allocation of days to the Lead expert shall not exceed 80% of the days remaining in the envelope at the end of phase 1.

The available budget shall cover days of expertise only. Travel and accommodation costs for Lead and ad hoc Experts funded under this envelop shall be covered by the network budget.

Implementation Networks can contract additional experts for specific tasks (e.g. coordination of the URBACT Local Group, local animation, technical assistance, etc.) through the network budget under the category "External expertise and services".

## SECTION 7 - THE CREATION OF IMPLEMENTATION NETWORKS IN URBACT – A TWO-PHASE PROCESS

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In order to improve the quality of networks approved for funding, the URBACT III Programme foresees a two-phase process for Implementation Networks. The process includes:

- **Phase 1:** Implementation Networks approved by the Monitoring Committee enter in the 6-month Phase 1. The main aim of Phase 1 is to provide partners of Implementation Networks with time and resources to ensure:
  - the development of a common vision of the policy challenges and implementation related challenges to be addressed through the network activities;
  - checking that all proposed partners are sufficiently advanced in the implementation process for fruitful collaborations to be possible through the elaboration of a shared methodology for the exchange activities.

These elements shall be explored in the Baseline study exercise, the results of which shall be included in the Proposal for Phase 2 to be submitted at the end of initial 6-month Phase 1.

- **Phase 2:** Implementation Networks approved by the Monitoring Committee enter in the 24-month Phase 2 for the implementation of the activities at transnational and local level as foreseen in the Phase 2 Proposals.

As a consequence of the 2-phase approach, the creation of Implementation Networks in URBACT III is a two-stage process described below:

### 7.1. Submission of Phase 1 Applications

The submission of Phase 1 Applications is the first stage. Its purpose is to select and approve projects that will be funded for the 6-month Phase 1. Information to be provided by applicants in Phase 1 Applications is introduced under Section 10 of the present Call for Proposals and detailed in the “Guide to Implementation Networks”. Annex 1 presents an outline of the main headings of the application form.

Detailed information on how to create and submit a Phase 1 Application through the online system Synergie-CTE is provided in the “Practical Guide for the creation and submission of phase 1 applications of Implementation Networks”.

Phase 1 Applications will be checked against the eligibility criteria by the Secretariat and assessed by an independent panel of experts, the *External Assessment Panel* (EAP). Eligible applications, along with EAP assessment results and recommendations, will be submitted by the URBACT Managing Authority to the URBACT Monitoring Committee for approval. Only Implementation Network proposals approved by the Monitoring Committee will receive funding to implement the activities planned for Phase 1.

Eligibility and assessment criteria for the selection of Implementation Networks for Phase 1 are presented under Section 8 of the present Call for Proposals.

### 7.2. Submission of Phase 2 Applications

The submission of Phase 2 Applications at the end of Phase 1 is the second stage. Its purpose is to assess the quality and relevance of project proposals, improve the quality of projects whenever necessary, and approve projects to enter the 24-month Phase 2.



Phase 2 Applications will be checked against the eligibility criteria by the Secretariat and assessed by an independent panel of experts, the *External Assessment Panel* (EAP). The EAP may organize hearings of candidate Lead partners and Lead experts as part of the assessment process. Eligible applications assessed by the EAP, along with EAP assessment results and recommendations, will be submitted by the URBACT Managing Authority to the URBACT Monitoring Committee for the final approval. Only Implementation Network proposals approved by the Monitoring Committee will receive funding to implement the main activities planned for Phase 2.

Projects not approved for Phase 2 will be refunded for the costs incurred during Phase 1 up to a maximum of 150.000 euros.

Eligibility and assessment criteria for Phase 2 Applications are presented under section 8 of the present Call for Proposals.

## SECTION 8 – DETAILED PROCEDURE FOR THE CREATION OF IMPLEMENTATION NETWORKS IN THE FRAME OF THE CALL FOR PROPOSALS

### 8.1. General overview

Projects replying to this call for proposals shall be required to follow a structured application procedure and will be subject to a selection process. Each project shall be submitted **twice** to the URBACT III Monitoring Committee:

- in the form of a “Phase 1 Application” to be submitted in the framework of the open call for proposals
- in the form of a “Phase 2 Application” to be submitted, at the end of phase 1, by networks that have been approved and funded for phase 1

Decisions by the Monitoring Committee shall be final.

The different stages of the application procedure are outlined in detail in the Programme Manual (Fact Sheet 2D - Network Creation). They can be summarised as follows:

<b>0. Open call for proposals for the creation of Implementation Networks</b>	
<b>1. APPLICATION PHASE 1</b>	
<u>Stage 1</u>	Lead Partner creates and submits Phase 1 Applications and all requested documents to the URBACT Secretariat by <b>22<sup>nd</sup> June 2016</b>
<u>Stage 2</u>	URBACT Secretariat performs eligibility check.
<u>Stage 3</u>	External Assessment Panel carries out assessment of eligible project proposals and issues recommendations.
<u>Stage 4</u>	URBACT Managing Authority submits proposal for the approval of up to 15 Implementation Networks to the Monitoring Committee. Monitoring Committee approves projects for the 6-month Phase 1. Implementation Networks approved for Phase 1 shall receive funding and a subsidy contract that marks the final stage of approval of the project for Phase 1.  <b>MC meeting normally scheduled on 05 October 2016</b>
<b>6-MONTH PHASE 1 FOR APPROVED IMPLEMENTATION NETWORKS (Oct 2016-April 2017)</b>	
<b>2. APPLICATION PHASE 2</b>	
<u>Stage 5</u>	Lead partner submits Phase 2 Application along with requested documents 6 months after the start of Phase 1. Phase 2 Proposal will be completed as a result of Phase I activities (building on the baseline study)  <b>6 Months following notification of approval by MC – early April 2017</b>
<u>Stage 6</u>	URBACT Secretariat performs eligibility check.
<u>Stage 7</u>	External Assessment Panel carries out assessment of eligible project applications and issues recommendations. EAP may interview candidate Lead partners and Lead experts and issues recommendations for possible improvements of applications if relevant.
<u>Stage 8</u>	URBACT Managing Authority submits to the Monitoring Committee a proposal for the approval of Implementation Networks for Phase 2. Implementation Networks approved for Phase 2 shall receive funding and a subsidy contract that marks the final stage of approval of the project for Phase 2 <sup>5</sup> .  <b>MC meeting approx. June 2017.</b>
<b>24-MONTH PHASE 2 FOR APPROVED IMPLEMENTATION NETWORKS (June 2017-June 2019)</b>	

<sup>4</sup> More detailed information about the fixed deadline and requested documents is presented under section 8.2 of the present Call for Proposals.

<sup>5</sup> Projects not approved for Phase 2 will be refunded for the costs incurred during Phase 1 up to a maximum of 150.000 euros.

## 8.2. Stage 1 – Procedure for the submission of Phase 1 Application

To submit network proposals, applicants shall complete the 2 following steps:

- 1) To complete and submit their Phase 1 Application through Synergie-CTE in English. A 'Practical Guide to the creation and submission of Phase 1 Applications of Implementation Networks' is available for technical support. Only applications submitted using Synergie-CTE will be accepted.

**The deadline for the online submission of the Phase 1 Applications is 22 June 2016, 03 pm CET.**

**After this deadline, the Synergie-CTE system will be closed.**

- 2) To send the application package composed of the signed printed PDF of the Phase 1 Application generated through Synergie-CTE and all additional requested documents (*a list of additional documents is provided below*) by email to [IN@urbact.eu](mailto:IN@urbact.eu).

**The email shall be received by the URBACT Secretariat no later than 23 June 2016, 03 pm CET.**

Applicants shall send by email all the following documents:

- Scanned signed PDF version of the submitted Phase 1 Application generated through Synergie-CTE. It must be duly signed by the local coordinator at the Lead Partner's;
- Letters of commitment in English for ALL partners included in the partnership (one letter for the Lead Partner plus one letter for each project partner) using the templates annexed to this Call for Proposals. Letters of Commitment shall be signed by an elected representative of the partner institution;
- CV of the Project Coordinator at the Lead Partner;
- CV of the proposed URBACT Lead Expert to be appointed for phase 1;
- Any other documents applicants shall deem relevant to support the information provided in the application form (especially in relation to their integrated urban strategy/ action plan and secured funding). To be considered in the assessment process, such annexed documents shall be in English. These documents shall be listed in the email.

The submission of the Phase 1 Application package is paper free.

## 8.3. Stage 2 – Eligibility check of Phase 1 Applications

The URBACT Secretariat will check all received applications against the eligibility criteria. Eligibility criteria for Phase 1 applications are minimum requirements, all of which must be fulfilled before a project can be declared eligible for further assessment. They cover organisational, administrative and commitment requirements. Only eligible projects can be submitted by the Managing Authority to the Monitoring Committee for approval.

The proposals submitted to the URBACT Secretariat within the deadline and respecting the procedure outlined in the call will be checked for compliance with the eligibility criteria listed below:

### Phase 1 - Eligibility Criteria

- The application package is submitted in English, respecting the procedure outlined in the call for proposals and within the notified deadline.
- The application package is complete including the required documents set out in the call.
- The proposal is complete in terms of information and data required in the documents (application form and letters of commitment have been properly filled in and signed using the official templates and according to the instructions).
- The proposal fulfils the requirements for Phase 1 partnership bringing together a minimum of 7 and a maximum of 9 candidate cities from at least 3 Member/ Partner States, which have designated one of the cities as candidate Lead Partner.
- The proposed partnership respects the balance between partners from More Developed, Transition and Less Developed regions and includes a minimum of 4 cities from Less Developed regions where there are 8 or 9 partner cities and a minimum of 3 cities from Less Developed regions where there are 7 partner cities.
- The candidate Lead Partner is candidate Lead Partner in one URBACT proposal only under the related call.
- All candidate partners are eligible according to the URBACT Programme rules.
- The maximum budget for Phase 1 applications (150k total eligible cost) has been respected.

#### **8.4. Stage 3 – Assessment of eligible Phase 1 Applications**

Eligible Phase 1 Applications shall be assessed by an External Assessment Panel. Information about the External Assessment Panel is provided in the Fact Sheet 2D of the URBACT III Programme Manual. The assessment criteria for project proposals for phase 1 are outlined below:

### Phase 1 - Assessment Criteria

<b>Criterion 1: Relevance of the policy issues addressed</b>
<p>For this criterion, assessors will more especially consider the following dimensions:</p> <ul style="list-style-type: none"> <li>1.1 The proposal contributes to the objectives of the EU2020 strategy and it is in line with one or more of the Thematic Objectives for EU Cohesion Policy 2014-2020</li> <li>1.2 The thematic approach proposed clearly identifies key implementation related challenges/ issues to be specifically addressed by the network</li> <li>1.3 The proposal documents and demonstrates the added value of the proposal compared to previous URBACT networks on related issues. The relationship to existing or previous non URBACT networks is made evident (e.g. Interreg, etc.)</li> </ul>
<b>Criterion 2: Coherence of the proposal</b>
<p>For this criterion, assessors will more especially consider the following dimensions:</p> <ul style="list-style-type: none"> <li>2.1. The proposed methodology and activities will improve the capacities of cities to implement sustainable urban strategies and action plans (Specific Objective 3 for Implementation Networks in the Operational Programme 2014-2020).</li> <li>2.2. The proposal has a clear focus on exchange of experiences and builds on partners' experience and knowledge.</li> <li>2.3. The proposed methodology is realistic and coherent (the activities are logically sequenced and linked).</li> <li>2.4. The proposal shows a clear understanding of what is expected in terms of activities and outputs from Implementation Networks for Phase 2, especially in relation to the organisation of proposed Transnational exchange and learning activities (Work Package 2) and the proposed Impact on local governance and urban policies ( Work Package 3)</li> </ul>

**Criterion 3: Quality of the proposal for Phase 1**

For this criterion, assessors will more especially consider the following dimensions:

- 3.1 The work plan for Phase 1 is clearly presented with description of the planned activities and expected outputs
- 3.2 The activities are logically interlinked and in line with the objectives for Phase 1 (production of the Baseline study, elaboration of the Phase 2 Application)
- 3.3 The methodology for the production of the Baseline study is clearly set out.
- 3.4 There is a clear methodology for analysing the implementation challenges faced by each city.
- 3.5 The project budget is proportionate to the proposed work plan and the main outputs and results proposed.
- 3.6 The project budget is justified, clear and realistic.

**Criterion 4: Quality of partnership**

For this criterion, assessors will more especially consider the following dimensions:

- 4.1 The implementation challenges and types of possible response to be addressed by the networks are relevant for each of the cities proposed in the partnership.
- 4.2 The proposed partnership for Phase 1 covers an appropriate mix of EU Member States (for example ensuring adequate coverage of Central and Eastern Europe, Northern, Western and Southern Europe). In cases where the geographical coverage is limited, this is clearly justified in Phase 1 application.
- 4.3 The experience of cities involved in the partnership is relevant to address the challenges identified in the Phase 1 application and the cities are able to take steps to address these challenges (e.g. having appropriate competence, resources, political support...).
- 4.4 Each partner sets out in detail their local situation regarding their existing integrated urban strategy/ action plan, their implementation challenges, their needs and their expected results at local level and these are logically connected.
- 4.5 Each local partner has identified an appropriately skilled and experienced local coordinator in a position to ensure impact of the network activities on the implementation of the local integrated urban strategy/ action plan.
- 4.6 Each partner has provided a clear summary of their integrated strategy and/or action plan (title, objectives, main actions, main expected results).
- 4.7 Each partner has provided a clear picture of the state of play regarding funding of the main actions for their action plan (item, amount, funder, whether committed or not) and provided appropriate evidence to back this up (eg reference to letters of commitment, decisions of City Council, etc.).
- 4.8 The designated URBACT Lead expert has relevant experience in supporting transnational exchange and learning activities and relevant expertise in relation with the implementation issues to be addressed by the network.

**Criterion 5: Quality of leadership**

For this criterion, assessors will more especially consider the following dimensions:

- 5.1 The Lead Partner demonstrates competency in managing EU co-financed projects or can ensure adequate measures for management support
- 5.2 The named person to act for the Lead Partner (project coordinator) has experience (from attached CV) of this type of work
- 5.3 The project coordination at the Lead Partner's is well organised and clearly presented (who will do which tasks). Sufficient resources are indicated for the lead partner's tasks.

### **8.5. Stage 4 – Submission to the Monitoring Committee and approval**

Building on the report provided by the External Assessment Panel, the Monitoring Committee shall decide on the approval of projects to enter Phase 1. Decisions by the Monitoring Committee shall be final.

After approval by the Monitoring Committee, the information on approved projects shall be published on the URBACT website.

Approved applications shall receive a subsidy contract which marks the final stage of approval of the Phase 1 project. Additional information on the subsidy contract is available in Fact Sheet 2E of the URBACT III Programme Manual. The project shall then be fully operational and can start working on Phase 1.

### **8.6. Stage 5 – Creation and submission of Phase 2 Application**

During Phase 1, the Lead Partner and partners, with the support of the URBACT Expert, shall complete the Phase 2 Application to submit their final proposal for Phase 2. This will be done in English through the online system Synergie-CTE by updating and providing additional information to the initial application submitted for Phase 1. Terms of reference and guidance for the completion of the Phase 2 Application will be provided by the URBACT Secretariat to the projects approved for Phase 1. It shall include, amongst other things, a detailed definition of the network objectives and expected outputs, a work programme including a plan for the use and management of experts and a budget by category and partner.

At the end of Phase 1, the Lead partner shall submit their Phase 2 Application and all requested documents to the URBACT Secretariat. The Phase 2 Application shall be submitted to the URBACT Secretariat no later than 6 months following the approval for the project to enter Phase I. The procedure for the submission of the Phase 2 application will be provided to applicants at the beginning of Phase 1.

### **8.7. Stage 6 – Eligibility check of Phase 2 Applications**

The URBACT Secretariat will check all received applications against the eligibility criteria. Eligibility criteria for Phase 2 Applications are minimum requirements, all of which must be fulfilled before a project can be declared eligible. They cover organisational, administrative and commitment requirements. Only eligible projects can be submitted by the Managing Authority to the Monitoring Committee for approval.

The proposals submitted to the URBACT Secretariat within the deadline and respecting the procedure outlined in the call will be checked for compliance with the eligibility criteria listed below:

### Phase 2 Eligibility Criteria

- The proposal is submitted in English, within the notified deadline and respects the submission procedure outlined in the Terms of Reference for the submission of phase 2 Application.
- The proposal is complete including the required documents set out in the submission procedure for phase 2 Applications.
- The proposal is complete in terms of information and data required in the documents (application form and letters of commitment have been properly filled in and signed using the official templates and according to the instructions).
- The proposal fulfils the requirements for Phase 2 partnership bringing together a minimum of 7 and a maximum of 9 cities from at least 3 Member and Partner States, which have designated one of the authorities as candidate lead partner.
- The proposed partnership respects the requested balance between partners from More Developed, Transition and Less Developed regions and includes a minimum of 4 cities from Less Developed regions where there are 8 or 9 partners and a minimum of 3 cities from Less Developed regions where there are 7 partners.
- All candidate partners are beneficiaries of the programme as defined in the Operational Programme.
- The candidate partners are not involved in more than 2 project proposals for Phase 2 under the related call.
- All the partners are eligible according to the programme rules.
- The maximum budget for Phase 1 and Phase 2 applications together (750k €) has been respected

### **8.8. Stage 7 – Assessment of Phase 2 Applications**

The External Assessment Panel shall proceed to the assessment of eligible Phase 2 Applications, to be submitted to the Monitoring Committee for approval for Phase 2. The EAP shall assess the quality of proposals against the following assessment criteria:

### Phase 2 Assessment Criteria

<b>Criterion 1: Relevance of the topic/theme/policy issue addressed</b>
<p>For this criterion, assessors will more especially consider the following dimensions:</p> <ol style="list-style-type: none"> <li>1.1. The proposal contributes to the objectives of the EU2020 strategy and it is in line with one or several of the Thematic Objectives for EU Cohesion Policy 2014-2020</li> <li>1.2. The thematic approach proposed clearly identifies key urban implementation challenges/issues to be specifically addressed by the network</li> <li>1.3. The Phase 2 application proposes an integrated response to the challenge</li> <li>1.4. The expected results, at network and local level, are relevant to policy and implementation related challenges addressed by the partnership</li> <li>1.5. The proposal documents and demonstrates added value of the proposal compared to previous URBACT networks on related issues when relevant. The relationship to existing or previous non URBACT networks is made evident (e.g. INTERREG)</li> </ol>
<b>Criterion 2: Coherence of the proposal</b>
<p>For this criterion, assessors will more especially consider the following dimensions:</p> <ol style="list-style-type: none"> <li>2.1. The proposed methodology and activities contribute to the specific objective for Implementation Networks (Specific Objective 3: To improve the capacities of cities to implement sustainable urban strategies and action plans).</li> <li>2.2. The proposed methodology builds on partners' experience and knowledge.</li> <li>2.3. The proposed methodology is realistic and consistent (The different work packages are logically</li> </ol>

<p>interlinked; the activities are logically interlinked; etc.).</p> <p>2.4. The proposal shows a clear understanding of what is expected in terms of activities and outputs from Implementation Networks, especially in relation to Work Package 2 (Transnational exchange and learning activities) and Work Package 3 (Impact on local governance and urban policies).</p>
<p><b>Criterion 3: Quality of the proposal for Phase 2</b></p> <p>For this criterion, assessors will more especially consider the following dimensions:</p> <p>3.1. The work plan for Phase 2 is clearly presented with description of the planned activities and expected outputs</p> <p>3.2. The activities are logically interlinked and in line with the objectives for Phase 2</p> <p>3.3. The proposed methodology and work plan demonstrate clear complementarity between the different work packages, and more especially how the transnational exchange activities (work package 2) feed into the development of implementation frameworks at partner level (work package 3) and vice-versa.</p> <p>3.4. The proposal for phase 2 demonstrates how potential recommendations from the External Assessment Panel have been addressed.</p> <p>3.5. The project budget is proportionate to the proposed work plan and the main outputs and results proposed.</p> <p>3.6. The project budget is justified, clear and realistic.</p>
<p><b>Criterion 4: Quality of proposed partnership</b></p> <p>For this criterion, assessors will more especially consider the following dimensions:</p> <p>4.1. The urban challenges (policy issue) to be addressed by the network are relevant for all partners proposed in the partnership for phase 2.</p> <p>4.2. The proposed partnership for phase 2 covers an appropriate mix of EU Member States (for example ensuring adequate coverage of Central and Eastern Europe, Northern, Western and Southern Europe). In case the geographical coverage is limited, this is clearly justified in the application.</p> <p>4.3. The experience of partners involved in the partnership is relevant to address needs/ gaps identified in partners.</p> <p>4.4. The local situation, needs and expected results at local level are logically interlinked for each partner.</p> <p>4.5. For each partner the proposal defines clear and concrete expected results at local level in terms of enhancing the implementation of the partner's integrated urban strategy/ action plan and building local capacities.</p> <p>4.6. The appointed local coordinators who will be responsible for the project in partner institutions have the relevant profile and position in the organisation to contribute to the delivery of foreseen activities and outputs.</p> <p>4.7. The URBACT expert proposed as potential Lead expert has relevant experience in supporting transnational exchange and learning activities and relevant expertise in relation to the implementation issues to be addressed by the network.</p> <p>4.8. The proposed framework for the use of expertise resources is clear and is logically related to the proposed work plan and expected outputs.</p>
<p><b>Criterion 5: Quality of project leadership and management</b></p> <p>For this criterion, assessors will more especially consider the following dimensions:</p> <p>5.1. The Lead Partner demonstrates competency in managing EU co-financed projects or can ensure adequate measures for management support</p> <p>5.2. The appointed officer to act in the name of the Lead Partner (project coordinator) has experience (from attached CV) of this type of work</p> <p>5.3. The organisation of the project coordination at the level of the Lead Partner is clearly presented (human resources identified for the different tasks to be performed by the Lead partner, allocations of tasks, etc.)</p> <p>5.4. The proposed organisation for project coordination is realistic and consistent.</p>

Whereas the assessment of Phase 1 applications is aimed at selecting a number of proposals out of all eligible proposals received as a result of a competitive call, the assessment of Phase 2 Applications shall aim to check the quality of the proposals and to improve these proposals if relevant. The EAP



may seek clarification from the candidate Lead partners and Lead experts by means of interviews and provide recommendations for improvements if necessary.

## **8.9. Stage 8 – Approval of Implementation Networks for Phase 2**

Based on the final assessment by the External Assessment Panel, the URBACT Managing Authority shall submit to the Monitoring Committee a proposal of projects to be approved for Phase 2. The Monitoring Committee shall decide on the approval of projects to enter Phase 2. Decisions by the Monitoring Committee shall be final.

Approved applications shall receive an amendment to their original subsidy contract which marks the final stage of approval of the Phase II project. Additional information on the subsidy contract is available in Fact Sheet 2E of the URBACT III Programme Manual. The project shall then be fully operational and can start working on Phase 2.

## **SECTION 9 – COMPLAINTS PROCEDURE**

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Lead partners of rejected project proposals are informed in writing about the reasons why an application was not eligible or not approved. Questions in relation to the assessments will be examined and answered by the Managing Authority/ Joint Secretariat. Projects that have not been selected for funding have the right to file a formal complaint on the decision of the Monitoring Committee.

In principle, complaints can only be lodged against the following criteria: (1) the assessment does not take into consideration information supplied in the application and (2) the project assessment and selection process failed to comply with the specific procedures laid down in the call publication and programme manual, which as a consequence may have affected the decision.

Only the project's lead partner can file a complaint. Potential partner complaints have to be passed through the lead partner. Complaints should be submitted electronically to the joint secretariat within 3 weeks after the official notification of the non-selection of the project by the Managing Authority. This deadline shall not prejudice the start of the other projects approved by the Monitoring Committee.

The complaints will be examined and answered by a complaint panel involving the chair of the URBACT Monitoring Committee, the URBACT Managing Authority/ Joint Secretariat and the chair of the External Assessment Panel. If deemed necessary, the complaint panel may decide to submit a complaint to the Monitoring Committee of the programme for review.

## SECTION 10: CONTENT OF PHASE 1 APPLICATION

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Projects wishing to apply for funding within the frame of this Call for Proposals shall fill in and submit the Phase 1 Application through the online Synergie-CTE platform. All applications shall be filled in in English.

Proposals for Phase 1 mainly cover the initial 6 months (in terms of work programme and budget) but also outline applicants' proposal for phase 2, more especially regarding the thematic entry and methodological approach, so as to provide elements on what could be expected if the project is approved for phase 2.

Here below the list of the main sections to be completed in order to submit a Phase 1 Proposal:

- **Presentation of the project proposal:** applicants shall define the main policy issues to be addressed by the network building on the focus of partners' integrated urban strategies/ action plans, as well as the implementation related challenges they propose to address as a partnership. They should highlight the link with the EU2020 strategy and the Thematic Objectives for Cohesion Policy 2014 (whether direct for cities benefiting of Structural Funds or indirect for cities benefiting from funding under a national programme for instance). They should also explain how the project will contribute to the URBACT specific objective for Implementation Networks.
- **Presentation of the main approach proposed for the network activities:** applicants shall describe the methodological approach they want to apply in order to facilitate the transnational exchange activities at transnational level and the local activities for the co-production of the "operational Framework for Implementation" of their existing strategy/ action plan. Under the related sections, applicants shall demonstrate how the proposed methodological approach, actions and deliverables are logically interlinked.
- **Presentation of the proposed partnership:** applicants shall highlight, for each city partner involved in the partnership:
  - The partner's local situation in relation to their existing integrated urban strategy/ action plan, including a brief description of this strategy/ action plan, the funding available, the implementation related challenges they would need to address in the network ;
  - The experience of partners in dealing with the implementation related issues to be addressed by the network (including in terms of policy challenge tackled by the local integrated strategy/ action plan) and their potential contribution to the exchange and learning activities;
  - The specific needs and expected results of partners.
- **Description of the main activities to be implemented during Phase 1:** applicants shall describe how the main activities included under the 2 Work Packages for Phase 1 (WP1 Project Management and Coordination and WP2 Project development) will be implemented. More especially applicants are requested to detail the proposed approach for the production of the Baseline study. Detailed information concerning the Baseline study is available in the Guide for Implementation Networks.
- **Budget for Phase 1:** applicants shall provide information about the budget required to deliver the activities proposed based around 5 budget categories. An individual project partner budget shall also be provided. More detailed information on budgetary issues can be found in section 6 of this document and in the Guide for Implementation Networks.

For the preparation of the Phase 1 Applications applicants are requested to refer to:

- The URBACT III Programme Manual - Fact sheet 2B – Implementation Networks;
- The 'Guide to Implementation Networks' for detailed information concerning the main activities to be implemented during Phase 1 and Phase 2;
- 'Practical Guide to the creation and submission of Phase 1 Applications of Implementation Networks' for practical instructions on how to complete and submit Phase 1 proposals through Synergie-CTE;
- The present call for proposals.

## **SECTION 11: IMPORTANT DATES FOR APPLICANTS**

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Applicants are invited to take note of the 5 following milestones:

- **Submission of proposals**

Phase 1 Applications shall be submitted by **22 June 2016**<sup>6</sup> at the latest, following the procedure outlined above in section 8.

- **Approval for Development phase**

Eligible project proposals will be submitted to the Monitoring Committee for approval of funding for Phase 1. The Monitoring Committee meeting is scheduled on **05 October 2016**.

- **Training session at the beginning of Phase 1**

Lead Partners and URBACT Experts of approved projects will be requested to attend the Training Session organized in Paris on **09-10 November 2016**.

NOTA BENE: Lead partners shall foresee that their proposed URBACT Lead expert as well as the persons who will be in charge of project coordination and project finances (so-called "finance officers") attend this training session. The programme shall cover Travel and Accommodation costs for up to 2 persons for the Lead partner city plus the Lead Expert.

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<sup>6</sup> The online tool for submitting Proposals for Phase 1, Synergie-CTE, will close at 3 pm CET on 22 June 2016. More detailed information about the submission procedure, list of required documents and deadline is provided in section 8 of the present Call for Proposals.

## SECTION 12: USEFUL RESOURCES

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- **URBACT Secretariat**

Applicants may contact members of the URBACT Secretariat for clarification related to the submission of applications. For all questions concerning the Call for Proposals for Implementation Network, applicants are invited to contact Kris Radojic, Networking Officer ([k.radojic@urbact.eu](mailto:k.radojic@urbact.eu)).

- **Frequently Asked Questions**

A Frequently Asked Questions (FAQ) section is available on the URBACT website: <http://urbact.eu/faq>

- **Useful Documents**

In preparing their Phase 1 Application, applicants are invited to refer to the following documents:

- URBACT III Operational Programme
- URBACT III Programme Manual, and in particular
  - Fact Sheet 1 – The URBACT Programme
  - Fact Sheet 2B – Implementation Networks
  - Fact Sheet 2D – Network Creation
  - Fact Sheet 2E – Network Management
  - Fact Sheet 2F – Financial management and control
- Guide to Implementation Networks
- Practical Guide to the creation and submission of Phase 1 applications of Implementation Networks
- URBACT Toolkit for Local Support Groups (this toolkit is an URBACT II guide on creating Local Action Plans. It was produced mainly to help those involved in the past URBACT projects to produce their Local Action Plans now called Integrated Action Plans, however, it is of relevance for implementation networks)

Key documents are available on the webpage dedicated to the call.

- **Database of URBACT III validated experts**

<http://urbact.eu/experts-list>

# ANNEX 1 – OUTLINE OF MAIN COMPONENTS OF THE APPLICATION FORM FOR PHASE 1

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## 1. PROJECT SYNTHESIS

- 1.1. Project identity (incl. title and duration)
- 1.2. Summarized description of the issue to be addressed
- 1.3. Partnership
- 1.4. Thematic objective
- 1.5. Total budget for Phase 1

## 2. PRESENTATION OF THEMATIC CONTENT

- 2.1. Policy challenge addressed by partners' integrated urban strategies/ action plans**
  - 2.1.1. Definition of the issue/ Common policy challenges addressed by partners in their integrated urban strategies/ action plan
  - 2.1.2. Link to EU 2020 strategy and 10 Thematic objectives
- 2.2. Description of Implementation related challenges to be addressed by the network**
  - 2.2.1. Fostering the integrated approach / Mandatory challenge
  - 2.2.2. Involving local stakeholders / Mandatory challenge
  - 2.2.3. Measuring impact / Mandatory challenge
  - 2.2.4. Building the project pipeline / Optional challenge
  - 2.2.5. Organising decision-making for delivery/ Optional challenge
  - 2.2.6. Moving from strategy to operational action-plan/ Optional challenge
  - 2.2.7. Developing Public Private Partnerships/ Optional challenge
  - 2.2.8. Setting up smart public procurement/ Optional challenge
  - 2.2.9. Enhancing funding of urban development policies through financial innovation/ Optional challenge
- 2.3. Potential added-value compared to past URBACT projects on similar/ policy challenges**

## 3. PARTNERSHIP (information to be provided for each partner city)

- 3.1. Please provide information on partner profiles in relation with the implementation related challenges to be addressed at network level**
  - 3.1.1. Has the city been identified as the article 7 urban authority for the ERDF Operational programme? If yes, will it be funded as an Integrated Territorial Investment, a dedicated programme or urban axis? If no, in which framework has your strategy/ action-plan been developed (eg. National programme)? Please describe the state of play.
  - 3.1.2. Please describe what is the local policy challenge that the city's integrated urban strategy/ action plan addresses?
  - 3.1.3. What are the objectives of the city's integrated urban strategy/action plan?
  - 3.1.4. Time frame: When were this integrated strategies/ action plan designed? What period does it cover?
  - 3.1.5. Please explain how is the strategy/ action plan integrated, taking into account economic, social, environmental, other (if relevant) dimension of integrated approach?
  - 3.1.6. Please explain what kind of participatory approach was developed for the production of this integrated strategy/ action plan (stakeholders involved, co-production process, etc.)?

- 3.1.7. Please illustrate the main actions/ measures included in this strategy/action plan?
- 3.1.8. Please describe the main expected results of the strategy/ action plan?
- 3.1.9. Please specify the area that the strategy/ action plan covers? (e.g. specify neighbourhood, municipality, grouping of municipalities)
- 3.1.10. Summary of the main actions included in your integrated urban strategy/ action plan and information related to funding scheme (incl. amounts secured so far, etc.)
- 3.1.11. Please highlight the main Implementation related challenges (IRC) you are confronted with/ you would need to explore in the relation with the implementation of your integrated urban strategy/ action plan

**3.2. Rationale of proposed partnership - Why does it make sense these cities to work together?**

**3.3. Proposed Lead Expert including specific experience of working with implementation challenges**

#### **4. PROPOSED APPROACH FOR DIFFERENT WORK PACKAGES IN PHASE 2**

- 4.1. Description of Work Package 1- Network management**
- 4.2. Description of Work Package 2 - Transnational exchange**
- 4.3. Description of Work Package 3 - Local policies and local governance**
- 4.4. Description of Work Package 4 - Communication**
- 4.5. Logical frame: How will the two way bridge be developed between Work package 2 and Work package 3?**

#### **5. DESCRIPTION OF PROJECT FOR PHASE 1**

- 5.1. Description of Work package 1 - Project management**
- 5.2. Description of Work package 2 - Project development**
  - 5.3.1. Proposed actions
  - 5.3.2. Methodological approach for the baseline study to be completed during Phase 1
  - 5.3.3. Expected deliverables
- 5.4. Work plan for Phase 1**

#### **6. NETWORK MANAGEMENT AND LEADERSHIP**

- 6.1. Lead partner experience (highlights of city's experience)**
- 6.2. Experience of proposed project coordinator**
- 6.3. Proposed organization for network management Phase 2**

#### **7. BUDGETARY PROPOSAL**

- 7.1. Financial contribution by partner and source (incl. ERDF and local contribution)**
- 7.2. ERDF per year**
- 7.3. Expenditure per partner, per year and budget subcategory**
- 7.4. Expenditure per year and budget category**
- 7.5. Project cost per budget line**
- 7.6. Project costs per budget category – Justification/Explanation**

#### **8. SIGNATURE (Signature of the Lead Partner/project coordinator)**

## ANNEX 2 – TEMPLATE LETTER OF COMMITMENT FOR THE LEAD PARTNER

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The text shall be inserted in the Lead Partner’s headed paper with the relevant project data.

URBACT III Managing Authority  
5, Rue Pleyel  
93283 Saint Denis Cedex  
France

Dear Madam, Sir,

The city of [... *name of the city*...] confirms its commitment to be the Lead Partner in the activities of the URBACT *Implementation network* proposal entitled [...*project title* ...].

Within our own city, we have an existing integrated urban strategy and/or action plan which has been endorsed by the city council and which we will use for the purpose of this implementation network. We also have funds secured to finance the implementation of this strategy/ action plan committed either from third parties (expressed through a letter of commitment) or from within our own resources (expressed through a formal decision of the Council). This strategy/ action plan entitled [... *title of the policy instrument*...] aims to tackle the following policy challenge(s): [... *brief outline of the focus and objectives of the considered urban strategy/ action plan*...]

The specific implementation issues we wish to address in this *Implementation network* as a Lead Partner are [...*brief description of issues to be addressed under each category of Implementation challenges*...].

We are convinced that by working through this URBACT network, we will be able to better address these challenges. In this context, if the proposal is approved within the framework of the URBACT III Programme, we will ensure the overall coordination of the network, take on roles and undertake activities as indicated in the Phase 1 work programme. More especially, we commit to organise and deliver two transnational meetings, to coordinate the production of the Baseline study, to engage with key local stakeholders to be involved and to produce a Phase 2 Application.

To this end we also formally commit to engaging the funds needed to co-finance ERDF for the execution of the URBACT network. The details of this contribution are outlined within the Phase 1 application.

Yours sincerely<sup>7</sup>

\_\_\_\_\_  
Name in capital letters:

\_\_\_\_\_  
**Function**

Official stamp

<sup>7</sup> The signing person has to be an elected representative with authority to sign for the Lead Partner. In case the Lead Partner institution has no elected representatives, the signing person must be in the position of committing the institution’s resources to be engaged in the project (staff, budget, etc.).

## ANNEX 3 – TEMPLATE LETTER OF COMMITMENT FOR PROJECT PARTNER

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The text shall be inserted in the Partner’s headed paper with the relevant project data.

URBACT III Managing Authority  
5, Rue Pleyel  
93283 Saint Denis Cedex  
France

Dear Madam, Sir,

The city of [.....*name of partner city*.....] confirms its commitment to be Project Partner in the activities of the URBACT Implementation network proposal entitled [.....*title of project*.....] led by [.....*name of Lead partner city*.....].

Within our own city, we have an existing integrated urban strategy and/or action plan which has been endorsed by the city council and which we will use for the purpose of this implementation network. We also have funds secured to finance the implementation of this strategy/ action plan committed either from third parties (expressed through a letter of commitment) or from within our own resources (expressed through a formal decision of the Council). This strategy/ action plan entitled [... *title of the policy instrument*...] aims to tackle the following policy challenge(s): [... *brief outline of the focus and objectives of the considered urban strategy/ action plan*...]

The specific implementation issues we wish to address in this *Implementation network* as a Network Partner are [...*brief description of issues to be addressed under each category of Implementation challenges*...].

We are convinced that by working through this URBACT Implementation Network, we will be able to better address these challenges. In this context, if the proposal is approved within the framework of the URBACT III Programme, we will actively participate in the network activities, take on roles and undertake activities as indicated in the Phase 1 work programme. More especially, we commit to contribute to organising and delivering two transnational meetings, to delivering the Baseline study, to engaging with key local stakeholders to be involved and to producing a Phase 2 Application.

To this end we also formally commit to engaging the funds needed to co-finance ERDF for the financing of the URBACT network. The details of this contribution are outlined within the Phase 1 application.

Yours sincerely<sup>8</sup>

\_\_\_\_\_  
Name in capital letters:

\_\_\_\_\_  
**Function**

Official stamp

<sup>8</sup> The signing person has to be an elected representative with authority to sign for the Lead Partner. In case the Lead Partner institution has no elected representatives, the signing person must be in the position of committing the institution’s resources to be engaged in the project (staff, budget, etc.).