

Addendum 4: CIVITAS Activity Fund Framework

GLOSSARY

CIVITAS CATALIST project: *CIVITAS CATALIST* is the project of the *CIVITAS Initiative*⁵ family responsible for ensuring that the experiences of the programme are exploited up to a maximum level and up-taken by as large a community of cities as possible.

Take-up city (TUC): Cities and regions which are not partners in CIVITAS CATALIST and potentially interested in taking up experience of the CIVITAS Initiative

Thematic coordinators: Group of leading cities in charge of the animation and coordination of the work under each of the main eight CIVITAS thematic fields

Ambassador Cities: Forerunners and well-experienced cities from CIVITAS I or II in a specific field of sustainable urban transport

CIVITAS CATALIST Partners (CCP): 23 full project-partners of CIVITAS CATALIST, which includes Thematic Coordinators, Ambassador Cities and other project-partners

⁵ The CIVITAS Initiative helps cities to achieve a more sustainable, clean and energy efficient urban transport system by implementing and evaluating an ambitious, integrated set of technology and policy based measures.

1. Framework for the CIVITAS Activity Fund

For the implementation of the CIVITAS Activity Fund the rules of the 6th Framework Programme⁶ apply, in particular the Rules of Participation.

2. CIVITAS Activity Fund: Context and Definition

2.1. Purpose

CIVITAS CATALIST is the project of the CIVITAS Initiative⁷ “family” responsible for ensuring that the experiences of the programme are exploited up to a maximum level and up-taken by as large a community of cities as possible.

Accordingly, three main objectives are pursued:

- *Demonstrate the added value and feasibility of CIVITAS* to (i) provide measurable feedback to the current CIVITAS cities (to maintain their high level of motivation and commitment) and to (ii) attract new cities on the basis of concrete evidence of the benefits they can expect from the CIVITAS family;
- *Add value to CIVITAS* by developing inspirational initiatives at the national and local level;
- *Maintain and expand the CIVITAS network* to ensure its durability.

An innovative, user-driven project as CIVITAS CATALIST is inherently complicated due to the ambition of its mission and the broad participation of actors. The total requested budget is € 4 292 927 distributed among 23 partners across four years of project lifetime. The budget of the Project Coordinator (ISIS – *Istituto di Studi per l’Integrazione dei Sistemi*) incorporates an “Activity Fund” of €1 000 000 to be progressively disbursed to finance on-demand activities undertaken both by *project partners* and *take-up cities (TUCs)*.

The CIVITAS Activity Fund (AF) intends to both (i) ensure participation to the activities designed, organised and handled by the **project partners** (e.g. technical workshops, study tours, etc.) and (ii) co-finance activities promoted by the **take-up cities**, through dedicated Calls for Applications.

Whatever the nature of these activities, the common denominator is that they are always undertaken for the benefit of the take-up cities.

2.2. Activity Types

The following threefold repartition has been agreed:

- **Small Initial Interactions** (e.g. site visits) between take-up cities and CIVITAS CATALIST project partners. 10% of the total budget of the CIVITAS Activity Fund is dedicated to this kind of activities;
- **Inspirational and supporting take-up activities** organised by the partners of CIVITAS CATALIST in order to involve take-up cities in the activities of the project and to stimulate them to apply to the Calls for Applications. 30% of the total budget of the CIVITAS Activity Fund is dedicated to these activities. The next table provides an overview of examples of the typologies of activities and activities eligible for CIVITAS Activity Fund funding under the Inspirational and Supporting Take up activities:

⁶ FP6 is the European Community Framework Programme for Research, Technological Development and Demonstration. It is a collection of the actions at EU level to fund and promote research.

⁷ CIVITAS Initiative helps cities to achieve a more sustainable, clean and energy efficient urban transport system by implementing and evaluating an ambitious, integrated set of technology and policy based measures.

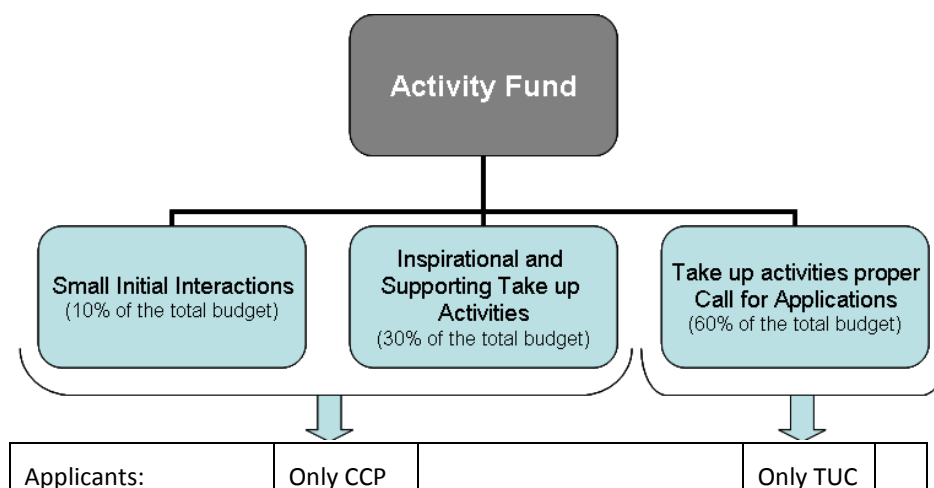
Thematic Workshops in CIVITAS CATALIST partners (CCP)	Initial inspirational/knowledge transfer workshops taking place in CIVITAS CATALIST partners cities
Thematic Workshops in Take-up Cities (TUC)	Technical workshops (some with a specific transferability focus) taking place at a later stage of the project in take-up cities (in order to reach more people)
Focus Group Meetings in TUC	Validation of results, identification of good practices and transfer potential (CIVITAS CATALIST partners + TUC)
Site Visits	TUC staff (politicians and practitioners) visiting (half day) CCP and events taking place thereof
Training on the Job	Training sessions, either in CCP or TUC
Interviews	Interviews with experts
Student Awards	Awards presented to young academics for their work on studies on the impacts of integrated transport/energy policies
E-booklet	Editing and publishing a book on the results and lessons of the CIVITAS initiative
Networks	Networks adding value to local authorities' efforts to move towards sustainable mobility by using the experience gained in CIVITAS
Conference Support	Self explanatory

- **Take-up activities proper** (e.g. studies, plans, small projects, as well as visit to a Thematic Coordinator, CIVITAS CATALIST partners and/or Ambassador City, or on-the-job training) proposed by the take-up cities via the Calls for Applications. 60% of the total budget is dedicated to this kind of activities.

2.3. Applicants

The planned activities are always undertaken for the benefit of the take-up cities. However:

- “Small Initial Interactions” and the “Inspirational and Supporting Take up activities” the Application Forms are handled directly by the CCPs, which are responsible for the organisation of the events in cooperation and to the benefit of TUCs. In this case, there are no deadlines as applications can be made throughout the project duration;
- Specific Calls for Applications (with non-negotiable deadlines) are dedicated exclusively to TUCs and are published on the CIVITAS Website.



2.4. Dedicated Budget

The budget dedicated to the CIVITAS Activity Fund is €1 000 000 and it is progressively disbursed to finance on-demand activities undertaken both by *project partners* and *take-up cities*.

The activities undertaken by the CIVITAS CATALIST partners are funded in full (i.e. 100% of eligible cost) whereas the TUCs must co-fund at least the 50% of their planned budget. This rule has been established to assure the commitment of newcomer cities.

The next table provides a summary of the main characteristics of each type of activity:

Activity Type	Description	Rough % of AF	Applicants	Deadline	Co-funding
Small Interactions Initial	Interaction between potential TUC and CCP	10%	CCP	NO	100%
Inspirational supporting activities and take-up	Activities organised by partners of CIVITAS CATALIST in order to involve TUC in the activities of the project and to stimulate them to apply to the Calls for Applicants	30%	CCP	NO	100%
Take up activity proper	Activity proposed by the take-up cities via the Calls for Application.	60%	TUC	YES	50%

3. Procedures for Submitting Proposals

The first step in applying for funding for both the CCPs and the TUCs is the submission of the Proposals to the CIVITAS CATALIST Coordinator (ISIS) (hereafter Coordinator).

3.1. **“Small Initial Interactions” & “Inspirational and Supporting Take up activities”** (proposed by CCPs for the benefit of TUCs)

➤ **Submission**

Ad-hoc Application Forms (see figures) have been developed to apply for both types of activities and they have been circulated among the CIVITAS CATALIST consortium.

The proposal will need to be submitted by e-mail to the Coordinator (ISIS, lmarmora@isis-it.com).

➤ **Selection**

- **For Small Initial Interactions:** the Coordinator reviews all received applications to ensure that they are eligible for funding. If the applications are well described and in line with the scope of the CIVITAS Activity Fund, the Coordinator relays them to the European Commission for Formal Approval. The EC will give approval by email within 10 working days of application submission. If the coordinator does not receive a response from the Commission within 10 working days the application has been tacitly approved.
- **For Inspirational and Supporting Take up activities:** the Coordinator reviews all received applications to make sure that they are eligible for funding and in line with scope, and then relays them to the European Commission for Formal Approval (within 5 working days of receipt). The EC approval (or rejection) is communicated to the Coordinator within 10 (ten) working days of relay and then transmitted immediately to the applying partner by e-mail. For Inspirational and Supporting Take up activities, there is no tacit approval by the EC.

Without the Formal Approval of the Coordinator and/or the EC it is not possible to kick off the activity.

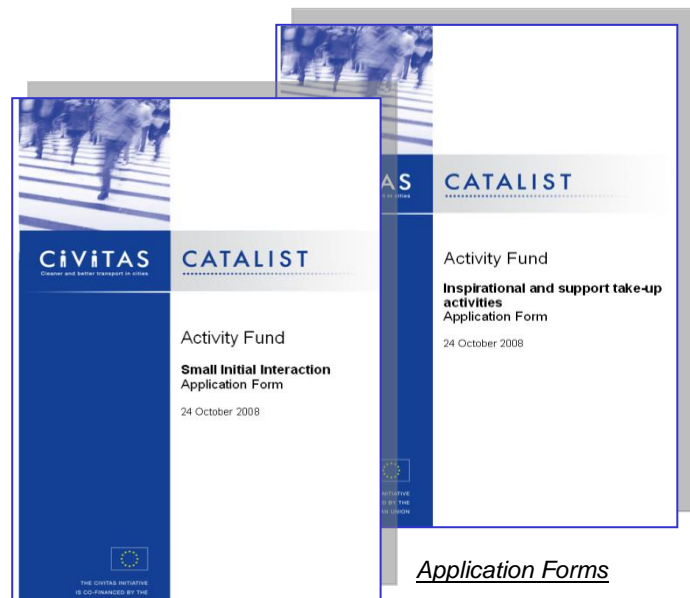
➤ **Implementation and Reporting**

Once approved, the beneficiary can kick off the activities following the work plan described in the proposal.

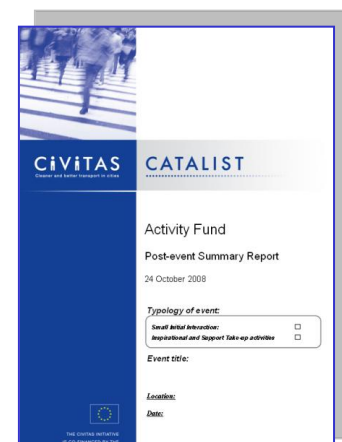
A Post-event Summary Report (including a financial report and receipts) must be submitted by the awarded partner to the Coordinator (within 10 working days of the event date) in order to:

- Certify that the activity achieved is in line with what has been declared in the Application Form;
- Obtain the reimbursement of the costs incurred.

The Report template has been circulated among the CIVITAS CATALIST Consortium.



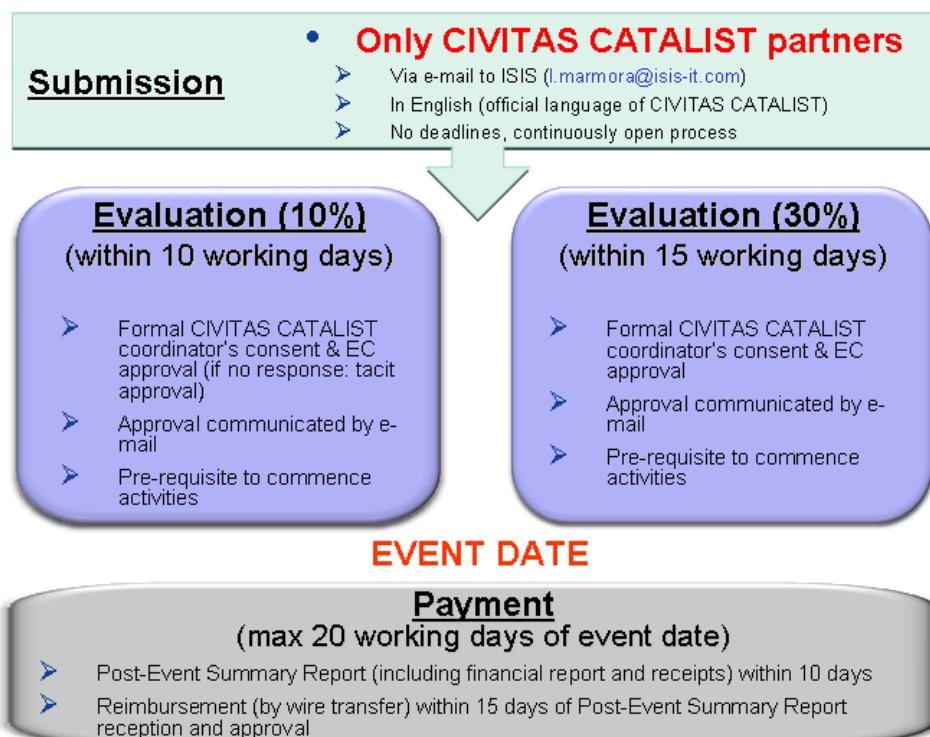
Application Forms



Post Event Summary Reports

Reimbursement will be made by wire transfer within **15 (fifteen) working days** of Post-event Summary Report approval [which is due within five working days of Report receipt].

Figure: Procedures Scheme



3.2. Take up activity proper - Calls for Applications

Applications shall reflect the spirit of CIVITAS CATALIST, which is enabling an exchange and/or transfer of experiences between the CCPs and TUCs interested in the integrated CIVITAS approach to sustainable urban mobility.

<p>Eligible activity</p>	<ul style="list-style-type: none"> ▪ Studies (e.g. feasibility studies, surveys, evaluation studies, etc.); ▪ Conferences, workshops and seminars; ▪ Expertise-enhancing activities (e.g. site visits, training on the job, study). <p>(List not exhaustive). No implementations.</p>
<p>Eligible applicants</p>	<p>Eligible applicants are local authorities, public transport operators and public agencies. Applications may be filed in by individual or teamed-up organisations that have not been/are involved in projects already funded by the CIVITAS Initiative.</p> <p>CIVITAS II Cities for what concern the long term evaluation of measures</p> <p>Unsuccessful proposers to previous CIVITAS calls are eligible for application with CIVITAS CATALIST.</p> <p>Parties established in a Member State and from Albania, Croatia, the Former Yugoslav Republic of Macedonia, Iceland, Israel, Kosovo, Montenegro, Norway, Serbia, Switzerland and Turkey can submit applications.</p> <p>Parties established in countries other than those mentioned above are eligible for funding only if they apply as a consortium in which is present at least one</p>

	entity based on a Member States or Associated Countries.
Financial Regime	Up to 50% funded by the CIVITAS Activity Fund The costs incurred by CCP are fully reimbursed and they should be clearly identified in the proposal budget.

➤ **Call for applications**

Dedicated Calls for Application will be opened regularly during the lifetime of the CIVITAS CATALIST project (2007-2011). The expected sequence is at least six-monthly, possibly more frequent. The call text will be agreed with the European Commission before the launch of the Call for application.

Applications must utilise the templates available for download on the CIVITAS Website (www.civitas.eu/cms_network.phtml?id=1889&lan=en) and follow the procedures detailed in the Call text. All deadlines will be rigorously enforced and the applications submitted past the deadlines or incomplete will not be retained for evaluation.

➤ **Maximum CIVITAS Activity Fund Co-funding per activity**

The next table provides an overview of examples of the typologies of activities eligible for CIVITAS Activity Fund funding under the CIVITAS Calls for applications. The table also outlines budget limits per type of activity.

**CIVITAS Activity Fund (AF)
Max AF co-funding per event/activity**

		Eligible Activities	Max AF Co-funding
*TUCs budget	Study	<i>Study toward the development and/or implementation of sustainable urban policies in the TUC. The study may address the whole policy process or only parts of it (e.g. conception, feasibility, implementation).</i>	€ 20.000,00 per study
	Events	<i>- Workshop or seminar addressing specific aspects of sustainable urban policies, with a marked focus on knowledge transfer (it may include a technical city tour). Usually propedeutical to the development and validation of a policy. - Conference officially presenting and/or launching a sustainable urban policy.</i>	€ 8.000,00 for one or more events***
	Site Visit	<i>TUC staff visiting CCP(s) to acquire information on sustainable urban policies</i>	€ 5.000,00 per site visit
	Dissemination and Communication	<i>Production, distribution and translation of dissemination material communicating sustainable urban policies (publications, flyers, posters, etc).</i>	€ 3.000,00 Per activity
**CCPs budget	CCP Expert Contribution	<i>Costs to involve experts from CIVITAS CATALIST Partners in the activity organised by TUC. These costs are funded 100%. The TUC must obtain the agreement of the involved CCP before proceeding with the definition of the costs.</i>	10.000,00

LEGEND:

Max co-funding: maximum co-funding per activity/event organised by TUCs

Requested Fund: the CIVITAS AF co-funds activities up to 50% of their eligible costs and in any case not exceeding the max AF co-funding shown in Column D.

Own Fund: share of the total budget supplied by the Applicant (50%).

TUCs: Take Up Cities

CCPs: CIVITAS CATALIST Partners

Other Costs: all costs not included above except Consumable and Equipment

***TUCs budget:** this section illustrates the budget planned to organise the proposed activities, excluding the costs of the involvement of the CCPs. Please take into account the max co-funding thresholds per type of activity (see Column D).

****CCPs budget:** this section illustrates the budget planned to involve the CCPs experts. Costs are funded 100%. Please

******* The maximum amount for a single event will be granted in exceptional cases.

➤ **Selection**⁸

The Coordinator has developed specific templates to carry out the evaluation of Applications.

○ Pre-selection

The Coordinator assesses the eligibility of all received Applications, rejecting those not meeting all formal requirements. In the latter case, applicants are duly informed as to the ineligible criterion and are encouraged to re-apply. Applications meeting all formal requirements are forwarded to a Selection Committee, composed of the Steering Committee members of CIVITAS CATALIST and the European Commission, for a two-layered evaluation process.

○ Step 1: evaluation by the CIVITAS CATALIST Steering Committee

The members of the CIVITAS CATALIST Steering Committee independently evaluate each proposal, giving a mark (from zero to five) to each Evaluation Criterion set in the Call text. The Coordinator consolidates the

⁸ FP6 "Rules of Participation" Article 17 "Consortium activities in favour of third parties": If the contract provides for the consortium to undertake all or some of its activities in favour of third parties, the consortium shall ensure that this is properly made public, in accordance, where applicable, with the contract. The consortium shall evaluate and select any application received from third parties in accordance with the principles of transparency, fairness and impartiality and also with the terms of the contract.

results into an average mark per Application and per criterion. Should a member of the Steering Committee not abide to the evaluation deadline, his marks will not be retained in the average calculation. Applications need to pass the threshold for all criteria to move up to the evaluation second step. In case of similar Applications, a merger may be taken into consideration.

A recommendation to enter negotiations is then sent to the European Commission within 10 (ten) working days of CIVITAS CATALIST's Steering Committee evaluation. The document comprises a summary of complete marks and a list of comments and recommendations per Application.

- Step 2: European Commission's Formal Consent

Upon review of the recommendation for funding, the EC sends a Formal Consent to the Project Coordinator within 10 (ten) working days of document receipt.

- Negotiation Phase

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 a detailed explanation of 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 Selection Committee 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.

Eligibility and Evaluation criteria

- **Eligibility Criteria**

A proposal 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;
- It involves at least one legal entity established in a Member State of the European Union and parties from Albania, Bosnia Herzegovina, Croatia, the Former Yugoslav Republic of Macedonia, Iceland, Israel, Kosovo, Montenegro, Norway, Serbia, Switzerland and Turkey.
 - Legal entities established in countries not listed before (inside and outside Europe) are eligible for funding if they are part of a consortium in which at least one entity is established in a Member State of the European Union or Associated Countries.
- It is complete in all elements required in the Application Form;
- It is submitted in English (official language of the CIVITAS CATALIST project).

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

- **Selection criteria**

Once the eligibility criteria are verified, the Application will be evaluated against the following **selection criteria**:

- **Activity relevance:** relevance of the proposed activities with regard to the Call for Applications text, to the aims of the CIVITAS Initiative and the strategies of the European Commission;
- **Overall application quality:** clarity of objectives and quality of the work plan including plausibility and effectiveness of the methodology;

- **Financial soundness:** a clear and full description of the means to achieve the goals of the actions, with a detailed financial plan, resource (person-months) plan for specific tasks and a realistic timetable;
- **Management quality:** appropriateness of the management structure and procedures;
- **Political Support:** demonstration of political support, including signature of the CIVITAS Declaration. Participating cities should prove their political and technical commitments to introduce ambitious, integrated urban transport strategies through the signature of the CIVITAS Declaration and its Administrative Annex to become member of the CIVITAS Forum. Signature must happen prior to Call closure. Both documents:
 - Must be signed by a local politician who has executive power (Councillor or (Vice) Mayor);
 - Are downloadable on the CIVITAS Website (www.civitas.eu/network.phtml?id=371&lan=en);
 - Must be attached to the Application Form. Please note that to complete the procedures of adherence to the CIVITAS Forum, the signed CIVITAS Declaration and the Administrative annex must be also sent to:

*Mr Vincent LEINER
CIVITAS Initiative, European Commission
Directorate-General for Energy and Transport
Unit A.4 - Clean Transport & Urban Transport
Office DM-24 07/127
1049 Brussels
BELGIUM
Fax: 0032 22 96 47 10*

➢ **Implementation and reporting**

Once the Grant Agreement has entered into force, the awarded party can kick off the activities.

A Final Activity Report (including a financial report and receipts) must be submitted by e-mail within 30 (thirty) working days after the end of the activities to the Coordinator (ISIS – lmarmora@isis-it.com).

The Template for the Final Activity Report can be downloaded on the CIVITAS Website and must be completed in all sections.

Reimbursement will be made by wire transfer within 10 (ten) working days of approval of the Final Activity Report and receipts [which is due within 5 (five) working days of Report receipt]. The EC will review the Final Activity Reports within the frame of the CATALIST project's periodic reviews.

3.3. Undertaken measures to assure confidentiality and detect/avoid conflict of interests

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 Steering 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.

Annexes:

Annex I: 01_CIVITAS Activity Fund_Application Form_Small Initial Interactions

Annex II: 02_CIVITAS Activity Fund_Application Form_Inspirational and Supporting Take up activity

Annex III: 03_CATALIST_Post-event Summary Report

Annex IV: 04_CIVITAS Activity Fund_Call for applications

Annex V: 04a_CIVITAS Activity Fund_Call for Applications_Eligibility File

Annex VI: 04b_CIVITAS Activity Fund_Call for Applications_Evaluation File