



CALL FOR PROPOSAL

SMART SUSTAINABLE DISTRICTS PROGRAMME

Programme

Smart Sustainable Districts Programme

Date Published

29/09/2017

Project Types

- a) Research
- b) Outreach and Education
- c) District Pathfinder
- d) District Demonstrator
- e) District Scaler

Closing Date for Applications

02/11/2017

Who should apply

1. This is open to Climate-KIC Core or Affiliate partners. If you are interested in joining our partner network, please contact one of our local Climate-KIC offices.
2. Consortia led by Climate-KIC partners
 - For Pathfinder, Demonstrator and Scaler projects we are particularly seeking projects that create and accelerate the development and delivery of smart sustainable districts. We expect that project consortia are needed to develop and deliver such projects. Project consortia will generally be expected to cover the 'knowledge triangle' with at least one organisation representing a city/district, research organisation and the commercial sector; with participation of citizen organisations also very much encouraged.
 - For research proposals, interdisciplinary research teams are strongly recommended.

What we are looking for

The Smart Sustainable Districts programme tests, proves and shares structured approaches that work, along with lessons learned. See details in section 2 below.

Application Details

- Download [Proposal Form](#) | [Guidance](#) | [2017 Thematic Priorities](#)
- Submit completed applications via email to applications@climate-kic.org
- A letter will be sent to applicant within four weeks from the closing date to inform you of panel's decision on the proposal.
- For further information, **please attend a Q&A webinar** to be held on:
 - 5 October 2017, 15.30 CEST – [register here](#)
 - 19 October 2017, 10.00 CEST – [register here](#)
- For questions regarding this proposal, please contact tim.taylor@climate-kic.org

1 Business Background

Climate-KIC (“CKIC”) is the EU’s largest public private partnership addressing climate change through innovation. We educate students and experienced professionals on the challenges and opportunities of climate change; we develop, implement, and fund innovation programs and projects with leading climate innovators; and we incubate and accelerate climate-relevant start-ups. In so doing, we focus on four thematic priority areas: urban transitions, sustainable land use, sustainable production systems, and decision metrics and finance.

We deliver our activities through a partnership of more than 250 leading organizations from the public, private, and academic sectors, and with more than 150 staff in major cities across Europe. Founded in 2010, CKIC is supported by the European Institute of Innovation and Technology (EIT), a body of the European Union.

2 About the Programme

The Smart Sustainable Districts flagship programme supports cities to develop integrated sustainable systems projects at the city-district scale – unlocking radical environmental, social and economic benefits for their communities.

The Smart Sustainable Districts programme focuses on developing and delivering integrated sustainable urban systems change, which is based on the hypothesis (reinforced by the Climate-KIC Theory of Change) that stand-alone projects and ‘point’ interventions are not sufficient to deliver radical urban transformations. A more collaborative and holistic approach is needed that integrates multiple dimensions of urban social, ecological, economic, cultural, building and infrastructure systems. This sort of holistic approach is inherently complex and challenges many existing social, commercial, political and economic structures that can be significant barriers to transformative change.

Working at the city-district scale brings cities’ ambitions and the complexity of urban systems projects down to a more feasible neighbourhood unit. At the city-district scale, cities can plan, pilot and prove approaches that overcome the barriers to systemic change. To then be multiplied across districts and potentially scaled back to city-wide implementation. In this way, the Smart Sustainable Districts programme is ‘transforming cities one district at a time’.

As well as funding the Smart Sustainable Districts Programme can provide support including project consortia advise on:

- Formulating a clear and measurable district aspiration that is framed in a locally-relevant way
- Stimulating community participation and ownership
- Developing locally appropriate business models that remove barriers to change and enable successful project delivery and long term operation (e.g. governance structures, partnerships, commercial delivery and operational structures, and finance)
- Translating plans into projects that are ‘investment grade’ and help accessing appropriate finance

3 What we are Looking For

The [Smart Sustainable Districts](#) programme supports projects that enable:

1. Municipalities and other key city stakeholders to translate their sustainability aspirations into concrete plans and more integrated sustainable urban systems projects (with governance, finance, policy and commercial structures in place to enable implementation).
2. The district-scale innovation, testing and learning needed to prove what is possible in districts and then replicable/adaptable across districts and cities.
3. Gathering, collating and sharing of knowledge relating to the lessons being learned through the Smart Sustainable Districts programme and similar projects across Europe and globally.
4. Translation of this knowledge into guidance, advice and education support services to build the capacity of city actors to deliver urban systems projects.

The programme creates real-world 'test beds' for systemic approaches that address the 2018 Urban Transitions theme priorities (see Appendix 1):

- Deep retrofit and district scale energy production
- Nature-based urban infrastructure solutions
- Mobility-as-a-service

Project proposals for the Smart Sustainable Districts Programme are sought in the following areas:

- a. Research
- b. Outreach and Education
- c. District Pathfinder
- d. District Demonstrator
- e. District Scaler

See the following sections for more detail on additional Smart Sustainable Districts Programme priorities and guidance on the types of projects sought in each area.

All projects must produce impact-focussed outputs and linked professional 'communication ready' deliverables including:

- A 1-2 page executive summary snapshot in standard programme format (at least annually) highlighting the impact of the project (measured or modelled), value for money, lessons learned, and proposed next steps
- At least one EIT 'Success story' in the required template
- A case study in standard programme format
- High quality images for programme use
- A senior stakeholder/management testimonial or quote highlighting the Climate-KIC contribution to the project

3.1 Research Project Priorities

Research project proposals are sought to meet the programme's knowledge needs in the following priority areas:

- Leadership and governance
- Appropriate business models for projects that are both bankable and maximise community benefits
- Appropriate financing
- Partnerships, citizen participation and community engagement
- Local delivery/implementation structures and models that are effective in catalysing sustainable city/district action
- Supportive local economic systems
- Planning policy
- Integrated data systems
- Evaluation frameworks
- Social, environmental, health and climate impact assessments

For all proposals, building interdisciplinary research teams is strongly recommended. The following types of investigation and knowledge generation could be proposed with a focus on one or more of the above focus areas:

- **A market research study into city needs and priorities for capacity building, training and advice** in order to scale up their delivery of district-scale sustainable systems projects.
- **Consolidation of existing research outputs and knowledge** from a range of available sources into clear guidance and 'education-ready' modules
- **Best-practice research that gathers, compares and contrasts lessons learned** from projects across the EU and internationally. Projects should distil this research into guidance on critical success factors and best-practice for developing, delivering and maintaining district-scale sustainable systems projects. Research should be practice-orientated and draw on the experience of a range of sustainable urban systems project professionals and practitioners. This will provide the foundation for development of programme professional education modules (see following section 3.1).
- **A research study into implementation models of social innovation.** The research should look into ways to integrate different theories of societal change and social innovation, and identify opportunities to implement social innovation approaches in planning, management and governance processes on a city-district level. Clear guidance and 'education-ready' modules should be outputs of this work.
- Preparation of a report on **the value-case for smart and sustainable city districts** – including studies to compare the costs and benefits to cities and citizens of business as usual approaches versus high-ambition smart sustainable district projects. Outputs should include clear case studies and a well-evidenced summary of the business case for cities, governments and EU organisations to support delivery of smart sustainable district projects.

3.2 Outreach and Education Projects

Proposals are sought from partner consortia (anticipate one to be selected) to deliver the following:

- **Education:** Consolidate outputs from Smart Sustainable Districts programme research projects into material for three professional education and capacity-building training modules for smart sustainable district stakeholders and practitioners (both online and workshop training course formats). Topics for these modules will be confirmed in consultation with the programme team, and this work will be delivered in collaboration with Climate-KIC education team. Proposals should include a suitably qualified and experienced team, methodology and budget
- **Programme Outreach:** Deliver programme outreach activities (in collaboration with the core programme team) including:
 - Organise logistics for four project preparation workshops in different regions of Europe;
 - Develop three videos and webinars to enable dissemination and exchange of learnings within the Climate-KIC cities network;
 - Organise two Smart Sustainable Districts learning and exchange workshop sessions as part of significant Urban Transitions or Climate-KIC events.

3.3 District Pathfinder, Demonstrator and Scaler Priorities

Pathfinder projects should support city-district consortia at an early stage in their development journey, as they work with their community to develop their overall strategy, analyse their systems and opportunities, select priority projects and identify appropriate solution matches for their local challenges.

Demonstrator and Scaler projects should enable city-district consortia to take bold steps in the delivery of their overall strategy, and should produce robust implementable projects and potential replicable implementation business models.

Project consortia should include relevant local stakeholders and Climate-KIC partners (and organisations looking to become partners). Project consortia will generally be expected to have at least one organisation from a city/district, a research partner and a commercial partner; with participation of citizen organisations also encouraged (exceptions from this will be accepted if a strong case is made as to why such a consortium mix is not suitable).

We are particularly interested in district pathfinder projects that are located in countries that have not yet had an active project in the Smart Sustainable Districts programme, in particular in Eastern Europe and 'RIS' countries; and also projects in medium-sized cities that have less resource, experience and network connections to draw on when developing complex sustainable systems projects.

Pathfinder, Demonstrator and Scaler Projects should:

- Respond to a clear market opportunity
- Be focused on developing a pipeline of integrated sustainable systems projects in one or more districts
- Be able to demonstrate strong local leadership and stakeholder support for taking action
- Be consistent with at least one of the 2018 Urban Transitions theme priority areas
- Be consistent with at least one of the additional Smart Sustainable Districts programme priority areas for testing innovative district-scale approaches, including: urban agriculture, circular economy systems, comprehensive deep-retrofit at the district scale, citizen participation and social innovation, local economic systems (eg. community exchange and community financing mechanisms), and community-ownership models.
- Enable integration across multiple district systems, ie. social, economic and technical/infrastructure dimensions
- Support projects to deliver 'investment grade' plans for smart, sustainable city-district projects and secure investment and funding.
- Be based on a clear conceptual business model that will be tested and demonstrated. A clear hypothesis should be articulated in proposals, setting out what is anticipated to be a viable value creation, capture and return on investment model
- Have a clear plan to measure project impact in economic, social, ecological and climate terms
- Produce impact-focussed outputs and linked professional 'communication ready' deliverables (as described above)

Pathfinder, Demonstrator and Scaler Projects may:

- Test, refine and/or compare the first stage of the district development process that has been developed in the Smart Sustainable Districts programme to date.
- Make use of Climate-KIC's 'Urban Challenges' and 'Demand-Led Innovation Brokerage' matchmaking approaches where appropriate. These Open Innovation approaches are offered by Climate-KIC to help cities to source innovative solutions to their city challenges.
- Test an innovative integrated sustainable systems solution in a number of districts, instead of focussing on a specific district's development journey
- Include running a [Climathon](#) event in accordance with Climate-KIC guidance and timing.

4 Eligibility Criteria

Proposals will be assessed in the context of the relevant programme. Assessments will be carried out on a proposal if:

- It is submitted via an electronic submission means, i.e. mail address: applications@climate-kic.org and before the deadline. No extensions will be granted under any circumstances.
- It is legible, accessible and printable.
- It fulfils Programmes specific conditions as shown in table below.
- All information required is provided. This includes requested data, supporting documents specified in the call and use of an correct template.

No changes to proposals after the submission deadline will be accepted.

CRITERIA	DESCRIPTION
Maximum duration	Between 6 to 24 months (latest end 2019) unless a very strong case is made for an exception
Maximum EIT funding request and Co-funding (Co-funding will influence the decision making)	<p>Projects should be submitted in accordance with the attached standard Climate-KIC proposals guidance dated September 2017 (see table starting page 18), with the following modifications:</p> <ul style="list-style-type: none"> • Research proposals can seek up to €30k EIT funding. Minimum co-funding required for research proposals is 50% of the EIT grant amount requested. • A single consortium of Climate-KIC partners will be selected to deliver the required Outreach and Education activities. Proposals should be maximum €80k EIT funding. Co-funding of 50% of the EIT grant amount requested is preferred • Demonstrator projects can be submitted with a lower budget range of €200 EIT grant amount (ie. Not the lower limit of €500k). Minimum co-funding required is 50% of the EIT grant amount requested.
Other specific to the Programme	A 'validated business model' will not be a requirement for Demonstrator Stage projects, as it is recognised that demonstrating innovative district-scale approaches and thus proving business models requires a much greater level of commitment and investment than single product or service innovations. A clear conceptual business model should be provided however; putting forward a clear hypothesis as to the market need (evidenced as much as possible), what is anticipated to be a viable value creation and capture

CRITERIA	DESCRIPTION
	mechanism (ie. that will be demonstrated), anticipated returns on investment, and potential replicability.
European added value	Involvement of more than one European nationality is desirable, but not mandatory.
Partner Status	<p>Only Climate-KIC partners are eligible to submit project proposals as the lead partner, and to receive EIT funding for these projects.</p> <p>Non-Climate-KIC partners are not subject to EIT funding, however in may participate in Climate-KIC projects in the following cases:</p> <ul style="list-style-type: none"> i) A Non-Climate-KIC partner, interested in becoming one, has been declared strategically important by a Geography and/or Theme. ii) A Non-Climate-KIC partner is crucial for the project, but has not been declared strategically important by a Geography and/or Theme. Sub-contracting options can in this case be explored together with the flagship programme manager and the local Climate-KIC Lead. iii) A Non-Climate-KIC partner intends to support a project and doesn't request any Climate-KIC funds.

Notes

- All application documents should be written in English. Exceptions can be made for supporting documents, such as Letter of Intent, which could be written in one of the official languages spoken in the country the application is submitted. In order to be assessed by all reviewers, you may choose to provide a short summary in English. Climate-KIC reserves the right to request for a translation at any time.
- Co-funding minimum levels are applied at the project level (not individual partner level, example a consortium may not insist on co-funding from some partners) At project reporting stage partners are to claim EIT funding and report on co-funding as normal. At reimbursement stage by Climate KIC, EIT claim amounts will be adjusted if partners do not meet the minimum co-funding levels specified.

5 Quality Assessment

Climate-KIC will use the following criteria in assessing proposals:

ASSESSMENT CRITERIA	DESCRIPTION
Challenge addressed or identified	<ul style="list-style-type: none"> Local context and/or market assessment clearly shows challenges/opportunities and evidences a strong need for the proposed project as a suitable response Clear business model for addressing the challenge is provided (either validated or concept to be tested) It is clear why Climate-KIC is best placed to support this project. NB. Outreach and education proposals should respond to the requirements listed above.
Innovation potential	<ul style="list-style-type: none"> Proposal is clearly aimed at delivering better integrated sustainable urban systems projects at the city-district scale Clear potential for testing and proving of a new innovation and/or clear pathway shown for knowledge transfer and adoption of innovation into a new context
Quality of the plan	<ul style="list-style-type: none"> A clear well-structured methodology and workplan for the proposed project is provided Clearly defined milestones and deliverables for progress and outputs are presented and realistic Roles, responsibilities and capability of partners to deliver the proposed work is clear and appropriate Any gaps between the project aspiration and delivery plan at proposal stage (workplan and partner consortium) are clearly identified, with a clear and realistic request for support from the smart sustainable districts programme to fill these gaps (will become a go/no-go stage-gate milestone). Project manager is clearly identified, suitably qualified and working for a suitable organisation. Resourcing is at an appropriate level.
Strategic fit	<ul style="list-style-type: none"> The proposal aligns with the programme priorities outlined in section 3. Proposal aligns with the city/district's objectives Support is secured from local Climate-KIC geography team for the proposal There is evidence of strong support from key district stakeholders and the local municipality
Value for money	<ul style="list-style-type: none"> Value for money is evident from how the proposed activities and outputs are linked to anticipated impacts, and how impact will be measured is clear Additional funding and investment that is expected to be attracted is clear. Level of subcontracting is acceptable to local Geography team.

Co-Funding	<ul style="list-style-type: none">• The level of co-funding and proposed sources meet requirements
Climate relevance	<ul style="list-style-type: none">• Project has a clear focus on contributing to climate change mitigation and/or increasing adaptive capacity and creating climate resilience. Pathway to achieve this impact is clear
Project outputs	<ul style="list-style-type: none">• Expected project outputs are clearly explained and linked to appropriate deliverables and EIT/Climate-KIC KPIs• Commitment is made to provide required communication deliverables



Appendix 1 - Further guidance on 2018 Urban Transitions Theme Priorities

General

All relevant call documents include the “Thematic Priorities for 2017” document. Although the UT priorities for 2018 align with those of 2017, there are nuances. This document provides further guidance for 2018.

A) Deep Retrofit priority – guidance for 2018

Within UT theme, activities that focus on Deep Retrofit are budgeted and coordinated from within the BTA Flagship programme. Deep retrofit is more ambitious than regular retrofit, and aimed at the “nZEB level” (near Zero Energy Building). The term nZEB refers to a building that, calculated over the four seasons, is able to provide for the majority of its own energy needs by generating its own sustainable energy (e.g. solar, wind, heat pump etc.) and by using high insulation.

In 2018, the BTA flagship will continue to support a series of later stage innovation projects, including projects which develop and demonstrate new innovative technologies and business models at building level (i.e. demonstrators), as well as projects which upscale existing innovative solutions (developed within and outside the BTA flagship), either from building level to portfolio level, or from one geography/climate to another (i.e. scalers).

BTA Flagship recognizes several aspects which underpin the successful implementation of Deep Retrofit Solutions:

- i) Reducing energy demand through high performing, resilient and adaptable envelope solutions;
- ii) Integrated supply chain, benefitting from the economies of scale of prefabrication and offsite manufacturing;
- iii) Maximizing operational performance through smart integration and interfacing of technological (HVAC) systems;
- iv) Solutions and value propositions that are user-centric and balance occupant health and wellbeing with optimal energy efficiency as a lever of change for decision makers;
- v) A business model that facilitates the necessary investments that deep retrofit solution providers need to make to overcome market barriers

Our research has shown the following barriers for deep retrofit:

- No clear legal/regulatory framework at European, national and local level (e.g. EPC after renovation, phasing out of gas);
- Organization of and culture in the building sector: highly fragmented, one-off projects, risk aversion;
- Fast entry and integration of new/better technical solutions/innovations is cumbersome due to risk aversion attitude and because knowledge is highly segmented;
- Procurement procedures are rigid and detailed and do not stimulate the supply side to bring in “best-for-purpose” solutions;
- Contract form (based on risk hedging) prevents cooperation;

- Deep renovation of houses insufficiently embedded in future-proofing at the level of neighbourhoods/districts thus preventing implementation of collective solutions and “fair” distribution of costs and benefits across different parties;
- Current modes for financial arrangements are insufficiently based on longer term benefits for various stakeholders.

The BTA flagship is specifically looking for projects around Deep retrofit solutions that:

- Integrate a number of these aspects into one coherent approach;
- Tackle the market barriers that are addressed above;
- Have a strong commercial focus (either bringing new deep retrofit solutions to the market, or upscaling successful deep retrofit solutions), tangible links to the demand side and knowledge triangle integration or financed at a district using developer ‘planning gain’ or carbon offsets;
- Are applicable to different climate conditions across Europe and different market conditions (demonstrated and tested through the project);
- Have quantifiable lifecycle CO2 impact;
- Are using next generation bio based materials and that how the retrofit process has incorporated nature based solutions as part of the outcomes.

B) District scale energy production – guidance for 2018

Enable cities to develop integrated district scale heat and power systems as opposed to centralised systems. Integrating energy systems can enhance environmental performance. Renewable power generation, district energy, smart grids, energy storage, demand management and building performance technologies already exist but a lack of joined-up policy, financing knowledge and implementation frameworks are barriers. At the district level, however, it is possible to test innovative integrated delivery models including financing, procurement, partnerships, community engagement and collaborative governance approaches.

C) Increase deployment of new and retrofit nature-based urban infrastructure solutions for climate resilience – guidance for 2018

Enable cities to design habitable and resilient urban spaces with a strong focus on blue green infrastructure (nature based solutions). Blue and green infrastructure are playing a key role in addressing challenges related to climate change and resilience. In cities, extreme temperatures and weather (droughts and cloudbursts) are occurring with increasing frequency. The effects of urban heat islands and uncontrolled or inadequately planned urbanisation are amplifying the combined stresses on urban life. The restoration and redevelopment of integrated ‘blue’ and ‘green’ infrastructure could help to reduce the impact of such events and simultaneously increase the value of the land. Nature based solutions are natural, service providing infrastructures that are often more resilient and more capable of meeting social environmental and economic objectives than ‘grey infrastructure’. City decision makers, urban planners and water engineers should consider how water systems and vegetated areas can be better integrated together to make cities more habitable and resilient to climate change.

D) Mobility as a service and modal shift - guidance for 2018

Cities are the main drivers of global mobility demand because of direct passenger transport activity within and among urban areas, as well as indirectly through the freight activity needed to meet the demand for goods of city residents. At the same time transport continues to be one of the largest CO₂ emitters and a considerable source of air pollution, noise accidents and physical barriers which affects citizen's quality of life. A modal shift away from personal transport (particularly fossil fuelled cars) is vital to achieve zero carbon use in mobility by 2050.

The International Energy Agency's (IEA) recognises that urban density gives potential opportunities for cities to curb transport-related carbon emissions by shifting activity to public transport, walking and cycling and by gradually adopting more efficient low carbon vehicles. Furthermore, cities are also important test beds for the penetration of advanced transport technologies such as new concepts like 'Mobility as a Service', the incorporation of ICT into urban transport and the deployment of battery electric vehicles as well as a key test-bed for new policy tools and procurement possibilities by transport authorities.

We are now reaching a tipping point. Across Europe, we see cities taking wide-ranging, radical measures to alter their mobility patterns; to increase the modal share of public transport; enhance the roles of walking and cycling; and develop a range of smart mobility devices. At the same time, there are new initiatives to promote the potential of mobility as a service, where usership rather than ownership through mobility-sharing business models promises a radical reduction in car use.

It requires technical innovations to improve battery range capacity and reduce charging times. But, as important, it requires major organizational, social and cultural changes. That means bringing together all the key stakeholders so that new mobility ecosystems and models can emerge and flourish

Against this background Urban Transitions is looking for innovations that address the following aspects:

- Cities as test beds for the penetration of new and emerging concepts like 'mobility as a service' and for Climate KIC to facilitate and share best practice in a trusted peer to peer city environment.
- Address barriers to modal shift away from private-car ownership and towards integrated transport solutions focusing on car-sharing, public transport, cycling and walking in cities.
- Addressing the infrastructure challenges of legacy systems and funds required to bring a radical shift to low carbon, healthy forms of transport.

To bring together a large and diverse ecosystem including regional and national governments, private investment, technology, the automotive sector and the energy and utilities sector.