Synthesis report on the results of the open tenders for innovations

D5.1

WP5: Portfolio of innovations and support schemes

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EXECUTIVE SUMMARY

Helping ARSINOE's case studies to take stock of the most promising climate adaptation innovations from across Europe is the main aim of ARSINOE's Open Tenders for Innovations. This deliverable presents an overview of the activities and outcomes associated with Task 5.2 Open Tenders for innovation contracts and the achievement of Milestone 19 (Open calls for innovations) in 3 out 9 case studies. Within this document, the procedure employed in crafting and launching the Open Tenders for Innovations is meticulously detailed. It also provides comprehensive insights into the preparatory materials developed and offers a synthesis of the findings from the First Open Tender.

The First Open Tender of the project ran from May 23rd to July 23rd, 2023 (visit the link). The case studies participated were: CS3 Main River (Germany), Albanian demarcation of the CS4 Prespa and Ohrid Lakes, and CS5 Canary Islands. A total of 29 applications were received, with 19 fully completed online applications and distributed among the case studies as follows: CS3 Main River with 12 applications, CS4 Ohrid and Prespa Lakes (Albania) with 5 applications and CS5 Canary Islands with 10 applications. Additionally, we observed instances where applications were submitted for multiple case studies.

The evaluation phase commenced on July 24th, 2023, immediately following the application phase closure. The applications were reviewed by the Evaluation Committee using a range of pre-defined evaluation criteria which included: three types of readiness (Technical, Social, Market), and four qualitative criteria (Testing Feasibility, Innovator Vision, Promising Innovation, and Contribution to Social and Governance Transformation). The Evaluation Committee was composed of members from the ARSINOE consortium, including the leaders and co-leaders of each case study to represent the interests of their stakeholders, and independent partners to ensure the transparency and neutrality of the process.

In CS3 Main River, all received applications met the general requirements and were evaluated. Four innovators were shortlisted and were invited to submit a two-page demonstration proposal. The final selection is currently under consideration. However, in CS4 Ohrid and Prespa Lakes (Albania) none of the received applications met fully the general requirements, as the more elaborate procedure laid out by the CS-demarcation lead (NTPA) was not duly completed by the applicants. Preliminary evaluations were performed, but no innovator was selected as the Evaluation Committee did not recognize an adequate thematic fit between the region's challenges and the focus of the innovations that were proposed. In CS5 Canary Islands 9 out of 10 applications were evaluated as one was not considered to be relevant to the case study needs. Five innovators were shortlisted and invited to submit the two-page demonstration proposal, with the final selection currently in progress.

In the upcoming Second Open Tender, all nine case studies are set to participate. We anticipate launching this tender by the middle of November 2023, closely mirroring the procedural steps undertaken in the First Open Tender. It is worth noting that Task 5.2 has experienced a time-span extension, as it was originally planned for completion within the initial 24 months of the project. This adjustment stems from the intricate and diverse legal conditions governing public procurement within the various countries involved in the case studies. These conditions have necessitated the inclusion of additional local legal contexts and requirements in the tendering and procurement processes. Once Task 5.2 is fully completed an updated version of this deliverable will be provided.

1. INTRODUCTION

1.1. Taking stock of Europe's most promising and innovative ideas to drive climate resilience

Within the ARSINOE project, nine regions (our case studies) are developing their pathways to climate resilience. These pathways are co-designed with regional stakeholders following the Systems Innovation Approach. The approach is taking the participants of each case study through a process of collective reflection, followed by collaborative identification and formulation of the key climate-driven challenges that their respective region is facing. It then leads to an open search for potential solutions to tackle these challenges (Figure 1). Helping our case studies to take stock of the most promising climate adaptation innovations from across Europe is the main aim of ARSINOE's Open Tenders for Innovation.

The series of Open Tenders aims to contribute to regional adaptation by:

- Identifying promising or mature innovations to be included in ARSINOE's Portfolio of Innovations (i.e. the project's overall set of technological, governance, policy, economic, and societal solutions to our regions' climate-driven challenges)
- Helping case study managers to integrate relevant innovations into their regional Innovation Packages (these are region-specific portfolios of R&I solutions, mature enough for demonstration, which may include nature-based solutions, innovative technologies, financing, insurance and governance models, awareness and behavioural change)
- Facilitating the collaboration of ARSINOE's case study partners (public administrations, academic institutions, and businesses) with innovators via the awarding of contracts for co-development and demonstration.

Figure 1. The first outputs of the Systems Innovation Approach employed in ARSINOE and the Open Tenders for Innovations within it.

1.2. Content and structure of this deliverable

This deliverable reports of activities and results of Task 5.2 Open Tenders for Contracts for Innovations, and the achievement of Milestone 19 (Open calls for innovations) in 3 out 9 case studies. The deliverable is also directly linked to Task 5.1 (Self-) Assessment Workshop on Priorities, Capacities and Gaps and to Task 5.2. Open Tenders for contracts for Innovations, but this task was already reported in Milestone 18 with the Proceedings of the (Self-) Assessment Workshop on Priorities, Capacities and Gaps[1].

[1] Task 5.1 was designed to facilitate a needs-based approach in shaping ARSINOE's Open Calls for Innovations. The workshop entailed a process of review and reflection of the main climate change challenges being faced currently

This document describes the process that was applied for the design and launch of the Open Tenders for Innovations, explains the set of material that was prepared, and presents the synthesis of the First Open Tender. It also lists the next steps that are planned in continuation of Task 5.2 and other WP5 activities.

The document is structured as follows:

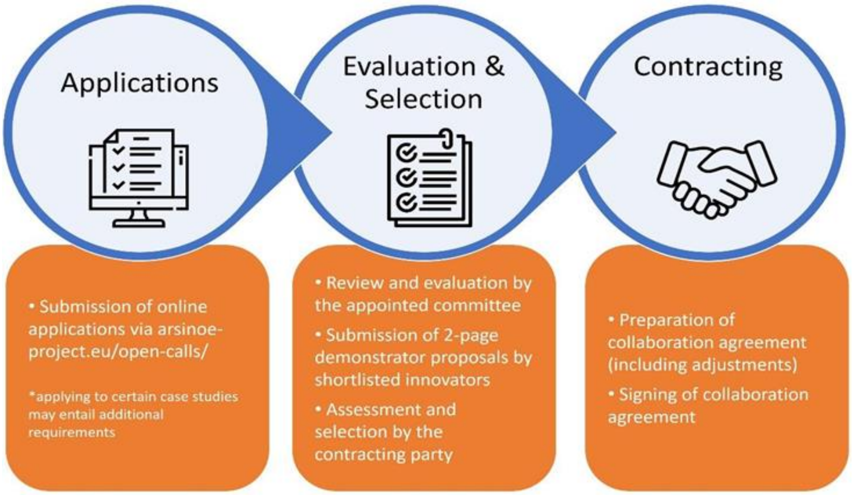
- Chapter 1 lays out the objectives of Open Tenders for Innovations and the approach applied for their design and implementation, and describes the content and structure of this deliverable
- Chapter 2 describes the ARSINOE's Open Tenders process and timeline
- Chapter 3 explains the preparatory activities and steps that the task team undertook in preparation of the First Open Tender for Innovation and an overview of the results
- Chapter 4 presents the lessons learned in the First Open Tender
- Chapter 5 introduces the next steps associated to the Second Open Tender
- Chapter 6 provides a justification of the delay of Task 5.2
- The Annexes collect the FAQs on the ARSINOE Open Tenders (living document), Questions for Customisation, Application Form, Checklist for Case Study Partners Participating in the Open Tenders for Innovations, Guide for Applicants, Questionnaire on the Weighting of the Evaluation Criteria, Guide for Evaluators, two-Page Demonstrator Proposal Template, and an Exemplary Contract.

2. ARSINOE OPEN TENDERS FOR INNOVATIONS

2.1. How are the Open Tenders for Innovations structured?

An Open Tender in ARSINOE is a process of three sequential phases which are referred to as the Application Phase, Evaluation & Selection Phase, and the Contracting Phase (Figure 2).

Figure 2. The three stages of an Open Tender for Innovations in ARSINOE. Images: Freepik, Nhor Phai, and Uniconlabs all sourced from Flaticon.com.



In ARSINOE's Open Tenders, innovation refers to the implementation of a new or significantly improved product (good or service), process, practice or organisational method. In the context of ARSINOE's case studies, innovation can be desirable to introduce new, renewed, or novel means of achieving the regional

by the case study regions, their priorities in terms of addressing them, the capacities of their communities to do so independently, and the barriers that keep them from implementing adaptation action.

stakeholders’ goals, which are self-defined and aligned with the Sustainable Development Goals (SDGs). Innovations sourced through the Open Tenders should thus strengthen our case studies’ adaptation pathways and make our partners more able to respond effectively to their climate-driven challenges.

2.2. Who is involved, how and at which stage?

BRIGAID Connect leads and coordinates the Open Tenders for Innovations in ARSINOE. This partner is in charge of designing the tenders in close collaboration with the case study partners and of managing the process, from the preparation of texts, the online application form and reference materials to the coordination of the evaluation and selection phases.

Further, BRIGAID Connect, the G.A.C. Group, UN SDSN and the case study partners constitute the *Evaluation Committee*. This group of consortium members review the online applications received from innovators and evaluate them using a predefined set of criteria and ranking scheme.

The innovators with high-ranking applications are then invited by BRIGAID Connect to submit a 2-page demonstrator proposal. These proposals are then reviewed by the *contracting party* (i.e. commonly the lead case study partner) and assessed following their own internal procurement procedures. The top-ranking proposal is then selected by the contracting party.

Lastly, BRIGAID Connect notifies the innovator that their innovation has been selected and invites both parties to start the contracting phase. This includes the preparation of a draft collaboration agreement by the contracting party, its review by the innovator, any subsequent necessary rounds of revision, and finally proceeding to signatures.

What is described above is the standard process. However, some contracting parties (case study responsibles) may have to adjust the process slightly (e.g. shift the sequence of steps or request additional materials) to fully comply with the legal requirements applicable to their organisation.

3. FIRST OPEN TENDER FOR INNOVATIONS

3.1. Identification of solutions adapted to the local context of each case study

In March 2022, ARSINOE organized a workshop to assess the priorities and adaptation capacities of the nine case studies, as part of Task 5.1. The insights collected have been used for the preparation and publication of the First Open Tender for Innovations. Individual meetings were also held between August and September 2022 with the case studies to discuss the most important adaptation needs, which were identified collaboratively in the Living Labs of the stakeholder processes running in WP2. This approach significantly raises the chances that the selected solutions will be integrated into the Innovation packages of each case study (Task 6.4 in WP6) and will be later showcased in The Climate Innovation Window (Task 5.3).

At this phase, we started informing all the case studies about the aim of the Open Tenders and the process to carry out. This was done first in September 2022 in the weekly WP6 calls, where WP5 continued participating to follow up with any questions the case studies might have. Then, this task was presented for further discussion at the General Assembly in Tenerife in October 2022.

At the end of this phase, the set of case studies to participate in the first Open Tender was identified, in first instance, based on the case study partners’ responses to the following profiling questions:

- Has your case study conducted the 1st Living Lab Workshop?
- Has your case study scheduled the 2nd Living Lab Workshop?

- Has your case study conducted the 2nd Living Lab Workshop?
- Has your case study thoroughly defined the challenges to be addressed via the Innovation Packages?
- Have initial talks about solutions to such challenges emerged in your case study?

Based on their progress on the stakeholder engagement process of WP2 (stakeholders had reached agreement during the 1st Living Lab on the challenges to address) and their willingness and capacity to engage early on in the tendering process, the case studies that participated in this first call were:

- CS3 Main River (Germany),
- Albanian demarcation of the CS4 Prespa and Ohrid Lakes, and
- CS5 Canary Islands.

3.2. Preparation of the Open Tender

Support to the case studies

The case studies participating this first call received close guidance from BRIGAID Connect along the preparation of the material needed for the publication of the call. The support included the following activities:

- A sequence of both joint and bilateral meetings was arranged with representatives from CS3, CS4 and CS5 to describe the material needed for the publication of the call, provide initial instructions and allocate responsibilities.
- A Frequently-Asked-Questions **(FAQ) document** targeted at the CS partners participating in the tenders was created as a living document detailing relevant aspects to consider regarding the process, activities and requirements. The FAQs have been updated continuously based on the questions raised by the CS (please refer to Annex 1).
- The evaluation criteria to be used in Phase 2 (i.e. Evaluation and Selection, see Figure 1) were introduced by BRIGAID Connect and handed for review by the CS partners, followed by discussion and adjustment according to their updated needs and priorities.
- Detailed discussions with legal representatives from the participating CS regarding procedures in each organisation for awarding contracts and procuring services under 50k EUR to ensure full compliance with both national legislation and ARSINOE's Grant Agreement. It also raised the relevance to check national legislation and procedures in each organisation for the management of acquired materials and equipment for the demonstrators.
- Preparation of the one-pager template "**Questions for customisation**", which helps the CS to specify their needs for this call (please refer to Annex 2). The one-pager template was then used by the CS to draft 1-2 paragraphs describing the challenges to be addressed in each case study and what kind of requirements or characteristics the solutions should have (e.g, social innovations, nature-based solutions, etc.). The final version of this text was then published in the main text of the call.
- To supplement the aforementioned challenge statement, the CS partners received instructions to prepare an annex document with additional information to detail the wider context of their region and the drivers of the main issues to address.
- An **online application form** was prepared by BRIGAID Connect to allow participants (innovators) to submit their applications in a systematic

and reliable manner. The questionnaire upon which this online form was built has been reviewed by the CS partners, as well as representatives from WP2, WP5 and WP8 to ensure that the questions included were relevant to address the specific case study needs. The questionnaire currently contains a total of 45 questions which will are used to collect a wide range of information on both the innovation and the entity behind. The questionnaire includes 9 sections to gather information in relation to 1) contact details, 2) innovation characteristics and relevance for the ARSINOE case studies, 3) innovation vision and potential, 4) innovation technical readiness, 5) social transformation and governance, 6) testing feasibility, 7) innovation social readiness, 8) innovation market readiness, and 9) budget and timeline. This information thus provides the means for assessment in phase 2 (please refer to Annex 3). The online questionnaire classified the innovations as: “Engineering and built environment”, “Social and governance innovations”, or “Models and tools” and the type of solution referred to a “Physical product”, “Digital / software product”, “Conceptual Framework / Process / Methodology”, and/or “Service”.

- A **checklist** was prepared to summarise all the material and activities required from the participating case studies, serving also to streamline and expedite the process for the Second Open Tender (please refer to Annex 4).

Developing the evaluation and selection process

At this step a **guide for applicants** was prepared to provide detailed instructions to bidding innovators and detail the criteria against which they would be evaluated (please refer to Annex 5). This provides an overview of the whole process, relevant dates and deadlines, and links to supplementary material. It also incorporates a range of pre-defined **evaluation criteria** which include: three types of readiness (Technical, Social, Market), and four qualitative criteria (Testing Feasibility, Innovator Vision, Promising Innovation, and Contribution to Social and Governance Transformation). This guide was reviewed by GAC and ENRICH GLOBAL from WP8 to ensure that all relevant information is included and communicated in an adequate way.

A **questionnaire on the weighting of the evaluation criteria** was also prepared to collect the preferences and priorities of participating CS partners and their stakeholders as regards the types of innovation to be sourced (please refer to Annex 6). The intention was to give each case study the means to give independent weights to the evaluation criteria, allowing to capture differences among the case studies' priorities and thus providing a much more customized call for them.

For the evaluation, an **Evaluation Committee** was formed with members of the ARSINOE consortium, including the leaders and co-leaders[2] of the case study to represent the interests of their stakeholders and independent partners to ensure the transparency and neutrality of the process. The CS partners were informed about their role and responsibilities in the evaluation as members of the Evaluation Committee.

A “**guide for evaluators**” was also prepared as support material of the members of the Evaluation Committee (please refer to Annex 7). It provides clear instructions and grading scales to rate the responses found in the applications received, as well as general indications that help to ensure a standardized, fair evaluation. During its preparation, the guide was reviewed by the case studies participating in the first call, and by GAC and UNDSN, as organisations participating in the evaluation process of the First ARSINOE Open Tender for Innovations.

[2] With the exception of CS3, in which VKU (case study co-lead) agreed not to participate in th evaluation to avoid potential conflict of interest if members of their association decided to place a bid.

3.3. Participating Case Studies

The three case studies that participated in the first Open Tender identified the main challenges they wanted to address as follows:

Case Study #3 – Main River Basin, Germany

The key challenge was preserving the region's water balance and ensuring sustainable resource management. Different climate adaptation measures, changes in land-use, changes in governance structures and shifts in consumption could contribute to solving this challenge. Many measures are known but are not being implemented widely enough or with sufficient speed. Implementation requires the motivation and cooperation of different actors, exchange of knowledge between sectors and a conducive framework. The creation of these conditions requires education and capacity building to support social or behavioral change or new governance structures. Other areas of action may include but are not limited to water retention in soils and in built environments, changing water-use, changing how water is valued, saving water or designing water management systems that contribute to efficiency, considering the needs of and interlinkages between sectors as well as conflicts. We seek social and governance innovations as well as concepts for structural and nature-based solutions in a water-management context. Innovations should result in measurable positive impacts and include a plan for evaluation.

Case Study #4 – Ohrid & Prespa Lakes, Albanian demarcation

Through its participation in the first open tender, the Albanian demarcation of this transboundary case was seeking innovations that can help to improve the climate resilience of environmental, economic and social systems in the region from a water use perspective. Therewith, local innovators were invited to submit applications for innovations dealing with water scarcity and the effect of climate change in the Ohrid and Prespa lakes.

Case Study #5 – Canary Islands, Spain

In this first open tender, the case study was seeking an innovative solution or tool for the collection and transmission of environmental data (including agricultural, economic, and social data) that can help expedite decision-making and make it more efficient and updated. The intention is to adopt a climate adaptation perspective to confront the problems of agricultural management specific to the Canary Islands.

Based on the challenges identified, the case studies suggested a series of priorities to consider in the tender (Table 1). Innovators who applied to the first Open Tender had to select to which of the priorities listed in Table 1 their innovation could be relevant.

Table 1. Priorities to tackle case studies participating in this first open tender.

Case study	Priorities					
CS3 Main River, Germany	Education and capacity building	Social or behavioural change and governance structures	Water conservation and water use efficiency	Cross-sectoral approaches to resource management	Water retention in soils and built environm ents	Water manage ment systems

CS4 Ohrid & Prespa Lakes (Albanian Demarcation)	Decision making tools and sensors related with climate resilience of environmental, planning, economic and social sectors related to water scarcity	Impacts of climate change on human health and economic sectors vulnerability
CS5 Canary Islands, Spain	Collection and sharing of environmental, agronomic, economic and social data	Decision making tools for climate change, adaptation in the agricultural sector

3.4. Publication of the Open Tender

The first Open Tender of the project was launched in May 2023, and can be seen via this link. To participate, applicants had to complete and submit the online form described in the previous section (please refer also to Annex 3) before the deadline 23 July 2023 at 23:59 CEST. Two online Info Sessions for Applicants were offered on 6 June at 14:00 CEST, and 4 July 2023 at 14:00 CEST to address any questions about the application process. Applications submitted to the Albanian demarcation of the Ohrid & Prespa Lakes case study had to follow a parallel process to comply with the e-PRAG procedure. The reason was that to ensure compliance with EU and national public procurement legislation, the National Territorial Planning Agency (NTPA) chose to follow the standard e-PRAG public procurement procedure. As a result, innovators targeting the case study in Albania had to submit additional documentation to the online application form, including a technical and feasibility report.

The Open Tender was disseminated at the European level, differentiating thematic segments based on the needs identified in the regions of the case studies. The open tender was widely publicized, including publication on the project website, through the channels (e.g. events and newsletters) and networks of ARSINOE partners across European Union and Horizon 2020 associated countries (for example, WE - Water Europe Network, and sister projects such as REGILIENCE). The case studies also disseminated the call via local channels.

3.5. Received applications

A total of 29 applications were received; 19 were fully completed applications with the distribution among the case studies outlined in Table 2 below. Additionally, the table highlights the instances where applications were submitted for multiple case studies. Notably, the case study involving the Albanian demarcation within CS4 Ohrid and Prespa Lakes received the lowest number of applications (five). In part, this could have been a result of the more elaborate application procedure chosen by the CS partner to ensure compliance with national regulations.

Table 2. Number of applications received per case study

CS3 Main River, Germany	CS4 Ohrid & Prespa Lakes (Albanian Demarcation)	CS5 Canary Islands, Spain
12	5	10
4 of the applications were jointly submitted to CS4 and CS5	4 of the applications were jointly submitted to CS3 and CS5	4 of the applications were jointly submitted to CS3 and CS4

The applications received can also be examined based on the priorities to address that applicants marked in their questionnaire, as shown in Table 3. We can see how one priority in Albania did not receive any marks, which could suggest that applicants did not have expertise in this topic. As a result, in the next round the dissemination of the tender should be adjusted and expanded to reach innovators who work on this area.

Table 3. Number of applications received per case study's priorities.

Priorities	Number of applications
Collection and sharing of environmental, agronomic, economic and social data (Canary Islands, Spain)	8
Decision making tools for climate change adaptation in the agricultural sector (Canary Islands, Spain)	8
Education and capacity building (Main River, Germany)	7
Social or behavioural change and governance structures (Main River, Germany)	7
Water conservation and water use efficiency (Main River, Germany)	9
Cross-sectoral approaches to resource management (Main River, Germany)	8
Water retention in soils and built environments (Main River, Germany)	4
Water management systems (Main River, Germany)	6
Decision making tools and sensors related with climate resilience of environmental, planning, economic and social sectors related to water scarcity (Ohrid and Prespa Lakes, Albania)	5
Impacts of climate change on human health and economic sectors vulnerability (Ohrid and Prespa Lakes, Albania)	0

3.6. Evaluation and shortlisted innovations

The evaluation period commenced on July 24th, 2023, immediately following the closure of the application phase. Initially, the endpoint for the evaluation period was set approximately one month after the online application deadline. However, due to the summer break occurring in August, evaluations were conducted at various times to accommodate this seasonal context.

- In **CS3 Main River** all received applications (12) met the general requirements and were evaluated. The evaluations by the Evaluation Committee were completed at the beginning of

August, and four innovators were shortlisted to submit a two-page demonstration proposal (please refer to Annex 8). On the 5th of September, the four innovators were contacted to submit the two page proposal, with the deadline as of the 17th of September. The CS3 has already received the four proposals and is currently deciding which one to select.

- In **CS4 Ohrid and Prespa Lakes (Albania)** none of the received applications (5) met the general requirements fully, as the more elaborate procedure laid out by the CS-demarcation lead (NTPA) was not duly completed by the applicants. Preliminary evaluations were completed by NTPA, NECCA (CS4 lead) and BRIGAID Connect in mid-August, but no innovator was selected. While NECCA and BRIGAID Connect acknowledged several of the applications had potential to help address the challenges in the Albanian demarcation of the CS, NTPA did not recognize an adequate thematic fit between the region's challenges and the focus of the innovations that were proposed. For this reason, the decision was reached to declare the call for this CS not fruitful and invite the applicants to resubmit their applications, following the full procedure, in the next round. NTPA and BRIGAID Connect are now working on additional supporting materials to make the special procedure for this CS clearer for applicants and to reduce the possible perception that the associated effort to submit an application to it is disproportionate.
- In **CS5 Canary Islands** 9 out of 10 applications were evaluated as one was not considered to be relevant to the case study needs. The evaluations by the Evaluation Committee were completed by the beginning of September, and five innovators were shortlisted to submit the two-page demonstration proposal (please refer to Annex 8). On the 7th of September, the five innovators were contacted to submit the two-page proposal, with the deadline as 19th of September. The CS5 has already received the five proposals and is currently deciding which one to select.

3.7. Contracting

The initial draft of the collaboration agreement is the responsibility of the contracting party, and it should be ready for sharing with the selected innovator by October 6th, 2023. To facilitate this process, BRIGAID Connect has offered an exemplary contract template for reference (please refer to Annex 9) to all participating case studies.

Following the receipt of the draft agreement, both the case studies and the selected innovator are afforded a two-week window for negotiation and finalisation of the collaboration agreement. The culmination of this collaborative effort is marked by the signing of the finalised contract agreement, a mutual commitment that should be achieved by both parties no later than October 31st, 2023.

4. LESSONS LEARNED

The meticulous organisation of the First Open Tender has offered invaluable insights into optimising our future tenders. A fundamental lesson drawn from this experience is the high importance of identifying the precise materials and information required for the tender preparation process. The process of gathering data from diverse case studies and partner organisations is streamlined when a well-structured framework with established phases and steps is in place.

Our commitment to quality, fairness and transparency is evident in the thorough review process that all project materials undergo. Collaborative efforts between our case study partners and relevant consortium members have proven instrumental in shaping these materials to cater to the specific needs of the individual case studies. A noteworthy example of this collaborative adaptation is our responsiveness to the inclusion and emphasis of social innovations within the Open Tenders. As we identified the significance of this aspect, we swiftly modified the online questionnaire and evaluation criteria to ensure they comprehensively capture the essence of these innovations.

Furthermore, it is worth noting that the questionnaire has been thoughtfully designed to encompass questions that not only aid in the evaluation process, but also play a pivotal role in advancing Task 5.4 Support schemes for innovators and Task 8.4 Exploitation and sustainability (of the Climate Innovation Window). These questions have been strategically incorporated to discover valuable insights on the applicants (e.g. their motivation and willingness to commercialise or fundraise), which will aid in the development of support services specifically tailored to the innovations identified by the individual case studies.

This addition emphasises the dual purpose of the questionnaire, highlighting its role not just in evaluation but also in shaping support services for innovators in alignment with Task 5.4 and for the exploitation of the CIW in Task 8.4.

However, it is crucial to acknowledge that we encountered certain bottlenecks during the first Open Tender. The divergence in legal conditions governing tendering and public procurement across different countries, coupled with the internal procedures of participating organisations, posed considerable challenges and generated delays. In response, we have undertaken a proactive approach for the second Open Tender. All materials and procedures have been streamlined and simplified where possible, and participants have been strongly encouraged to engage with their respective legal and financial departments at the earliest possible stage. This preemptive measure will facilitate smoother adherence to legal requirements and internal procedures, enhancing the efficiency of the process.

In a nutshell, the lessons learned from our premier Open Tender have been instrumental in refining our approach for future ones, both within and beyond ARSINOE. By focusing on precise material identification, collaborative adaptation, and proactive engagement with legal and financial departments, we aim to overcome previous challenges and elevate the quality and efficiency of our forthcoming tendering processes.

5. NEXT STEPS: SECOND OPEN TENDER

In the upcoming Second Open Tender, all nine case studies are set to participate. We anticipate launching this tender by the middle of November 2023, closely mirroring the procedural steps undertaken in our initial tender process of the First Open Tender. At present, we are in the process of soliciting information from our case study partners to kickstart the formulation of the tender document. Concurrently, our case studies have initiated discussions with their respective legal and financial departments. This proactive engagement is intended to address any specific conditions that may need to be factored into the forthcoming tender process.

As we anticipate the mid-November release of the Second Open Tender, we are dedicated to providing prospective applicants with an expansive and well-planned application period. Spanning over two months and extending until the mid-January 2024 deadline, this generous window allows applicants ample time to meticulously craft and compile their submissions.

Subsequently, the Evaluation Committee will diligently conduct their assessments, with the evaluation process expected to conclude by the middle of February 2024. This timeline affords us the necessary space to deliberate and finalise the selection process, culminating in the announcement of the selected innovations by mid-March 2024.

6. JUSTIFICATION OF TIMELINE MODIFICATION

Originally, Task 5.2 was scheduled to span the initial 24 months of our project. However, as the project unfolded and unforeseen, significant advantages of synchronizing our efforts with other tasks in the workplan (e.g. T2.2 and T8.4) became evident, so adjustments were necessary. Further, as we delved into the intricate landscape of legal conditions governing public procurement across the diverse range of countries encompassed by our case studies, a challenge arose which we had not dimensioned adequately. From the part of BRIGAID Connect, the complexity of these legal frameworks required gaining a sufficient overview of the local and specific requirements governing tendering and procurement processes in each ARSINOE case study. Additionally, from the part of the CS partners, most have not been involved in such tendering for innovations previously, or at least not within the frame of an EU project, which required the engagement and consultation with additional experts both in-house and out. This unexpected complexity necessitated a recalibration of our timeline.

The decision to extend the timeline for Task 5.2 carries with it both rationale and benefits. By allowing a delay in the initiation of Open Tenders, we are strategically positioning most of the case studies to maximize the utility of the findings from Task 2.1, which pertains to stakeholder identification and context mapping. This delay affords the case studies as well the opportunity to leverage the initial results from Task 2.1 and ensures that the subsequent stages of Task 2.2, involving local network development and co-creation process initiation, are executed with a more profound understanding of the context.

It is worth noting that the extension of Task 5.2 has a consequential impact on Task 5.4, which concerns the support schemes devised to empower innovators in their quest to achieve uptake. We are already taking measures to ensure that the resulting impact of the delay is minor and requires only moderate adjustments to our original planning (a discussion with the whole consortium will take place at the next GA in mid-October 2023). However, with Task 5.4 being the last one of the sequences in WP5, and only loosely linked with other tasks in the project’s work plan, the modification to this task’s schedule in no way impinges upon the progression of other tasks outlined in ARSINOE.

In conclusion, the decision to extend the timeline for Task 5.2 stems from the necessity to accommodate the intricate and varying legal landscapes surrounding public procurement. This adjustment, strategically timed to align with the outcomes of WP2, ensures a more informed approach to subsequent tasks while only moderately impacting the overarching project timeline. This adaptable response to unforeseen complexities underscores ARSINOE's commitment to delivering actionable, high-quality research and outcomes within the context of a dynamic and ever-evolving project environment. Once Task 5.2 is fully completed an updated version of this deliverable will be provided.

ANNEX 1: FAQs ON THE ARSINOE OPEN TENDERS (living document)

Writing and publication of the tender material:

1. How are tenders organised? The current plan is to launch a tender at two different times: between the 1st and 2nd Living Labs, and between the 2nd and 3rd Living Lab. It is also planned to launch another tender after the third LLs. Within each launch, we plan to include different thematic challenges to be able to respond to specific needs of the case studies, which vary among them. We are now in the process of identifying the challenges that are currently deemed most relevant by the CS, so they can be addressed in the first tender. We also need to consider that there are CS which are more advanced in identifying their priority challenges, so they will be more willing to participate in the first tender round (between the 1st and 2nd Living Lab). Those CS that still need to go deeper in identifying or prioritizing their challenges could then participate in the second (between the 2nd and 3rd Living Lab) or third round (after the third LL). This has been our initial proposal from WP5 and we are working on this basis to ensure we are making progress, but it remains a flexible work plan that can be adjusted (especially as regards the timing of the tender launches) based on our ongoing exchange with the CS and WP2.
2. Who formulates calls for tender? BRIGAID Connect based on their experience from the BRIGAID project.
3. Who publishes? ARSINOE as a consortium. This means the tenders are to be published in the project's website, the Climate Innovation Window, respective sites from the European Commission, as well as those of our network partners (e.g. Water Europe, UN SDSN).

2. How is funding distributed if a call is relatively general and relevant for several case studies? The distribution of the funds per case study has been defined during the proposal phase, and is now reflected in the Grant Agreement. The amount of funding allocated to each CS can be consulted in Part B, page 39).
3. Who is eligible to apply? Applicants have to be an established legal entity based in one of the eligible countries (List of eligible countries: Austria, Belgium, Bulgaria, Croatia, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, the Netherlands, Poland, Portugal, Romania, Slovakia, Slovenia, Spain, Sweden, Iceland, Norway, Albania, Armenia, Bosnia and Herzegovina, Faroe Islands, Georgia, Israel, Kosovo, Moldova, Montenegro, North Macedonia, Serbia, Tunisia, Turkey, Ukraine, UK) at the time of submitting the online application. They may be small- or medium-sized enterprises, start-up companies, spin-off companies, universities or research and technology development institutes, multinationals or subsidiaries/daughter companies, NGOs, and foundations.
4. Are ARSINOE partners eligible to apply in tenders of other CS? No, only parties external to the consortium can apply.
5. What is the SMEs definition? While this is to be confirmed by the Project Officer, the WP5 Lead and the Coordinator have agreed, after consultation with the project partners, to use the definition recommended by the European Commission (in 2003/361/EC28) but excluding Article 3(4) of the Annex of the recommendation.
6. If more than one case study is expected to take part, do we need to find common interests? Or due to the specific circumstances can each CS address tailored challenges? In this first stage of preparation we want to work on a case-by-case basis, this will help the participants keep their focus and pin down a clear set of aims and objectives to achieve with their

participation in the first OTI. Once the problem statement and aims of each participating CS have been clearly formulated, we want to engage all participants in an exchange to see if we identify commonalities. If they appear and are practicable, BRC will coordinate the collaboration between 2 or more CSs.

7. How can LL stakeholders be involved in the writing process of the Call for Innovation? Can we share the information and receive feedback regarding the description itself? This is up to the CS lead to decide. BRC encourages the active engagement of the LL stakeholders via their review of the first draft call text.
8. Can the stakeholders that participated in the writing process apply later? BRC encourages people who are already involved in the process of outlining and prioritising the challenges (via LLs in ARSINOE or any other open innovation formula) to also take part in formulating their description and proposing potential solutions. While we are aware that some could perceive this as an unfair advantage, we have to trust that the participatory process running within the CSs in ARSINOE is capable of yielding a formulation of their challenge that truly reflects their needs and priorities. Further, we have a solid evaluation procedure with an elaborate set of criteria and an evaluator group that will bring together consortium members who are both involved and not, in the respective CS. BRC thinks this provides enough safeguards to secure a fair procurement process without limiting the practice of co-creation and open innovation.
9. What languages will the call be translated into? The text to be published by BRC will be prepared in the English language. No resources for hiring translation services are foreseen in BRC's budget. However, CSs are free to translate the final version of the tender text into their local language. BRC can support the review of texts that have been translated into Spanish, German, Greek and Dutch.
10. What is the publication date of the second open tender for innovation? To be decided.
11. For how long will be the call open for applications? Two months.
12. Are CS free to disseminate the link for the application as they see fit? Yes.
13. Hackathon/Climathon format? No, this format is not currently considered.
14. Is co-funding possible? Is it a bonus? This has not been explicitly included in the DoA nor discussed by the consortium partners. Yet, in principle, CS leaders and other partners could, via their own means, engage in providing or facilitating additional funding for the pilots.
15. Can more than one innovation be funded per country? Yes, in fact this is expected, as a ceiling of 50.000 EUR per contract has been defined in the Grant Agreement.
16. Can case studies apply for more than one call? The applicants to the Open Tenders are the innovators and solution developers, and case studies participate as "problem owners". In this respect, case studies can participate in more than one tender.
17. How are social innovations defined? We have prepared a short memo defining social and governance innovation together with WP2 which is available here.
18. Are tenders for innovation tailored to single case studies? Yes, but this does not mean that there will be 9 individual tenders. The procedure is set to identify and group similar CS needs to be included in the respective tenders where they will participate.

Evaluation and selection process:

19. What types of innovation can be funded? How are they defined? The innovations are classified under the following categories: engineering and built environment, social and governance innovations, and models and tools. Those innovations can then provide a solution that is a physical product, digital / software product, conceptual Framework / process / methodology, or service.

20. Who selects and evaluates proposals? For the evaluation, a Selection Committee will be formed with members of the consortium. BRIGAID Connect will chair it and GAC will act as vice-chair. Representatives from the CS (appointed by the CS themselves) and UN SDSN will participate as committee members.
21. How are applications evaluated? We follow a procedure which was designed and implemented during the BRIGAID project, through which the innovations are evaluated according to a range of indicators including: three types of Readiness (Technical, Social, Market), four additional Qualitative Criteria (Testing Feasibility, Innovator Vision, Promising Innovations, and contribution to social and governance transformation. Weights for each criteria category will be established for each case study.
22. What selection criteria should be kept in mind? See above.
23. Which are the specific requirements the innovators need to meet in order to be eligible? What eligibility criteria exist beyond what has been described in the FAQs so far? Full details are available in section 1.3 General requirements of the guide for applicants (click).
24. Are stakeholders from the LL eligible innovators? Yes, but ARSINOE consortium members are not eligible.
25. How will the call refer to the EU's SME definition? We have included in the guide for applicants a footnote in the section 1.3 General requirements that will clarify we follow the definition of the EC Recommendation 2003/361/EC28 with exception of Article 3(4) of its Annex.
26. Can we support projects/innovators that already receive funding from another (EU, national or state) funding program? In principle, yes if it is from national or state funding. However, this will probably have to be checked in individual cases as different funding programmes may have different requirements. In any case, processes are to be kept separate. This is, the execution of ARSINOE's funds will necessitate a specific contract between the consortium member who holds the CS's funds and the innovator. For EU funds, double funding for the proposed solutions is not possible. This means that innovators who receive funds from ARSINOE following the call may not benefit at the same time from any other EU funding scheme during the duration of the contract.
27. How do we deal with questions from innovators before their application? Will there be a Q&A round for clarification, which then gets published? We are planning two online info sessions after the launch of each Open Tender for Innovation (dates will be communicated together with the call text). Invitations will be open to all potential applicants and the agenda will be focused principally on addressing their questions. A contact at BRC will be shared for follow-up questions via email.
28. Who are the contact persons for potential innovators? Who addresses which questions (about the tender process, about the details of the challenge, etc.)? Gloria and Gerardo from the Brigaid Connect.
29. How does the application process work? Which steps are there? Which elements are part of the process (proposals, pitches, etc.)? The process consists mainly of the submission of an online application via ARSINOE web page. A link in the Open Tender communications will take interested innovators to the online application form. The information collected via this online form will be reviewed by the Selection Committee in ARSINOE to assess the application based on a set of pre-defined criteria. As necessary, the Selection Committee may raise follow-up/clarification questions via direct contacts (email, phone, online meetings) with the innovators. Pitches are not foreseen. Full details of the application process is available in the guide for applicants.
30. What has to be submitted as part of an application? The online application form contains ca. 45 user input fields to collect information that will be used to gather a full overview of the

innovation, e.g. a general description, type of hazard addressed, current TRL level, information on previous testing and/or implementation, plans for commercialisation, etc. If shortlisted, applicants will have to submit a demonstration proposal. Full details of the application process is available in the guide for applicants.

31. What has to be included in a proposal? This is foreseen as a 2-page proposal providing a general description of the demonstrator, the activities/tests they want to perform (including an indicative timeline) and specifying the required funds therefore. A template is provided in the Annex 2 of the guide for applicants.
32. When can innovators expect to find out that they have been selected? Foreseeably 3.5 months after the launch of the open tender (allowing 2 months for receiving applications and 1.5 months for evaluation, proposals and selection).
33. When will information sessions organised by WP5 take place? Specific dates will be published together with the tender and are expected to be 2 weeks and 5 weeks after the launch.
34. Which types of costs can be covered using the funds? The following categories are considered by BRIGAID Connect. However, we ask CS partners that these are carefully reviewed and checked for compliance with their local regulation, so we can update the text of the tender accordingly:
    - Costs related to construction and installation of demonstrators;
    - Costs related to the payment of licenses and protected intellectual property;
    - Costs related to logistics and transportation of demonstrators (or elements thereof);
    - Costs related to testing and monitoring of demonstrators;
    - Costs related to conducting surveys or end-user tests.

Other costs that could be funded:

- Personnel costs associated with (i) participation in ARSINOE activities, ii) events and training; (ii) cross-collaboration with local stakeholders and other innovations.
- Travel costs for meetings associated with the project.
- Access to and use of infrastructure justified for the needs of the project.
- Subcontract of services which must be (i) defined in their application; (ii) aligned with the purpose of the project.
- Audio/visual products and other communication activities related to the project.
- Promotion of services and ARSINOE project innovative solutions.

35. Can innovators be contacted during the decision-making process if questions arise from the CS or stakeholders? Yes, clarification questions are allowed. It is recommended that the communication goes via the CS lead.
36. Is it possible to renegotiate the objectives and budget of a specific application? (If for example only a part of the suggested innovation is useful for the CS – Example: the innovators offer a software tool and the report with the computation of specific variables in a region, but only the tool is valuable) Yes, once an innovator has been selected they are required to write a short proposal text describing the work to be contracted. This proposal would be the basis for negotiation between the CS lead (or consortium partner holding the budget) and the innovator. If no agreement is reached by the parties, another innovator can be selected and invited to write a proposal.
37. If innovators already state the amount of money they need for their innovation, is it a yes/no process or is it negotiable to give either the whole amount or just part of it? Negotiations can take place on the basis of the proposal tendered by the selected innovator.
38. Who answers further questions about the call, the application process and the selection process? Brigaid Connect.

Contracting:

39. Who has a contract with the innovator? The budget allocation is specified in a standardized contract developed by ARSINOE's Coordinator and is to be signed by the budget holder (commonly the CS leader) and the innovator.
40. What happens after innovators have been informed that their idea has been selected? A contract is drafted by the ARSINOE consortium member who holds the CS's funds for the Open Tenders (contracting party) and submitted to the innovator for review and signature. In some cases the parties may enter into negotiations on specific contractual terms based on the initial draft of the contract. Partners are requested to engage their legal teams in the whole process to ensure full compliance with national law.
41. Who are the partners in the contract for innovation? The contracting party and the innovator.
42. When could innovators expect to receive funds? Before they start the innovation process/project or after? This is to be defined by the contracting party in the contractual terms that will govern their relationship with the innovator. BRC recommends that contracting parties follow the common procedures of their organisation regarding these and other contractual terms.

ANNEX 2: QUESTIONS FOR CUSTOMISATION

First Open Tender for Climate Adaptation Innovations

Information needed to customise the tender texts and online application form to fit the priority challenges and needs of the participating Case Studies
For their participation in the ARSINOE Open Tenders, Case Study partners are requested to respond to the questions below to describe their needs and key challenges to address. Your responses will be used to generate the general tender text that will be published on the ARSINOE website as well as the online application form that innovators will use to submit their applications.

1. **What is the problem statement for your case study so far (based on the initial results of the Living Labs you have carried out)?**

Text to be completed by the case study partners.

2. **What is the key challenge you would like to address in the Second Open Tender for Innovations?**

Text to be completed by the case study partners.

3. **Have you already thought of (or discussed with your stakeholders about) any solutions for your key challenge? If so, please describe briefly which types of solutions you are considering (e.g. technical, digital, social, governance, nature-based, …). Feel free to add in-depth information/links to specific ones you have identified already?**

Text to be completed by the case study partners.

Questions to define selection criteria

1. Which of the following options are you mainly interested in (please highlight or underline your choice):
   a. co-developing a solution with the innovator (i.e. make major changes to an early stage idea so it can be significantly customised to your specific case without large redesign efforts),
   b. make slight adjustments to a solution that is moderately mature and has been demonstrated in some environments, or
   c. implement an "off the shelf" solution, i.e. one that is already mature, available in the market or that has been widely implemented and proven

2. Would you be willing to work with an innovator who is not residing in your country?

To be responded by the case study partners

3. Would you be willing to work with an innovator whose organisation is not registered in your country?

To be responded by the case study partners

4. Would you be willing to work with an innovator who does not speak your language? In most cases, this means the exchanges would happen in English.

To be responded by the case study partners

5. Are you looking for only local innovators and those who speak your language?

To be responded by the case study partners

6. Would you like to set any financial or maturity cut-off criteria for the organizations applying? For instance, “Applicants shall show proof of annual turnover of at least 1M EUR for the last three years”, or “Applicant organisations shall be an established legal entity whose date of registration is at least three years before the launch date of the open tender”.

To be responded by the case study partners

ANNEX 3: ARSINOE OPEN TENDERS FOR INNOVATIONS | ONLINE APPLICATION FORM

ARSINOE Open Tenders for Innovations | Online Application Form

1. Welcome to the online application form of the first ARSINOE Open Tender!

Dear ARSINOE Innovator,

You have entered the ARSINOE online application form. With this questionnaire we ask you to provide us with information about your innovation. The questionnaire has 45 questions, which should take at least 60 minutes to answer.

All answers will be handled confidentially. None of the information that you have provided will be disseminated outside ARSIONE without your permission.

Please keep the following in mind:

- **Be as clear and concrete as possible. The information collected from this questionnaire will be used to evaluate your application.**
- **This online application form is designed to capture the specific details of a single innovation. If you have several innovations you want to apply to the tender with, you have to complete one individual application form for each. You will be asked to specify the name of the innovation in question 1.**
- **Please respond all questions. Only complete applications will be considered. Please note that it is not possible to upload additional material.**
- **Applicants have the option to download and read the list of questions beforehand, but it is compulsory to submit the application via Survey Monkey.**
- **Responses are saved and submitted when a respondent clicks the Next button on each page of the survey. Responses don’t automatically save as each question is answered—they are saved and submitted page by page as respondents progress through the survey.**
- **As long as you use the same computer and browser and do not clean the cookies, you can return to the survey to pick up where you left off and/or edit previous responses. However, we recommend you to plan enough time to complete the form at once.**
- **As long as you use the same computer and browser and do not clean the cookies, you can change your answers on any survey page even after you complete the survey.**
- **You can't print a record of your answers after you complete the survey.**
- **If you are sending more than one application, please use a different browser or computer, or clean the cookies.**
- **ARSINOE is equally interested in technical social and governance innovations. However, some case studies may be exclusively or particularly interested in one of these categories. Please review carefully the case study materials and keep this in mind when answering the questions.**
- **The questionnaire includes 9 sections to gather information in relation to 1) your contact details, 2) innovation characteristics and relevance for the ARSINOE case studies, 3) innovation vision and potential, 4) innovation technical readiness, 5) social transformation and governance, 6) testing feasibility, 7) innovation social readiness, 8) innovation market readiness, and 9) budget and timeline.**

- **Submit the questionnaire latest on 19 July 2023 at 23:59 CEST. Submissions after the deadline will not be considered.**

We look forward to your applications!

Kind regards,

The ARSINOE Work Package 5 Team

Contact email: info@brigaidconnect.com

2. A. CONTACT DETAILS

* 1. What is the name of your innovation?

* 2. Please provide your contact details so we can reach you in case there is a need for follow-up, and to share the evaluation results.

First and Last Name

Organisation

Position

Email Address

Phone Number

Country in which your organisation is established as a legal entity

3. B. INNOVATION CHARACTERISTICS AND RELEVANCE FOR THE ARSINOE CASE STUDIES

* 3. Please provide a short summary of how your innovation works. Please focus on describing the concept, overall logic, and functioning of your innovation, making this short and to the point (400 words max).

* 4. Under which of the following categories would you classify your innovation?

- ○ Engineering and built environment
- ○ Social and governance innovations
- ○ Models and tools

Please explain the reasoning behind your choice (200 words max.):

* 5. And within the above, under which of the following solution types would your innovation fit best? Select as many as apply.

- ○ Physical product
- ○ Digital / software product
- ○ Conceptual Framework / Process / Methodology
- ○ Service
- ○ Other (please specify)

* 6. Which climate-related hazards does your innovation address? Select up to three that apply.

- [ ] Coastal Floods
- [ ] River floods
- [ ] Heavy precipitation / pluvial floods
- [ ] Droughts
- [ ] Heatwaves
- [ ] Wildfires
- [ ] Storm/High winds speeds
- [ ] Frost/Hail
- [ ] Sea level rise
- [ ] Multi-hazard
- [ ] Other (please specify)

* 7. What specific problems is your innovation designed to solve? List these using short phrases in bullet points.

* 8. The case studies participating in this first open tender have listed the following items as priorities to tackle their challenges. For which of these is your innovation relevant? Please select as many as applicable

- [ ] Collection and sharing of environmental, agronomic, economic and social data (Canary Islands, Spain)
- [ ] Decision making tools for climate change adaptation in the agricultural sector (Canary Islands, Spain)
- [ ] Education and capacity building (Main River, Germany)
- [ ] Social or behavioural change and governance structures (Main River, Germany)
- [ ] Water conservation and water use efficiency (Main River, Germany)
- [ ] Cross-sectoral approaches to resource management (Main River, Germany)
- [ ] Water retention in soils and built environments (Main River, Germany)
- [ ] Water management systems (Main River, Germany)
- [ ] Decision making tools and sensors related with climate resilience of environmental, planning, economic and social sectors related to water scarcity (Ohrid and Prespa Lakes, Albania)
- [ ] Impacts of climate change on human health and economic sectors vulnerability (Ohrid and Prespa Lakes, Albania)

Please explain in full detail how your innovation relates to each of the items you selected above.

* 9. What are the three main advantages of your innovation? What are its innovative aspects (i.e. in which ways does the solution innovate)?

Advantage 1

Advantage 2

Advantage 3

Innovative aspects

* 10. Is your innovation a nature-based solution (i.e., it is inspired and supported by nature, is cost-effective, simultaneously provides environmental, social and economic benefits and helps build resilience) or does it incorporate ‘green’ features?

- ◯ Yes, my innovation is a nature-based solution according to the definition above
- ◯ Yes, my innovation incorporates ‘green’ features
- ◯ No

If the answer is yes, please provide additional details (200 words max):

* 11. How was the innovation developed (e.g. independently, as part of an R&D project)? If your innovation was developed in partnership, please provide details of your partnership Max. 200 words.

* 12. Are there any limitations/conditions on the effectiveness of your innovation? Under which circumstances does your innovation not work or is less effective? Max. 200 words.

4. C. INNOVATION VISION AND POTENTIAL

* 13. Do you know of any competing products/services?

- No
- Yes

If your answer is yes, please name three competing products/services and explain why your innovation is better (max. 200 words).

* 14. What are the main differentiating elements of your innovation against competing ones? Please base your response on describing specific features (of the innovation), competences (of your team) and assets (of your team) that make your offer stand out against others. Max. 200 words.

* 15. How can your innovation be evaluated or its impacts measured? Does your innovation include a plan to evaluate its impact? Max. 200 words.

* 16. Is your innovation (or has been) part of an incubator or accelerator programme or initiative?

- No
- Yes

If your answer is "yes", please specify which one and provide further details (max. 100 words).

* 17. Briefly explain your vision / strategy for the future (e.g., When do you regard your innovation as ‘successful’? Which steps are needed to reach that success, and how will these steps be taken?) (Max. 300 words)

5. D. INNOVATION TECHNICAL READINESS

* 18. Please indicate the current Technology Readiness Level (TRL) of your innovation:

- TRL 1. Basic principles observed. Scientific research begins to be translated into applied research and development (R&D). Examples might include paper studies of a technology's basic properties.
- TRL 2. Technology concept formulated. Invention begins. Once basic principles are observed, practical applications can be invented. Applications are speculative, and there may be no proof or detailed analysis to support the assumptions. Examples are limited to analytic studies.
- TRL 3. Experimental proof of concept. Active R&D is initiated. This includes analytical studies and laboratory studies to physically validate the analytical predictions of separate elements of the technology. Examples include components that are not yet integrated or representative.
- TRL 4. Technology validated in lab. Basic technological components are integrated to establish that they will work together. This is relatively "low fidelity" compared with the eventual system. Examples include the integration of "ad hoc" hardware in the laboratory.
- TRL 5. Technology validated in relevant environment. Fidelity of breadboard technology increases significantly. The basic technological components are integrated with reasonably realistic supporting elements so they can be tested in a simulated environment. Examples include "high-fidelity" laboratory integration of components.
- TRL 6. Technology demonstrated in relevant environment. Representative model or prototype system, which is well beyond that of TRL 5, is tested in a relevant environment. Represents a major step up in a technology's demonstrated readiness. Examples include testing a prototype in a high-fidelity laboratory environment or in a simulated operational environment.
- TRL 7. System prototype demonstration in operational environment. Prototype near or at planned operational system. Represents a major step up from TRL 6 by requiring demonstration of an actual system prototype in an operational environment (e.g., in an aircraft, in a vehicle, or in space).
- TRL 8. System complete and qualified. Technology has been proven to work in its final form and under expected conditions. In almost all cases, this TRL represents the end of true system development. Examples include developmental test and evaluation (DT&E) of the system in its intended weapon system to determine if it meets design specifications.
- TRL 9. Actual system proven in operational environment (competitive manufacturing). The solution is used successfully in a structurally operational environment. The user can and wants to recommend the solution to other water managers.
- Not applicable

If you selected not applicable, please explain why this would be the case for your innovation? Max. 100 words.

* 19. Briefly explain why the innovation is at the indicated TRL level. What has been done so far to reach the indicated TRL? To what extent has your innovation been tested?(max 200 words). If available, you can provide links to studies or test results validating your response. This question only applies if you selected a TRL in the previous question.

6. E. SOCIAL TRANSFORMATION AND GOVERNANCE

* 20. Please explain in which way your innovation drives or contributes to social transformation? Max. 200 words

* 21. To what extent does your innovation contribute to the following educational adaptation needs?

	Extremely	Very	Moderately	Slightly	Not at all
Awareness raising and integrating into education.	○	○	○	○	○
Gender equity in education	○	○	○	○	○
Extension services	○	○	○	○	○
Sharing local and traditional knowledge, including integrating it into adaptation planning	○	○	○	○	○
Participatory action research and social learning	○	○	○	○	○
Community surveys	○	○	○	○	○
Knowledge-sharing and learning platforms.	○	○	○	○	○
International conferences and research networks	○	○	○	○	○
Communication through media	○	○	○	○	○

Other (please specify)

* 22. To what extent does your innovation contribute to the following informational adaptation needs?

	Extremely	Very	Moderately	Slightly	Not at all
Hazard and vulnerability mapping	◯	◯	◯	◯	◯
Early warning and response systems.	◯	◯	◯	◯	◯
Systematic monitoring and remote sensing	◯	◯	◯	◯	◯
Climate services, including improved forecasts.	◯	◯	◯	◯	◯
Downscaling climate scenarios	◯	◯	◯	◯	◯
Longitudinal data sets	◯	◯	◯	◯	◯
Integrating indigenous climate observations	◯	◯	◯	◯	◯
Community-based adaptation plans	◯	◯	◯	◯	◯
Improving knowledge and availability of data on climate adaptation	◯	◯	◯	◯	◯
Promoting nature-based solutions for adaptation	◯	◯	◯	◯	◯
Cross-sectoral information exchange or breaking up silo thinking	◯	◯	◯	◯	◯

Other (please specify)

* 23. To what extent does your innovation contribute to the following behavioural adaptation needs?

	Extremely	Very	Moderately	Slightly	Not at all
Accommodation	○	○	○	○	○
Household preparation and evacuation planning	○	○	○	○	○
Retreat and migration	○	○	○	○	○
Human health	○	○	○	○	○
Human security	○	○	○	○	○
Soil and water conservation	○	○	○	○	○
Livelihood diversification	○	○	○	○	○
Changing livestock and aquaculture practices	○	○	○	○	○
Crop-switching	○	○	○	○	○
Changing cropping practices, patterns, and planting dates	○	○	○	○	○
Silvicultural options	○	○	○	○	○
Reliance on social networks	○	○	○	○	○

Other (please specify)

* 24. To what extent does your innovation contribute to the following economic adaptation needs?

	Extremely	Very	Moderately	Slightly	Not at all
Financial incentives including taxes and subsidies.	◯	◯	◯	◯	◯
Insurance, including index-based weather insurance schemes.	◯	◯	◯	◯	◯
Catastrophe bonds	◯	◯	◯	◯	◯
Revolving funds	◯	◯	◯	◯	◯
Payments for ecosystem services	◯	◯	◯	◯	◯
Water tariffs	◯	◯	◯	◯	◯
Savings groups	◯	◯	◯	◯	◯
Micro-finance	◯	◯	◯	◯	◯
Disaster contingency funds	◯	◯	◯	◯	◯
Cash transfers	◯	◯	◯	◯	◯

Other (please specify)

* 25. To what extent does your innovation contribute to the following legislative and regulatory adaptation needs?

	Extremely	Very	Moderately	Slightly	Not at all
Land zoning laws	◯	◯	◯	◯	◯
Building standards	◯	◯	◯	◯	◯
Easements	◯	◯	◯	◯	◯
Water regulations and agreements	◯	◯	◯	◯	◯
Laws to support disaster risk reduction.	◯	◯	◯	◯	◯
Laws to encourage insurance purchasing.	◯	◯	◯	◯	◯
Defining property rights and land tenure security	◯	◯	◯	◯	◯
Protected areas	◯	◯	◯	◯	◯
Marine protected areas	◯	◯	◯	◯	◯
Fishing quotas	◯	◯	◯	◯	◯
Patent pools and technology transfer	◯	◯	◯	◯	◯
Biodiversity protection	◯	◯	◯	◯	◯
Sustainable agriculture	◯	◯	◯	◯	◯

Other (please specify)

* 26. To what extent does your innovation contribute to the following policy and programme adaptation needs?

	Extremely	Very	Moderately	Slightly	Not at all
National and regional adaptation plans, including mainstreaming climate change.	◯	◯	◯	◯	◯
Sub-national and local adaptation plans	◯	◯	◯	◯	◯
Urban upgrading programs	◯	◯	◯	◯	◯
Municipal water management programs	◯	◯	◯	◯	◯
Disaster planning and preparedness	◯	◯	◯	◯	◯
City-level plans	◯	◯	◯	◯	◯
District-level plans	◯	◯	◯	◯	◯
Sector plans, which may include integrated water resource management, landscape and watershed management, integrated coastal zone management.	◯	◯	◯	◯	◯
Adaptive management	◯	◯	◯	◯	◯
Ecosystem-based management	◯	◯	◯	◯	◯
Sustainable forest management	◯	◯	◯	◯	◯
Fisheries management	◯	◯	◯	◯	◯
Community-based adaptation	◯	◯	◯	◯	◯

Other (please specify)

7. F. TESTING FEASIBILITY

* 27. Would you like to test the design of your innovation under the ARSINOE demonstrator ?

- Yes
- No

In the answer is yes, which part of your design you would like to test and why? Max. 100 words.

* 28. Please describe the tests that you would like to perform. Explain these tests as well as to what extent they will improve your innovation. Be as clear and concrete as possible, including any arrangements needed. If you will be selected this will serve as the draft test plan. Major changes after selection are not accepted, so the test plan may be ambitious but also must be feasible. Please note that each ARSINOE case study can financially support up to a certain amount which is indicated in the description of the tender. Tests must be completed and reported by March 2025 at the latest. Max. 500 words.

8. G. INNOVATION SOCIAL READINESS

* 29. Please check the boxes that apply to your innovation:

- [ ] I have contacted end users for my innovation but do not have their feedback yet.
- [ ] End users have provided feedback on the design and usefulness of my innovation.
- [ ] End user feedback has been incorporated into the design of my innovation.
- [ ] I can arrange a support letter from an end user to be involved in the test phase.

* 30. Which challenges/barriers/requirements have you found for the adoption of your innovation among end users? Max. 200 words.

* 31. What have you done/will you do to deal with these challenges /barriers/requirements? Max. 200 words.

9. H. INNOVATION MARKET READINESS

* 32. Who is or are your (potential) customer(s) / end user(s) / target group(s)? Please select all that apply.

- [ ] Government, including national, regional, local authorities.
- [ ] Commercial companies (business to business)
- [ ] Consumers (business to consumer)
- [ ] Institutes (such as universities or research institutes)
- [ ] Other

Please describe more in detail the potential customer, and potential end users (max. 100 words):

* 33. What is the scope of your (potential) customers / end users / target groups? Select as many as apply.

- [ ] One actor (such as one governmental agency)
- [ ] A few (less than 20) actors
- [ ] More than 20 actors
- [ ] One specific region with multiple actors
- [ ] One country with multiple actors
- [ ] International with multiple actors

* 34. Do you want to commercialise your innovation?

- ○ No
- ○ Yes, to break-even (profit is not the goal)
- ○ Yes, internally in an existing company
- ○ Yes, internally in an institute (such as universities or research institutes)
- ○ Yes, as a spin-off or start-up
- ○ Yes, by selling the idea/Intellectual Property

* 35. How will you cover the development costs? Please select all that apply.

- [ ] Not applicable
- [ ] Internally
- [ ] An institute covers the costs
- [ ] An investor covers the costs
- [ ] One or multiple grants have been used
- [ ] (Additional) funding is required to continue the development
- [ ] Other (please specify)

* 36. How will you cover the costs of commercialisation? Please select all that apply.

- [ ] Not applicable
- [ ] An institute will cover the costs
- [ ] An investor will cover the costs
- [ ] One or multiple grants will be used
- [ ] (Additional) funding is required for commercialisation
- [ ] Other (please specify)

* 37. What is the potential for further development after commercialisation? Please select all that apply.

- [ ] Not applicable
- [ ] No further development potential (when the product is finished, it’s done)
- [ ] Potential for incremental upgrades
- [ ] Other (please specify)
- [ ] Potential for other regions
- [ ] Potential for other sectors/markets
- [ ] Potential for other types of customers

* 38. To what extent have you developed a market strategy which includes a description of target markets, market size, potential customers, competitors, and a strategy to achieve short and long-term goals?

- Not applicable
- A market strategy has not been thought about yet.
- A market strategy has been thought about but has not been put on paper yet.
- A rough market strategy has been put on paper.
- A detailed market strategy has been put on paper using established methods (e.g., Business Model Canvas)
- A detailed market strategy has been put on paper and is currently being executed.

Please explain your answer (max. 100 words):

* 39. To what extent are you interested in the following support activities?

	Not interested	Somewhat interested	Interested but not a current priority	Very interested	Top priority
Online business development and market analysis support.	○	○	○	○	○
Define potential investors/partners/programs and preparation of investment profile	○	○	○	○	○
Finding/matching with other innovators/researchers to proceed with the product/service for development and testing.	○	○	○	○	○
Facilitating presentation of the product/service to a certain region/local authorities or the specific private sector large corporations/companies for testing/exploitation etc.	○	○	○	○	○

* 40. Currently what are your three priority needs to further develop and commercialise your innovation? Please provide details in each of the three text boxes below.

Priority 1

Priority 2

Priority 3

10. I. BUDGET AND TIMELINE

* 41. Please give a rough indication of how much budget you would expectedly need to set up and run a demonstrator in one of the ARSINOE case study sites (including any testing, if desired). Please use the ranges below. NOTE: if your application passes the first evaluation, you will be invited to draft a brief proposal in which this budget will have to be elaborated in detail.

- ◯ Less than 10,000 €
- ◯ Between 10,000€ and 20,000€
- ◯ Between 20,000€ and 30,000€
- ◯ Between 30,000€ and 40,000€
- ◯ Between 40,000€ and 50,000€

Clarifications (optional):

* 42. Please give an indicative timeline for setting up and running a demonstrator in one of the ARSINOE case study sites and indicate whether you would be available to start on October 2023 and be completed before March 2025.

11. BEFORE YOU LEAVE

* 43. I hereby certify my commitment to participate in ARSINOE Open Tenders for Innovation and that all information provided is up-to-date and correct.

- ◯ Yes
- ◯ No

* 44. How did you hear about the ARSINOE Open Tenders for Innovation?

- ☐ Word of mouth
- ☐ ARSINOE consortium partners
- ☐ Brigaid Connect network
- ☐ Start up network
- ☐ Social media
- ☐ Email
- ☐ Other

* 45. Your data may be used for the purposes of ARSINOE. All personal data will be kept confidential in accordance with the regulations laid out by the General Data Protection Regulation (GDPR), and will not be transferred to any third parties for marketing purposes. After the tender is closed, applicants may be invited to showcase their innovations in the Climate Innovation Window (climateinnovationwindow.eu).

- ☐ Yes, I agree

ANNEX 4: CHECKLIST FOR CASE STUDY PARTNERS PARTICIPATING IN THE OPEN TENDERS FOR INNOVATIONS

Short-term actions

☐ **Initial call with BRC** to express your interest in joining the 2nd OTI, get the general overview of the process, and discuss possible dates

☐ (If you have not had the chance to do so yet) Review carefully **all texts and materials** from the 1st OTI, available here https://arsinoe-project.eu/open-calls/. This review includes:

- ☐ General text
- ☐ Problem statements and annexes included in the case studies
- ☐ The online application form which will be available for applicants via Survey Monkey
- ☐ The guide for applicants

☐ Go carefully through our FAQs document and include additional questions which are not yet there

☐ Designate **at least one (and preferably two) people** in your organisation who will be the main contact point for the work-related to the open tender

☐ Engage your organisation's **legal and/or procurement department(s) and set up a call with BRC** to give them the details of the process and discuss the requirements to ensure full compliance with applicable national legislation

Mid-term actions

☐ Formulate your **problem statement** and **annex** (context and main issues to address)

- ☐ Complete the „Questions for customisation" file and send it by email to BRC

☐ Prepare a annex regarding the context and main issues to address in your CS. You have examples here when you click the supplementary material for each CS.

BRC will then prepare the draft of the text call, and share it with you.

- ☐ Review and revise the first formulation of the text of the call

☐ **Include in the text of the call any specific items** that should be taken into account to ensure the **tendering and procurement** process meets all the legal requirements of your country and your organisation

- ☐ Review and approve the final text

☐ Engage your legal and procurement team in reviewing the **collaboration agreement template** prepared by BRC and make necessary adjustments to fit your organisations needs.☐☐ Run the questionnaire on the weighting of the evaluation criteria with your stakeholders☐☐ Prepare **your communication team** so they can support the widespread communication of the call once it is launched

☐ Prepare **your communication team** so they can support the widespread communication of the call once it is launched

Long-term actions

☐ Define at least two individuals from your Case Study (lead and co-lead organisations) to be part of the **Evaluation Committee**, considering schedule aspects, and inform BRC about your decision

☐ Prepare for the evaluation of submitted proposals by reviewing the **Guide for Evaluators**

☐ Prepare for the **negotiation and contracting** phase

ANNEX 5: GUIDE FOR APPLICANTS

Open Tenders for Innovations

Guide for applicants

v1.2 - 19.07.2023

Prepared by BRIGAID Connect with contributions from GAC, UN SDSN, UT, LMU, ULL and AKPT.

This document provides information and step-by-step guidance to support innovators with their participation in the ARSINOE Open Tenders for Innovation.

In addition to these guidelines, applicants are invited to get acquainted with The Climate Innovation Window (CIW) where they will have the option to showcase their innovation once the evaluation process is completed. The CIW is an online match-making platform allowing municipalities, regional governments and other authorities to identify climate adaptation innovations corresponding to their needs and engage with their developers. The CIW is actively used by the ARSINOE consortium and the regional stakeholders in the project's nine case studies to identify potential solutions to specific climate-driven challenges.

This project has received funding from the European Union's Horizon 2020 innovation action programme under grant agreement 101037424.

Contents

ARSINOE is an EU-funded project aimed at creating climate-resilient regions through systemic solutions and innovations. ARSINOE will shape the pathways to resilience by bringing together the Systems Innovation Approach (SIA) and the Climate Innovation Window (CIW) to build an ecosystem for climate change adaptation solutions. This approach is showcased in nine demonstrators, as a proof-of-concept with regards to its applicability, replicability, potential and efficacy. The project is funded through the European Union's Horizon H2020 Innovation Action Programme under Grant Agreement No. 101037424.

1. Introduction

Taking stock of Europe's most promising and innovative ideas to drive climate resilience

Within the ARSINOE project, nine regions (our *case studies*) are developing their pathways to climate resilience. These pathways are co-designed with regional stakeholders following the Systems Innovation Approach. The approach is taking the participants of each case study through a process of collective reflection, followed by collaborative identification and formulation of the key climate-driven challenges that their respective region is facing. It then leads to an open search for potential solutions to tackle these challenges. Helping our case studies to take stock of the most promising climate adaptation innovations from across Europe is the main aim of ARSINOE's Open Tenders for Innovation.

Figure 1 – The first outputs of the Systems Innovation Approach employed in ARSINOE and the Open Tenders for Innovations within it.

1.1. The ARSINOE Open Tenders for Innovation

What do we aim for?

In 2023, ARSINOE is launching a series of Open Tenders to engage with climate adaptation and resilience innovators from across Europe. The series of Open Tenders aims to contribute to regional adaptation by:

- **Identifying promising or mature innovations to be included in ARSINOE's Portfolio of Innovations** (i.e. the project's overall set of technological, governance, policy, economic, and societal solutions to our regions' climate-driven challenges)
- **Helping case study managers to integrate relevant innovations into their regional Innovation Packages** (these are region-specific portfolios of R&I solutions, mature enough for demonstration, which may include nature-based solutions, innovative technologies, financing, insurance and governance models, awareness and behavioural change)
- **Facilitating the collaboration of ARSINOE's case study partners (public administrations, academic institutions, and businesses) with innovators** via the awarding of contracts for co-development and demonstration

In the first Open Tender, ARSINOE is looking for innovations that address the negative social, environmental, and economic impacts of **extreme heat, water stress, water pollution, and/or floods**. Innovations may be social, governance, structural, software, and/or nature-based.
Applications will be evaluated using a common procedure and the selected ones may receive up to EUR 50.000 for demonstration activities in the Main River (Germany) and Canary Islands (Spain) case studies, and up to EUR 25.000 in the Albanian demarcation of the Ohrid & Prespa Lakes case study. A single innovator may apply to more than one case study, but the total compensation to be received for contracted services shall not exceed EUR 50.000.

What do we mean by 'innovation'?

In ARSINOE's Open Tenders, innovation refers to the implementation of a new or significantly improved product (good or service), process, practice or organisational method[1]. In the context of ARSINOE's case studies, innovation can be desirable to introduce new, renewed, or novel means of achieving the regional stakeholders' goals, which are self-defined and aligned with the Sustainable Development Goals (SDGs). Innovations sourced through the Open Tenders should thus strengthen our case studies' adaptation pathways and make our partners more able to respond effectively to their climate-driven challenges.

How are our Open Tenders for Innovations structured?

An Open Tender in ARSINOE is a process of three sequential phases which are referred to as the *Evaluation Phase*, the *Selection Phase*, and the *Contracting Phase*. See Figure 2 for an overview and Section 1.2 for the full details.

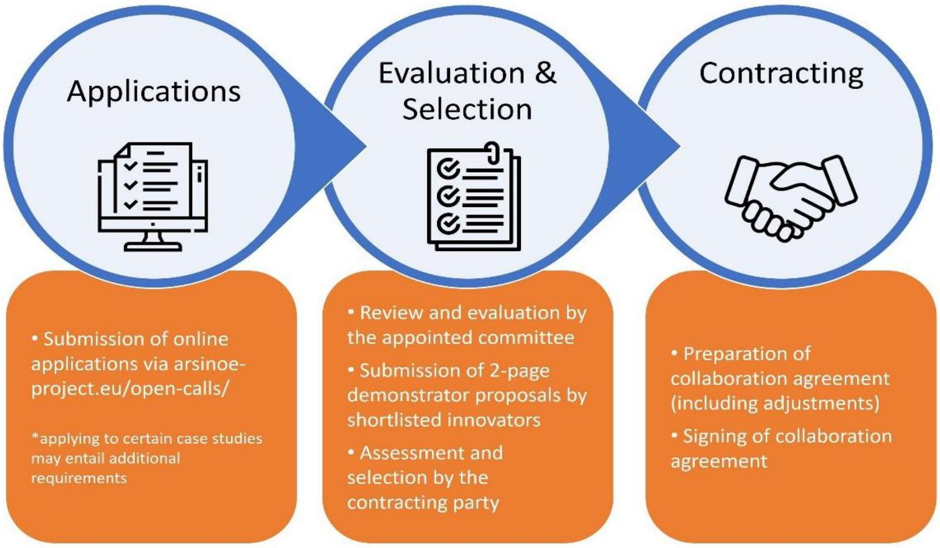


Figure 2 – The three stages of an Open Tender for Innovations in ARSINOE. Images: Freepik, Nhor Phai, and Uniconlabs all sourced from Flaticon.com.

[1] Based on OECD, 2005. "The Measurement of Scientific and Technological Activities: Guidelines for Collecting and Interpreting Innovation Data: Oslo Manual, Third Edition" prepared by the Working Party of National Experts on Scientific and Technology Indicators, OECD, Paris, para. 146.

Who is involved, how and at which stage?

BRIGAID Connect leads and coordinates the Open Tenders for Innovations in ARSINOE. This partner is in charge of designing the tenders in close collaboration with the case study partners and of managing the process, from the preparation of texts, the online application form and reference materials to the coordination of the evaluation and selection phases.

Further, BRIGAID Connect, the G.A.C. Group, UN SDSN and the case study partners constitute the *Evaluation Committee*. This group of consortium members review the online applications received from innovators and evaluate them using a pre-defined set of criteria and ranking scheme.

The innovators with high-ranking applications are then invited by BRIGAID Connect to submit a 2-page demonstrator proposal. These proposals are then reviewed by the *contracting party* (i.e. the lead case study partner) and assessed following their own internal procurement procedures. The top-ranking proposal is then selected by the contracting party.

Lastly, BRIGAID Connect notifies the innovator that their innovation has been selected and invites both parties to start the contracting phase. This includes the preparation of a draft collaboration agreement by the contracting party, its review by the innovator, any subsequent necessary rounds of revision, and finally proceeding to signatures.

> ***NOTE:*** *what is described above is the standard process. However, some contracting parties may have to adjust the process slightly (e.g. shift the sequence of steps or request additional materials) to fully comply with the legal requirements applicable to their organisation. Where this is the case, it will be clearly stated in the tender text. Further details are given in the following sections of this guide.*

1.2. General requirements

To participate in the Open Tenders, the following general requirements must be met by the applicant:

- The applicant is an established legal entity based in one of the eligible countries[2] at the time of submission of the online application.
- Applicants may be small- or medium-sized enterprises[3], start-up companies, spin-off companies, universities or research and technology development institutes, multinationals or subsidiaries/daughter companies, NGOs, and foundations.
- Contracting of the innovation is possible without conflicting with the legal requirements that the contracting party is subject to (e.g. those associated with public procurement legislation).
- The online application has been submitted before the deadline via the ARSINOE webpage.
- The online application form has responses to all questions. Only complete applications will be considered.
- Selected innovations are available, and innovators able to conduct any testing and implementation activities, including respective results reporting, within the period between October 2023 and March 2025. The exact dates and timeline are to be agreed with the contracting party during the contracting phase.

[2] Austria, Belgium, Bulgaria, Croatia, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, the Netherlands, Poland, Portugal, Romania, Slovakia, Slovenia, Spain, Sweden, Iceland, Norway, Albania, Armenia, Bosnia and Herzegovina, Faroe Islands, Georgia, Israel, Kosovo, Moldova, Montenegro, North Macedonia, Serbia, Tunisia, Turkey, Ukraine, UK.

[3] We follow the SME definition of the EC Recommendation 2003/361/EC28 with exception of Article 3(4) of its Annex.

- The innovation is relevant to the case study, i.e. it is deemed capable of contributing to addressing the challenge of the case study and to achieving its goals as they are stated in the supplementary materials published with the call.[4]

  NOTE: Applicants that do not meet these general requirements will be informed via email with the reasons for the rejection. No further feedback on the process will be given. A call may be declared deserted if no applications meet the general requirements.

1.3. Which costs can be funded?

The costs that can be covered through the Open Tenders include costs related to[5]:
- Construction and installation of demonstrators[6];
- Software and platform development;
- Development of devices and tools;
- Payment of licenses and protected intellectual property;
- Logistics and transportation of demonstrators (or elements thereof);
- Testing and monitoring of demonstrators; and
- Conducting surveys or end-user tests.

Other costs that could be funded include[7]:
- Travel costs for meetings associated with the project;
- Access to and use of infrastructure justified for the needs of the project;
- Subcontract of services (which must be defined in their application and aligned with the purpose of the project);
- Audio/visual products and other communication activities related to the project; and
- Promotion of services and ARSINOE project innovative solutions.

  NOTE: Double funding for the proposed solutions is not possible. This means that innovators who receive funds from ARSINOE following the call may not benefit at the same time from any other EU funding scheme during the duration of the contract.

2. Overview of the process

Phase I - Applications
In the first phase of the Open Tender, innovators must submit an application via the ARSINOE website (https://arsinoe-project.eu/open-calls/). The online application form contains 45 questions grouped into nine sections. They gather information on:
1) general details of the innovator
2) characteristics of the innovation and its relevance for the targeted ARSINOE case study
3) vision and potential of the innovation
4) technical readiness of the innovation

[4] The applications that do not meet this requirement will be shared with the contracting party of the case study to review the decision made by BRIGAID Connect team.
[5] Legislation regulating procurement procedures that contracting parties must comply with may restrict or rule out the coverage of some of the categories listed. Whenever this is the case, it will be clearly stated in the supplementary material accompanying the general tender text.
[6] **NOTE on applications submitted to the Canary Islands case study:** innovators targeting the Canary Islands case study should note that infrastructure and general services cannot be covered through this tender.
[7] **NOTE on applications submitted to the Albanian case study:** innovators targeting the Albanian case study should note that only 10% of the total proposed budget may be dedicated to the "Other costs" category.

5) social transformation and governance aspects
6) testing feasibility
7) social readiness of the innovation
8) market readiness of the innovation
9) estimated budget and timeline for the demonstrator

> **NOTE on applications submitted to the Albanian demarcation of the Ohrid & Prespa Lakes case study:** The contracting party for the case study in Albania is the country's National Territorial Planning Agency (NTPA). To ensure compliance with EU and national public procurement legislation, NTPA has chosen to follow the standard e-PRAG public procurement procedure. Innovators targeting the case study in Albania must thus submit additional documentation, including a technical and feasibility report (See Annex 1), to meet the procedure's requirements. These documents are to be submitted in addition to the online application form mentioned above and before the closing date for submission of online applications. As soon as the Open Tender is published on ARSINOE's website, NTPA will publish the call simultaneously via e-PRAG and on their own website. Additional details on the procedure can be requested from NTPA via e-mail (info@planifikimi.gov.al).

Phase II – Evaluation & Selection

In this second phase of the Open Tender, the information collected via the online application form will be reviewed by the Evaluation Committee to evaluate the application based on a set of pre-defined criteria (see Sections 5.1.1 and 5.1.2). If necessary, the Committee may raise follow-up/clarification questions to the applicants directly via email. The high-ranking applications will be shortlisted and invited to submit a two-page proposal (see Annex 2) providing a general description of the demonstrator, the activities/tests to be performed (including an indicative timeline) and specifying the required budget for this. These two-page proposals will then be reviewed by the contracting party and assessed following their own internal procurement procedures. Selected proposals will proceed to the contract awarding phase.

> **NOTE on applications submitted to the Albanian demarcation of the Ohrid & Prespa Lakes case study:** for the case study in Albania, the technical and feasibility report submitted during the first phase of the tender for compliance with e-PRAG procedure replaces the two-page proposal mentioned above. In this case, the technical and feasibility reports of the high-ranking applications will be reviewed by the contracting party and assessed following their own internal procurement procedures. Thus, it is crucial that innovators targeting this case submit this report together with their online application during the first phase of the Open Tender.

Phase III - Contracting

In the third and final phase of the Open Tender, a draft collaboration agreement will be prepared by the contracting party and shared with the selected innovator for review and signature. Apart from the detailed description of responsibilities, liabilities, and innovation activities to be carried out under the contract, the document shall include a timeline for the workplan including milestones and respective results reporting. It shall also lay out the budget required to carry out the mentioned activities as well as a payment plan. The latter is to be defined by the contracting party in the contractual terms that will govern their relationship with the innovator. Commonly there will be advance payments at different stages and a final one upon completion of the demonstrator and tests and delivery of the final report. In some cases, the parties may wish to enter into negotiations on specific contractual terms based on the initial draft. A two-week period will be considered for review rounds of the collaboration agreement. Once innovator and contracting party agree on all terms, they will proceed to signatures.

> **NOTE on applications submitted to the Albanian demarcation of the Ohrid & Prespa Lakes case study:** innovators targeting the case study in Albania must follow the Standard tender dossier (including standard contract) of the ePRAG procedure.

3. Timeline for the First Open Tender for Innovations

The timeline of the first Open Tender follows the three-phase application process described in the previous chapter. It is as follows:

Phase I - Applications	Phase II - Evaluation & Selection	Phase III - Contracting
30 May – 23 July	**24 July – 29 September**	**2-31 October**
Opening for applications: The first Open Tender launches on 30 May 2023. Applicants will need to complete and submit this online form. **Deadline for applications**: The closing date for submission of applications is 23 July 2023 at 23:59 CEST. Two online **Info Sessions for Applicants** will be offered on 6 June at 14:00 CEST, and 4 July 2023 at 14:00 CEST to address any questions about the application process. **NOTE on applications submitted to the Albanian demarcation of the Ohrid & Prespa Lakes case study:** please remember that for this case study there is a parallel process to follow to comply with the e-PRAG procedure. For more information contact the official e-mail address of NTPA (info@planifikimi.gov.al).	**Start of the evaluation period:** 24 July 2023 (immediately after the closing date for the applications phase). **End of the evaluation period**: Indicatively one month from the deadline of the online application (20 August). High-ranking applicants will be contacted via email at the latest during the first week of September and invited to submit a demonstration proposal. **Deadline for submission of demonstration proposals**: 1 week after the invitation has been received (mid-September). **Final decision on the selection**: two weeks after the demonstration proposals have been submitted (end of September). **NOTE on applications submitted to the Albanian demarcation of the Ohrid & Prespa Lakes case study:** please remember that for this case study the two-page proposal is replaced by the technical and feasibility report submitted in advance.	**Draft collaboration agreement:** prepared by the contracting party and shared with the selected innovator by 6 October 2023. **Review and revision:** two-week period for negotiation and finalization of the collaboration agreement ending 20 October 2023. **Signature:** final draft of the contract agreement signed by both parties by 31 October 2023. **NOTE on payment:** the payment schedule and conditions are to be defined by the contracting party in the contractual terms that will govern their relationship with the innovator. Commonly there will be advance payments at different stages and a final one upon completion of the demonstrator and tests and delivery of the final report.

4. Applications

4.1. Submissions

Submission of online applications will be carried out via the ARSINOE website (and specific case studies may require following additional procedures in parallel). In order to successfully submit their application, innovators are required to:

- Review carefully the supplementary case study materials accompanying the general call text. Although ARSINOE is equally interested in technical, social and governance innovations, some case studies may be exclusively or particularly interested in one of these categories. Applicants should keep this in mind when answering the questions.
- Read carefully and answer all the questions. Only complete applications will be considered. Please note that it is not possible to upload additional material.
- English is the official language of ARSINOE. Applications submitted in any other language will not be considered.
- Be as clear and concrete as possible. The information collected from the online application form will be used to evaluate the application.
- Responses are saved and submitted when a respondent clicks the Next button on each page of the survey. Responses don't automatically save as each question is answered—they are saved and submitted page by page as respondents progress through the survey.
- As long as you use the same computer and browser and do not clean the cookies, you can return to the survey to pick up where you left off and/or edit previous responses. However, we recommend you to plan enough time to complete the form at once.
- As long as you use the same computer and browser and do not clean the cookies, you can change your answers on any survey page even after you complete the survey.
- You can't print a record of your answers after you complete the survey.
- Send one online application form per innovation. Applicants applying with several innovations must complete one individual online application form for each innovation. Applicants are asked to specify the name of the innovation in question 1.
- If you are sending more than one application, please use a different browser or computer, or clean the cookies.
- Applicants will also have the option to download and read the list of questions beforehand, but it is compulsory to submit the application via the common portal on the ARSINOE website.

> **NOTE**: It is strongly recommended not to wait until the last minute to submit the online form. Inability to meet the call deadline (including technical issues and/or communication delays on the applicant's side), will automatically lead to rejection of the submission. The time of receipt of the completed online form as recorded by the submission system will be final.

4.2. Support and submission errors

Two online Info Sessions will be offered after the launching of the call. These will allow applicants to express their doubts or questions and receive guidance about the application process. Moreover, ARSINOE offers a dedicated FAQs document available at the following link.

If your questions are not already in the FAQs document, you may address them to info@brigaidconnect.com. Please formulate your questions generically, as all submitted questions will be included in this document (i.e. both question and answer will be made available to all applicants). No personal information will be made public. If you have a specific question regarding a case study info@brigaidconnect.com can refer you to the relevant case study contact.

Should the applicant discover an error in their submitted application form, and provided the call deadline has not yet passed, they can come back to the online application form and resubmit it. Please note that you can only come back to your online form as long as you use the same computer, browser and did not clean the cookies. Only the latest version submitted before the call deadline will be considered for evaluation. Please note that re-submissions or inquiries about the submission system or the call itself, received after the closing of the call will neither be considered nor answered.

5. Evaluation, selection, and contracting

The review and evaluation of the submitted applications is performed by the ARSINOE Evaluation Committee. A schematic overview of the evaluation process is presented in the following sections.

5.1. Evaluation

Who is involved?

For the evaluation process, an Evaluation Committee is formed for each case study with ARSINOE consortium partners. The leaders and co-leaders[8] of the case studies represent the interests of their stakeholders, whereas BRIGAID Connect, G.A.C Group and/or UN SDSN (United Nations Sustainable Development Solutions Network) accompany as independent evaluators to ensure the transparency and neutrality of the process. Applications submitted must thus indicate to which challenges and case study they are being addressed (the online application form contemplates this).

On the receiving end, BRIGAID Connect will distribute applications accordingly to the respective Evaluation Committee for their review and evaluation. Concretely, the group that will evaluate all applications sent to an individual case study will be composed of 1-2 representatives from BRIGAID Connect, G.A.C. and/or UNSDSN and 2-3 representatives of the respective Case Study partners (all of them ARSINOE consortium partners). I.e., each application will be evaluated by at least three evaluators. Each evaluator will evaluate the applications independently using seven pre-defined criteria (as indicated in the following sections) and will then meet with the other evaluators from the committee to discuss the final ranking for their respective case study.

What are the evaluation criteria?

The evaluation procedure in the ARSINOE Open Tenders has been adapted from the one developed and employed during the BRIGAID H2020 project (2017-2020)[9]. In broad terms, the online applications will be evaluated considering **seven criteria**, with the weight to the total score per case study being as indicated in Table 1:

Table 1. Evaluation criteria.

		Weighting for Main River Case Study (Germany) (%)	Weighting for Canary Islands Case Study (Spain) (%)	Weighting for Ohrid & Prespa Lakes Case Study (Albania) (%)
Types of readiness	Technical Readiness	6	15	15
	Social Readiness	13	15	14

[8] The Evaluation Committee of the Main River case study (Germany) will be integrated by the case study lead and representatives from BRIGAID Connect, the G.A.C. Group and/or UN SDSN.

[9] Terpstra, T.,Contreras, S, and Willems, P. Internal report for selection of innovations: Selection of external innovations from stocktaking cycle 1. Internal consortium document of the BRIGAID (Bridging the Gap for Innovations in Disaster Resilience) Project.

	Market Readiness	6	14	13
Qualitative criteria	Testing Feasibility	19	15	15
	Innovator Vision	13	14	14
	Promising Innovation	19	14	15
	Contribution to Social and Governance Transformation	24	13	14

Three types of readiness that are important for the successful development and market introduction of an innovation are defined: technical, social and market readiness.

- The **technical readiness** of an innovation is meant as a measure of its maturity and follows the widely accepted Technology Readiness Level scale. ARSINOE supports innovations that are at a TRL that is deemed fit to the needs of the respective Case Study. If the innovator does not consider the technical readiness as applicable to their innovation, the weight of this criterion will be equally distributed among the rest of the criteria.
- The **social readiness** of an innovation is a measure of the extent to which an innovation could be accepted by end users and the innovator's previous consideration of challenges, barriers and requirements from end users.
- The **market readiness** is a measure of an innovation's potential to develop a solid business case and to attract clients and investors in a real market environment.

Other criteria are feasibility (if the innovation will be tested), the innovator's vision, the extent to which an innovation is seen as 'promising', and the expected contribution to social and governance transformation. The background for these criteria is as follows:

- **Testing feasibility**: Testing feasibility is a measure of the likelihood that the planned testing and demonstration activities may lead to improvement and further development of the innovation to reach the next Technical and Social Readiness levels, while contributing to address the case study's challenge. If the innovator and contracting party do not intend to run a formal test of the design of the innovation under the ARSINOE demonstrator, the weight of this criterion will be equally distributed between the rest of the criteria.

- **Innovator's vision**: ARSINOE supports innovators, but the innovator is responsible for pushing the innovation towards the market. Vision is understood as the extent to which the innovator has a clear strategy to improve the innovation and push it forward in and beyond ARSINOE to reach the market.

- **Promising innovation**: some innovations catch attention immediately because they are completely new, inspiring, and seem 'spot on' because of their high potential to reduce climate-related risks (i.e., high effectiveness). Such innovations may be less easy to develop and/or implement because there are no similar examples that have straightened the development path before them. ARSINOE aims to support those promising innovations and scores them higher to increase their chance of being selected.

- **Contribution to social and governance transformation** is a measure of the degree to which the innovation can be expected to contribute to cover adaptation needs from a perspective of driving or helping to drive social, policy and institutional change.

5.2. How will evaluators score the applications?

Evaluators will score individual online applications considering the criteria described above. Each criterion will yield a score from 1 to 5. Decimal scores may be given. For each criterion under examination, score values correspond to the following assessments:

Result	Score	Details
Very poor	1	The criterion is addressed inadequately, or there are serious inherent weaknesses.
Poor	2	While the application broadly addresses the criterion, there are significant weaknesses.
Fair	3	The application addresses the criterion well, although improvements would be necessary.
Good	4	The application addresses the criterion very well, although certain improvements are still possible.
Excellent	5	The application successfully addresses all relevant aspects of the criterion in question. Any shortcomings are minor.

NOTE: The detailed evaluation and gathered information will remain confidential for use only within the ARSINOE consortium.

5.3. How will the results be handled and communicated?

The process and communication along the three phases of the Open Tenders will be as follows:

Phase I – Applications	The online form will be evaluated based on the criteria described previously. Evaluation results from the online application forms will be compiled into a short Evaluation Summary Report (ESR), which will be sent out to applicants after being approved by the respective Selection Committee. The high-ranking applications will be identified per case study, considering a minimum average score of 21/35 for the overall score. The remaining candidates above the threshold will be included in a backup candidate pool. If no applicants reach the 21/35 overall score, the call may be declared deserted. Depending on the evaluation outcome applicants will receive via email: ● **Shortlisting letter**, including the ESR and the invitation to send a 2-page demonstration proposal and additional instructions.[10] ● **Rejection letter**, including the ESR and notification of inclusion in the backup candidate pool, if applicable.
Phase II – Evaluation & Selection	The high-ranking applications will each be invited to send a 2-page demonstration proposal (See Annex 2 for details). The proposals received will be assessed by the contracting party.[11] Depending on the outcome of the proposal/technical report assessments, applicants will receive via email: ● **An acceptance letter**, including the invitation to the contracting phase and following steps; or ● **A rejection letter**, including the notification of inclusion in the backup candidate pool, if applicable. The list of selected innovators will be published on the ARSINOE website.
Phase III – Contracting	The selected applicants will sign a contract of up to EUR 50K (for the Main River and Canary Islands case studies) or EUR 25K (for the Albanian demarcation of the Ohrid & Prespa Lakes case study). The goal of the contracting phase is to lay out and agree on the legal contractual terms to govern the collaboration between the contracting party and each selected applicant. The contract will be based on the

[10] Applicants targeting the Albanian case study will not be asked for the 2-page demonstration proposal as the technical and feasibility report submitted in Phase I would replace this.

[11] For the Albanian case study, the technical and feasibility reports of the three highest ranked applicants will be reviewed and assessed at phase II.

	application and the proposal/technical report and shall include a detailed description of the activities to be contracted as well as the start and end date of each (including reporting of final results). These terms are to be agreed by the selected applicant and the respective contracting party.

Annex 1: Technical and feasibility report

This annex is only relevant for applicants targeting the Albanian demarcation of the Ohrid & Prespa Lakes case study. The technical and feasibility report needs to be submitted in Phase I together with the online application. In the case that the application successfully proceeds to Phase II, this report replaces the two-page proposal. The organization and methodology template of the ePRAG procedure for services is below.

ORGANISATION & METHODOLOGY

To be completed by the tenderer

Please provide the following information:

RATIONALE

Any comments you have on the terms of reference for the successful execution of activities, in particular regarding the objectives/results (outputs, outcomes, impact), thus demonstrating the degree of understanding of the contract. Your opinion on the key issues related to the achievement of the contract objectives and expected results.
An explanation of the risks and assumptions affecting the execution of the contract.

STRATEGY

An outline of the approach proposed for contract implementation.
A list of the proposed tasks you consider necessary to achieve the contract objectives.
Inputs and outputs.

BACKSTOPPING, SUBCONTRACTING AND CAPACITY PROVIDING ENTITIES

A description of the support facilities (back-stopping) that the contractor will provide to the team of experts during execution of the contract. The back-up function will be assessed in the evaluation and should be carefully explained in the organisation and methodology, including the list of staff, units, capacity of permanent staff regularly intervening as experts on similar projects, provision of expertise in the region/country of origin as well as partner countries, organisational structure, etc. which are supposed to ensure that function, as well as the available quality control systems and the excellent knowledge capitalisation methods and tools, within the respective members of the consortium.

A description of any subcontracting arrangements– including sub-contracting only aiming at making available key and non-key experts - and sub-contracting with capacity providers (if such were identified during the shortlisting stage) with a clear indication of the tasks that will be entrusted to such subcontractors and a statement by the tenderer guaranteeing the eligibility of subcontractors and capacity providers.

INVOLVEMENT OF ALL MEMBERS OF THE CONSORTIUM AND OF CAPACITY PROVIDING ENTITIES

If a tender is submitted by a consortium, a description of the input from each member of the consortium and the distribution and interaction of tasks and responsibilities between them. Furthermore, the involvement of all members of the consortium will be considered added value

in the tender evaluation. If the tender is submitted by a single company, the total of available points for this part in the evaluation grid will be allocated.
If the tenderer relied on the capacity of other entities to fulfil the technical and professional criteria, evidence of the written commitment provided by those entities for performing the services for which their technical and professional capacities are required must be provided.

If the tenderer relied on the capacity of other entities to fulfil the economic and financial criteria, evidence of the written commitment provided by those entities establishing their joint liability for the performance of the contract must be provided.

TIMETABLE OF WORK

The timing, sequence and duration of the proposed tasks, taking into account travel time.
The identification and timing of major milestones in executing the contract, including an indication of how the achievement of these would be reflected in any reports, particularly those stipulated in the terms of reference.
The methodologies contained in the offer should include a work plan indicating the envisaged resources to be mobilised.

[For fee-based contracts]
The expected number of working days required from each category of expert each month during the period of execution of the contract (using the Excel spreadsheet linked to the Budget breakdown).

Guidance notes on expert inputs:
<u>The tenderer is expected to take into account the implementation period of the contract and propose the number of days which will be needed for experts to accomplish the tasks described in the terms of reference.</u>

Implementation of the contract (and therefore payment) is based solely on the working days.

The contractor will only be paid for days actually worked on the basis of the daily fee rate contained in the budget breakdown (Annex V). Tenderers must annex the ‘Estimated number of working days’ worksheet contained in the spreadsheet for Annex V to the organisation and methodology to demonstrate the correspondence between the proposed methodology and the expert inputs. Please note that the budget breakdown should not be attached to the organisation and methodology as no financial offer should be disclosed in the technical offer.

During the technical evaluation, assessment will be made if the number of working days estimated for each month for each type of expert proposed in the organisation and methodology are sufficient for the requirements of the terms of reference to be achieved. This is judged on the basis of the profiles identified in the terms of reference and the organisation and methodology.

The tenderer is expected to include the holiday provision for the experts. The annual leave entitlement of the experts employed by the contractor is determined by their employment contract with the contractor and not by the service contract between the contracting authority and the contractor. However, the contracting authority can decide when experts take their annual leave since this is subject to approval by the project manager, who will assess any such request according to the needs of the project while the contract is in progress. For obvious reasons, a day of annual leave is not considered to be a working day. Please see the general conditions, Articles 21 and 22.

The fee rates for all experts must include the remuneration paid to the experts, all the administrative costs of employing the relevant experts, such as equipment, relocation and repatriation expenses [including flights to and from the country of assignment upon mobilisation and demobilisation as well as leave], accommodation, expatriation allowances, leave, medical insurance and any other employment benefits given to the experts by the contractor. It shall also include any security arrangement except when this is exceptionally included under the incidental expenditure. Furthermore the fees shall also include the margin, overheads, profit and backstopping facilities.

A fee-based/technical assistance contract is, by definition, one in which the actual days worked each month for each category of experts may differ from the number of working days estimated for each month in the work plan in Annex V. The actual input required for the tasks specified in the terms of reference and organisation and methodology will only be known once the contract starts. The project manager will use the work plan when monitoring the actual number of working days submitted in each invoice to check that the contract is progressing within budget. The contractor may update the estimate during implementation of the project in accordance with article 20 of the general conditions.]

[The following section should only be included if deemed relevant for the service contract]

LOG FRAME

The Logical framework (logframe) matrix is a table that captures in a structured way the hierarchy of results of the intervention, mirroring the objectives/results laid out in Section 2 of the Terms of Reference, i.e. annex b8e (fee-based) and annex b8f (global price).

The impact is the intermediate to long-term expected effect of the action fulfilling the overall objective. The outcomes are the mid-term expected effects of the action fulfilling the specific objective(s). The links between each element (impact, outcomes, outputs) are as important as the results themselves, reflecting the theory of change and the roles of providers and other stakeholders.

The Logical framework (logframe) matrix should be used as a reporting tool on the achievement of the results (impact, outcomes, outputs) during implementation. Values on indicators aimed at measuring the results will be regularly updated in the column foreseen for monitoring and reporting purposes (see “Current value”). Columns for intermediary targets could be added, if needed.

Changes to the Logical framework that affect the expected results (impact, outcomes, outputs) shall be agreed with the contracting authority before the modification takes place, and implemented through an amendment to the contract as per article 20 of annex b8d (General Conditions for service contracts).

Results	Results chain	Indicator	Baseline (value & reference year)	Target (value & reference year)	Current value* (reference year) (* to be included in interim and final reports)	Sources of data	Assumptions
Impact (Overall objective)	*Please ensure consistency with the overall objective/impact identified in Annex II: Terms of Reference, section 2 "Objectives and Expected Results"* *As per OECD-DAC definition, the impact is "the overall objective of the Action entailing positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended."* *The impact is the intermediary to long-term expected effect of the action fulfilling the overall objective(s) to which the action contributes at country, regional or sector level, in the political, social, economic and/or environmental global context which will stem from interventions of all relevant actors and stakeholders.* *Please delete this row once the Logframe is completed.*	*Quantitative and/or qualitative variable that provides a simple and reliable mean to measure the achievement of the corresponding result* *To be presented, when relevant, disaggregated by sex, age, urban/rural, disability, etc.*	*The value of the indicator(s) prior to the intervention against which progress can be assessed or comparisons made.* *(Ideally, to be drawn from the partner's strategy)*	*The intended final value of the indicator(s).* *(Ideally, to be drawn from the partner's strategy)*	*The latest available value of the indicator(s) at the time of reporting* *(* to be updated in interim and final reports)*	*Ideally to be drawn from the partner's strategy.*	*Not applicable*
		Impact indicator 1:	Baseline for impact indicator 1	Target for impact indicator 1	Current value for impact indicator 1	Sources of data for impact indicator 1	*Not applicable*

Results	***Results chain***	***Indicator***	***Baseline (value & reference year)***	***Target (value & reference year)***	***Current value* (reference year) (* to be included in interim and final reports)***	***Sources of data***	***Assumptions***
		Impact indicator 2:	Baseline for impact indicator 2	Target for impact indicator 2	Current value for impact indicator 2	Sources of data for impact indicator 2	
		Impact indicator #:	Baseline for impact indicator #	Target for impact indicator #	Current value for impact indicator #	Sources of data for impact indicator #	
Outcome (s) (Specific objective(s))	*Please ensure consistency with the specific objective(s)/outcome(s_ identified in Annex II: Terms of Reference, section 2 "Objectives and Expected Results"* *As per OECD-DAC definition, the outcomes are "The likely or achieved short-term and medium-term change and effects of intervention outputs."* *The main medium-term effect of the intervention focusing on behavioural and institutional changes beneficial to the target group and resulting from the related outputs of the Action.* *It is good practice to limit the number of specific objectives (often one is enough), however for large Actions, other outcomes can be included.* *Please delete this row once the Logframe is completed.*	*Quantitative and/or qualitative variable that provides a simple and reliable mean to measure the achievement of the corresponding result* *To be presented, when relevant, disaggregated by sex, age, urban/rural, disability, etc.*	*The value of the indicator(s) prior to the intervention against which progress can be assessed or comparisons made.*	*The intended final value of the indicator(s).*	*The latest available value of the indicator(s) at the time of reporting* *(* to be updated in interim and final reports)*	*Sources of information and methods used to collect and report (including who and when/how frequently).*	*External, necessary and positive conditions for implementing the intervention that are outside of its management's control.*

Results	*Results chain*	*Indicator*	*Baseline (value & reference year)*	*Target (value & reference year)*	*Current value* (reference year) (* to be included in interim and final reports)*	*Sources of data*	*Assumptions*
	Outcome 1	1.1 – Indicator 1 to Outcome 1	1.1 – Baseline for indicator 1.1 (same unit of measure)	1.1 – Target for indicator 1.1	1.1 – Current value for indicator 1.1	1.1 – Source of data for indicator 1.1	
		1.2 – Indicator 2 to Outcome 1	1.2 Baseline for indicator 1.2 (same unit of measure)	1.2 – Target for indicator 1.2	1.2 – Current value for indicator 1.2	1.2 – Source of data for indicator 1.2	
		(…)	(…)	(…)	(…)	(…)	
	Outcome 2	2.1 – Indicator to outcome 2	2.1 – Baseline for indicator 2.1 (same unit of measure)	2.1 – Target for indicator 2.1	2.1 – Current value for indicator 2.1	2.1 – Source of data for indicator 2.1	
		2.2 - Indicator to outcome 2	2.2 – Baseline for indicator 2.2 (same unit of measure)	2.2 – Target for indicator 2.2	2.2 – Current value for indicator 2.2	2.2 – Source of data for indicator 2.2	
	Outcome #	(…)	(…)	(…)	(…)	(…)	
Outputs	*Please ensure consistency with the outputs identified in Annex II: Terms of Reference, section 2 "Objectives and Expected Results"* *As per OECD-DAC definition outputs are "the products, capital goods and services*	*(same as above)*	*(same as above)*	*(same as above)*	*(same as above)*	*(same as above)*	*External, necessary and positive conditions for implementing the intervention that are outside of its*

Results	***Results chain***	***Indicator***	***Baseline (value & reference year)***	***Target (value & reference year)***	***Current value* (reference year) (* to be included in interim and final reports)***	***Sources of data***	***Assumptions***
	which results from development interventions." *Outputs are the direct/tangible products (infrastructure, goods and services) delivered/generated by the action. They may also include changes resulting from the action which are relevant to the achievement of outcomes. These changes relate to improved capacities, abilities, skills, systems, policies of a group of people or an organisation, and are generated by the EU action.* *Outputs should be linked to corresponding outcomes through clear numbering. However in some cases please note that a given output can contribute to the achievement of more than one outcome(s).* *Please delete this row once the Logframe is completed.*						*management's control.*
	1.1 Output 1 related to Outcome 1	1.1.1 Indicator 1 to Output 1	1.1.1 Baseline for indicator 1.1.1 (same unit of measure)	1.1.1 Target for Indicator 1.1.1	1.1.1 Current value for indicator 1.1.1	1.1.1 Source of data for indicator 1.1.1	
		1.1.2 Indicator 2 to Output 1	1.1.2 Baseline for indicator 1.1.2 (same unit of measure)	1.1.2 Target for Indicator 1.1.2	1.1.2 Current value for indicator 1.1.2	1.1.2 Source of data for indicator 1.1.2	

Results	***Results chain***	***Indicator***	***Baseline (value & reference year)***	***Target (value & reference year)***	***Current value* (reference year) (* to be included in interim and final reports)***	***Sources of data***	***Assumptions***
		(…)	(…)	(…)	(…)	(…)	
	1.2 Output 2 related to Outcome 1	1.2.1. Indicator 1 to Output 2	1.2.1. Baseline for indicator 1.2.1 (same unit of measure)	1.2.1. Target for Indicator 1.2.1	1.2.1. Current value for indicator 1.2.1	1.2.1. Source of data for indicator 1.2.1	
		1.2.2 Indicator 2 to Output 2	1.2.2 Baseline for indicator 1.2.2 (same unit of measure)	1.2.2 Target for Indicator 1.2.2	1.2.2 Current value for indicator 1.2.2	1.2.2 Source of data for indicator 1.2.2	
		(…)	(…)	(…)	(…)	(…)	
	2.1 Output 1 related to Outcome 2	2.1.1 Indicator 1 to Output 1	2.1.1 Baseline for indicator 2.1.1 (same unit of measure)	2.1.1 Target for Indicator 2.1.1	2.1.1 Current value for indicator 2.1.1	2.1.1 Source of data for indicator 2.1.1	
		2.1.2 Indicator 2 to Output 1	2.1.2 Baseline for indicator 2.1.2 (same unit of measure)	2.1.2 Target for Indicator 2.1.2	2.1.2 Current value for indicator 2.1.2	2.1.2 Source of data for indicator 2.1.2	
		(…)	(…)	(…)	(…)	(…)	
	2.2 Output 2 related to Outcome 2	2.2.1 Indicator 1 to Output 2 related to Outcome 2	2.2.1 Baseline for indicator 2.2.1 (same unit of measure)	2.2.1 Target for Indicator 2.2.1	2.2.1 Current value for indicator 2.2.1	2.2.1 Source of data for indicator 2.2.1	

Results	***Results chain***	***Indicator***	***Baseline (value & reference year)***	***Target (value & reference year)***	***Current value* (reference year) (* to be included in interim and final reports)***	***Sources of data***	***Assumptions***
		2.2.2 Indicator 2 to Output 2 related to Outcome 2	2.2.2 Baseline for indicator 2.1.2 (same unit of measure)	2.2.2 Target for Indicator 2.2.2	2.2.2 Current value for indicator 2.2.2	2.2.2 Source of data for indicator 2.2.2	
		(…)	(…)	(…)	(…)	(…)	
	(…)						

Activities Matrix

What are the key activities to be carried out to produce the intended outputs? *(*activities should be linked to corresponding output(s) through clear numbering)*	***Means*** *What are the political, technical, financial, human and material resources required to implement these activities, e.g. staff, equipment, supplies, operational facilities, etc.* ***Costs*** *What are the action costs? How are they classified? (Breakdown in the Budget for the Action)*	***Assumptions*** *External, necessary and positive conditions for implementing the intervention that are outside of its management's control.*

Annex 2: Indicative outline of the two-page demonstration proposal

As explained in section 5.3, the shortlisted (high-ranked) applicants per case study will be invited to submit a two-page demonstration proposal. At this stage applicants can provide additional details that were not included in the online application. They should strive to provide as much valuable information as possible considering the two-page limit.

Below are some of the tentative information points that the demonstration proposal should include:

- Innovation and applicant's name
- The problem - Define the problem (i.e. the specific need of the case study) being solved by your innovation.
- Your pilot solution – a general description of the demonstrator including all its elements and its expected achievements and foreseen limitations.
- The detailed activities to perform, including a timeline and milestones, and required funds per activity.
- The team and their related expertise.

ANNEX 6: QUESTIONNAIRE ON THE WEIGHTING OF THE EVALUATION CRITERIA

ARSINOE’s Open Tenders for Innovation: Weighting indicators for the evaluation process

Applications to the Open Tenders for Innovations will be evaluated considering seven criteria, so the weight of each criterion to the total score needs to be established for each case study. The aim of this online survey is to help establishing independently the weighting for each case study.

ARSINOE’s Open Tenders for Innovation: Weighting indicators for the evaluation process

1. I'm a stakeholder from the following ARSINOE's case study:

- ○ Main River, Germany
- ○ Canary Islands, Spain
- ○ Ohrid and Prespa Lakes, Albania

ARSINOE’s Open Tenders for Innovation: Weighting indicators for the evaluation process

Technical readiness

This criterion is a measure of the innovation’s maturity and follows the widely accepted Technology Readiness (TRL) level. More details for each level are available here.

2. **How important do you think an innovation’s "technical readiness” would be for it to adequately tackle your region’s climate challenges?**

0 - Not at all important	1	2	3	4	5 - Neither important not unimportant	6	7	8	9	10 - Extremely important
○	○	○	○	○	○	○	○	○	○	○

ARSINOE’s Open Tenders for Innovation: Weighting indicators for the evaluation process

Social readiness

This criterion is a measure of the extent to which an innovation could be accepted by end users and the innovator’s previous consideration of challenges, barriers and requirements from end users. More details of this criteria and levels is available here.

3. **How important do you think an innovation’s “social readiness" would be for it to adequately tackle your region’s climate challenges?**

0 - Not at all important	1	2	3	4	5 - Neither important not unimportant	6	7	8	9	10 - Extremely important
○	○	○	○	○	○	○	○	○	○	○

Market readiness

This criterion is a measure of the potential of an innovation to develop a solid business case and to attract clients and investors.

4. **How important do you think an innovation’s “market readiness” would be for it to adequately tackle your region’s climate challenges?**

0 - Not at all important	1	2	3	4	5 - Neither important not unimportant	6	7	8	9	10 - Extremely important
○	○	○	○	○	○	○	○	○	○	○

ARSINOE’s Open Tenders for Innovation: Weighting indicators for the evaluation process

Testing feasibility

This criterion is a measure of the likelihood that the testing of the innovation to be carried out in ARSINOE may lead to its own improvement and further development while contributing to address the case study’s challenge. If the innovator does not test the design of the innovation in the ARSINOE demonstrator, the weight of this criterion will be equally distributed among the rest of the criteria.

5. **How important do you think an innovation’s “testing feasibility” would be for it to adequately tackle your region’s climate challenges?**
***Note: This question has a different scale because ARSINOE's mission, and specifically in WP5, is to support innovators so we want to make sure that this indicator has a minimum acceptable value.**

5 - Neither important not unimportant	6	7	8	9	10 - Extremely important
○	○	○	○	○	○

ARSINOE’s Open Tenders for Innovation: Weighting indicators for the evaluation process

Innovator vision

ARSINOE supports innovators, but the innovator is responsible for pushing the innovation towards the market. Vision is understood as the extent to which the innovator has a clear strategy to improve the innovation and push it forward in and beyond ARSINOE to reach the market.

6. **How important do you think the innovator’s vision would be for the innovation to adequately tackle your region’s climate challenges?**

0 - Not at all important	1	2	3	4	5 - Neither important not unimportant	6	7	8	9	10 - Extremely important
○	○	○	○	○	○	○	○	○	○	○

ARSINOE’s Open Tenders for Innovation: Weighting indicators for the evaluation process

Promising innovations

Some innovations catch attention immediately because they are completely new, inspiring, unorthodox and seem ‘spot on’ because of their high potential to reduce climate-related risks (i.e., high effectiveness). Such innovations may be less easy to develop because there are no similar examples that have straightened the development path before them. ARSINOE aims to support those promising innovations and scores them higher to increase their chance of being selected.

7. **How important do you think an innovation’s “promise level” would be for it to adequately tackle your region’s climate challenges?**
***Note: This question has a different scale because ARSINOE's mission, and specifically in WP5, is to support innovators so we want to make sure that this indicator has a minimum acceptable value.**

5 - Neither important not unimportant	6	7	8	9	10 - Extremely important
○	○	○	○	○	○

Contribution to social and governance transformation

This criterion refers to the degree to which an innovation is expected to contribute to cover adaptation needs by driving social, policy and institutional change.

8. **How important do you think an innovation’s potential to contribute to social and governance transformation would be for it to adequately tackle your region’s climate challenges?**

0 - Not at all important	1	2	3	4	5 - Neither important not unimportant	6	7	8	9	10 - Extremely important
◯	◯	◯	◯	◯	◯	◯	◯	◯	◯	◯

ANNEX 7: GUIDE FOR EVALUATORS

Open Tenders for Innovations

Guide for evaluators

v0 – 20.07.2023

Prepared by BRIGAID Connect

Contents

ARSINOE is an EU-funded project aimed at creating climate-resilient regions through systemic solutions and innovations. ARSINOE will shape the pathways to resilience by bringing together the Systems Innovation Approach (SIA) and the Climate Innovation Window (CIW) to build an ecosystem for climate change adaptation solutions. This approach is showcased in nine demonstrators, as a proof-of-concept with regards to its applicability, replicability, potential and efficacy. The project is funded through the European Union's Horizon H2020 innovation action programme under Grant Agreement No. 101037424.

1. Introduction

1.1. The ARSINOE Open Tenders for Innovation

What do we aim for?

In 2023, ARSINOE is launching a series of Open Tenders to engage with climate adaptation and resilience innovators from across Europe. The series of Open Tenders aims to contribute to regional adaptation by:

- **Identifying promising or mature innovations to be included in ARSINOE's Portfolio of Innovations** (i.e. the project's overall set of technological, governance, policy, economic, and societal solutions to our regions' climate-driven challenges)
- **Helping case study managers to integrate relevant innovations into their regional Innovation Packages** (these are region-specific portfolios of R&I solutions, mature enough for demonstration, which may include nature-based solutions, innovative technologies, financing, insurance and governance models, awareness and behavioural change)
- **Facilitating the collaboration of ARSINOE's case study partners (public administrations, academic institutions, and businesses) with innovators** via the awarding of contracts for co-development and demonstration

What do we mean by 'innovation'?

In ARSINOE's Open Tenders, innovation refers to the implementation of a new or significantly improved product (good or service), process, practice or organisational method[1]. In the context of ARSINOE's case studies, innovation can be desirable to introduce new, renewed, or novel means of achieving the regional stakeholders' goals, which are self-defined and aligned with the Sustainable Development Goals (SDGs). Innovations sourced through the Open Tenders should thus strengthen our case studies' adaptation pathways and make our partners more able to respond effectively to their climate-driven challenges.

How are our Open Tenders for Innovations structured?

An Open Tender in ARSINOE is a process of three sequential phases which are referred to as the *Application Phase*, the *Evaluation & Selection Phase*, and the *Contracting Phase*. See Figure 1 for an overview and Section 2 for the full details. **The focus of this guide for evaluators is the Evaluation & Selection Phase, as detailed in Section 2**.

[1] Based on OECD, 2005. "The Measurement of Scientific and Technological Activities: Guidelines for Collecting and Interpreting Innovation Data: Oslo Manual, Third Edition" prepared by the Working Party of National Experts on Scientific and Technology Indicators, OECD, Paris, para. 146.

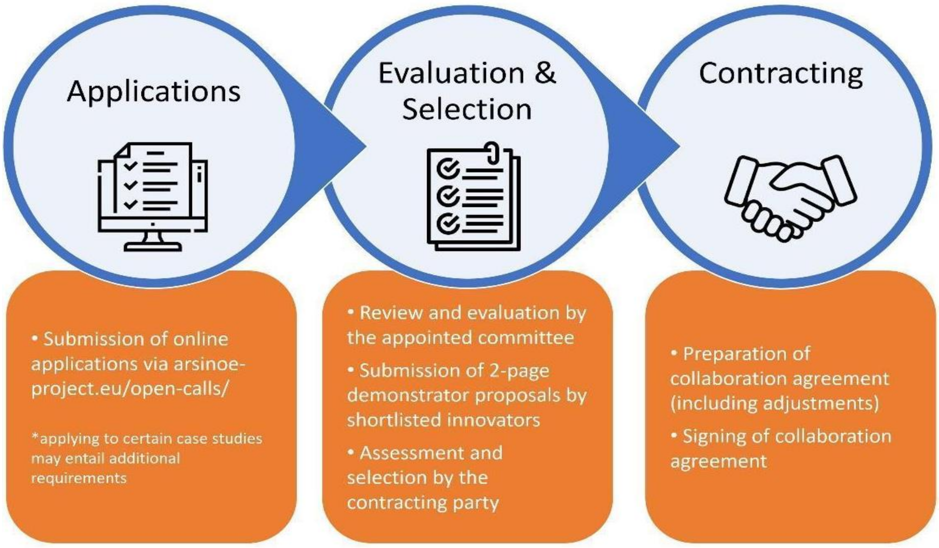


Figure 1 – The three stages of an Open Tender for Innovations in ARSINOE. Images: Freepik, Nhor Phai, and Uniconlabs all sourced from Flaticon.com.

1.2. General requirements

As a first step, the following general requirements are reviewed the BRIGAID Connect and the legal department of the contracting party to determine if the received applications can move on to phase 2:

- The applicant is an established legal entity based in one of the eligible countries[2] at the time of submission of the online application. **This is identified in Question 2 of the online form.**
- Applicants may be small- or medium-sized enterprises, start-up companies, spin-off companies, universities or research and technology development institutes, multinationals or subsidiaries/daughter companies, NGOs, and foundations. **This is identified in Question 2 of the online form.**
- Contracting of the innovation is possible without conflicting with the legal requirements that the contracting party is subject to (e.g. those associated with public procurement legislation). **This is assessed based on the description of the innovation provided in Questions 3-5 of the online form.**
- The online application has been submitted before the deadline via the ARSINOE webpage. **The date and time of submission is registered and shown in the system.**
- The online application form has responses to all questions. Only complete applications will be considered. **This is shown in the system.**
- Selected innovations are available, and innovators able to conduct any testing and implementation activities, including respective results reporting, within the period between October 2023 and March 2025. The exact dates and timeline are to be agreed with the

[2] Austria, Belgium, Bulgaria, Croatia, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, the Netherlands, Poland, Portugal, Romania, Slovakia, Slovenia, Spain, Sweden, Iceland, Norway, Albania, Armenia, Bosnia and Herzegovina, Faroe Islands, Georgia, Israel, Kosovo, Moldova, Montenegro, North Macedonia, Serbia, Tunisia, Turkey, Ukraine, UK.

contracting party during the contracting phase. **This is identified in Question 42 of the online form.**

- The innovation is relevant to the case study, i.e. it is deemed capable of contributing to addressing the challenge of the case study and to achieving its goals as they are stated in the supplementary materials published with the call. **BRIGAID Connect will carry out a pre-screening based on the responses in section B of the online application form (from questions numbers 3 to 12). The results will be shared with the contracting party of the case study for review and approval/reconsideration.**

NOTE: Applicants that do not meet these general requirements will be informed via email with the reasons for the rejection. No further feedback on the process will be given. A call may be declared deserted if no applications meet the general requirements.

2. Evaluation and selection

The review and evaluation of the submitted applications is performed by the ARSINOE Evaluation Committee. A schematic overview of the evaluation process is presented in the following sections.

2.1. Who is involved?

For the evaluation process, an Evaluation Committee is formed for each case study with ARSINOE consortium partners. The leaders and co-leaders[3] of the case studies represent the interests of their stakeholders, whereas BRIGAID Connect, G.A.C Group and/or UN SDSN (United Nations Sustainable Development Solutions Network) accompany as independent evaluators to ensure the transparency and neutrality of the process.

Once Phase 1 (Applications) is closed, BRIGAID Connect will first check the general requirements (see section 1.2 above) and then distribute the applications accordingly to the respective Evaluation Committee for their review and evaluation. Applications that do not meet the general requirements will be kept until the end of phase 3 in a shared folder where the Evaluation Committee will be able to access them, if desired. Concretely, the group that will evaluate all applications sent to an individual case study will be composed of 1-2 representatives from BRIGAID Connect, G.A.C. and/or UNSDSN and 2-3 representatives of the respective Case Study partners (all of them ARSINOE consortium partners). I.e., each application will be evaluated by at least three evaluators. Each evaluator will evaluate the applications independently using seven pre-defined criteria (as indicated in the following sections) and will then meet with the other evaluators from the committee to discuss the final ranking for their respective case study.

[3] The Evaluation Committee of the Main River case study (Germany) will be integrated by the case study lead and representatives from BRIGAID Connect, the G.A.C. Group and/or UN SDSN.

2.2. What are the evaluation criteria?

The evaluation procedure in the ARSINOE Open Tenders has been adapted from the one developed and employed during the BRIGAID H2020 project (2017-2020)[4]. In broad terms, the online applications will be evaluated considering seven criteria, which distinguish between three types of readiness and four qualitative criteria. The online application form has a total of 45 questions (see Annex 1) and the criteria evaluated per question are detailed in Table 1:

Table 1. Criteria to evaluate online applications. The criteria are ordered by the question number indicating which criterion is assessed in each.

Questions in online questionnaire	Criteria	Type of criteria
13-16	Promising Innovation	Qualitative
17	Innovator Vision	Qualitative
18-19	Technical Readiness	Quantitative
20-26	Contribution to Social and Governance Transformation	Qualitative
27-28	Testing Feasibility	Qualitative
29-31	Social Readiness	Quantitative
32-38	Market Readiness	Quantitative

NOTE: The detailed evaluation and gathered information will remain confidential for use only within the ARSINOE consortium.

[4] Terpstra, T.,Contreras, S, and Willems, P. Internal report for selection of innovations: Selection of external innovations from stocktaking cycle 1. Internal consortium document of the BRIGAID (Bridging the Gap for Innovations in Disaster Resilience) Project.

According to Table 1, a total of 26 questions (i.e., from 13 to 38) will be used to obtain the total score per application. Evaluators will score individual online applications considering the criteria in Table 1. Each criterion will yield a score from 1 to 5. Decimal scores may be given.

ARSIONE uses three types of readiness that are important for the successful development and market introduction of an innovation: technical, social and market readiness. These readiness types are therefore applied in the selection of innovations.

Technical readiness

Technology Readiness Levels (TRLs) are a metric used to assess the maturity of an innovation. ARSINOE supports innovations that are at a TRL that is deemed fit to the needs of the respective Case Study. **If the innovator does not consider the technical readiness as applicable to their innovation, the weight of this criterion will be equally distributed among the rest of the criteria.**

For the selection of innovations, we assign a score on 1-5 scale based on the TRL and the requirements of the case studies.

The TRL specifies which activities are undertaken at the stated level.	**TRL**	**Score**[5]
TRL 1. Basic principles observed. **TRL 2.** Technology concept formulated. **TRL 3.** Experimental proof of concept.	1-3	1-5
TRL 4. Technology validated in lab. Laboratory testing of prototype component or process. Design, development and lab testing of innovation components are performed. Here, basic innovation components are integrated to establish that they will work together. This is a relatively "low fidelity" prototype in comparison with the eventual system.	4	1-5
TRL 5. Technology validated in relevant environment. Laboratory testing of integrated system. The basic innovation components are integrated together with realistic supporting elements to be tested in a simulated environment. This is a "high fidelity" prototype compared to the eventual system.	5	1-5
TRL 6. Technology demonstrated in relevant environment. Representative model or prototype system, which is well beyond that of TRL 5, is tested in a relevant environment. Represents a major step up in a technology's demonstrated readiness. Examples include testing a prototype in a high-fidelity laboratory environment or in a simulated operational environment.	6	1-5
TRL 7. System prototype demonstration in operational environment. Integrated pilot system demonstrated. Prototype is near, or at, planned operational system level. The final	7	1-5

[5] The full score range (1-5) is given in this table, but a specific rating must be defined by the Evaluation Committee of each case study previous to the start of phase 2.

design is virtually complete. The goal of this stage is to remove engineering and manufacturing risk.		
TRL 8. System complete and qualified. System incorporated in commercial design. Innovation has been proven to work in its final form under the expected conditions. In most of the cases, this level represents the end of true system development.	8	1-5
TRL 9. Actual system proven in operational environment (competitive manufacturing). System ready for full scale deployment. Here, the innovation in its final form is ready for commercial deployment.	9	1-5
Not applicable		NA

***Questions 18 and 19 in the online application form are used to assess this criterion.**

Social readiness

The **social readiness** of an innovation is a measure of the extent to which an innovation could be accepted by end users and the innovator's previous consideration of challenges, barriers and requirements from end users.

Social acceptance may be hampered due to a mismatch between the innovation and the requirements of direct users (e.g., maintenance, training/user support, embeddedness in policy, etc.), due to existing positive attitudes towards current practice and lack of confidence in the new technology (e.g., because the innovation is new and has not been proven yet) or due to concerns in the sector and/or in society especially when the innovation has (perceived) negative side effects on health, ecology, or spatial quality.

We assign a score on 1-5 scale as follows:

Social Readiness	**Score**
Potential social readiness requirements not identified	1
Potential social readiness requirements identified (e.g., desk study)	2
Potential social readiness requirements validated among direct users (e.g., interviews, survey)	3
Potential solutions to social readiness requirements (if any) identified and designed.	4
Potential solutions to social readiness requirements (if any) tested and validated with direct end-users / beneficiaries.	5

***Questions 29-31 in the online application form are used to assess this criterion. Question 29 helps to identify a score from 1 to 5. Question 30 helps to determine if the score is at least 2. Question number 31 helps to determine if the score is 4 or 5. Based on the responses from the three questions, the reviewer decides what the score is.**

Market Readiness

The market readiness is a measure of an innovation's potential to develop a solid business case and to attract clients and investors in a real market environment. Market Readiness can be appraised considering the following underlying dimensions:

- Technical: the extent to which the innovation is technically ready. This has been considered separately under Technical Readiness.
- Social: the extent to which the innovation is socially ready. This has been considered separately under Social Readiness.
- Strategy: the extent to which a market strategy has been defined. This includes several items such as identification of target customers, market, and competitors, as well as the consideration of development and commercialisation costs.

Since Technical and Social Readiness are dealt with separately, we use Market Strategy indicators to evaluate Market Readiness.

Market Strategy: extent to which innovator has developed a market strategy which includes a description of target markets, market size, potential customers, competitors, and a strategy to achieve short and long term goals.	**Score**
A market strategy has not been thought about yet.	1
A market strategy has been thought about but not been put on paper yet.	2
A rough market strategy has been put on paper.	3
A detailed market strategy has been put on paper using established methods (e.g., canvas).	4
A detailed market strategy has been put on paper and is currently being executed.	5

***Question number 38 is used to determine the score. Questions 32-37 are used to better understand their market strategy.**

Other criteria are feasibility (if the innovation will be tested), the innovator's vision, the extent to which an innovation is seen as 'promising', and the expected contribution to social and governance transformation. The background for these criteria is as follows:

Testing feasibility

Testing feasibility is a measure of the likelihood that the planned testing and demonstration activities may lead to improvement and further development of the innovation to reach the next Technical and Social Readiness levels, while contributing to address the case study's challenge. **If the innovator and**

contracting party do not intend to run a formal test of the design of the innovation under the ARSINOE demonstrator, the weight of this criterion will be equally distributed between the rest of the criteria.

This criterion is assessed on a 1-5 scale, as indicated below:

Testing feasibility	**Score**
No detailed test plan for further improvements is made, and it does not seem reasonable to expect that test resources are in reach of the innovator and ARSINOE	1
No detailed test plan for further improvements is made, but it seems reasonable to expect that test resources are in reach of the innovator and ARSINOE	2
A rough test plan is made and documented including rough estimations of a few of required resources; it seems reasonable to expect that required resources are in reach of the innovator and ARSINOE	3
A rough test plan is made and documented including rough estimations of all required resources; required resources are in reach of the innovator and ARSINOE	4
A full test plan is available, with detailed requirements and arrangements; ARSINOE only has to review the test plan, align details and provide (co)funding.	5

***Questions 27 and 28 in the online application form are used to assess this criterion.**

Innovator's vision

ARSINOE supports innovators, but the innovator is responsible for pushing the innovation towards the market. Vision is understood as the extent to which the innovator has a clear strategy to improve the innovation and push it forward in and beyond ARSINOE to reach the market.

This criterion is assessed on a 1-5 scale, as indicated below:

Innovator vision	**Score**
Innovator hardly expressed a vision to develop the innovation into a market ready product; there is no mention of next steps to push forward the innovation beyond ARSINOE	1
Innovator hardly expressed a vision to develop the innovation into a market ready product; next steps are taken ad hoc and opportunistically.	2
Innovator has a rough vision to develop the innovation into a market ready product; next steps for improvement are roughly known but not planned and acted upon.	3
Innovator has a rough vision to develop the innovation into a market ready product; next steps for improvement are roughly known, and to some extent planned and acted upon.	4

Innovator has a clear vision to develop the innovation into a market ready product; next steps for improvement are known in detail and carefully planned and acted upon.	5

***Question 17 in the online application form are used to assess this criterion.**

Promising innovation

Some innovations catch attention immediately because they are completely new, inspiring, and seem 'spot on' because of their high potential to reduce climate-related risks (i.e., high effectiveness). Such innovations may be less easy to develop and/or implement because there are no similar examples that have straightened the development path before them. ARSINOE aims to support those promising innovations and scores them higher to increase their chance of being selected.

This criterion is assessed on a 1-5 scale, as indicated below:

Promising innovation	**Score**
Innovation is a variation on other, previously established, innovations and not particularly new or more effective than others.	1
Innovation has some new aspects, but does not seem to have greater potential than its competitors to address the case study climate-related challenges.	2
Innovation has some new and inspiring aspects, and seems to have to some extent greater potential than its competitors to address the case study climate-related challenges.	3
Innovation has some new and inspiring aspects, and seems to have significantly greater potential than its competitors to address the case study climate-related challenges.	4
Innovation is totally new, unorthodox and inspiring and seems to have great potential to address the case study climate-related challenges.	5

***Questions 13-16 in the online application form are used to assess this criterion.**

Contribution to social and governance transformation

This is a measure of the degree to which the innovation can be expected to contribute to cover adaptation needs from a perspective of driving or helping to drive social, policy and institutional change.

This criterion is assessed on a 1-5 scale, as indicated below:

Contribution to social and governance transformation	**Score**

The innovation does not drive or help to social, policy and/or institutional change.	1
The innovation to some extent drive or help to social, policy and/or institutional change, and there are significant weaknesses.	2
The innovation drive or help well to social, policy and/or institutional change, although improvements would be necessary.	3
The innovation drive or help very well to social, policy and/or institutional change, although certain improvements are still possible.	4
The innovation drive or help successfully to social, policy and/or institutional change. Any shortcomings are minor.	5

***Questions 20-26 in the online application form are used to assess this criterion.**

2.3. Calculation of overall score for selection of innovations

Based on the scores on individual criteria, the overall score is computed for each case study, as follows:

Overall score = W*Technical Readiness Score + W*Social Readiness Score + W*Market Readiness Score + W*Testing Feasibility Score + W*Innovator Vision Score + W*Promising Innovation Score

The W (weighting) of each criterion per case study is shown in Table 2.

Table 2. Weighting per case study assigned to each evaluation criterion.

		Weighting for Main River Case Study (Germany) (%)	Weighting for Canary Islands Case Study (Spain) (%)	Weighting for Ohrid & Prespa Lakes Case Study (Albania) (%)
Types of readiness	Technical Readiness	6	15	15
	Social Readiness	13	15	14
	Market Readiness	6	14	13

Qualitative criteria	Testing Feasibility	19	15	15
	Innovator Vision	13	14	14
	Promising Innovation	19	14	15
	Contribution to Social and Governance Transformati on	24	13	14

a. 2.4. Selection of innovations

Next step is to select the innovations that are considered for inclusion in ARSINOE. This is done in a 3-step procedure:

1. **Shortlisting**: innovations that received a minimum average score of 21/35 for the overall score will be considered. Per case study, the three highest ranked applications will be shortlisted by the Selection Committee. The remaining candidates above the threshold will be included in a backup candidate pool.
2. **Demonstration proposal**: shortlisted innovations are requested to write a 2-page demonstration proposal describing the tests/activities they want to perform and to specify the required funds. The proposals received will be assessed by the contracting party.
3. **Selection**: based on the overall score and the demonstration proposal the contracting party for each case study decides which of the shortlisted innovations will be included in ARSINOE.

ANNEX 8: TWO-PAGE DEMONSTRATOR PROPOSAL TEMPLATE

Open Tenders for Innovations

[Demonstrator Title]

[Date of submission DD.MM.YYYY]

[Name of applicant, Organisation]

This document is an annotated outline for the 2-page demonstrator proposals that shortlisted innovators will prepare in Phase II of the ARSINOE Open Tenders for Innovation.

Demonstrator title and applicant details

Demonstrator title	[Give a title to your demonstrator which includes the name of the case study it would be implemented in]

Name and title of applicant	…
Organisation	…
Type of legal entity	[From the following legal entity types, select the one that best describes your organisation: small- or medium-sized enterprise; start-up company; spin-off company; university or research and technology development institute; multinational or subsidiary/daughter company; NGO; foundation; other (please specify)]
Registered address	[Include the full address of your organisation here]
E-mail address	…
Telephone	…

Important Notice

Following the evaluation of the online applications, shortlisted (high-ranked) applicants will be invited by the interested case study to submit a two-page demonstrator proposal. Here, applicants are asked to provide **a detailed justification and implementation plan to demonstrate their innovation within the respective ARSINOE case study**.

Applicants should strive to provide as much detail and valuable information as possible within the strict two-page limit. These should be additional to the information already provided in the online application. **The page limit excludes the title page, this page, section *3.Timeline and Budget,* the references page, and any CVs submitted together with the proposal. This is, the main body of the proposal (sections *1.Overview of the proposed demonstrator* and *2.Team and resources*) should be maximum two pages long using Calibri font, size 10, and without modifying the margins.** Additional text and materials will not be considered in the review. However, these may be requested by the contracting party in a follow-up communication if clarification is necessary.

1. Overview of the proposed demonstrator

1.1. The challenge, your aims and your objectives

[Suggested extension: ~150 words

Based on the challenge statements and supplementary material of the case study (found here), describe as concretely as possible: the problem(s) that you are aiming to tackle with your innovation; ii) why it is relevant to do so; iii) the specific objectives you want to achieve with the demonstrator; and iv) how your intend to achieve them].

1.2. Novelty

[Suggested extension: ~100 words

Describe concisely and succinctly what makes your approach innovative and/or why you think it is a good fit (i.e. adequate for the context of the region and effective to tackle its challenge) for the specific ARSINOE case study you want to implement it in]. If possible, relate specific features/elements of your innovation to the case study's challenge and/or its driving factors.

1.3. Demonstrator plan

[Suggested extension: ~400 words

Describe how you will conduct the demonstrator, including details about the main and supporting activities, potential risks, and how you plan to manage the project. It is advisable to define different stages for the plan, associate them to specific objectives and goals, and briefly explain or name any methodologies to be employed (e.g. for testing, for stakeholder involvement, …)].

1.4. Expected impacts and possible limitations

[Suggested extension: ~150 words

Explain briefly but concisely what social, environmental and/or economic changes you expect to initiate or demonstrate as possible through the project. List any potential research or scientific developments that could stem from the demonstrator. Simultaneously, outline all deviations and limitations that you know could emerge during the implementation].

2. Team and resources

[Suggested extension: ~100 words

List the team members who will be involved in the demonstrator, define their role and briefly describe the specific contribution from each to the objectives and activities of the project based on their competencies (keywords and short statements are sufficient here; CVs can be submitted together with the proposal and will not count towards the page-limit). Mention any relevant assets you possess or have privileged access to, like data, tools, specialized knowledge, network contacts, and/or infrastructure necessary to implement the innovation in the case study region].

3. Timeline and Budget

[Suggested extension: ~Half a page

Create a preliminary Gantt chart or similar to outline the detail of activities to be performed, their timing and interrelations, and specify milestones. Include a detailed and fir-for-purpose budget for each of the items or group of activities included in the chart, distinguishing the different types of costs to consider.

References

[Include here the full citations of any literary references or materials discussed in the proposal]

ANNEX 9: EXEMPLARY CONTRACT

AGREEMENT

Between [FULL NAME OF THE ARSINOE PARTNER ACTING AS CONTRACTING PARTY], for the purposes of this Agreement represented by [LEGAL ENTITY REPRESENTING THE ARSINOE PARTNER, WHEN THESE ARE NOT THE SAME], having its office in [ADDRESS], VAT number [VAT NUMBER], acting on request of [NAME OF LEGAL SIGNATORY] and referred to hereafter as [ACRONYM OF THE ARSINOE PARTNER]

And [INNOVATOR], having its registered office at [ADDRESS], VAT number [VAT NUMBER], (hereinafter referred to as "**COMPANY**")

Hereinafter collectively referred to as "the Parties" or individually referred to as "a Party",

Whereas [ACRONYM OF THE ARSINOE PARTNER] has been designated by [NAME OF DESIGNATING AUTHORITY, IF APPLICABLE] to enter into agreements relating to services, research and/or intellectual property;

Whereas [ACRONYM OF THE ARSINOE PARTNER] has entered into a Grant Agreement and Consortium Agreement as from 1 October 2021 ("GA" and "CA"), establishing the project "ARSINOE" and setting out the terms and conditions, and rights and obligations, applicable to the grant by the European Commission and between and amongst the ARSINOE Partners;

Whereas the European Commission has agreed that specific activities in ARSINOE, such as testing, improvement and market introduction may be performed by third parties;

Whereas one of the aims of ARSINOE is to include and support as much as possible innovations outside the ARSINOE Consortium, in order to maximize the impact of the project;

Whereas COMPANY has entered a proposal called [NAME OF INNOVATION AND/OR DEMONSTRATION PROJECT], attached as Annex I to this Agreement, and that, upon a selection procedure carried out within ARSINOE, [ACRONYM OF THE ARSINOE PARTNER] has decided to let COMPANY perform the activities described in such proposal;

Whereas [ACRONYM OF THE ARSINOE PARTNER] is willing to provide funding received from the European Commission to the COMPANY for the tasks carried out by COMPANY and COMPANY is willing to receive such funding under the terms and conditions of the Grant Agreement and the terms and conditions of this Agreement;

Whereas the Parties will perform the obligations under this Agreement in good faith;

Therefore, the Parties agree as follows:

ARTICLE 1 - SERVICES

COMPANY shall carry out the Project activities as described in Annex I and shall report to [ACRONYM OF THE ARSINOE PARTNER] on the activities' progress in regular intervals every three months or upon request of [ACRONYM OF THE ARSINOE PARTNER] and upon complete fulfilment of the tasks by providing an end report to [ACRONYM OF THE ARSINOE PARTNER]. The Parties will discuss the progress of the Project on a regular basis and will agree on modification if and when needed.

[ACRONYM OF THE ARSINOE PARTNER] shall in any event be entitled to include the main results according to Annex I in its reporting towards the European Commission and third parties. For that matter, COMPANY grants a worldwide, perpetual and royalty free publication license to [ACRONYM OF THE ARSINOE PARTNER]. COMPANY shall abide by all laws and regulations applicable to the performance of COMPANY's tasks under this Agreement. COMPANY agrees to be bound by the obligations under the Grant Agreement that are included in Annex II. In particular COMPANY acknowledges and agrees that the European Commission, the European Court of Auditors (ECA) and the European Anti-fraud Office

(OLAF) can exercise their rights under Articles 22 and 23 of the GA towards COMPANY. COMPANY acknowledges that is it is only bound by such obligations by virtue of the Grant Agreement and that it is not a party to the Grant Agreement.

ARTICLE 2 - TIMING

The Agreement shall take effect and the Project shall commence on the [EFFECTIVE START DATE] and shall continue until all the Project activities as described in Annex I have been executed. All Project activities (including testing, implementation, and respective results reporting) shall be completed no later than March 2025.

ARTICLE 3 - COMPENSATION

3.1. As financial support for the duly performance of the Project activities by COMPANY, [ACRONYM OF THE ARSINOE PARTNER] will pay an amount of [AGREED DEMONSTRATOR BUDGET IN EURO], exclusive of V.A.T, for the material costs incurred by COMPANY, in accordance with the following invoicing scheme.:

Pre-financing: 60% of the agreed lump sum, upon signature of this Agreement	[SUM IN EURO], excl. VAT
Final payment: 40% of the agreed lump sum, upon approval by [ACRONYM OF THE ARSINOE PARTNER] of the final report	[SUM IN EURO], excl. VAT

3.2. Payment shall be made within thirty (30) days upon receipt by [ACRONYM OF THE ARSINOE PARTNER] of the undisputed invoice from COMPANY to the address of [ACRONYM OF THE ARSINOE PARTNER] as stated in the purchase order. COMPANY shall state the reference number of the respective purchase order from [ACRONYM OF THE ARSINOE PARTNER] on its invoice.

ARTICLE 4 - OWNERSHIP OF RESULTS

4.1. COMPANY agrees that all rights to the results generated by COMPANY and any intellectual property rights pertaining thereto in the framework of the Project shall be owned by COMPANY. [ACRONYM OF THE ARSINOE PARTNER] shall have a royalty-free, fully paid-up, irrevocable, worldwide, license to use the results and intellectual property rights without any additional compensation for the purpose of complying with the terms of the GA, including performance of the Project and the provision of Access Rights to the partners of the Project.

4.4. Each Party shall retain undivided ownership and (intellectual property) rights in and to its technology, software, materials, methodology, information, data or know how, held or acquired prior to or outside the scope of this Agreement ("Background"). Except as otherwise stated, this Agreement shall not grant or be construed as granting any rights by license or otherwise to the other Party on Background, except that [ACRONYM OF THE ARSINOE PARTNER] shall be granted the non-exclusive, royalty-free, fully paid-up right to use any Background of COMPANY (i) if needed for the performance of the Project; and/or (ii) if incorporated by COMPANY in the deliverables under this Agreement.

ARTICLE 5 - CONFIDENTIALITY

5.1. COMPANY shall maintain confidential all information received from [ACRONYM OF THE ARSINOE PARTNER] or any other party participating in the Project ("Confidential Information"). COMPANY shall not use Confidential Information for any other purpose than the performance of the services under this Agreement and shall not disclose the same to any third party without the prior written consent of [ACRONYM OF THE ARSINOE PARTNER]. The foregoing obligations of confidentiality shall survive termination of this Agreement.

5.2 The foregoing obligations of confidentiality shall not apply to information which COMPANY can show by written evidence:

(i) was in the possession of COMPANY prior to initial receipt hereunder;

(ii) is now or later becomes generally available to the public without breach of this Agreement;

(iii) is received without restrictions on its use or secrecy from a third party having the right to disclose such information;

(iv) [ACRONYM OF THE ARSINOE PARTNER] gives COMPANY permission to publish or use; or

(v) COMPANY develops independently of any disclosure hereunder.

5.3 Confidential Information shall be returned to [ACRONYM OF THE ARSINOE PARTNER] promptly upon termination of this Agreement.

ARTICLE 6 – LIABILITY

[ACRONYM OF THE ARSINOE PARTNER] shall not be held liable and COMPANY agrees to indemnify and hold harmless [ACRONYM OF THE ARSINOE PARTNER], its officers, agents and employees from any liability, loss or damage they may suffer as a result of claims, demands, costs or judgments against them arising out of the activities to be carried out pursuant to the obligations of this Agreement; provided, however, that the following is excluded from COMPANY's obligation to indemnify and hold harmless: damages directly caused by (i) the negligent failure of [ACRONYM OF THE ARSINOE PARTNER] to substantially comply with any applicable governmental requirements; or (ii) the willful act of any officer, agent or employee of [ACRONYM OF THE ARSINOE PARTNER].

Should the European Commission, in accordance with the GA, have a right to recovery under this Agreement, COMPANY shall pay the sums in question in the terms and the date specified by [ACRONYM OF THE ARSINOE PARTNER], in execution of any request formulated by the European Commission or [ACRONYM OF THE ARSINOE PARTNER]. Moreover COMPANY shall indemnify and hold [ACRONYM OF THE ARSINOE PARTNER], their respective officers, directors, employees and agents harmless from and against all repayments, loss, liability, costs, charges, claims or damages that result from or arising out of any such recovery action.

ARTICLE 7 – TERMINATION

7.1. [ACRONYM OF THE ARSINOE PARTNER] shall have the right, with fifteen (15) days prior written notice, to terminate this Agreement.

7.2. In the event that either Party shall be in default of its material obligations under this Agreement and shall fail to remedy such default within thirty (30) days after receipt of written notice thereof, this Agreement may be terminated upon written notice at the option of the Party not in default upon expiration of the thirty (30) day period.

7.3. Any provisions of this Agreement which by their nature extend beyond termination shall survive such termination.

ARTICLE 8 - GENERAL

8.1. This Agreement is personal in its character and cannot be assigned, sold, transferred or encumbered in any manner by any Party hereto without the express written consent of the other Party, any attempt to do so being void.

8.2. COMPANY shall not subcontract any portion of the Project without the prior written consent of [ACRONYM OF THE ARSINOE PARTNER].

8.3. For the purposes of this Agreement and with regard to the services to be provided hereunder, COMPANY shall be deemed to be an independent contractor and not [ACRONYM OF THE ARSINOE PARTNER]'s agent or employee. COMPANY shall have no authority to make any statements, representations or commitments of any kind, or to take any action which shall be binding on [ACRONYM OF THE ARSINOE PARTNER] except as provided for herein or authorized in writing by [ACRONYM OF THE ARSINOE PARTNER].

8.5. All written communications, including any notice or report, required or permitted under this Agreement shall be deemed to have been sufficiently given for all purposes if mailed by first class mail to the following addresses of either party:

If to COMPANY:	If to [ACRONYM OF THE ARSINOE PARTNER]:
[FIRST NAME, LAST NAME, POSITION] [STREET AND NUMBER] [POSTAL CODE, CITY] [COUNTRY]	[FIRST NAME, LAST NAME, POSITION] [STREET AND NUMBER] [POSTAL CODE, CITY] [COUNTRY]

8.6. This Agreement can only be changed by a written document signed by the authorized signatories of both Parties.

8.7. This Agreement shall be governed by the laws of [COUNTRY OF THE ARSINOE PARTNER]. Only the courts of [RESPECTIVE LEGAL COURTS] shall have jurisdiction.

IN WITNESS WHEREOF, the Parties have hereunto set their hands.

COMPANY	[ACRONYM OF THE ARSINOE PARTNER]
[FIRST NAME, LAST NAME AND POSITION OF LEGAL SIGNATORY]	[FIRST NAME, LAST NAME AND POSITION OF LEGAL SIGNATORY]

ANNEX I

Project description

[FINAL DEMONSTRATOR PROPOSAL PREPARED BY THE INNOVATOR INCLUDING AMENDMENTS TO THE ORIGINAL AS AGREED WITH THE ARSINOE PARTNER DURING THE NEGOTIATION PHASE]

ANNEX II

Applicable provisions of the Grant Agreement

The following provisions of the Grant Agreement shall apply mutatis mutandis to COMPANY:

ARTICLE 22 — CHECKS, REVIEWS, AUDITS AND INVESTIGATIONS — EXTENSION OF FINDINGS

22.1 Checks, reviews and audits by the Agency and the Commission

22.1.1 Right to carry out checks

The Agency or the Commission will — during the implementation of the action or afterwards — check the proper implementation of the action and compliance with the obligations under the Agreement, including assessing deliverables and reports. For this purpose the Agency or the Commission may be assisted by external persons or bodies.

The Agency or the Commission may also request additional information in accordance with Article 17.

The Agency or the Commission may request beneficiaries to provide such information to it directly.

Information provided must be accurate, precise and complete and in the format requested, including electronic format.

22.1.2 Right to carry out reviews

The Agency or the Commission may — during the implementation of the action or afterwards — carry out reviews on the proper implementation of the action (including assessment of deliverables and reports), compliance with the obligations under the Agreement and continued scientific or technological relevance of the action.

Reviews may be started up to two years after the payment of the balance. They will be formally notified to the coordinator or beneficiary concerned and will be considered to have started on the date of the formal notification.

If the review is carried out on a third party (see Articles 10 to 16), the beneficiary concerned must inform the third party.

The Agency or the Commission may carry out reviews directly (using its own staff) or indirectly (using external persons or bodies appointed to do so). It will inform the coordinator or beneficiary concerned of the identity of the external persons or bodies. They have the right to object to the appointment on grounds of commercial confidentiality.

The coordinator or beneficiary concerned must provide — within the deadline requested — any information and data in addition to deliverables and reports already submitted (including information on the use of resources). The Agency or the Commission may request beneficiaries to provide such information to it directly.

The coordinator or beneficiary concerned may be requested to participate in meetings, including with external experts.

For **on-the-spot** reviews, the beneficiaries must allow access to their sites and premises, including to external persons or bodies, and must ensure that information requested is readily available.

Information provided must be accurate, precise and complete and in the format requested, including electronic format.

On the basis of the review findings, a '**review report**' will be drawn up.

The Agency or the Commission will formally notify the review report to the coordinator or beneficiary concerned, which has 30 days to formally notify observations ('**contradictory review procedure**').

Reviews (including review reports) are in the language of the Agreement.

22.1.3 Right to carry out audits

The Agency or the Commission may — during the implementation of the action or afterwards — carry out audits on the proper implementation of the action and compliance with the obligations under the Agreement.

Audits may be started up to two years after the payment of the balance. They will be formally notified to the coordinator or beneficiary concerned and will be considered to have started on the date of the formal notification.

If the audit is carried out on a third party (see Articles 10 to 16), the beneficiary concerned must inform the third party.

The Agency or the Commission may carry out audits directly (using its own staff) or indirectly (using external persons or bodies appointed to do so). It will inform the coordinator or beneficiary concerned of the identity of the external persons or bodies. They have the right to object to the appointment on grounds of commercial confidentiality.

The coordinator or beneficiary concerned must provide — within the deadline requested — any information (including complete accounts, individual salary statements or other personal data) to verify compliance with the Agreement. The Agency or the Commission may request beneficiaries to provide such information to it directly.

For **on-the-spot** audits, the beneficiaries must allow access to their sites and premises, including to external persons or bodies, and must ensure that information requested is readily available.

Information provided must be accurate, precise and complete and in the format requested, including electronic format.

On the basis of the audit findings, a '**draft audit report**' will be drawn up.

The Agency or the Commission will formally notify the draft audit report to the coordinator or beneficiary concerned, which has 30 days to formally notify observations ('**contradictory audit procedure**'). This period may be extended by the Agency or the Commission in justified cases.

The '**final audit report**' will take into account observations by the coordinator or beneficiary concerned. The report will be formally notified to it.

Audits (including audit reports) are in the language of the Agreement.

The Agency or the Commission may also access the beneficiaries' statutory records for the periodical assessment of unit costs or flat-rate amounts.

22.2 Investigations by the European Anti-Fraud Office (OLAF)

Under Regulations No 883/2013[16] and No 2185/96[17] (and in accordance with their provisions and procedures), the European Anti-Fraud Office (OLAF) may — at any moment during implementation of the action or afterwards — carry out investigations, including on-the-spot checks and inspections, to establish whether there has been fraud, corruption or any other illegal activity affecting the financial interests of the EU.

22.3 Checks and audits by the European Court of Auditors (ECA)

Under Article 287 of the Treaty on the Functioning of the European Union (TFEU) and Article 161 of the Financial Regulation No 966/2012[18], the European Court of Auditors (ECA) may — at any moment during implementation of the action or afterwards — carry out audits.

The ECA has the right of access for the purpose of checks and audits.

22.4 Checks, reviews, audits and investigations for international organisations

In conformity with its financial regulations, the European Union, including the European Anti-Fraud Office (OLAF) and the European Court of Auditors (ECA), may undertake, including on the spot, checks, reviews, audits and investigations.

This Article will be applied in accordance with any specific agreement concluded in this respect by the international organisation and the European Union.

22.5 Consequences of findings in checks, reviews, audits and investigations — Extension of findings

22.5.1 Findings in this grant

Findings in checks, reviews, audits or investigations carried out in the context of this grant may lead to the rejection of ineligible costs (see Article 42), reduction of the grant (see Article 43), recovery of undue amounts (see Article 44) or to any of the other measures described in Chapter 6.

Rejection of costs or reduction of the grant after the payment of the balance will lead to a revised final grant amount (see Article 5.4).

Findings in checks, reviews, audits or investigations may lead to a request for amendment for the modification of Annex 1 (see Article 55).

Checks, reviews, audits or investigations that find systemic or recurrent errors, irregularities, fraud or breach of obligations may also lead to consequences in other EU or Euratom grants awarded under similar conditions (‘**extension of findings from this grant to other grants**’).

Moreover, findings arising from an OLAF investigation may lead to criminal prosecution under national law.

22.5.2 Findings in other grants

The Agency or the Commission may extend findings from other grants to this grant (‘**extension of findings from other grants to this grant**’), if:

(a) the beneficiary concerned is found, in other EU or Euratom grants awarded under similar conditions, to have committed systemic or recurrent errors, irregularities, fraud or breach of obligations that have a material impact on this grant and

(b) those findings are formally notified to the beneficiary concerned — together with the list of grants affected by the findings — no later than two years after the payment of the balance of this grant.

The extension of findings may lead to the rejection of costs (see Article 42), reduction of the grant (see Article 43), recovery of undue amounts (see Article 44), suspension of payments (see Article 48), suspension of the action implementation (see Article 49) or termination (see Article 50).

22.5.3 Procedure

The Agency or the Commission will formally notify the beneficiary concerned the systemic or recurrent errors and its intention to extend these audit findings, together with the list of grants affected.

22.5.3.1 If the findings concern **eligibility of costs**: the formal notification will include:

(a) an invitation to submit observations on the list of grants affected by the findings;

(b) the request to submit **revised financial statements** for all grants affected;

(c) the **correction rate for extrapolation** established by the Agency or the Commission on the basis of the systemic or recurrent errors, to calculate the amounts to be rejected if the beneficiary concerned:

(i) considers that the submission of revised financial statements is not possible or practicable or

(ii) does not submit revised financial statements.

The beneficiary concerned has 90 days from receiving notification to submit observations, revised financial statements or to propose a duly substantiated **alternative correction method**. This period may be extended by the Agency or the Commission in justified cases.

The Agency or the Commission may then start a rejection procedure in accordance with Article 42, on the basis of:

- the revised financial statements, if approved;

- the proposed alternative correction method, if accepted

or

- the initially notified correction rate for extrapolation, if it does not receive any observations or revised financial statements, does not accept the observations or the proposed alternative correction method or does not approve the revised financial statements.

22.5.3.2 If the findings concern **substantial errors, irregularities or fraud** or **serious breach of obligations**: the formal notification will include:

(a) an invitation to submit observations on the list of grants affected by the findings and

(b) the flat-rate the Agency or the Commission intends to apply according to the principle of proportionality.

The beneficiary concerned has 90 days from receiving notification to submit observations or to propose a duly substantiated alternative flat-rate.

The Agency or the Commission may then start a reduction procedure in accordance with Article 43, on the basis of:

- the proposed alternative flat-rate, if accepted

or

- the initially notified flat-rate, if it does not receive any observations or does not accept the observations or the proposed alternative flat-rate.

22.6 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, any insufficiently substantiated costs will be ineligible (see Article 6) and will be rejected (see Article 42).

Such breaches may also lead to any of the other measures described in Chapter 6.

ARTICLE 23 — EVALUATION OF THE IMPACT OF THE ACTION

23.1 Right to evaluate the impact of the action

The Agency or the Commission may carry out interim and final evaluations of the impact of the action measured against the objective of the EU programme.

Evaluations may be started during implementation of the action and up to five years after the payment of the balance. The evaluation is considered to start on the date of the formal notification to the coordinator or beneficiaries.

The Agency or the Commission may make these evaluations directly (using its own staff) or indirectly (using external bodies or persons it has authorised to do so).

The coordinator or beneficiaries must provide any information relevant to evaluate the impact of the action, including information in electronic format.

23.2 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, the Agency may apply the measures described in Chapter 6.

ARTICLE 35 — CONFLICT OF INTERESTS

35.1 Obligation to avoid a conflict of interests

The beneficiaries must take all measures to prevent any situation where the impartial and objective implementation of the action is compromised for reasons involving economic interest, political or national affinity, family or emotional ties or any other shared interest (‘conflict of interests’).

They must formally notify to the Agency without delay any situation constituting or likely to lead to a conflict of interests and immediately take all the necessary steps to rectify this situation.

The Agency may verify that the measures taken are appropriate and may require additional measures to be taken by a specified deadline.

35.2 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 43) and the Agreement or participation of the beneficiary may be terminated (see Article 50).

Such breaches may also lead to any of the other measures described in Chapter 6.

ARTICLE 36 — CONFIDENTIALITY

36.1 General obligation to maintain confidentiality

During implementation of the action and for four years after the period set out in Article 3, the parties must keep confidential any data, documents or other material (in any form) that is identified as confidential at the time it is disclosed (‘**confidential information**’).

If a beneficiary requests, the Agency may agree to keep such information confidential for an additional period beyond the initial four years.

If information has been identified as confidential only orally, it will be considered to be confidential only if this is confirmed in writing within 15 days of the oral disclosure.

Unless otherwise agreed between the parties, they may use confidential information only to implement the Agreement.

The beneficiaries may disclose confidential information to their personnel or third parties involved in the action only if they:

(a) need to know to implement the Agreement and

(b) are bound by an obligation of confidentiality.

This does not change the security obligations in Article 37, which still apply.

The Agency may disclose confidential information to its staff, other EU institutions and bodies. It may disclose confidential information to third parties, if:

(a) this is necessary to implement the Agreement or safeguard the EU’s financial interests and

(b) the recipients of the information are bound by an obligation of confidentiality.

Under the conditions set out in Article 4 of the Rules for Participation Regulation No 1290/201325, the Commission must moreover make available information on the results to other EU institutions, bodies, offices or agencies as well as Member States or associated countries.

The confidentiality obligations no longer apply if:

(a) the disclosing party agrees to release the other party;

(b) the information was already known by the recipient or is given to him without obligation of confidentiality by a third party that was not bound by any obligation of confidentiality;

(c) the recipient proves that the information was developed without the use of confidential information;

(d) the information becomes generally and publicly available, without breaching any confidentiality obligation, or

(e) the disclosure of the information is required by EU or national law.

36.2 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 43).

Such breaches may also lead to any of the other measures described in Chapter 6.

ARTICLE 38 — PROMOTING THE ACTION — VISIBILITY OF EU FUNDING

38.1 Communication activities by beneficiaries

38.1.1 Obligation to promote the action and its results

The beneficiaries must promote the action and its results, by providing targeted information to multiple audiences (including the media and the public) in a strategic and effective manner.

This does not change the dissemination obligations in Article 29, the confidentiality obligations in Article 36 or the security obligations in Article 37, all of which still apply.

Before engaging in a communication activity expected to have a major media impact, the beneficiaries must inform the Agency (see Article 52).

38.1.2 Information on EU funding — Obligation and right to use the EU emblem

Unless the Agency requests or agrees otherwise or unless it is impossible, any communication activity related to the action (including in electronic form, via social media, etc.) and any infrastructure, equipment and major results funded by the grant must:

(a) display the EU emblem and

(b) include the following text:

For communication activities:

“This project has received funding from the European Union’s Horizon 2020 research and innovation programme under grant agreement No 101037424”.

For infrastructure, equipment and major results:

“This *[infrastructure][equipment][insert type of result]* is part of a project that has received funding from the European Union’s Horizon 2020 research and innovation programme under grant agreement No 101037424”.

When displayed together with another logo, the EU emblem must have appropriate prominence.

For the purposes of their obligations under this Article, the beneficiaries may use the EU emblem without first obtaining approval from the Agency.

This does not, however, give them the right to exclusive use.

Moreover, they may not appropriate the EU emblem or any similar trademark or logo, either by registration or by any other means.

38.1.3 Disclaimer excluding Agency and Commission responsibility

Any communication activity related to the action must indicate that it reflects only the author's view and that the Agency and the Commission are not responsible for any use that may be made of the information it contains.

ARTICLE 46 — LIABILITY FOR DAMAGES

46.1 Liability of the Agency

The Agency cannot be held liable for any damage caused to the beneficiaries or to third parties as a consequence of implementing the Agreement, including for gross negligence.

The Agency cannot be held liable for any damage caused by any of the beneficiaries or third parties involved in the action, as a consequence of implementing the Agreement.

46.2 Liability of the beneficiaries

Except in case of force majeure (see Article 51), the beneficiaries must compensate the Agency for any damage it sustains as a result of the implementation of the action or because the action was not implemented in full compliance with the Agreement.

ARSINOE
CLIMATE-RESILIENT REGIONS THROUGH SYSTEMIC SOLUTIONS AND INNOVATIONS