

Guideline

Application Form for Expression of Commitment to initiate an Action Group European Innovation Partnership on Water

Deadline for submission: **31 January 2015**

1 - Action Groups in EIP Water

Action Groups (AGs) are at the core of European Innovation Partnership on Water (EIP Water) and operate as **voluntary multi-stakeholder groups**; these are the **central element of EIP Water's** implementation phase. There are 25 Action Groups active and with their partners they develop, test, scale up, disseminate and stimulate the uptake of innovations by the market and society for major water-related challenges. An AG is formed by submitting a proposal in response to a Call for Expression of Commitment at the EIP Water Marketplace: www.eip-water.eu/new-action-group-applications

2 - Goal of Action Groups

Goal of Action Groups is to **work towards developing and implementing innovative solutions for water challenges, aiming to identify and remove water innovation bottlenecks and barriers**. Innovative solutions should respond to the priority areas, as described in the EIP Water Strategic Implementation Plan. A summary of these priority areas is presented in table 1. AGs should deliver **applicable solutions** for bringing innovation to the market, either by enhancing the **implementation/commercialization** of water innovation or by **enhancing the facilitating framework** such as regulation and finance. AGs should **cover as much as possible the entire innovation value chain**.

3 - Responsibilities of Action Groups

Key principles in an AG are: active participation, shared responsibility and decision making, synergy, and resourcefulness. AGs have the responsibility to implement the actions as described in their proposals, according to the timelines they have set. For an effective functioning a lead (or coordinator) needs to be assigned, who will also operate as liaison with the other bodies of EIP Water. AGs are responsible to drive their own work and activities. Collaboration with other AGs is recommended where relevant. The AG establishes its own internal governance. Furthermore, AGs are required to report once a year on progress, analysis of encountered barriers, possible policy recommendations, and on an outlook for the next year's actions. The EIP Water does not require AGs to develop an Intellectual Property Rights agreement among the partners, but does recommend looking carefully into this issue and making arrangements, if relevant. The EIP Water Secretariat and the European Commission IPR helpdesk can provide support in this matter.

4 - Support to Action Groups

The EIP Water Secretariat is available for support. Each AG will have one contact person at the Secretariat with extensive experience in the field of water and innovation to guide and advice on internal governance setup, IPR matters, look for opportunities and commercialization directions, and identify potential resource references. The Secretariat will not provide pure secretarial services. Furthermore, the European Commission can assist AGs in case of matters that arise from direct relevance to European policies. Initial contact for such matters will be made through the Secretariat's contact person, who will liaise with the EIP Water team at the European Commission.

5 - Financing

The EIP Water does not provide any financial support to AGs. The EIP Water will not be able to fund demonstration projects or even reimburse travel or meeting costs of AG members. The EIP Water is not a financing instrument, but does make links to existing European funding instruments, as was done with FP7 in 2013 and for example Horizon 2020 or LIFE. The scope of these funding mechanisms are (in part) linked to the priority areas of the EIP Water, giving AGs a better starting position when applying for funding. However, any submitted proposal by an AG for funding under these funding mechanisms will be evaluated in the EIP Water on the basis of its own assessment criteria by independent evaluators.

6 - Application and selection process

The call opens at 5 November 2014 and closes at **31 January 2015**.

The **Application Form and this Guideline** can be downloaded at the EIP Water Marketplace: www.eip-water.eu/new-action-group-applications accessible *after* registration (and then logging in) as a user. At least one of the partners of the AG (normally the leader) should be registered on the Marketplace. Encouraged is that all partners register on the Marketplace before submitting a proposal. There are no costs involved for registration.

Contact details provided in the online submission (and in the Application Form) will be used for communication about the selection results.

The **submission** of the Application Form (and possible separate annexes) may be in MS Word, Rich Text Format or PDF format, and should be uploaded in the submission form, at www.eip-water.eu/new-action-group-applications, accessible *after* logging in as (lead) user. During the **upload**, the (lead) user can add the first batch of partners of the AG in the submission form, provided these partners have registered on the Marketplace. Select 'submit', at the bottom of the web-form, to finalize the upload process. An automatic confirmation email will be sent to the (lead) user. The (lead) user, if needed, can also replace his/her earlier submitted Application Form (a/o annexes) with newer versions by selecting 'view your previous submission', select 'edit', make the file replacements he/she wish to do, and close by selecting 'submit' at the bottom of the screen.

Key evaluation criteria are:

- Excellence and innovation of the initiative;
- Degree of inclusion of the innovation value chain;
- Strength of the demand for the proposed solution or new practice.

Encouraged are applications with (a) the presence of one or more partners from eastern European countries¹ within the Action Group, and (b) a focus on priority areas: P1 Water re-use and recycling, P5 Ecosystem services, and P8 Financing for innovation.

These criteria are further elaborated in the following table.

¹ Eastern EU members since 2004 (Bulgaria, Croatia, Czech Republic, Estonia, Hungary, Latvia, Lithuania, Poland, Romania, Slovakia, Slovenia), eastern EU candidate countries (Albania, Montenegro, Serbia, The former Yugoslav Republic of Macedonia) and potential EU candidates (Bosnia and Herzegovina, Kosovo*).

* This designation is without prejudice to positions on status, and is in line with UNSCR 1244/99 and the ICJ Opinion on the Kosovo declaration of independence. See: www.europa.eu/about-eu/countries

Criteria	Weight
<p>Criterion 1 – Strength of relationship to SIP</p> <ul style="list-style-type: none"> • Core actions link to priority areas (encouraged are links to: P1 Water re-use and recycling, P5 Ecosystem services, and P8 Financing for innovation) • (If applicable) links of secondary actions to priority areas • Description of specific barriers to be addressed 	15
<p>Criterion 2 – Presence of innovative concepts linked to demand/market potential</p> <ul style="list-style-type: none"> • Added value of envisioned product a/o service, or practices • Strength of (or innovation in) delivery channel • Demand/market prospective • Focus on commercialization or dissemination/demonstration phase • Strength of references to available work-to-date 	20
<p>Criterion 3 – Team strength and composition</p> <ul style="list-style-type: none"> • Partner inclusion (one or more in Action Group) from eastern Europe¹ • End-users and/or launching customers inclusion (preferred in lead) • Inclusion of SME(s)² in partner list • Entrepreneurship and technical & managerial relevant experience • Credibility of initiative • Team diversity (across value chain - see table 2 in annex) • More than one EU country involved: y/n 	40
<p>Criterion 4 – Demand or market relevance and urgency</p> <ul style="list-style-type: none"> • Demand or market potential • Replication potential (in other/sub) sectors and countries 	5
<p>Criterion 4 – Considerations on governance</p> <ul style="list-style-type: none"> • Strength of proposed internal governance layout • (Optional) Description of IPR considerations/plans 	5
<p>Criterion 5 – Clarity of goals</p> <ul style="list-style-type: none"> • Clarity of stated objectives • Capacity to develop visibility and demonstration of intended innovation • Strength of draft work plan with milestones • Strength to drive delivery with speed 	20

Zero score in any criteria: Out

The EIP Water aims to finalize the **selection process** and publish the results within two months after the submission deadline. No motivation will be made available to rejected applicants.

Once selected, the EIP Water Secretariat will start a dialogue with the lead/coordinator of the AG to schedule the formal establishment of the AG. Guidance on internal governance, support in the setting of a (virtual) Kick-Off meeting and other matters will be provided.

² See for SME definition: EC Recommendation 2003/361/EC. An SME definition guideline is available at: http://ec.europa.eu/enterprise/policies/sme/files/sme_definition/sme_user_guide_en.pdf

7 - Filling out the Application Form

Suggested is to limit the Application Form to around 10 pages. Additional information can, if needed, be put in annexes. (File formats allowed are MS Word, Rich Text Format and PDF.)

The answer fields/text boxes displayed in the Application Form are only for visual purposes, they do not signify any suggested limitation, and can be omitted if the applicant wishes such.

Important considerations:

- Review carefully the selection criteria as mentioned in paragraph 6 above.
- Consider the encouraged focus areas as mentioned in paragraph 6.
- Sufficient reach across the innovation value chain is important, with above all the presence of end-users and/or launching customers (preferable in the lead).
- Important are entrepreneurship and a drive to deliver with speed and a capacity to visibility and demonstration.
- Attention to the final development phases (commercialization, demonstration and/or dissemination) is similarly relevant.
- There is no preferred size of an AG from the side of EIP Water. Plans for an effective and manageable AG (internal governance) need to be made clear in case, in particular with a large partner base (more than 10).
- A credible outline of the work plan with clear deliverables and milestones will strengthen the application.

8 - Questions and answers

FAQ section at the EIP Water Marketplace

A collection of FAQs is available at the EIP Water Marketplace: www.eip-water.eu/faq

Send questions by email

Questions can be submitted by email to: submission@eip-water.eu. The EIP Water Secretariat will collect on a regular basis the questions and publish the answers at the FAQ site at www.eip-water.eu/faq. Please check this section for regular updates.

Applicants' Forum at the EIP Water Marketplace

This FORUM is an interactive feature of the EIP Water Marketplace and is open to all users who wish to submit an Action Group (AG) application. (This Forum is only open between the opening and closing of a call.)

In this forum you can post and reply to messages where you seek additional AG partners, exchange ideas, and get input from outside experts. This forum gives new Action Group applicants the opportunity to seek support or feedback from a specialist group of over 1,500 Marketplace users. Such a large and water innovation focused group of users provides an excellent platform to produce the best possible Action Group submission!

Guideline Annex

Annex Table 1

Priority Id	EIP Water Priority areas
P10	WATER RE-USE AND RECYCLING
P11	- Fit for Purpose/Symbiotic approaches based on technical, economic, social and environmental criteria, where cost-effective treatment meets intended use and quality.
P12	- Innovative solutions and/or treatment options, producing and testing recycled/reclaimed water for residential, urban, industrial and agricultural uses, with consideration of ecosystems and involving multiple stakeholders.
P13	- Systems capable of determining the quality of recycled and reclaimed water to improve management and public acceptance according to health requirements.
P14	- Innovative separation- and extraction technology pilot projects in industrial zones to harvest resources from waste- and re-used water.
P20	WATER AND WASTE WATER TREATMENT
P21	- Innovative concepts for (alternative) water supply, wastewater treatment and recovery of resources.
P22	- Source control methods for discharges of emerging pollutants and pathogens into the wastewater treatment system and cost-effective on-site technologies, removing as much as possible at source.
P23	- Water treatment innovation hubs, in regions that currently lack of appropriate sewer systems and treatment and sanitation facilities, applying smart technologies and decentralized systems with a focus on alternative water sources.
P24	- Systematic approaches to avoid loss of water, energy and resources in industrial production and water and wastewater infrastructure.
P30	WATER-ENERGY NEXUS
P31	- Approaches for reducing energy consumption related to drinking water production, wastewater treatment, industrial water use, and irrigation for agriculture.
P32	- Innovative and widely applicable solutions for energy recovery and/or surplus energy production both from water in natural systems as well as from anthropogenic water use.
P33	- Develop and demonstrate widely applicable concepts and solutions for water use related to energy production, urban and industrial hot/cold water systems.
P40	FLOOD AND DROUGHT RISK MANAGEMENT
P41	- Innovative extreme event prevention and protection tools, including sensor technology and monitoring networks, forecast and early-warning systems in urban, rural, riverine and coastal areas, for support of policy, land-use planning and emergency management.
P42	- Innovative mitigation and adaptation measures to minimize climate change impacts, including the role of natural ecosystems and their protection.
P43	- Integrated risk assessment and management approaches, ranging from planning to implementation of new insurance policies, bringing together the physical, economical, insurance, emergency management and social factors, based on resilience and social vulnerability and ensuring social acceptance.
P50	ECOSYSTEM SERVICES
P51	- Methodologies for valuation of and payment for ecosystem services, including tangible and intangible services.
P52	- Innovative management schemes addressing water related ecosystem services in Europe and non-European countries.
P60	WATER GOVERNANCE
P61	- Innovative forms of governance that connect across boundaries of regions, policy sectors, jurisdictional levels and timescales, and that simultaneously involve the public and raise public awareness.
P62	- Partnership models which link private sector governance, such as certification, stewardship and round tables, to public sector water governance with a view to achieve sustainable water management in low-income countries and emerging markets.
P63	- Water pricing policies based on innovative approaches, where the over-user pays principle is added to the polluter pays principle, defining clear and measurable efficiency targets for each area of activity at the relevant level.
P64	- Interventions to overcome barriers in the governance systems that hinder development and uptake of innovations.
P70	DECISION SUPPORT SYSTEMS AND MONITORING
P71	- Smart water management systems with export potential, based on multi-sourced data platforms including quality and quantity monitoring, data management and modeling. The platforms should include data sources from water cycle and data sources from other interconnected domains.

Priority Id	EIP Water Priority areas
P72	- Interconnection of smart sensor based monitoring networks, crowd-sourcing, localized and other smart information dissemination and data management to enhance operational services.
P73	- Model and monitoring standards for the global water cycle with integration of all water cycle aspects (ecological, environmental, economic, social) to establish a leaders' role in the export market.
P74	- Well targeted monitoring and analysis of drinking, waste and process water to enhance decision making.
P80	FINANCING FOR INNOVATION
P81	- An EU wide common structure to build interfaces between funders, industry, companies, SMEs and research organizations to foster relationships promoting innovation and improve knowledge about access to finance.
P82	- Options to improve access to finance for SMEs active throughout the water cycle, especially those with potentially disruptive technologies and those with high export potential.
P83	- Frameworks and instruments to stimulate public sector innovation in the priority areas identified by the EIP, based on a review of public procurement best practices in relevant sectors of industry in Europe and other OECD countries.
P84	- Innovative financial instruments at an EU level to support European companies proposing innovative goods and services and to facilitate access into overseas water sector export markets in line with the objectives of the EIP.
P90	SMART TECHNOLOGIES
P91	- No separate actions are defined for Smart Technologies, as they are identified as a key enabler for the EIP Water priorities. Smart Technologies have been integrated in the actions of the priorities, where applicable.

Annex Table 2

Type Id	Type of organization/company
T1	Knowledge provider (Universities, Technology Institutions)
T2	Legal Supporter (Local/Regional/National/EC Regulatory Authorities, Patents/Legal Services Companies)
T3	Financier (Governmental/Regional Authorities, (Semi-Public) Investment Banks, R&D Funds, Seed Cap/Business Angels, Venture Capitalists)
T4	Innovation Supporter (Innov Councils, Incubators, Testing Facilities, Expert Group Agencies)
T5	Water User (Water Distribution Companies/Authorities, Treatment Plants, Large Industry/Agricultural/Domestic Consumers, Water Management Authorities)
T6	Technology Company (Treatment Service, Equipment/System Manufacturers/Suppliers, Infrastructure Service, Engineering, Intermediate-Other Services/Suppliers)
T7	Promoter (Water Sector Associations, User Lobby Groups, NGOs, Social/Public/Environmental Organizations)
T8	Other (Other, Non Water Sector)