

CASI

**Mobilisation and Mutual Learning (MML) Action Plans:
mainstreaming Science in Society actions in research**

TERMS OF REFERENCE CASI Country Correspondent for Croatia

3 April 2014

Grant Agreement no. 612113

Project full name:

**Public Participation in Developing a Common Framework for Assessment and
Management of Sustainable Innovation**

Project acronym: CASI

Open call for
“Establishment of a Network of Country Correspondents”

Date of publication of the call: 3 April 2014

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This tender documentation is the underlying document for drawing up and submitting bids by tenderers for the above mentioned FP7 project CASI (Grant Agreement no. 612113).

1. Contracting Organisations

1.1 Basic data and Person Authorised to Act on Behalf of the Contracting Organisation

- **Contracting organisation for country correspondent from Croatia**

Name: Zentrum fuer Soziale Innovation (Centre for Social Innovation)

Address: Linke Wienzeile 246, 1150 Vienna, Austria

Person Authorised to Act on Behalf of the Contracting Authority: Maria Schwarz-Woelzl

1.2 Contact Person of the CASI project

Contact person for the CASI project is:

Ms Zoya Damianova, Programme Director, Applied Research and Communications Fund, Bulgaria. Address: 5 Alexander Zhendov St., 1113 Sofia, Bulgaria

e-mails: zoya.damianova@online.bg, casi@online.bg

2. Preamble

The CASI project responds to the Horizon 2020 challenge "Climate action, resource efficiency and raw materials". It further addresses the second specific challenge of the Mobilising and Mutual Learning Action Plans (MMLAP) topics, listed in the Science in Society call for proposals of the Capacities Work Programme 2013, namely "Assessment of sustainable innovation". The multi-dimensional nature of sustainability and the complexity of environmental, economic, and social impacts that innovations have, makes the assessment of sustainable innovation a challenging task, which requires a very well developed and clear methodology in order to assess sustainable innovation in an objective manner. The lack of established indicators for assessment leads to shortfalls in the management of sustainable innovation. CASI aims to address these challenges.

In order to respond to these challenges the CASI's **main objective** will be to *develop a methodological framework for assessing and managing sustainable innovation through wider public engagement in the RTDI system by ensuring the commitment of a broad spectrum of societal stakeholders, including industry, research organisations, policy-makers, academia and science institutes, civil society organisations, media and the general public.*

In achievement of the overall objective of the proposed action, the **specific objectives** include: (i) Development of a working definition of sustainable innovation, building on the most common definitions, academic literature as well as expert advice internal and

external to the project consortium; (ii) The inclusion of general public concerns in assessing the social impact of this kind of innovation on society in consultation workshops. Issues such as participation in the development of innovation, inclusiveness, ethics, gender and open access will be considered in these sessions; (iii) Development of a common understanding of best practices in sustainable innovation management; (iv) Development of a framework for assessment and management of sustainable innovation; (v) Development of specific policy recommendations on how to improve innovation management and how sustainability considerations can be incorporated into it based on the findings of the assessment framework and public consultations.

Given that the project addresses the grand challenge “Climate action, resource efficiency and raw materials” it is the common understanding of the partners that CASI should attain European coverage.

The consortium partners cover 12 Member States: Austria, Belgium, Bulgaria, the Czech Republic, Denmark, Finland, Germany, Italy, Poland, Portugal, Slovenia, and the United Kingdom. In order to have a Europe-wide dimension, a network of country correspondents is set up to provide further support to the project implementation.

The country correspondents will come from the non-consortium Member States (i.e. Ireland, France, The Netherlands, Luxembourg, Croatia, Slovakia, Sweden, Malta, Spain, Greece, Latvia, Lithuania, Estonia, Romania, Cyprus, and Hungary).

The major objective of the country correspondents’ network is to:

- (i) gather original information needed for the implementation of the project so as to ensure a sound information basis for the subsequent analyses, and
- (ii) serve as contact points in order to disseminate information and project results to interested parties and stakeholders in their respective country.

3. Mandate of Country Correspondents

Activity 1: Participating in a capacity-building workshop organised for country correspondents

Context and description of the activity: All country correspondents will attend a capacity-building workshop focused on sustainable innovation and on ‘Climate action, resource efficiency and raw materials’. The specific objectives of the capacity-building workshop are: (i) to build a common understanding of sustainable technological and social innovation among the CASI consortium partners and country correspondents; (ii) to build a common approach concerning the societal challenge “Climate action, resource efficiency and raw materials” among the project partners and country correspondents; and (iii) to enhance the dialogue among consortium partners, country correspondents and relevant stakeholders across Europe on sustainable innovation and environment-related issues.

Each country correspondent will attend a capacity-building workshop - in Vienna, Austria, or in Coventry, UK – depending on geographical proximity.

Timing: The capacity-building workshops will take place during 2 full days. The dates of the capacity building workshops are the 2nd week of June 2014 in Vienna, Austria, and the 4th week of June 2014 in Coventry, UK.

Expected output and deadline for submission: evaluation questionnaire to be completed by the end of the workshop.

Activity 2: Identifying case studies in sustainable innovation

Context of the activity: This task provides the foundation for the rest of the project. It will facilitate the multi-level (multi-country, national and local) analysis of sustainable innovations with view of the preparation of the state-of-the-art of research and innovation in the domain of the grand challenge “Climate action, resource efficiency and raw materials”.

Description of the activity: The country correspondents will review empirical examples in sustainable innovation from their countries. Clear instructions will be distributed to the country correspondents in advance, including key criteria for the identification of CASI-relevant practices in sustainable innovation.

This task will involve literature/web search (combined with a few targeted stakeholder interviews if deemed appropriate) and will aim at identifying ‘state-of-the-art’ cases in country correspondents’ own countries. Based on the results of this screening and review, the country correspondents will nominate cases, which fulfil a list of criteria provided to the country correspondents in advance, of which **at least 6 cases**, will be presented in detail according to a template. The cases should be related to the Horizon 2020 societal challenge “Climate action, resource efficiency and raw materials”.

The case nomination has to include the following types of innovation: 1) technological innovation, 2) social innovation. Preferably, 3 cases for each of the two types will be nominated.

The information to be submitted in this nomination phase will include the following aspects, such as: Case Name, Information source, Short description, Lead organisation, Scope, Data range, Relation with the main priorities established in Horizon 2020 for climate action, resources efficiency and raw materials, Type of innovation, Main objectives covered by the case, Financial support, Key drivers, Potential dilemmas and controversial aspects, Actor’s mobilisation degree, and Main learning processes.

Timing:

- To identify and nominate the 6 sustainable innovation cases, according to the criteria provided by the consortium, and provide the nomination contents in a template: June 2014 – 14 July 2014

Expected output and deadline for submission:

- The nomination of the SI cases, fulfilling the criteria provided by the consortium, to be identified and submitted by 14 July 2014.

Activity 3: Mapping of key practices, players and outcomes

Description of the activity:

Based on the review of the cases in Activity 2 and the selected by the consortium 6 cases per country, the country correspondents will map key sustainable innovation practices, players and outcomes related to the 6 selected cases. A template with sections on practices, players and outcomes will be distributed in advance and will be filled in by the country correspondents.

Practices: The mapping of practices includes the type of innovation and main drivers, how the innovation has been conducted, the extent to which third-parties have been mobilised, the learning processes developed and how and to what extent the innovation has generated dilemmas.

Players: The mapping of players includes identifying key actors (innovators, enablers, supporting players) affected or related to the SI case, as well as describing their roles (i.e. what impels their interest in research on sustainable innovation). Players include policy-makers, research programme owners, innovators, academics, the media, etc., each of whom have different needs and drivers (motivations).

Outcomes: The country correspondents will identify and describe the results of the SI project (e.g. innovations, policies, spin offs, publications) as well as the related economic, structural, governmental, social, individual and individual transformations.

Timing:

- Mapping of key practices, players and outcomes and filling in the distributed template: to be completed by 12 December 2014

Expected output and deadline for submission:

- For each country correspondent - Six filled in templates on key practices, players and outcomes for the 6 selected cases; to be submitted by 12 December 2014

Activity 4: List of national stakeholder contacts

Context of the activity: Based on the mapping of key players in Activity 3, the country correspondents will be tasked with the following:

1) Compile a list (e.g. spreadsheet) of individual stakeholders within each group of stakeholders (e.g. policy-makers, research programme owners, innovators, academics, NGOs and media). The listed national stakeholders will be contacted and invited by the respective country correspondent to take part in an online survey on the characteristics of sustainable innovation and sustainable innovation management. The survey and an invitation letter to participate in the survey will be provided by one of the partners in the consortium. Considering that the overall target for the response rate to the survey is 1500 respondents, the expected minimum number of respondents per European member state is

approximately 60 respondents (from different stakeholder groups). In order to improve the response rate of the survey, country correspondents are advised to use the 6 case studies from their country to collect stakeholder contacts and invite approximately 10 stakeholders related to each case to participate in the survey.

2) Based on the database with identified stakeholders, the country correspondents will propose relevant stakeholders to participate in an EU-level policy conference, and will provide the organisers of the conference with the full contact details for the potential invitees from their countries.

Timing:

- Sending out invitations to the online survey to national stakeholders: February 2015 – April 2015
- Propose relevant national stakeholders to participate in a EU-level policy conference: end of April 2016

Expected output and deadline for submission:

- At least 60 respondents expected to fill in the online survey from each country. Invitations to participate in the online survey sent to all identified stakeholders: 30 April 2015
- A list of 10 relevant stakeholders to be submitted to the Task leader of EU-level conference (instructions for the profile of the stakeholders to be sent out to country correspondents in advance) by the end of April 2016.

Activity 5: Attend a workshop for discussion of a draft Framework for Assessment and Management of Sustainable Innovations

Context and description of the activity: The country correspondents will participate in a joint workshop in Vienna, organised by ZSI in July 2015.

Timing: 1-day event, taking place in July 2015.

Expected output and deadline for submission: evaluation questionnaire to be completed by the end of the workshop.

Activity 6: Conduct interviews with case study actors

Context of the activity: In case that some of the case studies identified by the country correspondents will be selected to participate in the pilot phase of application of the Framework for Assessment and Management of Sustainable Innovation, the respective country correspondent will be expected to support gathering feedback from actors that applied the Framework via personal interviews.

Description of the activity: The country correspondents will be responsible for interviewing the actors involved in case studies that they have mapped in Activity 2 (only if their case study is selected for the pilot phase of the project). Country correspondents will follow up on the results from a self-assessment questionnaire and will conduct interviews with 2-3

actors that participated in the pilot phase. The interviews will be semi-structured, thus, questions will be provided in advance to the country correspondents.

This activity is conditional on the selection of case studies for the pilot phase of the project, thus, will be paid in addition to the amount specified below in Section 4 “Estimated Value of the Public Contract” based on the number of conducted interviews. The expected workload for this activity is 1 day per face-to-face interview(s) of one case study and for transcribing the main outcomes of the interview

Timing: November 2015 - January 2016

Expected output and deadline for submission: Transcripts of the conducted interviews; to be sent by the end of January 2016

Activity 7: Provide feedback to the Final report on national and European-level policy recommendations

Context of the activity: A Policy Recommendations Report will be delivered at the end of the project. The report will present specific policy recommendations on how to improve policies for societal engagement with sustainable innovation, as well as innovation management in general, and how sustainability considerations can be incorporated into public management of innovation.

Description of the activity: The country correspondents will be asked to provide written feedback to the report.

Timing: February-March 2017

Expected output and deadline for submission: The country correspondents will be expected to provide around 2-page written feedback to the Final report on national and European-level policy recommendations. The feedback report should touch upon the following: i) To what extent are the provided policy recommendations relevant to the specific national context of the country correspondent? Suggestions for improvement of national policy recommendations; ii) To what extent do the policy recommendations and the report reflect issues related to sustainable innovation from the EU-level perspective? Suggestions for improvement of EU-level policy recommendations.

The feedback report should be written in English. It should be submitted by the end of March 2017.

Activity 8: Delivering policy briefs

Context of the activity: In order to establish a common interface for easy monitoring of and interchange with current EU and national policy cycles, the project envisages regular review of EU's strategic priorities and relevant policies, with a focus on innovation for addressing the Horizon 2020 grand challenge “Climate action, resource efficiency and raw materials” and regular screening of relevant EU and national policy debates and their specific policy outputs within the framework of sustainable innovation.

Description of the activity: Each country correspondents will prepare 2 policy briefs throughout the lifetime of the project, according to an agreed schedule with the CASI consortium. The policy briefs will present summary of developments, initiatives and impending challenges in each country correspondent country. The production of the policy briefs will be assisted by an appointed team from the consortium partners.

The policy briefs at the EU level will serve as input for the national policy briefs. Each policy brief at the national level includes an EU-level introduction to the theme, a comparison of national policy debates and a contribution to each national policy debate.

Timing: to be agreed for each country correspondent with the CASI consortium.

Expected output and deadline for submission:

Country correspondents should report to the consortium in 2 phases. The reports should cover:

1st reporting: short description of relevant national policy debates within a selected topic (8 weeks before the publication of policy briefs at the national level)

2nd reporting: short contribution to national policy debates by utilising insights from EU level policy debates and from comparisons of national policy debates (4 weeks before publication of policy briefs at the national level).

As a result, 2 policy briefs will be produced by each country correspondent with the assistance of the appointed consortium team.

Activity 9: Attend an EU-level policy conference

Context of the activity: A conference on European policies pertinent to sustainable innovation will be held in Brussels at the end of 2016. The participants will include a broad range of experts, stakeholders, policy-makers, MPs/MEPs, users, industry, and Commission officials. The conference will aim to suggest specific areas for EU-level action and will involve discussions on feasible recommendations for EU-level action.

Timing: 1-day event in October 2016

Expected output and deadline for submission: evaluation questionnaire to be completed by the end of the conference.

Summary of outputs and deadlines and estimated workload

Act Nu.	Activity description	Activity output/ deliverable	Timeline for implementation / Deadlines	Estimated workload
1	Participating in one of the two capacity-building workshops organised for country correspondents	Evaluation questionnaire	June 2014	2-day event*

2	Identifying case studies in sustainable innovation	6 sustainable innovation cases identified	31 July 2014	Minimum number of working days expected – 19.5 days
3	Mapping of key practices, players and outcomes	Filled-in template on key practices, players and outcomes for the 6 selected cases	12 December 2014	
4	List of national stakeholder contacts	Invitations to participate in the online survey to all identified national stakeholders; app. 60 respondents expected from each country.	April 2015	Minimum number of working days expected – 1.5 day
		A list of 10 relevant stakeholders to be submitted to the Task leader of EU-level conference	30 April 2016	
5	Attend a workshop for discussion of Framework for Assessment and Management of Sustainable Innovation	Evaluation questionnaire	May/June 2015	1-day event*
6	Conduct interviews with case study actors	Transcripts of interviews with case study actors related to pilot cases (conditional activity)	January 2016	~1 day per case study interview(s)**
7	Provide feedback to the Final report on national and European-level policy recommendations	2-page written feedback to the Final report on national and European-level policy recommendations	31 March 2017	~1 days
8	Delivering policy briefs	Reports on: 1) short description of relevant national policy debates within a selected topic	8 weeks before the publication of policy briefs at the national level	~4 days in total, 2 day per policy brief
		2) short contribution to national policy debates by utilising insights from EU level policy debates and from comparisons of national policy debates	4 weeks before publication of policy briefs at the national level	
9	Attend policy conference in Brussels	Evaluation questionnaire	October 2016	~1-day event*

* Only the travel and accommodation costs will be reimbursed for participation in events.

** Subject to additional payment

4. Duration and Timeframe

Start of the public contract implementation is expected on 1 June 2014. The date for the start of the public contract implementation is conditional upon the end of award procedure and signing the public contract with the selected tenderer.

The latest possible deadline for completing the public contract is by 30 June 2017.

5. Estimated Value of the Public Contract

The estimated maximum value of the public contract is EUR 10,400 net of VAT (travel costs are NOT included). The minimum expected workload for fulfilling all tasks described above

is 26 days. If applicable, additional days will be contracted for the conduct of interviews under Activity 6 described above. The country correspondents will NOT be paid honoraria for the participation in the events described above. The contract will not be open for amendment of services or budget. The travel costs will be paid on a reimbursable basis. The additional amount budgeted for the travel of each correspondent is up to EUR 2,500. The country correspondents are entitled to maximum 3 trips during the life-time of their contract, linked to the tasks to be performed.

Performance to be assessed based on the following criteria:

	Activity description	Activity output/deliverable	Performance quality criteria
1	Participating in one capacity-building workshop	Event participation	<ul style="list-style-type: none"> - Attending all sessions of the event - Filled in evaluation questionnaire
2	Identifying case studies in sustainable innovation	15-21 cases identified, of which at least 6 nominated for the mapping	<ul style="list-style-type: none"> - All cases fulfil the list of key criteria for identification of relevant practices in sustainable innovation - Submission as per the deadline indicated in the ToR (unless otherwise agreed)
3	Mapping of key practices, players and outcomes	Filled-in template on key practices, players and outcomes for the 6 selected cases	<ul style="list-style-type: none"> - Templates are filled in according to the instructions provided by the consortium - Submission as per the deadline indicated in the ToR (unless otherwise agreed)
4	List of national stakeholder contacts	Spreadsheet with filled in contact details of national stakeholders from different stakeholder groups and sending out invitations to participate in the online survey	<ul style="list-style-type: none"> - Stakeholders listed represent different stakeholder groups, as required by the consortium - Necessary contact information has been provided, as required by the consortium- At least 60 respondents from each country on the online survey - Execution of the task as per the deadline indicated in the ToR (unless otherwise agreed)
		A list of 10 relevant stakeholders to be submitted to the Task leader of EU-level Conference	<ul style="list-style-type: none"> - Submission as per the deadline indicated in the ToR (unless otherwise agreed with the Task leader)
5	Attend a workshop for discussion of Framework for Assessment and Management of Sustainable Innovations	Event participation	<ul style="list-style-type: none"> - Attending all sessions of the event - Filled in evaluation questionnaire
6	Conduct interviews with case study actors (conditional activity)	Transcripts of interviews (in EN)	<ul style="list-style-type: none"> - Transcripts of interviews (in EN) with case study actors related to pilot cases filled in according to instructions provided by the consortium - Execution of the task as per the deadline indicated in the ToR (unless otherwise agreed)

7	Provide feedback to the Final report on national and European-level policy recommendations	2-page written feedback to the Final report on national and European-level policy recommendations	<ul style="list-style-type: none"> - The submission should demonstrate an excellent command of English grammar and style - Submission as per the deadline indicated in the ToR (unless otherwise agreed)
8	Delivering policy briefs	Reports on: 1) short description of relevant national policy debates within a selected topic 2) short contribution to national policy debates by utilising insights from EU level policy debates and from comparisons of national policy debates	<ul style="list-style-type: none"> - Submissions cover the content specified in the ToR - The submission should demonstrate an excellent command of English grammar and style - Submission as per the deadline indicated in the ToR (unless otherwise agreed)
9	Attending the policy conference in Brussels	Filling in evaluation questionnaire	<ul style="list-style-type: none"> - Attending the policy conference - Evaluation questionnaire filled in

6. Requirements for Meeting Qualifications Criteria

Subcontractors should be based in the following country: Croatia. Contract will be signed with one subcontractor from this country.

Tenderers can be either physical persons or legal bodies. Each tenderer can submit only one offer for one country.

Providing proof of qualifications is a prerequisite for assessment and evaluation of a bid within the open call for tender. Qualifications shall be met by a subcontractor who can prove that they provide:

- proven expertise in the field of sustainability and innovation – finished or ongoing projects and service contracts
- publications on the topics of sustainability and/or innovation – links should be provided
- contacts with relevant national stakeholders
- knowledge of the national innovation landscape
- fluent written and spoken English
- readiness to travel
- provide the names and contacts of two referees

The following weights apply for the required qualifications:

Expertise in the field of sustainability and innovation	Max score: 7
Knowledge of the national innovation landscape	Max score: 5

Contacts with relevant national stakeholders	Max score: 3
Publications on the topics of sustainability and/or innovation	Max score: 2
Fluent English	Max score: 3
Total max score: 20	

Candidates which do not meet the minimum threshold of 10 scores will not be considered eligible.

7. Deadline for Submission and Contents of the Offers

7.1 Submission of an Offer

The deadline for submitting offers is 3 May 2014, 17 hrs Central European Time.

The offers (technical and financial offer) shall be submitted in writing as a pdf-document via email to the CASI Coordinator casi@online.bg (cc: zoya.damianova@online.bg) AND to the contracting authority representative schwarz@zsi.at

Please include in the subject of the e-mail the following:

612113 CASI country correspondent application for (name of the country)

Contracts will be signed by 31 May 2014.

7.2 Content of an Offer

Each offer should contain the following:

1) Technical content:

- Detailed CV(s) - key information should include number of years of experience and degree of responsibility held in various relevant projects;
- Detailed work programme, methodology, execution plan, staffing and monitoring for undertaking the proposed assignment, addressing all activities described above.

2) Financial proposal including information on:

- Proposed number of working days and total price net of VAT
- Indication if VAT will be charged and how much

- Estimated time consumption for the main components of the work plan
- Indicative calculation rates for travels, subsidies and other standard expenses.

A budget should be given, which provides budget lines for the main activities of the work plan.

The applicants should bear in mind that for participation in events (up to 3 events during the contract) they will be reimbursed for the travel and accommodation expenses. NO FEES are budgeted for participation in events.

The selection of the best offer will be based on a combined scoring method, where the price offer will be weighted 40%, the qualifications will be weighted 30% and the quality of the technical and financial offer will be weighted 30%.

8. Payment Conditions

It is foreseen that there will be three payments, linked to delivery of outputs as follows:

- December 2014
- January 2016
- upon fulfilment of the contract.

9. Other Conditions

The contractors reserve the right to amend or modify conditions laid down in the tender documentation. The contractors shall be obliged to inform all invited tenderers about any amendment to the tender documentation.

Requests for additional information (in writing or via e-mail) can be made on the following address:

Contact: casi@online.bg

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Each tenderer may submit only one offer per country. The time limit for submitting offers shall terminate on 3 May 2017 at 17.00 hrs Central European Time.