

Joint Call for Proposals for Research and Innovation Projects

EUROPEAN PARTNERSHIP DRIVING URBAN TRANSITIONS

Call for proposals n°2 (DUT Call 2023)

Co-funded by the European Commission (Grant N° 101069506)

Electronic Submission Guidelines for UDiManager uefiscdi-direct.ro

IMPORTANT DEADLINES

Submission deadline pre-proposals: 21 November 2023 at 13:00 (CET)

Submission deadline full-proposals: 30 April 2024 at 13:00 (CET)





Revisions of the submission guidelines

If the submission guidelines have been updated, the changes are tracked in the table below.

Date	Update in call text

Driving Urban Transitions (DUT)

The **Driving Urban Transitions** (DUT) Partnership builds upon the achievements of the Joint Programming Initiative (JPI) Urban Europe created in 2010 to address the global urban challenges with the ambition to develop a European research and innovation (R&I) hub on urban matters and create European solutions by means of coordinated research. JPI Urban Europe so far has implemented fifteen transnational Joint Calls (out of which five were in cooperation with the European Commission (EC), three in international cooperation).

It has contracted EUR 116.8 million, with 111 funded projects, bringing together 765 beneficiaries from 35 countries throughout Europe and the world.

It has published strategic research and innovation agendas (SRIA), in co-creation with urban stakeholders and R&I actors. In addition, active AGORA community and city network groups have been created.

While the DUT Partnership will build upon all these achievements, at the same time it will allow to enhance ambition, strongly increase the portfolio of projects, set up new measures towards capacity building, urban policy support, as well as demonstration and mainstreaming of results.

The DUT Partnership is supported by the EC and funded under the Horizon Europe co-funded Partnership scheme (Topic HORIZON-CL5-2021-D2-01-16), under Grant Agreement N° 101069506.

On a global level, the DUT Partnership's Call 2023 is part of the Mission Innovation (MI) call series, i.e., MICall23. As such, some of the call topics are directly prepared in collaboration with MI missions, and all topics of the Call are open for applications that directly and/or indirectly contribute to the work of MI missions.



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1 Introduction

The purpose of this document is to describe the steps required to submit a pre-proposal on the electronic submission system of the DUT Call 2023, following the information provided on the website: https://dutpartnership.eu/funding-opportunities/dut call 2023/ (pre-proposal template, link to the submission platform: https://uefiscdi-direct.ro, https://dutpartnership.eu/funding-opportunities/dut-call-2023-funding-agencies/ etc.).

The purpose of this Call for proposals is to support transnational research and/or innovation projects addressing urban challenges to help cities in their transition towards a more sustainable economy and functioning. The challenges are grouped into three themes called 'Transition Pathways': *Positive Energy Districts, the 15-minute City* and *Circular Urban Economies*.

It is the second Call of the Partnership *Driving Urban Transitions* (DUT) funded by the European Commission under the Horizon Europe Partnership scheme.

The projects selected within this Call will be funded directly by national/regional Funding Agencies from the following countries: Austria, Belgium, Bulgaria, Canada, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Korea, Iceland, Italy, Latvia, Lithuania, The Netherlands, Poland, Portugal, Romania, Slovenia, Spain, Sweden, Switzerland and Turkiye.

Each proposal must involve, at least, three partners from three countries on this list that are eligible for funding by their respective national/regional Funding Agency. The added value of transnational collaboration should be clearly stated.

The Call is open to a wide range of scientific disciplines and welcomes interdisciplinary approaches. It intends to support a large range of activities, from research to innovation and implementation.

It also asks applicants to engage explicitly with stakeholders (including but not limited to public authorities, companies and NGOs) in projects and to consider users' needs in the identification of project goals. Projects are expected to take a transdisciplinary and preferably co-creative approach from the early project formulation stage.

Further information on this Call (mandatory templates to use for applying, link to the submission platform, etc.) can be found on the <u>DUT Website</u>.

The Call is opened to a wide range of scientific disciplines and welcomes interdisciplinary approaches. It intends to support a large range of activities, from **research to innovation and implementation**.

Research and innovation should not be seen as conflicting and instead as a continuum and most projects will probably be a mix of both. However, to help ensure a balanced portfolio of funded projects covering the R&I landscape, applicants are asked to identify and indicate which of the following approaches is the best fit for their project, **depending on the main purpose of their proposal:**

- a more "research-oriented approach" (ROA) to support projects aiming at producing knowledge, analysing data, better understanding and modelling phenomena and developing expertise and tools that will be useful to stakeholders, practitioners and policy-makers. This R&I orientation (called ROA moving forwards) welcomes proposals mainly focused on strategic and/or applied research;
- a more "innovation-oriented approach" (IOA) to support projects aiming at developing or improving practical, operational solutions – technological and organisational – for companies, local communities and authorities in charge of urban transport and urban planning, as well as



management and testing of such solutions. This R&I orientation (called IOA moving forwards) welcomes proposals mainly focused on applied research and innovation¹;

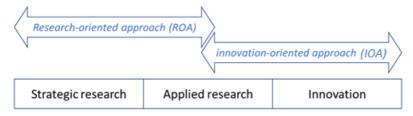


Figure 1: positioning of the ROA and IOA with respect to research and innovation

It also asks applicants to engage explicitly with stakeholders (companies, public authorities, NGOs...) in the projects and to consider users' needs in the identification of the project goals. Projects are expected to take a transdisciplinary and preferably co-creative approach from the early project formulation stages.

Both approaches are equal in relevance for this call.

For proposals combining both research and innovation aspects, the project coordinator has to choose the R&I approach that is the most relevant considering the main objective and major novelty brought about by their project.

For further information, please refer to the DUT Call 2023 Call Text and related documents available here: https://dutpartnership.eu/funding-opportunities/dut call 2023/.

1.1 About your pre-proposal

Prior to submission, the Main Applicant must read carefully the call announcement and prepare the application following the template available on the DUT Call 2023 website.

- General information about the pre-proposal and the project partners, abstract and the financial information (planned budget) will be submitted directly to the DUT Call 2023 electronic submission system, at www.uefiscdi-direct.ro;
- A pre-proposal template describing the quality of work, project objectives, key activities, data management, added value of the international cooperation and impact etc. is available at https://dutpartnership.eu/funding-opportunities/dut call 2023/ and will be uploaded in PDF format to uefiscdi-direct.ro, before the pre-proposal submission.

Please be aware that each funding organisation has its own funding criteria and regulations, which are mentioned in the call text. The financial information submitted at the transnational level is for evaluation purposes only. The presentation of the financial information to be submitted at the national level, for all proposals or for selected projects only depending on the funding organisation, might differ depending on the funding organisation (different categories of expenses, details about the distribution over time etc.).

1.2 About the submission system

DUT Call 2023 electronic submission system is based on the Executive Agency for Higher Education, Research, Development and Innovation Funding (UEFISCDI) electronic submission system, UDiManager (uefiscdi-direct.ro). The present document is designed to guide you through the submission process and ensure a smooth submission.

 $^{^{1}}$ If this call was focussed on technological research and development (which is not the case), we would have been talking of TRLs between 1 and 4 for ROA and above 4 for IOA.



Each (modified) section in the submission system must be saved (using the "Save" button) before going to another section.

1.3 Roles in the submission process

Each project pre-proposal must be submitted by the Main Applicant of a consortium consisting of **at least** three eligible Applicants from at least three different participating countries that are eligible for funding by their respective national/regional Funding Agency (see Annex A and the transnational eligibility criteria of the DUT Call Text 2023: https://dutpartnership.eu/funding-opportunities/dut_call_2023/.

- **Applicants** are defined as **organisations/institutions/companies** (*i.e.* legal entities) that apply for funding. Applicants can be:
 - research organisations (universities, university colleges, research institutes or other entities with research undertakings),
 - o companies and commercial organisations,
 - urban government authorities (such as regional and local government institutions, municipalities and municipal organisations, city authorities, urban public administrations, and infrastructure and service providers),
 - o **consumers and civil society representatives** (e.g. local and community organisations, non-governmental organisations, not-for-profit organisations, citizens' representatives, etc.).

A pre-proposal consortium must include at least one urban government authority (city, municipality or entity providing key urban services) either as a Main Applicant, Co- applicant, or Co-operation Partner depending on the national/regional eligibility criteria.

• The **Main Applicant** is the body responsible for coordinating and managing the project (*i.e.* project coordinator). It will be the contact point with the DUT Call Secretariat on behalf of the whole consortium and is responsible for the administrative management of the complete project. The Main Applicant is responsible for overseeing the project activities and ensuring that the work programme is on track.

A pre-proposal can be submitted electronically only by the Main Applicant.

- **Co-applicants** are Applicants other than the Main Applicant, eligible for funding from a Funding Agency. There may be more than one Co-applicant from any participating country. If there is more than one Co-applicant from a country, one of them needs to be identified as the National Contact Point.
- **Co-operation Partners** are partners that are not eligible for funding from Funding Agencies (e.g. partners from countries not participating in this Call or not eligible for funding by any of the Funding Agencies), but may be included in a project as Co-operation Partners if (a) they finance their activity from other sources and (b) the consortium in general fulfils the requirements on the number of eligible applicants from participating countries. A clear description/indication of the role and form of engagement of these Cooperation Partners should be included in the proposal. A written commitment (Letter of Intent) from Cooperation Partners, participating with their own funding or with an in-kind contribution should be submitted with the full-proposal. It should be noted that Co-operation Partners do not count toward the minimum of three eligible applicants from at least three participating countries outlined in the transnational eligibility rule 1 below.
- Partners generically covers Applicants and Co-operation Partners.

All partners need to confirm their participation in the pre-proposal consortium by e-mail. The invitation is sent through the submission system by the Main Applicant. This invitation can be sent twice. Only the Main Applicant will upload information in the DUT submission system and submit the pre-proposal.

• The Principal Investigator (PI) is defined as the person who is the lead investigator for an Applicant.



A Principal Investigator (PI) must only participate in a maximum of two proposals (unless otherwise required by their respective Funding Agency), and only once as the PI of a Main Applicant. If the Call Secretariat, in charge of checking transnational eligibility, identifies the same person as PI in more than two pre- proposals, or as PI of the Main Applicant of more than one pre-proposal, all pre- proposals/full-proposals in which they are a PI will be declared ineligible.

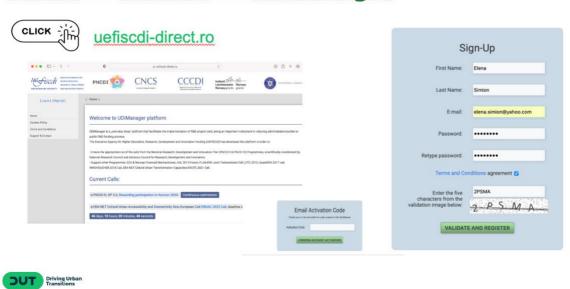
2 How to connect

The European Main Applicant can connect to the submission platform following the next steps.

2.1 DUT Call 2023 Submission System on UDiManager

Access www.uefiscdi-direct.ro and start creating your account by clicking on [Sign up]

Submission System: create an account on UDiManager



In case you have forgotten your password, you can recover it by accessing 'Forgot your password' option based on the e-mail address you used when creating the account. Follow the steps received by e-mail.

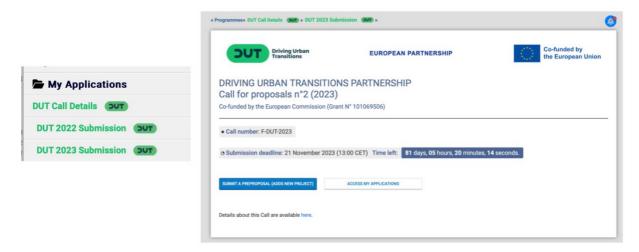
2.2 Create your pre-proposal

The Main Applicant accesses the **DUT 2023 Submission** from the Homepage of UDiManager (www.uefiscdi-direct.ro) and presses on **Submit a Preproposal**.

The submission process of a pre-proposal has now started. The Main Applicant can save the information introduced and access the pre-proposal later for other updates during the submission process (before the deadline), unless the pre-proposal is already finalized and submitted.



Submission System: create a pre-proposal on UDiManager



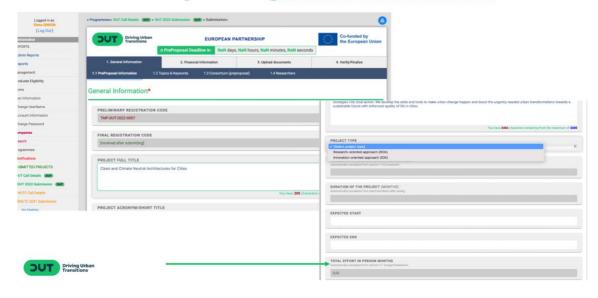
The DUT Call 2023 submission system has four main sections that the Main Applicant needs to fill in for all consortium partners: **General Information**, **Financial Information**, **Upload documents** and **Verify/Finalize**.

→ General Information

This section contains all the general information about your project and has four sub-sections:

1.1 Pre-proposal information: name, acronym, abstract, project duration, project type etc.

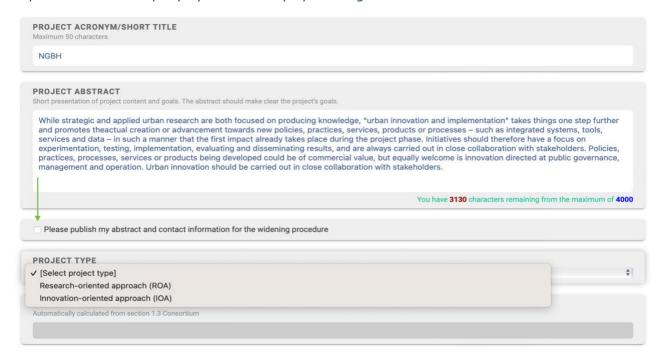
Submission System: general information



NEW! Please make sure you are checking the new option regarding the publication of the project's abstract for the *widening procedure*, as described by the DUT Call Text in section 4.1: "It is possible that invited



consortia will be explicitly allowed by the DUT Call Secretariat to integrate, in their full proposal, additional partners requesting funds from specific Funding Agencies, if these Funding Agencies are underrepresented in the proposals invited to the second stage. However, this possibility does not invalidate the consistency requirements between pre-proposal and full proposal stage outlined at the end of section 3.3."



In this General Information section, the Main Applicants is selecting the project type, according to the requirement of the DUT Call Text, only one of the two approaches can be chosen: research-oriented approach (ROA) or innovation-oriented approach (IOA).

For proposals combining both research and innovation aspects, the Main Applicant has to choose the R&I approach that is the most relevant considering the main objective and major novelty brought about by their project.

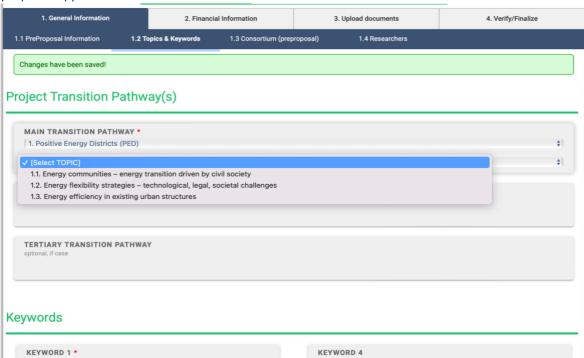




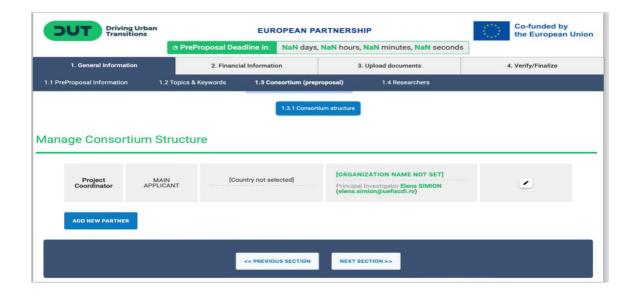
Please be aware that the total effort in person months (PM), total budget and requested budget for the overall pre-proposal is calculated automatically from the financial information (budget breakdown) section.

1.2 Topics and Key Words: here the Main Applicant is selecting the main Transition Pathway (TP) and the topics related to that specific TP and other connected Transition Pathways, if this is the case.

The submission system will require also mandatory and option keywords to better describe your preproposal approach.



1.3 Consortium (pre-proposal) – an essential section of the pre-proposal in the submission system. Here the Main Applicant adds the project partners and the requested details, keeping in mind the transnational and national eligibility rules of the DUT Call 2023.





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Once the Main Applicant has started the pre-proposal submission, in this section regarding the Consortium structure will be able to edit own details by pressing on the 'edit' symbol.

Project Partner 2 (P2) Project Partner 2 (P2) Project Partner 3 (P3) Project Partner 3 (P3) Project Partner 3 (P3)	
Project Partner 2 (P2) CO-APPLICANT Austria Austria Austria Austria Austria FORSCHUNGSFORDERUNGSGESELLSCHAFT MBH Principal Investigator from Partner 2 (P2) Elena SIMION (elena.simion@yahoo.com) Project CO-APPLICANT France AGENCE NATIONALE DE LA RECHERCHE	
Austrian Research Promotion Agency (FFG) Principal Investigator from Partner 2 (P2) Elena SIMION (elena.simion@yahoo.com) Project CO-APPLICANT France AGENCE NATIONALE DE LA RECHERCHE	/ 1
Project CO-AFFEIGANI	
(P3) Agence Nationale de la Recherche (ANR) Agence Nationale de la SIMION (elena.simion@gmail.com)	/ ↑ ↓
Project PARTNER Romania CAFENEAUA DE INOVARE	↑ ↑ ↓
(P4) Contact Person from Partner 4 (P4) Elena SIMION (crew@cafeneauadeinovare.ro)	
Project Partner 5 [SELECT TYPE] [Country not selected] [ORGANIZATION NAME NOT SET] Contact Person from Partner 5 (P5) ()	

The first step to edit a partner profile is to select the role in the project: Co-applicant or Cooperation Partners. Please refer to section 3.1 above or to the DUT Call Text for the definitions.

It is mandatory to use a PIC for all pre-proposal partners asking for funds from the DUT Funding Agencies. When available, it is advisable to use a PIC also for the Cooperation Partners.

PICs are mandatory for all applicants. Validation of the PIC is not mandatory. normally takes 10 minutes register organisation: to your 1. check organization already <u>registered</u> vour not already, register organization The EC also provides additional instructions that you may find helpful.

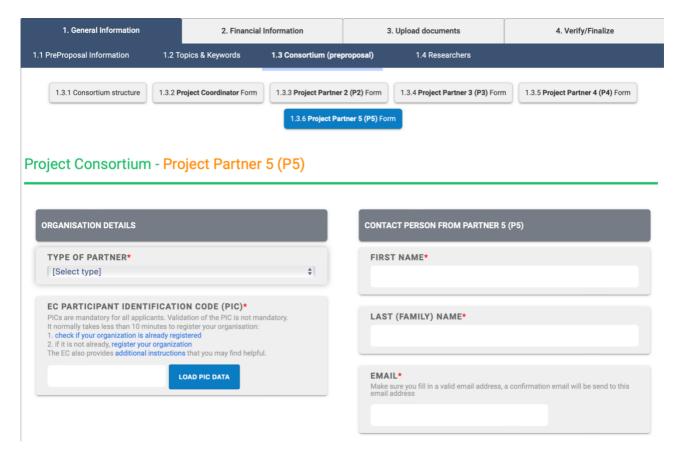
Once the PIC is introduced, the information is imported automatically from the European Commission's portal.

The Main Applicant needs to make sure that the type of organisation is correctly selected as well as the Funding Agency where the respective partner is applying for funds. Please be aware that once one partner is added, a budget section is created for that partner automatically in section 2 – Financial Information.

All fields marked with red * are mandatory. However, if some information is missing, the option to press Verify in section 4 – Verify/Finalize will help the Main Applicant to return to the section and add the missing information.

The Main Applicants needs to make sure the Curriculum Vitae of the PI, gender and other contact details are filled-in correctly.

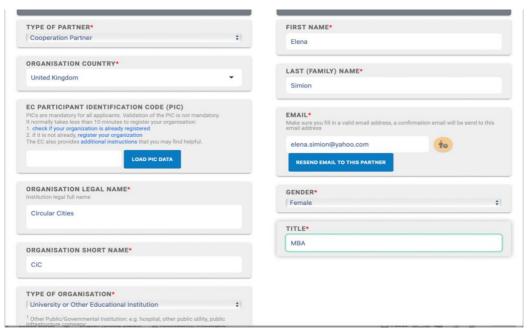




Overall, the Main Applicant needs to pay attention **when selecting the number of partners**, as their number will later correlate with the Financial information (budget planning) section.]

Please remember to always press "Save" when navigating from one section to another.

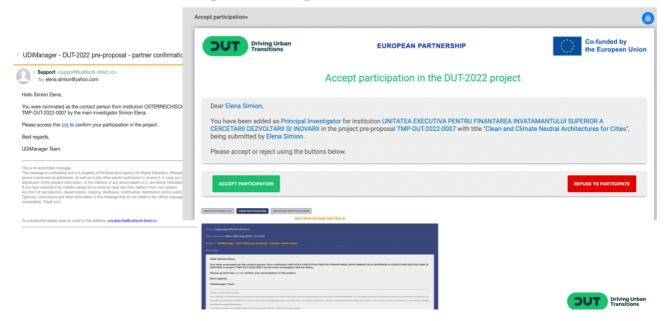
Once a new partner is added and the Main Applicant has filled-in the required data for the respective organisation, after pressing Save, the e-mail address introduced will receive and invitation to confirm participation in the pre-proposal consortium.





If the respective partner didn't receive the invitation, the Main Applicant can resend it through the submission system, by pressing **Resend e-mail to this partner**.

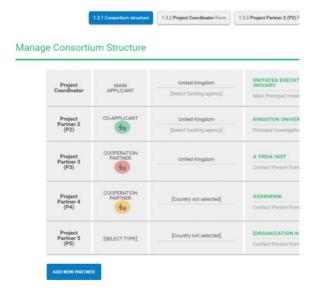
Submission System: partner confirmation

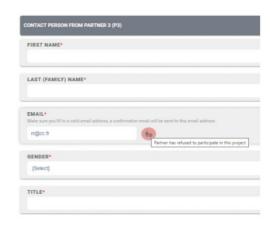


The e-mail account nominated for the respective partner will receive a notification to confirm by e-mail the participation. No further actions are possible for the project partners, only the Main Applicant edits the preproposal in the submission system (UDiManager).

The Main Applicant can check the status for the partners' confirmation in section 1.3 Consortium (preproposal)

Submission System: partner confirmation







NEW! There is a new feature available in the submission system for the DUT Call 2023 regarding the applicants from the same country: one organisation from the consortium coming from the same country can be appointed as the national contact point. This way, the Funding Partner from that country will contact directly the appointed national contact point for any clarifications during the national eligibility checks.

Project Partner 5 (P5)	CO-APPLICANT	Italy Ministero Dell'Universita' e Della Ricerca (MUR)	
Project Partner 6 (P6)	COOPERATION PARTNER	Italy NCP	Contact Person from Partner 6 (P6) ()
Project Partner 7 (P7)	COOPERATION PARTNER	Italy	Contact Person from Partner 7 (P7) ()
Project Partner 8 (P8)	CO-APPLICANT	Portugal Fundação para a Ciência e a Tecnologia (FCT)	Contact Person from Partner 8 (P8) ()
Project Partner 9 (P9)	CO-APPLICANT	Portugal NCP Fundação para a Ciência e a Tecnologia (FCT)	Contact Person from Partner 9 (P9) ()
Project Partner 10 (P10)	CO-APPLICANT	Portugal Fundação para a Ciência e a Tecnologia (FCT)	Contact Person from Partner 10 (P10) ()
ADD NEW PARTNE	₹		

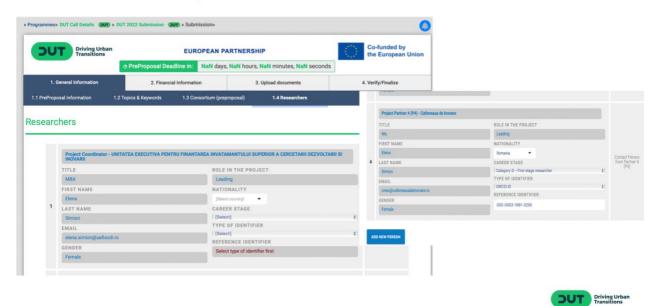
onal Contact Points (NCP)



1.4 Researchers – this sub-section will already display all the persons nominated for each partner organisation involved in the pre-proposal consortium. Very similar to the List of Researchers available in the calls launched under Horizon Europe, the Main Applicant will have the option to add a research category and a researcher ID (e.g.: ORCID. Furthermore, this section allows adding more researchers involved in one partner organisation.



Submission System: researchers



→ Financial information

This section is dedicated to the budget planning for your project. The Main Applicant needs to carefully check all the information introduced and press the "Save" button after filling in the information for each project partner, to make sure your final financial data is correctly displayed.

Submission System: financial information



The Main Applicant needs to make sure that is selecting the correct type of research and/or innovation that the respective organisation is asking funds for, in accordance with the DUT Call Text and Annex A.

In addition to the transnational rules and procedures of the DUT Call 2023, there may be specific Funding Agencies' rules (e.g. Funding Agencies' eligibility criteria for certain organisations, co-funding



requirements, national/regional evaluation rules, submission of additional documents or information on a national/regional platform, etc.). Please note that there are also limitations regarding the types of research or innovation activities that different Funding Agencies are able to support.

It is strongly recommended to check these national/regional rules with the contact person at the respective Funding Agency (see **Annex A**) before submitting a proposal.

Please be aware that the PM effort, total budget and the requested funds are calculated automatically for the entire consortium and totalled automatically in the first screen (sub-section Preproposal information in 1. General information).

The Cooperation Partners, the entities that are not eligible for funding will also have a budget associated with only one category where the Main Applicant can insert the equivalent of their in-kind contribution to the project or a number for their own funds. However, that field can be also left with a "0" (null) if it is not possible to provide such an estimation.



SAVE CHANGES AND CALCULATE TOTALS

Please be aware that a Letter of Intent is mandatory for the Cooperation Partners only for those consortia invited to submit a full proposal, in the second phase of the DUT Call 2023.



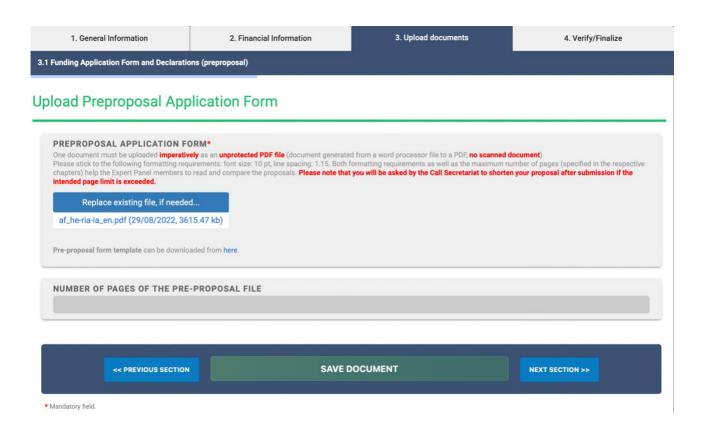
→ Upload documents

This area is dedicated to an extended description of the project where applicants need to provide information about the quality of work, project objectives, key activities, data management, added value of the international cooperation, impact and other relevant data.

One document must be uploaded imperatively as an **unprotected PDF file** (document generated from a word processor file to a PDF, no scanned document). Please use the template available on the DUT Call's website: https://dutpartnership.eu/dut_call_2022/. Link is also available in the submission system.

Please stick to the following formatting requirements: font size: 10 pt, line spacing: 1.15. Both formatting requirements as well as the maximum number of pages (specified in the respective chapters) help the Expert Panel members to read and compare the proposals. Please note that you will be asked by the Call Secretariat to shorten your proposal after submission if the intended page limit (12 pages) is exceeded.

Once the PDF is uploaded, the Main Applicant can still replace it, if late changes occur, but no changes are possible after the pre-proposal submission deadline.



→ Submission of the pre-proposal - Section 4. Verify/finalize

This area allows the Main Applicants to check if any relevant information is missing from their application. '**Verify'** can be pressed many times before the submission. '**Finalize'** is the button that will convert the application to an official record (timestamp) followed by a receipt confirmation message and offering also the possibility to download a copy of your application.

Unless your application is final, please make sure you don't press 'Finalize'.

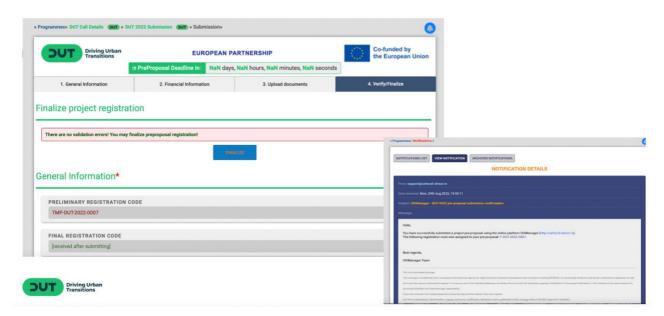


After submission, in case a Main Applicant wishes to **withdraw** an application, please contact the DUT Call Secretariat at <u>call@dutpartnership.eu</u>.

Submission System: Verify/Finalize



Submission System: Verify/Finalize





The submission system (UDiManager) will automatically send a **submission confirmation e-mail message** to the Main Applicant containing the application identification number as well as the submission timestamp.

You can also double-check the **submission notifications** from your UDiManager account.

For any technical difficulties, please contact the IT team coordinating the submission system at support@uefiscdi-direct.ro.

If you have questions on the general call process and pre-proposal submission, please contact the

DUT Call Secretariat:

Elena Simion

UEFISCDI - Executive Agency for Higher Education, Research, Development and Innovation Funding

Nicolas Paulien

Agence Nationale de la Recherche (ANR)

Pascal Bain

Agence Nationale de la Recherche (ANR)

Maria Rachele Nocera

Ministero dell'Università e della Ricerca (MUR)

E-mail: call@dutpartnership.eu

Contact points of participating Funding Agencies

For questions regarding specific Funding Agencies' rules and additional forms please check "Annex A: Specific Funding Agencies' Budgets and Rules of Eligibility" first. Additional information can be obtained by contacting the indicated national contact persons at the participating Funding Agencies: https://dutpartnership.eu/funding-opportunities/dut_call_2023/.