

Joint Call for Proposals for Research and Innovation Projects

EUROPEAN PARTNERSHIP DRIVING URBAN TRANSITIONS

DUT Call 2024

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

Guidance and FAQ

IMPORTANT DATES

Opening of the Call for Pre-Proposals: 2 September 2024

Submission deadline Pre-Proposals: 14 November 2024 at 13:00 (CET)

Submission deadline Full proposals: 24 April 2025 at 13:00 (CEST)



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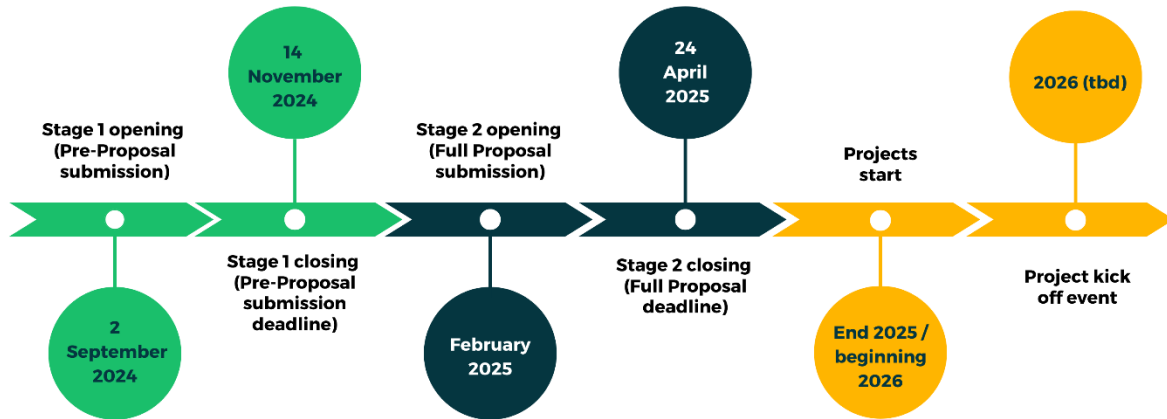
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Revisions

If this document has been updated, the changes are tracked in the table below.

Date	Update

Overview



The DUT Call consists of both a transnational part and a national/regional part.

The transnational part of the Call is divided into two stages:

- Stage 1: Submission of a Pre-Proposal.
- Stage 2: Submission of a Full Proposal, only if the Pre-Proposal is invited to participate in Stage 2.

Important! Some Funding Agencies require submission of a proposal on national/regional level. See the respective national/regional requirements for more information (in Annex A in the Call Text).

Where to find information

You can find the Call Text and other important documents on the [DUT website](#).

If you have any questions about the Call, attend our [Info Day 1](#) on 10 September. Representatives from most participating Funding Agencies will be there to answer question regarding national/regional eligibility. You can also attend national/regional information sessions, hosted separately by the Funding Agencies. These events can be found in the event calendar on the [DUT matchmaking platform](#).

Contact information

DUT Call Secretariat: call@dutpartnership.eu

Contact information to participating Funding Agencies can be found in Annex A in the Call text.

Where to start?

1. Review Call topics

The Call topics can be found on the [DUT website](#) and in the Call Text.

2. Check what countries that are participating in the Call

The list of involved countries/Funding Agencies for the DUT Call 2024 will not be final until 2 September, when the Call launches officially. More Agencies may be added, some Agencies may still opt out.

Please refer to the National Annex (Annex A in the Call Text) for a list of Funding Agencies per country. If your country has multiple Funding Agencies, you can find their contact points in the specific Annexes.

3. Check the eligibility criteria and consortium requirements in the Call Text

Information about eligibility criteria and consortium requirements can be found in section 3.1 in the Call Text.

• Who can participate and apply for funding? (Call Text section 3.1)

The principal types of eligible applicants according to transnational rules are listed in the Call Text:

- **research organisations** (higher education institutions including universities, university colleges; research institutes or other entities with research undertakings),
- **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),
- **consumers and civil society representatives** (e.g. local and community organisations, non-governmental organisations, not-for-profit organisations, citizens' representatives, etc.).
- **From the culture and creative sectors** (e.g. artists and designers)

However, apart from this transnational definition, national funding rules may restrict the eligibility of certain groups. Therefore, it is important to check the specific rules in your country/region and the respective Funding Agency. Please refer to Annex A of the Call Text for further details.

• Roles in a consortium: (Call Text section 3.1)

- **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.
- **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. In some cases where there is more than one Co-applicant from one country, the

- responsible Funding Agency may require one of them to be identified as the National Contact Point (NCP); this is done by the Main Applicant, by nominating a partner as such.
- **Cooperation Partners** are partners that are ineligible for funding from Funding Agencies (e.g. partners from countries not participating in this Call or ineligible for funding by any of the Funding Agencies, or are eligible but want to participate without receiving funding), but may be included in a project as Cooperation 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 Cooperation Partners do not count toward DUT Call 2024 Call Text Page 30/107 the minimum of three eligible applicants from at least three participating countries outlined in the transnational eligibility rule 1 below.
 - Partners generically covers Main and Co-applicants and Cooperation Partners.
 - The Principal Investigator (PI) is defined as the person who is the lead investigator for an Applicant.
- **Eligibility rules for the consortia and applicants** (Call Text section 3.1)

The transnational eligibility rules can be found on page 30 in the Call Text.

In addition to the transnational rules and procedures, there may be specific Funding Agencies' rules (e.g. Funding Agencies' eligibility criteria for certain organisations, cofunding 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.

4. Find project partners/ build a project consortium

Before preparing and submitting an application, you need to find partners for your project. To assist you in this process, we have created a matchmaking platform. On this platform, you can add a cooperation opportunity if you have a specific project that you are interested in finding partners to. You can also browse project ideas posted by others and look for consortia to join.

[Go to the matchmaking platform.](#)

How to apply?

In the first stage, consortia are invited to submit Pre-Proposals. A Pre-Proposal includes a description of the partners, concise project description of no more than 13 pages, and budget indications with limited details fulfilling national/regional requirements.

The transnational proposal of a proposal needs to be submitted on the [UDi-Manager platform](#) by the principal investigator (PI) of the main applicant.

Pre-Proposals/Full Proposals must be prepared in English using the designated mandatory proposal form. The proposal forms will be available on the DUT website.

An online help document with guidelines for submission will be provided, detailing the procedures and duties of the Main Applicant and of other consortium partners. This will be available on [the DUT website](#).

Read the full eligibility rules and the recommendations for preparing and submitting a Pre-Proposal/Full Proposal in section 3.3 in the Call Text.

The Call for Pre-Proposals is open until 14 November 2024, 13:00 (CET).

In March 2025, applicants will be invited to enter the second stage of the procedure: the Call for Full Proposals will close on 24 April 2025, 13:00 (CEST). Only Pre-Proposals invited to submit a Full Proposal are eligible in the second stage.

A national application may also be necessary. However, not all Funding Agencies require a national application. Please check Annex A of the Call Text or contact your funding agency. Contact information to the participating national Funding Agencies can be found in Annex A of the Call Text.

Assessment and selection procedure

Find information about the assessment and selection procedure in section 4 in the Call Text.

FAQ

Application procedure

Our organisation from Austria will be the main applicant. Should the other two partners coming from other countries also apply at national level?

For many countries, the answer is yes, they have to apply at national level as well. However, not all Funding Agencies require a national application. Please check Annex A of the Call Text or contact your Funding Agency.

If a national application is declared ineligible in stage 1, will this lead to a rejection of the whole proposal, or is there a chance to adjust the application in stage 2?

If the national Funding Agency declares a partner ineligible, this partner will be removed from the consortium and will not advance to the second stage. To avoid this, we highly recommend getting in touch with your Funding Agency to clarify national requirements. The whole proposal, however, will only be rejected if it is no longer eligible according to transnational eligibility rules (see Call Text), e.g. if there are too few countries or if the consortium does not include a communal partner anymore.

What kind of feedback will we get on our submitted proposal in stage 1?

Once the evaluation and selection of proposals to be invited to stage 2 are done, all Main Applicants will have the opportunity to check on the transnational submission platform the Summary report made by the experts. You will receive feedback on which aspects to improve, and where the strengths and weaknesses of your proposal lie.

This feedback will be given to proposals that were invited to the second stage as well as rejected proposals (so that you may consider it for a reapplication next year)

At which stage can new partners be added via the Inclusion Procedure?

After Stage 1, when the proposals have been invited to prepare their full proposals for Stage 2. A designated FAQ for this (along with the list of Agencies which accept new partners) will be published after the end of Stage 1.

What is considered a fundamental change in the proposal?

Fundamental changes could be an exceptional change of the principal investigator (PI) for the main applicant. A minor change might concern the demand of funding.

Generally speaking, if you are not sure if a change is permitted, please always contact your Funding Agency.

How many partners can I add to the pre-proposal template?

You may add as many proposal partners as needed.



To what extent should a work plan (work packages, tasks, leadership of WPs in consortium) already be defined in the pre-proposal stage?

An outline of the envisioned work programme, the results expected within the duration of the proposal and the main milestones should be described under section 6 in the pre-proposal. As the length of this section is limited in the template, you do not need to go in depth. Later on, in the full proposal, there will be no limit to develop the work plan.

Is there a budget template that includes e.g. Swiss Francs and Euros, or should it all be aligned in Euros?

The estimated budget must be given in euros only.

What do you consider a consortium reference as requested in the pre-proposal template?

The section 7 in the pre-proposal template refers to relevant references related to the consortium in regards to your proposal's Topic. In practice, the proposal partners, who can present such relevant references themselves, bring them in.

Is the PIC-number the same as last year?

The PIC of your organisation will be the same unless your organisation has legally changed.

If your organisation does not have a PIC, please enter a string of zeroes.

The Consortium

Is there a maximum number of applicants?

Small to medium sized consortia (involving funding requests to 3-5 Funding Agencies on average per proposal), are expected. However, there is no upper limit and consortia may involve as many partners as necessary for a convincing proposal. Please ensure that all participants have a justified role and are not there solely to "bulk out" a proposal.

Does a consortium need to be transnational?

Yes, your consortium must be transnational.

Is a mixed consortium, i.e. at least 1 of each type of partner, expected or not necessary? Is there a minimum number of countries involved?

Regarding transnational rules (Call Text), there is a minimum of three participating countries required. Mixed consortia with different types of partners are not necessary, though at least one municipal partner is required.

There may, however, be stricter rules at national level - please check Annex A for details.

What is the difference between the requirements "At least three eligible Applicants from at least three different participating countries" and "at least two of the eligible Applicants must



be from different EU Member States or Associated Countries eligible for EC co-funding in this Call" under the first transnational eligibility rule?

The consortium must include funded partners from three countries in total. Only two of those countries must be participating EU member states or associated partners (these can be found in the Call Text). The third country can be any country participating in the partnership, even if they are not a member state or associated partner.

Do the cooperation partners satisfy the rule of having a minimum of three member states?

They do not count toward the transnational eligibility rule 1.

Can we add additional cooperation partners during the full proposal stage? Or do we need to fix the consortium at the pre-proposal stage?

You may add cooperation partners (partners that do not directly receive funding) at any time.

What needs to be considered for collaborations between EU and non-EU countries but who have access to Horizon? E.g. an EU research institute collaborating with a non-EU city as case implementation.

Consortia must include at least three independent legal entities applying for funding from three different countries that have Funding Agencies participating in the call. In addition, at least two eligible applicants within a consortium must be from different EU member states or associated countries eligible for EC co-funding in this Call. If the non-EU country you are speaking of is an associated country with a Funding Agency funding your proposal partner, they would count towards both limits.

Can widening countries lead a proposal or too, should they only take part as a partner?

It is definitely possible for widening countries to be Main Applicants.

How should we make visible in the application that we involved stakeholders in the proposal development and design?

Describing it in the proposal (e.g. with graphs, data, numbers) is probably the easiest solution. If you have a stakeholder who is very committed, they can also become part of the consortium, e.g. as a cooperation partner who hands in a Letter of Interest but does not receive funding from any participating Funding Agency.

Are Letters of Interests necessary for stage 1 or only stage 2?

Letters of Interest from cooperation partners should be submitted with the full proposal (stage 2).

Is it possible for a water utility to submit an application during this call? (This is a local entity with a municipal scope but with statutory, administrative and financial autonomy.) Or can only public organisations apply?

This is perfectly possible on a transnational level; a consortium should include as many practical partners as is necessary for the proposal's success.

The Call text lists all types of applicants that can apply for funding. Additionally, cooperation partners not receiving funds may be included in a proposal as well (without restrictions regarding their organisation type).

However, there may be restrictions on the national level – please check the rules of your Funding Agency to see if they fund water utility organisations (see Annex A).

If we are not eligible for direct funding as an NGO in our country, can we join a consortium as subcontractor?

This depends on the eligibility rules of the respective Funding Agency. Please check Annex A of the Call Text or contact the Funding Agency directly.

Are there restrictions for the participation of affiliated companies? For example would two companies from the same group (but in different countries) participating in the proposal be eligible?

Different (national) restrictions may apply. Therefore, we strongly suggest contacting your national/regional Funding Agencies and the Call Secretariat since details on how your companies are linked to each other may make a difference.

Participation of cities

Does the requirement for a local governance office/city office in the consortium apply to each international partner or the consortium as a whole?

According to transnational eligibility rule 4, there needs to be one city/entity providing public services in the consortium. However, each participating country also has national rules that apply (for example, they may require a city from their country). Therefore, it is always important to check the rules of the responsible agencies in Annex A of the Call Text.

Is it a “must” that the city is part of the consortium or is an LOI describing the kind of cooperation on local level enough?

Each consortium must include at least one urban government authority partner, either as a Main Applicant, Co-applicant or Cooperation Partner, depending on the national/regional eligibility criteria. Please check Annex A of the Call Text to be sure that city/urban authorities can be funded by your national/regional Funding Agency.

A Letter of Interest is mandatory only for Cooperation Partners (partners that participate with their own funds).

Can cities receive funding?

At transnational level, yes, but at national level not necessarily. Please check the rules of your national/regional Funding Agency (Annex A of the Call Text).

In my country, public authorities are not eligible for funding from the national Funding Agencies. Cities, however, are compulsory to be part of a consortium. What do you expect from them, especially in basic research proposals?



If your country cannot fund public authorities, you can include partners from a different country where city administrations can be funding. If that is not an option, the urban authority partner can be a cooperation partner instead.

Is it beneficial to have several cities/municipalities from different countries as living labs - meaning is it better to have more than one living lab in the consortium?

That depends on your proposal, and its goals and challenges. In general, the involvement of cities is welcome.

Would a consortium that includes a city (county capital) as well as a commune (smaller municipality of 4 villages) researching a mirror/parallel process centred on nature-based solutions be suitable? (The rural municipality and the city in our coalition share/neighbour a natural area and face similar and different challenges.)

From a transnational standpoint, this is acceptable. Please check the rules of your national/regional Funding Agency (Annex A of the Call Text).

Can cities in global South be a) included in DUT proposal 2) funded by DUT proposal?

They can participate as cooperation partners. As funded partners, only organisations / institutions / companies from participating countries can receive funding (the list is available on the website and in the Call Text).

Should we foresee a case study site in each participating country of our proposal or is one in the whole proposal sufficient?

This depends mainly on your proposal/proposal - if having just one physical site makes sense, then this should be fine (unless the national/regional rules of your funding agency demand you have more than one). If having more sites makes your proposal stronger, then this would of course be a good idea.

Generally speaking, the proposal should have a clear benefit from the transnational implementation, so if you have only one physical site it still needs to be clear why the proposal is better suited for a transnational approach than simply being submitted to a purely national call.

Call topics

Is there an overview per Pathway regarding which countries can or cannot be involved in a Topic?

Annex A of the Call Text includes a table that indicates which Funding Agency supports proposals under which Pathways and Topics.

Each Topic lists a number of "expected outputs". Should proposals address all the bullet points listed here or just a selection?

The list of expected outputs is not a mandatory tick-the-box list, so not all aspects need to be covered. However, it will be beneficial in the evaluation if most/a high number of them are considered.



Funding

Which costs are eligible?

Please regard the national/regional information and eligibility criteria in Annex A of the Call Text and consult your national/regional Funding Agency for further details.

What are the rules for sub-contracting?

This depends on your responsible Funding Agency - please check Annex A of the Call Text for details.

Will each proposal partner receive only national funding or is there also a transnational budget?

Most proposal partners (those from eligible countries) will also receive co-funding by the European Commission.

Is there a relationship between DUT and Horizon funding?

The DUT Partnership is a proposal funded by HORIZON EUROPE. Therefore, all your proposals are also co-funded by the European Commission, since eligible Agencies receive a co-fund.

How much of the costs will be EU co-funded?

The total co-fund will amount to up to 30% of the eligible Funding Agency budget for the 2024 and 2025 Calls.

What about the maximum possible funding amount for a proposal? Can the total funding for a proposal be higher than each country range?

The maximum funding for each proposal partner depends on the funding rules of the respective national or regional Funding Agency. Therefore, the total funding rate at proposal level can be higher than at partner level.

If we have a 500k proposal and a partner in another country (country A) than the country of the lead partner (country B), will the A partner receive their respective budget from their country's (A) total budget or from the B budget?

The partner receives the funding from the Funding Agency in its own country/region (in that partner's case, from country A). It is therefore important to check the national eligibility rules in Annex A of the Call Text.

Is it expected to have a consortium with joint liability, or will the partnership be as in EU proposals with grant agreement (GA) (every partner has its own liability)?

A proposal does not receive a joint GA, but GA from each involved Funding Agency. Therefore, you need a consortium agreement (CA) that covers liability (and also the minimum requirements stated in the Call Text).

Within each Transition Pathway, will there at least one research-oriented approach and one innovation-oriented approach be funded?

That is the goal; whether or not it can be met depends on the submitted proposals.

Can a proposal be declined because one of the national budgets for one of the partners is oversubscribed? In other words, does it pay off to include partners from 'undersubscribed countries'?

Yes, that may happen (depending on your score) and therefore it may pay off to include partners from undersubscribed countries. Please refer to the Call Text to see each Agency's budget and expected number of proposals – Agencies with a lower budget have a higher possibility of being oversubscribed.

My country does not have a budget for the CUE Pathway, but the lead partner does have a budget on this priority - could we be part of this proposal and receive funds from our lead partner's national agency?

In general, you cannot be part of a consortium that follows this Pathway if your Funding Agency does not fund it. Your budget will come from your own national Agency, not from the lead partner's Agency.

In such cases, however, please always check back with your Agency to get their consult.

Other

How long are projects expected to last?

The project duration may not exceed 36 months (3 years).

What are the upsides and possible downsides of submitting several proposals for the call? Is there anything to consider, if one organization is planning to submit submissions for all three Transition Pathways and possibly even proposals for different Topics under one Pathway.

There are no downsides in applying in multiple proposals, as long as you show sufficient capacities to work on all proposals at the same time. Additionally, please make sure you check with your National Contact Point (see Annex A in the Call Text) first, if you may apply multiple times according to your national/regional rules. Please also make sure you respect the transnational rule 3 on PIs (explained in the Call Text).

A question about cooperation between projects: is it something you are considering at the proposal evaluation stage?

Cooperation between projects is technically not explored during the evaluation stage. However, the Knowledge Hub (see Call Text) could allow such cooperation in the future.



What is the level of achievements expected at the end of a DUT proposal? Should it be more focused on studies, inquiries (first stage: design) or more on prototypes, real-life experiments (second stage: testing), or even investment, full-scale demonstration (third stage: implementation)?

It depends on the type of approach you choose (strategic research, applied research or innovation). Remember to check Annex A of the Call Text to see what types of approach your Funding Agency supports.

How would the expected outcomes/products change if you choose research-oriented approach (ROA) versus innovation-oriented approach (IOA)?

ROA supports proposals aimed at producing knowledge, analysing data, better understanding and modelling phenomena, and developing expertise and tools that will be useful to stakeholders, practitioners and policymakers. It calls for proposals mainly focused on strategic and/or applied research. IOA supports proposals aimed 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. It calls for proposals mainly focused on applied research and innovation.