Guide for applicants

KDT JU Calls for Proposals (IA, RIA, CSA Actions)

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1. **INTRODUCTION**

The KDT Joint Undertaking is a public-private partnership that funds Research, Development and Innovation projects in Electronic Components and Systems, engaging finances from the EU, KDT JU Participating States and the participants (industry, academia, etc.).

All the questions pertaining to the KDT JU Calls are to be addressed to the above-mentioned functional mailbox, which is continuously monitored by the Calls team, which does its best to provide an answer as soon as possible (in principle the same day if a workday).

All the IT-related questions concerning the submission tool/portal need to be addressed directly to the IT Help Desk in charge of the Funding and Tenders Portal: [https://ec.europa.eu/info/funding-tenders/opportunities/portal/screen/support/helpdesks/contact-form](https://ec.europa.eu/info/funding-tenders/opportunities/portal/screen/support/helpdesks/contact-form) or to the service desk by email: EC-FUNDING-TENDER-SERVICE-DESK@ec.europa.eu or by phone +32 2 29 92222

All questions related to the national/regional funding are to be directly addressed to the contact persons mentioned by the National Funding Authorities in the KDT JU Annual Work Programme. The national/regional funding is exclusively handled by the respective National Funding Authorities and each KDT JU Participating State has its own rules and criteria.

The specificity of the KDT JU consists essentially in its tripartite funding scheme: the actions are indeed funded by the private sector supported by European grants and national grants (including in the latter cases possible funding from regional sources). Therefore, the proposals for KDT JU projects have multiple funding sources:

- EU funding through KDT JU
- national/regional funding (through the KDT JU Participating States)

This multi-partite funding results in requirement adjustments, which are specific to KDT JU and differ in quite several aspects from the general Horizon programme.

This “Guide for applicants” provides the applicants with the necessary information and/or directs them to the appropriate sources of information necessary to prepare and submit the proposals for KDT JU Calls. It highlights the differences imposed by the KDT JU specificity, provides clarification where needed, and gives additional information on an important topic: how to reconcile the specificities of the KDT JU funding mechanism and the limitations resulted from the default setup of the submission tools which is based on the standard Horizon Europe programme (later called Horizon in this document).
All information concerning the KDT JU Calls is published on the KDT JU website and can be found under the menu “Participate” / “Current Call” – including the links to the Calls Pages in the Funding and Tenders Portal (under “Search Funding & Tenders” / “Grants” / “Horizon Europe”). The electronic submission system has also an online wizard that guides the applicants step-by-step through the preparation of their proposal (“Grants”/“Applying for funding”/“Submit a proposal — Electronic Submission System”).

The proposals for KDT JU Calls MUST be submitted ONLY through the dedicated Calls Pages in the Funding and Tenders Portal!

In this document are described important issues the participants are confronted with at various stages during the submission and grant management phases:

2. SUBMISSION

- The TIMELINES (deadlines for the proposal submissions) are clearly indicated both on the KDT JU website and on the Calls Pages in Funding and Tenders Portal in the format: date (day/month/year), time (hh:mm:ss Brussels time/CET).

- The Type of action (KDT IA – Innovation Action, KDT RIA – Research and Innovation Action, KDT CSA – Coordination and Support Action) addressed by each Call is clearly indicated both on the KDT JU website and the Calls Pages in the Funding and Tenders Portal. The participants are invited to carefully check this information in order to assess which call/topic they target and in which call/topic their proposal is submitted (whether IA, RIA or CSA). As a call can have different topics, this also concerns which topic within a respective call the participants are interested in.

- Clear information on the type of Call; whether one stage (Full Project Proposal – FPP) or two stages (Project outline – PO and Full Project Proposal – FPP) is also provided both on the KDT JU website and on the Calls Pages in the Funding and Tenders Portal.

- For the two stage Calls the first stage (PO) is BOTH Mandatory and GATING. Only the proposals that successfully passed the PO stage are invited to submit an FPP. Successfully passing a PO phase means being scored above threshold. Thresholds apply to each evaluation criteria and to the overall score of a proposal.

- Admissibility and eligibility criteria are indicated for each call in the KDT JU Annual Work Programme. There are some differences between the KDT JU Calls and the general/standard Horizon calls. Differences are also possible even between Calls, and within the same call
between the topics of that call. Therefore, the applicants are advised to check which criteria apply to the calls/topics they target.

- The different evaluation thresholds are listed in the respective KDT JU Annual Work Programme, which is part of the Calls Documents and available on both KDT JU website and Calls Pages in the Funding and Tenders Portal. They may change from year to year therefore the applicants are advised to carefully check the respective Annual Work Programme. **Thresholds may differ between the PO and FPP phases as well as from Call to Call depending on the type of action (IA, RIA, CSA) and within the same Call from topic to topic.**

- **The Evaluation criteria** for each Call are presented in detail in the KDT JU Annual Work Programme mentioned above. The applicants are invited to check each year the respective Annual Work Programme as there can be changes from year to year. An evaluation form is also provided in the Calls Documents in case, applicants would like to self-check their proposal.

- The overall **Evaluation and Selection Procedures related to the KDT JU Calls for proposals** are decided by the Public Authorities Board (KDT PAB) and the decision is part of the Calls Documents published both on the KDT JU website and on the Calls Pages in the Funding and Tenders Portal.

- **Templates for the Proposals (Part B)** are provided in the Calls Pages in the Funding and Tenders Portal\(^1\). They contain clear indications/instructions on how to fill in the various sections. Applicants are advised to carefully read the instructions and follow them. Model templates (PDF format for information only!) are also provided both in the Portal and KDT JU website for the applicants’ convenience.

_The template for the National Budgets Table (xls Annex)_ is provided in the Submission Tool in the Funding and Tenders Portal as a ZIP file together with the Template for the Part B\(^2\). Instructions on how to fill in the table are provided in section 0 **Example 4** –

**Call** HORIZON-KDT-JU-2022-3-CSA-IA topic HORIZON-KDT-JU-2023-3-IA-Topic-1-Improving the global demand supply forecast of the semiconductor supply chain (IA)

The funding rates for this Call/Topic as foreseen in the KDT JU Work Programme of the call are 70% for the for-profit participants (large enterprise, SME), and 100% for the not-for-profit organizations (Universities/RTOs/etc.) – see the table above.

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\(^1\) Templates can be downloaded from the Portal once the Coordinator created a draft proposal  
\(^2\) The template can be downloaded from the Portal once the Coordinator created a draft proposal
However, the configuration of the submission tool for the CSA ("Coordination and Support Actions") allows to include in the budget table of the Part A only one funding rate (default configuration for Horizon Europe). For this call/topic the funding rate in the system (100%) is valid for the not-for-profit entities (Universities/RTOs/etc.). Consequently, the large enterprises (LE) and SMEs will need to calculate the EU contribution/funding using the 70% rate from the Work Programme and fill in the amount in the column named "Requested EU contribution to eligible costs" – as indicated in the screenshot below for the coordinator (participant 1), which is a large enterprise and for which the funding rate of the system does not apply.

- The participant 2 (SME example) is an SME entity therefore has the 70 % funding rate and should also indicate its requested funding accordingly.
- The participant 3 has “associated” status and therefore not eligible to request EU funding (even if the potential funding rate appears in the table). This participant cannot fill in any of the budget boxes (all “greyed” – only the “white” boxes are editable).
- Participant 4 is an RTO or a University for which the default funding rate applies without manual intervention.

The status of the participants is visible in the column “Role”.

- The National Budgets Table Annex on page 24. A model template (PDF format for information only!) is also provided both in the Portal and KDT JU website for the applicants’ convenience.
• **Templates (if needed) and specific instructions on what documents are required for the “National Part” (known also as “Part C”)** – are provided as indicated in the Annex 3 of the KDT JU Annual Work Programme by the KDT Participating States, which require such an Annex.³

• A **proposal may consist of several documents/parts** depending on the **type of Action (IA, RIA, CSA)** – see also above. When submitting their proposal, applicants are invited to carefully check that all required documents/parts/information are correctly included. Failure to submit all the required documents/parts/ information may render the proposal not admissible/eligible.

• **Admissibility and eligibility conditions** are clearly indicated in the Calls Documents mentioned above. Applicants for KDT JU proposals must be aware that for KDT JU proposals there are several levels of admissibility and eligibility due to the various funding sources:
  o Admissibility and eligibility at EU level
  o Admissibility and eligibility at national/regional level (for national/regional funding)
  o All are described in the KDT JU Annual Work Programme, and the applicants are invited to contact at their earliest convenience the respective National Funding Authorities to check compliance at national/regional level.
  o Applicants shall be aware that various **Calls/Topics may have various admissibility and eligibility conditions** depending on the type of action therefore applicants are advised to carefully check the admissibility and eligibility conditions of the Call/Topic they submit their proposal to.

• The **EU Funding Rates in KDT JU** grants differ in principle from the funding rates of Horizon. They are clearly indicated in the respective KDT JU Annual Work Programme. They are also specific to the type of action addressed by the Calls (IA, RIA, CSA) and within the same call specific for various topics. Consequently, the applicants are advised to carefully check the EU Funding Rates of the Call/topic they submit their proposal to. The Funding Rates can also change from one year to another. The same is valid for the **national funding rates**.

• **Information on the outcome of the evaluations**: The Horizon rules apply also to KDT JU Calls: i.e. 5 months from the final date of the submission. For the two stage Calls, the applicants will be communicated the results of the first stage (PO results) at the latest 6 weeks before the deadline for the second stage submission (FPP submission). Only the successful proposals that passed the PO stage will be invited to submit an FPP proposal.

³ Not all KDT Participating States require this annex. In some countries where several national funding agencies fund participants in KDT, different templates/documents might exist depending on the funding agency (e.g. a template may need to be filled in, several documents may need to be submitted)
3. **Grant Agreement**

- *All the projects* funded by KDT JU **ARE REQUIRED** to conclude/sign a Grant Agreement. The Model Grant Agreement is published on the Calls pages together with the other Call Documents. Applicants who are not familiar with the document are invited to check its provisions in due time to avoid misunderstandings at the Grant Agreement Preparation (GAP) stage. The document is not subject to any changes, and it must be signed as such (no negotiation possible on provisions, wording, etc. – it is a take it or leave it). Depending on the specific situation of each project some provisions may or may not be applicable.

- **Indicative date for signature of the KDT JU Grant Agreement (GA).** As soon as the KDT PAB takes the funding decision, the coordinators of the proposals selected for funding are invited to start the GAP process using the electronic exchange system. The indicative date for the signature of the GA is 8 months from the final date of submission (in case of the two stage Calls the final date of submission of the second stage: FPP submission).

- **National Grant Agreements (National Contracts).** As a consequence of the KDT JU tripartite funding, the participants in KDT JU projects are in general requested to conclude also Grants/Contracts with the funding authorities in their respective countries in order to receive the National/Regional funding. The procedures for these grants/contracts are specific for each country and in the case of countries with various funding sources, there may be differences depending on these sources (for example for a country where both National and regional Funding are available, the funds may be managed by different organizations). Because the National/Regional Grants (Contracts) are handled exclusively by the National Funding Authorities in the respective countries, the applicants are advised to contact them directly. Ideally this should be done as soon as they receive the invitation for the Grant Agreement Preparation from KDT JU in order to have both processes (at EU level and at the national level) run in parallel in order to align/synchronize the requirements at both levels. In some countries, the National Funding may depend on the amount of EU Funding received and changes of one imply adjustments of the other. The KDT JU office and the National Funding Authorities work together to align and synchronize the procedures, but this is only possible with the full cooperation of the applicants. Applicants must also be aware of the specific conditions at their national level: for example, in case the costs are only eligible from the date the National Grant/Contract is signed even if the project starts at an earlier date.

- **Consortium Agreement:** In line with the Horizon Rules for Participation and the KDT JU Grant Agreement, the beneficiaries are required to conclude a consortium agreement. In principle the consortium agreement shall be concluded before the signature of the KDT JU GA. This proved in the past to be a challenge especially for large consortia. Consequently, the applicants are advised to give appropriate consideration to this item. Payments of the KDT JU Grant follow the rules of Horizon, which means that practically KDT JU transfers the money due (prefinancing, interim payments, payment of balance) to the Project Coordinator, which will further distribute it to the beneficiaries in the consortium. It is therefore highly advisable...
especially for the coordinator to ensure that sufficient and proper provisions are included in the Consortium Agreement with respect to payments handling and minimizing financial risk within the consortium.

- **Collaboration Agreement:** For the Calls/Topics that foresee “Linked Actions” the beneficiaries are required to also conclude collaboration agreements in line with the respective options under Article 3 and Article 7 of the Model Grant Agreement.

- **One of the major differences between KDT JU and Horizon Grants is that in the KDT JU Grants transfer of budget between beneficiaries requires an amendment unlike in Horizon.**

4. **Prepare and Submit Your Proposal**

When they start preparing their proposal, the applicants are advised to check:

- what Calls/Topics are open for proposals and what type of actions they target (KDT-IA, KDT-RIA, KDT-CSA, etc.) in order to decide where their proposal would adequately fit (in which Call/Topic to submit it). **CAUTION:** the main difference between RIA and IA type of actions is the TRLs (Technology Readiness Levels). The proposal’s TRLs must match the Call’s TRLs (described in the KDT JU Annual Work Programme).

- what topics/focus areas/major challenges are opened in the respective Calls: not all the topics/focus areas/major challenges described in the ECS-SRIA (Electronic Components and Systems - Strategic Research Agenda) may be opened to all Calls. Some Calls can be open only to certain topics/focus areas/major challenges. In some calls there might be topics (“Focus Topics”/ “Priority Topics”) which are not presented in the ECS-SRIA specifically but described in the respective KDT JU Annual Work Programme. Applicants must make sure that their proposal addresses the topic(s) opened in the Calls where their proposal is submitted to!

- whether the Call follows a one stage or two stages process, including the timelines for the respective stages in order not to miss the submission deadline(s).

- available budgets (EU/national/regional) including capping of the funding (at EU/national/regional level) per project and/or per beneficiary and eligibility of the participants to get EU and/or national/regional/ funding in order to correctly establish the budget of the proposal and the composition of the consortium. If for example in one KDT JU Participating State, there is no national budget available for the respective Call/Topic the consortium shall evaluate the risk of including partners from the respective KDT Participating State in the proposal. There might also be some specific eligibility criteria for funding at national level (e.g. necessity to include an SME in the consortium, or include an academic and an industrial partner, etc.).
The budgets are listed in the KDT JU Annual Programme as well as on the KDT JU website and kept always up to date. The applicants are strongly encouraged to contact their National Funding Authorities as indicated in the KDT JU Annual Work Programme at their earlier convenience and check for potential issues related to the eligibility for getting national/regional funding.

- What documents/information are requested for proposal submission. Depending on the Call/Topic there might be differences concerning the documents/information needed to be included in the proposal submitted. Applicants are advised to verify that all the documents/information needed are properly submitted and they have been filled in according to the given instructions (see also the section Submission Tool – Specificities of KDT JU Calls on page 11).

- Proposals must be created and submitted by a representative/contact person of the coordinating organisation (“coordinator”). The proposal coordinator sets up the consortium (“Add Partners”) and gives access to other contact persons. Partners (‘participants’/‘applicants’) must be identified at this step by their respective nine-digit PIC number (Participant Identification Code).

To facilitate the consortium set-up, a search function is provided in the system or on the Participant Register page of the Portal. All participants must be registered in the system before this step so that they can be found with the search function. Participants who do not have a PIC number need to register their organisation by following the instructions given in the Portal.

All information on the steps to follow in order to submit a proposal is available in the Online Manual: https://webgate.ec.europa.eu/funding-tenders-opportunities/pages/viewpage.action?pageid=1867927. For step by step tutorials with screenshots and short videos just click on the HOW TO button. There are HOW TO for all phases of the process (registration of participants, create a draft proposal, fill in various parts in the submission tool, edit the proposal, add participants to the consortium, remove participants from the consortium). The “Online Manual” is also proving useful information for the applicants (https://webgate.ec.europa.eu/funding-tenders-opportunities/display/OM/Online+Manual).

5. Submission Tool – Specificities of KDT JU Calls

The KDT JU Calls follows the general line of the Horizon Europe with some specificities arising from its unique mechanism with multiple funding sources. The specificities are visible in the documents/annexes requested for submitting the proposal as well as the budget table in Part A (Administrative Forms of the proposal).

Once the coordinator has created a draft proposal and moves to the next step the main window in the submission tool gives a good indication of what documents are needed/requested. The screenshot below (see page 13) shows a typical submission tool window for a KDT proposal.
In addition to the **Administrative forms (Part A)** – accessible via the “Edit Forms” tab – and the Part B (which needs to be uploaded as a PDF file) there are several documents/files all related to the national/regional funding part. The **National Budgets Table** (Excel file) contains all the data requested for the national/regional funding. The various **National Part** files (ZIP files) are specific to some KDT Participating States which request some additional specific information and are also known as **Part C**.

This should not be mistaken with the **Part C (dynamic forms)** used by other programmes! In order not to confuse the system and block the submission the **Part C** of the KDT calls (similar to the Part C in the ECSEL Calls) have been named **National Part**. More information on each of these documents is provided in the related subsequent sections.

The **Part A, Part B** and the **National Budgets Table** are flagged as “mandatory”, which means that a proposal can only be submitted if all these files are properly filled in (Part A) and uploaded in the portal.

The **National Part** files are flagged as “optional”, which means that a proposal can be submitted even if none of these files is uploaded in the portal.

However, not submitting these files can result in non-eligibility to receive the respective national funding. **The “optional” flagging does not mean that these documents are not requested but that not ALL those listed need to be submitted**. Which of the files have to be submitted depends on the composition of the consortium: if for example a consortium does not have French partners it means that nothing is requested for the **National Part (FR)**. Conversely, if a consortium has French partners but the National Part (FR) is not submitted, the French partners risk to not receive national funding.

In conclusion, because the system cannot make connections between the composition of each consortium and the needed **National Part** files the files are flagged as optional and it is the responsibility of each consortium to identify which of the National Part files are needed and have to be submitted.

**Reminder**: if applicants encounter any IT issues with the submission tool, they are advised to contact ASAP either the Service Desk by phone or email or the IT Helpdesk – see the bottom left corner on the figure below.
6. Part A

For all KDT JU calls, Part A is mandatory unless indicated otherwise in the call's conditions. Part A of the proposal contains the administrative information about the proposal and the participants. The necessary information includes:

- a brief description of the objectives and work (a short abstract),
- contact details and characteristics of the participants,
- information regarding the researcher involved in the proposal,
- the role of the participants in the project,
- technical information pertaining to the proposal (list of relevant publications/datasets/software/goods/services),
- list of relevant previous projects/activities,
- list of relevant infrastructure/equipment,
- ethics,
• security, etc.
• as well as the requested EU budget by cost categories detailed in a table according to the Horizon rules and taking into account the KDT JU specificities as shown in the examples presented under the section 7. Budget Table – KDT JU Specificities – Funding Rates.

The part A must be filled directly/electronically in the Portal (there is no option to upload a prefilled form!).

Reminder: In case an applicant experiences IT-problems when filling in the Part A or at any stage/step of the proposal submission she/he is advised to contact the IT HelpDesk or the Service Desk as indicated on page 13.

IMPORTANT: In order to start editing the Part A the applicants must click on the [Edit forms] tab as seen in the screenshot below. The [Print preview] will allow the applicants to download the Part A form as a PDF file (the latest saved version of the Part A, which might not be the latest submitted version!!). Caution: if the proposal was already submitted and changes were subsequently made to the Part A after submission, in order to submit the changes, the whole proposal needs to be submitted again. Otherwise, the changes will be only saved in the draft version created after the previous proposal submission. A proposal can be submitted several times before the closure deadline.

Guidance instructions embedded in the Form

By clicking/hovering over the question mark blue buttons more information about the respective sections is displayed. Each box of the form contains a short text with guidance on the format, the length and required information. Once clicked on the text or editing the information starts, it disappears automatically.

Navigation in the Form

The different sections in the form can be viewed either by using the scroll bar or by clicking on the blue [Show] tabs in the Table of contents – as in the image below. By clicking on these tabs, the applicants can easily get back to the respective fields to edit/correct/change them.
Saving the Data

**IMPORTANT:** **NO DATA IS ACTUALLY SAVED UNTIL THE APPLICANT(S) PERFORM THE SAVING ACTION!** To do so the applicant(s) must click on the [Save form] tab. The action can be performed at any given moment. After saving the data the applicant(s) can continue editing.

Before closing the form, click the [Save & exit form] to make sure that all the changes are saved before exiting the Part A editing module. This action saves the edited data, closes the form and takes the applicant(s) back to the main page. **It does not submit the changes made; it only saves them in the existing Part A form of the draft proposal!** The applicants may return to edit the form as many times as they wish and submit the changed proposal before the closing date of the call.

**It is very important to remember that any changes saved in the form need to be resubmitted to actually include them into the submitted proposal, in case the proposal was already submitted once.**
Once a proposal is submitted, the applicant(s) can still change the submitted proposal by using the "Update proposal" tab – see screenshot below. This action will keep the submitted version in the portal and allow the applicant(s) to make changes. However, all the changes need to be submitted again. Otherwise, if only “saved” but not resubmitted, they will not be taken into account for evaluation because they will stay as an editable “draft” in the portal. If a proposal is submitted several times the portal will keep only the latest submitted version. Any resubmission will “delete”/“overwrite”/“remove” the previously submitted version and keep only the latest submitted version.

The general information about the proposal and participants for KDT JU calls is mainly the same as for Horizon Europe and several fields are already prefilled with data available in the system (e.g. name and address of the participants that have a PIC). A participant can be added/removed at any moment (before the proposal is submitted!) by using the “BACK TO PARTICIPANTS LIST” tab in the main submission tool window. In the KDT Calls, participants can be added at both stages, i.e. at PO phase and at FPP phase.

Once a new partner/participant is added, its own data (name, address, field in the budget tables) is displayed automatically by the system. A partner/participant can only be added using a 9-digit Participant Identification Code (PIC); therefore, it is very important for each beneficiary to make sure they have a valid PIC.

The coordinator is advised to use the “validation” function of Form A, built in the system, to check and fix potential errors before submitting the proposal. As in the case of the “Save form” tab, there is one “Validate Form” tab on each page, but it will validate the entire form A and not just the data on the page displayed.

This administrative part of the proposal consists of following sections:
1 - General information

2 - Participants

These chapters are the same as for the Horizon Europe forms. The Main Contact of the Coordinator (coordinating organisation) is the only person that can complete the form, including the budget tables and all other administrative details. The other Partners/Participants can preview the form and edit their contact detail information.

3 - Budget

*In the section 3 of Part A, the budget required to execute the proposal must be shown in a table to be filled in by the project coordinator. Due to submission system limitations the budget in the Part A refers only to the “JU Grant”, i.e. the JU/EU budget and funding.*

The “National Grant” table which includes the budget established according to national rules for cost eligibility is not anymore included in the Part A as it was the case for ECSEL Calls, but as a separate Excel file to be uploaded in the placeholder named “National Budgets Table” – for more details about this table see the section “Example 4 –

**Call** HORIZON-KDT-JU-2022-3-CSA-IA topic HORIZON-KDT-JU-2023-3-IA-Topic-1-Improving the global demand supply forecast of the semiconductor supply chain (IA)

The funding rates for this Call/Topic as foreseen in the KDT JU Work Programme of the call are 70% for the for-profit participants (large enterprise, SME), and 100% for the not-for-profit organizations (Universities/RTOs/etc.) – see the table above.

<table>
<thead>
<tr>
<th>Type of beneficiary</th>
<th>EU Contribution as % of the Eligible Cost according to HE (*)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Large enterprise (for profit organization but not an SME)</td>
<td>70 %</td>
</tr>
<tr>
<td>SME (for profit SME)</td>
<td>70 %</td>
</tr>
<tr>
<td>University/Other (not for profit)</td>
<td>100 %</td>
</tr>
</tbody>
</table>

(*) beneficiaries may ask for a lower contribution

However, the configuration of the submission tool for the CSA (“Coordination and Support Actions”) allows to include in the budget table of the Part A only one funding rate (default configuration for Horizon Europe). For this call/topic the funding rate in the system (100%) is valid for the not-for-profit entities (Universities/RTOs/etc.). Consequently, the large enterprises (LE) and SMEs will need to calculate the EU contribution/funding using the 70% rate from the Work Programme and fill in the amount in the column named “Requested EU contribution to eligible costs” – as indicated in the screenshot below for the coordinator (participant 1), which is a large enterprise and for which the funding rate of the system does not apply.

- The participant 2 (SME example) is an SME entity therefore has the 70 % funding rate and should also indicate its requested funding accordingly.
The participant 3 has “associated” status and therefore not eligible to request EU funding (even if the potential funding rate appears in the table). This participant cannot fill in any of the budget boxes (all “greyed” – only the “white” boxes are editable).

Participant 4 is an RTO or a University for which the default funding rate applies without manual intervention.

The status of the participants is visible in the column “Role”.

The National Budgets Table Annex on page 24

Please, note that although a proposal refers to the same action (project), the budgets in the two tables, “Budget” in the Part A and “National Budgets Table” in the above-indicated annex can be significantly different, because of the differences in cost eligibility under Horizon Europe and under national rules. If in a KDT Participating State, there is also regional funding available the regional funding requested must be included in the “National Budgets Table”.

Examples:

- Certain costs may be eligible under one set of rules, but ineligible under the other one
- Calculations for a given cost item may use different methodologies.

The “BUDGET” table

Rules for the eligibility costs are the same as for EU Grants AGA — Annotated Model Grant Agreement. There are though few specificities to KDT JU.

For the KDT JU calls the equipment costs are limited to depreciation costs!! In the budget table in the column named “Purchase costs – Equipment” the applicants shall include only the depreciation costs of the equipment they plan to use in the project – see screenshot below.
Income generated by the action column in the budget table (see screenshot above) - (NOT MANDATORY): this refers to the applicants who already know that the action would generate an income for them, and the estimated amount of the income generated. Such situations are very rare and most of the applicants in most of the projects do not generate any income therefore this column would be left empty. It does not block the submission of the proposal.

Financial contribution column in the budget table (see screenshot above) – (NOT MANDATORY): this refers to the applicants who receive financial contributions besides EU funding from KDT JU and national funding from their respective countries (the national funding has to be filled in in the National Budget Table Excel file). If such financial contribution does not exist, the column should be left empty; this will not block the submission of the proposal.

Other sources of funding – IKOP (In-Kind Contributions to Operational Activities) column in the budget table (see screenshot above) – (NOT MANDATORY): this refers to the own contribution of the applicants who are members of one of the 3 Industry Associations (AENEAS, Inside or EPoSS). If it is known, it can be filled in but if it is not filled in (left empty) it will not block the submission of the proposal. As the final budgets/funding (EU and national) will be decided by the Public Authorities Board when taking the funding decision for the call, the IKOP will be calculated at a later stage (Grant Agreement Preparation) for the proposals who are selected for funding.

Own resources column in the budget table (see screenshot above) – (NOT MANDATORY): this refers to the own contribution of the applicants who are not members of one of the 3 Industry Associations (AENEAS, Inside or EPOSS). If it is known, it can be filled in but if it is not filled in (left empty) it will not block the submission of the proposal. As the final budgets/funding (EU and national) will be decided by the Public Authorities Board when taking the funding decision for the call, the own resources will be calculated at a later stage (Grant Agreement Preparation) for the proposals who are selected for funding.

IKAA (In-Kind Additional Activities contributions) column in the budget table (see screenshot above) – ONLY APPLICABLE WHEN ADDITIONAL ACTIVITIES HAVE BEEN DEFINED IN THE KDT JU Work Programme of the call; for example, no additional activities have been defined for Calls 2023.
7. **Budget Table – KDT JU Specificities – Funding Rates**

Due to limitations of the submission tool the EU funding rates specific to KDT JU cannot be fully implemented and it requires specific actions for some of the applicants. Therefore, applicants must check the funding rate their organization(s) are entitled to as described in the KDT JU Annual Work Programme. In case the funding rate that appears in the Budget table in the Part A does not correspond to the funding rate indicated in the Work programme (i.e. when it is lower than the maximum funding rate that appears in the table), they have to calculate outside the submission portal the amount of EU funding using the Funding rate from the Work Programme and manually fill in this calculated amount in the budget table in the column named “Requested EU contribution to eligible costs”.

Failure to do so will only result in delays of the evaluations and selection process, it will not give more funding to the applicants than the Work Programme foresees. The KDT JU office will check if the applicants complied with the funding rates they are entitled to and if they did not, the KDT JU office will calculate the funding rate they are entitled to as per the Work Programme. This will be the allowed EU funding/EU contribution the respective applicants will receive – it will be in the KDT PAB funding decision and consequently in the Grant Agreement.

Below there are several examples provided for the KDT JU calls 2023.

**Example 1 –**

*Call HORIZON-KDT-JU-2023-1 IA topic HORIZON-KDT-JU-2023-1-IA-Topic-1- Global call according to SRIA 2023 (IA)*

The funding rates for these Calls/Topics as specified in the KDT JU Work Programme of the call (KDT JU Work Programme 2021 for Call 2021 and KDT JU Work Programme 2022 for Call 2022) are 20% for the large enterprises (for-profit non-SME), 30% for the SME (for-profit SME) and 35% for the not-for-profit organizations (Universities/RTOs/etc.) – see the table above.

<table>
<thead>
<tr>
<th>Type of beneficiary</th>
<th>EU Contribution as % of the Eligible Cost according to HE (*)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Large Enterprise (for profit organization but not an SME)</td>
<td>20 %</td>
</tr>
<tr>
<td>SME (for profit SME)</td>
<td>30 %</td>
</tr>
<tr>
<td>University/Other (not for profit)</td>
<td>35 %</td>
</tr>
</tbody>
</table>

(*) beneficiaries may ask for a lower contribution

However, the configuration of the submission tool for the IA (“Innovation Actions“) allows to include in the budget table of the Part A only two funding rates (default configuration for Horizon Europe). One funding rate which corresponds to the not-for-profit entities (35%) and one funding rate which is for the for-profit entities but in fact in this case it applies only to the SMEs (30%). These two funding rates are allocated automatically by the system based on the entity status in the participant registry: for-profit or not-for-profit. Because the for-profit rate is valid only for the SMEs the large enterprises (LE) will need to calculate the EU contribution/funding using the 20% rate from the Work Programme and fill in the amount in the column named “Requested EU contribution to eligible costs” – as indicated in the screenshot below for the participant 2.
• The coordinator (Participant 1) and the Participant 5 are both not-for-profit entities therefore they have the 35% funding rate (system default).

• The participant 3 (SME test) is an SME entity therefore has the 30% funding rate (as used by the system). The participant 3 is also an “affiliated” entity to the participant 2 (previously known as “linked third party”).

• The participant 4 has “associated” status and therefore not eligible to request EU funding (even if the potential funding rate appears in the table). This participant cannot fill in any of the budget boxes (all “greyed” – only the “white” boxes are editable).

The status appears in the “Role” column.

### Example 2 –

Call HORIZON-KDT-JU-2023-1 IA topic HORIZON-KDT-JU-2023-1-IA-Focus-Topic-2- Focus topic 6G Integrated Radio Front-End for TeraHertz Communications (IA), topic HORIZON-KDT-JU-2023-1-IA-Focus-Topic-3-Focus topic on Integration of trustworthy Edge AI technologies in complex heterogeneous components and systems (IA), and topic HORIZON-KDT-JU-2023-1-IA-Focus-Topic-4- Focus Topic on Electronic Control Systems (ECS) for management & control of decentralized energy supply & storage (IA)

The funding rates for these Calls/Topics as specified in the KDT JU Work Programme of the call are 25% for the large enterprises (for-profit non-SME), 35% for the SME (for-profit SME) and 35% for the not-for-profit organizations (Universities/RTOs/etc.) – see the table below.
However, the configuration of the submission tool for the IA ("Innovation Actions") allows to include in the budget table of the Part A only two funding rates (default configuration for Horizon Europe). One funding rate which corresponds to the not-for-profit entities (35%) and one funding rate which is for the for-profit entities but in fact in this case it applies only to the SMEs (35%) (by coincidence it is the same funding rate as for the not-for-profit entities). The funding rates are allocated automatically by the system based on the entity status in the participant registry: for-profit or not-for-profit. Because the for-profit rate is valid only for the SMEs the large enterprises (LE) will need to calculate the EU contribution/funding using the 25% rate from the Work Programme and fill in the amount in the column named "Requested EU contribution to eligible costs" – as indicated in the screenshot below for the coordinator and the participant 3, which are both large enterprises and for which the funding rate of the system does not apply.

- The participant 4 (SME test) is an SME entity therefore has the 35% funding rate (system default). It is also an “affiliated” entity to the participant 3 (previously known as “linked third party”).
- The participant 5 has “associated” status and therefore not eligible to request EU funding (even if the potential funding rate appears in the table). This participant cannot fill in any of the budget boxes (all “greyed” – only the “white” boxes are editable).
- The participant 2 is not eligible for EU funding (US-based entity) therefore in the “Requested EU contribution to eligible costs” should fill in 0.00 (zero).

The status is visible in the column “Role”.

Example 3 –
Call HORIZON-KDT-JU-2023-2-RIA topic HORIZON-KDT-JU-2023-2-RIA-Topic-1- Global call according to SRIA 2023 (RIA) and topic HORIZON-KDT-JU-2023-2-RIA - Focus Topic 2- Focus Topic on Hardware abstraction layer for a European Vehicle Operating System (RIA)

The funding rates for this Call/Topic as foreseen in the KDT JU Work Programme of the call are 25% for the large enterprises (for-profit non-SME), 35% for the SME (for-profit SME) and 35% for the not-for-profit organizations (Universities/RTOs/etc.) – see the table below.

<table>
<thead>
<tr>
<th>Type of beneficiary</th>
<th>EU Contribution as % of the Eligible Cost according to HE (*)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Large Enterprise (for profit non SME)</td>
<td>25%</td>
</tr>
<tr>
<td>SME (for profit SME)</td>
<td>35%</td>
</tr>
<tr>
<td>University/Other (not for profit)</td>
<td>35%</td>
</tr>
</tbody>
</table>

(*) beneficiaries may ask for a lower contribution.

However, the configuration of the submission tool for the RIA (“Research and Innovation Actions”) allows to include in the budget table of the Part A only one funding rate (default configuration for Horizon Europe). For this call/topic the funding rate in the system (35%) is valid for the not-for-profit entities (Universities/RTOs/etc.) and SMEs (for-profit SMEs) - by coincidence it is the same funding rate for these two categories of entities. Consequently, the large enterprises (LE) will need to calculate the EU contribution/funding using the 25% rate from the Work Programme and fill in the amount in the column named “Requested EU contribution to eligible costs” – as indicated in the screenshot below for the coordinator (participant 1) and the participant 2, which are both large enterprises and for which the funding rate of the system does not apply.

- The participant 2 is also an “affiliated” entity to the participant 1 (coordinator) (previously known as “linked third party”).
- Participant 4 (SME test) is an SME entity therefore has the 35 % funding rate (system default).
- The participant 3 has “associated” status and therefore not eligible to request EU funding (even if the potential funding rate appears in the table). This participant cannot fill in any of the budget boxes (all “greyed” – only the “white” boxes are editable).

The status of the participants is visible in the column “Role”.

The status of the participants is visible in the column “Role”.  

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Example 4 –

Call HORIZON-KDT-JU-2022-3-CSA-IA topic HORIZON-KDT-JU-2023-3-IA-Topic-1-Improving the global demand supply forecast of the semiconductor supply chain (IA)

The funding rates for this Call/Topic as foreseen in the KDT JU Work Programme of the call are 70% for the for-profit participants (large enterprise, SME), and 100% for the not-for-profit organizations (Universities/RTOs/etc.) – see the table above.

<table>
<thead>
<tr>
<th>Type of beneficiary</th>
<th>EU Contribution as % of the Eligible Cost according to HE (*)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Large enterprise (for profit organization but not an SME)</td>
<td>70 %</td>
</tr>
<tr>
<td>SME (for profit SME)</td>
<td>70 %</td>
</tr>
<tr>
<td>University/Other (not for profit)</td>
<td>100 %</td>
</tr>
</tbody>
</table>

(*) beneficiaries may ask for a lower contribution

However, the configuration of the submission tool for the CSA ("Coordination and Support Actions") allows to include in the budget table of the Part A only one funding rate (default configuration for Horizon Europe). For this call/topic the funding rate in the system (100%) is valid for the not-for-profit entities (Universities/RTOs/etc.). Consequently, the large enterprises (LE) and SMEs will need to calculate the EU contribution/funding using the 70% rate from the Work Programme and fill in the amount in the column named "Requested EU contribution to eligible costs" – as indicated in the screenshot below for the coordinator (participant 1), which is a large enterprise and for which the funding rate of the system does not apply.

- The participant 2 (SME example) is an SME entity therefore has the 70% funding rate and should also indicate its requested funding accordingly.
- The participant 3 has “associated” status and therefore not eligible to request EU funding (even if the potential funding rate appears in the table). This participant cannot fill in any of the budget boxes (all “greyed” – only the “white” boxes are editable).
• Participant 4 is an RTO or a University for which the default funding rate applies without manual intervention.

The status of the participants is visible in the column “Role”.

3 - Budget

The following distinction between partners must be made when calculating the national funding contribution:

- **Partners from a participating state that does not entrust to the KDT JU the payment of the national contribution**
  
The related participating states can be found in the respective KDT JU Annual Work Programme. For the calls 2023, **ALL** KDT Participating States do not entrust the KDT JU with the payment of the national contribution.

- **Partners from a participating state that entrust to the KDT JU the payment of the national contribution**
  
  Not applicable to KDT JU calls 2023, for which **NO** KDT Participating State entrusts the KDT JU with the payment of the national contribution.

- **Partners from a non-participating state**
  
  Partners from a non-participating state should not introduce costs in the National Budgets Table.

The template for the National Budgets Table can be downloaded by the proposal coordinator from the submission tool after the draft proposal has been created in the portal. The editable template is provided under the tab “Download Part B templates” – as an Excel file together with the Part B template.

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4 A model is also provided for applicants’ convenience in the calls KDT web pages for information only (PDF file - not editable)
template (a ZIP file containing both templates). It must be filled in as described below and then uploaded as an Excel file in the dedicated place holder – see the screenshot below.

Reminder: the National Budgets Table is mandatory and the proposal cannot be submitted if the table is not uploaded!

Rules to calculate this budget can be found in the respective KDT JU Annual Work Programme, that contains the eligibility and funding rules per KDT Participating State (eligible cost categories, percentage of indirect costs, funding rates, etc.). An example is provided below for reference. The table has some functions/formulas included to calculate the totals but the costs themselves must be filled in manually. If there are no precise funding rates but other ways to calculate the funding amount, the applicants shall then do the calculations outside the table and type the corresponding amount(s) in the columns G (Maximum Grant) and H (Requested Grant). Caution is advised not to mess up the formulas. If there are more than 29 participants in the proposals the coordinator shall add more rows to the table (caution with the TOTAL row and formulas).

The affiliation/non-affiliation to one of the 3 Industry Associations will be taken into account when the IKOP (In-Kind Contribution to Operational Activities) will be calculated later.
**Affiliated participants**

The status of the affiliated participants is similar to the previous “Linked Third Party”. They have to be added to the consortium and will appear in the list of participants. To do this the coordinator needs to use the “Add Affiliated Entity” function using the PIC number (similar to the addition of the main participants). If the process is successful, the “affiliated participant” will appear labelled as “Affiliated Entity” right under the main participant to which it is affiliated – see as an example the screenshot below.

The affiliated participants are then automatically inserted by the system as separate entities in the administrative forms (Part A) and indicated to which main participant they are affiliated to/linked to.

They also need to provide all the administrative data/information as with the main participants in the Part A. **The budgets of the affiliated participants** should be introduced in the budget table in a separate row as with the main participant – see the examples provided under the section 7. **Budget Table – KDT JU Specificities – Funding Rates** on page 20.

**Associated participants**

The associated participants are entities that participate in the proposals but do not request any funding. They must be added to the consortium and they will appear in the list of participants. For this the coordinator needs to use the “Add Associated partner” tab as shown in the screenshot below.
They would be automatically inserted as separate entities in the administrative forms and need to provide all the administrative data/information as for the main participants in the Part A but do not provide budget in the budget table as they are not entitled to receive JU/EU funding (their budget fields will appear greyed – and are not editable) – see the examples provided under section 7. Budget Table – KDT JU Specificities – Funding Rates on page 20.

4- Ethics and security

Ethics issues table

The Ethics Appraisal Procedure concerns all activities funded under Horizon Europe and includes the Ethics Review Procedure, conducted before the start of the project, as well as the Ethics Checks and Audits. The Ethics Appraisal Procedure is established by the Rules for submission of proposals, and the related evaluation, selection, and award procedures.

When preparing a proposal, it is required to conduct an Ethics Self-assessment starting with the completion of an Ethics Issues Table. If your proposal raises one of the issues listed in the ethics issue checklist, you must complete the ethics self-assessment in Part A of your proposal (section under the Ethics issues table).

Security issues table

When preparing a proposal, it is required to fill in the Security Issues Table according to the regulations mentioned in the respective section in Part A.

6 – Other questions

The section is not applicable to the Calls 2023.

9. Part B

Unless indicated otherwise in the call conditions the Part B is mandatory!

The use of the appropriate template is mandatory for all stages of all KDT JU Calls. Not using it can result in non-admissibility of the proposal. Templates may differ from call to call; therefore, the applicants are strongly advised to use the template provided in the respective Calls documents and to use it as such (no modifications/changes to the template!).
Part B of the proposal must follow the structure defined in a "template" that can be downloaded in PDF format from the KDT website Call pages (intended only as a model) or in Word.rtf format from the Submission Tool in the Funding and Tenders Portal under the tab “Download Part B Template” – see screenshot below. In order to get/download the template from SEP, the coordinator must first create a draft proposal, which will give him/her access to the system. When ready, the Part B document must be converted to PDF and uploaded to the dedicated placeholder in the submission tool – see screenshot below. **The Part B is mandatory, and the proposal cannot be submitted without.**

Clear instructions are provided in the templates with respect to what and how to fill in various sections. In the case of the two stage Calls (PO and FPP), for the first stage (PO) only some sections/parts of the template are mandatory – this is clearly indicated in the respective template. For the second stage (FPP phase), all sections of the template are mandatory. The one stage calls do not have PO phase only FPP; therefore, all sections/parts are mandatory.

The template is provided as a Word/RTF document to make editing easier, but the submission system accepts `.pdf` files only. Therefore, **Part B MUST be converted into `.pdf` before submission.** Attention must be paid that features are not lost/distorted (rendered non-readable) during the conversion (tables, figures, pictures, graphs, charts, etc.).

In case the Call foresees page limits for various sections of the Part B, the page limits and sections subjected to limitations are clearly shown in the proposal template. Because the KDT JU Calls deviate from the standard page limits for Horizon Europe, the submission system will not check for compliance. Therefore, when attempting to upload a proposal longer than the specified limit before the deadline, **NO automatic warning will appear to alert the coordinator.** Therefore, the coordinator shall check outside the system if the proposal complies with the page limits or not. **For the evaluation, the experts will be made aware of the excess pages, and they will not be taken into consideration by the experts.** The proposal is a self-contained document. Experts will be
instructed to ignore hyperlinks to information that is specifically designed to expand the proposal, thus circumventing the page limit.

Consortia should aim at a right balance between general and detailed information. A too short description of some elements will leave many open questions while a too detailed description will be difficult to evaluate in the time allocated.

The template is designed to highlight the aspects that will be assessed against the evaluation criteria mentioned in the respective KDT JU Annual Work Programme. It covers, among other things, the nature of the work, its anticipated impact, the participants, and their roles in the proposed project. The description of the expected entry for each criterion is given in the template.

**Draft plan for the exploitation and dissemination**

Proposals must include a draft plan for exploitation and dissemination of the results, unless otherwise specified in the call conditions. The draft plan is not required for proposals at the first stage of two-stage calls. Therefore, the applicants are strongly advised to check the respective call conditions.

**Financial Support to Third Parties**

When the Call foresees financial support to third parties the applicants are advised the check the conditions mentioned in the respective KDT JU Annual Work Programme and take them into account when preparing the proposal (KDT Calls 2023 do not foresee financial support to third parties). If such funding is requested the applicants must fill in the specific section in the budget table in the Part A. Applicants are also advised to consult the Grant Agreement provisions with respect to the financial support to third parties (Article 9.4). The Grant Agreement is provided in the Call Documents.

**10. NATIONAL PART (KNOWN ALSO AS PART C)**

As indicated in section 5. Submission Tool – Specificities of KDT JU Calls on page 11, the various National Part files (ZIP files) are specific to KDT Participating States that request additional specific information and are also known as Part C. They should not to be mistaken with the Part C (dynamic forms) used by other programmes! In order not to confuse the system and block the submission the Part C of the KDT calls (similar to the Part C in the ECSEL Calls), they have been renamed National Part.

Applicants are advised to check whether a Call for proposals foresees such a National Part or not. The easiest is to look at the draft proposal page – if a National Part is required then placeholders for the respective National Part are included and listed in the main window of the submission tool as indicated in the screenshot below (page 31).

**REMINDER:** The fact that the National Part files are flagged as “optional” in the submission tool does not mean that they are not required. Flagging them as mandatory would have meant that ALL placeholders (each of the National Part C) would have required a document uploaded in the
submission tool. In practice most proposals have in the consortium participants for only part of the countries which require a National Form. In these cases, the submission of these proposals would be unexpectedly blocked – if for example there are no French participants in a consortium no National Part (FR) is required but the portal will block the submission because the National Part (FR) is missing. The submission tool does not have the capability to connect the nationality of the participants to the National Part placeholder. Therefore, the National Part files are “flagged” as optional, and it is the responsibility of the participants themselves to check whether they need a National Part and, if needed, to upload the requested files in the submission tool and submit them.

If a National Part is requested but it is not submitted by the participants, the submission of the proposal will not be blocked due to the “optional” nature of these files. However, not submitting these files can result in the non-eligibility to receive the respective national funding. The National Parts are to be uploaded to the submission tool as a ZIP file. The size allowed is 10 MB, except for the National Part (FR) folder which is 20 MB to accommodate the needs of consortia with a large number of French participants.
The National Part of the proposal is specific to KDT JU calls and contains confidential information about participants to allow further verification of national eligibility criteria for the allocation of the national funding.

Participants from several KDT Participating States indicated in the section “Country Specific Eligibility Rules” of the respective KDT JU Annual Work Programme must provide additional information according to the guidelines published in this document. These files, if requested, will be included in the National Part of the proposal unless the guidelines in the “Country Specific Eligibility Rules” section instruct otherwise (e.g., uploading directly to a website of the national funding authority or submitting them through a dedicated IT system).

All National Part files of the participants from the same country must be grouped together in a specific folder identified by the country name; the folder contents shall be compressed in a single password protected ZIP file, before uploading it through the corresponding country specific placeholder – see the above screenshot. There is also an additional placeholder, not attributed to a specific country, in case it may be needed. Applicants are advised to pay attention that the National Part files are uploaded into the proper placeholder (e.g. National Part of the Applicants from Spain (ES) shall be uploaded in the “National Part (ES)” holder and not with the “National Part (SE)” holder which is dedicated to the National Part of the Swedish Applicants). This may result in not transmitting the necessary information to the respective national authorities correctly.

The KDT JU will provide a password for each specific country folder to the project coordinator upon request sent to the dedicated calls e-mail (KDT Calls Help Desk):

calls@kdt-ju.europa.eu

The request must contain the Call Identifier (in format: Horizon-KDT-JU-Year-call number) e.g. Horizon-KDT-JU-2023-1-IA or Horizon-KDT-JU-2023-2-RIA, and the project acronym. The Call Identifier is displayed in the respective Call page.

*It is extremely important that the project coordinators request the password well in advance with respect to the submission deadline in order to avoid any unforeseen problems occurring at the last moment, which may prevent the timely submission before the deadline.*

In case of unexpected uploading problems of the National Part files, the participants shall contact immediately either the KDT Calls HelpDesk (calls@kdt-ju.europa.eu) or the representative of their National Funding Authorities (contact details are available in the section “Country Specific Eligibility Rules” of the respective KDT JU Annual Work Programme). A viable alternative will then be found to submit the National Part outside the submission tool. The portal will technically consider the proposal submission completed even if the National Part have been partially loaded, or the uploading has been unsuccessful as they are flagged “optional” as explained above. However, *the coordinator of a proposal whose consortium includes participants from Participating States that require a National Part is strongly advised to check if the respective National Parts are properly uploaded in the system and submitted. Not uploading/submitting the National Part can have dire consequences and result in the respective participants not being eligible to receive national funding.*
11. **Selection and Evaluation of the Proposals**

The evaluation and selection procedures related to the KDT JU Calls are subject to the decision of the Public Authorities Board of the KDT JU. The PAB decision is included in the Calls documents and the applicants are invited to consult it when preparing their proposals. There may be small adjustments from year to year therefore the applicants are advised to consult the decision in the Calls Document of the respective call and not rely on versions from previous years, which might no longer be valid. This document describes in particular the specific differences with regard to the generic Horizon Europe procedure, including the role of the KDT PAB in the process.

Please note that the KDT JU Calls do not foresee negotiations for the proposals selected for funding. Under the KDT JU during the Grant Agreement Preparation phase (GAP) there will however be a request-for-change procedure to align the national and EU sides of the proposals. The process will be concluded with the PAB decision for funding based on which the Grant Agreements are signed.

**Evaluation Criteria, Scoring, and Thresholds**

The evaluation criteria, scoring, and thresholds for each KDT JU Call/topic are published and described in detail in the respective KDT JU Annual Work Programme, which the applicants are invited to consult when preparing and submitting their proposals. Caution is advised as there may be differences between various Calls, various Topics within the same Call, between stage one (PO) and stage 2 (FPP) of the same Call.

A model evaluation form is made available in the Calls Documents for participants’ convenience.

The forms used by the experts for their evaluation reports will be broadly similar, although the detail and layout may differ with respect to the criteria, scores and thresholds defined for the respective Calls as mentioned above.

As per the KDT PAB decision on the evaluation and selection procedures related to the Calls for Proposal (included in the respective Call’s Documents) a possibility is given to the applicants to send a list of companies or experts that should not be assigned to the evaluation of their proposal – by email to calls@kdt-ju.europa.eu (together with a supporting justification).

12. **Participants from Third Countries and International Organizations**


The applicants to KDT JU Calls for proposals are invited to consult it when preparing their proposals in order to check whether they are eligible or not for receiving funding in KDT JU projects.
13. **Affiliated Participants (previously known as Linked Third Parties)**

As mentioned in the section 6. Part A, the affiliated participants which under Horizon 2020 were known as “linked third parties” are identified in part A of the proposal submission forms under Horizon Europe with the “affiliated” role and their own administrative data and own budget in the EU Budget/Funding table in the Part A. For the National Budgets Table the applicants have to follow the instructions given by their respective National Funding Authorities – see Annex 3 of the KDT JU Annual Work Programme.

In the Part B of the proposal, the affiliated participants need to provide the same information as the main participants.

14. **Legal Status of the Participating Organizations**

As already mentioned in the section 6. Part A of this document, participants can only be added to the proposal via a PIC number. With a PIC number, the legal data of an organisation is imported in a read only mode into Part A of the proposal. Therefore, it is very important that this legal data is correct and up to date for each of the participants in the Participant Register. More information regarding the register is available in the Funding and Tenders Portal:

- Participant Register User’s Guide
- Rules on Legal Entity Validation, LEAR appointment and Financial Capacity Assessment

Participants are encouraged to check/update their legal data, in particular the “For profit/Non-profit” and SME status as funding percentages depend on it. For reference, a screenshot example is provided below.
For profit organizations that are not SME are considered to fall under the category large industry (for-profit non-SME) in the funding rates tables of the KDT-JU Annual Work Programme.

15. **SMEs**

The European definition for an SME is used – see for more information the: **SME status**. In order for a legal entity to receive the funding percentage for SMEs, the legal entity needs to be validated in the system as an SME with a validation date not older than 2 years.

If a legal entity is not yet validated as an SME in the system or the information is older than 2 years (counting back from the year the Call is published), the LEAR (Legal Entity Appointed Representative) of the respective organization will have to complete the **SME Self-Assessment** step – see for more information the **SME Self-Assessment User Guide**.

For the proposal submission the self-declared SME status is sufficient. However, if the proposal is selected for funding the LEAR of the respective SME will have to complete the SME self-assessment when the Grant Agreement Preparation (GAP) starts. Failure to do so will result in changing the funding rate to that of the for-profit non-SME entities (large enterprise). Also, if the result of the self-assessment is that the organization is not an SME according to the EU definition, the funding rate will also be changed to that of the large enterprise (for-profit non-SME) during the GAP step.
16. **USEFUL ADVICE: DOS AND DON’T**

✓ Do not wait the last minute to submit the proposal! Part A requires a rather significant amount of data from each participant – start early! Your computer might need some adjustments (e.g. your firewall may be blocking to fill in the Part A).

✓ Each participant needs to have a PIC number in order to be added to the consortium. Check if your organisation has one. If not, take the necessary steps to get one. A temporary PIC will be assigned in a fast procedure in order to allow a swift submission. If the proposal is selected for funding, then the organisation must go through the full validation process to get the PIC number.

✓ Be aware that only the coordinator (the main contact of the coordinating organisation) can add participants to the consortium and only s/he can submit the proposal! Therefore, make sure the person is available when the proposal must be submitted. Be careful not to miss the deadline because the coordinator is e.g. on a business trip with no internet connection.

✓ Make sure you use the correct link before starting to fill in the data: for example, for the RIA focus topic use the RIA focus topic link and not the RIA general topic link nor the IA focus topic link. Each call/topic has its own dedicated link for submission, and proposals cannot be moved from one call to another! If you used the wrong link (e.g. submitted a RIA proposal in a IA call) you have to start all over again with the correct link!

✓ For a given proposal, there can be several submission sessions (the new version will overwrite the old version and only the newest version will be kept in the system).

✓ Caution is advised when uploading documents (Part B/National Budgets Table/National Part(s))! Make sure the intended version was uploaded and submitted not only uploaded in the portal. Also check that the intended version was indeed submitted and not the one stuck in your browser’s “cache”. Check after uploading – e.g. close the browser, login again and download the saved/submitted document!

Having the proposal ranked below threshold simply because instead of the final version an early draft was accidentally uploaded in the system is an experience no applicant would like to go through.

✓ Participants are recommended to check/update their legal data and fill in the data as appropriately/correctly as possible. This is especially valid for organisations (SME, not-for-profit) in Calls/Topics where the funding rate is dependent on the organisation status (i.e. higher funding rate for SMEs and/or non-profit organisation).

✓ If selected for funding the SMEs will be requested to do a self-assessment. If the result of the self-assessment is that the respective participant is not an SME though it declared itself a SME when the proposal was submitted, the funding will be adjusted accordingly (reduced to correspond to ‘for-profit non-SME’).
✓ If a participant is a non-profit organization but at the proposal submission it filled in the funding rate of a for-profit organization, during the GAP phase it will be close to impossible to adjust (increase) the funding rate as the EU budget was already allocated.

✓ If the coordinators/participants will have to undergo a financial viability check they are advised to use the Financial capacity self-check simulator available in the Portal and in case of weak or insufficient financial capacity to already prepare an action plan. This will avoid delicate situations when for example in the middle of the GAP phase with only few weeks left until the signature of the GA, the coordinator will have to pass the coordination task to another beneficiary in the consortium because its financial viability check is deemed insufficient. This is especially difficult for KDT-JU projects, as the EU funding must be aligned with the national funding.

✓ Start to prepare the consortium agreement as early as possible. All KDT JU projects are requested to conclude such an agreement (in principle before the signature of the GA), which may prove to be a major task especially for projects with large consortia and coordinators that do not have strong experience with managing KDT projects. Because with the KDT projects, payments are made by the KDT JU to the coordinator and the coordinator is responsible to handle further payments to the other beneficiaries, make sure sufficient provisions are included in the consortium agreement in relation to payment distribution.