

EIT Raw Materials

Call for KAVA Upscaling projects

Instructions and process description

September 2017

1. Purpose and scope of this document

This document describes the process for preparation, submission, evaluation and selection of proposals in response to the 2018 call launched by the EIT Raw Materials for Upscaling Project proposals (Upscaling KAVA activity in EIT terminology). The Call for Education, and Internationalisation and RIS projects are described in separate call documents. It is a requirement to register your intention to submit a proposal and contact CLC staff before submitting the proposal. The CLC staff can offer further advice.

All proposals in response to the present call must be framed as **projects** in the sense that:

- They must lead to specific deliverables over a defined time schedule;
- They will be financed by EIT RawMaterials (the KIC) only for a defined duration.

All KIC partners involved in the submission of a project proposal in response to this call should read the following documents carefully:

- The present document (call text);
- Upscaling *Project Proposal Guidance*;
- FAQ (Frequently Asked Questions) that will be posted in the online proposal submission platform “Seedbook” (<https://seedbook.eitrawmaterials.eu>), also containing explanations of the terminology used in this document;
- The Strategic Agenda 2016-22 of EIT RawMaterials (FPA, Annex I)

2. Project call and selection process

2.1. General rules and guiding principles for Upscaling projects

- Upscaling projects are innovation projects based on validated technologies that need additional step(s) for up-scaling, demonstration or implementation. The objective is to bring the technology to market, as a product, service or process.
- The technology must be at Technology Readiness Level (TRL¹) of at least 5 at the beginning of the project, corresponding to a “technology validated in relevant environment”.
- At the end of the project, the technology is expected to have reached a TRL of at least 7, corresponding to a “system prototype demonstration in operational environment”.
- Upscaling projects must aim for market introduction and/or a commercial use within 3 years (or less) after the end of project.
- Upscaling projects must aim to have an educational component, for example, including PhD and/or Masters projects, internships, contribution to courses, etc.
- Upscaling projects are requested to reach a non-EIT/EIT funding ratio of 75/25. Non-EIT funding is the sum of KCA (KIC carried activities) and KAVA co-funding. EIT funding is the requested EIT budget for executing the proposed project. (For explanation of terminology and eligibility of KCA and KAVA Co-Funding, please refer to FAQ (Frequently Asked Questions) version 2017). Co-funding can be contributed only by KIC Partners (not by Task Partners).
- Co-funding contributed by the project consortium should be a minimum of 10-15% of the total funding. Co-funding can be as in-kind contribution. Please refer to your CLC staff for guidance.
- Proposals for Upscaling projects should demonstrate financial and non-financial backflows to the KIC, as well as contribute to specific KPIs of the KIC.
- The project consortium can include partners who are not EIT RM members as Task partners (e.g. SMEs). Task partners can be eligible for funding up to a maximum amount of €60 K per year (following the H2020 principles of a Third party)
- Specific tasks may be attributed to subcontractors, if the necessity is clearly justified and follows the general H2020 principles
- It is possible to add other partners to the consortium after the project selection, but without changes to the total KAVA budget allocated to the project.

Feasibility and Go-to-market Strategy

Innovation projects need to be based on a solid *feasibility assessment*, covering important aspects, such as: external context (technical, regulatory, social, environmental, political, etc.), user needs and targeted applications, customer value proposition, target market(s) (size, structure, growth potential, segmentation, etc.), risk assessment, design or market studies, and intellectual property exploration. The ultimate goal is to put a new product, service or process to the market, possibly through an innovative application of existing technologies, methodologies, or business processes, state of the art and technology risk, competitors and competitive positioning, IP protection, business model and exploitation strategy, etc.

A preliminary go-to-market strategy is expected to be included in the proposal as *Work Package 0* (WPO). Relevant feasibility aspects identified in the proposal must be assessed in WPO. WPO will be updated throughout the duration of the project and enable go/no-go decisions following annual reviews.

¹ Definitions of Technology Readiness Level (TRL) 1 to 9 are given in FAQ document.

Expected budget and funding

The exact number of projects to be funded in the framework of this call will depend on the quality of the received proposals and the total available funding. It is expected that approximately 50-70% of the budget available for new 2019 KAVA projects will be allocated to upscaling projects.

Confidentiality

Access to the project proposals will be given to EIT RawMaterials Management Team and to the evaluation panel conducting the evaluations. Everyone with access to the proposal texts will sign a non-disclosure and confidentiality agreement.

If a project is granted, a summary of the project proposal will be communicated to the EIT as part of the proposed Business Plan 2019, where it will be included in EIT's evaluation of the Business Plan.

The title, scope and overall budget of the project will be shared in the EIT RawMaterials community, and for most projects it is expected that selected non-confidential information can be made publicly available (e.g., on the EIT RawMaterials' web site, in presentations at conferences etc.). Public dissemination will be arranged in agreement with partners of the project consortium and the EIT RawMaterials staff.

2.2. Project preparation, submission, evaluation and selection process

Matchmaking and brokerage events throughout the year allow partners to discuss project ideas and form potential consortia. For each project proposal to be submitted, it is mandatory for the lead partner to inform his/her Co-Location Center (CLC) Manager. The CLC staff provides guidance and support to:

- Set up a solid consortium and find missing partner(s) if required
- Advise and support the consortium with their project proposals to ensure they are in line with the evaluation criteria
- Check eligibility criteria

Frequently asked questions and further guidance and advice of general interest will be posted in the FAQ section of the online proposal submission platform "Seedbook" (<https://seedbook.eitrawmaterials.eu>) throughout the project preparation period. Project Coordinators should check this section regularly to ensure that they are fully informed and updated on important matters such as eligibility and evaluation criteria, advice on the compilation of the proposal, costs and cost allocation.

Project submission

- **Project Coordinators must register their intention to submit a proposal no later than Friday 12 January at 17.00 CEST** using the SeedBook online platform. The registration form will become available through Seedbook towards the end of November 2017. Following registration, the proposal will be assigned to a Project Officer who will be the primary point of contact with the Project Coordinator throughout the submission process. Note that Project Coordinators will be able to access the online proposal submission template only after their project has been registered and assigned to a Project Officer.
- **Project proposals must be submitted no later than Wednesday 28 February at 17.00 CEST** using the SeedBook online platform. The attached Upscaling Project Proposal Template offers guidance for the content of the proposal.

Project evaluation process

There are three types of criteria for evaluation and subsequent selection of projects according to these guiding principles:

- Eligibility criteria = mandatory requirements (projects which do not meet such criteria will not be considered for further evaluation), as described in section 2.3 below;
- Evaluation criteria = criteria against which the collected proposals will be scored and ranked; according to the evaluation grid presented in section 2.4 below.
- Selection criteria = criteria used by Management Team to select the list of projects proposed to be funded – see details in section 2.5 below.

Proposals will be evaluated by a panel of experts appointed by the Management Team.

- All members of the evaluation panel will sign a non-disclosure and conflict of interest agreement.
- A minimum of three experts will be assigned to the evaluation of each project proposal.
- In a first step, each project is first evaluated remotely by the assigned experts using the SeedBook tool, following the criteria set out in the evaluation grid.
- Final evaluation (and ranking) of all upscaling projects is conducted by the entire panel (with the exclusion of any member being in a conflict of interest situation) to ensure consistency. The strengths and weaknesses of each project as perceived by the panel will be documented to justify the evaluation, and will be communicated to the project coordinator once the evaluation process is completed.
- EIT staff and management will act as the secretaries of the panel and facilitate the discussion during evaluation panel meeting but will otherwise not take part in the evaluation process.
- Based on the evaluation, the overall available funding, and following the selection criteria, the Management Team will propose a portfolio of projects to be funded.
- The Executive Board will approve the portfolio of projects to be submitted to the EIT for funding, for the Business Plan 2019.
- Coordinators of the projects that are selected for funding will be informed after approval and will receive the feedback from the evaluation panel. The feedback may include a list of mandatory changes that must be made by the Project Coordinator before the project can be funded.
- Also following approval by the Executive Board, coordinators of projects that were not selected for funding will be informed. They will receive evaluation feedback as soon as it is finalised.

2.3. Eligibility criteria

Eligibility will be checked according to the following criteria:

1. Project consortium consists of a minimum of 3 KIC Core or Associate Partners, coming from a minimum of 2 different CLCs and a minimum of 2 different countries
2. Project consortium includes KIC Core or Associate partners from at least 2 sides of the knowledge triangle (education, research, industry/business)
3. The project cannot have one partner as the work package leader in all work packages

2.4. Evaluation criteria

#	Weight	Reference in Template	Description of Criteria
Total: 7			1. Strategic importance for the KIC
1.1	2	Section 3.2	<u>Strategic importance of the solution</u> (product/service/process) and of the key outputs brought by the project: importance of the problem addressed for the RM sector, relevance of the solution to properly address the problem, contribution to the strategic objectives ² of the KIC
1.2	3	Section 3.5	<u>Benefits provided to the wider KIC community</u> related to expected impact, as well as any other useful value for the KIC (e.g. contribution to education, support to other KAVA activities, to KIC customers or other stakeholders, in comparison to the size of the requested KAVA funding activities, to KIC customers or other stakeholders, in comparison to the size of the requested KAVA funding
1.3	2	Section 3.6	<u>Contribution to KIC KPIs³</u> , KPIs are described in the Strategic Agenda 2016-22 of EIT RawMaterials document
Total: 6			2. Business potential
2.1	2	Section 3.3	<u>Technical feasibility</u> of the solution based on the technology(ies) currently available to consortium partners
2.2	2	Section 3.4	<u>Innovativeness</u> of the proposed solution, and expected competitive advantage vs. other solutions (already available in the market or in development)
2.3	1	Section 3.4	<u>Business opportunity assessment</u> (preliminary, to be confirmed/deepened at end of WPO): value proposition to target customers, market size and expected growth, ability to bring the solution to the target customers, etc.
2.4	1	Section 3.3	<u>Clear description of the IP management:</u> background IP, ability to generate new IP, ability to protect, and valorize IP among partners and eventually with KIC
Total: 5			3. Quality of the consortium
3.1	3	Section 5	<u>Soundness of the consortium:</u> Quality and relevance of the leading partner, presence of complementary partners covering the key elements of the value chain, diversity of countries and CLCs represented in the consortium, Involvement of relevant industrial partner(s), presence of one or several SME(s) as active Task partners
3.4	2	Section 5	<u>Roles and governance:</u> Clear definition of roles corresponding to the specific strengths of each partner, clear definition of project governance structure and of coordination mechanisms among partners

² See section 1.1. "Strategic objectives of the KIC" in Strategic Agenda 2016-22 of EIT RawMaterials (FPA, Annex I)

³ See section 3.2 "KPIs"

#	Weight	Reference in Template	Description of Criteria
Total: 7			4. Quality of the project definition
4.1	3	Section 2	Clear definition of <u>project objective and overall identifiable output</u>
4.2	2	Section 6.1	Clear definition of <u>work packages (WP)</u> with concrete objectives, tasks and measurable deliverables (including for non-technical aspects of the project, e.g. marketing, finance, IP, stakeholder management, regulatory, etc.)
4.3	1	Section 6.1	Clear <u>project schedule</u> , with well-defined milestones
4.4	1	Section 6.2	<u>Risk management</u> : Identification of key risks (with regards to technology, market, regulatory, financial, stakeholders, managerial etc.) and effective mitigation measures
Total: 5			5. Financial viability
5.1	3	Section 7	<u>Quality of the project budget definition</u> : clear explanation and justification of costs, proper balance of costs among partners in line with their assigned roles.
5.2	1	Section 7.1, 7.2	<u>Clear description of financial⁴ and non-financial backflows provided to the KIC</u> : Relative KIC share in the economic value of the project, e.g., in the form of a share in: license fees, royalties, future cost savings, future revenues, equity, etc. Support to other KAVA activities (e.g., education, network of infrastructure, entrepreneurship support services), to KIC customers (e.g. students, SMEs) or other stakeholders (e.g. public authorities, NGOs, etc.).
5.3	1	Section 7.3	<u>Eligible KCA and KAVA co-funding</u> : relevance of the proposed KCA in support of the upscaling project, and balance in the amount of financial resources (KCA and KAVA co-funding) brought by the different partners (in relevant proportion to the importance of their respective roles in the project).

⁴ Precise conditions and rules will be agreed in Project Agreement.

TOTAL WEIGHT: 30

Evaluation scale : In relation to each of the criterion (above), each project will be scored from 0 to 5 according to the following scale:

0	Non existent: no relevant information provided in the application file or cannot be judged because out of range
1	Very poor: The criterion is addressed in a very incomplete and unsatisfactory manner
2	Poor: There are serious inherent weaknesses in relation to the criterion in question
3	Fair: While the proposal addresses the criterion, there are significant weaknesses that would need correction
4	Good: The proposal addresses the criterion well, although some improvements are possible
5	Excellent: The proposal successfully addresses all relevant aspects of the criterion in question. Any shortcomings are minor only.

The score given for each criterion by the panel will then be multiplied by the weight. Maximum score is 150 = 30 (total weight) * 5 (maximum score for each criteria). These quantitative scores will be used as input for the consensus evaluation panel.

2.5. Selection criteria

Evaluation ranking: Projects with higher ranking will be preferred for funding and depending on received applications, it is expected that the following approximate allocations will be applied based on the main theme of the proposal: 30-50% on Exploration and Mining, 30-50% on Recycling, Substitution and Circular Economy, and 10-30 % on Processing.

2.6. Calendar

September 2017	Launch of call for Education projects
Late November 2017	The proposal registration and submission platform "Seedbook" (https://seedbook.eitrawmaterials.eu) goes online
Friday 12 January 2018 at 17.00 CEST	Proposal registration deadline
Wednesday 28 February 2018 at 17.00 CEST	Proposal submission deadline
Late March-early April 2018	Evaluation by panel of external experts
Mid-May 2018	Preparation of list of projects for funding by KIC Management Team
Early June 2018	Approval of list of projects for funding by KIC Executive Board & communication to partners
August 2018	Inclusion of selected projects in Business Plan 2019, to be submitted to EIT
1 January 2019	Earliest starting date for approved projects
1 July 2019	Latest starting date for approved projects

The next call for projects is expected to be launched in late 2018, with a submission deadline in winter/spring 2019.

2.7. Registration and proposal submission using SeedBook

Registrations and proposals can **only** be submitted using the IT-tool SeedBook. Project Coordinators are invited to register via this link <https://seedbook.eitrawmaterials.eu> from late November 2017 to get the access to the tool, register their proposal and commence the proposal submission process. CLC staff will assist in using the IT tool.

The Registration must be submitted by **Friday 12 January 2018 at 17.00 CEST**. Within a few days of registration, Project Coordinators will be given access to the online submission template in Seedbook.

The proposals must be submitted by **Wednesday 28 February 2018 at 17.00 CEST**.