1. Purpose and scope of this document

This document describes the process for preparation, submission, evaluation and selection of proposals in response to the 2017 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 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) version 2017, also contains 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 (TRL\(^1\)) 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 the project.
- Upscaling projects must 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 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 contributed by the project consortium should be a minimum of 10-15% of the total funding. Co-funding can be as in-kind contribution.
- 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

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 tentative feasibility assessment is expected to be included in the proposal. A more thorough and comprehensive feasibility assessment must be included in the project work plan as Work Package 0 (WPO). During WPO, relevant feasibility aspects identified in the proposal must be reassessed, and suggestions made during the proposal evaluation must also be addressed. A Template for the WPO Feasibility Study Report will be provided in Q2 2018 time by EIT RawMaterials.

The results of the WPO Feasibility Study should be submitted to EIT Raw Materials at latest at the end of September 2018. Subsequently, feedback and further recommendations will be communicated to the project consortium to enable partners to revise and strengthen the project.

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\(^1\) Definitions of Technology Readiness Level (TRL) 1 to 9 are given in FAQ document.
EIT Funding for projects that are assessed as “not feasible” may be terminated by the decision of EIT RawMaterials.

**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 2018 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 2017, 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, 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

- Final project proposals must be submitted no later than **Friday 31 March** using the online platform. The attached Upscaling Project Proposal Template offers guidance for the content of the proposal. Only partners of the EIT RawMaterials can submit proposals, but non-partners can be project partners.

**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.

Each of the 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 2018.
• Coordinators of the projects that are selected for funding will be informed after approval and will receive the feedback from the evaluation panel.
• The Feasibility Assessment (based on the results of the WP0) will be evaluated by the same evaluation panel in the fall 2018.
• 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:

• Project consortium consists of a minimum of 3 KIC core or associate partners, coming from a minimum of 2 different CLCs or a minimum of 2 different countries
• Project consortium includes partners from at least 2 sides of the knowledge triangle (education, research, business)

2.4. Evaluation criteria

<table>
<thead>
<tr>
<th>#</th>
<th>Weight</th>
<th>Reference in Template</th>
<th>Description of criteria</th>
</tr>
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<tr>
<td>TOTAL: 7</td>
<td></td>
<td>1. Strategic importance for the KIC</td>
<td></td>
</tr>
<tr>
<td>1.1</td>
<td>2</td>
<td>Section 3.2</td>
<td>Strategic importance of the solution (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</td>
</tr>
<tr>
<td>1.2</td>
<td>3</td>
<td>Section 3.5</td>
<td>Benefits provided to the wider KIC community related to expected impact, as well as any other useful value for the KIC (e.g. contribution to education, support to other KAVA)</td>
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</tbody>
</table>

\(^2\) See section 1.1. “Strategic objectives of the KIC” in Strategic Agenda 2016-22 of EIT RawMaterials (FPA, Annex I)
<p>| | | |</p>
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<thead>
<tr>
<th></th>
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<tr>
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<td>2</td>
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<td>2.2</td>
<td>2</td>
<td>Section 3.4</td>
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<td>Section 5</td>
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<td>2</td>
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<td>1</td>
<td>Section 6.1</td>
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<tr>
<td>4.4</td>
<td>1</td>
<td>Section 6.2</td>
</tr>
</tbody>
</table>

\(^3\) See section 3.2 “KPIs”
### TOTAL: 5

<table>
<thead>
<tr>
<th>5.1</th>
<th>3</th>
<th>Section 7</th>
<th>Quality of the project budget definition: clear explanation and justification of costs, proper balance of costs among partners in line with their assigned roles.</th>
</tr>
</thead>
<tbody>
<tr>
<td>5.2</td>
<td>1</td>
<td>Section 7.1, 7.2</td>
<td>Clear description of financial and non-financial backflows provided to the KIC: 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.).</td>
</tr>
<tr>
<td>5.3</td>
<td>1</td>
<td>Section 7.3</td>
<td>Eligible KCA and KAVA co-funding: 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).</td>
</tr>
</tbody>
</table>

**TOTAL WEIGHT: 30**

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

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

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.

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Footnote: Precise conditions and rules will be agreed in Project Agreement.
2.5 Selection criteria

1. Evaluation ranking: Projects with higher ranking will be preferred for funding
2. By size: Depending on EIT funding and received applications, we anticipate the following sizes of projects to be funded
   - 2-3 large size projects (total budget of € 2-5 million)
   - 3-4 medium size projects (total budget of € 1-2 million)
   - 5-10 small projects (total budget below € 1 million)
3. By theme: Depending on received applications, it is expected that the following allocations will be applied based on the main theme of the proposal: 35-45% on Exploration and Mining, 35-45% on Recycling, Substitution and Circular Economy, and 15-25% on Processing.

2.6. Calendar

- November 2016  Launch of call for Upscaling projects
- March 31 2017  Submission deadline
- April-May  Evaluation by panel of external experts
- Early June  Preparation of list of projects for funding by KIC Management Team
- Late June  Approval of list of projects for funding by KIC Executive Board + communication to partners
- September  Inclusion of selected projects in Business Plan 2018, to be submitted to EIT
- 1 January 2018  Earliest starting date for approved projects
- 1 July 2018  Latest starting date for approved projects
- 30 Sept 2018  Submission deadline\(^5\) for feasibility study report (outcome of WP0\(^6\))
- Mid Nov 2018  Evaluation of the Feasibility study conducted by the panel of external experts, leading potentially to recommendations for strengthening the project (if needed). In cases where feasibility is unlikely even with corrective measures the project may be discontinued if approved by the KIC Executive Board.

Approved projects are expected to receive financial funding from the EIT (via the KIC Headquarters) according to the following annual schedule: Pre-financing payment of ca. 55% of the project funding for 2018 by late Q2 2018, and payment of balance, ca. 45% by late Q1/EarlyQ2 2019. The next call for projects is expected to be launched in late 2017, with a submission deadline in winter/spring 2018.

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\(^5\) In the case where a small project (< € 500 k total KAVA budget) would be ready with the results of its feasibility study before end of August, the project leader could request an earlier feasibility assessment without having to wait until Dec 2018.

\(^6\) To be submitted based on the Template for the Feasibility Study Report which will be provided in due time by EIT Raw Materials.