

# EIT RawMaterials

## Call for KAVA Upscaling projects

### Instructions and process description

October 2018

#### 1. Purpose and scope of this document

This document describes the process for preparation, submission, evaluation and selection of proposals in response to the 2019 call launched by the EIT RawMaterials for Upscaling Projects (Upscaling KAVA – KIC Added-Value Activity in EIT terminology). It is a requirement to register your intention to submit a proposal and contact Co-Location Center/Innovation Hub staff and the Thematic Officers/Senior Advisors before submitting the proposal. The Co-Location Centre / Innovation Hub 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 and outputs 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 proposal in response to this call should read the following documents carefully:

- The present document (call text);
- *Upscaling Project proposal: Guidance and Template for complementary information*;
- 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 2018-22 of EIT RawMaterials (FPA, Annex I);
- *EIT RawMaterials communication and dissemination guidance*;
- *Go-to-market strategy for upscaling projects – Process and guidance*;
- The *Lighthouse Appendix* that outlines the topics and criteria for application through the Lighthouse initiative.

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## 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<sup>1</sup>) 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, the inclusion of PhD and/or Masters projects, internships, contribution to demand-driven Lifelong Learning courses, etc.
- Upscaling projects are requested to reach a non-EIT/EIT funding ratio of 80/20. Non-EIT funding is the sum of partners’ in-kind contributions to a project, i.e., KIC Complementary Activities (KCAs) and KIC Added-Value Activity (KAVA) co-funding (see FAQ). EIT funding is the requested EIT budget for executing the proposed project.
- The co-funding contributed by the project consortium should be minimum 20% of the total funding.
- Models for the joint creation of financial sustainability and a negotiable payback of a certain amount of the EIT funding in exchange for actual project co-funding – ‘deferred co-funding’ – are under development and will not have to be addressed by the proposals in this call.
- Proposals must meet the highest expectations and performance on the creation of impact (e.g., number of jobs created/saved).
- 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.

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

- The project duration can be from a minimum of 1 year to a maximum of 4 years. Note, however, that the current Framework Partnership Agreement (FPA) with EIT expires at the end of 2022. Therefore, the extension of projects beyond 2022 will be conditional upon and subject to the conditions set in the new FPA.
- Consortia are encouraged to consider offering our EIT RM Alumni an internship in their project and/or a site visit. Our Alumni are past or present participants in EIT RM Education or Business Development activities. The EIT RM Alumni Association would assist in the logistics involved in an internship or study/project visit.
- Proposals claiming to achieve any positive environmental impact, such as resource and energy savings, waste reduction, waste valorization, emissions reduction, etc., must include a Work Package on the assessment of the environmental impacts of the developed products or processes using LCA (Life Cycle Assessment) methodologies.

### **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 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.

### **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 2020 KAVA projects will be allocated to upscaling projects. It is also expected that between 30% and 50% of these funds will be allocated to Lighthouse projects. The funding allocation to Lighthouse projects will depend on the overall strength of the proposals. Lighthouse and non-Lighthouse proposals will be evaluated together, and selection for funding will be based only on the eligibility, quality and strategy criteria outlined in Section 2 of this document (additional eligibility criteria apply to Lighthouse projects as outlined in the 'Lighthouse Appendix' document).

## Confidentiality

Access to the 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 proposal is approved for funding, the full details of the approved project will be communicated to the EIT as part of the proposed Business Plan 2020, where it will be included in EIT's evaluation of the Business Plan.

The title, scope, summary, name of partners in the consortium, name of coordinator and overall budget of projects approved for funding will be shared within the EIT RawMaterials community, and therefore will be made publicly available (e.g., on the EIT RawMaterials' web site, in presentations at conferences etc.). Public dissemination of the project's main results and outcomes is a mandatory condition for funding, and will be arranged jointly by the consortium and EIT RawMaterials staff taking into account the consortium's legitimate confidentiality requirements.

## 2.2. Proposal preparation, submission, evaluation and selection process

### 2.2.1 Proposal preparation

Matchmaking and brokerage events throughout the year allow partners to discuss project ideas and form potential consortia. It is mandatory for the Coordinator to inform her/his Innovation Hub Manager for each project proposal to be submitted. The Innovation Hub staff and the Thematic Officers/Senior Advisors provide guidance and support in order 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 proposal 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.

### 2.2.2 Proposal submission

- **Coordinators must register their intention to submit a proposal no later than Friday 11 January 2019 at 13.00 CET** using the SeedBook online platform. The registration form will become available through Seedbook before the end of October 2018. 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

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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.

- **Proposals must be submitted no later than Friday 15 February 2019 at 13.00 CET** using the SeedBook online platform. The attached '*Upscaling Project proposal: Guidance and Template for complementary information*' offers guidance for the content of the proposal.

### 2.2.3 Proposal evaluation and selection process

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

Eligibility criteria - mandatory requirements (proposals that do not meet such criteria will not be considered for further evaluation), as described in section 2.3 below;

Quality criteria - quality criteria against which the collected proposals will be scored and ranked by external evaluators, according to the evaluation grid presented in section 2.4 below;

Strategy criteria - strategy criteria against which the collected proposals will be scored and ranked by the EIT RawMaterials Management Team, according to the evaluation grid presented in section 2.5 below.

Eligible proposals will be selected based on the quality and strategy criteria ranking. Quality criteria (external evaluation) account for the 70% of the final score, while strategy criteria (EIT RawMaterials evaluation) account for 30%.

Proposals' quality will be evaluated by a panel of external experts appointed by the EIT RawMaterials Management Team.

- All members of the evaluation panel will sign non-disclosure and conflict of interest agreements.
- A minimum of three experts will be assigned to the evaluation of each proposal.
- In the first step, these assigned experts evaluate each proposal remotely using the criteria set out in the 2.4 Quality Criteria grid.
- Final evaluation of all proposals is conducted by the entire panel (with the exclusion of any member with a conflict of interest). The strengths and weaknesses of each proposal as perceived by the panel will be documented and 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 meetings but will otherwise not take part in the evaluation process.

Proposals' strategy will be evaluated using the criteria set out in the 2.5 Strategy Criteria grid. The final selection of all proposals is conducted by the EIT RawMaterials Operational Management Team (OMT) using the same criteria. The strengths and weaknesses of each project will be documented and communicated to the Project Coordinator once the evaluation process is completed.

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Based on the evaluation and the overall available funding, the EIT RawMaterials 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 2020.

Coordinators of projects that are selected for funding will be informed after approval by the Executive Board and receive also the feedback from the evaluation panels. The feedback may include a list of requested changes that must be made by the Project Coordinator before the project can be given the final approval.

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:

- The project consortium must consist of a minimum of 3 KIC Core or Associate Partners, coming from a minimum of 2 different Innovation Hubs and a minimum of 2 different countries
- The project consortium must include KIC partners from at least 2 sides of the knowledge triangle (education, research, industry/business - as defined in the Partner registration documentation)
- Non-members are eligible to apply only if they submit an EIT RawMaterials membership application by 1 July 2019. Failure to apply for EIT RawMaterials membership by 1 July 2019 will result in their removal (including the requested funding) from the proposal
- The project cannot have one partner (including its Linked Third Parties) as the Work Package leader in all Work Packages
- All proposals must include a 'Dissemination and Communication Plan' Work Package, following the communications guidelines included in the document '*EIT RawMaterials Communication and dissemination guidance*'
- Additional eligibility criteria apply to Lighthouse proposals as outlined in the document '*Lighthouse Appendix*'

### 2.4. Quality criteria

| #               | Weight | Reference in <i>Guidance and Template</i> | Description of Criteria<br>(the points listed below refer to examples, but the list is not exhaustive)  |
|-----------------|--------|---|---|
| <b>Total: 7</b> |        |   | <b>1. Innovation capacity</b>   |
| 1.1             | 4      | Section 3                                 | <ul style="list-style-type: none"> <li>• Overall rationale for the project's importance and innovation capacity compared with current practice</li> </ul> |

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|                 |   |           |  |
|-----------------|---|-----------|--|
|                 |   |           | <ul style="list-style-type: none"> <li>• Economic importance of the targeted theme/market (market size, breadth of customers/applications)</li> <li>• Potential to deliver tangible results and products, processes or services that have not been delivered by other institutions</li> </ul>  |
| 1.2             | 2 | Section 3 | <u>Dissemination</u> : Clear dissemination strategy and application (to other countries, on-going initiatives and programmes, links to development in other materials, themes, markets, audiences, partners, etc.)   |
| 1.3             | 1 | Section 3 | <u>Synergies</u> : Creation of synergies with other actors in the local ecosystem to create an impact beyond the individual project itself   |
| <b>Total: 7</b> |   |           | <b>2. Quality of the project definition</b>  |
| 2.1             | 3 | Section 3 | Clear definition of <u>project objective and overall identifiable output</u>   |
| 2.2             | 2 | Section 6 | 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.)   |
| 2.3             | 1 | Section 6 | Clear <u>project schedule</u> , with well-defined milestones   |
| 2.4             | 1 | Section 6 | <u>Risk management</u> : Identification of key risks (with regards to technology, market, regulatory, financial, stakeholders, managerial etc.) and effective mitigation measures  |
| <b>Total: 5</b> |   |           | <b>3. Quality of the consortium</b>  |
| 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 Innovation Hubs represented in the consortium, Involvement of relevant industrial partner(s), presence of one or several SME(s) as active Task partners |
| 3.2             | 2 | Section 5 | <u>Roles and governance</u> : Clear definition of roles corresponding to the specific strengths of each partner,   |

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|                  |   |           |  |
|------------------|---|-----------|--|
|                  |   |           | clear definition of project governance structure and of coordination mechanisms among partners   |
| <b>Total: 11</b> |   |           | <b>4. Business potential</b>   |
| 4.1              | 2 | Section 3 | <u>Technical feasibility</u> of the solution based on the technology(ies) currently available to consortium partners   |
| 4.2              | 2 | Section 3 | <u>Innovativeness</u> of the proposed solution, and expected competitive advantage vs. other solutions (already available in the market or in development)   |
| 4.3              | 1 | Section 3 | <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.  |
| 4.4              | 1 | Section 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 the support of the KIC   |
| 4.5              | 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.  |
| 4.6              | 2 | Section 7 | <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). |

### Total weight =30

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 criterion). These quantitative scores will be used as input for the consensus evaluation panel.



## 2.5 Strategy criteria

| Weight | Reference in <i>Guidance and Template</i> | Description of criteria<br>(bullet points refer to examples, but the list is not exhaustive)   |
|--------|---|--|
| 7      | Section 3 and Strategic Agenda            | <p><b>Strategic importance for the KIC</b></p> <ul style="list-style-type: none"> <li>• Overall rationale for the project's strategic importance to the KIC</li> <li>• Economic importance of the targeted theme/market (market size, breadth of customers/applications)</li> <li>• Contribution to de-siloing (countries, Innovation Hubs, disciplines, partner categories, value chain segments, activities)</li> <li>• Contribution to building and expanding the reach of the KIC community</li> <li>• Effective and comprehensive communication and dissemination plan</li> <li>• Clear dissemination strategy and application (to other countries, on-going initiatives and programmes, links to development in other materials, themes, markets, audiences, partners, etc.)</li> <li>• Benefit to the partnership beyond the Consortium</li> <li>• Creation of synergies with other actors in the local ecosystem to create an impact beyond the individual project itself</li> <li>• Involvement of partners from RIS and ESEE region countries</li> <li>• Leveraging effect on other KIC activities</li> <li>• Collaboration with other proposals, also from other KIC activities</li> <li>• Contribution to an overall EIT RawMaterials portfolio that is in line with its strategic objectives</li> <li>• Novelty relative to other projects submitted by the same consortium</li> <li>• Novelty relative to other projects in the portfolio</li> </ul> |
| 7      | Sections 3, 6 and 7 and Strategic Agenda  | <p><b>Expected impact (return on KAVA investment)</b></p> <ul style="list-style-type: none"> <li>• Realistic assessment of the expected contribution that the project will make to the impact of the KIC (see the Strategic Agenda 2018-22 of EIT RawMaterials) in relation to the requested budget</li> </ul>   |

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|   |                  |   |
|---|------------------|---|
|   |                  | <ul style="list-style-type: none"> <li>• With specific reference to the activities, stakeholder interactions, deliverables and objectives, include a clear explanation of how this impact will be achieved</li> <li>• Project plan should include a description of expected stakeholders benefiting from the project along with a justification, and details of communication and dissemination plans to stakeholders</li> <li>• Other expected quantitative contribution to specific output KPIs and/or scoreboard numbers (see the Strategic Agenda 2018-22 of EIT RawMaterials)</li> <li>• Clear Description of financial and non-financial benefit provided to the KIC. Support to other KAVA activities, to KIC Customers, or other stakeholders (e.g. public authorities, NGOs, etc.).</li> </ul> |
| 3 | Sections 6 and 7 | <p><b>KCA and other contributions from partners</b></p> <ul style="list-style-type: none"> <li>• Relevant KCA amount (€)</li> <li>• KAVA co-funding brought by partners</li> <li>• Balance in the level of resources committed by the different partners</li> <li>• Expected financial sustainability for the continuation of the program, if relevant</li> </ul>   |
| 3 |                  | <p><b>Quality of the proposal relative to requirements</b></p> <ul style="list-style-type: none"> <li>• Completeness and accuracy of information provided in the proposal</li> <li>• Compliance with EIT requirements</li> <li>• Alignment with feedback given by EIT RawMaterials on previous submissions (if applicable)</li> </ul>   |

**Total weight =20**

The score given for each criterion by the panel will then be multiplied by the weight. Maximum score is 100 = 20 (total weight) \* 5 (maximum score for each criterion). These quantitative scores will be used as input for the consensus evaluation panel.

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

## 2.6. Calendar

|                                      |  |
|--------------------------------------|--|
| 15 October 2018                      | Launch of call for Upscaling projects  |
| Late October 2018                    | The proposal registration and submission platform "Seedbook" ( <a href="https://seedbook.eitrawmaterials.eu">https://seedbook.eitrawmaterials.eu</a> ) goes online |
| Friday 11 January 2019 at 13.00 CET  | Proposal registration deadline   |
| Friday 15 February 2019 at 13.00 CET | Proposal submission deadline   |
| March 2019                           | Evaluation by panel of external experts  |
| April 2019                           | Preparation of list of projects for funding by KIC Management Team   |
| April 2019                           | Approval of list of projects for funding by KIC Executive Board & communication to partners  |
| August 2019                          | Inclusion of selected projects in Business Plan 2019, to be submitted to EIT   |
| 1 January 2020                       | Earliest starting date for approved projects   |
| 1 July 2020                          | Latest starting date for approved projects   |

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The next call for projects is expected to be launched in late 2019, with a submission deadline in winter/spring 2020.

## 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 October 2018 to get the access to the tool, register their proposal and commence the proposal submission process. Innovation Hub staff will assist in using the IT tool.

The Registration must be submitted by **Friday 11 January 2019 at 13.00 CET**. 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 **Friday 15 February 2019 at 13.00 CET**.