

EIT RawMaterials

Upscaling Project Proposal

Guidance and Template for complementary information

October 2018

1. PROJECT TITLE

Check with Innovation Hub staff that the project name is not the same as or similar to the name of any other projects.

2. EXECUTIVE SUMMARY *(max. 90 words)*

The executive summary should be a clear and concise description of the project's key elements:

- *What is your innovation about (product, service, method, system, software etc.)?*
- *What does it do/will it do?*
- *For whom (customer/end-users)?*
- *What will be the expected benefits for them?*
- *What is the problem that it solves and how big is that problem?*
- *What do you have, combined from the consortium (IP, know-how, trade secret)?*
- *What is the development plan (short description of what the project is going to deliver, what outcome and major milestones per year)?*
- *What is to be expected after the project (e.g., who will lead the commercialisation, Go-to-market-strategy)?*

This text may be used as part of the Business Plan, or for presentations and other materials, and should therefore be formulated as a business pitch.

3. PROJECT DESCRIPTION

3.1 Background of the project *(max. 1 page)*

Explain where the idea originates from (past projects) and justify that it reaches TRL 5.

Upscaling Project proposal Guidance and Template for complementary information – KAVA 6

Explain its importance for the KIC and the RM sector (e.g., a particular raw materials challenge; the continuation or elaboration of a previous KAVA project and its results; complement to an existing KAVA project or non-KIC project, etc.).

Justify how the project will differ from existing projects (not just KAVA projects but also other existing programmes outside the KIC).

If the project is a continuation of a previous KAVA project, detail the outcomes/impact of the pilot project and explain how the new project will build on this, taking the results of the pilot into account and clearly showing which content is new and which is not.

3.2 Project objective and scope (max. 1 ½ page)

Explain what the project intends to achieve, its objectives and scope (e.g., by using SMART metrics - Simple, Measurable, Achievable, Realistic, Time-bound).

Explain the customer/user needs and justify how these needs have been investigated and will be validated. Describe the targeted project output (product/service/process) and its specific characteristics (in terms of cost, performance, efficiency, safety, environmental impact, lifetime, etc.). Describe how the proposed solution will contribute to solving the problem. Explain what the level of maturity (TRL level) the output will be at the end of the project duration. Explain what remains to be done additionally to bring the solution to commercialisation and/or industrial implementation, and the timeline for this.

Explain how the project will complement existing initiatives, whether and in what form educational aspects will be included and how it will contribute to the achievement of the KIC targets. Specify the geographical coverage, both from an offering side (where will the product/service be offered) and from an end-customer side (who will be able to benefit from it). Addressing the so-called RIS regions is encouraged.

3.3 Technical feasibility and IP (1 page)

Describe what the underlying technology for developing the proposed solution is. Provide a brief description of the background IP (list only the main IP assets, and explain why they are important for the success of the project). Justify the TRL level (minimum 5) at the beginning of the project. Justify the technical feasibility of what you intend to develop.

Describe the areas where you expect that IP will be created and how you intend to protect such IP. Explain in which industrial process and by which partner the IP will be used. Explain the general principles that will be used to manage IP rights among the partners of the consortium.

3.4 Preliminary business opportunity assessment and innovativeness (1 ½ page)

Give a preliminary assessment of the business opportunity represented by your solution (this assessment will be further refined in the go-to-market strategy to be developed under WPO – see the document ‘Go-to-market strategy for upscaling projects - Process and guidance’) by answering the following questions:

Upscaling Project proposal Guidance and Template for complementary information – KAVA 6

- *Who are your target customers and what are their key characteristics?*
- *What is your customer value proposition (i.e., why would the customer buy/use your solution, what are the key benefits for them vs. the 'sacrifices' required (including the price they will have to pay))?*
- *What is your preliminary business model and by whom or by what type of carrier will your innovation be launched into the market for further commercialisation?*
- *What is your preliminary estimation of the € size of the 'total addressable market' at the time when the solution will be commercialized and at some point (e.g., after 3 years) in the future (i.e., the total market assuming that there is not competition = market size in units * € sales price of the solution)?*
- *What growth trends are expected for the target market, and why?*

Explain what is innovative in your proposed solution compared to alternative solutions already available in the market or in development. Describe your expected strengths and weaknesses vs. competitive solutions.

3.5 Impact and benefits (½ page)

Describe how the project will contribute to the overall impact of the KIC. Describe also what benefits will be provided to other partners outside of the consortium partners and to the KIC community at large, particularly in the relevant themes and/or focus markets of the KIC. Specify to which extent the project could have indirect benefits for other materials/themes/markets/ users/partners.

Note that the impacts and benefits described here should be considered as a result of the combination of this KAVA project and the supporting KCA.

4. POPULAR PROJECT DESCRIPTION (½ page)

Describe the project as it could be communicated to an external stakeholder.

5. CONSORTIUM

Provide a clear description of the expertise of each partner and describe the complementarity between partners. Justify the selection of the lead partner. Describe how the various partners provide access to the relevant resources and cover the relevant steps along the chain, as required to produce and deliver the solution to the targeted customers/users). In particular, demonstrate strong involvement of relevant industrial partner(s) as required to ensure commercialisation/valorisation of the developed solution on a broad geographical scope.

Provide a clear description of the specific role of each partner in the project/WPs. Describe the project coordination mechanisms and governance structure that will be implemented. Include a plan of action for the event that a partner unexpectedly withdraws from the project.

The KIC aims to expand the reach of its community. Therefore, consortia involving partners from or with an impact on the ESEE/RIS regions are encouraged.

6. PROJECT IMPLEMENTATION PLAN

6.1. Work plan

In addition to the 1) project management and 2) dissemination and communication plan work packages, all proposal must include a ‘Go-to-market strategy’ work package as WPO. The proposal must include a detailed, structured, step-by-step project plan broken down into design and implementation phases, with the rationale behind each step explained. A detailed description of partners’ roles in each work package and task should be included to add clarity to the project implementation description.

Milestones, outputs and deliverables must be provided for each work package. Explain briefly, not only defining the aims, objectives and deliverables, and how these deliverables will help achieve the project aims and objectives.

WPO – Go-to-market strategy

WPO should contain at least the following aspects:

- The proposal provides a realistic description of the current stage of development (TRL 5 or similar for non-technological innovations) and added value of its innovation as well as very good understanding of the competing solutions. Includes good comparison with state-of-the-art, known commercial solutions, including costs, environmental benefits, gender dimension, ease-of-use and other features*
- Aim is to perform a realistic and relevant analysis of market conditions, total available market size and growth rate, competitors and competitive solutions and key stakeholders, or includes a plan for obtaining this information*
- Target customers are identified and how they can be segmented according to their characteristics*
- The strategy plan for commercialisation is prepared in a realistic and relevant way, including approximate time to market/deployment, the business model, onboarding a commercialising carrier/entity (if not already on board), a bankable business plan and off-boarding plan to be implemented just before and executed after project’s ending. Activities to be further developed after current project (if project targets below TRL 9), including additional dissemination measures, are well outlined*
- Measures to ensure ‘freedom to operate’ (possibility of commercial exploitation) are realistic and there is a convincing strategy of knowledge protection, including current IPR filing status, IPR ownership and licensing issues. Regulatory and/or standard requirements are well addressed*
- Key risk factors are identified and mitigation measures planned*

Upscaling Project proposal Guidance and Template for complementary information – KAVA 6

The Business Developer(s) appointed by the KIC in each Innovation Hub are available, as needed, to support consortium partners with the planning of this WPO. Additional information can be found in the document ‘Go-to-market strategy for upscaling projects - Process and guidance’.

WPn (e.g., WP1) - Project Management

All projects should include a WP dedicated to project management, which must include a detailed risk and mitigation plan, to be evaluated frequently and based on: indicated risks in section 6.2, dependencies /expectations between the different work packages and emerging risks as a result of changing circumstances (during the project).

WPn+1 (e.g., WP2) – Dissemination and Communication Plan

All projects must include a WP dedicated to communication and dissemination (including interactions/reporting to the KIC and the EIT, etc.). Please refer to the document ‘EIT RawMaterials communication and dissemination guidance’ for further advice. All publicity materials and platforms must comply with the EIT Branding Guidelines available in the InfoCenter (infocenter.eitrawmaterials.eu – check ‘Guidance for Partners’ – ‘Files’ – ‘Communications and Branding’).

Other WPs

Other WPs should be defined by the consortium to cover all the relevant technical and non-technical aspects of the project (e.g., marketing, finance, IP, regulatory, stakeholder management, educational aspects, etc.).

6.2. Risk analysis (½ page)

Identify key risk factors (with regards to technology, market, finance, regulatory, stakeholders, management etc.), their likelihood (low/medium/high), criticality and describe planned anticipation/mitigation measures.

Definition of critical risk: a critical risk is a plausible event or issue that could have a high adverse impact on the ability of the project to achieve its objectives.

Level of likelihood to occur: low/medium/high.

The likelihood is the estimated probability that the risk will materialise even after taking account of the mitigating measures put in place.

7. BUDGET (1 page)

Please provide justification of the budget allocations and demonstrate their link to the elements of the proposed project, i.e., distribution between partners, FTE, education and dissemination measures, etc. Also, provide a description of any financial backflows to the KIC (e.g., in the form of a share in: license fees, royalties, future cost savings, future revenues, equity, etc.). Indicate whether the project will provide non-financial ‘value for money’ to the KIC, e.g., in the form of free support to other KAVA activities (e.g., education,

entrepreneurship support services), to KIC customers (e.g., students, SMEs) or other stakeholders (e.g., public authorities, NGOs, etc.)

It is preferable that the bulk of the funding should not be used for management costs or indirect costs such as travel expenses, but for the direct development and delivery of the education programme.

It is crucial to explain and justify the budget plan in detail. Consistency between the budget plan and the project activities is an important evaluation criterion (see Sections 2.4 and 2.5 of the KAVA Call texts – Evaluation grid).

For each KCA of major relevance for the project provide a brief description and justify its relevance in support of the proposed KAVA project (i.e., its ability to increase the impact of the KAVA activities).

If the project builds on and overlaps with a currently running KAVA project, the budgets will likely have to be merged in the event that the proposal is successful. Please take this into account and ensure that there are no duplications in budget where there are overlaps, as projects cannot receive double funding in the same business plan year.

Checklist

The aim of this checklist is to help partners to identify aspects to improve their proposals.

Strategic Importance

- *The proposal is in line with the EIT RawMaterials Strategic Agenda*
- *The proposal contributes to the mission and goals of EIT RawMaterials and will generate impact for the KIC*
- *The proposed solution is innovative*
- *The proposal contributes to building and expanding the reach of the KIC community through an effective and comprehensive communication and dissemination plan*
- *There is clear benefit to the partnership beyond the Consortium*
- *The innovation aims at exploring new market opportunities*
- *The proposal provides a realistic description of the current stage of development and added value of its innovation as well as an understanding of the competing solutions*
- *The expected performances of the innovation are convincing and have the potential to be relevant from a commercial point of view (Value for money). It is potentially better than alternatives*
- *The innovation/solution has a clear European/global dimension both with respect to commercialisation and with respect to competitor/competition evaluation*

Business potential

- *Includes comparison with state-of-the-art, known commercial solutions, including costs, environmental benefits, gender dimension, ease-of-use and other features*
- *The approach and activities to be developed are consistent with the expected impact of the project*
- *The proposal reflects a very good understanding of both risks and opportunities related to a successful market introduction of the innovation, both from a technical and a commercial point of view*
- *The proposal indicates in a convincing way that there will be demand/market (willing to pay) for the innovation when the product /solution is introduced into the market*

- *The targeted users or user groups of the final product/application, and their needs, are well described and the proposal provides a realistic description of why the identified groups will have an interest in using/buying the product/application, compared to current solutions available*
- *It is described in a realistic and relevant way how the innovation has the potential to boost the growth of the applying partners*
- *The proposal demonstrates understanding of the financial and organisational requirements for commercial exploitation. The initial commercialisation plan is outlined and explains how will be further developed (in-house development, licensing strategy, etc.)*
- *The proposal includes a realistic and relevant description of status and strategy of knowledge protection, the need of 'freedom to operate analysis', and current IPR situation, which could include a plan for obtaining this information. If relevant, potential regulatory requirements are also addressed*

Quality of the consortium

- *The proposal demonstrates that the project has the relevant resources (personal, facilities, networks, etc.) to develop its activities in the most suitable conditions*
- *The roles of partners and subcontractors are described in a realistic way and partners have adequate resources in the project to fulfil such roles*
- *The team has relevant technical/scientific knowledge/management experience, including a good understanding of the relevant market aspects for the particular innovation. If relevant the proposal includes a plan to acquire missing competences*
- *The industrial/commercial involvement in the project ensures exploitation of the results or will help to achieve the specific measures which are proposed for exploitation of the results of the project*

Quality of the project definition

- *Taking the project's ambition and objectives into account, the proposal includes a realistic time frame and a comprehensive description of work packages*

Financial viability

- *The proposal demonstrates that the allocation of financial resources corresponds to the project's ambition and the roles of the partners*