

# EIT RawMaterials

## RIS Project Proposal

### Guidance and Template for Complementary Information

November 2019

#### **PREAMBLE – READ CAREFULLY!**

**IMPORTANT NOTE: different eligibility and evaluation criteria apply to the three different types ('Segment') of RIS proposals:**

**RIS Acceleration proposals** – the same criteria used for the Upscaling proposals apply; please refer to the Upscaling call text and to guidance provided in 'Upscaling Project proposal: Guidance and Template for complementary information'.

**RIS RM Academy (Education) proposals** – the same criteria used for the Education proposals apply (including the 'Legacy' and the 'New proposal' project types); please refer to the Education call text and to guidance provided in 'Education Project proposal: Guidance and Template for complementary information'. Please also note that the same conditions apply to RIS Lifelong Learning and non-RIS Lifelong learning proposals.

**RIS Matchmaking and Networking proposals** – please refer to the RIS call text and to guidance provided in this document.

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As our KIC is approaching the end of its first funding cycle, EIT has made very specific demands on conditions that must be met by new projects commencing in 2021 as a requirement for their inclusion in the 2021 Business Plan. To guarantee the best possible outcomes for our partnership in the second funding round, the same conditions must be met by our overall portfolio by the end of 2022.

The minimum funding (the sum of EIT funding and partner co-funding) allocated to an Upscaling (including RIS Acceleration) proposal will be € 500 000 pa (on average over the duration of the project). Therefore, proposals with lower budgets should seek synergies with other KAVA proposals and create larger consortia to develop bigger KAVA proposals, or discuss directly with KIC staff the significance of their project. The € 500 000 limit does not apply to Lifelong Learning projects (including RIS Lifelong Learning), as their budget depends on the business model that will be discussed with the KIC staff.

Two new text boxes, 'Alignment with the strategy of EIT RawMaterials' and 'Market analysis', have been created in SeedBook to address relevant aspects of the proposal. **Please note that the 'Market analysis' section in SeedBook is mandatory for Upscaling, RIS Acceleration and Lifelong Learning Education (including RIS Lifelong Learning) proposals. It is optional for other categories of projects.** Although consortia are free to structure their proposals in the most suitable way, these two text boxes should be used to cover strategy and market analysis-related matters, and repetitions in other sections of the proposal should be avoided as much as possible. The whole proposal will be evaluated by all external and internal evaluators. Note that each of these boxes has a character limit (10000 and 12000, respectively).

In addition to the minimum funding outlined above, the following conditions will apply to all projects commencing in 2021 and will be assessed in the proposal evaluation. All new proposals must address explicitly each of the points listed below in the 'Alignment with the strategy of EIT RawMaterials' section in SeedBook or in the 'Market analysis' section, as appropriate (see below). To facilitate evaluation and proposal selection, it is recommended that each point be addressed under a separate heading, and that the information provided is as quantitative and as precise as possible.

Points to be addressed in the 'Alignment with the strategy of EIT RawMaterials' section in SeedBook, with each point addressed under a separate heading:

1. **Strategy.** The consortium must explain how the project is aligned with the overall strategy of EIT RawMaterials as outlined in our Strategic Agenda 2018-22 (FPA, Annex I).
2. **Financial sustainability.** The consortium must explain how the project will contribute to the financial sustainability of the KIC. For projects that will generate a backflow for the KIC (this is mandatory for RIS Acceleration and RIS Lifelong Learning proposals, but optional for other RIS proposals), the consortium must 1) state which backflow option has been selected (please refer to Appendix 1, Section 3 of the document 'Upscaling Project proposal: Guidance and Template for complementary information') and 2) provide a summary of this option (including expected value (in €), timeline and mechanisms).
3. **Core KPIs.** The proposal must address core KPIs. Please provide here a brief summary of core KPIs to be achieved (list KPI codes, numbers and timeline). Although this is not an eligibility criterion, the achievement of core KPIs is a fundamental milestone of our strategy. Therefore, proposals that do not address core KPIs are, by definition, misaligned with the KIC's strategic goals.
4. **Start-ups.** The creation of start-ups from all types of projects is a key objective of the knowledge triangle integration (documented via EITN02 and EITN04 for Education and Upscaling/Acceleration projects, respectively), and will be evaluated very positively. Consortia must clearly state if and how many start-ups will be created, and provide the relevant details.

Points to be addressed in the 'Market analysis' section in SeedBook (**this is mandatory only for RIS Acceleration and RIS Lifelong Learning proposals**), with each point addressed under a separate heading:

1. **Market analysis.** Preliminary, but convincing, market analysis, covering important aspects such as the business environment (e.g., technical, regulatory, social, environmental and political aspects, user needs and targeted applications, customer value proposition, target market(s) (e.g., size, structure, growth potential, segmentation), risk assessment, design or market studies, and intellectual property exploration. The consortium must be able to convince the external reviewers that it is conscious of the market conditions relevant to its innovation, and that the KAVA will result in the commercialization of its proposed innovation. Graphs and figures related to market analysis can be uploaded in the 'Drawings and Schemes' section.
2. **IP.** A clear statement on who (which entity/ies) will own the results of activities undertaken in the KAVA.
3. **Products.** A clear statement on which products and/or services will be brought to the market, how, by whom (which entity/ies) and by when.

Please note that the 'Market analysis' section in SeedBook is mandatory for Upscaling, RIS Acceleration and Lifelong Learning (including RIS Lifelong Learning) proposals. It is optional for other categories of proposals.

The option selected for the KIC's financial sustainability (see Section 2.1 of the Upscaling call and Appendix 1 of 'Upscaling Project proposal: Guidance and Template for complementary information') must be outlined in the proposal to a sufficient level of detail that will allow a proper assessment of the project's financial risks and benefits for the KIC. If the project is recommended for funding, the details of the backflow mechanisms (amount, caps, timeline, responsible party/ies, conditions, etc.) must be fully defined and agreed upon **in writing** by both parties before the project is included in the 2021 Business Plan.

KPIs, especially core KPIs, must be selected very carefully because the nature and amount of core KPIs will be one of the three fundamental factors in the proposal evaluation and selection, together with financial sustainability of the KIC and integration of the knowledge triangle. As a rule, the consortium's underperformance in yearly core KPIs will result in a significant EIT-funding reduction and/or project termination. Consortia must aim to distribute core KPIs over the duration of the project, and not concentrate them at the end of the project or after the end of the funding period.

**NOTE on co-funding contribution and non-EIT:EIT ratio:** Any co-funding contributed by the project consortium above the minimum requirement for the specific segment will be evaluated positively. The requested partner co-funding refers to the EIT + non-EIT funding amount. For example, if a RIS Acceleration project needs € 150 000, 70% can be covered using EIT funding (€ 105 000) and 30% can be covered by partner co-funding (€ 45 000). The non-EIT contribution is four times the EIT contribution (80:20 ratio), equal to € 420 000. Considering the € 45 000 co-funding already contributed by the consortium, the KCAs must be a minimum of € 420 000 – 45 000 = 375 000. Note that the co-funding and KCA ratios can be easily checked in SeedBook (in the 'Overview and Checking' opening page) as they are automatically generated by the system as the cost data is entered.

*Please remember that the non-EIT:EIT funding requirement must be met over the duration of the project (check the 'Total' column in the 'Overview and Checking' opening page), not for each year of the project (although some balance can be expected across the duration of the project).*

## 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, Why and How". 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. POPULAR PROJECT DESCRIPTION (½ page)

*Describe the project as it could be communicated to an external stakeholder and to the intended learners. This information will be uploaded in the EIT RawMaterials website.*

## 4. PROJECT DESCRIPTION

### 4.1 Background of the project (max. 1 page)

*Explain where the idea originates from and why this project is important 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 why and how the project differs from existing programmes (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.*

### 4.2 Project objective and scope (½ page)

*Explain what the project intends to achieve, its objectives and scope.*

*This should ideally include a clear and specific description and justification of the content, goals and approach.*

*Explain and justify the roles and responsibilities of all project partners, especially partners who do not provide co-funding. Include a plan of action for the event that a partner unexpectedly withdraws from the project.*

*Explain how the project will complement existing initiatives, and in this way, 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).*

### 4.3 Alignment with the strategy of EIT RawMaterials (max. 3 pages)

*Please check the 'Preamble'. This section is mandatory for all types of projects. The following information should be provided, with each point addressed under a separate heading:*

1. **Strategy.** The consortium must explain how the project is aligned with the overall strategy of EIT RawMaterials as outlined in our Strategic Agenda 2018-22 (FPA, Annex I).
2. **Financial Sustainability.** The consortium must explain how the project will contribute to the financial sustainability of the KIC. For projects that will generate a backflow for the KIC (this is mandatory for Lifelong Learning proposals, but optional for other Education proposals), the consortium must 1) state which backflow option has been selected (please refer to Appendix 1, Section 3 of the document 'Upscaling Project proposal: Guidance and Template for complementary information) and 2) provide a summary of this option (including expected value (in €), timeline and mechanisms).
3. **Core KPIs.** The proposal must address core KPIs. Please provide here a brief summary of core KPIs to be achieved during the project (list KPI codes, numbers and timeline).
4. **Start-ups.** The creation of start-ups from all types of projects is a key objective of the knowledge triangle integration (documented via EITN04 for Upscaling projects). Consortia must clearly state if and how many start-ups will be created, and provide the relevant details.

#### 4.4 Market analysis (max. 4 pages)

Please check the 'Preamble'. **This section is OPTIONAL for RIS Matchmaking and Networking projects.** It is mandatory only for Upscaling, RIS Acceleration and Lifelong Learning Education projects. The following information should be provided, with each point addressed under a separate heading:

1. **Market analysis.** Preliminary, but convincing, market analysis. Graphs and figures related to market analysis can be uploaded in the 'Drawings and Schemes' section.
2. **IP.** There must be a clear statement on who (which entity/ies) will own the results of activities undertaken in the KAVA.
3. **Products.** The proposal must clearly state which products and/or services will be brought to the market, how, by whom (which entity/ies) and by when.

#### 4.5 Needs and impact (1 page)

Explain who are the target end-customers and/or key beneficiaries of the activity.

Explain the strategic importance for the KIC of meeting the identified needs.

Explain any possible indirect benefits for the KIC (e.g., de-siloing, building-up the community, leveraging effect on other KAVAs, etc.).

Explain how project results are connected/related to the expected impacts (effectiveness of dissemination plan, involvement of stakeholders, etc.). Quantifying the reach and the market potential will particularly add value to the proposal's intended impact.

#### 4.6 Expected financial sustainability (½ page)

*Explain what potential funding sources (own revenues, public funding, co-funding by partners, etc.) could be considered to finance (at least partially) the continuation of the service offering after the end of the project period.*

*A structured financial strategy roadmap with follow-up actions and recommendations for continuation will be considered an especially valuable component of the proposal.*

### 5. PROJECT IMPLEMENTATION PLAN

*This section must include, under ‘Work Plan (first year)’ and ‘Work Plan (subsequent years)’ a clear description of the consortium, work plans, risk analysis, IP management and budget.*

#### 5.1 Consortium

*Describe the role of each partner in the consortium. Explain how the project contributes to knowledge building in the ESEE region.*

*There are specific criteria for the selection of RIS Task Partners, and these are outlined in Appendix 1. A ‘RIS Task Partner Justification Template’ is available as an editable document to provide the requested information on RIS Task Partners involved in KAVAs. This template must be uploaded in the ‘Drawings and Schemes’ section.*

#### 5.2 and 5.3 Work plan (first year and subsequent years)

*It is required that the proposal includes 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.*

*In addition, please provide the milestones and deliverables 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. When project deliverables are course plans, such course plans shall be Bologna compliant.*

*All RIS Matchmaking and Networking projects shall include a Work Package (WP) dedicated to project management and one WP dedicated to communication and dissemination (including interactions/reporting to the KIC and the EIT, etc.). Please refer to the documents ‘EIT RawMaterials Project Management guidance’ and ‘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](http://infocenter.eitrawmaterials.eu) – check ‘Guidance for Partners’ – ‘Files’ – ‘Communications and Branding’).*

#### 5.4 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.*

#### 5.5 Management of IP issues (*max. ½ page*)

*If relevant, explain the basic principles to manage IP issues among partners.*

#### 5.6 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.*

*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, EIT RawMaterials may advise the consortium that the budgets 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.*

## 6. FINANCIAL BACKFLOW TO EIT RAWMATERIALS

***This section is OPTIONAL for RIS Matchmaking and Networking projects.*** *It is mandatory only for Upscaling, RIS Acceleration and Lifelong Learning Education projects. Financial backflow to the KIC from any type of project, however, will be evaluated positively as it is a key element of the KIC's Strategic Agenda.*

*Please provide a brief summary of the total expected financial backflow to the KIC (see Section 2.1 of the Upscaling call and Appendix 1 of 'Upscaling Project proposal: Guidance and Template for complementary information') that will be generated by this project in the 'Returns [€]' box. Please enter the amount in €. A summary of the mechanisms, timeline, selected 'Financial sustainability option' (see Section 2.1 of the Upscaling call and Appendix 1 of 'Upscaling Project proposal: Guidance and Template for complementary information') should be reported in the 'Explanation' box. This section should be a summary of (and must be consistent with) the information provided in the 'Alignment with the strategy of EIT RawMaterials' section.*

## Appendix 1.

# Criteria for the selection of RIS Task Partners in EIT RawMaterials projects within the field of RIS activities

### Selection criteria (including the different types of activity that qualify for financial support for RIS Task Partners)

At the time of selecting a RIS Task Partner, the following criteria will be considered:

- A. The Task Partner comes from a RIS-eligible country (a non-RIS based Task Partner does not qualify, for example a German Task Partner in a RIS project).
- B. The KAVA falls under the RIS category in the Business Plan (a Task Partner from a RIS country in a non-RIS project does not qualify, for example a Slovenian Task Partner in an Upscaling project).
- C. The Task Partner is able to contribute to and maximize the impact of a project coordinated by one of EIT RawMaterials Partners.
- D. The selected candidate shall provide the expertise in the raw materials sector as the **legal entity** with specific knowledge, access to data-set or equipment available in the RIS country of their origin. The expertise can be demonstrated by:
  - i. Being the raw materials data owner and provider at regional / country level (e.g., geological data, mining properties inventory data, secondary deposits inventory data, etc.) and enabling the use of that data for the specific KAVA Project.
  - ii. Possessing sound knowledge of local regulations, legislation and policy including policy analysis, legal and economic and multi factor analysis and local regulations for intellectual properties (IP) and utilizing this knowledge for the purpose of the specific KAVA Project.
  - iii. Being able to manage local raw materials sampling, sample handling and processing for use in a specific KAVA Project.
  - iv. Providing accredited measurement and analysis for locally taken raw materials samples for use in a specific KAVA Project.
  - v. Being the owner or having access to certain local raw materials sites / test sites or materials/processes and enabling them for usage in a specific KAVA Project.
  - vi. Being able to perform industrial tests as the owner or producer of a certain technology and participating to measurement and validation in a specific KAVA Project.
  - vii. Carrying out research and development in the field of raw materials and conducting it or utilizing its results in a specific KAVA Project.

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- viii. Being a member of or affiliated with major raw materials networks (i.e., chambers or professional associations) in the RIS country of origin.
  - ix. Representing and engaging with most types of legal entities in the RIS country of their origin (e.g., associations, chambers)
- E. The main activity related to the KAVA Project is performed in the specific RIS country where the Task Partner originates from.
- F. Credit will be given to RIS Task Partners contributing to local education and dissemination and communication activity (where EIT Partners are not present in the area or region).
- G. A RIS Task Partner belongs to the Knowledge Triangle and/or strengthens the Knowledge Triangle Integration approach of EIT RawMaterials. In particular, the Task Partner should be one of the following:
- University with academics and/or research in the field of raw materials;
  - Research Institute / Organization active in the field of raw materials;
  - Industry representative / company active in the field of raw materials;
  - Association / Chamber related to the raw materials sector;
  - Other stakeholders contributing to the raw materials sector.

### Selection process

An open selection process must be followed for the selection of RIS Task Partners to ensure compliance with EIT requirements. Specific instruction on this process will be communicated to the KIC partners by the end of November 2019.

In case there are several organisations or persons that qualify for the tasks to be implemented in the EIT RawMaterials KAVA, the selection will be based on the following:

- For each Type of Activity, a rating between 1 (poorly meeting the criteria) and 3 (criteria met by 100%) will be given.
- Based on the sum of the individual ratings, a ranking of organisations will be established.
- To establish the consortium, the partner ranked 1<sup>st</sup> will be approached first. If this potential partner refuses to become a partner, the 2<sup>nd</sup> ranked potential partner etc. will be contacted.

The assessment must be coordinated by the TP Patron, and in case of an audit or on request of EIT/ EIT RawMaterials it must be made available.

### Financial support specifics

- RIS Task Partners will receive their funding via the Task Partner Patron (a KIC partner).
- Financial support to selected RIS Task Partners will be categorized under Article 13 of the SGA, “subgranting” and will be reported based on actual costs (see below).

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- Annual funding for each RIS Task Partner will not exceed **60,000 EUR** across all KAVAs, EIT RM will take care of keeping this maximum amount via the use of internal project management tools.

### Financial support calculation

Financial support to RIS Task Partners will be estimated on **actual costs** incurred by the Task Partner while executing their activities / actions in the specific KAVA Projects. The following cost categories will apply:

Cost category	Description	Evidence*
Direct Personnel	Actual personnel costs	Time sheets
Travel and subsistence	Travel, accommodation costs and applicable per diem in accordance with usual accounting principles of the RIS Task Partner related to participation in project related activities	Travel & Expense policy Receipts
Other direct costs	Other costs incurred in relation to Task Partner activities in the Project	Receipts
Indirect costs	25% of all direct costs mentioned above	N/A

\* Further details can be found here: [http://ec.europa.eu/research/participants/data/ref/h2020/grants\\_manual/amga/h2020-amga\\_en.pdf](http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf)

At the time of reporting, the Task Partner Patron will report one total sum of actual costs under the cost category “subgranting”. On request the supporting evidence must be provided by the Task Partner, e.g., in case of an audit of the Task Partner Patron.