



# EIT RawMaterials

## RIS Project proposal

### FINAL SUBMISSION

## Guidance and Template for complementary information

March 2022

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

***RIS Upscaling proposals***, designated as such by the consortium (Segment D2.4 – Acceleration Regional Innovation Schemes) – please refer to the KAVA 10 Upscaling call text and to guidance provided in 'Upscaling Project proposal: Guidance and Template for complementary information'.

***RIS Education proposals***, designated as such by the consortium (Segment D3.5 - RM Academy Regional Innovation Schemes – please refer to the KAVA 10 Education call text and to guidance provided in 'Education Project proposal: Guidance and Template for complementary information'.

**For RIS Capacity Building proposals please refer to guidance provided in this document as well as to the RIS Capacity Building Call text contents.**

*The Funding amounts will be allocated on a case-to-case basis based on value for money. RIS Capacity Building proposals can ask for up to 100% of funding. Any co-funding contributed by the project consortium above the minimum requirement will be evaluated positively.*

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*Proposals with lower budgets should seek synergies with other KAVA proposals and create larger consortia to develop bigger RIS KAVA proposals, or discuss directly with KIC staff the significance of their project.*

*RIS KPIs, especially core RIS 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 impact and integration of the knowledge triangle. As a rule, the consortium’s underperformance in yearly core RIS KPIs will result in a significant EIT-funding reduction and/or project termination. Consortia must aim to distribute core RIS 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.*

*The following conditions will apply to all projects commencing in 2023 and will be assessed in the proposal evaluation. All new proposals must address explicitly each of the points listed.*

*Please note that the guidance showed below refers to the FINAL submission. For guidance on the DRAFT submission, please refer to the RIS Capacity Building Call text document.*

## 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-500 characters)

*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- 1500 characters)

*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-3000)

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*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-1500 characters*)

*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- 9000 characters*)

*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 2021-27.*
2. **Impact.** *The consortium must explain how the project contributes to the Regional Innovation Scheme objectives, to capacity building in RIS countries (of regions and/or RIS stakeholders) and to community building (e.g. actively integrating new RIS partners during the course of the project). Also describe in detail the challenge in RIS region/country to be solved, what economical, social, KTI benefit it will create, what added value it will provide (vs current situation).*
3. **Core RIS KPIs.** *The proposal must address core RIS KPIs. Please provide here a brief summary of core RIS KPIs to be achieved during the project (list KPI codes, numbers and timeline). The achievement of*

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core RIS KPIs is a fundamental milestone of our strategy. Therefore, proposals that do not address core RIS KPIs are, by definition, misaligned with the KIC's strategic goals.

4. **Sustainability.** The consortium should explain how the project is aligned with national/regional strategies and describe in detail the potential plan to obtain additional national/regional funding. Any co-funding will be evaluated positively. The consortium must reveal a clear plan for continuation of activities after the end of the EIT-funding period, building on results of this KAVA project. Backflow potential/ or even indicated backflow should be explained here, although not obligatory for RIS Capacity Building projects. Backflow contribution will also be evaluated positively.

#### 4.4 Market analysis (max. 4 pages- 12000 characters)

**This section is OPTIONAL for RIS Capacity Building projects.** Please discuss directly with KIC staff the significance of including Market analysis. 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 tested and/or brought to the market, how, by whom (which entity/ies) and by when.

#### 4.5 Needs and impact (1 page- 3000 characters)

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, strengthening connection with the EC, etc.).

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

#### 4.6 Expected financial sustainability (½ page- 2000 characters)

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*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 strategy roadmap with follow-up actions and recommendations for continuation will be considered an especially valuable component of the proposal (i.e. Lol, detailed application plan to external funding call including timeline, scope and synergies, etc.) .*

## 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.*

### 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 Capacity Building 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’).*

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#### 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 2.5 and 2.6 of the KAVA Call texts – Evaluation grid).

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 Capacity Building projects.** Financial backflow to the KIC, will however be evaluated positively as it is a key element of the KIC's Strategic Agenda.

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*Please provide a brief summary of the total expected financial backflow to the KIC (see Section 2.1 of the KAVA 9 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 mechanism (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.*

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## 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.

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- 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.
  - 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 as soon as we will receive this information from EIT.

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:

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- 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).
- 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

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Indirect costs	25% of all direct costs mentioned above	N/A
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\* 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.

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