



EIT RawMaterials

Upscaling Project Proposal

FINAL SUBMISSION

Guidance and Template for complementary information

March 2022

The minimum funding (the sum of EIT funding and partner co-funding) allocated to an Upscaling 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.

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. 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 2023 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.

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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 2021-2027
2. **Financial sustainability.** The consortium must 1) state which backflow option has been selected (please refer to Appendix 1, Section 2), 2) provide a summary of this option (including expected value (in €), timeline and mechanisms) and 3) outline how the project will contribute to the financial sustainability of the KIC.
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 EITHE04.1 for Upscaling projects)., 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, 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 proposals. It is optional for other categories of projects.

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The option selected for the KIC’s financial sustainability (see Appendix 1 of this document) 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 2023-25 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.

Upscaling (including RIS Acceleration) projects that aim for commercialization within the KAVA funding period are most welcome and will be evaluated very positively.

NOTE on co-funding contribution: The co-funding contributed by the project consortium must be minimum 30% of the total funding (not 30% of the EIT funding). For example, if the project needs € 150 000, 70% can be covered using EIT funding (€ 105 000) and 30% has to be covered by partner co-funding (€ 45 000).

Please remember that the minimum co-funding 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).

Please note that the guidance showed below refers to the final submission. For guidance on the DRAFT submission, please refer to the 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 is your innovation about (product, service, method, system, software etc.)?
- What does it do/will it do?
- For whom (customer/end-users)?

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- *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 across the consortium (IP, know-how, trade secret)?*
- *What is the development plan (short description of what the project is going to deliver, what outcomes and major milestones) for each year?*
- *What is to be expected at and after the end of the funding period (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. POPULAR PROJECT DESCRIPTION (½ page- 1500 characters)

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

4. PROJECT DESCRIPTION

4.1 Background of the project (max. 1/2 page- 2500 characters)

Explain where the idea originates from (past projects) and provide sufficient information to convince the evaluators that it has already reached TRL 5.

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.

4.2 Project objective and scope (max. 1 page-3000 characters)

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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. Clearly state what TRL level will be reached at the end of the project and when exactly this will be reached. Provide sufficient information to convince the evaluators that the stated TRL level will be achieved. 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, 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). The consortium is encouraged to address RIS countries.

4.3 Alignment with the strategy of EIT RawMaterials (max. 3 pages-9000 characters)

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 2021-27*
- 2. Financial Sustainability. The consortium must 1) state which backflow option has been selected (please refer to Appendix 1, Section 2), 2) provide a summary of this option (including expected value (in €), timeline and mechanisms) and 3) outline how the project will contribute to the financial sustainability of the KIC.*
- 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.*

4.6 Market analysis (max. 4 pages-12000 characters)

Please check the ‘Preamble’. This section is mandatory for Upscaling, RIS Acceleration and Lifelong Learning Education projects. The following information should be provided, with each point addressed under a separate heading:

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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.*

4.7 Technical feasibility and IP (1 page- 3000 characters)

Describe the underlying technology for developing the proposed solution. 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.

4.6 Preliminary business opportunity assessment and innovativeness (2 pages-6000 characters)

This section provides a clear and quantitative description of the real market demand and the specific market segment that the solution is targeting. The questions to be answered are: who is interested in buying the proposed solution; how large is the targeted market; and how is this expected to evolve?

Together with the market demand, this section elaborates on the customer value and the competitive advantage of the proposed solution. The questions to be answered are: why would a customer be attracted from the proposed solution and not the one offered from the competition to fulfil its needs; and who are the competitors and what are they offering?

In this section the project consortium should provide a description of how, during and after the funding period, the proposed solution will evolve from a starting TRL 5 to a TRL 9; define each TRL within the context of the project and how the consortium activities will contribute to the development from a TRL to the next.

The project consortium should also clarify the business model envisaged (product, service, licensing, etc.) and the revenue model. The questions to be answered are: how is the revenue going to be generated; and what is the commercial channel that will be used for commercialisation? If the commercialization partner is already within the consortium, this partner should be responsible for the coordination of Work Package 0. It is expected that the partner responsible for the coordination of this WP has a thorough understanding of the targeted

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market and of the technology being developed, including a deep knowledge of the related value chain (suppliers, distributors, etc.).

4.7 Impact and benefits (½ page- 1500 characters)

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 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.

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 and budget.

5.1 Consortium

Provide a clear description of the expertise of each partner and describe the complementarity between partners, as well as identify the commercialisation or implementation partner(s). 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 value 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.

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

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.

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Milestones, outputs and deliverables must be provided for each work package. Briefly define and explain the aims, objectives and deliverables, and how these deliverables will help achieve the project aims and objectives.

WPO – Go-to-market strategy

Upscaling projects are innovation projects based on validated technologies (TRL5) that need additional steps for demonstration or implementation and must aim at market introduction and/or a commercial use within three years after the end of the project. In every upscaling project the project team needs to have a clear focus on customer needs, value proposition, market analysis, IP strategy, competitors landscape, as well as a pathway for implementation and commercialisation of the innovation being developed. All these factors must be included in a Go-To-Market (GTM) Strategy work package.

The Business Developer(s) appointed by the KIC in each Innovation Hub are available 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’.

All projects must nominate an entity that will be responsible for commercializing the products/services generated by the project. Please check Appendix 2 of this document for options on the selection of this entity.

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 5.4, dependencies /expectations between the different work packages and emerging risks as a result of changing circumstances (during the project). Please check the document ‘EIT RawMaterials Project Management guidance’ for further advice.

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.).

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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 into account the mitigating measures put in place.

5.5 Budget

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. 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 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).

If the project builds on and overlaps with a currently running KAVA project, EIT RawMaterials may recommend 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

Please provide a brief summary of the total expected financial backflow to the KIC (see Appendix 1, Section 2 of this document) 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 Appendix 1, Section 2 of this document) should be reported in the ‘Explanation’ box. Note that 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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Checklist

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 proposal will achieve significant core and impact KPIs*
- *The proposal will generate significant financial backflow for the KIC*
- *The proposed solution is innovative*
- *There is convincing evidence that the innovation is currently at TRL 5 (or above)*
- *There is convincing evidence that TRL 7 (or above) will be reached by the end of the project*
- *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*
- *The Communication and Dissemination work package is well-described and appropriate to achieve maximum impact*

Business potential

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- *The proposal provides a comprehensive description of current market conditions relevant to the project*
- *The proposal 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 risks and opportunities related to a successful market introduction of the innovation, from a technical and a commercial viewpoint*
- *The proposal clearly states who, how and when the innovation will be commercialized*
- *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*
- *The proposal describes 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 describes the mechanism and timeline of backflow to the KIC, and provides the total expected financial backflow revenues.*
- *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*

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- *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*

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Appendix 1.

Partner contribution guidelines

These guidelines describe the partner contributions for up-scaling (and RIS Acceleration) project proposals for KAVA Call 9. They are designed to comply with EIT's requirement to achieve financial sustainability and to secure a co-funding rate of at least 30% in the innovation (up-scaling) pillar. There are three types of partner contributions: co-funding and options for financial sustainability.

1. Co-funding

Co-funding at EIT RawMaterials includes:

Organisational co-funding: an annual membership fee that partners pay to EIT RawMaterials e.V. This type of co-funding is used by the KIC to fund KAVAs and administrative activities of the association and its operational entities to address the purposes outlined in the Articles of Association (AoA). Co-funding is regularly used to co-finance Education KAVAs or annual partner events such as the General Assembly. This type of co-funding is however not used to co-finance up-scaling projects due to their commercial nature and purpose.

Project co-funding: brought in by KIC partners to implement a KAVA in addition to EIT funding. It is contributed in-kind to the relevant project. The co-funding contributed by the project consortium must be at least 30% of the total funding (not 30% of the EIT funding).

2. Financial Sustainability

A payback of at least the full amount of the grant received is mandatory if the project has been exploited and commercialised successfully. The following considerations apply to this option and must be discussed with the proposal's nominated Project Officer:

- **Success** must be clearly defined – e.g. successful placement of the product or process on the market, indicated through revenues generated (EIT Core KPI), successful sale of a license for a patent/IP created from the project, successful creation of a new entity generating the first revenue, etc.
- The **payback model** must be clearly defined – e.g. payback of X% of invested funding, cap, royalties, etc.
- **Caps** must be clearly defined – e.g. success (revenues, sales), sales until X% of EIT funding is paid back, etc. taking in to account that – in a revenue sharing model the backflow will be capped to 100% of the EIT grant plus a project-specific, risk-related mark-up to be defined for each individual case

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The consortium shall remain open to enter into negotiations with EIT RawMaterials to co-invest into a project spin-off at later stage. Under certain circumstances, the project backflow could be reinvested into this venture

Appendix 2.

Selection of commercialization entity

All projects must nominate an entity that will be responsible for commercializing the products/processes/systems/services generated by the project. This entity should be a business partner (multinational, SME, mature start-up, other entity) that will participate since the beginning of the project as the WPO leader and follow closely the technological development of the project. This entity will also make sure that the technology fits the market needs, and execute the commercialisation of the product/processes/systems/services to the market. Alternatively, commercialization of the products/services can be carried out by a spin-off created as a result of the project outcome.

Appendix 3.

Selection of an LCA entity

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. In this case, consortia must nominate an entity that will be responsible for carrying out the relevant LCA. This entity can be one of the consortium partners or a KIC partner that is added to the consortium at a later stage. The two options are outlined below:

- 1. Consortium partner. The consortium may nominate a partner in the proposal stage and assign a budget to this partner to carry out this task. This partner will cover this role throughout the duration of the project.*
- 2. KIC partner added at a later stage. The consortium will nominate a KIC partner at a later stage – not in the proposal. In this case, the budget originally assigned to various consortium partners will be re-distributed to cover the costs of the newly-added partner, who will take the leadership of the LCA work package.*

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As an alternative, the consortium may wish to sub-contract an external entity (following the normal sub-contracting process) to carry out the LCA.

Note that irrespective of the option chosen, the costs of the LCA partner/entity must be covered using the funds originally requested in the proposal, as EIT RawMaterials will not provide additional funds to cover LCA activities.

Several EIT RawMaterials partners have expressed their availability to assist consortia with their LCA as described above following an open and competitive process. Consortia that have not yet selected a partner to perform this task should contact their Project Officers for further advice.

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