

Upscaling Project Proposal Guidance

The KAVA proposal submission consists of only one part. Part of the information will be annexed directly to the annual Business Plan. The aim of this document is to guide to prepare the project descriptions used for the project evaluation.

1. PROJECT TITLE

Check with CLC 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. PROJECT DESCRIPTION

3.1. Background of the project (*½ 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.

3.2. Project objective and strategic importance (*1 ½ page*)

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

Explain the customer/user needs and justify how these needs have been investigated and 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. Describe how the solution will contribute to the strategic objectives¹ of the KIC.

¹ As described in section 1.1 of the "Strategic objectives of the KIC" in Strategic Agenda 2016-22 of EIT RawMaterials (FPA, Annex I)

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 TRL² 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. If appropriate (in addition to the guidelines provided by the KIC), 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 during the feasibility study to be performed under WPO) by answering the following questions:

- *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 him vs. the « sacrifices » required (including the price he will have to pay))?*
- *What is your preliminary estimation of the € size of the “total addressable market” at the time where the solution will be commercialized (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 impact³ 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, in particular 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.

3.6. Contribution to specific KPIs of the KIC (½ page)

Describe and quantify the expected contribution of the project to the relevant specific KPIs (Key Performance Indicators) mentioned in the list given in BlueBook.

² Technological Readiness Levels (TRL) are explained in the separate glossary

³ See section 3.1 “Impact” of “Strategic objectives of the KIC” in Strategic Agenda 2016-22 of EIT Raw-Materials (FPA, Annex I)

4. POPULAR PROJECT DESCRIPTION (½ page)

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

5. CONSORTIUM (½ page)

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.

6. PROJECT IMPLEMENTATION PLAN

6.1. Work Plan

There are two mandatory work packages (WP) and one recommended work package:

WP0 – Go-to-market strategy

EIT RawMaterials requires all consortia to develop a go-to-market strategy for up-scaling proposals.

WP0 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 achieving 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. 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*
- *Backflows (financial and non-financial) provided to the KIC are well described*
- *Key risk factors are identified and mitigation measures planned*

The Business Developer(s) appointed by the KIC in each CLC are available, as needed, to support consortium partners with the planning of this WPO. Furthermore, a training package will be available to support the responsible project member with this task (see WP2 below).

WP1 - Project Management

All projects shall include a WP1 dedicated to project management. This work package will also include all horizontal actions such as communication and dissemination, interactions/reporting towards the KIC and the EIT, etc.

WP2 - Professional development, learning and education

All projects are advised to include a WP2 dedicated to enhancing collaboration and innovation levels by supporting the professional development of people working in the project. EIT RaMaterials will support professional development via tailored courses: i) How to research and develop WPO; ii) Leading/working and interacting in collaborative, multi organisational, innovation projects; iii) Supervising PhD and/or Masters students in innovation projects - a pedagogic framework; iv) Undertaking Ph.D. or Masters dissertation work in an upscaling project. It is advised to include a budget for such activities and report associated KPIs. (See <insert document name> for details of these courses as well as the time and costs of course participation.)

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, etc.)

6.2. Risk analysis (1/2 page)

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

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

The detailed budget is entered directly into SeedBook and a summary of budget is also entered directly. Please provide in text here a description of the budget allocations and their justification. I.e., distribution between partners, FTE, education and dissemination measures etc. Also provide a description of financial backflows provided to the KIC (Relative KIC share in the economic value of the project, e.g., in the form of a share in: license fees, royalties, future cost savings, future revenues, equity, etc.)

7.1. Financial backflows to the KIC - Preliminary (½ page)

Please provide here the consortium's preliminary views on the possibility and willingness to provide some financial backflows to the KIC, e.g. in the form of license royalties, a share of future cost savings, a share of future revenues, equity in a new entity created to commercialize the developed solution, etc. Precise conditions and rules will be agreed in Project Agreement.

7.2. Non-financial “value for money” for the KIC (½ page)

In addition to the impact already described, indicate here how 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, network of infrastructure, entrepreneurship support services), to KIC customers (e.g. students, SMEs) or other stakeholders (e.g. public authorities, NGOs, etc.).

7.3. KCA description and relevance

For each KCA of major relevance for the project (as described in details in the Excel Project Budget Template) 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 of the project).

Checklist

The aim of the list presented here under is to help partners to identify aspects to improve their proposals. They are grouped following the evaluation criteria, though, aspects presented could be addressed also in other sections as well.

Strategic Importance

- 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, or includes plans for achieving this information
- The objectives for the feasibility study and 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, 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 achieving 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, task partners and subcontractors are described in a realistic way and partners' have adequate resources in the project to fulfil that role.
- 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 the project's ambition and the roles of the partners.