



# EIT RawMaterials

## Call for KAVA 12 Upscaling

### Instructions and process description

November 2023

#### 1. Purpose and scope of this document

This document describes the process for preparation, submission, evaluation and selection of proposals in response to the KAVA 12 call, launched by the EIT RawMaterials (EIT RM) for Upscaling Projects (Upscaling KAVA – KIC Added-Value Activity in EIT terminology).

Before submitting a Proposal, you are required to register your intention to do so and are recommended to contact the Co-Location Centre/Innovation Hub staff and the Thematic Officers/Senior Advisors before submitting the Proposal. The Co-Location Centre/Innovation Hub staff can offer further advice.

All Project participants involved in the submission of a Proposal in response to this call should read the following documents carefully:

- The present document (call text) [B]
- *The template for Upscaling DRAFT proposals* [B]
- *EIT RawMaterials Upscaling Project proposal FINAL SUBMISSION Guidance and Template for complementary information* [B]
- *EIT RawMaterials communication and dissemination guidance* [B]
- *EIT RawMaterials Project Management guidance* [B]
- The *Lighthouse Appendix* that outlines the topics and criteria for application through the Lighthouses programmes renamed “Circular Societies”, “Responsible Sourcing”, and “Sustainable Materials”. [I]
- *Go-to-market strategy for upscaling projects – Process and guidance* [B]
- *The Strategic Agenda 2021-27 of EIT RawMaterials* [I]



- FAQ (Frequently Asked Questions) that will be posted in the online Proposal submission platform “Seedbook” (<https://seedbook.eitrawmaterials.eu>), also containing explanations of the terminology used in this document; Project Coordinators should check this section regularly to ensure that they are fully informed and updated on important matters such as eligibility and evaluation criteria, advice on the compilation of the Proposal, costs and cost allocation. [I]

It is important to note that the documents listed above will be referred to in the Project Agreement and be either binding on the parties or used for interpretation of the parties’ obligations defined in the Project Agreement. Documents are marked above with a letter into brackets after the name of the document between binding (B) and for interpretation (I).

Definitions and acronyms are in Annex II.

## 2. Project call and selection process

EIT RawMaterials is dedicated to advancing innovation within the raw materials value chain, nurturing groundbreaking ideas and projects that have the potential to make a significant impact. As part of our commitment to sustainable growth, we are also actively developing our financial sustainability strategy, as mandated by the EIT. The Innovation KAVA Projects are to contribute to these goals.

### 2.1. General rules and guiding principles

- Upscaling KAVA projects are innovation projects based on validated technologies that need additional step(s) for testing, demonstration, proof of concept and up-scaling prior to commercialization. The purpose of these projects is to support good technologies, products, and services that are currently under development to reach market entry.
- All Projects must lead to specific deliverables and outputs over a defined timeline.
- Projects will be financed by EIT RawMaterials (the KIC) only for a defined duration.
- Proposals must meet the highest expectations and performance on the creation of impact (please refer to Strategic Agenda 2021-2027). This is mainly measured by achieving Core KPIs.
- Only the Proposals that are fully aligned with the EIT RawMaterials 2021-2027 Strategic Agenda will be considered for funding. In particular, the Proposal should address at least one of the topics listed in the [Lighthouse](#) Appendix and must be developed in close cooperation with the KIC staff that have been assigned to the Proposal. Proposals that do not address the topics listed in the Lighthouse Appendix will be considered for funding, but will be given lower priority.



- The EIT RawMaterials Lighthouses are the following :
  - Circular Societies
  - Sustainable Materials
  - Responsible Sourcing
- Upscaling Projects must aim for market introduction and/or a commercial use within 2 years or less after the end of Project, and shorter time for market introduction and/or a commercial use will be favourably evaluated.
- Projects that aim for commercialization within the project duration will be evaluated positively. The proposal must clearly state who (which Project participant) will be responsible for commercialisation, and outline a plan for market introduction. The Project should outline the Commercialising partners' profile and/or main characteristics and must demonstrate that they have experienced marketing/finance/sales people on the team.
- Upscaling Projects need to be based on a solid 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. A preliminary market analysis must be included in the Proposal and will be the basis for the Go-to-market strategy that will be developed in Work Package 0 (WPO) during the project. The Go-to-market strategy will be updated throughout the duration of the Project and enable go/no-go decisions following quarterly or annual reviews. No-go decisions may result in various consequences, such as suspension or discontinuation of the funding.
- Projects that have the potential to become investment cases for the [European Raw Materials Alliance](#) within the funding period will be evaluated positively and will be given a priority over other projects that have achieved a similar score in the quality criteria.
- The technology must be at Technology Readiness Level (TRL<sup>1</sup>) of at least 6 at the beginning of the project, corresponding to a “system complete and qualified”. Information must be provided in the Proposal to substantiate in detail how this will be achieved. The Project may be scored very low or even deemed to be ineligible without a detailed and convincing substantiation of this condition.
- At the end of the project, the technology is expected to have reached a TRL of at least 8, corresponding to a “system prototype demonstration in operational environment”. Information must be provided in the application to substantiate this claim, and the project may be scored very low or even deemed to be ineligible without it.

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<sup>1</sup> Definitions of Technology Readiness Level (TRL) 1 to 9 are given in FAQ document.



- Consortia are encouraged to consider offering our EIT RM Alumni an internship in their project and/or a site visit. Our Alumni are past or present participants in EIT RM Education, Innovation or Business Development activities and we strongly encourage you to register to the EIT Raw Materials Alumni community that is open not only to students. Indeed the EIT RM Alumni Association would assist in the logistics involved in an internship or study/Project visit.
- Proposals claiming to achieve any positive environmental impact, such as resource and energy savings, waste reduction, waste valorisation, 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.

### 2.1.1 Financial Sustainability Mechanism and partner co-funding

EIT RawMaterials is committed to supporting the best ideas and Projects with the highest potential to generate impact in the raw materials value chain, as well as to developing its financial sustainability strategy as mandated by the EIT.

EIT RawMaterials funds a Project by obtaining a percentage of the share capital of the Project company. This investment structure entails:

- Valuation and shareholding % for EIT RawMaterials
- Investment terms and articles of association
- Shareholder agreement
- Any related party issues / contracts
- Corporate governance and board representation

EIT RawMaterials seeks for Projects to be structured as separate companies, operating at arms' length from the commercialisation partners. The proposal should indicate the proposed structure through which the investment would be made, for example, the participation in the equity of the company undertaking the project or the participation in the equity of a spin off special purpose company (SPC) through which a project is undertaken with one or more sponsors.

Any alternative funding structures would only be considered on an exceptional basis and for specific reasons. Additional opportunities and services provided by EIT RawMaterials such as successful access to investors and customers will be charged separately (e.g. milestone and/or success fee) according to the Terms and Conditions of EIT RawMaterials (please approach your respective local



contact point). Details of the investment will be negotiated prior to the signing of the Project Agreement (PA) and will be outlined in the PA. The option selected for investment must be outlined in the proposal to a sufficient level of detail that will allow a proper assessment of the project's risks and benefits. If the Project is recommended for funding, the details of the investment terms must be fully defined and agreed upon in writing by both parties before the Project starts. Funds will be released only after both parties have finalised and executed documentation.

## Co-funding

The co-funding contributed by the Project Consortium should be minimum 30% of the total funding (NOT 30% of the EIT funding). This is the minimum amount set by the EIT for innovation projects. Projects that provide a higher co-funding will be evaluated positively. The co-funding contributed by each partner does not need to be proportional to the funding allocated, but shall be primarily contributed by industry partners and in specific cases by other types of partners (if so, to the lowest extent possible).

### 2.1.3 Budget, funding and costs

From 2023 the EIT and EIT RawMaterials change their operational modality to the so-called cascading system. Therefore, selected projects will be following cascading modalities to administer the funding. The practical implementation details are currently being developed between the EIT and EIT RawMaterials, and will be to ensure eligibility and compliance under the Grant Agreement(s) to be signed between the EIT and EIT RawMaterials, as well as Project Agreement(s) to be signed between EIT RawMaterials and the selected activities. Further details will be shared whenever they become available, either through amendment of the call, or updates to all applicants. EIT funded activities are part of Horizon Europe, general funding and cost eligibility regulations are governed by the Horizon Europe Annotated Model Grant Agreement (AGA).

#### Expected budget and funding and project duration

The exact number of Projects to be funded in the framework of this call will depend on the quality of the received proposals and the total available funding.

It is expected that the budget for each Project will be no less than EUR 500,000 per year (including EIT funding and consortium co-funding) and not be higher than EUR 2.000,000 for the total duration of the Project.



The duration of the Project should not exceed 3 years maximum, and Proposal of shorter duration will be favourably evaluated.

Funding is disbursed on a yearly basis, with a certain percentage of pre-financing being paid as a lump sum during the course of the year, and a balance payment being paid during the following year on an actual cost basis. Partners are expected to have at their disposal certain liquidity reserves for the periods between payments. A set of requirements, updated and communicated by EIT RM yearly, must be fulfilled before receiving any funding. All payments are conditional on the project implementation. Balance payments are conditional on fulfilling the cost eligibility rules and may be subject to an audit.

### Cost eligibility

Specific tasks may be attributed to subcontractors, as long as the necessity is clearly justified and follows the general Horizon Europe principles (see [Horizon Europe Annotated Model Grant Agreement](#) for more information). Please note that only a limited part (in budget and scope) of a project may be subcontracted; depending on the scope of the work to be provided, it may be necessary for the entity to become a partner.

It is possible to add other Project participants to the consortium after the Project selection, but without changes to the total KAVA budget allocated to the project. Those Projects participants have to be formally named to and approved by EIT RawMaterials, and in case of a non-member to submit an EIT RawMaterials membership application. Please find an overview of Partner Categories available for Members to choose from in Annex I.

Regardless of the funding source, if an entity incurs costs as part of a KAVA they need to become KIC Members (KIC partners) (with the exception of the RIS task partners). In other words, non-members who receive funding, or who incur costs as a result of a KAVA (even if the funding is brought in by them) need to become Members, supply all documents and pay fees; they need to report their costs, be subject to eligibility, etc. like any regular partner. Non-members who participate in a KAVA but receive no funding and incur no costs in the project do not need to become Members. They need to sign the Project Agreement (PA), however, because this includes statements on IP, confidentiality, etc. that still need to be respected.

Above and beyond the specific EIT RawMaterials Eligibility criteria, all projects must comply with Horizon Europe and EIT rules, and with the conditions set in the new EIT RawMaterials Partnership Agreement.



#### **2.1.4 Activity implementation and reporting**

A detailed work plan must be provided for each year of the Project duration at the time of Proposal submission. The work plan must contain major milestones to be achieved during each of the year(s) of the funding period, including main deliverables and description of the envisaged Project status.

Deliverables must include a mandatory Final Report and an explanation of whether and how the KAVA project will be continued by the Project participants. The Final Report must include a Conclusion.

In case some KPIs are planned outside of the funding period, the Proposal should also include a work-plan for the following period after the Project duration consisting in additional KPIs which implementation and compliance should be documented in annual reports (“Legacy Reporting”), as well as a work-plan for reporting revenues generated thanks to the results of the Project.

All Projects will be tracked by KIC and their progress will be assessed during the Project duration and up to five years after the end of the funding period. This includes onsite visits on short notice to control effective implementation of tangible milestones. Revenue tracking remains for as long as the FSM agreement is in effect.

Milestones achievements, as reported by the Consortium and assessed by KIC, will be scored by KIC based on various criteria such as GTM strategy quality, risk management, project and agile change management, project progress.

Non-compliance with Milestones, or lack of reporting, which might result in impossibility to achieve a commercial use within the period defined in the Project may result in various sanctions which can go up to funding suspension or freezing, or the Consortium’s obligation to repay the funds.

#### **2.1.5 Re-application**

In the case of a reapplication, it is mandatory to highlight the improvements made.

In case of a Proposal selected at Stage 1 of KAVA Call 11 that did not go to Stage 2 by submitting a FINAL proposal in time, the consortium must provide the reasons and resubmit a DRAFT Proposal at Stage 1 of KAVA 12.

If a Proposal has already been supported with previous funds, please indicate them with the name of the project as well as the source of funding.

#### **2.1.6 Confidentiality, data protection and ethical considerations**



Access to the Proposals will be given to EIT RawMaterials Management Team and to the evaluation panel conducting the evaluations. Everyone with access to the Proposal texts will have signed a non-disclosure and confidentiality agreement before access is granted.

If a Proposal is approved for funding, the full details of the approved project will be communicated to the EIT as part of an update of the Proposed Business Plan 2023-2025, where it will be included in EIT's evaluation of the Business Plan.

The title, scope, summary, name of Project partners in the consortium, name of coordinator and overall budget of projects approved for funding will be shared within the EIT RawMaterials community, and therefore will be made publicly available (e.g., on the EIT RawMaterials' website, in presentations at conferences etc.). Public dissemination of the Project's main results and outcomes is a mandatory condition for funding, and will be arranged jointly by the consortium and EIT RawMaterials staff taking into account the consortium's legitimate confidentiality requirements.

All data and information related to the Proposal and its evaluation will be handled and stored in the 'SeedBook' platform according to EIT RawMaterials' customary procedures. The EIT RawMaterials' Code of Conduct will be followed throughout the evaluation process. External evaluators will receive specific instructions on the evaluation process, and access to the Proposals will be granted to each Evaluator only after the upload of her/his 'Evaluator Agreement' with provisions on confidentiality, conflict of interest and code of conduct.

All applicants are obligated to disclose any conflict of interest they might be facing as soon as they identify it, and shall comply with the principles of transparency, non-discrimination, and sound financial management.

## **2.2. Proposal preparation, submission, evaluation and selection process**

### **2.2.1. Proposal registration and preparation**

Matchmaking events organised at the Innovation Hub level or during the EIT RM Expert Forum will allow Project participants to discuss Project ideas and form potential consortia. It is mandatory for the Coordinator to inform her/his Innovation Hub Manager for each project Proposal to be submitted. The Innovation Hub staff, and the Senior Advisors provide guidance and support in order to:

- Set up a solid Consortium and find missing partner(s) if required;
- Advise and support the Consortium with their project proposals to ensure they are in line with the evaluation criteria.





It is a recommendation to contact Innovation Hub staff and the Senior Advisors before submitting the DRAFT Proposal using the Seedbook platform.

A series of 3 Expert fora have been organised in the Fall of 2023 to facilitate networking among the Candidates and the generation of ideas for new proposals, and the Business developers and Education managers at EIT RawMaterials will be happy to inform any organisation wishing to apply for this call.

It is mandatory for all Candidates to register in the European Commission's Funding and Tenders Portal and obtain a Participant Identification Code (PIC) number.

**Proposals must be registered by Wednesday 31 January 2024 at 13.00 CET (Berlin time)** using the SeedBook online platform.

The registration form will become available through Seedbook by mid of November 2023. Following registration, the Proposal will be assigned to a Project Officer who will be the primary point of contact for the Project Coordinator throughout the submission process. Note that Project Coordinators will be able to access the online Proposal submission template only after their project has been registered and assigned to a Project Officer.

### 2.2.2. Proposal submission

The Proposal submission will take place in two stages, with a DRAFT proposal and a FINAL proposal. **Both submissions will be evaluated.** It is therefore imperative that the DRAFT Proposals contain sufficient and mandatory information for a comprehensive evaluation.

- **Coordinators must submit a DRAFT Proposal (stage 1) no later than Wednesday 31 January 2024 at 13.00 CET (Berlin time)** using the SeedBook online platform.
- **FINAL Proposals (stage 2) must be submitted no later than Thursday 29 May 2023 at 13.00 CET (Berlin time)** using the SeedBook online platform. The attached *Upscaling Project proposal: Guidance and Template for complementary information* offers guidance for the content of the proposal.

### 2.2.3. Proposal evaluation and selection process

#### DRAFT Proposal (Stage 1)

The **DRAFT Proposal** (stage 1) should not exceed 5 pages and should contain an executive summary, with objectives, outcomes and final results expected (1/2 page), a short description of the consortium



with role of each partner (1/2 page) and detailed information (4 pages) addressing the 5 following criteria, which will be evaluated as “yes/no”. Only proposals receiving “yes” to all of 5 following criteria at Stage 1 will be invited to submit a FINAL proposal in Stage 2:

1. The DRAFT Proposal should clearly explain the Proposal’s objective and demonstrate how it is aligned to the expected impact in the Strategic Agenda 2021-2027. The selection of one of the Lighthouses as well as one of topic must be clearly stated, and the Proposal should describe very concretely how it fit with it.
2. The Proposal should clearly state what is the impact of the solution by the selection of appropriate KPIs with targets (number of jobs created, number of product launched, number of start-up created, amount of investment attracted...) and bring strong arguments supporting the two following EIT Core KPIs:
  - i) KPI EITHE02.4: number of innovations launched on the market with a sales revenue of at least EUR 10.000 documented.
  - ii) KPI EITHE04.4: start-ups created having a financial transaction of at least EUR 10,000 for a service/product sold to customers

and their achievement during the funding period

3. The innovativeness of the solution should be clearly justified with a description of the state of the art and the inclusion of a table describing the competitive advantage of the solution versus available one(s) already in the market (price, properties, environmental footprint...). The TRL level needs to be clearly supported by past project results, and if the solution could potentially lead to an investment project (for example via the European Raw Materials Alliance), briefly describe the continuation of the Project.
4. Commercial attractiveness: Clearly identify the products and/or services. How you will produce and deliver them? How do you intend to sell them? Who are the end users and customers (list potential ones, are they part of your project Consortium)? What is the market dynamics and forecast? What is your business model? Important information to cover could be: pricing range for your product/service, expected production capacity, CAPEX and OPEX, sales ramp up, service and coverage expansion plans, accurate market data preferably from real customer(s) which are supporting your market analysis, market size and forecast, time to market of your product/service and additional investment if needed.
5. Commercialisation capacity to enter the market: Who will produce what? Who will commercialise what? What is their role during the project? What is the background of the members of the commercialisation organisation? Do you have access to the potential end user and future customers for validation and piloting? Important information to cover could be: if several products/services are to be launched who will be responsible for their



commercialisation, under what business model and how is the agreement between involved partners. This shall include IP provisions and secured access to IP for exploitation and if it is the case on IPR commercialisation. Please note that **final recipients of funding will be obligated to comply with the IPR rules under Article 16 of the MGA.**

6. Equity share: Funding terms to be agreed with the commercialisation partners, in the form of an equity share in the project company, operating at arms' length from the commercialisation partners, with appropriate contracts and corporate governance controls.

A template will be provided in SeedBook for the submission of the DRAFT Proposal ("Template for Upscaling and RIS Upscaling DRAFT proposals"). The template will contain specific instructions and the DRAFT proposals must contain sufficiently detailed and convincing information addressing these criteria. The evaluation will be carried out by the EIT RawMaterials Management Team.

The DRAFT Proposal template must be completed and uploaded in SeedBook by **Wednesday 31 January 2024 at 13.00 CET (Berlin time)** using the SeedBook online platform.

Proposals that do NOT have this document uploaded by the due date will not be considered further in KAVA 12.

## FINAL Proposal (Stage 2)

The **FINAL Proposals** will be evaluated according to three sets of criteria:

Eligibility criteria - mandatory requirements (Proposals that do not meet such criteria will not be considered for further evaluation), as described in section 2.3 below;

Quality criteria - quality criteria against which the collected proposals will be scored and ranked by external evaluators, according to the evaluation grid presented in section 2.4 below. The Quality criteria include the evaluation of the 'Market Analysis' and the 'Communication and Dissemination' WPs (Sections 1-3 and 6 of the Quality Criteria evaluation grid, respectively).

Strategy criteria - strategy criteria against which the collected proposals will be scored and ranked by the EIT RawMaterials Management Team, according to the evaluation grid presented in section 2.5 below.

In the FINAL Proposal, the applicant should also state if and how it has the potential to become an investment case for the European Raw Materials Alliance within the funding period



Eligible Proposals will be selected based on the quality and strategy criteria ranking. Strategy criteria (EIT RM evaluation) account for the 50 % of the final score, and Quality criteria (external evaluation) account for 50%.

Proposals' quality will be evaluated by a panel of external experts appointed by the EIT RawMaterials Management Team. EIT RawMaterials will strive to achieve balance in the Evaluators' gender and geographic provenance.

- All members of the evaluation panel will sign non-disclosure and conflict of interest agreements.
- A minimum of three experts will be assigned to the evaluation of each Proposal.
- In the first step, these assigned experts evaluate each proposal remotely using the criteria set out in the 2.4 Quality Criteria grid.
- Final evaluation of all Proposals is conducted by the entire panel (with the exclusion of any member with a conflict of interest). The strengths and weaknesses of each Proposal as perceived by the panel will be documented and communicated to the Project Coordinator once the evaluation process is completed.
- EIT RawMaterials staff and management will act as the facilitators of the panel and facilitate the discussion during evaluation panel meetings but will otherwise not take part in the evaluation process.

Proposals' strategy will be evaluated using the criteria set out in the 2.5 Strategy Criteria grid.

The final selection of all Proposals is conducted by the EIT RawMaterials Managing Board using the same criteria. The strengths and weaknesses of each Project will be documented and communicated to the Project Coordinator once the evaluation process is completed.

Based on the evaluation, ranking, overall available funding and the mandatory EIT requirement to allocate at least 10% of the total EIT budget to RIS activities, the EIT RawMaterials Managing Board will propose a portfolio of Projects to be funded. The Executive Board will approve the portfolio of Projects to be submitted to the EIT for funding.

Successful and unsuccessful Candidates will be informed via email within five working days following the day of the final decision by the Executive Board. Coordinators of Projects that are selected for funding will also receive the feedback from the evaluation panels. The feedback may include a list of requested changes that must be made by the Project Coordinator before the project can be given the final approval.

A standstill period of 30 days shall be in effect.



Once the project selected, the implementation of the activities will be monitored by the EIT Raw Materials team.

Also following approval by the Executive Board, Coordinators of projects that were not selected for funding will be informed. They will receive evaluation feedback as soon as it is finalised. An appeal and redress procedure will be available, see chapter 2.8.

### 2.3. Eligibility criteria

Eligibility will be checked at the time of Proposal submission and at the time of signing the Project Agreement, and apply throughout the Project's funding period. In line with Horizon Europe rules, Proposals that do not meet all the eligibility criteria at the time of **FINAL Proposal** submission will be deemed ineligible and will not be evaluated. Proposals that do not meet all the eligibility criteria at the time of signing the Project Agreement will be deemed ineligible and will not be funded. After the signature of the Project Agreement, EIT RawMaterials will not consider any changes that impact on eligibility criteria, and the project will be immediately terminated if these are not met. The following criteria apply to Upscaling Proposals:

- It must clearly explain how the proposal is aligned with the Strategic Agenda 2021-27 of EIT RawMaterials.
- It must clearly explain how the Proposal addresses one or more of the topics listed in the Lighthouse Appendix.
- The co-funding contributed by the Project Consortium should be minimum 30% of the total funding (NOT 30% of the EIT funding). Co-funding exceeding 30% will be evaluated positively, but does not replace the financial sustainability mechanism requirement.
- The Proposal must include a strategy and a tentative plan for the financial sustainability mechanism as outlined in Section 2.1.
- The project Consortium must consist of a minimum of two Project participants, coming from a minimum of two different countries, and a maximum of 4 Project participants. Larger consortia can only be considered in exceptional cases and with a very sound justification based on clear role for each consortium Partner.
- The lead Project participant must be a Core or Associate Partner (or Linked Third Party to a Core or Associate Partner) of EIT RawMaterials by the time the project starts.



- The project Consortium must include Project participants from at least two sides of the knowledge triangle (education, research, industry/business - as defined in the Partner registration documentation).
- Project participants that are non-members are eligible to apply as Members only if they submit an EIT RawMaterials membership application by early July 2024. Failure to apply for EIT RawMaterials membership by mid of 2024 will result in their removal (including the requested funding) from the proposal (note that the project will be immediately terminated if eligibility criteria are not met at this stage).
- A detailed work plan must be provided for each year of the Project duration at the time of proposal submission, including determined milestones planning as described under 2.1.
- All proposals must include a 'Dissemination and Communication Plan' Work Package, following the communications guidelines included in the document '*EIT RawMaterials Communication and dissemination guidance*'.
- All Proposals must include a Go-to-market Strategy Work Package (WPO), following the guidelines outlined in the document '*Go-to-market strategy for upscaling projects – Process and guidance*', and a WP on LCA for proposals claiming to achieve any positive environmental impact, such as resource and energy savings, waste reduction, waste valorisation, emissions reduction.
- A Preliminary Market analysis must be included in the proposal.
- All proposals must include a 'Project Management' Work Package, following the guidelines included in the document '*EIT RawMaterials Project Management guidance*'. The project should be managed by a Project manager (PM) with relevant expertise in managing complex projects. Her/his profile can differ from the Project coordinator, and s/he should commit to the project with a 15% FTE, to be monitored with timesheets (timesheet approved internally + declaration of honour) during Project reporting. A one-page CV of the PM must be provided.
- Additional eligibility criteria apply as outlined in the document '*Lighthouse Appendix*', such as the alignment of the proposals with EIT Raw Materials strategic frameworks, called Lighthouses, and that are the following: Responsible Sourcing, Sustainable Materials, and Circular societies.



## 2.4. Quality criteria

Weight	Description of Criteria
5	<p><b>1. Idea/GoToMarket</b></p> <p>To what extent does the core idea have the potential to be a future commercial success that is in line with the strategic agenda of EIT RawMaterials?</p> <p><i>Expected competitive advantage vs. other solutions (already available in the market or in development). Preliminary business opportunity assessment: value proposition to target customers, market size and expected growth, ability to bring the solution to the target customers, etc. Clear description of the IP management: background IP, ability to generate new IP, ability to protect, and valorize IP among partners and eventually with the support of the KIC.</i></p>
5	<p><b>2. Project plan</b></p> <p>To what extent is the project plan clear and feasible – with information about what the TRL levels are as well as how the Project will develop the idea and associated technology(ies) from their current level to TRL8 and beyond?</p> <p><i>Clear definition of Project objective and overall identifiable output. Clear definition of work packages (WP) with concrete objectives, tasks and measurable deliverables (including for non-technical aspects of the project, e.g., marketing, finance, IP, stakeholder management, regulatory, etc.). Clear Project schedule, with well-defined milestones. Risk management: Identification of key risks (with regards to technology, market, regulatory, financial, stakeholders, managerial etc.) and effective mitigation measures. A level of excellence is expected on the content and description of the work packages to generate optimal impact</i></p>
5	<p><b>3. Consortium</b></p> <p>To what extent does the Project Consortium have the competencies to implement the project plan, and the commitment and competencies to take the steps that will lead to commercialisation of the idea/technology(ies) beyond TRL8?</p> <p><i>Soundness of the Consortium: Quality and relevance of the leading partner, presence of complementary partners covering the key elements of the value chain, diversity of</i></p>



	<p><i>countries and Innovation Hubs represented in the consortium, Involvement of relevant industrial partner(s), presence of one or several SME(s) as active Task partners. Roles and governance: Clear definition of roles corresponding to the specific strengths of each partner, clear definition of project governance structure and of coordination mechanisms among partners.</i></p>
6	<p><b>4. Innovation</b></p> <p>How relevant and feasible are the innovation proposed and its development? To what extent is the solution innovative 1) relative to global markets and 2) in the specific market where it will be introduced.</p> <p><i>Technical feasibility of the solution based on the technology(ies) currently available to Consortium partners.</i></p>
6	<p><b>5. Impact</b></p> <p>What is the problem that the project solves and how big is that problem? How large is the impact that the project will generate outside the Consortium?</p> <p><i>Creation of synergies with other actors in the local ecosystem to create an impact beyond the individual project itself.</i></p>
3	<p><b>6. Communication and dissemination</b></p> <p>Soundness and effectiveness of the communication and dissemination strategy relative to the scope of the project.</p> <p><i>Compliance with EIT requirements and proactive communication and dissemination plan. Clear dissemination strategy and application (to other countries, on-going initiatives and programmes, links to development in other materials, themes, markets, audiences, partners, etc.).</i></p>

### Total weight =30

The score given for each criterion by the panel will then be multiplied by the weight. Maximum score is 150 = 30 (total weight) \* 5 (maximum score for each criterion). These quantitative scores will be used as input for the consensus evaluation panel.





## 2.5. Strategy criteria

Weight	Description of criteria
8	<p><b>1. Strategic importance for the KIC</b></p> <ul style="list-style-type: none"> <li>• Overall contribution to the KIC's objectives, strategic agenda and to the EU dimension</li> <li>• Contribution to the KIC's financial sustainability strategy (amount and conditions to the KIC)</li> <li>• Potential to become an investment case for the European Raw Materials Alliance</li> </ul>
9	<p><b>2. Expected impact for the KIC (return on KAVA investment)</b></p> <ul style="list-style-type: none"> <li>• Realistic assessment of the expected contribution that the Project will make to the impact of the KIC in terms of its EIT core and impact KPIs (see the Strategic Agenda 2021-27 of EIT RawMaterials) in relation to the requested budget, with focus on added value : number of innovations launched on the market with a sales revenue of at least EUR 10.000 documented – KPIs EITHE02.4, and EITHE04.4- start-ups created having a financial transaction of at least EUR 10.000 for a service/product sold to customers) to be achieved during the funding period, and jobs created (KICN01.10).</li> <li>• KAVA co-funding brought by the consortium beyond the minimum requirement (addressing EITHE12.1).</li> <li>• Outline of a convincing strategy for introduction to the market within the Pproject funding period (KPIs EITHE01.1 and EITHE02.1).</li> </ul>
9	<p><b>3. Excellence of the business case</b></p> <ul style="list-style-type: none"> <li>• How compelling is the business case?</li> <li>• What is the team behind the business case? This includes information on founders, their expertise, engagement, capacity, entrepreneurial/business/commercial skills, track records etc. Do their skills guarantee achieving the planned goals?</li> </ul>



	Technical capacity to implement solution is well demonstrated. Assessment of the prospect for the team to deliver TRL 8-9 at the end of the Project.
4	<p><b>4. Completeness and Compliance</b></p> <ul style="list-style-type: none"> <li>• Completeness and clarity of information provided in the Proposal.</li> <li>• Alignment with feedback given by EIT RawMaterials on previous submissions (if applicable).</li> <li>• Quality of the Project budget definition: clear explanation and justification of costs, proper balance of costs among partners in line with their assigned roles.</li> </ul>

### Total weight =30

The score given for each criterion by the panel will then be multiplied by the weight. Maximum score is 150 = 30 (total weight) \* 5 (maximum score for each criterion). These quantitative scores will be used as input for the consensus evaluation panel.

**Evaluation scale:** In relation to each of the criterion (above), each project will be scored from 0 to 5 according to the following scale, and we reserve the right to ask the applicant / consortium for pitching of the FINAL proposal, (after the eligibility check for eligible proposals only). This would contribute to the evaluation of the final proposal and scoring according to the quality and/or strategy criteria"

0	<b>Non-existent:</b> no relevant information provided in the application file or cannot be judged because out of range
1	<b>Very poor:</b> The criterion is addressed in a very incomplete and unsatisfactory manner
2	<b>Poor:</b> There are serious inherent weaknesses in relation to the criterion in question
3	<b>Fair:</b> While the proposal addresses the criterion, there are significant weaknesses that would need correction



4	<b>Good:</b> The proposal addresses the criterion well, although some improvements are possible
5	<b>Excellent:</b> The proposal successfully addresses all relevant aspects of the criterion in question. Any shortcomings are minor only.

## 2.6. Call timeline

Thursday 16 November 2023	Launch of call
Thursday 16 November 2023	The Proposal submission platform “Seedbook” ( <a href="https://seedbook.eitrawmaterials.eu">https://seedbook.eitrawmaterials.eu</a> ) goes online
Wednesday 31 January 2024 at 13.00 CET	<b>Proposal REGISTRATION</b> deadline
Wednesday 31 January 2024 at 13.00 CET	<b>DRAFT Proposal SUBMISSION</b> deadline (DRAFT Proposal is uploaded in SeedBook)
Thursday 1st February to end of February 2024	Evaluation of DRAFT Proposals & pitching of the pre-selected one
End of February/Beginning of March 2024	Outcomes of the evaluation of the DRAFT Proposals is communicated to the consortia
Wednesday 29 May 2024 at 13.00 CET	<b>FINAL Proposal SUBMISSION</b> deadline
Till end of June 2024	Evaluation by panel of external experts
End of June 2024	Preparation of list of projects for funding by KIC Management Team
Early July 2024	Approval of list of projects for funding by KIC Executive Board & communication to partners



End of June to early July 2024	Response to changes requested by the Selection Panel ('Change requests') and inclusion of selected Projects in Business Plan 2023-2025
July 2024	Registration of new partners
October 2024	Earliest starting date for approved projects (to be confirmed)
To be confirmed	EIT approval of Project portfolio after all the requests for clarification have been satisfied (to be confirmed)

## 2.7. Registration and proposal submission using SeedBook

Registrations and proposals can **only** be submitted using the IT-tool SeedBook. Project Coordinators who do not have a SeedBook account are invited to register via this link <https://seedbook.eitrawmaterials.eu> to get access to the tool and commence the proposal submission process. Innovation Hub staff will assist in using the IT tool.

The **DRAFT Proposal** must be submitted **Wednesday 31 January 2024 at 13.00 CET (Berlin time)**.

The **FINAL proposals** must be submitted by **Wednesday 29 May 2024 at 13.00 CET (Berlin time)**.

## 2.8. Appeal and redress procedure

Upon reception of the feedback, the applicant may wish to lodge a request for redress, if there is a concern that there might have been a shortcoming in the way a proposal was evaluated, or if the results of the eligibility checks are incorrect. The redress procedure is not meant to call into question the judgement made by the expert-evaluators. It will consider only procedural shortcomings and factual errors.

Requests for redress should be raised within one month of the reception of the evaluation feedback sent by EIT RawMaterials, and should be sent to [Compliance@eitrawmaterials.eu](mailto:Compliance@eitrawmaterials.eu). Requests must:

- be related to the evaluation process, or eligibility checks.
- include a clear description of the grounds for the complaint.



- be received within the time limit specified above.

An initial reply will be sent to complainants no later than two weeks after the deadline for redress requests. This initial reply will indicate when a definitive reply will be provided. A redress committee of EIT RawMaterials may be convened to examine the evaluation process for the case under consideration. The committee's role is to ensure a coherent interpretation of requests, and equal treatment of applicants. The redress committee itself, however, does not re-evaluate the proposal. Depending on the nature of the complaint, the committee may review the evaluation report, the individual comments and examine the CVs of the evaluation experts. Following its review, the committee will recommend a course of action to the EIT RawMaterials Operational Management Team (OMT). If there is clear evidence of a shortcoming that could affect the funding decision, it is possible that all or part of the proposal may be re-evaluated. Unless there is clear evidence of a shortcoming there will be no follow-up or re-evaluation. The Executive Board of EIT RawMaterials will be informed of any redress procedures in due course.

Please note:

- This procedure is concerned with the evaluation and/or eligibility checking process.
- The committee will not call into question the judgment of the individual expert-evaluators, whose qualifications have been already assessed and validated.
- A re-evaluation will only be carried out if there is evidence of a shortcoming that affects the quality assessment of a Proposal. This means, for example, that a problem relating to one evaluation criterion will not lead to a re-evaluation if a proposal has failed anyway on the other criteria.
- The evaluation score following any re-evaluation will be regarded as definitive. It may be lower than the original score.
- Only one request for redress per proposal will be considered by the committee.
- All requests for redress will be treated confidentially.



## Annex I: Partner Categories At-a-Glance

	Core Partner	Associate Partner	Project Partner	Task Partner (for RIS)
KIC (e.V.) Member	Yes	Yes	Yes	No
Governance • KIC Level	GA Attendance, right of speech, ask questions	GA Attendance, right of speech, ask questions	GA Attendance, right of speech, ask questions	No
	Full vote in GA	One delegate per CLC in GA	One of their number for all Project Partners in case of AoA amendm./ modific.	No
	• CLC Level	In CLC Steering Committee	In CLC Steering Committee	Part of a respective regional CLC (CLC internal rules to apply)
Number of annual activities / Leading a KAVA	Unlimited / Yes	Unlimited / Yes	Unlimited / No	Dedicated events and activities / No
Annual KIC funding ceiling*	Unlimited	EUR 300.000	EUR 100.000 (as in proposal)	60K, selected via open call
Annual Cash contribution	EUR 100.000 as membership fee	EUR 30.000 as membership fee	EUR 10.000 as membership fee	None
Horizon Europe treatment	Third Party	Third Party	Third Party	Third Party dependent on TP Patron



## Annex II: Definitions and Acronyms

### DEFINITIONS:

**KPI(s):** Key performance indicators – quantifiable indicators of the key project results, used for reporting and controlling how successful the project is in producing the desired results.

**Milestones:** Significant scheduled events in the project lifecycle occurring upon achieving a key planned result.

**Project:** the future activity described in a Proposal. It comes into existence only once the Proposal is selected and becomes a Selected proposal.

**Proposal:** a written document describing a future project which a number of participants (the consortium) wish to implement after receiving funding by the KIC.

**Proposal submission:** the act of officially submitting a Proposal for evaluation by the KIC.

**Selected proposal:** a Proposal which is officially confirmed to be funded by the KIC.

**Upscaling:** the activity of bringing a technology to a higher TRL level.

**Candidate:** a legal entity (LE) working on or having completed a Proposal submission.

**Project participant:** a legal entity (LE) taking part in a Project; can be a former Candidate, or can enter the Project at a later stage; can be funded by KIC, or participating only through ‘co-funding’ (own money) or funding from a non-Horizon Europe program (like UK national funding). Must become a KIC Partner in order to be eligible to receive EIT funding. Sub-contractors are not considered participants, and KIC Partners cannot be sub-contractors in a Project, they must be a participant.

**Consortium:** all Project participants together form the Consortium. A Project Agreement is not valid unless all Project participants - forming the Consortium have-signed it.

**Lead partner:** a Project participant responsible to lead and coordinate the Consortium; the Lead partner appoints the Project coordinator.

**Commercialising partner(s)** - the Project participant(s) responsible for bringing the project results to the market. Depending on the situation, that might be one or more Candidates, a newly entered Project participant, or a newly created startup/joint venture.

**Partner** (or ‘Partner organisation’) means a legal entity which is a member of a KIC and may include, in particular, higher education institutions, vocational education and training providers, research organisations, public institutions, public or private companies, financial institutions, regional and local authorities, foundations and not-for-profit organisations.

**Member:** Legal Entity (LE) (ies) who have applied and been accepted as members of the e.V. KIC LE. Depending on the membership tier, their voting rights and funding thresholds vary.



**Linked Third Party (LTP)**, also called an Affiliated Entity, is a legal entity which has a close relationship with a Member through shared ownership, control, or influence.

They are not a Member but can participate in a Project and then share the benefits and obligations of the Member they are linked to.

**Project coordinator:** a person appointed by the Lead partner, who acts on behalf of the Consortium and steers the Project activities, 'has overall responsibility for the project; is the first point of contact between EIT RawMaterials and the consortium; is responsible for entering and updating data and information in SeedBook and BlueBook on behalf of the consortium, for submitting the proposal in SeedBook and for coordinating the smooth transition into BlueBook (response to feedback, change requests, project reviews, etc.). The Project Coordinator is also responsible for 1) defining the mechanisms for the generation of the financial sustainability to the KIC and 2) the clear identification of the total amount and the entity/ies that will provide this financial sustainability (taken from the Project Management Guidance).

**Project officer:** a person assigned by KIC LE to accompany the Consortium throughout the project implementation. The PO is the main contact person for the PC regarding all matters concerning the Project's agreements, reporting, and other implementation topics.

#### ACRONYMS:

- FSM: Financial sustainability mechanism.
- ROI: Return on investment.
- PIC: Participant Identification Code.
- TRL: Technology readiness level.
- RIS: Regional Innovation Scheme.
- KAVA: KIC added value activity.