EIT RawMaterials

Call for KAVA 11 Upscaling and RIS Upscaling

Instructions and process description

November 2022

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 11 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 organizations involved in the submission of a proposal in response to this call should read the following documents carefully:

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

- 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

2. Project call and selection process

2.1. General rules and guiding principles

- 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).

- 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:

    o Circular Societies   o Sustainable Materials   o Responsible Sourcing

- Upscaling projects are innovation projects based on validated technologies that need additional step(s) for up-scaling, demonstration or implementation. **Upscaling projects must aim for market introduction and/or a commercial use within three years (or less) after the end of project.**

- Projects that aim for commercialization within the project duration will be evaluated positively. The proposal must clearly state who (which partner) will be responsible for commercialisation, and outline a plan for market introduction.

- 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 (WP0) during the project. The Go-to-market strategy will be updated throughout the duration of the project and enable go/no-go decisions following annual reviews.

- 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[1]) of at least 5** at the beginning of the project, corresponding to a "technology validated in relevant environment". Documented evidence must be provided in the application to substantiate this claim. The project may be deemed to be ineligible without such evidence.

- At the end of the project, the technology is expected to **have reached a TRL of at least 7**, 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.

- 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 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.

2.1.1 Financial Sustainability Mechanism and partner co-funding

Financial Sustainability Mechanism

All projects must contribute to the long-term financial sustainability targets of the KIC by aiming at generating backflow in the event of success. The amount of backflow can be capped to an amount

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[1] Definitions of Technology Readiness Level (TRL) 1 to 9 are given in FAQ document.

equalling the EIT funding received by the consortium plus a project-specific, risk-related mark-up to be defined for each individual case. The backflow shall only apply for the event of the successful commercialisation of the project. The amount, time and conditions for the backflow will be crucial criteria for the selection of the funded projects. The individual backflow or, more general, the Financial Sustainability Mechanism (FSM) shall be primarily contributed by the Commercialisation partner(s), which are expected to be Industry partners that commercialise the product or service and only in extraordinary cases other types of partners (e.g. in the case of a spin-off where the co-commercialisation option could apply – see below for further information).

EIT RawMaterials is committed to supporting the best ideas and the 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 requests a backflow in the event of success. The definition of success is related to the successful commercialisation of the project, shall be defined at the time of proposal submission and will be negotiated and agreed upon with EIT RawMaterials after project approval. If the success conditions are met, EIT RawMaterials will consider two main types of backflow mechanisms:

1. **Revenue sharing:** EIT RawMaterials receives a percentage of the revenue generated from the project in the event of success. The amount of backflow can be capped to an amount equalling the EIT funding received by the consortium, with the addition of a mandatory project-specific, risk-related mark-up to be defined for each individual case. Additional flexibility options include:

   o Threshold from whereon the payback period starts (e.g. certain revenue threshold to be defined; positive gross margin threshold; break-even threshold).

   o Use of operating profit or free cash flow instead of revenue as baseline is possible if a higher percentage share than in the case of revenue is presented.

   o Backflow start point from whereon the payback is due (FSM standard clause of not later than two years after project end).

   o Backflow end point until when payback is due (standard clause of five years after start point).

2. Any **other reasonable mechanism** contributing to the financial sustainability targets of the KIC the Parties may agree upon. In that regard, the consortium shall remain open to enter into negotiations with EIT RawMaterials to co-invest into a project spin-off at a later stage, if applicable; project backflow could be reinvested into this new venture. If start-ups are involved in the project, granting an option on equity in the event of success to EIT RawMaterials can be viable, too.

After the selection of the project, EIT RawMaterials will discuss with the Commercialisation partner(s) a strategy for the financial sustainability mechanisms of the activity.

The mechanism shall reasonably take into account the amount of the grant allocated and the impact generated. 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 backflow will be negotiated prior to the signing of the Project Agreement (PA) and will be outlined in the PA. The option selected for backflow 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 backflow mechanism (amount, caps, timeline, responsible party/ies, conditions, etc.) 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 agreed on the backflow mechanism details).

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).

2.1.2 Regional Innovation Scheme (RIS) specific conditions

The following applies for Regional Innovation Scheme (RIS) Upscaling proposals:

a) The majority of RIS Upscaling proposal's activities are executed in RIS countries;

b) Activities need to provide benefits for RIS countries;

c) Raise the innovation level of entities in RIS countries;

d) Coordinated by a partner from RIS countries;

e) Contribute a reasonable/significant amount of EIT Core RIS KPIs from the Strategic Agenda 2021-27.

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

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).

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 partners to the consortium after the project selection, but without changes to the total KAVA budget allocated to the project. Those partners 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.

Regardless of the funding source, if an entity incurs costs as part of a KAVA they need to become 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 partners, 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 partners. 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 partners. The Final Report must include a Conclusion.

All projects will be tracked and their progress will be assessed for five years after the end of the funding period.

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 10 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 11.

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 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.

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 partners 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.

Proposals must be registered by <u>**Thursday 26 January 2023 at 13.00 CET (Berlin time)**</u> using the SeedBook online platform.

The registration form will become available through Seedbook by mid of November 2022. 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.

- <u>Coordinators must submit a DRAFT proposal (stage 1) no later than Thursday 26 January 2023 at 13.00 CET (Berlin time)</u> using the SeedBook online platform.

- <u>FINAL proposals (stage 2) must be submitted no later than Thursday 11 May 2023 at 13.00 CET (Berlin time)</u> 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

6. Pay-back to be defined for each individual case, with an agreement between the partners on the share of the profit. For each product/service, who will provide the pay-back, what amount and the timeline. Please provide a table for the payback calculation based on sales forecast (including each product/service to be commercialised) and proposed methodology, be it based on sales revenue sharing with or without a threshold related to break-even in case of investment needed prior to start production.

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 **Thursday 26 January 2023 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 11.

FINAL Proposal (Stage 2)

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

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

<u>Quality criteria</u> - 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).

<u>Strategy criteria</u> - 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. Quality criteria (external evaluation) account for the 70% of the final score, while strategy criteria (EIT RawMaterials evaluation) account for 30%.

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.

Coordinators of projects that are selected for funding will be informed after approval by the Executive Board and receive also 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.

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. A 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 <u>at the time of **FINAL proposal** submission</u> 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 backflow requirement.

- The proposal must include a strategy and a tentative plan for backflow as outlined in Section 2.1.

- The project consortium must consist of a minimum of two organisations, coming from a minimum of two different countries.

- The lead organisation 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 organisations from at least two sides of the knowledge triangle (education, research, industry/business - as defined in the Partner registration documentation).

- Organisations that are non-members are eligible to apply only if they submit an EIT RawMaterials membership application by early July 2023. Failure to apply for EIT RawMaterials membership by mid of early 2023 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 (WP0), 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 valorization, 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 PC's, 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'.*

2.4. Quality criteria

Weight	Description of Criteria
5	**1. Idea/GoToMarket** 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? *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.*
5	**2. Project plan** 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 TRL7/8 and beyond? *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*
5	**3. Consortium** 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?

	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 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.
6	**4. Innovation** 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. *Technical feasibility of the solution based on the technology(ies) currently available to consortium partners.*
6	**5. Impact** 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? *Creation of synergies with other actors in the local ecosystem to create an impact beyond the individual project itself.*
3	**6. Communication and dissemination** Soundness and effectiveness of the communication and dissemination strategy relative to the scope of the project. *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.).*

Total weight =30

The score given for each criterion by the panel will then be multiplied by the weight. Maximum score is 300 = 30 (total weight) * 10 (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
9	**1. Strategic importance for the KIC** • Overall contribution to the KIC's objectives, strategic agenda and to the EU dimension • Contribution to the KIC's financial sustainability strategy (amount and conditions for financial backflow to the KIC) • Potential to become an investment case for the European Raw Materials Alliance
9	**2. Expected impact for the KIC (return on KAVA investment)** • 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 EITHEO2.4, and EITHEO4.4- 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). • KAVA co-funding brought by the consortium beyond the minimum requirement (addressing EITHE12.1). • Outline of a convincing strategy for introduction to the market within the project funding period (KPIs EITHEO1.1 and EITHEO2.1).
2	**3. Completeness and Compliance** • Completeness and clarity of information provided in the proposal. • Alignment with feedback given by EIT RawMaterials on previous submissions (if applicable).

	• Quality of the project budget definition: clear explanation and justification of costs, proper balance of costs among partners in line with their assigned roles.

Total weight =20

The score given for each criterion by the panel will then be multiplied by the weight. Maximum score is 200 = 20 (total weight) * 10 (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 10 according to the following scale:

0	**Non-existent:** no relevant information provided in the application file or cannot be judged because out of range
2	**Very poor:** The criterion is addressed in a very incomplete and unsatisfactory manner
4	**Poor:** There are serious inherent weaknesses in relation to the criterion in question
6	**Fair:** While the proposal addresses the criterion, there are significant weaknesses that would need correction
8	**Good:** The proposal addresses the criterion well, although some improvements are possible
10	**Excellent:** The proposal successfully addresses all relevant aspects of the criterion in question. Any shortcomings are minor only.

2.6. Call timeline

Monday 17 November 2022	Launch of call
Monday 17 November 2022	The proposal submission platform "Seedbook" (https://seedbook.eitrawmaterials.eu) goes online
Thursday 26 January 2023 at 13.00 CET	Proposal <u>REGISTRATION</u> deadline
Thursday 26 January 2023 at 13.00 CET	<u>DRAFT</u> Proposal <u>SUBMISSION</u> deadline (DRAFT Proposal is uploaded in SeedBook)
Friday 27 January to end of February 2023	Evaluation of DRAFT Proposals
End of February 2023	Outcomes of the evaluation of the DRAFT proposals is communicated to the consortia
Thursday 11 May 2023 at 13.00 CET	<u>FINAL</u> Proposal <u>SUBMISSION</u> deadline
Mid May to mid June 2023	Evaluation by panel of external experts
Mid June 2023	Preparation of list of projects for funding by KIC Management Team
End of June 2023	Approval of list of projects for funding by KIC Executive Board & communication to partners
End of June to early July 2023	Response to changes requested by the Selection Panel ('Change requests') and inclusion of selected projects in Business Plan 2023-2025
Early July 2023	Registration of new partners
September 2023	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 **Thursday 26 January 2023 at 13.00 CET (Berlin time)**.

The **FINAL proposals** must be submitted by **Thursday 11 May 2023 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. 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.