

EIT Raw Materials

Call for KAVA Regional Innovation Scheme and Internationalisation projects

Instructions and process description

March 2016

1. Purpose and scope of this document

This document describes the preparation, submission, evaluation and selection of proposals in response to the 2016 call launched by the EIT Raw Materials for Regional Innovation Scheme (RIS) and Internationalisation projects proposals (RIS and Internationalisation KAVA activity in EIT terminology).

For further description of the KAVA types, see section 3.4-3.8. The Call for Education, Upscaling, Network of Infrastructure and Entrepreneurship Services projects is described in separate call documents and will use specific Proposal Templates.

All proposals in response to the present call must be framed as **projects** in the sense that:

- They must lead to specific deliverables over a defined time schedule;
- They will be financed by EIT RawMaterials (the KIC) only for a defined duration.

All KIC partners involved in the submission of a project proposal in response to this call should read the following documents carefully:

- KAVA Call Guidance for RIS/Internationalisation 2016 (The present document)
- KAVA RIS/Internationalisation Project Proposal Template
- FAQ (Frequently Asked Questions) version 2016
- The Strategic Agenda 2016-22 of EIT RawMaterials (FPA, Annex I)

2. Project call and selection process

2.1 Guiding principles

Internationalisation of EIT RawMaterials activities in initially about building on networks and current activities of consortium partners. In a later stage, EIT RawMaterials will reinforce and expand activities towards international regions of strategic importance, taking into account synergies with the various raw materials actions that the EU Commission plans to implement with non-EU partners from 2015 onwards.

Partners are invited to put forward small **Internationalisation** projects in order to map current activities and networks, aiming for identifying future needs and helping to define the content of future calls. Proposals may include suggestions as International Ambassadors that will be nominated at the KIC level. This role will be fulfilled on a part-time and voluntary basis by representatives of the Core Partners who exhibit a strong track record of successful collaborations with the specific target countries and regions.

Proposals should target one of the following four target regions:

1. EUNC: Neighbouring Countries of the EU (EU definition, including the European Free Trade Association)
2. RDVP: Resource-rich developing economies (e.g. DR Congo, Bolivia, Peru, Liberia)
3. RREM: Resource-rich emerging economies with strong activities in the RM sector (e.g. Brazil, Chile, South Africa, India, China)
4. TECH: Developed economies leading in the RM sector (e.g. Australia, Canada, USA, South Korea, Japan)

As part of the so called **RIS¹-activities** EIT RawMaterials will outreach mostly to those EU regions where a smart specialisation strategy supports the RM issues and where there is no critical mass of KIC partners. EIT RawMaterials identified the following two priority outreach regions:

- The East & South-East Europe (ESEE) region is of particular interest due to its unique RM potential, especially for critical minerals (both geological resources and secondary RM) and its specific geopolitical situation. The ESEE region is also included in specific transnational programmes as part of the EU Cohesion Policy.
- Overseas European territories (such as Greenland and New Caledonia), which have unique geological resources.

RIS activities will be defined on a case-by-case basis, but they may include for example mobility programmes for students and professors, study visits, scientific and technical valorisation of the results, technology transfer, support of local start-ups, joint communication and networking events.

¹ See description of RIS; <http://eit.europa.eu/activities/outreac/eit-regional-innovation-scheme-ris>
Process description and instructions for **Internationalisation and RIS** Activities – 2016

Expected budget and funding

Based on the current financial outlook of EIT RawMaterials, the KIC expects to be able to support 4-6 internationalisation projects and 5-10 RIS projects in the framework of this call. Budgets are expected in the range of 50-200 k€. The exact number of projects to be funded will depend on the quality of the received proposals, on the total available funding, and on the balance decided by the Executive Board across the different KAVA types.

The funding rate for eligible KAVA costs may be up to 100% for partners. Co-funding contributed by the project consortium is encouraged and will be evaluated positively. As part of the long-term financial sustainability strategy, EIT RawMaterials will collect 5% of the funding provided by the EIT to be used exclusively to ensure continued operation of our KIC beyond 2022.

Selection of the projects

Two types of criteria are defined to select the best projects according to these guiding principles:

- Eligibility criteria = mandatory requirements (projects which do not meet such criteria will not be considered for further evaluation), as described in section 2.3 below;
- Evaluation criteria = criteria against which the collected proposals will be scored and ranked; according to the evaluation grid presented in section 2.4 below.

2.2. Project preparation and selection process

Matchmaking and brokerage events throughout the year allow partners to discuss project ideas and form potential consortia. For each project proposal to be submitted, it is mandatory for the lead partner to inform her/his Co-Location Center (CLC) Manager. The CLC staff provides guidance and support to:

- Set up a solid consortium and find missing partner(s) if required
- Structure the project proposal in line with the evaluation criteria
- Check eligibility criteria
- Final project proposals must be submitted no later than **Tuesday 31 May** using the FluidReview online platform <https://eitrawmaterials.fluidreview.com/>. The *RIS/Internationalisation Project Proposal Template (Word document, attached)* needs to be completed and uploaded in pdf-format as part of the submission.
- Each of the proposals will be evaluated by a panel appointed by the Management Team.
 - All members of the evaluation panel will sign a non-disclosure and conflict of interest agreement.
 - A minimum of three experts will be assigned to the evaluation of each project proposal.
 - Each project is first evaluated remotely by the assigned experts using the FluidReview tool.
 - Final evaluation (and ranking) of all education projects is conducted by the entire panel (with the exclusion of any member being in a conflict of interest situation) to ensure consistency. The strengths and weaknesses of each project as perceived by the panel will be documented to justify the evaluation, and will be communicated to the project coordinator once the evaluation process is completed.

- The CTO will act as the secretary of the panel and facilitate the discussion during evaluation panel meeting but will otherwise not take part in the evaluation process.
- Based on the evaluation, the overall available funding, and the thematic and geographical balance, the MT 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, for the Business Plan 2017.
- 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 panel.

2.3 Eligibility criteria

Eligibility will be checked according to the following criteria:

- Project consortium consist of a minimum of 3 KIC core or associate partners, coming from a minimum of 2 different CLCs or a minimum of 2 different countries
- Project consortium includes partners from at least 2 sides of the knowledge triangle (education, research, business)

2.4 Evaluation Grid

| Weight | Reference in Word Template | Description of criteria |
|--------|----------------------------|--|
| 4 | Section 3 | <p>Strategic importance for the KIC</p> <p>For example, but not limited to:</p> <ul style="list-style-type: none"> • Overall rationale for the project’s strategic importance to the KIC • Economic importance of the targeted theme/market («market» size, breadth of customers/applications) • Contribution to de-siloing (countries, CLCs, disciplines, partner categories, value chain segments, activities) • Contribution to building the KIC community • Potential for dissemination and application (to other countries, materials, themes, markets, audiences, partners, etc.) • Leveraging effect on other KIC activities • Clear link with one or several market(s) e.g. in terms of key stakeholder involvement, • Integration with other proposals if applicable |
| 4 | Section 5 | <p>Quality of the consortium:</p> <ul style="list-style-type: none"> • Relevance of the lead partner • Relevant experience, expertise and resources of each partner • Diversity and complementarity of the partners, and clear definition of roles |

| | | |
|--------------|-------------|---|
| | | <ul style="list-style-type: none"> • Level of involvement of industrial partners • Project governance structure and operational coordination mechanisms • Clear and relevant participation of partners and/or stakeholders in the region in which the proposal aims it's activity |
| 4 | Section 3&6 | <p>Quality of the project definition:</p> <ul style="list-style-type: none"> • Explanation of why the project is needed (background, current situation, issues & opportunities – specifically pertaining to EIT RawMaterials) • Clear definition of objectives • Clear identification of target audience(s) and/or beneficiaries • Clear definition of work program, milestones and planning including how the programme will interact and deliver value to the project consortium and its key stakeholders • Definition of concrete deliverables • Identification of key risk and success factors • Detailed justification of the proposed budget and timeline |
| 4 | Section 3 | <p>Expected impact (return on KAVA investment)</p> <ul style="list-style-type: none"> • Expected contribution to the impact of the KIC (see the Strategic Agenda 2016-22 of EIT RawMaterials (FPA, Annex I)) compared to the requested budget • With specific reference to the activities, stakeholder interactions, deliverables and objectives, include a clear explanation of how the impact will be achieved • Expected stakeholders benefiting from the project; and, communication and dissemination plans to stakeholders • Other expected quantitative contribution to specific output KPIs and/or scoreboard numbers (see the Strategic Agenda 2016-22 of EIT RawMaterials) |
| 4 | Section 7 | <p>KCA and other contributions from partners</p> <ul style="list-style-type: none"> • Relevant KCA amount • KAVA co-funding brought by partners • Balance in the level of resources committed by each partner • Expected financial sustainability for the continuation of the product/service offering after the end of the KAVA funding period |
| TOTAL WEIGHT | | |
| 20 | | |

Evaluation scale: In relation to each of the criterion above, each project will be scored from 0 to 5 according to the following scale:

| | |
|----------|---|
| 0 | Non existent: no relevant information provided in the application file or cannot be judged because out of range |
| 1 | Very poor: The criterion is addressed in a very incomplete and unsatisfactory manner |
| 2 | Poor: There are serious inherent weaknesses in relation to the criterion in question |
| 3 | Fair: While the proposal addresses the criterion, there are significant weaknesses that would need correction |
| 4 | Good: The proposal addresses the criterion well, although some improvements are possible |
| 5 | Excellent: The proposal successfully addresses all relevant aspects of the criterion in question. Any shortcomings are minor only. |

The score given for each criterion by the panel will then be multiplied by the weight. Maximum score is 100 = 20 (total weight) * 5 (maximum score for each criteria). These quantitative scores will be used as input for the consensus evaluation panel.

2.5 Calendar

- March Launch of call for projects
- May 31 Submission deadline
- June-July Evaluation by panel
- Early Aug Preparation of list of projects for funding by KIC Management Team
- Mid Aug Approval of list of projects for funding by KIC Executive Board + communication to partners
- End Sep Inclusion of selected projects in Business Plan 2016, to be submitted to EIT
- 1 January 2017 Earliest starting date for approved projects
- 1 July 2017 Latest starting date for approved projects

Approved projects are expected to receive financial funding from the EIT (via the KIC Headquarters) according to the following annual schedule: Pre-financing payment of ca. 45% of the project funding for 2017 by late Q1/early Q2 2017, Pre-financing payment II of ca. 15% by late 2017/ early 2018 and payment of balance, ca. 40% by late Q1/EarlyQ2 2018. The next call for projects is expected to be launched in early 2017, with a submission deadline in spring 2017.