

PROJECT PROPOSAL GUIDELINES

Urban Challenges

May 2017

Copyright: Copyright © 2017 Climate KIC (UK) Limited. All rights reserved. This material contains the valuable properties embodying substantial creative efforts and information, ideas, and expressions, no part of which may be reproduced without the express written permission of Climate KIC (UK) Limited.

Disclaimer: Climate KIC (UK) Limited reserves the right to make changes to this document at any time and without prior notice. The guideline in effect at any time will be those contained in the most recent version of this guide which can be found on our website.

Contents

1	Introduction	3
2	Proposal Submission	4
2.1	Completing the Project Proposal Form.....	4
2.2	Submitting your proposal	9
2.3	Avoiding duplicate funding	9
2.4	Deadline dates	9
2.5	Guidance on resubmissions	9
2.6	Conflict of interest	9
3	Proposal Assessment	10
3.1	Climate KIC Innovation Framework	10
3.2	Eligibility Criteria	11
3.3	Quality Assessment.....	17
4	Proposal Decision	29
5	Master Project Plan Submission	29
6	Project Confirmation	29
7	Document History	30

1 Introduction

At Climate-KIC we offer many opportunities to our network of Partners and Partner consortia to apply for Climate-KIC project funding and support. All calls for proposals are undertaken within the programmes of the Climate-KIC Innovation Framework targeting different stages of the innovation lifecycle. The ultimate aim is that Climate-KIC funded projects deliver climate mitigation and adaptation impact. This document provides detailed guidance on the information required to submit a proposal. Read this document carefully before you submit a proposal.

The proposal submission and project confirmation process is as summarised in the table below

STAGE	DESCRIPTION	OUTPUT	DURATION
Proposal Submission	The Project Lead submits the proposal to Climate-KIC copying in their local Climate-KIC lead and the respective Theme Portfolio Manager.	Applicant must submit a Project Proposal to applications@climate-kic.org	Application Deadline as stated on website
Proposal Assessment	The proposal will be reviewed by Climate KIC staff and expert external reviewers who will recommend to a decision board to either reject or progress the application to the next stage.		
Proposal Decision	Following assessment of the proposal, a letter will be sent to the applicant outlining the selection board's decision.	Proposal Decision Letter	Four to eight weeks depending on project type.
Master Project Plan (MPP) Submission	If the proposal is approved, applicant will be invited to submit a Master Project Plan (MPP) to provide details of what the project will deliver. The MPP will include details on deliverables, KPIs, costs, schedule and benefits. The MPP will be further reviewed by the selection board to validate its credibility.	Applicant must submit a Master Project Plan (MPP) to Climate KIC.	Two weeks up to five months from proposal decision - depending on project type.
Project Confirmation	The project will be confirmed after the selection board approves the Master Project Plan. If successful, a letter will be sent to the applicant which will confirm that Climate-KIC Holding B.V. (BVH) has included the project as part of KAVA in Annex 1 of the 2017 Specific Grant Agreement (SGA) agreed between The	Project Confirmation Letter	Up to ten working days from MPP approval.

	European Institute of Innovation and Technology (EIT)		
--	---	--	--

2 Proposal Submission

2.1 Completing the Project Proposal Form

2.1.1 Project Details

Project Name	<i>Insert a short title (1—5 words)</i>				
Project Summary	<i>In no more than 50 words, describe the purpose of the project, articulate the urban challenge faced, and the impact sourced solution(s) could have for the city. For Phase II please specify how you plan to test and/or implement solutions.</i>				
Project Type	<i>Ideator (Urban Challenges Phase I/Phase II)</i>				
Theme(s)	<input checked="" type="checkbox"/> Urban Transition	<input type="checkbox"/> Decisions Metrics & Finance	<input type="checkbox"/> Sustainable Production Systems	<input type="checkbox"/> Sustainable Land Use	<input type="checkbox"/> Education
Lead Partner Organisation	<i>Legal name of the Climate-KIC partner responsible for managing the project</i>		Lead Partner No	<i>Climate KIC Partner number</i>	
Address of Lead Partner Organisation	<i>Address of Lead Partner Organisation</i>		Project Lead	<i>Name of person that will manage the project on behalf of the consortium</i>	
Total Project Cost	<i>Provide the total cost of the project</i>				
Total EIT Funding Requested (€)	<i>State how much EIT funding is being requested for this project.</i>		Total Partner Co-Funding (€)	<i>State how much of the total cost is being provided by other donors.</i>	
Planned Start Date	<i>Provide the estimated start date for the project</i>		Duration	<i>Provide estimated duration for the project in months</i>	

2.1.2 Purpose and Outcome

Project Background	<i>Provide background as to why this project should be supported:</i> <ul style="list-style-type: none"> <i>the climate change related urban challenge faced by the city</i> <i>the relevance and importance of this challenge to the city</i> <i>how the problem will be solved with this innovation opportunity (Phase I)</i> <i>how this problem will be solved through testing/implementing the sourced solution(s) (Phase II)</i>
Project Objectives & Outcomes	<i>Provide a compelling narrative of the project objectives, and how they will contribute to the project outcomes. Describe the ultimate end-goal of the urban challenge process.</i>

	<i>Detail any non-project activities and objectives needed to support the successful outcome (e.g. local policies, stakeholder management, funding). Please state any assumptions in achieving the project outcome.</i>
Other Benefits	<i>Are there any additional benefits that this project may trigger? Describe other benefits (other than climate impact) that this project will deliver when completed. What will success look like in the years after the project is completed?</i>
Country/Countries covered	<i>Please state which cities will benefit from this project</i>
Strategic Fit	<i>State the project relevance to the Theme priorities (listed in application guidelines), which objective within the chosen Thematic Priority this project will help deliver and why this project is needed to achieve that objective.</i>

2.1.3 Climate impact

(Mitigation) Baseline	<i>Describe how and to what degree the system of interest (e.g. region, target group, sector, area) currently contribute to increased GHG emissions (e.g. common practice/business-as-usual situation leads to a certain amount of GHG emissions).</i>
(Mitigation) Contribution to mitigation	<i>Please provide full details on how innovation solution(s) to your challenge enables the system of interest to reduce GHG emissions by describing the specific mechanisms and leverage points (e.g. by implementing energy efficient insulation systems, building energy consumption is reduced, by creating climate awareness investors invest in more climate friendly assets).</i>
(Adaptation) Vulnerability	<i>What are the identified climatic changes (e.g. extreme weather events, increased number of hot days) observed within the context and scope of the project? Please describe to what degree the system of interest (e.g. region, target group, environmental system) is impacted by the climatic changes (e.g. properties are flooded, households affected by droughts, financial losses to businesses) and how well the system of interest is able to cope with these changes. What you hope to achieve?</i>
(Adaptation) Contribution to Adaptation	<i>Please provide full details of how your project enables the affected system of interest to respond better to the climatic changes (e.g. preparation and communication of climate information, mainstreaming climate aspects in planning processes) and/or how it directly reduces the specific risks or vulnerabilities. Please describe whether and how your project directly reduces the negative impact resulting from the climatic changes (use of seeds or crops that are better adjusted to changing climatic conditions, economic measures, such as insurance against crop failure).</i>

2.1.4 Consortium Partners

	Organisation's full legal name	Contact Name	Title of Contact Person	Project Role	Contact Information
KIC Partner	<i>Name of the partner organisation</i>	<i>Contact Name for the partner organisation</i>	<i>Title</i>	<i>Role person plays on the project</i>	<i>Address, email & telephone details</i>
KIC Partner	<i>Name of the partner organisation</i>	<i>Contact Name for the partner organisation</i>	<i>Title</i>	<i>Role person plays on the project</i>	<i>Address, email & telephone details</i>
Non-KIC Partner					
Non-KIC Partner X					
Project Personnel Profile	<i>Present a concise (100-150 words each) profile of the key individuals who can influence the success of the project. Focus on their leadership in the area of discovery, past success in innovation, entrepreneurial achievements and aspirations and understanding of the intended market.</i>				

2.1.5 High Level Plan and Key Deliverables

Provide a high-level plan detailing key deliverables (Urban Challenges Phase I: Event Report; Urban Challenges Phase II Deliverable: Feasibility Report) and target delivery dates e.g (either phases, stages, work packages or workstreams). This is not your detailed plan.

Unit	Description	Target Date
<i>Eg. Phase 1, Stage 1, Work Package or Workstream 1</i>	<i>Provide a high-level description of what this phase, stage or workstream will deliver</i>	<i>Target delivery date</i>
<i>Eg. Phase 1, Stage 1, Work Package or Workstream 1</i>	<i>Provide a high-level description of what this phase, stage or workstream will deliver</i>	<i>Target delivery date</i>

2.1.6 High Level Budget Overview

Provide an overview of how the budget will work, to help us judge value for money.

Unit	Cost €0.00
------	------------

Total Project Cost
€0.00

Risks

Please list the key risks and issues impacting on the deployment of the solution. You should consider all types of risks or issues including policy, legal or regulatory, financial, resource, behavioural. Outline the impact it will have on the successful delivery of the project, and the planned actions to mitigate the risk.

Title	Impact Description	Probability or Severity	Mitigation/Resolution Plan	Owner	Target Date
<i>Insert a short title</i>	<i>Describe the impact of the risk on time, costs, benefits of the project.</i>	<i>How likely is the risk to happen? Insert either (High, Medium or Low)</i>	<i>What is your plan of action to mitigate the risk?</i>	<i>Who is responsible for managing the risk.</i>	<i>When is the risk expected to be mitigated.</i>

2.1.8 Sustainability (For Demonstrator projects only)

Future Project Outcome	<i>Not relevant</i>		
Responsible Organisation	<i>Not relevant</i>		
Responsible Person	<i>Not relevant</i>	Contact Information	<i>Not relevant</i>

2.1.9 Business Model (For Demonstrator projects only)

Business Model	<i>Not relevant</i>
Scalability	<i>Not relevant</i>

2.1.10 Economic Impact (For Scaler projects only)

Economic Impact	<i>Not relevant</i>
-----------------	---------------------

2.1.11 Disclosure & Confidentiality

Details are on the proposal form

2.1.12 Signature

Details are on the proposal form

2.2 Submitting your proposal

Applications can be submitted at any time from the launch of the call to the closing date detailed on the Climate-KIC website. (www.climate-kic.org). We recommend that you liaise with your local Climate-KIC lead prior to submitting an application for support and guidance to complete your application. All applications must be submitted to **applications@climate-kic.org**. The proposal must be submitted in both pdf and Word format.

Please note: No extensions will be granted under any circumstances. Any changes to the proposal requested by the applicant after submission will not be allowed.

Climate-KIC has a responsibility to ensure that any public funding it provides is used for its approved purposes and that, when an organisation receives funding, it is used appropriately. The information that is requested (and listed below) is required to verify that projects are set up and planned effectively by the organisation(s) receiving funding.

Please ensure that all the information requested in the Proposal Form is provided. Without the availability of the relevant information, the application will not be progressed.

2.3 Avoiding duplicate funding

If applicants are knowingly involved in any EU funded project (of a similar nature to your proposal) that is currently underway or pending approval, then details should be provided. Especially in instances that involve shared resources or shared outputs. e.g. same person working, similar outputs, using same equipment etc.) For further guidance, please contact your local Climate-KIC Lead.

Resources requested should be described in sufficient detail for the reviewers to identify what is required for different aspects of the work. If costs are not sufficiently clear and well justified the board may cut costs before awarding the grant, or award a lesser amount.

2.4 Deadline dates

Proposals must be submitted by the deadline dates advertised on the Climate KIC website.

2.5 Guidance on resubmissions

Resubmissions will only be considered where applicants have been invited by Climate-KIC to do so. The resubmitted proposal must acknowledge the initial submission, detailing modifications which merit re-consideration. All proposals are checked in a review administration process to identify uninvited resubmissions.

2.6 Conflict of interest

Conflicts of interest should be declared by applicants before submitting proposals. Interests declared will be scrutinised by non-conflicted Climate-KIC staff and drawn to the attention of

members of the decision making board on funding (such members themselves should also not be subject to a conflict).

Climate-KIC Terms and Conditions include a requirement for organisations to have effective processes in place to manage conflicts of interest. If new conflicts arise once an award has been made these should be declared and managed using the organisation's and Climate-KIC's established processes.

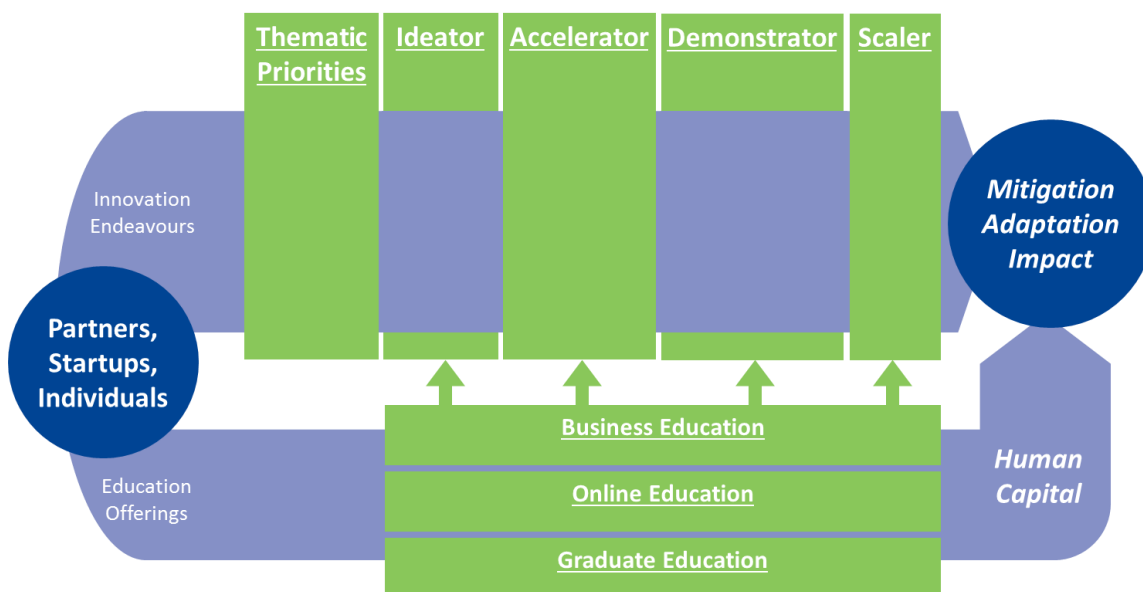
3 Proposal Assessment

3.1 Climate KIC Innovation Framework

Climate-KIC defines innovation as:

The application of new ideas to solve a valued need

The Climate-KIC Innovation Framework was created to support our Partners in the pursuit of climate-relevant innovation. It encompasses our entire implementation approach, integrating and packaging how Climate-KIC supported activities deliver climate mitigation and adaptation impact.



Each of the programmes in the Innovation Framework focuses on different dimensions of innovation progress:

- **Thematic Priorities** – Identify the challenges and market need for climate relevant innovation.

- Ideator – Through refining ideas and understanding markets, identify the Innovation Opportunities that can be exploited. An Innovation Opportunity is where both the discovery underpinning the idea and the market need have been clearly identified.
- Accelerator – Identify how would Innovation Opportunities exist and sustain themselves – their potential business model.
- Demonstrator – Proving the innovation and its ability to sustain itself.
- Scaler – Scaling the innovation to deliver material climate mitigation and adaptation impact.

Every proposal will be assessed in the context of the Climate-KIC programme it is within and how it contributes to the Thematic Priorities of one or more of the Climate-KIC Themes:

- Urban Transitions
- Sustainable Land Use
- Sustainable Production Systems
- Decision Metrics and Finance
- Education

The success of projects depends on whether the project was the 'right' initiative to implement in the first place and contributes to Climate-KIC's objectives. The objective of the assessment is to ensure that the innovation proposal is in the context of the defined strategic objectives, that there is a rationale for undertaking the project, and that the projected costs and timelines are justified.

3.2 Eligibility Criteria

Proposals will be assessed in the context of the relevant programme. Assessments will be carried out on a proposal if:

- It is submitted via an electronic submission means, i.e. mail address: applications@climate-kic.org. and before the deadline. No extensions will be granted under any circumstances.
- It is legible, accessible and printable.
- It fulfils Programmes specific conditions as shown in table below.
- All information required is provided. This includes requested data, supporting documents specified in the call and use of an correct template.

No changes to proposals after the submission deadline will be accepted.

CRITERIA	PATHFINDER	PARTNER ACCELERATOR	DEMONSTRATOR	SCALER
Maximum duration	<p>6 (six) months</p> <p>Urban Challenges:</p> <p>Phase I 6 (six) months</p> <p>Phase II 12 (twelve) months</p>	6 (six) Months	No maximum, but typically 1-5 (one to five) years	From 4 (four) to 12 (twelve) months
Maximum EIT funding request	<p>€50.000 (FIFTY THOUSAND EURO)</p> <p>Urban Challenges:</p> <p>Phase I €30.000 (THIRTY THOUSAND EURO)</p> <p>Phase II €50.000 (FIFTY THOUSAND EURO)</p>	€50.000 (FIFTY THOUSAND EURO)	Typically fall in the range €500.000 (FIVE HUNDRED THOUSAND) to €3.000.000 (THREE MILLION EURO)	Typically fall in the range €10.000 (TEN THOUSAND) to €200.000 (TWO HUNDRED THOUSAND)
Co-funding	Typically falls in the average of 25%. However, co-funding will influence the	Typically falls in the average of 25%. However, co-funding will influence the	Total declared co-funding is at least 50% of the EIT grant requested.	Total declared co-funding is at least 50% of the EIT grant requested.

CRITERIA	PATHFINDER	PARTNER ACCELERATOR	DEMONSTRATOR	SCALER
	decision making.	decision making.		
Page limits	6 pages	6 pages	15 pages	15 pages
Other specific to the Programme	<p>Urban Challenges:</p> <p>1. Targeted to city partners, representing demand side-players in the urban space.</p> <p>2. Clearly defined climate change related urban challenge city is facing.</p>	<ol style="list-style-type: none"> Partners shall have identified their innovation opportunity establishing on potential Demand & Supply convergence. Proposals have a realistic plan to market. Sources of possible additional funding for demonstrating and scaling shall be given. 	<p>Proposals must present a Validated Business Model and clearly identify Scalability of the Innovation.</p> <p>Business Model Validation: To be eligible for the Programme, applicants must submit the proposed business model of the innovation and a description of the validation activities performed.</p>	<p>Proposals must present a Validated Business Model and route to market identified.</p> <p>Business Model Validation: To be eligible for the Programme, applicants must submit the business model of the innovation and a description of the validation activities performed.</p>

CRITERIA	PATHFINDER	PARTNER ACCELERATOR	DEMONSTRATOR	SCALER
European added value	Involvement of more than one European nationality is desirable, but not mandatory.	Involvement of more than one European nationality is desirable, but not mandatory.	<p>In order to leverage and create impact in the European dimension, projects must meet the minimum acceptable criteria in one of the following ways:</p> <ul style="list-style-type: none"> • KIC Partners from at least two Climate-KIC locations should be involved. Our preferred method. • At least two KIC Partners from one Climate-KIC Geography and with other project stakeholders from other Climate-KIC locations who are not necessarily Climate-KIC partners, but meet the eligibility criteria. 	<p>Scaler Projects should involve different partners, some of them being outside the KIC (e.g. financial partners). It can be also anticipated that a project:</p> <ul style="list-style-type: none"> • may develop scaling approaches for more than one solution • may test different scaling routes for one solution. <p>In order to leverage and create impact in the European dimension, projects must meet the minimum acceptable criteria in one of the following ways:</p> <p>KIC Partners from at least two Climate-KIC locations should be involved. Our preferred method.</p> <ul style="list-style-type: none"> • At least two KIC Partners from one Climate-KIC Geography and

CRITERIA	PATHFINDER	PARTNER ACCELERATOR	DEMONSTRATOR	SCALER
			<ul style="list-style-type: none"> At least two KIC Partners from one Climate-KIC Geography and where the proposed Innovation Opportunity will be exploited (whether as a demonstrator or as the self-sustaining outcome) in at least one other Climate-KIC location. 	<p>with other project stakeholders from other Climate-KIC locations who are not necessarily Climate-KIC partners, but meet the eligibility criteria.</p> <ul style="list-style-type: none"> At least two KIC Partners from one Climate-KIC Geography and where the proposed Innovation Opportunity will be exploited (whether as a demonstrator or as the self-sustaining outcome) in at least one other Climate-KIC location.
Partner Status	<p>Only Climate-KIC partners are eligible to submit project proposals and to receive EIT funding for these projects. Non Climate-KIC partners are not subject to EIT funding, however in specific circumstances they may participate in Climate-KIC projects in the following cases:</p> <ul style="list-style-type: none"> A non Climate-KIC partner, interested in becoming one, has been declared strategically important by a Geography and/or Theme. A non Climate-KIC partner is crucial for the project, but has not been declared strategically important by a Geography and/or Theme. Sub- 			

CRITERIA	PATHFINDER	PARTNER ACCELERATOR	DEMONSTRATOR	SCALER
	<p>contracting options can in this case be explored together with the local Climate-KIC Lead.</p> <ul style="list-style-type: none"> • A non Climate-KIC partner intends to support a project and doesn't request any Climate-KIC funds. 			

Notes

- Any proposals exceeding page limits as defined in the table above will be assessed on the content of the eligible pages only.
- All application documents should be written in English. Exceptions can be made for supporting documents, such as Letter of Intent, which could be written in one of the official languages spoken in the country the application is submitted. In order to be assessed by all reviewers, you may choose to provide a short summary in English. Climate-KIC reserves the right to request for a translation at any time.

3.3 Quality Assessment

3.3.1 Pathfinder Call (For Pathfinder Proposals ONLY)

In the Pathfinder call Climate-KIC invites proposals for Partners to explore the supply-side (discoveries and ideas) and the demand-side (challenges, problems and market needs) of a potential innovation. The intended outcome of the innovation project is to establish the outcome of a clearly defined Innovation Opportunity. In that pursuit, Pathfinders may explore the supply-side or demand-side of the Innovation opportunity.

Climate-KIC will use the following criteria in assessing the Pathfinder proposal:

ASSESSMENT CRITERIA	DESCRIPTION
Demand addressed or identified	<p>The proposal should convey how it aims to identify the challenges and market needs of the demand-side of the innovation.</p> <p>For Pathfinders that are exploring the supply side only, the proposal must clearly identify the already established challenges and market needs of the demand side.</p>
Innovation potential	<p>The proposal should convey how it aims to identify the idea behind the supply-side of the innovation. For example, how the Pathfinder will stimulate, select and refine the best idea, knowledge, technology, process, service or product that addresses the potential demand.</p> <p>For Pathfinders exploring the demand-side only, the proposal must clearly identify the already established ideas or discoveries of the supply-side.</p>
Quality of the plan	<p>The plan must explain at a high level how the Pathfinder objectives will be achieved, namely the identification and possible validation of an innovation opportunity. A clear structure to the work, clearly defined milestones and deliverables for progress and outputs will be considered. Plans should allow for flexibility, as projects may evolve during project implementation, due to their exploratory nature.</p> <ul style="list-style-type: none"> • Consideration should be given to how the plan will consolidate and apply knowledge developed by the project. • Please indicate any activities or work packages in the plan not financed by Climate-KIC.

	Please provide any key assumptions on which the plan is based and significant risks.
Strategic fit	Climate-KIC prioritises projects which fit its strategic thematic areas. Successful proposals are likely to be tailored to at least one of the five Thematic Priorities.
Value for money	<p>Value for Money will be judged on a number of factors, including:</p> <ul style="list-style-type: none"> • How well the proposed activities are focused on an impactful project outcome. • How appropriate the scale of the activities is compared to the anticipated benefit/importance of the activities. • How well the partnership is suited to the activities described and is the number of partners optimised. • How many complementary activities outside the main project budget are leveraged to kick-start the Pathfinder project.
Climate relevance	<p>This criterion evaluates the climate relevance of the project in terms of climate change mitigation and/or climate change adaptation.</p> <p>Climate change mitigation:</p> <p>Project has a clear focus on contributing to climate change mitigation by either enabling a specific system of interest reducing GHG emissions or sequestering carbon emissions or directly reduce GHG emissions or sequester carbon emissions within a specific system of interest with clear and understandable mechanisms.</p> <p>Climate change adaptation:</p> <p>Project has a clear focus on increasing adaptive capacity or creating climate resilience in the system of interest with clearly defined objectives and mechanisms with which the project contributes to climate change adaptation within the scope of the project.</p>
Project outputs	<p>Potential outputs intended for the project should be aligned with the identification of an Innovation Opportunity, for example:</p> <ul style="list-style-type: none"> • Market/stakeholder analysis.

	<ul style="list-style-type: none"> • Assessment of competition (market benchmarking). • Identified risks and barriers to success. • Insights, primary/secondary research or experimental evidence of the demand and solution. • Clearly articulated innovation opportunity and nature of the solution (knowledge, service, product, policy etc.) that addresses market needs. • Model demonstrating viability of self-sustaining outcome (including the scaling-up of the innovation). • Knowledge and competencies required to exploit the innovation opportunity. • Opportunities to attract investment in the exploitation of an innovation opportunity. In particular, evidence of co-finance that can be secured for any subsequent Innovation Project.
--	---

3.3.2 Partner Accelerator Call (For Partner Accelerator Proposals ONLY)

In the Partner Accelerator call Climate-KIC invites proposals for Partner led consortia to leverage Climate-KIC funding and support to:

1. Identify a business model (whether for-profit or not-for-profit) of the innovation, and;
2. Validate this business model.

Both the stages should be made clear in the proposal.

Climate-KIC will use the following criteria in assessing the Partner Accelerator proposal:

ASSESSMENT CRITERIA	DESCRIPTION
Climate Relevance	<p>This criterion evaluates the climate relevance of the project in terms of climate change mitigation and/or climate change adaptation.</p> <p>Climate change mitigation: Project has a clear focus on contributing to climate change mitigation by either enabling a specific system of interest reducing GHG emissions or sequestering carbon emissions or directly reduce GHG emissions or sequester carbon emissions within a specific system of interest with clear and understandable mechanisms.</p> <p>Climate change adaptation: Project has a clear focus on increasing adaptive capacity or creating climate resilience in the system of interest with clearly defined objectives and mechanisms with which the project contributes to climate change adaptation within the scope of the project.</p>
Scalability	<ul style="list-style-type: none"> • The length of the ROI • How easy it is to expand into markets • How easy it is to scale the product or services (resources needed, capacity etc.)
Plan for stage	Convincing, comprehensive plan logically leading towards next step
Plan to market	Convincing, comprehensive plan logically leading towards ultimate goal

Team	Comprehensive industry and business development experienced team (full time and/or advisory board level)
Accelerator fit	Commitment to pursuing the Partner Accelerator objectives.

3.3.3 Demonstrator Call (For Demonstrator Proposals ONLY)

In the Demonstrator call Climate-KIC invites proposals for Partner led consortia to demonstrate an innovation and the innovation outcome. Climate-KIC is particularly interested in Demonstrators that show a plan that enables the innovation to be sustainable beyond Climate-KIC funding.

Demonstrator Outcomes

The proposal needs to illustrate how the innovation contributes to a compelling proposition that can be exploited through a clear business model to deliver scale. A validated business model, a description of the validation process and any insights/learnings gained, enables Climate-KIC to understand the strength of the assumptions made in the proposal.

For the avoidance of doubt, a business model is required for the ongoing scenario, whether in a for-profit or not-for-profit business model. Not-for-profit business models may be based on financial or in-kind contributions. Business model insights and learnings that underpin the proposed model should be shared and might include:

- Market/user/customer/citizen problems or needs analysis.
- Success criteria that will be important in delivering a viable value proposition
- Any barriers to success that will need to be addressed by the Demonstrator
- Existing competition whether climate relevant or not and how the innovation and/or business model contributes to differentiation.

It should be explicitly stated if the proposed innovation will not be ready for “market” at the end of the Demonstrator programme. In these cases, and in addition to the validated business model, the proposal must outline the further funding and investment required from which sources for the innovation to reach market readiness and the ongoing business model.

Since the Demonstrator is testing the business model, it is anticipated that the business model will be refined throughout the Demonstrator project and will also be an output in itself. Innovation rarely goes to plan, so stage reviews form an important part of the dialogue between Climate-KIC and the Demonstrator participants in steering a project for maximum impact and ensuring productive outcomes.

Scalability

Where a single instance of an innovation is considered for the unit impact, scalability refers to the total number of instances where the innovation could be implemented. Project scalability therefore indicates the total climate and economic impact that an innovation may potentially deliver and therefore the significance of the innovation.

Scalability should be clearly expressed as a factor that can be applied to the climate relevance to indicate the total potential climate impact. While total economic impact does not need to be expressed, the scalability factor provides a sense of economic scale. To provide a common baseline for all projects and to minimise the number of assumptions, scalability should only be identified in terms of the Addressable Market. The Addressable Market is a widely-used commercial concept to indicate the potential of an innovation and attempts to identify all prospective customers or users for a given product, service or idea. At this stage, applications do not need to consider the reachable market, serviceable market or market-share.

For non-commercial outcomes the equivalent of addressable market should be used with clear justifications for the conditions and assumptions utilised. For example, if a city mobility innovation only becomes effective with certain transport topography, only those cities with that topography can be considered as the addressable market.

Scalability is highly dependent on the conditions and assumptions used, so these should be made very clear to the reader.

ASSESSMENT CRITERIA	DESCRIPTION
Climate Relevance	<p>This criterion evaluates the climate relevance of the project in terms of climate change mitigation and/or climate change adaptation.</p> <p>Climate change mitigation: Project has a clear focus on contributing to climate change mitigation by either enabling a specific system of interest reducing GHG emissions or sequestering carbon emissions or directly reduce GHG emissions or sequester carbon emissions within a specific system of interest with clear and understandable mechanisms.</p> <p>Climate change adaptation: Project has a clear focus on increasing adaptive capacity or creating climate resilience in the system of interest with clearly defined objectives and mechanisms with which the project contributes to climate change adaptation within the scope of the project.</p>
Scalability potential	Project scalability will be judged on the potential achievable end-scale and the confidence in the conditions and assumptions made in determining that scale.
Innovation Potential	Innovation potential is the reason to believe the Demonstrator project is doing something new and different to unlock success - it considers the supply side of innovation. The proposal needs to

ASSESSMENT CRITERIA	DESCRIPTION
	convey what is new or more effective in the ideas, knowledge, technologies, processes, services or products. Please share any due diligence to confirm the proposed innovation opportunity has not already been tried or applied elsewhere, or if so, what is different that increases the chance of success. Innovation potential will be judged on, how convincing is the case for the innovation to make a difference.
Clarity of Demonstrator Outputs	The outputs will be judged on their significance in demonstrating the innovation and how well they contribute to the intended outcome. Projects must identify how their outputs contribute towards achieving KPIs (that demonstrate the progress toward a market of the products/services under development). For more information, see section 6, "Climate-KIC KPIs".
Robustness of the Business Model	The proposal will be assessed on the clarity and strength of the ongoing business model and any steps needed to reach the ongoing business model. Acknowledging that the value proposition and business model will be refined in the Demonstrator programme, Climate-KIC needs to be assured that up-front due diligence has been performed, justifiable assumptions and hypotheses made and that intended outcome is sufficiently viable to create an outcome focus within the Demonstrator project.
Quality of the Plan	The quality of the Project Plan will be judged on how clearly and comprehensively it addresses project stages, work areas and risks.
Strategic fit	Strategic fit refers to how closely the proposal aligns with the current Climate-KIC Theme strategies and priorities. Proposals will be judged on the clarity with which they align.
Value for money	<p>Please consider how all the proposed activities can achieve a high quality outcome in an efficient manner. A clear rationale should be provided for any activities that, on face value, may appear superfluous to a reader. Value for money will be judged on a number of factors, including:</p> <ul style="list-style-type: none"> • How well the proposed activities are focused on an impactful project outcome. • How appropriate the scale of the activities is with respect to the anticipated benefit/importance of the activities. • How well the Partner mix is suited to the activities described. • How much complementary activities are leveraged to kick-start the Demonstrator project.

ASSESSMENT CRITERIA	DESCRIPTION
	<ul style="list-style-type: none"> • The amount of co-funding and capital attracted to the project and the further identified opportunities to attract co-funding throughout the project as part of the operations work area. • The identified opportunities to attract end investment and drive a self-sustaining economic outcome.

3.3.4 Scaler Call (For Scaler Proposals ONLY)

Since the Scaler Programme supports two very different types of project activity, scaler instruments and opportunities, each type will be judged with separate criteria.

Scaler Opportunities

The Scaler Opportunities assessment criteria are as follows:

ASSESSMENT CRITERIA	DESCRIPTION
Climate Relevance	Climate relevance will be judged on the validity of the approach, the quality of the assumptions and therefore the confidence in the assessment for mitigation and/or adaptation potential. At this level of maturity, the innovation is expected to have a quantified unit climate impact.
Impact potential	A convincing case needs to be made why the Innovation has the potential to deliver significant impact. Please convey the both the uniqueness of the innovation and the market demand that has been assessed for the Innovation. The market demand should indicate the potential achievable end-scale and the confidence in the conditions and assumptions made in determining that scale.
Clarity of Scaler Outputs	The outputs will be judged on their significance in demonstrating the scaling of the innovation. For example, how much will revenue grow through the support of Climate-KIC services.
Robustness of the Business Model	The proposal will be assessed on the clarity and strength of the current business model. Evidence should be provided to support the robustness of the business model eg. initial customers.
Quality of the Plan	The quality of the Project Plan will be judged on how clearly and comprehensively it addresses project stages, work areas and risks.
Strategic fit	Strategic fit refers to how closely the proposal aligns with the current Climate-KIC Thematic Priorities. Proposals will be judged on the clarity with which they align.

ASSESSMENT CRITERIA	DESCRIPTION
Value for money	<p>Please consider how all the proposed activities can achieve a high quality outcome in an efficient manner. A clear rationale should be provided for any activities that, on face value, may appear superfluous to a reader. Value for money will be judged on a number of factors, including:</p> <ul style="list-style-type: none"> • How well the proposed activities are focused on an impactful project outcome. • How appropriate the scale of the activities is with respect to the anticipated benefit/importance of the activities. • How well the Partner mix is suited to the activities described. • How much complementary activities are leveraged to kick-start the Demonstrator project. • The amount of co-funding and capital attracted to the project and the further identified opportunities to attract co-funding throughout the project as part of the operations work area. • The identified opportunities to attract end investment and drive a self-sustaining economic outcome.

Scaler Instruments

Scaler Instruments assessment criteria are as follows:

ASSESSMENT CRITERIA	DESCRIPTION
Clarity of Scaler Instrument Offering	<p>In order for Climate-KIC to adopt scaler instruments within the Scaler Programme, the following must be clearly articulated:</p> <ul style="list-style-type: none"> • The description of the instrument offering. The form of the instrument (eg. education offering, brokering offering, market assessments) and how will it be used. • The scaling challenges that this instrument can address. For example, knowledge and competency gaps, lack of reach/scope of an innovation or value chain integration. <p>The benefits to be expected from application of the proposed scaler instrument. How would scaler opportunities be better off after the instrument has been used.</p>

ASSESSMENT CRITERIA	DESCRIPTION
Structure of the Scaler Instrument	<p>For Climate-KIC to include the proposed scaler instrument in the scaler portfolio, the instrument must be well structured:</p> <ul style="list-style-type: none"> • Which stakeholders are necessary for the delivery of the instrument. • What precisely the project proposers will provide to ensure success. • What Climate-KIC is expected to provide to ensure success. • Other resources needed to ensure the scaler instrument can be successful.
Fit with the call requirements	How well does the proposed scaler instrument fit with the specific Scaler call requirements? Does it meet all the specified requirements?
Scalability	How often might the scaler instrument be applied? How might the implementation of the instrument be grown to offer greater impact potential? How well can the scaler instrument cross borders - is it dependent on local laws/rules/languages?
Value-for-Money	<p>Please consider how all the proposed activities can achieve a high quality outcome in an efficient manner. A clear rationale should be provided for any activities that, on face value, may appear superfluous to a reader. Value for money will be judged on a number of factors, including:</p> <ul style="list-style-type: none"> • How appropriate the scale, complexity and cost of the activities is with respect to the anticipated benefit/importance of the activities. • How well the proposed activities are focused on an impactful project outcome. • How well the Partner mix is suited to the activities described. • How much complementary activities are leveraged to kick-start the Scaler instrument. • The amount of co-funding and capital attracted to the project and the further identified opportunities to attract co-funding throughout the project.

4 Proposal Decision

Following decisions on the proposals by the selection board, a Project Decision Letter (PCL) will be sent to applicants outlining the selection board's decision to either reject the proposal or approve the proposal to progress through to the next stage of the process. **PLEASE NOTE that an approved proposal does not mean that a project has been confirmed to be included in the KAVA. Projects are only confirmed after a Master Project Plan is approved.**

5 Master Project Plan Submission

Once proposal is approved, applicant will be invited to submit a Master Project Plan (MPP) to provide details of what the project will deliver. The Master Project Plan (MPP) is the contractual definition of what a project will do and create and has to be submitted after a proposal decision letter has been received. Constructing the MPP is more an exercise of collating the individual process and plan materials that have already been composed. It includes details outputs, deliverables, KPIs and costs and is used to either confirm or reject a project. The MPP forms the centrepiece of the project without which the proposal would not be authorised to proceed as a project. It includes details on what is expected to be delivered by the project and how it will be delivered.

6 Project Confirmation

If the MPP is approved, a Project Confirmation Letter will be sent to the applicant which will confirm that Climate-KIC Holding B.V. (BVH) has included the project as part of KAVA in Annex 1 of the 2017 Specific Grant Agreement (SGA) agreed between The European Institute of Innovation and Technology (EIT).

7 Document History

Version	Date	Author	Change Description
1.0	03/03/2017	Climate KIC Programme Management Office	Final