PROPOSAL GUIDELINES

SGA2019 Call 1 2019

Deadline for Application: 31st October 2018

Covering

Earlier-Stage Innovation: Pathfinder and Partner Accelerator
Later-Stage Innovation: Demonstrator and Scaler
Other Innovation: Climate Innovation Ecosystems
Education: Graduate School and the Learning Hub
RIS: Ideation and Pilots

Publication Date: 31st August 2018

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Contents

1 Summary of Main Changes

- EIT Climate-KIC are launching the Call for Proposals module in the new grant management system Plaza. Plaza will be used by all proponents for the preparation of all proposals for Call 1 and Call 2 2019.

- There will be two open calls for the Innovation, Education, RIS, and Climate Innovation Ecosystems programmes in 2019.

- Each call will be followed by a Resubmission Board, where proponents may be invited by EIT Climate-KIC to resubmit a proposal following a re-working period for re-consideration for funding in 2019. Proposals accepted to the board are by invitation only.

2 Purpose

This document describes EIT Climate-KIC's programme types, call schedule, proposal submission process and review and decision-making mechanism for Call 1 2019 under the Specific Grant Agreement 2019 signed between the Climate-KIC Holding B.V. (on behalf of itself and KIC Partner Organisations). It complements the EIT Climate-KIC 2019 Impact Goal Dossiers, which presents EIT Climate-KIC's programmatic priorities for 2019.

3 Introduction

EIT Climate-KIC is looking to support ambitious projects/interventions with a clear pathway to positive impact that is consistent with the Paris Agreement targets, our Climate Innovation Impact Goals, and our priorities as described in the Impact Goal Dossiers available through Plaza. Please make sure that you have read the EIT Climate-KIC 2019 Impact Goal Dossiers t to improve your success rate of gaining support through one of our programmes.

Please note: The Impact Dossiers are being used for the EIT Climate-KIC Call 1 2019 and will remain as a static reference for the purposes of assessing proposals received for Call 1. Parallel to this we are currently going through a review process of the Impact Goal Dossiers which is open to all partners and the documents will be updated and re-issued for future calls after partner feedback.

We also strongly encourage any prospective applicants to enter a dialogue with EIT Climate-KIC team members at the earliest opportunity about any proposal you may be preparing.
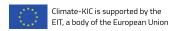
The objective of this document is to provide detailed guidance on how to submit proposals under EIT Climate-KIC's open calls for proposal. Please note that this guidance covers calls for Earlier-Stage Innovation (Pathfinder & Partner Accelerator), Later-Stage Innovation (Demonstrator& Scaler), Climate Innovation Ecosystems, RIS and Education (Online & Professional Education, The Journey, and the Catalyst)[1]. This document also provides information on the evidence types (KPIs and Deliverables) to help support the outputs of your work.

For more information on how to engage with other programme types not listed in the document, please contact your local EIT Climate-KIC office. Contact list can be found on our website: https://www.climate-kic.org/in-your-country/

Brexit

EIT Climate-KIC is currently working with the UK Government on establishing an FAQ for our community. This will be published no later than 14th September. In the meantime, UK partners are encouraged to participate as usual in any proposal preparation activities.

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[1] Note that all guidance in this document applies to Flagships as well. Flagships will not run separate calls.

4 Summary of Call

For eligibility and assessment criteria per programme, please consult the annexes of this document

Innovation

- Earlier Stage proposals in the form of Pathfinder and Partner Accelerator projects
- Climate Innovation Ecosystems proposals in the form of Cross European projects
- Later Stage Proposals in the form of Scaler and Demonstrator projects
- RIS Proposals for ideation & pilot projects

Education

Graduate School

- Expressions of interest to host a Catapult based on one of our Impact Goals areas and develop in close collaboration with one of Climate KICs Impact Goals. The students should work on real life challenges provide by local partners, public or private.
- Expressions of interest to host a Journey leg and develop the Journey parts together with EIT Climate-KIC through a co-creation process during the early spring of 2019.

Online Education

- EIT Climate-KIC partners are invited to develop their online learning dimension in co-creation with our team.

Professional Education

- EIT Climate-KIC partners are invited to propose courses in the Catalyst, Spotlight, or Exchange format.

5 Call Schedule 2019

In 2019, EIT Climate-KIC will run three open calls for proposal as detailed below. Please note for funding in 2019 – Call 1 and Call 2 are the available application routes. Call 1 2020 is for funding in 2020 onwards (not 2019). Please refer to Annex 4 for a more detailed breakdown of the schedule:

Call number[2]	Deadline for applications	Programmes calling for proposals	Implementation
2019 Call 1	31st October 2018	▪ Earlier- and Later Stage Innovation programmes	From 01 Jan 2019
2019 Call 2	30th April 2019	▪ Climate Innovation Ecosystems ▪ Education ▪ RIS	Start in Q3 2019
2020 Call 1	31st October 2019		From 01 Jan 2020

All calls will be announced 8 weeks before the closing date along with all pertinent call documentation. No further calls for 2019 activity will be advertised beyond April 2019 except in exceptional circumstances.

Please also note that while EIT Climate-KIC manages total funding availability in accordance to the call schedule in principle, available total funding may differ from call to call based on the quality of proposals received to date. In instances where calls for certain project types must be closed, EIT Climate-KIC will announce this on the official website in advance. For more details and most up-to-date information, please check our website: http://www.climate-kic.org/calls-for-proposals/

6 Funding Available

Climate-KIC have already commissioned many Partner-led projects for 2019 that are continuing from applications through previous calls. The Innovation portfolio currently compromises an EIT investment of €20 million leveraging €33 million in Climate Innovation funding across 60 activities.

We will invest a further €20 million[3] to fund projects in 2019. Match funding (co-funding) rules are applicable per programme (see eligibility criteria) which leverages a total innovation investment is considerably greater than €20million.

 This breaks down as follows:

- €1 million Climate Innovation Ecosystems
- €7 million Earlier Stage Innovation
- €8 million Later Stage Innovation
- €1.5 million Education
- €2.5 million RIS

For this call, we reserve the right to use a portfolio approach and reserve the right to redistribute the funding depending on the quality of incoming applications and portfolio needs. This is to make sure that the criteria described in the call documentation is met for all projects considered to be above the quality threshold.

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[3] The final figure allocated will depend upon the final grant agreement signed between EIT Climate-KIC (on behalf of the Partners) and the EIT.

7 How to Apply

Please read this document carefully. It will help your chances of submitting a quality application.

To apply:

- ▪ Register online in Plaza
- ▪ read this document and the relevant impact goal dossier(s)
- ▪ consider speaking to EIT Climate-KIC about the proposal that you are preparing
- ▪ complete your online application in Plaza

When completing your application, you will need to pay attention to:

- ▪ How you detail the activities that will be conducted (the workplan) to achieve the objectives of the project/ activity

- ▪ The Outputs of your work, EIT use the format of outputs, deliverables, and KPIs.
    - ▪ Outputs should be considered substantial pieces of work done to achieve the objectives – a typical formulation might see one output per work package.
    - ▪ Deliverables are supporting documentary evidence that evidence the work has taken place to the standard planned and they should always be high quality and two or three deliverables might typically underpin one major output. Suggested deliverable types can be found in Annex 6.
    - ▪ KPIs are Key Performance Indicators and there are two sets of KPIs – Climate-KIC KPIs and EIT KPIs – both can be found in Annex 5.

External, independent experts may assess the quality your application. We will then select the projects to fund, building a portfolio of projects that:

- ▪ are high quality
- ▪ clearly address an Impact Goal or goals as described in the call documentation

Subject to meeting the quality threshold, we reserve the right to manage the portfolio to achieve the correct balance of projects and funding.

You will need to submit your application by **31 October 2018 no later than 1800 CET**. We will not accept late submissions. Please note the system will be locked after this time.

Accessing Plaza

For more information please consult the relevant call documents which can be accessed through Plaza. EIT Climate-KIC partners can access Plaza through the Partner Information Page. Please note that Plaza is currently only accessible to EIT Climate-KIC partners. Organisations/ individuals who are preparing a bid will need to contact their local Climate-KIC office before starting an application.

You must use the grant management system Plaza to submit your proposal or your application will be deemed ineligible.

Your Data

In Plaza, all registrants will have to accept EIT Climate-KIC's General Terms and Conditions which also includes in particular, our Privacy Policy, Acceptable Use Policy and Cookie Policy and warrant and represent that they have the authority to agree and accept these on behalf of the named organisation. Personal data provided may be processed, including sharing with other organisations, by EIT Climate-KIC and certain sensitive data elements will be visible to other partners or potential partners of EIT Climate-KIC. The named partner organisation or potential partner of EIT Climate-KIC warrants and represents that in providing personal data in connection with the proposal, the data subjects have consented to the provision of this personal data and the processing of it by Climate-KIC in the manner indicated in accordance with our Privacy Policy, and that the partner organisation or potential partner of EIT Climate-KIC provides the personal data in accordance with applicable law.

8 Programme Types

EIT Climate-KIC uses a systematic and coherent approach to nurturing innovation. We dissect the innovation growth process into four distinct phases (ideation, acceleration, demonstration and scale-up) and have programmes in each of these stages. In addition, we offer complementary programmes to orchestrate climate innovation ecosystems and educate future generations of climate leaders.

Figure 1 provides an overview of how the various programmes (within the scope of this document) are linked to the KIC Added Value Activities (KAVA) in the EIT Business Plan 2019 and the 2019 Impact Goal Dossiers.

KIC Added Value Activities	Earlier-Stage Innovation		Later-Stage Innovation		Orchestrating Climate Innovation Ecosystems	Turning Bright Minds into Climate Innovation Leaders
Programme Types	Pathfinder	Partner Accelerator	Demonstrator	Scaler	Climate Innovation Ecosystems	The Graduate School & Learning Hub
Main Objectives	Create ideas and innovation opportunities that can be subsequently exploited to produce innovation	Test and validate an identified innovation	Develop innovation into self-sustainable products/services/ approaches, ready to be deployed and scaled	Provides support to overcome barriers to growth through propositions targeting geographic reach, scope, unlocking, replication, investment, etc.	Create networks of places with high ambitions for climate innovation, which are rich in the ingredients and capacities needed for achieving system-wide change across Europe	Educate innovators and entrepreneurs and build a community of change agents; Focus on curation and delivery of knowledge and creating skills and mindset to develop Europe's human capital for climate innovation

Figure 1: Programme and Project Types
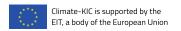
8.1 Earlier Stage Innovation

Pathfinder

Pathfinders support partner consortia in exploring and confirming an innovation opportunity that has the potential to generate significant impact in our Climate Innovation Impact Goals. Pathfinders will enable key actors to build consortia and work together in a structured way. It is expected that Pathfinder consortia will use our support to explore an area of systems innovation and identify an intervention, concrete model or new approach that can be tested during the 'Accelerator' and 'Demonstrator' phase. For Pathfinder Assessment Criteria please see Annex 1.

Partner Accelerator

The purpose of a Partner Accelerator project is to validate the scaling model[4] behind an innovation proposition. It aims to make selected innovation endeavours more likely to scale, attract investment, and reduce the risks in developing the innovation further. The programme is divided in two stages: Stage 1 focuses on the creation of a viable scaling model, while Stage 2 focuses on the validation and refinement of the scaling model with a view toward the activity securing a pilot, a customer or investment. The principal outputs of the Partner Accelerator projects are validated scaling models, including in-depth investigations in markets and other adoption/diffusion pathways. Partners, whether alone or within consortia, will be considered for the Partner Accelerator if they can demonstrate that they have clearly identified a systems innovation opportunity that is ready for scaling model validation. The Partner Accelerator programme is modelled on the EIT Climate-KIC Start-Up Accelerator and can be tailored to specific Partner needs.

Through EIT Climate KIC's extensive experience of working with partners and the start-up community across Europe, we have learned that that most successful bids will require coaching support to develop viable scaling models. The Partner Accelerator programme provides an excellent opportunity to secure this valuable support. EIT Climate-KIC's country offices can help you with requesting the support that best meets your needs. In addition to coaching, this could include a range of other support formats, for example market research, mentoring, training or financial planning assistance. For Partner Accelerator Assessment Criteria please see Annex 1.

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[4] Scaling models describe routes to impact. For example, a *business model* is a scaling model based on a *commercial* route to impact. Other logic models can be used to describe routes to impact based on policy change, behavioural change, or capacity building.

8.2 Later Stage Innovation

*Note: To leverage and create impact in the European dimension, **Demonstrator and Scaler projects are encouraged to exhibit aspects of geographic diversity,** and project proposals with a relatively high degree of geographic diversity will be preferred over those with a relatively low degree of geographic diversity, all else being equal.*

Demonstrator

The purpose of a Demonstrator project is to demonstrate or prove that viable innovations have been created. This programme supports the development of systems innovation opportunities into self-sustainable interventions, products, services or approaches, ready to be deployed and scaled up in a commercial, public or socio-economic sense. In the context of systems innovation, EIT Climate-KIC may support Demonstrator projects that develop the principal innovations that help to demonstrate the potential impact on entire systems. For example, the project may develop several parts of a value chain or develop several components in a geographic cluster.

Partner consortia must either have validated or clearly described the scaling model that underpins the identified systems innovation opportunity. For Demonstrator Assessment Criteria please see Annex 1.

Scaler

Scaler projects support tried and tested innovation in growing to achieve greater overall climate mitigation and adaptation impact. EIT Climate-KIC offers scaling services through the EIT Climate-KIC Team and through EIT Climate-KIC's Partnership. Our Partners can therefore offer their scaling services to others as part of the Scaler programme while benefitting from scaling support for their own innovation.

EIT Climate-KIC has designed two Scaler formats which are aiming to overcoming barriers to scale:

- **Scaler Instruments** – tools, networks, knowledge, competencies and intellectual property (the "capacity")
- **Scaler Opportunities** – providing support (delivered by EIT Climate-KIC or through Partners) to specific innovations

Scaler Instruments

While there are currently no restrictions on what type of scaling instrument EIT Climate-KIC would like to build, we see certain areas of instruments providing the best prospects based on past experience. These areas are outlined in the following table:

#	Scaling Instrument Prospect Area	Explanations	Types of partners or instruments
1.	Matchmaking and networking instruments	No specific format, but examples include: - Networking events connecting value chain actors - Demand-side actors offering challenges that innovation providers can respond to	- Value chain actors able to mobilise demand side - Platform operators with stakeholder databases
2.	Marketing instruments	Leveraging the KIC Partnership and connections to drive awareness and action	- Large corporates with strong access to value chains
3.	Policy or regulatory support	Navigating policy landscapes, support policy compliance and providing access paths to policy influence	- Partners specialising in policy support and influence - Partners offering policy compliance services
4.	Capital mobilisation	Providing access routes to capital investment aligned with addressing climate change	- Investment funds - Large corporates - Public bodies subsidising or offering loans to innovation (including development banks)

Scaler Opportunities

Every innovation has different needs, barriers and challenges relating to market conditions and customer needs. There is no one solution to these barriers and challenges to scaling an innovation, but typical ones include:

- Policy, legal or regulatory barriers that may prevent the commercialisation of certain products or services
- Financial barriers to engaging with the supply chain upstream or downstream
- Resource challenges within the entity developing the innovation or within potential customers/suppliers
- Behavioural challenges that limit the effective utilisation of a product or service

Applicants may wish to consider the following guiding questions when developing the proposal:

- To what degree are the resources required to deploy the solution significant and/or difficult to mobilise?

- To what degree is it difficult to adapt the solution to different contexts?

- What are the production costs of the solution if it is not produced at industrial scale, and is that cost level an issue?

- What kind of marketing approach is needed to enter the market? Is it a niche market that requires a specific marketing approach?

- How can the solution be sold? Would it need to be sold in combination with another product/solution? And is this other product/solution a limiting factor?

- To what extent is the value chain developed?

- What kind of pro-active action of other actors of the value chain would the solution benefit from?

- What kind of behaviour change by users or customers is needed to implement the solution?

- How can training or capacity development of users or customers be used to ensure the solution is well implemented/used?

- What kind of policy or regulations barriers are there and to what extent can these barriers be removed to enable the solution?

If applicants are aware of pre-existing Scaler Instruments through discussions with EIT Climate-KIC, they are encouraged to declare that Scaler Instrument with a rationale for its suitability. While the call details and this introduction strive to give sufficient guidance for Partners to directly respond to the call, we strongly encourage applicants to contact their local EIT Climate-KIC representative who can help guide their proposals to ensure the best match with a Scaler instrument. For Scaler Assessment Criteria please see Annex 1.

8.3 Climate Innovation Ecosystems – Cross European Projects

This programme helps build connections between cities, regions and networks on a cross-European basis, and is focussed on building the capacity for genuinely transformative innovation at a systems level. We expect projects to nurture an environment that enables systems innovations to emerge rather than to support individual innovations. Further, we expect successful Climate Innovation Ecosystems projects to deliver greater volumes of innovations, many of which would receive support from mechanisms outside EIT Climate-KIC.

The purpose of the Climate Innovation Ecosystems programme is to:

- Pull EIT Climate-KIC Partners together more effectively and mobilise them as innovation cohorts rather than just through project-based innovation collaborations

- Develop several coherent innovation ecosystem groupings based around locations and/or topics

- Develop skills, knowledge and innovation capacity both within and between the ecosystems/clusters

- Enable cross-fertilisation of organisations from different parts of society (government, academia, industry and civil society)

- Complement and strengthen the skills and expertise of both the community and Climate-KIC as an organisation (for example by creating opportunities for it to engage with policy networks, networks of investors, and to create exchanges of experience between its Geographies)

- Reach into new geographical spaces in a more coherent way

- Learn about how to prioritise interventions in innovation ecosystems to help them perform better with efficient use of resources

- Inform and refine Climate KIC's Impact Goal Framework by gathering a more demand-led, on-the-ground perspective

- Generate additional funding for the innovation cohort from other government/EU sources and Foundations.

Strong proposals identify concrete challenges, potentialities and barriers to be worked upon as well as domains and modes of intervention. They also present action plans that specify targets and relevant parameters to measure progress in the desired transformation (using scenarios) and involve a portfolio of activities ranging from skills development to knowledge sharing, partnership approaches, co-ordination across different domains and stakeholder groups and cross-country learning processes and exchange.

Involving Climate-KIC teams in the preparation of project proposals and the implementation of selected projects is an important component of all activities under this KAVA. Specifically, project consortia are strongly advised to contact Thematic teams (when the proposal aims to contribute to one of their impact goals) and Geographic teams (when a partner leading the project, or a work package pertains to that Geography) prior to the submission. For Climate Innovation Ecosystems Assessment Criteria please see Annex 1.

8.4 RIS Programme

In this call we are looking for high-impact projects that align with EIT Climate-KIC's impact goals and address our RIS Priority topics: energy transition, adaptation, circular economy, access to finance. Projects are expected to engage with Impact Goals 1, 7, 10, and 12, but may also span other Impact Goals. RIS Ideation and Pilot projects provide a platform for partners to generate and develop as well as test and trial innovative approaches and ideas and bring together key innovation stakeholders from across the knowledge triangle in EIT RIS countries. RIS Ideation and Pilot projects may lead to early-stage innovation project applications. Partners are encouraged to investigate how to attract revenue/external funding.

- Energy transition: Eurostat data show that the economies of EIT RIS countries remain some of the least energy efficient in the EU and are also amongst the biggest emitters of CO_2. Eastern and Central European countries have been criticised for using their EU funding to subsidise fossil fuels rather than for energy transition projects. According to a report published by Friends of the Earth Europe (January 2017), only 7% of the €178 billion allocated to nine countries in Eastern and Central Europe is spent on renewable energy, energy efficiency improvements or "smart grids". The report covers allocations from both the European Regional Development Fund (ERDF) and the Cohesion Fund for the period 2014-2020, in Poland, Estonia, Latvia, Lithuania, Slovakia, Hungary, Romania, Croatia and the Czech Republic. Against this 'bleak' assessment from the NGO perspective, Eastern Europe is a region gifted with a high potential to increase energy efficiency and to expand renewable energy resources.

- Adaptation: The Joint Research Centre (JRC) and European Environment Agency (EEA) data estimates that in the EU, welfare loss due to adaptation will be €190 billion by 2080. Negative impacts on human health will be the most important ones (€122 billion, 64% of the overall impact), followed by those on coastal areas (€42 billion, 22% of the overall impact) and agriculture (€18 billion, 9% of the overall impact). Regarding the geographical dimension of impacts, the most affected regions are Southern Europe (39% of overall damage -centred around energy damages and human health), while Northern Central Europe undergoes 24% damage (mainly due to human health and coastal areas, although partly compensated by positive changes to energy sourcing).

- Circular economy: While transition to a circular economy poses challenges for the whole of Europe, there is a risk that countries in eastern and southern Europe could particularly slow the transition: some have higher extractive industry activity and much of region tends to have lower levels of recycling and material reuse and higher levels of landfill and waste incineration. The projected growth of many EIT RIS countries could also fuel higher consumption and therefore waste (domestic, commercial and industrial). Similarly, if these countries do not act early to embed changes in circular practice and increase resource efficiency, they risk affecting the EU's performance in the coming decades. Some countries of the region are already embracing these challenges as a way of creating a USP to leapfrog development elsewhere in the EU (i.e. Slovenia).

- Access to finance: The EU's ambition to spend 20% of its 2014-2020 Multi Annual Funding Framework budget on climate action has under delivered. Funds aimed at levelling the economic and development playing fields through cohesion funding instruments targeted at the EU13 in particular (e.g. ERDF, ESIF) provide the context for Climate-KIC to work with EIT RIS nations to attract co-funding and new revenue to support our aims. It is expected that preparation for the next MFF will see increased emphasis on the effectiveness of these instruments, balancing the attractiveness of Research and Innovation Strategies for Smart Specialisation (RIS3) with the low-levels of engagement in eastern Europe to date.

Target Group

Already selected partners and entities under EIT Climate-KIC's Regional Innovation Scheme. Consortia may also include other third parties.

8.5 Education

Innovation skills and capacities are key drivers of transformational change and hence critical for EIT Climate-KIC's Climate Innovation Impact Goals. EIT Climate-KIC has developed multiple programmes to develop innovators and entrepreneurs and to build a community of change agents. For education quality assessment criteria please see Annex 2.

Graduate School

With world-class higher education partners, Climate-KIC graduate school aims to inspire and empower the next generation of climate entrepreneurs and leaders. To meet our goal, we use an innovative learning-by-doing approach. We design and host for example summer schools, hackathons, and lectures with our partners. the target audience is university students, primarily at master's level and PhD students. We are seeking partners that wants to be co-creating and delivering our popular summer schools; the Journey and the Catapult.

The Journey

The Journey is the world's largest climate innovation summer school, organised by EIT Climate-KIC and partners. Students and professionals from all over the world come together for an intensive innovation and entrepreneurship programme hosted by top European universities. The Journey is a summer school that brings together exceptional people with the capacity to make change. They are united by a desire to fight climate change and their entrepreneurial spirit. The Journey is not a boot camp to write a business plan, it is a holistic programme to deliver knowledge, skills, and networks for future entrepreneurs.

The intention of the journey is:

- To gain an understanding of core concepts, theories and ideas surrounding climate change, including the potential role of entrepreneurship to create solutions that adapt to or mitigate the causes of climate change.
- Learn methods, tools and theories that support the ability to develop audacious yet feasible solutions to climate change.
- Learn methods, tools and theories that support the ability to work in teams and form collaborations.
- Gain access to and contribute to a growing community of dedicated climate entrepreneurs and leaders.

The programme runs for 4 or 5 weeks. Each location host 1 or 2 weeks and appoints a Local Journey Manager based at the partner organisation (usually a university). The Local Manager works together with the respective Climate KIC Education Manager. The local/regional co-operation partners are, depending on each location, responsible for delivering the leg of a Journey and are lead/guided/supervised and fully supported by the Education Manager throughout this process.

We call for expression of interest to host a Journey leg and will be developing the Journey parts together with partners through a co-creation process during the early spring of 2019.

The Catapult

The PhD Summer School, the Catapult, is a two-week residential learning opportunity addressing a climate-related topic and take place in different European locations. Connecting PhD students from around the globe, the Catapults are hubs for new ideas with interdisciplinary approaches. Combining knowledge from various disciplines, new skills are acquired, and innovative ideas brought to life. A combination of discussions with international academic experts and practitioners, creative transferable skills sessions, inspiring workshops, site visits and assignments create a unique learning experience for our students. In addition to the delivery of knowledge and skills, the programme is about connecting people and ideas.

The Catapult is designed with the following central learning objectives:

- To equip participants with the knowledge of transformative, socio-technical innovation using a systems approach to deliver knowledge
- To exchange ideas between students and experts and to develop new project ideas for innovation in the industry
- To provide practice-oriented tools that will enrich the student's individual projects (e.g. back casting methodology)
- To enable PhD students to link their individual research projects to real life problems and innovation activities.

We call for expressions of interest to host a Catapult based on one of our Impact Goals areas and developed in close collaboration with one of Climate KICs thematic areas. The students should work on real life challenges provide by local partners, public or private.

The Learning Hub

To drive respective capacity building, EIT Climate-KIC is being in the process of pooling all training and education activities into a new organisational unit, the Learning Hub. It will provide the infrastructure and strategic resources to support capacity building, mindset shifts and behavioural change around the EIT Climate-KIC impact goals. The Learning Hub is a unique unit that will build on and progress services and assets developed in the professional, graduate and executive area up to 2018, and utilize our capacity in the online education field. It will bring together partners, colleagues and experts to co-create and manage capacity building assets and activities, and to design and scale specific learning services targeting competency gaps and capacity needs.

Design Principles

EIT Climate-KIC would like to apply the below design principles for all online and professional Education activities.

PRINCIPLE	DESCRIPTION
Collaboration	- We co-create learning services with partners, colleagues, and experts along the value chain, i.e. sharing ownership of scoping, needs assessments, design, delivery and scaling. - Only by activating our network and working together we can empower participants and scale capacities always linking consistently with the Climate-KIC activities.
Scalable climate impact	- All activities are designed with an impact hypothesis about how we drive action and how the activity through capacity building contributes to our impact goals. - When starting small with targeted experiments we ensure that the outcome can be scaled up and implemented across our pan-European partnership.
Systems thinking perspectives	- Our activities are considering the system and stakeholders they engage with. Learning objectives of our activities are defined with a system thinking mindset. We introduce in each course a system thinking dimension, thus enabling participants, whatever their background, to put their knowledge into a larger perspective.
Creating tangible value for users and customers	- We are designing services based on actual evidence-based competence development needs. The activity has a clear value add for users and costumers, that can be translated into a convincing hypothesis about self-sustainability of the activity in the long term.
Supporting transformative behaviour change	- With our learning activities we are aiming to transform the learner's preconceptions and world view to enable them to change own behavior and to become change agents.
Fit for purpose, innovative, experiential	- We apply innovative teaching methods and materials that fits the objectives of the activity. This includes basing our activities on real life challenges and experiential learning. If required this may also include experimenting with new approaches.

Online Education

EIT Climate-KIC's Online Education Programme aims to co-create innovative education modules together with partner organisations and to curate knowledge to develop human capital for climate innovation. Our learning design embodies a transformational approach rooted in the learning-by-doing principle. Our target audience is spread globally, across schools, universities, business, government, institutions and individuals. EIT Climate-KIC is seeking to collaborate with partners to develop successful long-term and self-sustaining training activities that have wide reach and adoption. EIT Climate-KIC partners are invited to develop their online learning dimension in co-creation with our team. The development of online course materials can be based on source materials ranging from PowerPoint presentations with speaker notes, offline course curricula and materials as well as articles and books. E-learning outputs can range from full online courses (MOOCs) to short learning nuggets on specific knowledge assets for programmes, campaigns, etc.

Our online learning design team works closely with subject matter experts from within our partnership to create the learning resources. This work is done through a structured consultation process where partners often have the role as subject matter specialists, interacting with our team of learning designers and graphics and tech developers driving the development process from the scoping phase towards delivery. Our learning design embodies a transformational approach rooted in the learning-by-doing principle. It normally takes about 2-3 months to develop a learning module. The e-learning modules and courses will be made available on our learning platform (www.learning.climate-kic.org)

Professional Education

Professional Education programmes are intended to provide professionals with inspiring and empowering training that will support them to tackle challenges arising through climate change. EIT Climate-KIC is seeking partners who co-create Professional Education programmes together with our Professional Education Team.

As part of the Learning Hub unit, we are looking for our capacity building activities around our impact goals. The following priorities have been identified and we would like to invite to submit proposals especially around those:
- Leadership for sustainable infrastructure in cities
- Enabling innovation in food systems
- Climate risk management
- City finance for climate innovation
- Climate-friendly portfolio investment

General note for Education proposals: We are looking for proposals that complement our capacity building activities around our impact goals, especially along the priorities outlined in Annex 8. We encourage close consultation along the ideation and proposal development process with colleagues of the Education team.

Background information on blended formats

Blended Education programmes are intended to provide professionals with inspiring and empowering training that will support them to tackle challenges arising through climate change. The proposed training courses shall be aligned to one of the generic formats of the Professional Education portfolio, which includes:

- **Spotlight:** 1-3-day blended training. Focus generically on climate innovation
- **Catalyst:** 4-6 day coached residential workshop, or two 2-3-day modules; online modules for preparation; focus on enhancing participants' competencies to move on with their individual innovation cases / projects.
- **Exchange:** Project-oriented multi-month programme for capacity building at institutions. Participants of institutions work jointly on an individual (systemic) innovation project. Professional mentoring through workshops and individual support.

Conception

Training courses should inspire and empower innovators to catalyse climate innovation by providing a **combination of theoretical knowledge and real-life case studies and challenges**. Main skills and competencies trained within

our Programmes seek to enable practitioners and professionals to think outside the box, leave their comfort zone and create new climate innovative solutions to specific challenges.

Specifically, the courses shall address the following:

- Develop skills needed to accelerate innovation and entrepreneurship to promote action along our impact goals
- Equip participants with tools and instruments to lead change processes
- Demonstrate existing ideas/solutions and options to adapt those to participants' own contexts
- Provide capacity building for managing and scaling systemic innovation (incl. multi-stakeholder management and trans-disciplinary communication)

Trainings shall be implemented in a blended format, combining online elements with class attendance and face-to-face interaction. EIT Climate-KIC's online platform will allow delivery partners to connect with participants before and after the training.

Delivery

Delivery partners will be responsible for the preparation and implementation of the courses (including organisational matters such as booking of the venue, catering and contracting the coach/ course lead etc.), working closely with EIT Climate-KIC's Professional Education Team and local education managers particularly during the conception and preparation phase.

Generic learning materials are available for coaches and partners, including assignments (incl. on the System Innovation Tools) and relevant case studies. Delivery partners need to customize the learning materials to the specific needs of the target group and adhere to EIT Climate-KIC's branding guidelines.

In designing a Professional Education course, the following aspects related to delivery should be considered:

- **Date:** Please pick a date that allows for a minimum planning period of 14 weeks and avoids holiday seasons and other inconvenient dates for travelling to/from your location
- **Coaches/Facilitators:** Our Professional Education Team will assist you in selecting a coach/facilitator from our network of experienced individuals who are familiar with our quality standards and ways of working.
- **Marketing:** All communication materials must be in line with EIT Climate-KIC branding guidelines. The Professional Education Team will provide support in marketing courses by producing materials and advertising the courses in relevant European networks, while the delivery partner is responsible to marketing the courses locally.
- **Participants:** Target size per class is 20-30 participants. The application and selection process will be administered by the Professional Education Team in close collaboration with delivery partners.
- **Reporting:** Delivery partners are required to prepare a report within two months after the delivery of the course, following EIT Climate-KIC's reporting guidelines.
- **Quality Management:** Successful applicants will receive a programme management handbook outlining quality management guidelines and processes.
- **Course Fees:** Professional Education courses are fee-paying. EIT Climate-KIC will determine and collect all fees and retain all revenue (revenue-sharing models can be discussed). Fee waivers are possible in some cases.

Costs & Budget

- Budgets will be agreed based on actual costs to ensure a high-quality learning experience. Costs vary depending on the programme, number of participants, coaches and experts, and location.

- In general, budget is available for the implementation of the courses (venue, experts, coaches, management). Limited budget is available for further development of the training material.

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- For online education proposals, we will be happy to estimate the costs together with partners. Cost are depending on the amount of e-learning to be developed ('screen time') and availability of content from subject matter experts

8.6 Proposal Submission and Assessment Process

Check Assessment Criteria

Before developing your proposal, please **read the guidance carefully**. There are **eligibility criteria** which are fundamental requirements a proposal needs to satisfy to be considered for funding under the specific programme to which it is submitted. Failure to meet these criteria will lead to an automatic rejection of the proposal. To increase your chances of being successful, please read the **quality assessment criteria** enclosed within this document. These criteria will be used by EIT Climate-KIC and external assessors to assess the quality of proposals. Note that details can vary from programme to programme.

Preparing a proposal

Please make sure to use EIT Climate-KIC's new grant management system Plaza (available on our website: http://www.climate-kic.org/calls-for-proposals/) to submit your proposal. Please note that we will not accept any applications outside of the system. If you experience difficulties with the system please consult the guidance within the Systems Manuals section of Plaza, if you are still unable to resolve your issue then please: for technical issues raise a support ticket in the system, for all other queries contact your local EIT Climate-KIC team for support. The form needs to be fully completed, containing information that is accurate and in accordance with the guidance provided.

The information requested in Plaza is required to verify that projects are constructed and planned effectively by the organisations receiving funding and to meet our reporting obligations from EIT. Please ensure that all required information is provided. Without the availability of the relevant information the application will not be progressed. Based on experience, EIT Climate-KIC would like to **request attention to detail in the cost category descriptions** – please consult the help-notes that you will find alongside each field in the system for guidance and examples where offered.

All applications should be written in English. Exceptions can be made for supporting documents, such as letters of intent, which you may wish to attach in the 'Files' tab in Plaza. – these documents could be written in one of the official languages spoken in the country from which the application is submitted. To be assessed by all reviewers, you may choose to provide a short summary in English.

EIT Climate-KIC reserves the right to request a translation at any time and reserves the right not to pass additional information to reviewers if not provided in English or supported by a translation.

Please be aware that the system does not support images or graphics (if required please submit these as a PDF under the 'Files' tab – you will need to clearly name this document and reference it within the workplan/ work package information provided. Any tables, graphs, or images inserted into other sections of the Proposal will not be provided to independent reviewers for evaluation.

Partner Status

Only EIT Climate-KIC Partner Organisations who have acceded to the Framework Partnership Agreement (FPA) with EIT are eligible to receive EIT-funding.

However, organisations who have not applied for or received partnership status are strongly encouraged to participate in/apply to programmes. Should such organisations wish to receive EIT-funding, they are welcome to apply for partnership status (which must be obtained before receiving EIT funds) . Please reach out to your local EIT Climate-KIC office for further information.

EIT Reimbursement Rate

The Maximum EIT Reimbursement rate is applied at the project level and each project is subject to a Maximum EIT Reimbursement Rate depending on the programme – please see Annex 3 for further details.

Proposal Submission

Proposals can be submitted at any time from the launch of the call **until 6pm/18:00 CET** on the day of closing as indicated in Figure 2. **For Call 1 the Deadline is Wednesday 31st October at 1800hrs CET**. We strongly recommend that you liaise with your local EIT Climate-KIC office prior to submitting a proposal to receive support and guidance on completing your application.

All applications must be submitted via Plaza.

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

Review Mechanism & Decision-making

All proposals will be assessed fairly and transparently in the scope of EIT Climate-KIC's 2019 Innovation Impact Goals, programme eligibility, assessment criteria, and the current portfolio. Conflicts of interest are mitigated through a disclosure process and follow a full recusal from the decision process in such instances.

Any that do not meet the criteria will be informed that they will not progress to the next stage of assessment. All other applications will be sent for further assessment. EIT Climate-KIC reserves the right to declare applications as out of scope based on the parameters set out in this Call for Proposals.

Earlier Stage Applications, Education and RIS are assessed by a minimum of 2 EIT Climate-KIC teams.

Later Stage Applications and Climate Innovation Ecosystems proposals are assessed by a minimum of 2 EIT Climate-KIC teams and additionally, applications are assessed by up to 3 independent assessors. The assessors are experts from both business and academia.

Applications are assessed against the same set of scoring criteria. Assessors will provide written feedback for each scored question in the application. All applications are assessed on individual merit. The relevant programme board makes the final decision regarding funding. For all other call programmes, EIT Climate-KIC follows a similar evaluation and selection process.

Decisions as to whether a proposal is accepted or rejected will be communicated as per the Call Schedule.

Subject to meeting the quality threshold, EIT Climate-KIC will manage the portfolio to achieve the correct balance of projects and funding across the Impact Goals and our drivers of change. EIT Climate-KIC reserves the right to apply a portfolio approach in this call. This will make sure that funds are allocated across the strategic areas identified in the call. When selecting the projects to fund, Climate-KIC will focus on building a portfolio of projects that:

- are high quality
- clearly address our Impact Goals as described in the call documentation
- align with EIT Climate-KIC Drivers of change
- demonstrate value for money

You must use the grant management system Plaza to submit your proposal or your application will be deemed ineligible.
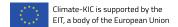
Annex 1: Innovation Quality Assessment Criteria

EIT Climate-KIC will use the following quality assessment criteria for assessing all Innovation proposals. This covers applications to the Pathfinder, Partner Accelerator, Demonstrator, Scaler, Climate Innovation Ecosystems, and RIS programmes. Where the questions asked apply only to a specific programme or subset of programmes these are identified in [] brackets i.e. [Demonstrator]:

CRITERIA	WEIGHT	DESCRIPTION
Strategic Fit & Contribution to the Climate Innovation Impact Goals	20%	▪ Does the proposal provide a clear narrative substantiating how and why the project aligns with the 2019 EIT Climate-KIC Impact Goals? ▪ Does the proposal clearly work in line with the objectives of the relevant programme?
Demand Assessment	15%	▪ Does the proposal convey how it aims to identify or address the challenges and needs of the demand-side (business, society, policy community, etc.) of the innovation? (Note: For projects exploring the supply side only, the proposal must clearly describe the already established challenges and needs.) ▪ To what extent are demand side representatives expressing interest in the innovation? ▪ **[Demonstrator, Scaler]** Are demand-side representatives part of the project consortium and/or expressing concrete interest in the innovation? (Note: Formal commitments will be favoured.) ▪ **[Scaler]** Is there evidence that there has been uptake[5] of the innovation?
Systems Innovation Potential	10%	▪ Does the innovation have intention/potential to create transformational change on a systems level? ▪ Does the proposal clearly describe why it is innovative? ▪ **[Ecosystems]** Does the proposal illustrate how the innovation ecosystem creates the conditions for innovation to emerge? ▪ **[Accelerator, Demonstrator, Scaler]** Does the proposal clearly describe how the innovation opportunity was identified (e.g. through a Pathfinder project)?
Expected Impact	20%	▪ Does the proposal clearly describe the mechanism for how it will contribute to climate change mitigation and/or increasing climate resilience? What is the potential scale of the impact? ▪ How well does the proposal consider socio-economic benefits and risks that the innovation entails? ▪ Is evidence provided to substantiate (if appropriate: quantify) the expected impact? Does the proposal adequately reference other studies? ▪ Does the project encourage diversity and gender equity?
Project Consortium/ Partnership	10%	▪ Do the consortium partners have the appropriate skills and capabilities to successfully deliver the project? ▪ To what extent does the consortium engage organisations from different parts of society (government, academia, industry and civil society)? All else being equal, a high degree of diversity will be preferred. ▪ **[Ecosystems]** Does the consortium have a high degree of geographical diversity that is relevant for the project and meet the baseline minimum requirement of three countries.
Project Plan & Clarity of Outputs	10%	▪ Are the work plan and work packages clearly explained and relevant to support the project objectives and expected impact? ▪ Are the project outputs, deliverables and KPIs clearly stated and linked to the different work packages/project stages identified in the work plan? ▪ Is the work plan, work packages, outputs, deliverables and KPIs targeted reasonable for the duration of the project and the grant amount requested? ▪ Is consideration given to how the results and learnings inform further action? ▪ Are key assumptions and risks presented clearly?

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[5] This could be in the form of a first commercial transaction, policy application or training delivery.

Value for Money	15%	▪ How well is the funding spent on activities directly linked to achieving the project objectives, deliverables and KPIs?
		▪ How appropriate is the funding request in relation to the anticipated benefits?
		▪ How much co-funding is offered to match the EIT funding? (Note: Baseline is the minimum programme-specific co-funding requirement.)
		▪ **[Demonstrator, Scaler, Ecosystems]** How high is the potential for the innovation to attract further capital/ investment (beyond EIT-funding)?

Annex 2: Education Quality Assessment Criteria

EIT Climate-KIC will use the following quality assessment criteria in assessing proposals or expressions of interest for Education:

CRITERIA	DESCRIPTION
Strategic Fit & Contribution to the Climate Innovation Impact Goals	▪ Does the proposal provide a clear narrative substantiating how and why the activity aligns with the 2019 EIT Climate-KIC Impact Goals and does it clearly address skill development for climate innovation? ▪ Does the proposal clearly work in line with the objectives of the relevant programme?
Format/ Programme Structure	▪ Does the proposed course fit into the framework of EIT Climate-KIC Education? Proposals that follow a traditional expert knowledge dissemination format are not encouraged.
Target groups	▪ Is the audience clearly defined?
Learning objectives	▪ Are the activity's objectives clearly defined and realistic to achieve? ▪ Does the proposal/ expression of interest present a clear plan to meet these objectives?
Value proposition and market/user attractiveness	▪ Does the course seem to be attractive for the target audience? Are hypotheses clear regarding the attractiveness of the proposal for the user/participants and have hypotheses been tested?
Scaling and business potential	▪ **[Professional and Online]** In case of successful implementation, have paths been identified to scale the course/programme and is there a high likelihood to attract revenue/external funding? Is the delivery partner interested in supporting the development of a business model?
Ability to pre-finance	▪ Is the delivery partner able to pre-finance the costs of the course?
Risk/Management implications	▪ Clear and realistic view of risk/management implications related to the activity delivery.
Value for money	▪ How well is the funding spent on activities directly linked to achieving the project objectives, deliverables and KPIs? ▪ How appropriate is the funding request in relation to the anticipated benefits? ▪ How much co-funding is offered to match the EIT funding? (Note: Baseline is the minimum programme-specific co-funding requirement.) ▪ Is the proposed EIT budget efficient in relation to the objectives? Scale ratio: targeted learners vs. cost.
Project Consortium/ Partnership	▪ Do the consortium partners, experts, and coaches (as applicable) have the appropriate skills and capabilities to successfully deliver the course? ▪ To what extent does the consortium engage organisations from different parts of society (government, academia, industry and civil society)?

Annex 3: Eligibility

To be eligible to receive funding for any of these calls you must be an EIT Climate-KIC Partner.

Non-EIT Climate-KIC Partners can apply to the call but will not be eligible to receive funding until they have EIT Climate-KIC Partner status. Please note that Plaza is only accessible to EIT Climate-KIC partners. Organisations/ individuals who are preparing a bid will need to contact your local Climate-KIC office before starting your application.

Per Programme

The criteria listed below are the additional eligibility criteria per programme.

PROGRAMME	MAX. DURATION	MAX. EIT REQUEST	MAX. EIT REIMBURSEMENT RATE	MIN. CO-FUNDING (total project costs)	OTHER
Climate Innovation Ecosystems – Cross European	N/A	N/A	67%	33%	Consortia must comprise organisations covering at least three countries
Earlier Stage Innovation: Pathfinder	12 months	100,000 EUR	80%	20%	Projects cannot span multiple calendar years
Earlier Stage Innovation: Partner Accelerator	12 months	100,000 EUR	80%	20%	Projects cannot span multiple calendar years
Later Stage Innovation: Demonstrator	N/A	N/A	67%	33%	
Later Stage Innovation: Scaler	N/A	N/A	67%	33%	
RIS	12 months	30,000 EUR	Up to 87% for projects up to 25000 EUR (total project costs) and 80% thereafter.	13/20%	Projects cannot span multiple calendar years.
Education: Catapult	N/A	Typically, 50,000 - 70,000 EUR	70%	30%	Projects cannot span multiple calendar years.
Education: Spotlight	N/A	Typically, 8,000 - 15,000 EUR	77%	23%	
Education: Exchange	N/A	Typically, 70,000- 100,000 EUR	77%	23%	
Education: The Journey	12 months	Typically, 70,000 EUR	80%	20%	Projects cannot span multiple calendar years
Education: Catalyst	N/A	Typically, 40,000 – 60,000 EUR,	77%	23%	

Annex 4: 2019 Detailed Call Schedule

	2018				2019									
	Sept	Oct	Nov	Dec	Jan	Feb	March	April	May	June	July	Aug	Sept	Oct
Call 1 (C1)		C1 closing 31st Oct		C1 Decision by 14th Dec	Project kick off period depending on approval conditions and task confirmations.									
Call 1 Resubmission (C1R)*						C1R Closing 14th Feb	C1R Decision by 14th Mar	Project kick off period depending on approval conditions and task confirmations.						
Call 2 (C2)						C2 document released 28th Feb		C2 closing 30th Apr		C2 Decision By 14th June	Project kick off period depending on approval conditions and task confirmations.			
Call 2 Resubmission (C2R)*											C2R Closing 14th July	C2R Decision by 14th Aug		
Task Confirmation Deadline						Deadline C1 07.02			Deadline C1R 14.05			Deadline All 2019 31.08		
Call 1 2020 (TBC)												Call 1 2020 document released		Call 1 2020 closing

*Resubmission boards accept proposals by invitation from EIT Climate-KIC only.

Annex 5: 2019 KPIs

Our primary funder, the European Institute of Innovation and Technology, (EIT) uses the below KPIs to assess the performance of EIT Climate-KIC and its partners. All interventions should consider the KPIs that they will achieve in their applications.

About the KPIs

A KPI, or Key Performance Indicator, is a measurable value that demonstrates how effectively an organisation is meeting its objectives. Our primary funder, the European Institute of Innovation and Technology, (EIT) uses KPIs to assess our performance. All KICs must use a series of KPIs called EIT Core KPIs. The level of overall Climate-KIC funding in any given year depends in part on how the organisation performs against these KPIs.

In addition, EIT expects each KIC to define a further set of KPIs to better encapsulate their societal challenge. The further set of KPIs are known as the Climate-KIC KPIs, or in shorthand, KIC KPIs.

Both sets of KPIs are included below. If you have questions about these, please contact your local EIT Climate-KIC office.

Evidence requirements and templates supporting KPIs

For each KPI, there are a set number of supporting evidence documents which will be submitted to EIT as separate documents and a KPI will not be approved unless the correct evidence is supplied. And in instances where the support evidence is not in English, an English summary should be included.

In all instances, EIT Climate-KIC has produced KPI templates to help enable the correct information and evidence requirements to be provided. Please ask your local EIT Climate-KIC office.

These KPIs are relevant for the 2018 implementation and Reporting cycle, and for the BP2019 Planning cycle.

Notes:

Year N refers to the current year of implementation, e.g. 2018

Year N+1 refers to the following year, e.g. 2019.

And please ensure you are not referring to the 2017 KPI Guidance.

EIT Core KPIs

EIT Core KPI	Code	Category Indicator	Definition/Formula	Supporting Evidence requirements (templates available)
# Graduates from EIT labelled MSc and PhD programmes	EITN01	Output	Sum of graduates from EIT labelled MSc and EIT labelled PhD programmes in year N.	List of the graduates including names, contact details (e-mail address), gender (options available are male or female), country of citizenship, indication of the educational programme; the list to be provided by KIC Education Directors
# Start-ups created by students enrolled and graduates from EIT labelled MSc and PhD programmes	EITN02	Result /Impact	Sum of start-ups created by students enrolled and graduates from EIT labelled MSc and PhD programmes in year N. To be eligible, a start-up should be created during EIT labelled programme (by students) or within three years from the graduation (by graduates).	1. Registration certificate, company's profile, contact details and gender (options available are male or female) of the CEO/owner; 2. Document such as an invoice or an online sales record certifying the first financial transaction for a service/product sold to a customer, or a declaration of honour from a former student certifying the first commercial transaction with a reference to the customer. As a substitute evidence for the invoice from the first customer, a proof of attracted investment, online sales with reviews, open source, customer order, a letter of intent may be accepted if it is proportional and substantiated. **The EIT will decide on the acceptance of the substitute evidence on case by case basis** depending on the field and product in question. For instance, a letter of intent should clearly state that the purchase of the service / product will be made, as well as an indicative timeline of the purchase should be provided. An open source should sufficiently demonstrate the number of downloads. **Note to partners from Climate-KIC**: please avoid substitute evidence unless absolutely necessary as substitute evidence may not be accepted and therefore the KPI claimed will not be accepted.
# Products (goods or services) or processes launched on the market	EITN03	Output	Number of innovations introduced to the market during the KAVA duration or within three years after completion thereof. By innovations we mean new or significantly improved products (goods or services) and processes sold. Innovations should be reported in the year when they were introduced on the market (but not later than three years after completion of the KAVA).	1. Description of product or process with specified performance characteristics/ physical parameters/ functionalities demonstrating novelty (new or significant improvement) of the product/ process; Please also identify if it is a **new**, or if it is an **improved** product (goods or services) or process launched. 2. Declaration demonstrating link with the specific KIC KAVA (indication of the specific output of KIC KAVA(s)); 3. Documented proof such as an invoice demonstrating that the purchase has been made by a customer.

EIT Core KPI	Code	Category Indicator	Definition/Formula	Supporting Evidence requirements (templates available)
				As a substitute evidence for the customer invoice, online sales with reviews, open source, customer order, a letter of intent may be accepted if it is proportional and substantiated. The EIT will decide on the acceptance of the substitute evidence on case by case basis depending on the field and product in question. For instance, a letter of intent should clearly state that the purchase of the service / product will be made, as well as an indicative timeline of the purchase should be provided. An open source should sufficiently demonstrate the number of downloads. **Note to partners from Climate-KIC**: please avoid substitute evidence unless absolutely necessary as substitute evidence may not be accepted and therefore the KPI claimed will not be accepted.
# Start-ups created as a result of innovation projects	EITN04	Result /Impact	Sum of start-ups established in year N as a result/ based on the output(s) of Innovation/ Research related KAVA(s), or start-ups created for the purpose of an innovation project to organise and support the development of an asset (but not later than three years after completion of the KAVA).	1. Registration certificate, company's profile and contact details and gender (options available are male or female) of the owner/CEO; 2. Declaration demonstrating link with the specific KIC KAVA (indication of the specific output of KIC KAVA(s)); 3. Document such as an invoice or an online sales record certifying a first financial transaction for a service/product (result of the KIC KAVA) sold to a customer. As a substitute evidence for the invoice from the first customer, a proof of attracted investment, online sales with reviews, open source, customer order, a letter of intent may be accepted if it is proportional and substantiated. The EIT will decide on the acceptance of the substitute evidence on case by case basis depending on the field and product in question. For instance, a letter of intent should clearly state that the purchase of the service / product will be made, as well as an indicative timeline of the purchase should be provided. An open source should sufficiently demonstrate the number of downloads. **Note to partners from Climate-KIC**: please avoid substitute evidence unless absolutely necessary as substitute evidence may not be accepted and therefore the KPI claimed will not be accepted.
# Start-ups supported by KICs	EITN05	Output	Number of start-ups that that have started receiving KIC's business creation (BC) services through KIC KAVA activities within year N. KIC should justify that the provided services contribute to the company's growth (including potential growth). Examples of such services are mentoring, consultancy on e.g. access to finance and markets, product/service marketing, legal advice,	1. Description of supported start-ups including information on company's name and profile, contact data, name and gender (options available are male or female) of CEO/owner and reference to a specific KIC KAVA; 2. Formal signed agreement between KIC and the start-up clearly stating what is being provided, when and with which milestones / deliverables for the start-up to go onto the next stage of BC services and, if applicable, what is KIC receiving in exchange; 3. Registration certificate of the start-up receiving BC services.

EIT Core KPI	Code	Category Indicator	Definition/Formula	Supporting Evidence requirements (templates available)
			internationalisation, match-making, etc. The services should be provided for a total period of at least two months.	
Investment attracted by start-ups supported/have been supported by KICs	EITN06	Result /Impact	Total EUR amount of private and public capital attracted within year N by ventures that have received KIC business creation services support of total duration of at least two months (as described in the output indicator above), within a maximum of three years following the last received KIC KAVA support activity. Impact Fund investments into KIC supported start-ups should be measured separately.	1. Description of the start-ups which attracted the capital including: company name and profile, contact data, amount of investments attracted, information on the investors (optionally) and reference to a specific KIC KAVA; 2. Press releases, or official announcements, or other official documents (e.g. signed declaration of honour by the Entrepreneurship Director confirming the accuracy of the provided information).
# Success stories submitted to and accepted by EIT	EITN07	Output	Good practises or success stories presented by KICs to the EIT according to a specific format and accepted by the EIT including eligible nominees for the EIT awards.	EIT provide a template that must be completed. Please ensure your local Climate-KIC lead is advise what your proposed success story will be, and when you expect to be able to start writing it. Our communications team will support the preparation and finalisation. EIT revised the template again in March 2018 and it is available from Climate-KIC staff. The success story should be "outcome" focussed – which means a result. For example, attracting investment; launch of a product or service; results of an event (not the event itself). You will need to provide a description of the achievement and its wider impact, contribution of the KIC services and reference to the EIT KTI model.
# External participants in EIT RIS (Regional Innovation Scheme) programmes	EITN08 (split when report) EITN08.1 (individuals) EITN08.2 (organisations	Result /Impact	Number of organisations and individuals from the EIT RIS eligible countries and regions selected via open process that are collaborating with KIC and benefitting from the EIT RIS activities (including but are not limited to receiving business creation services taking part in joint collaborations on developing joint solutions, participating in education activities). Organisations and individuals will be accounted separately in the following groups: **EITN08.1**	1. Description of entities/individuals provided by the KIC including name, address (not for the individuals), description of activity, EIT budget (if relevant) 2. Respective collaboration agreement or equivalent describing the subject and nature of the collaboration/ EIT RIS activity Additional notes from EIT: • EIT Hubs are **not** counted under this indicator. • External participants are entities that are not KIC partners. • As for education, students either taking part in EIT RIS-specific educational programmes, or students receiving financial support under the EIT RIS should be counted. Additional clarification: the external participants in EIT RIS programmes which become KIC Partners as of 1 April (or later) may still be counted as EITN08 KPI.

EIT Core KPI	Code	Category Indicator	Definition/Formula	Supporting Evidence requirements (templates available)
			1) individuals (primarily students receiving a scholarship, note that participants of events, MOOCs and similar activities where there is no collaboration agreement or equivalent signed between the KIC and the individual will not be accepted); **EITN08.2** 2) Organisations categorized as Business (mostly start-ups + scale-ups), Research, Higher Education, Cities, Regions, NGOs, Others.	Types of external participant (split to 6 categories) - organisations and individuals for the purpose of reporting as following: • IND – Individual (EIT08.01) • BUSS – Business (EIT08.02) • RES – Research (EIT08.02) • HE - Higher Education (EIT08.02) • CRNGO - Cities regions NGOs (EIT08.02) • OTH – Other (EIT08.02)
Budget consumption of KICs	EITN09	Output	EIT grant approved / EIT grant committed Calculate by EIT.	**Info only**: Partners should be aware that Climate-KIC is assessed by EIT for budget consumption. Accurate financial forecasting by projects allows us to manage our overall budget consumption. Inaccurate forecasting means we cannot effectively manage our budget, which results in budget consumption issues. Budget consumption is calculated by the EIT based on the provided financial data supplied by Climate-KIC at Reporting.
Error rate of KICs	EITN10	Output	Ineligible KAVA costs established by EIT based on ex-ante checks / total KAVA cost declared by KIC. Calculated by EIT.	**Info only**: Partners need to be aware that Climate-KIC is assessed by EIT and it is now a formal KPI. Performance of projects, quality of the deliverable proofs, and the compliance with cost requirements all count towards this KPI. Error rate is calculated by the EIT based on the provided financial data supplied by Climate-KIC at Reporting.
Financial Sustainability (FS): revenue of KIC legal entity (LE) and FS coefficient	EITN11 EITN11.1 EITN11.2	Result /Impact	The total revenues generated by the KIC LE in year N (absolute value in EUR) and FS coefficient (%) is the total revenues generated by the KIC LE divided by the total EIT KAVA in year N	**Info only**: Partners need to be aware that Climate-KIC is being assessed by EIT for progress against financial sustainability. EITN11.1 - (FS): revenue of KIC legal entity (LE) EITN11.2 - FS coefficient is calculated by the EIT based on the provided financial data supplied by Climate-KIC at Reporting.

EIT Climate-KIC own KPIs

Climate-KIC Own KPI	Code	Definition/Formula	Supporting Evidence (templates available) (1) Required from Partners[6] (2) Supplied to EIT by Climate-KIC

Investment attracted by innovation activities supported by KIC	CKIC01	**Total EUR amount** of private and public capital attracted within year N by Partners or start-ups[7] who have used at least one month of Climate-KIC support to advance innovation activities over the last three years (e.g. through projects supported under the Innovation Framework).
		
		Note: this is different from the KPI EITN06 which is for investment attracted by Start-Ups only. However, evidence supplied under EITN06 will also serve as evidence that will contribute to this KPI.
			Evidence from Entity to Climate-KIC
			1. Details of the entity, which attracted the capital including: organisation name and profile, contact data, amount of investments attracted, information on the investors (optional) and reference to a specific KIC KAVA that provided the KIC service. Such evidence should be strengthened by press releases, official announcements or other official documents relating to the investment
			  • Entities attracting investment will be required to complete a template and provide evidence to validate the accuracy of the claim.
			  • Where evidence has already been supplied under "EITN06 Investment attracted by Start-Ups", this can be used here and the CKIC01 forms do not need to be completed in addition.
			
			Evidence supplied by Climate-KIC to EIT (for partner information only)
			1. Signed declaration by the Climate-KIC Theme Director (KAVA owner) per KAVA:
			  • The declaration will list the investments attracted in year N per KAVA.

# Innovation Opportunities identified	CKIC02	The number of Innovation Opportunities identified within year N of the KIC KAVA activity. An Innovation Opportunity exists when the unique discovery or idea has been identified and clearly stated.	**Evidence from Project to Climate-KIC** 1. Signed declaration by Lead Partner describing the innovation opportunity and confirmation that due diligence has been undertaken to establish the uniqueness of the discovery or idea. NB. The unique innovation opportunity should have been identified at proposal stage, so we also expect in the majority of cases, the innovation opportunity is unique. If, during the course of year N you have identified another similar innovation opportunity is under development elsewhere, then you should have informed Climate-KIC, or should do so now. **Evidence supplied by Climate-KIC to EIT** (for partner information only)

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[6]If sufficient evidence is not provided by partners, the EIT Climate-KIC Director will not be able to declare the KPI in the final count.

[7] Start-ups include micro-enterprises that have participated in Climate-KIC programmes, but are not Partners

Climate-KIC Own KPI	Code	Definition/Formula	Supporting Evidence (templates available) (1) Required from Partners[6] (2) Supplied to EIT by Climate-KIC
			1. Signed declaration, per KAVA, by the Climate-KIC Theme Director OR Geography Director. • The declaration will list the total counts on Innovation Opportunities Identified in year N per KAVA.
# Cities and regions engaged with Climate-KIC on climate innovation	CKIC03	In year N, number of city and regional authorities/ representatives actively engaged and either part of formal Climate-KIC partnership, receiving Climate-KIC Community innovation services or hosting Climate-KIC Community events (2 or more in year N). E.g. active engagement could be where a City is receiving a service, or involved in an activity contributing to the project outcome such as hosting a workshop, testing/piloting innovation services, purchase of service. The following applies for Climathon: Engaged: 1) City authority provides the climate challenge(s), expert knowledge and organises the Climathon Engagement requires verification: 2) City authority provides the climate challenge(s), expert knowledge and the event is organised in cooperation with a partner (can be C-KIC or not) or Climate-KIC (city authority pays C-KIC to organise Climathon). Not considered "engaged" for the purpose of this KPI and cannot be counted 1) City authority is present at the event (speaker, jury, guest) 2) City authority promotes Climathon 3) City authority is aware of Climathon and acknowledges it	**Evidence from Project to Climate-KIC**: 1. Signed declaration by participating city and/or regional authority describing and confirming their active engagement within the project, where active engagement is defined as any activity contributing to the project outcomes (i.e. receiving a service, hosting a workshop, testing or piloting innovation services). • This will be evidence to substantiate that the number of cities and regions engaged with ETI Climate-KIC on climate innovation can be listed as a KPI result. **Evidence supplied by Climate-KIC to EIT** (for partner information only) 1. Signed declaration, per KAVA, by the Climate-KIC Theme Director OR Geography Director (whoever is the KAVA owner). • The declaration will list the total count on Cities and regions engaged with Climate-KIC on climate innovation identified for year N per KAVA. • In the case of Climathon, the Climathon team will liaise with relevant team members to verify level of engagement as part of Climathon evaluation.
# Knowledge Triangle learning and knowledge sharing events held	CKIC04	In year N, number of Climate-KIC Community events held with a focus on learning, knowledge sharing, exchanges of experience, with participation from organisations	**Evidence from Project to Climate-KIC**: 1.Signed declaration by host which includes • List of events – with event name and date

Climate-KIC Own KPI	Code	Definition/Formula	Supporting Evidence (templates available) (1) Required from Partners[6] (2) Supplied to EIT by Climate-KIC
		representing at least two different knowledge triangle actors. These must be the direct result of activity undertaken within a KAVA.	• Brief description of the specific focus of event explaining why it fulfils this KPI, e.g. examples of knowledge shared during each event • List of participating organisations and KTI relevance, e.g. Research & Innovation; Education and Entrepreneurship/business creation. **Evidence supplied by Climate-KIC to EIT** (for partner information only) 1. Signed declaration by the Climate-KIC Theme Director OR Geography Director (whoever is the KAVA owner), per KAVA. • The declaration will list KTI events, KTI organisations and knowledge/experiences exchanges for year N per KAVA.
# Education Support Participants	CKIC05	The number of Climate-KIC community individuals (whether from Partners, start-ups or as individuals) engaged in Climate-KIC innovation activities or Climate-KIC education activities in year N that receive an Education service in year N.	1. List of all Education service attendees - **per KAVA** - that have also been involved in Climate-KIC innovation and entrepreneurship activities. Each list must be signed by the Director of Education or Theme Director or Geography Director (depending on which KAVA the Education service was developed and delivered from) and include: • Name of attendee • Education service attended • Innovation or Entrepreneurship activity involvement.
# Climate Impact assessments completed	CKIC06	The number of climate impact assessments completed in year N.	EIT Climate-KIC will undertake climate impact assessments according to an agreed set of standards.
# Individuals paid training	CKIC07	The number of professionals that have paid for Climate-KIC Education services lasting 1 day or more in year N.	1. List of all attendees - **per KAVA** - of paid Climate-KIC Education services. This list must be signed by the Director of Education or Theme Director or Geography Director (depending on which KAVA the Education activity was developed and delivered from) and should include: • Name of attendee • Education service attended and • Amount paid
# Social media followers	CKIC08	In year N, sum of followers from one or more of these major social media channels: Facebook, Twitter, and LinkedIn	**Evidence from Project to Climate-KIC** 1. Signed declaration by the Partner responsible providing the results which shows the target and lists and verifies the results. Nb. The results must be directly related to the project or activity, so where the project has a social media profile, e.g. Twitter account. **Evidence supplied by Climate-KIC to EIT** (for partner information only)

Climate-KIC Own KPI	Code	Definition/Formula	Supporting Evidence (templates available) (1) Required from Partners[6] (2) Supplied to EIT by Climate-KIC
			1. Signed declaration, per KAVA, by the Climate-KIC Theme Director OR Geography Director. • The declaration will list, per project within the KAVA, the total social media followers by channel Identified in year N.

# Knowledge transfer/knowledge adoptions	CKIC09	# Number of knowledge transfers between different CKIC community actors (i.e. from one CKIC partner to another CKIC partner or to third parties) 	
		
		# Number of knowledge adoptions
		(adoptions by CKIC community actors – within KIC partner own org; between Partners; and from thirds parties as part of an activity such as a project
		
		These must be the direct result of activity undertaken within a KAVA and transferred or adopted within the grant year, e.g. 2018. This KPI is to stimulate open innovation among the CKIC community.
			Evidence supplied by Project to Climate-KIC
			In the case of Knowledge Transfer:
			1. Signed declaration by Lead Partner which includes
			  a. The knowledge type (such as a) patent, b) trademark, c) know-how, d) copyright.)
			  b. Brief description of the knowledge transferred
			  c. How the knowledge was transferred (e.g. consortium agreement, licencing agreement, etc)
			
			In the case of Knowledge Adopted
			1. Signed declaration by Adopting CKIC Partner, or third party which
			  a. Briefly describes the knowledge adopted
			  b. Factors that influenced the adoption (i.e. why adopt, what is the benefit)
			  c. The barriers faced in adopting the knowledge and how you overcame (or are overcoming) them.
			
			Evidence supplied by Climate-KIC to EIT (for partner information only)
			1. Declaration per KAVA listing each KT/A, signed by the Climate-KIC Theme Director OR Geography Director (whoever is the KAVA owner).
			• The declaration will list the total count of Knowledge Transfers or Knowledge Adoptions generated in each KAVA.

# Prototypes Developed	CKIC10	Number of prototypes developed and tested (in the H2020 areas identified in the footnote below[8]) as a result of activity in the year N	**Evidence from Project to Climate-KIC** 1. Signed declaration by Lead Partner with a brief description of the prototype and main output of the prototype/testing activity.

[8]

Health - Health, demographic change and wellbeing

BioEconomy - Food security, sustainable agriculture and forestry, marine and maritime and inland water research, and the Bioeconomy

Energy - Secure, clean and efficient energy

Climate - Climate action, environment, resource efficiency and raw materials

Changing World - Europe in a changing world - inclusive, innovative and reflective societies

Secure Societies - Secure societies - protecting freedom and security of Europe and its citizens

Climate-KIC Own KPI	Code	Definition/Formula	Supporting Evidence (templates available) (1) Required from Partners[6] (2) Supplied to EIT by Climate-KIC
			Evidence supplied by Climate-KIC to EIT (for partner information only) 1. Signed declaration, per KAVA, signed by the Climate-KIC Theme Director OR Geography Director (whoever is the KAVA owner). • The declaration will list the total count of Prototypes tested
# Patent Applications	CKIC11	Number of patent applications SUBMITTED (in the H2020 areas identified in the footnote below) as a result of activity in the year N	**Evidence from Project to Climate-KIC** 1. Signed declaration by Lead Partner confirming the patent submitted listing the following information • Application number • Date of application • Area of focus 2. Copy of Patent Application **Evidence supplied by Climate-KIC to EIT** (for partner information only) 1. Signed declaration, per KAVA, signed by the Climate-KIC Theme Director OR Geography Director (whoever is the KAVA owner). • The declaration will list the total count on Patent Applications identified for 2018
# Patents Awarded	CKIC12	Number of patent applications AWARDED (in the H2020 areas identified in the footnote 2) as a result of activity in the year N	**Evidence from Project to Climate-KIC** 1.Signed declaration by Lead Partner confirming the patent awarded listing the following information • Patent number • Date of award (issuance) • Area of focus 2.Copy of Patent Award **Evidence supplied by Climate-KIC to EIT** (for partner information only) 1. Signed declaration, per KAVA, signed by the Climate-KIC Theme Director OR Geography Director (whoever is the KAVA owner). • The declaration will list the total count on Patents Awarded identified for 2018
# Publications Submitted/ OR /	CKIC13	Number of Publications Submitted/ OR / Publications published in journals as a result of activity in the year N	**Evidence from Project to Climate-KIC** 1. Signed declaration by Lead Partner confirming the patent submitted listing the following information

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Space - Space
Nano - nanotechnologies, advanced materials, advanced manufacturing and processing, biotechnology
ICT - ICT

Climate-KIC Own KPI	Code	Definition/Formula	Supporting Evidence (templates available) (1) Required from Partners[6] (2) Supplied to EIT by Climate-KIC
Publications published in journals			• Date publication submitted OR Publishing date • Name of Journal • Title of article 2. Copy of Publication **Evidence supplied by Climate-KIC to EIT** (for partner information only) 1. Signed declaration, per KAVA, signed by the Climate-KIC Theme Director OR Geography Director ((whoever is the KAVA owner). • The declaration will list the total count on Publications submitted or published for 2018
# Business Models Validated	CKIC14	The number of business models created and tested in year N with market stakeholders to confirm validity of the business model	**Evidence from Project to Climate-KIC** 1. Business model validation (business model canvas). 2. List of market stakeholders interviewed/consulted. **Evidence supplied by Climate-KIC to EIT** (for partner information only) 1. Signed Declaration by the Theme Director OR Geography Director (whoever is the KAVA owner) • The declaration will list the total count of Business Models Validated for KAVA in 2018.

Annex 6: Suggested Deliverable Types

When planning your project, you may wish to use the below deliverable types to evidence the work that has been carried out.

Suggested Deliverable format	Description of format	Expectations of the deliverable format
Publication	Publications that result from knowledge developed due to Climate-KIC activity.	A publication can take many forms but in all instances it must meet the highest standards and publishing criteria of the most relevant body, whether academic, institution or business. For example, a peer reviewed scientific article must be accepted and published in a journal, or other accepted formats.
Demonstrators	Demonstration site equipped, or prototype developed.	A short report (following recommended report structure below) that integrates succinct narrative of the demonstration with photos or visuals of demonstration site/prototype.
Reports – - Project report - Market analysis - Feasibility study - Policy draft - Comparative study - Handbook and training tool - Newsletter, - etc.	Reports resulting from a project task, work package, project stage, etc	Any report should cover minimum standards expected in any report, such as: ▪ **Abstract** - summary of the major points, conclusions, and recommendations. It should be treated as a general overview of the report. ▪ **Introduction** – this section explains the main problem and shows the reader the report's main objectives, research, scope, purposes and goals. ▪ **Main section / Body**. – expands the main ideas into several sections, with each having a subtitle, and explains the methodology used to produce this report. Information must be organized in order of importance. If needed, a "Discussion" section can be included in the end so that main findings are debated and their significance is explained. ▪ **Conclusions** – covers the writer's judgement based on information in the body of the report. ▪ **Recommendations** – covers the writer's endorsements based on the conclusions. ▪ **Appendices/Annexes** - evidence supporting the report. For example, technical information that is not comprehensive by the main audience, yet experts in the field will read. ▪ **References/Bibliography** - sources of information using proper citation guidelines (e.g. APA)
Event report: Workshop, Seminar Conference, Online forum, etc.	Event resulting during implementation from finalisation of a project task, work package, project stage.	Proof that event took place (e.g. list of attendees, agenda). All proofs should be grouped into a short report summarising the event's main achievements and supporting documents such as list of attendees should be annexed.