# PROPOSAL GUIDELINES

Call 2 2019 and Call 1 2020

This document covers applications for funding under SGA 2019 and SGA 2020.

**Call Opens:** **28 February 2019 1200hrs CET**

**Deadline for Application:** **30 April 2019 1800hrs CET**

Covering
Earlier-Stage Innovation: Pathfinder and Partner Accelerator
Later-Stage Innovation: Demonstrator and Scaler
Other Innovation: Climate Innovation Ecosystems
Education: The Journey and the Learning Hub
RIS: Ideation and Pilots, City Catalysers, Urban Challenges

**Publication Date:** 13 February 2019

**Version:** 1.1

# Contents

## Part One: Call overview

## 1  Summary of Main Changes

- **This call is open for proposals starting in both 2019 and 2020 across all programmes**

- EIT Climate-KIC will use a portfolio approach and reserve the right to redistribute funding between areas 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.

- KIC Complementary Activities (KCAs) must now be identified at Proposal Stage and submitted as a part of all applications

## 2  Things to be aware of

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 and the portfolio design principles annexes enclosed within this document. These criteria will be used by EIT Climate-KIC and, where relevant, external assessors to assess the quality of proposals. Note that details vary from programme to programme.

- We strongly encourage all proponents to enter a dialogue with EIT Climate-KIC team members at the earliest opportunity about any proposal you may be preparing. Please contact your local EIT Climate-KIC office. Contact list can be found on our website: https://www.climate-kic.org/in-your-country/

- **This is the last opportunity to apply for funding under SGA 2019 through our formal Call schedule.**

- A Commitment to Co-Create: Climate-KIC team members are ready to work with you to co-create proposals.

- This 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.

- UK Partners and Linked Third Parties, and consortiums involving UK entities are advised to read the communications issued by Climate-KIC regarding eligibility and the UK's exit from the EU detailed under the Brexit section on the website.

- EIT Climate-KIC will use a portfolio approach and reserve the right to redistribute funding between areas 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.

## 3  Call 2 2019 & Call 1 2020

This call for proposals covers funding applications for both 2019 and 2020 start dates. These application routes run concurrently, and proponents will need to indicate a clear start date in their proposal. Failure to indicate the correct start date could result in funding not being available.

### Timeline

February 13, 2019 – 1200 (CET): Call Documentation Released
February 28, 2019: Online Application (Plaza) opens for proposal preparations
February 28, 2019: Launch of Exaptive tool
April 30, 2019 – 1800 (CEST): Deadline for submitting Proposals/ Expressions of Interest
June 14, 2019: Proponents notified of Decisions

## 4 Funding Available

Climate-KIC have already commissioned many Partner-led projects for 2019/2020. The Innovation portfolio currently comprises an EIT investment of €27 million leveraging €45 million in Climate Innovation funding across 80 activities.

We will invest a further €10-12 million[1] to fund projects in 2019 through the call. Co-funding rules are applicable per programme (see eligibility criteria) which leverages a total innovation investment that is considerably greater.

### Indicative Funding available

|  | 2019 | 2020 |
|---|---|---|
| Climate Innovation Ecosystems | €1 million | €1 million |
| Earlier Stage Innovation | €1million | €1million |
| Later Stage Innovation | €5 million | €7 million |
| Education | €500,000 | €500,000 |
| RIS | €1 million | €1 million |

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. For more details and most up-to-date information, please check our website: http://www.climate-kic.org/calls-for-proposals/

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

## 5 What we are calling for

### 5.1 Earlier Stage Innovation

**Please note that when applying for this programme you can either apply for funding in 2019 or 2020 – a proposal must run its full course in one calendar year.**

EIT Climate-KIC believes that Early Stage innovation activities are critical for developing innovation capability and laying the foundations for compelling, high-value propositions that attract investment and deliver impact. The objective of these programmes is to develop high-quality Early Stage proposals that deliver change around the 12 Impact Goals. Complex interconnected challenges like climate change must be tackled by assembling key actors to change systems. Early Stage innovation, therefore, is not about supporting business as usual, but exploring systemic change and the collaborations, innovations and business models needed to achieve it. All this is done at an Early Stage when it is less costly to experiment and learn. The knowledge and understanding acquired by our community through this experimentation will be harnessed to provide feedback loops that inform strategy and implementation.

EIT Climate-KIC has established two project types under this programme:

**Pathfinder projects:** 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.

**Partner Accelerator:** to validate scaling models, making innovation endeavours more attractive to investment, and reducing risks in further development. 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. The programme provides (i) clarity on the innovation outcome to be pursued, (ii) clarity on the value proposition and (iii) coherent narrative to attract investors. This offers (i) confidence that the team understands expected outcomes, (ii) reduced EIT Climate-KIC funding risk in the Later Stage innovation phase, and (iii) confidence in the climate relevance. The principal output of the Partner Accelerator programme is a portfolio of validated scaling models, including in-depth customer investigations. A secondary output is an assessment of climate relevance.

## 5.2 Climate Innovation Ecosystems

Building place-based capacity for systems innovation is vital to EIT Climate-KIC's Theory of Change and to the broad approach to innovation that the EIT and EU seek to pursue. Increasingly, commentators and architects of the European approach to innovation have shifted away from a linear process driven by the science lab, to a new 'broad-based' approach, recognising that the ability of society to develop new solutions requires a wide partnership of actors. This broader innovation model takes many forms and is not limited to new products; increasingly recognising the distinctive role of place within an evolving system of multi-level governance.

In 2019 we are focusing on turning places and networks into climate innovation hotspots. Orchestrating innovation ecosystems across Geographies and Themes is the starting point for our knowledge triangle integration (KTI) and innovation activities. The activities within this area combine a range of education, skills, knowledge, policy and partnership-based approaches to help create a landscape across and beyond Europe, where ecosystems are ready to lead and host systems-wide climate action.

The Innovation Ecosystem KAVA sets the scene for EIT Climate-KIC's overall innovation activity. Rather than focusing on single point technological solutions of primarily incremental impact this KAVA is looking to focus on catalysing transformative, systemic change through systems innovation, steered by a theory of change focused on human agency in the transformation of systems. The key objectives of this KAVA are i) to nurture capacity for systems climate innovation, ii) to establish networks of actors to develop and implement innovation policy and learning amongst themselves, iii) to convene and work with partnerships that promote hotspots and strands of systems innovation at multiple levels of government in Europe and iv) to undertake exchanges of innovation experience and expertise globally.

The existing portfolio of cross-European projects includes: 1.1.4 Circular Cities, 1.1.5 Connected Clusters, 1.1.6 SATURN, 1.1.7 Circular Economy Network of Ports and 1.1.8 European Financial Centres for Green & Sustainable Finance.

Partners can find the details of the work carried out under these proposals on the Partner Information Page.

### National and Subnational Ecosystems Projects

This intake of proposals will focus on building upon relationships developed by Geographies in their respective capitals, cities and regions with climate innovation hubs, and boosting EIT Climate-KIC's impact and effectiveness by:

- Strengthening and crystallising our ecosystems capacity at the local and regional level and either within identified sectors of the economy, or across sectors around specific Impact Goals;
- Animating and deepening existing innovation ecosystems by convening local partnerships, co-designing location-specific engagement plans which address systemic issues and develop effective public programmes – events, training activities – which strengthen the cluster partnership and its role within the local/regional economy;
- Improving how we engage with national ministries, agencies, and city and regional governments;

Activities of the Geographies will consist of:

- Developing and deepening strategic dialogue with their partner and stakeholder communities,
- Identifying where we need to:
    - i) expand our network / teams;
    - ii) concentrate our efforts to support the places / networks with the strongest ingredients for achieving transformational climate action, and;
    - iii) structure climate innovation ecosystems to optimise synergies between our Impact Goals and the main drivers and initiatives for climate action.

Specific activities, including Knowledge Triangle Integration (KTI) learning events, will be proposed by Geographies with the aim to: i) strengthen 15 knowledge triangle integration partnerships and ii) create or pursue 20 technical

and scientific learning and co-creation activities involving knowledge triangle actors and national or sub-national public bodies.

Each Geography has produced its specific priorities and insights in relation to activities that will contribute to our portfolio of activities. A high-level description is listed below. Partners are advised to contact their local EIT Climate-KIC office to understand more about these priorities and discuss opportunities to contribute.

For National and Subnational Project Applications there are two intakes – the deadlines are: 27 February, and 30 April.

## Cross European Projects

This programme helps build connections between cities, regions and networks on a cross-European basis, and is focused on building the capacity for genuinely transformative innovation at a systems level. We expect projects to nurture the environment for 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 the Eligibility Criteria.

## 5.3 Later Stage Innovation

Later Stage innovation focuses on supporting validated scaling models with a clear climate impact to ensure they reach their full potential and scale. To leverage and create impact in the European dimension, larger projects typically need 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.

Our Later Stage Programme is made up of 'Demonstrator' and 'Scaler' projects:

• **The Demonstrator Programme** is designed to support multiple stakeholders with funding and services to de-risk the demonstration of innovations. By enabling consortia, the Demonstrator Programme ensures the full range of technical and business knowledge and competencies are brought to play, thereby reducing the financial, technical and business risk associated with the latter stages of innovation and increasing attractiveness to investment and growth. In order to be eligible, Partner consortia must either have validated or clearly described the scaling model that underpins the identified systems innovation opportunity.

• **The Scaler Programme** provides funding and support for proven innovations and market-ready solutions to reach the next stage of replication. To turn innovation demonstrations into game-changers at scale, we will further develop our portfolio of Later Stage innovation interventions at a systems level, where there is a clear route to scaling the impact of the 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:<br>▪ Networking events connecting value chain actors<br>▪ Demand-side actors offering challenges that innovation providers can respond to | ▪ Value chain actors able to mobilise demand side<br>▪ 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<br>▪ Partners offering policy compliance services |
| 4. | Capital mobilisation | Providing access routes to capital investment aligned with addressing climate change | ▪ Investment funds<br>▪ Large corporates<br>▪ Public bodies subsidizing 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

Partners can find the details of the work carried out under Later stage innovation by accessing the relevant KAVAs on the Partner Information Page.

## 5.4 Education

Innovation for systemic change demands an exceptional cadre of cross-sector, cross-discipline, cross boundary entrepreneurs and change agents. Our education and capacity building programmes provide experiential training, within a blended learning approach, to promote the thinking, competences, skills and leadership required for system-wide climate action. Our Education work supports capacity building towards all 12 Impact Goals. New to this Area in 2019 is the 'Learning Hub' where we develop online and professional education and the pulling together capacity building activities from across Areas, developing and managing strategic assets required for designing and scaling learning services for capacity building around our Impact Goals.

### Learning Hub

New in 2019, the Learning Hub provides the infrastructure and strategic resources to support capacity building, mindset shifts and behavioural change around the EIT Climate-KIC impact goals. It 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 utilise our capacity in the online education field.

The Learning Hub will be innovative in its approach to develop a cross-cutting learning programme for scalable capacity building (skills, behavioural change, mindset, knowledge dissemination). Addressing each impact goal specifically, we will co-create learning services targeting competency gaps and capacity-needs to drive action. We will recognise competencies and educate stakeholders to drive action around the impact goals and leverage our pan-European networks to scale activities and capacity building programmes. The Learning Hub will bring together partners, colleagues and experts to co-create and manage capacity building assets and activities.

Supplementary information will be made available on 22nd February 2019 in relation to the Learning Hub.

### The Journey – 2020 only

EIT Climate-KIC are seeking expressions of interest for Partner organisations to participate in the Journey for 2020. Our programme 'The Journey' is the world's largest Climate Innovation Summer School, and one of EIT Climate-KICs most successful programmes (shortlisted for prestigious Reimagine Education awards in 2017), offering top graduates and young professionals the tools, inspiration and experience to develop and deliver ideas, products and services in response to climate change challenges. Over 1,000 graduates have learned to work effectively in multidisciplinary and international teams, ideate, deliver a climate-related business plan, and participate in a business-pitch competition. In 2020, the focus will be on integrating The Journey within EIT Climate-KIC's portfolio approach, by incorporating the impact goals into learning materials.

## 5.5 Regional Innovation Scheme (RIS)

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.

### RIS City Catalysers

Developing transformative sustainable urban projects is a complex process that needs to involve a mix of key stakeholders. EIT Climate-KIC has immense experience accelerating the development of innovative enterprises, and

we bring this experience to bear on helping urban entrepreneurs to develop strategic and innovative city projects, and the surrounding business models needed to deliver the long-term benefits.

In this context, RIS City Catalysers are a new project format to use the EIT RIS programme as a test ground to engage with EIT RIS eligible countries (EU13 Member States), cities and regions facing particular climate challenges with the goal of supporting low-carbon transition(s) in their countries, identifying and convening key stakeholders. The format seeks to catalyse transformation processes in cities in EIT RIS programme countries to help them tackle their climate change challenges and develop integrated concepts and novel solutions. RIS City Catalysers may lead to early or later stage innovation project applications and further engagement with EIT Climate-KIC. Partners are encouraged to investigate how to attract revenue/external funding from different sources.

Prior to starting the project work, selected project teams will be supported by EIT Climate-KIC and will be invited to participate in Urban Project Catalyst workshops for multi-stakeholder city project teams. Over 2-3 days these teams will work through a process to develop the strategy for their project or cluster of projects.

## RIS Urban Challenges

Climate-KIC's Urban Challenge presents the opportunity for a city to define a challenge it faces and for entrepreneurs to respond to this challenge at a competitive open innovation pitch event. An open innovation approach ensures that a larger number of innovative ideas come to see the light of day, as they are free for anyone to pursue, and debunks the myth that innovation requires closed doors and full control by the proprietary company.

Through Climate-KIC's pioneering Urban Challenge programme, we help cities to define the challenge(s) they face, connect with entrepreneurs able to solve to these challenge(s) and identify the most promising solution(s) at a competitive open innovation pitch event. The Urban Challenge is divided into two phases. Continuing onto phase 2 is optional for the partner and will require an additional application.

### Phase I:

Bring solutions from the start-up community to City decision makers. Phase I will identify the best presented solutions. Phase I can be divided into four work packages:

1) Identifying project objective and challenge areas (~3-6 weeks) **Understanding the cities' drivers, challenges and barriers to innovation**

- Articulate a clear urban challenge statement
- Urban challenge stakeholder assessment
- Tailor robust challenge success criteria
- Develop communications messaging and outreach strategy

2) Identification of solutions (~8 weeks) **Leveraging Climate-KIC's 200+ strong close network of partners to source innovation from across and beyond**

- Disseminate call for Urban Challenge solutions
- Outreach to start-up /solution provider community
- Establish solution evaluation criteria
- Collect a catalogue of solutions
- Screening and validation of received solutions

3) Innovation boot camp (~2 weeks) **Support to select final list of solution providers and prepare them for demand-side pitches**

- Select the best solutions

- Define and communicate the format for pitch presentations
- Ensure focus on ROI and the business model of the innovations
- Pitch training

4) Match making event (~4 weeks) **Host pitch event and identify wining solution(s)**

- Organise pitch event
- Line-up jury
- Solutions presented at the pitch event
- Potential for further Climate-KIC support to facilitate follow-up (see Phase II)

At the end of Phase I the city is expected to have produced an Event Report on the pitch event and selected solution providers.

## Phase II:

Test the solutions and investigate the viability and business potential for the selected solution(s) together with the City officials. Phase II is focusing on bringing the solution closer to implementation.

Through Climate-KIC's Urban Challenge Phase II, city officials can put resources towards testing the feasibility and validity of the winning urban solutions and piloting them. Phase II could include the following activities:

- Technical due diligence: Identify if the solution is applicable within the city specific context, for example, consider local policies or city stakeholders.
- Implementation roadmap of the innovation and/or develop a business plan
- Pilot the solution in the city
- Launch of solution

Cities, in their Phase II applications, will identify the outputs they wish to deliver with the support of Climate-KIC. At the end of Phase II the city is expected to have produced a Feasibility Report on the selected innovation(s), with emphasis on the next steps, within the city specific context.

What are the benefits?

- City benefits:
  - Support cities in articulating the challenges they face
  - Source and gain knowledge on innovative, relevant and viable urban solutions from across Europe and beyond
  - Support to select a final list of solution providers and work with them in preparation for demand side meetings/ pitches
  - Provide transparent and expert assessment of solutions to assist in prioritisation and selection
  - PR and branding opportunities throughout the Urban Challenge process
- Service provider benefits:
  - Gain understanding on the challenge(s) – the demand for a solution – a city faces
  - Enable solution providers to enter discussions and network with potential clients (cities)
  - Prepare solution providers for demand-side meetings/ pitches
  - Help solutions with positive climate impact reach the market faster, wider, and more efficiently than otherwise possible.
  - PR and branding opportunities

Demonstrating a solution works in a city may lead to wider implementation/impact in other cities

# Part 2: Application, Assessment, and What to Expect

## How to apply to Call 2 2019/ Call 1 2020

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.

To apply:

- Register online in Plaza
- read this document and the Call to Action document
- **speak to EIT Climate-KIC about the proposal that you are preparing**
- complete your online application in Plaza

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.

You will need to submit your application by **30 April 2019 no later than 1800 CET**. We will not accept late submissions and please note the system will be locked after this time.

## Preparing a proposal

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 2 or 3 deliverables might typically underpin one major output. Suggested deliverable types can be found here.
    - KPIs are Key Performance Indicators and there are two sets of KPIs – Climate-KIC KPIs and EIT KPIs – both can be found here.
- Proponents must now also identify KIC Complementary Activities at proposal stage. KCAs are KIC activities having a link with at least one KAVA at the level of outputs and results. They are not financed from the EIT contribution.
    - KCAs must have a clear and described link with at least one KAVA at the level of outcomes/ results and must be funded from sources other than the EIT.
    - The cost of KIC complementary activities must:
        - Be incurred by a KIC LE/ partner, their Linked Third Parties and/or third parties receiving financial support
        - Be proportionate to the cost of the KAVA and/ or to the expected impact in furthering the mission of a KIC (i.e. the relative weight of the KCA within KIC activities must be suitable and reasonable to achieve the objectives of the activity):
        - Shall be identifiable and verifiable.

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 and 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.

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.

## EIT Reimbursement Rate

The Maximum EIT Reimbursement Rate is applied at the project level and each project is subject to the Maximum EIT Reimbursement Rate as stated in the Eligibility section of this document. Individual Partners may seek EIT reimbursement of up to 100% within a consortium providing the maximum EIT Reimbursement Rate for the programme is not exceeded by the project overall. For multi-annual projects, a Partners' EIT Reimbursement Rate should remain the same each year. Please refer to Managing Performance, Risk, and Fairness in Implementing the EIT Grant, under the Finance and Grant Management section of the website.

An example where the Maximum EIT Reimbursement Rate of the programme is 80% is set out as follows:

The EIT Reimbursement Rate is viewed at partner level – where the project reimbursement must not exceed 80%, individual Partners can seek up to 100% EIT reimbursement (but others would need to seek lower amounts) i.e.:
- Partner A: 70% EIT Reimbursement + 30% co-funding
- Partner B: 100% EIT Reimbursement + 0% co-funding
- Partner C: 70% EIT Reimbursement + 30% co-funding

| Partner | EIT Funding Request (€) | Co-funding (€) | EIT Reimbursement Rate | Co-funding |
|---------|------------------------|----------------|------------------------|------------|
| Partner A | 70,000 | 30,000 | 70% | 30% |
| Partner B | 100,000 | 0 | 100% | 0% |
| Partner C | 70,000 | 30,000 | 70% | 30% |
| TOTAL | 240,000 | 60,000 | 80% | 20% |

## Proposal Submission

Proposals can be submitted at any time from the launch of the call **until 1800hrs CET** on the day of closing as indicated in Figure 2. **For Call 2 the Deadline is 30 April 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.

## 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.

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 not yet EIT Climate-KIC Partners but are preparing a bid will need to contact your local Climate-KIC office before starting your application.

## 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.

## 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. 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. 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 two EIT Climate-KIC teams.

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

Applications are assessed against the criteria. Assessors will provide written feedback for each scored question in the application. All applications are assessed on individual merit. The commissioning 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 detailed in this document

## Eligibility Criteria by Programme

| Project Type | MAX. DURATION | MAX. EIT REQUEST Per annum | MAX. EIT REIMBURSEMENT RATE | MIN. CO-FUNDING (total project costs) | OTHER |
|---|---|---|---|---|---|
| Early Stage (Pathfinder, Partner Accelerator) | 12 months | 100,000 EUR | 80% | 20% | Projects cannot span multiple calendar years |
| Climate Innovation Ecosystems WP3 | N/A | | 67% | 33% | CIE: Consortia must comprise organisations covering at least three countries |
| Climate Innovation Ecosystems WP2(National and Subnational) | 12 months | N/A (but typically under €100,000) | N/A (but typically not more than 80%) | N/A (but typically more than 20%) | Projects cannot span multiple calendar years |
| Later Stage Innovation (Demonstrator + Scaler) | N/A | N/A but typically not less than 500,000 EUR | 67% | 33% | |
| Learning Hub | N/A | | 75% | 25% | |
| The Journey | 12 months | N/A (but typically circa 70,000 EUR) | 80% | 20% | Projects cannot span multiple calendar years |
| RIS Ideation and Pilots & RIS City Catalysers | 12 months | 50,000 EUR | 80% | 20% | Projects cannot span multiple calendar years |
| RIS Urban Challenges | 6 months | 30,000 EUR (phase I) / 50,000 EUR (phase II) | 80% | 20% | Projects cannot span multiple calendar years |

Please note that all else being equal, proposals with a lower EIT Reimbursement Rate will be favoured.

## Annex 1: Portfolio Design Principles

EIT Climate-KIC introduced the Portfolio approach to project assessment and selection in 2018. We are looking to support ambitious, and potentially transformative innovation experiments that can add something unique and complementary to our existing portfolio.

Portfolio, in the case of EIT Climate-KIC, refers to a portfolio of initiatives designed to unlock systemic change for decarbonization and resilience. The portfolio is deliberately composed of initiatives that offer a range of learning 'positions' managed as complementary and connected to one another. Each 'position' or initiative is chosen because it offers a means of developing or testing a solution to achieve an element of decarbonization and/or resilience relevant to our impact goals, or because it represents an opportunity to learn about how complex man-made and human systems change. None of these initiatives is likely to be able to achieve systemic change on their own (although multi-dimensional experiments are preferable), but the experiences and learnings across many or all of them can: by generating the insights, the strategic arguments and policy arguments and the pathways for whole systems change. The intention of a portfolio is to test multiple hypotheses about how we can effect change in our economic, social and physical systems and create new momentum and choices that make adoption and acceleration easier.

There are five design principles that are considered in the portfolio approach: spread, diversity, scale, speed, and connectivity.

SPREAD

- How are the initiatives in the portfolio spread by:
    - impact goal – look for concentrations and gaps
    - levers of change – this is the most critical. Here we recognize that systemic change will most likely be achieved through a combination of interrelated effects caused by working on multiple levers of change simultaneously
    - riskiness (of failure) – high |medium | low
    - optimization of the current systems vs. 'leading edge' transformation potential
    - Location – consider impact on place-specific and relevant learning
    - Funding source (e.g. EIT vs. other named funders)
    - Initiative types (e.g. innovation, entrepreneurship, education, ecosystems, outreach/dissemination)

DIVERSITY

- How is the leadership of initiatives in the portfolio distributed (by entity type)? (i) university and/or research body, (ii) community group or grassroots NGO, (iii) large business, (iv) SME, (v) public body etc?
- What % of initiatives in the portfolio involve (i) Partners cf. (ii) non-partners?
- How many of the initiatives in the portfolio have the 'problem owner' at the heart of the project?
- How diverse is the cluster of initiatives addressing each impact goal and/or targeted systems change (e.g. supply chain) with respect to levers of change?
- What % of initiatives in the portfolio are configured to produce hyperlocal solutions leveraging specific contexts vs solutions that have multi-contextual applications?
- What component of the portfolio as a percentage is wildcard or random solutions?

SCALE

- How are the initiatives in the portfolio distributed by administrative/geographical scale: (i) community or district (ii) city, (iii) region, (iv) nation state, (v) multiple state involvement, (vi) working beyond Europe?
- How are the initiatives in the portfolio distributed by financial value – total project costs? Define financial value categories.
- How are the initiatives distributed by scale of impact?

SPEED

- How quickly is the initiative/portfolio able to transition from project approval to the implementation/action phase?
- How quickly is the initiative/portfolio likely to offer learning/insights?

CONNECTIVITY

- How integrated is the initiative/portfolio with existing social networks? (e.g. degree of embeddedness of lead entity and individuals with other parts of the portfolio).
- How integrated is the initiative/portfolio with 'networks of networks', which can offer a multiplier effect?
- What level of engagement does Climate-KIC Holding have with the initiative/portfolio? (low, medium, high)

## Innovation 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 | DESCRIPTION |
|---|---|
| **Strategic Fit & Contribution to the Climate Innovation Impact Goals & Levers of Change** | ▪ Does the proposal provide a clear narrative substantiating how and why the project aligns with the 2019 EIT Climate-KIC Impact Goals? <br> ▪ Does the proposal clearly work in line with the objectives of the relevant programme? |
| **Demand Assessment** | ▪ 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.) <br> ▪ To what extent are demand side representatives expressing interest in the innovation? <br> ▪ **[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.) <br> ▪ **[Scaler]** Is there evidence that there has been uptake[2] of the innovation? |
| **Systems Innovation Potential** | ▪ Does the innovation have intention/potential to create transformational change on a systems level? <br> ▪ Does the proposal clearly describe why it is innovative? <br> ▪ **[Ecosystems]** Does the proposal illustrate how the innovation ecosystem creates the conditions for innovation to emerge? <br> ▪ **[Accelerator, Demonstrator, Scaler]** Does the proposal clearly describe how the innovation opportunity was identified (e.g. through a Pathfinder project)? |
| **Expected Impact & Speed to Impact** | ▪ 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? <br> ▪ How well does the proposal consider socio-economic benefits and risks that the innovation entails? <br> ▪ Is evidence provided to substantiate (if appropriate: quantify) the expected impact? Does the proposal adequately reference other studies? <br> ▪ Does the project encourage diversity and gender equity? |
| **Project Consortium/ Partnership** | ▪ Do the consortium partners have the appropriate skills and capabilities to successfully deliver the project? <br> ▪ 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. <br> ▪ **[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** | ▪ Are the work plan and work packages clearly explained and relevant to support the project objectives and expected impact? <br> ▪ Are the project outputs, deliverables and KPIs clearly stated and linked to the different work packages/project stages identified in the work plan? |

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

| | | |
|---|---|---|
| | ▪ | 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? |
| 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.) |
| | ▪ | **[Demonstrator, Scaler, Ecosystems]** How high is the potential for the innovation to attract further capital/ investment (beyond EIT-funding)? |

## 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)? |