



Call for Expressions of Interest:

First wave Research & Innovation projects of the Climate-KIC

March 31 – April 29

Climate-KIC,
Research & Innovation Team
March 31, 2010

1. Background and objective of the Expression of Interest

The European Institute for Innovation and Technology (EIT) is a new independent European Community body that was set up to address European's knowledge gap. It is headquartered in Budapest and officially commenced work in September 2008. The mission of the EIT is to develop and capitalise on the innovation capacity and capability of actors from higher education, research, business and entrepreneurship from the EU and beyond, principally via the creation of highly integrated Knowledge and Innovation Communities (KICs).

In December 2009, a consortium consisting of sixteen core partners has been awarded the KIC on climate change mitigation and adaptation. There are three categories of core partners:

- *Academic partners forming the co-location centres*: five research and educational centres representing the academic core around which the co-location centres are established: ETH Zurich, Switzerland; Imperial College London, UK; IPSL-ParisTech-INRA-UVSQ-CEA-MeteoFrance-Advancity, France; PIK - TU Berlin - TU Munich - GFZ, Germany and Utrecht-Delft-Wageningen, The Netherlands.
- *Regional partners*: the Regional Innovation and Implementation Community RIC which encompasses institutions from Central Hungary, Lower Silesia (Poland), Midlands (UK), Hessen (Germany), Emilia Romagna (Italy) and Valencia (Spain);
- *Corporate partners*: Bayer, Beluga Shipping, Cisco, DSM, EDF, SAP, Schiphol Group, Shell, Solar Valley and Thales.

These partners have created a Climate-KIC foundation under Dutch law, which will be operated as a business with a strong management team led by a CEO and overseen by a governing board.

Climate-KIC has developed supporting “strategic pillars” in three areas which are crucial for successful innovation communities:

- An entrepreneurial education programme incorporated into a community of practice;
- An innovation ecosystem built around co-location centres
- A broad implementation network for knowledge sharing and dissemination.

The activities within these pillars are focused around a set of research and innovation programmes that represent the heart of the Climate KIC. They bring researchers from academia and private partners, entrepreneurs, staff from companies and public institutes and students together. Intensive interaction facilitates and promotes co-creation processes in which new applications for existing knowledge and avenues for new knowledge development and business creation arise.

Four focus programmes have been identified:

1. Assessing climate change and managing its drivers

2. Transitioning to resilient, low-carbon cities
3. Adaptive water management
4. Zero carbon production systems

Each programme will link education and innovation with ongoing research.

Climate-KIC starts now a call in two steps to establish the first wave of research and innovation projects in these four programmatic areas. The funding for this first call is relatively limited, but further calls are planned for the coming years.

Climate-KIC is now releasing a call **for the Expressions of Interest starting on March 31 and ending on April 29, 2010**. The call for Expressions of Interest has the primary objective to enable Climate-KIC partners to obtain feedback on the suitability of project ideas and to receive support from the Climate-KIC in the formation of project teams.

Climate-KIC will release **a call for funding of research and innovation projects on May 21, 2010. This call will end on August 6, 2010.**

In this document, details are given how to submit an Expression of Interest. Information about the call for full proposals is provided to enable a proper preparation.

2. Competition outline

The competition for funding will comprise of a two stage process:

Step 1: Call for Expressions of Interests:

Groups of interested parties put together a concise Expression of Interest (EoI). This EoI provides basic information on the composition of the team and the nature and scope of the envisioned project. Section 4 describes how an EoI should be drafted and submitted and which evaluation criteria apply.

Step 2: Call for full proposals

Immediately after the Expressions of Interest have been evaluated, a call for full proposals will be issued. Section 5 describes how a proposal should be drafted and submitted and which evaluation criteria apply.

Eligible partners of the Climate-KIC are encouraged to submit an Expression of Interest. EoI's may serve to align proposals towards the objectives of the call and may in this way contribute to a better use of resources. The Research and Innovation (R&I) Team acknowledges however that time available to form Consortia and proposals is limited. Therefore, it has decided that the submission of an Expression of Interest is not a condition for submitting a full proposal.

3. Timeline

Call for Expression of Interests

Open: March 31, 2010

Close: April 29 2010 17.00 CET

Evaluation of Expression of Interests

April 30-May 12, 2010

Notification of participants about evaluation results: May 17, 2010

Call for Proposals

Open: May 21, 2010

Close: August 6, 2010 17.00 CET

Selection of proposals

August 7 until mid-September

Notification of participants about decisions on proposals: mid-September, 2010

The Research and Innovation team expects that successful projects will be in a position to commence work in late autumn/early winter of 2010 and that first deliverables become available within one year of the start.

4. Expressions of Interest

Launch : March 31, 2010

Deadline : April 29, 2010: 17.00 CET

The goal of the Call for Expressions of Interest is to provide to the proposing team feedback with regard to the suitability of the project, and in particular with regard to its strategic alignment with the objectives of the Climate-KIC. The R&I team will also advise with regard to how the project could be improved and provide support in further building the project team.

As stated previously, a successful Expression of Interest is not a condition for submitting a full proposal.

- Assistance in preparing a proposal

Members of the R&I team support the process throughout. (Potential) applicants can approach members of the R&I team to find partners within the Climate-KIC network and to clarify open issues. Information about the

partners of Climate-KIC and their expertise is made available through the Climate-KIC sharepoint site.

In Annex 1 the members of the R&I team are listed. Annex 1 also provides a list of all contact persons, i.e. for each partner and for each programme.

- The role of the co-location centres

Co-location centres (CLCs) play a central role for the Climate-KIC. They provide local innovation support "eco-systems" and form the centre of gravity for the KIC's activities. The co-location centres will host the projects and will be responsible for managing projects, in particular with regard to financial flows and reporting requirements.

Therefore, each project needs to identify the co-location centre that will be hosting the project. In order to ensure a smooth processing and consistency with the strategic goals of each CLC, EoIs will need to be approved by the R&I leads of the identified CLC prior to the project entering the evaluation. Submitted projects are sent to the respective CLC automatically after submission, but proposing teams are encouraged to contact the R&I leads beforehand. In the case of projects led by a RIC organization, the project needs to be approved by the RIC Chair/Secretariat prior to submission.

- The role of education

In addition to implementing dedicated education programmes, Climate-KIC aims to weave education also directly into its research and innovation activities. Therefore, the project teams are encouraged to consider how they can link their research and innovation activities with educational activities in the broadest sense. With Climate-KIC's education portfolio being in development, the level of integration of education into the proposed project will not be used as a selection criterion, but envisioned in a later stage as a criterion to evaluate the performance of a running project.

- Who can lead an Expression of Interest?

The team submitting an EoI has to be led by an academic, corporate, or RIC core partner as defined in the introduction and identified in detail in Annex 2. Although in the longer term we anticipate that circumstances may arise in which it is agreed by a co-location centre that a particular EoI or research proposal is led by a non-core (affiliate) partner, we expect all first round proposals to be led by a core partner. There is no restriction on the project partners.

- How do I submit the EoI?

The application form for the Expressions of Interest (Annex 3) needs to be completed on the internet at the address:

http://www.climate-kic-proposal.org/k_themes/eoi

and submitted from there.

- Who will evaluate the Expression of Interests?

After approval by the CLC, the R&I Team will evaluate the Expressions of Interest and will provide feedback on the strategic alignment with the Climate-

KIC and the perceived major strengths and weaknesses of the proposed project.

- Evaluation criteria

The Expression of Interest will be evaluated following the “spirit” of creating the KIC community and foster innovation, in particular the extent to which the proposal to be submitted by the project team is expected to meet the selection criteria for the full proposals laid down in Section 5.

5. The Full Proposal

An Application Form for the full proposals will be made available in a later phase. A proposal will have a size of about 6-10 pages.

The team submitting a full proposal will be led normally by a core academic or corporate core partner or by one of the regional implementation core partners. Annex 2 gives further information regarding eligibility to lead full proposals.

The projects proposed for this first wave projects have to meet specific requirements in addition to the criteria that will be valid for all forthcoming calls.

Table 1: Selection criteria for the calls for R&I projects

<i>Diversity criteria (used as pass/no pass criteria)</i>
D1: The team needs to include partners from at least two co-location centres (see Annex 2 for eligible organizations per co-location centre)
D2: The team needs to include partners from at least two sectors, i.e. academic, public, or private
<i>Quality criteria</i>
Q1: Impact on climate change adaptation & mitigation
Q2: Innovation potential, i.e. high potential for market, job, and value creation
Q3: Added value of partnership
Q4: Quality of involved partners - prior success, etc.
Q5: Fit into thematic priority areas of the Climate-KIC
Q6: Project management and implementation plan, deliverables, and milestones etc.

Comments:

D1: Climate-KIC aims to foster integration across its partners, benefiting from their complementary strengths. With this first wave projects, Climate-KIC specifically aims to build up the co-location centres (CLC), thus integration of the projects into the CLC and the resulting added value for the CLC will be given special consideration. In special circumstances, the CEO of Climate-KIC can grant exceptions to this two CLC criterion, especially in cases when a partner is closely associated with a CLC, but is not listed in Annex 2.

Q1: The Climate-KIC wants to ensure that its projects have a substantial impact on climate change mitigation and adaptation. Projects need to demonstrate what their expected impacts are, expressed, for example with a measure of the magnitude of the avoided greenhouse gas emissions, or by the reduction of the value at risk thanks to a particular adaptation measure.

Q2: Projects supported by the Climate-KIC need to have a high potential for innovation. The aim and the structure of the projects therefore need to be driven by

the development of a particular product or service for potential customers, irrespective of whether they come from the academic, public, or private realm. The product of the project and its intended (present or future) markets need to be clearly identified. Particularly attractive are projects that aim to enter new markets with new approaches, especially if these solutions have the potential to have strong multiplicative effects.

Q3 The Climate-KIC aims to support projects that demonstrate a clear added value by running as Climate-KIC projects. Projects that contribute strongly to the building up and/or strengthening of the innovation ecosystems at co-location centres are given preference. The role of each project partner needs to be clearly identified and the benefit of forming the partnership in the light of the envisioned product or service must be clear. Organisations that are currently not involved in Climate-KIC may be brought in as partners in specific projects (“project partners”).

Q4: The likelihood of successful projects increases with the quality of the partners and can also be enhanced by a track record of prior successful collaborations. However, we also wish to encourage new collaborations provided that they demonstrate clear innovation potential. We would expect many EoIs to build on and extend existing successful collaborative arrangements.

Q5: Projects need to tackle the broadly defined four programmatic areas. An individual project may address one or more of these programmes.

Q6: Projects need to be managed tightly building on the support by the hosting co-location centre. Each project will be monitored and evaluated on a regular basis, primarily based on their performance vis-à-vis their objectives. Milestones will be used as gates, i.e. if projects fail to perform as expected, funding may be reduced or even stopped before the end of the project period. The projects also require a clear exploitation and implementation plan that demonstrates how the results can be translated into successful products or services.

Specific requirements for the first wave project proposals

Project proposals in this first wave call have to provide credible evidence that early deliverables leading to added market value will be generated. This means that the second quality criterion on innovation potential (Q2) will be given special weight in this first round.

Fundamentally, existing/planned projects can be brought into the Climate-KIC as these can provide a very fertile ground for the initial projects, permitting them to deliver fast and early results. Two potential avenues are foreseen in this context:

- i. *Internationalization*: A successful local consortium becomes pan-KIC relevant by including new partners from other countries/nodes.
- ii. *Integration*: Several successful local consortia align themselves and coordinate their activities such that a coordinated pan-KIC activity emerges.

Projects based on existing/planned activities as outlined above have to fulfil the same criteria as the open call projects. The added value of the KIC funding must be made absolutely clear. Substitution of existing funding will not be accepted.

Evaluation process

The full proposal will be evaluated by a standing review committee appointed by the Executive Board of the Climate-KIC. The evaluation results of this committee will be submitted to the Executive Committee of Climate-KIC. The Executive Committee will make the final decisions and, in the case of large proposals, send this to the Governing Board for approval.

The evaluation will invoke well established (inter)national practices and principles so as to ensure a transparent and impartial process free of improper influences such as conflicts of interests.

Funding principles

It is anticipated that about 10 to 20 research and innovation projects will be funded for an initial duration of two years, with a total Climate-KIC budget of about 5 to 10 M€. Funding allocation is done on an annual basis based on the performance of the project.

The funding requested may be maximally 25% of the funding supplied by the Consortium (thus: if a Consortium provides 1 M€, a funding up to 250 k€ may be requested). The Application must demonstrate that this funding is necessary for new activities and results in innovative products and services. **Details about what constitutes /eligible for co-funding will be given in the full call for proposals.**

Intellectual Property Rights

The generation and protection of intellectual property is a crucial asset and an important driver of profitable growth through innovation. The core partners of the Climate-KIC have outlined the first elements of an IPR policy that will stimulate creative partnerships and encourage the exploitation of patents as a robust basis for economically efficient R&I. An interim IP board, which has been set up at KIC level, will provide a frame and approximate processes on the basis of the IPR guideline of the EIT:

(http://eit.europa.eu/fileadmin/Content/Downloads/PDF/kics/IPR_Guidelines_2009_04_02.pdf)

Existing IPR arrangements are respected when (parts of) running programmes are brought into the Climate-KIC, and the implications for ongoing and future co-operations will have to be discussed and resolved on a case by case basis.

Annex 1 List of contact persons

For coordination and general inquires:

Coordination		
	<i>Name</i>	<i>e-mail</i>
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* Members of the R&I team. Nicolas Gruber acts as chair ad interim.

For program specific inquiries:

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Annex 2. Eligible Partners

The following core institutions are eligible to act as the lead institutions for an EoI or project proposal for the first wave of research and innovation projects.

A: Co-location Centre Partners

Berlin/Potsdam co-location: PIK, GFZ, TU Munich, TU Berlin

London co-location: Imperial College London

Paris co-location: INRA, CEA, ParisTech, Advancity, UVSQ, MeteoFrance, IPSL

Randstad co-location centre: University Utrecht, TU Delft, Wageningen UR, Stadshavens Rotterdam, Deltares, TNO, Province of Utrecht

Zurich co-location centre: ETH Zurich, Eawag

B: Corporate Core Partners:

Bayer, Beluga Shipping, Cisco, DSM, EDF, SAP, Schiphol Group, Shell, Solar Valley and Thales

C: Regional Implementation Core Partners

Central Hungary: OBEKK (Hungarian Bio-energy Competence Centre)

Emilia Romagna: ASTER: Regional Technology Development Agency

Hessen: Technical University of Darmstadt

Lower Silesia: EIT+

Midlands: Advantage West Midlands

Valencia: Fundación Comunidad Valenciana-Región Europea

Annex 3. Application Form for submission of Expression of Interest

(form is provided by a link from http://www.climate-kic-proposal.org/k_themes/eoi)

Description	Information (Please be concise. Green cells = required info).
Thematic area(s) (choose one or more)	Assessing climate change and managing its drivers / Transitioning to resilient, low-carbon cities / Adaptive water management / Zero-carbon production systems
Project title / Programme name (enter project short name, followed by full title; fine to enter draft titles or research topics instead)	
Main contact person (enter name, email, phone)	Name: Email: Phone:
PARTNERSHIP	
Lead partner	
Hosting Co-location centre	Name: Confirmed by: Name Confirmed by: e-mail
Involved Co-location centres	Confirmed: Potential:
Private Partners (if applicable)	Confirmed: Potential:
Public Partners (if applicable)	Confirmed: Potential:
PROJECT	
Summary teaser (2-3 sentence short description)	
Summary abstract (a concise continuation from the summary teaser)	500 words max.
Impact on climate-change adaptation & mitigation (selection criterium ; provide a short description of nature and potential scale of impact)	100 words max.
Innovation potential (selection criterium ; provide a short description of nature and potential scale of innovation potential)	100 words max.
For existing projects: Additionality of Climate-KIC funding	100 words max

FUNDING	
Envisaged funding amount	Total funding: Requested Climate-KIC contribution:
Source of non-KIC funds (actual or envisaged)	
Approx. start date	
Approx. end date	
Short description of what the new Climate-KIC funds would be used for (i.e. state the added-value of KIC funding)	100 words max.
ADDITIONAL INFO	
Comments	
Hyperlinks to further information	