

**START-UP
AND
SME
BOOSTER
CALL**

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Start-Up & SME Booster Call – FALL 2018

Terms & Conditions

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1. Start-up & SME support program

1.1. Objectives

EIT RawMaterials is one of the Knowledge and Innovation Communities (KIC) of the EIT (European Institute of Innovation and Technology) and funded by the European Commission. It unites more than 120 partners along the RawMaterials value chain – academic and research institutions as well as industry– from 22 European countries. Its six Innovation Hubs across Europe (also called Co-location Centres - CLCs) aim at fostering innovation across the regional ecosystems of industry, research institutions and universities.

The EIT RawMaterials “**Start-up & SME Booster Program**” is one of the EIT RawMaterials funding instruments dedicated to support third parties’ activities, such as business creation by idea holders and growth support by start-ups and SMEs.

The aim of the **Start-up & SME Booster Program** is to provide support to established start-ups:

- To develop innovative products/services that can produce impact in the raw materials sector such as job creation;
- To bring technology development to higher readiness stage to secure future funding steps (such as up-scaling, financing loans and other financing instruments);
- To reach faster the market via the EIT RawMaterials Innovation Community, e.g. finding potential partners, piloting customers or technology validators from the networking events;
- To gain higher visibility via EIT RawMaterials channels;
- To join the EIT RawMaterials network as member and continue working with its partners to fully benefit from the innovation ecosystem.

1.2. Topics of interest

The “*Start-up & SME Booster Program*” supports new businesses that develop raw materials into a major strength for Europe along the whole material value chain as follows:

1. **Exploration** and raw materials resource assessment
2. **Mining** in challenging environments
3. Increased resource efficiency in **mineral and metallurgical processes**
4. **Recycling** and material chain optimisation for End-of-Life products
5. **Substitution** of critical and toxic materials in products and for optimised performance
6. Design of products and services for the **circular economy**

The supply of a **range of ores and metals** is the main target of the EIT RawMaterials innovation community. Bio-based and polymer materials will be considered only in view of their substitution potential of critical and toxic materials and for optimized performance or for multi-material product recycling. **Petrochemical raw materials, food/agricultural raw materials and construction materials are excluded.**

Examples are:

1. **Exploration:** Technologies and solutions for improved and new mineral exploration. As an example, solutions could include:
 - a. *New and improved geological models, better exploration model understanding and techniques for going 3D/4D, drones, etc.*
 - b. *New instrumentation, methods and technologies for more reliable, cheaper, faster and safer mineral exploration, including technologies and services for innovative data acquisition, big data analysis/handling and utilise existing/historical dataset for exploration and mining.*
 - c. *Application of new innovations, new geological models and rethinking/re-evaluations of geological settings/prospects to provide new exploration prospects and mining targets.*

2. **Mining.** Technologies and solutions for more efficient, safer and sustainable modern mining. As an example, solutions could include:
 - a. *Application of new technologies/ services for more efficient production, better safety, better utilisation of equipment and employees for mining. Virtual reality, UAVs/ robotics, automation, real-time data that will improve planning, scheduling of operations and delivering better efficiencies and cost savings.*
 - b. *Innovative services, approaches and products in order to ensure public understanding and awareness about the need for raw materials, exploration and mining, ensure cooperate social responsibility and social license to operate as well as added values of mining including remediation.*

3. **Mineral and metallurgical processes:** Technologies and solutions for mineral and metal processing and for improved material production. As an example, solutions could include:
 - a. *Optimised extraction and production processes for metals and alloys, improving the efficiency of the process, using less energy and water, reducing cost and the production of waste.*

4. **Recycling:** Technologies and solutions for materials supply from secondary sources and recycling. As an example, solutions could include:
 - a. *Solutions for recycling of end-of-life products, extraction from industrial residues, tailings, urban and landfill mining, (e.g. WEEE, batteries, magnets, solar cells etc.)*
 - b. *Cost efficient and clever collection, dismantling and sorting of waste;*

5. **Substitution of critical and toxic materials and for optimized performance:** New technologies or services that make it possible to substitute or use less critical or toxic materials in key industries. Examples:
 - a. *Substitution of critical and toxic metals in specific energy materials, like Platinum in fuel cells, Cobalt in lithium ion batteries, Nd and Dy in Nd-Fe-B permanent magnets*
 - b. *Substitution of critical and toxic metals like Co and W in carbides, speciality metals in high strength steels and super alloys, incl. the design and manufacturing*
 - c. *New material systems that contain no or less critical and toxic materials, for instance, for the use in batteries, permanent magnets, solar cells, and thermoelectric and magneto caloric applications*
 - d. *New / optimized materials for additive manufacturing, e.g., in printable electronics*
 - e. *New lightweight composites and designs as substitutes for critical materials containing high strength steels and for optimized performance*
 - f. *Solutions that integrate new materials into a Circular Economy, e.g., technology and business that enables and builds upon the reuse and recycling of newly developed, high performance materials*
 - g. *New products, systems, and services for an optimised raw materials use, particularly with respect to mobility and energy technologies.*

6. **Circular economy:** Solutions and business models implementing circular economy concepts, e.g. *New business models for resource recovery, product life extension (repairing, re-manufacturing, etc.), product as a service, sharing platforms.*

In this call, we are particularly seeking for companies that develop technology around **BATTERY MATERIALS** to strengthen the EIT RawMaterials Battery Ecosystem.

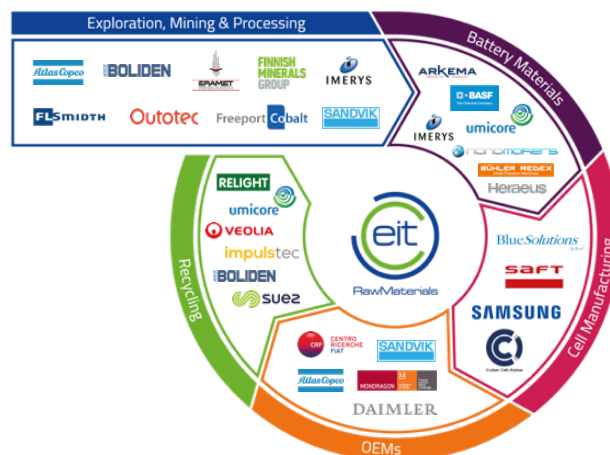







Figure 1: EIT RawMaterials Battery Ecosystem

2. GRANT AMOUNT: UP TO 30 000 EUR

The support scheme will be as follows:

1. Financial **support up to 30.000 EUR**.
2. Potentially, business support service (e.g. access to financing, business development support...) to be negotiated on the case by case basis, and is subject to a separate commercial contract.
3. There is no formal minimum requirement of co-funding; however, projects that will show a co-funding and ask support for non-recurring costs (not for shareholders personnel costs) will be positively evaluated, as an indication of the commitment of the company in the initiative.

3. DEADLINE & ADMISSIBILITY

 SUBMIT YOUR PROPOSAL	 CLOSING OF THE CALL	 ONLINE PITCHING	 AGREEMENT	 FINAL REPORT
From 19 th October 2018	31 st October 2018, at 23:59:59 CET	During first week of Nov 2018	During first half of Nov 2018	31.12.2018 (possibly 31.1.2019)
Submit an online application form + 5 pager plan	Shortly followed by the first screening for online pitching	Online pitching to EIT RM's staff and external experts	The signature of the PA will unlock the first fund instalment	Submit technical and financial reports to unlock the final payment

Applications must be submitted by the contact person of the company via the registration link:

https://www.lyyti.in/EITRM_BOOSTER_FALL2018

Applications must be readable, accessible and printable. Incomplete applications may be considered inadmissible if essential elements are missing.

For more information, please contact the Innovation Hub staff (e.g., Business Developers) at the end of this document.

4. ELIGIBILITY

All EIT RawMaterials activities are governed by the rules set out in the Framework Partnership Agreement (see Model FPA) as well as the yearly Specific Grant Agreement (see Model SGA) with the EIT, under the Horizon2020 Annotated Grant Model¹.

4.1. Eligibility Criteria

The “*Start-up & SME Booster Program*” is open to the following participants who have operative branch in one of the EU Member states or Countries Associated to Horizon 2020²:

1. Raw materials relevant **start-up or spin-off** companies at least registered at the time of application and younger **than 5 years** within the limit set out by the European Commission³ (registration certificate to be provided at the grant signature);
2. Raw materials innovation- and technology-related **SMEs** (according to European Commission’s definitions³), willing to boost their business through the introduction of new and innovative products and/or services (started within less than 5 years, proven by patent number or other proof of the age of the innovation).

The Projects supported by the “*Start-up & SME Booster Program*” should have one of the following targets:

1. Drive **proof of concept or feasibility study** to increase the TRL⁴ (from at least TRL 4);
2. To build or **expand Intellectual Property (IP)** portfolio to secure next funding steps;
3. Carry out **customer validation or pilot testing**. The program also supports the initiatives in finding the potential customers among EIT RawMaterials partners.
4. **Expand the market and reach global scale**, also through business support services provided by the EIT RawMaterials.
5. Maximum **duration within the calendar year 2018**, with clearly indicated milestones to be achieved within its duration.

NB: For project at idea/concept stage, without registered company, we have other instruments such as “[Business Idea Competition](#)” and [Acceleration programs](#).

¹ http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf

² http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/3cpart/h2020-hi-list-ac_en.pdf

³ http://ec.europa.eu/growth/smes/business-friendly-environment/sme-definition_en

⁴ <https://ec.europa.eu/research/participants/portal/desktop/en/support/faqs/faq-2890.html>

For SMEs with more advanced product(s)/Service(s), we recommend you to contact us, for e.g. joining our consortium projects with our partners in [Upscaling projects](#) or applying to become member.

4.2. Exclusion Criteria

Consulting service companies without tangible product will be excluded, including one-person company.

Participants that have already received an EIT RawMaterials grants in 2018 cannot participate for the same activities.

Participants will be excluded if they (or one of them):

- are subject to an administrative sanction (i.e. exclusion)
- are in one of the following situations:
 - bankrupt, being wound up, having their affairs administered by the courts, entered into an arrangement with creditors, suspended business activities or subject to any other similar proceedings or procedures under national law (including persons with unlimited liability for the participant's debts)
 - declared in breach of social security or tax obligations by a final judgment or decision (including persons with unlimited liability for the participant's debts)
 - found guilty of grave professional misconduct by a final judgment or decision (including persons having powers of representation, decision-making or control)
 - convicted of fraud, corruption, involvement in a criminal organisation, money laundering, terrorism-related crimes (including terrorism financing), child labour or human trafficking (including persons having powers of representation, decision-making or control)
 - shown significant deficiencies in complying with main obligations under a procurement contract, grant agreement or grant decision financed by the EU or Euratom budget (including persons having powers of representation, decision-making or control)
 - found guilty of irregularities within the meaning of Article 1(2) of Regulation No 2988/95 (including persons having powers of representation, decision-making or control)
- have misrepresented information required for participating in the contest or fail to submit such information
- were involved in the preparation of the grant documents and this entails a distortion of competition.

5. AWARD CRITERIA

Each application will be scored on the criteria listed in the following table and with the score in relation to each criterion based on the following guidelines:

CRITERIA	EXPLANATIONS
1. TECHNICAL EXCELLENCE, TECHNOLOGY READINESS LEVEL (TRL) AND IP STATUS	The innovation should be relevant to the topics mentioned in section 1.2. Strong IP protection/potential protection will be positively evaluated as well as the technology development stage.
2. BUSINESS RELEVANCE, POTENTIAL AND CUSTOMER READINESS LEVEL (CRL)	Large market size and customers willingness to buy are positively evaluated (e.g. initial discussion with potential customer(s)).
3. QUALITY OF THE TEAM	The capability of the utmost importance since it all comes down to execution. Show relevant expertise and track records of the team members.
4. QUALITY OF THE PROJECT PLAN, BUDGET & OUTPUT	Clear roadmap with careful planning of tasks and milestones and sound budget will be looked carefully since they will become a contractual commitment to lay out in the project agreement
5. QUALITY OF THE KPIs and BACKFLOW	Since the source of the funding is a public, impact metrics will be reported. Also, in case of success of the company, we are interested to hear how you are willing to contribute back to EIT RawMaterials and its community
6. OTHER	Other criteria are listed below.

“Other” criterion includes various impact factors that are relevant for the EIT RawMaterials and Horizon2020 program, such as:

- New products or services introduced in the market within 3 years;
- New jobs created in raw material sector;
- Private investment and other funding to be attracted;

- Women in the staff or/and management staff;
- Number of employees from developing countries.

6. DOCUMENTS

The mandatory supporting documents are set out in the 5-pager application form (downloadable from the registration web site: .

Participants may be asked at a later stage for further documents (for legal entity validation, bank account validation, ethics review, declaration of honour on exclusion grounds, etc).

7. PROCEDURE

The application procedure is the following:

1. **Online application:** Applicants must present by **October 31st 2018** an on-line application form and a 5-page business plan where they should illustrate: technology, customer needs, market and competition, business model, revenue projections, team composition and expertise, workplan for the booster project, budget required for the booster project, potential benefits for EIT RawMaterials against the provided support.
2. **First screening phase performed by the local Innovation Hub** staff to assess the alignment of the application with the underlying objectives of the EIT RawMaterials: the 3 best applications passing this screening will be invited to pitch their idea to the Jury in an online session.
3. **Online pitching session and selection:** EIT Raw Materials staff and external experts will evaluate the applications according to the evaluation criteria described in next section and select the Projects that are granted with the support.

The selected applicants will sign a Project Agreement with the Innovation Hub Legal entity to unlock the first payment.

If there are more than **10** applications, there will be a pre-selection phase to select the best 5 applications to pass to jury review. Otherwise, all applications will pass directly to jury review.

The pre-selection panel and jury usually have a different composition, but jury members may participate in the pre-selection panel.

The jury evaluation is planned to take place between **November 1st -6th, 2018**

The pre-selection panel/jury will evaluate each application against the **five award criteria** and score them as follows (half marks are possible decimals are not):

0: Non-existent, 1: Very poor, 2: Poor, 3: Fair, 4: Good, 5: Excellent.

The average of the evaluators will be used to produce the ranking list. The Jury's decisions are unappealable.

CRITERIA	THRESHOLD	MAXIMUM POINTS
1. TECHNICAL EXCELLENCE, TECHNOLOGY READINESS LEVEL (TRL) AND IP STATUS	3	5
2. BUSINESS RELEVANCE, POTENTIAL AND CUSTOMER READINESS LEVEL (CRL)	3	5
3. QUALITY OF THE TEAM	3	5
4. QUALITY OF THE PROJECT PLAN, BUDGET & OUTPUT	3	5
5. QUALITY OF THE KPIs and BACKFLOW	3	5
6. OTHER	3	5
TOTAL	18	30

For applications with the same score, the pre-selection panel/jury will determine a priority order according to the following approach:

The score for the **criterion No 3** will be given a **weight of 3** and the score for criterion **No 2** will be given a weight of **1.5**.

If two or more applications tie for the first rank, the grant will be equally divided and awarded to all.

On the basis of the evaluation by the jury, EIT RawMaterials will decide on the award of the grant.

All participants will be informed by **the second half of November 2018** on the outcome of their application.

8. OTHER CONDITIONS

8.1. Payment and arrangements

The grant money (EUR 30 000) will be paid to the selected applicant in two instalments after the announcement of the final selection by bank transfer, provided all the requested documents have been submitted.

1. advance payment of the first instalment within 30 days from the signature date of the Project Agreement;
2. balance payment at the approval of the final report or at the achievement of milestones.

8.2. Publicity – Promoting the Grant – Visibility of the EU Funding

Publicity by the winner(s)

The selected companies must promote the EIT RawMaterials Start-Up & SME program grant and its results, by providing targeted information to multiple audiences (including the media and the public) in a strategic and effective manner.

Unless EIT RawMaterials requests or agrees otherwise or unless it is impossible, any communication activity related to the action (including in electronic form, via social media, etc.) must:

- a) display the **EIT RawMaterials logo with the EU emblem** and
- b) include the following text:

“This activity was funded by the Start-up & SME Booster Program from the EIT RawMaterials, funded by the EIT, a body of the European Union supported under the Horizon 2020 research and innovation program”.

When displayed together with another logo, the EIT RawMaterials logo and EU emblem must have appropriate prominence.

For the purposes of their obligations, the selected companies may use the EIT RawMaterials logo and the EU emblem without first obtaining approval from EIT RawMaterials.

This does not, however, give it the right to exclusive use.

Moreover, they may not appropriate the EU emblem or any similar trademark or logo, either by registration or by any other means.

Publicity by the EIT RawMaterials

EIT RawMaterials may use, for its communication and publicising activities, information relating to the action, documents notably summaries for publication as well as any other material, such as pictures or audio-visual material that it receives from the participants (including in electronic form).

EIT RawMaterials will publish the name of the funded companies, their origin, the amount of the grant and its nature and purpose — unless they have requested to waive this publication (because disclosure risks threatening its security and safety or harm its commercial interest).

Photos and videos taken by EIT RawMaterials during the EIT RawMaterials events where the selected companies will feature are the sole property of EIT RawMaterials.

8.3. Dissemination and Exploitation of Results

Applicants retain full and exclusive ownership of their prior information and intellectual property rights. By submitting their application applicants warrant that they hold ownership or have legally secured the right to use all elements of the innovative product or service and that the provided materials and information do not infringe any intellectual or other property rights, including patents, of any other persons, companies or other entities. Elements of the submission that are based on rights held by others, such as patents, shall be marked as such in the submission.

The EIT RawMaterials and their authorised representatives in the program undertake to ensure the confidentiality of the projects presented and developed throughout the Booster Projects. By submitting the application within the program, applicants consent that EIT RawMaterials and its innovation hubs (CLCs) will collect, transfer, process, store and delete your data under above-mentioned conditions.

The selected companies agree that their data, the receipt of grant, non-confidential information about their project, may be used by EIT RawMaterials and their authorised representatives without compensation for promotion of their activities. Non-confidential information related to the project

will be only provided after authorisation of the applicants or the one marked with “public summary”.

8.4. Processing of personal data

Processing of personal data by the EIT RawMaterials

Any personal data will be processed by EIT RawMaterials in accordance with the EIT Rawmaterials privacy policy⁵ notice(s).

All selected applicants consent that EIT RawMaterials publishes the following information:

- name
- Member State of origin (address or NUTS 2 region)
- their activities in relation to the award of the Grant (via the summary for publication they provided)
- grant amount

in whatever form and medium.

Processing of personal data by the participants

The participants must process personal data in compliance with applicable EU and national law on data protection (including authorisations or notification requirements, if any), see the GDPR⁶ recommendations.

8.5. Ethics

The activities must be carried out in compliance with:

- a) ethical principles (including the highest standards of research integrity) and
- a) (b) applicable international, EU and national law.

No funding will be awarded for activities carried out outside the EU, if they are prohibited in all Member States.

⁵ <https://eitrawmaterials.eu/privacy-policy/>

⁶ <https://eugdpr.org/>

The participants must ensure that the activities have an exclusive focus on civil applications.

The participants must respect the highest standards of research integrity — as set out, for instance, in the European Code of Conduct for Research Integrity⁷.

8.6. Security

The activities must be carried out in compliance with Commission Decision 2015/444, i.e. security-sensitive information must be EU-classified, if its unauthorised disclosure could adversely impact the interests of the EU or of one (or more) of its Member States. Applications that are too security-sensitive cannot be awarded a grant.

8.7. Conflict of Interest

The participants must take all measures to prevent any situation where the impartial and objective award of the grant is compromised for reasons involving economic interest, political or national affinity, family or emotional ties or any other shared interest ('conflict of interest').

They must inform EIT RawMaterials without delay of any situation constituting or likely to lead to a conflict of interests and immediately take all the necessary steps to rectify this situation.

The EIT RawMaterials may verify that the measures taken are appropriate and may require additional measures to be taken by a specified deadline.

8.8. Liability for damages

The EIT RawMaterials cannot be held liable for any damage caused to the participants or to third parties as a consequence of the grant, including for gross negligence.

The EIT RawMaterials cannot be held liable for any damage caused by any of the participants in the context of the grant.

⁷ European Code of Conduct for Research Integrity of ALLEA (All European Academies) and ESF (European Science Foundation) of March 2017 http://ec.europa.eu/research/participants/data/ref/h2020/other/hi/h2020-ethics_code-of-conduct_en.pdf.

8.9. Check, Audit and investigations

The EIT RawMaterials European Commission, the European Anti-Fraud Office (OLAF) and the European Court of Auditors may carry out checks, audits and investigations in relation to the grant.

The recipient of the grant must ensure that cost categories are eligible under the support scheme (see the EIT FPA rules). Among others:

1. Personnel costs (maximum 50% of total costs) and CEO cannot book more than 75% of his/her FTE.
2. Travel for dissemination e.g. participating to events to recruit piloting customers or getting market feedback , demonstration activities
3. Consumables / components for the implementation of prototypes or running a pilot test. Equipment costs such as computers and phones are not supported. But equipment rent or lease fees can be eligible during the usage period of the project.
4. Subcontracting for services (e.g., technical support, access to infrastructures, market/IP studies, business acceleration services, internationalization support, soft landing).

Not eligible costs are: Sales costs (except for pilot customers prospect), payment of debts, financial costs (banking fees, accounting, audits), company premise rent and office equipment such laptops and phones (i.e. those costs that occur regardless of the project).

8.10. Withdrawal of the Grant – Recovery of the undue amounts

The EIT RawMaterials may withdraw the grant after its award and recover all payments made, if it finds out that:

- a. false information, fraud or corruption was used to obtain it
- b. a winner was not eligible or should have been excluded
- c. a winner is in serious breach of its obligations under these Terms & Conditions.

8.11. Administrative sanctions

If a participant has committed irregularities or fraud or has made false declarations, the EIT RawMaterials may also:

- a. exclude the participant from all future contracts, grants and contests financed from the EU or Euratom budget for a maximum of five years (or 10 years in case of repetition) and/or
- b. impose a financial penalty between 2% and 10% of the value of the grant (or between 4% and 20% in case of repetition).

8.12. Cancellation of the contest

The EIT RawMaterials may cancel the contest or decide not to award the grant — without any obligation to compensate participants —, if:

- a. no applications are received
- b. the jury does not find a winner
- c. the winner is not eligible or must be excluded or
- d. the objective of the contest has already been achieved.

8.13. Complaints

By submitting their application form, applicants agree to the Terms and Conditions, which form part of their submission. EIT RawMaterials reserves the right to make reasonable amendments to these Terms and Conditions. Amendments and additions to these Terms and Conditions shall be valid if communicated in writing on the EIT RawMaterials website or otherwise made available to the applicants.

These Terms and Conditions are governed by the laws of Germany. Any disagreement or dispute which may arise in connection with these Terms and Conditions which cannot be settled amicably will be brought before the courts of Berlin, Germany.

To the maximum extent permitted by law, under no circumstances and under no legal theory whether in tort (including negligence) contract or otherwise shall EIT RawMaterials and the CLC legal entities be liable for any special indirect, punitive, incidental or consequential damages, including loss of profit.

You may withdraw your application any time by informing us by email or withdrawing your registration any time.

9. CONTACT

The “*Start-up & SME Booster Program*” is organised by EIT RawMaterials and its regional Innovation Hubs (CLCs) which act as managing partners in coordinating the collection, evaluation, awarding and follow-up process at regional level.

Innovation Hubs and countries covered

Check the nearest and contact details at:

<https://eitrawmaterials.eu/about-us/our-locations/>

The list of Innovation Hubs and countries covered by each are:

- **Innovation Hub Baltic Sea:** Estonia, Finland, Latvia, Lithuania, Norway, South of Sweden
- **Innovation Hub North:** Denmark, Ireland, North of Sweden and Norway
- **Innovation Hub Central:** France, Portugal, Southern Germany, and Switzerland
- **Innovation Hub East:** Austria, Croatia, Greece, Hungary, Northern Germany, Poland, Romania, Slovakia, Slovenia
- **Innovation Hub West:** Belgium, North-Western Germany, The Netherlands, United Kingdom
- **Innovation Hub South:** Hungary, Italy and Spain

Applicants belonging to countries not listed should contact the nearest Innovation Hub.

Other information sources

Call web page:	https://eitrawmaterials.eu/booster-call-2018/
Online Application link:	https://www.lyyti.in/EITRM_BOOSTER_FALL2018
Partners of EIT RawMaterials:	https://eitrawmaterials.eu/about-us/partners/
EIT RawMaterials Alumni:	https://eitrawmaterials.eu/eit-rm-academy/alumni/