

# EIT's 2016 Call for KIC proposals

## Evaluation Criteria

### I. Admissibility criteria

Prior to evaluation, proposals will be examined for compliance with the following admissibility criteria:

- the proposal must be submitted through the electronic proposal submission system;
- the proposal must be submitted by the Call deadline;
- the proposal must have completed all mandatory parts.

### II. Eligibility criteria

After the admissibility check, a proposal will only be considered eligible if:

- (a) its content and scope corresponds to the topic of the Call and the KIC model;
- (b) it complies with the eligibility conditions set out below:
  - the proposed KIC must contain at least three independent partner organisations established in at least three different Member States;
  - at least two thirds of the partner organisations forming the proposed KIC are established in Member States;
  - the proposed KIC includes at least one higher education institution and one private company;
  - the proposal must be submitted by a partnership containing a maximum of 50 partners.

### III. Exclusion criteria

Applicants shall be excluded from participation in the Call if they are in one of the situations referred to in Articles 106(1) and 107 of the EU Financial Regulation<sup>1</sup>. As evidence, the applicants will have to submit a declaration of honour on exclusion criteria and absence of conflict of interest.

### IV. Financial and Operational Capacity (Selection) Criteria

Only admissible and eligible proposals will be evaluated against the financial and operational capacity criteria.

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<sup>1</sup> <http://ec.europa.eu/budget/library/biblio/publications/finreg/KV3112815ENC.pdf>

## Financial Capacity criteria

The organisation of the Partnership's Coordinator (or Coordinator of the KIC start-up phase) will be subject to the financial capacity assessment if (and when) the KIC has been designated and the coordinator is subject to a financial viability check. The financial capacity will be assessed on the basis of the financial viability check.

The organisation's financial viability will be assessed by checking that it:

- has sufficient liquidity - is able to cover its short-term commitments,
- is financially autonomous,
- is solvent - capable of covering its medium and long-term commitments,
- is profitable - generating profits, or at least with self-financing capacity.

At the proposal submission stage<sup>2</sup>, the Coordinator will be asked to confirm that he/she has carried out a self-check of the financial capacity of the organisation through the financial self-check tool<sup>3</sup> or has been covered by a financial viability check in an EU project for the last closed financial year.

If the Coordinator's financial viability would be assessed as "weak" or "insufficient":

- the Coordinator shall normally step down as Coordinator but can participate in any other role; in this case the consortium must put forward a solution, including the appointment of a new Coordinator and reassignment of coordination tasks;
- the partnership activities will be subject to additional monitoring and reporting based on an action plan;
- if no acceptable solution or action plan would be presented by the Coordinator, the KIC designation/start-up phase may be terminated and the designated KIC (partnership) canceled.

Following the provisions of Article 15(10)-(11) of the Horizon 2020 Rules for Participation<sup>4</sup>, public bodies including international organisations, higher or secondary education establishment or a legal entities, whose viability are guaranteed by a Member State or associated country, will be exempted from the financial capacity check.

## Operational Capacity criteria

1) The Partnership's Coordinator's familiarity with the Call's theme and experience of coordinating and/or participating in international projects related to the integration of three sides of the Knowledge Triangle as well as familiarity with the European Union's financial procedures proven by having:

- participated in at least one project with the total budget (allocated or coordinated) exceeding EUR 3 million;
- coordinated at least one project with at least two other partners (three in total) from at least three different European countries and from at least two sides of the Knowledge Triangle;
- participated in at least one project financed by EU funds.

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<sup>2</sup> This confirmation will be requested at the SEP system as part of the Proposal Submission Forms.

<sup>3</sup> <https://ec.europa.eu/research/participants/portal/desktop/en/organisations/lfv.html>

<sup>4</sup> REGULATION (EU) No 1290/2013, Article 15. Available at: [https://ec.europa.eu/research/participants/portal/doc/call/h2020/common/1595113-h2020-rules-participation\\_oj\\_en.pdf](https://ec.europa.eu/research/participants/portal/doc/call/h2020/common/1595113-h2020-rules-participation_oj_en.pdf)

The Coordinator should provide references for at least two projects as an evidence of its operational capacity (one project may meet several of the above criteria). The projects should be successfully completed and the final implementation date of the projects should not be earlier than 31 December 2012, and the minimum budget of the projects should be higher than EUR 100.000 to make the reference eligible. All reference projects should be related to the relevant thematic area.

2) The capability and necessary experience of the key members of the Interim Management Team i.e. CEO (Chief Executive Officer), COO (Chief Operational Officer) and CFO (Chief Financial Officer), evidenced by having:

- at least 7 years of working experience relevant to the position;
- in case of the CEO 7 years and the COO 5 years of experience in the Call's thematic field;
- at least 3 years of working experience in an international environment.

Candidates are required to have a level of education which corresponds to completed university studies of at least four years attested by a diploma. Only qualifications issued by EU Member State authorities and qualifications recognised as equivalent by the relevant EU Member State authorities will be accepted<sup>5</sup>.

Detailed curriculum vitae in the Europass format<sup>6</sup> covering relevant educational and professional qualifications and experience shall be attached to the Coordinator's Commitment and Motivation Letter.

**Only proposals that will pass the operational capacity verification will be evaluated by the external experts.**

## V. Technical Evaluation Criteria

The technical evaluation criteria are structured along three main criteria:

- Strategy (30 points max.)
- Operations (30 points max.)
- Impact (40 points max.)

The criteria are presented in Table 1. Each sub-criterion will be scored out of 5 and weighted. The evaluation scores of each criterion will be calculated as a sum of the weighted sub-criteria scores. The overall threshold, applying to the sum of all weighted individual scores, will be 70.

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<sup>5</sup> In case of qualifications issued by authorities outside EU Member States, the proof of recognition of equivalence by the relevant EU Member State authorities must be specifically mentioned in the online application form under 'Additional information'. In case of invitation to an interview, the above proof must be provided.

<sup>6</sup> <https://europass.cedefop.europa.eu/en/documents/curriculum-vitae/templates-instructions>

Experts score each **criterion** on a scale **from 0 to 5**, as follows:

- 0: The proposal fails to address the criterion or cannot be assessed due to missing or incomplete information;
- 1: Poor – The criterion is inadequately addressed or there are serious inherent weaknesses;
- 2: Fair – The proposal broadly addresses the criterion but there are significant weaknesses;
- 3: Good – The proposal addresses the criterion well but with a number of shortcomings;
- 4: Very good – The proposal addresses the criterion very well but with a small number of shortcomings;
- 5: Excellent – The proposal successfully addresses all relevant aspects of the criterion; any shortcomings are minor

Maximum overall score is 100.

Representatives of KIC proposals reaching or exceeding the threshold of 70% will be invited to the hearings of the EIT Governing Board.

## VI. Governing Board Hearing Criteria

At the evaluation stage of the Governing Board Hearing, the overall strategic rationality and consistency of the KIC model presented in the proposal will be assessed. This will be done by evaluating the proposals from a holistic perspective against the three main selection criteria: **Strategy**, **Operations** and **Impact**. In particular, the following aspects that are key to the effective implementation of the KIC model will be assessed:

- **Strategy** - adaptability and suitability of the KIC model for the proposed strategic approach by the applicant;
- **Operations** – feasibility of the proposed KIC's operational model and its financial sustainability, taking into account lessons learnt from current KICs;
- **Impact** – consistency of the applicant's KICs model and its potential to achieve a significant and sustainable systemic impact in line with the EIT's overall objectives;

Each criterion will be scored with 10 points [1- 5 points; weighting: 2] by the Governing Board, therefore the maximum score that can be obtained in the hearing is 30 points. The Governing Board's score will be calculated as average of the individual scores of Governing Board members.

The sum of the points from the Governing Board Hearing will be added to the points obtained at the technical evaluation stage (Panel of Experts stage). The proposal which will receive the highest number of points out of the maximum of 130 points will be designated by the EIT Governing Board (one proposal per thematic area). The consensus opinion of the Governing Board and the scores given by the Governing Board will be summarised and recorded in the Hearing Report.

**Table 1: Technical evaluation criteria**

STRATEGY 30 points max.	OPERATIONS 30 points max.	IMPACT 40 points max.
<b>TOTAL 100 points</b>		
<p><b>1.1 STRATEGIC APPROACH</b></p> <p>Relevance and specificity of the strategic approach; applicability of the KIC model to tackle the societal challenge(s) of Horizon 2020 via a multidisciplinary approach by integrating the Knowledge Triangle and fostering entrepreneurship and innovation. <i>[10 points max]</i></p> <p>[1-5 points; weighting: 2]</p> <p><b>1.2 ADDED-VALUE, INNOVATIVENESS AND SYNERGIES</b></p> <p>Novelty of the strategic market-oriented approach; added-value and readiness to establish concrete synergies and complementarities with EU and other relevant global, public, private and third sector initiatives. <i>[10 points max]</i></p> <p>[1- 5 points; weighting: 2]</p> <p><b>1.3 KIC PARTNERSHIP INNOVATION QUALITY</b></p> <p>The combined strength and quality of the partners (including SMEs), forming a diverse, balanced, collaborative and world-class partnership. <i>[10 points max]</i></p> <p>[1- 5 points; weighting: 2]</p>	<p><b>2.1 KIC GOVERNANCE AND LEADERSHIP</b></p> <p>Quality and relevance of the KIC governance and management model including suitability of the KIC Legal Entity to implement the KIC's strategy, including the involvement of partners' top management in the KIC's governance and the quality of the leadership team profiles. <i>[10 points max]</i></p> <p>[1- 5 points; weighing: 2]</p> <p><b>2.2. OPERATIONS</b></p> <p>Effectiveness of the operational structure including Knowledge Triangle Integration within and connectivity among co-location centres; quality, innovativeness and relevance of key identified thematic areas and demonstration of how activities (education, research, and business) are integrated in the entrepreneurship-driven Knowledge Triangle to foster innovation. <i>[10 points max]</i></p> <p>[1- 5 points; weighting: 2]</p> <p><b>2.3 KIC BUSINESS MODEL AND FINANCIAL PLAN</b></p> <p>Feasibility of the KIC's business model and financial plan (including EIT and non-EIT resources) for achieving financial sustainability in the long-term; a plan for the management and exploitation of intellectual property supporting the KIC's business model. <i>[10 points max]</i></p> <p>[1- 5 points; weighting: 2]</p>	<p><b>3.1 IMPACT AND KIC SCOREBOARD</b></p> <p>Mid and long-term potential pan-European impact on human capital, job creation, economic growth and its relevance in the context of the KIC's strategy and the EIT's Strategic Innovation Agenda. Relevance and feasibility of the expected outputs and Key Performance Indicators (KPIs) included in a KIC Scoreboard and their contribution to the EIT Scoreboard. <i>[25 points max]</i></p> <p>[1-5 points; weighting: 5]</p> <p><b>3.2 COMMUNICATION, OUTREACH AND DISSEMINATION</b></p> <p>Quality and relevance of the KIC communication strategy including the contribution to building the EIT identity; quality and relevance of the outreach and dissemination plans, including sharing good practices, within, between and beyond the KICs, across EU Member States, regions (also in regions with a lower innovation capacity) and institutions to ensure a widening of the reach of the EIT. <i>[15 points max]</i></p> <p>[1- 5 points; weighting: 3]</p>