Ref. Ares(2024)6624680 - 19/09/2024



European Institute of Innovation and Technology

Invitation to submit a proposal for the Critical Raw Material Value Chains Facility (CRM Facility)

HORIZON-EIT-2024-CRM-IBA

HORIZON EUROPE Programme

Version 1.0

19 September 2024

HISTORY OF CHANGES			
Version	**Publication Date**	**Change**	**Page**
1.0	19.09.2024	Initial version.	

Table of Contents

1 Introduction 5
2 Background 6
3 Objectives, Scope and Activities 7
3.1 Overall objective 7
3.2 Specific objectives 7
3.3 Themes and priorities (scope) 7
3.4 Activities that can be funded (scope) 8
4 Expected results (impact, outcome, output) 11
5 Available budget 11
6 Timetable and deadlines 11
7 Admissibility and documents 12
8 Eligibility 13
8.1 Entities eligible for funding 13
8.2 Eligible activities 14
8.3 Geographic location (target countries) 14
9 Ethics and values 15
10 Exclusion, financial and operational capacity 15
10.1 Exclusion 15
10.2 Financial and operational capacity 16
11 Evaluation and award procedure 17
12 Award criteria 17
13 Legal and financial set-up of the Grant Agreements 19
13.1 Starting date and project duration 19
13.2 Milestones and deliverables 20
13.3 Form of grant, funding rate and maximum grant amount 20
13.4 Budget categories and cost eligibility rules 20
13.5 Eligibility of direct and indirect costs 21
13.6 Financial support to third parties 21
13.7 No double funding 22
13.8 Reporting and payment arrangements 22
13.9 Certificates 24
13.10 Liability regime for recoveries 24
13.11 Provisions concerning the project implementation 24
13.12 Non-compliance and breach of contract 25
14 How to submit an application 25
14.1 Submit the proposal (using PIC number) 25
14.2 Contact 26
15 Transparency 26
16 Processing of personal data 26
17 Annexes: 27

1 Introduction

This is an **invitation to submit proposals for an EU action grant** in the field of critical raw materials for an EU action grant financed from the Neighbourhood, Development and International Cooperation Instrument — Global Europe (NDICI-GE) programme, which will be managed by the European Institute of Innovation and Technology (EIT) under the Horizon Europe legal framework.

The regulatory and contractual framework for this action is the following:

- **EIT legal framework**: EIT Regulation (recast)[1] and EIT Strategic Innovation Agenda 2021-2027[2] and the EIT's 2024 Work Programme[3];
- **The implementation of the grant will follow the Horizon Europe legal framework** (HE Regulation[4]);
- The operational aspects of the action shall take into account the **NDICI Regulation**[5] 2021/947[6].

The Invitation is launched following the signature of the **Contribution Agreement** between the European Commission (DG INTPA) and the EIT on 5 September 2024.

This Invitation concerns the **direct award to EIT Raw Materials Knowledge and Innovation Community KIC Legal Entity and EIT InnoEnergy KIC Legal Entity** for **the Critical Raw Materials Value Chains Facility activities** (the topic of the 'action') in order to develop and integrate sustainable raw materials value chains between the EU and selected natural resource-rich partner countries to secure a reliable supply of critical and strategic raw materials to the EU, while supporting partner countries in extracting value locally from their natural resources.

Direct applicants are invited to read the **invitation documentation** carefully, and in particular this Invitation Document, the Horizon Europe Model Grant Agreement, the EU Funding & Tenders Portal Online Manual and the EU Grants AGA — Annotated Grant Agreement.

These documents provide clarifications and answers to questions that might arise when preparing the application.

The Invitation outlines the following:

- background, objectives, scope, activities that can be funded and the expected results (sections 1 and 2)
- timetable and available budget (sections 3 and 4)

[1] Regulation (EU) 2021/819 of the European Parliament and of the Council of 20 May 2021 on the European Institute of Innovation and Technology (recast) (OJ L 189, 28.5.2021, p. 61)

[2] Decision (EU) 2021/820 of the European Parliament and of the Council of 20 May 2021 on the Strategic Innovation Agenda of the European Institute of Innovation and Technology (EIT) 2021-2027: Boosting the Innovation Talent and Capacity of Europe and repealing decision No 1312/2013/EU (OJ L 189, 28.5.2021, p. 91)

[3] Decision 36/2023 of the EIT Governing Board on the Amendment of the Final Single Programming Document (2023-2025) of the EIT (ref. Ares(2023)8035875)

[4] Regulation (EU) 2021/695 of the European Parliament and of the Council the Council of 28 April 2021 establishing Horizon Europe – the Framework Programme for Research and Innovation, laying down its rules for participation and dissemination, and repealing Regulations (EU) No 1290/2013 and (EU) No 1291/2013 (OJ L

[5] Regulation (EU) 2021/947 of the European Parliament and of the Council of 9 June 2021 establishing the Neighbourhood, Development and International Cooperation Instrument – Global Europe, amending and repealing Decision No 466/2014/EU of the European Parliament and of the Council and repealing Regulation (EU) 2017/1601 of the European Parliament and of the Council and Council Regulation (EC, Euratom) No 480/2009 (OJ L 209, 14.6.2021, p. 1–78)

- admissibility and eligibility conditions (including mandatory documents; sections 5 and 6)
- criteria for financial and operational capacity and exclusion (section 7)
- evaluation and award procedure (section 8)
- award criteria (section 9)
- legal and financial set-up of the Grant Agreements (section 10)
- how to submit an application (section 11)

The Online Manual outlines the:

- procedures to register and submit proposals online via the EU Funding & Tenders Portal ('Portal');
- recommendations for the preparation of the application.

The AGA — Annotated Grant Agreement contains:

- detailed annotations on all the provisions in the Grant Agreement you will have to sign in order to obtain the grant *(including cost eligibility, payment schedule, accessory obligations, etc)*.

2 Background

The EU, as the rest of the world, is in growing need of securing access to Critical Raw Materials (CRM) necessary to achieve the twin green and digital transition. Global demand for CRMs is forecasted to increase significantly over the next years. Presence of EU industry players is limited both at the extraction stage and in the subsequent processing stages, which puts the EU in a situation of over-reliance or dependency on a number of third countries for the supply of these materials .

On 16 March 2023, the Commission announced its CRM package, setting up the framework necessary to ensure the EU's access to diversified and sustainable supply of CRMs. On 18 March 2024, the Council adopted the Critical Raw Materials Act (CRM Act), thus concluding the related legislative process. While acknowledging the need for increasing the extraction, processing and recycling capacities within the EU, the CRM Act also recognizes the importance to strengthen the EU's global engagement with reliable partners through the establishment of strategic partnerships on sustainable raw materials value chains. These partnerships are mutually beneficial in that they will secure and diversify the supply of CRM to the EU and also support partner countries to derive value locally, including by developing processing capacities locally and moving up along the value chain. The CRM Act also acknowledges the role of the Global Gateway as a strategy through which this work will be implemented. In complementarity to the work on the strategic partnerships, the CRM Act also lays down criteria for the identification of strategic projects, both inside and outside of the EU, that will benefit from an increased access to finance. The selection will be done through rolling calls for strategic projects, the first of which is expected during Q3 2024.

A strategic partnership typically consists of a Memorandum of Understanding (MoU) with a Roadmap of concrete actions along pre-defined pillars covering aspects related to integration of critical raw materials value chains, research and innovation, promotion of environmental, social and

governance (ESG) standards, infrastructure development as well as capacity building, training and skills. So far, the EU has concluded twelve strategic partnerships with Canada and Ukraine (2021), Namibia and Kazakhstan (2022), Argentina, Chile, DRC, Zambia and Greenland (2023), and Rwanda, Norway and Uzbekistan (2024). Further potential partnerships may include Brazil, Indonesia, Philippines, Serbia, South Africa, Tanzania, Uganda and others.

An essential step of implementing a strategic partnership is however the identification of concrete investment opportunities with a European interest in these countries, which the political umbrella offered by the EU via the partnership could facilitate. To that end, it is crucial for the EU to mobilise its own resources (for investments in countries outside of the EU this is for the moment primarily grants, technical assistance and guarantees/blended financing through the European Fund for Sustainable Development Plus (EFSD+)), financial instruments managed by the European financial institutions, as well as financing from Member States, their private sector, their Development Financial Institutions (DFIs) and their Export Credit Agencies (ECAs), in a Team Europe approach and in line with the EU Global Gateway strategy as essential delivery mechanism.

3 Objectives, Scope and Activities

3.1 Overall objective

The overall objective of this facility is to develop and integrate sustainable raw materials value chains between the EU and selected natural resource-rich partner countries to secure a reliable supply of critical and strategic raw materials to the EU, while supporting partner countries in extracting value locally from their natural resources.

3.2 Specific objectives

To achieve the overall objective, it is crucial to:

I. Increase cooperation of all relevant stakeholders along the value chain (governments, private sector actors, financial institutions, civil society),

II. Pool all available resources and de-risking tools at European level and work in a Team Europe approach (with EU member states, EU private sector, EU financial institutions).

It is expected that the CRM Facility will contribute to both feeding the pipeline of Strategic Projects as described in the CRM Act and in enabling their operationalization and financing.

Where necessary, the facility is expected to hire external (long- or short-term), highly specialised expertise.

3.3 Themes and priorities (scope)

The activities under this facility will focus on the EU list of critical and strategic raw materials as set out in annex II of the Critical Raw Materials Act and will cover the entire raw materials value chain (exploration, extraction, processing, refining, recycling) as well as the surrounding enabling environment (skills, training, infrastructure, transport, energy etc.). The facility has a global scope and will cover countries in Latin America and the Caribbean, Africa, Asia and the Pacific, as well as the EU neighbourhood. A focus will be on i) countries with whom the EU has already signed a strategic partnership (Ukraine, Kazakhstan, Namibia, Chile, Argentina, DRC, Zambia, Greenland, Rwanda, Uzbekistan) and on ii) countries of interest for a future partnership (Brazil, Indonesia, Philippines, Serbia, South Africa, Tanzania, and Uganda) as well as iii) countries identified by EU

services as especially interesting due to evolving EU geopolitical and industrial interest such as the Western Balkans. Costs related to activities incurred in other countries may also be eligible, as long as they are considered necessary to contribute to the overall objective outlined above.

3.4 Activities that can be funded (scope)

To achieve the objectives, the CRM facility will be structured along three main components with the following activities.

I. **The first component** will cover activities related to data gathering, trainings, knowledge management and capacity building with the aim to increase the knowledge of EU staff in HQ and EU Delegations about the CRM sector and its most important stakeholders.

II. **The second component** will focus on business facilitation through the organisation of events and business missions as well as B2B/G2B/G2G matchmaking activities.

III. **The third component** – the most important – will provide technical expertise for the building up of a pipeline of projects (pre-due diligence type of work) for the integration of value chains between the EU and partner countries. The facility will identify and evaluate concrete raw materials investment projects in countries outside of the EU to help EU development finance institutions (DFIs), commercial banks and other financial actors (including export credit agencies (ECAs)) get input into their pipeline of projects and hence support access to finance and de-risking for these projects.

<u>Component 1: Data gathering, capacity building and knowledge management</u>

1.1 Development of local intelligence and business networks

The facility shall help further identify relevant EU, international (from like-minded countries) and local stakeholders (private sector, financial institutions, civil society) that are active in the focus countries as listed before. It shall facilitate contacts between these and the EU staff, both in HQ and EU delegations, and in cooperation with EU Member States. This activity shall create and expand business networks and increase the presence and visibility of the EU (Team Europe) as a credible actor in the sector.

1.2 Studies to identify potential or assess alternative investment opportunities in actual or potential strategic partnership countries including knowledge management of existing studies

The facility shall conduct studies and analysis to increase the knowledge and capacities of relevant EU staff in HQ and EU Delegations. The objective is to help EU staff identify and assess opportunities for strategic partnerships and strategic investments in sustainable raw materials value chains in selected third countries.

Studies will include the mineral potential of selected third countries, the structure of relevant value chains, mapping of relevant EU actors active along these value chains, market intelligence and assessment of business/investment opportunities of EU interest, analysis of research and innovation activities, potential legal and investment framework and barriers/enablers towards investment, assessments of specific risks affecting the EU interest, strategies to minimize these risks etc. The facility shall also extract and assess relevant knowledge from existing studies. These assignments should be delivered within 6-8 weeks and be on demand from EU delegations and HQ.

1.3 Design and deliver short training modules to relevant EU staff to increase their knowledge of the sector and contribute to an effective implementation of the strategic partnerships and related programmes on raw materials

The facility shall design short learning modules adapted to the needs of EU staff and deliver these in short interactive training and peer-to-peer exchanges (in-person and/or online as appropriate). The trainings may be recorded for further internal dissemination and future use. The trainings will build upon the intelligence gathered through activities 1 and 2 above and may also be open to relevant EU Member States. Specific focus of the trainings shall be defined in close consultation with the EU staff and other relevant beneficiaries. Synergies shall also be explored with existing data and tools such as the Raw Materials Information System (RMIS - Raw Materials Information System (europa.eu) of the JRC (Joint Research Center of the EU) to avoid duplication of efforts. The trainings for EU Delegations may be country/region specific and contribute to exchange of experiences across colleagues around the implementation of the strategic partnerships on raw materials value chains as well as the programming and designing of relevant cooperation actions.

Component 2: Technical assistance to support business facilitation through the organisation of EU business missions and match-making activities including ensuring EU participation in major international mining events

2.1 Organisation and conceptual expertise for EU Business Missions to EU priority countries

The facility shall assist the EU in the organization of business missions to priority countries with whom the EU has already concluded a strategic partnership or is strengthening its cooperation on raw materials where potential investment projects of European interest could be developed.

The facility shall support in the preparatory stage of the business mission, in the identification and selection of locations to be covered by the visit, including relevant business and investment opportunities, as well as in the identification of and engagement with relevant EU stakeholders (primarily EU private sector and financial institutions) who would join the mission. The facility may also play a role during the business mission, with relevant experts taking part in it as appropriate and playing an active role in expanding the network and scouting new business opportunities.

The facility budget shall cover logistical arrangements and related costs of the business mission, in case no other funding source is available. Related logistical arrangements, including visibility and communication, may be subcontracted to an external service provider.

2.2 Reinforce Business-to-Business ties between EU, local and like-minded international companies along the value chains including design and identification of potential off-take agreements

The facility shall support B2B/G2B/G2G matchmaking activities at local and international level. This includes the organisation of stand-alone investment promotion events or dedicated B2B sessions within events organised by third parties. The facility shall also facilitate the organization of EU Business Fora that have a CRM/mining focus by disseminating information among its networks and identifying interested companies and potential speakers to take part in them. The matchmaking activities shall focus on building business ties between the EU and local companies to support local value addition in third countries as well as facilitating offtake agreements for the European industry.

The events may either take place in the EU (mostly Brussels) or as appropriate in partner countries, often back-to-back with an existing EU Business Forum or a large mining conference such as Mining Indaba or DRC Mining Week. The facility budget shall cover logistical arrangements and related costs of the matchmaking events, in case no other funding source is available. Related logistical arrangements, including visibility and communication, may be subcontracted to an external service provider.

Where relevant, synergies may be explored with other existing business and networking events such

as the EU-Africa Business Forum (EABF) and negotiations rounds or implementation committees such as FTA/SIFA negotiations.

2.3 Promote EU participation and EU visibility in sectoral conferences and events. These may include Mining Indaba, DRC Mining Week, PDAC and others.

The facility shall enable and promote the participation and visibility of the EU and Team Europe in third-party mining conferences and events. This includes supporting the EU in developing the concept and the format of its participation (setting up of an EU booth, designing an EU panel discussion, setting up an agenda of bilateral meetings, etc.), with the objective of promoting the positioning of the EU in the sector, advancing the strategic partnerships agenda and proposing Team Europe as a partner of reference. The facility budget shall cover logistical arrangements and other costs related to the EU participation in said mining events, in case no other funding source is available. Related logistical arrangements, including visibility and communication, may be subcontracted to an external service provider.

A first and very important example of this will be the **2025 edition of Mining Indaba** (Cape Town, 3-5 February 2025). Negotiations between DG INTPA and the exclusive organisers of the event (Hyve Group) have been ongoing since February 2024 to secure the 112 sqm surface that will host the Team Europe pavilion. The beneficiaries of the facility will be expected to include this activity in their proposal, and as a matter of priority to finalise the deal by signing the necessary forms, as provided by Hyve, and later on settling the bill, which is estimated between 150,000 and 300,000 EUR depending on the number of parties (Member States, banks, etc) who will be willing to come onboard. Any additional costs related to the construction of the booth and other logistical, visibility or communication arrangements related to Mining Indaba 2025 will not need to be included in this proposal and will be covered through a dedicated framework contract that is under preparation.

<u>Component 3: Technical assistance to build up a pipeline of projects for the integration of value chains between the EU and partner countries with the involvement of all relevant stakeholders and a strong focus on local value creation</u>

3.1 Identify and advise on a pipeline of potential business investment projects along the raw materials value chains that can be jointly developed with the EU private sector (with a focus but not limited to countries covered by a strategic partnership)

The facility shall support in the identification and assessment of concrete business/investment opportunities in raw materials value chains in third countries, with a preference to countries with a strategic partnership. A key aspect for the assessment of projects is to evaluate their technical and financial maturity.

These concrete projects will have an EU interest (either through the involvement of the EU industry and/ or through a potential offtake agreement by an EU operator). The facility shall both i) proactively contribute to the identification of investment opportunities and ii) provide advice to EU staff (both in HQ and in Delegation) on investment opportunities they may come across through different channels, building on what exists already (previous work done internally in DG INTPA and GROW, pipeline of projects identified by AfricaMaval etc.).

This work shall also contribute to the identification of potential strategic projects that may later apply for the label of Strategic Projects as defined under the Critical Raw Materials Act.

Whenever relevant, the facility will assist the EU staff by taking part in relevant bilateral meetings and supporting the assessment of said projects, against criteria such as:

- the importance of the material for the EU industry (in line with Annex I of the CRM Act)

- the involvement of the EU industry (number of actors, at what step of the value chain),
- financing need and possibilities,
- opportunity to create local value and contribute to socioeconomic development (job creation, access to water/energy),
- legal and investment framework,
- ESG and reputational risks.

4 Expected results (impact, outcome, output)

The expected impact and result shall be in line with the EIT Impact Framework (2022-2027) and with the EIT's Key Performance Indicators based on EIT Governing Board Decision 08/2022.

On the level of the CRM Facility activities, the overall and specific objectives, the expected results and activities are described in **Annex I – Logical Framework Matrix.**

5 Available budget

The **maximum available budget for this action is EUR 5,880,000.**

We reserve the right not to award (all of) the available fund, depending on the proposal received and the results of the evaluation.

Indicative budget information per components can be found in the table below:

Component	Budget (EUR)
Component 1	784,500.00
Component 2	1,961,500.00
Component 3	3,134,000.00
TOTAL	5,880,000.00

6 Timetable and deadlines

The indicative timeline of the submission and evaluation procedure is the following:

Key dates	Date and time or indicative period
Launch of Invitation to submit a proposal on the Funding & Tenders Portal	19 September 2024
Invitation opening for proposal submission	20 September 2024
Deadline for submission of the proposal	**22 October 2024**
Evaluation period	22 October – end-November 2024

Starting date of the action (retroactive)	**22 October 2024** (or the exact date of the proposal submission)
Grant award decision by EIT Director	November 2024
Information on evaluation result to the applicant(s)	End-November 2024
Grant Agreement signature	**December 2024/January 2025**

7 Admissibility and documents

The proposal must be submitted by the invited KICs **within the invitation deadline** (see timetable section 6).

The proposal must be submitted electronically via the Funding & Tenders Portal Electronic Submission System (as an action by invitation (named Beneficiaries and GA)). Paper submission is NOT possible.

The proposal (including the annexes and supporting documents) must be submitted using the forms provided inside the Submission System (NOT the documents available on the Topic page — they are only for information).

⚠ Please note that not using the correct template or not complying with the instructions therein (e.*g font size limit, deletion of instructions, etc*) may lead to the inadmissibility of your proposal. Furthermore, to ensure a proper evaluation of your project the appropriate sections of the template must be filled in.

The proposal must be **complete** and contain all the requested information and all required annexes and supporting documents:

- Application Form Part A — contains administrative information about the participants (future coordinator, beneficiaries and affiliated entities) and the summarised budget for the project *(to be filled in directly online)*
- Application Form Part B — contains the technical description of the project (*to be downloaded from the Portal Submission System, completed and then assembled and re-uploaded)*
- **mandatory annexes and supporting documents** (*templates available to be downloaded from the Portal Submission System, completed, assembled and re-uploaded*):
  - Detailed budget table/calculator
  - Logframe and work plan (activities matrix)

Please note that the amounts entered into the summarised budget table (filled in directly online) must correspond to the amounts calculated in the detailed budget table. In case of discrepancies, the amounts in the online summarised budget table will prevail.

At proposal submission, the lead applicant will have to confirm that to have the mandate to act for all other participants (only in case the proposal is submitted by a consortium). Moreover, the lead applicant will have to confirm that the information in the application is correct and complete and that the participants comply with the conditions for receiving EU funding (especially eligibility, exclusion, financial and operational capacity, etc). Before signing the grant, each beneficiary and

affiliated entity will have to confirm this again by signing a declaration of honour (DoH). Proposals without full support will be rejected.

The submitted application must be **readable, accessible and printable**.

Proposals are limited to **maximum 70 pages** (Part B). Evaluators will not consider any additional pages.

You may be asked at a later stage for further documents *(for legal entity validation, financial capacity check, bank account validation, etc)*.

For more information about the submission process (including IT aspects), consult the Online Manual.

8 Eligibility

8.1 Entities eligible for funding

Article 195(f) of the EU Financial Regulation allows that a grant may be awarded without a call for proposals for activities with specific characteristics that require a particular type of body on account of its technical competence, its high degree of specialisation or its administrative powers (on condition that the activities concerned do not fall within the scope of a call for proposals).

In accordance with the Annual Work Programme 2024 of the EIT, and the Contribution Agreement concluded between DG INTPA and the EIT, **this invitation is addressed to the:**

- **KIC Legal Entity of EIT Raw Materials, and**
- **KIC Legal Entity of EIT InnoEnergy.**

The EIT expects to receive only one proposal submitted by **the KIC Legal Entities of EIT Raw Materials and EIT InnoEnergy in a consortium**[7]: Besides one KIC Legal Entity acting as coordinator, the other KIC Legal Entity shall participate in the proposal as applicant (and will be co-beneficiary in the grant agreement).

Other entities may participate in other consortium roles, such as affiliated entities, associated partners, subcontractors, third parties giving in-kind contributions, etc *(see section 13 and see Model Grant Agreement provisions)*.

Any beneficiary and affiliated entity must register in the Participant Register — before submitting the proposal — and will have to be validated by the Central Validation Service (REA Validation). For the validation, they will be requested to upload documents showing legal status and origin.

Please note that the efficient allocation of project roles will be evaluated as part of the 'Implementation' and 'Budget and cost effectiveness' criteria.

[7] In this invitation, any reference to an "applicant" shall also mean a reference to "two applicants forming a consortium".

Natural persons — Natural persons are NOT eligible (with the exception of self-employed persons, i.e. sole traders, where the company does not have legal personality separate from that of the natural person).

Entities without legal personality — Entities which do not have legal personality under their national law may exceptionally participate, provided that their representatives have the capacity to undertake legal obligations on their behalf, and offer guarantees for the protection of the EU financial interests equivalent to that offered by legal persons.

EU bodies — EU bodies can NOT be part of the consortium.

Associations and interest groupings — Entities composed of members may participate as 'sole beneficiaries' or 'beneficiaries without legal personality'[8]. Please note that if the action will be implemented by the members, they should also participate (either as beneficiaries or as affiliated entities, otherwise their costs will NOT be eligible).

EU restrictive measures — Special rules apply for certain entities *(e.g. entities subject to EU restrictive measures under Article 29 of the Treaty on the European Union (TEU) and Article 215 of the Treaty on the Functioning of the EU (TFEU)[9])*. Such entities are not eligible to participate in any capacity, including as beneficiaries, affiliated entities, associated partners, subcontractors or recipients of financial support to third parties (if any).

For more information, *see Rules for Legal Entity Validation, LEAR Appointment and Financial Capacity Assessment*.

8.2 Eligible activities

Eligible activities are the ones set out in Section 3 above.

8.3 Geographic location (target countries)

Proposals must relate to activities taking place in:

i) Countries with whom the EU has already signed a strategic partnership (Ukraine, Kazakhstan, Namibia, Chile, Argentina, DRC, Zambia, Greenland, Rwanda, Uzbekistan), and

ii) Countries of interest for a future partnership (Brazil, Indonesia, Philippines, Serbia, South Africa, Tanzania, and Uganda), as well as

iii) Countries identified by EU services as especially interesting due to evolving EU geopolitical and industrial interest such as the Western Balkans.

The above listed countries are therefore explicitly identified in this Invitation as eligible for funding.

In case of other third countries, the eligibility for funding must be determined under the Horizon Europe rules[10].

---

8 For the definitions, see Articles 187(2) and 197(2)(c) EU Financial Regulation 2018/1046.

9 Please note that the EU Official Journal contains the official list and, in case of conflict, its content prevails over that of the EU Sanctions Map.

10 https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/common/guidance/list-3rd-country-participation_horizon-euratom_en.pdf

9 Ethics and values

The project must comply with the highest ethical standards and integrity and with applicable EU, international and national law.

The beneficiaries must pay particular attention to the principle of proportionality, the right to privacy, the right to the protection of personal data, the right to non-discrimination, the need to ensure protection of the environment and high levels of human health protection.

They must respect human rights, environmental legislation applicable in the countries where the action is taking place and internationally agreed core labour standards (e.g. the ILO core labour standards, conventions on freedom of association and collective bargaining, elimination of forced and compulsory labour, elimination of discrimination in respect of employment and occupation, and the abolition of child labour).

They must respect the right to the physical and mental integrity of a person (including no physical abuse or punishment, threats of physical abuse, sexual abuse or exploitation, harassment and verbal abuse, as well as other forms of intimidation). Such incidents (if any) must be reported to the granting authority within 30 days of when the beneficiary learned about them.

Any form of conflict of interest, bribery or corruption is prohibited under this Agreement. Project tasks must be implemented in a transparent and objective way, in the sole interest of the project and avoiding any conflicts of interest. Beneficiaries must not give or receive (or promise or agree to) any gift, gratuity, commission or consideration of any kind as an inducement or reward for performing or refraining from performing any act relating to the project or for showing favour or disfavour to any person in relation to the project. They must comply with all applicable laws and regulations and codes relating to anti-bribery and anti-corruption.

A project involving ethics issues will have to undergo an ethics review to authorise funding and may be made subject to specific ethics rules (which become part of the Grant Agreement in the form of ethics deliverables, *e.g. ethics committee opinions/notifications/authorisations required under national or EU law*).

10 Exclusion, financial and operational capacity

10.1 Exclusion

Applicants which are subject to an **EU exclusion decision** or in one of the following **exclusion situations** that bar them from receiving EU funding can NOT participate[11]:

- bankruptcy, winding up, affairs administered by the courts, arrangement with creditors, suspended business activities or other similar procedures (including procedures for persons with unlimited liability for the applicant's debts)
- in breach of social security or tax obligations (including if done by persons with unlimited liability for the applicant's debts)

[11] See Articles 136 and 141 of EU Financial Regulation 2018/1046.

- guilty of grave professional misconduct[12] (including if done by persons having powers of representation, decision-making or control, beneficial owners or persons who are essential for the award/implementation of the grant
- committed fraud, corruption, links to a criminal organisation, money laundering, terrorism-related crimes (including terrorism financing), child labour or human trafficking (including if done by persons having powers of representation, decision-making or control, beneficial owners or persons who are essential for the award/implementation of the grant
- shown significant deficiencies in complying with main obligations under an EU procurement contract, grant agreement, prize, expert contract, or similar (including if done by persons having powers of representation, decision-making or control, beneficial owners or persons who are essential for the award/implementation of the grant
- guilty of irregularities within the meaning of Article 1(2) of EU Regulation 2988/95 (including if done by persons having powers of representation, decision-making or control, beneficial owners or persons who are essential for the award/implementation of the grant
- created under a different jurisdiction with the intent to circumvent fiscal, social or other legal obligations in the country of origin or created another entity with this purpose (including if done by persons having powers of representation, decision-making or control, beneficial owners or persons who are essential for the award/implementation of the grant.

Applicants will also be rejected if it turns out that[13]:

- during the award procedure they misrepresented information required as a condition for participating or failed to supply that information
- they were previously involved in the preparation of the invitation and this entails a distortion of competition that cannot be remedied otherwise (conflict of interest).

10.2 Financial and operational capacity

As stated in Section 6.1, this invitation is addressed to the two KIC Legal Entities as particular type of bodies in accordance with Article 195(f) of the Financial Regulation, and they are, in principle, considered to have sufficient financial and operational capacity to carry out the action.

By submitting the application, the applicant confirms that it has **stable and sufficient financial resources** and the **know-how, qualifications and operational resources (human, technical and other)** to successfully implement the project.

If a KIC is participating in several grant agreements, it must have sufficient capacity to implement them parallel.

In accordance with Article 27 of the Horizon Europe Regulation, the financial capacity shall be verified only for the Coordinator and only if the requested funding is equal or greater than EUR 500,000.

[12] Professional misconduct includes: violation of ethical standards of the profession, wrongful conduct with impact on professional credibility, false declarations/misrepresentation of information, participation in a cartel or other agreement distorting competition, violation of IPR, attempting to influence decision-making processes or obtain confidential information from public authorities to gain advantage.

[13] See Article 141 EU Financial Regulation 2018/1046.

At the proposal submission stage, the Coordinator will be asked to confirm that the organisation has carried out a self-check of the financial capacity of the organisation through the financial self-check tool[14] or has been covered by a financial viability check for an EU project for the last closed financial year.

If, before the award decision, the Coordinator's financial viability is assessed as "weak" or "insufficient", the EIT may request specific measures to address this risk (e.g. the activities will be subject to additional monitoring and reporting based on an action plan; the financial capacity of the Coordinator may be structurally guaranteed by another legal entity/ies).

11 Evaluation and award procedure

The invited proposal will have to follow a **single-stage submission procedure**. It will be checked against the formal requirements (admissibility) and then evaluated by an evaluation committee (assisted by an independent external expert) for eligibility, operational capacity and award criteria (see sections 7 and 9). If successful, the applicants will be invited for grant agreement preparation.

⚠ No commitment for funding — Invitation to grant preparation does NOT constitute a formal commitment for funding, as various legal checks need to be completed and confirmed before grant award: *legal entity validation, financial capacity, exclusion check, etc*.

Grant preparation will involve a dialogue in order to fine-tune technical or financial aspects of the project and may require extra information from the applicant side. It may also include adjustments to the proposal to address recommendations and/or conditions of the evaluation committee or other concerns. Compliance will be a pre-condition for signing the grant.

If the applicant believes that the evaluation procedure was flawed, a **complaint** can be submitted following the deadlines and procedures set out in the evaluation result letter. Please note that notifications which have not been opened within 10 days after sending will be considered to have been accessed and that deadlines will be counted from opening/access (see also Funding & Tenders Portal Terms and Conditions).

12 Award criteria

The award criteria for this invitation are as follows:

	Criteria	Maximum score
1. Excellence	- Adequacy, clarity and consistency of the proposal; - General objectives and the extent to which they address the objectives of the Invitation and the EIT; - Needs analysis and specific objectives; - Complementarity with other actions and innovation, synergies with other EU and Member States programmes, European added value	40

[14] https://ec.europa.eu/research/participants/lfv/lfvSimulation.do

2. Quality and efficiency of implementation	**Project design and implementation:** - technical quality of the proposal; - methodology for implementing the project (concept and methodology; project management, quality assurance and monitoring and evaluation; risk management); - feasibility of the project within the proposed time frame; cost effectiveness and financial management (value for money) - Quality of the work plan, work packages	20
	Project team, staff and experts and cooperation arrangements: - quality of the project team; - quality of the outside resources; - appropriate procedures and problem-solving mechanisms	20
3. Impact	- Ambition and expected long-term impact of results; - Impact for EU Member States and non-EU countries; - Appropriate communication and dissemination strategy for ensuring visibility, sustainability and long-term impact after EIT funding ends;	20
Total		**100**

The following indicative scale will be used for the assessment:

<u>1.EXCELLENCE (max. 40 points)</u>

- 0 - 8: Fail - Proposal does not comply with the objectives and is inadequate
- 9 - 16: Poor – Proposal properly implements some of the Invitation requirements, but there are inherent weaknesses requiring its full redesign
- 17 – 28: Fair – Proposal properly implements most of the Invitation requirements, but there are significant weaknesses that need to be addressed prior to granting the award
- 29 - 36: Good – Proposal properly implements all the Invitation requirements with several minor weaknesses which are not critical for the implementation my implementation.
- 37 - 40: Excellent – Proposal properly implements all the Invitation requirements with no weaknesses identified

2. <u>QUALITY AND EFFICIENCY OF IMPLEMENTATION</u> (max. 20 points on Project design and implementation + max. 20 points on Project team, staff and experts and cooperation arrangements):

- 0 - 4: Fail - Proposal quality (Project design and implementation / Project teams, staff and experts and cooperation arrangements) is inadequate

- 5 - 8: Poor – Proposal quality (Project design and implementation / Project teams, staff and experts and cooperation arrangements) is somewhat adequate but contain inherent weaknesses requiring its full redesign
- 9 – 14: Fair – Proposal quality (Project design and implementation / Project team, staff and experts and cooperation arrangements) is adequate but have significant weaknesses that need to be addressed prior to granting the Award
- 15 - 18: Good – Proposal quality (Project design and implementation / Project teams, staff and experts and cooperation arrangements) is fully adequate with a few minor weaknesses which are not critical for the implementation
- 19 - 20: Excellent – Proposal quality (Project design and implementation / Project teams, staff and experts and cooperation arrangements) is fully adequate with no weaknesses identified

3. IMPACT (max. 20 points):

- 0 - 4: Fail - Proposal impact is inadequate
- 5 - 8: Poor – Proposal impact is somewhat adequate but contain inherent weaknesses requiring its full redesign
- 9 – 14: Fair – Proposal impact is adequate but have significant weaknesses that need to be addressed prior to granting the Award
- 15 - 18: Good – Proposal impact is fully adequate with a few minor weaknesses which are not critical for the implementation
- 19 - 20: Excellent – Proposal quality is fully adequate with no weaknesses identified

13 Legal and financial set-up of the Grant Agreements

After passing the evaluation, the project will be invited for grant preparation, where the applicants will be asked to prepare the Grant Agreement together with the EIT Programme Officer.

This Grant Agreement will set the framework for your grant and its terms and conditions, in particular concerning deliverables, reporting and payments.

The Model Grant Agreement that will be used (and all other relevant templates and guidance documents) can be found on Portal Reference Documents.

13.1 Starting date and project duration

The project starting date and duration will be fixed in the Grant Agreement *(Data Sheet, point 1)*.

Unless differently requested by the applicant and agreed by the granting authority, the starting date of the action will be 22 October 2024 (or the exact date of the proposal submission).

Project duration: 36 months

Extensions are possible, if duly justified and through an amendment.

13.2 Milestones and deliverables

The milestones and the deliverables for each project will be managed through the Portal Grant Management System and will be reflected in Annex 1 of the Grant Agreement.

13.3 Form of grant, funding rate and maximum grant amount

Project budget (maximum grant amount) : EUR 5,880,000.00

The grant awarded may be lower than the amount requested.

The **grant will be a budget-based mixed actual cost grant** (actual costs, with unit cost and flat-rate elements). This means that it will reimburse ONLY certain types of costs (eligible costs) and costs that were *actually* incurred for your project (NOT the *budgeted* costs). For unit costs and flat-rates, the amounts will be calculated according to the Grant Agreement *(see art 6 and Annex 2 and 2a)*;

The costs will be reimbursed **at the funding rate fixed in the Grant Agreement: 100%**

The maximum EU contribution for the grant is automatically calculated on the basis of the total costs and the fixed funding rate, but the applicants may request less EU contribution.

The grant may produce a profit (i.e. surplus of revenues + EU grant over costs).

Moreover, please be aware that the final grant amount may be reduced in case of non-compliance with the Grant Agreement *(e.g. improper implementation, breach of obligations, etc).]*

13.4 Budget categories and cost eligibility rules

The budget categories and cost eligibility rules are fixed in the Grant Agreement *(Data Sheet, point 3, art 6 and Annex 2)*.

Budget categories for this invitation:

A. Personnel costs

- A.1 Employees,
- A.2 Natural persons under direct contract,
- A.3 Seconded persons,
- A.4 SME owners and natural person beneficiaries,
- A.6 Personnel unit cost

- B. Subcontracting costs

- C. Purchase costs

- C.1 Travel and subsistence
- C.2 Equipment
- C.3 Other goods, works and services

- D. Other cost categories
    - D.1 Financial support to third parties
    - D.2 Internally invoiced goods and services
- E. Indirect costs

Cost eligibility options:

- Parental leave
- Project-based supplementary payments
- Average personnel costs (unit cost according to usual cost accounting practices)
- Travel and subsistence:
- Travel: Actual costs
- Accommodation: Actual costs
- Subsistence: Actual costs
- Equipment: depreciation only
- Costs for providing financial support to third parties (actual cost; max amount for each recipient: EUR [60,000])
- Indirect cost flat-rate: 25% of the eligible direct costs (categories A-D, except volunteers costs, subcontracting costs, financial support to third parties and exempted specific cost categories, if any)
- VAT: Yes
- Other ineligible costs

-Budget flexibility: Yes (no flexibility cap)

13.5 Eligibility of direct and indirect costs

'Direct costs' are specific costs directly linked to the performance of the action as described under eligible activities in the relevant chapters of this invitation and as presented in the work packages of the proposals, and which can therefore be directly booked to it.

They are:

- either costs that have been caused in full by the activities of the action;
- or costs that have been caused in full by the activities of several actions (projects), the attribution of which to a single action can, and has been, directly measured (i.e., not attributed indirectly via an allocation key, a cost driver, or a proxy).

'Indirect costs' are costs that cannot be identified as specific costs directly linked to the performance of the action. In practice, they are costs whose link to the action cannot be (or has not been) measured directly, but only by means of cost drivers or a proxy (i.e. parameters that apportion the total indirect costs (overheads) among the different activities of the beneficiary).

The costs of KIC management (C-level staff) cannot be claimed as direct costs, even if C-level staff perform activities directly linked to the performance of the action.

13.6 Financial support to third parties

Financial support to third parties involves funding provided by the beneficiary (i.e. the KIC LE) to a recipient that is not a party to the grant agreement. Financial support to third parties includes sub-grants (financial support to third parties, Article 6.2.D.1 (a) of the GA); and financial support in the form of prizes (Article 6.2.D.1 (b) of the GA).

Financial support to third parties established in HE eligible countries and non HE eligible countries:

As a general rule, **financial support can be awarded to entities established in HE eligible countries and the countries explicitly identified as eligible for funding in Chapter 8.3.** In case of other third countries, the eligibility for funding must be determined under the Horizon Europe rules[15].

Within this Invitation, the maximum amount of financial support to third parties should not exceed **EUR 60,000.00** (unless a higher subgrant amount is needed, because otherwise the objective of the action would be impossible or overly difficult to achieve, and agreed with the granting authority).

13.7 No double funding

There is a strict prohibition of double funding from the EU budget. In accordance with Article 191 of the EU Financial Regulation concerning the principle of non-cumulative award and prohibition of double funding, each action may give rise to the award of only one grant from the EU budget to any one beneficiary. In no circumstances shall the same costs be financed twice by the EU budget.

13.8 Reporting and payment arrangements

The reporting and payment arrangements are fixed in the Grant Agreement *(Data Sheet, point 4 and art 21 and 22)*.

Payment of the grant will be made in **three pre-financing instalments and a final payment** (the balance). The aim of the prefinancing is to provide the beneficiaries with a float. The prefinancing remains the property of the EU until the payment of the balance.

- Where the consumption of the previous prefinancing is less than 70%, the amount of the new prefinancing payment will be reduced by the difference between the 70% ceiling and the amount used.

The following payment and reporting scheme is foreseen under this grant:

	When	Requirements	Reporting period
First pre-financing payment (app. 30%)	Within 30 days from entry into force	Contribution to the Mutual Insurance Mechanism will be retained from the first prefinancing payment.	
First Progress Report	Within 30 days after the end of	The **progress report** shall include a technical part only (template will be provided).	1-6 months

[15] https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/common/guidance/list-3rd-country-participation_horizon-euratom_en.pdf

	the reporting period		
Additional prefinancing report	Within 60 days following the end of the reporting period.	The **additional pre-financing report** shall include a technical part and a financial part (i.e. statement on the use of the previous pre-financing payment). If the statement on the use of the previous pre-financing payment shows that less than 70% was used, the amount set out in the Data Sheet will be reduced by the difference between the 70% threshold and the amount used.	1-12 months
Second pre-financing payment (app. 45%)	Within 60 days from receiving the additional pre-financing report / financial guarantee (whichever is the latest).		
Second Progress Report	Within 30 days after the end of the reporting period	The **progress report** shall include a technical part only.	13-18 months
Additional prefinancing report	Within 60 days following the end of the reporting period.	The **additional pre-financing report** shall include a technical part and a financial part (i.e. statement on the use of the previous pre-financing payment). If the statement on the use of the previous pre-financing payment shows that less than 70% was used, the amount set out in the Data Sheet will be reduced by the difference between the 70% threshold and the amount used.	13-24 months
Third pre-financing payment (app. 15%)	Within 60 days from receiving the additional pre-financing report / financial guarantee (whichever is the latest).		
Third Progress Report	Within 30 days after the end of the reporting period	The **progress report** shall include a technical part only.	25-30 months
Final report	Within 60 days following the end of the reporting period.	**Final report** shall include a technical part and a financial part (i.e. individual and consolidated financial statements, explanation on the use of resources, certificates on the financial statements (CFS) if required, etc). The final report shall be submitted 60 days after the end of the reporting period.	1-36 months

Final payment (app. 10%))	Within 90 days from receiving the final report.	The EIT will calculate the final EIT grant amount. If the total of earlier payments is higher than the final grant amount, EIT will ask the beneficiary/ies to pay back the difference (recovery).	

Payment of the balance: At the end of the project, EIT will calculate the final grant amount. If the total of earlier payments is higher than the final grant amount, EIT will ask the coordinator to pay back the difference (recovery).

All payments will be made to the coordinator.

⚠ Please be aware that payments will be automatically lowered if one of the consortium members has outstanding debts towards the EU (granting authority or other EU bodies). Such debts will be offset — in line with the conditions set out in the Grant Agreement *(see art 22)*.

Please also note that the coordinator is responsible for keeping records on all the work done and the costs declared.

13.9 Certificates

Depending on the type of action, size of grant amount and type of beneficiaries, the submission of different certificates might be requested. The types, schedules and thresholds for each certificate are fixed in the Grant Agreement *(Data Sheet, point 4 and art 24)*.

13.10 Liability regime for recoveries

The liability regime for recoveries will be fixed in the Grant Agreement *(Data Sheet point 4.4 and art 22).*

13.11 Provisions concerning the project implementation

Ethics rules: *see Model Grant Agreement (art 14 and Annex 5)*

IPR rules: *see Model Grant Agreement (art 16 and Annex 5):*

- rights of use on results: Yes
- access to results for policy purposes: Yes
- additional rights for partner countries and regional organisations: Yes

Communication, dissemination and visibility of funding: *see Model Grant Agreement (art 17, Annex 5)*

- communication and dissemination plan: Yes
- additional communication and dissemination activities: Yes
- limited communication and visibility to protect persons involved: Yes

  ⚠ If the applicant considers that the communication, dissemination or visibility obligations

under the Grant Agreement would harm the safety of persons involved in the action, please fill out the alternative arrangements section in the Application Form, making sure to NOT disclose the EU grant and source of funding to any third party (including final recipients).

Specific rules for carrying out the action: *see Model Grant Agreement (art 18 and Annex 5):*

- specific rules for international cooperation actions: Yes
- transfer of the assets at the end of the action: Yes
- EU restrictive measures: Yes
- specific rules for financial support to third parties: No
- specific rules for blending operations: No

13.12 Non-compliance and breach of contract

The Grant Agreement (Chapter 5) provides for the measures we may take in case of breach of contract (and other non-compliance issues).

For more information, *see AGA — Annotated Grant Agreement*.

14 How to submit an application

All proposals must be submitted directly online via the Funding & Tenders Portal Electronic Submission System. Paper applications are NOT accepted.

14.1 Submit the proposal (using PIC number)

Access the Electronic Submission System via the Topic page in the Search Funding & Tenders section

Submit your proposal in 3 parts, as follows:

- Part A includes administrative information about the applicant organisations (future coordinator, beneficiaries, affiliated entities and associated partners) and the summarised budget for the proposal. Fill it in directly online
- Part B (description of the action) covers the technical content of the proposal. Download the mandatory word template from the Submission System, fill it in and upload it as a PDF file
- Annexes (see section 5). Upload them as PDF file (single or multiple depending on the slots). Excel upload is sometimes possible, depending on the file type.

The proposal must keep to the **page limit** (see section 7); excess pages will be disregarded.

Documents must be uploaded to the right **category** in the Submission System otherwise the proposal might be considered incomplete and thus inadmissible.

The proposal must be submitted before the **invitation deadline** (see section 4). After this deadline, the system is closed and proposals can no longer be submitted.

Once the proposal is submitted, a **confirmation e-mail** (with date and time of your application) will be sent. If no confirmation e-mail is received, it means that the proposal has NOT been submitted. If this is believed to be a fault in the Submission System, a complaint via the IT Helpdesk webform should be immediately filed, explaining the circumstances and attaching a copy of the proposal (and, if possible, screenshots to show what happened).

Details on processes and procedures are described in the Online Manual. The Online Manual also contains the links to FAQs and detailed instructions regarding the Portal Electronic Exchange System. In case of questions and clarifications, applicants are encouraged to review the existing documents listed in the Introduction chapter or the guidance below.

14.2 Contact

For individual questions on the Portal Submission System, please contact the IT Helpdesk.

Non-IT related questions should be sent to the following email address at the latest 10 days before the submission deadline, indicate clearly the reference of the invitation and topic to which your question relates *(see cover page)*: Eniko.Balint@eit.europa.eu

15 Transparency

In accordance with Article 38 of the EU Financial Regulation, information about EU grants awarded is published each year on the EIT website.

This includes:

- beneficiary names
- beneficiary addresses
- the purpose for which the grant was awarded
- the maximum amount awarded.

The publication can exceptionally be waived (on reasoned and duly substantiated request), if there is a risk that the disclosure could jeopardise your rights and freedoms under the EU Charter of Fundamental Rights or harm your commercial interests.

16 Processing of personal data

The reply to the Invitation involves the recording and processing of personal data (such as name, address and CV). Such data will be processed by the EIT pursuant to Regulation (EU) 2018/1725 of the European Parliament and of the Council of 23 October 2018 on the protection of natural persons with regard to the processing of personal data by the Union institutions, bodies, offices and agencies and on the free movement of such data[16]. Any personal data requested in accordance with the

[16] Regulation (EU) 2018/1725 of the European Parliament and of the Council of 23 October 2018 on the protection of natural persons with regard to the processing of personal data by the Union institutions, bodies, offices and agencies and on the free movement of such data, and repealing Regulation (EC) No 45/2001 and Decision No 1247/2002/EC

Invitation will be processed solely for that purpose by the EIT. The EIT privacy statement for the management of grants is available at:

https://eit.europa.eu/data-protection

Personal data may be registered in the Early Detection and Exclusion System by the Commission, should the beneficiary be in one of the situations mentioned in Article 136 and 141 of the Financial Regulation 2018/1046 (for more information see the Privacy Statement on:

https://ec.europa.eu/info/data-protection-public-procurement-procedures_en.

17 Annexes:

Annex 1: Milestones and deliverables

Annex 2: Logical Framework (To be Annexed to Part B) – link in Funding & Tenders portal

Annex 3: Application Form Template (Part A and B) – link in Funding & Tenders portal

Annex 4: Detailed Budget Table Template – link in Funding & Tenders portal

Annex 1: Milestones and deliverables

Component	Activity nr.		Y1	Y2	Y3
1	1	Development of local intelligence and business networks -> Number of meetings facilitated between EU and local companies	20	20	10
	2	Studies to identify potential or assess alternative investment opportunities -> Number of studies conducted	6	8	4
	3	Design and delivery of training modules on each CRM and their value chain -> Number of trainings modules developed and training events delivered	6	4	2
2	1	Organisation of EU Business Missions to EU priority countries -> Number of business missions to strategic partnership countries	6	6	4
	2	Reinforce B2B ties between EU, local and international companies -> Number of matchmaking events with new business ties created	8	8	8
	3	Promote EU participation and EU visibility in mining conferences and events -> Number of international mining event with EU presence	4	5	6
3	1	Identify and advise on raw materials value chains investment opportunities -> Number of investment opportunities assessed	12	14	18
	2	Facilitate investments in raw materials value chains projects -> Number of investment opportunities concluded with the facility's support	6	8	10
	3	Support in the identification of concrete actions for the Roadmaps -> Number of Roadmaps developed with the facility's input	2	2	2

Annex 2 – Logical Framework Matrix (example)[17]

	Intervention Logic	Indicators (with baseline)	Means of Verification	Assumptions
OVERALL OBJECTIVE	To develop and integrate sustainable raw materials value chains between the EU and selected natural resource-rich partner countries to secure a reliable supply of critical and strategic raw materials to the EU, while supporting partner countries in extracting value locally from their natural resources			
SPECIFIC OBJECTIVE	To increase cooperation of all relevant stakeholders along the critical raw materials value chain (governments, private sector actors, financial institutions, civil society), while pooling all available resources and de-risking tools at European level and work in a Team Europe approach (with EU member states, EU private sector, EU financial institutions).			

[17] Please fill the LFM in at your proposal and annex it to the Application Form, Part B. The table above only serves as an example based on the project components detailed at the Invitation text and on the Deliverables & Milestones table (Annex 1 to this Invitation). Please fill the template based on the workplan developed in your proposal.

OUTPUTS	1. Enhanced data gathering, capacity building and knowledge management			
	2.Business-to-Business ties between EU, local and like-minded international companies along the value chains including design and identification of potential off-take agreements reinforced			
	3. Business facilitation supported through technical assistance provided and the organisation of EU business missions and match-making activities including ensuring EU participation in major international mining events			
ACTIVITIES	1.1 Development of local intelligence and business networks	Facilitation of 20 (in Y1) , 20 (in Y2), and 10 (in Y3) meetings between EU and local companies . In total, facilitation of 50 meetings between EU and local companies by M36.		

	1.2 Studies to identify potential or assess alternative investment opportunities	Conducting of 5 (in Y1), 6 (in Y2), and 4 (in Y3) studies. In total, conducting of 15 studies by M36.		
	1.3 Design and delivery of training modules on each CRM and their value chain	Delivering 5 (in Y1),5 (in Y2) ,2 (in Y3) training events delivered. In total, delivering 12 training events by M36.		
	2.1 Organisation of EU Business Missions to EU priority countries	Conducting 4 (in Y1) ,6 (in Y2),6 (in Y3) business missions to strategic partnership countries. In total, conducting 16 business missions to strategic countries by M36.		
	2.2 Reinforce B2B ties between EU, local and international companies	Conducting 6 (in Y1) ,6 (in Y2) ,5 (in Y3) matchmaking events with new business ties created.		
	2.3 Promote EU participation and EU visibility in mining conferences and events	Ensuring EU presence in 4 (in Y1) ,5 (in Y2) ,6 (in Y3) international mining event. In total, EU presented in 15 international mining event by M36		
	3.1 Identify and advise on raw materials value chains investment opportunities	Assessing 15 (in Y1) ,20 (in Y2),20 (in Y3) investment opportunities. In total, 55 investment opportunities assessed by M36.		
	3.2 Facilitate investments in raw materials value chains projects	Facilitation of 6 (in Y1) ,8 (in Y2),10 (in Y3) investment opportunities with involvement of EU industry. In total, 24 investment opportunities		

		with involvement of EU industry facilitated by M36		
TASKS (INPUTS)				

IMPORTANT

- **Don't wait until the end —** Complete your application sufficiently in advance of the deadline to avoid any last minute technical problems. Problems due to last minute submissions (e.g. congestion, etc) will be entirely at your risk. Call deadlines can NOT be extended.
- **Consult the Portal** Topic page regularly. We will use it to publish updates and additional information on the call (call and topic updates).
- **Funding & Tenders Portal Electronic Exchange System** — By submitting the application, all participants accept to use the electronic exchange system in accordance with the Portal Terms & Conditions.
- **Registration** — Before submitting the application, all beneficiaries, affiliated entities and associated partners must be registered in the Participant Register. The participant identification code (PIC) (one per participant) is mandatory for the Application Form.
- **Consortium roles** When setting up your consortium, you should think of organisations that help you reach objectives and solve problems.

  The roles should be attributed according to the level of participation in the project. Main participants should participate as **beneficiaries** or **affiliated entities**; other entities can participate as associated partners, subcontractors, third parties giving in-kind contributions. **Associated partners** and third parties giving in-kind contributions should bear their own costs (they will not become formal recipients of EU funding). **Subcontracting** should normally constitute a limited part and must be performed by third parties (not by one of the beneficiaries/affiliated entities). Subcontracting going beyond 30% of the total eligible costs must be justified in the application.
- **Coordinator —** In multi-beneficiary grants, the beneficiaries participate as consortium (group of beneficiaries). They will have to choose a coordinator, who will take care of the project management and coordination and will represent the consortium towards the granting authority. In mono-beneficiary grants, the single beneficiary will automatically be coordinator.
- **Affiliated entities** — Applicants may participate with affiliated entities (i.e. entities linked to a beneficiary which participate in the action with similar rights and obligations as the beneficiaries, but do not sign the grant and therefore do not become beneficiaries themselves). They will get a part of the grant money and must therefore comply with all the call conditions and be validated (just like beneficiaries); but they do not count towards the minimum eligibility criteria for consortium composition (if any).
- **Associated partners** — Applicants may participate with associated partners (i.e. partner organisations which participate in the action but without the right to get grant money). They participate without funding and therefore do not need to be validated.
- **Consortium agreement** — For practical and legal reasons it is recommended to set up internal arrangements that allow you to deal with exceptional or unforeseen circumstances (in all cases, even if not mandatory under the Grant Agreement). The consortium agreement also gives you the possibility to redistribute the grant money according to your own consortium-internal principles and parameters (for instance, one beneficiary can reattribute its grant money to another beneficiary). The consortium agreement thus allows you to customise the EU grant to the needs inside your consortium and can also help to protect you in case of disputes.

- **Balanced project budget —** Grant applications must ensure a balanced project budget and sufficient other resources to implement the project successfully *(e.g. own contributions, income generated by the action, financial contributions from third parties, etc)*. You may be requested to lower your estimated costs, if they are ineligible (including excessive).

- **Completed/ongoing projects —** Proposals for projects that have already been completed will be rejected; proposals for projects that have already started will be assessed on a case-by-case basis (in this case, no costs can be reimbursed for activities that took place before the project starting date/proposal submission).

- **No-profit rule—** Grant may give a profit (i.e. surplus of revenues + EU grant over costs).

- **No cumulation of funding/no double funding—** It is strictly prohibited to cumulate funding from the EU budget (except under 'EU Synergies actions'). Outside such Synergies actions, any given action may receive only ONE grant from the EU budget and cost items may under NO circumstances be declared under two EU grants. If you would like to nonetheless benefit from different EU funding opportunities, projects must be designed as different actions, clearly delineated and separated for each grant (without overlaps).

- **Combination with EU operating grants** Combination with EU operating grants is possible, if the project remains outside the operating grant work programme and you make sure that cost items are clearly separated in your accounting and NOT declared twice *(see AGA — Annotated Grant Agreement, art 6.2.E)*.

- **Multiple proposals —** Please note that there are restrictions on the number of proposals that can be submitted under this call *(see section 0)*.

  Moreover, if there are several proposals for *very similar* projects, only one application will be accepted and evaluated; the applicants will be asked to withdraw the others (or they will be rejected).

- **Resubmission —** Proposals may be changed and re-submitted until the deadline for submission.

- **Rejection —** By submitting the application, all applicants accept the call conditions set out in this this Call Document (and the documents it refers to). Proposals that do not comply with all the call conditions will be **rejected**. This applies also to applicants: All applicants need to fulfil the criteria; if any one of them doesn't, they must be replaced or the entire proposal will be rejected.

- **Cancellation —** There may be circumstances which may require the cancellation of the call. In this case, you will be informed via a call or topic update. Please note that cancellations are without entitlement to compensation.

- **Language —** The language of this call is English. The grant agreement will be in English (and, for parts submitted by you, in the language of the call). Proposals that are not submitted in the language of the call must be accompanied by a professional/certified translation in the language of the call. Full applications must be submitted in the same language as the concept notes.

Electronically signed on 18/09/2024 18:33 (UTC+02) in accordance with Article 11 of Commission Decision (EU) 2021/2121