

**THE EUROPEAN INNOVATION PARTNERSHIP**  
**ON**  
**RAW MATERIALS**

**Call for Commitments**

**GUIDELINES**

**31/10/2013**

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## **Acronyms**

EIP	European Innovation Partnership
SIP	Strategic Implementation Plan
RMC	Raw Material Commitment

## **1 INTRODUCTION**

### **1.1 Challenges related to raw materials**

The EU is highly dependent on imports of many raw materials that are crucial for a strong European industrial base, an essential building block of the EU's growth and competitiveness. The increasing demand for unprocessed minerals and metals, rubber and wood-based materials and volatility in the prices of certain raw materials, as well as the market distortions imposed by some countries on a number of them, have shed light on the importance of raw materials for our economy and society.

The main challenges are to tap the full potential of primary and secondary materials by creating a pan-European raw materials knowledge base, developing innovative sustainable technological solutions to access raw materials and establishing a production-friendly legal framework and economically attractive environment across the EU, which take into account environmental and social aspects.

In order to secure a sustainable supply, Europe is therefore confronted with a number of challenges along the entire raw materials value chain that is exploration, extraction, processing, refining and recycling, as well as substitution.

### **1.2 Role of the EIP SIP on Raw Materials**

The long term vision is to boost the innovation capacity of the EU raw materials-related sectors, turning them into a stronger sustainable pillar of the EU economy and a more attractive industry increasing benefits for society.

The European Innovation Partnership (EIP) on Raw Materials will promote both technological and non-technological innovation along the entire value chain of raw materials involving stakeholders for relevant upstream and downstream sectors.

The Strategic Implementation Plan (SIP) of the EIP on Raw Materials addresses relevant actions necessary to achieve the objectives and targets, including research and innovation along the value chain, raw materials knowledge, best practices, revision of selected legislation, licensing steps, standardisation, and policy dialogues. The actions cover non-energy non-agricultural raw materials and their value chains. Given the dependency of much of European industry on the international market, international co-operation forms an important and cross-cutting part of the EIP on Raw Materials.

In a medium term, by 2020, the EIP proposes through its SIP a number of concrete research and innovation actions targeting the beginning of the raw materials value chain and integrating downstream industries in order to start the transformation of the EU raw materials-related sectors and to contribute to the reindustrialisation of the EU and to a resource-efficient Europe. The viability of the solutions shall be demonstrated in pilot actions in the real environment by 2020.

To start the implementation of the SIP, the Commission is launching a call for commitments to Member States, industry, academia and other relevant stakeholders on achieving the objectives of the SIP, in the different action areas. A commitment is an undertaking by the partners to contribute to the implementation of the SIP. It is not of a legally binding nature.

## **2 PURPOSE OF THE CALL**

In order to be successful, the EIP needs to involve a very large number of partners across the European Union and the entire raw materials value chain that will carry out actions contributing to the objectives of the EIP. Actions by EU institutions alone will not be sufficient, nor will funding from the EU budget alone. This is why the European Commission is launching an open call for commitments by actors in the private, public and non-governmental sectors including academia. It is anticipated that the call will trigger a number of individual commitments (referred to as Raw Material Commitments – RMCs) where the partners jointly commit to co-operate and take actions that will contribute to achieving the objectives of the SIP, in the different action areas. The aim is to mobilise a substantial part of the European raw materials community thus significantly increasing the positive impacts of the EIP.

### **2.1 The benefit of being an RMC**

The recognition by the EIP High-Level Steering Group gives the RMC as a whole, as well as to its individual partners, several direct or indirect advantages. Being an RMC can assist in:

- raising the awareness of the commitment, not only within the EIP community but also more broadly;
- giving a quality assurance to the commitment at the European level;
- guaranteeing accordance with the EIP (as specified in the SIP) and with the EU raw materials policy framework that the EIP is based on;
- potentially facilitating access to finance from various sources, *inter alia* through ambassadorial support by individual High-Level Steering Group members providing access to a platform that enables the partners involved in the commitment to develop and maintain a network through participation in EIP conferences and other events with a view to innovation and new business;
- giving opportunities to join forces with related commitments;
- giving visibility and access to contacts outside the EU through opportunities to participate in EU raw materials diplomacy activities.

### **2.2 How to obtain official recognition as an RMC**

In order to obtain recognition as an RMC under the EIP, a commitment must be submitted using the special submission form by the date when the call closes. Furthermore, the commitment should meet all conditions set out in these guidelines and be liable to make a significant contribution to meeting the objectives of the EIP. If it does, it will be recorded as a commitment under the EIP. (If it does not, the partners can still of course carry out their planned activities without recognition as an RMC under the EIP). The recognition as an RMC is, in any case, not a pre-condition for EU funding for raw materials-related projects.

It is planned to issue calls for commitments in 2013, 2015, 2017 and 2019.

### 3 CONDITIONS

#### 3.1 Scope

The EIP on Raw Materials addresses non-energy non-agricultural raw materials at the different stages of the value chain. The SIP identifies 24 action areas which in total contain 97 specific actions. To be recognised, a commitment needs to be clearly linked to one or more of the action areas of the SIP. Furthermore, it is desirable that the commitment is clearly linked to one or more of the actions of the SIP.

#### 3.2 Partners

Each commitment needs to be made on behalf of at least three partners, with one of the partners designated as co-ordinator and contact point and each of the three partners must be established in a different EU Member State<sup>1 2</sup>. However, for commitments that are linked to non-technology policy actions in the SIP which target the national level, it may be sufficient to only have partners from one Member State. Participation by entities with their centre of activity in non-EU countries may be useful if it provides added-value, but is not a requirement. If the identity of all intended partners is not yet known, the appropriate profiles of partners should be indicated in the commitment proposal.

The (existing or intended) composition of the partnership should reflect the nature of the activities to be carried out, ensuring that it has a comprehensive structure of qualifications and responsibilities and that each partner has a clear role within the partnership. It is very important that the private sector be represented among the partners.<sup>3</sup> Where appropriate, at least one small or medium-sized enterprise (SME) – preferably more than one – should be included among the partners.

The composition of the RMC may be modified as appropriate during the implementation of activities.

#### 3.3 Nature of the commitment

A commitment proposal should have a very clear link with the SIP. The partners should commit to carrying out activities within the period 2014-2020 (or beyond 2020 where appropriate). The activities and expected results should be clearly and succinctly described in the submission (see submission form).<sup>4</sup> The commitment also involves an undertaking to report annually to the European Commission on progress in carrying out the activities – as well as on any significant barriers, notably to innovation, encountered –

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<sup>1</sup> It is desirable that the number of EU Member States is five or more, preferably in different parts of the EU (North-Western, South, Central-Eastern Europe).

<sup>2</sup> For European umbrella organisations (e.g. European associations), each national member organisation or company represented, which will take an active part in the commitment, is counted separately for the purpose of meeting this condition.

<sup>3</sup> For commitments that are linked to non-technology policy actions in the SIP, the private sector needs to be closely involved but it may not be necessary to include any formal partner from the private sector.

<sup>4</sup> If a commitment has a long duration, the description of activities may focus on the first years.

in order to allow the Commission to monitor the implementation of the SIP and further develop EU policy on raw materials and innovation.<sup>5</sup>

It is also important that submissions fully take into account the difference between research and innovation. Commitments must aim at achieving – directly or indirectly – one or more innovations e.g. bringing new products, processes, services, technologies, business models or ideas to the market. Therefore, the capacity for commercialisation is regarded as an important aspect of the commitment proposal. Apart from bringing commercial benefits, a commitment may aim at bringing wider societal benefits through innovation.

While being important for a successful outcome of the EIP, a commitment is not of a legally binding nature.

### **3.4 Financial aspects and resources**

Each commitment must have an indicative overall budget covering the whole activity period, within a timeframe between 2014 and 2020 as part of the submission.<sup>6</sup> As far as possible, the budget of the commitment should specify the envisaged individual revenue sources as well as foreseen costs listed under the appropriate headings. For projects already being financed and which are on-going, any existing contribution from the EU budget must be clearly indicated. Where relevant, partners should indicate if they foresee an EU contribution.

If expected revenues do not materialise, it may be necessary at a later stage for the partners to revise the indicative budget and/or to re-orient the activities planned within the commitment.

Where in-kind contributions are foreseen – e.g. expert man months or making available certain facilities – it is recommended – but is not a requirement -to also provide information about those in the submission.

### **3.5 Other considerations**

The submission should be concise but sufficiently detailed in order to ascertain that the conditions are met.

Certain information given in the submission may be disclosed to the public by the services of the European Commission in accordance with applicable EU legislation on public access to documents whereas commercial information, especially information about the financial aspects and resources - with the exception of duly approved public funding - will not be disclosed.<sup>7</sup> The Commission shall refuse access to a document

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<sup>5</sup> A standardised and user-friendly electronic form for reporting will be provided. The level of detail of the report will be the minimum needed to enable the European Commission to properly monitor progress of the RMCs.

<sup>6</sup> The indicative budget of the commitment proposal is not binding in the context of any future request for EU funding.

<sup>7</sup> For commitment proposals not receiving recognition as RMCs, information will only be disclosed by the Commission upon request and in accordance with applicable EU legislation on public access to documents.

where disclosure would undermine the protection of commercial interests of a natural or legal person, including intellectual property.<sup>8</sup>

The submission may be made in any of the official languages of the EU, but in order to avoid translation delays as far as possible, the use of one of the three working languages of the European Commission, i.e. English, French or German is recommended.

Advocacy is encouraged but is not a requirement. It could involve for instance:

- (1) motivating other relevant actors and stakeholders to be involved in the RMC;
- (2) public communication including disclosure of relevant information about the RMC and its activities and results.

#### **4 PROCEDURE FOR RECOGNITION OF RMCs**

The deadline for submissions is 31 January 2014. Submissions must be sent electronically by using the form available on the website of the European Innovation Partnership on Raw Materials<sup>9</sup>.

The services of the European Commission will review all submitted commitments and assess the extent to which they meet the conditions set out in these guidelines and are likely to make a significant contribution to meeting the objectives of the EIP. Based on a proposal by the services of the European Commission, the High-Level Steering Group of the EIP will decide which commitments will be officially recognised as RMCs under the EIP. Confidentiality and absence of conflict of interests will be ensured.

For each submission, the contact point will be informed whether or not the commitment has been officially recognised under the EIP.

#### **5 IMPLEMENTATION**

Where appropriate, recommendations for improvement may be made by the services of the European Commission when informing the contact points, both for the officially recognised commitments and for those that have not been officially recognised (but which may be re-submitted in response to a future call for commitments).

For commitments that are closely linked, the partners concerned may be recommended to co-operate (on a voluntary basis) during the implementation phase.

While the recognition by the High-Level Steering Group of a proposed commitment as an official RMC under the EIP is an acknowledgment of the value of the proposal towards the objectives of the EIP, it does not involve any obligation on the European Commission or Member States to provide any funding in support of that commitment.

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<sup>8</sup> Regulation No 1049/2001 of the European Parliament and of the Council of 30 May 2001 regarding public access to European Parliament, Council and Commission documents.

<sup>9</sup> [http://ec.europa.eu/enterprise/policies/raw-materials/innovation-partnership/index\\_en.htm](http://ec.europa.eu/enterprise/policies/raw-materials/innovation-partnership/index_en.htm)