



**Contracting Authority:** Higher Council for Science & Technology  
Project Implementation Office (PIO) to  
**Support to Research and Technological Development & Innovation  
in Jordan  
SRTD II**

Commercialisation Grant Scheme  
Guidelines  
for grant applicants

Budget line BGUE-2011-19.080101-CI-DEVCO

Reference: EUROPEAID/136-406/ID/ACT/JO

Deadline for submission December 28<sup>th</sup> 2014

## **Notice**

This is an open Call for Proposals, where all documents are submitted together (Concept Note and Full Application Form). In the first instance, only the Concept Notes will be evaluated. Thereafter, for the applicants who have been pre-selected, the full proposal will be evaluated. After the evaluation of the full proposals, an eligibility check will be performed for those which have been provisionally selected. Eligibility will be checked on the basis of the supporting documents requested by the Contracting Authority and the signed 'Declaration by the Applicant' sent together with the application.

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# **1. SUPPORT TO RESEARCH, TECHNOLOGICAL DEVELOPMENT & INNOVATION IN JORDAN – PHASE II (SRTD II)**

## **1.1. BACKGROUND**

Based on the government literature, the content of international bilateral and multilateral agreements as well as national strategic plans (i.e. National Agenda) R&D is perceived as very relevant and beneficial to the economic well being of the nation. Measures are taken to include R&D support and cooperation locally, regionally and internationally. However, most evidence shows that while the intention is there, there is little implementation.

The Government budget is the main source for funding R&D. The coordinating role for designing and largely implementing R&D policy is entrusted to the Higher Council for Science and Technology (HCST). The HCST, established in 1987, forms the base for science and technology research, development and implementation in Jordan. It is a policy-making body, which sets and ratifies strategy and funds scientific and technological research, services and activities. The HCST has financial and administrative independence and has the right to draw up draft laws and regulations as well as the power to ratify proposals to provide financial aid to national scientific and technological projects and programmes.

Although the ratio of Jordanians with higher education is among the highest in the region, Jordan's innovation and R&D potential is hindered, the brain drain is proof of the country's weakness in recognizing and capitalizing on the potential and capabilities of its researchers and scientists.

The most prominent problem in the Jordanian R&D and Innovation sector has been identified as the little "commercialisation & marketing potential" of research community output. Indeed, the focus of a large part of the research community is not on commercialisation of RTD/innovation but rather on publishing scientific articles especially within the country and the region, and scarcely at the international level. Professors perform research that arises from the need of faculty members to produce research results for publication for advancement in their academic careers rather than the initiation of applied research programs. Jordanian professors and researchers need to transform their research results into marketable products and/or services, in order to participate in the building up of the knowledge-based economy in Jordan.

Financing is another constraint on the Jordanian R&D and innovation sectors. Most of the financing is direct public support to the governmental research centres and research conducted in public universities, which does not encourage a culture of competition. The government encourages higher private sector contribution to R&D and innovation and the main fund for scientific research (SRF) is open for researchers from both public and private sector, but the instruments have not yet been efficient.

Access to private financing for R&D and innovation projects is difficult due to a low protection of IPRs, which contributes to maintain the prevalence of a risk-averse financial environment and a persistent reluctance of the private sector to invest in R&D. Thus, financial institutions are still unwilling to provide loans for R&D purposes and venture capital availability is still low.

The National Agenda of Jordan (2006-2015) identified three characteristics of a vibrant growth oriented economy: i) innovation and technological advancement, ii) expansion of entrepreneurial activities and iii) support of start up business. Matching the business sector with the research and academic community is one of the main keys to achieving these objectives.

The competitiveness of Jordanian enterprises, and the employment they can provide, can be substantially influenced by the ability of Jordanians companies to exploit the commercialisation potential of R&D results that exist, and/or could be developed in Jordan. Strengthening of the R&D sector and its links with the private sector is also essential for the support of other national policies such as higher education modernisation, the development of entrepreneurial spirit and a culture of innovation.

## 1.2. OBJECTIVES OF THE PROGRAMME AND PRIORITY ISSUES

The **global objective** of SRTD II is to increase the contribution of Jordan's Research & Technological Development and Innovation sectors to Jordan's economic growth and employment.

The **specific objectives** are to a) further develop Jordan's applied research and technological capacity with a focus on the commercialisation of RTD results for use by the private sector, especially SME; and b) continue the integration of Jordan into the European Research Area.

The project will build on the achievements of the SRTD project, namely additional support to the new Thematic NCPs significantly more support to technology transfer offices, renewed focus on applied research and commercialising results of grants.

## 1.3. FINANCIAL ALLOCATION PROVIDED BY THE CONTRACTING AUTHORITY

The overall indicative amount made available under this Call for Proposals is € 700,000. The Contracting Authority reserves the right not to award all available funds.

### Size of grants

Any grant requested under this Call for Proposals must fall between the following minimum and maximum amounts:

- minimum amount: € 10,000
- maximum amount: € 25,000

Any grant awarded under this Call for Proposals must fall between the following minimum and maximum percentages of total eligible costs of the action

- Minimum percentage: 50% of the total estimated eligible costs of the action.
- Maximum percentage: 80% of the total estimated eligible costs of the action (see also Section 2.1.5).

The balance (i.e. the difference between the total cost of the action and the amount requested from the Contracting Authority) must be financed from sources other than the European Union Budget or the European Development Fund<sup>1</sup>.

## 2. RULES FOR THIS CALL FOR PROPOSALS

These guidelines set out the rules for the submission, selection and implementation of the actions financed under this Call, in conformity with the Practical Guide, which is applicable to the present call (available on the Internet at this address: [http://ec.europa.eu/europeaid/work/procedures/implementation/index\\_en.htm](http://ec.europa.eu/europeaid/work/procedures/implementation/index_en.htm)).

### 2.1. ELIGIBILITY CRITERIA

There are three sets of eligibility criteria, relating to:

(1) the actors:

- The **applicant**, i.e. the entity submitting the application form (2.1.1),
- its **co-applicant(s)** (**where it is not specified otherwise the applicant and its co-applicant(s) are hereinafter jointly referred as the "applicants"**) (2.1.1),

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<sup>1</sup> Where a grant is financed by the European Development Fund, any mention of European Union financing must be understood as referring to European Development Fund financing.

- and **affiliated entity(ies)** to the applicant and/or to a co-applicant(s). (2.1.2);
- (2) the actions:
- Actions for which a grant may be awarded (2.1.4);
- (3) the costs:
- types of cost that may be taken into account in setting the amount of the grant (2.1.5).

**2.1.1. Eligibility of applicants (i.e. applicant and co-applicant(s))**

**Applicant**

(1) In order to be eligible for a grant, the applicant must:

- be a legal person
- be a specific type of organisation such as: non-governmental organisation, public sector operator, local authority, international (inter-governmental) organisation as defined by Article 43 of the Rules of application of the EU Financial Regulation<sup>2</sup>
- be established in<sup>3</sup> a Member State of the European Union or in the Hashemite Kingdom of Jordan. This obligation does not apply to International Organisations.

**and**

- be directly responsible for the preparation and management of the action with the co-applicant(s) and affiliated entity(ies), not acting as an intermediary.
- (2) The potential applicant may not participate in calls for proposals or be awarded grants if it is in any of the situations listed in Section 2.3.3 of the Practical Guide ;

In Part B section 8 of the grant application form ('Declaration by the applicant'), the applicant must declare that the applicant himself, the co-applicant(s) and affiliated entity(ies) are not in any of these situations.

The applicant may act individually or with co-applicant(s)

If awarded the Grant contract, the applicant will become the Beneficiary identified as the Coordinator in annex D Standard Grant Contract (Special Conditions). The Coordinator is the main interlocutor of the Contracting Authority. It represents and acts on behalf of any other co-beneficiary (if any) and coordinate the design and implementation of the Action.

**Co-applicant(s)**

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2 International organisations are international public-sector organisations set up by intergovernmental agreements as well as specialised agencies set up by them; the International Committee of the Red Cross (ICRC) and the International Federation of National Red Cross and Red Crescent Societies are also recognised as international organisations.

3 To be determined on the basis of the organisation's statutes, which should demonstrate that it has been established by an instrument governed by the national law of the country concerned and that its head office is located in an eligible country. In this respect, any legal entity whose statutes have been established in another country cannot be considered an eligible local organisation, even if the statutes are registered locally or a 'Memorandum of Understanding' has been concluded.

Co-applicant(s) participate in designing and implementing the action, and the costs they incur are eligible in the same way as those incurred by the applicant.

Co-applicant(s) must satisfy the eligibility criteria as applicable to the applicant himself.

Co-applicant(s) must sign the Mandate in Part B section 4 of the grant application form.

If awarded the Grant contract, the co-applicant(s) (if any) will become beneficiaries in the Action (together with the Coordinator)

### **2.1.2. *Affiliated entities***

Affiliated entity(ies)

The applicant and its co-applicant(s) may act with affiliated entity(ies)

**Only the following entities may be considered as affiliated entities to the applicant and/or to co-applicant(s):**

Only entities having a structural link with the applicants, in particular a legal or capital link.

This structural link encompasses mainly two notions:

- (i) Control, as defined in Directive 2013/34/EU on the annual financial statements, consolidated financial statements and related reports of certain types of undertakings:

Entities affiliated to a beneficiary may hence be:

- Entities directly or indirectly controlled by the beneficiary (daughter companies or first-tier subsidiaries). They may also be entities controlled by an entity controlled by the beneficiary (granddaughter companies or second-tier subsidiaries) and the same applies to further tiers of control;
  - Entities directly or indirectly controlling the beneficiary (parent companies). Likewise, they may be entities controlling an entity controlling the beneficiary;
  - Entities under the same direct or indirect control as the beneficiary (sister companies).
- (ii) Membership, i.e. the beneficiary is legally defined as a e.g. network, federation, association in which the proposed affiliated entities also participate or the beneficiary participates in the same entity (e.g. network, federation, association) as the proposed affiliated entities.

The structural link shall as a general rule be neither limited to the action nor established for the sole purpose of its implementation. This means that the link would exist independently of the award of the grant; it should exist before the call for proposals and remain valid after the end of the action.

By way of exception, an entity may be considered as affiliated to a beneficiary even if it has a structural link specifically established for the sole purpose of the implementation of the action in the case of so-called “sole applicants” or “sole beneficiaries”. A sole applicant or a sole beneficiary is an entity formed by several entities (a group of entities) which together comply with the criteria for being awarded the grant. For example, an association is formed by its members.

#### What is not an affiliated entity?

The following are not considered entities affiliated to a beneficiary:

- Entities that have entered into a (procurement) contract or subcontract with a beneficiary, act as concessionaires or delegates for public services for a beneficiary,
- Entities that receive financial support from the beneficiary,

- Entities that cooperate on a regular basis with the beneficiary on the basis of a memorandum of understanding or share some assets,
- Entities that have signed a consortium agreement under the grant contract.

#### How to verify the existence of the required link with the beneficiary?

The affiliation resulting from control may in particular be proved on the basis of the consolidated accounts of the group of entities the beneficiary and its proposed affiliates belong to.

The affiliation resulting from membership may in particular be proved on the basis of the statutes or equivalent act establishing the entity (network, federation, association) which the beneficiary constitutes or in which the beneficiary participates.

If the applicants are awarded a contract, their affiliated entity(ies) will not become Beneficiary(ies) of the Action and signatory(ies) of the Contract. However, they will participate in the design and in the implementation of the Action and the costs they incur (including those incurred for Implementation Contracts and Financial Support to third parties) may be accepted as eligible costs, provided they comply with all the relevant rules already applicable to the Beneficiary(ies) under the Grant Contract.

Affiliated entity(ies) must satisfy the same eligibility criteria as the applicant and the co-applicant(s). They must sign the affiliated entity(ies) statement in Part B section 5 of the grant application form.

### ***2.1.3. Associates and Contractors***

The following entities are not applicant(s) nor affiliated entity(ies) and do not have to sign the "mandate" or "affiliated entities' statement":

- Associates

Other organisations may be involved in the action. Such associates play a real role in the action but may not receive funding from the grant, with the exception of per diem or travel costs. Associates do not have to meet the eligibility criteria referred to in section 2.1.1. Associates must be mentioned in Part B section 6 — ‘Associates of the Applicant participating in the Action’ — of the Grant Application Form.

- Contractors

The grant beneficiaries and their affiliated entities are permitted to award contracts. Associates or affiliated entity(ies) cannot be also contractors in the project. Contractors are subject to the procurement rules set out in Annex IV to the standard grant contract.

### ***2.1.4. Eligible actions: actions for which an application may be made***

Definition:

An action is composed of a set of activities.

#### Duration

The initial planned duration of an action may not exceed 12 months.

#### Sectors or themes

Execution of applied research results into commercialisation activities in the areas of Water, Energy, Food and Health for development into innovative services and products.

#### Location



All actions must take place in Jordan.

### Types of actions

Type of Actions which may be financed under this call for commercialisation grants:

- **Water:**
  1. Production of Safe Water for Drinking
  2. Production of Safe Water for Agriculture and Industry
- **Energy:**
  1. Efficiency of Use
  2. Production of Renewable Energy
  3. Production of New Energy
- **Food:**
  1. Production of Safe and Affordable Food for Humans and Animals
- **Health:**
  1. Improvement of Human Health

The following types of action are ineligible:

- Commercialisation of IP registration or patent or any other form of knowledge capitalisation developed outside Jordan and/or belonging to a legal or national person non-Jordanian national or resident;
- Actions concerned only or mainly with individual sponsorships for participation in workshops, seminars, conferences and congresses;
- Construction, establishment or refurbishment of research, consulting or training centres
- Basic actions not directly related to finding solutions to specific problems related to national priorities for research in water, energy, food and health as listed by HCST in “Scientific Research Priorities in Jordan 2011/2020”

### **Type activities:**

Type of commercialisation activities which may be financed under this call (not exhaustive list):

- Benchmarking – developing a model and standards to enhance the standards in solution designing, proto-typing producing and commercialising intellectual property under the specific sectors;
- Proto-typing – developing efficient and effective procedures;
- Developing a Business Strategy – define or re-define strategies to optimise profits in marketing ideas and innovation, including business process re-engineering actions;
- Commercialisation; pitching techniques, choice of the most appropriate medium, reputation building and social media based tools, advertisement, communication and training
- Marketing; compliance to technical norms; selection of the marketing channel; road shows and participation to national and international events; market studies; selection of buyers/importers including customer involvement programmes
- Legal Advice: (i) Intellectual Property Advising; IP filing; IP Strategy (ii) contractual issues; commercial agreements; licensing out; etc., (iii) Governance – agreement amongst shareholders; drafting of personnel contract, including IP registration or Patenting for a specific market and/or purpose

- Development of Joint Ventures aimed at commercialising already registered IP or patents
- Any form of innovative start-up; joint venture or spin-out, including in-company start-up to diversify the business;
- Development of support to Export Services
- Development of promotional and capacity building activities for networking and/or participation opportunities in Horizon 2020 initiatives targeting all identified target groups: Liaison Officers at Focal Points; TTU Officers; R&D Institutions Civil Societies; Associations, NGOs; Private Sector; NCP's and Final Beneficiaries, including technical support to proposal preparation.

#### Financial support to third parties<sup>4</sup>

Applicants may not propose financial support to third parties.

#### Visibility

The Applicants must take all necessary steps to publicise the fact that the European Union has financed or co-financed the Action. As far as possible, actions that are wholly or partially funded by the European Union must incorporate information and communication activities designed to raise the awareness of specific or general audiences of the reasons for the action and the EU support for the action in the country or region concerned, as well as the results and the impact of this support.

Applicants must comply with the objectives and priorities and guarantee the visibility of the EU financing (see the Communication and Visibility Manual for EU external actions specified and published by the European Commission at [http://ec.europa.eu/europeaid/work/visibility/index\\_en.htm](http://ec.europa.eu/europeaid/work/visibility/index_en.htm)).

#### Number of applications and grants per applicants

The applicant may submit more than one application under this Call for Proposals.

The applicant may not be awarded more than one grant under this Call for Proposals.

The applicant may be a co-applicant or an affiliated entity in another application at the same time.

A co-applicant/affiliated entity may submit more than one application under this Call for Proposals.

A co-applicant/affiliated entity may be awarded more than one grant under this Call for Proposals.

A co-applicant/affiliated entity may be the applicant or an affiliated entity in another application at the same time.

#### ***2.1.5. Eligibility of costs: costs that can be included***

Only 'eligible costs' can be covered by a grant. The categories of costs that are eligible and non-eligible are indicated below. The budget is both a cost estimate and an overall ceiling for 'eligible costs'.

The reimbursement of eligible costs may be based on any or a combination of the following forms:

- actual costs incurred by the Beneficiary(ies) and affiliated entity(ies)
- one or more simplified cost options.

Simplified cost options may take the form of:

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<sup>4</sup> These third parties are neither affiliated entity(ies) nor associates nor contractors.

- **unit costs:** covering all or certain specific categories of eligible costs which are clearly identified in advance by reference to an amount per unit.
- **lump sums:** covering in global terms all or certain specific categories of eligible costs which are clearly identified in advance.
- **flat-rate financing:** covering specific categories of eligible costs which are clearly identified in advance by applying a percentage fixed ex ante.

The amounts or rates have to be based on estimates using objective data such as statistical data or any other objective means or with reference to certified or auditable historical data of the applicants or the affiliated entity(ies). The methods used to determine the amounts or rates of unit costs, lump sums or flat-rates must comply with the criteria established in Annex K, and especially ensure that the costs correspond fairly to the actual costs incurred by the Grant Beneficiary(ies) and affiliated entity(ies), are in line with their accounting practices, no profit is made and the costs are not already covered by other sources of funding (no double funding). Refer to Annex K for directions and a checklist of controls to assess the minimum necessary conditions that provide reasonable assurance for the acceptance of the proposed amounts.

The applicant proposing this form of reimbursement, must clearly indicate in worksheet no.1 of Annex B, each heading/item of eligible costs concerned by this type of financing, i.e. add the reference in capital letters to "UNIT COST" (per month/flight etc), "LUMPSUM" or "FLAT RATE" in the Unit column. (see example in Annex K)

Additionally in Annex B, in the second column of worksheet no.2, "Justification of the estimated costs" per each of the corresponding budget item or heading the applicant must:

- describe the information and methods used to establish the amounts of unit costs, lump sums and/or flat-rates, to which costs they refer, etc.
- clearly explain the formulas for calculation of the final eligible amount<sup>5</sup>
- identify the beneficiary who will use the simplified cost option (in case of affiliated entity, specify first the beneficiary), in order to verify the maximum amount per each beneficiary (which includes if applicable simplified cost options of its affiliated entity(ies))

At contracting phase, the Contracting Authority decides whether to accept the proposed amounts or rates on the basis of the provisional budget submitted by the applicant, by analysing factual data of grants carried out by the applicant or of similar actions and by performing checks established by Annex K.

The total amount of financing on the basis of simplified cost options that can be authorised by the Contracting Authority for any of the applicants individually (including simplified cost options proposed by their own affiliated entities) cannot exceed EUR 60 000 (the indirect costs are not taken into account).

Recommendations to award a grant are always subject to the condition that the checks preceding the signing of the contract do not reveal problems requiring changes to the budget (such as arithmetical errors, inaccuracies, unrealistic costs and ineligible costs). The checks may give rise to requests for clarification and may lead the Contracting Authority to impose modifications or reductions to address such mistakes or inaccuracies. It is not possible to increase the grant or the percentage of EU co-financing as a result of these corrections.

It is therefore in the applicant's interest to provide a **realistic and cost-effective budget**.

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5 Examples:- for staff costs: number of hours or days of work \* hourly or daily rate pre-set according to the category of personnel concerned;- for travel expenses: distance in km \* pre-set cost of transport per km; number of days \* daily allowance pre-set according to the country;- for specific costs arising from the organization of an event: number of participants at the event \* pre-set total cost per participant etc.

### Eligible direct costs

To be eligible under the Call for Proposals, costs must comply with the provisions of Article 14 of the General Conditions to the Standard Grant Contract (see Annex G of the Guidelines).

### Contingency reserve

The budget may include a contingency reserve not exceeding 5 % of the estimated direct eligible costs. It can only be used with the **prior written authorisation** of the Contracting Authority.

### Eligible indirect costs

The indirect costs incurred in carrying out the action may be eligible for flat-rate funding, but the total must not exceed 7 % of the estimated total eligible direct costs. Indirect costs are eligible provided that they do not include costs assigned to another budget heading in the standard grant contract. The applicant may be asked to justify the percentage requested before the contract is signed. However, once the flat rate has been fixed in the special conditions of the standard grant contract, no supporting documents need to be provided.

If any of the applicants or affiliated entity(ies) is in receipt of an operating grant financed by the EU, it may not claim indirect costs on its incurred costs within the proposed budget for the action.

### Contributions in kind

Contributions in kind means the provision of goods or services to a Beneficiary(ies) or affiliated entity(ies) free of charge by a third party. As contributions in kind do not involve any expenditure for a Beneficiary(ies) or affiliated entity(ies), they are not eligible costs.

The Contracting Authority may accept co-financing in kind, if considered necessary or appropriate. In such cases, the value of such contributions must not exceed:

- a) either the costs actually borne and duly supported by accounting documents;
- b) or the costs generally accepted on the concerned market of reference.

Contributions involving real estate must be excluded from the calculation of the amount of co-financing. In kind contributions must comply with national tax and social security rules.

If co-financing in kind is proposed, it must be included in Annex B (Worksheet 3) to the Guidelines for applicants on the expected sources of funding for the action. The same amount must be indicated in the Budget (Worksheet 1).

### Ineligible costs

The following costs are not eligible:

- debts and debt service charges (interest);
- provisions for losses or potential future liabilities;
- costs declared by the Beneficiary(ies) and financed by another action or work programme receiving a Union (including through EDF) grant;
- purchases of land or buildings, except where necessary for the direct implementation of the action, in which case ownership must be transferred to the final beneficiaries and/or local Beneficiary(ies), at the latest at the end of the action;
- currency exchange losses;
- credit to third parties;

- salary costs of the personnel of national administrations.

## **2.2. HOW TO APPLY AND THE PROCEDURES TO FOLLOW**

Prior registration in PADOR for this Call for Proposals is not obligatory. Information in PADOR will not be drawn upon in the present Call.

PADOR is an on-line database in which organisations register and update their data regularly, through the EuropeAid website: [http://ec.europa.eu/europeaid/work/onlineservices/pador/index\\_en.htm](http://ec.europa.eu/europeaid/work/onlineservices/pador/index_en.htm)

Before starting to register your organisation in PADOR, please read the ‘Quick guide’ on the website. It explains the registration process.

It is strongly recommended to register in PADOR when you start drafting your proposal and not to wait until just before the deadline of submission.

On the paper version of the proposal you must give your EuropeAid ID (EID). To get this ID, your organisation must enter PADOR to register, save and ‘sign’ certain obligatory data (the fields shown in orange on each screen) and the related documents (see section 2.4).

However, if it is impossible for the organisation to register in PADOR, it must submit a justification proving that this impossibility is general and beyond the control of the applicant and/or its affiliated entity(ies). In such cases, the applicants and/or affiliated entity(ies) concerned must complete the ‘PADOR off-line form’<sup>6</sup> attached to these Guidelines and send it by the submission deadline, together with the application, to the address indicated in sections 2.2.2 and 2.2.6. The registration in PADOR will then be carried out by the European Commission service in charge of the Call for Proposals. If, at a later stage, the organisation wishes to update its data itself, it will have to send an access request to the PADOR helpdesk.

All questions related to registration in PADOR should be addressed to the PADOR helpdesk at: [Europeaid-pador@ec.europa.eu](mailto:Europeaid-pador@ec.europa.eu).

### ***2.2.1. Application forms***

Applications must be submitted in accordance with the instructions on the Concept Note and the Full Application form in the Grant Application Form annexes to these Guidelines (Annex A)

Applicants must apply in English.

Any error or major discrepancy related to the points listed in the instructions on the Concept Note or any major inconsistency in the application form (e.g. if the amounts in the budget worksheets are inconsistent) may lead to the rejection of the application.

Clarifications will only be requested when the information provided is unclear and thus prevents the Contracting Authority from conducting an objective assessment.

Hand-written applications will not be accepted.

Please note that only the application form and the published annexes which have to be filled in (budget, logical framework) will be evaluated. It is therefore of utmost importance that these documents contain ALL the relevant information concerning the action. No additional annexes should be sent.

### ***2.2.2. Where and how to send Applications***

Applications must be submitted in one original and 3 (copies in A4 size, each bound). The complete application form (Part A: concept note and Part B: full application form), budget must also be supplied in

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<sup>6</sup> Which corresponds to Sections 3 and 4 of Part B of the application form.

electronic format (CD-ROM) in a separate and single file (i.e. the application form must not be split into several different files). The electronic file must contain **exactly the same** application as the paper version enclosed.

The Checklist (Section 7 of Part B the grant application form) and the Declaration by the applicant (Section 8 of Part B of the grant application form) must be stapled separately and enclosed in the envelope.

Where an applicant sends several different applications (if allowed to do so by the Guidelines of the Call), each one has to be sent separately.

**The outer envelope must bear the reference number and the title of the Call for Proposals – Reference: EUROPEAID/136-406/ID/ACT/JO, together with the title, the full name and address of the applicant, and the words ‘Not to be opened before the opening session’ and ‘لا يمكن فتح العطاء قبل جلسة فتح العروض.’**

Applications must be submitted in a sealed envelope by registered mail, private courier service or by hand-delivery (a signed and dated certificate of receipt will be given to the deliverer) at the address below:

**Postal Address**

**Project Implementation Office of the SRTD II Project  
Higher Council for Science and Technology  
P.O. Box 36 - Jubaiha – 11941  
JORDAN**

**Hand Delivery Address**

**Project Implementation Office of the SRTD II Project  
Higher Council for Science and Technology  
Al Hassan Science City  
Jubaiha  
JORDAN**

Applications sent by any other means (e.g. by fax or by e-mail) or delivered to other addresses will be rejected.

**Applicants must verify that their application is complete using the checklist (Section 7 of Part B of the grant application form). Incomplete applications may be rejected.**

***2.2.3. Deadline for submission of Applications***

The deadline for the submission of applications is December 28<sup>th</sup> 2014 as evidenced by the date of dispatch, the postmark or the date of the deposit slip. In the case of hand-deliveries, the deadline for receipt is December 28<sup>th</sup> 2014 at 14:00 hours, local time as evidenced by the signed and dated receipt. Any application submitted after the deadline will automatically be rejected.

However, for reasons of administrative efficiency, the Contracting Authority may reject any application sent in due time but received after the effective date of approval of the first evaluation step (i.e. Concept Note) (see indicative calendar under Section 2.5.2)

***2.2.4. Further information about Applications***

Multiple information sessions on this Call for Proposals will be held in various locations in Jordan. Information concerning the time, date and venue will be provided on the Delegation of the European Union in Jordan website: <http://eeas.europa.eu/delegations/jordan/> and the SRTD II website – [srtid.hcst.gov.jo](http://srtid.hcst.gov.jo).

Questions may in addition be sent by e-mail no later than 21 days before the deadline for the submission of applications to the below address, indicating clearly the reference of the Call for Proposals:

E-mail: CfPcommercialisation@srtid.hcst.gov.jo

The Contracting Authority has no obligation to provide clarifications to questions received after this date.

Replies will be given no later than 11 days before the deadline for the submission of applications.

To ensure equal treatment of applicants, the Contracting Authority cannot give a prior opinion on the eligibility of applicants, affiliated entity(ies), an action or specific activities.

Questions that may be relevant to other applicants, together with answers and other important notices in the course of the evaluation procedure, will be published on the Delegation of the European Union in Jordan website <http://eeas.europa.eu/delegations/jordan/> and on the SRTD II website [srtid.hcst.gov.jo](http://srtid.hcst.gov.jo) as the need arises. It is therefore advisable to consult the abovementioned websites regularly in order to be informed of the questions and answers published. Following the completion of the info-session days relevant questions raised during these meetings will also be published on both sites together with answers given.

### 2.3. EVALUATION AND SELECTION OF APPLICATIONS

Applications will be examined and evaluated by the Contracting Authority with the possible assistance of external assessors. All actions submitted by applicants will be assessed according to the following steps and criteria.

If the examination of the application reveals that the proposed action does not meet the eligibility criteria stated in paragraph 2.1, the application will be rejected on this sole basis.

#### STEP 1: OPENING & ADMINISTRATIVE CHECKS AND CONCEPT NOTE EVALUATION

The following will be assessed:

- Compliance with the submission deadline. If the deadline has not been met, the application will automatically be rejected.
- The Application Form satisfies all the criteria specified in points 1-5 of the Checklist (Section 7 of Part B of the grant application form). If any of the requested information is missing or is incorrect, the application may be rejected on that sole basis and the application will not be evaluated further.

The Concept Notes that pass the first administrative check will be evaluated on the relevance and design of the proposed action.

The Concept Note will receive an overall score out of 50 using the breakdown in the evaluation grid below. The evaluation will also check on compliance with the instructions on the Concept Note, which can be found in Part A of the Application Form.

The evaluation criteria are divided into headings and subheadings. Each subheading will be given a score between 1 and 5 as follows: 1 = very poor; 2 = poor; 3 = adequate; 4 = good; 5 = very good.

#### Scores

1. Relevance of the action	Sub-score	30
1.1 How relevant is the proposal to the objectives and priorities of the Call for Proposals?*	5x2**	
1.2 How relevant to the particular needs and constraints of the target country(ies) or region(s) is the proposal (including synergy with other EU initiatives and avoidance of duplication)?	5x2	
1.3 How clearly defined and strategically chosen are those involved (final beneficiaries, target groups)? Have their needs been clearly defined and does the proposal address	5	

them appropriately?		
1.4 Does the proposal contain specific added-value elements, such as environmental issues, promotion of gender equality and equal opportunities, needs of disabled people, rights of minorities and rights of indigenous peoples, or innovation and best practices and the other additional elements indicated under 1.2. of these Guidelines	5	
<b>2. Design of the action</b>	Sub-score	<b>20</b>
2.1 How coherent is the overall design of the action?  In particular, does it reflect the analysis of the problems involved, take into account external factors and relevant stakeholders?	5x2**	
2.2 Is the action feasible and consistent in relation to the objectives and expected results?	5x2**	

**TOTAL SCORE** **50**

\*\*these scores are multiplied by 2 because of their importance

Once all Concept Notes have been assessed, a list will be drawn up with the proposed actions ranked according to their total score.

Firstly, only the Concept Notes with a score of at least 30 will be considered for pre-selection.

Secondly, the number of Concept Notes will be reduced, taking account of the ranking, to the number of Concept Notes whose total aggregate amount of requested contributions is equal to at least 200% of the available budget for this Call for Proposals. The amount of requested contributions of each concept note will be based on the indicative financial envelopes for each lot.

After the evaluation of Concept Notes, the Contracting Authority will send letters to all applicants, indicating whether their application was submitted by the deadline, informing them of the reference number they have been allocated, whether the Concept Note was evaluated and the results of that evaluation.

The Evaluation Committee will then proceed with the applicants whose proposals have been pre-selected.

### **(1) STEP 2: EVALUATION OF THE FULL APPLICATION**

Firstly, the following will be assessed:

- The full application form satisfies all the criteria specified in points 1-9 of the Checklist (Section 7 of Part B of the grant application form). If any of the requested information is missing or is incorrect, the application may be rejected on that **sole** basis and the application will not be evaluated further.

The quality of the applications, including the proposed budget and capacity of the applicants and affiliated entity(ies), will be evaluated using the evaluation criteria in the evaluation grid below. There are two types of evaluation criteria: selection and award criteria.

**The selection criteria** help to evaluate the applicant(s)'s and affiliated entity(ies)'s operational capacity and the applicant's financial capacity and to ensure that they:

- have stable and sufficient sources of finance to maintain their activity throughout the proposed action and, where appropriate, to participate in its funding;



- have the management capacity, professional competencies and qualifications required to successfully complete the proposed action. This also applies to any affiliated entity(ies) of the applicants.

**The award criteria** help to evaluate the quality of the applications in relation to the objectives and priorities, and to award grants to projects which maximise the overall effectiveness of the Call for Proposals. They help to select applications which the Contracting Authority can be confident will comply with its objectives and priorities. They cover the relevance of the action, its consistency with the objectives of the Call for Proposals, quality, expected impact, sustainability and cost-effectiveness.

*Scoring:*

The evaluation grid is divided into sections and subsections. Each subsection will be given a score between 1 and 5 as follows: 1 = very poor; 2 = poor; 3 = adequate; 4 = good; 5 = very good.

**Evaluation Grid**

<b>Section</b>	<b>Maximum Score</b>
<b>1. Financial and operational capacity</b>	<b>20</b>
1.1 Do the applicants and, if applicable, their affiliated entity(ies) have sufficient experience of project management?	5
1.2 Do the applicants and, if applicable, their affiliated entity(ies) have sufficient technical expertise? (especially knowledge of the issues to be addressed)	5
1.3 Do the applicants and, if applicable, their affiliated entity(ies) have sufficient management capacity? (Including staff, equipment and ability to handle the budget for the action)?	5
1.4 Does the lead applicant have stable and sufficient sources of finance?	5
<b>2. Relevance of the action</b>	<b>30</b>
<i>Score transferred from the Concept Note evaluation</i>	
<b>3. Effectiveness and feasibility of the action</b>	<b>20</b>
3.1 Are the activities proposed appropriate, practical, and consistent with the objectives and expected results?	5
3.2 Is the action plan clear and feasible?	5
3.3 Does the proposal contain objectively verifiable indicators for the outcome of the action? Is any evaluation planned?	5
3.4 Is the co-applicant(s)'s and affiliated entity(ies)'s level of involvement and participation in the action satisfactory?	5
<b>4. Sustainability of the action</b>	<b>15</b>
4.1 Is the action likely to have a tangible impact on its target groups?	5

4.2 Is the proposal likely to have multiplier effects? (Including scope for replication, extension and information sharing.)	5
4.3 Are the expected results of the proposed action sustainable?: - financially ( <i>how will the activities be financed after the funding ends?</i> ) - institutionally ( <i>will structures allowing the activities to continue be in place at the end of the action? Will there be local 'ownership' of the results of the action?</i> ) - at policy level (where applicable) ( <i>what will be the structural impact of the action — e.g. will it lead to improved legislation, codes of conduct, methods, etc?</i> ) - environmentally (if applicable) ( <i>will the action have a negative/positive environmental impact?</i> )	5
<b>5. Budget and cost-effectiveness of the action</b>	<b>15</b>
5.1 Are the activities appropriately reflected in the budget?	/ 5
5.2 Is the ratio between the estimated costs and the expected results satisfactory?	/ 10
<b>Maximum total score</b>	<b>100</b>

*Note on section 1. Financial and operational capacity*

If the total score for section 1 is less than 12 points, the application will be rejected. If the score for at least one of the subsections under section 1 is 1, the application will also be rejected.

*Provisional selection*

After the evaluation, a table will be drawn up listing the applications ranked according to their score and within the limits of the funds available. In addition, a reserve list will be drawn up following the same criteria to be used if more funds should become available during the validity period of the reserve list.

## **(2) STEP 3: VERIFICATION OF ELIGIBILITY OF THE APPLICANTS AND AFFILIATED ENTITY(IES)**

The eligibility verification, based on the supporting documents requested by the Contracting Authority (see Section 2.4) will only be performed for the applications that have been provisionally selected according to their score and within the available financial envelope.

- The Declaration by the applicant (Section 8 of Part B the grant application form) will be cross-checked with the supporting documents provided by the applicant. Any missing supporting document or any incoherence between the Declaration by the applicant and the supporting documents may lead to the rejection of the application on that sole basis.
- The eligibility of applicants, the affiliated entity(ies), and the action will be verified according to the criteria set out in Sections 2.1.1, 2.1.2 and 2.1.3.

Any rejected application will be replaced by the next best placed application on the reserve list that falls within the available financial envelope.

### **2.4. SUBMISSION OF SUPPORTING DOCUMENTS FOR PROVISIONALLY SELECTED APPLICATIONS**

No supporting documents will be requested under this Call for Proposals as the individual grant will not exceed Euro 60,000 (low value grant).

## 2.5. NOTIFICATION OF THE CONTRACTING AUTHORITY'S DECISION

### 2.5.1. Content of the decision

The applicants will be informed in writing of the Contracting Authority's decision concerning their application and, if rejected, the reasons for the negative decision.

An applicant believing that it has been harmed by an error or irregularity during the award process may lodge a complaint. See further Section 2.4.15 of the Practical Guide.

### 2.5.2. Indicative timetable

	DATE	TIME*
<b>Information meeting (if any)</b>	Info Sessions will be announced on the on the Delegation of the European Union in Jordan website <a href="http://eeas.europa.eu/delegations/jordan/">http://eeas.europa.eu/delegations/jordan/</a> and on the SRTD II website – <a href="http://srtid.hcst.gov.jo">srtid.hcst.gov.jo</a>	
<b>Deadline for requesting any clarifications from the Contracting Authority</b>	December 7 <sup>th</sup> 2014	14.00 hours
<b>Last date on which clarifications are issued by the Contracting Authority</b>	December 17 <sup>th</sup> 2014	14.00 hours
<b>Deadline for submission of Concept Notes and Application Form</b>	December 28 <sup>th</sup> 2014	14.00 hours
<b>Information to applicants on opening, administrative checks and concept note evaluation (Step 1)</b>	January 2015	
<b>Information to applicants on the evaluation of the Full Application Form (Step 2)</b>	February 2015	
<b>Notification of award (after the eligibility check) (Step 3)</b>	February 2015	
<b>Contract signature</b>	February 2015	

**Provisional date.** All times are in the time zone of the country of the Contracting Authority.

This indicative timetable may be updated by the Contracting Authority during the procedure. In such cases, the updated timetable will be published on the website of the Delegation of the European Union in Jordan <http://eeas.europa.eu/delegations/jordan/> and the SRTD II website – [srtid.hcst.gov.jo](http://srtid.hcst.gov.jo)

## 2.6. CONDITIONS FOR IMPLEMENTATION AFTER THE CONTRACTING AUTHORITY'S DECISION TO AWARD A GRANT

Following the decision to award a grant, the Beneficiary(ies) will be offered a contract based on the Contracting Authority's grant contract (see Annex G of these Guidelines<sup>7</sup>). By signing the application form (Annex A of these Guidelines), the applicants agree, if awarded a grant, to accept the contractual conditions of the standard grant contract.

#### Implementation contracts

Where implementation of the action requires the Beneficiary(ies) and its affiliated entity(ies) (if any) to award procurement contracts, those contracts must be awarded in accordance with Annex IV to the standard grant contract.

### **3. LIST OF ANNEXES**

#### **NOTE THAT ALL ANNEXES MUST BE ADAPTED AS FORESEEN TO THE CALL AND PUBLISHED TOGETHER WITH THE GUIDELINES**

##### **DOCUMENTS TO BE COMPLETED**

- Annex A: Grant Application Form (Word format)
- Annex B: Budget (Excel format)
- Annex C: Financial identification form

##### **DOCUMENTS FOR INFORMATION**

Annex D: Standard Grant Contract

- Annex II: General Conditions
- Annex IV: Contract Award Procedures
- Annex V: Standard Request for Payment
- Annex VI: Model Narrative and Financial Report
- Annex IX: Transfer of Ownership of Assets

Annex H: Daily allowance rates (Per diem), available at the following address:  
[http://ec.europa.eu/europeaid/work/procedures/implementation/index\\_en.htm](http://ec.europa.eu/europeaid/work/procedures/implementation/index_en.htm)

Annex K: Guidelines and Checklist for assessing Budget and Simplified cost options.

ANNEX J: Information on the tax regime applicable to grant contracts signed under the call.

#### **Useful links:**

##### **Project Cycle Management Guidelines**

[http://ec.europa.eu/europeaid/multimedia/publications/publications/manuals-tools/t101\\_en.htm](http://ec.europa.eu/europeaid/multimedia/publications/publications/manuals-tools/t101_en.htm)

##### **The implementation of grant contracts - A Users' Guide**

<http://ec.europa.eu/europeaid/companion/document.do?chapterId=497>

##### **Financial Toolkit**

[http://ec.europa.eu/europeaid/work/procedures/financial-management-toolkit\\_en.htm](http://ec.europa.eu/europeaid/work/procedures/financial-management-toolkit_en.htm)

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