



**Contracting Authority:**

The European Union represented by the European Commission

EU Support to Jordan Response to the Syrian Crisis

**Guidelines  
for grant applicants**

ENPI/2013/024-927 and ENI/2014/037-721

Reference: EuropeAid/137-149/DD/ACT/JO (lot 1)

EuropeAid/137-162/DD/ACT/JO (lots 2 and 3)

Deadline for submission of concept notes: 28<sup>th</sup> June 2015

# **NOTICE**

## **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. EU SUPPORT TO JORDAN RESPONSE TO THE SYRIAN CRISIS

### 1.1. BACKGROUND

After nearly five years, the Syrian crisis continues to deepen, escalate and impact negatively beyond its borders particularly its neighbours who have seen significant influx of refugees. It comprises many dimensions that span the political, security, economic and social landscape, demanding an unprecedented level of international cooperation, both regionally and globally, to be able to respond to its complexity. The countries most severely impacted by its spillover are those directly bordering Syria, namely Jordan and Lebanon.

Since 2012, the flow of refugees from Syria to neighbouring countries has continued unabated. According to UNHCR registration data, more than two million Syrians have fled their country. The crisis is one of the largest, most protracted and uncertain humanitarian emergencies of its kind for many years and its effects are also increasingly impacting on local economic and social spheres – with negative economic activity, loss of income, and reductions to quality public services.

Jordan currently has a registered Syrian refugee population of 628,487, while the total Syrian population amounts to 1.4m Syrians. Al Zaatari camp hosts 83,496 Syrian refugees according to UNHCR figures in April 2015 and 85% are living outside of the camps. Of these 23.5% are women, 53% are children and many are extremely vulnerable. The sheer volume of numbers has placed a critical pressure on social, economic, institutional and natural resources systems' ability to cope. Jordanians residing in communities characterised by a high number of refugees have been impacted to different degrees. In the communities of Irbid, Mafraq, Amman and Zarqa, the livelihoods, opportunities, and rightful access to quality public services have been detrimentally affected, in particular with regard to the most vulnerable segments of the population.

In Irbid and Mafraq for instance, not only the refugee population is in distress, but the overall population is impacted with poorest segments mostly affected. In 2015 the Jordanian Government launched the Jordan Response Plan (JRP) with a total budget of \$2.991bn with the aim of combining in one document both the refugees and the resilience response, the latter focusing only on the host communities. The JRP recognises that for the host communities, a more development oriented approach aiming at building national resilience and sustain the level and quality of services provided is necessary

In this context, the EU proposes the current call for proposals to support two developmental approaches that will focus on generating sustainable employment opportunities through private sector development and implementing sustainable energy and environmentally friendly projects aimed at improving livelihood and income within the host communities for a total of €13.5 Million.

### 1.2. OBJECTIVES OF THE PROGRAMME AND PRIORITY ISSUES

The **overall objective** the programme is, as part of the comprehensive response to the Syrian Crisis on the host communities, to enhance the economic growth potential of the local economy through private sector enterprise development, sustainable environmental projects and livelihood promotion thereby increasing the opportunity for employment, income generation and overall quality of life and welfare of the population easing the pressures generated by the influx of refugees. The programme has two distinct elements: a) Private Sector Development and b) Livelihood and Food Security.

The **specific objectives** of the Private Sector Development (lot 1) element are:

- a. Support through the provision of high quality business development services (BDS) such as acceleration/incubation and seed investment the establishment of new high potential start-up enterprises in the manufacturing and services, sectors which will generate direct and indirect

employment opportunities and represent exemplars for youth (particularly graduates), women and other disenfranchised segments of society of the potential of entrepreneurship as a career path.

- b. Support the growth, modernisation and competitiveness of existing manufacturing, services and agricultural MSMEs in the selected governorates, upgrading their capacities, thus allowing for their increased participation in the local and national markets generating additional Jordanian value and contributing to employment growth and opportunity; and
- c. Contribute to promoting a culture of entrepreneurship and innovation for employment generation and social cohesion in the respective governorates, thus assisting in improving overall welfare of the local population.

The programme aims to provide a mixture of expertise which, combined with seed capital, can promote systemic changes and increase the capacity of the private sector to develop and become financially self-sustained.

The **specific objectives** of the Livelihood and Food Security (lot 2 and 3) are:

- a. Paving the way for employment targeting unskilled workers, new graduates and women among the most vulnerable within the host communities using labour-intensive schemes and job placement in order to boost their income and revive local markets, enabling the population to meet rising costs and reduce vulnerability to further shocks with particular focus in the environment and energy sectors;
- b. Bridging emergency employment to sustainable livelihoods creation, (savings, joint-venturing or consortia between public and private entities, investments, and expanding markets), while implementing demand-driven vocational and post-training support, in particular in the field of environment and energy; and
- c. Helping local small businesses to play an active role in work-based training and employment for young people, income generation and timely and efficient service delivery, in particular for environment and energy sectors.

### **1.3. FINANCIAL ALLOCATION PROVIDED BY THE CONTRACTING AUTHORITY**

The overall indicative amount made available under this Call for Proposals is EUR 13,500,000. The Contracting Authority reserves the right not to award all available funds.

#### **Indicative allocation of funds by lot:**

Lot 1 - Private Sector Development: EUR 5,000,000

Lot 2 - Livelihood projects: EUR 6,000,000

Lot 3 - Food security programmes in refugee camps for Syrians: EUR 2,500,000

If the allocation indicated for lots n° 2 and 3 cannot be used due to insufficient quality or number of proposals received, the Contracting Authority reserves the right to reallocate the remaining funds to the other lot. This flexibility is not applicable to lot number 1.

#### **Size of grants**

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

##### Lot 1 Private Sector Development

- minimum amount: Non applicable
- maximum amount: EUR 5,000,000

## Lot 2: Livelihood projects

- minimum amount: EUR 2 000 000
- maximum amount: EUR 3 000 000

## Lot 3: Food security programmes in refugee camps for Syrians

- minimum amount: EUR 1 000 000
- maximum amount: EUR 2 500 000

Any grant requested under this Call for Proposals must fall between the following maximum percentages of total eligible costs of the action, for lots 1, 2 and 3:

- Maximum percentage: 90% of the total eligible costs of the action (see also Section 2.1.5). In case the successful applicant is a public entity the maximum percentage is set at 100%.

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.

## **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/prag/document.do?locale=en> ).

### **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),
- if any, 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),
- and, if any, **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).

<b>2.1.1. Eligibility of applicants (i.e. applicant and co-applicant(s))</b>
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#### **Applicant**

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

- be a legal person **and**
- be non-profit-making **and**
- be a specific type of organisation such as: non-governmental organisation, public or private sector operator, local authority, business association, research institution, university; or

international (inter-governmental) organisation as defined by Article 43 of the Rules of application of the EU Financial Regulation<sup>1</sup> **and**

- be established<sup>2</sup> in a Member State of the European Union or in Jordan, or in one of the ENI South Countries<sup>3</sup> or a country that is beneficiary of Pre-Accession Assistance<sup>4</sup> or a Member State of the European Economic Area<sup>5</sup>. This obligation does not apply to international organisations **and**
- in the case of a private sector operator or a business association, be legally registered for more than 5 years before the deadline for submitting proposals **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.

In addition to the categories referred to in section 2.1.1, the following are however also eligible: consortia formed by entities fulfilling the eligibility requirements. In case of consortia, these should encompass elements or all of the following:

In case of Lot 1:

- Private Sector Organisations
- Public Sector Organisations including Local Government and Municipalities
- Academic and Research Institutions
- Non Profit Non-Governmental Organisations
- Financial and Private Investment Organisations or funds

In the case of Lot 2 and Lot 3:

- International organisations
- Non Profit Non-Governmental Organisations

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1 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.

2 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.

3 Algeria, Egypt, Israel, Jordan, Lebanon, Libya, Morocco, Palestine, Syria, Tunisia. The eligibility criteria formulated in Commission Notice Nr. 2013/C-205/05 (OJEU C-205 of 19.07.2013) shall apply to this call for proposals. This notice, entitled "Guidelines on the eligibility of Israeli entities and their activities in the territories occupied by Israel since June 1967 for grants, prizes and financial instruments funded by the EU from 2014 onwards", It can be consulted at: [http://eur-lex.europa.eu/legalcontent/EN/TXT/?uri=uriserv:OJ.C\\_.2013.205.01.0009.01.ENG](http://eur-lex.europa.eu/legalcontent/EN/TXT/?uri=uriserv:OJ.C_.2013.205.01.0009.01.ENG)

4 Beneficiary countries of IPA II are: Albania, Bosnia and Herzegovina, the former Yugoslav Republic of Macedonia, Iceland, Kosovo, Montenegro, Serbia, and Turkey. Designation of Kosovo is without prejudice to positions on status, and is in line with UNSCR 1244/99 and the ICJ opinion on the Kosovo declaration of independence.

5 The European Economic Area (EEA) includes the EU Member States and the three EEA EFTA States (Iceland, Liechtenstein, and Norway).

- Private Sector Organisations
- Municipalities and public institutions.

(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 A section 3 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 E3h1 (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)**

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***

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**

##### **Lot 1: Private Sector Development**

###### Definition:

An action is composed of a set of activities.

###### Duration

The initial planned duration of an action may not exceed 36 months.

###### Sectors or themes

The main theme is to support initiatives that create and/or expand the delivery of sustainable enterprise support services that will:

- Provide enhanced Business Development Services (BDS) through Incubation and Acceleration increasing the competitiveness and productivity of existing MSMEs and help foster innovative ideas as start-ups, and,
- Foster social cohesion through enhanced employment and income opportunities improving the social welfare of the population.

The sectoral focus of these initiatives should be on the manufacturing (including agrifood, energy, water) and internationally traded services (including international tourism generation) sectors,

###### Location

The Actions must take place in the Northern Governorates of Irbid and Mafraq, in the Hashemite Kingdom of Jordan.

###### Types of action

The types of actions which can benefit from the grant as initiatives should demonstrate the ability to increase employment opportunities in new and existing businesses through increasing the competitiveness and productivity of existing businesses and through the creation of high potential new enterprises. Actions such as:

1. Provision of high quality innovative business development services to support the creation of new high potential start-up businesses (HPSUs),
2. Provision of high quality innovative business development services targeting existing MSMEs on a development or growth path (Gazelles),
3. Provision of Seed Capital to promising new high growth enterprises (for which an amount of EUR 1,200,000 must be reserved within the grant requested by the applicant).

Such activities could be implemented through a combination of acceleration and incubation:

###### a) Acceleration business development services

Seed Acceleration is a process by which start-up enterprise projects are supported to accelerate to a market viable product and attract 3<sup>rd</sup> party investment.

Establishment or expansion of specific acceleration programmes to support new start-up enterprises in the Irbid and Mafraq Governorates. The acceleration programmes should be focussed on high potential projects which demonstrate the future potential to be internationally competitive, generating exports and employment in excess of 10. The target sectors would be manufacturing and internationally traded services and the target profile of the project teams would include graduate level multi-disciplinary skill-sets.

Acceleration delivery programmes could include:

- Outreach promoting a culture of entrepreneurship within the host communities
- Application Process to solicit projects for selection for bootcamps
- Bootcamps where projects would receive start-up training
- Acceleration Programme: a structured programme focusing on finalising a product, developing market traction and business model.
- Demo/Pitch days for projects to solicit follow-on funding for business implementation

#### b) Incubation Business Development Services

Incubation is a business support process that enhances the successful development of start-up and gazelle companies by providing entrepreneurs with an array of targeted resources and business development services.

The primary focus of interventions should be on delivery of a programme of high quality business development services to existing SMEs which demonstrate the potential to improve international competitiveness and innovate. The beneficiary will establish a programme whereby existing businesses will be incubated to develop a strategic competency and investment plan for growth on a shared cost basis. The programme could provide the following

- Business & strategic planning support through the provision of expertise in marketing, finance, production, HR, legal, etc., and also access to international market research and soft landing for international market penetration;
- Technology transfer/acquisition services to help clients identify technologies and business models that could be purchased, licensed or invested through international joint ventures to improve competitiveness, productivity and market penetration. This service would have access to international platforms, networks and databases for collaboration, technology transfer and research;
- Improving access to mentors, coaches and consultants who are correctly aligned with the needs of the client companies and which are, in the case of consultants, accredited to a national or international standard and in the case of mentors/coaches trained in how to consult with enterprise clients;
- Business and technical skills development training programme design and delivery to match the requirements of client companies;

Other innovative approaches can be proposed provided they match the overall objectives of the programme, are appropriate to the enterprise environment of Northern Jordan and achieve the desired outcomes. Priority will be given to proposals which present a strong private sector participation, content and understanding, aim to create employment and also essentially demonstrate the potential for sustainability beyond the period of the grant programme.

It is anticipated indicatively that the implementation of the programme will result in between 80 and 100 new businesses being created and in excess of 60 existing businesses implementing investment level business growth/development plans. Additionally in promoting a culture of entrepreneurship and innovation substantive numbers of potential entrepreneurs, employers and workers participate in outreach and training activities and have existing capacities enhanced and skills upgraded.

The Activities which may be financed under this call for both acceleration and incubation include:

- Consulting activities provided by business or technical experts available locally or internationally associated with the acceleration of high potential start-ups and growth of existing MSMEs;
- Investment attractiveness strengthening of new or existing businesses through seed capital provision, mentorship support consulting and investment due diligence support;

- Training courses aimed at upskilling the management and operatives of existing growth potential enterprises;
- Specific outreach programmes supporting a culture of entrepreneurship and innovation such as start-up workshops, bootcamps etc;
- Acquisition of relevant software, access to international databases and network platforms associated with technology transfer, international market development etc.

The following types of action are ineligible:

- actions concerned only or mainly with individual sponsorships for participation in workshops, seminars, conferences and congresses;
- actions concerned only or mainly with individual scholarships for studies or training courses;

## **Lot 2: Livelihood projects**

### Definition:

An action is composed of a set of activities.

### Duration

The initial planned duration of an action may not exceed 36 months.

### Sectors or themes

The main theme is the promotion of sustainable renewable energy, energy and water efficiency projects through investments at community levels that would lead to a reduction of public and private consumption of resources and consequently corresponding expenditures; these projects will serve as pilot projects to demonstrate what is feasible in the region and that will:

- Promote applied renewable energy technology, especially in the field of "waste to energy";
- Promote and implement sustainable Renewable Energy as well as Energy and Water Efficiency projects and other "Green Technology" related activities;
- Encourage the more efficient use of water and energy aiming to reduce energy consumption and fossil fuel use in public and private buildings;
- Create job opportunities with a long term perspective;
- Ensure linkages with larger investments in the sectors of energy and environment.

The sectoral focus of these initiatives should be on engineering and manufacturing of "Green Technology" by stimulating its increased use, within the community and in promotion of a strong component of employment generation.

### Location

The Actions must take place in the Governorates most affected by the Syria crisis in Jordan.

### Types of action

The types of actions which can benefit from the grant as initiatives should demonstrate the ability to use more frequently the renewable energy and to handle more efficient the scarce resources, such as energy and water. Furthermore these actions should increase employment opportunities in new (mainly service and maintenance companies) and existing businesses (such as solar PV panel producers) while improving the livelihood. Actions such as:

- Introducing applied renewable energy technology, especially in the field of "waste to energy", having in mind that bigger settlements (including but not being limited to refugee camps) produce substantial volumes of sewage sludge which is currently disposed at costs and not used as raw material for biogas / methane production; energy production based on sludge would decrease waste disposal costs and energy bills;
- Supporting the introduction of water efficiency, using improved technologies and practices that deliver equal or better service with less water; e.g. leak detection programmes (including metering) reducing the amount of water, pressure, and energy required to deliver the same amount of water to consumers' taps;
- Promoting energy efficiency investments on pilots such as public buildings (schools, hospitals, public lighting) but also in recreation areas such as "green parks";

#### Types of activity

The types of activities that could be supported could include:

- Waste-to-Energy - Specific waste-to-energy programmes to increase renewable energy production. Installation of sewage sludge treatment facility for energy production (biogas / methane) primarily to reduce existing fossil based energy consumption and secondarily to feed with its surplus the national grid. The waste-to-energy projects should focus on actual demand and implement green state-of-the-art technology which demonstrates the potential to be internationally competitive, generating exports and employment. The target sectors would be engineering offices combined with SMEs involved in the production of "Green Technology" and the corresponding service and maintenance enterprises.
- Water and Energy Efficiency - Water and Energy Efficiency programmes to promote and implement innovative and replicable solutions in the perspective to the development of the market of water and energy efficiency in a sustainable way; promotion might be linked with training programmes to increase the technical capacities of the populations; eventually public screens could inform about actual energy consumption and production to make the customers more aware and sensitive to the handling of resources.

### **Lot 3: Food security programmes in refugee camps for Syrians**

#### Definition:

An action is composed of a set of activities.

#### Duration

The initial planned duration of an action may not exceed 36 months.

#### Sectors or themes

The main theme is food security that could improve the day to day life. In particular, these projects will:

- Support existing actions based projects;
- Improve existing public infrastructure and others;
- Recycle garbage and others;

The sectoral focus of these initiatives should be on camp infrastructure and environment.

#### Location

The Actions must take place in Jordan

#### Types of action

The types of actions which can benefit from the grant as initiatives must have income generation for Syrian refugees as the main objective while enabling a better environment for these refugees. These actions should provide short-term economic resilience of refugees.

Actions such as:

- Refurbishing of schools and repair of existing school inventory such as chairs, tables and so on;
- Paving roads and market places inside the camps, in order to create a healthier living environment ;
- Recycling of garbage; sorting out marketable products, that could be used also for waste of energy.

#### Types of activity

The types of activities that could be supported could include:

- Refurbishment of schools and maintenance of public infrastructure in the camps;
- Purpose of these activities would be the maintenance or improvement of the existing infrastructure such as schools or market places while making use of the large number of refugees with occupation;
- Recycling activities within the refugee camps;
- Specific recycling activities focusing on the collection and sorting of recyclable materials, e.g. aluminium cans. These activities could be combined with basic introduction in waste management and collection as well as using waste material as raw material for new products.

#### **The following terms are applicable for all lots:**

The following types of action are ineligible:

- actions concerned only or mainly with individual sponsorships for participation in workshops, seminars, conferences and congresses;
- actions concerned only or mainly with individual scholarships for studies or training courses.

#### Financial support to third parties<sup>6</sup>

Applicants may propose financial support to third parties.

Applicants may propose financial support to third parties in order to help achieving the objectives of the action.

The maximum amount of financial support per third party is EUR 60,000.

Under this Call, financial support to third parties **may not** be the main purpose of the action.

In compliance with the present guidelines and notably of any conditions or restrictions in this section, applicants should define mandatorily in section 2.1.1 of the grant application form:

- (i) the objectives and results to be obtained with the financial support
- (ii) the different types of activities eligible for financial support, on the basis of a fixed list
- (iii) the types of persons or categories of persons which may receive financial support
- (iv) the criteria for selecting these entities and giving the financial support

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<sup>6</sup> These third parties are neither affiliated entity(ies) nor associates nor contractors.

- (v) the criteria for determining the exact amount of financial support for each third entity, and
- (vi) the maximum amount which may be given.

In all events, the mandatory conditions set above for giving financial support (points (i) to (vi)) have to be strictly defined in the contract as to avoid any exercise of discretion.

In the case of grants awarded under this call, the following specific conditions will apply to financial support to third parties:

- Third party financing support under the proposed Seed Capital Fund will be restricted to New High Potential Start-up Enterprises in the Governorates of Irbid and Mafraq directly assisted by the proposed initiatives;
- The types of activities eligible for financial support will be restricted to investments associated with new business creation and acceleration of market penetration potential by high growth potential SMEs;
- The types of activities eligible for financial support under Lot 2 will be restricted to investments focusing on Renewable Energy as well as Energy and Water Efficiency projects and other "Green Technology related activities;
- The main part of each investment grant will go into implementation of the technical facilities and minor funding will be spent on studies, planning and engineering work, awareness campaigns and others. Studies and other knowledge-based activities will be financed only if combined with the implementation of the technical facilities;
- The types of activities eligible for financial support under Lot 3 have to have the refugees as main beneficiaries by enabling income generating activities.

#### 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 not submit more than 1 application per lot under this Call for Proposals.

The applicant may not be awarded more than 1 grant per lot under this Call for Proposals.

The applicant may not be a co-applicant or an affiliated entity in another application at the same time under the same lot.

A co-applicant/affiliated entity may not submit more than 1 application per lot under this Call for Proposals.

A co-applicant/affiliated entity may not be awarded more than 1 grant per lot under this Call for Proposals.

A co-applicant/affiliated entity may not be the applicant or an affiliated entity in another application at the same time under the same lot.

### 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:

- **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>7</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.

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<sup>7</sup> 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.



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**.

#### 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 may not be treated as co-financing

However, if the description of the action as proposed includes contributions in kind, the contributions have to be made.

#### 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;
- 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 obligatory.

Registration is obligatory for all applicants, co-applicant(s) and affiliated entity(ies).

PADOR is an on-line database in which organisations register and update their data regularly, through the EuropeAid website: [https://ec.europa.eu/europeaid/search/site/pador%20onlineservice\\_en](https://ec.europa.eu/europeaid/search/site/pador%20onlineservice_en)

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>8</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. Concept Note content**

Applications must be submitted in accordance with the Concept Note instructions in the Grant Application Form annexed to these Guidelines (Annex A).

Applicants must apply in English.

In the Concept Note, applicants must only provide an estimate of the amount of contribution requested from the Contracting Authority and an indicative percentage of that contribution in relation to the total amount of the Action. Only the applicants invited to submit a full application in the second phase will be required to present a detailed budget. The elements outlined in the Concept Note may not be modified by the applicant in the full application form. The EU contribution may not vary from the initial estimate by more than 20%. Applicants are free to adapt the percentage of co-financing required within the minimum and maximum amount and percentages of co-financing, as laid down in these Guidelines in section 1.3. Own contributions by the applicants can be replaced by other donors' contributions at any time.

Any error or major discrepancy related to the points listed in the Concept Note instructions may lead to the rejection of the Concept Note.

Clarifications will only be requested when information provided is not sufficient to conduct an objective assessment.

Hand-written Concept Notes will not be accepted.

Please note that only the Concept Note form will be evaluated. It is therefore of utmost importance that this document contains ALL relevant information concerning the action. No additional annexes should be sent.

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<sup>8</sup> Which corresponds to Sections 3 and 4 of Part B of the application form.

### **2.2.2. Where and how to send Concept Notes**

The Concept Note together with its relating Checklist and Declaration by the applicant (to be found in **Part A sections 2 and 3** of the grant application form) must be submitted in one original and 2 copies in A4 size, each bound.

An electronic version of the Concept Note must also be submitted. A CD-Rom with the Concept Note in electronic format will be included, along with the paper version, in a sealed envelope as described below. The electronic file must contain **exactly the same** application as the paper version enclosed.

Where applicants send several different Concept Notes (if allowed to do so by the Guidelines of the Call), each one must be sent separately.

The outer envelope must bear the **reference number, title of the call for proposals and lot number**, together with [the lot number and title] the full name and address of the applicant, and the words 'Not to be opened before the opening session'.

Concept Notes 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) to the address below:

Postal address:

*Delegation of European Union to the Hashemite Kingdom of Jordan  
Attn: Contracts & Finance Section  
PO BOX 852099  
Al-Ameerah Basma Street - North Abdoun  
Amman, Jordan*

Address for hand delivery or by private courier service

*Delegation of European Union to the Hashemite Kingdom of Jordan  
Attn: Contracts & Finance Section  
Wadi Abdoun – Opposite to Total Gas Station  
Al-Ameerah Basma Street - North Abdoun  
Amman, Jordan*

Concept Notes 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 Concept Note is complete using the Checklist for Concept Note (Part A section 2 of the grant application form). Incomplete concept notes may be rejected.**

### **2.2.3. Deadline for submission of Concept Notes**

The deadline for the submission of Concept Notes is 28<sup>th</sup> June 2015 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 at 15:00 as evidenced by the signed and dated receipt. Any Concept Note submitted after the deadline will be rejected.

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

### **2.2.4. Further information about Concept Notes**

An information session on this Call for Proposals will be held as follows:

In Amman: 31<sup>st</sup> May 2015 at 11:00

In Irbid: 1<sup>st</sup> June 2015 at 11:00

In Mafrag: 2<sup>nd</sup> June 2015 at 11:00

Exact details on the place where the information sessions will take place will be announced last week of May 2015 in the facebook page of the EU Delegation in Jordan and its website.

Questions may be sent by e-mail no later than 21 days before the deadline for the submission of Concept Notes to the address(es) below, indicating clearly the reference of the Call for Proposals:

*E-mail address: [delegation-jordan-tenders@eeas.europa.eu](mailto:delegation-jordan-tenders@eeas.europa.eu)*

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 submission of Concept Notes.

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 EuropeAid website <http://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome> , as the need arises. It is therefore advisable to consult the abovementioned website regularly in order to be informed of the questions and answers published.

All questions related to PADOR registration should be addressed to the PADOR help desk:

<mailto:EuropeAid-IT-support@ec.europa.eu>

#### **2.2.5. Full Application forms**

An applicant invited to submit a full application form following pre-selection of their Concept Note must do so using Part B of the application form annexed to these Guidelines (Annex A). Applicants should then keep strictly to the format of the application form and fill in the paragraphs and pages in order.

The elements outlined in the Concept Note cannot be modified by the applicant in the full application form. The EU contribution may not vary from the initial estimate by more than 20 %, although applicants are free to adapt the percentage of co-financing required within the minimum and maximum amount and percentages of co-financing, as laid down in these Guidelines under section 1.3.

Applicants must submit their full applications in the same language as their Concept Notes.

Please complete the full application form carefully and as clearly as possible so that it can be assessed properly.

Any error related to the points listed in the Checklist (Part B, Section 7 of the Grant Application form) or any major inconsistency in the full 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 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 full application form and the published annexes which have to be filled in (budget, logical framework) will be transmitted to the evaluators (and assessors, if used). It is therefore of utmost importance that these documents contain ALL the relevant information concerning the action. **No supplementary annexes should be sent.**

### **2.2.6. Where and how to send Full Application forms**

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) to the address below:

Postal address

*Delegation of European Union to the Hashemite Kingdom of Jordan  
Attn: Contracts & Finance Section  
PO BOX 852099  
Al-Ameerah Basma Street - North Abdoun  
Amman, Jordan*

Address for hand delivery or by private courier service

*Delegation of European Union to the Hashemite Kingdom of Jordan  
Attn: Contracts & Finance Section  
Wadi Abdoun – Opposite to Total Gas Station  
Al-Ameerah Basma Street - North Abdoun  
Amman, Jordan*

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

Applications must be submitted in one original and 2 copies in A4 size, each bound. The full application form, budget and logical framework must also be supplied in electronic format (CD-Rom) in a separate and single file (i.e. the full application form must not be split into several different files). The electronic file must contain **exactly the same** application as the paper version.

The Checklist (Section 7 of Part B of 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 applicants send several different applications (if allowed to do so by the Guidelines of the Call), each one must be sent separately.

The outer envelope must bear the **reference number, title of the Call for Proposals and lot number**, together with the number and title of the lot, the full name and address of the applicant, and the words 'Not to be opened before the opening session'.

**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.**

### **2.2.7. Deadline for submission of Full Application forms**

The deadline for the submission of applications will be indicated in the letter sent to the applicants whose application has been pre-selected.

However, for reasons of administrative efficiency, the Contracting Authority may reject any application sent in due time but received after the date of approval of the evaluation report for full applications (see indicative calendar under Section 2.5.2)

### **2.2.8. Further information about Full Application forms**

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

*E-mail address: [delegation-jordan-tenders@eeas.europa.eu](mailto:delegation-jordan-tenders@eeas.europa.eu)*

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), or an action.

No individual replies will be given to questions. All questions and answers as well as other important notices to applicants during the course of the evaluation procedure, will be published on the website <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome> . It is therefore advisable to consult the abovementioned website regularly in order to be informed of the questions and answers published.

### **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.

## (1) 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 Concept note satisfies all the criteria specified in points 1-5 of the Checklist: Section 2 of Part A 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

<b>1. Relevance of the action</b>	Sub-score	<b>30</b>
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 them appropriately?	5	
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**

\*Note: In the case of lot 1, a score of 5 (very good) will only be allocated if the proposal specifically addresses all priorities as indicated in Section 1.2 (Objectives of the programme) of these guidelines, including the need to promote the system change by providing a mixture of expertise combined with seed capital.

\*\*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 300% 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 pre-selected applicants will subsequently be invited to submit full applications.



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

Firstly, the following will be assessed:

- Compliance with the submission deadline. If the deadline has not been met, the application will automatically be rejected
- 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

Section	Maximum Score
<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.

\*Note: A score of 5 (very good) will only be allocated if the applicant proposes a consortium as indicated in Section 2.1.1 (Eligibility of Applicants ) of these guidelines

*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.

### **(3) 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.

### 2.3. SUBMISSION OF SUPPORTING DOCUMENTS FOR PROVISIONALLY SELECTED APPLICATIONS

An applicant that has been provisionally selected or placed on the reserve list will be informed in writing by the Contracting Authority. It will be requested to supply the following documents in order to allow the Contracting Authority to verify the eligibility of the applicant, (if any) of the co-applicant(s) and (if any) of their affiliated entity(ies):

Supporting documents may/must be provided through PADOR, see Section 2.2

1. The statutes or articles of association of the applicant, (if any) of each co-applicant(s) and (if any) of each affiliated entity(ies)<sup>9</sup>. Where the Contracting Authority has recognised the applicant's, or the co-applicant(s)'s, or their affiliated entity(ies)'s eligibility for another call for proposals under the same budget line within 2 years before the deadline for receipt of applications, it should be submitted, instead of the statutes or articles of association, a copy of the document proving their eligibility in a former Call (e.g. a copy of the special conditions of a grant contract received during the reference period), unless a change in legal status has occurred in the meantime<sup>10</sup>. This obligation does not apply to international organisations which have signed a framework agreement with the European Commission.
2. An external audit report produced by an approved auditor, certifying the applicant's accounts for the last financial year available where the total amount of the grant exceeds EUR 750 000 (EUR 100 000 for an operating grant). The external audit report is not required from (if any) the co-applicant(s).

This obligation does not apply to public bodies and international organisations provided that the international organisation in question offers the guarantees provided for in the applicable Financial Regulation, as described in Chapter 6 of the Practical Guide.

3. A copy of the applicant's latest accounts (the profit and loss account and the balance sheet for the last financial year for which the accounts have been closed)<sup>11</sup>. A copy of the latest account is neither required from (if any) the co-applicant(s) nor from (if any) affiliated entity(ies).
4. Legal entity sheet (see annex D of these Guidelines) duly completed and signed by each of the applicants (i.e. by the applicant and (if any) by each co-applicant(s)), accompanied by the justifying documents requested there. If the applicants have already signed a contract with the Contracting Authority, instead of the legal entity sheet and supporting documents, the legal entity number may be provided, unless a change in legal status occurred in the meantime.
5. A financial identification form of the applicant (not from co-applicant(s)) conforming to the model attached at Annex E of these Guidelines, certified by the bank to which the payments will be made. This bank should be located in the country where the applicant is established. If the applicant has already submitted a financial identification form in the past for a contract where the European Commission was in charge of the payments and intends to use the same bank account, a copy of the previous financial identification form may be provided instead.

Where the requested supporting documents are not uploaded in PADOR they must be supplied in the form of originals, photocopies or scanned versions (i.e. showing legible stamps, signatures and dates) of the said

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9 Where the applicant and/or a co-applicant(s) and or an affiliated entity(ies) is a public body created by a law, a copy of the said law must be provided.

10 To be inserted only where the eligibility conditions have not changed from one call for proposals to the other.

11 This obligation does not apply to natural persons who have received a scholarship or that are in most need in receipt of direct support, nor to public bodies and to international organisations. It does not apply either when the accounts are in practice the same documents as the external audit report already provided pursuant to Section 2.4.2.

originals. However, the Legal entity sheet and the financial identification form must always be submitted in original.

Where such documents are not in one of the official languages of the European Union Arabic, a translation into English or Arabic of the relevant parts of these documents proving the applicant(s)'s eligibility, must be attached for the purpose of analysing the application.

Where these documents are in an official language of the European Union other than English, it is **strongly** recommended, in order to facilitate the evaluation, to provide a translation of the relevant parts of the documents, proving the applicants' eligibility, into English.

If the abovementioned supporting documents are not provided before the deadline indicated in the request for supporting documents sent to the applicant by the Contracting Authority, the application may be rejected.

After verifying the supporting documents, the Evaluation Committee will make a final recommendation to the Contracting Authority, which will decide on the award of grants.

NB : In the eventuality that the Contracting Authority is not satisfied with the strength, solidity, and guarantee offered by the structural link between one of the applicants and its affiliated entity, it can require the submission of the missing documents allowing for its conversion into co-applicant. If all the missing documents for co-applicants are submitted, and provided all necessary eligibility criteria are fulfilled, the above mentioned entity becomes a co-applicant for all purposes. The applicant has to submit the application form revised accordingly.

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

### 2.4.1. *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.

### 2.4.2. *Indicative timetable*

	DATE	TIME*
<b>Information meeting (if any)</b>	31 <sup>st</sup> May 2015 in Amman  1 <sup>st</sup> June 2015 in Irbid  2 <sup>nd</sup> June 2015 in Mafraq	11: 00
<b>Deadline for requesting any clarifications from the Contracting Authority</b>	7 <sup>th</sup> June 2015	
<b>Last date on which clarifications are issued by the Contracting Authority</b>	17 <sup>th</sup> June 2015	-
<b>Deadline for submission of Concept notes</b>	28 <sup>th</sup> June 2015	15:00
<b>Information to applicants on opening, administrative checks and concept note</b>	15 <sup>th</sup> July 2015*	-

<b>evaluation (Step 1)</b>		
<b>Invitations to submit Full Application Form</b>	15 <sup>th</sup> July 2015*	
<b>Deadline for submission of Full Application Form</b>	30 <sup>th</sup> August 2015*	
<b>Information to applicants on the evaluation of the Full Application Form (Step 2)<sup>12</sup></b>	30 <sup>th</sup> September 2015	-
<b>Notification of award (after the eligibility check) (Step 3)</b>	30 <sup>th</sup> September 2015	-
<b>Contract signature<sup>13</sup></b>	31 <sup>st</sup> October 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 EuropeAid web site <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome>

## **2.5. 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>14</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.

## **2.6. EARLY WARNING SYSTEM AND CENTRAL EXCLUSION DATABASE**

The applicants and, if they are legal entities, the persons who have powers of representation, decision-making or control over them, are informed that, should they be in one of the situations mentioned in:

- Commission Decision of 16.12.2008 on the Early Warning System (EWS) for the use of authorising officers of the Commission and the executive agencies (OJ, L 344, 20.12.2008, p.125) or

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<sup>12</sup> Note that according to the financial regulation, in direct management, applicants must be notified the outcome of the evaluation of their applications within 6 months following the submission deadline of the full application. This time-limit may be exceeded in exceptional cases, in particular for complex actions (including Multi-beneficiary calls), large number of proposals or in case of delays attributable to the applicants.

<sup>13</sup> Note that according to the financial regulation, in direct management the grant contract must be signed within 3 months following the notification of the award decision. This time-limit may be exceeded in exceptional cases, in particular for complex actions (including Multi-beneficiary calls), large number of proposals or in case of delays attributable to the applicants

<sup>14</sup> Complemented by the provisions in Annex e3h11 where at least one of the beneficiaries is an international organisation.

- Commission Regulation of 17.12.2008 on the Central Exclusion Database (CED) (OJ L344, 20.12.2008, p.12),

their personal details (name, given name (if natural person), address, legal form and name and given name of the persons with powers of representation, decision-making or control (if legal person)) may be registered in the EWS only or both in the EWS and CED, and communicated to the persons and entities listed in the above-mentioned Decision and Regulation, in relation to the award or the execution of a grant agreement or decision.



### 3. LIST OF ANNEXES

#### DOCUMENTS TO BE COMPLETED

- Annex A: Grant Application Form (Word format)
- Annex B: Budget (Excel format)
- Annex C: Logical Framework (Excel format)
- Annex D: Legal Entity Sheet
- Annex E: Financial identification form
- Annex F: PADOR off Line Form<sup>15</sup>

#### DOCUMENTS FOR INFORMATION

- Annex G: 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 VII: model report of factual findings and terms of reference for an expenditure verification of an EU financed grant contract for external action
  - Annex VIII: model financial guarantee
  - Annex IX: standard template for transfer of ownership of assets
- Annex H: Daily allowance rates (Per diem), available at the following address:  
[https://ec.europa.eu/europeaid/applicable-rates-diems-framework-ec-funded-external-aid-contracts-05072013\\_en](https://ec.europa.eu/europeaid/applicable-rates-diems-framework-ec-funded-external-aid-contracts-05072013_en)
- 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

[https://ec.europa.eu/europeaid/aid-delivery-methods-project-cycle-management-guidelines-vol-1\\_en](https://ec.europa.eu/europeaid/aid-delivery-methods-project-cycle-management-guidelines-vol-1_en)

##### The implementation of grant

<http://ec.europa.eu/europeaid/companion/document.do?nodeNumber=19>

##### Financial Toolkit

[https://ec.europa.eu/europeaid/funding/procedures-beneficiary-countries-and-partners/financial-management-toolkit\\_en](https://ec.europa.eu/europeaid/funding/procedures-beneficiary-countries-and-partners/financial-management-toolkit_en)

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<sup>15</sup> [https://ec.europa.eu/europeaid/search/site/pador\\_en](https://ec.europa.eu/europeaid/search/site/pador_en) Only applicable in calls under direct management where PADOR is used.