



This programme is co-funded by the European Union and the Republic of Turkey

CONTRACTING AUTHORITY
Ministry of Science, Industry and Technology
(Directorate of EU Financial Programmes)

**COMPETITIVENESS AND INNOVATION SECTOR OPERATIONAL PROGRAMME
(2014-2020)**

Action 2: Science, Technology and Innovation (STI)



TITLE: ACTIVITY 2.1: RESEARCH AND DEVELOPMENT

Ref No: CISOP.2.1/01

GUIDELINES FOR APPLICANTS

**Deadline for Submission of Applications:
06/07/2017**

**THIS DOCUMENT INCLUDES THE CORRIGENDUM
DATED 6 JULY, 5 JUNE, 17 MAY AND 24 APRIL 2017.**



Republic of Turkey Ministry of Science,
Industry and Technology

IMPORTANT NOTICE

1. This is an **open call for proposals** where all documents are submitted together and evaluated according to the rules set up in this Guideline document.
2. This is **not a call for grant proposals**, where the Contracting Authority transfers money to the beneficiary so that it can buy “things and /or services” for itself. **This is an invitation to submit projects** (also called operations) for financial assistance where the Contracting Authority commits to procure and finance purchase of goods, advisory services and other related activities **for the beneficiary (also called end recipient of assistance-ERA)** based on technical specifications and terms of reference developed by the beneficiary. Costs related to the preparation of these documents will be covered **by the ERA**.
3. Further to the evaluation of proposals, specific management verifications may be exercised on site to validate assumptions of the pre-selected projects.
4. **Under this call there are only two types of components** that can be supported within the project to deliver project outputs and results: **i) supply and ii) service** (the latter can be services such as : training and capacity building activities).
5. The **Contracting Authority will run the procurement procedure on behalf and FOR the beneficiary in accordance with PRAG procedures for the EU external actions. The applicant is therefore required to include necessary timing and duration of the procurement procedure in the project considerations and assumptions.**
6. Since this is not a call for grant proposal, fund allocated to the project will not be transferred to the ERA’s account. The Contracting Authority will make the payments to the contractors on behalf of the ERA.
7. The beneficiary is recommended to familiarise itself with the CISOP Document available at: http://rekabetcisektorler.sanayi.gov.tr/documents/10184/51258/rysop_turkiye_tr-2772016143713.pdf/0a9c575f-9d99-4e7d-abe5-6b04ab178354
8. The beneficiary is advised to familiarise itself with the PRAG document available at: http://ec.europa.eu/europeaid/prag/?header_description=DEVCO+Prag+to+financial+and+contr+actual+procedures+applicable+to+external+actions+financed+from+the+general+budget+of+the+EU+and+from+the+11th+EDF&header_keywords=ePrag%2C+europa
9. The beneficiary shall take all necessary steps to publicise the fact that the European Union has co-financed the project. Projects must incorporate information and communication activities designed to raise the awareness of specific or general audiences of the EU support for the project.
10. The language of the applications will be English.

TABLE OF CONTENTS

GLOSSARY AND ACRONYMS	4
Acronyms	4
Glossary	5
1. COMPETITIVENESS AND INNOVATION SECTOR OPERATIONAL PROGRAMME 2014-2020.....	7
1.1 Background	7
1.2 Objectives and Priority Issues for This Call	8
1.3 Types of Activities	11
1.4 Financial Allocation.....	12
2. ELIGIBILITY RULES FOR THIS CALL FOR PROJECT PROPOSALS	14
2.1 Eligibility of Applicant and Partners.....	14
2.2 Eligible Projects.....	15
2.3 Eligibility of Costs	17
3. HOW TO APPLY	20
3.1 Application documents.....	20
3.2 Where and How to Send the Application	20
3.3 Deadline for Submission of Applications	21
3.4 Further Information on Application.....	21
4. EVALUATION AND SELECTION PROCESS.....	22
STEP 1: Opening and Administrative Checks	22
STEP 2: Eligibility and Compliance Checks	22
STEP 3: Quality and Technical Criteria	23
STEP 4: Shortlisting	28
STEP 5: Additional Verifications.....	29
STEP 6: Notification of the Operating Structure's Decision.....	29
Provisional Timetable	30
ANNEXES	31

GLOSSARY AND ACRONYMS

Acronyms

CISOP	Competitiveness and Innovation Sector Operational Programme
CRS	Collaborative Research Centre
EC	European Commission
ERA	End Recipient of Assistance -
EU	European Union
ICT	Information and Communication Technologies
IPA	Instrument for Pre-Accession Assistance (IPA I covers the period 2007-2013 and IPA II is designated for the years 2014-2020)
MoSIT	Ministry of Science, Industry and Technology
NDP	National Development Plan
NACE	Statistical Classification of Economic Activities in the European Community
OIS	Operation Identification Sheet
OIZ	Organised Industrial Zone
PRAG	Practical Guide to Contract Procedures for EU External Actions
PTP	Priority Transformation Programme
R&D	Research and Development
RTDI	Research Technology Development Innovation
SME	Small and Medium Enterprise
TDZ	Technology Development Zone
TRL	Technology Readiness Level
TTI	Technology Transfer Intermediary
TTO	Technology Transfer Office

Glossary

Advanced Technology: technology with high R & D intensity and high added value and is at the cutting edge.

Applicant: The legal entity submitting the application form on behalf of itself and its project partners. Under the formation of partnership the applicant will be the leading institution and mainly responsible for implementation of the project with its partner(s).

CISOP 2014-2020: An operational programme which is co-financed by the EU, the sequel to the Regional Competitiveness Operational Programme 2007-2013, co-financed by the EU from IPA assistance.

Contracting Authority: Accredited body for management of contracting and implementation of projects under Operational Programmes (OPs). For CISOP, the Ministry of Science Industry and Technology.

Operational Agreement: An agreement signed, upon the finalisation of Operation Identification Sheet (OIS), between the Operating Structure and the End Recipient of Assistance (ERA) stating the terms and conditions of the project as well as roles and responsibilities of the signatories.

Operation Identification Sheet: A template by which the basic information such as background and situation analysis, overall objectives, specific objectives, activities, indicators, management structure, target groups, risks and assumption, budget and time plan of project ideas are clearly stated and submitted in IPA context. OIS is also the Application Form under this call.

Operating Structure: Institutions in charge of preparing the sector specific programmes in the sectors of IPA. For CISOP, the Ministry of Science Industry and Technology.

Project: Planned work or operation composed of set of activities intended to accomplish an indivisible task of precise economic and technical nature, which has clearly identified goals, budget and time-frame.

Smart Specialisation: an approach combines industrial, educational and innovation policies to suggest selection of a limited number of priority areas for knowledge-based investments, focusing on their strengths and comparative advantages.

Social Innovation: Strategies, concepts, ideas and organizations that meet the social needs of different elements to strengthen civil society. Social innovation includes the social processes of innovation, such as open source methods and techniques and also the innovations which have a social purpose.

Technology Commercialisation: the process of taking an idea or a new or improved product or services to market and creating financial value.

Technology Readiness Level: a type of measurement system used to assess the maturity level of a particular technology. For TRL Levels see:

https://ec.europa.eu/research/participants/data/ref/h2020/wp/2014_2015/annexes/h2020-wp1415-annex-g-trl_en.pdf

Technology Transfer (TT): the process of transferring scientific findings from one organization to another for the purpose of further development and commercialization.

Technology Transfer Intermediaries (TTIs): Structures that manage technology transfer processes between university and industry in different dimensions by means of proximity.

In this document the structures referred to as technology transfer interfaces are as follows:

- Technology Development Zones (TDZs),
- Technology Transfer Offices (TTOs),
- Incubators established within the universities,
- and Collaborative Research Centres (CRCs)

1. COMPETITIVENESS AND INNOVATION SECTOR OPERATIONAL PROGRAMME 2014-2020

The European Union continues supporting Turkish economy through the provision of funding within the framework of IPA II programme, financed from the EU budget for the years 2014-2020. CISOP 2014-2020 is a successor of the Regional Competitiveness Operational Programme 2007-2013, currently approaching closure phase.

The Directorate of EU Financial Programmes of the Ministry of Science, Innovation and Technology acts as Operating Structure for the CISOP 2014-2020 and Contracting Authority for all contracts signed within the Programme framework.

1.1 Background

The overarching strategy of the Competitiveness and Innovation Sector Operational Programme 2014-2020 is rooted in the 10th National Development Plan growth policy focusing on “developing an export-oriented, private sector-led competitive production structure by increasing productivity and accelerating industrialisation”. Stemming from the 10th NDP, CISOP 2014-2020 seeks to contribute to the enhancement of manufacturing industries through the development of value chains and thus competitiveness of key sectors driving economic growth, better access to finance by SMEs and resource efficiency, including green entrepreneurship.

The overall objective of the IPA sector support, as articulated in the Country Strategy Paper, is “to improve the business environment and strengthening research, technologic development and innovation”.

The IPA sector support has four expected results:

- Improved functioning of the business sector, especially for SMEs and entrepreneurs;
- Improved access to finance for SMEs;
- Increased clustering, networking and SME internationalization; and
- Increased quality and quantity of public and private research and innovation in support of economic development.

In terms of intervention logic CISOP 2014-2020 consists of three Actions:

1. Action 1 is Private Sector Development;
2. Action 2 is Science, Technology and Innovation;
3. Action 3 is Capacity Building.

Action 2 is composed of two activities:

- **Activity 2.1:** Research and Development.
- **Activity 2.2:** Technology Transfer and Commercialisation

The social, economic and SWOT analysis on the sector underlines several difficulties that limits SMEs’ R&D and innovation capacity. First, the analysis concludes that SMEs do not possess in-house human capital (e.g. engineering capacity) and physical infrastructure, required for R&D or

innovation. Activity 2.1 (Support to R&D) addresses this weakness through promoting collaborative product development (R&D) processes through public private partnerships that capitalize on Turkey’s research infrastructure, which the sector analysis identifies as a strength to leverage.

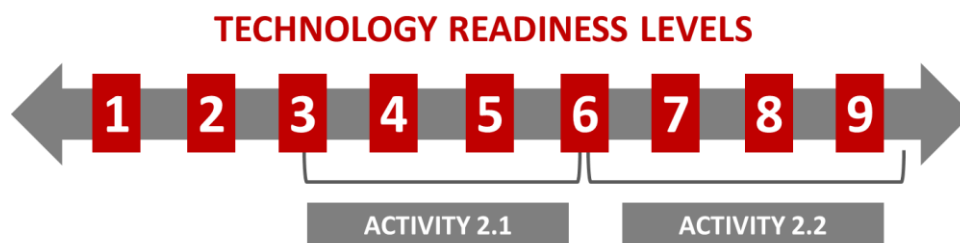
Second, the analysis also demonstrates that the interest of the public research institutions, including universities, in collaborating with the industry is limited. Collaboration in R&D may occur on different levels: strategic (partner selection and management), executive (teams and processes), or infrastructural level. Independent from the level of cooperation, firms need to develop specific organizational competencies and cooperation capabilities to develop and manage partnership, and integrate skills and tacit knowledge with external partners. Companies with a greater cooperation capability can have access to a larger range of technologies and can better manage their R&D resources.

CISOP gives priority to operations that establish linkages with and complement the NDP10 Priority Transformation Programmes (PTP), such as:

- PTP#11 – Commercialization in Priority Technology Areas,
- PTP#20 – Attraction Centre for Qualified Human Capital,
- PTP#21 – Healthy Living and Mobility,
- PTP#24 – Urban Transformation that Enhances Competitiveness and Social Cohesion.

Activity 2.1-Research and Development is aimed at strengthening RTDI cooperation and networking and specialization among firms, research institutions and technology transfer intermediaries for their R&D activities in technology readiness levels (TRL) between 3 to 6.

Figure: Relevant Technology Readiness Levels per CISOP Activities



This Activity covers two main topics.

- **Topic 2.1.1 Thematic Competency Development Support**
- **Topic 2.1.2 RTDI Focused Cooperation and Networking Support**

This Guideline document concerns Activity 2.1 of Action 2 (Science, Technology and Innovation). Other Actions and Activities are not covered by this Guideline.

1.2 Objectives and Priority Issues for This Call

The **overall objective** of this Call for Project Proposals is aligned with Action 2 and **is to improve the functionality of the national innovation ecosystem by boosting industry engagement in Science, Technology and Innovation through public private partnerships (including but not limited to university-industry collaboration) and improving SMEs’ innovation management capacity.**

Specific objectives are, namely:

- Enhancement of the functionality of the existing public and private research infrastructure in Turkey; and an increase in the number and improvement of university-industry collaboration.
- Acceleration of commercialization of innovative products, by bridging the financing gap between the innovative ideas and equity investors.
- Improvement of the functionality of the structures/facilities that incubate innovative start-ups and SMEs.
- Increasing awareness on social innovation and strengthening the social innovation support skills and capabilities.
- Expansion of the equity financing mechanisms and enhancement of start-ups' and SMEs' access to such mechanisms.
- To promote the development and market uptake of innovative green products, processes and services.

Result Indicators

Result indicators are initial outcomes of the project;¹ **they have indirect character and must be achieved at the end of the duration of the project or shortly after its completion.**

Projects submitted under this Call shall directly contribute to one or more of the result indicators (R) established by the Programme for Action 2:²

- R.1 Number of national patents obtained
- R.2 Number of international and regional approved patents (PCT + EPC)
- R.3 Number of products, including eco-innovative products, successfully commercialized
- R.4 Number of innovative enterprises created
- R.5 Number of research job created in supported entities/enterprises
- R.6 Number of innovative entrepreneurs/SMEs benefited from equity financing mechanisms

ACTIVITY 2.1

Activity 2.1 Research and Development under Action 2 focuses on supporting early stages of innovation cycle which culminates the development of new and innovative products.

Important Note: The projects to be submitted under this activity should support R&D activities to move from proof of concept phase (TRL3), to technology demonstrated in relevant environment (TRL6). Project applications addressing higher TRL phases fall under the scope of Activity 2.2. **Due to the transitive nature of R&D projects, applications involving activities related to TRL levels higher than 6 may be eligible under Activity 2.1, as long as majority of the services to be provided, target groups, activities and outputs of the project address TRL levels 3 to 6.**

¹ For more, please check Methodological Guidance on Performance Indicators; European Commission, Neighbourhood and Enlargement Negotiations

² Please, note that the numbering of result indicators corresponds to the sequence in the CISOP 2014-2020 document.

The specific objectives of Activity 2.1 are:

- Enhancement of the functionality of the existing or developing, public and private research infrastructure in Turkey;
- Improvement of university-industry collaboration;
- Increasing awareness on social innovation and strengthening the social innovation support skills and capabilities.

Output Indicators

Output indicators **are the direct achievements of the project, its products or deliverables**. Outputs must be achieved throughout the duration of the project and/or at its end date.

Projects submitted under this Call shall correspond to one or more of the output indicators (O) established by the Programme for Activity 2.1:

- O.1 Number of research partnerships initiated for development of new and innovative products
- O.2 Number of new and innovative products developed and prototyped
- O.3 Number of national patent applications
- O.4 Number of international and regional patent applications originated from Turkey (PCT + EPC)
- O.5 Number of women researchers (engineers, technicians etc.) involved in R&D projects

Geographical Concentration

Projects can be implemented in any location within the Republic of Turkey. However, CISOP prioritised high and middle-high income regions for Activity 2.1. Consequently, during evaluation of the applications priority will be given to; *TR10 (İstanbul), TR42 (Kocaeli, Sakarya, Düzce, Bolu, Yalova), TR41 (Bursa, Eskişehir, Bilecik), TR51 (Ankara), TR21 (Tekirdağ, Edirne, Kırklareli), TR31 (İzmir), TR61 (Antalya, Isparta, Burdur), TR32 (Aydın, Denizli, Muğla), TR81 (Zonguldak, Karabük, Bartın), TR22 (Balıkesir, Çanakkale), TR33 (Manisa, Afyon, Kütahya, Uşak), TR62 (Adana, Mersin), TR52 (Konya, Karaman), TR71 (Kırıkkale, Aksaray, Niğde, Nevşehir, Kırşehir) regions.*

Division into Topics

This Call for Proposals is divided into **two** Topics. An application should be submitted for either one of the following topics under this call. **If a proposal corresponds to more than one topic, the applicant should apply to the topic which is proportionally most relevant to the proposal.**

Topic 2.1.1: Thematic Competency Development Support

Under this topic; projects will target; development of smart specialization of technology transfer interfaces (TTI) in thematic focus area(s) to better utilize the potentials of universities and other research institutions in collaboration with technology transfer interfaces and industry, as well as to develop and improve infrastructure and networks that will enable them to build competencies in specific thematic areas, especially taking into account regional industry potentials and serving their needs.

Projects implemented under Topic 2.1.1 **must directly contribute to one or more of the following Result Indicators:** R.1, R.2, R.4, R.5 and R.6

The projects under this topic can be composed of **both Supply and Service** components.

Topic 2.1.2: RTDI Focused Cooperation and Networking Support

This topic aims to initiate long term strategic partnerships (or foster existing ones) among academia, industry and intermediary operators and to integrate them to regional/national/international networks. The partnerships are expected to be not bound by the duration of the project but to turn into quasi-institutional collaborations that will yield large scale R&D products addressing the needs of the economy in the long run.

Projects implemented under Topic 2.1.2 **must directly support RTDI focused project partnerships between innovation actors within a defined framework including strategies, activities, roles and responsibilities and contribute to at least one of the Result Indicators established for this Call for Proposals: R.1, R.2, R.3, R.4, R.5 and R.6.**

The projects under this topic can be composed of **only service** component.

Themes

Themes are thematic concepts for the projects financed under this Call for Project Proposals. An application should choose to cover (but not limited to) at least one of the themes below.

Themes shall be viewed as thematic objectives for the projects and not project activities as such. Some themes have restricted character while some feature broad concepts.

There are different themes for Topic 2.1.1 and Topic 2.1.2.

Themes under Topic 2.1.1 Thematic Competency Development Support

1. Competent RTDI facilities on specific thematic areas.
2. Test and analysis facilities in specific thematic areas.

Themes under Topic 2.1.2 RTDI Focused Cooperation and Networking Support

1. RTDI focused strategic and institutional public private partnership (PPP) and networking.
2. Project development platforms targeting national and international funds (especially EU funds such as H2020, COSME, Eureka, Eurostar, etc.).
3. Networks or collaborations focused on specific advanced technology (ies).

Kindly refer to Result Indicators established for the relevant Topic before choosing the Theme.

1.3 Types of Activities

Projects may be composed of one or more activities from those listed below. The list of activities is indicative and may apply across themes defined for the both topics. Its purpose is to provide guidance and direction for applicants.

- Establishment or operationalisation of facilities or improvement of qualities and capabilities of existing facilities to build R&D competencies in specific thematic areas,
- Development/improvement of lab spaces for generation of new ideas and technologies, and serve as a platform to test out proof of concepts specific for thematic areas,
- Establishing mechanisms for linking stakeholders in the RTDI system to create synergies, optimize information sharing and collaborative working relationships and create or strengthen technology and research clusters in specific thematic areas,

- Services to support R&D activities, geared towards producing product prototypes, including innovative products that generates social good,
- Establishing mechanisms for joint research efforts of the university and the industry,
- International networking of technology transfer ecosystem players/stakeholders in the specific thematic areas,
- Preparatory studies and strategies for establishing partnerships with European R&D institutions and centres in related specific thematic area(s),
- Establishing mechanisms to connect large corporations and start-ups to support the potential for collaboration specific for thematic area,
- Studies on social innovation, where applicable targeting also the large-scale enterprises which can improve the social impact of their products/services, and the public agencies (including local administrations) that can improve social impact of their services through innovative means,
- Preparatory studies for testing and certification services for the prototyped products,
- Preparatory studies for the accreditation of established facilities.
- Market studies, need analysis, diagnostic studies, survey, analytical studies, sector analysis, mapping and benchmarking activities focusing on sector specialization, field of specialisation, preparation of service delivery manuals, guidelines,
- Studies for generation of policy proposals for regulatory improvements (including simplification) that would strengthen industry-university collaboration,
- Preparation of service delivery manuals, guidelines,
- Training and other forms of capacity building activities for the management, R&D personnel, researchers and business development managers of the R&D facilities, as well as entrepreneurs and SMEs,
- Developing or subscription to databases/information systems in thematic areas,
- Awareness raising, promotion, and visibility activities,
- RTDI focused strategic and institutional cooperation, partnerships and networking between universities, technology transfer intermediaries and private sector at national and/or international level,
- Establishing long term strategic and institutional partnerships between relevant actors for increasing their capacities in implementing projects supported by national and international funds (especially EU funds such as H2020, COSME, Eureka, Eurostar, etc.),
- Networks or collaborations focused on specific advanced technolog(y)ies,
- Strategy development for internationalisation including brand development for the partnership and marketing of their capacities.

1.4 Financial Allocation

The overall indicative financial allocation available under this Call is €17.3 million, divided into two topics. The indicative total budget allocated for Topic 2.1.1 is €10 million while budget of Topic 2.1.2 totals €7.3 million.

The minimum and maximum amounts of support per project are:

Topic 2.1.1 minimum: €1 million and maximum: €5 million

Topic 2.1.2 minimum: €1 million and maximum: €3 million

The Operating Structure may finance up to 100% of the eligible costs of the Project. Non-eligible costs shall be financed by the applicant and/or its partner(s). **For other rules applicable to Project budget and cost restrictions, please refer to section 2.3 of this Guidelines for Applicants.**

The Operating Structure **reserves the right not to award all available funds** due to insufficient quality or number of applications. In that case the Operating Structure may allocate funds between topics.

The Operating Structure may include project proposals into the project pipeline, (among the proposals which pass the threshold determined) up to 2 times of total financial allocation available under this call (i.e. €17.3 MEUR).

2. ELIGIBILITY RULES FOR THIS CALL FOR PROJECT PROPOSALS

Eligibility Rules applicable to this Call refer to the eligibility of: i) the applicant (entity submitting the application) and its partner(s), ii) projects and iii) costs (types of costs that may be taken into account in the calculation of the amount of assistance).

2.1 Eligibility of Applicant and Partners

The applicant must:

- a) Be a legal entity established and registered in the Republic of Turkey,
- b) Be non-profit (TDZ managing companies and TTOs are eligible, provided that their relevant authorized body takes written and legally binding decision not to distribute profit gained from the project activities, at least for the next 5 years after the final payment to the project)
- c) Be directly responsible for the preparation of the project, its management during the implementation period and accountable for sustainability and durability after completion.

and

its specific legal disposition shall be one of:

- TDZs,
- TTOs,
- Universities,
- research centres and institutes (excluding private company/entity research centres),
- Associations, foundations and unions which take part in management structures of the research centres/institutes as a founder/member/partner etc.

The Partner

The applicant should apply together with partner(s). Formation of a partnership is compulsory. Partners must fulfil all requirements which are also demanded from the applicant and will be jointly responsible for the implementation, sustainability and durability of the project.

The eligible partners are;

In addition to the institutions given above as applicant, **OIZs, Exporters Unions, Chambers of Commerce and/or Industry, Commodity Exchanges, Regional Development Agencies, Associations, Foundations, Public Institutions, Research Centres/Institutes*** can be partners under this call.

***The research centres/institutes established in company status** all of the shareholders of which are public legal entities **are also eligible as partner, provided that their relevant authorized body takes written and legally binding decision not to distribute profit gained from the project activities, at least for the next 5 years after the final payment to the project.** The centres/institutes established by private sector/companies within the scope of the “**Law 5746 on Supporting R&D Activities and Its Implementing Regulations**” **cannot apply** under this call for proposal.

The applicant may submit only one application under this Call. Thus, all applicants are required to carefully decide on which topic of the Call they’re going to participate.

- **The applicant in one application may be a partner in another application (maximum 1);**
- **The partner may partake in maximum two applications (under either of the topics) under this call.**

It is also required to demonstrate value added of the partners in the submitted proposal.

Applicants are not allowed to participate in the Call for Proposals if they are in any of the situations which are listed in Section 2.3.3.1 of the PRAG (see <http://ec.europa.eu/europeaid/prag/document.do?nodeNumber=2.3.3.1>).

Private companies cannot be the applicant or partner. They may only indirectly benefit from the projects.

2.2 Eligible Projects

The project will be composed of a set of activities intended to accomplish an indivisible task of precise economic and technical nature, which has clearly identified goals, budget and time-frame.

Project Lifecycle

In the context of IPA, there are main phases of project lifespan. These are:

1. Project preparation which covers the maturation of the project concept (finalisation of OIS)
2. Tender dossier preparation for the contracts to be implemented (after the signature of Operational Agreement)
3. Tendering and contracting
4. Actual implementation of the contracts
5. Sustainability period of the projects.

The projects will consist of supply and/or service components which will be implemented through contracts.

Tendering and contracting of supplies may take 6-8 months while of services -depending on the contract value and complexity- between 4 to 12 months.

Duration

Duration of the Project refers the **actual implementation period of the project activities**, which starts from the signature of the first contract and end with the completion of the all contracts under the project.

For both topics under this call, duration (implementation period) of the project may not exceed **36 months**.

Nota bene:

1. The selected applicants will finalise their OIS's in line with the comments provided by the Operating Structure in maximum 4 months after the selection of the projects.

2. The selected applicants will finalize the tender dossier preparations at most 6 months after the signature of the Operational Agreement.

Thus, the applicants are required to carefully and prudently plan their operation time-frame and include all milestones in the project timetable/duration, including all steps: preparation of tender documents, tendering phase, the actual contract implementation period and time necessary to achieve the results.

Location

Projects will be implemented in any location within the Republic of Turkey.

Maturity and Readiness

All projects are expected to be ready for implementation (contract signature) by the first quarter of **2019**. The applicant and partners must demonstrate that they have infrastructure and premises ready to accommodate all equipment and machinery. For premises a copy of the occupancy permit must have been issued.

Additionally, all applicants and partners must demonstrate that they have technical, regulatory and managerial skills to manage the project and that the project is desirable from an economic point of view (For detailed maturation criteria see evaluation grid and the annexes of this guideline).

For this call, the Annex-L namely the **“Portfolio of Products”** is the most crucial evidence of project maturity and readiness. The quality and the quantity of the products to be scaled up in TRL levels in the portfolio are the basic indicators showing the demand for project proposal in the market.

Durability and Sustainability

The projects must sustain their functionality in line with the project purpose, at least 5 years after the completion of the project implementation. The applicants are expected to provide information regarding their sustainability plan in Application Forms and Annex- G namely the **“Business Model”** of this guideline.

Supplies acquired under the projects must be kept in operation without substantial change in their nature or implementing conditions and purpose, in such a way as to fulfil their original objectives, for at least 5 years after their completion of the project implementation.

Equipment purchased through project funding must remain with the ERA. If the nature of the project requires that assets are owned or transferred to end-user(s), these situations must be clearly described in the application.

Revenue Generation

Revenue generation may occur on the level of the beneficiary, partner or target group (SMEs operating in one of the eligible sectors).

No-profit rule applies to the project and for that the ERA shall keep separate accounts in order to prevent cross-subsidisation of its other economic activities. **Any surplus generated from economic**

activity within the project must be re-invested into project activities within five years upon the completion of the project.

For this call, the Annex-G namely the “**Business Model**” and Annex-L “**Portfolio of Products**” are the most crucial evidences of project durability and sustainability. The quality and the quantity of the products to be scaled up in TRL levels in the portfolio are the basic indicators showing the demand for project proposal in the market. List of services to be delivered, pricing policy and price projections with operational structure should be clearly determined in Annex- G “**Business Model**” for revenue generating projects.

Demarcation with Other OPs

Majority of the activities proposed under the projects should not fall under the scope of other OPs such as; “Employment, Education and Social Policies”, “Environment and Climate Action”, “Transport”, “Energy”, “Agriculture and Rural Development”.

2.3 Eligibility of Costs

The Contracting Authority will support projects through financing of necessary;

- i. **supplies** (fixed and intangible assets only with their installation, commissioning and putting into operation where required) and
- ii. **services**, including acquiring training and advisory services for capacity building activities of the applicant and end users (target groups).

Eligible costs are thus only those that will be paid by the Contracting Authority against the contracts signed for and on behalf of the end recipient of assistance.

The projects under Topic 2.1.1 may include both supply and service components, while the Projects under Topic 2.1.2 may only include service component.

Projects may require other expenditure, e.g. human resources of the beneficiary, operational cost such as purchase of consumables, utilities or miscellaneous. **These are ineligible costs** and must be borne by the ERA, partners or end users. These costs must be itemised in the application as in-kind and financial and committed how to be covered.

All purchased equipment must be insured by the ERA or the partner at their cost.

Eligible main cost items under each type of the contract financed by the Contracting Authority are listed below:

Supply Component

Eligible costs concern the type of assets that could be purchased under the project.

Supply component cover the supply, manufacture, delivery, unloading, installation, commissioning, maintenance and after-sales service of the supplies required for the proposed project.

Type of assets:

- Machinery & Equipment, including computer equipment and industrial and commercial appliances
- Specialised vehicles
- Computer software and licences
- Subscriptions to information/data resources
- Furniture and fixtures, excluding office furniture

Installation cost of the above items is also eligible, including training for the users and establishment of security and anti-theft systems in order to deter theft and crime.

For the effectiveness, the Operating Structure has right to exclude low cost items from the proposed supply list. Those equipment, fixtures, furniture etc. shall be purchased by the applicant or its partners at their own costs.

Evidence-based costing of supplies in the project application is mandatory. For that the applicant must provide copy of pro-forma invoice or quotation from potential supplier(s) (compatible with the rule of origin³) against specific technical specification to justify project budget.

Service Component

Service component shall comprise study and technical assistance activities. Service components are usually initiated to gain from exterior knowledge.

Under Service component the following outputs may be delivered (but are not limited to):

- Consulting and advisory services (including for managerial competencies);
- Mentoring and Training;
- Analytical papers and analysis (e.g. benchmarking, research studies, market analysis, value chain analysis, mapping, and etc.);
- Needs assessment papers and reports;
- Software development.

Eligible costs of service contracts may include:

Cost of key and non-key experts (staff of applicant and partners are not considered and paid as experts);

Incidental Expenditure: organisation of training courses (venue, logistics, training materials), organisation of study visits, B2B meetings, translation, participation in fairs domestically or abroad, networking activities, marketing, attending and organizing promotional events, national and international competitions, capacity building activities, etc.

³ http://ec.europa.eu/europeaid/funding/about-procurement-contracts/procedures-and-practical-guide-prag/eligibility_en

Evidence-based costing of service component is required. The applicant must estimate necessary inputs by experts (based on their profiles, experience, expertise and competencies) against activities and expected outputs and planned service contract duration to justify project budget.

The project budget should clearly delineate between eligible and ineligible cost and be realistic and cost effective i.e. costs should be necessary to produce the expected outputs and results and prices should be market-valued. The applicant is also required to specify how it intends to cover ineligible expenditure necessary to manage and complete the project.

Budget submitted together with the OIS will be subject to verifications if the application is pre-selected.

Ineligible Costs

The following costs are ineligible and will not be covered under this call for proposals:

- Taxes, including value added taxes,
- Customs and import duties, or any other charges,
- Purchase, rent or leasing of land and existing buildings,
- Construction costs,
- Renovations, refurbishments,
- Office furniture,
- Fines, financial penalties and expenses of litigation,
- Operating costs,
- Second hand equipment,
- Consumables,
- Bank charges, costs of guarantees and similar charges,
- Conversion costs, charges and exchange losses associated with any of the component specific Euro accounts, as well as other purely financial expenses,
- Contributions in-kind.

3. HOW TO APPLY

All information as to how to apply, when and what documents are submitted is provided in this section.

3.1 Application Documents

Applications must be submitted in accordance with the format of OIS (Annex A to these Guidelines) and instructions thereof.

The following documents must also be submitted together with the application:

- Annex B: Declaration by the Applicant and Partner(s)
- Annex C: Budget Breakdown (Excel format), by component (supply and services), contribution of the applicant, operating capital to be provided, justification of costs, pro-forma invoices for items > €10,000
- Annex D: Logical Framework Matrix (Excel format)
- Annex E: Legal Entity Sheet for the Applicant and Partner(s)
- Annex F: Declaration for exclusion criteria for the Applicant and Partner(s)
- Annex G: Business Model
- Annex H: Commitment from the Applicant and Partner(s) (both financial and in-kind)
- Annex I: Human Resources Capacity Statement and CVs
- Annex J: Financial Statements (Balance sheets – budget for public organisations - for the last two years)
- Annex K: Reference Template for Previously Implemented Projects
- Annex L: Portfolio of Potential Products

All documents are available at the Contracting Authority's website

<http://rekabetcisektorler.sanayi.gov.tr/>

3.2 Where and How to Send the Application

The project application (as per Annex A format) together with all annexures must be submitted electronically through the Operating Structure's Online System which is available at <<http://rekabetcisektorler.sanayi.gov.tr/proje-cagrilari>> (annexes must be uploaded).

The applications must also be submitted in hard copy which is produced via online system in one original and one copy in A4 size, each bound. The annexes must be attached to the application form as well.

The electronic version must be exactly the same application as the paper version sent to the following address:

Bilim, Sanayi ve Teknoloji Bakanlığı
AB ve Dış İlişkiler Genel Müdürlüğü
AB Mali Programları Daire Başkanlığı

Dumlupınar Bulvarı No:252 C Blok Kat:23
(Eskişehir Yolu 9.Km) 06530/ANKARA

The application must be sent in sealed envelope by registered mail, private courier service or by hand-delivery. The envelope must bear the reference number and title of the Call for Project Proposals, together with topic number and title, the full address of the applicant.

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

3.3 Deadline for Submission of Applications

The closing date for the submission of applications is **06/07/2017**.

For submission of electronic versions, the deadline is **06/07/2017**, 17h00 local time. For hand-deliveries of the applications the deadline is **4 (four) working days following the submission deadline (corresponding to 12/07/2017), 17h00** local time. Hand-delivered applications will be registered and receipt with date and time will be issued for evidence purpose. Please, note that after **06/07/2017, 17h00** the applicants will not have access to the MIS system and will not be able to send the application electronically.

3.4 Further Information on Application

At least 4 (four) information sessions will be held during this call for project proposal.

Please follow the Programme's website (<http://rekabetcisektorler.sanayi.gov.tr/>) for the province, date, time and venue of the information sessions. Generic information will be provided in these sessions. Due to the equal treatment and transparency rules there won't be project specific discussions during the sessions.

Questions may be sent by e-mail or fax until **19/06/2017, 17h00** to the address, indicating clearly the title of the Call for Project Proposals and Topic number:

e-mail: rspinfo@sanayi.gov.tr

fax:+ 90 (312) 201 69 53

No individual replies will be given to questions. In order to ensure equal treatment of applicants, all questions and replies will be grouped on a weekly base and announced on the website <http://rekabetcisektorler.sanayi.gov.tr> by the Ministry period up to **23/06/2017, 17h00**.

Queries sent to other e-mail address or asked via telephone will not be replied.

Other important information and notices to applicants will be issued as the need arises. It is therefore advisable to consult the above mentioned website regularly in order to be informed of the questions, notices and answers published.

4. EVALUATION AND SELECTION PROCESS

The evaluation and selection process is based on transparency, impartiality and equal treatment and access to information, based on general selection criteria approved by the CISOP Sectoral Monitoring Committee for the Programme. Evaluation process includes six (6) steps and will be carried out with the use of independent assessors, where relevant.

Detail description of the evaluation and selection process and its steps and criteria is outlined below.

STEP 1: Opening and Administrative Checks

In this step the following aspects will be checked:

1. If the **paper form of the application** has been submitted to the correct location in sealed envelope and met the submission deadline. Otherwise the application will be rejected.
2. If the deadline has been met for the **submission of electronic form**. Otherwise the application may be automatically rejected.
3. If the paper form of the application is produced via Electronic Application System. Otherwise the application will be rejected.
4. If all **mandatory parts of the application** are filled-in and whether the required annexes are attached. Otherwise the application may be rejected.
5. If the application form **has been initialled** on each page (including Annexes) **and signed** on the last page. Otherwise the application may be rejected.

If the application documents do not satisfy the above criteria, the application may be rejected on that **sole** basis and it will not be evaluated further.

The Operating Structure may request clarification from the applicant.

STEP 2: Eligibility and Compliance Checks

After opening and administrative checks the following criteria will be assessed:

1. If the application has been submitted by the **eligible applicant** and if the partners satisfy eligibility conditions. Otherwise the application will be rejected.
2. If the project meets the minimum and maximum **amount of financing** established for the relevant topic and whether the project budget in the application form clearly states that ineligible costs will be borne by the applicant. Otherwise the application may be rejected.
3. If the project complies with the **maximum duration** set for the topic. Otherwise the application will be rejected.
4. If the project complies in principle with the **overall objective** stipulated in Section 1.2 of the Guidelines. The assessment will be carried out based on information included in section 5.1 and 5.2 of the application form. Otherwise the application will be rejected.
5. If the project complies in principle with one or more of the **specific objectives** defined in Section 1.2 of the Guidelines. The assessment will be carried out based on information included in section 5.1 and 5.3 of the application form. Otherwise the application will be rejected.

6. If the project complies in principle with the **scope of the topics and the activities** identified in Section 1.2 and Section 1.3 of the Guidelines. Otherwise the application will be rejected.
7. If the majority of the project **activities fall under other OPs** stated in Section 2.2 of the Guidelines, the application will be rejected.

STEP 3: Quality and Technical Criteria

Assessment against quality and technical criteria will be carried out in line with the evaluation grid below/overleaf.

Evaluation grid includes 5 main headings.

The applicant may score max 100 points.

CRITERION/SUB-CRITERIA	MAXIMUM SCORE	RELATED SECTION IN APPLICATION FORM	KEY POINTS TO EXAMINE
1. Financial and operational capacity of the Applicant and Partners	20		
1.1 Do the applicant (and partners) have sufficient and relevant experience on implementing of externally funded/co-funded national/international projects?	4	OIS, Annexes: B and K	Please consider the past experience of the applicant in terms of; <ul style="list-style-type: none"> ▪ subject, ▪ budget, ▪ source of funding, ▪ coverage, ▪ relevance, ▪ demonstration of experience on processes, procedures, ▪ management
1.2 Does the applicant institution have competency and experience in the relevant project area?	6	OIS, Annexes: B and H	Please assess; <ul style="list-style-type: none"> ▪ Opportunities to access to R&D facilities ▪ Already established University-Industry collaboration ▪ Be a member of National and/or international organisations/structures ▪ Other activities carried out in focused area of the project?
1.3 Is there formal agreement(s) which clearly define commitment and participation in the project between partners?	3	OIS Section 6, and Annexes: Annexes: B, H, I	Is partnership well-balanced regarding the added-value co-operation, technical and managerial commitments?

CRITERION/SUB-CRITERIA	MAXIMUM SCORE	RELATED SECTION IN APPLICATION FORM	KEY POINTS TO EXAMINE
1.4 Is there a clear management structure established and the staff assigned to the project have sufficient and relevant knowledge of technical issues and expertise?	4	OIS Sec. 6, Annexes: B, H, I, K	Please examine whether the proposed management structure is in line with the following principles; <ul style="list-style-type: none"> ▪ Responsible, ▪ Accountable, ▪ Consulted, ▪ Informed and please also consider; <ul style="list-style-type: none"> ▪ The number of staff assigned, ▪ Status of the staff as permanent or temporary, ▪ Is there a technical expertise in the project team about the Project Subject? ▪ Are there clear job definitions within the project team?
1.5 Do the applicant and partners have stable and sufficient sources of finance to cover committed contributions and/or ineligible costs, and are there clearly defined commitments regarding the ineligible costs to be borne by the applicant (and partners)?	3	OIS, Annexes: B, C, H, J	Please assess risks, assumptions, pre-conditions of the project and commitments of the applicant (and partners) and also please check balance sheets or any other relevant document provided in the context of proposed budget of project.
2. Relevance	20		
2.1 Contribution to the overall objectives of the Operational Programme and Specific Objectives of the Action 2.	4	OIS Sec. 5.1 - 5.2 - 5.3	What is the level of contribution and relevance of the project proposal to the objectives of the Operational Programme, and specific objectives of the Action 2?
2.2 Contribution to one of the transformation programmes (PTP) of the 10th NDP, PTP#11 - Commercialization in Priority Technology Areas, PTP#20 - Attraction Centre for Qualified Human Capital,	3	OIS Sec. 5.1 -5.2	Please consider the relevancy and contribution to the related PTPs.

CRITERION/SUB-CRITERIA	MAXIMUM SCORE	RELATED SECTION IN APPLICATION FORM	KEY POINTS TO EXAMINE
PTP#21 - Healthy Living and Mobility PTP#24- Urban Transformation that Enhances Competitiveness and Social Cohesion			
2.3 Level of contribution to the achievement of result indicators of the Action 2.	3	CISOP, OIS Sec. 5.1	Please assess the contribution of the project proposal to Result Indicators of Action 2: 1, 2, 3, 4, 5
2.4 Level of contribution to the achievement of Output Indicators of the Activity 2.1	3	CISOP, OIS Sec. 5.1	Please assess the contribution of the project proposal to Output Indicators of Activity 2.1: 1, 2, 3, 4, 5
2.5 Consistency with the Regional Activity Prioritisation Matrix indicated in the OP	2	CISOP Chap. 4.1, OIS 5.4	If the project location is one of the prioritised NUTS-2 regions indicated in the OP Chap. 4.1 Table 7.
2.6 Are the background and situation analyses adequately explained and logically addressed with the activities defined?	5	OIS Sec.5, 6, Annex D	Please asses, if the project proposal provides sufficient explanation in; <ul style="list-style-type: none"> ▪ Problem analysis ▪ Situation analysis ▪ SWOT analysis ▪ Solution proposals ▪ Statistical data
3. Methodology and Impact	36		
3.1 Are the proposed activities appropriate, practical, feasible and consistent with the defined project objectives and expected results?	3	OIS Sec.5, Annex D	Appropriate if: activities are consistent with the topic, objectives, and expected results. Practical if: the most effective of the options are chosen. Feasible if: the activities are realisable within the scope of proposed budget, time and conditions. Consistent if: activities are complementing each other.
3.2 Is there a solid and substantiated “Portfolio of Potential Products” with relevant TRL (3-6) which will	10	OIS, Annex L	Please consider the products in the portfolio qualitatively and also consider the below

CRITERION/SUB-CRITERIA	MAXIMUM SCORE	RELATED SECTION IN APPLICATION FORM	KEY POINTS TO EXAMINE
<p>get benefit from the project activities? <i>(Please refer to TRL definition in the Glossary of the Guidelines.)</i></p>			<p>questions;</p> <ul style="list-style-type: none"> ▪ how many entrepreneurs who are developing the products in the portfolio? ▪ how many potential products are introduced into the portfolio? ▪ are the majority of the potential products between TRL 3 and 6? ▪ are the applications made for IPs for the potential products? ▪ is there a methodological study such as technology valuation or market research for the products?
<p>3.3 Is the targeted specialisation area(s) of the project proposal and scope of specialisation adequately explained and in line with the applicants' current expertise?</p>	7	OIS , Annexes: B, H, L, K	Please examine the current specialisation area of the applicant and partners, field of current work, existing capacities and expertise and compare with the scope of specialisation of the proposal.
<p>3.4 To what extent is the project proposal effective in achieving the formation of long lasting and solid partnerships?</p>	6	OIS, Annexes: B, H, K	<p>Is there a legal and quasi-institutional framework designed for the effective utilisation of proposed partnership mechanisms and networks? (e.g. connecting to networks of global scientists, experts, technical and/or industrial partners)</p>
<p>3.5 How cost-effective and efficient is the project proposal in achieving the proposed activities/results?</p>	3	OIS, Annexes: C, G, H, L	Please compare activities, outputs and indicators with the budget breakdown of the project proposal.
<p>3.6 Is the project proposal likely to have a solid impact on the target groups and to create multiplier/spillover effects?</p>	3	OIS Sec. 5 - 8	Please consider the economic impact of the project proposal in short and long term and contribution to the other sectors and other relevant impacts.

CRITERION/SUB-CRITERIA	MAXIMUM SCORE	RELATED SECTION IN APPLICATION FORM	KEY POINTS TO EXAMINE
3.7 How coherent is the overall design of the project proposal?	4	OIS and all annexes	In particular, <ul style="list-style-type: none"> does it reflect the analysis of the problems, take into account, external factors? are the target groups and their needs strategically chosen, clearly defined and addressed within the project proposal?
4. Sustainability	17		
4.1 Have the risks on sustainability been determined and explained adequately? Have mitigation of risks been proposed and are they applicable for attainment of sustainability?	5	OIS Sec .7 - 9	Are the identified risks realistic and can be overcome? Is the mitigation strategy realistic and achievable?
4.2 Is the sustainability issue properly addressed in the project proposal in terms of: For Revenue Generating Projects: <ul style="list-style-type: none"> Financially (How will the activities be financed after the funding ends? Will it be durable?) (7 pts) Institutionally (Will proposed management model allow the activities to continue after the end of the project? Will there be local “ownership” of the results of the project?) (5 pts) For non—revenue generating projects: Please score only the institutional sustainability (max. 12 pts)	12	OIS Sec. 9 Annex G	Please consider when assessing; <ul style="list-style-type: none"> Financially: Are the costs and revenues, financial gap calculation realistic? Institutionally: Is the post-project management model adequately explained, realistic, feasible and applicable?
5. Contribution to Horizontal Themes	7		
5.1 If the project proposal contains and addresses one or more of the horizontal issues: <ul style="list-style-type: none"> green innovative products, services and processes (social good content of the innovative products/services is an asset) environmental sustainability 	3	OIS	If the project proposal addresses; <ul style="list-style-type: none"> 1 of the horizontal issues: 1 pts 2 of the horizontal issues: 2 pts 3 of the horizontal issues: 3 pts

CRITERION/SUB-CRITERIA	MAXIMUM SCORE	RELATED SECTION IN APPLICATION FORM	KEY POINTS TO EXAMINE
<ul style="list-style-type: none"> ▪ social innovation ▪ gender equality ▪ vulnerable groups and minorities ▪ employment generation 			Or If contributes to stated horizontal issues significantly, please assess according to the contribution level.
5.2 Contribution to the employment and involvement of women researchers in R&D projects	4	OIS	If the project proposal provide employment to; 1 woman researcher: 1 pts 2-4 women researcher: 2 pts 4-6 women researcher: 3 pts 7+ women researchers: - 4
Maximum total score	100		

In order to be pre-selected and included into “long list” the project must score:

- **Minimum 60% (12 points)** of the combined section “Financial and Operational Capacity of the Applicant and Partners” (only then the application will be evaluated further) and
- **Min 70 points in total.**

This step will be concluded by drawing up a ranking list of the pre-selected applications, ranked according to their score. The highest scoring applications will be provisionally selected until they all match the available budget for this Call for Project Proposals. In addition, a reserve list will be established following the same criteria. The Operating Structure may use the reserve list, if more funds will have been made available.

The Operating Structure reserves the right to modify the above mentioned thresholds.

STEP 4: Shortlisting

The project proposals in the long list, having a score above 70, will be re-evaluated by the Ministry and the EU Delegation in terms of:

- Readiness and maturity of the proposal;
- Institutional/implementation capacity of the applicants;
- Geographically/sectorial balanced distribution of the projects;
- Available budget resources

and the short list will be formed after this evaluation. The Ministry will send a letter of intent to the potentially awarded proposals (Short List) and inform them about the additional verification step.

STEP 5: Additional Verifications

The following aspects will be verified in this step, with a site visit where necessary:

- If the applicant is eligible – statute, articles of association or any other document establishing the legal entity will have to be submitted, including that of indicating the profit distribution decision taken by the board of directors;
- If the infrastructure and facilities to be provided by the applicant are physically/legally/practically suitable for the implementation of the project activities ;
- If the applicant does not fall under one of the exclusion criteria as described in PRAG section 2.3.3.1. For that the Operating Structure will request the pre-selected applicant to provide relevant documentary evidence (statement from tax administration, social security administration, criminal records of board members, etc.);
- If the project is mature and ready for implementation within the deadline stipulated in Section 2.2 of the Guidelines;
- If the timetable of activities is accurate and realistic (including procurement modalities managed by the Contracting Authority);
- If the budget fully meets cost eligibility criteria set in Section 2.3, if all the essential costs are included and whether the principle of sound financial management is met, i.e.: whether the cost is realistic and necessary to implement the project;
- If the applicant and partners have sufficient and competent staff to manage the project (verification of CV's and availability of those individuals);
- Any other issues arising from the qualitative and technical assessment of applications.

During additional verifications a need to amend the project application may arise. In such case the applicant will have to submit the revised application form.

The Operating Structure may also impose modifications or reductions to address eligibility of cost, calculation errors or inaccuracies. If the applicant disagrees to cover the revised budget after corrections, the application will be rejected.

A significant increase to the amount of financial assistance as a result of these corrections will not be possible and the applicant will have to cover the balance. **It is therefore in the applicant's interest to provide a realistic and cost-effective budget, including own contribution to manage the project.**

Any rejected application may be replaced by the next best placed application on the reserve list that falls within the available budget for this Call for Project Proposals and will be subject to additional verification process as described above.

STEP 6: Notification of the Operating Structure's Decision

The Projects who successfully pass Step 5 of the evaluation will be included in the Project Portfolio. Then the Operating Structure will sign a Protocol with the applicants.

After the completion of additional verifications, the Operating Structure will issue final notification on the selected/rejection of financial assistance (after the revised project application submission,

where relevant). The applicant will be informed in writing on the decision and, if rejected, the reasons for the negative decision.

Provisional Timetable

The table below outlines indicative time-frame of the key events and milestones associated with this Call for Proposals.

Event	Date
Launching of Call for Project Proposals	06/04/2017
Information meetings	Dates will be published on the website
Deadline for requesting clarifications from the Operating Structure	19/06/2017
Last date on which clarifications are published by the Ministry	23/06/2017
Deadline for submission of applications	06/07/2017
Deadline for Hand-delivery of applications to the OS	12/07/2017
Sending of letters of intent to shortlisted applicants	September 2017
Completion of additional verifications	October 2017
Notification of award/rejection and Signature of Protocol	November 2017
Maturation and Finalization of OIS and Signature of Operational Agreement	1 st Quarter 2018

ANNEXES

- Annex A: OIS (to be filled on the “<http://rekabetcisektorler.sanayi.gov.tr>”)
- Annex B: Declaration by the Applicant and Partner(s)
- Annex C: Budget Breakdown (Excel format), by component (supply and services), contribution of the applicant, operating capital to be provided, justification of costs, pro-forma invoices for items > €10,000
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