



CEI Know-how Exchange Programme (KEP)

KEP AUSTRIA

RULES AND PROCEDURES

for the applicants

Latest update: October 2012

A. General Criteria

1. Source of funding

KEP AUSTRIA Programme is financed by the Austrian Government through the funding of the Austrian Development Cooperation (ADC).

2. Exhaust of funds

The receipt of applications is subject to the availability of funds and can be suspended at any time in case the funds have been exhausted. In such case, the acceptance of applications and approval of grants would resume only after the replenishment of funds from the sources stipulated in point 1 above.

3. Eligible applicants

As a rule, any project co-financed under the KEP programme must be implemented by the organisation which plays a role of applicant in a given project. In case of applications where an international organisation facilitates cooperation between the know-how provider and know-how recipient, the CEI grant shall be transferred to and managed by such international body.

The applicant shall be from CEI Member States being members of the European Union (Austria, Bulgaria, Czech Republic, Hungary, Italy, Poland, Romania, Slovakia and Slovenia), or from one of the following CEI Member States which are not EU members: Albania, Bosnia and Herzegovina, Croatia, Macedonia, Moldova, Montenegro and Serbia.

The following types of applicant organisations are eligible to apply: all public and private sector bodies, international and non-governmental organisations (NGOs) operating in the public interest, national, regional and local authorities, education/research institutions, environmental organisations, Public-Private Partnerships, etc.

4. Know-how provider and know-how recipient

In each project there shall be at least one know-how provider and at least one know-how recipient. Either know-how provider or know-how recipient will act as applicant organisation.

The organisation acting as know-how provider shall be from a CEI Member State being member of the European Union (Austria, Bulgaria, Czech Republic, Hungary, Italy, Poland, Romania, Slovakia and Slovenia) or Croatia*.

The organisation acting as know-how recipient shall be from one of the following CEI Member States which are not members of the European Union: Albania, Bosnia and Herzegovina, Macedonia, Moldova, Montenegro and Serbia.

5. Eligible activities

The eligible activities include: capacity building, technology transfer, secondment of staff, consultancy services, assistance in the preparation of strategic documents, institution building, improvement of procedures and services, feasibility studies, technical assistance and other interventions which promise efficient and effective transfer of a given know-how.

* Considering that the Treaty concerning the accession of the Republic of Croatia to the EU is in the ratification process and the accession of Croatia to the EU envisaged for 1 July 2013.

6. Priority areas

The precedence will be given to projects responding to priority areas of KEP Programme. More information on the priority areas is provided in the KEP AUSTRIA Call for Proposals 2013.

7. Grant ceiling

The following rules of the grant ceiling shall apply: the grant rate shall not exceed 50% of the total cost of a given project and the maximum grant amount allocated to a single project cannot exceed EUR 40.000. Any exceptions to this rule shall be recommended by the CEI Executive Secretariat and subject to the approval of the Committee of National Coordinators (CNC).

8. Deadline for submission of projects

The deadline for the submission of applications within the KEP AUSTRIA Call for Proposals 2013 is 28 December 2012. Applications received after this deadline will not be taken into consideration.

B. Application procedure

1. Submission

The application and supporting documents shall be submitted in electronic format to the CEI Executive Secretariat and to the CEI National Coordinator in the applicant's country. Contact details of the CEI National Coordinators are available at: <http://www.cei.int/contacts>. Applications originating from International Organisations and other trans-national bodies may be submitted directly to the CEI Executive Secretariat.

2. Screening

The National Coordinators shall be responsible for a preliminary assessment of the compatibility of projects with the KEP rules. The National Coordinators may provide guidance to the applicants on project improvement before applications are forwarded to the CEI Executive Secretariat.

3. Evaluation

Upon initial screening by the respective National Coordinators, the applications will undergo evaluation by the CEI Executive Secretariat. The CEI Executive Secretariat shall evaluate the proposals on the basis of their responsiveness to objectives and priority areas of the Programme, its Rules and Procedures, and by taking into account the availability of funds.

During the project evaluation, the CEI Executive Secretariat may request additional documentation or amendments to the application and/or any other document to be submitted by the applicant. Clarifications and/or amendments must be done by the applicant in writing through standard electronic means.

4. Approval

The decision on the approval or rejection of a proposed project is taken by the Committee of CEI National Coordinators (CNC) at its first upcoming meeting, taking into account the results of the evaluation procedure and the recommendations prepared by the CEI Executive Secretariat. Once the CNC meeting has taken place, the applicant shall be informed on a grant decision within ten working days after the minutes of the meeting have been issued.

5. Award of grant

After approval of the project by the Committee of CEI National Coordinators, the applicant will be informed on the amount of the approved CEI contribution and the conditions of the disbursement of the grant.

C. Application guidelines

1. Application form

The applicant shall complete the KEP application form in accordance with the instructions provided in the form and in the present KEP Rules and Procedures. An updated version of the application form can be downloaded from the following address: <http://www.cei.int/KEP>.

2. Project title (Application form – item 1.1)

The project title shall reflect the purpose of the proposed intervention and shall become the trademark of the project (catchy and relevant). The applicant shall provide both the full title and, if applicable, its acronym.

3. Project summary (Application form – item 1.12)

The project summary should give a brief description of the main project elements, such as the rationale, partners involved, proposed activities, and expected results. The summary shall be written in a form of an article that could, later on, be used for the CEI website or the CEI Newsletter.

4. Description of the applicant organisation (Application Form – item 2.4)

The applicant shall provide a concise description of the background of its organisation and the main scope of its activities. The applicant shall also outline significant projects and activities implemented by its organisation and/or individual staff members. Information provided in this chapter shall demonstrate applicant's experience in the sector of intervention and its capability to deliver the proposed project.

5. Description of the Main partner organisation (Application form – item 2.8)

The applicant shall provide a description of the main partner organisation, i.e. the main partner that, besides the applicant, participates in the project.

6. Background and rationale (Application form – item 3.1)

This chapter shall describe the general framework in which the project will be carried out and an analysis of the problem(s) the project is designed to address and solve. Analysis of the problem shall include information on what is being done by the government and local and/or regional authorities, and other organisations on the issue and whether the project is coordinated with those initiatives.

7. Strategic framework (Application form – item 3.2)

The applicant shall indicate if the project contributes to any wider strategic framework and/or is in line with the national or regional development plans or strategies in the recipient country.

8. Objectives and results (Application form – item 3.3)

This chapter shall describe objectives and expected results of the project. The applicant shall make sure that the project objectives are specific, measurable, attainable within a specified time frame, and that they can be tied down to quantifiable and monitorable indicators. Immediate and long-term results shall be put separately. The main focus shall be put on results which the project will deliver on its completion rather than on those which it can, at best, only influence in the longer term.

When completing this section, the applicant may apply the following framework:

- i. Project goal (development objective) – long term impact
- ii. Outcomes (project purpose) – immediate and mid term effects
- iii. Outputs (results) – products of the project

9. Evaluation (Application form – item 3.4)

The applicant shall explain how the outcomes of the project will be evaluated in comparison to the set objectives, and which criteria will be used to measure the success of the project.

10. Ownership by the partner organisation (Application form – item 3.6)

The applicant shall describe to which extent the partner organisation has participated in the planning of the project and drafting of the application. Information provided in this chapter shall demonstrate that the project has been designed according to the beneficiary's needs, while both applicant and main partner are committed to its implementation.

11. Description of project activities (Application form – item 4.1)

The applicant must describe activities which will be carried out by the project to produce the desired results. Each result can require a number of different actions to be taken. It is necessary to state when the activity begins and ends, how it will be organised, who will be responsible for its implementation, who will participate in it and which output it will produce. If any follow-up activities are planned after the official conclusion of the project, they shall also be described in this section.

12. Work plan and schedule (Application form – item 4.2)

A realistic and verifiable work plan and timetable should be outlined, taking into account the time necessary for partners and/or contractors to mobilise, etc.

13. Publicity and dissemination (Application form – item 5.1)

A list of promotional activities and project results dissemination actions/events shall be prepared by the applicant and included in this chapter. The list shall include brief explanation of target groups, implementation measures, relevant costs (please verify whether it corresponds to the detailed budget breakdown) and responsibility for implementation.

14. Use of CEI and ADC logos and references (Application form – item 5.2)

The applicant must provide detailed information on the adequate use of the CEI and ADC (Austrian Development Cooperation) logos and references, and in particular to acknowledge the financial support from ADC to the project.

15. Total cost and CEI contribution (Application form – section 6.2)

The total project cost in euros and the amount of grant requested have to be clearly stated.

16. Breakdown of estimated costs (Application form – item 6.3)

A detailed breakdown of expenses in euro shall be provided in this chapter. The main budget lines are usually the following:

- i. Personnel (management, staff, consultants, experts, administrative staff etc.);
- ii. Travel (airfare, local travel - please note that public transport should be used, etc.)
- iii. Accommodation (accommodation costs etc.);
- iv. Meetings and events (rent of rooms, lunches, coffee breaks, etc.)
- v. Equipment (purchase or rent of equipment etc.);
- vi. Promotion (press advertisements and articles, brochures, leaflets, other advertisements and marketing etc.)
- vii. Administrative costs (operating and administration expenses such as material, supplies, communication, printing, copying).
- viii. Other (contracts and subcontracts, in kind etc.);

Information on both unit cost and subtotal shall be provided, by stating the number of units. Unit costs must be named (e.g. man/hour, rental/day, etc.).

17. Project financing (Application form – item 7.1)

The applicant shall provide information on sources of project financing and cost-sharing. The table shall demonstrate the financial sustainability (i.e. demonstrate that the operation does not run the risk of running out of money). It should be made clear who covers which costs. All co-financing and in-kind contributions must be evidenced and described. The applicants shall indicate if the co-financing has been requested or confirmed.

In-kind contributions are values of contributions of time, materials, equipment, etc. for which no cash payment is made. Time of personnel involved in the project and hired by a project partner under fixed contracts (and thus whose salary is not paid from the project budget) shall be recorded as in-kind contribution.

The value of in-kind contributions shall not exceed 25% of a total project cost. Any exception to this rule will be examined individually and brought to the consideration of the CNC.

18. Language

The application and any supporting documents shall be submitted in English.

D. Disbursement procedure

1. Communication to the applicant

Upon the CNC approval, the applicant will be informed on the amount of the approved grant, terms of its disbursement and on the CEI recommendations.

2. Instalments

The disbursement of the authorised KEP grant is carried out in two instalments, one paid before the beginning of the project (advance payment) and one upon its conclusion (final payment).

3. Advance payment

Prior to the beginning of the project, the applicant can request an advance payment of up to 50% of the authorised grant.

4. Final payment

The final payment will be disbursed after successful completion of the project and upon submission, to the CEI Executive Secretariat, of the documents described in paragraphs F.1, F.3 and F.4 of the present Rules.

The applicants shall note that a total sum paid to the applicant cannot exceed the amount originally authorised by the CNC.

5. Percentage rule

Should the final total cost of the project become considerably lower than the originally authorised budget, the CEI will apply a “percentage rule”: the CEI contribution to the entire budget will be adjusted according to the percentage originally authorized. In particular, the “percentage rule” will be applied in situations where the share of the KEP grant in the final project cost would exceed 50%.

E. Advance payment

1. Advance payment request

Prior to the beginning of the project, the applicant can apply for pre-financing of the project in an amount of up to 50% of the eligible grant. The request shall be made by using the "Request for advance payment" form to be provided by the CEI Executive Secretariat.

2. Submission procedure

The advance payment request shall be sent to the CEI Executive Secretariat both by e-mail or fax and by post (original copy). It is advisable that a draft request is sent by E-mail to the CEI for screening before sending an original request by post.

3. Bank transfer

The applicants shall note that due to technical reasons (i.e. bank transactions) it may take up to 30 days before the advance payment is made available on the applicant's account.

4. Return of advance payment

If the advance payment was processed and the project was subsequently cancelled, the advance payment must be returned to the CEI within 60 days counting from the first day of the project's starting date as originally planned in the application form.

The above rule applies also to projects which were postponed for more than 60 days or whose completion was delayed for more than 90 days, unless new implementation/completion dates were authorised by the CEI.

F. Final payment

1. Final payment request

After the completion of the project, the applicant can apply for final disbursement of the eligible grant. The request shall be made by using the "Request for final payment" form to be provided by the CEI Executive Secretariat.

2. Submission procedure

The final payment request shall be sent to the CEI Executive Secretariat both by e-mail or fax and by post (original copy). It is advisable that a draft request is sent by E-mail to the CEI for screening before sending an original request by post.

The request for the final payment must be accompanied by a set of documentation listed in paragraphs F.3 and F.4 of the present Rules.

3. Implementation report

Upon the completion of the project, the applicant shall submit the final project implementation report consisting of two parts: narrative and financial one. The final report form is provided by the CEI Executive Secretariat.

Applicants shall photograph all main project activities and at the end of the project they shall submit a complete file containing all the photographs taken during the project.

The narrative report shall be accompanied by additional documentation produced during the project. Depending on a type of implemented activities, the additional documentation accompanying the narrative report shall include:

- 2 copies of any studies, report, publication or other documents produced within the project;
- an electronic file with all produced publications / reports;
- Copies of all project deliverables;
- copy of a list of participants at meetings and events, with their names, represented institution's name, function, contact details, and signature;
- copy of a list of speakers/ trainers with signatures;
- copy of a meeting's agenda/programme including names of speakers and presentation titles;
- copies of presentations, abstracts and other material distributed to meeting's participants;
- copies of reports and other documents developed during the meetings /events.
- copies of feedback survey and its summary and/or copies of other evaluation tools;
- copies of articles, press releases, etc;
- photographic documentation for all activities and meetings.

4. Proofs of expenses

The applicant shall provide justification of the entire expenses of the project, and not only of items paid from the CEI grant (invoices, bills, receipts, contracts, payrolls, personnel time-sheets etc. or equivalent proofs of payments, in English or accompanied by an appropriate translation into English).

The proofs of expenses shall be submitted in the order in which the budget categories appear in the application form, part 6.3 "Breakdown of estimated costs" and shall be marked with the number of the Budget item indicated in that table (e.g. 1a, 1b, 1c, 2a, 2b, 2c etc.)

The applicants shall note that proofs of accommodation and travel expenses must be individualised (hotel bills and travel air tickets must contain names of the beneficiaries) and in-kind contributions must be justified in an appropriate manner.

5. Final payment realization

The final payment will be processed only upon submission of forms and documentation set out in points 3 and 4 above and after their positive evaluation by the CEI Executive Secretariat. In most cases, the evaluation of submitted documentation and the transfer of the final payment is done within 30 days upon receipt of the original documentation.

6. Deductions

In case the expenses are not adequately documented or in case of the use of the KEP grant in a manner not authorised by the CEI, relevant deductions will be made from the Final Payment. Deductions may also be applied in a situation described in the point D.5 of the present Rules.

7. Deadline for submission

The request for the final payment along with a set of documentation described in paragraphs F.3 and F.4, shall be submitted to the CEI Executive Secretariat within 30 days after the conclusion of the project (according to implementation dates envisaged in the application form). After this period, the applicant will lose the right to claim the disbursement of the final payment. Nevertheless, the applicant will be obliged to justify the use of the advance payment already received and refund to the CEI within 30 days any amount used in an unauthorized manner.

G. Reporting and monitoring

1. Implementation

The applicant shall bear responsibility for the implementation and follow-up of the project as well as for reporting of its results.

2. Changes to the project and the budget

If after the approval of the application any changes occur with regard to the dates, venue, title, scope of activities, etc., the applicant shall promptly inform in a written form the CEI Executive Secretariat and obtain its approval. The Main partner of the project must always be put in copy of such communication. Realisation of the project in a form not authorized by the CEI may result in a reduction or cancellation of the grant.

3. Reporting

Whenever the implementation of the project exceeds six months, the applicant shall provide the CEI with a progress implementation reports at least every six months. Upon request, the applicant shall provide the CEI Executive Secretariat with information on the status of the realisation of the project, implemented activities, updated work schedule, etc.

4. Monitoring

The CEI may appoint its staff member or an external expert to monitor implementation of the project in any of its phases. The applicant is obliged to facilitate such monitoring by allowing participation of the CEI or its representative in any part of the project and, upon request, making available any project documentation.

H. Dissemination of Results

1. Dissemination of project and its activities

The applicant is entirely responsible for proposing and implementing appropriate actions to publicise and disseminate information regarding the project and its activities throughout the project implementation as well as in any follow-up activities. The applicant is also required to provide adequate visibility about the support provided to the project by the CEI and the Austrian Development Cooperation (ADC).

The applicant is responsible to send programme and invitations about any project event or activity to the CEI Secretariat and to the office / representative of the Austrian Development Cooperation in the country where the activities take place.

2. Use of project results

The applicant shall be aware that the materials prepared in connection with the project – and in particular the results of the project – can be used, published or distributed by the CEI without any restrictions.