



CEI Know-how Exchange Programme (KEP)

KEP AUSTRIA

RULES AND PROCEDURES

Applicants

Latest update: April 2014

A. General Criteria

1. Source of funding

The KEP AUSTRIA is financed by the Austrian Government through funding from 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. 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: know-how provider and know-how recipient

Each project shall have at least one know-how provider and at least one know-how recipient. Either the know-how provider or the know-how recipient can act as Applicant

The know-how provider shall be from an EU CEI Member State: Austria, Bulgaria, Croatia, Czech Republic, Hungary, Italy, Poland, Romania, Slovakia and Slovenia.

The know-how recipient shall be from one of the following non-EU CEI Member States: Albania, Bosnia and Herzegovina, Macedonia, Moldova, Montenegro and Serbia.

As a rule, a project co-financed under KEP AUSTRIA must be implemented by the Applicant. When an International Organisation facilitates cooperation between the know-how provider and the know-how recipient, the KEP grant shall be transferred to and managed by this international body.

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

4. Eligible activities

Eligible activities include: capacity building, technology transfer, training and education of staff, consultancy services, assistance in the preparation of strategic documents, institution building, improvement of procedures and services, feasibility studies, technical assistance, academic and professional education and other interventions ensuring efficient and effective transfer of know-how.

5. Priority areas

Precedence will be given to projects responding to KEP AUSTRIA priority areas. More information on the priority areas is provided in the text of the KEP AUSTRIA Call 2014.

6. Grant ceiling

The KEP grant shall not exceed 50% of the total value of a project.

The maximum grant amount allocated to a single project cannot exceed EUR 50.000.

Any exception to this rule shall be recommended by the CEI Executive Secretariat and is subject to the approval of the Committee of National Coordinators (CNC).

7. Deadline for submission of projects

The deadline for the submission of Expressions of Interest and Application Forms is provided in the text of the KEP AUSTRIA Call 2014. Applications received after the relevant deadline will not be taken into consideration.

B. Application, evaluation and selection procedure

1. Submission

Expressions of Interest and Application Forms shall be submitted in electronic format to the CEI Executive Secretariat and in copy 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/National%2BCo-ordinators>.

Applications originating from International Organisations and other trans-national bodies may be submitted directly to the CEI Executive Secretariat.

2. Evaluation and selection

Expressions of Interest submitted within the deadline will be evaluated by the CEI Executive Secretariat according to the following criteria:

- Fulfilment of administrative requirements (type of project; eligibility of partners; budget requirements)
- Compatibility with the KEP priority areas listed in the KEP AUSTRIA Call 2014
- Project setup and cost-efficiency

Short-listed Applicants will be invited to submit a full application and will be evaluated on the basis of the criteria listed in the grid annexed to the these KEP Rules and Procedures.

A list of fundable projects will be drawn up by the CEI Executive Secretariat and submitted to the Committee of CEI National Coordinators for approval.

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

3. Approval

The approval/rejection of a proposed project is taken by the Committee of CEI National Coordinators (CNC) at its first upcoming meeting or through written/silent procedure.

The results of the evaluation procedure and the recommendations prepared by the CEI Executive Secretariat shall be taken into consideration. After CNC approval, the Applicant will be informed by the CEI Executive Secretariat.

C. Application guidelines

1. Expression of Interest and Application Form

Expressions of Interest and Application Forms shall be completed in accordance with the instructions provided in the relevant documentation and in these KEP Rules and Procedures.

2. Project title and Acronym

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

The project summary should give a clear view of the project elements, such as the background, activities, results, sustainability and risks. The description shall be written in a form of an article that could be used for the CEI website, the CEI Newsletter and other tools of communication.

4. Description of the Applicant

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

5. Description of the Main Partner

The Applicant shall provide a description of the Main Partner who, besides the Applicant, is participating in the project.

6. Background and rationale

This chapter describes the general framework in which the project will be carried out and examines the problem(s) the project is designed to address and solve.

This examination should include information on what is being done by the government and regional/local authorities, as well as other organisations on the issue, and whether the project is coordinated with these initiatives.

7. Strategic framework

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

8. Description of project activities

The Applicant shall describe activities, which will be carried out by the project to produce the desired results. Each result could require a number of actions. It is necessary to state the term of each activity, the setup and who will be responsible for the implementation.

The Applicant is also to clearly mention the number of participants and the project output. Any planned follow-up activities after the implementation of the project shall be described.

9. Work plan and timetable

The Applicant shall also outline a realistic and verifiable work plan and timetable, taking into account the time necessary for partners and/or contractors.

10. Objectives and results

This chapter discusses objectives and expected results of the project. The Applicant should ensure that the project objectives are defined, measurable and feasible within a set time frame. Project objectives must be tied down to quantifiable indicators. Immediate and long-term results shall be illustrated separately. The focus shall be on results delivered immediately after implementation rather than on long-term results.

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

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

11. Social, environmental and gender aspects

The Applicant shall explain whether the project poses any threat or barrier to:

- the participation of vulnerable social groups or people with disabilities (social inclusion)
- environmental and natural resources (environmental impact)
- the participation of women (gender equality)

12. Assessment of the outcomes

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.

13. Involvement of the Main Partner

The Applicant shall describe to which extent the Main Partner has participated in planning the project and drafting the proposal. Information provided in this chapter shall demonstrate that the project has been designed according to beneficiary's needs. Both the Applicant and Main Partner are to be committed to its implementation.

14. Publicity and dissemination

The Applicant shall prepare a list of promotional activities and dissemination actions/events. The list shall include a brief explanation of target groups, implementation measures, relevant costs (please verify whether it corresponds to the detailed budget breakdown) and responsibility for the implementation.

15. Use of CEI and ADC logos and references

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

16. Total amount and KEP grant

The total project amount and the KEP grant are to be clearly stated in Euros.

17. Breakdown of estimated expenses

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

- Personnel (management, staff, consultants, experts, administrative staff)

- Travel (airfare, local travel – please, note that public transport should be generally used)
- Accommodation
- Meetings and events (rent of rooms, lunches, coffee breaks)
- Equipment (purchase or rent)
- Promotion (press advertisements and articles, brochures, leaflets, other advertisements and marketing)
- Administrative costs (operating and administration expenses such as material, supplies, communication, printing, copying)
- Auditing
- Other (contracts and subcontracts, in kind)

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.).

18. Project financing

The Applicant shall provide information on sources of project financing and cost-sharing. The table shall demonstrate the financial sustainability (i.e. demonstrate the operation does not risk of running out of money). Who covers which costs should be clearly stated. All co-financing and in-kind contributions must demonstrate evidence and be clearly described. The Applicant shall indicate whether the co-financing/in-kind contribution has been requested or confirmed.

In-kind contributions are defined but not limited to work-time, materials, office equipment, soft-and hardware, machinery, premises for which no cash is recorded in the breakdown of expenses.

Such in-kind contributions made by the Applicant and by the Main partner deemed mandatory for the project implementation shall be assessed at their current local sales-/market value and recorded as co-financing in the breakdown of expenses.

Other in-kind contributions whatsoever NOT deemed mandatory for the project implementation shall not exceed 25% of the total project amount and shall NOT be recorded as cash contributions in the breakdown of expenses.

Any exception to this rule will be examined on a case-by-case basis and brought to the attention of the CNC.

19. Language

Expressions of Interest and Application Forms as well as any supporting documents shall be submitted in English.

D. Disbursement procedure

1. Instalments

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

2. Advance and interim payments

Prior to the beginning of the project, the Applicant can request an advance payment of up to 50% of the authorised grant. An interim payment of up to 40% of the authorised grant can be requested by the Applicant during the implementation of the project.

3. Final payment

The final payment will be disbursed after a 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 these Rules.

The total sum paid to the Applicant cannot exceed the amount originally authorised by the CNC.

4. Percentage rule

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

E. Advance and interim payments

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 recommended that a draft request should be sent by e-mail to the CEI Executive Secretariat for screening before sending an original request by post.

3. Bank transfer

The Applicant 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 relevant account.

4. Return of advance payment

Should the advance payment be processed and the project eventually cancelled, the advance payment must be returned to the CEI Executive Secretariat within 60 days from the first day of the project's starting date as originally planned in the Application Form.

The above rule also applies to projects 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 Executive Secretariat.

5. Interim payment request

During the implementation of the project, the Applicant can request an interim payment of up to 40% of the eligible grant. The request shall be made by using the “Request for interim payment” form to be provided by the CEI Executive Secretariat, following the same submission procedure as stated in paragraph E.2.

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 recommended that a draft request should be 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, F.4 and F.5 of the present Rules.

3. Implementation report

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

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

The narrative report shall be accompanied by additional documentation produced during the project. Depending on the type of implemented activities, 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 signatures
- 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
- photographic documentation for all activities and meetings

4. Proof of expenses

The Applicant shall provide proof of payment of the project expenses (not only of items covered by the KEP grant, i.e. invoices, bills, receipts, contracts, payrolls, personnel time-sheets or equivalent proof of payments, in English or accompanied by an appropriate translation into English).

The proof of expenses shall be submitted following the order in which the budget categories appear in the Application Form, part 6.3 "Breakdown of estimated expenses" 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 Applicant shall note that proof of accommodation and travel expenses must be individualised (hotel bills and travel air tickets must indicate the names of the beneficiaries) and in-kind contributions must be justified in an appropriate manner.

5. Final auditing of accounts

Before submitting the final report, all accounts need to be examined by an external auditor and the auditing report needs to be sent to the CEI Executive Secretariat attached to the final documentation. The costs for the auditing can be included in the project budget.

6. Deductions

Should expenses not be adequately documented or in case of misuse of the KEP grant, relevant deductions will be made from the final payment. Deductions may also occur in case of application of the "percentage rule", as described in paragraph D.4 of these Rules.

7. Deadline for submission

The CEI Executive Secretariat will process the final payment only upon submission of forms and documentation set out in paragraphs F.3 and F.4 and their positive evaluation. 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.

The request for final payment 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 and interim payments already received and refund to the CEI Executive Secretariat 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 project and budget

If after the approval of the proposal any changes occur with regard to the dates, venue, title, scope of activities, the Applicant shall promptly inform in 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. Implementation of the project in a form not authorized by the CEI Executive Secretariat may result in a reduction or cancellation of the KEP grant.

3. Report

Upon request, the Applicant shall provide the CEI Executive Secretariat with a progress report (especially whenever the project implementation exceeds 6 months), information on the status of the implementation of the project, updated work plan and timetable, etc.

4. Monitoring

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

H. Dissemination of Results

1. Dissemination of the project and its activities

The Applicant is entirely responsible for proposing and implementing appropriate actions to disseminate information regarding the project and its activities throughout the implementation phase, 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 for sending the programme and invitations about any project event or activity to the CEI Executive Secretariat and to the office / representative of the Austrian Development Cooperation in the country where the activities are taking place.

2. Use of project results

The Applicant shall be aware of the fact that the promotional material prepared in connection with the project – and in particular the results of the project – can be used, published or distributed by the CEI Executive Secretariat without any restrictions.

Ref. No. / Project Title	
Is the project eligible? If not, state reasons for non-eligibility	Yes/No
SOCIAL, ENVIRONMENTAL AND GENDER ASPECTS	Yes/No
If any of the questions below is answered with a YES, the project is considered as not eligible	
<u>Social inclusion</u> - Does the project pose any threat or barrier to the participation of vulnerable social groups or people with disabilities?	
<u>Environmental impact</u> - Does the project pose any threat or pressure to the environment and natural resources?	
<u>Gender equality</u> - Does the project pose any threat to the participation of women?	
EXPRESSION OF INTEREST - EVALUATION GRID	
	Score
1. Fulfilment of administrative requirements	0-10
2. Compatibility with the KEP Priority Areas	0-10
3. Project setup and cost-efficiency	0-10
Final Score	0/30
APPLICATION FORM - EVALUATION GRID	
	Score
1. Relevance of the proposal	
To which extent does the proposal achieve the objectives and is in line with the KEP Priority Areas?	0-10
To which extent does the project address and fit the needs of the beneficiary and the target area?	0-10
2. Objectives, results and impact	
Are the objectives clear and the results/outputs concrete, visible and measurable? Are they clearly listed?	0-10
To which extent is the project likely to have a tangible impact in the beneficiary country/area and a real know-how transfer?	0-10
3. Coherence and quality of the proposal	
Are the proposed activities appropriate, practical and consistent with the objectives and results set?	0-10
To which extent are the proposed activities clearly explained and feasible to accomplish?	0-10
To which extent does the proposal actively promote the inclusion of vulnerable and marginalized groups (ethnic and/or religious minorities, people with disabilities, etc.)?	0-10
To which extent is gender equality ensured? Do women and men have equal control over the project results?	0-10
4. Applicant and Main Partner's operational capacity	
To which extent do the Applicant and Main Partner have experience and expertise that qualify for successful implementation of the project?	0-10
Do the Applicant and the Main Partner have sufficient knowledge and expertise on the problem the project is expected to address and about the beneficiary country?	0-10
5. Cost-efficiency and budget coherence	
Is the proposed budget sound and cost-efficient?	0-10
Could the same results be obtained with less funding? What is the level of value for money?	0-10
6. Risks and Sustainability	
To which extent does the proposal analyse the existing risks and identify measures to mitigate them?	0-10
To which extent are the benefits of the project likely to continue after the project end? How is the sustainability of the project envisaged after its completion?	0-10
Final Score	0/140