

CEI Know-how Exchange Programme (KEP)

KEP AUSTRIA

RULES AND PROCEDURES

Applicants

Latest update: October 2015

A. Disbursement procedure¹²

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

¹The 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. Time of personnel involved in the project and hired by a project under fixed contracts (whose salary is not covered by the project budget) shall be recorded as in-kind contribution. In-kind contributions shall not exceed 25% of the total project cost 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.

²Application Forms as well as any supporting documents shall be submitted in English.

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 C.1, C.3 and C.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%.

B. 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.

C. 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, “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 (see point C. Application Guidelines, 6.3)

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.

1. Deadline for submission

The CEI Executive Secretariat will process the final payment only upon submission of forms and documentation set out in paragraphs C.3 and C.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.

D. 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.

E. 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.