



## **CEI Know-how Exchange Programme (KEP)**

# **RULES AND PROCEDURES**

for the applicants of  
the CEI Know-how Exchange Programme

## A. General Criteria

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### 1. Source of funding

The Know-how Exchange Programme (KEP) is primarily financed by the Italy-sponsored CEI Trust Fund at the European Bank for Reconstruction and Development (EBRD), and by the Austrian Government through the Austrian Development Agency. Additional ad hoc donations to the Programme might be provided by other CEI Member States.

### 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 CEI KEP must be managed by the organisation which plays a role of know-how donor in a given project. In case of applications where an international organisation facilitates cooperation between the donor and the recipient institution, the CEI grant shall be transferred to and managed by such international body.

The know-how donor(s) shall be from CEI Member States being a member of the European Union, i.e. Austria, Bulgaria, Czech Republic, Hungary, Italy, Poland, Romania, Slovakia and Slovenia.

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

### 4. Recipients

The know-how recipients shall be from CEI Member States which are not members of the European Union, i.e. Albania, Belarus, Bosnia and Herzegovina, Croatia, Macedonia, Moldova, Montenegro, Serbia, and Ukraine.

### 5. Eligible activities

The eligible activities include: on-the-job training, secondment of staff, study tours, peer review missions, assistance in the preparation of strategic documents (e.g. development plans, reforms, strategic studies, etc.), technology transfer, technical assistance and other interventions which promise efficient and effective transfer of a given know-how.

### 6. Priority sectors

The eligible projects shall be in line with the general objectives of the CEI Trust Fund at the EBRD and therefore shall have an economic background. The precedence will be given to projects responding to KEP priority sectors and promising an investment related impact. More information on the current priority sectors can be found at [www.ceinet.org/KEP](http://www.ceinet.org/KEP).

### 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 or Project Secretariat and subject to the approval of the Committee of National Coordinators (CNC).

## **8. Deadlines**

There are no specific deadlines for the submission of applications. However, the applicants are requested to present their proposals at least 2 months prior to the start of the project (3 months period is recommended). Applications received less than 2 months before a planned start of a project will not be considered.

## **9. Encouraged applicants**

Applicants from new EU Member States within the CEI are strongly encouraged to apply.

# **B. Application procedure**

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## **1. Submission**

The application and supporting documents shall be submitted in electronic format to CEI National Coordinator in the applicant's country. Contact details of the CEI National Coordinators are available at: [www.ceinet.org](http://www.ceinet.org) (chapter 9.5).

Applications originating from International Organisations and other trans-national bodies may be submitted directly to the CEI Secretariat to the following e-mail address: [kep@cei-es.org](mailto:kep@cei-es.org).

## **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 Secretariat.

## **3. Appraisal**

Upon initial screening by the respective National Coordinators, the applications will be forwarded to the CEI Secretariat for technical assessment. The CEI Secretariat shall assess 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 appraisal, the CEI Secretariat may request additional documentation or amendments to the application and/or any other document submitted by the applicant. Clarifications and/or amendments must be done by the applicant in writing by standard electronic means.

## **4. Approval**

The decision on the approval or rejection of a proposed project is taken by the CNC at its first upcoming meeting, taking into account evaluation and recommendations prepared by the CEI 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 has been issued.

## **5. Award of grant**

After approval of the project by the CNC, the applicant will be informed on the amount of the approved CEI contribution and conditions on which the grant will be reimbursed.

## **6. Memorandum of Understanding**

Before disbursement of the grant, the applicant will be requested to sign a Memorandum of Understanding on the terms of project implementation and management of the CEI grant.

## C. Application guidelines

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### 1. Application form

The applicant shall complete the KEP application form in accordance with the instructions provided in the form and in the current Rules. An updated version of the application form can be downloaded from the following address: [www.ceinet.org/KEP](http://www.ceinet.org/KEP).

### 2. Project title

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 short version.

### 3. Project summary

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 newsletter.

### 4. Description of the applicant

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 recipient

The applicant shall provide a brief description of the main project recipient and, if applicable, indicate other recipient groups that will be directly or indirectly affected by the project.

### 6. Background and rationale

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 solve. If applicable, analysis of the problem shall include information on what is being done by the government or local and/or regional authorities, and other organisations on the issue and whether the project is coordinated with those activities.

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

### 7. Ownership by the recipient

The applicant shall describe to which extent the main beneficiary and other recipient groups have 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 recipient needs and that the recipient will be fully committed to its implementation.

### 8. Objectives and results

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. Description of project activities**

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, and which output it will help to produce. If any follow-up activities are planned after the official conclusion of the project, they shall also be described in this section.

## **10. Evaluation**

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

## **11. Work plan and schedule**

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.

## **12. Publicity and dissemination**

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.

## **13. Use of CEI logo and references**

The applicants must provide detail information on the proposed use of the CEI logo and references to the CEI investment in the project.

## **14. Total cost and CEI contribution**

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

## **15. Breakdown of estimated costs**

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

- i. Project personnel (management, consultants, national and local experts);
- ii. Travel expenses (airfare, local travel, accommodation, per diem);
- iii. Contracts and subcontracts (specific services, research studies, rentals of offices or space);
- iv. Training (fellowships, workshops, conferences, study tours);
- v. Equipment (laptops, software, field device, expendable and non-expendable equipment);
- vi. Publications and marketing (brochures, leaflets, reports, advertising, etc.)
- vii. Operating and administration expenses (material, supplies, communication, printing, copying).

Whenever applicable, information on both unit cost and subtotal shall be provided. Unit costs must be named (e.g. man/hour, rental/day, etc.). In case of more complex budgets, it is highly recommended that the applicant submits a detailed breakdown of costs in a separate excel file.

## **16. Project financing**

The applicant shall provide information on sources of project financing and cost-sharing. The table shall demonstrate 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.

#### **17. Language**

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

## **D. Disbursement procedure**

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### **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 paid before the beginning of the project (advance payment) and upon its conclusion respectively (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 Secretariat, of the documents described in paragraphs F.1, F.3 and F.4 of the current 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**

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### **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 Secretariat.

## 2. Submission procedure

The advance payment request shall be sent to the CEI Secretariat both by e-mail or fax and by post (original copy). It is advisable that a draft request is sent 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 which completion was delayed for more than 90 days unless new implementation/ completion dates were authorised by the CEI.

# F. Final payment

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## 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 Secretariat.

## 2. Submission procedure

The final payment request shall be sent to the CEI Secretariat both by e-mail or fax and by post (original copy). It is advisable that a draft request be sent 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 current Rules.

## 3. Implementation report

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

Workshops, seminars, meetings, etc.:

- copy of a list of participants 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 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 meeting.

Study visits, on-the-job trainings, stages, etc.:

- copy of a list of trainees / participants of a study tour, training, etc. with their names, represented institution's name, function, contact details, and signature;
- copy of a detailed programme of the visit, training, etc;
- copies of presentations, abstracts and other material distributed to participants;

- copies of reports and other documents developed during the visit, training, etc.;

Studies/ research projects:

- 2 copies of any publication and/or report produced within the project;
- an electronic file with the produced publication / report.

Other attachments:

- copies of feedback survey and its summary and/or copies of other evaluation tools;
- copies of articles, press releases, etc;
- copies of lists of invited journalists;
- photographic documentation.

#### **4. Proofs of expenses**

The applicant shall provide justification of the entire expenses of the project, not only items paid from the CEI grant (invoices or equivalent proofs of payments made, in English or accompanied by an appropriate translation into English).

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 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 current 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 Secretariat within 60 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**

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### **1. Implementation**

The applicant shall bear responsibility for the implementation and follow-up of the project as well as for reporting on 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 Secretariat and obtain its approval. The beneficiary 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**

Upon request, the applicant shall provide the CEI Secretariat with information on the status of the realisation of the project, implemented activities, updated work schedule, etc. Whenever the implementation of the project exceeds six months, the applicant shall provide the CEI with a mid-term progress implementation report. In case of projects lasting more than twelve months, the progress reports shall be prepared at least every six months.

### **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**

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### **1. Dissemination of results**

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