



CASPIAN ENVIRONMENT PROGRAMME

Towards a Convention and Action Programme for the Protection of the Caspian Sea Environment Project



THE FIFTH ROUND OF THE MATCHED SMALL GRANTS PROGRAMME APPLICATION GUIDELINES & FORMS

A GEF/UNDP/UNOPS PROGRAMME FOR THE ENVIRONMENT OF THE CASPIAN REGION

CASPIAN ENVIRONMENT PROGRAMME (CEP)

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ABBREVIATIONS

CBO	Community-based organization
CEP	Caspian Environment Programme
EC	Evaluation Committee
EU	European Union
MPPA	Matched Small Grants and Public Participation Advisor
MSGP	Matched Small Grants Programme
NCAP	National Caspian Action Plan
NFP	National Focal Point
NGO	Non-Governmental Organization
NIS	Newly Independent States
PCU	Programme Coordination Unit
PIP	Priority Investment Project
SAP	Strategic Action Programme
SAPIC	Strategic Action Programme Implementation Coordinator
TDA	Transboundary Diagnostic Analysis
TACIS	Technical Assistance/Commonwealth of Independent States
UNDP	United Nations Development Programme
UNOPS	United Nations Office for Project Services
UNEP	United Nations Environment Programme
WB	World Bank

APPLICATION GUIDELINES

AND FORMS

THIS DOCUMENT IS DESIGNED TO ASSIST APPLICANTS IN PREPARING A CONCEPT PAPER AND A FULL APPLICATION FOR THE MATCHED SMALL GRANTS PROGRAMME. A COMMITTEE OF REPRESENTATIVES FROM EACH CASPIAN COASTAL STATE AND OTHER MEMBERS OF THE CEP STEERING COMMITTEE WILL SELECT THE BEST PROPOSALS FOR GRANT FUNDING.

THE DEADLINE FOR SUBMISSION OF CONCEPT PAPER FOR THE FIFTH ROUND IS **APRIL 30, 2005**. THE DEADLINE FOR SUBMISSION OF FINAL FULL APPLICATION IS **AUGUST 15, 2005**.

ONLY APPLICATIONS MADE ACCORDING TO THESE GUIDELINES WILL BE ELIGIBLE FOR SELECTION.

DESCRIPTION OF CASPIAN ENVIRONMENT PROGRAMME

The Caspian Environment Programme (CEP) started in 1998 and the overall goal is to promote the sustainable development and management of the Caspian environment, a major and unique ecosystem under threat from pollution and loss of biodiversity. CEP is a regional umbrella programme established by the five Caspian littoral states and aided by the international agencies including EU/Tacis, the World Bank, the UNDP and the UNEP to meet a desire for regional cooperation towards the sustainable management of the Caspian environment. Under the first phase of the CEP a regional environmental management mechanism has been established, a Transboundary Diagnostic Analysis (TDA) has been carried out, a Portfolio of Priority Investment Projects (PIPs) has been identified and 16 Matched Small Grants have been awarded. Five NCAPs, one in each country and a SAP have been developed and approved. Also through a constructive regional dialogue the Framework Convention for the Protection of the Marine Environment of the Caspian Sea has been produced and signed by all. The first phase of CEP /GEF was completed by end of 2002. In November 2003 the GEF Council approved the second phase of GEF support to the CEP. This was followed with the regional approval of the Project Document and its activation in April 2004. The Project, short titled as CEP-SAP, aims to achieve four major objectives of a) commencing the implementation of the SAP in the priority areas of biodiversity protection, invasive species, and persistent toxic substances; b) continuing specific capacity building measures to ensure a regionally owned CEP coordination mechanism capable of full implementation of the SAP and regional coordination of the NCAPs; c) strengthening the environmental legal and policy frameworks operating at the regional and the national levels and d) achieving tangible environmental improvements in the SAP priority areas through implementation of small scale investment supported by a Matched Small Grants Programme (MSGP).

DESCRIPTION OF THE MATCHED SMALL GRANTS PROGRAMME

The Matched Small Grants Programme (MSGP)¹ is an element of the project entitled “Towards a Convention and Action Programme / or the Protection of the Caspian Sea Environment”. This project which is short titled as GEF is a component of the Caspian Environment Programme.

PURPOSE OF THE PROGRAMME

The purpose of the MSGP is to advance small-scale investment or pilot projects to address urgent environmental problems in the Caspian region. With this programme small-scale priority projects can be implemented quickly, in order to take curative or preventive actions; the MSGP also helps to develop capacity for further actions to improve the Caspian environment.

¹ The MSGP is funded by the Global Environmental Facility, implemented by the UNDP and executed by the UNOPS.

ELIGIBILITY

The Matched Small Grants Programme operates in the five Caspian littoral states: Azerbaijan, I.R. Iran, Kazakhstan, Russia and Turkmenistan. The Caspian region is defined as the sea, the coastal areas and 100 km inland from the sea, and the major tributaries up to the first major hydrotechnical construction. Any legal entities are eligible to apply for the MSGP as below:

- Private sector: companies, businesses, and scientific institutions, both foreign and locally owned;
- Governmental sector: state-owned enterprises, local, provincial and national authorities, utilities, state scientific institutions and committees working on the regional level in the Caspian Sea region;
- Non-governmental sector: foreign and local NGOs, Community-Based Organizations (CBOs), local associations;
- Public-private partnerships or NGOs/CBOs in partnership with government or private sector;
- Municipal and regional government bodies are encouraged.

The Applicant organization must be legally registered in one of the Caspian coastal state. A copy of this registration must be attached in Annex IV as part of the application packet along with document confirming that the applicant is a legal entity that is authorized under national law to enter into international agreements. Partnerships between two countries and/or cooperation among different types of organizations are encouraged. However, one lead organization must be designated as fully responsible for the project implementation. The Memorandum of Agreement (MOA) must be written in the name of the lead organization, which will serve as the grant recipient for the Matched Small Grants Programme with responsibility for all reporting.

TYPES OF PROJECTS

Under the MSGP, small-scale investment or pilot projects that produce tangible, practical results will be financed. Preference will be given to those projects that demonstrate:

- Tangible and sustainable environmental impact;
- That it matches SAP and NCAPs objectives;
- That there is effective stakeholder participation;
- An ability to achieve tangible results with verifiable indicators;
- Confirmed ability to provide matching funds at 100% of amount of grant;
- Technical viability and cost effectiveness;
- Replicability in other communities or continuation on a larger scale;
- A realistic work plan to implement the project;
- A realistic plan for the sustainability of the investment after the grant period and
- A plan for the dissemination of project results.

Information about these documents is available from the MSGP staff at the PCU-Tehran, and on the CEP website.

Projects eligible under the programme may address the following areas identified as priorities in the SAP, or may address Caspian national priorities identified in the NCAPs.

- unsustainable use of bioresources (particularly sturgeon)
- threats to biodiversity, including those from invasive species;
- pollution
- unsustainable coastal area development

The Matched Small Grants Programme focuses on investment projects and does **NOT** support the following activities: research; monitoring; formal academic training; ongoing institutional core support; scholarships and fellowships; study programmes; or individuals applying on their own behalf, including for travel or studies.

MATCHING AND AWARD AMOUNT

Grants may range from USD 5,000 up to USD 50,000. **At least 100% matching of the grant amount is mandatory;** total project budgets therefore range from USD 10,000 to USD 100,000 or more, if the applicant identifies additional resources. Up to half of the matching may be in the form of in-kind contributions; a minimum of 50% of the grant amount must be in cash.

Matching funds may come from the applicant and/or from a partner, whose name must be shown under the box “partner” of the cover sheet. If the funds come from the applicant organization, then appropriate proof should be provided in the form of bank statements, accounting reports or other financial documentation. If the funds come from a partner organization, then the lead organization must have written verification from the partner regarding availability the funds for the project. (Verification of matching funds must be attached in Annex V of the application.)

DURATION OF THE PROJECT

The project must begin within one month after signing of the MOA. The project duration shall be no longer than 12 months. The project must be completed, including all reporting, within one year of signing the MOA.

SELECTION CRITERIA

Applications will be evaluated based on the following criteria.

EVALUATION CRITERIA	Max. Points
1. IMPACT OF THE PROPOSED PROJECT	[45]
A) The project will generate tangible final results, which can be verified by clearly set indicators.	20
B) Tangible and sustainable environmental impact, consistent with SAP and/or NCAP objectives.	15
C) The results of the project are sustainable after the grant period	10
2. IMPLEMENTATION	[35]
D) The financial, technical and institutional ability of the organization to make the matching contribution and implement the project is well documented.	10
E) The budget is complete, reasonable and cost-effective. It is clearly explained, proposing realistic and cost-effective solutions.	10
F) The work plan is detailed and realistic, and includes timeframe, milestones and deliverables consistent with the proposed activities.	15
3. PARTICIPATION AND DISSEMINATION	[20]
G) Significant participation, including partnerships with appropriate stakeholders	10
H) wide dissemination of project results and good potential for replicability	10
TOTAL	[100]

CONDITIONS

- Each grantee must attend a Grantee Orientation Meeting, where the MOA is reviewed and signed, projects are introduced and MSGP staff explain the Grants Implementation Manual which includes MSGP Reporting Guidelines, Standard Forms (Payment Request Form, Workplan, Expenditure List) and financial arrangements, and Procurement Guidelines. The Grantee Orientation will be held nationally in each of the Caspian Littoral States.
- The Matched Small Grants Programme generally does not fund activities undertaken prior to the date of the signed MOA.
- The grantee is responsible paying all taxes incurred for the project in accordance with the relevant policies and regulations in his/her country. MSGP will assist, where possible, in obtaining tax exemption status for grantee, but final responsibility lies with the grantee. **The MSGP grant may not be used to pay taxes, though applicants may include taxes in their matching contribution.**
- Any publications issued by the grantee as a result of the grant, such as articles, studies, manuals, newsletters, or brochures must acknowledge the support of the MSGP and the CEP.
- Equipment acquired for execution of the project may remain with the grantee upon completion of the project.
- The grantee owns all intellectual property created under a Matched Small Grants Award, however, the UNDP has the non-exclusive right to use and reproduce the intellectual property at no cost. The MSGP reserves the right to publish and distribute descriptive information and lessons learned from any of the projects implemented under the Programme.

An organization currently working on a project funded partly by a Matched Small Grant cannot apply for another Matched Small Grant before the final report of the first project has been submitted and accepted by the Matched Small Grants Programme.

GRANT PAYMENT AND REPORTING REQUIREMENTS

Matched Small Grants will be disbursed in USD to a legal bank account of the grantee that is established solely for the MSGP project. All budgets and financial reports should be made in USD, with conversion for costs in local currency.

All Matched Small Grant recipients shall prepare progress and final reports. Reporting forms and procedures will be made available to grantees during the Grantee Orientation. Grantees must maintain in their project records copies of all invoices and receipts for expenditures on salaries, equipment, travel, hotels, rent, service providers, printing and reproduction, as well as for any other expense exceeding USD25.

Matched Small Grants will be paid through quarterly installments according to the MOA and the workplan including an initial payment which was not exceed 15% and a minimum final disbursement of 20%.

Applicants may request an alternative disbursement schedule if the nature of their project requires it. Only well substantiated requests for alternative disbursements will be approved.

The purchase of goods, works and services must follow the procurement guidelines The Procurement Manual is available on request from the PCU-Tehran or the MSGP web page at <http://www.caspianenvironment.org/msgp>. Reporting according to the procurement guidelines is obligatory. If the guidelines are not followed, or reporting does not clearly reflect compliance with them, the expenditure in question may be disallowed.

The grantee may make budget changes of up to 20% with any budget line, providing there is no change to the overall budget. For line item changes of over 20%, the grantee must request and receive MSGP Administrator's agreement prior to making the change.

The grantee must maintain full financial records, including all original receipts and invoices for at least three years following the completion of the project. MSGP staff and UNDP/UNOPS representatives (including consultants authorized by the UNDP/UNOPS) have the right to inspect the MSGP project records and monitor the project performance at any time.

THE MATCHED SMALL GRANTS PROGRAMME APPLICATION

◀ Prospective grantees will fill out a full MSGP application, which consists of the following documents:

- Properly completed MSGP Cover Page;
- A narrative description of the proposed project following the guidelines below (maximum 5 pages);
- Annex I – Procurement, Financial Management and Legal Issues (Assessment of Beneficiary's Capacity to Conduct Procurement, Financial Management and Overview of Legal Status);
- Annex II – the MSGP Budget: A. Budget Summary and B. Detailed Budget (forms attached);
- Annex III – the MSGP Work Plan (form attached);
- Annex IV – a copy of legal registration of the applicant organization and a document confirming that the applicant has the ability to enter into legal agreements with an international agency;
- Annex V – all other necessary financial documentation including: verification of applicant's matching funds - both monetary and in-kind - salary or fee rate verification of all those to be funded by the project, rental agreements, and any other documentation necessary for financial clarification of budget.

◀ Applicants are strongly recommended to submit the Concept Paper before making the Full Application submission. This will help us to advise the applicants on their projects. The Concept Paper includes:

- Properly completed MSGP Cover Sheet (form attached);
- Completed MSGP Concept Format consist of Project Summary, Preliminary Budget and Letters of Cooperation or Support (form attached);

MSGP staff will evaluate the quality and feasibility of the proposed projects and advise prospective applicants by **May 15, 2005** on revisions recommended to improve their proposals prior to submission of the final applications. An electronic version of the Concept Paper in English and Russian (for applicants from NIS) and in English (for applicants from I.R. Iran) should be sent to the PCU/MSGP office in Tehran not later than **April 30, 2005**.

One hard copy **original** of the full application must be received by the MSGP staff by **August 15, 2005**. In addition, the applicant must send an **electronic** version of the application to the PCU/MSGP office at the email address provided on the front page. The applicant is responsible for the timely delivery of the Concept Paper and Full Application and may call or email or fax to confirm receipt. The hard copy of the application should be mailed or hand delivered to the address of the MSGP in Tehran:

The full application should be made in the format provided, following the sequence mentioned above. Please do NOT bind together the application, because the MSGP staff will need to make copies for the Evaluation Committee. Incomplete applications will NOT be considered. Additional materials not specified in the list above will be discarded, in order to ensure the comparability of the applications.

The full application must be prepared in English by **all** applicants. Applicants from Azerbaijan, Kazakhstan, Russia and Turkmenistan should submit the application in both English and Russian. Only copies of legal registration and other official documents of the applicant may be submitted in the original language. Applicants are responsible for the quality of their translations. Poor quality translations may not receive proper consideration during evaluation.

GUIDELINES FOR NARRATIVE DESCRIPTION

In the narrative description the applicant explains why the project is important, how it will help to solve one or more environmental problems, where the project will take place, and who will undertake what actions. The narrative description needs to explain how the work will be organized to produce a successful project with concrete results.

The narrative part of the application should be no longer than 5 pages, with character size of 12 points and minimal line spacing of 1.5. The document must be clear and concise.

The narrative description includes the following seven main topics:

Title of the project

Choose a short title specifying the type of project. A more explanatory sub-title may be added, for example specifying the geographical region where the project will be implemented.

Background and problem statement – 0.5 page

Explain the environmental problem the project addresses, where and how this problem occurs, what the consequences are and for whom. If necessary give the background of the problem, its history and/or the current developments surrounding it. Adequate data on the current situation will help the committee to understand the impact of the project.

Goal and objectives – 0.25 page

Define the overall goal of the project, then define the specific objectives. The goal gives the direction of the project, and the specific objectives to be reached as a result of a successful project. Show how your proposal will address a national priority as identified in your country's NCAP, or have a positive and transboundary impact, or address a common problem within one of the four major areas of environmental concern as indicated in the SAP.

Proposed project activities – 2 pages

This section gives all information on 'who will do what, when and where'. In these two pages, specify the environmental problem(s) you are addressing and how you will address it. Describe thoroughly the different project phases, activities planned, equipment to be bought and tasks to be performed. Include steps to share information on project results and lessons learned. The phases as described in this section should correspond directly to the phases shown in the work plan (Annex III of the application).

Expected results – 0.5 page

List the results that your organization would expect to see as the outcome of the proposed project. Make sure that the results follow logically from the activities you propose to implement. Describe the expected results in such a way that it is clear when you consider the project a success.

Deliverables and indicators for success – 0.75 page

Based upon your expected results, develop quantitative indicators to measure whether you reached those results or not. These indicators will ensure that the evaluation committee understands the project targets and their successful completion. Indicators will be used to measure project outcomes. Applicants are requested to develop relevant environmental indicators and to describe how the indicators will be measured. Deliverables may be various, for example: the number of square kilometers cleaned, hectares reclaimed from desertification, percentage increase in hatchery output, increase in waste water treatment capacity by x%, etc. This section should also identify any risks or constraints beyond the control of your organization that could prevent the successful implementation of the project.

Sustainability and/or follow up of the project – 0.75 page

An important criterion for the MSGP is the future sustainability of the project. Describe how the results of the project will be maintained after completion of the grant-funded tasks. Explain how you envision that the given environmental problem will improve for the long term. Develop a strategy for the replication of the project elsewhere, or on a larger scale, and specify how such a follow up could take place. Describe how the results of the project will be disseminated (e.g., training, publications, workshops, public information, etc.) and how Significant participation, including partnerships with appropriate stakeholders is envisioned. **Refer to the Selection Criteria while preparing your application.**

MATCHED SMALL GRANTS PROGRAMME COVER PAGE

The cover page is the first page of your full application. It should be filled out clearly, so that the MSGP has complete contact information. Do not fill out the gray box marked: "To be filled out by MSGP staff."

MATCHED SMALL GRANTS PROGRAMME SUMMARY AND DEATAILED BUDGET TABLE

The MSGP Budget (summary and detailed – Annex II) is designed to give a clear summary of the budget by showing the breakdown of the part financed by the Matched Small Grant, and the part financed by the applicant as in-kind and cash resources. If an additional, third (or fourth) funding source is to be used, these amounts should also be identified.

The budget for the MSGP must be filled in completely, showing all figures in USD. In the Budget Table list completely all expenses related to the proposed project. All activities must be broken down into costs matching the budget line items provided in the Budget Table. The subtotals for each section of the budget table correspond to each line of the Budget Summary. For your understanding, a sample Detailed Budget and a sample Budget Summary are attached. Applicants may adjust the blank Detailed Budget and Budget Summary Forms by adding lines and pages as necessary, in the format provided.

In the budget, show the unit of measurement for each expected cost (for example Grantee's Personnel), how many of these units you need (for example 3 employees), the price per unit (for example 100 USD per month) and the total (100 x 3 for a month in this example). After the column for 'Total' you find columns specifying the source of funds for each line item.

Under the MSGP, a maximum of 50% of the total project budget can be financed with a MSGP grant. The other 50% of the project must be financed by the grantee. A maximum of 25% of the total project costs can be supplied by in-kind donations. The remaining 25% of the total project cost must be provided in cash (money) by the applicant organization(s). The matching funds and the in-kind contributions can be made to any line item in the budget. For each line item, show the source of funds (whether from the grant, matching funds, or in-kind contribution, or a combination of these sources). Additional funding from a third party may also be included, but is not required.

In-kind contributions are the applicant's allocations of human and material resources, estimated in terms of their costs. In-kind contributions include work time (dedicated to the project), facilities, supplies, and other goods and services directly benefiting the project activities. **Existing office equipment such as computers, printers, fax machines, cannot be included as in-kind contributions.** For all in-kind contributions, specify their exact nature and estimate their worth in accordance with current market rates for rental or purchase of the items or services. The value of volunteer services can be estimated by the going market rates for that type of labor.

All matching and in-kind contributions must be clearly documented in Annex V of the application. The documents must establish both the possession of funds as well as the willingness of the applicant organization to contribute them. Verification of matching funds may be in the form of letters, bank statements, accounting documents, or other. In-kind may be verified by payroll statements, copies of inventory documents, rental agreements, etc. Applicants should contact MSGP staff before application deadline with any questions or concerns regarding documentation of matching.

Competitive procurement of goods, works and services is required. The Budget Summary and the Detailed Budget form Annex II of your application.

CLARIFICATION OF BUDGET LINE ITEMS

1. GRANTEE'S PERSONNEL

These are human labor costs from the applicant's own organization used for implementation of the project and should be grouped as follows:

1.1 Professional Personnel

1.2 Administrative Support

1.3 Workers

1.4 Others (specify)

As a unit for calculation of salary cost, you may use a day, week or month. Estimate the amount of time required for each position. Specify the name of the person (if known) who will do the job and the position. Daily or monthly pay rates must be reasonable for the site of the project. Verification of average salary for the past year for each known person should be provided in Annex V. Where it is still unknown who will be hired, specify a salary that is within the range of current market rates for such a position. These budget items will not be covered by the Grant money and has to be borne by the Matching fund or In Kind contributions.

2. GRANTEE'S TRAVEL COST

Include information on destination, means of transportation and the number of travelers. For every trip all items must be filled in. If per diem is included, indicate the number of days and the rates used. Standard units are provided in the Detailed Budget Table.

Specify the estimated expenses for ground transportation that may include cost of project staff local transportation to and from the project site, collection and transfer of project materials (if not included under works), etc. These should be grouped as follows:

2.1 Domestic

2.2 International

International travel should be indicated only for the participation in the Orientation Meeting if applicable. MSGP do not cover other international travels.

3. CONTRACTS

Contracted labor of subcontractors, equipment arranged by contracts, and supplies procured by contractors should be shown here. These should be grouped as follows:

3.1 Consultants

3.2 Institutions

3.3 Works

3.4 Other Services (including translation, IT Support, etc.)

These can be specialist professional, translation, computer, or other services where contracted outside the organization. When using the item 'other services' please specify which services these will be. A standard unit for services is the workday, but if in your case it is a workweek or month, you can use that as well.

The MSGP accepts rent of your office or project facility as an in-kind contribution, but the costs for rent given in the budget must be reasonable in relation to the size of the project and the time you and your staff spend on the project. For example, an office of 10 rooms would be excessive for a project that requires only 4 staff. To deal with this, the applicant can make an in-kind contribution of part of the rent, specifying the percentage of total monthly rent and attaching a copy of the rental agreement in Annex V.

4- TRAINING & MEETINGS

These certain to the expenses related to the cost of training activities, conferences and meetings and should be grouped as follows:

4.1 Workshops/Conferences/Meetings (including all materials and supplies)

Rent for a meeting room or conference room must be specified under this budget line as well. Office rent should be calculated using the month as the standard unit. A meeting room should be calculated per day.

4.2 In-Service Training

4.3 Outreach Training

4.4 Others (specify)

5- EQUIPMENT & SUPPLIES

This category is for equipment or supplies to be purchased and utilized directly by the applicant organization during the course of the project. These should be grouped as follows:

5.2 Equipment

Specify the type of equipment/technology that you intend to purchase and the estimated cost. Equipment or environmental technology includes any essential and tangible property that costs more than 100 USD and has a useful life of more than one year. (Software is “equipment” if it costs more than 100 USD). The equipment must be a separate and complete item to be used during project implementation and for project purposes. The cost of shipping and customs duties for equipment should be included in this line item

5.1 Supplies

Specify the type of supplies you plan to buy and the estimated costs. Provide breakdown by types of supplies, listing specific items necessary. Project supplies are consumables used during project implementation costing less than 100 USD a piece; these could be chemicals, spare parts, plastic waste bins, etc

6- MISCELLANEOUS

Specify any other direct costs you intend to make, which do not fit under any of the other budget line items mentioned above. All items in the “other” category should be clearly explained. “Miscellaneous expenditures” will not be admitted as a suitable budget line item. These should be grouped as follows:

6.1 Office Operations, Internet, Communications

Specify the type of office supplies you plan to buy and the estimated costs. Provide breakdown by types of supplies and maintenance, listing specific items necessary. Office supplies include: paper, pencils, toner cartridges, floppy disks, etc. as well as any software costing less than 100 USD.

Specify the estimated monthly costs for telecommunication (phone and fax), courier service, postage and electronic communication for the project.

6.2 Reporting and Documentation Cost

Specify all costs you intend to make for printing and reproduction at an outside copy-service, or instead indicate how much you will spend per month on an outside copy service. Specify all publications you intend to make and estimate their costs per copy.

MATCHED SMALL GRANTS PROGRAMME WORKPLAN FORMAT

Attached at Annex III is a blank MSGP overall workplan, which you should adjust for your grant amount, including description of activities, estimated expenditures and actual work schedule. The work plan specifies all key activities you are planning for your project, as well as when you plan to do that activity. The MSGP Work Plan Format provides a time frame of maximum 12 months. However, please keep in mind that all project activities, including final reporting should be completed by January 2007.

The MSGP overall work plan covering the entire life of the project, indicating the quarter and year in which the project outcome, outputs and targets are expected to be achieved or completed. After the Grantee Orientation Meeting each grantee prepares a quarterly workplan on the basis of the overall workplan. Quarterly workplan is more detailed than overall workplan which will be attached to the Financial Report and indicates step-by-step activities/tasks during each phase of project implementation, for example a start-up phase in which you begin the project, implementation phase(s) in which the main work is being done and an evaluation phase in which you evaluate the outcomes of the project and prepare the final reports. It is important that your list of activities and/or tasks shows step-by-step what you are planning to do during all phases of your project. Phases should correspond to the deliverables and disbursement of grant funds, and should be adequately explained in the narrative section of the application. The sample of the quarterly workplan and Financial Report will be provided during the Grantee Orientation Meeting.

The first activity for all grantees will be participation in the Grantee Orientation Meeting. The Grantee Orientation Meeting is planned for December 2005 and will be held nationally in each of the Caspian Littoral States. The exact date will be announced when grant recipients are notified.

Fill out the overall work plan by marking an 'X' where certain activities and/or tasks will be completed and specifying the name of the activity or task that you have described in the narrative portion of the application. The MSGP Work Plan is Annex III of your full application.

MATCHED SMALL GRANTS PROGRAMME PROCUREMENT, FINANCIAL MANAGEMENT AND LEGAL ISSUES

Please fill in Annex I (Assessment of Beneficiary's Capacity to Conduct Procurement, Financial Management and Overview of Legal Status). The information you provide on this form will demonstrate your organization's legal status and ability to manage the grant funds in accordance with the MOA.

ASSISTANCE

For assistance please do not hesitate to contact the MSGP staff. Ms. Melina Seyfollahzadeh and Mr. Ali Mohammadi are available to assist you with your project application. You can email them at: melina.seyfollahzadeh@undp.org and/or ali.mohammadi@undp.org or phone/fax to the MSGP office in Tehran - Phone: (+9821) 2059574; 2042285; 2042935/Fax: (+9821) 2051850.

Applicants are also encouraged to contact the national Matched & Public Participation Advisors (MPPAs) for advice and information about the grant programme and National Focal Points (NFPs) or SAP Implementation Coordinators (SAPICs) for information about Caspian Environment Programme (CEP).

**NATIONAL FOCAL POINTS AND SAP IMPLEMENTATION COORDINATORS
(SAPICs)/ MATCHED & PUBLIC PARTICIPATION ADVISORS (MPPAs)**

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MSGP COVER PAGE

MATCHED SMALL GRANTS PROGRAMME IN THE CASPIAN REGION – 5TH ROUND

TO BE FILLED IN BY MSGP STAFF

PROJECT CODE:	PROPOSAL COMPLETE:	YES/NO
DATE OF RECEIPT:	PROPOSAL IN SCOPE:	YES/NO
	COPIED FOR EVALUATION:	YES/NO

Cover Page (to be filled in and signed by the Project Manager)

Project Title:

Name of Lead Organization:

Role of Project Partner(s) (if applicable):

Name of Project Partner(s) (if applicable):

Type of organization (please check one): ☐ Private Sector (locally-owned) ☐ Private Sector (foreign-owned) ☐ Local Government ☐ State Company ☐ Local Non-Governmental Organization ☐ Foreign Non-Governmental Organization (locally registered) ☐ National Governmental Agency ☐ Scientific Institution ☐ Others (specify):

Registration Number:

E-mail:

and/or

Phone:

Tax Identification Number:

Address:

Fax:

Internet site (if available):

Project Manager (Name, Contact information Phone/Fax/E-mail):

Signature:

Total project budget (USD):

Total Matched Small Grant (USD):

Total matching funds (USD):

Duration of the project:

Geographical location:

Project Summary (max. 8 lines):

PROCUREMENT, FINANCIAL MANAGEMENT AND LEGAL ISSUES

ASSESSMENT OF APPLICANT'S CAPACITY TO CONDUCT PROCUREMENT, FINANCIAL MANAGEMENT AND OVERVIEW OF LEGAL STATUS

1. Name of Applicant:
2. Legal Status:
3. Nature of Business Activity:
4. Description and History of Organization:
5. Number of Employees with brief description of their responsibilities:
6. What is the annual revenue of your organization?
7. Brief description of applicant's experience with purchase goods, works, and services
8. Nature and value of purchases during the last fiscal year
9. Who is responsible for procurement and for contract signature?
10. Who provides technical and legal expertise for purchases?
11. A description of sources of supply:
12. Description of purchasing procedures and documents.
13. How are recurrent items, such as office supplies, spare parts, gas for cars, etc., purchased?
14. Does the applicant have written procurement rules?
15. What kind of contract forms is used?
16. Is your accounting system computerized?
17. Does your accounting system allow you to distinguish between incoming and outgoing funds for each project?
18. Do you document time worked by employees (time sheets, etc.)?
19. Does your accounting system distinguish between direct and overhead expenses? (Direct expenses refer to a specific project, whereas overhead expenses refer to general expenses of the organization that are not project-specific.)
20. Can your accounting system properly manage grant funds so as to avoid overspending the grant?
21. Do you have a division of financial authority in your organization? (e.g., more than one signature necessary on bank withdrawals or other such mechanism to prevent one person from single-handedly withdrawing funds.)
22. Do you have an inventory system that tracks serial numbers and location of equipment listed on your balance sheet?
23. Do you protect physical assets through the use of a safe, office security, limited use of cash, or other means?
24. Has your organization ever had an audit by an independent auditor?

25. Give ALL information for the bank account to be used ONLY for MSGP grant and matching funds (including complete wire transfer instructions). The account must be in the name of the grantee.
- Name of Bank:
Address of Bank:
Account number:
Account holder:
SWIFT code:
26. Are there licenses or permits necessary for the work to be completed under the MSGP project?
27. If yes, have you obtained these licenses or permits? Licenses and permits must be obtained prior to signature of the MOA.
28. If yes, please specify what kind of licenses or permits:
29. Does your organization comply with all environmental laws and regulations of the country of your registration?
30. Please list the key personnel who will be involved in this project and attach a resume for each person.
31. Please provide copies of accounting reports for 2003/2004 including profit/loss, and balance sheet, or similar statement showing revenues and expenditures.

A. BUDGET SUMMARY

	Category	Total Expenses	Grant (max. 50% of total)	In-Kind (max. 25% of total)	Matching (min. 25% of total)	Additional Funds
1	Grantee's Personnel		N/A			
2	Grantee's Travel Costs					
3	Contracts					
4	Training & Meetings					
5	Equipment & Supplies					
6	Miscellaneous					
Total						

B. DETAILED BUDGET

BL	Category	Total Expenses	Grant (max. 50% of total)	In-Kind (max. 25% of total)	Matching (min. 25% of total)	Additional Funds
1	Grantee's Personnel		N/A			
1.1	Professional Personnel		N/A			
1.1.1	Professional Personnel (A)		N/A			
1.2	Administrative Support		N/A			
1.2.1	Administrative Support (A)		N/A			
1.3	Workers		N/A			
1.3.1	Workers (A)		N/A			
1.4	Others (Specify)		N/A			
BL. 1 - Subtotal			N/A			
2	Grantee's Travel Costs					
2.1	Domestic					
2.1.1	Domestic (A)					
2.2	International					
2.2.1	International (A)					
BL 2 - Subtotal						
3	Contracts					
3.1	Consultants					
3.1.1	Consultants (A)					
3.2	Institutions					
3.2.1	Institutions (A)					
3.3	Workers					
3.3.1	Workers (A)					
3.4	Services (including translation , IT, etc.)					
3.4.1	Services (A)					
BL 3 - Subtotal						

4	Training & Meetings					
4.1	Workshops, Conferences, Meetings (including all materials & supplies)					
4.1.1	Workshops, Conferences, Meetings (A)					
4.2	In-service Training					
4.2.1	In-service Training (A)					
4.3	Outreach Activities					
4.3.1	Outreach Activities (A)					
4.4	Others (Specify)					
BL 4 - Subtotal						
5	Equipment & Supplies					
5.1	Supplies					
5.1.1	Supplies (A)					
5.2	Equipment					
5.2.1	Equipment (A)					
BL 5 - Subtotal						
6	Miscellaneous					
6.1	Office Operations, Internet, Copying, Communication					
6.2	Reporting & Documentation Costs					
BL 6 - Subtotal						
Grand Total						

PROJECT OVERALL WORK PLAN

Project Title:

Name of the Lead Organization:

Name of Project Partner (if applicable):

Period from ____ / ____ / ____ to ____ / ____ / ____

[illegible]

ANNEX IV OF THE APPLICATION

A copy of legal registration of the applicant organization and a document confirming that the applicant has the ability to enter into legal agreements with an international agency;

ANNEX V OF THE APPLICATION

All other necessary financial documentation including: verification of applicant's matching funds - both monetary and in-kind - salary or fee rate verification of all those to be funded by the project, rental agreements, and any other documentation necessary for financial clarification of budget.