

CASPIAN ENVIRONMENT PROGRAMME



INSTITUTIONAL ARRANGEMENTS

(INTERIM)

(Extraordinary Steering Committee Meeting: March 12, 2003)

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1. The Caspian Environment Programme (CEP) has participation on regional, national, and international levels. The CEP organization has as its basis several overarching documents, including:

- The Concept Paper (approved May 1998 in Ramsar)
- The Project Brief (approved May 1998 in Ramsar)

2. The CEP is a programme for and from the five Caspian Littoral States, Azerbaijan, Iran, Kazakhstan, Russia and Turkmenistan aiming to halt the deterioration of environmental conditions of the Caspian Sea and to promote sustainable development in the area. This intergovernmental process is currently being supported by CEP's International Partners, Global Environmental Facility (GEF), UNDP, World Bank, UNEP and European Union, other international organizations and the private sector, in particular the oil and gas sector. In the first four years, CEP has developed and adopted a Strategic Action Programme (SAP) for the protection and rehabilitation of the Caspian environment in four priority regional environmental concern areas and assisted the littoral states to develop National Caspian Action Plans (NCAPs).

3. Within the context of the CEP and the implementation framework provided by its various programmes and projects the main responsibilities of the five Caspian littoral states will include the following:

- to contribute to the overall strategic policy and management direction to the CEP through their representation in the Steering Committee;
- to provide technical and management advice to the CEP through their representation on the Advisory Groups;
- to provide national policy guidance for the CEP through their National Coordination Structures (NCS) and Inter-sectoral Coordination Groups (ICG);
- to ensure that policy guidance from the Steering Committee is reflected in national CEP-related policies and programme activities, as appropriate; and
- to contribute and commit, financially and in kind, to implementation of the National Caspian Action Plans and the Strategic Action Programme.

4. During its first four years (July 1998 to October 2002) the CEP has established and prepared the following:

- A management structure, including a Programme Coordination Unit (PCU) and ten Caspian Regional Thematic Centres
- Transboundary Diagnostic Analysis (TDA)
- National Caspian Action Plans (NCAPs)
- Strategic Action Programme (SAP)
- Biodiversity Strategy and Action Plan (BSAP)
- Priority Investment Portfolio Project (PIPP)

- Draft text of the Framework Convention for the Protection of the Marine Environment of the Caspian Sea
- Regional Cooperation Plan for Oil Spill Preparedness

CEP will concentrate efforts in the longer term on the implementation of the adopted NCAPs and SAP and further support to the Framework Convention Process. Implementation of the SAP will be supported by the CEP with the assistance of the International Partners at both the national and regional levels. During SAP implementation it is anticipated that other international agencies will apply (see section III) to have their projects included under the CEP umbrella and in so doing become full international partners.

5. The CEP Institutional Arrangements will need to be modified in the future, in particular upon final determination of the legal status of the Caspian Sea and subsequent ratification of regional agreements between the five littoral states.

6. The overall programme structure is shown as Figure 1. The overall governance is provided by the Steering Committee. The National Focal Point and the National Coordination Structure (NCS) provide coordination at the national level. Overall CEP implementation is under the guidance of the Programme Coordination Unit, led by the Programme Coordinator.

7. Each of these elements is discussed below and Terms of Reference (ToR) are provided in Annex 1.

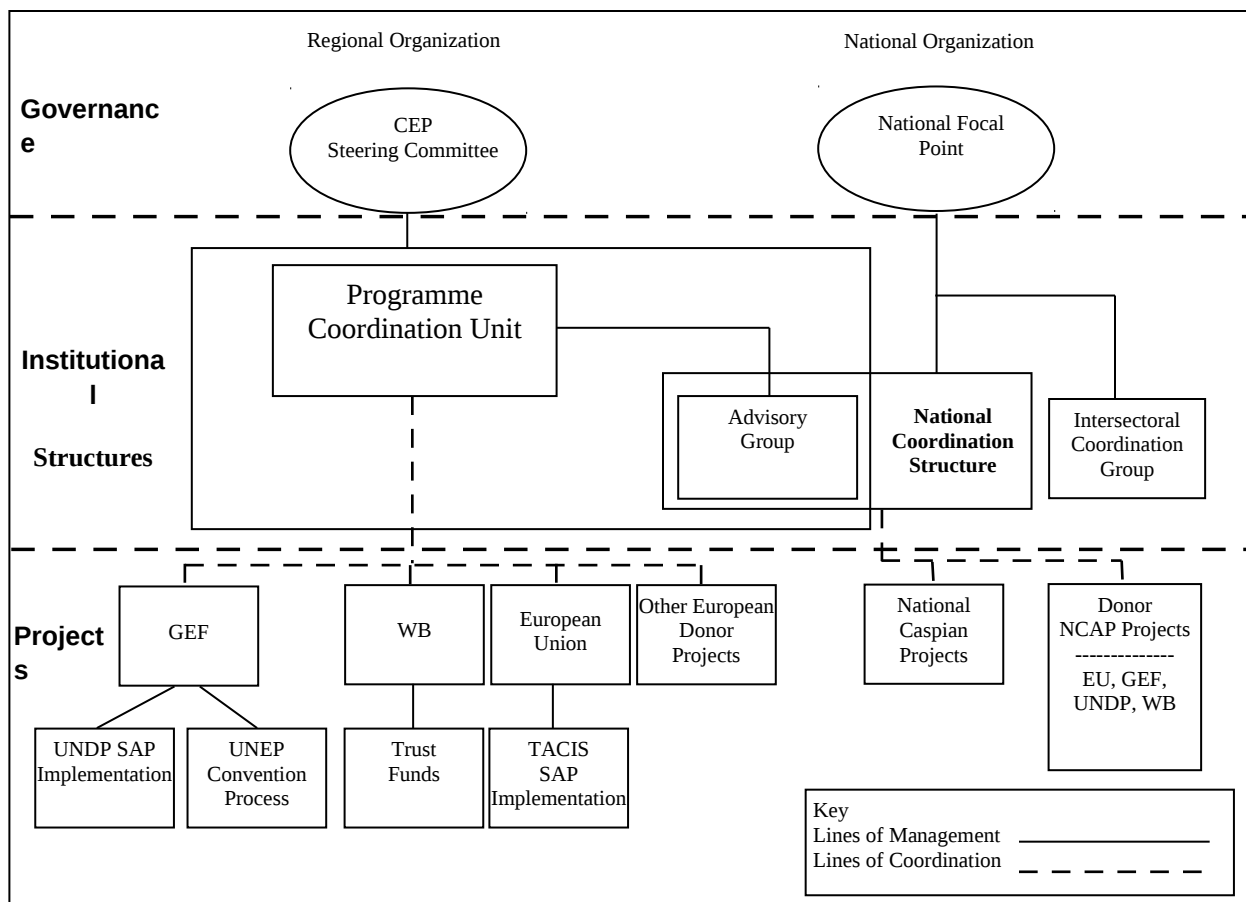


FIGURE 1

Structure of the Caspian Environment Programme

Regional Governance

Steering Committee:

8. The Steering Committee (Committee) comprises one senior representative from each Caspian littoral state and one representative from the present four International Partners, UNDP, UNEP, World Bank, and European Union. Project Managers of projects operating under the CEP umbrella may attend meetings as observers, subject to the discretion of the Steering Committee Chairman. Other interested parties may be invited as observers at the Steering Committee's discretion.

9. The Steering Committee is the principal policy-making body of the CEP. The Committee will provide direction to the Programme Coordination Unit (PCU) on issues pertaining to the regional governance of the CEP, and, when appropriate, to the National Coordination Structures on issues pertaining to the national governance.

10. The Steering Committee's approved Rules of Procedure (Baku in June 1999) are included in Annex 2.

11. Funding of Ordinary Steering Committee meetings will be shared between the countries and International Partners. The country chairing the Steering Committee will be expected to host and bear the costs of the Steering Committee meeting in its year of office whilst the other countries and International Partners shall bear the costs of attendance at the meeting by their representatives. Attendance of observers will be at their own cost.

12. The ToR for the Steering Committee are provided in Annex 1.1.

Programme Coordination Unit:

13. In accordance with the recommendations of the CEP Institutional Arrangements meeting in Tehran July 2002, the PCU has been transferred from its first location Baku, Azerbaijan, to Tehran, Islamic Republic of Iran, at the end of December 2002, reconfirming the decision made in Ramsar in 1998. The PCU will remain in Tehran until December 2006, in accordance with the decision taken at the 2002 Tehran institutional arrangement meeting. The decision whether the PCU location is to be permanent after December 2006 or will rotate around the littoral states, moving every four years, is deferred until December 2003, one year after re-location to Tehran.

14. The PCU will carry out the day-to-day coordination of the regional components of the CEP and implementation of the SAP, and will act as the Secretariat for the Steering Committee. The initial PCU structure will consist of a Programme Coordinator, an Assistant and the necessary support staff. The Programme Coordinator and Assistant will be selected from applicants proposed by the littoral states.

15. The Programme Coordinator and Assistant will be selected by the Steering Committee by simple majority. Nominations for the two posts will be accepted from any littoral state. The salary and

living expenses of the selected Programme Coordinator and Assistant shall be borne by the nominating littoral state.

16. Project Managers of umbrella projects will be subject to coordination of the Programme Coordinator, and, where project staff is located within the PCU, the Programme Coordinator's management authority with regard to office administration matters.

17. Each individual Project Manager of an umbrella project will be responsible to the Steering Committee members, as per project application (see section III) and the stated project beneficiary, for his/her project activities.

18. The Host Country will provide appropriate furnished accommodation, for the PCU and the necessary support staff.

19. The ToR for the PCU are provided in Annex 1.2.

20. The ToR for the Programme Coordinator are provided in Annex 1.6.

National Governance

The National Focal Points:

21. The National Focal Point is the main contact in each Country for the CEP. The NFP is either a Minister or the Minister's authorized representative and will sit on all meetings of the Steering Committee. The NFPs will hold an existing national governmental post.

22. The NFP directs and manages the activities of the National Coordination Structure and assures full inter-sectoral participation in CEP nationally, including ministries, academia, NGOs, private sector and other pertinent stakeholders. It is recommended to establish a national Inter-sectoral Coordination Group (ICG), chaired by the NFP, to ensure full partnership and involvement of the other pertinent national stakeholders.

23. Terms of Reference for the NFP are provided in Annex 1.3.

National Coordination Structures:

24. The National Coordination Structure (NCS) in each country is responsible for coordination of NCAP implementation, national SAP implementation and provision of national input into the regional programme.

25. The NCS is a permanent body directed and managed by the National Focal Point, which will maintain close contact with the PCU and be aware of all PCU activities.

26. The ToR for the NCS are provided as Annex 1.4.

The Regional Advisory Groups

27. The five Regional Advisory Groups (RAG), established to replace the Caspian Regional Thematic Centres that were operational during the first four years of CEP are as follows:

- Advisory Group on Biodiversity and Invasive Species
- Advisory Group on Fisheries
- Advisory Group on Emergency Response
- Advisory Group on Pollution
- Advisory Group on Sustainable Coastal Development

Each littoral state will chair and host one of the Advisory Groups.

28. The Regional Advisory Groups purpose is to assist CEP PCU in concert with the PCU to coordinate its activities in the priority regional environmental concern areas. The Regional Advisory Groups will oversee implementation of the SAP in their specific concern area and, where required, develop specific implementation plans. Through the Regional Advisory Groups the littoral states will contribute to the overall regional coordination of the CEP.

29. The Regional Advisory Groups will operate on the basis of working parties, involving the participation of all littoral states, PCU representation, and, when necessary, outside experts. Each littoral state, through the NFP, will appoint a technical expert from the appropriate authority to sit on each Regional Advisory Group and act as the country focal point, reporting to the NCS and NFP.

30. The Regional Advisory Groups will meet at least twice a year. The host littoral state will bear the costs of convening the Advisory Groups meetings. The other littoral states and PCU shall pay the costs of their representatives' attendance at the meeting.

31. The National Coordinating Structure of the host country shall act as the Secretariat to the Regional Advisory Group and shall prepare meeting minutes and an annual report on the activities of the Group to be submitted to the host country's National Focal Point and the PCU. The Steering Committee will be informed regarding the activities of the Regional Advisory Groups through the PCU. The PCU will assist in assuring relevant communication and data exchanges across the Regional Advisory Groups.

32. Terms of Reference for the Regional Advisory Groups are provided in Annex 1.5.

2.1

2.2

2.3 Funding Arrangements and Responsibilities

2.4

2.5 33. It is recognized that the CEP International Partners in funding umbrella projects must abide by their own rules and regulations governing the provision and administration of project funds.

34. Within these regulations and conditions, the Steering Committee will have the ability to pass comment on project work plans through an annual review. Subsequently, it will be the responsibility of the Project Managers of umbrella projects (in coordination with the CEP Programme Coordinator and in consultation with the NFPs through the National Coordination Structures) to revise the work plans where appropriate.

35. The littoral states contribution to CEP shall include:

- Mobilize sufficient resources to implement all national activities and support all regional actions, specified in CEP National Action Plans and Strategic Action Programme in accordance with programme dates.
- Provide all umbrella projects with appropriate work space.
- Provide the NCS and its staff with the necessary financial support to execute its Terms of Reference; this includes adequate office space, utilities, meeting expenses and administrative support.
- Provide access to all data and information required for implementation of the CEP, in accordance with the rules and procedures of the littoral state.
- Each country shall, as the incumbent Chair of the Steering Committee, host and support the Steering Committee meeting and Regional Advisory Groups meetings, providing venue, logistical support and translation.
- Provide support for their representatives to attend the Steering Committee meetings and the meetings of the Regional Advisory Groups.

II. COMMUNICATIONS MODALITIES

The Programme Coordinator, as Secretary to the CEP, will help maintain clear channels of communication. The Secretary will be responsible for:

- **preparation of materials for Steering Committee meetings;**
- **assisting the Chairman of the Steering Committee in providing inter-sessional updates;**
- **assuring that all parties have the latest versions of the SAP and NCAP reports and CEP implementation progress report and other pertinent documents;**
- **distribution of all major reports from the umbrella project to all parties, for review and comment;**
- **Communication exchange between the RAGs and distribution of RAG minutes and reports to the members of the Steering Committee;**

All correspondence between the NFPs and PCU, should be copied to all Steering Committee Members and the NCSs.

III. INCLUSION OF NEW PROJECTS UNDER CEP UMBRELLA

PROCEDURES FOR DETERMINING THE STATUS OF ASSOCIATED PROJECTS WITHIN THE CASPIAN ENVIRONMENT PROGRAMME

Preamble: The Caspian Environment Programme (CEP) is a body of the five Caspian Littoral States, which formally came into being at the 1998 Ramsar Steering Committee Meeting. In its inception, the CEP was assisted by umbrella project implemented by the four CEP International Partners, European Union, UNDP, UNEP and the World Bank.

It is desirable to attract other international partners to place their projects under the CEP umbrella. The advantages to the CEP include bringing more resources to address the goals of the CEP; minimization of overlap and duplication of project activities; broader Programme participation; involvement of CEP at the project design phase, thereby ensuring better targeting of resources.

Advantages to the new projects of being under the CEP umbrella include resources of the CEP will be made available to the umbrella project; the PCU may be able to help guide the project, and provide resources to assist; formal acceptance under the CEP umbrella will ease the process of obtaining official government approval of the project; duplication and overlap can be minimized; certain governmental activities (licenses, permits, etc.) may be obtained more easily.

In this context, two types of projects will likely be conducted, namely those under the CEP umbrella; those outside the CEP umbrella, but still encouraged to coordinate/communicate with the CEP through the PCU.

This second category may exist for several reasons, i.e. short duration of the Project; limited congruence with the goals and objectives of the CEP.

Full Status: Full status will be approved to those projects whose goals coincide strongly with those of the CEP, and which would benefit close collaboration and cooperation with the CEP. The project would be expected to interact closely with the PCU in matters of coordination, communication, and conduct of the work. Such projects may even have Staff located within the PCU. Their Work Plans should be subject to review by the Steering Committee.

Associated Status: Associated status may be given to projects whose goals only partially coincide with those of the CEP. The benefit to CEP of association is the maintenance of close communication and awareness of the goals and products of the project. The benefit to the project is that it enables the project to benefit from the coordination capacity and products of the CEP, such as contact lists, reports and meeting notes and attend and participate in relevant technical meetings.

Procedure for applying for Status under the CEP: The Form, included in Annex 3 should be filled out by any Project applying for Umbrella or Associated status under the Caspian Environment Programme to be submitted to the PCU, and distributed to the Steering Committee and Regional Advisory Groups for comment. The final decision on acceptance will be made Steering Committee following advice by the PCU. Communication with the applicants will be through the Chairman of the Steering Committee.

IV. INTERNATIONAL PARTNER COORDINATION

The International Partners in supporting the Caspian Environment Programme acknowledge the guidelines provided in the Concept Paper, as approved at Ramsar in 1998, whilst complying with the specific project development and intervention goals set down by their implementing bodies. As a result of this commitment, the International Partners, will seek to develop their projects in close collaboration and, if possible, in parallel with each other, in order to ensure that both overall CEP and specific project goals are met with minimum overlap and maximum targeting.

In this regard, the International Partners agree to:

- **With the assistance of the Programme Coordinator, develop an integrated implementation plan and programme, to be shared with the Steering Committee.**
 - **Hold the following schedule of meetings:**
- **Task managers, once a year, chaired by Programme Coordinator, with meeting notes sent to Steering Committee;**
- **Project managers, three times a year, chaired by Programme Coordinator, meeting notes sent to Steering Committee;**
 - **Submit all public reports in draft form to the Programme Coordinator for review and comment before finalization; this does not include reports intended for internal distribution within the International Partner organizations.**
- **Submit all final public reports to all International Partners and Steering Committee in electronic and paper form for review and comment.**

2.5.1 ANNEX 1: TERMS OF REFERENCE

Annex 1.1 Terms of Reference Caspian Environment Programme 2 STEERING COMMITTEE

Background: The CEP Steering Committee will direct the activities of the CEP. The CEP Steering Committee will also act as the Steering Committee for the GEF/UNDP and the EU/TACIS projects and any other projects that are incorporated under the CEP umbrella (at which time additional donors to the CEP may designate a Steering Committee member from their agency, upon agreement of Steering Committee). The CEP Steering Committee will make decisions based on the consensus principle.

Membership: Initial Steering Committee membership will include a representative from each of the five littoral countries as well as one each from UNDP, EU/TACIS, UNEP, and The World Bank.

Tasks:

- Provide management direction to the Programme;
- Assist in identifying and allocating Programme support for activities consistent with Programme objectives;
 - Annually review and assess the progress of the Programme and its projects;
- Annually review and approve the work plan and comment on the budgets of the Programme and its projects, and provide overall direction on the work plan implementation;
- Provide guidance to the PCU in coordinating and managing the Programme and its projects, and review and provide guidance on Regional Advisory Groups recommendations;
- Create mechanisms for interaction with the Private Sector, including a Trust Fund;
- Coordinate activities of International Partners projects, ensuring maximum targeting of the NCAPs and SAP;
- With the assistance of National Coordinating Structures, review the implementation of the NCAPs and SAP.

3 ANNEX 1.2 TERMS OF REFERENCE

Caspian Environment Programme 4 PROGRAM COORDINATION UNIT (PCU)

Background: The PCU will provide a coordination and management structure for implementation of the Caspian Environment Program in accordance with the rules and procedures and directions provided by the Steering Committee.

Tasks:

- Assist in networking between National Focal Points and National Coordination Structures in all five coastal countries (Azerbaijan, Iran, Kazakhstan, Russian Federation, Turkmenistan) and act as a Secretariat to the CEP Steering Committee;
- Coordinate the activities of the International Partner projects ensuring maximum targeting of the NCAPs and SAP;
- Cooperate and liaise with RAGs;
- With the assistance of the National Coordinating Structures, prepare the reports on implementation of the NCAPs and SAP on a regular basis for the Steering Committee;
- Assistance in capacity building within and among littoral countries;
- Prepare progress reports (administrative and financial) concerning programme activities;
- Maintain the CEP web-site and Caspian information system;
- Disseminate information on policy, economic, environmental, scientific and technical issues related to the programme;
- Coordinate international, multi-lateral and bi-lateral environmental activities in the Caspian, where appropriate; and
- Assist in resource mobilization for the NCAPs and SAP.

Annex 1.3 Terms of Reference Caspian Environment Programme

National Focal Point

Background: National Focal Point is the main contact point for the Caspian Environment Programme in the littoral state. The NFP is a member of the Steering Committee, and represents his/her country's interests in the governance of the CEP. The National Focal Point is tasked with coordinating national activities on the Caspian within CEP, as well as coordinating and being responsible for his/her country's participation in the CEP. The National Focal Point oversees the office and functions of National Coordination Structure. The NFP must hold an existing national governmental post.

Tasks:

- Member of the Steering Committee representing his/her country;
- Performs Intersectoral Coordination with his/her country, including ministries, private sector, NGOs, and other stakeholders;
- Directs and manages the National Coordination Structure;
- Nominates Advisory Group staff;
- Nominates Chairperson of RAG hosted by his/her country;
- Assures participation of national representatives at the Steering Committee meeting and Regional Advisory Group meetings.

Annex 1.4 Terms Of Reference
Caspian Environment Programme
National Coordination Structure

5

6 BACKGROUND: THE NATIONAL COORDINATION STRUCTURE (NCS) IS RESPONSIBLE FOR COORDINATION OF IMPLEMENTATION OF THE NATIONAL CASPIAN ACTION PLAN AND, IN COLLABORATION WITH THE PCU, NATIONAL IMPLEMENTATION OF THE STRATEGIC ACTION PLAN. THE NCS WILL BE A PERMANENT BODY LOCATED EITHER WITHIN THE MINISTRY OR A HOST INSTITUTION DESIGNATED BY THE NFP. THE NFP SHALL OVERSEE AND MANAGE THE OFFICE AND FUNCTIONS OF THE NCS. IT WILL ASSIST THE NFP IN THE EXECUTION OF HIS/HER DUTIES UNDER CEP, INCLUDING INTER-SECTORAL COORDINATION FUNCTION (SEE ARTICLE 22). THE NCS SHALL MAINTAIN CLOSE CONTACT WITH THE PCU AND BE AWARE OF ALL ITS ACTIVITIES.

Tasks:

- Promote and coordinate NCAP implementation;
- Assist in resource mobilization for the NCAP;
- Report annually on NCAP implementation and national SAP implementation against programme timelines and submit report to the Steering Committee and PCU;
- Review and comment on CEP documents prepared by PCU, Advisory Groups and National Focal Points;
- Act as the secretariat to the nationally hosted RAG and monitor and report on its activities to the PCU;
- Assist in coordination of all national inputs into umbrella projects;
- Assist with practical arrangements for international and regional cooperation (e.g. meeting arrangements, logistics, visa applications, etc.);
- Assist in identifying national institutions and experts to undertake different thematic tasks with the umbrella projects and coordinate the different themes at the national level.

2.1 Annex 1.5 Terms of Reference

Caspian Environment Programme 7 REGIONAL ADVISORY GROUPS

Background: The Advisory Groups' purpose is to provide the PCU with the best possible advice and information on topics key to the implementation of the SAP. They will operate on the basis of working parties involving participation of all littoral states and the PCU, together with outside experts when considered necessary. The involvement of NGOs is encouraged. The Advisory Groups will meet at least twice a year and the country NCSs (see Annex 1.4) will act as the Secretariats.

Tasks:

- With the assistance of the PCU and the International Partner support projects, develop where necessary specific implementation plans to operationalise the relevant section of the SAP;
- Work closely with the PCU to ensure regional coordination within the area of competency;
- When and where appropriate, make recommendations to the Steering Committee, on guidance and strategy within area of competency;
- Assist in further development and revision of the TDA and SAP;
- Make recommendations for training within area of competency;
- Liaison closely with National Coordination Structures and PCU;
- Cooperate with other Regional Advisory Groups.

Annex 1.6 Terms of Reference
Caspian Environment Programme
Programme Coordinator

General Job Description: The Programme Coordinator shall be responsible in general for the overall coordination of all aspects of the Caspian Environmental Programme (CEP) and implementation of the SAP in particular. He/she shall liaise directly with the National Focal Points and the representatives of International Partners and other donors in order to coordinate the annual implementation plan for the programme (SAP, and NCAPs).

The implementation plan will provide day-to-day guidance on implementation of the programme and on the integration of the various donors funded initiatives. He/she shall be responsible for all CEP substantive managerial and financial reports. He/she will provide overall administrative supervision of the Programme Coordination Unit, as well as guiding and supervising all external policy relations. He/she will be active in promoting the CEP and mobilizing funds from other donors and the private sector to assist with SAP implementation.

Tasks:

- Prepare an annual implementation plan for CEP on the basis of the SAP, NCAPs and support projects, in close consultation and coordination with the National Focal Points, International Partners and relevant donors. The plan will provide day-to-day implementation guidance on the programme and assist with integration of donor funded initiatives;
- Cooperate closely with NCS and RAGs;
- Coordinate and monitor the implementation of the SAP and, with the assistance of NFPs, RAGs and the NCSs- NCAPs;
- Ensure consistency between the various programme elements and related support project activities;
- Oversee preparation of the regional technical documents, such as protocols to the Framework Convention, relating to environmental governance of the Caspian; and
- Foster and establish links with other related Caspian programmes and, where appropriate, with other Regional Seas programmes.

CASPIAN ENVIRONMENT PROGRAMME
STEERING COMMITTEE
RULES OF PROCEDURE
(ADOPTED AT 1999 BAKU STEERING COMMITTEE MEETING)

8

9 RULE 1. DEFINITIONS

For the purposes of these Rules:

- a) **“Steering Committee”** means the Steering Committee of the Caspian Environment Programme;
- b) **“Programme Coordination Unit”** means the Programme Coordination Unit of the Caspian Environment Programme;
- c) **“Chairperson”** means the Chairperson nominated in accordance with Rule 6;
- d) **“Meeting”** means any meeting of the Steering Committee;
- e) **“Caspian littoral States”** means Azerbaijan, Islamic Republic of Iran, Kazakhstan, Russian Federation and Turkmenistan.

Rule 2. Composition

- 1. The Steering Committee shall be composed of representatives of the Caspian littoral states and of the United Nations Development Programme, United Nations Environment Programme, The World Bank, and European Union TACIS.
- 2. The Steering Committee may decide that other organizations become Members of the Steering Committee.

Rule 3. Meetings

- 1. The Steering Committee holds an ordinary meeting at least once a year, upon convocation by the Chairperson. At each ordinary meeting, the Steering Committee shall decide upon dates and venues of the next ordinary meeting.
- 2. An extraordinary meeting may be convened at any time at the request by any Member of the Steering Committee submitted to the Secretariat, subject to concurrence of the majority of the Steering Committee. The requests for an extraordinary meeting shall be circulated by the Secretariat to all

Members with a deadline for reply. The requesting member shall be informed by the Secretariat about the replies it receives.

3. The ordinary meetings shall be held in each Caspian littoral State in turn in alphabetic order of the Caspian Littoral States in the English language. The venue for extraordinary meeting should be defined by the Chairman of Steering Committee in consultations with Secretariat.

4. The meetings shall be held in private unless the Steering Committee decides otherwise.

Rule 4. Agenda

1. The Secretariat shall in consultation with the Chairperson prepare the provisional agenda for each meeting.

2. The provisional agenda for each ordinary meeting shall include:

- a) items the inclusion of which was decided at a previous meeting;
- b) items proposed by any member;
- c) items proposed by the Chairperson.

3. The provisional agenda for an extraordinary meeting shall consist only of those items proposed for consideration in the request for the holding of the extraordinary meeting.

4. The provisional agenda together with supporting documents shall be circulated in all working languages by the Secretariat to the members at least four weeks before the opening of the meeting.

Rule 5. Representation

The Caspian littoral states shall be normally represented at ministerial level or by senior officials designated by their respective governments.

Rule 6. Chairmanship

1. The chairmanship of the Steering Committee shall be given to each Caspian littoral State, in turn, in alphabetical order, of the Caspian littoral States, in the English language.

2. The Caspian littoral State chairing the Steering Committee shall nominate the Chairperson and a Vice-Chairperson. If the Chairperson finds it necessary to be absent during any meeting or any part thereof and/or is unable to perform his/her functions, the Vice-Chairperson shall take his/her place.

3. The Chairperson shall serve for a period of one year.

4. In addition to exercising the powers and duties conferred upon him/her elsewhere in these rules the powers and duties of the Chairperson shall be:

- a) to convene the ordinary and extraordinary meetings;
- b) to declare the opening and closing of each meeting;

- c) to preside at all meetings;
- d) to ensure observance of these Rules and to decide all questions of order raised at the meetings;
- e) to make such decisions and to give such directions to the Secretariat as will ensure, especially in the interval between the meetings, that the business of the Steering Committee is carried out efficiently and in accordance with its decisions;
- f) to hold responsibility for public awareness, particularly through mass media, in consultations with Secretariat and in accordance with Steering Committee policy.

Rule 7. Secretariat

1. The Programme Coordination Unit shall serve as the Secretariat of the Steering Committee.
2. In addition to exercising the powers and duties conferred upon it elsewhere by the Rules, the Secretariat shall:
 - a) issue the invitations to the meetings;
 - b) prepare the provisional agenda for the meetings in accordance with Rule 4;
 - c) make all necessary arrangements, including secretarial assistance, for the meetings of the Steering Committee and its subsidiary bodies;
 - d) prepare reports of the meetings; and
 - e) perform such other functions and tasks entrusted to it by the Steering Committee.

Rule 8. Conduct of business

1. A majority of the members shall constitute quorum.
2. Proposals shall normally be introduced in writing and submitted to the Secretariat, which shall circulate them to the members.
3. The decisions of any meeting shall be taken by consensus.
4. Between meetings, any proposal for a decision falling within the competence of the Steering Committee shall be circulated in writing by the Secretariat to all members with a specified deadline for reply.
5. A written decision shall be taken by consensus subject that all members reply.

Rule 9. Subsidiary bodies

1. The Steering Committee may establish any subsidiary body if it deems it necessary.
2. The Rules of Procedure of any such Subsidiary body shall be, mutatis mutandis, those of the Steering Committee.

Rule 10. Languages

The working languages of the Steering Committee shall be English and Russian.

Rule 11. Participation of Observers

1. The Steering Committee may invite observers to participate in its meetings.
2. The observers may participate, without the right to participate in decision-making, in the deliberations of the Steering Committee and its subsidiary bodies, if any, upon the invitation of the Chairperson, as the case may be, on question within their competence or scope of activities.
3. Observers may, upon invitation of the Chairperson, submit written statements that shall be circulated by the Secretariat to the members of the Steering Committee or of the subsidiary body concerned.

Rule 12. Amendments and Suspension

Any of these rules may be amended or suspended by the Steering Committee in accordance with Rule 8.

2.2 ANNEX 3: DRAFT APPLICATION FOR DECISION ON

FORMAL STATUS OF NEW PROJECT **UNDER THE UMBRELLA OF THE** **CASPIAN ENVIRONMENT PROGRAM**

STATUS DESIRED:

UMBRELLA STATUS _____

ASSOCIATE STATUS _____

DATE OF APPLICATION: _____

APPLICANT: _____

CONTACT INFORMATION FOR APPLICANT (ADDRESS, PHONE, FAX, EMAIL, ETC.):

FULL PROJECT TITLE: _____

SOURCE OF FUNDS: _____

LEVEL OF FUNDING: _____

PROJECT DESCRIPTION: ATTACH ONE-PAGE DESCRIPTION

PROJECT START DATE: _____

PROJECT DURATION: _____

MODALITY OF INTERACTION WITH THE CEP:

STEERING COMMITTEE: _____

PROGRAMME COORDINATION UNIT: _____

REGIONAL ADVISORY GROUPS: _____

REGIONAL EXPERTS _____

REQUIREMENTS FOR ASSISTANCE FROM THE CEP (PCU, PERMITS, LICENSES,
CUSTOMS, ETC.): _____

Please send this Application to the Programme Coordination Unit:

Programme Coordinator

Email: caspian@caspian.in-baku.com

Annex H: Workplan

EXPECTED OUTPUTS MONITORING ACTIVITIES	Key Activities <i>List all the activities to be undertaken during the year towards stated output</i>	TIMEFRAME												Partner	* Budget
		Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12		
OUTCOME A: A quantitative assessment of habitat loss in the Caspian and its coastal zone and verification of critically threatened areas, and the design and establishment of a standardized monitoring methodology programme for the Caspian Sea in conjunction with the oil and gas industry.	A.1: Undertake a quantitative assessment of the coastal and marine habitats of the Caspian Sea and develop a preliminary Caspian Coastal Sites Inventory, which will include information on environmental sensitivity, prevailing threats (including water level fluctuations), usage history and legal status of the sites.													CNCs PCU UNEP GRID EU BRAG	\$285.000
	A.2: In collaboration with UNEP's World Conservation Monitoring Centre produce quantitative and accurate Environmentally Sensitive areas maps of the Caspian and make available using internet map server technology (ImapS). These maps will form one block of a Caspian biodiversity database and be a component of the Regional Oil Spill Cooperation Plan.													WC MC CNSs INDUSTRY EU BRAG PCU	\$150.000
	A.3: Create an up-to-date Caspian biodiversity database, building on work done in the first GEF support project to CEP													CNSs DIRAG EU PCU	\$100.000
	A.4: Develop guidelines for the protection and rehabilitation of environmental sensitive sites and design a monitoring programme to serve the decision making process provide training to government agencies, NGOs and local communities on execution of the monitoring programme.													CNSs BRAG NGOs PCU	\$ 50.000
	A.5: Provide training to government agencies, NGOs and local communities on execution of the monitoring programme													CNSs BRAG MPPM PCU	\$80.000

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EXPECTED OUTPUTS MONITORING ACTIVITIES	Key Activities <i>List all the activities to be undertaken during the year towards stated output</i>	TIMEFRAME												Partner	* Budget
		Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12		
OUTCOME B: Preliminary implementation of the Caspian Biodiversity Action Plan, focusing on compliance with existing nature protection regulations, implementation of species and habitat protection conservation action plans and targeted public awareness campaigns	B.1: Establishment of an Eco-Net around the Caspian, comprising a coordinated network of conservation practitioners from institutions, NGOs and other stakeholder groups. A structured training programme will be provided and linkages facilitated with international conservation groups													CNCs PCU EU BRAG NGOs	\$120.000
	B.2: Development and implementation of a conservation action plan for the Caspian seal. Assistance will be sought from the private sector in implementation of the plan													CNCs PCU EU BRAG FRAG INDUSTRY IUCN FAO	\$100.000
	B.3: Implementation of a water level fluctuation adaptation management plan for a coastal lagoon of global biodiversity significance selected for a pilot project.													CNCs PCU SRAG BRAG INDUSTRY IUCN PRRAG	\$300.000

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OUTCOME C: <i>Implementation of the CEP invasive species action plan in close coordination with the GEF Globallast Ballast Waters project to address, in particular, the impact of the ctenophore Mnemiopsis on the Caspian ecosystem</i>	C.1: Support and expand the Mnemiopsis monitoring programme on-going in the five Caspian States.													CNCs PCU BRAG FRAG FAO	\$75.000
	C.2: Provide technical assistance in development of a proposal for the introduction of <i>Beroë Ovata</i> and/or other alternatives in the Caspian as biological control agent for <i>Mnemiopsis</i> , and provide support to the I.R. Iran and Russia in undertaking in-vitro behavioural studies of <i>Beroë</i> and an environmental impact assessment report.													IMO PCU BRAG FRAG FAO	\$60.000
	C.3: Review the national legislation on introduction of alien species and make recommendations for the formation of a Caspian Regional body to evaluate and authorize introductions.													PCU CNCs BRAG FRAG	\$80.000
	C.4: In collaboration with the GEF Globallast undertake an assessment of extent of traffic of ship-borne invasive species into and from the Caspian via the River Volga and undertake a pre-feasibility study into ways and means of controlling invasions at the port of entry Astrakhan													IMO PCU	\$300.000

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OUTCOME D: <i>Assessment of the pollution loading of the Caspian and determination of the source, distribution and composition of Persistent Toxic Substances (PTS) which include persistent organic pollutants, oil product and heavy metals, in the riverine waters and sediments and coastal waters, in order to prioritise future interventions directed at amelioration of the environment</i>	D.1: Expand and improve the Tacis land-based activity assessment, including contaminant source assessment in the coastal zone and major river basins (Kura/Arax, Volga up to Volgograd, Sefid Rood, and Ural), including point and non-point sources and quantification of hot spots within the rivers (working with the GPA Secretariat in The Netherlands, the POPs Secretariat in Geneva, and with the regional and national PTS and POPs assessments and enabling activities).													CNCs PCU EU PRAG ERAG GDA	\$200.000
	D.2: Determine the flux of major contaminants from the Volga cascade (in conjunction with the planned UNESCO project) and the Mingechaur reservoir													UNESCO CNS PRAG DRAG PCU	\$100.000
	D.3: As a continuation of work from the first GEF CEP project, further surveys of the riverine waters, sediments and sea waters in the Caspian states, including the coastal sediments off Turkmenistan, assessing the impact of key transboundary contaminants in water and sediments.													CNCs PCU PRAG DRAG INDUSTRY IAEA	\$300.000
	D.4: Assist in the design, promotion and implementation of a cost effective and affordable regional monitoring methodology/programme for key transboundary contaminants and in conjunction with the oil industry develop an environmental rapid assessment methodology/programme using bio-marker techniques, combined with awareness-raising activities.													INDUSTRY PRAG SRAG PCU	\$127.500
OUTCOME E: <i>Regional and National Action Plans</i>	E.1: Draft and agree, in coordination with the national GEF supported enabling POP activities, a regional													CNS PCU	\$25.000

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<i>addressing the activities contributing to transboundary Persistent Toxic Substances (PTS) including persistent organic pollutants, oil products and heavy metal pollution</i>	Action Plan for addressing the activities contributing to transboundary PTS, including Persistent Organic Pollutants hydrocarbons and heavy metal pollution.													PRAG ERAG INDUSTRY UNDPCOs	
	<u>E.2:</u> In two pilot project areas, undertake a survey of usage and stockpiling of pesticides, undertake a stakeholder education programme and demonstrate the use of Integrated Pest Management (coordinated with any national POPs Enabling Activity inventories to avoid duplication).													CNS PCU PRAG SRAG FAO UNDPCOs	\$300.000
	<u>E.3:</u> Undertake a regional public awareness campaign against the use of banned pesticides and other PTS (coordinate with any similar activities planned under country's POPs Enabling Activities).													CNS PCU SRAG FAO	\$102.500
<u>OUTCOME F:</u> A sustainable,	<u>F.1:</u> Supporting establishment of the Programme Coordination Unit in													PCU	\$300.000

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strengthened and regionally owned coordination mechanism for development and management of the Caspian environment, in the form of a newly established CEP Programme Coordination Unit located in the Islamic Republic of Iran, Tehran capable of executing and coordinating regionally based projects; strong country-supported National Coordination Structures; a network of institutions addressing transboundary environmental issues; updated TDA and updated SAP and NCAPs reflecting additional reforms identified from improved TDA/knowledge base.	Islamic Republic of Iran, including provision of additional furniture and computer equipment and assistance with preliminary training needs.														
	E.2: If not already undertaken as part of PDF-B activities, transfer the Caspian Information System and web-site to I.R. Iran. Develop the information system further by developing strong linkages with contributing institutions. Maintain web-site.													PCU DRAG EU	\$102.000
	E.3: Provision of project management training to the staff of the PCU and NCS to enable them to execute regional and national projects.													PCU CSNs EU	\$250.000
	E.4: Support national SAP implementation activities by provision of a SAP implementation coordinator for GEF focal areas and national inter-sectoral coordination activities by formation and support of a coordination body.													CNS PCU	\$150.000
	E.5: Develop an integrated monitoring and evaluation programme for the SAP and the NCAPs, measured against the process, stress reduction and environmental status indicators defined in the SAP (see annex D).													CNS PCU EU	\$50.000
	E.6: Revise the TDA, SAP and NCAPs based on new and improved knowledge base with continued focus on regional transboundary aspects .													CNS PCU EU RAGS	\$ 140,000
	E.7: Fund semi-annual inter-agency consultation meetings in each country; the GEF Project Manager will attend CEP Steering Committee meetings.													EU CNS IPS INDUSTRY NGOs	\$200.000
OUTCOME G: Enhanced and informed stakeholder and intersectoral participation in	G.1: Enhanced participation of media through the development of a CEP media kit for local, national, and international journalists													PCU MEDIA	\$60.000

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<i>the management of the Caspian environment.</i>	outlining mission objectives, projects, and programmes of the CEP. Develop database of media contacts; publication of CEP Bulletin.													SRAG	
	G.2: Strengthening of Caspian-wide NGO community building on the work already undertaken in the region with a view to promote NGOs regional outlook. Encourage NGO representation on the CEP Steering Committee and in CEP activities.													PCU NGOSs INDUSTRY SRAG	\$70.000
	G.3: Continued support of Caspian Coastal Concern Groups, established in the first project, and expand the network. Hold a conference of the Caspian Mayors and establish linkages with EU-Tacis Coastal Sustainable Development project through information exchange, joint activities, reciprocal representation/participation in meetings/activities													SRAGs CNCs EU	\$226.000
	G.4: Creation and implementation of environmental awareness training programme for policy makers.													CNSs PCU SRAG	\$80.000
	G.5: Strengthened private sector participation in the CEP, perhaps through considering the establishment of a CEP private sector advisory body that could include the International Petroleum Industry Environmental Conservation Association (IPIECA), local oil and gas operators, shipping companies and fish processing companies													IPIECA INDUSTRY SRAG	\$50.000
	G.6: Creation and implementation of an evolving public participation plan that is updated frequently according to changing conditions and needs.														\$20.000
OUTCOME H: Preparation of ancillary agreements to the	H.1: provide assistance that may be needed by some countries in the process leading to the ratification of													EU CNSs	\$60.000

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Framework Convention and drafts of the major protocols targeting priority transboundary issues (biodiversity, persistent organic pollutants, invasive species, land-based sources, marine and seabed pollution, and environmental impact assessment, data exchange).	the Framework Convention													UNED PCU	
	H.2: develop ancillary agreements to the Framework Convention, most likely in the form of protocols that will become integral parts of the Convention.													EU CNSs UNED PCU	\$160.000
	H.3: strengthen the capacity of the countries and their institutions to participate fully in the implementation of the Framework Convention, including the functioning of an active secretariat													EU CNSs UNED PCU	\$96.000
	H.4: delivery workshops/seminars reviewing the salient features of selected international environmental agreements and programmes, including the legal obligations of the parties to these conventions and activities expected from countries participating in these programmes.													EU CNSs UNED PCU	\$100.000
	H.5: promote the regional practice of environmental impact assessment and the use of economic instruments contributing to improved environmental management. This activity will include conducting a feasibility study on introduction of fees/levies on sturgeon exports and /or on oil/gas to ensure sustainability of the programme and to generate revenues for environmental projects.													EU CNSs UNED PCU	\$80.000
	H.6: Monitor and report to SCM on status of enforcement of compliance with the legal frameworks developed under the project													UNED PUC	\$20.000
OUTCOME 1: Matched funding of small-scale investments from the NGO, public and private sectors, which target common or	L1: establishment and training of the new MSGP team in Iran													PCU CNS EU	\$30.000

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<i>transboundary Caspian issues identified as priorities in the TDA/NCAPs/SAP and will result in tangible environmental improvements. This activity will be a continuation of the Matched Small Grants Programme currently being executed by the World Bank as part of the first GEF support project to the CEP.</i>														WB	
	L2: development of application, evaluation, implementation and monitoring documents/procedures by the new MSGP team for approval by UNOPS, in consultation with the World Bank whenever required													PCU CNS EU WB	\$20.000
	L3: grants awareness campaign conducted in the coastal region/applications sought for grants; applications for 1 st grant round received													PCU CNS	\$10.000
	L4: Evaluation meeting conducted and grants disbursed													10 PCU CNS	\$376.000
	L5: grant projects executed, monitored and reported on Activities 3, 4 and 5 are repeated for the 2 nd grant round grant projects executed, monitored and reported on. Activities 3, 4 and 5 are repeated for the 2 nd grant round													EU PCU CNS	\$ 75,000
MONITORING &	Steering Committees														
	Rags Meetings														

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EVALUATION	Evaluation														
	TRIS														
	Inter-agency coordination														
	Financial auditing														
*Budp															

*Included in outcomes budgets.

ABBREVIATIONS	
BRAG	Biodiversity Regional Advisors Group
CNS	Caspian National Structure
DIRAG	Data & Information Regional Advisors Group
ERAG	Emergency Regional Advisors Group
EU	EU Funded Projects
FRAG	Fishers Regional Advisors Group
PCU	Programe Coordination Unit
PRAG	Pollution Regional Advisors Group
SRAG	Stakeholders Regional Advisors Group
UNDPCO	UNDP Country Offices
WB	Work Bank
WCMC	Worls Conservation Monitoring Centre

*Budget:Does not include 8% AOS (UNOPS)