

CASM Small Grants Scheme

First Round of Proposals – April 15, 2002

A – Guidelines and Criteria for Project Proposals

B – Project Proposal Form

Project proposals must be received by the CASM Secretariat by April 15, 2002, through fax (+1-202-522 0396) or e-mail (jdavidson@worldbank.org or gwalser@worldbank.org).

Questions or clarification requests can be addressed to the CASM Secretariat.

A - Guidelines for Project Proposals

1. Goal of the Small Grants Scheme

The CASM Small Grants Scheme is an operative tool for direct intervention of CASM in artisanal small-scale mining communities and for benefiting the communities and their members. The goals of small projects financed through the scheme must tie in with the goals of CASM.

2. General considerations on Small Grants

Artisanal and Small-Scale Mining Stakeholders (including non-mining groups) are invited to present proposals for small projects to CASM. Projects must contribute to the goal and purpose of CASM, and should fulfill the following requirements:

- Small projects should respond to a clear demand, expressed by applicants' or the benefiting community's readiness to contribute to the project in cash or kind (infrastructure, manpower, etc.), according to their abilities.
- Small projects should focus on the development, dissemination and/or implementation of good practice rather than investigation or baseline studies, and address any of the critical areas of concern, such as, environmental management and remediation, community and occupational health and safety, dispute resolution, economic integration and diversification, local governance and organization for production, legal marketing and fair trading of minerals. It is assumed, that applicants are fully familiar with the situation and needs of the ASM target groups. Whenever a small project contemplates an investigation component, the results of the investigation should have an immediate and direct positive impact on the livelihoods of the investigated community/ies.
- The Small Grants Scheme will not finance any capital equipment or physical infrastructure. These items should either be included in the applicants' contribution or obtained from other sources.
- The Small Grants Scheme will not provide working capital for any type of mining or ore processing activity.
- The Small Grants Scheme is non-reimbursable. Credit proposals are excluded.

3. Stakeholder Participation in Small Projects

In principle, the CASM Small Grants Scheme is open to any stakeholder willing to actively contribute to improved livelihood conditions of artisanal mining communities and affected groups. In particular CASM seeks project proposals from:

- Communities, cooperatives, associations and organizations involved in - or affected by small-scale mining
- Local, regional or national entities dedicated to sustainable development and sustainable livelihoods,
- NGOs,
- Individuals and Professionals,
- Public and private academic and scientific institutions,
- Governmental Organizations,
- Consortia of the above, dedicated to sustainable development, community strengthening, improved livelihoods and artisanal small-scale mining.

Stakeholders with direct or indirect dependency on institutions and professionals involved in CASM are excluded from presenting or executing CASM small projects.

4. CASM Contribution to Small projects

CASM contributions to small projects are limited to up to US \$ 5 000 per project.

5. Duration of Small projects

The duration of Small projects (from approval to final report) should not be greater than 6 months and should allow a completion within the current phase of CASM.

6. Format for Proposing Small projects

The format of presentation of proposals for Small projects may vary according to characteristics, size and scope of the project, as well as according to the level of experience of the applicant. The description of the proposal must provide a clear vision of the contents, goals and strategy of the project (what will be done? what will be achieved? how will it be done?), and allow monitoring and evaluation by CASM and/or its collaborating partners.

Project proposals should be submitted to the CASM Secretariat.

7. Procedure for approval of Small projects

Project proposals submitted to CASM will undergo a 3-stage evaluation process:

- 1.- The CASM Secretariat will evaluate the alignment of the project goal with the goal and purpose of CASM. If the proposal fits into the CASM framework, the proposal will be forwarded to one or two Expert Advisory Group (EAG) Members for review, as well as to members of the Sponsors Group for their information and comment. Whenever possible the EAG reviewer(s) should not be engaged in activities associated with the proponents.
- 2.- EAG members will review the proposal and recommend whether or not the proposal is suitable for taking forward on technical grounds (sustainability, replicability, feasibility, impact, opportunity of the moment, conflict of interests, etc.) to the CASM Secretariat. The Secretariat will also receive and consider the comments of Sponsor Group members.

3.- CASM Secretariat, assisted by one or more of the EAG, will determine whether and when to fund projects in the light of available funds.

According to the result of the evaluation process, the project will be approved, returned for minor modifications or rejected. This will be confirmed by the sponsor group on a no objection basis. An explanation of the decision shall be provided to the applicant by the secretariat.

8. Contract and financing

Projects will be financed from the CASM core fund administered by the secretariat. The secretariat will enter into appropriate agreements with the proponents on a case-by-case basis.

9. Advice, monitoring and evaluation of small projects

For each small project, one EAG member will be assigned to advise to the executing counterpart on a voluntary basis. If possible, the EAG member should work or reside in the same country. The degree of active participation of the assigned EAG member in advising the project is at the discretion of the EAG member, as this activity is considered exclusively "ad honorem".

Project reports according to the terms of the contract shall be submitted to CASM Secretariat. A copy of all reports shall be submitted to the assigned EAG member. The format of project reports may vary according to characteristics, size and scope of the project, as well as according to the level of experience of the counterpart.

Upon finalization of the project, the advising EAG member shall provide a short review of the project report to the CASM Secretariat. The counterpart is encouraged to evaluate the EAG member's commitment and contribution.

CASM or other parties assigned by CASM may - at any moment - perform official or informative visits of the project. The counterpart shall provide any available information (operational or financial) on request of the visitor(s). These visits, apart from providing first-hand impression about the project progress, have the purpose to exchange experiences and to deepen relationships.

10. Intellectual property

The intellectual property of products, achievements and results of the small projects are shared property of CASM and the Counterpart. Each party will grant free access and free use of the information or technology generated to third parties, with the only restriction of the obligation of mentioning the intellectual proprietors ("public domain").

B – CASM Small Grants – Project Proposal Form

The proposal document does not need to be long (2 to 5 pages).
The proposal can be written in English, Spanish, French or Portuguese.

1. Main theme of proposed activity (e.g. environment, community, health and safety etc.)
2. Country/Region/Locality:
3. Organization:
4. Name(s) of proponents:
5. Address, incl. telephone, fax and e-mail:
6. Description (maximum 2 pages) :
7. What will be the result(s) or product(s) of the activity ?
8. Who will benefit from the activity?
9. Who will be responsible to carry out the activity?
10. How long do you need to complete the activity (max. 6 months)?
11. How much money do you need to carry out the activity? Break it down into the following:
 - a. People
 - b. Travel expenses
 - c. Communication
 - d. Materials/supplies
 - e. Other
12. Explain how the proposed activity corresponds to the CASM Small Grants goals and criteria (see guidelines above and About CASM web page (<http://www.casmsite.org/>)).

Please, send by fax or e-mail until April 15, 2002, to the CASM secretariat
Fax: +1-202-522 0396
E-mail: jdavidson@worldbank.org and/or gwalsen@worldbank.org