

Special Programme Trust Fund

Project Application Guidelines

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What is the Special Programme?

The Special Programme aims to support developing countries and countries with economies in transition in strengthening institutional capacity for the implementation of the Basel, Rotterdam and Stockholm Conventions, the Minamata Convention and SAICM.

The first session of the United Nations Environment Assembly (UNEA-1) in June 2014 adopted in its resolution 1/5 Annex II the [Terms of Reference for the Special Programme](#)¹ to support institutional strengthening at the national level for implementation of the Basel, Rotterdam and Stockholm conventions, the Minamata Convention and the Strategic Approach to International Chemicals Management.

As stated in Annex I of Resolution 1/5 of UNEA-1, the three components of an integrated approach to financing sound management of chemicals and waste (adopted by UN Environment (UNEP) Governing Council in its decision 27/12 in 2013) are, mainstreaming in national budgets and development assistance plans, industry involvement including designating the responsibilities of industry and the wider business community and dedicated external finance such as support from the Global Environment Facility (GEF) and by the UNEA-1 established special programme, are mutually reinforcing and are all crucial for the financing of the sound management of chemicals and waste at all levels.

The expected outcome of the activities supported by the Special Programme is that strengthened national institutions in the area of chemicals and waste would have the capacity to develop and monitor the implementation of national policies, strategies, programmes and legislation for the sound management of chemicals and wastes, to promote the adoption, monitoring and enforcement of legislation and regulatory frameworks and to promote the mainstreaming of the sound management of chemicals and wastes into national development plans, national budgets, policies, legislation and implementation frameworks at all levels.

Global scene setting

Strengthened sound management of chemicals and wastes in the long term is essential for sustainable development. The 2030 Agenda for Sustainable Development and its 17 Sustainable Development Goals (SDGs) were adopted by the General Assembly of the United Nations in September 2015. The integration of sound management of chemicals and waste² in the 2030 Agenda for Sustainable Development is a major achievement. By fundamentally linking chemicals and waste management with the economic, environmental and social development agenda, it created a new impetus for the implementation of international chemicals and waste agreements, i.e. multilateral environmental agreements (MEAs) on chemicals and waste, notably the Basel, Rotterdam and Stockholm Conventions, the Montreal Protocol and the Minamata Convention, as well as other relevant international commitments and policy frameworks, including the Strategic Approach to International Chemicals Management (SAICM).

¹ Annex 1 (UNEA-1 Resolution 1/5, Annex II)

² Here understood as hazardous waste. Nuclear waste, biological waste, sanitation waste etc. are not included

Objective and Strategic Priorities of the Special Programme

The objective of the Special Programme is to support country-driven institutional strengthening at the national level, in the context of an integrated approach to address the financing of the sound management of chemicals and wastes, taking into account the national development strategies, plans and priorities for each country, to increase sustainable public institutional capacity for the sound management of chemicals and wastes throughout their life cycle. Institutional strengthening under the Special Programme will facilitate and enable the implementation of the Basel, Rotterdam and Stockholm conventions, the Minamata Convention and the Strategic Approach to International Chemicals Management (hereinafter referred to as “the Instruments”).

For the purposes of the Special Programme, institutional strengthening is defined as enhancing the sustainable institutional capacity of Governments to develop, adopt, monitor and enforce policy, legislation and regulation, as well as to gain access to financial and other resources for effective frameworks for the implementation of the Instruments for the sound management of chemicals and wastes throughout their life cycle.

Expected outcome of the Special Programme is to strengthen national institutions' capacities to do the following:

- (a) Develop and monitor the implementation of national policies, strategies, programmes and legislation for the sound management of chemicals and waste;
- (b) Promote the adoption, monitoring and enforcement of legislation and regulatory frameworks for the sound management of chemicals and waste;
- (c) Promote the mainstreaming of the sound management of chemicals and waste into national development plans, national budgets, policies, legislation and implementation frameworks at all levels, including addressing gaps and avoiding duplication;
- (d) Work in a multisectoral, effective, efficient, transparent, accountable and sustainable manner in the long term;
- (e) Facilitate multisectoral and multi-stakeholder cooperation and coordination at the national level;
- (f) Promote private sector responsibility, accountability and involvement;
- (g) Promote the effective implementation of the Basel, Rotterdam and Stockholm conventions, the Minamata Convention and the Strategic Approach;
- (h) Promote cooperative and coordinated implementation of the Instruments at the national level.

The Special Programme will be administered by UN Environment who will provide the Special Programme trust fund and a secretariat to deliver administrative support to the Programme.

Who can apply to the trust fund?

Governments

Developing countries, taking into account the special needs of least developed countries and small island developing States, and countries with economies in transition are eligible for support.

The Governments here refer to the national government department in charge of chemicals and waste agenda at the national level. The affiliations of governments and local governments are not eligible.

As requested in Form I, the Official Focal Point, which should be a single one notified to the secretariat, is required to endorse the application on behalf of the Government (see page xx of Form I) before the Government applies.

What measures and activities can be funded?

Measures and activities falling within the objective of the Special Programme (paragraph 1 of the Terms of Reference). [Section IV](#)³ of the Terms of Reference of the Special Programme provides the scope of the Special Programme. The terms of reference stipulate that the Special Programme should avoid duplication and proliferation of funding mechanisms and associated administration, and should fund activities that fall outside the mandate of the GEF.

What amount of support is available?

The Special Programme Trust Fund may provide support from US\$ 50,000 to US\$ 250,000 per project proposal, including possible administration fees.

In exceptional circumstances, an applicant country may request up to a maximum of US\$500,000, in cases where adequate justification and evidence is given that the project proposed will support a comprehensive, overall country approach to institutional strengthening at the national level for the sound management of chemicals and waste, which addresses all relevant sectors and institutional actors, and taking into account well as the amounts of funds available in the Trust Fund.

What is the maximum duration of a project?

Projects should be fully completed within three years.

³ Annex I, page ii

When are the application deadlines?

The 2nd round of applications has a mandatory deadline of **20 June 2017**.

Applicants are encouraged to submit their application packages as early as possible in advance of the deadline in order for the secretariat to review them for completeness and eligibility, and provide guidance.

To meet the deadline, advance copies of applications signed by the applicant can be sent to the secretariat by e-mail, and original should be submitted to the secretariat by post.

How does one apply?

Step 1: Prepare the application package

The application package consists of the following documents:

1. Project Application Form IA (Project Proposal Summary)
2. Project Application Form IB and Annex I (Project Description and Background)
3. Project Application Form II – Project Budget

I. Project Application Form IA (Project Proposal Summary)

Complete and sign the application form.

The application form is available on the Special Programme website:

<http://web.unep.org/chemicalsandwaste/special-programme>

It can be completed electronically (with a scanned signature) but **must also be printed** so that it can be signed and included with your application package. The following notes provide guidance on filling out the form.

I. Project Application Form IA (Project Proposal Summary)

The project summary should include:

1.1 The title of the project

1.2 Duration: Indicate the proposed project duration expressed in number on months (noting that the maximum duration for a project is 36 months)

1.3 Country Status: Please indicate the status of your country containing the information as follows:

- Developing countries (indicating whether the applicant is a least developed country or a small island developing State), and countries with economies in transition;
- Party to one of the relevant conventions.
- Demonstrated that it is in the process of preparing for ratification of any one of the conventions.

1.4 Project Executive Summary: Present a brief outline of project and its objectives (approximately 250 words).

1.5 Proposed Measures: List concretely and clearly the measures which are proposed for financial support in line with the objective of the Special Programme (paragraph 1 of the terms of reference)

1.6 Associated domestic measures: List concretely the associated domestic measures to be taken to ensure that the national institutional capacity by the Special Programme is sustainable in the long term. For example:

- Administrative and institutional structures put in place for the sound management of chemicals and waste;
- Nomination of permanent staff in relevant ministries and authorities responsible for the sound management of chemicals and waste;
- Related budgetary allocations for structures, personnel, etc.;
- Regulatory frameworks in place that will be implemented by the responsible structures and institutions.

Box 1: Description of how one country identifies the associate domestic measures to be taken in their county in their project proposal

Paragraph 8 of the terms of reference of the Special Programme indicates that applications will include identification of the associate domestic measures to be taken to ensure that the national institutional capacity supported by the Special Programme is sustainable in the long term.

The main objective of this project is to strengthen the Sound Management of Chemicals and Waste by generating new capacity in the National Environment Authority. To achieve this, a specialized Directorate for Chemicals and Waste Management will be created which will have the personnel and infrastructure necessary to meet the legal and technical

commitments arising from existing Multilateral Environmental Agreements and those that may be established in the future.

Existing civil servants working on the implementation of the Conventions are not grouped in a coordinated way. To ensure sustainability of the project outcomes, human and technical capacity will be reorganized and grouped with this new arrangement. Gaps and needs of capacity building will be assessed and a training program will be implemented to strengthen the National Environment Authority in order to enhance their work on the various activities established in the MEAs. This project will be executed by the Secretariat of XX which has the responsibility to address all matters concerning the obligations arising from MEAs on chemicals and waste. Actions have been designed and will be developed taking into account UNEP's LIRA-Guidance and the IOMC toolbox. Once these outcomes are fulfilled, the new Directorate for the Chemicals and Waste Management will guarantee the sustainability of the installed capacity, new inter-sectorial coordination mechanisms will have been established and actions regarding the implementation of the Conventions will have been enhanced.

1.7 Summary of Overall Country Approach to Institutional Strengthening: describe how your country is strengthening or intends to strengthen its institutional capacity for the sound management of chemicals and waste in all relevant sectors (e.g. environment; health; agriculture; customs; labour, etc.), including decisions and measures taken or foreseen (paragraph 18 of the terms of reference). A clear description and sound evidence of such an overall country approach which is comprehensive regarding the country's institutional capacity for the sound management of chemicals and waste is an absolute requirement for any country requesting an exceptional allocation which exceeds the maximum limit of US\$ 250,000.

1.8 Budget Summary: List the project budget for each proposed measure.

1.9 Funding Summary: Indicate the amount requested from the Special Programme Trust Fund as well as the value of the contribution from the applicant country. Indicate also confirmed and/or requested contributions from other sources and the total budget of the project. Please provide a signed letter confirming the beneficiary contribution⁴ together with the rest of the application package.

1.10 Additional information regarding all funding sources: Indicate all other related contributions from the Government as well as funding received and/or requested at the national and international levels, including from intergovernmental organizations, foundations and the private sector. List specifically in Form IB - Annex I all related projects that may have been funded by or applied to for funding from the GEF, and other sources.

Furthermore, please indicate if the project has already been submitted in a previous round of applications to the Special Programme Trust Fund and if it received funding. ***Stipulate whether the funds from other sources have been confirmed and, if not whether the project's viability is dependent on confirmation of the other funding.*** If contributions of

⁴ As stated in the Terms of Reference of the Special Programme ([Annex I](#), Section IX, 21), the beneficiary contribution must be equal to the value of at least 25 per cent of the total allocation.

cash or in kind support have been confirmed, please note the amounts or value of in-kind support. ***Evidence of government contributions or other funding needs to be included in the application package, for example in the form of written pledges or deposits received.***

2. Contact Details

2.1 Applicant: Provide details of the responsible officer and organization/institution submitting the support request.

2.2 Project Implementing Organization/Institution: If relevant, provide details of the responsible officer and organization/institution for the implementation of the project⁵. Correct contact details are essential for efficient follow-up. If it is the same as the applicant, please state clearly in this section that they are the same.

Please note that if the project implementing organization/institution is not a Government or UN Agency then a due diligence will be carried out in accordance with UN Environment's Partnership Policy, at the time of developing the legal agreement with the entity. Adequate time needs to be factored into the project implementation period for this process.

2.3 Project Partners: Provide details of the intergovernmental organization(s), or governmental entity(ies), or non-governmental organization(s), regional centres established under the Instruments, private sector organization(s), academic or research organization(s) acting in partnership with the implementing organization/institution to prepare the project proposal and/or implement the project. Please provide letters of support from all project partners and submit them together with the rest of the application package.

2.4 Independent monitoring and evaluation of the project: Provide contact details for the person who will undertake the independent monitoring and evaluation of the project. The independent monitoring and evaluation should be undertaken by a person or an organisation, which has no ties to the project development and implementation⁶ (see also the separate guidelines for independent monitoring and evaluation and on page 13 "Evaluation Plan" of section "III – Project Description"). The budget for monitoring, evaluation and audit shall all together have a maximum total of US\$ 15,000.

2.5 Financial Audit: In the case of projects without an intergovernmental organization acting as executing agency, applicants are required to identify an external auditing firm or entity. The auditor would be required to make an audit report of project expenditures after completion of the project.

⁵ It is understood that the applicant's organisation, agency or ministry should be the implementing agency of the project since it will have the overall responsibility and will be the main coordinator of the project. Applicants may however choose to transfer this responsibility to another organisation, agency or ministry. In compliance with United Nations financial rules, profit-making companies cannot serve as implementing (or executing) agencies.

⁶ Applicants may wish to identify, for example, an academic institution, a research centre, an independent consultant, or a non-governmental organization

3. Application package checklist

Please review the list and check all relevant boxes before sending the application. Applicants are invited to note that budget annexes proof of funding and letters of support are mandatory requirements of the application and without which applications will be considered incomplete.

4. Endorsement and Certification

4.1 “Official focal point” sub-section: All Government applications must be endorsed by an Official focal point for the Special Programme where the project will be implemented and activities will be undertaken. The Official focal point for the Special Programme should coordinate at the national level and in the case of several submissions make sure that the different applications in no way duplicate work. It is preferred that the Official focal point for the Special Programme submits only one application from the country⁷.

4.2 “Applicant Certification” sub-section: Please sign, and date the application form before sending it **via post** to the Special Programme secretariat. **Signed** advance copies of the application should be submitted by email to meet the application deadline. However, ***the application will not be considered finalised until receipt of the signed original copy.***

II. Project Application Form IB (Project Description)

This document is an essential part of the application package. It needs to be developed by the project proponent and must include the following elements:

5. Project Description

5.1 Detailed Description of Each Proposed Measure (see Form IA Section 1.5): Explain concretely, in detail and in a clearly structured manner each one of the measures that are proposed to be supported and how it is intended to ensure sustainability to ensure that the measures and activities proposed will lead to long term institutional capacity.

The proposed measures would be expected to lead to strengthened national institutions in line with the expected outcomes on institutional strengthening on the Special Programme as set out in paragraph 3 of the terms of reference of the Special Programme. The proposed measures may encompass the activities listed in paragraph 5 of the Terms of Reference (Annex I)⁸. In addition, all stakeholders, including organizations, Ministries or Departments involved under each proposed measures must be clearly identified. Define the role and responsibilities of national and international implementing partners. Where appropriate, the multi-stakeholders and multi-sectoral aspects of the project implementation should be clearly

⁷ The Official focal point should coordinate different applicants and try to make different units work together and submit a common proposal rather than submitting separate proposals.

⁸ Indicate other chemicals and waste management projects undertaken in the past, currently being implemented or planned in the future. If any, please provide details on the timeframe, funding and framework of such projects, as well as details on the links with the proposed Special Programme project.

identified. The relevant knowledge, experiences or competency possessed by different actors in order to deliver the project successfully should be stressed.

In explaining the proposed measures, please make sure that it is clear how these measures will be sustainable in order to ensure long term institutional capacity at the national level. For this, it is important to take into account and link with the information provided in separate sections on overall country approach to institutional strengthening and associated domestic measures.

This section should include only directly relevant material.

Box 2: Project description derived from one of the approved projects submitted during the 1st pilot round of the Special Programme.

5	Project Description	
5.1	DETAILED DESCRIPTION OF EACH PROPOSED MEASURE (REF: SECTION 1.5 ABOVE)	<p>This project aim to establish a structure at the national level to guarantee the sustainable capacity of the government for the sound management of chemicals and waste by working in the following areas:</p> <ul style="list-style-type: none"> - Development of a new directorate bringing together all public servants who work in the various international agreements related to the chemicals and waste management in order to enhance the implementation of the three Conventions. - Provide the means to identify and address the lack of specific information and/or capacity in several areas and topics. - Generation of new mechanisms to systematize information in order to obtain the necessary data to submit national reports to the conventions and compliance with the obligations under them. - Development of new cost effective and efficient mechanisms to further develop and streamline cooperation and coordination for interdisciplinary and interjurisdictional exchange of information that will allow the active participation of all relevant partners and stakeholders. - Establish the necessary framework to gain access to financial and other resources for the implementation of instruments available for the Parties to the Conventions. - Inclusion of new technologies, social networks and other elements that will strengthen links with non-governmental organizations, general public and other stakeholders. - Identification and development of national capacities for the management of new emerging issues such as electric equipment and electronic waste. <p>Once fulfilled, this project will allow, not only to improve the installed capacity to meet the obligations already established, but also to address new issues and challenges that may arise in the future.</p> <p>To address the new challenges and to meet the objectives of sustainable development, it is necessary to strengthen national capacities taking into account the expertise of people who have historically participated in the management of chemicals and waste but also including new skills and knowledge. To achieve this, the project will build on knowledge of experts and new capacity building activities to create opportunities for horizontal transfer of knowledge in order to incorporate new professionals. This will</p>

include training in other important areas such as Best Available Technologies and Best Environmental Practices, project management, sustainability and hazardous waste management. One of the project's outcomes will be dedicated to the constitution of a specialized area and capacity building of the personnel in it. The project will develop a training program according to the needs identified and will be implemented during the term of the project. Training will be held not only for project staff but also for civil servants working within the Special Programme objectives.

5.2 Detailed Description of the Associated Domestic Measures (see Form IA Section 1.6):

Provide detailed description of the associated domestic measures as listed in Form IA Section 1.6, and demonstrate clearly how these measures ensure that the national institutional capacity by the Special Programme is sustainable in the long term. For example:

- Administrative and institutional structures put in place for the sound management of chemicals and waste;
- Nomination of permanent staff in relevant ministries and authorities responsible for the sound management of chemicals and waste;
- Related budgetary allocations for structures, personnel, etc.;
- Regulatory frameworks in place that will be implemented by the responsible structures and institutions.

Box 3: Description of how one country identifies the associate domestic measures to be taken in their county in their project proposal.

Paragraph 8 of the terms of reference of the Special Programme indicates that applications will include identification of the associate domestic measures to be taken to ensure that the national institutional capacity supported by the Special Programme is sustainable in the long term.

The main objective of this project is to strengthen the Sound Management of Chemicals and Waste by generating new capacity in the National Environment Authority. To achieve this, a specialized Directorate for Chemicals and Waste Management will be created which will have the personnel and infrastructure necessary to meet the legal and technical commitments arising from existing Multilateral Environmental Agreements and those that may be established in the future.

Existing civil servants working on the implementation of the Conventions are not grouped in a coordinated way. To ensure sustainability of the project outcomes, human and technical capacity will be reorganized and grouped with this new arrangement. Gaps and needs of capacity building will be assessed and a training program will be implemented to strengthen the National Environment Authority in order to enhance their work on the various activities established in the MEAs. This project will be executed by the Secretariat of XX which has the responsibility to address all matters concerning the obligations arising from MEAs on chemicals and waste. Actions have been designed and will be developed taking into account UNEP's LIRA-Guidance and the IOMC toolbox. Once these outcomes are

fulfilled, the new Directorate for the Chemicals and Waste Management will guarantee the sustainability of the installed capacity, new inter-sectorial coordination mechanisms will have been established and actions regarding the implementation of the Conventions will have been enhanced.

5.3 Detailed Information on Project Management and Implementation: Indicate the organization/institution responsible for project management and how the project is managed.

Show the project implementation structure through an organizational diagram. Describe how decisions will be made and the composition, roles and relationship, as appropriate of:

- Project manager and the Government authority;
- Lines of responsibility of project team members;
- External partner agencies, including outlining each of the agencies responsibility in the project;
- The Project Steering Committee, including specificities on the roles and responsibilities of the partners in the decision making process;
- Indicate how the project will ensure both accountability of, and coordination between different relevant national authorities and partners.

5.4 Project Description (Log Frame):

5.4.1 Explain how each proposed measure will address institutional strengthening at the national level.

5.4.2 Explain how the associated domestic measures will address the sustainability of institutional strengthening at the national level supported by the project.

5.4.3 Develop an overall project outcome. Examples of project outcome “National Steering Committee is established to support institutional strengthening in country xx”, “new legislation or regulation is adopted” or “staff of responsible authorities trained”.

List the indicators for each project activity and related outcome. Indicate the number of areas / partners / specified activities / persons / progress / percentage / reports /etc. and set a baseline. If you have for example, 1 legislation already adopted, 1 will be set as a baseline for that indicator. If the proposed measure is to adopt an additional legislation, then the target would be 2. If the target is to increase e.g. the number of areas that are committed and that will collaborate with the newly established mechanisms, the target could be set from 4 and increasing.

Specify the means of verification of the indicators and the targets. How will the project verify that the outcomes and targets are met? Is it by reports, different other documentation, records, contracts, evaluations, etc.

List the project milestones for the overall project outcome and indicate the reporting period for each milestone. Project milestones could be e.g. that a Steering Committee has been established or that something has been published, or that a group of people have participated in certain activities. The reporting period should be indicated on an annual basis, e.g. Month 12/Year 2.

Do the same process as explained above for all project activity/outputs in relation to each project outcome.

5.5 Project Assumptions: List the factors or conditions that are likely to affect the successful achievement of project objectives (e.g. institutional, financial, administrative, technical, political) and the mitigation measure that could be taken to reduce risks. Indicate how the project managers would ensure successful implementation (strategies).

5.6 Project Gender Considerations/Mainstreaming: Indicate how the project takes into account gender considerations/mainstreaming. For more guidance on how to integrate gender considerations/mainstreaming into project proposals please see the box below.

Box 4: Guidance on gender considerations/mainstreaming

In relation to the involvement of women and vulnerable groups, UNDP's guidance on Chemicals and Gender¹ recommends two overarching interventions to guide gender mainstreaming in chemical management:

- a) Promote a multi-stakeholder approach to ensure the participation of women and vulnerable populations in policy development and decision-making processes.
- b) Raise awareness of the linkages between chemical exposures, the effects on human health and the environment, and gender differences in risks and impact

Attention should therefore be paid to gender issues in the project in the Special Programme on the basis of two perspectives. One is in institutional development and the other is differences in risks when women and men are exposed to chemicals and waste.

With regard to institutional development, the systems should as far as possible be designed so that an even general distribution and equality at the workplace can be attained. In many countries there is a relatively large group of women who have relevant training to work in the area and there are good prospects for a good balance between the institutions. However, this does not apply in all countries, and attention must therefore be paid to these issues.

Exposure to chemicals affects both women and men. Men's exposure to chemicals has traditionally received greater attention, and research has been focused to a greater extent on men and harm that can occur in them. Despite deficiencies in the research, there is a great deal of evidence to suggest that women in poor countries are exposed to hazardous chemicals to an extent that may be just as great as in the case of men. This applies in the home, in agriculture and to an increasing extent in industrial work and in work linked to recovery of metals from electronics, for example. Women and men also exhibit differing sensitivity to chemicals due to physiological differences. It is particularly serious that children and pregnant women are exposed to hazardous chemicals, as fetuses and children are in many cases more prone to the effects of chemicals than adults and exposure at an early age, which may cause lasting damage for example to the nervous system and reproductive capacity.

¹ UNDP 2011, Gender Mainstreaming Guidance Series: Chemicals and gender

5.7 Evaluation Plan and Audit: The evaluation plan should indicate the arrangements for **the independent monitoring and evaluation** on project implementation⁹, set the different steps for monitoring and the final evaluation. Upon completion of the project, a final project assessment should be provided.¹⁰ For projects involving no intergovernmental organization as an executing agency, a final financial audit will also be required. These arrangements should not represent a high percentage of the budget of the project nor be a complex mechanism due to the scale of the projects. A person and/or institution should be identified in application form I. The evaluation plan must be based on the project work plan and objectives identified in the project description. Project activities and progress should be monitored and outcomes should be reported. The monitoring and evaluation should also include a number of indicators or targets. Such indicators may include:

- (i) Performance of the project against its defined objectives;
- (ii) Performance against the Special Programme objective and strategic priorities;
- (iii) Capacity of the project to target its beneficiaries;
- (iv) Stakeholders and sectoral involvement in the project implementation;
- (v) Sustainability of the project and follow-up;
- (vi) The contribution of the project to the national chemicals and waste management framework.

5.8 Project workplan: Please present a project workplan using the table included in the Form. The work plan is an important tool for formulating and implementing a project. From the work plan, it is possible to assess the proposed implementation of the project, as follows:

- Are the time horizons realistic (for approval, negotiation with cooperating agencies or supporting organizations, delivery of outputs and administration)?
- Is the work load reasonably balanced?
- Are any activities likely to be held up by the timing of other activities?

A well-prepared work plan is particularly useful for monitoring and evaluation. **The work plan is used in the progress report** as the reference point for assessing the project's progress. As well as being an indicator of progress, the work plan also highlights difficulties likely to be encountered in project implementation, identifies backlogs or bottlenecks, and facilitates advance planning to resolve the anticipated problems.

III. Annex I of "Form IB Project Description": Additional Project Information

6.1 Information about GEF related projects

6.2 Description of projects on institutional strengthening on chemicals and waste management undertaken in the past, currently being implemented or planned in the future to be implemented in the country(ies) and/or region

Include a description of projects on institutional strengthening on chemicals and waste management undertaken in the past, currently being implemented or planned in the future to be implemented in the country(ies) and/or region. If any, please complete the table for

⁹ Proponents are reminded that the independent monitoring and evaluation on project implementation to the Executive Board of the Special Programme will be the responsibility of the project proponent.

¹⁰ For projects of less than 12 months, only one final report would be required.

previous projects. Please provide details on the timeframe, funding and framework of such projects, as well as details on the links with the proposed Special Programme project.

6.3 Other relevant information about the project according to your country's needs

Please also provide any additional relevant information about the project according to your country's needs.

- (i) Sustainability of the project outcome(s);
- (ii) Mainstreaming of the sound management of chemicals and waste in various sectors;
- (iii) Promotion of enhanced coordination and cooperation at the national level to implement the Basel, Rotterdam and Stockholm Conventions, the Minamata Convention and the Strategic Approach to International Chemicals Management;
- (iv) Whether the project builds upon previous initiatives and institutional mechanisms already established;
- (v) Whether the project may have a regional impact, in line with the objectives of the Special Programme;
- (vi) Participation and commitment of relevant actors and sectors, including agriculture, environment, health, labour, industry and other relevant sectors in the implementation of the measures proposed¹¹.

IV. Project Application Form II (Budget Tables)

The Special Programme Trust Fund may provide support from US\$ 50,000 to US\$ 250,000 per project proposal.

Provide all figures in US dollars (\$) and per year. Budgets in other currencies will not be considered. Budgets should reflect the amount requested from the Special Programme trust fund, as well as other financial or in-kind contributions.¹²

Budget summary will summarize the funding or in-kind contribution from all the sources.

Annex 1 should only present the cost that is covered by the Special Programme Trust Fund.

Annex 2 Beneficiary Contribution form will present the details about the contribution from other sources including from the beneficiary government, noting that in paragraph 21 of the terms of reference of the Special Programme "beneficiary countries will contribute resources equal to the value of at least 25 per cent of the total allocation¹³", other intergovernmental organizations, non-government organizations and private sectors, as appropriate.

Annex 1 Budget for the funds requested from the Special Programme Trust Fund **Please list the cost for each proposed measure or activity on a separate line**, noting that the columns

¹¹ This section will need to be fleshed out and is very important for projects that are requesting US \$500,000.

¹² Such "costs" should also be reflected as in-kind contributions in the "funding summary" section under "value of resources contributed by beneficiary country" on page 2 of the application form I.

¹³ The Executive Board may reduce that percentage, commensurate with consideration of the specific national circumstances, capacity constraints, gaps and needs of the applicant.

refer to different class codes, e.g. staff and other personnel, travel, contractual services, etc. in accordance with UNEP financial rules and regulations.

Annex 2 Budget for the beneficiary contribution from the government. If possible provide the breakdown of the budget by proposed measure or activity.

Note: The following guidance on specific budget classes:

- It is expected that those applicant countries that decide to manage projects themselves should be able to ensure project management without having to devote funds from the Special Programme for administrative costs. In duly justified circumstances, a maximum 5% for administrative fees, could be considered, notably if an implementing agency is tasked with project management.
- As enhancing institutional capacity requires a minimum level of commitment notably from an administrative and logistical perspective, it is also expected that applicant countries will provide the necessary administrative and logistical support. Therefore, normal operational and running costs such as office equipment, premises, vehicles, fuel, etc. will not be eligible for support. In duly justified circumstances, a maximum 10% for specialised and technical equipment costs could be considered.

Not all costs are eligible for support. Examples of categories of costs that must be excluded from amounts sought from the Special Programme trust fund:

- Recurrent or running institutional costs, including the rental of office space;
- Costs not directly related to institutional strengthening at the national level towards the objective of the programme;
- Wages for civil servants;
- Hospitality costs, for example in connection with receptions given for participants in conferences, seminars, etc; and
- Office equipment and furniture, vehicles, fuel, electricity, etc.
- Costs for individual items which are disproportionate to the total project budget. If such costs are part of the project, they must be mentioned in the budgets and provided by other funding sources.

“Annexes”

Please add in annex to the budget separate information requested specifically for some budget items, including:

- Job descriptions and descriptions of the recruitment process for project personnel;
- Terms of reference and descriptions of the recruitment process for consultants;
- Information regarding group trainings, such as the tentative dates, venue and number of participants, costs of travel and daily subsistence
- Information regarding meetings and conference, such as the tentative dates, venue and number of participants, costs of travel and daily subsistence; and
- A list of non-expendable equipment, including the estimated costs.

V. Proof of funding from beneficiary country and other sponsors and donors

If relevant, please provide letters or documents from beneficiary country and other funding sources confirming cash and in-kind contributions. Letters or documents of confirmed support should be sent at the time of application.

VI. Letters of support and other supporting information

In cases of multi-sectoral and multi-stakeholder projects, applicants are required to provide letters of support for the project from relevant Ministries, government institutions, non-governmental organizations or private companies. Such documents should indicate that the project has been developed and will be implemented in coordination with the various relevant sectors or stakeholders.

Other documents supporting the project application for support can also be sent within the application package, and might include: documents highlighting involvement in the Basel, Rotterdam and Stockholm conventions, Minamata Convention and SAICM processes, press articles and proofs of achievements in chemicals and waste management.

Step 2: Mail the completed application package

Once the application package is completed (you can confirm with the secretariat that the package is considered completed), **mail the signed application** to:

**Special Programme Secretariat
c/o Chemicals and Waste Branch,
Economy Division, UN Environment
11-13 chemin des Anémones,
International Environnement House
CH-1219 Châtelaine, Geneva, Switzerland
Fax: (41 22) 917 83 43
E- mail: special-programme.chemicals@unep.org**

All supporting documentation must be forwarded with your original submission. **Applicants are encouraged to submit their application packages as early as possible in advance of the deadline in order for the secretariat to review them for completeness and provide guidance. Advance copies of applications signed by the applicant and the official focal point can be sent to the secretariat by e-mail, and original should be submitted to the secretariat by post.**

What will happen next?

The Secretariat will acknowledge receipt of the application package, no later than one week of receipt.

Screening by the Special Programme secretariat

The application will be screened by the Special Programme secretariat to make sure it is complete and eligible for support. Once screened by the secretariat, the applicant will be informed if the application is considered complete and eligible ad interim and can be reviewed by the Special Programme Executive Board.

During the screening process, the secretariat may request for additional information or clarification from the applicant, in order to facilitate the eligibility and completeness process.

Appraisal by the Secretariat

The appraisal by the Secretariat will be done in consultation with the Secretariat of the Basel, Rotterdam and Stockholm Conventions, the interim Secretariat of the Minamata Convention and the SAICM Secretariat, and partners to IOMC as appropriate. The secretariat will submit their report of the complete and eligible proposals as well as their appraisal to the Executive Board to their annual meeting for review and consideration.

Approval by the Special Programme Executive Board

The Executive Board will review all the complete and eligible project proposals, taking into account the appraisal undertaken by the Secretariat during their annual meeting and approve projects subject to available funds.

Notification

The applicant will be notified in writing by the secretariat of the Board's decision.

Implementation arrangements

Activities financed by the trust fund will be implemented in accordance with the project management arrangements approved by the Board. Project management arrangements will include the conversion of applications into relevant legal instruments, which would form the basis of a signed funding agreement between the project proponent and UN Environment as the trust fund administrator. Financial and reporting arrangements will be set up with the project manager.

Annex I: Terms of Reference for the Special Programme¹⁴

Terms of reference for the Special Programme to support institutional strengthening at the national level for implementation of the Basel, Rotterdam and Stockholm conventions, the Minamata Convention and the Strategic Approach to International Chemicals Management

Recalling decision 27/12 on chemicals and waste management, part VIII, paragraphs 13 and 14 of the First Universal Session of the Governing Council/Global Ministerial Environment Forum of the United Nations Environment Programme (UNEP):

I. Objective of the Special Programme

1. The objective of the Special Programme is to support country-driven institutional strengthening at the national level, in the context of an integrated approach to address the financing of the sound management of chemicals and wastes, taking into account the national development strategies, plans and priorities of each country, to increase sustainable public institutional capacity for the sound management of chemicals and wastes throughout their life cycle. Institutional strengthening under the Special Programme will facilitate and enable the implementation of the Basel, Rotterdam and Stockholm conventions, the Minamata Convention and the Strategic Approach to International Chemicals Management (hereinafter referred to as “the Instruments”).

II. Definition of institutional strengthening

2. For the purposes of the Special Programme, institutional strengthening is defined as enhancing the sustainable institutional capacity of Governments to develop, adopt, monitor and enforce policy, legislation and regulation, as well as to gain access to financial and other resources for effective frameworks for the implementation of the Instruments for the sound management of chemicals and wastes throughout their life cycle.

III. Expected outcomes of institutional strengthening through the Special Programme

3. It is expected that strengthened national institutions would have the capacity to do the following:
- (a) Develop and monitor the implementation of national policies, strategies, programmes and legislation for the sound management of chemicals and wastes;
 - (b) Promote the adoption, monitoring and enforcement of legislation and regulatory frameworks for the sound management of chemicals and wastes;
 - (c) Promote the mainstreaming of the sound management of chemicals and wastes into national development plans, national budgets, policies, legislation and implementation frameworks at all levels, including addressing gaps and avoiding duplication;
 - (d) Work in a multisectoral, effective, efficient, transparent, accountable and sustainable manner in the long term;

¹⁴ As stated in UNEA-1 Resolution 1/5, Annex II

- (e) Facilitate multisectoral and multi-stakeholder cooperation and coordination at the national level;
- (f) Promote private sector responsibility, accountability and involvement;
- (g) Promote the effective implementation of the Basel, Rotterdam and Stockholm conventions, the Minamata Convention and the Strategic Approach;
- (h) Promote cooperative and coordinated implementation of the Instruments at the national level.

IV. Scope of the Special Programme

- 4. The Special Programme should avoid duplication and proliferation of funding mechanisms and associated administration, and should fund activities that fall outside the mandate of the Global Environment Facility.
- 5. The activities funded under the Special Programme may encompass the following:
 - (a) Identifying national institutional capacity, weaknesses, gaps and needs, as well as strengthening the institutional capacity to do so, where required;
 - (b) Strengthening institutional capacity to plan, develop, undertake, monitor and coordinate the implementation of policies, strategies and national programmes for the sound management of chemicals and wastes;
 - (c) Strengthening institutional capacity to improve progress reporting and performance evaluation capabilities;
 - (d) Promoting an enabling environment to foster the ratification of the Basel, Rotterdam and Stockholm conventions and the Minamata Convention;
 - (e) Enabling the design and operation of institutional structures dedicated to the promotion of the sound management of chemicals and wastes throughout their life cycle;
 - (f) Strengthening institutional capacity to promote measures to support all aspects of the sound management of chemicals and wastes, including more specific nationally identified thematic areas covered by the Instruments.

V. Eligibility for support from the Special Programme

- 6. Support from the Special Programme will be available for developing countries, taking into account the special needs of least developed countries and small island developing States, and for countries with economies in transition, with priority given to those with least capacity.
- 7. Applicants will be eligible if they are party to any one of the relevant conventions or have demonstrated that they are in the process of preparing for ratification of any one of the conventions.
- 8. Applications will include identification of the associated domestic measures to be taken to ensure that the national institutional capacity supported by the Special Programme is sustainable in the long term.

VI. Governance arrangements for the Special Programme

- 9. An Executive Board will be the decision-making body and oversee the Special Programme with the support of a secretariat.

10. The Executive Board will reflect a balance between donors and recipients. The term of the representatives will be in a two-year rotation. The Executive Board will be composed of the following:

- (a) Four representatives of recipient countries, reflecting equitable, geographical representation, drawn from the following United Nations regions: Africa, Asia-Pacific, Central and Eastern Europe, and Latin America and the Caribbean. In addition, the Executive Board will have one representative from a least developed country or a small island developing State on a rotational basis;
- (b) Five donor representatives, which are not also recipient countries.

11. The executive secretaries of the Secretariat of the Basel, Rotterdam and Stockholm conventions and the Minamata Convention, the Coordinator of the Strategic Approach and a representative of the secretariat of the Global Environment Facility, as well as representatives of Governments and regional economic integration organizations, any implementing agencies and one representative from each of the Bureaus of the governing bodies of the Instruments may participate, at their own expense, as observers at the meetings of the Executive Board.

VII. Mandate and functions of the Executive Board

12. The Executive Board will have two co-chairs, one from recipient countries and one from donor countries.

13. The Executive Board will meet yearly and take its decisions by consensus wherever possible. If consensus cannot be reached, the Executive Board will, as a last resort, take its decisions by a two-thirds majority of its members present and voting. The Executive Board will, as required, further develop its rules of procedure at its first meeting.

14. The Executive Board will take operational decisions regarding the functioning of the Special Programme, including the approval of applications for funding, and will endorse procedures for application, assessment, reporting and evaluation. The Executive Board will provide operational guidance on the implementation of the Special Programme and will provide advice on other matters as required.

VIII. Administering organization

15. As the administering organization, UNEP will provide a Special Programme trust fund and a secretariat to deliver administrative support to the Programme, including the allocation of human and other resources.

16. The secretariat will process application proposals for approval by the Executive Board, manage approved allocations and service the Executive Board. The Secretariat will report on its operations to the Executive Board and will be accountable to the Executive Director of UNEP for administrative and financial matters. The secretariat will submit an annual report to the Executive Board, which will also be sent to the governing bodies of UNEP and of the Instruments for their consideration.

IX. Operational arrangements for the Special Programme

17. The Special Programme will receive applications directly from national Governments. It will be easily accessible, simple and effective, and draw on experience from existing support mechanisms as appropriate.

18. Applications should be outlined within the context of an overall country approach to strengthening institutional capacity. The applications should contain proposed measures and performance targets, and information relating to long-term sustainability.

19. Applications should be submitted to the secretariat. The secretariat will appraise applications for consideration and decision by the Executive Board.

20. Cumulative allocations to a country should be decided by the Executive Board, based on the contributions received and the needs expressed in the applications submitted. Of that total, an amount not exceeding 13 per cent may be retained for administrative purposes.

21. Beneficiary countries will contribute resources equal to the value of at least 25 per cent of the total allocation. The Executive Board may reduce that percentage, commensurate with consideration of the specific national circumstances, capacity constraints, gaps and needs of the applicant.

22. Beneficiary countries shall submit annual reports on progress achieved. A final report and financial audit shall be submitted upon completion of each project, which shall include a full accounting of funds used and an evaluation of outcomes, as well as evidence as to whether the performance targets have been met.

X. Contributions

23. Contributions will be encouraged from all signatories and parties to the conventions and other Governments with the capacity to do so, as well as from the private sector, including industry, foundations, other non-governmental organizations and other stakeholders.

XI. Duration of the Special Programme

The Special Programme will be open to receive voluntary contributions and applications for support for seven years from the date it is established. On the basis of a satisfactory review and evaluation, and subject to a recommendation from the Executive Board to the United Nations Environment Assembly, the Special Programme may be eligible for a one-time extension, not to exceed an additional five years. Special Programme funds may be disbursed for a maximum of 10 years from the date the Programme is established, or eight years from the date it is extended, if applicable, at which point the Programme will complete its operations and close. The terms of reference of the above-mentioned review and evaluation are to be decided by the Executive Board.