



**United Nations  
Environment  
Programme**

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

Project Application Guidelines

Third round of applications  
23 February–21 June 2018

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## **1. Introduction**

This document outlines the project application process of the Special Programme. It aims to assist developing countries, taking into account the special needs of least developed countries, small island developing States, and countries with economies in transition, in order to develop projects to support institutional strengthening at the national level for implementation of the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal, the Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade and the Stockholm Convention on Persistent Organic Pollutants, the Minamata Convention on Mercury and the Strategic Approach to International Chemicals Management (the Strategic Approach).

Within the guidelines, sections 1–8 describe the Special Programme and how the Special Programme project application can be developed. Sections 9 and 10 provide guidance for Governments to develop the Special Programme project applications for the third round of applications. Section 11 describes the next steps once the project application is submitted to the Special Programme Secretariat. The document also includes a schematic on the Special Programme project application development process and the terms of reference for the Special Programme.

The application guidelines supersede the previous application guidelines launched during the second round of applications by taking on board the comments provided by proponents of previous applications and those provided by the Executive Board of the Special Programme at its third meeting, held in Nairobi on 2 and 3 December 2017.

## **2. 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 the Strategic Approach to International Chemicals Management.

In June 2014, in its resolution 1/5, the United Nations Environment Assembly at its first session adopted the 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, as set out in annex II to the present guidelines.

As stated in annex I to resolution 1/5, the three components of an integrated approach to financing sound management of chemicals and waste (adopted by the Governing Council of the United Nations Environment Programme (UNEP) 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 Special Programme established by the United Nations Environment Assembly at its first session, 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 measures 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 were adopted by the General Assembly of the United Nations in September 2015. The integration of sound management of chemicals and waste<sup>1</sup> 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, that is, multilateral environmental agreements on chemicals and waste, notably the Basel, Rotterdam and Stockholm conventions, the Montreal Protocol on Substances that Deplete the Ozone Layer and the Minamata Convention, as well as other relevant international commitments and policy frameworks, including the Strategic Approach.

#### **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.

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 Basel, Rotterdam and Stockholm conventions, the Minamata Convention and the Strategic Approach for the sound management of chemicals and wastes throughout their life cycle.

The expected outcome of the Special Programme is to strengthen the capacities of national institutions 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;

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<sup>1</sup> Here understood as hazardous waste. Nuclear waste, biological waste, sanitation waste and other such types of waste are not included.

- (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 Basel, Rotterdam, and Stockholm Conventions, the Minamata Convention and the Strategic Approach to International Chemicals Management at the national level.

The Special Programme will be administered by UNEP, which will provide the Special Programme Trust Fund and a secretariat to deliver administrative support to the Programme.

### 3. What is a Special Programme project?

<b>A Special Programme project:</b>	<b>A project is NOT a Special Programme project if it:</b>
<ul style="list-style-type: none"> <li>○ Is a country-driven project that is conceived and implemented by the applicant</li> <li>○ Builds long-term capacity in the relevant ministry or ministries</li> <li>○ Has a sustainable financing mechanism or a plan for ensuring long-term sustainability</li> <li>○ Focuses on multi-sectoral involvement</li> <li>○ Improves chemicals management to mitigate negative impact</li> <li>○ Engages with private sector stakeholders</li> <li>○ Promotes an enabling environment to foster the ratification of the Basel, Rotterdam and Stockholm conventions and the Minamata Convention</li> <li>○ Coordinates the implementation of policies, strategies and national programmes for the sound management of chemicals and waste</li> <li>○ Has a strong gender mainstreaming component and promotes gender considerations</li> <li>○ Emphasizes gender-disaggregated data collection where relevant</li> </ul>	<ul style="list-style-type: none"> <li>○ Is project-focused</li> <li>○ Funds outcomes beyond the duration of the project</li> <li>○ Is primarily driven or implemented by an organization other than the Government</li> <li>○ Engages only one ministry or one relevant sector</li> <li>○ Focuses only on dealing with the aftermath of mismanagement of chemicals</li> <li>○ Only focuses on building private sector capacity</li> <li>○ Focuses activities on only one of the four conventions, that is the Basel, Rotterdam and Stockholm conventions and the Minamata Convention, or implementation of the Strategic Approach</li> <li>○ Does not provide coordination between relevant ministries</li> <li>○ Includes multiple applications from the same country in the same application cycle, as that can be indicative of a lack of coordination</li> </ul>

## **4. 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. Affiliations of Governments and local governments are not eligible.

As requested in Form IA, the official focal point is required to endorse the application on behalf of the Government (see page 6 of Form IA) before the Government applies. An endorsement letter from the official focal point should be sent to the secretariat at the time of submission of the application.

## **5. 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) can be funded. Section IV of the terms of reference of the Special Programme sets out 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.

## **6. 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 and monitoring and evaluation and financial audit.

In exceptional circumstances, an applicant country may request up to a maximum of US\$ 500,000. Project requesting more than US\$ 250,000 should adhere to the following criteria, among others:

(1) All relevant sectors are involved in project implementation, for example environment, health, agriculture, customs and labour. The roles and responsibilities of the relevant sectors in project implementation should be clearly defined and letters of support from the relevant ministries should be included as part of the application package;

(2) Institutional stakeholders including, but not limited to, the private sector and civil societies are involved. Roles and responsibilities of the relevant stakeholders in project implementation should be clearly defined. Letters of support from these stakeholders should be included as part of the application package;

(3) Projects are based on circular or green economy initiatives. The project should demonstrate how the outcomes and outputs of the project encourage sustainable consumption and efficient use of resources, as well as how the project aims to achieve sustainable development;

(4) Links with investment and development banks for investment opportunity are highlighted at the national, regional and global levels, as appropriate. Information should be provided showing the ways in which these investment opportunities can foster long-term sustainability of the Special Programme project;

(5) Mainstreaming and overall integration at the national level should be demonstrated, as should the ways in which the efforts can be scaled up at the regional level in a synergistic manner. The project should list activities that can be scaled up from national to regional level, and areas of cooperation at the regional level that are or could be synergistic;

(6) Builds on existing projects from other programmes and obligations under the Basel, Rotterdam and Stockholm conventions, the Minamata Convention and the Strategic Approach to International Chemicals Management. The project should demonstrate how it builds upon the outcomes of previous or ongoing projects as appropriate, and how these outcomes will enhance the objectives of the Special Programme project.

## **7. What is the maximum duration of a project?**

Projects should be fully completed within three years.

## **8. When are the application deadlines?**

The third round of applications has a mandatory deadline of **21 June 2018**.

Applicants are encouraged to submit their application packages **in English only** 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 and the official focal point can be sent to the secretariat by e-mail, and the original should be submitted to the secretariat by post.

## **9. 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 – Project description
3. Annex I to “Form IB – Project description”: Additional project information
4. Project Application Form II – Project budget

Additional documents:

- Endorsement letter from the official focal point
- Proof of funding from beneficiary country and other sponsors and donors
- Letters of project endorsement from implementing partners
- Other supporting documents

### **Complete and sign the application form**

The application form is available on the Special Programme website:

<https://www.unenvironment.org/explore-topics/chemicals-waste/what-we-do/special-programme>.

The application forms must be completed in English only, and submitted electronically with a scanned signature. The original signed application forms should also be submitted to the Special Programme secretariat as part of the application package.

***Step 2: Post the completed application package***

Once the application package has been completed (you can confirm with the secretariat that the package is considered complete), **send the signed application by post to:**

**Special Programme secretariat  
c/o Chemicals and Waste Branch  
Economy Division  
United Nations Environment Programme  
11–13 chemin des Anémones  
International Environment House  
CH-1219 Châtelaine  
Geneva  
Switzerland  
Fax: (41 22) 917 83 43  
Email: [unepchemicalsspecialprogramme@un.org](mailto:unepchemicalsspecialprogramme@un.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 may be sent to the secretariat by email, and the original should be submitted to the secretariat by post.**

**Additional resources**

Applicants may wish to use or make reference to the following resources in the development of their application.

1. **The Basel, Rotterdam and Stockholm conventions**  
<http://www.brsmeas.org/>  
Provides information on the ratification status of countries and convention text, which sets out the obligations upon countries which are parties to the conventions.
2. **The Minamata Convention on Mercury**  
<http://www.mercuryconvention.org/>  
Provides information on the ratification status of countries and Convention text, which sets out the obligations upon countries which are parties to the Convention.
3. **The Strategic Approach to International Chemicals Management:**  
<http://www.saicm.org/>  
The overall objective of the Strategic Approach is the achievement of the sound management of chemicals throughout their life cycle so that by the year 2020 chemicals are produced and used in ways that minimize significant adverse impacts on the environment and human health.
4. **The Global Environment Facility**  
<https://www.thegef.org/topics/chemicals-and-waste>

5. **IOMC Toolbox**

<https://iomctoolbox.oecd.org/Default.aspx?idExec=330aab2f-6197-4cc7-8c25-a409bb9e45ae>

The IOMC Toolbox is a problem-solving tool that enables countries to identify the most appropriate and efficient national actions to address specific national problems related to chemicals management.

6. **UNEP LIRA Guidance (Legal and Institutional infrastructures for the sound management of chemicals and measures for Recovering costs of national administrations).**

<http://web.unep.org/chemicalsandwaste/what-we-do/policy-and-governance/reports-and-publications/lira-guidance>

This guidance aims to provide practical support to policymakers for strengthening national legislation and institutional set-ups for achieving sound management of chemicals. It includes proposals for measures for financing necessary administration activities in this regard.

The following notes provide guidance on completing the forms. These guidance and project application forms are also available in Arabic, French and Spanish. An eLearning tool will be made available in the near future to assist applicants with the development of the application. Please refer to the Special Programme website for updates on these additional resources.

## 10. How should the project application forms be completed?

### *1. Project Application Form IA (Project proposal summary)*

The project summary should include the following:

#### **1.1 The title** of the project

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

**1.3 Country status:** Please indicate the status of your country including the following information as relevant:

- 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 the project, its objectives and outcome<sup>2</sup> (approximately 250 words).

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<sup>2</sup> Outcome: The uptake, adoption or use of project outputs by the project beneficiaries. Observed as change of behaviour, attitude/action, condition, knowledge or skill.

**1.5 Proposed measures:** List clearly the specific measures or outputs<sup>3</sup> which are proposed for financial support in line with the objective of the Special Programme (paragraph 1 of the terms of reference). The proposed measures should be consistent in sections 1.5, 5.1 and in 5.4.2.

The proposed measures should clearly demonstrate how they facilitate and enable the implementation of the Basel, Rotterdam and Stockholm conventions, the Minamata Convention and the Strategic Approach to International Chemicals Management (see box 1). In addition, some proposed measures could promote an enabling environment to foster the ratification of the Basel, Rotterdam and Stockholm conventions, and the Minamata Convention. Lastly, the project should build upon lessons learned and results from previous projects of similar scope, for example the National Implementation Plans of the Stockholm Convention, the Quick Start Programme of the Strategic Approach and related GEF projects.

Box 1: Examples of proposed measures in line with the Special Programme objectives

1.5	<b>PROPOSED MEASURES</b>	<p><b>In line with the objectives of the Special Programme, the proposed measures include:</b></p> <ol style="list-style-type: none"> <li>1. Establishment of a project management unit to support implementation of the project</li> <li>2. Undertaking of a comprehensive gap analysis on existing institutional capacity</li> <li>3. Improvement of the country's reporting under the chemicals and waste multilateral environmental agreements</li> <li>4. Undertaking of capacity-building activities including training of trainers or development of training modules</li> <li>5. Monitoring, evaluation and financial audit (<i>this proposed measure is mandatory</i>)</li> </ol>
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**1.6 Explain how each proposed measure will address institutional strengthening at the national level:** demonstrate how each of the proposed measures listed in section 1.5 above will strengthen the institutional capacity of the country to facilitate and enable the implementation of the Basel, Rotterdam and Stockholm conventions, the Minamata Convention and the Strategic Approach to International Chemicals Management.

**1.7 Associated domestic measures:** List the specific associated domestic measures that are in place or are to be taken to ensure the sustainability of national institutional capacity strengthening by the project. 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.

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<sup>3</sup> Outputs: are the products, capital goods and services delivered by the project. Outputs relate to the completion of activities and managers have a high degree of control over them.

**Box 2: Examples of associated domestic measures in line with the proposed measures listed in section 1.5 and the Special Programme objectives**

1.7	<b>ASSOCIATED DOMESTIC MEASURES</b>	<p>The following associated domestic measures will be implemented in conjunction with the project implementation to ensure the sustainability of the project outcomes and outputs:</p> <ol style="list-style-type: none"> <li>1. The process for formalizing the project management unit as a permanent unit within the Government will be initiated, including integrating the budget for the project management unit into the overall Ministry budgeting processes.</li> <li>2. Commitment to regularly report under the chemicals and waste multilateral environmental agreements is provided.</li> <li>3. The implementing agency will continue to engage with the private sector and civil society stakeholders.</li> <li>4. National budgetary provision to sustain project outcomes will be put in place, including other cost recovery measures.</li> </ol>
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**1.8 Explain how the associated domestic measures will address the sustainability of institutional strengthening at the national level with support from the project:** demonstrate how each of the specific associated domestic measures listed in section 1.7 above will strengthen the institutional capacity of the country to facilitate and enable the implementation of the Basel, Rotterdam and Stockholm conventions, the Minamata Convention and the Strategic Approach.

**1.9 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 (such as that of the environment; health; agriculture; customs; and labour), including decisions and measures taken or foreseen. A clear description of how the project will fit into the overall country approach to institutional strengthening should be included for projects requesting an exceptional allocation which exceeds the maximum limit of US\$ 250,000.

The long-term sustainability of the project should be highlighted, using concrete examples on what actions will be undertaken at the national level to ensure the long-term sustainability of the project and its outcomes.

**1.10 Budget and funding summary:** List the project budget for each proposed measure as presented in section 1.5. The budget and funding summary presents the requested amount from the Special Programme Trust Fund and the beneficiary contribution (cash or in-kind contribution).

Indicate the amount requested from the Special Programme Trust Fund as well as the value of the contribution from the application country. Also indicate the confirmed or requested contributions from other sources and the total budget of the project. Please provide a signed letter confirming the beneficiary contribution together with the rest of the application.

1.10	<b>BUDGET AND FUNDING SUMMARY</b>			
	<b>List the budget for each proposed measure by funding source</b>			
		<b>Request from the Special Programme Trust Fund</b>	<b>Beneficiary contribution (cash and/or in kind)</b>	
		(United States dollars)	(United States dollars)	
		Proposed measure 1	50 000	
		Proposed measure 2	50 000	25 000
		Proposed measure 3	90 000	25 000

Proposed measure 4	45 000	
Proposed measure 5	15 000	
<b>Subtotal</b>	250 000	75 000
<b>Grand total</b>	325 000	

**1.11 Additional information regarding all funding sources:** Indicate all other related contributions from the Government as well as funding received 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 viability of the project is dependent on confirmation of the other funding.** If contributions of cash or in-kind support have been confirmed, please note their amounts or value. 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 or institution submitting the support request.

**2.2 Project implementing organization or institution:** If relevant, provide details of the responsible officer and organization or institution for the implementation of the project.<sup>4</sup> 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 or institution is not a government or United Nations entity, then a due diligence exercise will be carried out in accordance with the United Nations Environment Programme's Partnership Policy, prior to the time of developing the legal agreement with the entity. Adequate time needs to be factored into the project development 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 Basel, Rotterdam, and Stockholm Conventions, the Minamata Convention, and the Strategic Approach to International Chemicals Management, private sector organization(s), academic or research organization(s) acting in partnership with the implementing organization/institution to prepare the project proposal or implement the project. Please provide letters of support from all project partners and submit them together with the rest of the application package. For projects requesting more than US\$ 250,000, letters of support from ministries and stakeholders involved in the project implementation is a mandatory requirement.

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<sup>4</sup> It is understood that the applicant's organization, 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 organization, agency or ministry. In compliance with United Nations financial rules, profit-making companies cannot serve as implementing (or executing) agencies.

**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 organization with no ties to the project development and implementation<sup>5</sup> (see also the separate guidelines for independent monitoring and evaluation and section “Evaluation Plan” of section “II – Project Description”). Monitoring and evaluation should be listed as a separate output in the workplan and budget. The budget for monitoring, evaluation and audit should not be higher than 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. As noted above, the budget for monitoring, evaluation and audit should not be higher than a maximum total of US\$ 15,000.

### **3. Application package checklist of essential elements before submission**

Please review the list and check all relevant boxes before sending the application. Applicants are invited to note that budget, annexes, beneficiary contribution letter, and letters of support including the endorsement letter from the official focal point are mandatory requirements of the application without which applications will be considered incomplete.

### **4. Endorsement and Certification**

**4.1 “Official focal point” subsection:** All applications must be endorsed by an official focal point for the Special Programme. 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 country.<sup>6</sup> An endorsement letter from the official focal point should be submitted to the secretariat upon submission of the application.

**4.2 “Applicant Certification” subsection:** 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. **The application, however, will not be considered finalized until receipt of the signed original copy.**

## ***II. Project Application Form IB (Project description)***

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

### **5. Project description**

**5.1 Detailed description of each proposed measure (see Form IA section 1.5):** Explain in detail and in a clearly structured manner, each one of the proposed measures to be supported and how the measures and activities proposed will lead to long term institutional capacity and sustainability. The proposed measures should clearly demonstrate how they facilitate and enable the implementation of the Basel, Rotterdam and Stockholm conventions, the Minamata Convention and the Strategic Approach to International Chemicals

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<sup>5</sup> Applicants may wish to identify, for example, an academic institution, research centre, independent consultant, or non-governmental organization.

<sup>6</sup> The official focal point should coordinate different applicants and try to make different units work together to submit a common proposal, rather than submitting separate proposals.

Management and promote an enabling environment to foster the ratification of the Basel, Rotterdam and Stockholm conventions and the Minamata Convention.

The proposed measures are expected to lead to strengthened national institutions in line with the expected outcomes on institutional strengthening of 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 II).<sup>7</sup> In addition, all stakeholders, including organizations, ministries or departments involved under each proposed measure must be clearly identified. Define the role and responsibilities of national and international implementing partners. Where appropriate, the multi-stakeholder and multi-sectoral aspects of the project implementation should be clearly identified. The relevant knowledge, experiences or competency possessed by different stakeholders 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 the overall country approach to institutional strengthening (section 1.9) and associated domestic measures (section 5.2).

**This section should include only directly relevant material.**

**Box 3: Example of project description in line with the proposed measures listed in section 1.5 and the objectives of the Special Programme.**

5.1	<b>DETAILED DESCRIPTION OF EACH PROPOSED MEASURE (REF: SECTION 1.5 ABOVE)</b>	<p>The project outcome is for the institutional capacity of the country for sound management of chemicals and waste throughout their life cycle to be enhanced and reporting obligations under the Basel, Rotterdam and Stockholm conventions, the Minamata Convention and the Strategic Approach to International Chemicals Management to be improved.</p> <p>The following measures will be achieved during the project:</p> <ol style="list-style-type: none"><li><b>1. Establishment of project management unit and organization of process</b> The project management unit (PMU) will be established and operational by the end of the first trimester of project implementation. The PMU will be a multi-stakeholder body comprising representatives of key participating ministries and public and private organizations. The PMU will play an active role in the project, and will be responsible for providing leadership as well as overall strategic guidance on the execution of the project at the national level. The PMU meets biannually to facilitate stakeholder involvement, to assess the progress of the project towards the project goals and objectives, to determine the necessary corrective actions to be taken in case of diversion and to mainstream the findings and outcomes of the project within the respective sectors and groups they represent.</li></ol> <ul style="list-style-type: none"><li>- Organize the Inception Workshop</li><li>- Establish the Project Management Unit and agree on its mandate</li></ul> <ol style="list-style-type: none"><li><b>2. Undertake a comprehensive gap analysis on coordination for sound management of chemicals;</b> The establishment of the National Coordination Mechanism (NCM) for chemicals management will ensure sustainability of existing coordination mechanisms in chemicals management by building capacities of the stakeholders who have</li></ol>
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<sup>7</sup> Indicate other chemicals and waste management projects undertaken in the past, currently being implemented or planned for the future. If any, please provide details on the time frame, funding and framework of such projects, as well as details on the links with the proposed Special Programme project.

previously participated in the management of chemicals and by involving new stakeholders that will bring new skills and expertise. In so doing, this project measure aims at strengthening capacity while capitalizing on existing knowledge and expertise. It is envisaged that under this measure a comprehensive gap analysis of the existing institutional capacities to identify the weaknesses and key areas of intervention will be undertaken.

- The NCM comprising representatives from key ministries is formed.
- Draft mandate of the NCM is circulated and agreed amongst the line ministries
- The list of members and the mandate of the NCM is approved through an order from the Ministry of the Environment

### **3. Improve the country's reporting under the Basel, Rotterdam and Stockholm conventions, the Minamata Convention and the Strategic Approach to International Chemicals Management**

This measure, aimed at improving the country's reporting under the relevant multilateral environmental agreements, will contribute to systematic changes in waste management through the introduction of inventory and processing of data on hazardous and other wastes, awareness raising and capacity-building in the waste management sector.

- Development of methodology for inventory of waste using best international practice
- Development of a hazardous waste inventory for reference

### **4. Conduct capacity-building activities including training-of-trainers**

The capacity-building activities will include a training-of-trainers component, with the aim of replicating and building upon the training during and beyond the duration of the project.

- Establishment of a training-of-trainers programme
- First training-of-trainers workshop held

### **5. Monitoring, evaluation and financial audit**

This measure will identify the steps for monitoring and evaluation. The evaluation plan will be based on the project workplan and proposed measures (1 – 4 above). Project activities and progress will be monitored and the outcomes will be reported on.

- A monitoring and evaluation plan is developed
- Progress and outcome reports are prepared and submitted to the secretariat.

## **5.2 Detailed description of the associated domestic measures (see Form IA, section 1.7):**

Provide detailed description of the associated domestic measures as listed in Form IA, section 1.7, and explain how these measures will address the sustainability of institutional strengthening at the national level supported by the project.

**Box 4: Example of a detailed description of associated domestic measures in line with the associated domestic measures listed in section 1.7 and the objectives of the Special Programme.**

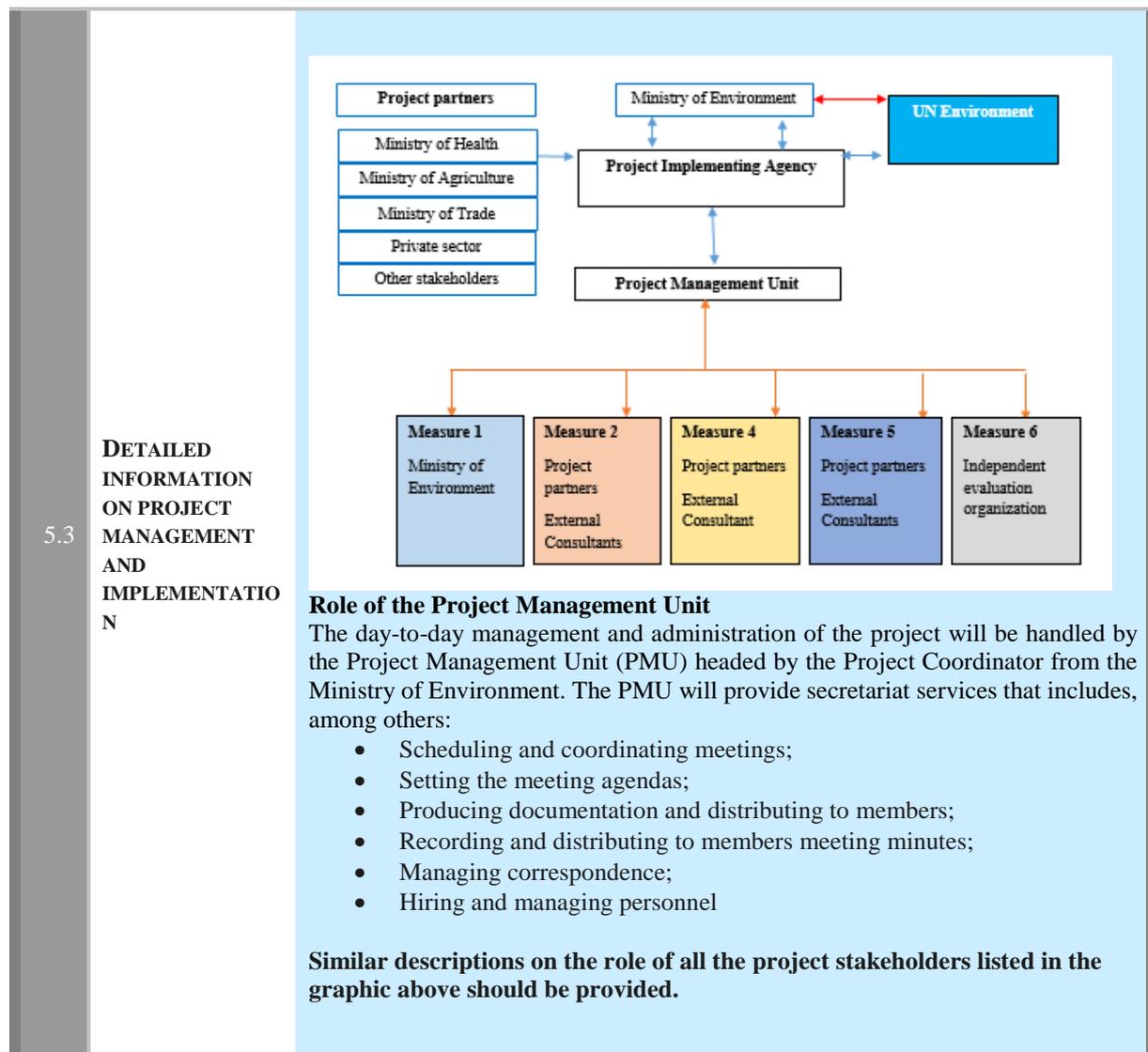
5.2	<p><b>DETAILED DESCRIPTION OF ASSOCIATED DOMESTIC MEASURES</b></p> <ol style="list-style-type: none"> <li> <p><b>1. The implementing agency will start the process of applying for the inclusion of the project management unit as a permanent unit within the government.</b></p> <p>Following the initial project-based establishment of the project management unit (Chemicals Unit) in the implementing agency, efforts will be made to establish the unit as a formal component of the implementing agency’s internal structures to ensure that the Government can address the sound management of chemicals in the long term. The Chemicals Unit will provide dedicated services for strengthening chemicals management in the country.</p> </li> <li> <p><b>2. The implementing agency will submit proposed secondary legislation to the government.</b></p> <p>Through this project, the newly established Chemicals Unit will work to ensure that draft secondary legislation is both technically viable and feasible, and compliant with the legal and constitutional requirements of the country. Once the secondary legislation is submitted to the relevant Ministry, it will then go through various stages before finalization. Implementation and application of this secondary legislation on chemical management will ensure the coordination between a number of line ministries following the completion of the project.</p> </li> <li> <p><b>3. The implementing agency will continue to engage with private sector and civil society stakeholders.</b></p> <p>The Chemicals Unit will take responsibility for establishing and maintaining the connection between implementing agency and the private sector and civil society actors.</p> </li> <li> <p><b>4. A stable resource base to sustain project outcomes will be put in place including other cost recovery measures.</b></p> <p>Market-based incentives will be part of the consideration of the chemicals and wastes cost recovery measures that will be investigated, and if appropriate will be legislated. Funds generated from newly instituted cost recovery measures will contribute to the maintenance of the coordinating mechanism operations. This will significantly contribute to the sustainability of the Special Programme project.</p> </li> </ol>
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**5.3 Detailed information on project management and implementation:** Indicate the organization or institution responsible for project management and how the project is managed.

Present the project implementation structure through an organizational diagram. Describe the composition, roles and responsibilities and how decisions will be made, as appropriate, for the following stakeholders:

- Project manager and government authority implementing the project;
- Lines of responsibility of project team members;
- External partner agencies, highlighting each agency’s responsibility in the project;
- The Project Steering or Coordination 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.

Box 5: Example of the detailed information on project management and implementation structure



**5.4 Project description (log frame):**

5.4.1 Develop an overall project **outcome**. The project outcome can inform the title of the project.

Examples of project outcomes include:

- “Country X’s capacity for implementing their obligations under the relevant multilateral environmental agreements has improved.”
- “Country X’s institutional capacity for the sound management of chemicals is enhanced and reporting obligation under relevant multilateral environmental agreements is improved.”
- “Structures, institutions and legislation in place to enable Country X to improve its reporting obligations under the four chemicals and waste multilateral environmental agreements and the implementation of the Strategic Approach to International Chemicals Management.”

Specify the means of verification of the indicators and the targets. How will the project verify that the outcome has been met? Will it be by reports, other documentation, records, contracts, evaluations or by other means?

List the project milestones for the overall project outcome and indicate the reporting period for each milestone. Examples of project milestones<sup>8</sup> include the fact that a steering committee has been established, a report has been published or that a number of representatives have participated in a certain activity or have been trained. The reporting period should be indicated on a biannual basis, for example Month 6/Year 1, Month 12/Year 2, and so on.

Box 6: Example of the description of the project logical framework at the outcome level

5.4.1	Overall project outcome	Indicators	Means of verification
	<p><b>The country’s institutional capacity for the sound management of chemicals to be enhanced. The country ability to report on obligations under the Basel, Rotterdam and Stockholm conventions, the Minamata Convention and the Strategic Approach to International Chemicals Management to be improved.</b></p>	<p><b>Establishment of a chemicals unit [Baseline: 0; Target: 1]</b></p> <p><b>Reports submitted to the Basel, Rotterdam, Stockholm and Minamata secretariats [Baseline: 1; Target: 3]</b></p>	<p>Letter from the Minister of Environment, announcing the establishment of the Chemicals Unit</p> <p>Reports and submissions to conventions secretariats</p>
	<p><b>Performance targets (project milestones that show progress towards completing the project outputs and achieving the overall project outcome)</b></p>		<p><b>Expected milestone for each reporting period (biannual) Month/Year (e.g.)</b></p>
	<p><b>Milestone 1:</b> Terms of reference for the Project management unit are developed and the PMU formally established</p>		<p><b>Month 6/Year 1</b></p>
	<p><b>Milestone 2:</b> Project management unit staffed and undertaking baseline chemical research</p>		<p><b>Month 12/Year 1</b></p>
	<p><b>Milestone 3:</b> Project management unit meets reporting requirements</p>		<p><b>Month 12/Year 2</b></p>

5.4.2 Develop the project outputs in line with sections 1.5 and 5.1. List the indicators for each project activity and related **outputs**. Indicate the number of areas, partners, specified activities, persons, progress,

<sup>8</sup> **Performance Targets/Milestones:** Are benchmarks (not activities) that represent attainment of a project stage or project achievement that show progress towards project outcomes and outputs. Milestone attainment should be strictly answerable with a “yes” or “No” answer.

**Outcome milestone** will often show progress on a particular outcome indicator target, but can also be a major significance benchmark, believed to lead to the outcome

percentage, reports, etc., and set a baseline. For example, if 1 piece of legislation has already been adopted by the country, then 1 will be set as a baseline for that indicator. If the proposed measure is to adopt additional legislation, then the target would be 2.

**Box 7: Example of the description of the project logical framework at the output level**

5.4.2	1. Project Activity /Output	Indicators	Means of verification
	Establishment and operationalization of the project management unit	Inception workshop: [Baseline: 0; Target: 1] Project management unit [Baseline: 0; Target 1] Number of Project Management Unit meetings [Baseline: 0; Target 6]	Meeting reports Staff contracts
	<b>Project activity/output milestones:</b>		<b>Expected milestone for each reporting period Month/Year</b>
	M 1.1 Project Management Unit established		Month 6/Year 1
	M 1.2 Inception workshop held		Month 8/Year 1

The process described above should be followed for all proposed measures and outputs.

**5.5 Project assumptions:** List the factors or conditions, and challenges that are likely to affect the successful achievement of project objectives (for example, institutional, financial, administrative, technical or political) and the mitigation measures that could be taken to reduce each risk. Indicate how the project managers would ensure successful implementation (strategies).

**Box 8: Examples of project assumptions and mitigation measures**

5.5	<b>PROJECT ASSUMPTIONS</b>	<p><b>Risk:</b> Delay of project activities due to inefficient HR procedures (for example, hiring national consultants), inefficient personnel, or coordination challenges.  <b>Mitigation measure:</b> Terms of reference and human resource procedures will be developed well in advance of related activities and the hiring process will be closely monitored by the Project Management Unit to ensure that there are no delays and that appropriate candidates are selected. The hiring committee will also meet regularly to review progress, ensure coordination, and agree on mitigation measures if needed</p> <p><b>Risk:</b> Development and endorsement of policies delayed  <b>Mitigation measure:</b> The existing parliamentary committee on environment will take up the responsibility of ensuring political support is obtained where necessary</p>
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**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 box 10 below.

**Box 9: Example of the project gender consideration and mainstreaming component**

<p>5.6 <b>PROJECT GENDER CONSIDERATIONS/MAINSTREAMING</b></p> <p><i>* Please consult the application guidelines (p. 13) available on Special Programme website to complete this section.</i></p>	<ol style="list-style-type: none"> <li>1. One of the main objectives of the project is to develop an understanding by the parties and stakeholders on the issue of gender equality. In particular, within the context of the Rotterdam and Stockholm conventions, activities such as analysing issues in the scope of the conventions from a gender perspective, including identifying vulnerable groups and the different impacts of hazardous chemicals and wastes on men and women, boys and girls will be undertaken. The activities will promote the consideration of gender issues in hazardous chemicals and waste management at the national and regional levels, which is a unique initiative undertaken at the country level through this project. Gender awareness and gender analysis programmes are rarely funded by Government budgets or provided on a regular basis to train new staff or build existing gender mainstreaming capacity. This activity will help build new capacity and promote the inclusion of gender equality related perspectives in policies and programmes at the national level.</li> <li>2. Raising awareness of the health impacts of chemical exposure on women and children as vulnerable populations, including creating opportunities for training, sharing experiences and collecting relevant sex disaggregated data.</li> <li>3. Promoting women’s engagement and leadership in decision-making processes at national and global levels.</li> </ol>
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**Box 10: Guidance on gender considerations and mainstreaming**

In relation to the involvement of women and vulnerable groups, the UNDP guidance on Chemicals and Gender recommends two overarching interventions to guide gender mainstreaming in chemicals 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

<sup>1</sup> UNDP 2011, Gender Mainstreaming Guidance Series: Chemicals and gender

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 favourable prospects for a good balance between the institutions. This does not apply to all countries, however, and attention must therefore be paid to these issues.

Exposure to chemicals affects both women and men. The exposure of men to chemicals has traditionally received greater attention, and research has been focused to a greater extent on men and the harm that can occur to 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 the same extent as men. This applies in the home, in agriculture and to an increasing extent in industrial work and in work linked to the recovery of metals from electronics. Women and men also exhibit differing sensitivity to chemicals due to physiological differences. It is particularly serious when 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 may cause lasting damage, for example to the nervous system and reproductive capacity.

**5.7 Monitoring and evaluation plan and financial audit:** The evaluation plan should indicate the arrangements for **the independent monitoring and evaluation** on project implementation,<sup>9</sup> and determine the steps for regular monitoring and the final evaluation. Upon completion of the project, a final project assessment should be undertaken.<sup>10</sup> For projects involving no intergovernmental organization as a project implementing organization, 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 project. A person or institution should be identified in application form I. The evaluation plan must be based on the project workplan 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.

Monitoring and evaluation, and financial audit should be listed as separate outputs in the workplan and budget. As noted in sections 2.4 and 2.5, the budget for monitoring, evaluation and audit should not be higher than a maximum total of US\$ 15,000.

**5.8 Project workplan:** Please present a project workplan using the table included in Form IB. The workplan is an important tool for formulating and implementing a project. From the workplan, 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 workload reasonably balanced?
- Are any activities likely to be held up by the timing of other activities?

**Box 11: Example of the project workplan**

Project activities		Lead responsibility	Time frame (by quarter: every 3 months)											
No.	Description		1	2	3	4	5	6	7	9	9	10	11	12
1	Establishment and operationalization of the Project Management Unit	MoE												

<sup>9</sup> 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.

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

1.1	Project Management Unit established																			
1.2	Inception workshop held																			

A well-prepared workplan is particularly useful for monitoring and evaluation. The workplan is used in the progress report as the reference point for assessing the progress of the project. As well as being an indicator of progress, the workplan 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

Include a description of GEF-funded projects on chemicals and waste, including the project number, title and objective of the project. The description should indicate the status of the project, in other words if it is ongoing or completed and the relevant dates. The description should state why activities being proposed for funding through the Special Programme are understood to fall outside the mandate of GEF. The description should also include what actions related to institutional strengthening and capacity-building are being undertaken by GEF projects on chemicals and waste in the country. The GEF operational focal point for the country should be consulted in developing this information.

#### 6.2 Description of projects on institutional strengthening of 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 of chemicals and waste management undertaken in the past, currently being implemented or planned in the future to be implemented in the country(ies) or region. If any, please complete the table for previous projects. Please provide details on the time frame, funding and framework of such projects, as well as details on how the outcome of the previous and ongoing projects can support or build upon the outcomes of the proposed Special Programme project.

Please explain how the project will expand on the work of previous projects.

#### 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) Mainstreaming of the sound management of chemicals and waste in various sectors;
- ii) 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;
- iii) Whether the project builds upon previous initiatives and institutional mechanisms already established;
- iv) Whether the project may have a regional impact, in line with the objectives of the Special Programme;
- v) Participation and commitment of relevant stakeholders and sectors, including agriculture, environment, health, labour, industry and other relevant sectors in the implementation of the measures proposed.<sup>11</sup>

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<sup>11</sup> This section will need to be fleshed out and is very important for projects that are requesting an amount between US\$ 250,000 and US\$ 500,000.

#### **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**. In exceptional circumstances, an applicant country may request up to a maximum of US\$ 500,000. Projects requesting more than US\$ 250,000 should adhere to the criteria as described in section 6 of the guidelines.

Provide all figures in United States 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.<sup>12</sup>

Form II includes the following tables (each table is on a separate sheet in the excel table):

##### **Table 1: Budget summary**

Please summarize funding or in-kind contribution from all sources of funding.

##### **Table 2: Special Programme Trust Fund Budget by Year/Commitment Class (US\$)**

Please list the cost for each proposed measure or output and activity on a separate line, noting that the columns refer to different class codes, such as staff and other personnel, travel, contractual services, etc. in accordance with UNEP financial rules and regulations. The table should only present the cost that is covered by the Special Programme Trust Fund.

##### **Table 3: Beneficiary contribution budget by Year/Commitment Class (US\$)**

Please provide the budget for the beneficiary contribution from the Government. If possible, provide the breakdown of the budget by proposed measure or output and activity. Table 3 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 allocation,<sup>13</sup> other intergovernmental organizations, non-governmental organizations and the private sector, as appropriate.

##### **Table 4: Class explanation**

This table provides examples for the class codes, for example Class Code: travel includes workshops and meetings, and so on.

##### **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 per cent for administrative fees could be considered, notably if a project implementing organization is tasked with project management.
- Personnel and contractual services costs should not exceed 50 per cent of the requested amount from the Special Programme Trust Fund.
- 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

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<sup>12</sup> 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.

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

office equipment, premises, vehicles, fuel, etc. will not be eligible for support. In duly justified circumstances, a maximum 10 per cent for specialized and technical equipment costs could be considered.

- The budget for monitoring, evaluation and audit shall all together have a maximum total of US\$ 15,000.

**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 include the following:

- 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.;
- 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.

#### **“Additional documents”**

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

- 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;
- A list of non-expendable equipment, including the estimated costs.

## **11. What will happen next?**

The secretariat will acknowledge receipt of the application package, no later than one week after 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 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 secretariat of the Minamata Convention, the Strategic Approach secretariat, and the secretariat of the Global Environment Facility, and partners to IOMC as appropriate. The secretariat will submit its report of the complete and eligible proposals as well as its appraisal to the Executive Board for review and consideration at its annual meeting.

### **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 its annual meeting and approve projects subject to the availability of funds.

### **Notification**

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

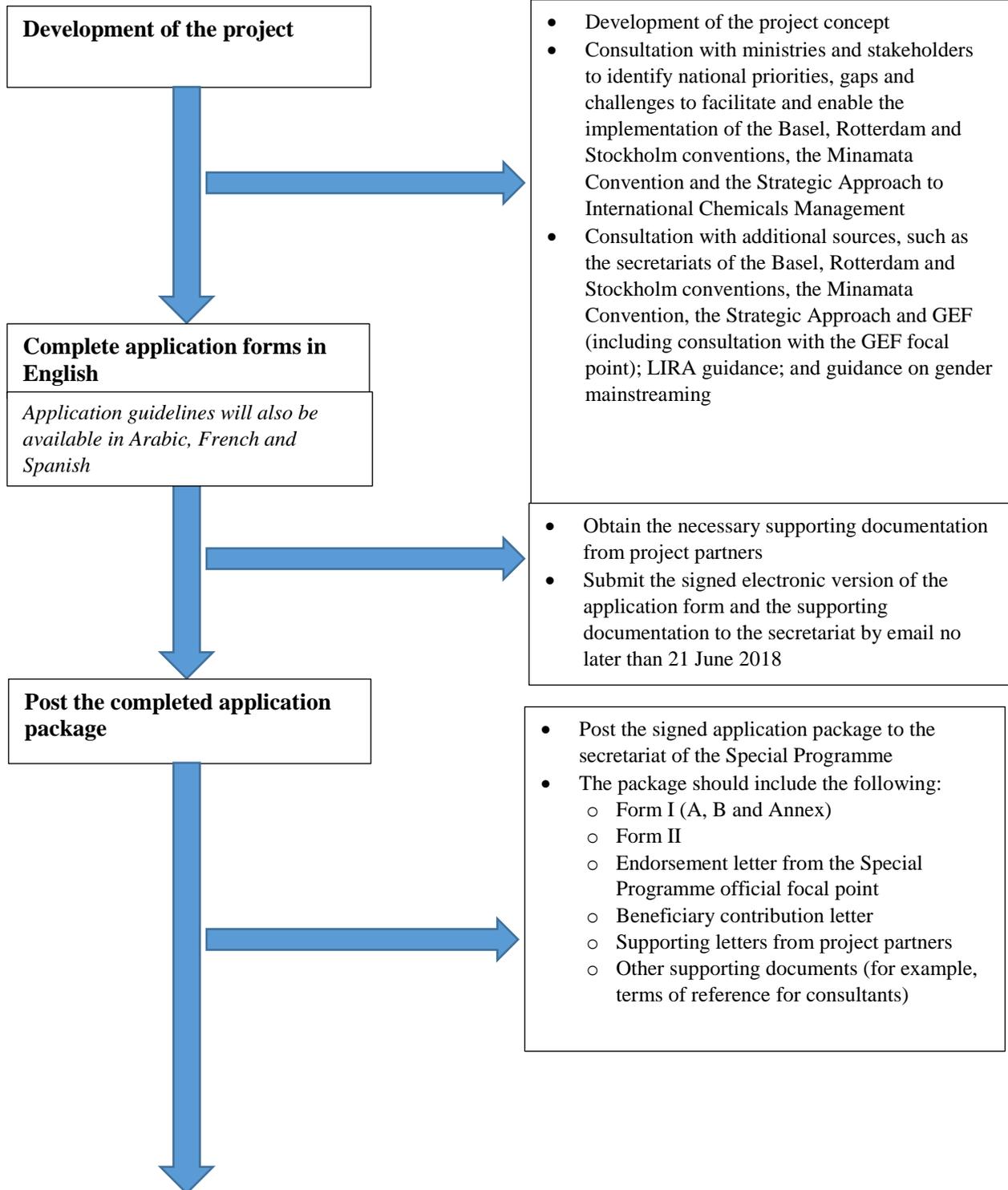
### **Implementation arrangements**

Activities financed by the Special Programme Trust Fund will be implemented in accordance with the project management arrangements approved by the Executive 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 UNEP as the Trust Fund administrator. Financial and reporting arrangements will be set up with the project manager.

**Annex I: Schematic plan of the project development process for the third round of applications  
(23 February–21 June 2018)**

**CALL FOR APPLICATIONS**

**23 February 2018**



**APPLICATION DEADLINE**

**21 JUNE 2018**

**Appraisal process by the Special Programme secretariat**



**FEEDBACK SENT BY THE SECRETARIAT**

**Mid-August 2018**

**Revision and submission of the final application**



- Revise the application, taking into account the feedback and comments provided by the secretariat
- Consult with project partners and stakeholders
- Consult with the secretariat for further guidance
- Resubmit the final application to the secretariat by mid-September 2018

**FINAL APPLICATION DEADLINE**

**Mid-September 2018**

**Decision by the Executive Board at its fourth meeting (in late November or early December 2018)**

## **Annex II: Terms of reference for the Special Programme<sup>1</sup>**

### ***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 of the Governing Council/Global Ministerial Environment Forum of the United Nations Environment Programme (UNEP) at its first universal session:

#### **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;
  - (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.

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<sup>1</sup> Environment Assembly resolution 1/5, annex II.

#### **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 bureaux 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**

24. 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.