**Special Programme
Application Guidelines**


Sixth round of applications


Call for Applications opens: 11 April 2022
Application Deadline: 12 August 2022

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# 1. Developing Special Programme Project Proposals

An important first step in the application process is to clearly identify the problem(s) that lead to the need for this project. The main rationale for the project should be defined as a solution to the problem(s) in a way that allows others understand the intentions of the intervention, the proposed activities and results, key roles and responsibilities, and the resources required for the successful delivery of the project and ultimately a sustainable solution to the stated problem.

This document sets out project development tools and considerations that may assist applicants in the conceptualisation of their project prior to fill in the application forms.

The document uses the principles of "Results Based Management" and the "Theory of Change", as outlined in Appendix 1, to show how a project can be conceptualised. An example project is presented in this document to serve as illustration of how to move from project idea, through project planning, to sound project design and management that will be reflected in the narrative and financial application forms. This example project is also used in the next chapter of these guidelines to help illustrate how to fill in the application form.

> Note: Guidance on specific considerations that relate to the drafting of regional projects is highlighted in grey boxes throughout this document.

# 2. Project application form A: Project Description

## SECTION 1: PROJECT PROPOSAL SUMMARY

1.1.   **Project title:** Enter the title of the project.

1.2.   **Applicant Government and Applicant Government Institution:** Fill in the name of the country(ies) and institution(s) making the application.

> For regional projects: it is a requirement that one Government is specified as a project lead. This country will submit the application on behalf of all of the countries involved. All countries listed on a regional application should also be on the Development Assistance Committee (DAC) list of Official Development Assistance (ODA) at the time of application.

1.3.   **Total Proposed Budget:** Indicate the total budget being requested from the Special Programme Trust Fund, including any administrative costs.  This total should not include the amount of the beneficiary contribution

1.4.   **Duration:** Indicate the proposed project duration, expressed in the number of months, noting that 36 months (3 years) is the maximum duration of a project. According to UN financial rules and practices a project is to be closed as soon as possible after the date of operational completion, and no more than 12 months after that date.

1.5. **Country status:** Indicate which of the Chemicals and Waste related Conventions your country is Party to or is planning to ratify in the near future. Furthermore, indicate whether the Applicant Government is a developing country, country with an economy in transition, a Small Island Developing State or a Least Developed Country.

1.6. **Project Summary / Objective [maximum 350 words]:** Present a summary of your project. The summary should include the rationale for the project, its intended objective and impact as well as how these will be achieved (i.e. by outlining key outputs). Applicants should also indicate how the project will contribute to institutional strengthening for the sound management of chemicals and waste and mention key partners in implementation.

**It is important that this summary is developed so that it can be publicly disseminated as a standalone item.** The summary should be developed in a manner that is easily understood by decision makers and stakeholders.

Below are examples of weak and strong project objectives:

| Examples of Weak Outcome Statements | Issue | Examples of Strong Outcomes |
|---|---|---|
| Use of plastic is reduced | Does not identify for whom or where the expected change will occur.<br><br>Not achievable in the context of one project | Use of single use plastic bags by the public is phased out and reusable alternatives are promoted |
| Plastic waste is soundly managed | Does not specify direction of expected change, nor whom, specifically, it will affect<br><br>Not achievable in the context of one project | Reduced transboundary movement of illegal plastic waste into country X |
| Better chemicals and waste policy | Statement is too vague<br><br>Very difficult to know what to measure when selecting indicators.<br><br>Would be very difficult to report on the impact of such an objective | Improved coherence and comprehensiveness of existing chemicals and waste legislation in country X in the context of its obligations towards the Chemicals and Waste related Conventions |

1.7. **Summary of 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.

1.8. **For Countries that have previously implemented Special Programme Funded Projects: Describe how the current project builds on your previous project(s):** Countries that have successfully applied for funding from the Special Programme Trust fund can apply for further funding in subsequent rounds of application following the successful completion of their initial project. Cumulative allocations to a country are decided by the Executive Board, based on the contributions received and the needs expressed in the applications submitted. To facilitate the appraisal of the current project provide an overview on the achievements and lessons learned during your previous project and how the current project fulfils the achievement of national priorities.

1.9. **For Regional Projects: Describe regional context:** Provide information on which countries will be participating in this project, what their involvement will be and which country will act as the project lead. The lead country will take responsibility for direct engagement with the Special Programme Secretariat on project implementation and reporting. Furthermore, provide details on how the project is expected to facilitate the sound management of chemicals and waste in the context of the regional challenges.

1.10. **Budget and funding summary:** List the budget for each proposed output. The budget and funding summary present a breakdown of the requested amount from the Special Programme. The beneficiary contribution from the Applicant Government(s) should also be captured here. The figures in this table must match the figures provided in the detailed budget in the excel file.

1.11. **Information Regarding Additional Funding Sources:** Indicate all other related contributions from the Government(s) as well as funding received or requested at the national and international levels, including from intergovernmental organizations, foundations and the private sector. Furthermore, 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, 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.

## *SECTION 2: PROJECT DESCRIPTION*

### 2.1.   Proposed Measures

**Provide a title and brief description of the proposed measure and how it will contribute to the objective of the project**

Under this section, the specific measures or outputs which are proposed for financial support should be described. The proposed measures should clearly demonstrate how they will facilitate and enable the ratification and/ or implementation of the Basel, Rotterdam and Stockholm conventions, the Minamata Convention and the Strategic Approach to International Chemicals Management.

Proposed measures/ outputs are the availability (for intended beneficiaries/users) of new products and services and/or gains in knowledge, abilities and awareness of individuals or within institutions. that will be delivered by the project. Outputs relate to the completion of activities and project managers have a high degree of control over them. Points to consider when formulating a proposed measure/ output:

- **What:** The product or service being provided, and in what topic or subject, e.g. training, legislation, database, strategy, information materials on a specific subject.

- **Qualifier:** The "what" can be qualified if it helps describe a standard, e.g. gender sensitive training or environmentally responsible disposal strategy. This qualification should not be subjective.

- **Verb:** Use a verb in the <u>past tense</u>, e.g. provided, delivered, completed, organized.

- **Whom:** The target audience, e.g. general public, ministry officials, farmers, enforcement officers.

Below are examples of weak and strong outputs/ proposed measures:

| Examples of weak output/ proposed measure | Issue | Examples of strong output/ proposed measure |
|---|---|---|
| Identify major barriers and priority measures needed to improve national legislation on chemical management. | The output does not describe the specific products or services the country is actually expected to deliver, such as technical assistance, or training, or mentorship, etc.<br><br>It contains the term "improved." Only outcome statements start with an adjective that indicates direction (increased, improved, strengthened, etc.); outputs do not. | Chemicals and waste related legislation reviewed, updated and endorsed by relevant Government officials.<br><br>Chemicals and waste management mainstreamed in the Government's upcoming national development plan and budget |
| Planning the project, Establish the project management team, Data gathering, conducting work shop and Training on CP Techniques and Risk and Impact Assessment, | These outputs are detailed at the activity level, leading to a longer list of outputs than needed.<br><br>Combines multiple outputs into one. | Project management team established<br><br>Research conducted to gather data on cleaner production techniques within the chemicals industry<br><br>Training provided to workers in the chemicals industry on Risk and Impact Assessment |
| Undertake an awareness raising and education campaign | The output does not describe the specific products or services the country is actually expected to deliver, such as technical assistance, or training, or mentorship, etc.<br><br>The output does not specify the target group or provide a qualifier about the scope of the campaign.<br><br>The output does not reflect how the country will fulfil its obligations towards the | Awareness raising and education campaign for the general public on chemical safety conducted |

| | Chemicals and Waste related conventions and SAICM objectives. | |
|---|---|---|

For each proposed measure/ output the following details will need to be provided:

- A description of the activities and tasks that will take place under each output as well as their sequence and timing will need to be provided. **Please note that this text links directly into Section 3: Logical Framework and Workplan.**
- The roles and responsibilities of all involved stakeholders must be detailed, including intergovernmental organizations, ministries, departments, NGOs and/or relevant private sector entities.
- An explanation of how these outputs and activities will improve the capacity of stakeholders for the sound management and chemicals and waste. The proposed outputs should strengthen capacity-building at the country level and strengthen technical know-how and its application.

### *Explain how this proposed measure will contribute to Institutional Strengthening*

Under this section provide an explanation of how each of the proposed measure/ output listed 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.

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 waste throughout their life cycle.

It is therefore important to explain how each proposed measure/ output will address the sustainability of institutional strengthening at the national level supported by the project.

### *Activities: Provide a title and brief description of the activity and how it will be implemented*

Under this section, the specific activities that will lead to the achievement of the proposed measures/ outputs which are proposed should be described.

The activities of a project are the tasks and actions needed to achieve the proposed measures/ outputs and, by extension, the outcome(s). It is recommended that three to five activities are included for each measure/output, but the exact number will depend on the nature of a specific project. Each activity must represent a task necessary for achieving the proposed measure/output.

Points to consider when formulating the project activities:

- **Verb:** A verb describing the action to be taken, e.g. provide, train, produce, hire, prepare, develop.

- **What:** The i) activity being undertaken and ii) in what topic or subject.

- **Whom:** The individuals, groups, organizations or entities for whom, or in cooperation with whom, the activity will be undertaken.

Below are examples of weak and strong activities:

| Examples of weak activities | Issue | Examples of strong activities |
|---|---|---|
| Training workshops | Does not specify the target audience for the workshops.<br><br>Does not specify the topic of the training workshop | Organise and deliver two training workshops for officials from the Customs Department on the surveillance/ monitoring of chemicals and waste imports and exports |
| Identification of the needs and strengthening the capacities of the stakeholders | Does not provide enough information on the activity being undertaken or the topic/ subject.<br><br>Combines multiple activities into one.<br><br>Does not provide sufficient detail on who the target audience. | Conduct a gaps and needs analysis of existing legislation related to chemicals and waste management.<br><br>Organize and deliver an awareness raising workshop for policy makers on the outcomes of the gaps and needs analysis |
| The effectiveness of information exchange for the reduction and destruction of hazardous wastes has increased in the country. | This describes an outcome not an activity.<br><br>Does not provide enough information on the activity being undertaken or the topic/ subject.<br><br>Does not provide sufficient detail on who the target audience. | Online clearing house mechanism designed and developed for customs control officers. |

*Bringing it all together*

| PROPOSED MEASURE 1 | *Provide a title and brief description of the proposed measure and how it will contribute to the objective of the project* |
|---|---|
| | **Chemicals and Waste unit established**<br><br>The Chemicals and Waste unit will be established to follow and monitor the implementation of activities in line with the country's obligations towards the BRS conventions and the Minamata Convention, to which the country is Party. In its initial phase of establishment, the unit will also act as the project management unit (PMU). The PMU will coordinate the implementation of the project including the facilitation of 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. |
| | *Explain how this proposed measure will contribute to Institutional Strengthening* |
| | The implementing organisation will start the process of applying for the inclusion of the project management unit as a permanent unit within the government. Following the initial project-based establishment of the project management unit (Chemicals and Waste Unit) in the implementing organisation, 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 and Waste Unit will provide dedicated services for the sound management of chemicals and waste in the country. |
| | **Activity 1.1:** Project Management Unit established, endorsed and fully functional **Proposed cost:** 5,000USD |
| | Project Management Unit will be established within the first 2 months of project implementation and will be endorsed by the relevant authorities in the Ministry of Environment and fully functional. The PMU will be composed of relevant technical staff from the ministry and supported by a newly hired administrative assistant. The PMU will also consist of external stakeholders with in depth scientific knowledge in the sound management of chemicals and waste from the national university, |
| | **Activity 1.2:** Project Inception workshop organised and held **Proposed cost:** 3,000USD |
| | The project inception workshop will be held in the first quarter of the implementation phase of the project. It will bring together all project partners and relevant stakeholders in the country who are involved in the sound management of chemicals and waste. The workshop will focus on i) raising |

| | | |
|---|---|---|
| | awareness of the project at the national level to ensure continued government support of the project objectives; and, ii) endorsement of the project implementation plan by partners and stakeholders. | |
| | **Activity 1.3:** Monthly meetings of the Project Management Unit organised and held | **Proposed cost:** In-Kind |
| | The PMU will hold monthly meetings throughout the duration of the project to ensure that all the project milestones are on track and that the project budget is being adhered to. This will also provide the PMU with an opportunity to flag problems as they arise and implement mitigation measures as needed in a timely manner. | |
| | **Activity 1.4:** Terms of reference for and hand over report of permanent Chemicals and Waste Unit developed | **Proposed cost:** In-kind |
| | In Year 3 of the project, the PMU will draft the terms of reference of the permanent Chemicals and Waste Unit that will continue the work of ensuring the sound management of chemicals and waste in the country. Handover notes will also be drafted to support the terms of reference and will contain information on lessons learned during the project implementation phase and recommendations on priorities and a way forward for the Chemicals and Waste Unit. | |
| | **Activity 1.5:** Project Management Unit endorsement for reestablishment as a permanent Chemicals and Waste Unit and fully operational | **Proposed cost:** 500USD |
| | As the project comes to a close, the members of the Chemicals and waste management Unit will be confirmed, and the relevant documentation will be drafted to formalise the establishment of the unit. The documents will be forwarded to the relevant Ministry office for official endorsement. | |

**2.2. Detailed Description of the Associated Domestic Measures:** Under this section list the specific associated domestic measures that are in place or are to be taken to ensure the sustainability of national institutional capacity in the long term following the completion of the project. This should not be a repetition of the proposed measures described in section 2.1 above, but instead should clearly describe the additional measures that the country is taking to ensure the sustainability of the project outputs and outcomes. Explain how the associated domestic measures will address the sustainability of institutional strengthening at the national level and demonstrate how each of the specific associated domestic measures 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. Examples of associated domestic measures include:

- **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;
- **Mainstreaming of chemicals and waste issues** into the national development plans and budgetary planning; and
- **Creating an enabling environment for the enforcement** of newly adopted legislation to ensure the effectiveness and sustainability of the project outcomes.

| DETAILED DESCRIPTION OF THE ASSOCIATED DOMESTIC MEASURES | *Provide a description of the Associated Domestic Measure corresponding to proposed measure 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. |

**2.3. Detailed information on project management and implementation:** Indicate the organization or institution responsible for project management and how the project will be managed.

In addition, explain how the different partners involved in the project (intergovernmental organization(s), governmental entity(ies), other actors such as non-governmental organization(s), or the regional and sub-reginal centres established under the Basel Convention and Stockholm Convention) will be involved, taking care to clearly describe the roles and responsibilities of the different entities. To ensure that all partners fulfil their respective responsibilities with respect to the project, the project team should consider the necessary formal and informal arrangements. For example, it should be specified if certain partners are required to take the lead of specific outputs and/or provide data on results for monitoring and evaluation. Also, indicate how the project will ensure both accountability of, and coordination between, different relevant national authorities and partners.

Furthermore, present the project implementation structure through an organizational diagram, and 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; and
- Indicate how the project will ensure both accountability of, and coordination between different relevant national authorities and partners.
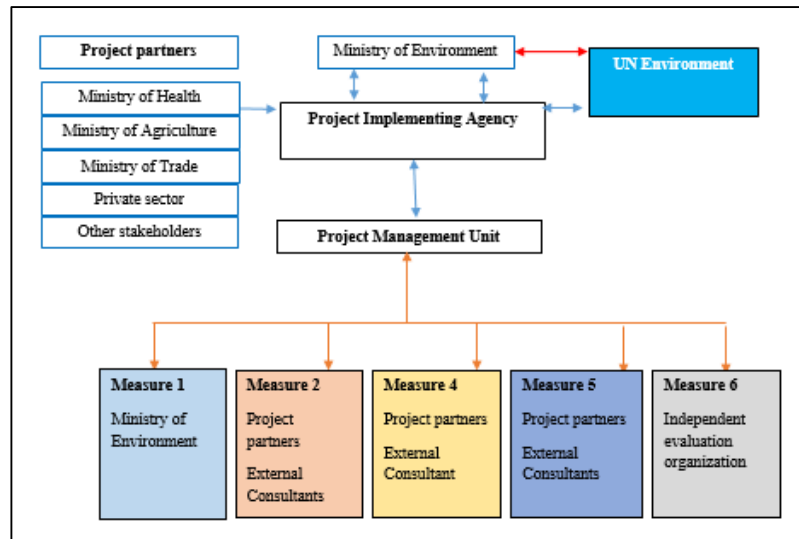
For regional projects: the "Detailed information on project management and implementation" should clearly indicate how the lead government will coordinate the effective implementation of the project and how project implementation will be divided amongst the participating governments, as appropriate.

| | |
|---|---|
| **DETAILED INFORMATION ON PROJECT MANAGEMENT AND IMPLEMENTATION** | **Role of the Project Management Unit**<br><br>The day-to-day management and administration of the project will be handled by the Project Management Unit (PMU) headed by the Project Coordinator from the Ministry of Environment. The PMU will provide secretariat services that includes, among others:<br><br>• Scheduling and coordinating meetings;<br>• Setting the meeting agendas;<br>• Producing documentation and distributing to members;<br>• Recording and distributing to members meeting minutes;<br>• Managing correspondence;<br>• Hiring and managing personnel<br>• Completing inputs from national stakeholders and developing final products in line with the proposed measures/ outputs<br>• Fulfilling reporting, monitoring and evaluation requirements<br><br><br><br>**Descriptions of the roles of <u>all</u> the project stakeholders listed in the graphic above should be provided.** |

**2.4. 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).

| | |
|---|---|
| **PROJECT ASSUMPTIONS** | **Risk 1**: Delay of project activities due to inefficient HR procedures (for example, hiring national consultants), inefficient personnel, or coordination challenges.<br>**Mitigation measure 1**: 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. <br><br> **Risk 2**: Development and endorsement of policies delayed. <br> **Mitigation measure 2:** The existing parliamentary committee on environment will take up the responsibility of ensuring political support is obtained where necessary. |
|---|---|

**2.5.    Project gender mainstreaming and safeguard considerations:** Indicate how the project will take into account gender mainstreaming and safeguard considerations.

*Relevant activities, indicators and targets should also be included in the project logframe to reinforce the commitment to gender mainstreaming and safeguard considerations.*

The primary objective of gender mainstreaming and safeguard considerations is to design and implement projects, programmes and processes that:

- Do not enforce existing gender inequalities;
- Attempt to redress existing gender inequalities;
- Attempt to redefine women and men's gender roles and relations at the structural level.
- Avoid or minimize generation of hazardous or non-hazardous waste and promote a human rights-based approach to the environmentally sound management and disposal of hazardous substances and wastes
- Promote and protect the rights of indigenous peoples, especially concerning their lands, territories, resources, traditional livelihoods, tangible and intangible cultural heritage, which are central to respecting indigenous peoples' identities and improving their well-being

For more information on how to integrate gender and safeguard considerations into your project please consult the application Guidance document Chapter 4 page 22.

| **PROJECT GENDER AND SAFEGUARD CONSIDERATIONS** | 1. One of the main objectives of the project is to develop an understanding amongst stakeholders on how chemicals and waste affect disadvantaged populations in the country. Therefore, a gender action plan will be developed as part of this project to guide future activities in the context of the sound management of chemicals and waste at the national level. Furthermore, the various gender dimensions of the project and its interventions will be assessed to determine the various ways in which chemicals and waste and the associated project activities impact various occupational and population groups. Efforts will be made to collect data disaggregated by sex in every project area. This gender assessment will be used to help adjust the design and interventions and subsequently inform the national development strategy for the sound management of chemicals and waste in such a way that gender equality and women's empowerment can be achieved. <br><br> 2. Raising awareness of the health impacts of chemical exposure on indigenous peoples, women and children as disadvantaged populations as part of the outreach programme that will be carried out |
|---|---|

| | under measure/output 3. |
| | |
| | 3. Promoting indigenous peoples' and women's engagement and leadership in decision-making processes during all stages of project implementation. |

**Monitoring, evaluation, financial audit and exit strategy:**

The application should include a description of the proposed monitoring, reporting, evaluation and audit plan as well as a proposal for a project exit strategy. Monitoring, evaluation, reporting, financial audit and the exit strategy should be listed as separate activities in the workplan and budget. The total combined budget for monitoring, evaluation and audit should not be higher than a maximum of US$ 15,000.

**Monitoring:**

Monitoring is the systematic collection of data on progress towards the project's overall objective/outcome, proposed measures/outputs, and activities. This is done to determine the extent to which the project is set to achieve its indicators and targets as outlined in the logframe.

**Monitoring is conducted by the project team**. It is the responsibility of the project manager and must be conducted on a regular basis. For this reason, monitoring should be built into the project work plan as a separate activity and allocated the necessary human and financial resources from the start.

To facilitate the monitoring of the overall project objective/outcome, at least one of the following Special Programme Core Indicators should be included in the logframe:

- **Core Indicator 1**
  Extent of strengthened government capacity and coordination mechanism to support development and implementation of National Strategies for Chemicals and Waste Management as a result of funding from the Special Programme

- **Core Indicator 2**
  Degree of integration of chemicals and waste management into national and sector planning - formally proposed, adopted, or being implemented including required reporting to the relevant Conventions and voluntary reporting to SAICM

In addition, further project-specific indicators should be used to assess progress towards the objective/outcome, proposed measures/outputs and milestones/activities. It is suggested to include indicators covering aspects such as:

- Performance of the project against its defined objective, proposed measure or activity
- Capacity of the project to target its beneficiaries
- Stakeholders and sectoral involvement in the project implementation
- Sustainability of the project and follow-up

In order to clarify roles and responsibilities for monitoring within the project team, a simple table could be developed specifying "what will be monitored, how often, by whom and how".

| What?<br>Item being monitored | How often?<br>Periodicity (i.e. 2 months) | Who?<br>Person responsible in the team | How?<br>Indicators, Means of verification |
|---|---|---|---|
| Overall Objective/Outcome | | | |
| Proposed Measures/outputs | | | |
| Activities | | | |

**Reporting:**

Reporting is the presentation of information collected as part of your monitoring to the Special Programme Secretariat. The report must therefore fulfil the requirements of the Special Programme Secretariat so that the information provided is easy to understand and use.

During the implementation phase, project managers will submit:

- Core Indicator Scorecard sheets as per the template provided by the Special Programme Secretariat.
- Narrative progress reports every twelve months, except where otherwise agreed, and a final narrative report.
- Cumulative expenditure reports every twelve months, except where otherwise agreed, and final financial report.

**Evaluation**:

Evaluation is a systematic and impartial assessment of the expected and unexpected results and achievements of the project. It provides the project team with independent findings, conclusions about the project and recommendations for future similar projects.

The evaluation should be conducted by an **independent external expert**, unlike monitoring which is conducted by the project team. It is the responsibility of the project manager to identify and hire an independent expert as a consultant who will conduct the evaluation of the project during the last months of project implementation. For this reason, the evaluation should be built into the project work plan as a separate activity and allocated financial resources for hiring the independent expert.

The evaluation will assess the achievements of the project according to a set of questions that will be provided by the Special Programme Secretariat to the Project Team in the form of a standard evaluation Terms of Reference template. The project team will manage the entire evaluation process, whereas an external evaluation expert, hired by the project team, will conduct the evaluation in terms of data collection, data analysis and report writing. The

evaluation will focus on three evaluation criteria: effectiveness, factors affecting performance and sustainability. The result of the evaluation will be a final evaluation report with findings, conclusions and recommendations addressed to the project team.

**Financial Audit:**

The use of resources within the United Nations is guided by the UN Financial Regulations and Rules. The United Nations Secretariat, under which the UN Environment Programme and therefore the Secretariat of the Special Programme falls, is subject to audits by the UN Office of Internal Oversight Services and the UN Board of Auditors. All projects under the Special Programme are externally executed, and therefore the applicant country is responsible for the financial management of the project.

Upon completion of the project, a final project audit should be undertaken by an independent auditor. Projects that are implemented by a government entity will be required to submit a copy of its consolidated audited financial statements, wherein Special Programme funding is clearly identified, issued by an independent audit authority and as presented to and endorsed by the country's governing body. A person or institution who will be responsible for undertaking the audit should be identified in application form Annex 1.

**The arrangements for monitoring, evaluation and financial audit should be a simple but robust mechanism with <u>a budget not higher than a maximum total of US$15,000.</u>**

**Exit strategy:**

The exit strategy consists of an institutional arrangement to ensure that the project results and structures will be maintained after the completion of the project.

It is the responsibility of the project manager to embed, plan and implement the exit strategy during the lifetime of the project. It has to be planned for from the start of the project and should be reflected in the workplan as a separate activity. The activities related to the exit strategy should financed as part of the core funding of the project.

## SECTION 3: PROJECT LOGICAL FRAMEWORK

The Project Logical Framework is **completed based on the information provided in previous sections of the application**, particularly Section 2: Project Description. In some areas you will simply need to copy and paste the correct section into the appropriate box in the logical framework.

### *Overall project Objective/outcome*

Review the information provided under section 1.8 "Project Objective/Outcome". Based on this information provide a brief summary of the project objective in the appropriate box.

| | |
|---|---|
| **PROJECT SUMMARY / OBJECTIVE: DESCRIBE THE RATIONALE FOR THE PROJECT AND THE PROJECT'S INTENDED OBJECTIVE OR OUTCOME** | The country's institutional capacity for the sound management of chemicals is enhanced through the establishment of a chemicals and waste management unit that will be responsible for the implementation of activities in line with the country's obligations of the BRS Conventions and the Minamata Convention, to which the country is Party. A specific focus on the impacts of chemicals and waste on gender related issues will also be examined. The country will also work towards improving its ability to report on its obligations under the Basel and Stockholm Conventions, and the Minamata Convention. This will be carried out by establishing a sustainable data collection clearing house mechanism to facilitate the monitoring of necessary information that will contribute towards the country's reporting obligations. |

| Overall project Objective/outcome | Indicators | Means of verification |
|---|---|---|
| The country's institutional capacity for the sound management of chemicals and waste is enhanced, particularly in the context of gender, and ability to report on obligations under chemicals and waste related Conventions is improved | Include at least one of the two outcome level indicators provided for in the Special Programme Monitoring, Evaluation, and Learning Toolkit<br><br>[All indicators should have a measurable Baseline and Target listed in brackets] | Insert both data source and method for measuring progress against indicator target |

***Outcome Level Indicators***

Under this section, list the indicators that will be used to measure the achievement of the overall project objective/outcome. You should include at least one indicator for each Proposed Measure listed. They can be qualitative or quantitative, as explained in the table below, and are composed of a unit of measure, a unit of analysis and a context.

An indicator is a quantitative or qualitative measure that provides a simple and reliable means to assess results and to track progress towards project targets. Good indicators conform to the CREAM principles: i.e. they should be Clear, Relevant, Economic, Adequate and Monitorable.

When defining indicators, also provide information on the baseline situation, i.e. where are you now and information on your targets, i.e. where do you plan to be once the project is completed. Project targets should conform to the 'SMART principles: i.e. they should be Specific, Measurable, Achievable, Realistic and Time-Bound.

| | **Purpose** | **Examples** | **Data sources** |
|---|---|---|---|
| **Quantitative indicators** | - Measure actions, variations, tendencies and levels of knowledge<br>- Helps determine: how many? How much? How often?<br>- Close ended: variables or themes are predefined before data collection begins | Number of –<br>Frequency of –<br>Increase/decrease of Ratio of –<br>Percentage of – | - Project records<br>- Service statistics<br>- Survey at the program level<br>- Survey at the population level (local, national) |
| **Qualitative indicators** | - Provides information about attitudes, perceptions and motivations.<br>- Answer why?<br>- Usually structured in an open-ended fashion (allow spontaneous info) | Level of…<br>Compliance with…<br>Extent to…<br>Quality of…<br>Presence of…<br>Perception of… | - In-depth interviews<br>- Case studies<br>- Focus Groups<br>- Observations<br>- Client studies |

It is also required that countries include at least one of the two outcome level indicators provided for in the Special Programme Monitoring, Evaluation, and Learning Toolkit, specifically:

- **Core Indicator 1**
  Extent of strengthened government capacity and coordination mechanism to support development and implementation of National Strategies for Chemicals and Waste Management as a result of funding from the Special Programme (Outcome indicator, Qualitative)

- **Core Indicator 2**
  Degree of integration of chemicals and waste management into national and sector planning - formally proposed, adopted, or being implemented including required reporting to the relevant Conventions and voluntary reporting to SAICM (Outcome Indicator, Qualitative)

Including these outcome level indicators in your projects will allow for the consistent and effective reporting against the programmatic level indicators for the Special Programme and will help to showcase your project's achievements.

## *Means of Verification*

Under this section, list at least one means of verification for each indicator provided. A means of verification is a tool that can be used to confirm whether or not the indicator, and ultimately the project objective/outcome has been achieved. These can include reports, other documentation, records, contracts, evaluations or by other means as appropriate for each indicator provided.

## *Performance targets*

Performance Targets are benchmarks 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 Review the information provided under section 2 "Project Description". Based on this information copy the title of each proposed measure into the appropriate box.

| PROPOSED MEASURE 1 | *Provide a title and brief description of the proposed measure and how it will contribute to the objective of the project* |
|---|---|
| | **Chemicals and Waste unit established**<br><br>The Chemicals and Waste unit will be established to follow and monitor the implementation of activities in line with the country's obligations towards the BRS Conventions, the Minamata Convention and SAICM, to which the country is Party. In its initial phase of establishment, the unit will also act as the Project Management Unit (PMU). The PMU will coordinate the implementation of the project including the facilitation of 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 |

| Performance targets (milestones show progress towards completing the project outputs and achieving the overall project outcome) | Expected Milestone |
|---|---|
| **Proposed Measure 1** Chemicals and Waste Unit established | **Month 6/Year 1** |

## *Expected Milestone*

The expected milestones highlight when each proposed measure is expected to be achieved during the period of project implementation.

*Bringing it all together*

| Overall project Objective/outcome | Indicators | Means of verification |
|---|---|---|
| The country's institutional capacity for the sound management of chemical sand waste is enhanced, particularly in the context of gender, and ability to report on obligations under chemicals and waste related Conventions is improved. | [Insert here at least one of the two Special Programme Core Indicators]<br><br>Establishment of a chemicals and waste unit [Baseline: 0; Target: 1]<br><br>Clearing House Mechanism developed [Baseline: 0; Target: 1]<br><br>Reports submitted to the Basel, Stockholm and Minamata Secretariats [Baseline: 1; Target: 3]<br><br>Gender action plan and recommendations developed [Baseline: 0; Target: 1] | <br><br>Letter from the Minister of Environment, announcing the establishment of the Chemicals and waste Unit<br><br>Website of the Clearing House Mechanism link to URL<br><br>Reports and submissions to Conventions secretariats<br><br>Gender action plan document |

| Performance targets (milestones show progress towards completing the project outputs and achieving the overall project outcome) | Expected Milestone |
|---|---|
| **Proposed Measure 1** Chemicals and waste unit established | **Month 6/Year 1** |
| **Proposed Measure 2** Clearing House Mechanism developed and fully operational | **Month 6/Year 2** |
| **Proposed Measure 3** Reports to the Basel, Stockholm and Minamata Conventions are submitted to the respective Secretariats | **Month 12/Year 2** |
| **Proposed Measure 4** Gender action plan developed, and recommendations developed | **Month 12/Year 3** |

Review the information provided under section 2 "Project Description". Based on this information copy <u>the title</u> of each proposed measure into the appropriate box.

| PROPOSED MEASURE 1 | *Provide a title and brief description of the proposed measure and how it will contribute to the objective of the project* |
|---|---|
| | **Chemicals and Waste Unit established** <br><br> The Chemicals and Waste unit will be established to follow and monitor the implementation of activities in line with the country's obligations towards the BRS Conventions and the Minamata Convention, to which the country is Party. In its initial phase of establishment, the unit will also act as the project management unit (PMU). The PMU will coordinate the implementation of the project including the facilitation of 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 |

| Proposed Measure 1 | Indicators | Means of verification |
|---|---|---|
| Chemicals and waste unit established | [All indicators should have a measurable Baseline and Target listed in brackets] | Insert both data source and method for measuring progress against indicator target |

### *Output Level Indicators*

Under this section, list the indicators that will be used to measure the achievement of the outputs/proposed measures. You should include at least one indicator for each activity listed. Indicators can be qualitative or quantitative, as explained in the table above, and are composed of a unit of measure, a unit of analysis and a context.

Ensure that for each indicator a baseline and target are set. 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.

Output level indicators should be drafted in a way that they inform progress towards the outcome level core indicators provided for in the Special Programme Monitoring, Evaluation, and Learning Toolkit, as described in the section on outcome level indicators, above.

### *Means of Verification*

Under this section, list at least one means of verification for each indicator provided. A means of verification is a tool that can be used to confirm whether or not the indicator, and ultimately the project objective/outcome has been achieved. These can include reports, other documentation, records, contracts, evaluations or by other means as appropriate for each indicator provided.

## Activities

Review the information provided under section 2 "Project Description". Based on this information copy the title of each activity into the appropriate box, as shown below.

| PROPOSED MEASURE 1 | Activity 1.1: Project Management Unit established, endorsed and fully functional | Proposed cost: 5000USD |
|---|---|---|
| | Activity 1.2: Project Inception workshop organised and held | Proposed cost: 3000USD |
| | Activity 1.3: Monthly meetings of the Project Management Unit organised and held | Proposed cost: In-Kind |
| | Activity 1.4: Terms of reference for and hand over report of permanent Chemicals and Waste Unit developed | Proposed cost: In-kind |
| | Activity 1.5: Project Management Unit endorsement for reestablishment as a permanent Chemicals and Waste Unit and fully operational | Proposed cost: 500USD |

| Activities / Milestones | Expected Milestone |
|---|---|
| Activity 1.1 Project Management Unit established, endorsed and fully functional | Month 2 / Year 1 |
| Activity 1.2 Project Inception workshop organised and held | Month 3 / Year 1 |
| Activity 1.3 Monthly meetings of the Project Management Unit organised and held | Month 2 /year 1 – Month 12 / Year 3 |
| Activity 1.4 Terms of reference for and hand over report of permanent Chemicals and Waste Unit developed | Month 8 / Year 3 |
| Activity 1.5 Project Management Unit endorsement for reestablishment as a permanent Chemicals and Waste Unit and fully operational | Month 8 / Year 3 |

## Expected Milestone

The expected milestones highlight when each proposed measure is expected to be achieved during the period of project implementation.

### *Bringing it all together*

| Proposed Measure 1 | Indicators | Means of verification |
|---|---|---|
| Chemicals and Waste Unit established | Project Management Unit established (baseline: 0; target: 1)<br><br>Monthly meetings of the PMU organised (baseline: 0; Target: 36)<br><br>Inception workshop held (Baseline: 0; Target:1)<br><br>Terms of reference for and hand over report of permanent Chemicals and Waste Unit developed (Baseline: 0; Target: 1)<br><br>Chemicals and Waste Unit formally established and operational (Baseline: 0; Target: 1) | Nomination/Appointments letters for PMU members<br>List of PMU members<br><br>Meeting minutes of the PMU including list of participants.<br><br>Inception workshop report, including list of participants<br><br>Chemicals and Waste Unit TORs<br>Hand over report<br><br>Nomination/Appointments letters for permanent Chemicals and Waste Unit members<br>List of Unit members |

| Activities / Milestones | Expected Milestone |
|---|---|
| **Activity 1.1** Project Management Unit established, endorsed and fully functional | **Month 2 / Year 1** |
| **Activity 1.2** Project Inception workshop organised and held | **Month 3 / Year 1** |
| **Activity 1.3** Monthly meetings of the Project Management Unit organised and held | **Month 2 /year 1 – Month 12 / Year 3** |
| **Activity 1.4** Terms of reference for and hand over report of permanent Chemicals and Waste Unit developed | **Month 8 / Year 3** |
| **Activity 1.5** Project Management Unit endorsement for reestablishment as a permanent Chemicals and Waste Unit and fully operational | **Month 8 / Year 3** |

The process described above should be followed for all proposed measures / outputs. The final logframe for an approved project will form part of the project cooperation agreement. It will also form the basis for the narrative progress reports that are required to be submitted to the Special Programme Secretariat.

## *Project workplan*

Present a project workplan using the table provided. As with previous sections, the workplan is build based on information provided in sections that have already been filled out in the logframe. Please review the information provided under the "Expected Milestone" column in the logframe and copy the relevant text into the appropriate sections.

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?

| Activities / Milestones | Expected Milestone |
|---|---|
| **Activity 1.1** Project Management Unit established, endorsed and fully functional | Month 2 / Year 1 |
| **Activity 1.2** Project Inception workshop organised and held | Month 3 / Year 1 |
| **Activity 1.3** Monthly meetings of the Project Management Unit organised and held | Month 2 / Year 1 – Month 12 / Year 3 |
| **Activity 1.4** Terms of reference for and hand over report of permanent Chemicals and Waste Unit developed | Month 7 / Year 3 |
| **Activity 1.5** Project Management Unit endorsement for reestablishment as a permanent Chemicals and Waste Unit and fully operational | Month 8 / Year 3 |

| | Project Activities | Lead responsibility | Timeframe (by quarter – every 3 months) | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | Year 1 | | | | Year 2 | | | | Year 3 | | | |
| | | | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 |
| **Proposed Measure 1** | | | | | | | | | | | | | | |
| 1.1 | Project Management Unit established, endorsed and fully functional | Ministry of Environment | x | | | | | | | | | | | |
| 1.2 | Project Inception workshop organised and held | PMU | x | | | | | | | | | | | |
| 1.3 | Monthly meetings of the Project Management Unit organised and held | PMU | x | x | x | x | x | x | x | x | x | x | x | x |
| 1.4 | Terms of reference for and hand over report of permanent Chemicals and Waste Unit developed | PMU | | | | | | | | | | x | x | |
| 1.5 | Project Management Unit endorsement for reestablishment as a permanent Chemicals and Waste Unit and fully operational | PMU | | | | | | | | | | x | x | |

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 planning to resolve any anticipated problems.

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

## SECTION 4: ENDORSEMENT AND CERTIFICATION

**Official focal point: record of endorsement on behalf of the government**

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. 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. An endorsement letter from the official focal point should be submitted to the secretariat upon submission of the application.

For regional projects: Provide an endorsement letter from the lead government acknowledging its role in the project;

**Applicant Certification**

Sign and date the application form. Complete application packages should be sent electronically in **Word and PDF** versions (i.e., scanned signatures from the Applicant Government Official, National Focal Point or the GEF Operational Focal Point), to: unepchemicalsspecialprogramme@un.org **no later than 12 August 2022**.

## SECTION 5: APPLICATION CHECKLIST

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.

## ANNEX 1: CONTACT DETAILS

### Applicant

Provide details of the responsible officer and organization or institution submitting the support request.

### Implementing Ministry / Organisation

If relevant, provide details of the responsible officer and organization or institution for the implementation of the project.[1] 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 implementation plan for the development of the project agreement.

### Participating Project Partners

Provide details of the intergovernmental organization(s), governmental entity(ies), non-governmental organization(s), regional centres established under the Basel, Rotterdam, and Stockholm conventions, the Minamata Convention, and SAICM, private sector organization(s), academic or research organization(s) that will be acting in partnership with the implementing organization/institution to prepare the project proposal or implement the project. Roles and responsibilities should be included in this section.

> For regional projects: Letters of project endorsement from the official focal points of each participating country should be submitted in addition to letters from participating project partners.

**Provide letters of support from all project partners, and participating countries for regional projects, and submit them together with the rest of the application package.** This is mandatory requirement for all projects.

### Financial audit:

In the case of projects without an intergovernmental organization acting a project partner, applicants are required to identify an external auditing firm or entity. The auditor would be required to make an audit report of project expenditures indicating consolidated audited financial statements, wherein Special Programme funding is clearly identified, issued by an

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[1] 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.

independent audit authority and as presented to and endorsed by the country's governing body.

As noted above, the combined budget for monitoring, evaluation and audit should not be higher than a maximum total of US$ 15,000.

## ANNEX 2: OTHER RELEVANT INFORMATION

**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 from the Special Programme Trust Fund 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.

**Description of Projects on Institutional Strengthening of Chemicals and Waste Management**

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, 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.

Explain how the project will expand on the work of previous projects.

**Other Relevant Information About Projects That Have Been Implemented**

Provide any additional relevant information about projects that have been implemented.

**2030 Agenda for Sustainable Development**

Describe how the project could contribute to the Applicant Government's implementation of the 2030 Agenda for Sustainable Development, making reference to specific Goals and Targets, as appropriate.

**Status of Implementation (transmission of information to the secretariats pursuant to the BRS conventions and the Minamata Convention)**

Indicate your country's status with regard to the transmission of information pursuant to the Basel, Rotterdam and Stockholm conventions and the Minamata Convention on designated country contacts; national reports under the Basel, Stockholm and Minamata conventions; National Implementation Plans under the Stockholm Convention; and import responses under the Rotterdam Convention.

## *ANNEX 3: Engagement with the UN Development System*

In this section you will be asked to respond to simple multiple-choice questions on the applicant's engagement with relevant ongoing United Nations initiatives at the country level.

The information provided in response to these questions will be used for statistical purposes. It will not be used to screen out applications.

### *Why these additional questions?*

The United Nations is reforming its development system to facilitate achievement of the sustainable development goals. As part of the United Nations, UNEP is adjusting its engagement at the country level to demonstrate its contribution towards the achievement of the UN Sustainable Development Cooperation Frameworks established for individual countries. To this end, the Special Programme Secretariat would like to confirm whether applicants are aware of this process in their respective countries and whether they have taken any active steps to align their project proposals with this process.

### *What is the UN Sustainable Development Cooperation Framework?*

The UN Sustainable Development Cooperation Framework is a planning and implementation instrument for UN development activities within countries, translating the vision of Member States into UN actions and impacts on the ground.

### *Who is in charge of the UN Sustainable Development Cooperation Framework in my country?*

Each country has its own Resident Coordination Office which oversees the implementation of the UN Sustainable Development Cooperation Framework

# 3. PROJECT APPLICATION FORM B: BUDGET TABLES

The Special Programme Trust Fund may provide support **from US$ 50,000 to US$ 250,000 per project application**. In exceptional circumstances, an applicant country may request up to a maximum of US$ 500,000 given that the project satisfies the criteria outlined in the Special Programme Guidance Section 2.4.

The budget should be in United States dollars (US$). Budgets in other currencies will not be considered. Budgets should reflect the amount requested from the Special Programme Trust Fund, per year, as well as other financial or in-kind contributions.[2]

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

### Table 1: Budget summary

Summarize funding or in-kind contribution from all sources of funding.

| TYPE OF FUNDING | SOURCE OF FUNDING | Year 1 | Year 2 | Year 3 | Total |
|---|---|---|---|---|---|
| SPTF | Special Programme Trust Fund (SPTF) | | | | |
| | **TOTAL SPTF BUDGET** | - | - | - | - |
| BENEFICIARY CONTRIBUTION | Beneficiary contribution | | | | - |
| | Other (include name of donor) | | | | - |
| | **TOTAL IN-KIND BUDGET** | - | - | - | - |
| TOTAL | | | | | |
| | **TOTAL PROJECT BUDGET** | - | - | - | - |

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

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.**

For regional projects: Governments may wish to consider allocating funds that are dedicated to project coordination. This may be relevant if the project is being coordinated by a non-government entity.

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[2] 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.

| Sponsor | Project Output | Activity No. | Activities | Staff and Other Personnel Costs (FT30_010) Year 1 | Year 2 | Year 3 | Contractual Services (FT30_120) Year 1 | Year 2 | Year 3 | Equipment (FT30_135) Year 1 | Year 2 | Year 3 | Travel (FT30_160) Year 1 | Year 2 | Year 3 | Grand Total |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Special Programme Trust Fund (SPTF) | | | **Output 1:** | | | | | | | | | | | | | |
| | | 1.1 | | | | | | | | | | | | | | 0 |
| | | 1.2 | | | | | | | | | | | | | | 0 |
| | | 1.3 | | | | | | | | | | | | | | 0 |
| | | 1.4 | | | | | | | | | | | | | | 0 |
| | | | Sub-total for Output 1 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| | | | **Output 2:** | | | | | | | | | | | | | |
| | | 2.1 | | | | | | | | | | | | | | 0 |
| | | 2.2 | | | | | | | | | | | | | | 0 |
| | | 2.3 | | | | | | | | | | | | | | 0 |
| | | 2.4 | | | | | | | | | | | | | | 0 |
| | | | Sub-total for Output 2 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| | | | **Output 3:** | | | | | | | | | | | | | |
| | | 3.1 | | | | | | | | | | | | | | 0 |
| | | 3.2 | | | | | | | | | | | | | | 0 |
| | | 3.3 | | | | | | | | | | | | | | 0 |
| | | 3.4 | | | | | | | | | | | | | | 0 |
| | | | Sub-total for Output 3 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| | | | **Output 4:** | | | | | | | | | | | | | |
| | | 4.1 | | | | | | | | | | | | | | 0 |
| | | 4.2 | | | | | | | | | | | | | | 0 |
| | | 4.3 | | | | | | | | | | | | | | 0 |
| | | 4.4 | | | | | | | | | | | | | | 0 |
| | | | Sub-total for Output 4 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| | | | **Output 5: Monitoring, evaluation and financial audit** | | | | | | | | | | | | | |
| | | 5.1 | | | | | | | | | | | | | | 0 |
| | | 5.2 | | | | | | | | | | | | | | 0 |
| | | 5.3 | | | | | | | | | | | | | | 0 |
| | | 5.4 | | | | | | | | | | | | | | 0 |
| | | | Sub-total for Output 5 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| | | | Subtotal eligible costs [secured] | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| | | | Operating Costs costs (Maximim 5% of the total eligible costs) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| | | | Total eligible costs [Secured] | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |

As with previous sections, the budget is built based on information provided in sections that have already been filled out under Section 2 of the application form. Review the information provided under section 2, including the proposed cost for each activity and copy the relevant text into the appropriate sections, as shown below. Please make sure that the costs reflected in the budget and the application form are in agreement.



| Sponsor | Project Output | Activity No. | Activities | Staff and Other Personnel Costs (FT30_010) Year 1 | Year 2 | Year 3 | Contractual Services (FT30_120) Year 1 | Year 2 | Year 3 | Equipment (FT30_135) Year 1 | Year 2 | Year 3 | Travel (FT30_160) Year 1 | Year 2 | Year 3 | Grand Total |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | **Output 1: Chemicals and Waste Unit established** | | | | | | | | | | | | | |
| | | 1.1 | Project Management Unit established, endorsed and fully functional | 2,500.00 | | | | | | 500.00 | | | 2,000.00 | | | 5,000 |
| | | 1.2 | Project Inception workshop organised and held | 500.00 | | | | | | | | | 2,500.00 | | | 3,000 |
| | | 1.3 | Monthly meetings of the Project Management Unit organised and held | | | | | | | | | | | | | 0 |
| | | 1.4 | Terms of reference for and hand over report of permanent Chemicals and Waste Unit developed | | | | | | | | | | | | | 0 |
| | | 1.5 | Project Management Unit endorsement for reestablishment as a permanent Chemicals and Waste Unit and fully operational | | | | | 500.00 | | | | | | | | 500 |
| | | | Sub-total for Output 1 | 3,000.00 | 0.00 | 500.00 | 0.00 | 0.00 | 0.00 | 500.00 | 0.00 | 0.00 | 4,500.00 | 0.00 | 0.00 | 8,500.00 |

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

Provide the budget for the beneficiary contribution from the Government. If possible, provide the breakdown of the budget by proposed measure / output and activity. Table 3 will also present the details about the contribution from other sources including from the beneficiary government, other intergovernmental organizations, non-governmental organizations and the private sector, as appropriate. Please note that each entity that will be providing a beneficiary contribution must submit an individual letter specifying the amount it will contribute. Upon

project closure, an expenditure report will be required to verify expenditure against the contribution committed.

It should be noted 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".[3]

For regional projects: the total beneficiary contribution for the project should be equal to the value of at least 25 per cent of the total allocation. The participating countries can decide amongst themselves what portion of the total amount they will contribute. Each country must submit an individual letter specifying the amount it will contribute. Upon project closure, an expenditure report will be required to verify expenditure against the contribution committed.

| Source of Funds | Project Output / Activities | Staff and Other Costs | | | Operating costs (office space, transport, equipment, communications) | | | Grand Total |
|---|---|---|---|---|---|---|---|---|
| | | Year 1 | Year 2 | Year 3 | Year 1 | Year 2 | Year 3 | |
| Beneficiary contribution | Output 1: | | | | | | | 0 |
| | Output 2: | | | | | | | 0 |
| | Output 3: | | | | | | | 0 |
| | Output 4: | | | | | | | 0 |
| | Output 5: | | | | | | | 0 |
| | Total beneficiary contribution | 0 | 0 | 0 | 0 | 0 | 0 | 0 |

## Table 4: Class explanation

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

| Commitment Class | Commitment Class Name | Explanation | Recommended Percentage of Budget under each catagory |
|---|---|---|---|
| FT30_Class_010 | Staff and Other Personnel Costs | (i) Includes all costs and entitlements of personnel including staff, consultants, administrative staff, interns. (ii) Meeting facilitators, interpreters, Evaluation consultants all to be budgeted under this Class. | Combined 50% |
| FT30_Class_120 | Contractual Services | (i) Works and services of a commercial nature contracted following procurement procedures. This could include contracts given to NGOs if they are more similar to procurement of services than a grant transfer. (ii) Where meetings/workshops require venue to be hired e.g. Hotel, then relevant costs to be budgeted under this Class. (iii) Commercial printing/publication contracts to be budgeted here | |
| FT30_Class_135 | Equipment | (i) Procurement of non-consumables and specialized and technical equipment costs e.g. IT equipment. | 10% |
| FT30_Class_160 | Travel | i) All meeting costs including staff/consultant/meeting participant travel [per diem/tickets as applicable] (ii) Road / train /Fuel and vehicle/boat rental costs for staff, consultants and other project personnel | 40% |

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

**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 Trust Fund for operating costs. In duly justified circumstances, **a maximum 5 per cent for operating costs** could be considered, notably if a project implementing organization is tasked with project management. Please note that the total amount requested, including the 5 per cent for operating costs, should total no more than the maximum of $250,000 for regular projects or $500,000 for projects meeting the additional criteria for exceptional circumstances.
- It is recommended that staff and Other Personnel Costs and contractual services costs combined should **not exceed 50 per cent** of the requested amount from the Special Programme Trust Fund.
- As enhancing institutional capacity requires a minimum level of commitment notably from an administrative and logistical perspective, it is also expected that applicant countries will provide the necessary administrative and logistical support. Therefore, normal operational and running costs such as office equipment, premises, vehicles, fuel, etc. will not be eligible for support. In duly justified circumstances, a recommended **maximum 10 per cent** for specialized and technical equipment costs could be considered.
- The budget for monitoring, evaluation and audit shall all together have a **maximum total of US$ 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.; and
- 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**

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 staff;
- 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.

**Appendix 1: Overview of "Results Based Management" and the "Theory of Change" as tools to conceptualise the planning of a project**

An important first step in the application process is to clearly identify the problem(s) that led to the need for this project. The main rationale for the project should be defined as a solution to the problem(s) in a way that lets others understand the intentions of the intervention, the proposed activities and results, key roles and responsibilities, and the resources required for the successful delivery of the project and ultimately a solution to the stated problem.

This appendix sets out project development tools and some considerations that may be of help to applicants in the conceptualisation of their project prior to fill in the application forms.

The appendix should be read in conjunction with *Section B: Guidance on Special Programme Core Indicators* to be found in page 12 of the *Special Programme Monitoring, Evaluation, & Learning Toolkit*.

The core indicators, when reported on in the regular progress reports to the Secretariat, will allow the Secretariat to highlight the achievements of the projects at country level, in the context of the Special Programme's own logframe.

First this appendix introduces "Results Based Management" and the "Theory of Change" as a conceptual tool that applicants may wish to consider in the planning of their project application. The consideration of the Results Based Management and the Theory of Change is becoming widely supported as best practice in project management planning. They are an imperative preparatory step for clear, effective project design. It is suggested here to consider using a "Results Based Management" and the "Theory of Change" approach to conceptualise the project design as a first step. This will help fill in the different sections of the application forms, and specifically to help crystalizing the proposed outputs, the Logical Framework and workplan (Form A, Section 3) of the project application form.

## "Results Based Management" and the "Theory of Change"

**What is Results Based Management?**

Results based management is a management strategy by which all actors, contributing directly or indirectly to achieving a set of results, ensure that their processes, products and services contribute to the achievement of desired results (outputs, outcomes and higher-level goals or impact). The actors use information and evidence on actual results to inform decision making on the design, resourcing and delivery of programmes and activities as well as for accountability and reporting.

The aim of Results Based Management is to improve project management throughout its life cycle: from initiation (analysis, project planning and design), to implementation (results-based monitoring, adjustments and reporting), and closure (final evaluations and reports, and integrating lessons learned into future programming). Through better management, the achievement of results can be maximized and the positive changes that were set out in the project can be achieved.

Results-Based Management requires looking beyond activities and outputs to focus on the final result (outcome), meaning the changes that would lead to strengthening of institutions

for the sound management of chemicals and waste as a direct result of the project. By establishing clearly defined expected results, assessing risk, collecting information to assess their progress on a regular basis during implementation, and making timely adjustments, projects can be managed in order to maximise the achievement of results.

With Results-Based Management, the focus remains on the effectiveness of outcomes, not only during planning, but also during implementation.

**Key definitions**

- An **activity** is an action taken, or work performed, through which inputs are utilized to realise specific product or service. The activities of a project are the tasks and actions needed to achieve the project outputs and, by extension, the overall project objective/outcome.
- The **proposed measures / outputs** are the result of undertaking a series of activities. Each activity will result in a service (i.e. training, awareness raising) or a tangible output (i.e. technical guidance material, reports). The proposed measures/outputs will capture how the services or products are adopted by the intended beneficiaries and how their awareness, knowledge and behaviours has changed. It is normally captured at the level of the individuals or groups of people. For example: capacities raised of civil servants in Health and Environment Ministry.
- The **overall project objective/outcome** describes the desired overall result of a project. It is normally measured at the institutional level. For example: Increased public institutional capacity of the Government for the sound management of chemicals and waste. This will be captured with the Special Programme Core Indicators and other indicators proposed by the project.
- Drivers are the significant external factors that, if present, are expected to contribute to the realization of the intended results. Drivers can be influenced by the project and its partners. They are external factors that are required to reach a next level result in the project implementation, such as the level of engagement of stakeholders and partners, or the level of awareness of policymakers.
- **Assumptions** are significant external factors or conditions that need to be present for the realization of intended results but are beyond the influence of the project and its partners. E.g. the country's economic landscape or its political turn-over.

**What is the Theory of Change?**

The Theory of Change is a method for planning, participation and evaluation. It defines long term intended impact and then maps backward to identify necessary preconditions. It is a comprehensive description and illustration of how and why a desired change is expected to happen in a context. The aim of a Theory of Change is to understand the dynamics of change and the logical pathways between preconditions and project outputs and overall objective/outcome. It maps how change can occur, and the values that underpin views on how change happens.

In the simplest terms, the Theory of Change is a mapping exercise. It starts by defining the overall project objective/outcome, working backwards to identify intermediate steps and preconditions, explicitly depicting the causal pathways from activities to proposed measures/outputs. Defining these pathways and precise links between the activities needed and achieving the overall project objective/outcome contributes to a better understanding of

how change will occur. This then becomes a roadmap for the project implementation phase, with clear routes and measurable distances.

The Theory of Change also maps external factors that influence change along the major causal pathways defined. These factors can either be drivers or assumptions. Identifying drivers and assumptions is central to the exercise, because they inform the strategic approaches to be employed during implementation.

A Theory of Change can be represented either diagrammatically or as a narrative. This is also known as a results chain. A narrative of the Theory of Change allows for detailed discussion of stakeholder roles, needs and choices and chronological description of change dynamics. A visual representation of the Theory of Change can serve as a summary and make communicating the project's logic easier. Theory of Change diagrams can be simple or complex, depending on how much information is available and the scale of the project being designed.

| Activities | → | Outputs/Proposed Measures | → | Overall Project Objective/Outcome |
|---|---|---|---|---|

**Figure 1:** Example of a simplified results chain illustrating the links between activities, outputs/proposed measures and overall project objective/outcome of a given project

A project's theory of change will be revisited regularly during implementation, as the project and the context in which it is being delivered evolve. This is in keeping with the Results-Based Management principle of continuous adjustment: monitoring progress, comparing expected outputs to actual outputs, learning and making adjustments as required.

## Moving from the theory of change to filling in the logical framework

The Logical Framework, which takes the form of a table, is a mandatory part of a project document. It serves as the key planning tool, using the principles of results-based management to reflect the insights gained from doing a Theory of Change exercise in preparation of a project application.

The Logical Framework describes the project components and explains the details of how the project will operate and will affect the change intended. It will serve as the roadmap for implementation and as a tool for monitoring the progress and evaluating the results. It is the concrete blueprint of the project plan, assuming a linear cause and effect relationship between the activities and outputs, taking into account assumptions and baseline and setting out timeframes, targets, indicators of success, means of verification.

**SECTION 3 PROJECT LOGICAL FRAMEWORK**

| Overall project Objective/outcome | Indicators | Means of verification |
|---|---|---|
| Insert title of overall project outcome | [All indicators should have a measurable Baseline and Target listed in brackets] | Insert both data source and method for measuring progress against indicator target |
| Performance targets (project milestones that show progress towards completing the project outputs and achieving the overall project outcome) | | Expected Milestone [2] |
| Proposed Measure 1 Insert | | Insert Month/Year |
| Proposed Measure 2 Insert | | Insert Month/Year |
| Proposed Measure 3 Insert | | Insert Month/Year |
| ... Insert | | Insert Month/Year ... |

| Proposed Measure 1 | Indicators | Means of verification |
|---|---|---|
| Insert Title of Proposed Measure 1 | Insert Indicators (plus measurable baseline and target in brackets) | Insert both data source and method for measuring progress against indicator target |
| Activities / Milestones | | Expected Milestone |
| Activity 1.1 Insert title of activity for the first project output as described in the previous section | | Insert Month/Year |
| Activity 1.2 Insert title of activity for the first project output as described in the previous section | | Insert Month/Year |
| Activity 1.3 Insert title of activity for the first project output as described in the previous section | | Insert Month/Year |
| ... Insert | | Insert Month/Year ... |

The cells in blue detail the following information:

**Indicators -** quantitative or qualitative measures that provide a simple and reliable means to assess results. Indicators are used to track progress towards project targets. They should have a pre-established baseline and target.

**Means of verification -** how progress will be verified. In case of products, the evidence will be the product itself (e.g. "Assessment Report"). In case of services, it will be the summary reports or materials used to provide the service that will be provided as evidence (i.e. training materials, participation sheets, training assessment forms will be the evidence for a holding a training session)

**Expected Milestone** - time frame in which the activities are expected to be completed and reported on during the project implementation cycle.

The activities and time frames in the Logical Framework are to be reflected as necessary into the project workplan of the application form (Form A, Section 3)

**In summary:**

The results-based management approach to project design and management focuses on the desired end result and works backwards to ensure that the correct interventions and building blocks are provided so that the intended results are achieved. The Theory of Change provides a visual guide, mapping out the journey from destination to starting point and identifying inputs and risks along the way. The logical framework turns that vision into a step-by-step process, identifying key milestones, indicators and targets by which to measure progress, with the workplan and budget detailing the activities and resources required to achieve the goals of the project. These important design tools then in turn form the basis for monitoring of progress, allowing for an adaptive approach to management as lessons are learned along the way. They also feed into regular reports on progress that allow for the project's achievements and results, and ultimately its success, to be identified and measured.