UN environment programme

Special Programme
on Institutional Strengthening
for Chemicals and Waste

# Special Programme
# Application Guidelines

## Ninth round of applications

**Deadline for submission: 20 July 2026**

**- LATE SUBMISSIONS WILL NOT BE ACCEPTED.**

**- INCOMPLETE APPLICATIONS WILL NOT BE ACCEPTED.**

**- APPLICATIONS THAT DO NOT USE (OR THAT AMEND) THE PRESCRIBED APPLICATION FORM AND BUDGET FORM WILL NOT BE ACCEPTED.**

**- APPLICATIONS ARE SUBJECT TO THE AVAILABILITY OF FUNDS.**

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**IMPORTANT NOTES:**

**Applications under the ninth round of funding are subject to the availability of funds.**

**Project budgets should be up to a maximum amount of USD200,000 requested from the Special Programme Trust Fund (i.e. not including co-financing).**

**Projects should have an expected maximum duration of 20 months for implementation.**

**Please pay careful attention to the instructions shown in red throughout the application forms.**

**Please refer to the box in section 2.2 of the Guidance on the Scope of the Special Programme, setting out three proposed areas of focus for projects under the ninth round.**

# 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.

> The Special Programme E-Learning Course on the UNEP Special Programme E-Learning Platform provides guidance on how to prepare an application for the Special Programme. It is available in English, French and Spanish.

The principles of "Results Based Management" and the "Theory of Change", used in Special Programme projects, are outlined in Appendix 1. 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.

# 2. Project application form A: Project Description

## *SECTION 1: PROJECT PROPOSAL SUMMARY*

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

B. **Applicant Government:** Fill in the name of the Applicant Government

C. **Applicant Government Institution:** Fill in the name of the national government institution making the application.

D. **Duration:** Indicate the proposed project duration, expressed in months. This should be a maximum of **21 months** for projects under the ninth funding round.

E. **Applicant Country status:**

- 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].
    - Indicate which of the relevant conventions your country is a party to and/or is planning to ratify, by ticking the appropriate checkboxes.

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[1] Paragraph 6 of the Terms of Reference states that "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[1], with priority given to those with least capacity". Please refer to **United Nations World Economic Situation and Prospects Report available at** https://policy.desa.un.org/sites/default/files/2026-01/wesp2026_annex.pdf**.** *Note that a number of donors have strict policies of funding only applications that meet the eligibility requirements of the Development Assistance Committee (DAC) list of Official Development Assistance (ODA) at the time of application.* ***See*** https://www.oecd.org/dac/financing-sustainable-development/development-finance-standards/daclist.htm

F. **Brief rationale / Justification of the project:** Present a brief summary (maximum 1500 characters) of the rationale for the project.

G. **Brief summary of Country Approach to Institutional Strengthening:** briefly (maximum 500 characters) 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).

H. **Has your country previously implemented a Special Programme project?** Check the appropriate box to respond.

I. **If yes, how does this new application build on the previous project(s)?** Provide an overview on the achievements and lessons learned during your previous project and how the new application builds upon the earlier project(s). Cumulative allocations to a country are decided by the Executive Board, based on the contributions received and the needs expressed in the applications submitted.

J. **Has this project or the activities proposed previously been submitted for funding from Special Programme?** Check the appropriate box to respond.

K. **Total Proposed Budget:** Please provide the following information:

   a. The total amount of budget (expressed in United States dollars) being requested from the Special Programme Trust Fund, including any administrative costs. This total should not include the amount of the beneficiary contribution. The maximum amount that can be requested is USD200,000.

   b. The amount of co-financing (or beneficiary contribution) to be provided for the project, and the percentage, which should be at least 25% of the total amount requested[2].

| |
|---|
| Example:<br>• Amount from Special Programme Trust Fund (SPTF) = $200,000<br>• Co-financing amount = $60,000<br>• Percentage = co-financing amount/SPTF amount x 100 = 60,000/200,000 x 100 = **30%** |

**L. Information regarding additional funding sources:**

- Check the appropriate box to confirm whether the amount of co-financing or beneficiary contribution has been confirmed in full.

- Check the appropriate box to confirm if the project's viability depends on other funding or contributions that are not yet confirmed.

- **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.**

**M. Information regarding consultation with the GEF Operational Focal Point in-country:**

Paragraph 4 of the Special Programme Terms of Reference provides that "The Special Programme shall avoid

[2] Under paragraph 21 of the Terms of Reference, the Executive Board may reduce that percentage, commensurate with consideration of the specific national circumstances, capacity constraints, gaps and needs of the applicant.

duplication and proliferation of funding mechanisms and associated administration and should fund activities that fall outside the mandate of the Global Environment Facility". The Executive Board has adopted the following interpretation:

*"The Special Programme should not fund activities that are in the GEF's active project portfolio but may consider funding those within the GEF's potential scope but not yet planned for GEF support."*

Please check the appropriate box to indicate if you have consulted with the GEF operational focal point in-country to confirm that the activities proposed in the application are not in the GEF's active project portfolio.

## *SECTION 2: PROJECT DESCRIPTION*

### 2.1 Project Objective

Under this section, please insert the project objective. It should be consistent with the objective stated in the logical framework set out in Annex 3. A brief, clear objective statement is best. See below some examples of weak and strong objective statements.

| Examples of Weak Objectives | Issue | Examples of Strong Objectives |
|---|---|---|
| Plastic waste is soundly managed | Does not specify direction of expected change, nor whom, specifically, it will affect. 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>Very difficult to know what to measure when selecting indicators<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 |

### 2.2 Proposed Measures

The specific measures which are proposed for financial support should be briefly described. The proposed measures should clearly demonstrate how they will facilitate and enable the project objective.
**Given the reduced timeframe and budgets for ninth round projects, a maximum of two substantive proposed measures is recommended (excluding the standard measure on monitoring, evaluation and exit strategy). Please refer to section 2.2 of the Guidance on the Scope of the Special Programme for some notes on possible scope.**

Proposed measures 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. Proposed measures relate to the completion of specific activities. Points to consider when formulating a proposed measure:

- **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-responsive training or environmentally responsible disposal strategy. This qualification should not be subjective.

- **Verb:** Use a verb in the past tense, 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 proposed measures:

| Examples of weak proposed measure | Issue | Examples of strong proposed measures |
|---|---|---|
| Identify major barriers and priority measures needed to improve national legislation on chemical management | Does not describe the specific products or services the country is actually expected to deliver | Chemicals and waste related legislation reviewed, updated and endorsed by relevant Government officials.<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 workshop and Training on CP Techniques and Risk and Impact Assessment | Combines multiple proposed measures and activities into one statement.<br>Unclear and not well structured | Project management team established<br>Research conducted to gather data on cleaner production techniques within the chemicals industry<br>Training provided to workers in the chemicals industry on Risk and Impact Assessment |
| Undertake an awareness raising and education campaign | Too vague. Does not describe the specific products or services the country is actually expected to deliver, such as technical assistance, or training, or mentorship, etc. Does not specify the target group or describe the scope of the campaign | Awareness raising and education campaign for the general public on chemical safety conducted |

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

- Insert the **title** of the proposed measure (maximum 200 characters)
- Briefly **describe** what the proposed measure will achieve (maximum 1500 characters)
- List the **expected deliverables** from the proposed measure (these will tie into the project logframe and workplan template, where the individual activities are listed. See **Annex 3**).

For example:

| |
|---|
| **Proposed Measure 1:** Chemicals and waste related legislation updated and submitted for adoption by the Cabinet of Ministers. |
| ***Briefly describe what the proposed measure will achieve***<br>Based on a existing gap analysis[3] undertaken by the Ministry in 2025, an independent regulatory or legal expert will prepare drafts of updated legislation to fill these gaps. The gap analysis and draft legislation will be considered at a multi-stakeolder meeting and comments provided. The final draft of the legislation, taking into account the comments made, will be prepared for formal adoption by the Cabinet. |
| ***List expected deliverables from Proposed Measure 1:***<br>1. Draft updated legislation on chemicals and waste<br>2. Report of the stakeholder consultation containing feedback on the draft legislation<br>3. Final draft of legislation<br>4. Memo of submission to the Cabinet of Ministers |

**Last proposed measure: Monitoring, evaluation and exit strategy**

All projects need to have as last proposed measure "monitoring, evaluation, and exit strategy" (see last proposed measure in the form). Please leave the inserted text in the form under Proposed Measure 3 and in Annex 3.

Appendix 2 to this document sets out more information on monitoring and evaluation.

**Exit strategy:** this is 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 be financed as part of the core funding of the project.
**The arrangements for monitoring, evaluation and exit strategy should be a simple but robust mechanism with a budget not higher than a maximum total of US$15,000.**

### 2.3 Detailed Description of the Associated Domestic Measures:

Associated domestic measures are measures that are in place or are to be taken to ensure the sustainability of project results in the long-term following the completion of the project. ***This should not be a repetition of the proposed measures but instead should clearly describe the additional measures that the country is taking outside of and ideally in parallel with the project, to ensure the sustainability of the proposed measures and objective***.

For each proposed measure, 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

[3] The gap analysis could be provided as a supporting document to the application.

of the Basel, Rotterdam and Stockholm conventions, the Minamata Convention and the Global Framework on Chemicals.

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 objective.

**Example:**

| **EXAMPLE OF ASSOCIATED DOMESTIC MEASURES FOR PROPOSED MEASURE** 'Chemicals and waste related legislation reviewed, updated and submitted to Cabinet of Ministers' |
|---|
| ***Provide a description of the Associated Domestic Measure corresponding to proposed measure 1***<br>The Ministry of Environment will designate an internal focal point to engage with the Ministries of Finance and of Justice from the start of the project to ensure their engagement and benefit from their advice in preparing the draft legislation.<br>The Ministries of Finance and of Justice will be invited to participate in the multi-stakeholder meeting to provide inputs on the draft legislation.<br>The designated focal point will continue to work with the Ministries of Finance and of Justice throughout the vetting process, during submission to and discussion by the Cabinet of Ministers for approval, to ensure that the draft legislation is clear, relevant and can be implemented.<br>The Ministry of Finance will be engaged to ensure that financial provision is made for implementation of the legislation, once enacted. |

### 2.4 Detailed information on project management and implementation:

Please indicate the WHO, WHAT, HOW:

**WHO**:

- Indicate the organization or institution responsible for overall project management and results. The **implementing partner** signs the project agreement with UNEP and is responsible for coordinating project implementation and providing period progress and financial reports on the project, which should reflect the work done and results achieved by all the project partners.
- Also identify any **project partners** responsible for implementing aspects of the project. (E.g. intergovernmental organizations, governmental entities, other actors such as non-governmental organizations, or the regional and sub-regional centres established under the Basel Convention and Stockholm Convention).

**WHAT**:

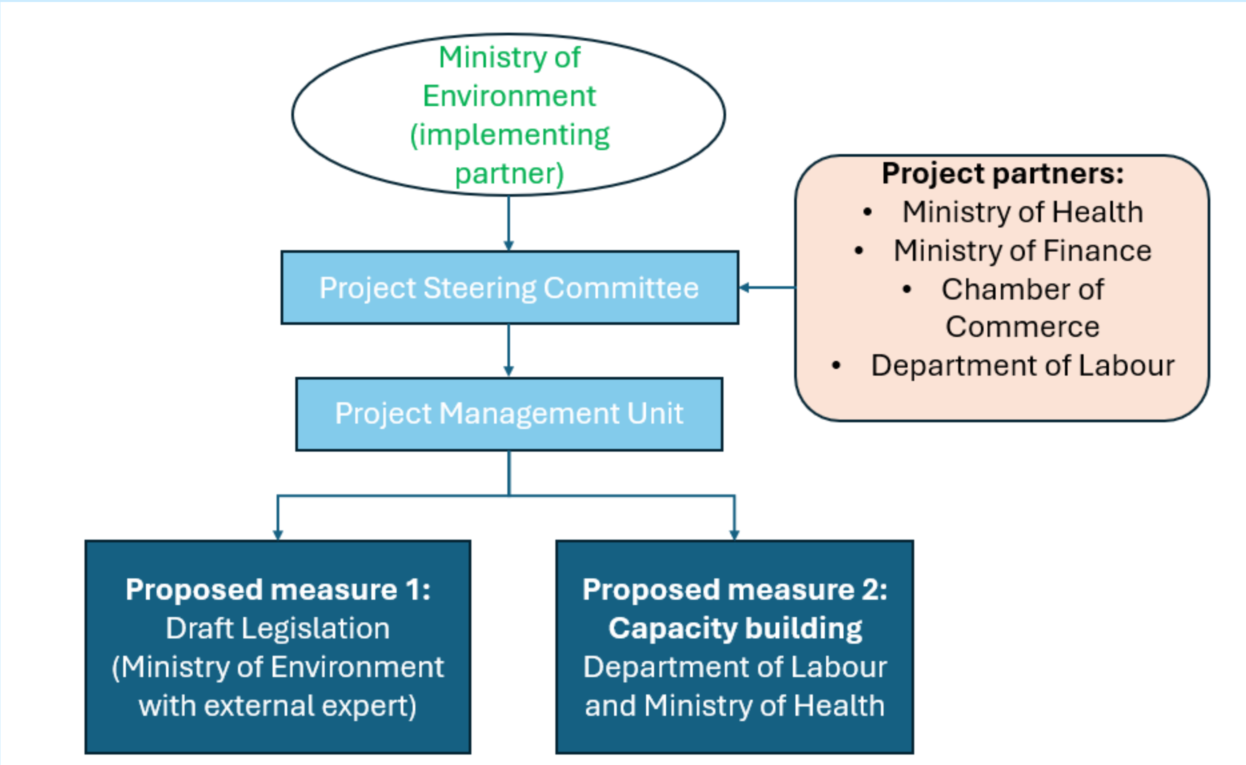
- Explain what the different partners involved in the project will do; taking care to clearly describe the roles and responsibilities of the different entities. This should link in with the workplan which must clearly spell out who is responsible for what activities.
- Include aspects such as providing data or results for monitoring and evaluation of project implementation.

**HOW**:
- Indicate how the project will ensure both accountability of, and coordination between, different relevant national authorities and partners. Describe the necessary formal and informal arrangements including any necessary legal arrangements.

Present the project implementation structure through an organizational diagram, and describe the composition, roles and responsibilities and how decisions will be made, as appropriate.

**EXAMPLE:**

**DETAILED INFORMATION ON PROJECT MANAGEMENT AND IMPLEMENTATION**




**Implementing partner:** Ministry of Environment (MOE): overall project implementation/coordination. Responsible for PM1. Participates as stakeholder in PM2.

**Project Steering Committee:** oversees implementation, takes operational decisions, ensures coordination across project partners, monitors progress. Comprise one representative from each project partners/stakeholder. Chaired by the Project Coordinator (MOE). Will meet regularly, in person or online.

**Project Management Unit:** Responsible for the day-to-day management and administration of the project. Headed by the Project Coordinator from the Ministry of Environment. Functions:

- Provide secretariat services to the PSC
- Manage project personnel
- Collect inputs from national stakeholders and develop final products in line with the proposed measures
- Fulfilling reporting, monitoring and evaluation requirements

**Ministry of Health:** co-lead on PM2; participates as a stakeholder in PM1 to provide relevant data and perspectives on the draft legislation.

**Department of Labour**: co-lead on PM2; participates as a stakeholder in PM1 to provide relevant data and perspectives draft legislation.

**2.5 Project Risks and mitigation measures:**
Please tick the appropriate box for Risks 1 to 4 and provide the relevant information as described in the boxes. You can also add additional risks and their respective mitigation measures.

Please also respond to the final question in this section on prior audits or assessments that your entity may have undergone and provide copies of any relevant reports.[4]

**2.6 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 that:

- Do not reinforce existing gender inequalities;
- Attempt to redress existing gender inequalities;
- Attempt to redefine 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;
- Improve the situation of different stakeholders taking into account factors such as people with disability, age and socio-economic status.

**Please refer to the Guidance on the Scope of the Special Programme Annex I section 6 for more information.**

[4] The Harmonized Approach to Cash Transfers (HACT) is a common operational framework in the United Nations system for transferring cash to government and non-government implementing partners. It includes macro- and micro-assessments and audits of implementing entities.

**EXAMPLE:**
**PROJECT GENDER AND SAFEGUARD CONSIDERATIONS**

**Does the project foresee to undertake a gender-responsive[5] approach? Yes☒ No ☐**
**If yes, please explain.**
The project will consider existing literature on how chemicals and waste affect men and women, and will consult with stakeholders to identify impacts on disadvantaged populations in the country. This will inform the draft legislation to promote gender considerations, including gender equality and women's empowerment can be achieved.

**Is gender integrated into each activity and proposed measure? Yes☒ No ☐**
**If yes, please explain.**
Yes. Gender is integrated into each activity and proposed measure in line with the project's gender action plan.

- Proposed Measure 1: review of available literature on gender-differentiated impacts of chemicals and waste; consultation with relevant stakeholders including civil society on impacts on minority or indigenous communities.
- Proposed Measure 2: xxx

**Does the project foresee to engage with different stakeholders taking into account factors such as Indigenous Peoples, disability, age, socio-economic status, human rights? Yes☒ No ☐**
**If yes, please explain.**
Yes. The project will promote Indigenous Peoples' and women's engagement and leadership in decision-making processes during all stages of project implementation. Their engagement will include advocacy within their respective constituencies to raise awareness of the health impacts of chemical exposure on Indigenous Peoples, women, youth, elderly people, people with disabilities and disadvantaged populations.

## SECTION 3: 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 will:

- Be designated for this purpose by the government. Many official focal points are focal points to one or more of the chemicals and waste conventions, the Global Framework on Chemicals, or the Global Environment Facility. NOTE that where an applicant has submitted an application under a previous round in which a different national focal point is identified, the Secretariat may request confirmation of the new focal point's designation.
- Provide an endorsement letter to accompany the submission of the application.
- Confirm the validity and relevance of the project to national priorities for chemicals and waste management by signing the application form.

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[5] Gender-responsive definition: *Gender-responsive describes processes or outcomes that explicitly take gender equality into account, for example through research, data collection, analyses, consultation and other processes. Gender responsiveness implies consistent and systematic attention to gender-based differences and inequalities between women and men, with a view to addressing systemic and structural constraints to gender equality, as well as underlying causes of gender inequality, discrimination, and exclusion. Processes and outcomes that are gender-responsive could be laws, policies, programmes, services and other inputs that are formulated, planned and delivered in a manner that facilitates the achievement of gender equality*. See https://www.unwomen.org/en/digital-library/publications/2022/02/handbook-on-gender-mainstreaming-for-gender-equality-results

- Coordinate at the national level in the case of different applicants, towards submission of a single, common proposal.

***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 and designated focal point), to: unepchemicalsspecialprogramme@un.org **no later than 20 July 2026**.

## ANNEX 1: CONTACT DETAILS

***PLEASE ENSURE THAT BACKUP EMAILS ARE PROVIDED WHERE REQUESTED.***

***Applicant***

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

***Implementing Ministry / Organization***

Provide details of the responsible officer and organization or institution for the implementation of the project.[6] 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 for approved projects, a due diligence exercise will be carried out in accordance with the United Nations Environment Programme's Partnership Policy, prior to 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 the Global Framework on Chemicals, private sector organization(s), academic or research organization(s) that will be acting in partnership with the implementing organization/institution to implement the project. Roles and responsibilities should be included in this section.
Provide **letters of support** from **all** project partners and submit them together with the rest of the application package. This is mandatory requirement for all projects.

## ANNEX 2: OTHER RELEVANT INFORMATION

***Information about relevant GEF-related projects***

Include a brief description of relevant 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, (i.e. 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 other relevant projects on institutional strengthening of chemicals and waste management***

Include a description of relevant 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

[6] 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.

country. Please provide details on the time frame, funding and framework of such projects, and how the results of the previous and ongoing projects can support or build upon the objective of the proposed Special Programme project.
Explain how the proposed 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.

***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: PROJECT LOGICAL FRAMEWORK AND WORKPLAN*

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***

Take the information provided under "**Project Objective" in section 2**:

| **EXAMPLE:**<br>**PROJECT OBJECTIVE** |
|---|
| The building blocks for strengthened institutional capacity for the sound management of chemicals and waste are developed, through proposed updated national legislation and stakeholder training. |

Insert this in **Annex 3 logframe** and indicate which of the core indicators is applicable as shown below. Select the applicable criteria (there may be more than one) for that core indicator. For the ninth round, it is likely that core indicator 2 will be most relevant, given the proposed areas of focus as building blocks to achieve future impact.

| **Overall project Objective** | **Indicators** | **Means of verification** |
|---|---|---|
| The building blocks for strengthened institutional capacity for the sound management of chemicals and waste are developed, through proposed updated national legislation and stakeholder training. | **Core Indicator**<br>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 GFC<br>***Criteria:***<br>☐Chemical and /or waste Management Policy, Plan, Strategy developed or updated and being implemented<br>☒**Chemical and /or waste management legal framework**<br>☒**Chemical and / or waste management regulatory framework**<br>☐Submission of reports to the MEAs<br>[Should you wish to insert an additional objective indicator, you can do so here – this is only optional] | To be inserted in Scorecard<br><br>[Should you have inserted an additional objective-level indicator, please insert the related means of verification] |

## *Proposed Measures*

Take the information provided under each "Proposed Measure" in section 2:

| **PROPOSED MEASURE 1:** Chemicals and waste related legislation updated and submitted for adoption by the Cabinet of Ministers. |
|---|
| ***Briefly describe what the proposed measure will achieve***<br><br>Based on a existing gap analysis undertaken by the Ministry in 2025, an independent regulatory or legal expert will prepare drafts of updated legislation to fill these gaps. The gap analysis and draft legislation will be considered at a multi-stakeolder meeting and comments provided. The final draft of the legislation, taking into account the comments made, will be prepared for formal adoption by the Cabinet. |
| ***List expected deliverables from Proposed Measure 1:***<br><br>1. Draft updated legislation on chemicals and waste<br>2. Report of the stakeholder consultation containing feedback on the draft legislation.<br>3. Final draft of legislation.<br>4. Memo of submission to the Cabinet of Ministers. |

Paste the title of the proposed measure into the **logframe format in annex 3.**
List the activities that will achieve this proposed measure, indicating timeframes and who is responsible.
The deliverables will inform the indicators and means of verification in annex 3.

| **Proposed Measure 1:** Chemicals and waste related legislation updated and submitted for endorsement by relevant Government officials. | | | | |
|---|---|---|---|---|
| **#** | **Activities** | **Start date** | **Due date** | **Lead responsibility** |
| 1.1 | Recruitment of external expert | Y1/M1 | Y1/M2 | Ministry of Environment |
| 1.2 | Gap analysis and recommendations | Y1/M2 | Y1/M5 | External expert under Ministry of Environment supervision |

| | | | | |
|---|---|---|---|---|
| 1.3 | Draft updated legislation | Y1/M5 | Y1/M9 | External expert under Ministry of Environment supervision |
| 1.4 | Multistakeholder workshop | Y1/M9 | Y1/M9 | Ministry of Environment |
| 1.5 | Final draft of updated legislation | Y1/M10 | Y1/M11 | External expert under Ministry of Environment supervision |
| 1.6 | Submission to Cabinet of Ministers | Y1/M12 | Y1/M12 | Ministry of Environment |
| **#** | **Indicators** | **Baseline** | **Target** | **Means of Verification** |
| 1.1 | Number of pieces of draft legislation (bills) on chemicals and waste management | 0 | 2 | Initial draft legislation for consideration by stakeholders<br>Final draft legislation incorporating stakeholder feedback |
| 1.2 | Number of stakeholders engaged in multistakeholder consultation on the draft gap analysis and draft legislation: one workshop at which all relevant stakeholders are present (Ministry of Health, Ministry of Finance, Chamber of Commerce, relevant NGOs, Department of Labour). | 0 | 5 stakeholders | Workshop report with list of participants |
| 1.3 | Number of bills submitted to Cabinet of Ministers for approval | 0 | 1 | Memo transmitting the draft legislation for consideration for adoption |

The process should be followed for all proposed measures. 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.

## *ANNEX 4: 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.

# 3 PROJECT APPLICATION FORM B: BUDGET TABLES

The Special Programme Trust Fund may provide support **from US$ 50,000 to US$ 200,000 per project application**.

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.

Form B includes the tables described below (each table is on a separate sheet in the Excel table). Please ensure that:

- The amounts in table 1 are consistent with the respective amounts in tables 2 and 3 and
- The total amount of funding from the Special Programme (table 2) matches the response to **question K.a** in the Word application document.
- The total amount of beneficiary contribution (table 3) matches the response to **question K.b** in the Word application document.

***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 | Total |
|---|---|---|---|---|
| SPTF | Special Programme Trust Fund (SPTF) | 0 | 0 | 0 |
| | TOTAL SPTF BUDGET | - | - | - |
| BENEFICIARY CONTRIBUTION | Beneficiary contribution | - | - | 0 |
| | Other (include name of donor) | | | 0 |
| | 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 and activity on a separate row. 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 **<u>only present the cost that is to be covered by the Special Programme Trust Fund.</u>**

Special Programme Trust Fund: Project Application Form II - Project Budget

Project Title:

| Sponsor | Project Output | Activity No. | Activities | Staff and Other Personnel Costs (FT30_010) | | | Contractual Services [1] (FT30_120) | | | Equipment [2] (FT30_135) | | | Implementing partners (FT30_135) | | | Travel (FT30_160) | | | Grand Total |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | Year 1 | Year 2 | Total | Year 1 | Year 2 | Total | Year 1 | Year 2 | Total | Year 1 | Year 2 | Total | Year 1 | Year 2 | Total | |
| Special Programme Trust Fund (SPTF) | Proposed Measure 1: | | | | | | | | | | | | | | | | | | |
| | | 1.1 | Inception workshop | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| | | 1.2 | | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| | | 1.3 | | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| | | 1.4 | | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| | | | Sub-total for Proposed Measure 1 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| | Proposed Measure 2: | | | | | | | | | | | | | | | | | | |
| | | 2.1 | | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| | | 2.2 | | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| | | 2.3 | | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| | | 2.4 | | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| | | | Sub-total for Proposed Measure 2 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| | Proposed Measure 3: | | | | | | | | | | | | | | | | | | |
| | | 3.1 | | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| | | 3.2 | | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| | | 3.3 | | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| | | 3.4 | | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| | | | Subtotal eligible costs [secured] | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| | | | Operating Costs costs (Maximim 5% of the total eligible costs) | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| | | | Total eligible costs [Secured] | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |

[1] Please specify the entities to be contracted and for what purpose.

[2] Please specify the equipment to be procured and for what purpose.

| | | |
|---|---|---|
| Percentage of Staff and Contractual Services budget | #DIV/0! | Max. 50% |
| Percentage of Equipment budget | #DIV/0! | Max. 10% |
| Total budget control cell | 0.00 | 0.00 |

| Contractor | Purpose |
|---|---|
| | |

| Equipment | Purpose |
|---|---|
| | |

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

Provide the budget for the beneficiary contribution to the project. Provide the breakdown of the budget by proposed measure and activity. Table 3 should present the details about the contribution from all 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, a beneficiary or in-kind 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".[7]

| Source of Funds | Project Output / Activities | Staff and Other Personnel Costs | | Contractual Services | | Equipment Vehicles and Furniture | | Travel | | Grand Total |
|---|---|---|---|---|---|---|---|---|---|---|
| | | Year 1 | Year 2 | Year 1 | Year 2 | Year 1 | Year 2 | Year 1 | Year 2 | |
| Beneficiary contribution | Proposed Measure 1 | | | | | | | | | 0 |
| | Proposed Measure 2 | | | | | | | | | 0 |
| | Proposed Measure 3 | | | | | | | | | 0 |
| | Proposed Measure 4 | | | | | | | | | 0 |
| | Proposed Measure 5 | | | | | | | | | 0 |
| | Total beneficiary contribution costs | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| | Class Total | | 0 | | 0 | | 0 | | 0 | |

*Table 4: Cost category/budget class explanation*

This table provides explanations and examples for the different costs categories/budget classes and shows the recommended budget caps per category.

| **Commitment Class Name** | **Explanation** | **Recommended Percentage of Budget under each category** |
|---|---|---|
| Staff and Other Personnel Costs | (i) Includes all costs and entitlements of personnel **including staff, consultants, administrative staff, interns.**<br>(ii) Meeting facilitators, interpreters, Evaluation consultants all to be budgeted under this Class. | Combined 50% |
| 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.<br>(ii) Where meetings/workshops require venue to be hired e.g. Hotel, then relevant costs to be budgeted under this Class.<br>(iii) Commercial printing/publication contracts to be budgeted here | |
| Equipment | (i) Procurement of non-consumables and specialized and technical equipment costs e.g. IT equipment. | 10% |
| Travel | i) All meeting costs including staff/consultant/meeting participant travel [per diem/tickets as applicable]<br>(ii) Road / train /Fuel and vehicle/boat rental costs for staff, consultants and other project personnel | N/A |

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

| | | |
|---|---|---|
| Transfers/grants to implementing partners | These are funds to be released to downstream Implementing partners supporting the implementation of the project. | N/A |

***Note the following guidance on specific budget classes***

- Those applicant countries that decide to manage projects themselves are expected to be able to ensure project management without having to devote funds from the Special Programme Trust Fund for operating costs. **A maximum 5 per cent for operating costs** could be considered. This includes cases where a project implementing organization is tasked with project management. The total amount requested, including the 5 per cent for operating costs, should total no more than the maximum of $200,000.
- It is recommended that staff and Other Personnel Costs (including consultants costs) and contractual services costs combined **should not exceed 50 to 80 per cent** of the requested amount from the Special Programme Trust Fund.
- As enhancing institutional capacity requires a minimum level of commitment notably from an administrative and logistical perspective, it is also expected that applicant countries will provide the necessary administrative and logistical support. Therefore, normal operational and running costs such as office equipment, premises, vehicles, fuel, etc. will not be eligible for support. In duly justified circumstances, a recommended **maximum 10 per cent** for specialized and technical equipment costs could be considered.
- The budget for monitoring, evaluation and exit strategy shall all together have a maximum total of **US$ 15,000.**

***Not all costs are eligible for support.***

Examples of categories of costs that should 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;
- Office 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 to be procured with Special Programme funds, 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 measures, 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. 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 proposed measures to focus on the final result (objective), 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 results, 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 proposed measures and, by extension, the overall project objective.
- The **proposed measures** 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 will capture how the services or products are adopted by the intended beneficiaries and how their awareness, knowledge and behaviours have 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** 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 proposed measures and overall objective. 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, working backwards to identify intermediate steps and preconditions, explicitly depicting the causal pathways from activities to proposed measures. Defining these pathways and precise links between the activities needed and achieving the overall project objective 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.


**Figure 1:** Example of a simplified results chain illustrating the links between activities, proposed measures and overall project objective 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 Proposed measures to actual proposed measures, 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 proposed measures, taking into account assumptions and baseline and setting out timeframes, targets, indicators of success, means of verification.

Definitions:

**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).

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.

## Appendix 2 Monitoring and evaluation

**Monitoring** is the systematic collection of data on progress towards the project's overall objective, proposed measures, 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.

In order to clarify roles and responsibilities for monitoring within the project team, a simple monitoring plan 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** | | | |
| **Proposed Measures** | | | |
| **Activities** | | | |

**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**. 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.