

Annex III Project Document

Trust Fund for the Special Programme on Institutional Strengthening for the Chemicals Cluster UNEP

Key results:

- Governments from developing countries and countries with economies in transition are taking affirmative actions to implement the Basel, Rotterdam and Stockholm conventions, the Minamata Convention and SAICM implementation plans

Justification for support:

- Sound management of chemicals and waste is a key focus area for the Danish Ministry of Environment.
- Climate and environment are key focus areas in the new Danish strategy for development cooperation, The World We Share.

Major risks and challenges:

- As the programme is managed by UNEP, risks are estimated to be minimal.
- The COVID-19 pandemic prevents the executive board from making decisions and recipient countries from implementing projects. The risk is mitigated by working through electronic means and no-cost extension of projects.
= Discussion on change in interpreting eligibility for funding constrains donors. The risk is mitigated by UNEP's administrative processes already in place, which are capable of keeping donor contributions separate to ensure that their specific constraints are respected.
- Other risks are highlighted in appendix 4.

File No.	2021-41423				
Country	Global				
Responsible Unit	GDK				
Sector	Environment				
Partner	UNEP				
DKK million	2022	2023	2024	2025	Total
Commitment	7	-	-	-	7
Projected disbursement	7	-	-	-	7
Duration	2022-2025				
Previous grants	7 million in 2021				
Finance Act code	06.34.01.75				
Head of unit	Karin Poulsen				
Desk officer	Ninna Katrine Sanden				
Reviewed by CFO	NO / YES: Rasmus Tvorup Ewald				
Relevant SDGs					
					
No Poverty	No Hunger	Good Health, Wellbeing	Quality Education	Gender Equality	Clean Water, Sanitation
					
Affordable Clean Energy	Decent Jobs, Econ. Growth	Industry, Innovation, Infrastructure	Reduced Inequalities	Sustainable Cities, Communities	Responsible Consumption & Production
					
Climate Action	Life below Water	Life on Land	Peace & Justice, strong	Partnerships for Goals	

Objectives

(a) Policies and legal, institutional and fiscal strategies and mechanisms for sound chemicals management developed or implemented in countries within the framework of relevant multilateral environmental agreements and SAICM; b) Policies and legal, institutional and fiscal strategies and mechanisms for waste prevention and sound management developed or implemented in countries within the framework of relevant multilateral environmental agreements and SAICM

Environment and climate targeting - Principal objective (100%); Significant objective (50%)

	Climate adaptation	Climate mitigation	Biodiversity	Other green/environment
Indicate 0, 50% or 100%				100%
Total green budget (DKK)				7.000.000

Justification for choice of partner:

UNEP is the leading international organisation when it comes to setting standards for the sound management of chemicals and waste.

Summary:

The Special Programme on Institutional Strengthening aims to ensure the implementation in developing countries of, in particular, the new global strategy for chemicals and waste (SAICM Beyond 2020). The effort will support related Danish priority areas, including the Global Chemicals Strategy (SAICM) beyond 2020, the conventions in the field of chemicals and waste (Basel, Rotterdam and Stockholm), other related agreements and processes, and will contribute in particular to the implementation of Sustainable Development Goals 3 (health) and 12 (sustainable consumption and production).

Budget (engagement as defined in FMI):

Total increased contribution to the Trust Fund for the Special Programme	DKK 12,266,713
Administrative and support services (13 %)	DKK 1,594,673
Coordination Levy (1 %)	DKK 138,614
Total	DKK 14 million

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Trust Fund for the Special Programme on Institutional Strengthening for the Chemicals Cluster, UN Environment Programme (UNEP)

December 2022

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1. Introduction

The present project document outlines the background, rationale and justification, objectives and management arrangements for development cooperation concerning the Danish contribution to the Trust Fund for the Special Programme on Institutional Strengthening for the Chemicals Cluster 2022-2025 as agreed between the parties: UN Environment Programme (UNEP) and the Department for Green Diplomacy and Climate (GDK) in the Ministry of Foreign Affairs of Denmark. The project document is an annex to the legal bilateral agreement with the implementing partner and constitutes an integral part hereof together with the documentation specified below.

“The Documentation” refers to the partner documentation for the supported intervention, which is Project Revision #1, 515.2 "Special Programme to support institutional strengthening at the national level to enhance the implementation of the Basel, Rotterdam and Stockholm conventions, the Minamata Convention on Mercury and the Strategic Approach to International Chemicals Management" (Appendix 10).

2. Context, strategic considerations, rationale and justification

Chemicals and waste are integral to our everyday life, but they also have major impacts on the environment and human health. As the world’s population approaches 8 billion, the sound management of chemicals and waste is becoming ever more important. The production, use and trade of chemicals are growing in all regions of the world. Between 2000 and 2017, the global chemicals industry’s production capacity (excluding pharmaceuticals) almost doubled, from about 1.2 to 2.3 billion tonnes. If pharmaceuticals are included, global sales totalled 5.04 trillion Euro in 2017, making the chemical industry the world’s second largest manufacturing industry. Growth has occurred not only in the volume and sales of chemicals, but also in production capacity, suggesting continued future growth in the volume of chemicals produced.

Chemical-intensive sectors like construction, automotive and electronics are also growing, increasing the demand for chemicals and creating opportunities, but also risks. Although its contribution to the global burden of disease is still underestimated, chemical pollution is recognised to be a threat to the right to a life with dignity, notably for children and in particular in low and middle-income countries.

Key findings from national chemicals management profiles that have been developed by a number of developing countries and countries with economies in transition include the lack of appropriate legal framework or poor enforcement, absence of coordination/coordination mechanisms within national governments and among stakeholders, unavailability of information and data sharing mechanisms, difficulty of access to existing information, lack of sustainable human and financial resources and technical expertise, limited knowledge of stakeholders and the public in general regarding risks associated with chemicals and waste and sound management of chemicals and waste, among others.

The strategic consideration is to contribute to the Special Programme on Institutional Strengthening that aims to ensure the implementation in developing countries of, in particular, the new global strategy for chemicals and waste (SAICM Beyond 2020). The effort will support related Danish priority areas, including the Global Chemicals Strategy (SAICM) beyond 2020, the conventions in the field of chemicals and waste

(Basel, Rotterdam and Stockholm), other related agreements and processes, and will contribute in particular to the implementation of Sustainable Development Goals 3 (health) and 12 (sustainable consumption and production).

The Special Programs Secretariat is anchored in UNEP (Geneva) and was established by a UNEA1 resolution in 2014. From September 2015 to 2021, donors have been able to contribute to projects applied for and implemented by and in developing countries. Currently, there are 12 donors. In addition to the United States, and the European Commission, all donor countries are Western European.

The Special Programme¹ intends to support country-driven institutional strengthening at the national level, in the context of an integrated approach to address the sustainable financing of sound management of chemicals and wastes, taking into account:

- National development strategies, plans and priorities of each country; and
- Increased sustainable public institutional capacity for the sound management of chemicals and wastes throughout their life cycle.

Support from the Special Programme is available for developing countries, taking into account the special needs of least developed countries and Small Island Developing States, and for countries with economies in transition, with priority given to those with least capacity. Furthermore, the following criteria should also be met:

- To avoid duplication and proliferation of funding mechanisms and associated administration, the Special Programme will fund activities that fall outside the mandate of the GEF²;
- Applicants are eligible if they are Party to any one of the relevant conventions or have demonstrated that they are in the process of preparing for ratification of any one of the conventions;
- Applications must include identification of the associated domestic measures to be taken to ensure that the national institutional capacity supported by the Special Programme is sustainable in the long term;
- The Special Programme accepts applications directly from national Governments.

The Special Programme has successfully processed five rounds of applications since its inception in 2015. As of March 2022 the Special Programme are funding 66 projects (25 from Africa, 16 from Asia Pacific, 16 from Central and Eastern Europe and 9 from Latin America and the Caribbean) with the total commitment under the projects amounting to \$17,8 million. In the Board of the programme, the United Kingdom are Co-chair representing Donor countries. The European Commission, the USA, Sweden and Germany are the other donor countries on the board. In March 2022 UNEA adopted resolution 5/7 on chemicals and waste, paragraph 16 of which decided to extend the duration of the Special Programme for a period of five years, in accordance with paragraph 24 of the terms of reference adopted in Environment Assembly resolution, 1/5, and to include the Strategic Approach and the sound management of chemicals and waste beyond 2020 in

¹ <https://www.unep.org/explore-topics/chemicals-waste/what-we-do/policy-and-governance/sdgs-and-mainstreaming/integrated>

² <https://www.thegef.org/>

the Special Programme. As a result, the Special Programme will remain open to receive contributions and applications for funding until September 2027, and to disburse funds until March 2030.

At its fourth meeting, in January 2019, the Executive Board of the Special Programme welcomed the initiation of the mid-term evaluation of the Special Programme³. The evaluation had two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote learning, feedback, and knowledge sharing through results and lessons learned among UNEP, the BRS Convention Secretariats, SAICM, the GEF, the Special Programme Secretariat, the Special Programme Executive Board and the participating countries. The final report of the midterm evaluation was published in January 2020. Key findings relevant for this project:

- Allocation of funds. For the first three rounds of applications, 42 project proposals have been approved for funding (1st round: 7 projects – US\$ 1.75 million; 2nd round: 17 projects – US\$ 5,096,735; 3rd round: 18 projects – US\$ 4,703,849). 33 of them are funded with less than US\$ 251,000 whereas 4 (Angola, Nigeria, Afghanistan and Vietnam) will be in receipt of funding of US\$ 490,000-500,000 by project completion. 25, 14 and 3 projects have a proposed duration of 36, 24-27 and 18-20 months respectively.
- Quality of Design. The Special Programme was properly designed, drawing from lessons learnt from the Global Environment Facility and the Strategic Approach to International Chemicals Management Quick Start Programme. Many strengths and no major weaknesses were identified. It has a well-structured logical framework with indicators at outcome and output levels, with baseline and targets. The roles and responsibilities of the key partners have been properly described. The proposed Theory of Change has been modified by evaluation to better reflect the changes that need to take place for long-term impact to be realized.
- Nature of External Context. As at October 2019, external factors such as conflict and natural disaster did not occur during the implementation of the Special Programme and the Special Programme funded projects. However, the holding of elections and change of government have been reported to delay country project implementation and signing of legal agreement with the recipient countries respectively.
- Effectiveness. The Special Programme is currently on target in the delivery of outputs and in some cases already exceeding the set targets within planned budget and timeframe. Outcomes are most likely to be achieved by the end of the Special Programme. No evidence of negative impacts on human health or on the environment as a result of project interventions was observed in the recipient countries. Although too early to predict, there are good chances for achievement of the intended impact - to decrease the negative effects of chemicals and wastes on health – in the long term.
- Stakeholders Participation and Cooperation. Participation and involvement of the stakeholders in the work of the Special Programme was very satisfactory, which allowed to meet most of the mid-term targets of the Special Programme objectives. The Internal Task Team was actively involved in the appraisal of the country project applications. All the stakeholders contributed to the visibility of the Special Programme by advertising it on their website and also during the various conferences and events organised by them.

³

https://wedocs.unep.org/bitstream/handle/20.500.11822/32644/515_2_2020_mte_unep_spbw_special_programme_to_support_chemicals_conventions.pdf?sequence=1&isAllowed=y "t "_blank

- Responsiveness to Human Rights and Gender Equity. While the aspect of human rights was not mentioned in the Special Programme project document that for indigenous peoples was adequately covered. The involvement of women was adequate at the level of the Secretariat of the Special Programme. However, at funded country project level, whilst it is satisfactory in some countries, in others the attention to gender equity was rather low.
- Country Ownership and Driven-ness. High ownership and country driven-ness of projects were seen in the recipient countries. All the countries reported that the projects benefited from a strong government support as well as an active involvement of the key stakeholders.

The Danish partnership with the Special Programme is part of the overall partnership between Denmark and UNEP, as outlined in the Danish Organisation Strategy for UNEP from January 2022. This partnership delivers on the priorities set out in the Strategy, in particular under the heading of Chemicals and Pollution Action where Denmark in the partnership with UNEP will focus on the sound management of chemicals and waste, among others. As such, the partnership with the Special Programme is also contributing to reaching the goals of the overall Danish Strategy for Development Cooperation, The World We Share, specifically the objective to strengthen action to support climate change adaptation, nature, the environment and resilience in the poorest and most vulnerable countries.

In light of this renewed mandate granted at UNEA5, a Danish contribution of DKK 7 million in 2022 is an important addition to the Danish 2021 contribution of DKK 7 million. It will significantly contribute to the Special Programme's ability to support developing countries to strengthen their management of chemicals and waste substantially towards 2030. See also appendix 2, partner assessment.

3. Programme or Project Objective

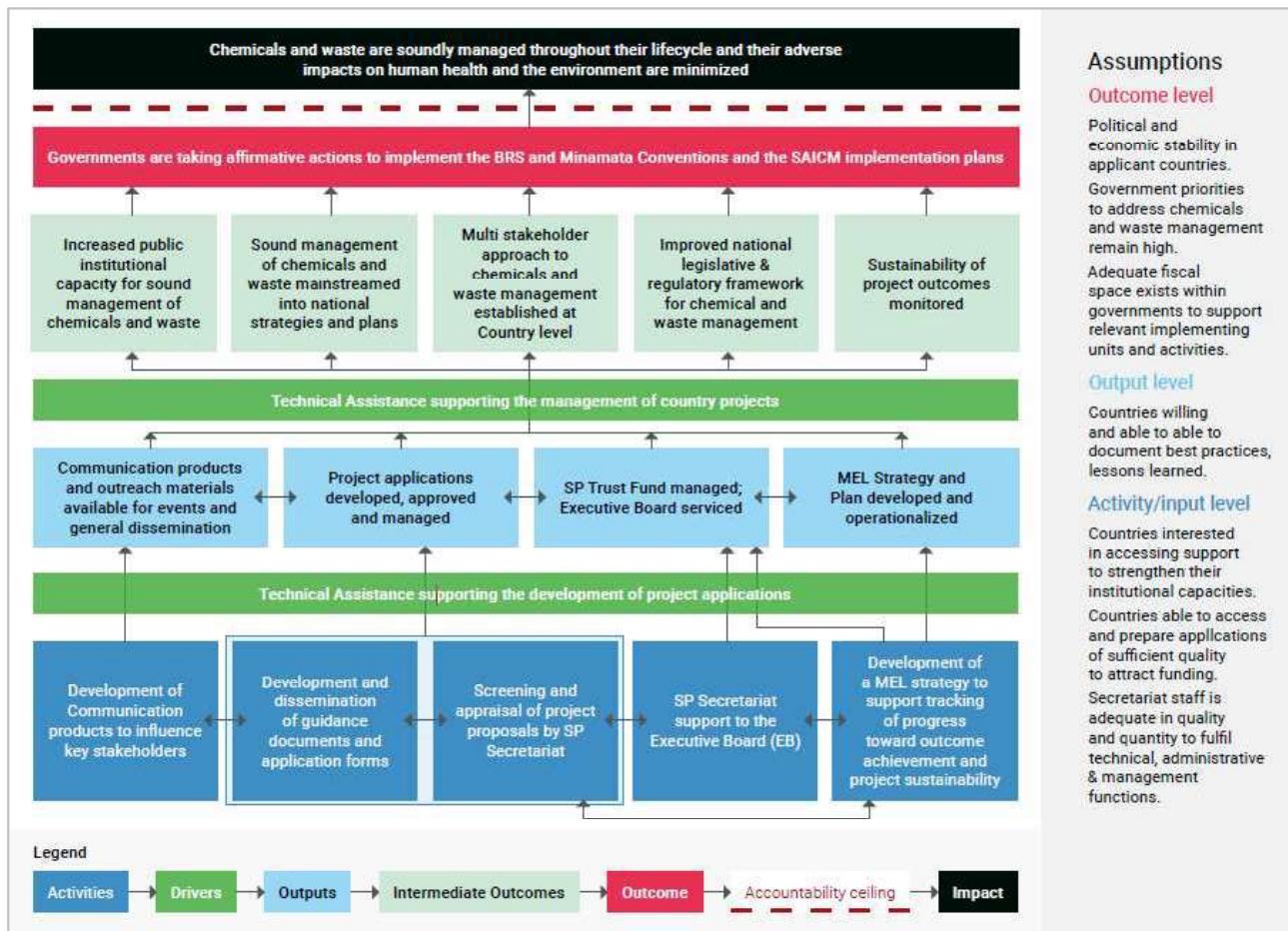
The objective of the Special Programme, as set out in the Terms of Reference adopted by UNEA resolution 1/5, is to support country-driven institutional strengthening at the national level, in the context of an integrated approach to address the financing of the sound management of chemicals and wastes, taking into account the national development strategies, plans and priorities of each country, to increase sustainable public institutional capacity for the sound management of chemicals and wastes throughout their life cycle. Institutional strengthening under the Special Programme will facilitate and enable the implementation of the Basel, Rotterdam and Stockholm conventions, the Minamata Convention and the Strategic Approach to International Chemicals Management (hereinafter referred to as "the Instruments").

The development objective of the development cooperation among the parties is that (a) Policies and legal, institutional and fiscal strategies and mechanisms for sound chemicals management developed or implemented in countries within the framework of relevant multilateral environmental agreements and SAICM; and b) Policies and legal, institutional and fiscal strategies and mechanisms for waste prevention and sound management developed or implemented in countries within the framework of relevant multilateral environmental agreements and SAICM.

4. Theory of change and key assumptions

The expected outcome of the SP is to ensure that sound chemicals and waste management is adequately addressed in international, regional and national decision-making and affirmative actions are taken by

countries to manage chemicals and waste soundly. The figure below illustrates the theory of change of the programme (see Appendix 1):



5. Summary of the results framework

For results based management, learning and reporting purposes Denmark will base the actual support on progress attained in the implementation of the project/programme as described in the documentation. Progress will be measured through UNEP's monitoring framework focusing on a limited number of key outcome(s) and corresponding outputs and their associated indicators.

Result framework for Trust Fund for the Special Programme on Institutional Strengthening for the Chemicals Cluster

Project	Special Programme to support institutional strengthening at the national level for implementation of the Basel, Rotterdam and Stockholm conventions, the Minamata Convention and the Strategic Approach to International Chemicals Management
Project Objective	<ul style="list-style-type: none"> (a) Policies and legal, institutional and fiscal strategies and mechanisms for sound chemicals management developed or implemented in countries within the framework of relevant multilateral environmental agreements and SAICM; and (b) Policies and legal, institutional and fiscal strategies and mechanisms for waste prevention and sound management developed or implemented in countries within the framework of relevant multilateral environmental agreements and SAICM

Impact Indicator		(i) Number of governments at all levels that are developing or implementing policies, strategies, legislation or action plans that promote sound management of chemicals and/or implementation of multilateral environmental agreements and SAICM with UNEP support (ii) the number of governments at all levels that are implementing waste prevention and sound management policies and good practices, in accordance with relevant multilateral environmental agreements, and other relevant international agreements, with UNEP support	
Outcome		Governments from developing countries and countries with economies in transition are taking affirmative actions to implement the Basel, Rotterdam and Stockholm conventions, the Minamata Convention and SAICM implementation plans	
Outcome indicator		Core Indicator 1: Number of countries reporting strengthened government capacity and multi - stakeholder coordination mechanism to support development and implementation of National Strategies for chemicals and waste management.	
Baseline	Year	2016	0
Target	Year	2025	99
Output		1) Special Programme Trust Fund managed and secretariat services delivered to the Special Programme Executive Board	
Output indicator		1.4. Number of applications screened, reviewed and appraised by the secretariat for funding by the Special Programme Trust Fund18 Baseline: 54 Target: 240	
Baseline	Year	2016	54
Target	Year 1	2025	240
Output		2) Project applications developed, and projects approved and managed in line with the Terms of Reference of the Special Programme and guidance by the Special Programme Executive Board	
Output indicator		2.3 Number of projects completed and successfully closed	
Baseline	Year	2016	0
Target	Year 1	2025	100
Output		3) Communication products and services developed and disseminated to influence key stakeholders and inform country beneficiaries	
Output indicator		3.1 Number of communications tools provided by the Special Programme Secretariat to support the sound management of chemicals and waste, including at least one on gender	
Baseline	Year	2016	0
Target	Year 1	2025	25

6. Budget

Budget of the Danish contribution to Special Programme

Total increased contribution to the Trust Fund for the Special Programme	DKK 12,266,713
Administrative and support services (13 %)	DKK 1,594,673
Coordination Levy (1 %)	DKK 138,614
Total Contribution	DKK 14,000,000

Total budget of the Special Programme (USD)

Total cost of the Action per year (secured as at 01 November 2022)	2017	2018	2019	2020	2021	2022	2023	2024	2025
Staff and Other Personnel Costs	383,100	612,952	1,334,829	1,039,818	909,232	869,873	565,500	459,160	238,958
Contractual Services	2,501	69,206	191,447	75,000	400,624	275,000	167,050	130,000	20,000
Travel	41,786	26,769	141,000	30,000	88,132	180,000	150,000	145,000	98,674
Transfers and Grants Issued to IP (SSFAs, PCAs)	1,442,914	3,169,394	4,123,549	3,542,707	4,705,750	3,721,382	1,000,000	0	0
Total direct costs	1,870,301	3,878,321	5,790,825	4,687,525	6,103,738	5,046,255	1,882,550	734,160	357,632
PSC 7%	83,592	231,081	301,566	182,785	236,768	133,067	26,744	23,391	16,160
PSC 13%	87,897	75,032	192,757	269,920	353,774	408,888	195,065	52,000	16,481
Total eligible costs of the Action	2,041,790	4,184,434	6,285,147	5,140,230	6,694,280	5,588,210	2,104,359	809,551	390,273
								TOTAL ACTION BUDGET	33,238,274

For a detailed budget of the Special Programme, see appendix 5 to the project document.

Contributions and pledges to the Special Programme trust fund as of 01 November 2022 are as follows:

Contributions and pledges received 2015-2022 (all amounts in US\$ as of 01 November 2022)

Donor	Total Amount USD (Pledge)
European Union	19,631,656
Sweden *	3,794,561
United States	1,640,000
Norway	2,102,459
Germany	2,551,210
Finland	283,536
The Netherlands	562,229
Austria	197,340
Denmark	1,081,053
Belgium*	221,100
United Kingdom	849,115
Switzerland	324,015
Total Pledges and Contributions realised **	33,238,274

*Pledge amounts will be adjusted with the exchange rate on the day of receipt of funds

7. Institutional and Management arrangement

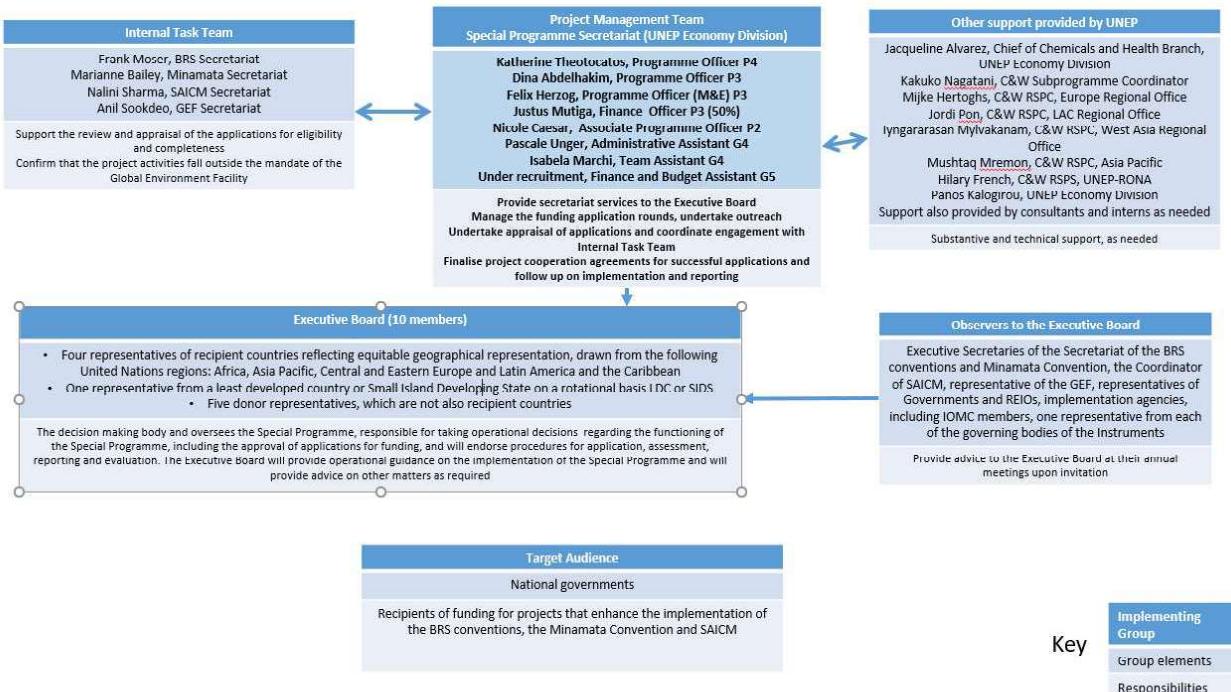
The Executive Board is the decision-making body and oversees the Special Programme with the support of the secretariat. The Executive Board is responsible for taking operational decisions regarding the functioning of the Special Programme, including the approval of applications for funding, and endorsing procedures for application, assessment, reporting and evaluation. The Executive Board provides

operational guidance on the implementation of the SP and provides advice on other matters as required. The term of its representatives is in a two years rotation. The composition of the Executive Board reflects a balance between donors and recipients as follows:

1. Four representatives of recipient countries, reflecting equitable, geographical representation, drawn from the following United Nations regions: Africa, Asia-Pacific, Central and Eastern Europe, and Latin America and the Caribbean.
2. One representative from a least developed country or a small island developing State on a rotational basis;
3. Five donor representatives, which are not also recipient countries

The term of the representatives is on a two-year rotation. The countries that are serving on the Executive board during its 2022-2024 term are Ghana, Sri Lanka, Maldives, Argentina, Georgia, the European Union, Sweden, United States of America, Germany, and the United Kingdom of Great Britain and Northern Ireland. Denmark is not currently part of the Executive Board, however, Denmark will follow the outcomes of the Executive Board meetings and as relevant establish a dialogue with like-minded donor countries of the Special Programme Executive Board for further information. Furthermore, the Danish Ministry of Environment (MoE) will participate in the Special Programs donor meetings hosted by the secretariat during the project term 2022-25. In addition, Denmark will discuss the project with the Trust Fund Secretariat on an ad hoc basis, as well as actively participate in negotiation on the Special Programme at the UN Environment Assembly (UNEA), including attending the Special Programme relevant meetings and events at UNEA6 and other relevant meetings. The MoE will also follow the results of the funding rounds (Cf. appendix 8). Finally, the cooperation with and contribution to the Special Programme will be included in the overall partnership with UNEP such as annual bilateral consultations as relevant.

The Special Programme is managed by a secretariat in the Economy Division of the Chemicals and Health Branch of UNEP. The decision making flowchart and organigram to manage the Special Programme is given below (Figure 1).



The secretariat processes application proposals for approval by the Executive Board, manages approved allocations and services the Executive Board. The Secretariat reports on its operations to the Executive Board and is accountable to the Executive Director of UNEP for administrative and financial matters. The secretariat submits an annual report to the Executive Board, which will also be sent to the governing bodies of UNEP and of the Instruments for their consideration. At its fourth meeting, in January 2019, the Executive Board of the Special Programme welcomed the initiation of the mid-term evaluation⁴ of the Special Programme.

Funding for the Special Programme is provided through voluntary contributions. The Trust Fund for the Special Programme is open to receive voluntary contributions for seven years from the date it was established, in September 2015. With the extension of duration for a period of five additional years as provided for in UNEA resolution 5/7, the Special Programme is open to receive voluntary contributions and applications for funding until September 2027 and to disburse funds until March 2030.

A project completion report shall be submitted to GDK no later than 30 June 2026. Further, the following reports will be submitted to GDK:

Type of report	Cadence	Period	Deadlines
Annual progress report	Annual	January-December	31 March each year

In light of the successful extension of the Special Programme, as per UNEA resolution 5/7, it is expected that the UNEP Evaluation Office will conduct a mid-term evaluation and a terminal evaluation of the Special Programme. The UNEP Evaluation Office will prepare the evaluation terms of reference (including purpose, use, timing) in consultation with the relevant stakeholders, including the Donor. UNEP Evaluation Office shall manage the evaluations, and the evaluation exercises shall be carried out by external independent evaluators

⁴https://wedocs.unep.org/bitstream/handle/20.500.11822/32644/515_2_2020_mte_unep_spclw_special_programme_to_support_chemicals_conventions.pdf?sequence=1&isAllowed=true

as set forth in the UNEP Evaluation Policy. Unless evaluations for the project are conducted by UNEP in accordance with these provisions, the Donor shall have the right to request or initiate a mid-term or terminal evaluation of the Special Programme Trust Fund. The costs of such an evaluation shall be borne by the Donor, in consultation with UNEP and to be carried out in accordance with UNEP Evaluation Policy.

The GDK shall have the right to carry out any technical or financial supervision mission that is considered necessary to monitor the implementation of the project. To facilitate the work of the person or persons instructed to carry out such monitoring missions, the Special Programme shall provide these persons with all relevant assistance, information, and documentation.

After the termination of the project support, the GDK reserves the right to carry out evaluations in accordance with this article.

8. Financial Management, planning and reporting

Management of the contribution and expenditures shall be governed by the regulations, rules and directives of UNEP.

Procurement of goods and services

The contribution provided in accordance with this Agreement and the activities financed therefrom shall be administered in accordance with the applicable United Nations regulations, rules and policies, including United Nations Financial and Staff Regulations and Rules. Any procurement undertaken with funds provided under the agreement will be therefore be conducted in accordance with the applicable procurement rules and procedures of the United Nations and UNEP.

Transfer of funds

The funds shall be paid in two instalments as follows:

- i) A total of 7,000,000 DKK (seven million DK kroner) as initial instalment. This was disbursed upon signature of initial donor agreement, and
- ii) A total of 7,000,000 DKK (seven million DK kroner) as the second and final instalment. This is to be released upon signature of this Amendment 1 to agreement and against a written request for payment as stated below.

Funds shall be transferred from the Department for Green Diplomacy and Climate in DKK.

The Contribution shall be paid against written requests for payment by UNEP. The request must refer to this specific agreement and shall include a disbursement request detailing transfer and banking instructions, and must be signed by the designated official.

The Special Programme must return a letter with acknowledgement of receipt of funds, no later than 14 days after having received the funds, in Danish Kroner as well as the equivalent amount in US dollars at the United Nations operational rate of exchange applicable on the date of receipt of the contribution.

Accounting requirements

UNEP shall maintain its accounts within the framework of the United Nations Financial Rules and Regulations as approved by the General Assembly.

The accounts shall be drawn up to the same level of detail as is done in the budget in appendix 5.

The total budget cannot be exceeded and shall be used for the agreed purposes only.

Financial reporting requirements

UNEP shall provide to the Donor the following reports prepared in accordance with UNEP accounting and reporting procedures:

Type of report	Cadence	Period	Deadlines
Annual financial report	Annual	January-December	31 March each year

Statement of accounts shall be submitted to the Department for Green Diplomacy and Climate annually when submitted to the Executive Board.

A final statement of accounts/audit (covering the entire project period) shall be submitted by June 2026, 6 months after completion of project.

Statement of accounts shall be drawn up to the same level of detail as is done in the budget (reflecting any agreed changes made). The statements shall clearly state the disbursements made by the Department for Green Diplomacy and Climate as well as the outstanding balance at the time of reporting. The statements shall be signed by the responsible authority.

All financial accounts and statements shall be expressed in United States dollars.

Unspent funds

Any unspent balance, interest accrued or any savings of project funds shall be returned to the Danish Ministry of Foreign Affairs (MFA) after the end of the project period (December 2025) until all commitments and liabilities incurred have been satisfied.

Audit requirements

The contribution shall be subject exclusively to the internal and external auditing procedures provided for in the United Nations financial regulations and rules. Should an Audit Report of the Board of Auditors of UNEP contain observations relevant to the UNEP Extra Trust Fund for the Special Programme, such information shall be made available and reported to the Donor immediately.

Obligation to report on changes and irregularities

The Special Programme is obliged to inform the Department for Green Diplomacy and Climate immediately if any changes, including overspending of budget lines, or irregularities in the management of funds are foreseen or have occurred.

9. Risk Management

The Special Programme, as part of UNEP, makes use of corporate tools for the management of risks. These include a monthly assessment of progress, including an indication of the main risk identified during each preceding month, and a six-monthly report on implementation challenges and management actions to address them.

The key risks identified with respect to the Special Programme are set out in appendix 4.

The main **contextual** risk is the possible ongoing impact of COVID-19 on project implementation. During the height of the pandemic, a number of Special Programme projects were impeded, either as a result of the direct impact of the virus on the project staff or as a result of restrictions which prevented project activities from going ahead. As the pandemic and medical responses to it have evolved, restrictions have eased but some countries are still experiencing the impacts.

Mitigation: Projects have to a greater or lesser degree made use of online modalities to ensure that activities such as training and meetings can go ahead. The Executive Board has adopted a flexible approach to take into account the broad impact of the pandemic. Where ongoing delays in implementation arise, the co-chairs of the Executive Board are empowered to consider request for no-cost extensions of Special Programme projects as they arise.

The primary **institutional** risk at present is the ongoing discussion of the eligibility for funding under the Special Programme. The Terms of Reference of the Special Programme provide for support to developing countries, taking into account the special needs of least developed countries and small island developing states, and countries with economies in transition, with priority given to those with least capacity. The Executive Board at its fifth meeting adopted the OECD DAC list of ODA recipients as the basis for eligibility for funding. UNEA in resolution 5/7 encouraged the Executive Board Programme to review the procedures for application for funding in the light of the needs and challenges expressed by developing countries, including those related to operating costs, with a view to promoting an effective and efficient application of the eligibility criteria in line with the terms of reference of the Special Programme, without jeopardizing the ability of the Special Programme to receive funding from existing sources. The Executive Board briefly discussed the matter during its meeting in March 2022 and will hold an intersessional discussion to foster better understanding of the issues in December 2022. The matter will come up for decision in the context of preparations for the seventh round of funding, in early 2023.

Mitigation: should the Executive Board decide to move away from the OECD DAC list of ODA recipients as the basis for determining eligibility for funding under the Special Programme, UNEP is equipped with the administrative controls necessary to ensure that those donors that are constrained by the requirements of the OECD can continue to contribute to the Special Programme secure in the knowledge that their funds will be kept separate from the common pool to ensure that these requirements can be respected.

Other institutional risks relate to the capacity of the Special Programme Secretariat itself, which has in the past encountered staffing challenges.

Mitigation: The Special Programme secretariat has since 2020 been able to grow its team to meet the increasing workload as the size of the portfolio increases as well as the specific technical requirements to

effectively manage the portfolio, including monitoring and evaluation expertise and financial and budget expertise. The Secretariat is therefore much more stable and less vulnerable to staffing changes than before.

The primary **programmatic risk** is that demand for support under the Special Programme may reduce among potential recipient countries.

Mitigation: The Special Programme secretariat works with the secretariats of the BRS Conventions, the Minamata Convention and SAICM as well as UNEP's governance affairs office and the broader community of UNEP engaged in the United Nations Development System as well as entities such as World Health Organization to promote the launch of new rounds of funding. The possibility to apply for cumulative funding, provided for in the Terms of Reference, also allows successful applicants to build on earlier successes through new applications for funding.

Further programmatic risks encountered related to implementation delays in country arising out of changes in government, whether planned or unplanned, and lack of capacity in-country to ensure project implementation.

Mitigation: The Special Programme secretariat strives to maintain contact with focal points of its implementing partners and to provide support where possible on a case-by-case basis. For one specific group of countries that share common challenges, namely the Pacific Islands whose unique physical attributes give rise to specific challenges, the Secretariat is planning to hold a workshop in 2023 to allow the project focal points to identify common challenges to their projects and possible ways to resolve them together.

Appendix 1: Context Analysis

Reference is made to the following documentation:

- UNEP's Medium Term Strategy 2022-2025 chapter II. Situation analysis: unsustainable patterns of consumption and production are overburdening the Earth's resources⁵;
- UNEP's Programme of Work Section I, particularly Table 9 setting out the Chemicals and Pollution Action sub-programme⁶.
- Mid-Term Evaluation of the UN Environment Project 515.2 "Operationalization of the Special Programme to support institutional strengthening at the national level to enhance the implementation of the Basel, Rotterdam and Stockholm conventions, the Minamata Convention on Mercury and the Strategic Approach to International Chemicals Management" from December 2019⁷
- Project Revision #1 515.2 "Special Programme to support institutional strengthening at the national level to enhance the implementation of the Basel, Rotterdam and Stockholm conventions, the Minamata Convention on Mercury and the Strategic Approach to International Chemicals Management appended to the project document (Appendix 10);
- EU's Results Oriented Monitoring report for the Special Program to support Strategic Approach to International Chemicals Management also appended to this project document (Appendix 11).

⁵

<https://wedocs.unep.org/bitstream/handle/20.500.11822/35162/Doc3%20Rev1%20EnglishK2100501.pdf?sequence=1&isAllowed=1>

⁶ <https://www.unep.org/resources/policy-and-strategy/pow-2022-2023>

⁷

https://wedocs.unep.org/bitstream/handle/20.500.11822/32644/515_2_2020_mte_unep_spbw_special_programme_to_support_chemicals_conventions.pdf?sequence=1&isAllowed=1

Appendix 2: Partner Assessment

Brief presentation of partner

UN Environment Programme's (UNEP) Special Programme on Institutional Strengthening was established in September 2015 under resolution 1/5 adopted by the United Nations Environment Assembly. Its mandate is to support institutional strengthening at the national level for the sound management of chemicals and waste and to enhance implementation of the Basel, Rotterdam and Stockholm Conventions, the Minamata Convention and the Strategic Approach to International Chemicals Management. It operates through periodic calls for applications from governments of developing countries, taking into account the special needs of least developed countries and small island developing states, as well as countries with economies in transition, for funding for country-driven projects to strengthen public institutions for the sound management of chemicals and waste. Decision-making is undertaken by the Special Programme Executive Board, consisting of a balanced representation between donors and recipient countries, as set out in the Special Programme Terms of Reference. To date the Special Programme has completed five rounds of applications resulting in 66 approved projects in Africa, Asia Pacific, Central and Eastern Europe and Latin America and the Caribbean with a combined budget of USD17,8 million dollars. Beneficiary contributions from the recipients of these funds amount to USD 9 million to date. UNEP, as the administering organization, provides a Special Programme Trust Fund, which is funded through voluntary contributions, and the Special Programme Secretariat delivers administrative support to the programme, services the Executive Board and manages the application process and the approved projects themselves.

In March 2022, the UN Environment Assembly decided to extend the duration of the Special Programme for a period of five years, to include the Strategic Approach and the sound management of chemicals and waste beyond 2020 and the possibility to contribute with funding until September 2027.⁸ In light of this renewed mandate, a Danish contribution of DKK 7 million in 2022 is an important addition to the Danish 2021 contribution of DKK 7 million. It will significantly contribute to the Special Programme's ability to support developing countries to strengthen their management of chemicals and waste substantially towards 2030. The Programme has already demonstrated ability to deliver results and reliable, transparent administration. From the initial negotiations of the first global chemicals and waste conventions, Denmark has been part of a group of ambitious and agenda pushing countries and from 2021 also by contributing financially to the Special Programme Trust Fund. An accumulated Danish contribution of DKK 14 million (2021-22) is in line with other strong supporters of the global chemicals and waste agenda. With the increased Danish contribution, Denmark will be top five donor together with the European Union (USD 20 million), Sweden (USD 3.8 million), Germany (USD 2.6 million) and Norway (USD 2.1 million).⁹ Currently the donor group consist of 11 donor countries and the EU. With the extension of the duration of the Programme, it seems likely that some donors might give additional contributions before the window closes in September 2027.

⁸

<https://wedocs.unep.org/bitstream/handle/20.500.11822/39846/SOUND%20MANAGEMENT%20OF%20CHEMICALS%20AND%20WASTE.%20English.pdf?sequence=1&isAllowed=>

⁹ Based on contribution status of 1 July 2022 from the other donors.

Summary of partner capacity assessment

A 2019 Results Oriented Monitoring (ROM) report found that the Special Programme is relevant for addressing the institutional weaknesses of countries implementing the Multilateral Environmental Agreements (MEAs) on chemicals. By covering different MEAs, the programme fosters coordination at country level for their implementation. The programme is well designed for avoiding overlap with other potential sources of funding. National authorities are committed to the objective set and the Secretariat has taken appropriate measures for ensuring that proposals are government-endorsed. In addition, the report noted that there is evidence that the governments are taking action to implement the MEAs on chemicals as a result of the projects being implemented. Significant achievements have been identified, related to the establishment of units/directorates of chemicals, multi-stakeholder dialogue processes, development of bills and regulations, or responsiveness to the reporting requirements of the MEAs on chemicals with improved quality.

UNEP undertook a Mid-term evaluation of the Special Programme in 2019¹⁰, which assessed its performance (in term of relevance, effectiveness and efficiency) as satisfactory and determined outcome and impacts of the Special Programme. Key findings relevant for this project included that the Special Programme was properly designed, drawing from lessons learnt from the Global Environment Facility and the Strategic Approach to International Chemicals Management Quick Start Programme. Many strengths and no major weaknesses were identified. Participation and involvement of the stakeholders in the work of the Special Programme was very satisfactory, which allowed to meet most of the mid-term targets of the Special Programme objectives. High ownership and country driven-ness of projects were seen in the recipient countries.

Recommendations for improvements arising from the ROM report and the mid-term evaluation, including the revision of the Special Programme logical framework to include indicators to allow for project impacts to be better measured, have been implemented by the Special Programme Secretariat within a reasonable timeframe.

In October 2021, the Executive Board of the Special Programme noted that the Special Programme plays an important role in supporting developing countries, taking into account the special needs of least developed countries and small island developing States, as well as countries with economies in transition, with priority given to those with least capacity, in establishing and maintaining the sustainable national capacity for sound management of chemicals and waste and adopted a recommendation to UNEA to extend the duration for a period of five years, and to include the Strategic Approach and the sound management of chemicals and waste beyond 2020 in the Special Programme.

In 2022 UNEA decided, in paragraph 16 of Resolution 5/7, to extend the duration of the Special Programme for a period of five years, to include the Strategic Approach and the sound management of chemicals and waste beyond 2020 in the Special Programme. As a result, the Special Programme will remain open to

¹⁰

https://wedocs.unep.org/bitstream/handle/20.500.11822/32644/515_2_2020_mte_unep_spbw_special_programme_to_support_chemicals_conventions.pdf?sequence=1&isAllowed=

receive contributions and applications for funding until September 2027 and to disburse funds until 2030. In the same resolution, UNEA encouraged the Executive Board of the Special Programme to review the procedures for application for funding in the light of the needs and challenges expressed by developing countries, including those related to operating costs, with a view to promoting an effective and efficient application of the eligibility criteria in line with the terms of reference of the Special Programme, without jeopardizing the ability of the Special Programme to receive funding from existing sources.

The COVID-19 pandemic did have an impact on the implementation of the Special Programme, with a number of country projects requiring no-cost extensions to allow for extra time to implement activities that could not take place in person. The Executive Board adopted a flexible approach to this problem, and a system is in place that allows requests for amendments to projects to be approved by the co-chairs on a case-by-case basis.

The Special Programme Secretariat is staffed by a Coordinator, a Programme Officer, a Programme Officer (Monitoring and Evaluation), an Associated Programme Officer, a Team Assistant, an Administrative Assistant and a Finance and Budget Officer (working at 50%). The Executive Board has approved the creation of a Finance and Budget Assistant post to support the increasing workload arising from consecutive rounds of funding, and this post is currently under recruitment. The Secretariat works closely with the secretariats of the Basel, Rotterdam and Stockholm Conventions, the Minamata Convention and SAICM as well as the GEF Secretariat on matters of mutual concern, including to avoid duplication of funds and efforts.

Summary of key partner features

Name of Partner	Core business <i>What is the main business, interest and goal of the partner?</i>	Importance <i>How important is the project/ programme for the partner's activity-level (Low, medium high)?</i>	Influence <i>How much influence does the partner have over the project/ programme (low, medium, high)?</i>	Contribution <i>What will be the partner's main contribution?</i>	Capacity <i>What are the main issues emerging from the assessment of the partner's capacity?</i>	Exit strategy <i>What is the strategy for exiting the partnership?</i>
UNEP Special Programme	To support country-driven institutional strengthening at the national level, in the context of an integrated approach to address the financing of the sound management of chemicals and	Medium. The Government of Denmark is a longstanding supporter of the work of the Special Programme and is one of 12 regular donors contributing to the Special Programme Trust Fund. Total contributions	Medium. UNEP Special Programme provides the secretariat and the Trust Fund for the Special Programme. Operational decisions regarding the functioning of the Special Programme, including the	UNEP Special Programme Secretariat provides the administrative support to the Special Programme and undertakes communication and resource mobilization as well as monitoring and evaluation for	Strength: The Special Programme has an established mechanism for funding that has been refined through five completed funding rounds so far. The UNEA decision to extend the duration of the Special	No special requirements after end of contact. The Special Programme is currently funded by 12 donors (Austria, Belgium, Denmark, European Commission, Finland, Germany, the

	<p>wastes, taking into account the national development strategies, plans and priorities of each country, to increase sustainable public institutional capacity for the sound management of chemicals and wastes throughout their life cycle. Institutional strengthening under the Special Programme will facilitate and enable the implementation of the Basel, Rotterdam and Stockholm conventions, the Minamata Convention and the Strategic Approach to International Chemicals Management</p>	<p>from 2015 to date amount to approximately USD33million. The programme will allow the Special Programme to continue to expand its portfolio of country projects and the support it provides to country-driven institutional strengthening.</p>	<p>approval of applications for funding, and endorsement of procedures for application, assessment, reporting and evaluation, are taken by the Special Programme Executive Board. The Executive Board comprises 10 members, five representing donors and five representing recipient countries. After approval country projects are implemented, typically, by the recipient governments themselves, with oversight provided by the Special Programme Secretariat.</p>	<p>the Special Programme. This includes servicing the Executive Board; preparations for rounds of funding applications and support to potential applicants in the application process; engagement with secretariats for appraisal of applications received; implementing decisions of the Executive Board; signing and managing legal agreements with successful applicants; monitoring country project progress through annual reporting cycles; reporting on project and Programme outcomes</p>	<p>Programme is a vote of confidence in the effectiveness of the programme so far.</p> <p>Weakness: as part of the integrated approach to financing the sound management of chemicals and waste, the Special Programme has so far not managed to engage meaningfully with private sector to support its work. This area of work is currently being addressed and a private sector engagement workshop is planned for early 2023. The Special Programme Secretariat is engaging closely with UNEP's corporate private sector unit to facilitate this work.</p> <p>Opportunities: the Secretariat is undertaking an assessment of closed country projects and will incorporate the lessons learned from the assessment to refine its work further in the future.</p>	<p>Netherlands, Norway, Sweden, Switzerland, the United States, the United Kingdom) with strong and consistent support from these donors. The work of the Special Programme will be able to continue after the end of the programme with the support of these donors. In addition, the secretariat is seeking to attract new donors.</p>
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					Threats: the discussions on eligibility for funding that took place in the context of the UNEA decision to extend duration of the Special Programme have caused the Executive Board to reconsider its decision to adopt the OECD DAC list of ODA recipients as the basis for eligibility for funding. The matter will be discussed by the Executive Board in December 2022 with a decision to be taken at the eighth Board meeting in February 2023. However, this threat can be mitigated by UNEP Special Programme Secretariat ensuring that donor constraints on the use of donor funds are respected, and those donors with specific limitations such as the OECD DAC requirements for ODA are maintained in separate donor grants within the Special Programme Trust Fund.	
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Appendix 3: Theory of Change, Scenario and Result Framework

Reference is made to section 4 and 5 above.

Appendix 4: Risk Management

Risk Factor	Likelihood	Impact	Risk response	Residual risk	Background to assessment
The COVID-19 pandemic delays implementation of Special Programme projects in some recipient countries.	Possible	Medium	Working through electronic means and postponement/extension of projects.	Low	After two years of working through the pandemic, most countries have developed the capability to adopt a remote working modality. While during the pandemic in-person trainings in particular were affected, implementing governments were able to adapt their implementation plans to incorporate online forms of engagement. However some countries (notably in Asia Pacific) still face challenges from COVID-19 in particular domestic and international travel restrictions that are impacting implementation of projects.
Further to ongoing discussions in response to paragraph 10 of UNEA resolution 5/7 on the procedures for application for funding, the Executive Board may decide to stop using the OECD DAC list of ODA recipients as the basis for eligibility for funding under the Special, and donors who are constrained by the OECD DAC eligibility requirements may be reluctant to (continue to) fund the Special Programme	Possible	Significant	UNEP's administrative processes and infrastructure allow for donors' particular constraints on the use of funds to be respected by maintaining separate streams of funding within the Special Programme Trust Fund, thereby ensuring that the ODA requirements can be respected for those donors for whom this is necessary.	Low	The Special Programme already has donors who have specified constraints on the use of their contributions and these are maintained in this way.
Demand for Special Programme support drops among potential recipient countries in the context of ongoing discussions under the SAICM beyond 2020 process.	Possible	Low	The Special Programme Secretariat works with the secretariats of the Basel, Rotterdam and Stockholm Conventions, the Minamata Convention and SAICM as well as UNEP's Governance Affairs Office to promote the launch of new rounds of funding in order to attract applications. The Secretariat is increasingly working with counterparts in the UN Development System and other international organisations such as WHO to publicise the application rounds and attract new applications.	Low	The Special Programme continues to attract new applicants for funding and is also attracting further applications for funding from countries who have already implemented Special Programme projects; therefore the demand does still appear to be there.

Appendix 5: Budget Details

See separate Excel file.

Appendix 6: List of Supplementary Materials

Reference is made to the list of documents in appendix 1.

Appendix 7: Plan for Communication of Results

Reference is made to the website of the Special Programme <https://www.unep.org/explore-topics/chemicals-waste/what-we-do/special-programme> where results and cases are published. No specific communication plan for the Danish contribution is envisaged.

Appendix 8: Process Action Plan for Implementation

Planned activities include the following

Expected timing	Activity
February 2023	Eighth meeting of the Executive Board including approval of applications under the sixth round of funding
February 2023	Private sector engagement workshop
March 2023	Expected launch of seventh round of funding
May 2023	Likely timing for seventh round workshops for prospective applicants
August 2023	Expected deadline for applications under the seventh round
September 2023-December 2023	Review, revision and appraisal of applications under the seventh round of funding
February 2024	Ninth meeting of the Executive Board including approval of applications under the seventh round of funding
March 2024	Expected launch of eighth round of funding
May 2024	Likely timing for eighth round workshops for prospective applicants
August 2024	Expected deadline for applications under the eighth round
September 2024-December 2024	Review, revision and appraisal of applications under the seventh round of funding
February 2025	Tenth meeting of the Executive Board including approval of applications under the seventh round of funding
March 2025	Expected launch of ninth round of funding
May 2025	Likely timing for ninth round workshops for prospective applicants
August 2025	Expected deadline for applications under the ninth round
September 2025-December 2025	Review, revision and appraisal of applications under the ninth round of funding
February 2026	Eleventh meeting of the Executive Board including approval of applications under the ninth round of funding

Appendix 9: Quality Assurance Checklist

File number/F2 reference: 2021-41423

Programme/Project name: Trust Fund for the Special Programme on Institutional Strengthening for the Chemicals Cluster, (UNEP)

Programme/Project period: 2022-2025

Budget: DKK 7.000.000

Presentation of quality assurance process:

The project document and appendices has been through an internal appraised process by Advisor at the Technical HUB of the Department for Global Diplomacy & Climate, Ministry of Foreign Affairs of Denmark. The appraisal concluded that the proposed project is recommended for approval with only minor adjustments taking the recommendations of this report into consideration. The recommendations of the appraisal has since been included in the project document.

- The design of the programme/project has been appraised by someone independent who has not been involved in the development of the programme/project.

Comments: Yes

- The recommendations of the appraisal has been reflected upon in the final design of the programme/project.

Comments: Yes

- The programme/project complies with Danida policies and Aid Management Guidelines, including the fundamental principles of Doing Development Differently.

Comments: Yes

- The programme/project addresses relevant challenges and provides adequate responses.

Comments: Yes

- Issues related to HRBA, LNOB, Gender, Youth, Climate Change, Green Growth and Environment have been addressed sufficiently in relation to content of the project/programme.

Comments: Yes

- Comments from the Danida Programme Committee have been addressed (if applicable).

Comments: N/A

- The programme/project outcome(s) are found to be sustainable and in line with the partner's development policies and strategies. Implementation modalities are well described and justified.

Comments: Yes

- The theory of change, results framework, indicators and monitoring framework of the programme/project provide an adequate basis for monitoring results and outcome.

Comments: Yes

- The programme/project is found sound budget-wise.

Comments: Yes

- The programme/project is found realistic in its time-schedule.

Comments: Yes

- Other donors involved in the same programme/project have been consulted, and possible harmonised common procedures for funding and monitoring have been explored.

Comments: N/A

- Key programme/project stakeholders have been identified, the choice of partner has been justified and criteria for selection have been documented.

Comments: Yes

- The implementing partner(s) is/are found to have the capacity to properly manage, implement and report on the funds for the programme/project and lines of management responsibility are clear.

Comments: Yes

- Implementing partner(s) has/have been informed about Denmark's zero-tolerance policies towards (i) Anti-corruption; (ii) Child labour; (iii) Sexual exploitation, abuse and harassment (SEAH); and, (iv) Anti-terrorism.

Comments: Yes

- Risks involved have been considered and risk management integrated in the programme/project document.

Comments: Yes

In conclusion, the programme/project can be recommended for approval: yes / no

Date and signature of Desk Officer: _____

Date and signature of Management: _____

Appendix 10: Project Revision #1, 515.2 "Special Programme to support institutional strengthening at the national level to enhance the implementation of the Basel, Rotterdam and Stockholm conventions, the Minamata Convention on Mercury and the Strategic Approach to International Chemicals Management

See separate document

Appendix 11: EU's Results Oriented Monitoring report for the Special Program to support Strategic Approach to International Chemicals Management

See separate document

Umoja Budget Template

Project Title: Special Programme to support institutional strengthening at the national level to enhance the implementation of the Basel, Rotterdam and Stockholm conventions, the Minamata Convention on Mercury and the Strategic Approach to International Chemicals Management

17.570.605

Total Cost of the Action per year (expressed as a percentage of the total cost of the Action)	2017	2018	2019	2020	2021	2022	2023	2024	2025
Staff and Other Personnel Costs	383,100	607,802	902,994	480,000	530,000	555,000	380,000	580,000	380,000
Contractual Services	2,501	69,296	75,000	180,000	205,000	205,000	225,000	250,000	155,000
Travel	41,786	26,769	170,000	60,000	115,000	105,000	130,000	180,000	130,000
Transfers and Grants Issued to IP (SSFAa, PCAs)	1,442,914	3,169,394	4,773,849	1,354,899	3,511,647	2,010,000	1,527,521	0	0
Total direct costs	1,870,301	3,673,321	5,971,941	2,074,899	4,361,647	2,870,000	2,265,521	1,010,000	625,000
PSC 7%	80,897	226,336	285,546	17,150	236,850	165,800	131,076	31,155	22,050
PSC 15%	92,902	83,196	239,542	237,887	129,564	65,850	57,070	73,450	40,300
Total eligible costs of the Action	2,044,100	4,828,652	6,446,930	2,239,698	4,759,761	3,104,650	2,444,297	1,114,600	687,350

Prepared and certified by UNEP/MEA designated Fund Management Officer (FMO) Justus Mithiga (15/11/2018)

as on 13.03.2020 27,083.376
Budget 27,083.376
OFF 0 Main Grant to be allocated to 202

S. No.	Commitment Class Code		Commitment Class Name
	Commitment Class [U10 - RB]	Commitment Class [U30 - General TF]	
1	FT10_Class_010	FT30_Class_010	Staff and Other Personnel Costs
2	FT10_class_115	FT30_Class_160	Travel
3	FT10_Class_120	FT30_Class_120	Contractual Services
4	FT10_Class_125	FT30_Class_125	Operating and Other Direct Costs
5	FT10_Class_140	FT30_Class_135	Equipment Vehicles and Furniture
6	to check	FT30_CLASS_130	Supplies Commodities and Materials
7	FT10_Class_145	FT30_Class_145	Grants Out
8	FT10_Class_145	FT30_Class_150	UN-PSC
9	FT10_Class_145	FT30_Class_140	Transfers and Grants Issued to Implementing Partner (IP)

Explanation

- (i) Includes all costs and entitlements of personnel including staff / consultants/admin staff / UNVs/interns.
- (ii) Meeting facilitators, interpreters, Evaluation consultants all to be budgeted under this Class.
- (iii) IMIS object codes which fit here would be 1100/1200/1300/1400/5500

- (i) Includes staff/consultant/meeting participant travel [DSA/Tickets/Terminals as applicable]
- (ii) Road / train /Fuel and vehicle/boat rental costs for staff, consultants and other project personnel
- (iii) IMIS object codes - 1600 and travel component of 1200/5500/3300/3200/3100 (**Nb: Other items not related to travel costs previously budgeted under 3200/3300 should not be included in this class**)

- (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
- (iv) In IPSAS terms, its similar to exchange transaction
- (v) IMIS object code which fit in this category is 2300

- (i) Rental of premises/equipment; utilities; cleaning; vehicle maintenance; communication costs
- (ii) IMIS object codes which fit in this category are 4300, 5100, 5300

- (i) Procurement of non-consumables e.g. IT equipment, vehicles, furniture etc etc. This would relate to all costs to put asset into service and the cost of disposal of the asset upon reaching its useful life. For those who do donor reports according to IPSAS this would equal depreciation for period.
- (ii) IMIS object code fit in this category is 4200

- (i) Consumable supplies e.g. office stationary/supplies,drugs, tools, etc.;
- (ii) Costs associated with the delivery, storage and distribution of consumable supplies procured such as transportation, freight, customs, insurance, warehousing and other logistical requirements;
- (iii) IMIS object codes which fit in this category is 4100

- (i) Grants to End Beneficiaries (EB) which are expensed upon payment. Per current guidance threshold is \$30,000 (ii) Matching IMIS object codes could be 2100 and 2200

Programme Support Costs. No IMIS Object code matching though late 2014 started using 9400

These are funds to be released to IP. When raising PO, the below noted 8 categories are budgeted for which follow the above noted Commitment Class and hence guidance. There were no matching IMIS object codes until late 2014 when advised to use xx61 codes. IP PO breakdown:

- (i) Staff and personnel
- (ii) Travel
- (iii) Contractual Services
- (iv) Vehicle & Furniture
- (v) Grants out
- (vi) General operating costs
- (vii) Supplies & commodities
- (viii) IP PSC

Appendix 9: Quality Assurance Checklist

File number/F2 reference: 2021-41423

Programme/Project name: Trust Fund for the Special Programme on Institutional Strengthening for the Chemicals Cluster, (UNEP)

Programme/Project period: 2022-2025

Budget: DKK 7.000.000

Presentation of quality assurance process:

The project document and appendices has been through an internal appraised process by Advisor at the Technical HUB of the Department for Global Diplomacy & Climate, Ministry of Foreign Affairs of Denmark. The appraisal concluded that the proposed project is recommended for approval with only minor adjustments taking the recommendations of this report into consideration. The recommendations of the appraisal has since been included in the project document.

- The design of the programme/project has been appraised by someone independent who has not been involved in the development of the programme/project.

Comments: Yes

- The recommendations of the appraisal has been reflected upon in the final design of the programme/project.

Comments: Yes

- The programme/project complies with Danida policies and Aid Management Guidelines, including the fundamental principles of Doing Development Differently.

Comments: Yes

- The programme/project addresses relevant challenges and provides adequate responses.

Comments: Yes

- Issues related to HRBA, LNOB, Gender, Youth, Climate Change, Green Growth and Environment have been addressed sufficiently in relation to content of the project/programme.

Comments: Yes

- Comments from the Danida Programme Committee have been addressed (if applicable).

Comments: N/A

- The programme/project outcome(s) are found to be sustainable and in line with the partner's development policies and strategies. Implementation modalities are well described and justified.

Comments: Yes

- The theory of change, results framework, indicators and monitoring framework of the programme/project provide an adequate basis for monitoring results and outcome.

Comments: Yes

- The programme/project is found sound budget-wise.

Comments: Yes

- The programme/project is found realistic in its time-schedule.

Comments: Yes

- Other donors involved in the same programme/project have been consulted, and possible harmonised common procedures for funding and monitoring have been explored.

Comments: N/A

- Key programme/project stakeholders have been identified, the choice of partner has been justified and criteria for selection have been documented.

Comments: Yes

- The implementing partner(s) is/are found to have the capacity to properly manage, implement and report on the funds for the programme/project and lines of management responsibility are clear.

Comments: Yes

- Implementing partner(s) has/have been informed about Denmark's zero-tolerance policies towards (i) Anti-corruption; (ii) Child labour; (iii) Sexual exploitation, abuse and harassment (SEAH); and, (iv) Anti-terrorism.

Comments: Yes

- Risks involved have been considered and risk management integrated in the programme/project document.

Comments: Yes

In conclusion, the programme/project can be recommended for approval: yes / no

Date and signature of Desk Officer: 8/12-22

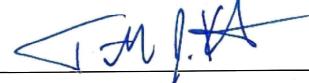


Date and signature of Management: 8/12-22

Project Revision #1

515.2 "Special Programme to support institutional strengthening at the national level to enhance the implementation of the Basel, Rotterdam and Stockholm conventions, the Minamata Convention on Mercury and the Strategic Approach to International Chemicals Management

Policy & Programme Division Director
clearance: Tim Kasten



Date: 13 / 04 /2021

Approval by Economy Division Director
Ligia Noronha



Digitally signed
by Ligia Noronha
Date: 2021-04-14
19:35:32

Date: 14 / 04 /20

Table 1: Required Project Information

Identification	Insert Umoja no.32CML/33CML Insert PIMS no. 01967				
Project Title	515.2 Special Programme to support institutional strengthening at the national level for implementation of the Basel, Rotterdam and Stockholm conventions, the Minamata Convention and the Strategic Approach to International Chemicals Management				
Division managing project	Economy Division, Chemicals and Health Branch				
Project Manager and Org. Unit/Division or Region	Katherine Theotocatos	P-4	Chemicals and Health Branch	XB	100%
Other Members of Project team	Justus Mutiga	P-3 FMO	Chemicals and Health Branch	XB	50%
	Nicole Caesar to take up her functions on 1 May 2021	P-2	Chemicals and Health Branch	XB	100%
	Dina Abdelhakim	P-3	Chemicals and Health Branch	XB	100%
	Pascale Unger	G-4	Chemicals and Health Branch	XB	80%
	New post, approved by the Executive Board in October 2020. Under recruitment	P-3	Chemicals and Health Branch	XB	100%
	Vacant; approved by Executive Board in March 2021. Under recruitment	G-4	Chemicals and Health Branch	XB	100%
Name of Supervisor of UNEP Project Manager	Monika MacDevette				
Type/Location	Global (countries listed below following approval of projects by the Special Programme Executive Board)				
Region (delete as appropriate)	Africa, Asia Pacific, Central and Eastern Europe, Latin America and Caribbean				

List Countries	<p>Recipient countries for the first round of applications: Argentina, Benin, Dominican Republic, Kyrgyzstan, Tanzania, Ukraine</p> <p>Recipient countries for the second round of applications: Afghanistan, Belarus, Brazil, China, Ecuador, North Macedonia, The Gambia, Ghana, India, Kenya, Kiribati, Nigeria, Papua New Guinea, Republic of Moldova, Serbia, Uganda and Viet Nam</p> <p>Recipient countries for the third round of application: Albania, Angola, Bolivia (Plurinational State of), Cambodia, Ethiopia, El Salvador, Eswatini, Iran (Islamic Republic of), Kazakhstan, Micronesia (Federated States of), Nauru, Pakistan, Palau, Palestine (State of), South Africa, Tajikistan, Tunisia and Vanuatu.</p> <p>Donors: Austria, Belgium, Denmark, European Union, Finland, Germany, Netherlands Norway, Sweden, The Netherlands, United Kingdom, United States</p>
Programme of Work	2016-2017, 2018 – 2019, 2020 – 2021,
Subprogramme	5. Chemicals, Waste and Air Quality
Expected Accomplishment	<p>5. (a) Policies and legal, institutional and fiscal strategies and mechanisms for sound chemicals management developed or implemented in countries within the framework of relevant multilateral environmental agreements and SAICM; and</p> <p>b) Policies and legal, institutional and fiscal strategies and mechanisms for waste prevention and sound management developed or implemented in countries within the framework of relevant multilateral environmental agreements and SAICM</p>
Indicator of the EA to which it contributes to	<p>(i) Number of governments at all levels that are developing or implementing policies, strategies, legislation or action plans that promote sound management of chemicals and/or implementation of multilateral environmental agreements and SAICM with UNEP support</p> <p>(ii) the number of governments at all levels that are implementing waste prevention and sound management policies and good practices, in accordance with relevant multilateral environmental agreements, and other relevant international agreements, with UNEP support</p>
Most relevant PoW Output to which Project primarily contributes ¹	<p>Output 5 (a) 2. Capacity-building and technical assistance on best available techniques, good practices, risk reduction and the establishment and enforcement of policies, laws and regulations for sound chemicals management</p> <p>Output 5 (b) 3 Technical guidance on best available techniques, good practices, legislation and risk reduction developed for the sound management of waste</p>
Programme of Work²	2022-2023
2025 Outcomes	<p>3A - Human health and environment outcomes are optimized through enhanced capacity and leadership on the sound management of chemicals and waste</p> <p>3B - Waste management is improved, including through circular processes, safe recovery of secondary raw materials and progressive reduction of open burning and dump sites</p>
Direct Outcome for POW 2022-2023	3.5 Institutional capacity to adopt and act on national and international commitments is enhanced
Indicators for POW 2022-2023	<p>(i) Number of Governments that, with UNEP support, are developing or implementing policies, strategies, legislation or action plans that promote sound chemicals and waste management and/or the implementation of multilateral environmental agreements and the existing framework on chemicals and waste</p>

¹ Must be consistent with the Logical Framework

² As set out in document UNEP/EA.5/3/Add.1, which is subject to approval by UNEA5 in February 2021

	<p>(ii) Number of Governments developing or implementing policies, strategies and mechanisms to prevent or reduce waste and ensure environmentally sound waste treatment or disposal, including in the context of disaster or conflict-related environmental emergencies, with UNEP support</p>
<p>Link to relevant SDG Goals, target(s) and SDG indicator(s)³</p>	<p>Sound management of chemicals and waste⁴ (SMCW) is a specific target under SDG 12 on Sustainable Consumption and Production, specifically “Target 12.4: environmentally sound management of chemicals and all wastes through their life cycle, in accordance with agreed international frameworks” and Indicator 12.4.1 “Number of parties to international multilateral environmental agreements on hazardous waste, and other chemicals that meet their commitments and obligations in transmitting information as required by each relevant agreement”.</p> <p>The mandate of the Special Programme is also related to the following goals:</p> <p>SDG 2 on Zero Hunger: elimination of highly hazardous pesticides</p> <p>SDG 3 on Good Health and Well-being: reduced exposure to chemicals and waste</p> <p>SDG 6 on Clean Water and Sanitation: no harmful chemicals in (ground) water</p> <p>SDG 8 on good jobs and economic growth: harmful chemicals safely treated at workplace</p> <p>SDG 14 on Life below Water: ASGM mercury reduced in oceans</p> <p>SDG 15 on Life on Land: reduced contamination on land, soil</p> <p>SDG 17 on Partnerships for the Goals: IOMC, SAICM, Global Mercury Partnership, etc.</p>
<p>Other Divisions/Regional Offices involved:</p> <p>Africa Office, Asia Pacific Office, Europe Office, Latin America and Caribbean Office, West Asia Office, Law Division, Communications Division, Secretariats of the Basel, Rotterdam and Stockholm conventions and the Minamata Convention, and SAICM secretariat</p>	
<p>Name of External Executing Partners</p>	<p>Afghanistan UNEP Office; Albania Ministry of Tourism and Environment of Albania, Ministry of Health of Albania; Angola Ministry of Environment; UNDP Country Office in Argentina; Belarus Ministry of Health; Benin Ministry of Living Environment and Sustainable Development; Bolivia (Plurinational State of) Ministry of Environment and Water; Brazil Ministry of Environment; Cambodia Ministry of Environment, UNITAR; China MEP; Dominican Republic Ministry of Environment and Natural Resources; Ecuador Ministry of Environment and Natural Resources, Investment Fund for Sustainable Environment; Eswatini Environment Authority, Ministry of Tourism and Environmental Affairs; Ethiopia Ministry of Environment, Forest and Climate Change; Federated States of Micronesia Department of Environment, Climate Change and Emergency Management; Gambia National Environment Agency; Ghana EPA; India CSIR - National Environmental Engineering Research Institute; Iran Research Institute of Petroleum Industry of I.R., Department of Environment of I.R., Ministry of Foreign Affairs of I.R.; UN Environment West Asia Office (Iraq); Kazakhstan Ministry of Energy of Republic, UNDP Country Office in Republic of Kazakhstan; Kenya Ministry of Environment and Natural Resources; Kiribati Ministry of Environment, Lands and Agricultural Development, UNITAR; Kyrgyz Republic, Independent Ecological Expertise; Moldova Ministry of Environment; Nauru Department of Commerce, Industry and Environment of Nauru; Nigerian Federal Ministry of Environment, UNITAR; Pakistan Ministry of Climate Change, UNDP; Palau Environmental Quality Protection Board; Papua New Guinea Conservation and Environment Protection Authority, SPREP; Serbia Ministry of Environmental Protection; South Africa Department of Environment, Forestry and Fisheries, The Africa Institute; State of Palestine Environment Quality Authority; Tajikistan Committee on Environmental Protection of Tajikistan, UNEP ROE, Tanzania Vice President's Office-Division of Environment, North Macedonia Resource Environmental Centre; Tunisia Ministry of Local Affairs and the Environment; Uganda NEMA; UNDP Country Office in Republic of Kazakhstan; Vanuatu Department of Environment Protection and Conservation; Viet Nam Chemicals Agency, Ministry of Industry and Trade</p>

³ http://www.unep.org/pdf/UNEP_and_the_2030_Agenda.pdf

⁴ Here understood as hazardous waste. Nuclear waste, biological waste, sanitation waste etc. are not included

Table 2

2.1 Proposed changes to previously approved Duration and Cost

Previously approved dates and duration:	Starting date: 09/2016 ⁵	Actual completion date: 12/2021	Total duration in Months: 63
Proposed completion date and duration		Proposed new completion date, if change: December 2025 ⁶	Proposed total duration in Months: 123

2.2 Budget Summary

Overall Budget	Amount
A: Previously approved planned budget	USD 16,469,383
B: Previously secured budget (from IMIS)	USD 16,469,383
C: Total change of secured budget [sum of (i)+(ii)+(iii)+(iv)+(v)+(vi)+(vii)+(viii)+(ix)+(x)+(xi)]	USD 12,134,110
i) Source of newly Secured budget (EU DEVCO)	USD 7,811,656
ii) Source of newly Secured budget (Austria)	USD 43,020
iii) Source of newly Secured budget (Belgium)	USD 119,454
iv) Source of newly Secured budget (Denmark)	USD 32,092
v) Source of newly Secured budget (Finland)	USD 4,467
vi) Source of newly Secured budget (Germany)	USD 1,226,967
vii) Source of newly Secured budget (Netherlands)	USD 493,958
viii) Source of newly Secured budget (Norway)	USD 1,865,571
ix) Source of newly Secured budget (Sweden)	USD 218,221
x) Source of newly Secured budget (United Kingdom)	USD 116,455
xi) Source of newly Secured budget (USA)	USD 202,250
D: Total revised secured budget (B+C)	USD 28,603,493
E: Unsecured budget (F-D)	USD 0
F: New total for proposed planned budget	USD 28,603,493
G: In Kind contributions- Previously Secured	USD 1,040,000
H: Revised total in kind secured contributions	USD 1,040,000
I: Total revised planned budget: Planned + In Kind (F+H)	USD 29,643,493

Actual Secured Income by Year (to date - as at 31 December 2020)

Year 1 (2016)	Year 2 (2017)	Year 3 (2018)	Year 4 (2019)	Year 5 (2020)
4,800,898	5,320,533	3,312,934	932,562	5,399,621
Year 6 (2021)	Year 7 (2022)	Year 8 (2023)	Year 9 (2024)	Year (2025)
5,106,516	1,582,870	943,168	700,850	503,542

⁵ This was the expected start date as set out in the original project document. However, the Executive Board decided at its third meeting in December 2017 that the date of establishment of the Special Programme should be regarded as September 2015, based on the date of establishment of the Special Programme Trust Fund.

⁶ The Terms of Reference of the Special Programme, annexed to UNEA resolution 1/5, provide for an initial period of seven years from establishment for the Special Programme to receive voluntary contributions and applications for support (i.e. up to September 2022), with disbursements possible for an initial total period of 10 years from the date of establishment (i.e. up to September 2025). The Terms of Reference provide for a one-time extension of the duration of the Special Programme beyond the initial seven-year period, on the basis of a satisfactory review and evaluation and subject to a recommendation from the Executive Board to UNEA. This is under consideration by the Executive Board and any recommendation adopted will be forwarded to UNEA in time for the resumed UNEA5 session.

3. What has been achieved so far (at output and outcome level)

Achievement of results to date of revision			
Outcome 1	Indicator(s)	Target	Achieved/ Not Achieved/On target
Governments from developing countries and countries with economies in transition are taking affirmative action to implement the Basel, Rotterdam and Stockholm conventions, the Minamata Convention and SAICM implementation plans	Number of countries using the financial support of the Special Programme Trust Fund to ratify or are in the process of ratifying	10	9 On target
	Number of countries using the financial support of the Special Programme Trust Fund to implement national implementation plans for chemicals and waste management	5	14 Achieved
	Number of countries using the financial support of the Special Programme Trust Fund to develop national legislation on chemicals and waste management	5	4 On target
Output (s)	Indicator(s)	Target	Achieved/ Not Achieved/On target
Management of the Special Programme Trust Fund and providing secretariat services to the Special Programme Executive Board	Number of Executive Board meetings (including teleconferences)	7	8 Achieved
	Number of guidance documents and application forms prepared to support development of projects (and include gender considerations) to address the sound management of chemicals and waste	8	15 Achieved
	Number of projects screened, reviewed and appraised by the secretariat for funding by the Special Programme Trust Fund	99	114 Achieved
Output (s)	Indicator(s)	Target	Achieved/ Not Achieved/On target
Technical assistance for development of the project applications and the management of the Special Programme approved projects in line	Number of application cycles for the Special Programme	6	4 On target
	Number of SSFAs with recipient countries	50	39 On target

with the Terms of Reference of the Special Programme and guidance by the Special Programme Executive Board	Number of reports summarising the final project reports and financial audits per project cycle	2	2 Achieved
Output(s)	Indicator(s)	Target	Achieved/ Not Achieved/On target
Communication products and services developed, and activities conducted to influence key stakeholders on the sound management of chemicals and waste	Number of communications tools and services provided to support the sound management of chemicals and waste	10	18 Achieved
	Targeted communication and outreach events for relevant sectors undertaken (e.g. agriculture, health, environment, labour, industry, gender)	5	14 Achieved

4. Reasons for the Revision

Summary of key changes and justifications for the proposed revision:

- The duration of the project is extended by three and a half (3.5) years from the end date approved in the original project document (from 06/2022 to 12/2025) to take into account the time necessary to close any outstanding projects that will be approved during the last round of applications in 2022. This extension is in line with the original timeframe provided for in the Terms of Reference of the Special Programme, as per paragraph 24 of Annex II to UNEA Resolution 1/5.
- Since the Special Programme was operationalised in 2015, an additional USD 10 million in contributions from donors have been pledged and/or received. The project revision reflects an updated budget that takes into account the additional resources raised and indicates how these funds will be allocated.
- The project document was updated to take into account the conclusions and recommendations proposed in two evaluations of the Special Programme: the mid-term evaluation conducted by the UNEP Evaluation office during the third quarter of 2019⁷ and the European Commission Results Oriented Monitoring (ROM) Review of the Special Programme, carried out in the second quarter of 2019 under the auspices of the EC Directorate General of International Cooperation and Development (DEVCO). The findings of these evaluations have been reflected in this project revision through the following changes:
 - Updating of the Theory of Change (as set out below), including by i) the addition of Assumptions; ii) the inclusion of the draft monitoring, evaluation and learning strategy; iii) the modification of the outputs; and iv) an additional causal pathway;
 - the addition of one output, to provide for monitoring and evaluation of projects;
 - the refinement of existing indicators and inclusion of new indicators in the logical framework (as shown in table 3 below). The changes to the indicators are intended to provide for the monitoring of project implementation at the country level, including following project completion, to ensure sustainability of the project outcomes, and better identification and measurement of achievements at the country level. In particular, two core indicators have been included as outcome indicators, to measure the establishment of coordination mechanisms and improved integration of chemicals and waste management into national and sector planning, drawing from project-level indicators that will be incorporated into relevant projects from the fourth round of applications onwards. The revised Theory of Change and logframe are set out in the Monitoring, Evaluation and Learning Strategy that was endorsed by the Executive Board at its meeting in October 2020, noting that they are subject to final approval by UNEP; details on core indicators at programme level are similarly set out in the

⁷ The final report of the mid-term evaluation, dated December 2019, is available at https://wedocs.unep.org/bitstream/handle/20.500.11822/32644/515_2_2020_mte_unep_spbw_special_programme_to_support_chemicals_conventions.pdf?sequence=1&isAllowed=y

Strategy document, while the related project-level core indicators are described in the related Monitoring, Evaluation and Learning Toolkit endorsed by the Executive Board at the same meeting;

- increasing several of the proposed targets, in line with the findings of the evaluations and the additional funds raised for the Special Programme, as outlined in the updated logframe; and
- revising several milestones (looking forward; no changes to milestones in the past have been made) and including milestones included to cover the extended period.

In the process, risks at the level of the programme and the country-level projects were taken into account as follows:

- As noted above, the revised Theory of Change includes assumptions, which are positive statements reflecting possible underlying risks.
- Outcome level assumptions/risks relate primarily to the situation within the countries themselves and are therefore outside of the direct sphere of influence of the Special Programme.
- Output- and activity-level risks have been addressed as follows:
 - Risk: countries unable to document best practices and lessons learned: the Special Programme has adopted a monitoring, evaluation and learning strategy and action plan and an accompanying toolkit that will support countries in this. Implementation of the strategy and action plan is supported by the addition of a staff position within the Secretariat (P3 Programme Management Officer to work on monitoring and evaluation)
 - Risk: Countries not interested in accessing support to strengthen their institutional capacities: implementation of the Special Programme communications strategy is under way. The secretariat is developing communication materials and tools to spread the word about the Special Programme in order to build up interest among potential applicants and is also working with the UNEP regional offices and the secretariats of the relevant instruments in preparation for the launch of the fifth round of funding.
 - Risk: Countries not able to prepare applications of sufficient quality to attract funding: the application process includes a phase during which detailed feedback is given to applicants on how best to strengthen their applications, with specific feedback and response forms provided for. As noted above, the Secretariat is working with the UNEP regional offices and the secretariats of the relevant instruments in preparation for the launch of the fifth round of funding and will hold a series of regional webinars with potential applicants to the end.
 - Risk: secretariat staff is not adequate in quality and quantity to fulfil technical, administrative and management functions: after a period of under-staffing in the first half of 2020, following a series of staffing changes, the Secretariat has made significant progress in filling existing vacant posts (the P4 Programme Management Officer post was filled in June 2020; the P3 Programme Management Officer was filled in December 2020 through promotion and the resulting P2 Programme Management Officer vacancy will be filled on 1 May 2021 when the selected candidate takes up her role.). In addition, the Executive Board has approved the creation of a new P3 Programme Management Officer position, to focus on implementing the monitoring, evaluation and learning strategy and action plan, and also approved the filling of a vacant G4 Team Assistant post to assist with the increasing workload of the team arising from successive rounds of funding.
- The mid-term evaluation, in considering risks at both programme and project level, in the context of sustainability but did not adopt any recommendations on the matter. At the programme level, the evaluation found no risks regarding the financial dimension for the Special Programme, with sustainability at the programme level considered 'Likely'. At the country project level, risks relating to socio-political sustainability were considered low. However, the evaluation did conclude that there was a moderate to high risk relating to the financial sustainability at the country level, as many countries would require financial assistance for continuation of project benefits but that to decrease the dependence on international financial assistance and to ensure the sustainability of the country projects, the countries are highly encouraged to establish cost recovery measures such as the 'polluter pays' principle, wherever applicable and providing a budget line for the sound management of chemicals and waste. The issue of sustainability of country projects is considered during the appraisal process for each round of applications and is taken into account by the Executive Board in making its funding decisions.

Original Theory of Change:



Revised Theory of Change:

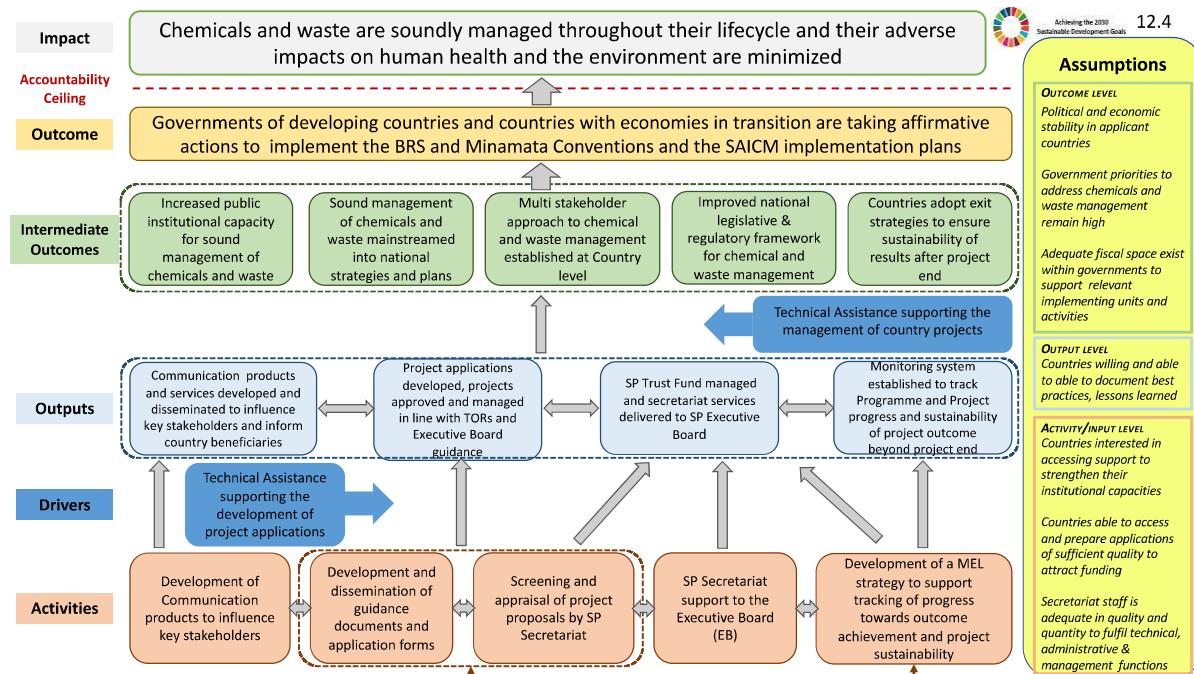


Table 3: UNEP Logical Framework⁸ updated (changes as per revision statement incorporated into original logframe in track changes)

Relevant Expected Accomplishment(s) in the Programme of Work: 5. (a) Policies and legal, institutional and fiscal strategies and mechanisms for sound chemicals management developed or implemented in countries within the framework of relevant multilateral environmental agreements and SAICM		
1. Project Outcome ⁹	Indicators	Relevant Subprogramme Expected Accomplishment and Indicator ¹⁰

⁸ Table 3 should build on the existing logical framework by adding output indicators, means of verification and PoW output numbers. Where the project coincides closely with a PoW output, there is no need to change the existing project outcomes, indicators, and outputs. However, where some retrofitting is needed, these fields might change and additional activities may need to be factored into the project included in the delivery plan.

⁹ **Outcomes:** The uptake, adoption or use of project outputs by the project beneficiaries. Observed as change of Behavior, Attitude/Action, Condition, Knowledge or Skill

¹⁰ When a project is relevant to more than one Expected Accomplishment, provide outcomes and outputs for each EA indicator in order to enable budget details per output and EA

<p>Governments from developing countries and countries with economies in transition are taking affirmative actions to implement the Basel, Rotterdam and Stockholm conventions, the Minamata Convention and SAICM implementation plans</p>	<p>Core Indicator 1: Number of countries reporting strengthened government capacity and multi - stakeholder coordination mechanism to support development and implementation of National Strategies for chemicals and waste management¹¹ Baseline: 0, Target:99</p> <p>Core indicator 2: Number of countries reporting improved level of integration of chemicals and waste management into national and sector planning¹⁰ Baseline: 0, Target:99</p> <p>1.1 Number of countries that have ratified or are in the process of ratifying the Basel, Rotterdam or Stockholm conventions, or the Minamata Convention with the support of the Special Programme Baseline 0; Target: 20¹²</p> <p>1.2 Number of countries reporting the adoption of policies and regulatory frameworks for management of chemicals and waste with the support of the Special Programme¹³ Baseline: 0, Target: 50</p> <p>1.3 Number of countries in compliance with their reporting obligations under the MEAs to which they are a party and/or submitting voluntary reports to SAICM¹⁴ Baseline: 0; Target: 40</p> <p>1.4 Number of countries that are providing evidence of institutional arrangements in place and to be continued after project completion (Exit Strategy) Baseline:0 Target: 57</p>	<p>Chemicals and Wastes Subprogramme Expected Accomplishment 5. (a) Policies and legal, institutional and fiscal strategies and mechanisms for sound chemicals management developed or implemented in countries within the framework of relevant multilateral environmental agreements and SAICM Indicator: (i) Number of governments at all levels that are developing or implementing policies, strategies, legislation or action plans that promote sound management of chemicals and/or implementation of multilateral environmental agreements and SAICM with UNEP support</p>
	Project milestones that show progress towards achieving the project outcome	Expected Milestones (1 per reporting period: June and December of each year)
	MI 1 country drafting their national implementation plan for chemicals and waste management	December 2016

¹¹ Means of verification: reporting tools (rating scale and scorecard) to be rolled out for use by the individual countries to track their progress in this regard, as detailed in the Monitoring, Evaluation and Learning Strategy and Toolkit (endorsed by the Executive Board during its teleconference held in October 2020). .

¹² Means of verification: depositary notifications issued by the UN Treaty Section; periodic progress reports by recipient countries

¹³ Means of verification: periodic progress reports submitted by recipient countries, attaching the relevant policy and regulatory framework documents

¹⁴ Means of verification: periodic progress reports submitted by recipient countries; confirmation from the relevant Secretariat

M2 1 country taking steps towards the development of an action plan in preparation for the ratification of the Basel, Rotterdam, Stockholm or Minamata Conventions	June 2017
M3 2 countries drafting national legislation on chemicals and waste management	December 2017
M4 2 countries implementing their national implementation plans for chemicals and waste management	June 2018
M5 5 countries taking steps towards the development of an action plan in preparation for the ratification of the Basel, Rotterdam, Stockholm or Minamata Conventions	December 2018
M6 1 country establishing structures to engage with private sector organisations	June 2019
M7 2 countries reporting that they have developed national legislation on chemicals and waste management	December 2019
M8 3 countries implementing their national implementation plans for chemicals and waste management	June 2020
M9 6 countries taking steps towards the development of an action plan in preparation for the ratification of the Basel, Rotterdam, Stockholm or Minamata Conventions	December 2020
M10 Development of subsequent Project Document for the Special Programme taking on board the evaluation findings	December 2020
M11 2 countries in compliance with their reporting obligations under the relevant MEAs and/or submitting voluntary reports to SAICM	June 2021
M12 2 countries implementing their national plans for chemicals and waste management	December 2021
M13 3 countries reporting strengthened government capacity and multi-stakeholder coordination mechanism to support development and implementation of National Strategies for chemical management	June 2022
M14 8 countries that have ratified or are in the process of ratifying the Basel, Rotterdam, Stockholm or Minamata Conventions	December 2022
M15 5 countries in compliance with their reporting obligations under the relevant MEAs and/or submitting voluntary reports to SAICM	June 2023
M16 8 countries reporting the adoption of policies and regulatory frameworks for management of chemicals and waste	December 2023
M17 5 country reporting that they have continued institutional arrangements in place after project completion	June 2024
M18 6 countries reporting strengthened government capacity and multi-stakeholder coordination mechanism to support development and implementation of National Strategies for chemical management	December 2024
M19 12 countries reporting the adoption of policies and regulatory frameworks for management of chemicals and waste	December 2024
M20 5 countries implementing their national plans for chemicals and waste management	June 2025
M21 10 countries in compliance with their reporting obligations under the relevant MEAs and/or submitting voluntary reports to SAICM	June 2025
M22 20 countries reporting that they have continued institutional arrangements in place after project completion	December 2025

2. Project Outputs ¹⁵	Indicators
1) Special Programme Trust Fund managed and secretariat services delivered to the Special Programme Executive Board	<p>1.1 Number of Executive Board meetings (including 11 formal meetings and four teleconferences)¹⁶ Baseline: 2; Target: 17</p> <p>1.2. Attendance of Board members at each Executive Board meeting¹⁵ Baseline: 0 Target: 100%</p> <p>1.3 Number of application cycles for the Special Programme¹⁷ Baseline: 0; Target: 6</p> <p>1.4. Number of applications screened, reviewed and appraised by the secretariat for funding by the Special Programme Trust Fund¹⁸ Baseline: 54 Target: 240</p> <p>1.5 Number of new or updated guidance documents and application forms prepared to support development of projects (and include gender considerations) to address the sound management of chemicals and waste¹⁹ Baseline: 4; Target: 26</p>
Project output Milestones:	Expected Milestone (1 per reporting period: June and December of each year)
M1 2 nd meeting of the Executive Board held (including the screening for eligibility and completeness by the secretariat)	December 2016
M2 5 projects funded by the Special Programme Trust Fund	June 2017
M3 Project application guidelines and project application forms (and include gender considerations) revised following lessons learned from the pilot phase of the application process	June 2017
M4 3 rd meeting of the Executive Board held (including the screening for eligibility and completeness, and the review and appraisal by the secretariat)	December 2017
M5 10 projects funded by the Special Programme Trust Fund	June 2018
M6 4 th meeting of the Executive Board held (including the screening for eligibility and completeness, and the review and appraisal by the secretariat)	December 2018
M7 10 projects funded by the Special Programme Trust Fund	June 2019
M8 5 th meeting of the Executive Board held (including the screening for eligibility and completeness, and the review and appraisal by the secretariat)	December 2019
M9 10 projects funded by the Special Programme Trust Fund	June 2020

¹⁵ Outputs: are the products, capital goods and services delivered by the project. Outputs relate to the completion of activities and managers have a high degree of control over them

¹⁶ Means of verification: Report of the meeting

¹⁷ Means of verification: Documentation launching the respective calls for applications

¹⁸ Means of verification: Applications submitted; Secretariat reports to the Executive Board

¹⁹ Means of verification: Guidance documents and application forms

M10 30 applications screened, reviewed and appraised by the secretariat for funding under the fourth round	December 2020
M11 15 projects funded by the Special Programme Trust Fund in fourth round	June 2021
M12 15 projects funded by the Special Programme Trust Fund in fifth round	December 2021
M13 7th meeting of the Executive Board held and 15 projects approved for funding in fifth round	June 2022
M14 8th meeting of the Executive Board held and 15 projects approved for funding under sixth round	December 2022
M15 Preparations for 9th meeting of the Executive Board	June 2023
M16 9th meeting of the Executive Board held (to review status of projects and other operational arrangements of the Special Programme)	December 2023
M17 Preparations for 10th meeting of the Executive Board	June 2024
M18 10th meeting of the Executive Board held (to review status of projects and other operational arrangements of the Special Programme)	December 2024
M19 Preparations for 11th meeting of the Executive Board	June 2025
M20 11th meeting of the Executive Board held (to review status of projects and other operational arrangements of the Special Programme)	December 2025
2) Project applications developed, and projects approved and managed in line with the Terms of Reference of the Special Programme and guidance by the Special Programme Executive Board	<p>2.1 Number of target countries that have accessed technical support including guidance documents, application forms and e-learning module, prepared to support development of projects, per round of funding²⁰ Baseline: 0 Target: 100</p> <p>2.2. Number of legal agreements signed with recipient countries within 12 months of project approval²¹ Baseline: 0 Target: 120</p> <p>2.3 Number of projects completed and successfully closed²² Baseline: 0 Target: 100</p> <p>2.4 Funds approved for projects (as a percentage of total funds allocated to the Special Programme Trust fund)²³ Baseline: 0 Target: 70%</p> <p>2.5 Funds disbursed for project implementation as a percentage of funds approved²² Baseline: 0 Target: 90%</p> <p>2.6 Number of countries taking affirmative action towards integrating gender into their project logframes and budgets</p>

²⁰ Means of verification: Data on document downloads of the relevant documents and modules

²¹ Means of verification: Signed agreements

²² Means of verification: Project completion documentation

²³ Means of verification: Financial reports produced by the Secretariat

	Baseline: 0 Target: 24
Project Milestones:	Expected Milestone (1 per reporting period: June and December of each year)
M1 1 st round of applications for the Special Programme completed	December 2016
M2 Development of SSFAs with recipient countries following approval by the Executive Board at their 2 nd meeting	June 2017
M3 2 nd round of applications for the Special Programme completed	December 2017
M4 Report on the review of the effectiveness of the operational arrangements for the Special Programme submitted to UNEA-3 for consideration	December 2017
M5 Development of SSFAs with recipient countries following approval by the Executive Board at their 3 rd meeting and monitoring of existing SSFAs	June 2018
M6 3 rd round of applications for the Special Programme completed	December 2018
M7 Development of SSFAs with recipient countries following approval by the Executive Board at their 4 th meeting and monitoring of existing SSFAs	June 2019
M8 4 th round of applications for the Special Programme completed	December 2019
M9 Report on the final projects reports and financial audits for the 1 st round of application prepared	June 2020
M10 Development of SSFAs with recipient countries following approval by the Executive Board at their 5 th meeting and monitoring of existing SSFAs	June 2020
M11 30 countries accessing technical support including e-learning, guidance documents and application forms prepared to support development of projects	December 2020
M12 fifth round of applications for the Special Programme launched, including the revision of the application guidelines and forms as necessary	June 2021
M13 Development of 15 legal agreements with recipient countries following approval at the sixth EB meeting (fourth round)	December 2021
M14 6 th round of applications launched, including the revision of the application guidelines and forms as necessary	June 2022
M15 6 th round of applications for the Special Programme completed	December 2022
M16 70% of total Special Programme budget approved for projects.	June 2023
M17 20 projects completed and successfully closed	December 2023
M18 50 project completed and successfully closed	June 2024
M19 65 projects completed and successfully closed	December 2024
M23 85 projects completed and successfully closed	June 2025
M24 90% of approved funds have been disbursed	December 2025

3) Communication products and services developed and disseminated to influence key stakeholders and inform country beneficiaries	<p>3.1 Number of communications tools provided by the Special Programme Secretariat to support the sound management of chemicals and waste, including at least one on gender²⁴ Baseline: 0, Target: 25</p> <p>3.2 Number of unique downloads of communications tools provided by the Special Programme Secretariat per round of funding to support the sound management of chemicals and waste Baseline: 0, Target: 500</p> <p>3.3 Number of targeted communication and outreach events undertaken²⁵ Baseline: 0, Target 22</p> <p>3.4. Number of case studies developed highlighting significant experiences (positive and negative), lessons learned and best practices in the course of project implementation (Country and Programme level)²⁶ Baseline: 0, Target: 100</p>
Project output Milestones:	Expected Milestone (1 per reporting period: June and December of each year)
M1 Specific Behavioural Objectives (SBOs) for the sound management of chemicals and waste developed	June 2017
M2 Development of a draft communication strategy for the Special Programme, based on the SBOs developed	June 2017
M3 Promotion of the Special Programme at the third session of the United Nations Environment Assembly	December 2017
M4 The Executive Board at their 3 rd meeting endorse the Special Programme communication strategy	December 2017
M5 Outreach materials on the Special Programme (such as flyers, posters, website update) developed	June 2018
M6 Promotion of the Special Programme at the 3rd meeting of the Open- Ended Working Group of Strategic Approach to International Chemicals Management (SAICM)	December 2018
M7 Outreach materials focussed on relevant sectors and gender considerations for the sound management of chemicals and waste developed	June 2019
M8 Compilation of all communication products and services for completed projects under the 1 st round of applications	December 2019
M9 Findings of the 1 st round of projects presented and communicated at relevant fora	June 2020

²⁴ Means of verification: communication tools

²⁵ Means of verification: Special Programme events log

²⁶ Means of verification: case studies and related documentation

M10 Engagement of vendor on messaging for key target audiences and to develop a communications implementation plan	December 2020
M11 10 communications tools provided by the Special Programme Secretariat	June 2021
M12 500 unique downloads of communications tools for the fifth round of funding	December 2021
M13 Promotion of the Special Programme at the Conference of the Parties to the Minamata Convention	December 2021
M14 Findings of 5 recently closed projects presented and communicated at relevant fora	June 2022
M15 Review of the communications strategy for the Special Programme undertaken	December 2022
M16 Development of revised communication strategy for the Special Programme and endorsement by the Executive Board at its 8 th meeting	December 2022
M17 Findings of 5 recently closed projects presented and communicated at relevant fora	June 2023
M18 Findings of 5 recently closed projects presented and communicated at relevant fora	December 2023
M19 50 case studies prepared	June 2024
M20 Findings of 5 recently closed projects presented and communicated at relevant fora	December 2024
M21 Findings of 5 recently closed projects presented and communicated at relevant fora	June 2025
M22 100 case studies prepared	December 2025
4) Monitoring system established to track Programme and Project progress toward Outcomes, and sustainability of project outcome beyond project end	4.1 Status of development of Monitoring, Evaluation and Learning (MEL) strategy and Action Plan Baseline: no strategy in place Target: strategy endorsed by Executive Board and being implemented 4.2 Number of countries that are implementing the monitoring, evaluation and learning strategy in their projects Baseline: 0 Target: 60
Project output Milestones:	Expected Milestone (1 per reporting period: June and December of each year)
M1 Monitoring strategy and plan for the tracking of Special Programme projects following their completion prepared by the consultant	June 2020
M2 Monitoring strategy and plan endorsed by the Executive Board of the Special Programme	December 2020
M3 Monitoring, Evaluation and Learning Plan and Toolkit disseminated to recipient countries and published on website	June 2021
M4 Training/induction on MEL strategy, plan and toolkit provided to 15 recipient countries	December 2021
M5 Training/induction on MEL strategy, plan and toolkit provided to 45 recipient countries	June 2022
M6 15 countries adopt an exit strategy to ensure sustainability after project end	December 2022
M7 Training/induction on MEL strategy, plan and toolkit provided to 60 recipient countries	June 2023
M8 30 countries adopt an exit strategy to ensure sustainability after project end	December 2023

M9 10 countries whose projects have closed demonstrate that the institutional arrangements established during the project are still operational	June 2024
M10 20 countries whose projects have closed demonstrate that the institutional arrangements established during the project are still operational	December 2024
M10 30 countries whose projects have closed demonstrate that the institutional arrangements established during the project are still operational	June 2025
M10 50 countries whose projects have closed demonstrate that the institutional arrangements established during the project are still operational	December 2025
5) Evaluation	<p>5.1 Mid-term evaluation²⁷ Baseline: 0. Target : 1</p> <p>5.1 Terminal evaluation²⁸ Baseline: 0. Target : 1</p>
Project output Milestones:	Expected Milestone (1 per reporting period: June and December of each year)
M1 Mid-term evaluation	January 2020 [complete]
M2 Final evaluation	December 2025

Annexes:

- 1- Updated Budget – Umoja budget template – must include breakdown by activities
- 2- Updated Workplan- (Use the ProDoc template workplan format, must include narrative description of activities, as well as workplan template)
- 3- Any other relevant documentation, i.e.: proof of new secured funds, mid-term or final evaluation recommendations
- 4- Project revision checklist- to be used as further guidance

²⁷ Means of verification: mid-term evaluation report

²⁸ Means of verification: terminal evaluation report

Annex 4 Project Revision Checklist

	Revision Template Section	Issues to look out for	QAS Status / Comment
1	Project Revision number	Check in PIMS for the latest revision and ensure that the correct revision number is inserted into the template.	
2	PoW Number	Check in most updated sub programme framework number if not request project manager or the sub programme coordinator to provide.	
3	Clearances	Ensure that document is signed as this inconsistency will be queried by auditors.	
4	Project Identification	Ensure correct PIMS and UMOJA SB number has been inserted in this field.	
5	Project Title	Ensure this matches with the latest sub programme frame work	
6	Division Managing Project	Straightforward no major concerns unless projects has been moved from one division to another.	
7	Project Manager	Ensure minimum project manager time is indicated at 33% Project can only have one project manager.	
8	Other Members of Project Team	Division to ensure that this list is the same as that in PIMS	
9	Supervisor		
10	Type / Location		
11	Region		
12	List of Countries		
13	Programme of Work	Ensure that project lists all biennia when the project will be implemented.	
14	Subprogramme, EA, EA Indicator, Pow Output	Ensure that the POW id e.g. 433 is consistent with point 1 above.	
		If a project is intersecting biennia confirm PoW alignment with sub programme coordinator and or sub programme frameworks.	
15	Table 2 Implementation dates	Clearly distinguish from proposed versus actual start or completion dates	
16	Table 2.2 Budget Summary	<ul style="list-style-type: none"> If no cost extensions ensure that in kind contributions from EF are reflected. Ensure proponents provide details of counterparts or donors providing sources of newly secured budgets. Actual secured income by year (to date) should tally with point D, table 2 Total revised secured budget 	
17	Table 3: Achievements at Output and Outcome level	<ul style="list-style-type: none"> Ensure the indicator description, baseline and target values are the same as in the revised log frame. Check in PIMS if the listed target figures; a) If achieved they should be equal to or above the target in the log frame. Indicator achievement values should be the same as the last reported interim value in PIMS. E.g. if in Dec 2015 the reported value was 20 then the revision target value should be equal or greater than 20. 	
18	Reasons for revision		
Logical framework			
19	Outcome	<ul style="list-style-type: none"> As long as the project is ongoing it should have an Outcome(s) description, indicators and milestones. 	

	Indicators	<ul style="list-style-type: none"> The indicator target values cannot be the same if the project is increasing its ambitions. 	
	Means of Verification	<ul style="list-style-type: none"> Ensure that the means of verification are aligned to a specific indicator. 	
	Milestones	<ul style="list-style-type: none"> Ensure that there are no retroactive changes to milestones by <u>checking the reported status in PIMS</u> regardless of their status (If a milestone has been achieved, is pending attainment or not reported) e.g. An output was originally approved with milestones for December 2015 and June 2016 but the revision has new milestones from June 2015 to December 2016. The milestones that were dated December 2015 and June 2016 in the prodoc are now dated June 2015 and December 2015 respectively) The option that should be presented to proponents is that instead of changing the milestone dates they should maintain them as was in the previously approved log frame but report that they are either pending attainment or they were attained late There should always be ONE milestone per reporting period. Ensure that if a project has several milestones in one reporting period the proponents should highlight which of those milestones should be inserted into PIMS. e.g note that this chemicals project was approved in March 2015 but it does not have June 2015 milestones. http://pre-projects.unep.org/mnt/projectdb/pims/documents/01864/chemicals-management-needs-and-priorities-national-dioxin-furan-inventories-and-pops-global-monitoring If a project was approved in June and has no deliverables for June then in PIMS QAS will change the PIMS system start date to 1st of July so that proponents do not have alerts for the June reporting period or in other words in the logical framework the project will not have a milestone in June based on these parameters. 	
	Work-plan	Ensure that the work plan and the umoja budget have synchronised identifiers for specific activities.	

Special Programme Workplan 2016-2021

	KEY	Original timing	Original timing superseded	Timing for new activity	Updated timing for original or adjusted activity
I D	Project Outputs & Activities	Responsible Division/ Regional Office	Partner(s)	2016 Q1 Q2 Q3 Q4 1 2 3 4 2017 Q1 Q2 Q3 Q4 1 2 3 4 2018 Q1 Q2 Q3 Q4 1 2 3 4 2019 Q1 Q2 Q3 Q4 1 2 3 4 2020 Q1 Q2 Q3 Q4 1 2 3 4 2021 Q1 Q2 Q3 Q4 1 2 3 4	
	<i>Project Outcome: Governments from developing countries and countries with economies in transition are taking affirmative action to</i>	Economy Division/SP			

	<i>implement the Basel, Rotterdam and Stockholm Conventions, the Minamata Convention and SAICM implementation plans</i>	Secretariat												
	Project Output1. Special Programme Trust Fund managed and secretariat services delivered to the Special Programme Executive Board	Economy Division/SP Secretariat												
1	Planning and convening of the Executive Board Meetings													
2	Board membership finalized (two-year rotation)	Economy Division/SP Secretariat/Governance Affairs Office												
3	Project application guidelines and project application forms (which also include gender considerations) revised													
4	Project application cycles (to be funded by the Special Programme Trust Fund): launch													
5	Screening, review and appraisal of applications for funding	Economy Division/SP Secretariat/BRS, Minamata, SAICM, GE secretariats												
I	Project Outputs & Activities	Responsible Division/Regional Office	Partner(s)	2016	2017	2018	2019	2020	2021					
6	Donor reporting			Q1	Q1	Q1	Q1	Q1	Q1	Q2	Q2	Q2	Q2	Q2

1 Engagement with UNEA												
1	Project Output 2: Project applications developed, and projects approved and managed in line with the Terms of Reference of the Special Programme and guidance by the Special Programme Executive Board	Economy Division/SP Secretariat										
2	<i>Legal agreements development with recipient countries following approval by the Executive Board</i>	Recipient countries										
2	<i>Progress reports from recipient countries reviewed and feedback provided, with disbursement of funds as appropriate</i>	Recipient countries										
2	<i>Closure of completed projects</i>	Recipient countries										
3	Project Output 3: Communication products and services developed & disseminated to influence key stakeholders and inform country beneficiaries	Economy Division/SP Secretariat										
3	<i>Specific behavioural objectives (SBOs) for the sound management of chemicals and waste developed</i>	PCI Media										
3	<i>Development and implementation of the Special Programme Communications Strategy</i>	PCI Media										
3	<i>Development of communication tools and outreach materials focused on relevant sectors and gender consideration for the sound management of chemicals and waste developed</i>	PCI Media										
4	<i>Compilation of all communication products and services for completed projects under the 1st round of applications</i>	PCI Media										
ID	Project Outputs & Activities	Responsible Division/ Regional Office	Partner(s)	2016	2017	2018	2019	2020	2021			

Special Programme Workplan 2022-2025

Workplan narrative description of activities:

Project Outcome: Governments from developing countries and countries with economies in transition are taking affirmative action to implement the Basel, Rotterdam and Stockholm Conventions, the Minamata Convention and SAICM implementation plans

Project Output 1): Special Programme Trust Fund managed and secretariat services delivered to the Special Programme Executive Board

Planning and convening of the Executive Board Meetings: Confirmation of dates and venues for the meetings, with logistical arrangements made; relevant documentation including draft agenda, meeting documents and any necessary information or background information, provided at least 4 weeks before the meeting; conduct of the meeting, either in person or electronically, including necessary presentations and follow up; drafting of meeting report for approval by the Board.

Board membership finalized (two-year rotation): call for nominations, in conjunction with Executive Office and Governance Affairs Office, plus necessary follow up to confirm membership

Project application guidelines and project application forms (which also include gender considerations) revised: existing forms and guidelines revised and improved as needed, based on feedback and lessons learned from the last round of applications and requirements of the Executive Board

Project application cycles (to be funded by the Special Programme Trust Fund): launch of the application round, including organization of relevant events; support to countries in development of their applications; coordination with Governance Affairs Office and Internal Task Team to send out reminders to focal points; acknowledgement of receipt.

Screening, review and appraisal of applications for funding: assessment of eligibility and completeness of applications, and confirmation of this to the respective applicant countries; substantive review to assess the strength and identify areas for strengthening; coordination with Internal Task Team for their review, including two meetings; provide feedback to the countries based on these discussions; prepare documentation on all eligible applications for consideration and decision by the Executive Board.

Donor reporting: periodic narrative and financial reporting, in accordance with the requirements set out in the specific donor agreements

Engagement with UNEA: report provided to UNEA3 in compliance with UNEA Resolution 1/5; facilitate the adoption of a recommendation from Executive Board to UNEA5 on extension of duration of the Special Programme, as per the Terms of Reference annexed to resolution 1/5; provide inputs into the report and chemicals and waste for UNEA, referencing the recommendation; liaise with Corporate Services Division for a UNEA decision extending the Special Programme Trust Fund.

Project Output 2): Project applications developed, and projects approved and managed in line with the Terms of Reference of the Special Programme and guidance by the Special Programme Executive Board

Legal agreements development with recipient countries following approval by the Executive Board: legal agreements (usually Project Cooperation Agreements) are negotiated with the recipient countries, with review and feedback provided on their logframes and budgets provided

Progress reports from recipient countries reviewed and feedback provided, with disbursement of funds as appropriate: Countries funded through the Special Programme are supported through close engagement to ensure timely and accurate reporting for 2019 and to identify and overcome bottlenecks to implementation for existing projects, and to ensure timely disbursement of further instalments of funds.

Closure of completed projects: countries are supported in providing the required reports upon completion of project implementation.

Project Output 3): Communication products and services developed & disseminated to influence key stakeholders and inform country beneficiaries

Specific behavioural objectives (SBOs) for the sound management of chemicals and waste developed: groundwork laid for the Communications Strategy

Development and implementation of the Special Programme Communications Strategy: drafting of strategy and presentation to the Executive Board for adoption; Request for Proposals to select a company to develop core messaging and communication materials, to raise awareness and showcase success stories and lessons learned in the Special Programme projects

Outreach materials focused on relevant sectors and gender consideration for the sound management of chemicals and waste developed: development of case studies, website, branding and related guidelines for the Special Programme; videos showcasing outcomes of completed projects; comic book.

Compilation of all communication products and services for completed projects under the completed rounds of applications:

Findings, including lessons learned, and promotion of the Special Programme projects presented and communication at relevant forum and targeted outreach events held, in conjunction with relevant meetings and discussions (online or in person).

Review of communications strategy for the Special Programme undertaken

Development of case studies highlighting lessons learned and best practices

Development of communication tools including core messaging for specific sectors and communication materials

Project output 4): Monitoring system established to track Programme and Project progress toward Outcomes, and sustainability of project outcome beyond project end

Midterm evaluation: liaise with the Executive Board on Terms of Reference for the evaluation, and with the UNEP office for implementation and follow up reporting.

Terminal evaluation: liaise with the Executive Board on Terms of Reference for the evaluation, and with the UNEP office for implementation; document lessons learned.

Monitoring and evaluation strategy developed and endorsed by the Executive Board: draft a monitoring and evaluation strategy for the Special Programme including monitoring and reporting at the country level, for endorsement by the Board

Training/induction provided on monitoring and evaluation strategy to recipient countries: disseminate M&E strategy to countries, undertake (electronic or in person) training and induction sessions to all recipient countries; provide support to individual countries, as needed, in implementing the strategy.

Review country exit strategies and confirm continued institutional arrangements sustainability: for each country, review arrangements to ensure sustainability of the project and provide feedback/guidance as needed; after project closure undertake periodic checks to confirm the institutional arrangements are still in place and effective

ROM report

Type of ROM review	Projects and Programmes
Project title	Special Program to support Strategic Approach to International Chemicals Management
Project reference	D-38333
Unit in charge	DEVCO C 02

Project - Key Information	
Domain (instrument)	Environment
DAC Sector	Environmental policy and administrative management
Zone Benefitting from the Action	All Countries
Type of Project/Programme	Thematic
Geographic Implementation	Multi-country
Entity in Charge	Environment, Natural Resources, Water
OM in Charge	PACHTA MARIA

Project - Financial data on 05/04/2019			
Total budget	30,000,000 €		
EU contribution	10,000,000 €		
Contracted Amount	10,000,000 €		
Paid Amount	6,043,908 €	Date of last payment	30/11/2018

Project - Dates	
Signature Date of Financing Agreement by Beneficiary Country (FA date)	
Final Date for Contracting (FDC ILC)	31/12/2016
End Date of Operational Implementation Period (LMO/EOI)	

ROM review - Key information				
Countries visited	Argentina, Benin, Kyrgyzstan, Switzerland			
ROM expert(s) name(s)	ARIZKORRETA Iosu KUZYK Vadim LIMBERT Eduardo			
Field phase	Start Date	03/03/2019	End Date	23/03/2019
Planned date for draft ROM report	06/04/2019			
Planned date for final ROM report	12/05/2019			

Project Synopsis

Context

Chemicals bring many benefits and have an important impact on innovation, trade, employment and economic growth worldwide. Wastes are increasingly becoming an essential resource for materials. However, if not soundly managed, chemicals and wastes can have significant adverse effects on the environment and human health, hampering economic growth and disrupting social developments. According to the Global Chemicals Outlook, the World Health Organisation found that in 2004 around 4.9 million deaths (8.9% of the total) and 86 million Disability-Adjusted Life Years (DALYs) (5.7% of the total) were attributable to exposure to selected chemicals for which data were available. Many countries, especially the least developed countries, lack the capacity for sound management of chemicals and waste throughout their life cycles and additional efforts are needed to enhance work towards strengthening capacities, including through partnerships, technical assistance and improved governance structures. Key findings from national chemicals management profiles also indicate weaknesses in the capacity of countries for the sound management of chemicals and waste, mainly due to the lack of appropriate legal framework or poor enforcement, absence of coordination mechanisms within national governments and among stakeholders, unavailability of information and data sharing mechanisms, lack of sustainable human and financial resources, or limited knowledge of stakeholders regarding the risks associated with chemicals and waste.

The Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and their Disposal (1980), the Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade (1998) and the Stockholm Convention on Persistent Organic Pollutants (2001) share the common objective of protecting human health and the environment from hazardous chemicals and wastes from production to disposal. Additionally, the Minamata Convention on Mercury (2013) and the policy framework of the Strategic Approach to International Chemicals Management (SAICM) provide the frame for the sound management of chemicals and waste. In view of the urgent need to address the negative impacts that chemicals and wastes can have, countries have reaffirmed, in the outcome document of Rio+ “The future we want”, their aim to achieve the goal adopted at the World Summit on Sustainable Development in 2002 that “By 2020, chemicals are used and produced in ways that lead to the minimization of significant adverse effects on human health and the environment”.

In order to address these problems, the first session of the UN Environment Assembly (UNEA-1) in June 2014 adopted the Terms of Reference (ToR) for a Special Programme to be funded by voluntary contributions for supporting institutional strengthening at the national level to enhance the implementation of the Basel, Rotterdam, Stockholm conventions, the Minamata Convention and the SAICM. The Special Programme aims to strengthen the sound management of chemicals and waste by building institutional capacity in the relevant national environmental authorities in order to promote the effective implementation of the Multilateral Environmental Agreements (MEAs) on chemicals and waste and SAICM taking into account the national needs and priorities and emerging issues. In UNEA-1, governments requested UN Environment (UNEP) to establish and administer the Special Programme Trust Fund to fund institutional strengthening projects related to the sound management of chemicals and waste, and to provide a Secretariat to deliver administrative support to the Special Programme.

The EU contribution to the Special Programme is financed by the Development Cooperation Instrument (DCI). The EU contributes to the Trust Fund together with other donors and the contribution is not earmarked for specific actions.

Description of the Intervention Logic

The Overall Objective (OO - Impact) set in the Logframe presented in the Description of the Action (DoA) is that negative effects on human health and environment decrease and the positive effects of chemicals and waste on economies increases.

The Specific Objective (SO – Outcome) is that governments of developing countries and countries with economies in transition are taking affirmative action to implement the Basel, Rotterdam and Stockholm conventions, the Minamata Convention and SAICM implementation plans.

Four indicators are proposed in the Logframe at Outcome level: 1) Number of countries that use the financial support of the Special Programme Trust Fund to ratify, or are in the process of ratifying, the Basel, Rotterdam or Stockholm conventions, or the Minamata Convention (Baseline: 0, Target: 10); 2) Number of countries using the financial support of the Special Programme Trust Fund to implement national implementation plans for chemicals and waste management (Baseline: 0, Target: 5); 3) Number of countries using the financial support of the Special Programme Trust Fund to develop national legislation on chemicals and waste management (Baseline: 0, Target: 5).

Three Outputs are defined:

- 1) Management of the Special Programme Trust Fund and provision of Secretariat services to the Special Programme Executive Board.
- 2) Technical assistance for the development of the project applications and the management of the Special Programme approved projects in line with the ToR of the Special Programme and guidance by the Special Programme Executive Board.
- 3) Communication products and services developed and activities conducted to influence key stakeholders on the sound management of chemicals and waste.

At output level the following indicators are proposed:

For Output 1: 1) Number of Executive Board meetings (Baseline: 2, Target: 7); 2) Number of guidance documents and application forms prepared to support development of projects (and include gender considerations) for addressing the sound management of chemicals and waste (Baseline: 4, Target: 8); 3) Number of projects screened, reviewed and appraised by the Secretariat for funding by the Special Programme Trust Fund (Baseline: 54, Target: 99).

For Output 2: 1) Number of application cycles for the Special Programme (Baseline: 0, Target: 6); 2) Number of Small-Scale Funding Agreements (SSFA) with recipient countries (Baseline: 0, Target: 50); 3) Number of reports summarising the final project reports and financial audits per project cycle (Baseline: 0, Target: 2).

For Output 3: 1) Number of communication tools and services provided to support the sound management of chemicals and waste (Baseline: 0, Target: 10); 2) Targeted communication and outreach events for relevant sub-sectors undertaken (e.g. agriculture, health, environment, labour, industry or gender) (Baseline: 0, Target: 5).

The main target groups are national governments of developing countries and countries with economies in transition, as the Special Programme is intended to support national institution strengthening for the sound management of chemicals and waste in these countries. Priority will be given to countries with the least capacity and also to the special needs of the Least Developed Countries (LDCs) and the Small Islands Developing States (SIDS). The civil society and the private sector are also relevant stakeholders in the sound management of chemicals and waste at national level and may be considered by applicant governments as key partners in the projects that will be funded by the Special Programme. The final beneficiaries are the population of the recipient countries.

Findings

1. Relevance

By March 2019, a significant number of countries are parties to the Multilateral Environmental Agreements (MEAs) on chemicals: 187 to the Basel Convention, 161 to the Rotterdam Convention, 182 to the Stockholm Convention, and 104 to the Minamata Convention. However, the governments face several challenges in fully implementing the MEAs: lack of appropriate legal framework or poor enforcement of the existing legal framework, absence of coordination among the institutions responsible for chemicals and waste management, or lack of access to information and data sharing mechanisms. The National Reports submitted to the Secretariats of the Conventions are not always sent on time: to date only 44% and 38% of the parties have submitted the 2017 National Report on the Basel Convention and the 4th National Report on the Stockholm Convention, respectively. Furthermore, the information reported is not always accurate. The Special Programme is a relevant funding mechanism for national authorities to use for strengthening their institutional capacity in order to improve the management of chemicals and waste and the implementation of the MEAs. As observed in the frame of the ROM review visits to Argentina, Benin and the Kyrgyz Republic, national authorities are committed to taking action for the implementation of the MEAs, which indicates that the Specific Objective (SO) of the Special Programme is relevant and consistent with the expectations at national level. As intended, the majority of applications submitted to the Special Programme have been prepared by the national authorities. For the few cases detected in the first round of applications that were not initiated by national authorities, the Secretariat of the Special Programme took appropriate measures in the second round, requesting the endorsement and certification of the application by a government institution. In general, the national authorities that have submitted the projects and are implementing them, as well as other government institutions that participate in dialogue mechanisms established by the projects, are committed to the objectives of the Special Programme. As noticed in Argentina and the Kyrgyz Republic, the commitment of the national authorities to the objectives of the Special Programme may not be just related to improving the management of chemicals and waste, but also to the fact that by doing so some countries will progress in achieving international aspirations (e.g. accession to the Organisation for Economic Cooperation and Development) or in complying with the requirements of regional obligations (e.g. Eurasian Economic Union).

The Special Programme is adequately structured around 3 outputs, with a reasonable distribution of funds per output. According to the funds pledged and contributed to the Trust Fund in December 2016, when the Delegation Agreement between DEVCO and UNEP was signed, the budgetary allocation per output is 3% of the total direct costs to output 1, 83% to output 2 (noting that 72% corresponds to financing the projects that will be approved and the rest to the technical assistance provided by the Secretariat to them), and 4% to output 3. The challenges for implementing the MEAs on chemicals at country level are multiple and the Special Programme's contribution of USD 250,000 (up to USD 500,000 in duly justified cases) can cover only part of the gaps. This contribution may be sufficient, however, for projects that focus on specific institutional strengthening issues, although in some cases there is a risk of applications trying to address too many issues with limited resources and poor quality proposals; this has been the case especially in the first round of applications. The planned assistance of the Secretariat in the four month-periods when the application process is open is instrumental for ensuring good quality proposals; additionally, the Secretariat has adopted sensible measures to address this risk. In the second round of applications, the application forms were modified. For example, they require applicants to describe both "domestic" and "proposed" measures, i.e. existing activities in the sector for which no support is requested and the proposed activities for funding from the Special Programme. This can allow focusing the applications and assessing the sustainability prospects. In the guidelines, more information has been included on what a Special Programme project is and what is not. Although this has helped in some cases, applicants do not understand always the terminology used or the differences between outputs and outcomes. Apart from the tailored support offered during the application process, the Secretariat is planning the development of e-learning courses aimed at guiding applicants in the application process.

There are projects under other funding mechanisms, such as the Global Environment Facility (GEF) or the recently launched Special International Programme (SIP) for the Minamata Convention that could overlap with the projects funded by the Special Programme. Adequately, an Internal Task Team (ITT) has been established, composed by representatives of the Secretariats of the Basel, Rotterdam, Stockholm and Minamata conventions, of the SAICM and of the GEF, which provides valuable inputs to the Special Programme's Secretariat during the appraisal process for ensuring complementarity and avoiding overlap; the function of the ITT is not financed through the Special Programme budget. At country level, good complementarities between the project of the Special Programme and other interventions have been identified, for example in Argentina, with the GEF-funded Minamata Initial Assessment (MIA).

The Logframe is well structured and indicators are set at outcome and output levels, with baseline and targets. All indicators are quantitative and the 3 indicators set at outcome level related to the ratification of the MEAs and the development of legislation and action plans, allow measuring -to a certain extent- whether governments are taking action towards the implementation of the MEAs on chemicals. These indicators do not capture, however, other significant aspects related to the sound management of chemicals and waste, such as the level of functioning and quality of work of multi-stakeholder mechanisms of dialogue, or the improvement in the quality of the national reports submitted to the MEAs Secretariats. At the absence of such indicators at outcome level, the Special Programme is not able to showcase all its potential achievements. It is not expected that all country projects will contribute to the indicators of developing legislation or action plans, or ratifying the MEAs; several countries have already ratified the MEAs of the 3 Conventions and the GEF-funded MIAs aimed at ratifying the Minamata Convention. Meaningful results are proposed by the financed country projects that are not captured by the indicators at overall outcome level. While the values of the output indicators are easy to obtain, at outcome level the value of the indicators can be obtained mostly through the annual reporting of the country projects to the Secretariat, since there is no other system in place for tracking achievements. Realistic targets are set for the indicators at outcome and output level. Risks are also listed in the Logframe and few of them have materialised. While measures have been implemented for addressing the poor quality of the proposals, no clear action has been taken for avoiding the long administrative process that has occurred in some cases from the award of the projects until the signature of the contracts. The risk of the implementation of projects differing from the initial plan has also materialised in some of the countries visited in the ROM review, without this implying, however, changes in the project objectives or in the likelihood of achieving the goals set. Other risks that were not identified have occurred, like the lack of nomination of some region representatives to the Executive Board, once this body had to be renewed in early 2018, due to the lack of procedures for ensuring the timely nomination. The Secretariat was able overcome this issue through an on-line voting system.

2. Efficiency

After some delays in recruiting all the staff needed, the Secretariat has actually the necessary human resources to implement the programme. It is composed by the Head (since August 2015), two Programme Officers (since July 2017 and May 2018 respectively) and administrative support. A contract has been established with the UNEP Communication Office in Nairobi in July 2018 for the communication component. The Special Programme is being implemented as planned, although there have been delays in signing some of the contracts with implementing partners after the award of the country projects, and the renewal of the Executive Board in 2018 has also taken longer than expected. The delays in signing the contracts with the implementing partners stem from different reasons: time needed to open bank accounts, need to identify suitable implementing partners, or lack of responsiveness of the applicant. These delays do not cause significant hindrances to the programme. The delay in the formation of the Executive Board, stemming from the lack of procedures for the selection of countries that represent each region, delayed the selection of projects in the third round of applications. So far, 21 contracts have been signed between UNEP and the implementing partners, 71% of which with government authorities. As in some cases it is not possible to sign contracts directly with government institutions, intermediary partners have been identified, namely Civil Society Organisations (CSOs) in the Kyrgyz Republic, North Macedonia and Ukraine, and UN agencies in Afghanistan, Argentina and Iraq. In general, these modalities have proved to be adequate except in North Macedonia and Ukraine, where the CSO selected for both these projects faces financial problems that affect their implementation. National authorities have participated in the design of the projects and take an active role in their implementation, even in the countries where the funds are channelled through an intermediary organisation.

The first Executive Board meeting was held in February 2016. The guidelines and forms for the applications were approved and it was decided that the Secretariat would undertake a qualitative assessment of the proposals. All in all, the Secretariat has received 134 applications in the three rounds of applications launched so far. The first round of applications took place from April to July 2016 and was conceived as a pilot round. In October 2016, the second meeting of the Executive Board selected seven projects in Argentina, Benin, the Dominican Republic, Iraq, Kyrgyz Republic, Tanzania and Ukraine. The implementation of these projects started at soonest 6 months after the award, in line with the planned schedule, while two projects started one year after the award. In the second round of applications, applicants submitted the proposals between February and June 2017 and in December 2017 the Executive Board selected 17 projects in Afghanistan, Belarus, Brazil, China, Ecuador, Gambia, Ghana, India, Kenya, Kiribati, Nigeria, North Macedonia, Papua New Guinea, Moldova, Serbia, Uganda and Vietnam. The implementation of 14 of these 17 projects, i.e. the ones that have signed the contracts, started at soonest in May 2018 and at latest in February 2019; the project in Kenya has not started implementation yet, due to delays in opening the bank account. In March 2019, more than one year after the award, the contracts of the projects in Brazil, Ecuador and Vietnam have still not been signed, due to the time needed for identifying suitable implementing partners, political changes or the request to start implementation later (Vietnam). The third round of applications took place from February to June 2018. In February 2018 the Executive Board completed its first two-year term and the representative of Asia-Pacific for the new term was nominated only in early 2019, following the introduction of the on-line voting system by the Secretariat. The fourth Executive Board meeting in January 2019 selected 18 projects; in that meeting some of the countries of the first round of applications were invited to present their projects. At country level, no significant delays have been detected in the countries visited, except in Benin. Projects are not always implemented according to the initial plan, but the changes observed do not compromise the likelihood of attaining the objectives. In Argentina and Benin, the contractual implementation period does not ensure achieving all the objectives set (Benin) or consolidating the results achieved (Argentina), while in both cases funds would still remain available by the planned completion date.

By September 2018, USD 5.21 million had been consumed by the Programme, which included USD 3.77 million committed to projects. By March 2019, the Secretariat had disbursed USD 2.61 million to the 20 projects under implementation. The ratio of funds committed to the projects compared to total expenditure is 72% as planned. According to the budget execution figures, most of the Secretariat's effort is directed to the support to applicants during the application process. At overall level, the funds are well managed and the costs incurred remain within the planned figures. Most of the projects have received the first instalment shortly after the start of implementation. At country level, the cost-efficiency cannot always be easily assessed, although in some cases significant outputs are being achieved considering the budget of the projects. Co-financing is being provided, but mostly in-kind and it is not calculated in monetary terms so it cannot be assessed whether it corresponds to the planned figure. Annual audits are required, but to date only two of the projects of the first round of applications have submitted the audit, Argentina and the Kyrgyz Republic (the project in Iraq is implemented by the UNEP Regional Office and does not need to do so).

The Secretariat records adequately the indicators of the Logframe of the Special Programme, but mainly those at output level. The difficulty lies in getting accurate information from the projects for providing appropriate values for the outcome indicators. There is no specific budget for monitoring the country projects and in principle the Secretariat attends only the inception workshops (e.g. in Argentina, Benin, Ghana, Tanzania and Ukraine), while in other countries it has participated via skype/teleconference. The Secretariat relies, therefore, mostly on the country projects' annual progress reports for monitoring progress and achievements. The implementing partners do not always submit timely the annual progress reports: by March 2019, out of the 20 projects under effective implementation, 5 due annual reports of 2018 were still not submitted. The quality of the reports is also sometimes weak, as they do not allow identifying clearly the achievements beyond the activities having been implemented. The fact that the reporting template does not include the need to present an updated workplan, does not help monitoring progress. On the other hand, there is a reporting overload, as implementing partners need to submit reports to UNEP, to the national governments and to the intermediary organisation (e.g. UN agency) in the cases this modality is in place. The templates of these reports are not always the same, and this causes unnecessary administrative burden to the projects and does not contribute to improving the quality of the reports. During implementation, the Secretariat contacts the projects on an ad-hoc basis and the discussions concern mostly contractual issues. There is no structured system for monitoring progress and achievements beyond the annual progress reports.

A mid-term and a final evaluation of the Special Programme are foreseen. At country project level, monitoring and evaluation are also planned in some projects. The monitoring and evaluation at programme and project level is not yet organised in a way rendering the exercise more efficient, although the Secretariat has already some ideas. The ToR of the mid-term evaluation planned for April-May 2019 are under discussion.

3. Effectiveness

The projects funded by the Special Programme contribute to the outcome of governments taking action to implement the MEAs on chemicals. In the projects visited by the ROM review mission, several outcomes have been identified, which effectively support the countries' relevant policy framework. For instance, the Secretariat of Environment of Argentina has established the Directorate of Chemicals and Waste that coordinates with relevant institutions all the aspects related to the MEAs through the Inter-Institutional Table on Chemicals that has been established by the project. This coordination mechanism will receive a legal status through a Presidential Decree that will be signed shortly. The main outcome of the dialogue process initiated is the development of a Bill on Chemicals that, once approved, will develop a unified inventory of chemicals, based on existing inventories produced by different institutions that will include all chemicals included in the updates of the MEAs to date. This will in turn allow the country to have better information and therefore improve its reporting to the MEAs Secretariats. A committee to assess the risk of chemicals' management is also foreseen under the Bill. In the Kyrgyz Republic, an Action Plan has been developed to strengthen the national legislative framework on chemicals and waste, and three draft normative legal acts with amendments to the existing legislation have been produced. A draft regulation on inter-departmental exchange of information has been developed, which will contribute to improving the quality of the national reports to the MEAs. The collaborative work during project implementation has already allowed inter-institutional coordination for the submission of the 2017 National Report of the Basel Convention in January 2019 and the 4th National Report to the Stockholm Convention in November 2018. In Benin, although progress is delayed, compared to the plan, a Bill on Chemicals has also been validated in October 2018. It is expected that the Bill will be approved by the Parliament, after the elections that will take place in April 2019, since the project has effectively worked with a network of parliamentarians that would support the Bill's approval once it reaches parliament; it is unlikely, however, that related regulations will be finalised before the project's end. The Bill foresees the establishment of an Authority on Chemicals within the Ministry of Environment, as well as an inter-institutional commission for the safe management of chemicals in the country.

The Special Programme lacks a sound system for tracking and recording the country projects' results, and the three Logframe indicators at outcome level do not capture all the actions the beneficiary governments are taking as a result of the projects implemented. According to the Special Programme progress report February 2016-May 2018, only two of the three outcome indicators present progress as a consequence of the projects implemented: 1) Argentina ratified the Minamata Convention; 2) The Kyrgyz Republic developed a national legal analysis on chemicals and waste management. The ratification of the Minamata Convention by Argentina, however, cannot be attributed to the Special Programme, since it took place in December 2017, just when the project started implementation. On the other hand, results that have been identified in the visited ongoing projects and are related to aspects such as institutions established, functioning of multi-stakeholder dialogues, or improvements for the countries to be able to better report to the MEAs, are not reported, because they do not fit in the Logframe indicators.

The outputs of the Special Programme are being produced according to the plan, in some cases exceeding the targets set. Under Output 1 (management of the Trust Fund and Secretariat services), four Executive Board meetings have been held so far and 10 guidance documents and application forms to support the development of projects have been produced, which already exceeds the target of 8. The guidelines and forms have been improved since the first round of applications. Further explanations are provided now in the guidelines on what is a Special Programme project and what is not, although other information is not included, such as the proposals' evaluation criteria, the tentative timeline from the submission of the proposals to the signature of the contracts and to the start of implementation, or more specific explanation on how the projects can (or cannot) contribute to improving the implementation of the MEAs. The Secretariat is also providing good services in the organisation of the Executive Board meetings. It sends the appraisals to the Board members in general one month before the meetings, and the process has slightly improved in order to reduce the time spent by the Board in analysing these appraisals. The load of information is, however, significant. The summary in the appraisal helps understanding the strengths and weaknesses of the applications, but the length of the boxes in the application form is not limited, which can result in long application documents and potentially more time for reading and understanding the whole proposal. In the three rounds of applications held so far, the Secretariat has screened, reviewed and appraised 100 proposals, which already slightly exceeds the target of 99 set for the whole programme.

Under Output 2 (technical assistance to the projects and funding of projects), three of the six application cycles planned have been carried out. During the application process, the Secretariat is providing good assistance to potential applicants through ad-hoc bilateral support and "open clinics" organised in the frame of the 2017 Conferences of the Parties (COPs) of the MEAs. UNEP Regional Offices and the Secretariat have organised webinars in 2017 and 2018 in Latin America and the Caribbean, and in Africa, the latter only in 2018. To date, out of 24 projects selected in the first and second round, 20 contracts have been established. With 42 projects approved in the first three rounds of applications and still three more rounds planned, it is more than likely that the target of 50 contracts signed with beneficiary countries will be exceeded. The quality of the outputs delivered by the projects visited in Argentina, Benin and the Kyrgyz Republic is in general good. As none of the projects financed has been completed yet (the first project that will finalise implementation will be the one in Ukraine in March 2019), none of the two planned final reports summarizing final project reports and financial audits per cycle has been produced. The focus of the support provided by the Secretariat is in the proposal drafting process, rather than during implementation when communication with the implementing partners is mostly related to contractual aspects. There is no sound system in place for the Secretariat being able to track results at country level, which leads to the programme not being able to communicate relevant achievements, or to identify support needed, which does not allow assisting in solutions that can consolidate the results achieved.

Under Output 3 (communication), the draft communication strategy was presented to the third Executive Board meeting in December 2017 and outputs started to be delivered once the contract with UNEP Communication Office has been established in mid-2018. Being a Trust Fund with contributions from different donors, there are no specific EU visibility requirements and the flags of all the donors contributing to the Special Programme are displayed in the events and communication material produced. The brand name of the programme has appropriately been rephrased as "Chemicals and waste management programme", which helps understanding and communicating the purpose of the programme better than its actual long name did. The programme's web site contains key information on each of the projects financed and the UNEP Communication Office has produced videos on some of the projects of the first round. Some projects also have communication provisions, which however are not linked yet to the overall communication activities even though some complementarities could be achieved. The growing number of applications received indicates both that the target groups receive the information and that there is interest in participating in the programme.

4. Sustainability

It was envisaged that the implementation of the Special Programme for the period 2016-2021 would require USD 20 million. The programme has been effective in mobilising funds, as by December 2018 USD 25.89 million were contributed and pledged by donors. The main pledge comes from the EU, which has agreed to contribute with EUR 9 million to the Trust Fund, although this agreement is not signed yet. In the same period, other donors have also increased their contribution, such as Germany, the Netherlands, Sweden and the United States, while new donors like Belgium, Norway and Denmark have also recently pledged or contributed to the Trust Fund. This ensures the expected funds for running the Special Programme during the initial period set. On the basis of the mid-term review, and subject to recommendations from the Executive Board to the UN Environment Assembly, the Special Programme may be eligible for one-time extension, not to exceed an additional 5-year period. The funds from the Special Programme are relevant for addressing the lack of capacity of more countries for the sound management of chemicals and waste, and could moreover help consolidating some of the results achieved by the projects financed already. Most of the beneficiary countries lack sufficient funds for the effective implementation of the MEAs, and this may hamper the full implementation of measures identified or developed in the frame of the projects that are being implemented. The cases of the countries visited indicate both the commitment of the governments in implementing measures identified for the sound management of chemicals and waste, and the financial difficulties they face for providing the needed resources to continue the implementation of some of the measures identified. In none of the countries visited there is, however, an estimation of the investment needed for implementing effectively the MEAs.

The projects financed by the Special Programme are effectively developing the domestic institutional capacity to implement the MEAs on chemicals by creating specific institutions, developing policies and/or establishing coordination mechanisms between different stakeholders for the management of chemicals and waste. The needs in institutional strengthening are, however, higher than the gaps the projects can cover, and the Special Programme contributes to setting the initial steps for organising the work and identifying the various fronts the countries have to tackle for effectively complying with the MEAs they have ratified. It is likely that the use of the results achieved by the projects will continue once implementation will end, although it is uncertain whether the countries will be able to fully implement the policies and measures agreed. The institutional strengthening results achieved by the projects are in most cases affordable and it is likely that they will continue to be used once the projects are completed. Some projects have established units or directorates to coordinate the management of chemicals. These structures can be fragile, as detected in the case of Argentina, since the restrictions of the government with regards to recruiting staff imply that the newly established Directorate relies mostly on consultants that work under the various donor projects. Depending on the availability of funds, the capacity of these newly created units and directorates may, therefore, be compromised. Other projects have established multi-stakeholder coordination mechanisms on chemicals and waste, e.g. in Argentina and the Kyrgyz Republic. The continuation of the functioning of these dialogue mechanisms is likely, as there is motivation and interest in the participating institutions in continuing with the process initiated. Implementing the meetings does not call for additional funding by the targeted national authorities and in some cases steps have been taken to institutionalise the mechanisms created, as in Argentina. The studies, analysis and discussions in the coordination mechanisms established have led to the identification of policy gaps and the development of bills on chemicals, as in Argentina, Benin and the Kyrgyz Republic, or action plans for the development of regulations, as in the Kyrgyz Republic. With the continuation of the functioning of the dialogue mechanisms, it is likely that regulations related to the bills will be developed, if needed. The approval of the bills within the implementation period of the projects is, however, uncertain in some countries in view of elections that will take place in 2019, as in Argentina or Benin. The main challenge, however, concerns implementing the provisions of these bills, as some aspects will require funds (for instance for the functioning of the committee to assess chemicals risks in Argentina). The projects have also achieved to raise awareness on chemicals and waste management through the trainings delivered, but more in-depth capacity development is still needed, in terms of both topics covered and administrative levels targeted (central, provincial and local).

In the three countries visited, the ROM review mission identified interest of the relevant national authorities in continuing accessing funds from the Special Programme, but none of them knew whether they could be eligible for a second application. No clear exit strategies have been developed either, to plan how the results achieved will be sustained, and to identify potential areas of support for consolidating these results or expanding the institutional strengthening process initiated.

Although the private sector has not contributed funds to the Trust Fund, it has been involved in some of the projects. The Secretariat is in contact with the International Council of Chemical Association (ICCA), a world-wide voice of the chemical industry, to strengthen the ICCA's cooperation with UNEP. Some projects are involving the private sector in the dialogue mechanisms established, e.g. in Argentina and Benin, where the private sector has provided valuable inputs to the Bills on Chemicals drafted by national institutions. The visit of the Secretariat to the inception workshop in Argentina was useful for ensuring the engagement of the private sector in the project. However, the private sector has not shown willingness to contribute financially to the Special Programme, mainly because other mechanisms exist. For instance, ICCA has established the Responsible Care Programme, a voluntary scheme to improve the chemical industry, by which industries implement sustainable practices with the support of ICCA in the whole value chain; around half the industries of the Chamber of Chemical and Petro-chemical industries of Argentina have joined this voluntary scheme.

The EU Delegations have not been involved in the programme, even though they could contribute to the sustainability of some of the results achieved in some countries. Their involvement may not be always necessary. Depending on the country, the EU Delegation could help in establishing contacts with stakeholders that could be useful for the projects (for instance with the European Agency for Chemicals for developing capacity development programmes, or with CSOs in the consultations on chemicals management), in identifying areas of support through national or regional programmes managed by the EU Delegations, or in establishing synergies with other EU interventions at the national level.

Conclusions

Nº	Conclusion
C1	<p>Relevance: The Special Programme is relevant for addressing the institutional weaknesses of countries implementing the MEAs on chemicals. By covering different MEAs, the programme fosters coordination at country level for their implementation. The programme is well designed for avoiding overlap with other potential sources of funding. National authorities are committed to the objective set and the Secretariat has taken appropriate measures for ensuring that proposals are government-endorsed.</p>
C2	<p>Relevance: The Secretariat has addressed some risks that have materialised. Measures have been taken to address the risk of receiving poor quality proposals, although increasing the technical information in the guidelines may not always ensure the full understanding of applicants. The lack of nominations of some representatives to the Executive Board has been resolved, although without ensuring a permanent solution that would help avoiding the risk's occurrence in the formation of the Board for the next term. No clear measures have been taken to reduce the long administrative processes that have occurred in some cases from the projects' award until the start of their implementation.</p>

C3	<p>Relevance: The outcome indicators allow measuring only partially the actions governments can take to implement the MEAs on chemicals and SAICM implementation plans, and the programme cannot track significant achievements at country level, such as the work of multi-stakeholder mechanisms of dialogue, or the effects on the quality of the national reports submitted to the MEAs Secretariats. Without additional indicators at outcome level, the Special Programme will not be able to showcase all its potential achievements.</p>
C4	<p>Efficiency/Effectiveness: The necessary resources are being made available for the implementation of the programme. After some delays in recruiting part of the staff, the team of the Secretariat is now complete and has the capacity to implement the programme, assisted by the UNEP Communication Office (for the communication component). Monitoring, evaluation, and communication activities at global level are not yet coordinated with the ones some projects carry out at country level. In general, UNEP disburses the funds timely to the projects and the national authorities are also ensuring the co-financing of the projects, although this contribution, mostly in-kind, is not being calculated in monetary terms, thus it cannot be concluded whether it corresponds to the planned figure.</p>

C5	<p>Efficiency: The programme is being implemented in general according to plan. Through three rounds of applications launched, to date 42 projects have been selected, of which 20 are under implementation. Delays of more than one year occur in some cases from the award of the projects until implementation starts, and this may compromise the relevance of the project design approved, as it may not be always appropriate to respond to the new context. Implementation at project level presents minor deviations in some cases, which however are not reflected in updated workplans, and two projects face difficulties due to the implementing partners' financial problems.</p>
C6	<p>Efficiency: The Secretariat manages the programme adequately and it is expected that the ratio between funds disbursed to the projects and direct eligible costs will be closer to the planned figure once more projects start implementation. The Secretariat puts most of its effort on the application phase, and relevant support activities are being designed and implemented. The follow-up of projects during implementation concerns mostly contractual issues and the feedback on projects' progress and achievements is mostly limited to the annual reports, submitted late in many cases and sometimes with insufficient information. Projects submit also the audit reports with delays. Other reports are required by other stakeholders, causing an unnecessary administrative overload to implementing partners.</p>

	<p>Effectiveness: It is likely that the outputs of the Special Programme will be delivered; some of the targets set are already being exceeded. The growing number of applications received indicates both that information reaches the targets and that there is interest in participating in the programme, which is already close to achieving the planned number of projects funded. The support provided during the application process has improved and the Secretariat is providing in general good services. The appraisal document and the applications are sometimes too long, requiring significant time for the Executive Board being able to select the best applications.</p>
C7	
C8	<p>Effectiveness: there is evidence that the governments are taking action to implement the MEAs on chemicals as a result of the projects being implemented. Significant achievements have been identified, related to the establishment of units/directorates of chemicals, multi-stakeholder dialogue processes, development of bills and regulations, or responsiveness to the reporting requirements of the MEAs on chemicals with improved quality. Few of these achievements are, however, captured in the outcome indicators or reported in the Secretariat's progress reports. The programme is not able thus to communicate the whole wealth of its achievements.</p>

	<p>Sustainability: In general, there are good continuation prospects of the units/ directorates on chemicals and the multi-stakeholder dialogue mechanisms established, and of the development of further policies and regulations. These results can, however, be fragile, as there are no funds at national level to support them, especially the provisions of some of the bills developed. Political changes can also affect the approval of the bills developed. The additional funds pledged and contributed to the Trust Fund can be useful for funding institutional strengthening projects in new countries as well as for consolidating results in countries that have already benefitted from the programme. The latter may require specific orientations or requirements in future round of applications, different to the ones for new countries accessing the funds.</p>
C9	
C10	<p>Sustainability: The EU Delegations have not been informed on the programme, although their involvement in some countries could help consolidating the results achieved, by helping to establish contacts with relevant stakeholders, to identify areas of support through national or regional programmes managed by the EU Delegations, or to establish synergies with other EU interventions at the national level.</p>

Recommendations	
N°	Recommendation
R1	Secretariat: Improve the system for monitoring the projects through: 1) regular calls to the projects (e.g. quarterly) whereby information on progress and achievements is collected in a monitoring template designed for that purpose and reporting and audit requirements are followed-up; 2) consolidated draft annual reports based on the aggregation of the monitoring templates that can be used to verify or complement the content of the reports submitted by implementing partners; 3) updated workplans included in the annual reports; 4) harmonisation of report templates with other reporting requirements; 4) pooling some of the resources for monitoring and evaluation of the projects to conduct regional/ global assessments; 5) identification of relevant events of the projects where visits of the Secretariat can be organised to contribute to the planned results, to assess implementation and to provide visibility to the programme (related to Conclusions C5, C6 and C8).
R2	Secretariat: Continue improving the support during the application process oriented to receiving quality proposals. Consider: 1) Producing two separate documents: guidelines for the application and technical guidance for the design of Special Programme projects; 2) Presenting in the guidelines the evaluation criteria, the timeline for the process and explanation of measures in case implementation starts too late after the award (e.g. adaptation of the proposals, re-submission in the following round of applications or cancellation of the award); 3) Include in the guidance document all the technical information, such as explanations on how some countries are addressing the gaps in the implementation of the MEAs, "domestic" versus "proposed" measures, outcomes versus outputs, bad examples of Special Programme projects and Logframes (instead of good examples that have the risk of being copy-pasted) (related to Conclusions C2 and C7).
R3	Secretariat: Continue providing good services to the Executive Board and identify ways for the length of the documents provided to the Board to be reduced, in order to decrease the time needed for assessing and selecting the proposals. Consider: 1) setting size limits for the text boxes of the application form; 2) setting size limits for the text boxes of the appraisal document; 3) agreeing with the Executive Board on the key points that need to be highlighted in the summary of the appraisal document and are essential for the Executive Board understanding the quality of the proposal (related to Conclusion C7).

R4	<p>Executive Board: Discuss and approve in the next Executive Board meeting a procedure the Secretariat can implement for facilitating the nomination of the members of the Executive Board (e.g. on-line voting) in case regions fail to nominate candidates within a reasonable time. The procedure should be aimed at ensuring the timely replacement of the Executive Board when the next term will come to an end in 2020 (related to Conclusion C2).</p>
R5	<p>Secretariat/Executive Board: Consider focusing the mid-term evaluation on: 1) Effectiveness of the projects financed, covering a sample of projects different than the ones reviewed by the present ROM review; 2) Revise the theory of change and the indicators of the Logframe, especially the outcome indicators; 3) Systems the Secretariat can implement to better appraise the proposals and follow-up the projects; 4) Learning activities the Secretariat can launch between the projects; 5) Orientations for future rounds of applications (related to Conclusions C3, C6 and C9).</p>
R6	<p>Executive Board: Discuss in the next meeting on possible orientations for future rounds of applications. Calls split in lots could be considered, if there are specific aspects where the Board considers the projects of the Special Programme can make a difference, ensuring that projects follow the principle of covering the implementation of different MEAs. Lots that could be considered are for instance: 1) general institutional strengthening projects, i.e. following the actual approach; 2) specific topics, such as reporting to the MEAs on chemicals or marine litter plastic; 3) regional projects; 4) support to projects that have already benefitted from the programme (e.g. for consolidation of results or scale-up) (related to Conclusions C1 and C9).</p>

R7	<p>Secretariat/ ITT: Identify different outcome indicators apart from the three ones actually listed in the Logframe that could better capture the broad range of actions governments can take to implement the MEAs (related to Conclusions C3 and C9).</p>
R8	<p>Secretariat/ UNEP Communication Office: Establish a dialogue with the projects on ways to address jointly certain aspects of communication. Establish a system for: 1) identifying events where coordination between the global and the national level is necessary; 2) ensuring that the communication materials produced by the projects and the UNEP Communication Office are mutually shared (related to Conclusion C4).</p>
R9	<p>DEVCO: Inform EU Delegations on the Special Programme once a project in the country of their responsibility is approved. Identify countries where the involvement of EU Delegations would add value to the results of the projects and inform accordingly the Secretariat (related to Conclusions C9 and C10).</p>

	Secretariat: Request projects to contact EU Delegations based on the orientation provided by DEVCO (related to Conclusion C10).
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 R10 |