



Distr.: General

4 June 2019

Original: English



**United Nations
Environment
Programme**

**Conference of the Parties to the
Minamata Convention on Mercury**

Third meeting

Geneva, 25–29 November 2019

Item 5 (e) (ii) of the provisional agenda*

Matters for consideration or action by the Conference

of the Parties: financial mechanism:

Specific International Programme to Support

Capacity-Building and Technical Assistance

**Application guidelines for the second round of applications to
the Specific International Programme to Support
Capacity-Building and Technical Assistance**

Note by the secretariat

The application guidelines for the second round of applications to the Specific International Programme to Support Capacity-Building and Technical Assistance, referred to in the note by the secretariat on the overall report on the Specific International Programme (UNEP/MC/COP.3/10), are set out in the annex to the present note, without formal editing.

* UNEP/MC/COP.3/1.

Annex



Application Guidelines Specific International Programme

Second Round of Applications

Call for Applications opened on 5 March 2019

Deadline for Submission is 14 June 2019

TABLE OF CONTENTS

Introduction		4
Chapter 1	Key Questions about Applications to the Specific International Programme	5
	1.1 Who can apply to the Specific International Programme?	5
	1.2 What amount is available for projects under the Programme?	5
	1.3 What should be the duration of the project?	5
	1.4 In what language should I submit my application?	5
	1.5 Who are the National Focal Points?	6
	1.6 Where does one obtain the application forms?	6
	1.7 What does a complete application consist of?	6
	1.8 Can I seek support in the preparation of my application?	6
	1.9 How can I ensure gender mainstreaming in my application?	7
	1.10 What are reporting and oversight requirements for projects?	7
	1.11 Are there any budget limits or caps I should be aware of?	8
	1.12 What is the submission process for applications?	8
	1.13 What happens once the applications are submitted?	8
Chapter 2	Screening and appraisal of Applications	10
	2.1 Completeness checklist	10
	2.2 Eligibility screening	11
	2.3 Coherence appraisal	11
	2.4 Prioritization appraisal	12
Chapter 3	Conceptualizing projects under the Specific International Programme	13
	3.1 Theory of Change as tool to conceptualise the planning of a project	13
	3.2 Example project as illustration: Switching to alternatives to products listed in Annex A	15
	3.3 Moving from the Theory of Change to fill in the Logical Framework	16
Chapter 4	How to complete the Application Forms	17
	4.1 Form A – Project Application	17
	4.2 Form B – Project Budget	31
	4.3 Form C – Letter of Transmittal	33
Annex I	Decision on the Specific International Programme	34
Annex II	Article 13 and Article 14 of the Minamata Convention on Mercury	38

Acknowledgements

These revised application guidelines utilized the feedback from Parties, as well as reflections from the Governing Board and Secretariat after the experience with the First Round of applications.

The application guidelines learned from and built on many aspects of the Special Programme and also of the Quick Start Programme, for which the Chemicals and Health Branch of UN Environment Programme provides secretariat services. In producing these guidelines, the Evaluation Office of the UN Environment Programme was also consulted for aspects of overall programme and project management, including aspects of the implementation arrangements of projects.

INTRODUCTION

This document provides revised guidelines on the project application process to the Second Round of the Minamata Convention's Specific International Programme to support capacity-building and technical assistance.

The Specific International Programme forms part of the financial mechanism of the Minamata Convention on Mercury and is set up to assist developing countries Parties and Parties with economies in transition to develop projects to support their capacity to implement their obligations under the Minamata Convention.

The Conference of Parties to the Minamata Convention on arrangements to give effect to the Specific International Programme (please see Annex I to this document). This decision includes in its annexes elements outlining **guidance** on the scope, eligibility, and operations of the Programme. The decision also includes **terms of reference** for the Programme that includes elements related to the project application process, screening, appraisal and approval.

The Governing Board of the Specific International Programme oversees the Programme and takes operational decisions to ensure the Programme adheres to the guidance of the Conference of Parties. This includes that the Governing Board endorses, as appropriate, the criteria and procedures for application, assessment, reporting and evaluation, as applicable, to the Programme. At its Third Meeting, held in Geneva on 14-15 February 2019, the Governing Board also concluded on the Rules of Procedure for its functioning.

The guidelines on the application process presented here are as endorsed for the Second Round of the Specific International Programme by the Governing Board of the Programme at its Third Meeting.

These guidelines have been adjusted from those of the First Round of applications in 2018, which served as a pilot for the Programme. They are a living document and may be further adjusted and updated by the Governing Board with the Secretariat of the Minamata Convention in the future.

The call for the Second Round of applications is made on 5 March 2019. **The deadline for application to the Second Round is 14 June 2019.**

These application guidelines are structured as follows:

Chapter 1	The first chapter addresses key questions about applications to the Specific International Programme.	
Chapter 2	The second chapter provides more information on how projects are screened and appraised under the Specific International Programme.	
Chapter 3	The third chapter sets out how to conceptualise and develop a project for the Specific International Programme, including the Logical Framework.	
Chapter 4	The fourth chapter gives specific information on how to complete the various parts of the application, namely:	
	Form A	Project Application
	Form B	Project Budget
	Form C	Letter of Transmittal

CHAPTER 1: KEY QUESTIONS ABOUT APPLICATIONS TO THE SPECIFIC INTERNATIONAL PROGRAMME

This chapter addresses some frequently asked questions about the Specific International Programme and outlines the application process.



1.1 WHO CAN APPLY TO THE SPECIFIC INTERNATIONAL PROGRAMME?

Eligible **Governments** can apply to the Specific International Programme.

Governments from developing country Parties to the Minamata Convention and Parties with economies in transition are considered eligible. Furthermore, the Specific International Programme takes full account of the specific needs and special circumstances of Parties that are small island developing States and least developed countries.

Governments here refer to the national government ministry or department in charge of implementing the obligations of that country under the Minamata Convention. Affiliations of governments and local governments are not eligible. Please note that the application form differentiates between the “Applicant Government”, which refers to the Government submitting the application and the “Applicant Government Official”, who is the lead contact person on behalf of the Applicant Government, responsible for the application and all interaction with the Secretariat.

Several governments can jointly submit a sub-regional, regional or inter-regional project. The only submission requirement for projects of this nature is that one Government is specified as a project lead/manager.

It is strongly encouraged that the Applicant Government only submits one application from the country based on the issue(s) identified as the most important national priorities for possible funding from the Specific International Programme.¹

It is expected that the Government making the application will implement the project. However, the Applicant Government may nominate a delivery organization to implement the project.² See Form A, Annex 2.



1.2 WHAT AMOUNT IS AVAILABLE FOR PROJECTS UNDER THE PROGRAMME

The Specific International Programme may provide support from USD50,000 to USD250,000 per project proposal. This amount is inclusive of all possible administrative fees, and fees for monitoring, evaluation and financial audits.



1.3 WHAT SHOULD BE THE DURATION OF THE PROJECT?

Projects must be completed within 36 months/three years.



1.4 IN WHAT LANGUAGE SHOULD I SUBMIT MY APPLICATION?

The Governing Board works in English and all project applications therefore must be submitted in English. The Guidelines will be made available in French and Spanish as soon as possible.

¹ In cases where there may be more than one proposal at the national level, the National Focal Point should coordinate among the proponents to enable the Applicant Government to submit one proposal.

² It is understood that the applicant’s organization, agency or ministry is the implementer of the project, since it will have the overall responsibility and will be the main coordinator of the project. Applicants may, however, choose to transfer this responsibility to another organization, agency or ministry. In compliance with UN financial rules, profitmaking companies cannot serve as project delivery organizations.



1.5 WHO ARE THE NATIONAL FOCAL POINTS?

The Minamata Convention in Article 17, paragraph 4 makes provision for the designation of National Focal Points to the Minamata Convention for the exchange of information under the Convention, including with regard to the consent of importing Parties under Article 3.

The National Focal Point is also requested by the Governing Board to consult on the development of applications submitted by their respective Government to the Specific International Programme. The confirmation of this consultation is indicated by the National Focal Point's signature on Form C - Letter of Transmittal.

The list of National Focal Points can be found on the Minamata Convention website, along with information on the designation procedure for Parties that have not yet notified the Secretariat of their National Focal Points.

In the event that a project is put forward involving more than one Party, a lead Party needs to be identified to sign Form C – Letter of Transmittal on behalf of all. All the respective National Focal Points are to provide their transmittal signatures.



1.6 WHERE DOES ONE OBTAIN THE APPLICATION FORMS?

The complete set of application forms can be downloaded from the website of the Minamata Convention:

<http://www.mercuryconvention.org/Implementation/SpecificInternationalProgramme>



1.7 WHAT DOES A COMPLETE APPLICATION CONSIST OF?

The complete set of application forms consists of the following forms:

Form A	Project Application
Form B	Project Budget
Form C	Letter of Transmittal



Form C is to be **signed** by the Applicant Government Official, the National Focal Point and the GEF Operational Focal Point.

A checklist of essential elements to make the application complete is in Form A under section 5.



1.8 CAN I SEEK SUPPORT IN THE PREPARATION OF MY APPLICATION?

The Secretariat is available to provide support on a case-by-case basis as requested from Parties during the preparation of their application. Applicants can seek specialist advice on identifying technical cooperation solutions, project design and sequencing of appropriate activities, measurement of effectiveness/impact and project management best practices. This advice can be provided directly by the Secretariat. The Secretariat can also seek to connect applicants with relevant experts from the Global Mercury Partnership. Applicants are encouraged to reach out to the Secretariat during the months of March and April to secure assistance. The Secretariat may not be able to support late requests. Kindly send all requests to: MEA-MinamataSecretariat@un.org with a copy to madeeha.bajwa@un.org.

The Secretariat will be providing information on the Second Round of applications during the regional meetings of the upcoming meetings of the Conferences of the Parties to the Basel, Rotterdam and Stockholm conventions. In addition, clinics on conceptualizing and developing projects (including how to complete the Logical Frameworks) will be provided during the BRS COPS (29 April to 10 May 2019).



1.9 HOW CAN I ENSURE GENDER MAINSTREAMING IN MY APPLICATION?

Gender mainstreaming integrates gender perspectives in development activities, with the ultimate aim of achieving gender equality. All development interventions should integrate the principles of participation, equality and non-discrimination and address the needs of the most vulnerable. This applies equally to all aspects of design, implementation, monitoring and evaluation of project applications under the Specific International Programme. This integration is to be based on an assessment of the impact of mercury from a gender perspective, and project activities should promote these issues at the national and regional levels. See section 4.1 of Chapter 4 (pg. 24).



1.10 WHAT ARE REPORTING AND OVERSIGHT REQUIREMENTS FOR PROJECTS?

Monitoring, review and evaluation enables managers to measure performance, identify areas of good practice or possible improvement, and therefore provides for adaptive management, operational improvement and positive learning.

Monitoring and reporting: Monitoring of project implementation refers to the routine collection and analysis of information to track progress, check compliance and make informed decisions for project management at each level of the Logical Framework. Monitoring activities should be built into the project work plan and allocated (human and, if necessary, financial) resources from the start. Regular monitoring is the responsibility of project managers and forms the basis for reporting as well as evaluation. A best practice is for project managers to develop a monitoring plan that describes the means for measuring the indicators of progress (as defined in Logical Framework).

During the implementation phase, project managers will submit narrative progress reports every six months and an end of project final narrative report based on pre-set templates. Financial reports every six months and an end of project financial report will also need to be submitted. Expenditure reports should be certified by an authorised official from the Applicant Government Institution attesting to the accuracy of reported expenditures, that resources have been used in accordance with budget provisions and the terms of conditions of the implementation agreement and that all expenditures are supported by relevant documents. The UN Environment Programme can only accept expenditures that are in line with the approved budget. These provisions will be reflected in the legal agreement that will be signed between the UN Environment Programme as trustee of the Specific International Programme, and the Applicant Government.

Evaluation: A terminal evaluation is mandatory for all projects with a budget of over USD 150,000. Evaluations fall under the responsibility of the Evaluation Office of the UN Environment Programme. These terminal evaluations will be initiated based on criteria as identified by the Evaluation Office. The Secretariat of the Minamata Convention will manage the process of the terminal evaluations. These evaluations will be done by independent evaluators.

For projects with budgets less than USD 150,000, a terminal review will take place instead of a terminal evaluation. The terminal review falls under the responsibility of the applicant and can be done internally by the applicant organization/institution or externally if the applicant so wishes.³ Terminal reviews should follow the guidance provided by the Evaluation Office of the UN Environment Programme. Applicants will need to send aside funds for this purpose. See section 4.1 of Chapter 4 (pg. 26).

Financial audit: The use of resources within the United Nations is guided by the UN Financial Regulations and Rules. The United Nations Secretariat, under which the UN Environment Programme and therefore, the Secretariat of the Minamata Convention falls, are subject to the audits by the UN Office of Internal Oversight Services and the UN Board of Auditors. All projects under the Specific International Programme are externally executed, and therefore the applicant country is responsible for the financial management of the project. See section 4.1 of Chapter 4 (pg. 26).

³ If in-house capacity is not available, the applicant may wish to identify, for example, an academic institution, a research centre, and independent consultant or a non-governmental organisation for this task.



1.11 ARE THERE ANY BUDGET LIMITS OR CAPS THAT I SHOULD BE AWARE OF?

Yes – according to the relevant financial rules and regulations there are caps on a few budget classes.

1. Personnel and contractual services costs – 65 per cent of total budget;
2. Specialised and technical equipment – 10 per cent although up to 25 per cent could be considered by the Governing Board in exceptional cases based on details annexed to the application;
3. Administrative fees – maximum of 5 per cent; and
4. Monitoring, review/evaluation and audit, as applicable – should not exceed USD 15,000 in total.

See “Further notes on budget classes” in section 4.2 of Chapter 4 (pg. 33).



1.12 WHAT IS THE SUBMISSION PROCESS FOR APPLICATIONS?

The Second Round of applications to the Specific International Programme has a mandatory deadline of Friday, 14 June 2019.

Applicants are encouraged to submit their application packages **in English** as early as possible in advance of the deadline in order for the Secretariat to review the applications for completeness.

Complete applications should be sent electronically in **Word** and **PDF** versions, including Form C – Letter of Transmittal (i.e., scanned signatures from the Applicant Government Official, National Focal Point and the GEF Operational Focal Point), to: MEA-MinamataSecretariat@un.org with a copy to madeeha.bajwa@un.org.

Note - Please retain the original signed Form C as it will be required for concluding relevant project management arrangements for approved projects.



1.13 WHAT HAPPENS ONCE THE APPLICATIONS ARE SUBMITTED?

See Figure 1 below for a depiction of the submission process against timelines for the Second Round of Applications for the Specific International Programme.

The Secretariat will acknowledge receipt of the application package on the first next working day.

Step 1: Screening by the Secretariat

The Secretariat **screens** the applications to ensure they are complete and eligible.

During the screening process the Secretariat may request additional information or clarifications from the applicant to facilitate the eligibility and completeness process.

It is imperative that applications reach the Secretariat before the deadline so that if there are any missing/additional items required, the Secretariat can alert the applicant of missing items for submittal before the deadline. Incomplete applications cannot be considered for funding by the Governing Board.

Step 2: Appraisal by the Secretariat

The Secretariat conducts the appraisal of the applications based on the criteria and procedures as endorsed by the Governing Board of the Specific International Programme.

The Secretariat will appraise the project applications with the appropriate staff within the Secretariat and present the appraisal for consideration and decision to the Governing Board.

The Secretariat may consult with relevant international governmental organizations during the appraisal process.

Step 3: Approval by the Governing Board

The Governing Board will review all complete project applications at the Board's next face-to-face meeting taking account of the appraisal undertaken by the Secretariat.

The Governing Board will approve project applications, subject to the availability of funds at the time of their face-to-face meeting.

If an Applicant Government is represented by a member of the Governing Board that is due to take a decision on the application, the Rules of Procedure of the Governing Board require that Board member to recuse himself or herself from the deliberations of, and decision-making on, the application.

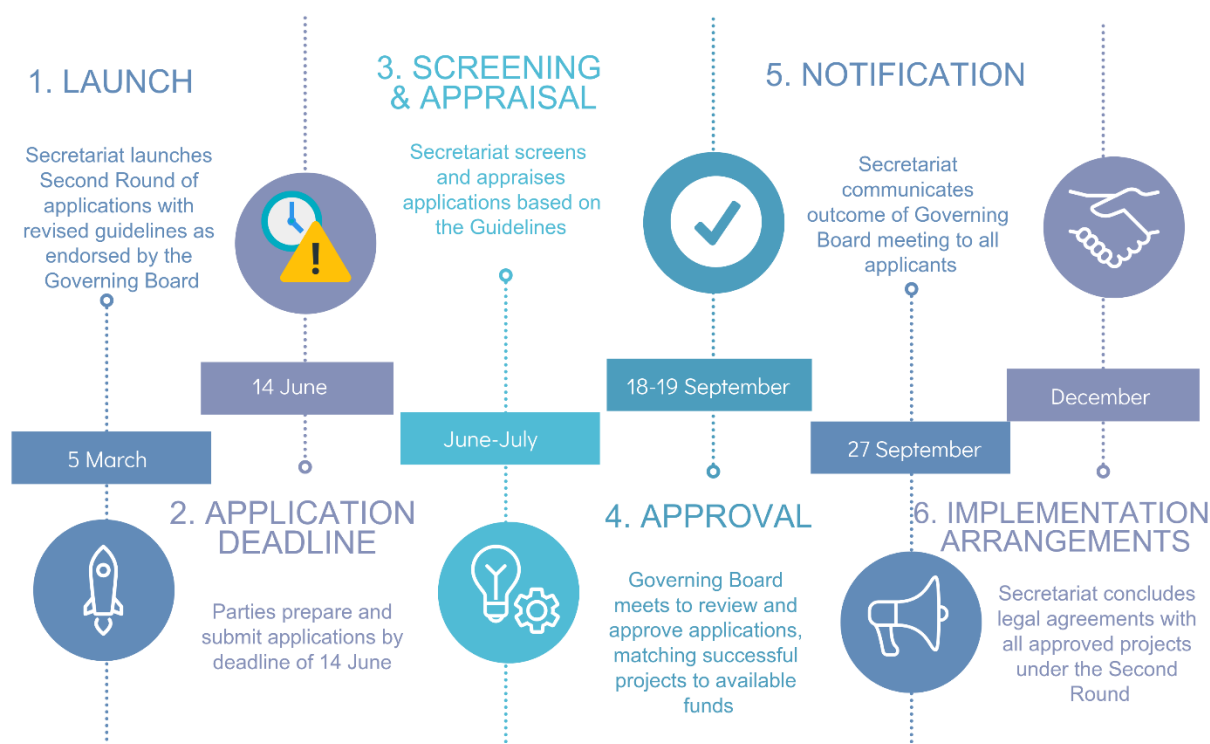
Step 4: Notification of Applicants

The Secretariat will notify the applicants in writing of the decision of the Governing Board within two weeks of the relevant Governing Board meeting.

Step 5: Setting up Implementation Arrangements

The use of financial resources within the United Nations is guided by the UN Financial Regulations and Rules. Activities financed by the Specific International Programme will be implemented in accordance with the financial management of projects provisions as per standard UN Environment Programme practices.

Figure 1: Project approval process for the Second Round of Applications to the Specific International Programme



Project management arrangements includes the conclusion of relevant legal instruments between the applicant and the UN Environment Programme, the trustee of the trust fund of the Specific International Programme.

Financial and reporting arrangements will be set up with the Applicant Government Official who will act as the project manager. See 1.10 above for reporting requirements.

CHAPTER 2: SCREENING AND APPRAISAL OF APPLICATIONS

Expected Outcome of the Specific International Programme: The Specific International Programme is to support projects that help improve the capacity of developing country Parties and Parties with economies in transition in implementing their obligations under the Minamata Convention.

The **scope** of the Specific International Programme extends to support capacity-building and technical assistance in accordance with paragraph 6 (b) of Article 13 of the Minamata Convention.

Decision MC 1/6 states that the Specific International Programme will be guided in its operations as follows:

- (a) Be country-driven, taking into consideration national priorities, country ownership and the sustainable implementation of the obligations under the Convention;
- (b) Ensure complementarity and avoid duplication with other existing arrangements to provide capacity-building and technical support, in particular the Global Environment Facility and the Special Programme to support institutional strengthening at the national level for implementation of the Basel Convention, the Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade and the Stockholm Convention, the Minamata Convention and the Strategic Approach to International Chemicals Management, as well as other existing assistance frameworks;
- (c) Build upon lessons learned and engage at the national and regional levels, including by encouraging South-South cooperation;
- (d) Be consistent with the integrated approach to financing the sound management of chemicals and waste, as relevant to the implementation of the Convention.



Applicants are strongly advised to ensure that all elements in the framework of appraisal are captured in their applications.

To assist and guide Applicant Governments in the development of their applications based on national priorities, the Governing Board laid out criteria at its First Meeting. These criteria are used in appraisal and decision-making on the applications. At its Third Meeting, the Governing Board agreed on overall framework of appraisal for these applications, as follows:

2.1 COMPLETENESS CHECKLIST

Form A - Project Application	<input type="checkbox"/> Yes
Annex 1 A: Logical Framework	<input type="checkbox"/> Yes
Annex 1 B: Project Workplan	<input type="checkbox"/> Yes
Annex 2 Contact Details	<input type="checkbox"/> Yes
Annex 3 Related Projects	<input type="checkbox"/> Yes
Form B - Project Budget	<input type="checkbox"/> Yes
Form C - Letter of Transmittal	<input type="checkbox"/> Yes
Any other annexes (depending on application)	<input type="checkbox"/> Yes <input type="checkbox"/> N/A

2.2 ELIGIBILITY SCREENING

- E1. Is the Applicant Government a **Party** to the Convention at the time of submitting the application?
- E2. Is the Applicant Government a developing country, Least Developed Country (LDC), Small Island Developing Country (SIDS) or a Country with an Economy in Transition (CEIT)?
- E3. Has the Applicant Government already received assistance from the **GEF and/or the Special Programme** to support to implement obligations of the Minamata Convention?

2.3 COHERENCE APPRAISAL

- C1. Do the outputs of the project improve the capacity of the Applicant Government to **implement the obligations** under the Minamata Convention?
- C2. Does the project build on previous initiatives and projects, established mechanisms and draws on **lessons learned**?
- C3. Does the project **engage at the national level** with partners and other relevant actors?
- C4. Does the project **engage at the regional level**, including by encouraging South-South Cooperation?
- C5. Is the project consistent with the integrated approach to financing the sound management of chemicals and waste,⁴ to support **national mainstreaming**?
- C6. Is the project consistent with the integrated approach to financing the sound management of chemicals and waste,⁵ to support **industry contributions**?
- C7. Does the proposal include **performance indicators** and related baselines and targets that measure the improvement in the capacities to implement obligations under the Convention?
- C8. Does the project respond to **gender** considerations?
- C9. Does the project contribute to the **Sustainable Development Goals** and safeguards against adverse environmental or social effects in other areas?
- ***
- C10. **Cumulative allocations:** Has the country already benefited from the Specific International Programme in a previous round?
- C11. If the country has benefitted from funding from the Specific International Programme in the past, are the **reports and evaluations** of the project(s) available?

⁴ The **Integrated Approach** to long-term funding of the Chemicals and Waste agenda was adopted by the UNEP Governing Council in February 2013 (UNEP/GC.27/7), after being developed in a country-led consultative process. At the first meeting of the United Nations Environment Assembly in June 2014, Governments welcomed the Integrated Approach in its Resolution 1/5. The Integrated Approach is composed of three components: (a) mainstreaming, (b) industry involvement and (c) dedicated external finance. These components are considered to be mutually reinforcing and are all important for the financing of the sound management of chemicals and waste at all levels.

Further to note, is that UNEA 1/5 through Annex II gave effect to set up the **Special Programme** to support institutional strengthening at the national level for implementation of the Basel, Rotterdam and Stockholm conventions, the Minamata Convention, and the Strategic Approach to International Chemicals Management.

⁵ See footnote 4.

2.4 PRIORITIZATION APPRAISAL

P1. To what extent has the project provided an indication of the **scale of potential environmental and health impact**?

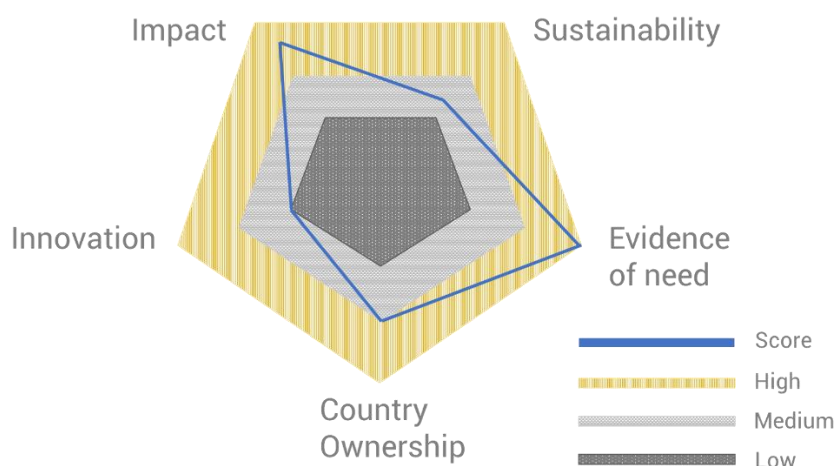
P2. Will the project result in the **sustainable ability** of the Applicant Government to implement the obligations of the Minamata Convention?

P3. Has the project provided **evidence of needs** that serve as a rationale for this project?

P4. To what extent is the project **country-driven** and in support of **national priorities**?

P5. Does the project encompass **innovative approaches** for possible show-case and replication?

Figure 1: Hypothetical project assessed on the Specific International Programme prioritization framework



CHAPTER 3: CONCEPTUALIZING PROJECTS UNDER THE SPECIFIC INTERNATIONAL PROGRAMME

This chapter introduces the theory of change as a recommended approach to conceptualize projects. Submitting a theory of change is not a mandatory requirement. Projects will be judged by the quality and measurability of their Logical Frameworks. It is noted that the process of completing a theory of change exercise may well enhance the design of the project.

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

This chapter sets out a tool and some considerations that may be of help to applicants in their conceptualisation of their project and before beginning to fill in the application forms.

First this chapter introduces the **Theory of Change** as a conceptual tool that applicants may wish to consider in the planning of their project application. The consideration of the Theory of Change is becoming widely supported as best practice in project management planning. Mapping the Theory of Change is increasingly seen as an imperative preparatory step for clear, effective project design. It is suggested here, to consider using a Theory of Change approach to conceptualise the project design as a first step, to help set out the different sections that will need to be filled in as part of the application forms, and specifically to help crystalizing the proposed outputs, the Logical Framework (Form A, Annex 1, part A) and the workplan (Form A, Annex 1, part B) of the project application form.

After introducing the Theory of Change, this chapter puts forward an example of an **example project** that could be put to the Specific International Programme to show how the Theory of Change approach can be used to conceptualise a project. The example project serves simply as illustration of how to move from project idea, through project planning, to sound project design and management that will be reflected in the narrative and financial application forms. This example project is then used also in the next chapter of these guidelines to help illustrate how to fill in the application form.

3.1 THEORY OF CHANGE AS A TOOL TO CONCEPTUALISE THE PLANNING OF A PROJECT

The Theory of Change is a **tool for the planning of projects** that aim to affect political, economic and/or social change. The aim of a Theory of Change is to understand the dynamics of change and the logical pathways between preconditions and project objectives. It maps how change can occur, and the values that underpin views on how change happens.

In the simplest terms, the Theory of Change is a mapping exercise that is undertaken in a backward direction. It starts by defining the long-term goal, working backwards to identify intermediate steps and preconditions, explicitly depicting the causal pathways from outputs to outcomes, via intermediate states, towards impact. The aim of a Theory of Change is to make these logical pathways explicit. Defining these pathways and precise links between the activities needed and achieving the long-term goals contributes to a better understanding of how change will occur. This then becomes a roadmap for the project implementation phase, with clear routes and measurable distances.

Key definitions

- ▶ The **activities** of a project are the tasks and actions needed to achieve the project outputs and, by extension, the outcomes.
- ▶ The **outputs** are the services and products delivered by the project and are always tangible. Outputs relate to the completion of activities. They can be technical guidance materials, reports or training sessions, for example. Managers have a high degree of control over them.
- ▶ The **outcomes** of a project are the changes resulting from the project outputs. They are observed as changes of behaviour, knowledge or skill, or can also be a change in attitude, action or condition. Examples of outcomes could include improved knowledge and technical capacity, improved coordination and communication between stakeholders or increased awareness.
- ▶ The **project objective** describes the desired results of a project, which often includes a tangible item. An objective is specific and measurable, and must meet time, budget, and quality constraints.
- ▶ The **impact** of a project is defined as the long-term change to the environment and to human living conditions. Eventual impact may be positive or negative, primary or secondary, direct or indirect, intended or unintended. It will not be achieved in full during the project's implementation period.
- ▶ **Drivers** are external factors required to reach a next level result in the project implementation, over which the project can exert a level of control; such as the level of engagement of stakeholders and partners, or the level of awareness of policymakers.
- ▶ **Assumptions** are external factors required to reach a next level result in the project implementation, over which the project has no control over; such as the country's economic landscape or its political turn-over.

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

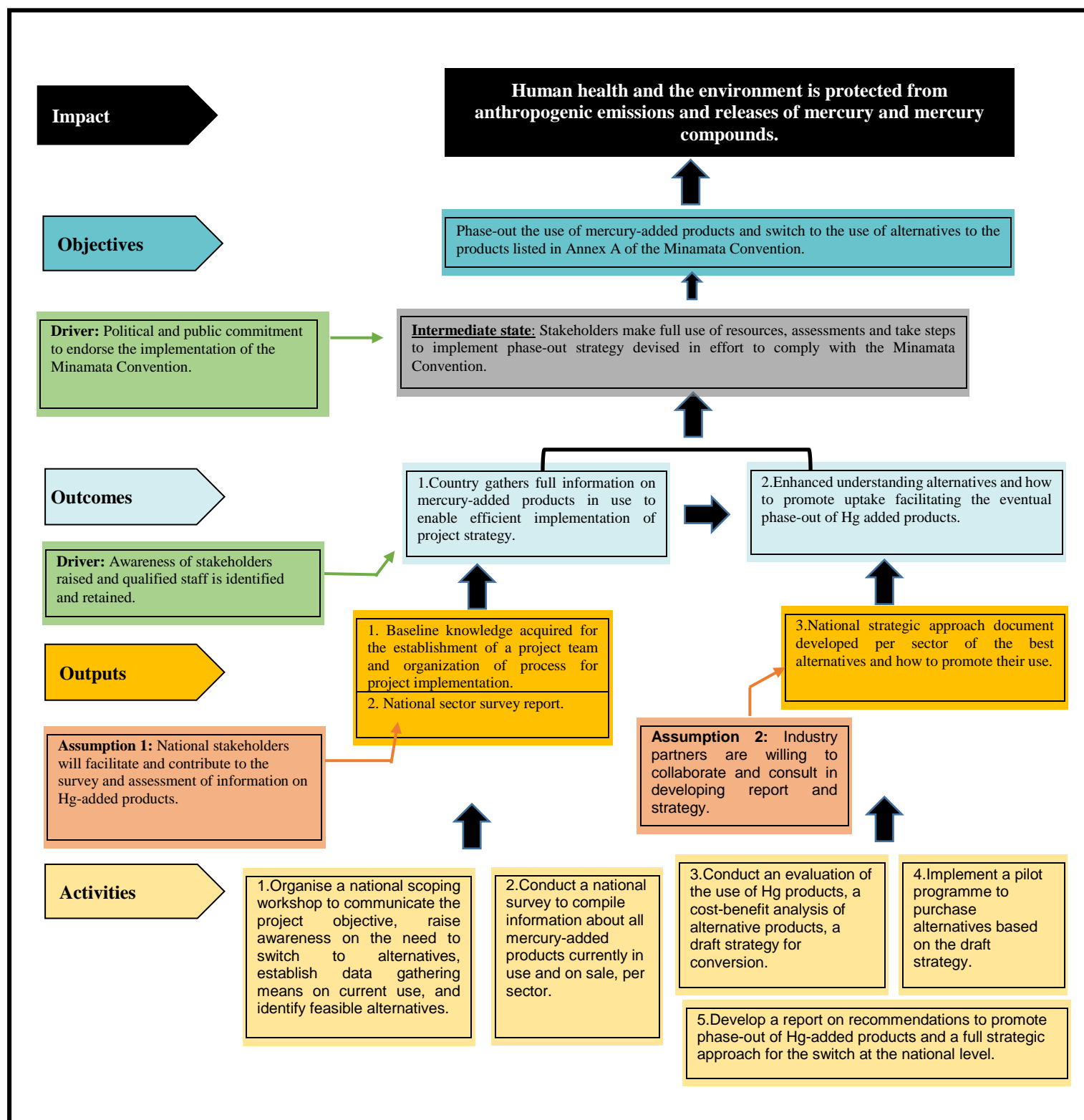
A Theory of Change can be represented either diagrammatically or as a narrative. A narrative of the Theory of Change allows for detailed discussion of stakeholder roles, needs and choices and chronological description of change dynamics. A visual representation of the Theory of Change can serve as a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

PLEASE NOTE: Applications to the Specific International Programme do not require the insertion of a description of the Theory of Change of the proposed project into the application forms. The information in this sub-section of the chapter is included merely as supplementary information to support applicants, if necessary, in the design of their project's intervention, and preparations to fill in the application form and specifically the Logical Framework.

3.2 EXAMPLE PROJECT AS ILLUSTRATION: SWITCHING TO ALTERNATIVES TO PRODUCTS LISTED IN ANNEX OF THE MINAMATA CONVENTION

To illustrate how to use the Theory of Change approach, and how to fill in the application form, we have come up with an example project where the stated project outcome is: **to switch to the use of alternatives to the products listed in Annex A of the Minamata Convention.**

If we were to develop a Theory of Change for the example project on switching to alternatives, a visual diagram of the Theory of Change may look something like this:



3.3 MOVING FROM THEORY OF CHANGE TO FILL IN THE LOGICAL FRAMEWORK

The **Logical Framework**, which takes the form of a table (Form A, Annex 1), is a mandatory part of a project document and serves as the key planning tool to reflect the insights gained from doing a Theory of Change exercise in preparation of a project application.

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

The Logical Framework used in the Specific International Programme application is set out as follows:

In ascending lines (from long to short term) the following information is set out:

- (a) project objective;
- (b) project outcome;
- (c) project outputs, and
- (d) project activities.

The columns across detail the following information:

What are indicators?			
An indicator is a unit of measurement that helps assess progress towards the achievement of an intended result. Information collected is used to guide decision-making throughout the implementation, monitoring and evaluation of the project. At a minimum, indicators should be specific, measurable and achievable. There should be an indication of the timing of expected results.			
	Purpose	Examples	Data sources
Quantitative indicators	<ul style="list-style-type: none"> - Measure actions, variations, tendencies and levels of knowledge - Helps determine: how many? How much? How often? - Close ended: variables or themes are predefined before data collection begins 	<ul style="list-style-type: none"> - Number of - Frequency of - Increase/decrease of - Ratio of - Percentage of 	<ul style="list-style-type: none"> - Project records - Service statistics - Survey at the program level - Survey at the population level (local, national)
Qualitative indicators	<ul style="list-style-type: none"> - Provides information about attitudes, perceptions and motivations. - Answer why? - Usually structured in an open-ended fashion (allow spontaneous info) 	<ul style="list-style-type: none"> - Level of - Compliance with - Extent to - Quality of - Presence of - Perception of 	<ul style="list-style-type: none"> - In-depth interviews - Case studies - Focus Groups - Observations - Client studies

- (a) how these objectives will be measured through indicators (measuring achievements against baselines and targets);
- (b) how progress will be verified through means of verification (evidence to support); and
- (c) time frame of the activities and their reporting period.

The time frames in the Logical Framework are to be replicated as necessary into the project workplan of the application form (Form A, Annex 1).

CHAPTER 4: HOW TO COMPLETE THE APPLICATION FORMS

This chapter will give step-by-step information on how to fill in the application forms, as well as indicate the additional items needed to have a complete application package to submit to the Secretariat. The example project introduced in Chapter 3 of switching to alternative products is used throughout the example boxes for illustrative purposes.

4.1 FORM A – PROJECT APPLICATION

Form A contains the main project application. It consists of sections 1 to 5, as shown below.

1. PROJECT SUMMARY

- 1.1. **Applicant Government and Applicant Government Institution:** Please fill in the name of the country(ies) and institution(s) making the application.
- 1.2. **Project title:** Please enter the title of the project.
- 1.3. **Budget:** Please indicate the total budget being requested from the Specific International Programme. Separately note the country contribution (if any).
- 1.4. **Duration:** Please indicate the proposed project duration, expressed in the number of months, noting that 36 months (3 years) is the maximum duration of a project.

According to UN financial rules and practices a project is to be closed as soon as possible after the date of operational completion, and no more than 12 months after.
- 1.5. **Country status:** Please confirm that your country is a Party to the Minamata Convention by mentioning the date of ratification or accession. Further please indicate whether Applicant Government is a developing country, country with an economy in transition, a small island developing State or a least developed country.
- 1.6. **Relevant Convention Articles:** Please mention the specific articles (and relevant paras and annexes) that the project will contribute towards.
- 1.7. **Project Summary [maximum 350 words]:** Please present a summary of your project. The summary should include the rationale for the project, its intended objective and impact as well as how these will be achieved (i.e. by outlining key outputs). Applicants should also indicate how the project will improve national capacity in implementing the obligations under the Convention and mention key partners in implementation.

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

1.7. Project summary [maximum 350 words]

The objective of this project is to phase-out the use of mercury-added products and switch to the use of alternatives to the products listed in Annex A of the Minamata Convention in Country XYX. Mercury-added products are a major area of concern for Country XYZ as indicated in the results of the recently concluded Minamata Initial Assessment. In order for Country XYZ to implement its obligations under the Minamata Convention of Mercury and meet the rapidly approaching phase-out date, it is imperative that an evidence-based strategy to switch to alternative products is implemented.

With an overall budget of USD 200,000, the Ministry of Environment of Country XYZ will implement the following six outputs during a 24 month period between 2019 and 2021:

1. Evaluation of the extent of use of products listed in Annex A of the Minamata Convention

2. Undertaking an analysis of costs and activities to convert to alternative products
3. Develop a strategy to change to alternative products, along with an appropriate time line
4. Implement a pilot programme to purchase alternatives
5. Roll out a strategic approach (nationally) (sectorally)
6. Monitoring, review/evaluation and financial audit

This project is the first of its kind in Country XYZ and the Government is committed to meeting its obligations under the Minamata Convention. In June 2018, an Executive Working Group under the Office of the Prime Minister was established for the implementation of the Convention.

This project will engage a wide range of stakeholders in the Country through an inter-sectoral approach. Project implementation will be led by the Ministry of Environment, through a Steering Committee, which will include the Ministries of Health, Environment, Health and Development at the federal and provincial level as well as the Chamber of Commerce and Industry, the National University of XYZ and NGOs.

Box 1: Illustrative project summary based on the example project.

2. PROJECT DESCRIPTION

Please expand on the project summary provided in section 1.7 structured as follows:

2.1. Rationale/justification [maximum 500 words]: Please explain why this project is important and necessary using an evidence-based rationale. This section outlines the problem statement, the context and the rationale for the project with the following elements included:

- Overview of the existing problem, using data (disaggregated) from existing reports such as Minamata Initial Assessments (MIAs); who is affected and what are the barriers/bottlenecks to outcomes for mercury?
- What is the relevance of the project in addressing the identified problem?
- How the problem being addressed by the project is linked to national priorities and policies?
- How is your country improving the capacity of its respective relevant sectors to implement its obligations under the Minamata Convention? Please make reference also to ongoing or planned legislative efforts that will have an impact on this capacity-building approach.
- How does the project build on previous initiatives and projects, established mechanisms and draws on lessons learned?

Please indicate if your country is undertaking/has undertaken a GEF MIA and an ASGM NAP. If that is the case, please add additional information in Annex 3.

2.2. Expected results [maximum 750 words]: Please explain what this project will achieve by listing and describing the concrete outputs proposed for support from the Specific International Programme in a clearly structured manner. For each output the following details will need to be provided:

- A description of the activities and tasks that will take place under each output as well as their sequence and timing will need to be provided. Please note that this text links directly into Annex 1, the Logical Framework and Workplan underlying this proposal.
- The roles and responsibilities of all involved stakeholders must be detailed, including intergovernmental organizations, ministries, departments, NGOs and/or private sector entities.
- An explanation of how these outputs and activities will improve the capacity of your country to implement its obligations under the Minamata Convention. The proposed outputs should strengthen capacity-building at the country level and strengthen technical know-how and its application. Please make specific reference to the articles, paras and annexes (as appropriate) that each output will contribute to.
- Mention any innovative or likely show-case approaches that the project employs or results that the project expects to achieve.

2.2. Expected results**[maximum 750 words]**

The project outcome is to switch to the use of alternatives to the products listed in Annex A of the Minamata Convention.

The following outputs will be achieved during the project:

1. Evaluation of the extent of use of products listed in Annex A of the Minamata Convention

[insert description of output, and a break-down of activities and tasks. Include the roles and responsibilities of any/all stakeholders and explain how these outputs and activities will improve your national capacity to implement the Convention – making specific reference to articles]

2. Undertaking an analysis of costs and activities to convert to alternative products

[insert description of output, and a break-down of activities and tasks. Include the roles and responsibilities of any/all stakeholders and explain how these outputs and activities will improve your national capacity to implement the Convention]

3. Develop a strategy to change to alternative products, along with an appropriate time line

[insert description of output, and a break-down of activities and tasks. Include the roles and responsibilities of any/all stakeholders and explain how these outputs and activities will improve your national capacity to implement the Convention]

4. Implement a pilot programme to purchase alternatives

[insert description of output, and a break-down of activities and tasks. Include the roles and responsibilities of any/all stakeholders and explain how these outputs and activities will improve your national capacity to implement the Convention]

5. Roll out a strategic approach (nationally) (sectorally)

[insert description of output, and a break-down of activities and tasks. Include the roles and responsibilities of any/all stakeholders and explain how these outputs and activities will improve your national capacity to implement the Convention]

6. Monitoring, evaluation and financial audit (this measure is mandatory)

[insert description of output, and a break-down of activities and tasks. Include the roles and responsibilities of any/all stakeholders]

Box 2: Example of a shell of section 3.2 on Expected Results.

2.3. Project management [maximum 500 words]: Please provide a comprehensive description of project management arrangements of the project. Indicate the institution responsible for the management of the project. Explain how the different partners involved in the project (intergovernmental organization(s), governmental entity(ies), other actors such as non-governmental organization(s), or the regional and sub-regional centres established under the Basel Convention and Stockholm Convention) will be involved.

To ensure that all partners fulfil their respective responsibilities with respect to the project, the project team should consider the necessary formal and informal arrangements. For example, it should be specified if certain partners are required to take the lead of specific outputs and/or provide data on results for monitoring and evaluation.

Applicants are required to present the project implementation structure through an organizational diagram. See Box 3. Describe the composition, roles and responsibilities, as well as how decisions are made, as appropriate, for the following stakeholders:

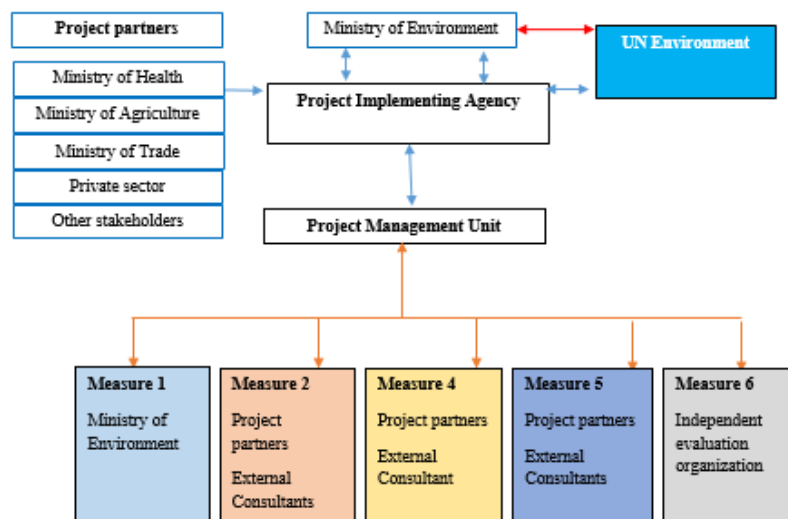
- ☐ Project manager and government authority implementing the project;
- ☐ Lines of responsibility of project team members;

- ☐ External participating partners, highlighting each partner's responsibility in the project;
- ☐ The project Steering Committee or Project Coordination Committee, including specify the roles and responsibilities of the partners in decision-making processes; and

Indicate how the project will ensure both accountability of, and coordination between different relevant national authorities and partners.

2.3. Project management

[maximum 500 words]



The day-to-day management and administration of the project will be handled by the Project Management Unit headed by the Project Manager from the Ministry of Environment. The Unit will provide secretariat services that includes, among others:

- Scheduling and coordinating meetings;
- Setting the meeting agendas;
- Producing documentation and distributing to members;
- Recording and distributing to members meeting minutes;
- Managing correspondence;
- Hiring and managing personnel

This example schema provides for a project management unit to be established. Establishing a unit is not a requirement for projects. A project may be administered and managed by an individual, or a core group, or another constellation.

Box 3: Example of a schematic and narrative description of project management and implementation arrangements.

2.4. Budget and funding summary: Please list the budget for each proposed output. The budget and funding summary presents the requested amount from the Specific International Programme. If the Applicant Government will itself make a contribution, this is to be captured here. Note that co-financing is not required, but there may be cases where co-financing makes sense.

2.4. Budget and funding summary		<i>Request from the Minamata Specific International Programme Trust Fund [USD]</i>	<i>Possible Applicant Government Contribution, if relevant (cash and/or in kind) [USD]</i>
	Proposed output 1	USD 50,000	-
	Proposed output 2	USD 50,000	USD 25,000
	Proposed output 3	USD 60,000	USD 25,000
	Proposed output 4	USD 10,000	-
	Subtotal	USD 170,000	USD 50,000
	Total project budget	USD 220,000	

Box 4: Example of a budget showing both the Specific International Programme requested amount, and if applicable, the amount or value of other possible contributions from the Applicant Government, based on the example project.

3. PROJECT CONSIDERATIONS

Please expand on the following key project considerations. See Chapter 2 of these guidelines for the framework that will guide the Governing Board in its decision-making of proposals.

3.1. Likelihood of impact [maximum 500 words]: Provide an indication of the scale of the potential environmental and health impact following the implementation of the project. Does the project offer safeguards that it will not support/generate adverse environmental effects?

Impact can also be illustrated through an exploration of how the applicant will make progress towards fulfilling key obligations of the Minamata Convention, including through potential mercury reduction. Applicants can make reference to the 2030 Agenda for Sustainable Development in their assessment.

When outlining the likely impact of the project, it is useful to consider the following questions:

- What is expected to happen as a long-term result of the project?
- What difference is the activity expected to make to the beneficiaries?
- How many people are expected to be affected?

3.2. Sustainability [maximum 350 words]: Please list here the concrete measures that are in place or are to be taken to ensure that the national capacity supported by the Specific International Programme is cumulative and sustainable in the long term. Demonstrate how these measures will result in the sustainable ability of the Applicant Government to implement the obligations of the Minamata Convention.

Please note that this section will not be reflected in the Logical Framework. The measures listed here are to capture national efforts towards sustainability, as well as likelihood of continued benefits from a development intervention after major development assistance has been completed.

3.2. Sustainability [maximum 300 words]

The following sustainability measures will be implemented in conjunction with the project implementation to ensure the sustainability of the project outcomes and outputs:

1. Engage national staff (*rather than only consultants*) in the analytical and planning processes to enable replication of the project.
2. Share regular updates of progress, and solicit formal feedback to the overall planning to build common knowledge.
3. Ensure that public procurement budgets are directed/informed by findings and commit to compliance purchasing (*i.e. apply findings even to government processes*).
4. Establishment of a formal framework (decision/decreree) through the project to implement the Minamata Convention.

Box 5: Examples of some proposed sustainability measures based on the example project. These measures may vary greatly according to national contexts. Many countries will have MIAs to draw from.

3.3. National ownership [maximum 500 words]: Please describe how the project is country-driven, in support of national priorities, engages at the national level, and if applicable, in the regional context.

Indicate how the Applicant Government has taken action on matters relating to the project (i.e. adoption of legislation, restructuring of institutional arrangements, approval of new standards, etc).

Describe how the project advances the integrated approach to financing the sound management of chemicals and waste (including national mainstreaming and the role of industry involvement). Describe the range of stakeholders (including from the civil society and private sector, as appropriate) that may participate in the project.

It should also be mentioned whether the project includes a possible Applicant Government contribution (although this is not mandatory for applications to the Specific International Programme), including any in-kind human resources contribution.

3.4. Gender [maximum 350 words]: Please demonstrate how the project addresses gender considerations. For more guidance on how to integrate gender considerations into the project proposal please see Box 7.

3.4. Gender [maximum 350 words]

1. Utilise the evaluation of products listed in Annex A to bring greater awareness to the differentiated effects mercury and its compounds may have on women and children as vulnerable populations.
2. In the stream of work related to the health care sector bring specific attention to the different roles men and women often play (such as doctors, nurses, cleaning staff, etc.) and their relative exposure to emissions and releases of mercury and mercury compounds.
3. Promoting women's engagement and leadership in decision-making processes at national and global levels.
4. (OPTIONAL) Promoting the engagement and leadership of vulnerable groups and communities, in decision-making processes at national and global levels.

Box 6: Example of project gender considerations component based on the example project.

UNDP 2011 – Gender Mainstreaming Guidance Series: Chemicals and Gender

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

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

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

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

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

Box 7: UNDP 2011, Gender Mainstreaming Guidance Series: Chemicals and Gender

3.5. 2030 Agenda for Sustainable Development: Describe how the project contributes to the Applicant Government's implementation of the 2030 Agenda for Sustainable Development, making reference to specific Goals as appropriate.

4. IMPLEMENTATION INFORMATION

4.1. Funding sources: Indicate whether the Applicant Government will make a confirmed contribution to the project. If contributions of cash or in-kind have been confirmed, please note their amount or value.

Indicate whether funding has been received or requested from the GEF or the Special Programme as well as funding received or requested at the national and international level, including from other governments, intergovernmental organizations, foundations and the private sector.

Note also if this project or the activities proposed in the project, been previously submitted for funding or in-kind donations from sources, other than the GEF or Special Programme?

4.2. Monitoring, reporting, evaluation and audit: Monitoring, reporting, evaluation and audit are necessary elements of sound project management and oversight.

Monitoring and reporting plan [maximum 250 words]: Please explain here how you plan to monitor the delivery of this project. Project activities and progress should be monitored according to indicators or targets. The plan must be based on the objectives identified in the project description and the project workplan and the mandatory semi-annual reporting. During the implementation phase, project managers will be required to submit narrative progress reports every six months and an end of project final narrative report based on pre-set templates. Semi-annual financial reports and an end of project financial report will also need to be submitted.

Evaluation plan [maximum 250 words]: Please indicate whether your project is to undergo a terminal review or a terminal evaluation.

For projects up to the value of USD 150,000 please make provision for a terminal review of the project. The terminal review falls under the responsibility of the applicant and can be done internally by the Applicant Government or externally if the applicant so wishes.⁶ The amount budgeted for the terminal review may be around USD 2,000 but should not exceed USD 4,000.

For projects between USD 150,000 to USD 250,000, please make provision in the budget for an independent evaluation of the project. Evaluations fall under the responsibility of the Evaluation Office of the UN Environment Programme. The Secretariat of the Minamata Convention will manage the process of the terminal evaluations, which will be conducted by independent evaluators. For this purpose, for projects of a budget of up to USD 200,000 the amount of USD 8,000 will need to be retained by the Secretariat, and for projects with a budget between USD 200,000 and USD 250,000, the amount of USD 10,000 will need to be retained.

Audit arrangements [maximum 250 words]: The requirements of the UN/UN Environment Programme standard legal instruments apply to audit arrangements. In accordance with the prescriptions of these instruments, audits may be required at the end of the project's implementation. For that purpose, the budget for an audit should not exceed USD 5,000. The auditing arrangements must comply with acceptable international standards. In cases where the project is delivered through a Government Institution, the auditing arrangements for that Government Institution apply to the project. In cases where the project is not delivered through a Government Institution or cannot fall under the auditing arrangements for the Government, the Applicant Government is required to describe the alternative auditing arrangements. When applicable, the auditor would be required to make an audit report of project expenditures after the completion of the project.

In any event, UN Environment Programme has the right, at its own expense, to have the records of the project reviewed and audited.

Monitoring and reporting, evaluation, and financial audit should be listed as separate outputs in the workplan and budget of the project. Neither evaluation nor audit is to be an excessive expense to the project.

4.3. Risks and mitigation measures [maximum 250 words]: List the factors or conditions, and challenges that are likely to affect the successful achievement of the project objective, outcome or outputs. These risks could be institutional, financial, administrative, technical and/or political. Kindly also identify the mitigation measures that could be taken to reduce each risk. Indicate how the project managers would ensure successful implementation (strategies).

⁶ If in-house capacity is not available, the applicant may wish to identify, for example, an academic institution, a research centre, and independent consultant or a non-governmental organisation for this task.

4.3. Risks and mitigation measures
[maximum 250 words]

Risk 1: Delays in submission of sectoral information.

Mitigation measure 1: Regular contact with sectoral resource persons to ensure sound awareness of the required information and to provide assistance in obtaining information as required.

Risk 2: Lack of acceptance of alternative products by professionals

Mitigation measure 2: Education and awareness campaign along with demonstrations of the suitability of alternatives.

Box 8: Example of project risks and mitigation measures based on the example project.

5. CHECKLIST FOR SUBMISSION

Please carefully review the list and check all relevant boxes before sending the application to the Secretariat. Signatures (by the Applicant Government Official, National Focal Point and GEF Operational Focal Point) and annexes are mandatory requirements of the application. Without these items the application will be deemed incomplete.

ANNEX 1 LOGICAL FRAMEWORK AND WORKPLAN

A. LOGICAL FRAMEWORK

Based on the **project objective**, develop an **overall project outcome**. The project outcome can inform the title of the project.

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

List the project output for the overall project outcome and indicate the reporting period for each output.⁷ An example of a project output could be that a national strategy has been agreed and published. The reporting period should be indicated on a monthly basis, for example Month 6/Year 1, Month 12/Year 2, and so on.

Overall project outcome	Indicators	Means of verification
The project outcome is to switch to the use of alternatives to the products listed in Annex A of the Minamata Convention.	<p>Strategy for change agreed at national level</p> <p>[Baseline: 0; Target: 1]</p> <p>Strategic approach focal points identified (nationally) (sectorally)</p> <p>[Baseline: 0; Target: 3]</p>	<p>Publication of the national strategy (e.g. Government Gazette)</p> <p>Focal Point details made publicly available</p>
Performance targets (project milestones that show progress towards completing the project outputs and achieving the overall project outcome)		Expected milestone for each reporting period (biannual) Month/Year (e.g.)
Output 1: Completion of the evaluation of the use of products listed in Annex A of the Minamata, and analysis of costs and activities to convert to alternative products		Month 6/Year 1
Output 2: Implementation of a pilot programme to purchase alternatives, based on the draft strategy developed to change to alternative products		Month 12/Year 1
Output 3: Strategic approach in place (nationally) (sectorally)		Month 12/Year 2

Box 9: Example of a description of the project Logical Framework at the **outcome** level based on the example project.

Develop the **project outputs** in line with section 2.2. List the indicators for each project output based on the relevant activities. Indicate the number of areas/ partners/ specified activities/ persons/ progress/ percentage/ reports etc. and set a baseline. For example, if 1 legislation has been adopted by the country, then 1 will be set as a baseline for that indicators. If the proposed measure is to adopt an additional legislation, then the target would be 2.

⁷ **Performance Targets/Milestones:** Are benchmarks (not activities) that represent attainment of a project stage or project achievement that show progress towards project outcomes and outputs. Milestone attainment should be strictly answerable with a “yes” or “No” answer.

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

This process should be followed for all proposed outputs.

1. Project Output	Indicators	Means of verification
Evaluation of the use of products listed in Annex A of the Minamata	Scoping workshop [Baseline: 0; Target: 1] Sectoral resource persons committed [Baseline: 0; Target 3] Worksheets on use [Baseline: 0; Target 6]	Meeting report Contacts Numerical reports
Project activities:		Expected milestone for each reporting period Month/Year
1.1 Scoping workshop held and report finalised		Month 3/Year 1
1.2 Lead agency received all inputs from sectoral resource persons		Month 6/Year 1
1.3 Final report published		Month 8/Year 1

Box 10: Example of a description of the project Logical Framework at the output level based on the example project.

B. WORKPLAN

Please present a project workplan using the table included in Annex 1 (Part B). The workplan has to be entirely consistent with the Logical Framework presented above. The workplan is an important tool for formulating and implementing a project as it establishes the sequence of project activities and expected completion date. It should also be clear who is responsible for what, including implementing partners and other project stakeholders. From the workplan, it is possible to assess the proposed implementation of the project, as follows:

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

Project activities can be broken down into sub-activities, tasks or sub-tasks. Greater detail can help to improve the accuracy of cost estimates and monitoring of project activities and outputs. It also improves reporting on obligations and more detailed expenditure reports.

PROJECT WORKPLAN*

Rows and columns can be added as required. Please note that the number and descriptions of project activities must be in line with those reflected in the project description.

Project activities		Lead responsibility	Time frame (by quarter: every 3 months)											
			Year 1				Year 2				Year 3			
No.	Description		Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12
1	Evaluation of the use of products listed in Annex A of the Minamata	Ministry												
1.1	Scoping workshop held and report finalised	Ministry												
1.2	Lead agency received all inputs from sectoral resource persons	Ministry												
1.3.	Final report published	Ministry												

Box 11: Example of a project workplan based on the example project.

ANNEX 2 CONTACT DETAILS

APPLICANT: Please provide the name of the Applicant Government Institution and the details of the Applicant Government Official submitting the application.

ORGANIZATION/INSTITUTION DELIVERING THE PROJECT (IF DIFFERENT FROM ABOVE): Only if delivery of the project is not directly through the Applicant Government Institution, please provide the details here of the responsible officer and the institution that is to deliver the project. Correct contact details are essential for follow-up. If it is the same as the Applicant Government Institution, please state clearly in this section that it is the same.

Please note that if the organisation/institution delivering the project is not a government or UN entity, then a due diligence exercise will be carried out in accordance with the UN Environment Programme's Partnership Policy prior to developing the legal agreement with this entity. Adequate time needs to be factored into the project period for this process.

PARTICIPATING PROJECT PARTNERS, IF APPLICABLE: Please provide details of the intergovernmental organization(s), or governmental entity(ies), or other actors such as non-governmental organization(s), or the regional and sub-regional centres established under the Basel Convention and Stockholm Convention.

Add rows for each partner in order to list them separately.

TERMINAL REVIEW: If the project is to undergo a terminal review, please provide the name and details of the contact official.

ANNEX 3 RELATED PROJECTS

GEF: INFORMATION ABOUT YOUR COUNTRY'S GEF MINAMATA INITIAL ASSESSMENTS: Please include here all relevant information if your country is undertaking a GEF MIA. This includes, the GEF MIA project number, project title and project objective. The Status of the MIA (is it ongoing or is it completed). Please list reports, if relevant, pertaining to the MIA and include as annex as relevant. Please also explain how this project build on and links to the GEF MIA outcome. Lastly, please indicate why this project falls outside of the GEF mandate.

GEF: INFORMATION ABOUT YOUR COUNTRY'S ASGM NATIONAL ACTION PLAN: Please include here all relevant information if your country is undertaking a GEF NAP. This includes, the GEF NAP project number, project title and project objective. The Status of the NAP (is it ongoing or is it completed). Please list reports, if relevant, pertaining to the NAP and include as annex as relevant. Please also explain how this project build on and links to the GEF NAP outcome. Lastly, please indicate why this project falls outside of GEF NAP implementation.

GEF: DESCRIPTION OF OTHER GEF PROJECTS TO SUPPORT COUNTRY CAPACITY TO IMPLEMENT OBLIGATIONS UNDER THE MINAMATA CONVENTION: Include here a description of other GEF projects to implement the obligations of the Minamata Convention.

If any, please complete the table for current and previous projects. Please provide the time frame, funding and framework of such projects, as well as details on how the outcome of the previous and ongoing projects can support or build upon the outcomes of the proposed project under the Specific International Programme.

Please outline if the proposed project will expand beyond any previous or ongoing projects.

SPECIAL PROGRAMME: DESCRIPTION OF SPECIAL PROGRAMME PROJECT TO SUPPORT OBLIGATIONS UNDER THE MINAMATA CONVENTION: Include here a description of Special Programme project to implement the obligations of the Minamata Convention.

If any, please complete the table for current and previous projects. Please provide the time frame, funding and framework of such projects, as well as details on how the outcome of the previous and ongoing projects can support or build upon the outcomes of the proposed project under the Specific International Programme.

Please outline if the proposed project will expand beyond any previous or ongoing projects.

OTHER PROJECTS: DESCRIPTION OF OTHER PROJECTS TO SUPPORT COUNTRY CAPACITY TO IMPLEMENT OBLIGATIONS UNDER THE MINAMATA CONVENTION: Include here a description of other projects supported by sources other than the GEF or the Special Programme to implement the obligations of the Minamata Convention.

If any, please complete the table for current and previous projects. Please provide the time frame, funding and framework of such projects, as well as details on how the outcome of the previous and ongoing projects can support or build upon the outcomes of the proposed project under the Specific International Programme.

Please outline if the proposed project will expand beyond any previous or ongoing projects.

4.2 FORM B – PROJECT BUDGET

Form B (the Project Budget) is an excel form, to allow the applicant to reflect the financial information related to the project budget of the application. It consists of 4 tables each on a different excel sheet, as further described below.

The Specific International Programme may provide support to projects with budgets between USD 50,000 and USD 250,000. Provide all figures in United States dollars (USD) and per year. Budgets in other currencies cannot be considered. Budgets should reflect the amount requested from the Specific International Programme, as well as other financial or in-kind contributions, if such funds are provided.⁸

Form B includes the following tables:

Table 1 Budget Summary

Please summarize here funding and, if relevant, in-kind contributions from all sources of funding.

Table 2 Specific International Programme Trust Fund

This table captures only costs to be covered by the Specific International Programme. It is set out by year, and in USD. Please list here the cost for each proposed **output and activity on a separate line** (i.e., this is an activity-based budget), noting that the columns refer to different class codes, such as: a) staff and other personnel costs, b) contractual services, c) equipment and d) travel. This budget format is required according to UN financial rules and regulations. Please see the tab on class explanation for more information.

Table 3 Applicant Government Contribution, if applicable

If there is a contribution from the Applicant Government, please provide the budget for this contribution here. If possible, please provide the breakdown of the budget by proposed output and activity, by year and in USD.

Class Explanation

This tab provides examples for the class codes. For example: travel includes workshops and meetings.

Further Notes on Budget Classes

- ☐ It is expected that Applicant Governments that decide to manage their projects themselves should be able to ensure project management support without having to devote funds from the Specific International Programme for administrative costs. In duly justified cases, a maximum of 5 per cent for administrative fees could be considered, notably if a project delivery organisation is tasked with project management.
- ☐ Personnel and contractual services costs should not exceed 65 per cent of the requested amount from the Specific International Programme.
- ☐ Enhancing national capacity for implementation requires a minimum level of commitment, notably, from an administrative and logistical perspective, it is expected that Applicant Governments will provide the necessary administrative and logistical support. Therefore, normal operational and running costs such as premise, vehicles, fuel etc. are not eligible for support.
- ☐ Specialised and technical equipment should account for no more than 10 per cent of the budget. In due cases, a maximum of 25 per cent for specialised and technical equipment could be considered by the Governing Board. For these exceptional cases, kindly provide a description of the necessary equipment and appropriate justification for the equipment as an Annex to your application. Include information on the relevant procurement processes, which must comply with the United Nations principles on procurement of highest quality, economy and efficiency, and that procurement will be based on an assessment of competitive quotations, bids, or proposals
- ☐ The budget for monitoring, review/evaluation and audit in total shall not exceed USD15,000.

⁸ Such “costs” should also be reflected as in-kind contributions in Form B.

The following costs are not eligible for support:

- ☐ Recurrent or running institutional costs, including the rental of office space.
- ☐ Costs not directly related to strengthening national capacity to implement the obligations of the Minamata Convention.
- ☐ Wages of civil servants.
- ☐ Hospitality costs, for example, costs in connection with receptions given to participants in workshops, conference and seminars.
- ☐ Office equipment and furniture, vehicles, fuel, electricity, etc.
- ☐ Costs for individual items which are disproportional to the budget. If such costs are part of the project, they must be mentioned in the budgets and provided by other funding sources.

Please add as annex(es) to the Application the following if they are requested in the budget:

- ☐ Indicative job descriptions and recruitment process of project personnel.
- ☐ Indicative terms of reference and description of recruitment process of consultants.
- ☐ Indicative information regarding group trainings/meetings/conferences, such as tentative dates, location, the number of participants, and cost of travel.
- ☐ A list of non-expendable equipment, including the estimated costs.

4.3 FORM C – LETTER OF TRANSMITTAL

Form C (Letter of Transmittal) is key to the application submission. Scanned signatures from the Applicant Government Official, the Minamata Convention National Focal Point and the GEF Operational Focal Point are needed for the application to be considered complete.

APPLICANT GOVERNMENT OFFICIAL SIGNATURE: The Applicant Government Official is to certify, sign and date the application. Please also provide the details of the official and contact information.

NATIONAL FOCAL POINT SIGNATURE: The Minamata Convention National Focal Point is to sign and date the application to confirm having been consulted on its preparation and development. Please also provide the details of the Focal Point and contact information.

GEF OPERATIONAL FOCAL POINT SIGNATURE: The GEF Operational Focal Point is to sign and date the application to confirm having been consulted on its preparation and development. Please also provide the details of the Focal Point and contact information.

Annex I Decision on the Specific International Programme

MC-1/6 on the Specific International Programme to support capacity-building and technical assistance, as finalised by the Conference of the Parties at its second meeting (November 2018)

The Conference of the Parties,

Recalling article 13 of the Minamata Convention on Mercury, which establishes a financial mechanism to support developing-country parties and parties with economies in transition in implementing their obligations under the Convention, and that the mechanism includes the Global Environment Facility Trust Fund and a specific international programme to support capacity-building and technical assistance,

Recalling also paragraph 6 of the resolution on financial arrangements of the Final Act of the Conference of Plenipotentiaries of the Minamata Convention on Mercury (known as “resolution 2”), in which the Conference requested the intergovernmental negotiating committee to develop a legally binding instrument on mercury “to develop for consideration by the Conference of the Parties at its first meeting a proposal for the hosting institution for the specific international programme, including any necessary arrangements with the hosting institution, as well as guidance on the operation and duration of that programme”,

1. *Decides* that the hosting institution referred to in paragraph 9 of article 13 is provided by the United Nations Environment Programme;
2. *Approves* the necessary hosting arrangements, as well as guidance on the operations and duration of that programme, set out in annex I to the present decision and the terms of reference of the specific international programme set out in the annex II to the present decision;
3. *Requests* the Executive Director of the United Nations Environment Programme to establish a trust fund for the specific international programme;
4. *Also requests* the Executive Director of the United Nations Environment Programme to implement the governance arrangements set out in the annexes to the present decision.

Annex I to decision MC-1/6

Hosting arrangements, guidance on the operations of and duration of the specific international programme

A. Governance arrangements for the specific international programme

1. The Executive Director of the United Nations Environment Programme (UNEP) will deliver administrative support to the programme, through the allocation of human and other resources, through the secretariat of the Minamata Convention.⁹
2. The Conference of the Parties will establish a governing board of the specific international programme, which will oversee and implement its guidance, including decision-making on projects and project management.

B. Guidance on the specific international programme

1. Scope

3. The specific international programme is to support capacity-building and technical assistance in accordance with paragraph 6 (b) of article 13.
4. Technical assistance and capacity-building activities under the specific international programme and those undertaken by the Minamata Convention secretariat pursuant to article 14 should avoid duplication and overlap.

⁹ Without prejudging the decision on the hosting of the Minamata Convention secretariat.

2. Eligibility

5. Developing-country parties and parties with economies in transition are eligible for resources under the financial mechanism in accordance with paragraph 5 of article 13 of the Convention. The specific international programme should also take full account of the specific needs and special circumstances of parties that are small island developing States and least developed countries, in line with paragraph 4 of article 13.

6. Non-parties are not eligible to apply for funding but can participate in some activities undertaken by the specific international programme upon invitation by a Party, on a case-by-case basis.¹⁰

7. In presenting projects, eligible parties may consider the participation of implementing and executing agencies or other actors, such as non-governmental organizations and the regional and subregional centres of the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal and the Stockholm Convention on Persistent Organic Pollutants.

3. Operations

8. The specific international programme will be guided in its operations as follows. It should:

(a) Be country-driven, taking into consideration national priorities, country ownership and the sustainable implementation of the obligations under the Convention;

(b) Ensure complementarity and avoid duplication with other existing arrangements to provide capacity-building and technical support, in particular the Global Environment Facility and the Special Programme to support institutional strengthening at the national level for implementation of the Basel Convention, the Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade and the Stockholm Convention, the Minamata Convention and the Strategic Approach to International Chemicals Management, as well as other existing assistance frameworks;

(c) Build upon lessons learned and engage at the national and regional levels, including by encouraging South-South cooperation;

(d) Be consistent with the integrated approach to financing the sound management of chemicals and waste, as relevant to the implementation of the Convention.

4. Resources

9. Resources for the specific international programme shall include financial and in-kind contributions and expertise. Contributions of resources are encouraged from a broad range of sources. This includes all parties to the Minamata Convention with the capacity to contribute, as well as other relevant stakeholders, including Governments, the private sector, foundations, non-governmental organizations, intergovernmental organizations, academia and other types of civil society actors;

10. A resource mobilization strategy for the specific international programme should be developed by the secretariat in consultation with the specific international programme Governing Board with a view to achieving the objective of the Convention and attracting a broad range of donors, building on lessons learned in other areas. It should include approaches whose purpose is to leverage resources, including in-kind resources, from non-State actors;

11. Other sources of resources for the specific international programme may be leveraged through its coordination with other relevant programmes and initiatives, including:

(a) Linkages with existing programmes and initiatives to seek co-benefits where possible;

(b) Promoting and leveraging partnerships and collaboration as appropriate, building on lessons learned from other conventions.

¹⁰ As finalised at the second meeting of the Conference of Parties.

C. Duration

12. The specific international programme will be open to receive voluntary contributions and applications for support for a period of ten years from the establishment of its trust fund. The Conference of the Parties may decide to extend this period, not exceeding an additional seven years, taking into account the review process of the financial mechanism in accordance with paragraph 11 of article 13 of the Minamata Convention.

Annex II to decision MC-1/6**Terms of reference of the specific international programme****A. Governing Board of the specific international programme (SIP Governing Board)**

1. The Governing Board of the specific international programme (hereinafter “SIP Governing Board”) shall consist of 10 members from parties. Each of the five United Nations regions shall nominate two members through their respective Bureau representatives.¹¹
2. The first members of the SIP Governing Board shall be nominated no later than 31 December 2017, and will serve until the third meeting of the Conference of the Parties to the Minamata Convention. Thereafter, the members shall be nominated every two years by regional groups and their membership confirmed by the Conference of the Parties.
3. The draft rules of procedure of its Governing Board shall be drafted by the secretariat for consideration and adoption by the Board, and presented to the Conference of the Parties at its second meeting for its information.
4. The SIP Governing Board will have two co-chairs, elected from among the members of the Board, reflecting the composition of the Board and the purpose of the Programme.
5. The SIP Governing Board will take its decisions by consensus. If all efforts to reach consensus have been exhausted and no agreement has been reached, the decision shall be taken by a three-quarters majority of its members present and voting.
6. The SIP Governing Board will in principle meet once a year to approve project applications and review progress under the Programme on the basis of reports from the Minamata Convention secretariat, as well as other relevant information provided to them on implementation of the Programme.
7. The SIP Governing Board will take operational decisions regarding the functioning of the specific international programme, including the approval of applications for funding based on the guidance provided by the Conference of the Parties and will endorse, as appropriate, criteria and procedures for application, assessment, reporting and evaluation.
8. The secretariat will process application proposals for approval by the SIP Governing Board, manage approved allocations and service the SIP Governing Board. The secretariat will report on its operations to the Governing Board and will be accountable to the Executive Director of UNEP for administrative and financial matters. The secretariat will submit an annual report to the Governing Board, which will also be presented to the Conference of the Parties, including relevant information on the rejection of project proposals.

B. Project screening, appraisal and approval processes

9. The Minamata Convention secretariat will receive applications directly from national Governments through their national focal points.
10. All those in a position to do so may provide technical assistance in the development of project applications, upon request by project applicants.
11. The Minamata Convention secretariat will screen project applications for completeness and eligibility. The secretariat will also appraise, with the appropriate staff expertise within the secretariat, applications for consideration and decision by the Governing Board, in consultation with relevant international governmental organizations, provided that there are no cost implications.

¹¹ As finalised at the second meeting of the Conference of Parties.

C. Administrative support to the specific international programme

12. The secretariat will provide one position for the technical assistance and capacity-building activities of the secretariat and the activities of the specific international programme, to be covered by the General Trust Fund, taking into account that the staffing requirements of the specific international programme will be reviewed.

13. The costs related to the operation of the specific international programme, including the costs of meetings, shall be funded from voluntary contributions to the programme.

D. Expected outcomes

14. The support for capacity-building and technical assistance provided by the specific international programme is expected to improve the capacity of developing-country parties and parties with economies in transition in implementing their obligations under the Convention.

E. Accounts and audit

15. The accounts and financial management of the specific international programme shall be subject to the internal and external audit process of the United Nations. Accounts for the specific international programme shall be presented to the SIP Governing Board within three months after the closure of the financial period and shall also be considered by the Conference of the Parties to the Minamata Convention.

Annex II Article 13 and Article 14 of the Minamata Convention on Mercury**Article 13****Financial resources and mechanism**

1. Each Party undertakes to provide, within its capabilities, resources in respect of those national activities that are intended to implement this Convention, in accordance with its national policies, priorities, plans and programmes. Such resources may include domestic funding through relevant policies, development strategies and national budgets, and bilateral and multilateral funding, as well as private sector involvement.
2. The overall effectiveness of implementation of this Convention by developing country Parties will be related to the effective implementation of this Article.
3. Multilateral, regional and bilateral sources of financial and technical assistance, as well as capacity- building and technology transfer, are encouraged, on an urgent basis, to enhance and increase their activities on mercury in support of developing country Parties in the implementation of this Convention relating to financial resources, technical assistance and technology transfer.
4. The Parties, in their actions with regard to funding, shall take full account of the specific needs and special circumstances of Parties that are small island developing States or least developed countries.
5. A Mechanism for the provision of adequate, predictable, and timely financial resources is hereby defined. The Mechanism is to support developing country Parties and Parties with economies in transition in implementing their obligations under this Convention.
6. The Mechanism shall include:
 - (a) The Global Environment Facility Trust Fund; and
 - (b) A specific international Programme to support capacity-building and technical assistance.
7. The Global Environment Facility Trust Fund shall provide new, predictable, adequate and timely financial resources to meet costs in support of implementation of this Convention as agreed by the Conference of the Parties. For the purposes of this Convention, the Global Environment Facility Trust Fund shall be operated under the guidance of and be accountable to the Conference of the Parties. The Conference of the Parties shall provide guidance on overall strategies, policies, programme priorities and eligibility for access to and utilization of financial resources. In addition, the Conference of the Parties shall provide guidance on an indicative list of categories of activities that could receive support from the Global Environment Facility Trust Fund. The Global Environment Facility Trust Fund shall provide resources to meet the agreed incremental costs of global environmental benefits and the agreed full costs of some enabling activities.
8. In providing resources for an activity, the Global Environment Facility Trust Fund should take into account the potential mercury reductions of a proposed activity relative to its costs.
9. For the purposes of this Convention, the Programme referred to in paragraph 6 (b) will be operated under the guidance of and be accountable to the Conference of the Parties. The Conference of the Parties shall, at its first meeting, decide on the hosting institution for the Programme, which shall be an existing entity, and provide guidance to it, including on its duration. All Parties and other relevant stakeholders are invited to provide financial resources to the Programme, on a voluntary basis.
10. The Conference of the Parties and the entities comprising the Mechanism shall agree upon, at the first meeting of the Conference of the Parties, arrangements to give effect to the above paragraphs.
11. The Conference of the Parties shall review, no later than at its third meeting, and thereafter on a regular basis, the level of funding, the guidance provided by the Conference of the Parties to the entities entrusted to operationalize the Mechanism established under this Article and their effectiveness, and their ability to address the changing needs of developing country Parties and Parties with economies in transition. It shall, based on such review, take appropriate action to improve the effectiveness of the Mechanism.
12. All Parties, within their capabilities, are invited to contribute to the Mechanism. The Mechanism shall encourage the provision of resources from other sources, including the private sector, and shall seek to leverage such resources for the activities it supports.

Article 14

Capacity-building, technical assistance and technology transfer

1. Parties shall cooperate to provide, within their respective capabilities, timely and appropriate capacity-building and technical assistance to developing country Parties, in particular Parties that are least developed countries or small island developing States, and Parties with economies in transition, to assist them in implementing their obligations under this Convention.
 2. Capacity-building and technical assistance pursuant to paragraph 1 and Article 13 may be delivered through regional, subregional and national arrangements, including existing regional and subregional centres, through other multilateral and bilateral means, and through partnerships, including partnerships involving the private sector. Cooperation and coordination with other multilateral environmental agreements in the field of chemicals and wastes should be sought to increase the effectiveness of technical assistance and its delivery.
 3. Developed country Parties and other Parties within their capabilities shall promote and facilitate, supported by the private sector and other relevant stakeholders as appropriate, development, transfer and diffusion of, and access to, up-to-date environmentally sound alternative technologies to developing country Parties, in particular the least developed countries and small island developing States, and Parties with economies in transition, to strengthen their capacity to effectively implement this Convention.
 4. The Conference of the Parties shall, by its second meeting and thereafter on a regular basis, and taking into account submissions and reports from Parties including those as provided for in Article 21 and information provided by other stakeholders:
 - (a) Consider information on existing initiatives and progress made in relation to alternative technologies;
 - (b) Consider the needs of Parties, particularly developing country Parties, for alternative technologies; and
 - (c) Identify challenges experienced by Parties, particularly developing country Parties, in technology transfer.
 5. The Conference of the Parties shall make recommendations on how capacity-building, technical assistance and technology transfer could be further enhanced under this Article.
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