

IV. Concept proposals for sponsorship

This chapter outlines in-house processes for the preparation and approval of concept proposals for sponsorship. UNEP needs to raise additional earmarked funding for priority areas because the current level of funding provided by member states to the UNEP Environment Fund is not sufficient to finance all the activities in the UNEP Programme of Work and Governing Council decisions.

Major sponsors for earmarked funding include:

- Donor Governments (through trust funds and earmarked contributions);
- The United Nations Foundation, through the United Nations Fund for International Partnerships (see section IX);
- The United Nations Development Account (see section X); and
- The Global Environment Facility (see section XI).

Over the last few years, UNEP and selected major donor countries have realized that a departure from working through stand-alone projects is necessary. UNEP has been trying to secure strategic long-term funding for its thematic priority areas through partnerships with donors. This has significantly reduced the time spent on fundraising for specific projects. Instead, priority areas are now funded on a long-term basis and the focus is, therefore, more on delivering quality results in order to ensure the continuation of partnerships.

While these partnerships have taken the form of agreements or mechanisms with different modalities, they have the following common features:

- They provide a framework for intensified policy dialogue and functional collaboration between UNEP and donor Governments;
- They provide a mechanism for strategic and coherent support for UNEP thematic priorities; and
- They facilitate consistent reviews for the necessary adjustments in order to maximize results and impact.

Since 2001, UNEP has developed partnerships with the Governments of Norway (Agency for Development cooperation Ministry of Foreign Affairs), Belgium (Ministry of Development Cooperation), Ireland (Ministry of Development Cooperation), the Netherlands (Ministry for Development Cooperation, Ministry of Foreign Affairs) and Sweden (Ministry of Sustainable Development). Other governmental donors, which do not have a partnership with UNEP fund UNEP activities on a case-by-case basis.

There are, therefore, two types of donor contributions:

- (a) *Funding for broad programme frameworks*: Programme proposals for broad frameworks of activities, often involving various UNEP Divisions. Donors have started to put more emphasis on a programmatic approach. Once the programme framework is approved, proposals can be developed to tap into the resources allotted for particular programmes under the partnership agreement; and
- (b) *Funding for project proposals*: Project proposals for activities with a specific time and budget. These are explained below.

A. Concept proposal preparation process for sponsorship

The preparation of project proposals for donor sponsorship starts with identifying UNEP priorities and needs, as specified in the programme of work and Governing Council decisions, and estimating the financial requirements. Based on this, the Divisions prepare project proposals for possible submission to donors.

The procedures for the development of project proposals for sponsorship include the following steps (see figure 9 also):

- (a) Divisions develop priority proposals based on the UNEP programme of work and Governing Council decisions. Proposals need to adhere to the guidelines outlined in section 4.3.

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Implementation capacity for the proposed projects needs to be firmly in place, technical soundness of the proposals and complementarities with other existing and completed UNEP projects need to be discussed, and proposals need to be developed well in advance of the period for which funding is requested. Divisions also need to consult find management officers regarding the feasibility and accuracy of proposed budgets for the proposals;

- (b) Divisions discuss any proposed projects with a regional focus with the Division of Regional Cooperation (DRC) and the relevant regional offices. Likewise, regional offices discuss their proposed projects with the relevant Divisions before submission;
- (c) Division directors forward their proposals to the Resource Mobilization Unit¹¹ which acknowledges receipt and sends the proposals to the Programme Coordination and Management Unit (PCMU) for technical screening and an inter-divisional review (IDR).¹² The IDR provides all Divisions and the relevant regional offices with an opportunity to comment on the proposal. The PCMU forwards all comments received to the project proponents and advises them accordingly;
- (d) Proposals are considered fully compliant and finalized only after all comments and concerns have been adequately addressed. This is the responsibility of the Divisions. The Divisions send the revised proposals to PCMU who forwards them to the Resource Mobilization Unit when revisions are satisfactory. Only fully compliant and finalized proposals enter the sponsorship pipeline. Resource Mobilization Unit confirms the acceptance of proposals into the pipeline for submission to donors;
- (e) Divisions inform the Resource Mobilization Unit if a proposal is no longer relevant or needs to be updated;
- (f) Selection of proposals for sponsorship is made from the finalized proposals registered in the pipeline. The Executive Director or the Deputy Executive Director makes a selection or prioritization based on the overall priorities and funding needs of UNEP as well as the priorities of donors. The past record of Divisions in implementing projects expeditiously (as per the agreed schedule) is also taken into account as delays in implementation have negative impacts on donor confidence;
- (g) When donor funding has been secured the full project document development and approval process as outlined in figure 13, section VI commences. Depending on the implementation modalities of the specific project, it can either be fused directly into the divisional costed work plan or developed into a full-scale independent project document (see figure 4).

B. Fundraising process

There are two parallel processes for concept project proposals to be included in the funding proposal pipeline:

- *Pipeline approach*: For inclusion in the pipeline maintained by the Resource Mobilization Unit. Resource Mobilization Unit uses the proposals in the pipeline to raise new or additional funds. A standard format for such proposal submission for sponsorship is shown in the section IVB (see also a sample concept project proposal for sponsorship in annex I).
- *Response to a call*: In response to a call for proposals by a donor. A donor may specify the thematic area for which proposals are invited and often there is a specific format to be adhered to.

For project areas not sponsored by partnerships, Resource Mobilization Unit assists in raising new earmarked funding. As fundraising efforts must start early in the project or programme planning stage, most proposals are prepared at the beginning of a new biennium in conjunction with the start of the implementation of a new programme of work.

The Resource Mobilization Unit is responsible for the overall coordination and facilitation of fundraising activities in UNEP. Project concepts, after PCMU clearance, are included in the fundraising pipeline of the

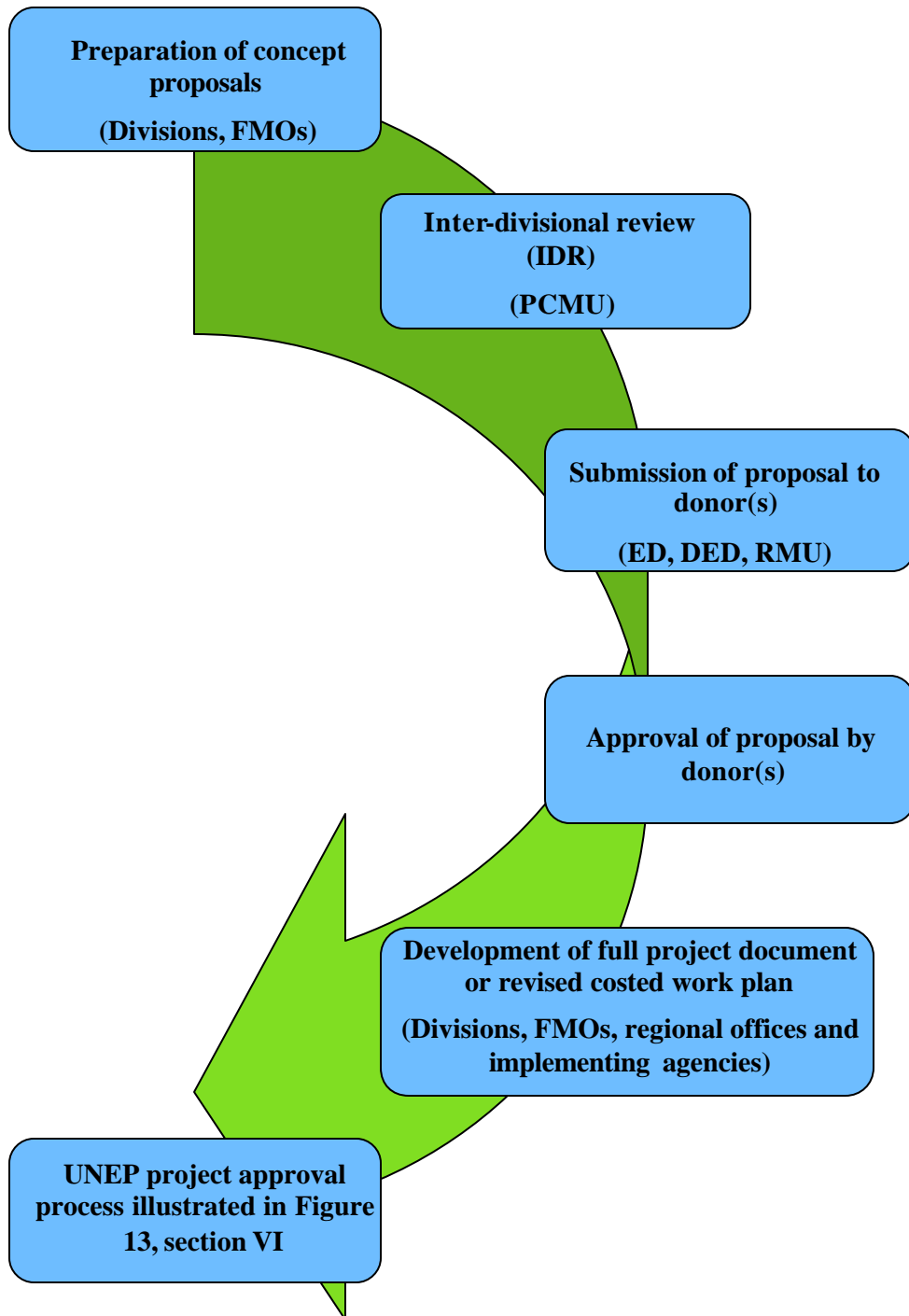
¹¹ A division director should submit the proposal with a cover memo indicating divisional approval of the project proposal.

¹² Programme Coordination and Management Unit has the right to return the concept project proposals to the proponents if they do not meet the formatting requirements or quality standards.

Resource Mobilization Unit which undertakes fundraising efforts for proposals in the priority list. The list of UNEP projects in the fundraising pipeline is available at <http://www.unep.org/rmu/en/pdf/projects.pdf> .


Project managers who have had any indication of possible funding or donor cooperation must inform the Resource Mobilization Unit in a timely manner for further coordination within UNEP. Whereas division directors can discuss funding of activities or projects with Governments or donors, a formal proposal or agreement is required to be submitted to the relevant Government or donor by the Executive Director or the Deputy Executive Director after being briefed by the division directors concerned.

Figure 9: Proposal preparation process for sponsorship



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C. Format for concept project proposal

 United Nations Environment Programme برنامج الأمم المتحدة للبيئة • 联合国环境规划署 PROGRAMME DES NATIONS UNIES POUR L'ENVIRONNEMENT • PROGRAMA DE LAS NACIONES UNIDAS PARA EL MEDIO AMBIENTE ПРОГРАММА ОРГАНИЗАЦИИ ОБЪЕДИНЕННЫХ НАЦИЙ ПО ОКРУЖАЮЩЕЙ СРЕДЕ				
Concept proposal submission for sponsorship				
Title of subprogramme:				
Title of project:				
Legislative authority:				
Geographical scope:				
Cooperating agency/Supporting organization				
Duration of the project: (total number of months and the starting month and year)				
Cost of project: (expressed in US\$)				
Activity	Year 1	Year 2	Total	%
Funding requested from donor(s)				
List of activities				
Programme support cost				
Cost to UNEP (cash and in-kind including staff-time, logistic support)				
Total cost of the project				100
Project summary				
<p><i>A project summary is required for all UNEP projects.</i> The project summary should include information on the targeted problems, objective of the project, the target group, the main activities and geographical area(s) where the proposed project would be implemented.</p>				
Background				
<p>The project background identifies and elaborates the problem the project is trying to solve. As the project submission for sponsorship tends to be short (3–5 pages), this section should be concise, including only directly relevant information.</p>				
<p>The background should include the following essential information:</p> <ul style="list-style-type: none"> • Specific problem or challenges faced by the targeted area or population; • Urgency of addressing the core problem; • Relevant UNEP legislative authority and contribution to subprogrammes; • Prior actions to address the problem and how the proposed project complements them; • Achievements and lessons learned from similar past projects; • Specific knowledge, experiences or competency that UNEP possesses in order to implement the project successfully; • Institutional capacities of UNEP and other implementing agencies. 				
Proposal				
<p>The overall outline of the project is described here. It includes information on:</p> <ul style="list-style-type: none"> • How the project will ensure successful implementation (strategies); • How activities and outputs will be carried out (methodology); • How the division of responsibilities will be allocated among UNEP, cooperating agencies and/or supporting organizations, and other stakeholders; • Criteria or justification for the project countries or regions selected; and • Target beneficiaries and expected impacts on the target beneficiaries. 				
Objectives:				
Results:				
Outputs:				
Activities:				
(List objectives, results, outputs and activities in bullet point format.)				

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