Special Programme
Application Guidelines

Fourth round of applications

Call for Applications opens: 28 November 2019
Application Deadline: 17 April 2020

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1.   Developing Special Programme Project Proposals

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

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

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

2.   Project application form A: Project Description

SECTION 1: PROJECT PROPOSAL SUMMARY

1.1.   **Project title:** Please enter the title of the project.

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

1.3.   **Total Proposed Budget:** Please indicate the total budget being requested from the Special Programme Trust Fund. Please include the beneficiary contribution and other donor contributions as separate line items.

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

1.6.   **Project Summary [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 contribute to institutional strengthening for the sound management of chemicals and waste and mention key partners in implementation.

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

1.7.   **Problem Statement:** Please provide a description of the specific problem(s) the project is trying to solve, in order to "make a case" for the project. The problem statement should explain why a certain issue is a problem in the country and what the negative implications of the problem are. The statement should also address the following questions:

- 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?

1.8.   **Project Objective/ Outcomes:** Please explain what this project will achieve by listing and describing the concrete objective/ outcomes proposed for support from the Special Programme Trust Fund in a clear and structured manner. The project should build upon lessons learned and results from previous projects of similar scope, for example the National Implementation Plans of the Stockholm Convention, the Quick Start Programme of the Strategic Approach, the Minamata Initial Assessments and National Action Plans, and other related GEF projects.

Outcomes (objectives/results) represent changes in the institutional and behavioural capacities to enable progress in development. An outcome is a describable or measurable change. Outcomes are not entirely within the control of a single organization, policy, program or project; instead, they are within the organization's area of influence. Points to consider when formulating an outcome statement:

- **Direction:** Use an adjective to indicate the expected direction of change. For example: increased, improved, reduced, enhanced.

- **What:** The actual thing/element that will change. For example, capacity, such as awareness, skills, knowledge, etc., behavior, practice or performance and state, well-being or condition.

- **Who:** Identifies the individuals, groups, organizations or entities who will experience the change described. For example: Ministries, agricultural-extension workers, farmers, journalists, local communities, women, children, men, minorities.

Below are examples of weak and strong project outcomes:

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

1.9. **Summary of Country Approach to Institutional Strengthening:** describe how your country is strengthening or intends to strengthen its institutional capacity for the sound management of chemicals and waste in all relevant sectors (such as that of the environment; health; agriculture; customs; and labour), including decisions and measures taken or foreseen. A clear description of how the project will fit into the overall country approach to institutional strengthening should be included for projects requesting an exceptional allocation which exceeds the maximum limit of US$ 250,000. The long-term sustainability of the project should be highlighted, using concrete examples on what actions will be undertaken at the national level to ensure the long-term sustainability of the project and its outcomes.

1.10. **Budget and funding summary:** Please list the budget for each proposed output. The budget and funding summary presents a breakdown of the requested amount from the Special Programme. The beneficiary contribution from the Applicant Government should also be captured here.

1.11. **Information Regarding Additional Funding Sources:** Indicate all other related contributions from the Government as well as funding received or requested at the

national and international levels, including from intergovernmental organizations, foundations and the private sector. Furthermore, please indicate if the project has already been submitted in a previous round of applications to the Special Programme Trust Fund and if it received funding. Stipulate whether the funds from other sources have been confirmed and if not, whether the viability of the project is dependent on confirmation of the other funding. If contributions of cash or in-kind support have been confirmed, please note their amounts or value. Evidence of government contributions or other funding needs to be included in the application package, for example in the form of written pledges or deposits received.

SECTION 2: PROJECT DESCRIPTION

2.1. Proposed Measures

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

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

Proposed measures/ outputs are the products, capital goods and services that will be delivered by the project. Outputs relate to the completion of activities and project managers have a high degree of control over them. Points to consider when formulating a proposed measure/ output:

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

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

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

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

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

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

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

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

Please explain how this proposed measure will contribute to Institutional Strengthening

Under this section provide an explanation of how each of the proposed measure/ output listed will strengthen the institutional capacity of the country to facilitate and enable the implementation of the Basel, Rotterdam and Stockholm conventions, the Minamata Convention and the Strategic Approach to International Chemicals Management.

Institutional strengthening is defined as enhancing the sustainable institutional capacity of Governments to develop, adopt, monitor and enforce policy, legislation and regulation, as well as to gain access to financial and other resources for effective frameworks for the implementation of the Instruments for the sound management of chemicals and waste throughout their life cycle.

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

Activities: Please provide a title and brief description of the activity and how it will be implemented

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

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

Points to consider when formulating the project activities:

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

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

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

Below are examples of weak and strong activities:

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

PROPOSED MEASURE 1	*Please provide a title and brief description of the proposed measure and how it will contribute to the objective of the project*
	Chemicals and Waste unit established The Chemicals and Waste unit will be established to follow and monitor the implementation of activities in line with the country's obligations towards the BRS conventions and the Minamata Convention, to which the country is Party. In its initial phase of establishment, the unit will also act as the project management unit (PMU). The PMU will coordinate the implementation of the project including the facilitation of a multi-stakeholder body comprising representatives of key participating ministries and public and private organizations. The PMU will play an active role in the project and will be responsible for providing leadership as well as overall strategic guidance on the execution of the project at the national level. The PMU meets biannually to facilitate stakeholder involvement, to assess the progress of the project towards the project goals and objectives, to determine the necessary corrective actions to be taken in case of diversion and to mainstream the findings and outcomes of the project within the respective sectors and groups they represent.
	Please explain how this proposed measure will contribute to Institutional Strengthening
	The implementing organisation will start the process of applying for the inclusion of the project management unit as a permanent unit within the government. Following the initial project-based establishment of the project management unit (Chemicals and Waste Unit) in the implementing organisation, efforts will be made to establish the unit as a formal component of the implementing agency's internal structures to ensure that the Government can address the sound management of chemicals in the long term. The Chemicals and Waste Unit will provide dedicated services for the sound management of chemicals and waste in the country.

Activity 1.1: Project Management Unit established, endorsed and fully functional	**Proposed cost:** 5,000USD
Project Administration and Coordination Committee will be established within the first 2 months of project implementation and will be endorsed by the relevant authorities in the Ministry of Environment and fully functional. The PMU will be composed of relevant technical staff from the ministry and supported by a newly hired administrative assistant. The PMU will also consist of external stakeholders with in depth scientific knowledge in the sound management of chemicals and waste from the national university,	
Activity 1.2: Project Inception workshop organised and held	**Proposed cost:** 3,000USD
The project inception workshop will be held in the first quarter of the implementation phase of the project. It will bring together all project partners and relevant stakeholders in the country who are involved in the sound management of chemicals and waste. The workshop will focus on i) raising	

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

2.2.   Detailed Description of the Associated Domestic Measures: Under this section please list the specific associated domestic measures that are in place or are to be taken to ensure the sustainability of national institutional capacity in the long term following the completion of the project. Furthermore, please explain how the associated domestic measures will address the sustainability of institutional strengthening at the national level and demonstrate how each of the specific associated domestic measures will strengthen the institutional capacity of the country to facilitate and enable the implementation of the Basel, Rotterdam and Stockholm conventions, the Minamata Convention and the Strategic Approach to International Chemicals Management. Examples of associated domestic measures include:

- **Administrative and institutional structures** put in place for the sound management of chemicals and waste;
- **Nomination of permanent staff** in relevant ministries and authorities responsible for the sound management of chemicals and waste;
- **Related budgetary allocations** for structures, personnel, etc.;
- **Regulatory frameworks** in place that will be implemented by the responsible structures and institutions;

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

DETAILED DESCRIPTION OF THE ASSOCIATED DOMESTIC MEASURES	*Please provide a description of the Associated Domestic Measure corresponding to proposed measure 1*
	The process for formalizing the project management unit as a permanent unit within the Government will be initiated, including integrating the budget for the project management unit into the overall Ministry budgeting processes.

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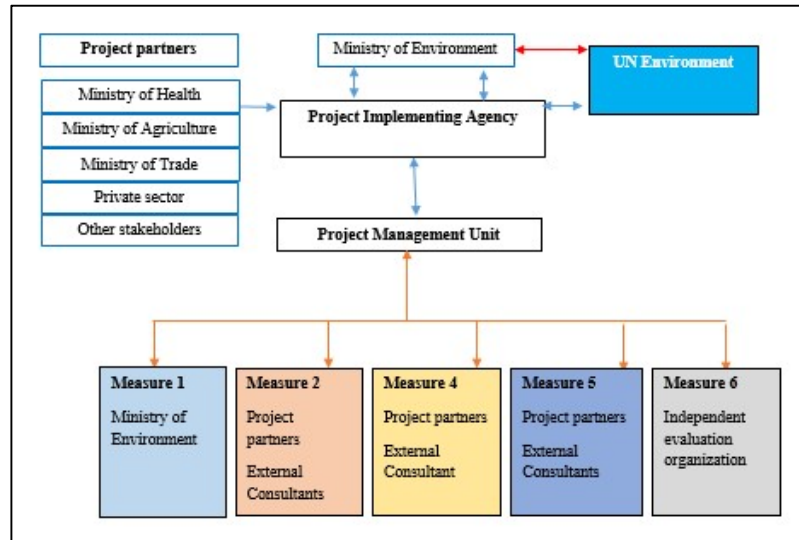
In addition, please explain how the different partners involved in the project (intergovernmental organization(s), governmental entity(ies), other actors such as non-governmental organization(s), or the regional and sub-reginal centres established under the Basel Convention and Stockholm Convention)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

Furthermore, please present the project implementation structure through an organizational diagram, and describe the composition, roles and responsibilities and how decisions will be made, as appropriate, for the following stakeholders:

- Project manager and government authority implementing the project;
- Lines of responsibility of project team members;
- External partner agencies, highlighting each agency's responsibility in the project;
- The Project Steering or Coordination Committee, including specificities on the roles and responsibilities of the partners in the decision-making process; and
- Indicate how the project will ensure both accountability of, and coordination between different relevant national authorities and partners.

DETAILED INFORMATION ON PROJECT MANAGEMENT AND IMPLEMENTATION	**Role of the Project Management Unit**
	The day-to-day management and administration of the project will be handled by the Project Management Unit (PMU) headed by the Project Coordinator from the Ministry of Environment. The PMU will provide secretariat services that includes, among others:
	• 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 • Completing inputs from national stakeholders and developing final products in line with the proposed measures/ outputs • Fulfilling reporting, monitoring and evaluation requirements **Descriptions of the roles of <u>all</u> the project stakeholders listed in the graphic above should be provided.**

2.4. Project assumptions: Please list the factors or conditions, and challenges that are likely to affect the successful achievement of project objectives (for example, institutional, financial, administrative, technical or political) and the mitigation measures that could be taken to reduce each risk. Indicate how the project managers would ensure successful implementation (strategies).

PROJECT ASSUMPTIONS	**Risk 1**: Delay of project activities due to inefficient HR procedures (for example, hiring national consultants), inefficient personnel, or coordination challenges. **Mitigation measure 1**: Terms of reference and human resource procedures will be developed well in advance of related activities and the hiring process will be closely monitored by the Project Management Unit to ensure that there are no delays and that appropriate candidates are selected. The hiring committee will also meet regularly to review progress, ensure coordination, and agree on mitigation measures if needed. **Risk 2**: Development and endorsement of policies delayed. **Mitigation measure 2:** The existing parliamentary committee on environment will take up the responsibility of ensuring political support is obtained where necessary.

2.5. Project gender considerations/mainstreaming: Indicate how the project will take into account gender considerations/mainstreaming. *Gender indicators and targets should*

also be included in the project logframe to reinforce the commitment to gender mainstreaming. The primary objective of gender mainstreaming is to design and implement projects, programmes and processes that:

- Do not enforce existing gender inequalities;
- Attempt to redress existing gender inequalities; or,
- Attempt to redefine women and men's gender roles and relations at the structural level.

For more information on how to integrate gender considerations into your project please consult the application Guidance document section 3.1 page 19.

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

2. Raising awareness of the health impacts of chemical exposure on women and children as disadvantaged populations as part of the outreach programme that will be carried out under measure/output 3.

3. Promoting women's engagement and leadership in decision-making processes during all stages of project implementation. |
|---|---|

Monitoring and evaluation plan and financial audit: 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 twelve months and an end of project final narrative report based on pre-set templates. Financial reports every twelve 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 Special Programme, and the Applicant Government.

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

The monitoring and evaluation plan should indicate the arrangements for **the independent** monitoring and evaluation of project implementation,[1] and determine the steps for regular monitoring and the final evaluation. Upon completion of the project, a final project assessment should be undertaken.[2] For projects involving no intergovernmental organization as a project partner, the country, through an independent auditor, will be required to submit a copy of its consolidated audited financial statements, wherein Special Programme funding is clearly identified, issued by an independent audit authority and as presented to and endorsed by the country's governing body.

These arrangements should not be a complex mechanism due to the scale of the project and the budget should not be higher than a maximum total of US$15,000. A person or institution should be identified in application form Annex 1.

The evaluation plan must be based on the project workplan and objectives identified in the project description. Project activities and progress should be monitored, and outcomes should be reported. The monitoring and evaluation should also include several indicators or targets. Such indicators may include:

- Performance of the project against its defined objectives;
- Performance against the Special Programme objective and strategic priorities;
- Capacity of the project to target its beneficiaries;
- Stakeholders and sectoral involvement in the project implementation;
- Sustainability of the project and follow-up;
- The contribution of the project to the national chemicals and waste management framework.

Monitoring and evaluation, and financial audit should be listed as separate outputs in the workplan and budget. **The budget for monitoring, evaluation and audit should not be higher than a maximum total of US$ 15,000.**

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[1] Proponents are reminded that the independent monitoring and evaluation on project implementation to the Executive Board of the Special Programme will be the responsibility of the project proponent.

[2] For projects of less than 12 months, only one final report would be required.

SECTION 3: PROJECT LOGICAL FRAMEWORK

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

Overall project Objective/outcome

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

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

Overall project Objective/outcome	Indicators	Means of verification
The country's institutional capacity for the sound management of chemicals and waste is enhanced, particularly in the context of gender, and ability to report on obligations under chemicals and waste related Conventions is improved	[All indicators should have a measurable Baseline and Target listed in brackets]	Insert both data source and method for measuring progress against indicator target

Indicators

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

When defining indicators, please also provide information on the baseline situation, i.e. where are you now. and information on your targets, i.e. where do you plan to be once the project is completed.

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.

	Purpose	**Examples**	**Data sources**
Quantitative indicators	- 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	Number of – Frequency of – Increase/decrease of Ratio of – Percentage of –	- Project records - Service statistics - Survey at the program level - Survey at the population level (local, national)
Qualitative indicators	- Provides information about attitudes, perceptions and motivations. - Answer why? - Usually structured in an open-ended fashion (allow spontaneous info)	Level of… Compliance with… Extent to… Quality of… Presence of… Perception of…	- In-depth interviews - Case studies - Focus Groups - Observations - Client studies

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

Performance targets

Performance Targets are benchmarks that represent attainment of a project stage or project achievement that show progress towards project outcomes and outputs. Milestone attainment should be strictly answerable with a "Yes" or "No" answer. Outcome milestone will often show progress on a particular outcome indicator target, but can also be a major significance benchmark, believed to lead to the outcome Review the information provided under section 2 "Project Description". Based on this information copy <u>the title</u> of each proposed measure into the appropriate box.

PROPOSED MEASURE 1	*Please provide a title and brief description of the proposed measure and how it will contribute to the objective of the project*
	Chemicals and Waste unit established
	The Chemicals and Waste unit will be established to follow and monitor the implementation of activities in line with the country's obligations towards the BRS Conventions, the Minamata Convention and SAICM, to which the country is Party. In its initial phase of establishment, the unit will also act as the Project Management Unit (PMU). The PMU will coordinate the implementation of the project including the facilitation of a multi-stakeholder body comprising representatives of key participating ministries and public and private organizations. The PMU will play an active role in the project and will be responsible for providing leadership as well as overall strategic guidance on the execution of the project at the national level. The PMU meets biannually to facilitate stakeholder involvement, to assess the progress of the project towards the project goals and objectives, to determine the necessary corrective actions to be taken in case of diversion and to mainstream the findings and outcomes of the project within the respective sectors and groups they represent

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

Expected Milestone

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

Bringing it all together

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

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

Proposed Measures

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

PROPOSED MEASURE 1	*Please provide a title and brief description of the proposed measure and how it will contribute to the objective of the project*
	Chemicals and Waste Unit established The Chemicals and Waste unit will be established to follow and monitor the implementation of activities in line with the country's obligations towards the BRS Conventions and the Minamata Convention, to which the country is Party. In its initial phase of establishment, the unit will also act as the project management unit (PMU). The PMU will coordinate the implementation of the project including the facilitation of a multi-stakeholder body comprising representatives of key participating ministries and public and private organizations. The PMU will play an active role in the project and will be responsible for providing leadership as well as overall strategic guidance on the execution of the project at the national level. The PMU meets biannually to facilitate stakeholder involvement, to assess the progress of the project towards the project goals and objectives, to determine the necessary corrective actions to be taken in case of diversion and to mainstream the findings and outcomes of the project within the respective sectors and groups they represent

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

Indicators

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

Ensure that for each indicator a baseline and target are set. For example, if 1 piece of legislation has already been adopted by the country, then 1 will be set as a baseline for that indicator. If the proposed measure is to adopt additional legislation, then the target would be 2.

Means of Verification

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

Activities

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

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

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

Expected Milestone

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

Bringing it all together

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

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

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

Project workplan

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

The workplan is an important tool for formulating and implementing a project. From the workplan, it is possible to assess the proposed implementation of the project, as follows:

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

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

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

A well-prepared workplan is particularly useful for monitoring and evaluation. The workplan is used in the progress report as the reference point for assessing the progress of the project. As well as being an indicator of progress, the workplan also highlights difficulties likely to be encountered in project implementation, identifies backlogs or bottlenecks, and facilitates planning to resolve any anticipated problems.

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

SECTION 4: ENDORSEMENT AND CERTIFICATION

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

All applications must be endorsed by an official focal point for the Special Programme. The official focal point for the Special Programme should coordinate at the national level and in the case of several submissions make sure that the different applications in no way duplicate work. It is preferred that the official focal point for the Special Programme submits only one application from the country. The official focal point should coordinate different applicants and try to make different units work together to submit a common proposal, rather than submitting separate proposals. An endorsement letter from the official focal point should be submitted to the secretariat upon submission of the application.

Applicant Certification

Please sign and date the application form. Complete application packages should be sent electronically in **Word and PDF** versions (i.e., scanned signatures from the Applicant Government Official, National Focal Point and the GEF Operational Focal Point), to: unepchemicalsspecialprogramme@un.org **no later than 17 April 2020**.

SECTION 5: APPLICATION CHECKLIST

Please review the list and check all relevant boxes before sending the application. Applicants are invited to note that budget, annexes, beneficiary contribution letter, and letters of support including the endorsement letter from the official focal point are mandatory requirements of the application without which applications will be considered incomplete.

ANNEX 1: CONTACT DETAILS

Applicant

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

Implementing Ministry / Organisation

If relevant, provide details of the responsible officer and organization or institution for the implementation of the project.[3] Correct contact details are essential for efficient follow-up. If it is the same as the applicant, please state clearly in this section that they are the same.

Please note that if the project implementing organization or institution is not a government or United Nations entity, then a due diligence exercise will be carried out in accordance with the United Nations Environment Programme's Partnership Policy, prior to the time of developing the legal agreement with the entity. Adequate time needs to be factored into the project implementation plan for the development of the project agreement.

Participating Project Partners

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

Please provide letters of support from all project partners and submit them together with the rest of the application package. This is mandatory requirement for all projects.

Independent Monitoring and Evaluation of the Project

Provide contact details of the person who will undertake the independent monitoring and evaluation of the project. The independent monitoring and evaluation should be undertaken by a person or an organization with no ties to the project development and implementation[4].

Monitoring and evaluation should be listed as a separate output in the workplan and budget. The budget for monitoring, evaluation and audit should not be higher than a maximum total of US$ 15,000.

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[3] It is understood that the applicant's organization, agency or ministry should be the implementing agency of the project, since it will have the overall responsibility and will be the main coordinator of the project. Applicants may, however, choose to transfer this responsibility to another organization, agency or ministry. In compliance with United Nations financial rules, profit-making companies cannot serve as implementing (or executing) agencies.

[4] Applicants may wish to identify, for example, an academic institution, research centre, independent consultant, or non-governmental organization.

Financial audit:

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

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

Information about GEF-related projects

Include a description of GEF-funded projects on chemicals and waste, including the project number, title and objective of the project. The description should indicate the status of the project, in other words if it is ongoing or completed and the relevant dates. The description should state why activities being proposed for funding from the Special Programme Trust Fund are understood to fall outside the mandate of GEF. The description should also include what actions related to institutional strengthening and capacity-building are being undertaken by GEF projects on chemicals and waste in the country. The GEF operational focal point for the country should be consulted in developing this information.

Description of Projects on Institutional Strengthening of Chemicals and Waste Management

Include a description of projects on institutional strengthening of chemicals and waste management undertaken in the past, currently being implemented or planned in the future to be implemented in the country(ies) or region. If any, please complete the table for previous projects. Please provide details on the time frame, funding and framework of such projects, as well as details on how the outcome of the previous and ongoing projects can support or build upon the outcomes of the proposed Special Programme project.

Please explain how the project will expand on the work of previous projects.

Other Relevant Information About Projects That Have Been Implemented

Please provide any additional relevant information about projects that have been implemented.

2030 Agenda for Sustainable Development

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

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

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

3. PROJECT APPLICATION FORM B: BUDGET TABLES

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

The budget should be in United States dollars (US$). Budgets in other currencies will not be considered. Budgets should reflect the amount requested from the Special Programme Trust Fund, per year, as well as other financial or in-kind contributions.[5]

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

Table 1: Budget summary

Please summarize funding or in-kind contribution from all sources of funding.

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

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

Please list the cost for each proposed measure or output and activity on a separate line, noting that the columns refer to different class codes, such as staff and other personnel, travel, contractual services, etc. in accordance with UNEP financial rules and regulations. The table should only present the cost that is covered by the Special Programme Trust Fund.

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

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[5] Such "costs" should also be reflected as in-kind contributions in the "funding summary" section under "value of resources contributed by beneficiary country" on page 2 of the application form I.

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

Please provide the budget for the beneficiary contribution from the Government. If possible, provide the breakdown of the budget by proposed measure / output and activity. Table 3 will present the details about the contribution from other sources including from the beneficiary government, other intergovernmental organizations, non-governmental organizations and the private sector, as appropriate.

It should be noted that in paragraph 21 of the terms of reference of the Special Programme "beneficiary countries will contribute resources equal to the value of at least 25 per cent of the total allocation".[6]

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

Table 4: Class explanation

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

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

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

Note the following guidance on specific budget classes

- It is expected that those applicant countries that decide to manage projects themselves should be able to ensure project management without having to devote funds from the Special Programme Trust Fund for operating costs. In duly justified circumstances, **a maximum 5 per cent for operating costs** could be considered, notably if a project implementing organization is tasked with project management.
- Staff and Other Personnel Costs and contractual services costs should **not exceed 50 per cent** of the requested amount from the Special Programme Trust Fund.
- As enhancing institutional capacity requires a minimum level of commitment notably from an administrative and logistical perspective, it is also expected that applicant countries will provide the necessary administrative and logistical support. Therefore, normal operational and running costs such as office equipment, premises, vehicles, fuel, etc. will not be eligible for support. In duly justified circumstances, **a maximum 10 per cent** for specialized and technical equipment costs could be considered.
- The budget for monitoring, evaluation and audit shall all together have a **maximum total of US$ 15,000.**

Not all costs are eligible for support.

Examples of categories of costs that must be excluded from amounts sought from the Special Programme Trust Fund include the following:

- Recurrent or running institutional costs, including the rental of office space;
- Costs not directly related to institutional strengthening at the national level towards the objective of the programme;
- Wages for civil servants;
- Hospitality costs, for example in connection with receptions given for participants in conferences, seminars, etc.;
- Office equipment and furniture, vehicles, fuel, electricity, etc.; and
- Costs for individual items which are disproportionate to the total project budget. If such costs are part of the project, they must be mentioned in the budgets and provided by other funding sources.

Additional Documents

Please add in annex to the budget separate information requested specifically for certain budget items, including the following:

- Job descriptions and descriptions of the recruitment process for project staff;
- Terms of reference and descriptions of the recruitment process for consultants;
- Information regarding group trainings, such as the tentative dates, venue and number of participants, costs of travel and daily subsistence;
- Information regarding meetings and conference, such as the tentative dates, venue and number of participants, costs of travel and daily subsistence; and
- A list of non-expendable equipment, including the estimated costs.

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

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

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

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

1.1. "Results Based Management" and the "Theory of Change"

What is Results Based Management?

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

Results-Based Management requires looking beyond activities and outputs to focus on actual results (outcomes), meaning the changes to that would lead to strengthening of institutions for the sound management of chemicals and waste as a direct result of the project. By establishing clearly defined expected results, assessing risk, collecting information to assess their progress on a regular basis during implementation, and making timely adjustments, projects can be managed in order to maximise the achievement of results.

This focus on measuring at the outcome level during implementation was one of the fundamental changes introduced by Results-Based Management. While traditional approaches to management may have identified objectives or outcomes during planning, once implementation began monitoring focused on inputs, activities and outputs. With the advent of Results-Based Management, the focus remains on the effectiveness of outcomes, not only during planning, but also during implementation.

Key definitions

- The **activities** of a project are the tasks and actions needed to achieve the project outputs and, by extension, the outcomes.

- The **proposed measures / 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 workshops, 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.

What is the Theory of Change?

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.

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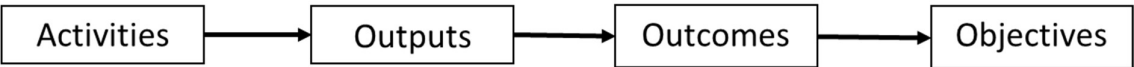

Figure 1: Example of a simplified results chain illustrating the links between activities, outputs and outcomes of a given project

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

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 where the stated project outcome is to eliminate the use of single use plastic bags. If we were to develop a Theory of Change for the project, a visual diagram of the Theory of Change may look something like this:
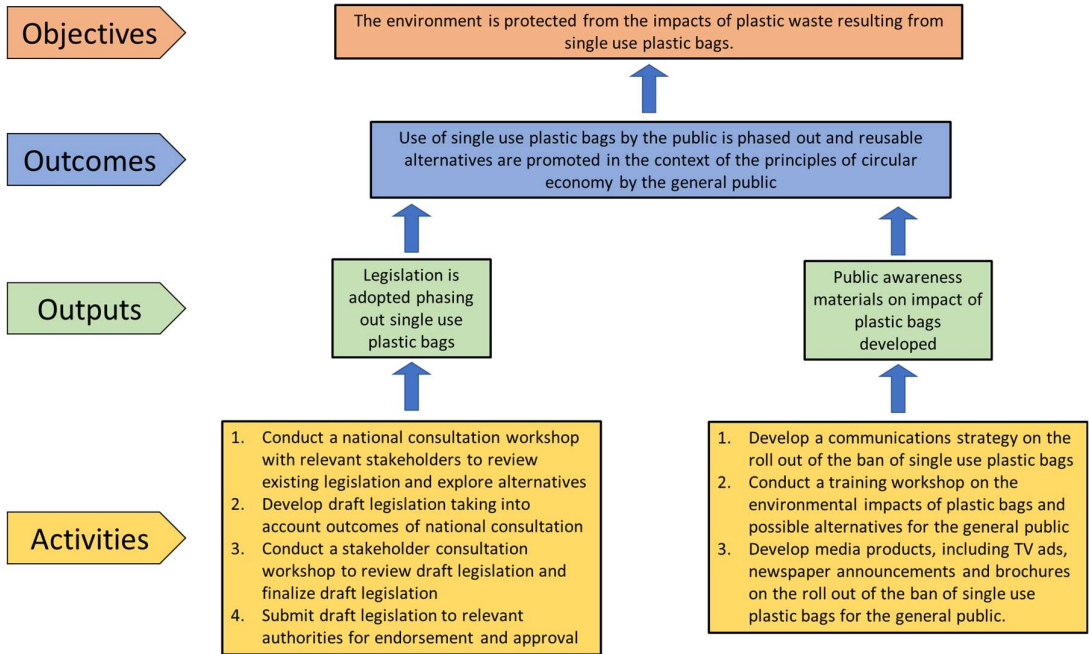

Figure 2: An illustrated example of a project taking into account the principles of results-based management and the theory of change

1.2. Moving from the theory of change to filling in the logical framework

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

The Logical Framework describes the project components and explains the details of how the project will operate and will affect the change intended. It will serve as the roadmap for implementation and as a tool for 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 Special Programme application, as shown below, is set out as follows in ascending lines (from long to short term):

a) **Project objective/outcome -** Outcomes (objectives/results) represent changes in the institutional and behavioural capacities to enable development conditions;

b) **Project proposed measures / outputs -** Outputs/ proposed measures are the products, capital goods and services will be delivered by the project., and

c) **Project activities -** The activities of a project are the tasks and actions needed to achieve the project measure/outputs and, by extension, the outcomes.

SECTION 3 PROJECT LOGICAL FRAMEWORK

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

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

The cells in blue detail the following information:

a) **Indicators -** how the objectives/ outcomes and measures/outputs will be measured to know that they have been achieved (measuring achievements against baselines and targets);

b) **Means of verification -** how progress will be verified (evidence to support); and

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

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