

# The Global Framework on Chemicals Fund Application Guidelines

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Global Framework  
on Chemicals

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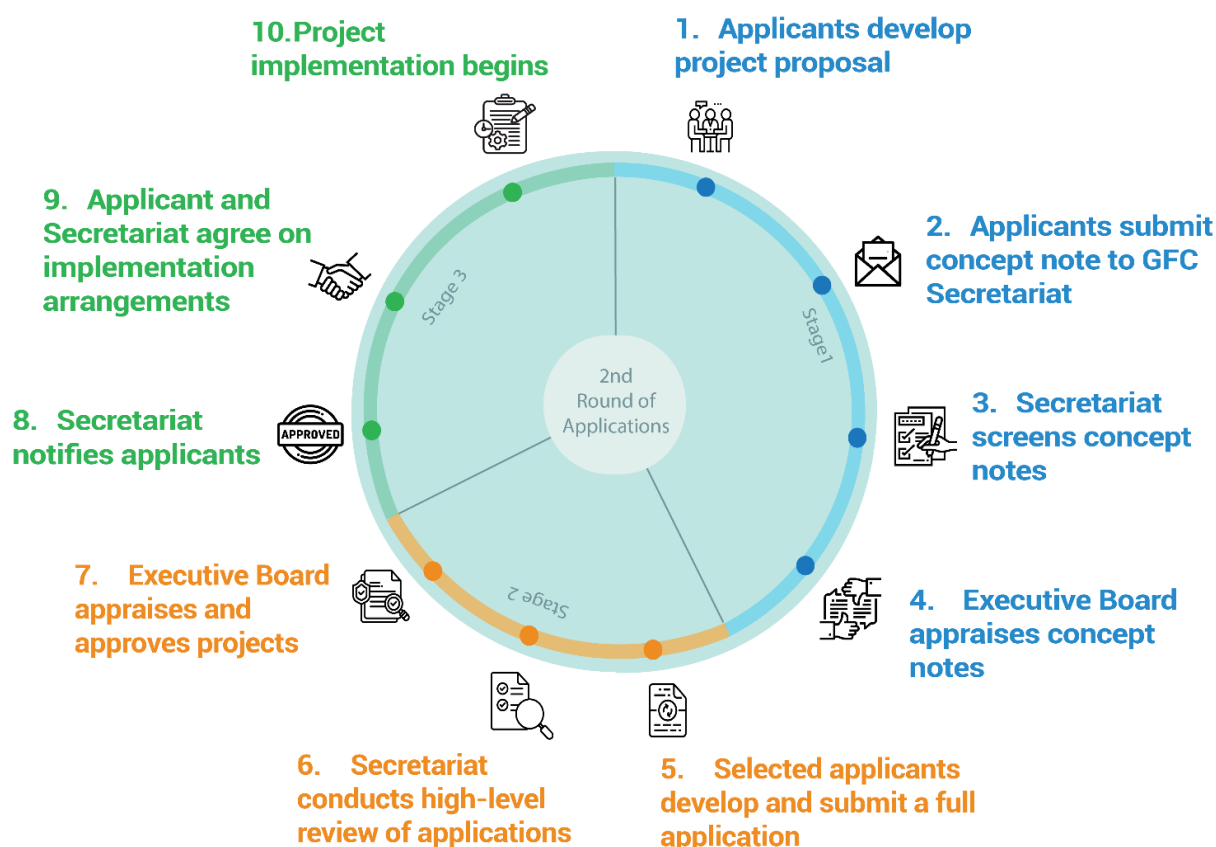
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# 1. INTRODUCTION

This application guideline is intended to support applicants in preparing their submissions to the Global Framework on Chemicals (GFC) Fund, including both the Concept Note and the Full Application Form. It provides detailed information on all sections of the application documents, along with overarching information to assist applicants in the conceptualisation and development of their project prior to completing the application forms.

## 1.1.APPLICATION PROCESS

The application process follows the following steps:



In **stage 1**, applicants are requested to develop and submit a concept note. All submitted concept notes will be reviewed by the GFC Fund Executive Board. Based on strategic relevance, potential for impact, and alignment with GFC objectives, a selection of concept notes will be shortlisted.

Shortlisted applicants will receive feedback and comments from the Executive Board and will be invited to submit a full project proposal (**stage 2**). Final funding decisions will be made upon review of these full proposals.

Applicants are encouraged to review the guidance provided by the Executive Board, which is available on the Fund's [website](#), to ensure that their project idea aligns with the Fund's priorities.

## 1.2.APPLICATION FORMS

All application forms as well as further information can be found on the Fund's [website](#). Interested applicants may use the concept note stage to develop a project proposal and fill in the requested form. Project development usually involves extensive consultation with respective ministries and other stakeholders. The Fund encourages all applicants to reach out to their [national focal point](#) early to discuss national priorities.

Concept notes and full project proposals should be sent electronically in Word and PDF versions (with scanned or electronic signatures), to: [unep-gfc.fund@un.org](mailto:unep-gfc.fund@un.org) by the deadline set out on the website.

The application package must consist of at least the following documents:

| Document                                                                                                                                                                          | Concept note (stage 1) | Application form (stage 2)                                         |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------|--------------------------------------------------------------------|
| <b>Completed concept note form</b><br>Including the signature of the applicant (section D)<br>Including the signature of a designated focal point (Section E) <sup>1</sup>        | Yes                    | No                                                                 |
| <b>Completed application form</b><br>Including the signature of the applicant (section D)<br>Including the signature of the official GFC focal point (Section E)                  | No                     | Yes                                                                |
| <b>Project logframe</b>                                                                                                                                                           | No                     | Yes                                                                |
| <b>Project budget form</b>                                                                                                                                                        | No                     | Yes                                                                |
| <b>Signed letter of support from each participating country's national focal point</b>                                                                                            | Optional               | Yes                                                                |
| <b>Letter(s) confirming co-financing and in-kind contributions</b> from applicant organisation, beneficiary country(s) and other sources                                          | Optional               | Yes                                                                |
| <b>Letters of support from each of the project's implementing partners confirming their roles and responsibilities</b>                                                            | Optional               | Yes                                                                |
| <b>Letter of intent from the lead partner confirming its role and responsibility in implementing the project on the applicant's behalf</b>                                        | Optional               | Yes, for projects implemented by another entity than the applicant |
| <b>Founding documents of the organization</b>                                                                                                                                     | No                     | Yes, for non-government applicants                                 |
| <b>Other supporting documents</b> such as letters of endorsement from any other government focal point(s), such as those representing health, labour, or other stakeholder groups | Optional               | Optional                                                           |

### 1.3.DEVELOPING A PROJECT PROPOSAL

An important first step in the application process is to 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 allows others to understand the intentions of the intervention, the proposed activities and results, key roles and responsibilities, and the resources required for successful delivery of the project and ultimately a sustainable solution to the stated problem.

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<sup>1</sup> At the concept note stage any designated focal point (i.e. government representative from an environment, health, labour or other ministry) can endorse the application. At the application stage, the GFC national focal point (NFP) will be requested to endorse the application. The designated Focal Point must sign the final page of the concept note.

This document uses the principles of “Results Based Management” and the “Theory of Change”, as outlined in chapters 7 and 8, 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 concept note and final application forms. This example project is used in the next chapters of these guidelines to help illustrate how to fill in the application form.

**Note:** Guidance on specific considerations that relate to drafting regional/multi-country projects is highlighted in blue boxes throughout this document.

## 2. STAGE 1 - PROJECT CONCEPT NOTE

In the first step of the application, applicants are requested to submit a concept note. The concept note template is provided to structure the applicant's project idea. It is important to follow the indicated word limits in the spaces provided using 10-point font. To ensure fairness and consistency, submissions should adhere to the formatting. Submissions that significantly exceed word limits may be disqualified or disregarded in those sections.

### 2.1. COVER PAGE

Fill in as indicated.

### 2.2. SECTION A: PROJECT SUMMARY

Section A, the project summary, includes high-level details about the applicant, the project and the intended results. **We recommend filling in this section third, after your project design and implementation plans.**

Fill in the spaces as directed. Below are detailed instructions for each box.

**A.1** Choose an item in the dropdown menu (government/civil society/other).

**A.1.1** If you selected "other" in A.1 please provide a short explanation here.

**A.2** At the concept note stage any designated focal point (i.e. government representative from an environment, health, labour or other ministry) can endorse the application. At the application stage, the GFC national focal point (NFP) will be requested to endorse the application. The designated Focal Point must sign the final page of the concept note (section E).

**A.3** If the applicant is a government entity, select Yes if the applicant government has endorsed or given other formal recognition of and support to the Global Framework on Chemicals.

If the applicant is not a government entity, select Yes if the applicant entity is participating in the Global Framework on Chemicals.

**A.4** Provide a summary of what the project aims to achieve, its approach and expected concrete results.

**A.5** Follow the prompts in the concept note to provide information on the requested funds from the GFC Fund, co-financing, the total project costs and the timeframe. The amount in **A.5.1** must be the sum of the output-based budgets in the Project Design (box B.3). This amount should be between US\$300,000 and US\$800,000. In **A.5.2**, provide the indicative amount of co-finance. Please note that you will be requested to provide supporting letters for the co-financing in stage 2 (i.e. when submitting the project application form). The project length (box **A.5.3**) is measured in months and shall not exceed 36 months. The amount in **A.5.4** must be the sum of the amounts in boxes A.5.1 and A.5.2. In box **A.5.5**, indicate the percent of co-finance by dividing the co-financing amount (box A.5.2) by the requested funding amount (A.5.1) and multiplying the resulting number by 100.

**A.6** In box **A.6.1**, select which GFC strategic objectives the project contributes to. All of the targets are available in this [brochure](#). In boxes **A.6.2 to A.6.6**, indicate which GFC target the project contributes to and provide a brief explanation for how it does so. The applicant must list at least one and a maximum of five GFC targets and must include at least one target per objective selected in box **A.6.1**. A maximum of three targets per objective may be included.

**A.7** Select a maximum of two of the most relevant economic sectors that the project aims to impact. The selected sectors are based on the International Standard Industrial Classification of All Economic Activities ([ISIC](#), Rev. 4).

**A.8** Briefly describe the project's impact potential by including information such as a description of the target population(s), the estimated number of direct and indirect beneficiaries per activity and the environmental impact.

## 2.3. SECTION B: PROJECT DESIGN

Section B, project design, includes details about the project, including its context, basic description, detailed outputs and deliverables, proposed budget per output, sustainability and impact. As this section captures the heart of the project idea, **we recommend filling in this section first**. For detailed definitions and examples, refer to 8. *Applying results-based management* below.

Fill in the spaces as directed. Below are detailed instructions for each box.

**B.1** Follow the prompt to provide information on the project context. Be as clear and precise as possible in defining the problem your project seeks to address, what its root causes are, and why they are not already being addressed. Explain why the project is not already being financed by the public and/or private sector in the target country(s).

**B.2** Follow the prompt to describe the project. Be clear in how the project addresses the problem in box B.1 with the outputs listed in box B.3 and explain how monitoring and evaluation will be conducted.

**B.3** Project outputs and costs. Include titles of the project's main outputs, their proposed cost to the GFC Fund (*excluding* co-finance), and the key deliverables. Further information on outputs and costs is provided in chapter 4 of this document.

**B.4** Follow the prompt to explain how the project outputs will be sustained after the project ends and how it will achieve the results and impacts in Section A.

## 2.1. SECTION C: PROJECT IMPLEMENTATION

Section C, project implementation, includes details about the applicant, the implementing team and stakeholders. **We recommend filling in this section second**, after your project design. For detailed definitions and examples, refer to 6. *Additional Guidance on Project Implementation* below.

Fill in the spaces as directed. Below are detailed instructions for each box.

**C.1** Indicate whether the applicant is also implementing the project. If not, indicate the name and country of the entity charged with implementing the project, should it be approved.

**C.2** If your project involves multiple countries, fill in this section by following the prompts. Fill in spaces **C.2.2-C.2.4** as necessary, indicating the country and the partner in that country, if confirmed. Add rows as necessary.

**C.3** Follow the prompt to provide information about how the project will be managed. Explain how the different partners involved in the project (governmental entity(ies), intergovernmental organization(s), 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, taking care to clearly describe the roles and responsibilities of the different entities. Include all confirmed and unconfirmed partners for key implementation roles.

**C.4** Select stakeholders that have been consulted. If other, indicate whom.

**C.5** Provide a relevant image of the organigram including the implementation team and key stakeholders. These include entities indicated in C.3 and C.4 and any stakeholders required to achieve the project results.

**C.6** Follow the prompts to provide information on previous project experience. In Box **C.6.2** you may select more than one option. In Box **C.6.3**, describe how this project builds on lessons learned from previous projects. Please make sure to cover all options selected in C.6.2.



## **2.2. SECTIONS D & E: SIGNATURES**

Sections D and E require the certification and signature of the Concept Note by the applicant entity and a designated government Focal Point for the applicant's country. At the concept note stage any designated focal point (i.e. government representative from an environment, health, labour or other ministry) can endorse the application. At the application stage, the GFC national focal point (NFP) will be requested to endorse the application. The designated Focal Point must sign the final page of the concept note.

Fill the information as indicated.

### 3. STAGE 2: PROJECT APPLICATION: PROJECT DESCRIPTION

The application form builds on the approved concept note. The applicant is encouraged to update the information in the approved concept note and to add further details as directed in this form. As with the concept note, it is important to follow the indicated word limits in the spaces provided using 10-point font. To ensure fairness and consistency, submissions should adhere to the formatting. Submissions that significantly exceed word limits may be disqualified or disregarded in those sections.

#### 3.1. COVER PAGE

Copy or update from the concept note.

#### 3.2. SECTION A: PROJECT SUMMARY

Section A, the project summary, includes high-level details about the applicant, the project and the intended results. In the Application Form, it expands the information from the approved Concept Note with additional details on how the proposed project will address the GFC targets and achieve its impact potential. **We recommend filling in this section third, after your project design and implementation plans.**

Fill in the spaces as directed. Below are detailed instructions for each box.

**A.1 and A.1.1** Copy or update from the concept note.

**A.2** Copy or update from the concept note.

**A.3** Copy or update from the concept note.

**A.4** Provide an updated summary of the project, including brief descriptions of the problem statement, project objective, impact rationale and implementation approach.

**A.5** Update the information that you provided in the concept note by following the prompts. The amount in **A.5.1** must be the sum of the output-based budgets in the Project Design (box B.3). This amount should be between US\$300,000 and US\$800,000. In **A.5.2**, provide the confirmed amount of co-finance. Please remember to attach supporting documents to your application. The project length (box **A.5.3**) is measured in months and shall not exceed 36 months from the receipt of the letter of agreement. 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 that date. The amount in **A.5.4** must be the sum of the amounts in boxes A.5.1 and A.5.2. In box **A.5.5**, indicate the percent of co-finance by dividing the co-financing amount (box A.5.2) by the requested funding amount (A.5.1) and multiplying the resulting number by 100. If it is less than 25%, provide a justification why the Executive Board should consider funding a project that has less than its desired level of financial commitment from the applicant country(s) and partners.

**A.6** In box **A.6.1**, select which GFC strategic objectives the project contributes to. All of the targets are available in this [brochure](#). In boxes **A.6.2 to A.6.6**, indicate which GFC target the project contributes to and a brief explanation for how it does so. The applicant must list at least one and a maximum of five GFC targets and must include at least one target per objective selected in box **A.6.1**. A maximum of three targets per objective may be included. For each target, explain how the project contributes to it by referencing one or more project outputs and an approximate budget.

**A.7** Update the information that you provided in the concept note and select a maximum of two of the most relevant economic sectors that the project aims to impact. In box **A.7.1**, explain how the project will engage with the selected sectors, how it will impact their chemicals and waste practices to achieve the result in box **A.8.1**, and how this impact will be measured and verified.

**A.8.** Copy and update from the concept note. In box **A.8.1**, Explain how the project will engage with the selected beneficiaries in box A.8, how it will impact beneficiaries within and outside these groups,

and how the beneficiaries will be counted and verified. Include beneficiaries from the environment, health, labour and other areas identified in box C.4.

### 3.3. SECTION B: PROJECT DESIGN

Section B, project design, includes details about the project, including its context, outputs and deliverables, budget and sustainability. In the application form, the applicant is required to attach a fully developed logical framework and to use this space to explain it. This section thus expands on the approved concept note by requiring output descriptions, detailed activities per output, an outcome description, and an explanation of the logical framework's baseline assessment. It also includes an expanded space for explaining the project's sustainability and efficient use of GFC Fund resources. As this section captures the heart of the project idea, **we recommend filling in this section first**. For detailed definitions and examples, refer to 8. *Applying results-based management* below.

Fill in the spaces as directed. Below are detailed instructions for each box.

**B.1** Update the information from the concept note by following the prompt to provide information on the project context. Be as clear and precise as possible in defining the problem your project seeks to address, what its root causes are, and why they are not already being addressed. In box **B.1.1**, elaborate on the baseline information for the problem(s) your project will address. This should describe the current status or conditions, using available data or evidence, before project activities begin. Please indicate how this baseline information was obtained (e.g., official statistics, surveys, institutional records, studies) and specify the means of verification. Where no baseline data currently exists, explain how it will be established at the start of the project.

**B.2** This section replaces the brief project description in the approved concept note. State the project outcome in the logical framework. Then, in box **B.2.1**, explain the project outcome. You may draw from the information that you provided in the concept note.

**B.3** Include titles of the project's main outputs, their proposed cost to the GFC Fund (*excluding* co-finance), and the key deliverables. In boxes **B.3.1 to B.3.1.5**, add descriptions of the outputs and activities as well as activity costs to the GFC Fund. Add rows as necessary. You may draw from the information that you provided in the concept note.

**B.4** Follow the prompt to explain what institutional, financial and/or policy measures will be in place to sustain the project outcome after the project ends, and how they will be monitored and evaluated to achieve the project impacts in Section A. Guiding questions are provided.

**B.5** Explain how the project demonstrates value for money. Guiding questions are provided.

### 3.1. SECTION C: PROJECT IMPLEMENTATION

Section C, project implementation, includes details about the applicant, the implementing team and stakeholders. In the application form, it expands the information from the approved Concept Note with additional details, including how the proposed project will engage with stakeholders, how it will build on and avoid duplication with priorly approved projects, how it will mitigate identifiable risks, and how it will address gender mainstreaming as well as social and environmental safeguards. **We recommend filling in this section second**, after your project design. For detailed definitions and examples, refer to 6. *Additional Guidance on Project Implementation* below.

Fill in the spaces as directed. Below are detailed instructions for each box.

**C.1** Copy or update from the concept note.

**C.2** Copy or update from the concept note.

**For regional/multi-country projects:** It is a requirement that one government or organization is specified as the project lead. This applicant will submit the application on behalf of all the countries involved. Additional information for multi-country applications is requested in Sections H-J.

**C.3** Copy or update from the concept note.

**C.4** Copy or update from the concept note.

**C.5** Update the information from the concept note by providing a relevant image of the organigram including the implementation team and key stakeholders. These include entities indicated in C.3 and C.4 and any stakeholders required to achieve the project results. In box **C.5.1**, describe the role of stakeholders in the organigram. Include how the stakeholders listed in box C.4 have been engaged in the project development. Explain how the project will engage with the stakeholders during project implementation, how they are expected to contribute to project activities, and how the stakeholders are expected to facilitate achieving the project outcome.

**C.6** Update the information from the concept note and follow the prompts to provide information on previous project experience. In Box **C.6.3**, list the relevant projects by name. For each, explain how this proposal builds on lessons learned and avoids duplication of efforts.

**C.7** Identify risks associated with the project and explain the mitigation measure(s) that the project will undertake to counter the risk. The applicant is encouraged to be thoughtful and thorough. Important risks that are not addressed in this section may be decisive in the final funding decision. Add or delete rows as necessary.

**C.8** Describe how the project will take gender, social and environmental safeguards considerations into account. Any approaches outlined in this section must be appropriately reflected in the project activities and outputs. Guiding questions are provided.

### 3.2. SECTIONS D & E: SIGNATURES

Sections D and E require the certification and signature of the application form by the applicant entity and the official GFC Focal Point for the applicant's country. Fill the information as indicated.

#### **Applicant Certification**

Sign and date the application form. The complete application packages should be sent electronically in **Word and PDF** versions to: [unep-gfc.fund@un.org](mailto:unep-gfc.fund@un.org).

#### **National Global Framework on Chemicals Focal Point**

The official GFC national focal point is required to support the application on behalf of the Government by signing the application form and through the provision of a letter **in English** accompanying the submission of the application.

The focal point should coordinate project applications at the national level and in the case of several submissions make sure that the different applications in no way duplicate work. The GFC national focal point should coordinate different applicants and try to make different units work together to submit a common proposal, rather than submitting separate proposals. To foster cross-sectoral impact, supporting letters from other authorities and stakeholders such as health and labour may be attached to the application.

#### **For regional/multi-country projects:**

Replicate section E and provide a signature by the GFC focal point in each project country. Letters of project endorsement/formal recognition from the official focal points of each participating country should be submitted in addition to letters from participating project partners.

Provide a support letter from the lead government acknowledging its role in the project.

### 3.3. SECTION F: APPLICATION CHECKLIST

Section F provides a checklist for applicants to fill to ensure that their applications are complete. Fill the information as indicated. Applicants must note that budget, annexes, co-finance letters, and

letters of support including the endorsement letter from the official focal point are mandatory requirements of the full application without which applications will be considered incomplete.

### 3.4. SECTION G: LEAD IMPLEMENTING PARTNER

Section G provides space for listing the lead implementing partner. Section G is only necessary if the applicant has checked “No” in box C.1. If relevant, provide details of the responsible officer and organization or institution for the implementation of the project.<sup>2</sup> Include a letter of support from the lead implementing entity confirming that it will be responsible for implementing the project.

Please note that if the lead implementing entity is not a 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.

### 3.5. SECTIONS H-J: OTHER IMPLEMENTING PARTNERS

Sections H-J provide space for listing other implementing partners. Other implementing partners must be listed including the information from boxes A.1-A.3. These may include any intergovernmental organization(s), governmental entity(ies), non-governmental organization(s), regional centres established under the Basel, Rotterdam, and Stockholm conventions, private sector organization(s), academic or research organization(s) that will be acting in partnership with the lead implementing entity to implement the project.

Fill the information as indicated. Add tables for additional implementing partners as relevant.

For **regional/multi-country** projects: Letters of project endorsement/formal recognition from the official focal points of each participating country should be submitted in addition to letters from participating project partners.

It is not necessary for each co-applicant country to sign the application form if they have submitted a letter of project endorsement.

Provide letters of support from **all** project partners, and participating countries for regional/multi-country projects, and submit them together with the rest of the application package. This is mandatory requirement for all application forms.

All letters should be provided **in English**. Sample texts for endorsement and support letters are provided in the [FAQ document](#).

### 3.6. SECTION K: FINANCIAL AUDIT

Section K provides space for listing the independent audit authority selected to provide a financial audit at the end of the project. Fill the information as indicated.

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<sup>2</sup> 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. STAGE 2: PROJECT APPLICATION: BUDGET TABLES

In stage 2 of the application process, applicants are also required to submit a full project budget by filling in the budget template. The Global Framework on Chemicals Fund may provide support **from US\$ 300,000 to US\$ 800,000 per project application**.

The **budget should be in United States dollars (US\$)**. Budgets in other currencies will not be considered.

This chapter explains the different commitment classes and then explains the different sheets provided in the budget file.

### 4.1.CLASS EXPLANATION (TABLE 4)

Based on your application form and logframe, list the costs for each activity on a separate line, noting that the columns refer to different class codes, such as staff and other personnel, contractual services, etc. in accordance with UNEP financial rules and regulations. This table provides an overview of the commitment classes, an explanation for the types of costs under each class and maximum percentages for each budget category.

| Commitment Class | Commitment Class Name             | Explanation                                                                                                                                                                                                                                                                                                                                                                                                         | Maximum Percentage of Budget under each category |
|------------------|-----------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------|
| FT30_Class_010   | Staff and Other Personnel Costs   | (i) Includes all costs and entitlements of personnel including staff, consultants, administrative staff, interns.<br>(ii) Meeting facilitators, interpreters, Evaluation consultants all to be budgeted under this Class.                                                                                                                                                                                           | Combined up to 100%                              |
| 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.<br>(ii) Where meetings/workshops require venue to be hired e.g. Hotel, then relevant costs to be budgeted under this Class.<br>(iii) Commercial printing/publication contracts to be budgeted here |                                                  |
| FT30_Class_140   | Transfers and Grants Issued to IP | (i) Funds to be released to Implementing Partners. Can be further broken down by nature of expenditure.                                                                                                                                                                                                                                                                                                             |                                                  |
| 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]<br>(ii) Road / train /Fuel and vehicle/boat rental costs for staff, consultants and other project personnel                                                                                                                                                                                            | 15%                                              |

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 Global Framework on Chemicals Fund for operating costs. The proposed budget may include project management and administrative costs. The indicative amount could be 5% whilst recognizing that for multi-country, regional or more complex projects, a higher percentage may be acceptable subject to justification. Please note that the total amount requested, including the operating costs, should total no more than the maximum of US\$ 800,000.
- As implementing a project sustainably 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.
- The project budget should include dedicated provisions for monitoring, evaluation and audit. The budget for monitoring, evaluation and audit shall all together have a **maximum total of US\$ 20,000**.

Examples of categories of costs that must be excluded from amounts sought from the Global Framework on Chemicals Fund include the following:

- Recurrent or running institutional costs, including the rental of office space;
- 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.



## 4.2. TABLE 1: BUDGET SUMMARY

This table provides a summary of the budget information. All values are automatically calculated from the other sheets of the Excel file. **Please do not adjust or delete the formulas.**

| BUDGET INFORMATION (USD)                           |                                 |                      |           |                                   |         |             |                     |
|----------------------------------------------------|---------------------------------|----------------------|-----------|-----------------------------------|---------|-------------|---------------------|
| Requested GFC Fund funding                         | 0                               |                      |           |                                   |         |             |                     |
| Beneficiary country and co-sponsor in-kind support | 0                               |                      |           |                                   |         |             |                     |
| % of beneficiary support (of requested funding)    | #DIV/0!                         |                      |           |                                   |         |             |                     |
| Total budget                                       | 0                               |                      |           |                                   |         |             |                     |
| Output                                             | Staff and Other Personnel Costs | Contractual Services | Equipment | Transfers and Grants Issued to IP | Travel  | Grand Total | Total in Percentage |
| Output 1                                           | 0.00                            | 0.00                 | 0.00      | 0.00                              | 0.00    | 0.00        | #DIV/0!             |
| Output 2                                           | 0.00                            | 0.00                 | 0.00      | 0.00                              | 0.00    | 0.00        | #DIV/0!             |
| Output 3                                           | 0.00                            | 0.00                 | 0.00      | 0.00                              | 0.00    | 0.00        | #DIV/0!             |
| Output 4                                           | 0.00                            | 0.00                 | 0.00      | 0.00                              | 0.00    | 0.00        | #DIV/0!             |
| Output 5                                           | 0.00                            | 0.00                 | 0.00      | 0.00                              | 0.00    | 0.00        | #DIV/0!             |
| Administrative Costs                               | 0.00                            | 0.00                 | 0.00      | 0.00                              | 0.00    | 0.00        | #DIV/0!             |
| Grand Total                                        | 0.00                            | 0.00                 | 0.00      | 0.00                              | 0.00    | 0.00        | #DIV/0!             |
| Total in Percentage                                | #DIV/0!                         | #DIV/0!              | #DIV/0!   | #DIV/0!                           | #DIV/0! | #DIV/0!     |                     |

## 4.3. TABLE 2: BUDGET BY YEAR/COMMITMENT CLASS

Based on your application form and logframe, list the costs for each activity on a separate line, noting that the columns refer to different class codes, such as staff and other personnel, contractual services, etc. in accordance with UNEP financial rules and regulations. The table should **only present the cost that is covered by the Global Framework on Chemicals Fund.**

As with previous sections, the budget is built based on information provided in sections that have already been filled out under Section B of the application form ("project design"). Review the information provided under section B, including the proposed costs for each activity, and break the costs down by budget class and year. Please make sure that the costs reflected in the budget and the application form are aligned.

### EXAMPLE:

|              |                                                                    |                        |         |
|--------------|--------------------------------------------------------------------|------------------------|---------|
| Activity 1.1 | Project management unit established, endorsed and fully functional | Proposed cost to GFCF: | 5 000   |
| Activity 1.2 | Project inception workshop organised                               | Proposed cost to GFCF: | 3 000   |
| Activity 1.3 | Monthly meetings of the Project Management Unit organised and held | Proposed cost to GFCF: | In kind |

| Project Output | Activity No. | Activities                                                         | Staff and Other Personnel Costs (FT30_010) |       | Contractual Services (FT30_120) |       | Grand Total |
|----------------|--------------|--------------------------------------------------------------------|--------------------------------------------|-------|---------------------------------|-------|-------------|
|                |              |                                                                    | Year 1                                     | Total | Year 1                          | Total |             |
| Output 1:      |              |                                                                    |                                            |       |                                 |       |             |
|                | 1.1          | Project management unit established, endorsed and fully functional | 5'000                                      | 5'000 |                                 | 0     | 5'000       |
|                | 1.2          | Project inception workshop organised                               | 1'000                                      | 1'000 | 2'000                           | 2'000 | 3'000       |
|                | 1.3          | Monthly meetings of the Project Management Unit organised and held |                                            | 0     |                                 | 0     | 0           |



#### 4.4. TABLE 3: CO-FINANCE CONTRIBUTION BY YEAR/COMMITMENT CLASS (US\$)

Provide the budget for the co-finance and in-kind contribution from the government(s) or other sources. Breakdown the budget by output. Table 3 should also 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. Please note that each entity providing a co-finance contribution must submit an individual letter specifying the amount it will contribute. Upon project closure, an expenditure report will be required to verify expenditure against the contribution committed.

It should be noted that, based on the Fund guidelines, each project should try to achieve at least 25% co-financing which could include in-kind contributions such as staff time, accommodation, office space or operating costs.<sup>3</sup> The co-financing contribution can be shared among all project partners. A higher percentage of co-finance increases the likelihood of selection by the GFC Fund Executive Board.

**For regional/multi-country projects:** The total co-financing contribution for the project should try to achieve 25% of the total allocation. The participating countries can decide amongst themselves what portion of the total amount they will contribute. Each country must submit an individual letter specifying the amount it will contribute. Upon project closure, an expenditure report will be required to verify expenditure against the contribution committed.

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<sup>3</sup> The Executive Board may reduce that percentage, commensurate with consideration of the specific national circumstances, capacity constraints, gaps and needs of the applicant.

## 5. STAGE 2: PROJECT APPLICATION: PROJECT LOGICAL FRAMEWORK

The Project Logical Framework (“logframe”) is required for submission of the Application Form. It provides information critical to filling in *Section B: Project Design*. For definitions and examples, please refer to sections 7 and 8 of this document.

### 5.1.OVERALL PROJECT OUTCOME

Draft the project outcome based on the information provided under section B.2.1 of the Application Form “Outcome description”. In addition, develop 1-3 outcome indicators.

#### EXAMPLE

##### Application Form:

|                                                                                                                                                                                                                                                                                                                                                            |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>B.2 Project description</b>                                                                                                                                                                                                                                                                                                                             |
| <b>B.2.1 Outcome description (150 words)</b>                                                                                                                                                                                                                                                                                                               |
| <p><i>Provide a clear and concise explanation of the outcome that the project seeks to achieve. The outcome is a change in behaviour in project stakeholders by the end of the implementation period that leads to the impacts after project closure (within 5-10 years). The outcome should be linked to the problem identified in B.1 and B.1.1.</i></p> |

##### Logframe:

| <b>(P) Project Outcome: The country’s institutional capacity for the sound management of chemicals and waste is enhanced, particularly in the context of gender, and the ability to report on obligations under the Global Framework on Chemicals</b> |                        |                     |                                                                                                                                                                                    |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------|---------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Indicator(s)                                                                                                                                                                                                                                          | Baseline               | Target              | Means of Verification                                                                                                                                                              |
| P.1 Mechanism to support the development and implementation of National Strategies for Chemicals and Waste Management as a result of funding from the Global Framework on Chemicals Fund.                                                             | [Insert baseline here] | Insert target here] | [List the supporting documents that will be used to verify that the indicator has been met. Insert both the data source and the method for measuring progress against the target.] |

|                                                                                                                                                                                             |                        |                     |                                                                                                                                                                                    |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------|---------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| P.2 Degree of integration of chemicals and waste management into national and sector planning - formally proposed, adopted, or being implemented, including voluntary reporting to the GFC. | [Insert baseline here] | Insert target here] | [List the supporting documents that will be used to verify that the indicator has been met. Insert both the data source and the method for measuring progress against the target.] |
| [Should you wish to insert an additional outcome indicator, you can do so here – Insert additional rows, or delete unused rows, as needed]                                                  |                        |                     |                                                                                                                                                                                    |

## 5.2.PROJECT OUTPUTS

Draft the project outputs based on the information provided under section B.3 of the Application Form “Project outputs and costs”.

### EXAMPLE

#### Application Form:

|                                                                                                                                                                                                        |                                                 |                                |                         |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------|--------------------------------|-------------------------|
| <b>Output 1</b>                                                                                                                                                                                        | <b>Chemicals and Waste unit established</b>     | <b>Total cost to the Fund:</b> | <b>USD Enter amount</b> |
| Deliverables                                                                                                                                                                                           | <i>List key deliverables under this output.</i> |                                |                         |
| <b>B.3.1 Output description (60 words)</b>                                                                                                                                                             |                                                 |                                |                         |
| <i>Describe the output and how it will help achieve the project outcome. Do not repeat the information included in the activities below. Explain the output indicator and how it will be measured.</i> |                                                 |                                |                         |
| A Chemicals and Waste unit will be established to follow and monitor the implementation of activities in line with the country's commitments towards the GFC.                                          |                                                 |                                |                         |

#### Logframe:

|                                                            |
|------------------------------------------------------------|
| <b>(01) Output 1: Chemicals and waste unit established</b> |
|------------------------------------------------------------|

This process should be followed for all outputs. The final logframe for an approved project will form part of the project cooperation agreement. It will also form the basis for the narrative progress reports that are required to be submitted to the Global Framework on Chemicals Secretariat.

### 5.3.PROJECT ACTIVITIES

Draft the project activities based on the information provided under section B.3.1 of the Application Form “Project outputs and costs”. For each activity, identify who will have the lead responsibility and when the activity will start and end. Rather than using actual dates, you can indicate the starting and end month based on the project’s years as shown in the example below.

#### EXAMPLE

##### Application Form:

|                                                                                                                     |                                                                    |                            |  |
|---------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------|----------------------------|--|
| Activity 1.1                                                                                                        | Project Management Unit established, endorsed and fully functional | Proposed cost to the Fund: |  |
| Describe the activity and how it will help achieve the output. Explain how the milestones have been set. (60 words) |                                                                    |                            |  |
| Activity 1.2                                                                                                        | Project inception workshop organised and held                      | Proposed cost to the Fund: |  |
| Activity description (60 words)                                                                                     |                                                                    |                            |  |
| Activity 1.3                                                                                                        | Monthly meetings of the Project Management Unit organised and held | Proposed cost to the Fund: |  |
| Activity description (60 words)                                                                                     |                                                                    |                            |  |

##### Logframe:

| Activities for Output 1 |                                                                    | Lead responsibility     | Start date | Due date |
|-------------------------|--------------------------------------------------------------------|-------------------------|------------|----------|
| A1.1                    | Project Management Unit established, endorsed and fully functional | Ministry of Environment | M3/Y1      | M3/Y1    |

Insert responsible entity

Insert Month and Year

|      |                                                                    |                         |       |        |
|------|--------------------------------------------------------------------|-------------------------|-------|--------|
| A1.2 | Project inception workshop organised and held                      | Project Management Unit | M3/Y1 | M3/Y1  |
| A1.3 | Monthly meetings of the Project Management Unit organised and held | Project Management Unit | M3/Y1 | M12/Y3 |
|      | [Insert additional rows, or delete unused rows, as needed]         |                         |       |        |

## 5.4.PROJECT INDICATORS

For each output, develop output indicators with baselines and targets. These will provide a simple and reliable means to assess your project's progress and results. As a rule of thumb, try to develop as many indicators as activities per output.

### EXAMPLE

#### Logframe:

Insert numerical value at the start and end of the project

Insert the data source/evidence used to measure progress

| Indicators                                                 | Baseline | Target | Means of Verification                                                 |
|------------------------------------------------------------|----------|--------|-----------------------------------------------------------------------|
| O1.1 Project Management Unit established                   | 0        | 1      | Nomination/Appointment letters for PMU members<br>List of PMU members |
| O1.2 Monthly meetings of the PMU organised                 | 0        | 36     | Meeting minutes of the PMU including list of participants             |
| O1.3 Inception workshop held                               | 0        | 1      | Inception workshop report, including list of participants             |
| [Insert additional rows, or delete unused rows, as needed] |          |        |                                                                       |

## 6. ADDITIONAL GUIDANCE ON PROJECT IMPLEMENTATION (SECTION C)

The following chapter provides additional guidance on topics covered in section C of the concept note and application form.

### 6.1. PROJECT IMPLEMENTATION, COMPOSITION, ROLES AND RESPONSIBILITIES

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.

Describe the composition, roles and responsibilities and how decisions will be made, as appropriate, for the following:

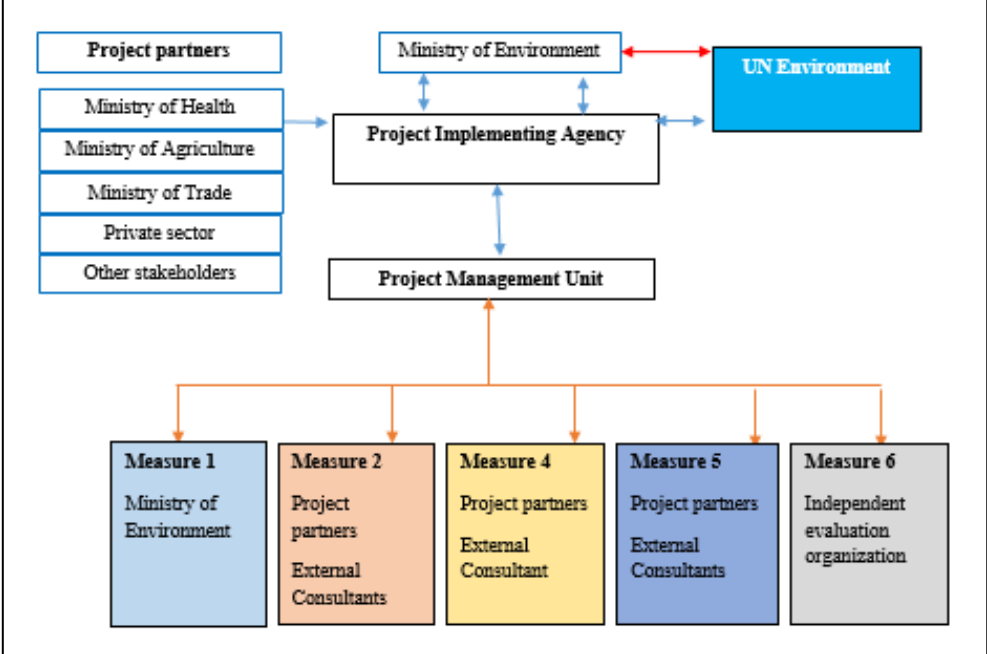
- Project manager and government authority implementing the project;
- Lines of responsibility of project team members;
- External partner agencies, highlighting each agency's responsibility in the project;
- The Project Steering or Coordination Committee, including specificities on the roles and responsibilities 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.

**For regional/ multi-country projects:** Provide information on which countries will participate in the project, their involvement, and which will act as the project lead. The lead applicant takes responsibility for direct engagement with the Global Framework on Chemicals Secretariat on project implementation and signing the agreement. It is also responsible for project reporting and channelling funding, as needed, to other implementing partners.

The applicant must clearly indicate how it will coordinate the effective implementation of the project and channel funds, as needed, to the other implementing partners. It must also note how project implementation will be divided among participating governments, as appropriate.

The applicant should provide details on how the project is expected to facilitate the safe and sustainable management of chemicals and waste in the context of the shared challenges. Include the value added of the regional/multi-county approach and any economies of scale that would be achieved in Section C.

Examples:

|                                                                                                                         |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
|-------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p><b>C.3 Describe how the project will be managed, incl. the roles of the Implementing Partner(s) (200 words)</b></p>  | <p><b>Role of the Project Management Unit</b></p> <p>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:</p> <ul style="list-style-type: none"> <li>• Scheduling and coordinating meetings;</li> <li>• Setting the meeting agendas;</li> <li>• Producing documentation and distributing to members;</li> <li>• Recording and distributing meeting minutes to members;</li> <li>• Managing correspondence;</li> <li>• Hiring and managing personnel;</li> <li>• Completing inputs from national stakeholders and developing final products in line with the proposed outputs;</li> <li>• Fulfilling reporting, monitoring and evaluation requirements</li> </ul> |
| <p><b>C.5 Insert an organigram listing key partners and stakeholders to achieve the project results and impacts</b></p> |  <p><i>Descriptions of the names and roles of <u>all</u> the project stakeholders listed in the graphic above should be provided.</i></p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |

## 6.2. MULTI-STAKEHOLDER APPROACH AND STAKEHOLDER ENGAGEMENT

Multi-sectoral and multi-stakeholder approaches are at the core of the Global Framework on Chemicals. Applicants should therefore demonstrate how their projects will engage relevant stakeholders across sectors and institutions, reflecting the collaborative nature of the GFC Framework. This includes government ministries, civil society, private sector actors, academia, and community-based organizations. Effective multistakeholder engagement should be inclusive, context-specific, and sustained throughout the project cycle, from design and implementation to monitoring and evaluation.

Applicants are encouraged to consider:

- Which stakeholders are most relevant to the project's context, value chain, or policy environment

- How these stakeholders will be meaningfully engaged (e.g., through co-design, consultation, or governance roles)
- How the project will promote synergies between chemicals and waste management and other key policy areas, such as health, labour, agriculture and climate
- How stakeholder engagement will strengthen national coordination and increase uptake of project outcomes



### 6.3. PROJECT RISKS AND MITIGATION MEASURES

**Risks** are significant factors or conditions that may negatively affect a project. Risk management is a set of the measures taken to reduce and mitigate the likelihood or effects of identified risks.

#### Examples

| C.7 Project risks and mitigation measures                                                                                                                                                                                                                                                                                                                                                                    |                                                                                                                                                                             |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>C.7.1 Risk 1</b>                                                                                                                                                                                                                                                                                                                                                                                          | Delay of project activities due to inefficient human resource (HR) procedures (for example, hiring national consultants), inefficient personnel, or coordination challenges |
| 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. |                                                                                                                                                                             |
| <b>C.7.2 Risk 2</b>                                                                                                                                                                                                                                                                                                                                                                                          | Delayed development and endorsement of policies.                                                                                                                            |
| The existing parliamentary committee on environment will take up the responsibility of ensuring political support is obtained where necessary.                                                                                                                                                                                                                                                               |                                                                                                                                                                             |
| <b>C.7.3 Risk 3</b>                                                                                                                                                                                                                                                                                                                                                                                          | Delay of project activities due to inefficient procurement or financial management.                                                                                         |
| Procurement operating procedures and regulations are in place. A designated financial manager has been assigned to the project to support procurement and financial activities.                                                                                                                                                                                                                              |                                                                                                                                                                             |

### 6.4. PROJECT GENDER MAINSTREAMING AND SAFEGUARD CONSIDERATIONS

The primary objective of gender mainstreaming and social and environmental safeguard considerations is to design and implement projects, programmes, and processes that:

- Do not enforce existing gender inequalities;
- Attempt to redress existing gender inequalities;
- Attempt to redefine women and men's gender roles and relations at the structural level.
- Are completely aligned with MEAs, and avoid or minimize the generation of hazardous or non-hazardous waste and promote a human rights-based approach to the environmentally sound management and disposal of hazardous substances and waste;
- Promote and protect the rights of indigenous peoples, especially concerning their lands, territories, resources, traditional livelihoods, tangible and intangible cultural heritage, which are central to respecting indigenous peoples' identities and improving their well-being.



- Apply an intersectional approach to chemical risk management by considering how gender, age, disability, occupation (including informal work), and migration status shape exposure, vulnerability, and access to safeguards.

During the project development you should consider:

- Equal/appropriate participation or representation of women and men – in decision-making as well as project implementation activities.
- Women's and men's different needs based on their concerns, experiences and constraints.
- Whether proposed activities/approaches will lead to gender-responsive results (and not unintendedly reinforce gender inequity).
- Collection of sex-disaggregated data.
- How other factors such as age, occupation, disability, migration status, and informality intersect with gender to influence risk, exposure, and access to project benefits.

Questions that may support you during the project development and throughout its execution:

- A. Who does what? When? Where?
- B. Who has what or has access to what?
- C. Who decides and how?
- D. Who gains? Who might lose (even if unintended)?

UNEP's [Gender and Environment support kit](#) may provide further support on understanding the relevance of gender in your specific project context.

Example:

#### **C.8 Gender mainstreaming and environmental and social safeguards**

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. The project will undertake a gender assessment 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.

The project will promote indigenous peoples' and women's engagement and leadership in decision-making processes during all stages of project implementation.

In addition, the project will raise awareness of the health impacts of chemical exposure on indigenous peoples, women, youth, elderly people, people with disabilities and disadvantaged populations as part of the outreach programme that will be carried out under output X.

## 7. INTRODUCTION TO “RESULTS BASED MANAGEMENT” AND THE “THEORY OF CHANGE” AS TOOLS TO DESIGN A PROJECT

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 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 section sets out project development tools and some considerations that may help applicants in the conceptualisation of their project prior to filling in the application forms.

First, this chapter introduces “Results Based Management” and the “Theory of Change” as a conceptual tool that applicants may wish to consider in the planning of their project application. The consideration of the Results Based Management and the Theory of Change is becoming widely supported as best practice in project management planning. They are an imperative preparatory step for clear, effective project design. It is suggested here to consider using a “Results Based Management” and the “Theory of Change” approach to conceptualise the project design as a first step. This will help fill in the different sections of the application forms, and specifically to help crystalizing the outputs, the Logical Framework and workplan.

### What is Results Based Management?



Results based management is a management strategy by which all actors, contributing directly or indirectly to achieving a set of results, ensure that their processes, products, and services contribute to the achievement of desired results. The actors use information and evidence on actual results to inform decision making on the design, resourcing and delivery of programmes and activities as well as for accountability and reporting.

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

Results-Based Management requires looking beyond activities and outputs to focus on the final result (outcome). By establishing clearly defined expected results, assessing risks, collecting information to assess their progress on a regular basis during implementation, and making timely adjustments, projects can be managed in order to maximise the achievement of results. With Results-Based Management, the focus remains on the effectiveness of results, not only during planning, but also during implementation.

### Key definitions

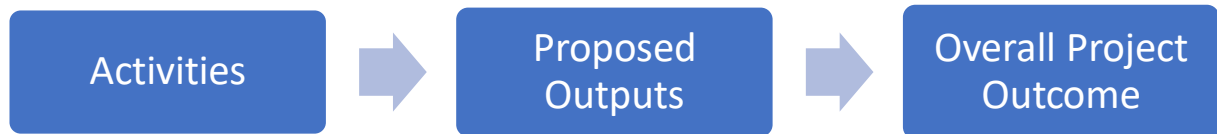
- An **activity** is an action taken, or work performed, through which inputs are utilized to realize specific results. The activities of a project are the tasks and actions needed to achieve the project proposed outputs and, by extension, the overall project outcome.
- The **outputs** are the result of undertaking a series of activities. Each activity will result in a service (i.e. training, awareness raising) or a tangible output (i.e. technical guidance material, reports). The proposed outputs will capture how the services or products are adopted by the intended beneficiaries and how their awareness, knowledge and behaviours has changed. It is normally captured at the level of the individuals or groups of people. *For example: Increased capacities of civil servants in the Health and Environment Ministry.*

- The **overall project outcome** describes the desired overall result of a project. It is normally measured at the institutional level. *For example: Increased public institutional capacity of the Government for the sound management of chemicals and waste.*
- **Drivers** are the significant external factors that, if present, are expected to contribute to the realization of the intended results. Drivers can be influenced by the project and its partners. They are external factors that are required to reach a next level result in the project implementation, such as the level of engagement of stakeholders and partners, or the level of awareness of policymakers.
- **Assumptions** are significant external factors or conditions that need to be present for the realization of intended results but are beyond the influence of the project and its partners. E.g. the country's economic landscape or its political turn-over.

### What is the Theory of Change?

The Theory of Change is a method for planning, participation, and evaluation. It defines long term intended impact and then maps backward to identify necessary preconditions. It is a comprehensive description and illustration of how and why a desired change is expected to happen in a context. The aim of a Theory of Change is to understand the dynamics of change and the logical pathways between preconditions and project outputs and overall outcome. It maps how change can occur, and the values that underpin views on how change happens.

In the simplest terms, the Theory of Change is a mapping exercise. It starts by defining the overall project outcome, working backwards to identify intermediate steps and preconditions, explicitly depicting the causal pathways from activities to outputs. Defining these pathways and precise links between the activities needed and achieving the overall project outcome contributes to a better understanding of how change will occur. This then becomes a roadmap for the project implementation phase, with clear routes and measurable distances.



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

A Theory of Change can be represented either in a graphic manner 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 a 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.

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 line with the Results-Based Management principle of continuous adjustment: monitor progress, compare expected outputs to actual outputs, learn and adjust as necessary.

### Moving from the theory of change to filling in the logical framework



The **Logical Framework**, which takes the form of a table, is a mandatory part of a project document. It serves as the key planning tool, using the principles of results-based

management to reflect the insights gained from doing a Theory of Change exercise in preparation of a project application.

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

### **Key definitions**

- **Indicators** - quantitative or qualitative measures that provide a simple and reliable means to assess results. Indicators are used to track progress towards project targets. They should have a pre-established baseline and target.
- **Means of verification** - how progress will be verified. In case of products, the evidence will be the product itself (e.g. "Assessment Report"). In case of services, it will be the summary reports or materials used to provide the service that will be provided as evidence (i.e. training materials, participation sheets, training assessment forms will be the evidence for a holding a training session).

The activities and time frames are to be reflected as necessary in the Logical Framework.

### **In summary**

The *results-based management* approach to project design and management focuses on the desired result and works backwards to ensure that the correct interventions and building blocks are provided so that the intended results are achieved. The *Theory of Change* provides a visual guide, mapping out the journey from destination to starting point and identifying inputs and risks along the way. The *logical framework* turns that vision into a step-by-step process, identifying key milestones, indicators and targets by which to measure progress, with the workplan and budget detailing the activities and resources required to achieve the goals of the project. These important design tools then in turn form the basis for *monitoring of progress*, allowing for an adaptive approach to management as lessons are learned along the way. They also feed into regular reports on progress that allow for the project's achievements and results, and ultimately its success, to be identified and measured.

## 8. APPLYING RESULTS BASED MANAGEMENT IN THE PROJECT DESIGN AND APPLICATION PROCESS (Section B)

### 8.1.PROJECT OUTCOME

In the logical framework, describe the outcome that the project intends to achieve by the end of the project timeframe and funding.



The **project outcome** is the use (i.e. uptake, adoption, application) of an output by intended beneficiaries, observed as a change in institutions or behaviours, attitudes and conditions.<sup>4</sup>

The following table shows examples of weak and strong project outcomes:

| Example of a weak project outcome | Issue                                                                                                                                                    | Examples of a strong outcome                                                                                                                                                  |
|-----------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Use of plastic is reduced         | Outcome does not identify for/by whom or where the expected change will occur.<br>Outcome is not achievable in the context of one project                | Use of single use plastic bags by the public is phased out and reusable, more sustainable alternatives are promoted                                                           |
| Plastic waste is soundly managed  | Outcome does not specify direction of expected change, nor whom, specifically, it will affect<br>Outcome is not achievable in the context of one project | Reduced transboundary movement of illegal plastic waste into country X                                                                                                        |
| Better chemicals and waste policy | Outcome is too vague<br>Outcome does not indicate what to measure when selecting indicators.<br>Very difficult to report on the impact of this outcome   | Improved coherence and comprehensiveness of existing chemicals and waste legislation in country X in the context of its obligations towards the Global Framework on Chemicals |

### 8.2.OUTPUTS



An **output** is the availability (for intended beneficiaries/users) of new products and services and/or gains in knowledge, abilities, and awareness of individuals or within institutions. For example, access by the intended user to a report; new knowledge held by a workshop participant at the end of a training event; heightened awareness of a serious risk among targeted decision-makers. (Outputs are viewed from the perspective of the intended beneficiary or user of the output rather than the provider).<sup>5</sup>

Proposed outputs relate to the completion of activities and project managers have a high degree of control over them.

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<sup>4</sup> UNEP Glossary of results definitions [2021](#)

<sup>5</sup> UNEP Glossary of results definitions [2021](#)

Points to consider when formulating an output:

- **What:** The product or service being provided, and in what topic or subject, e.g. training/conference/workshop, legislation, publication, database, strategy, information materials on a specific subject.
- **Verb:** Use a verb in the past tense, e.g. provided, delivered, completed, organized.
- **Whom:** The target audience, e.g. general public, ministry officials, farmers, companies along the value change, end-users of a product, children and youth, enforcement officers.

The following table shows examples of weak and strong outputs:

| Examples of weak output                                                                                                                                                                | Issue                                                                                                                                                                                                                                                                                                                                                                                   | Examples of strong output                                                                                                                                                                                                             |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Identify major barriers and priority measures needed to improve national legislation on chemical management.</b>                                                                    | <p>The proposed output does not describe the specific products or services the country is expected to deliver, such as technical assistance, training, or mentorship, etc.</p> <p>It contains the term “improved”. Outputs should not reflect an adjective that indicates direction (increased, improved, strengthened, etc.).</p>                                                      | <p>Chemicals and waste related legislation reviewed, updated, and endorsed by relevant Government officials.</p> <p>Chemicals and waste management mainstreamed in the Government’s upcoming national development plan and budget</p> |
| <b>Planning the project, Establish the project management team, Data gathering, conducting workshops and training on cleaner production techniques and risk and impact Assessment,</b> | <p>These proposed outputs are detailed at the activity level, leading to a longer list of proposed outputs than necessary.</p> <p>It combines multiple proposed outputs into one.</p>                                                                                                                                                                                                   | <p>Research conducted to gather data on cleaner production techniques within the chemicals industry.</p> <p>Training provided to workers in the chemicals industry on Risk and Impact Assessment</p>                                  |
| <b>Undertake an awareness raising and education campaign</b>                                                                                                                           | <p>The output does not describe the specific products or services the country is expected to deliver, such as technical assistance, or training, or mentorship, etc.</p> <p>It does not specify the target group or provide a qualifier about the scope of the campaign.</p> <p>The output does not reflect how the country will fulfil its obligations towards the GFC objectives.</p> | <p>Awareness raising and education campaign for the general public on chemical safety conducted</p>                                                                                                                                   |

### 8.3.ACTIVITIES



An **activity** is an action taken or work performed, through which inputs are utilized to realize specific results.<sup>6</sup>

The activities of a project are the tasks and actions needed to achieve the proposed output and, by extension, the outcome. It is recommended that **three to five activities** are included for each 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 outputs.

Points to consider when formulating project activities:

- **Verb:** A verb describing the action to be taken, e.g. provide, train, produce, hire, prepare, develop.
- **What:** Describe the activity being undertaken and in which area or subject.
- **Whom:** The individuals, groups, organizations, or entities for whom, or in cooperation with whom, the activity will be undertaken.

The following table shows examples of weak and strong activity descriptions:

| Examples of weak activity description                                                                                               | Issue                                                                                                                                                                                                                 | Examples of strong activity descriptions                                                                                                                                                                        |
|-------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Training workshops</b>                                                                                                           | Activity does not specify the target audience for the workshops.<br>It 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                                                 |
| <b>Identification of the needs and strengthening the capacities of the stakeholders</b>                                             | Description does not provide enough information on the activity being undertaken or the topic/subject.<br>It combines multiple activities into one.<br>It does not provide sufficient details on the target audience. | Conduct a gap and needs analysis of existing legislation related to chemicals and waste management.<br>Organize and deliver an awareness raising workshop for policymakers based on the gaps and needs analysis |
| <b>The effectiveness of information exchange for the reduction and destruction of hazardous waste has increased in the country.</b> | This describes a result, not an activity.<br>It does not provide enough information on the activity being undertaken or the topic/subject.<br>It does not provide sufficient details on the target audience.          | Online clearing house mechanism designed and developed for customs control officers.                                                                                                                            |

<sup>6</sup> UNEP Glossary of results definitions [2021](#)

## 8.4.LAST OUTPUT: MONITORING, EVALUATION, AND AUDIT

All projects need to include “monitoring, evaluation, audit” in their project application and execution (see last output in the concept note and application form). Please leave the inserted text in the form under this output and provide further specifications under each activity, if needed, based on the explanations of the different concepts here below.



**Monitoring** is the systematic collection of data on progress towards the project’s overall outcome, outputs, and activities. This is done to determine the extent to which the project is set to achieve its indicators and targets as outlined in the logical framework.

**Monitoring is conducted by the project team.** It is the responsibility of the project manager and must be carried out regularly. For this reason, monitoring should be included in the project work plan and allocated with the necessary human and financial resources. Monitoring is budgeted within the administration costs of the project.

To clarify roles and responsibilities for monitoring within the project team, a simple monitoring plan could be developed specifying “what will be monitored, how often, by whom and how”.

| What?<br>Item being monitored | How often?<br>Periodicity (i.e. 2 months) | Who?<br>Person responsible in the team | How?<br>Indicators, means of verification |
|-------------------------------|-------------------------------------------|----------------------------------------|-------------------------------------------|
| Overall Outcome               |                                           |                                        |                                           |
| Output                        |                                           |                                        |                                           |
| Activities                    |                                           |                                        |                                           |

### 8.4.1. EVALUATION



**Evaluation** is a systematic and impartial assessment of the expected and unexpected results and achievements of the project. It provides the project team with independent findings, conclusions about the project and recommendations for future similar projects.

The evaluation should be conducted by an **independent external expert**, unlike monitoring which is conducted by the project team. It is the responsibility of the project manager to identify and hire an independent expert such as a consultant who will conduct the evaluation of the project during the last months of project implementation. For this reason, the evaluation should be included as a separate activity in the project work plan and allocated with the necessary financial resources.

The evaluation will assess the achievements of the project according to a set of questions that will be provided by the Global Framework on Chemicals Secretariat to the project team in the form of a standard evaluation Terms of Reference template. The project team will manage the entire evaluation process, whereas an external evaluation expert, hired by the project team, will conduct the evaluation in terms of data collection, data analysis and report writing.

### 8.4.2. 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 Global Framework on Chemicals falls, is subject to audits by



the UN Office of Internal Oversight Services and the UN Board of Auditors. All projects under the Global Framework on Chemicals Fund are externally executed, and therefore the (lead) applicant is responsible for the financial management of the project.

Upon completion of the project, a final project audit must be undertaken by an independent auditor. Projects will be required to submit a copy of its consolidated audited financial statements, wherein GFC Fund funding is clearly identified, issued by an independent audit authority, and as presented to and endorsed by the country's governing body. The institution which will be responsible for undertaking the audit should be identified in the Application Form, Section K.

The arrangements for monitoring, evaluation and financial audit should be a simple but robust mechanism with a budget not higher than a maximum total of US\$20,000.

#### **8.4.3. EXIT STRATEGY**

The exit strategy consists of an institutional arrangement to ensure that the project results and structures will be maintained after the completion of the project.

It is the responsibility of the project manager to embed, plan and implement the exit strategy during the lifetime of the project. It must be planned from the start of the project and should be reflected in the workplan as a separate activity. The activities related to the exit strategy should be financed as part of the core funding of the project.