

CHEMICALS
AND WASTE
MANAGEMENT
PROGRAMME



Special Programme Monitoring, Evaluation, & Learning Toolkit

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CHEMICALS AND WASTE MANAGEMENT PROGRAMME



About United Nations Environment Programme (UNEP)

UNEP is the leading global voice on the environment. It provides leadership and encourages partnership in caring for the environment by inspiring, informing, and enabling nations and peoples to improve their quality of life without compromising that of future generations.

About the Special Programme

The Special Programme (also known as the Chemicals and Waste Management Programme) aims to support eligible countries in strengthening their institutions. This enables them to soundly manage their chemicals and waste, and to meet their international obligations—through the development and implementation of policies, legislation, and regulation at the national level.

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With thanks to:

Valerie Gordon, Janet Bedasse, Usman Tariq, Komal Tariq and Robert Wilson

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Glossary¹

Activity

An action taken, or work performed, through which inputs are utilized to realise specific results.

Adaptive Management²

A systematic process for continually improving management policies and practices by learning from the outcomes of previously employed policies and practices

Assumptions

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. Assumptions are often positively formulated risks. (See also Drivers)

Baseline³

The status of the indicator at the beginning of a programme or project that acts as a reference point against which progress or achievements can be assessed.

Drivers

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.

Evaluation

The systematic and objective assessment of an on-going or completed project, programme, strategy or policy, its design, implementation, results and likelihood of impact.

Goals

The higher-order objectives or results to which a Programme or project is intended to contribute.

Impact

Long-lasting results arising, directly or indirectly from a project. Impacts are intended and positive changes and must relate to UNEP's mandate.

1 Unless otherwise indicated, the definitions are based on the Glossary of Results Definitions Relevant for Harmonized Results Based Approach in UN Environment (July 2019) – itself compiled from different sources including UNEP's own practice (RBM training material, Programme Manual and Evaluation Unit glossary) as well as from UNDG, UNDP and OECD.

2 <https://www.greenfacts.org/glossary/abc/adaptive-management.htm>

3 UNDG RBM Handbook (2012)

Indicator

A quantitative or qualitative measure that provides a simple and reliable means to assess results. Attributes of good indicators is that they conform to the CREAM⁴ principles. Indicators are used to track progress towards project targets, which should conform to the 'SMART'⁵ principles.

Inputs

The financial, human and material, resources used for project implementation

Lessons Learned

The new knowledge or understanding gained by the experience of implementing a project that is applicable to, and useful in, other similar contexts.

Logical Framework

A Logical Framework (Logframe) is a tool for summarizing the project's intended results. It specifies project results, indicators and their baseline and target values. It also includes a milestone schedule to deliver the expected output(s) and/or achieve intended result(s).

Monitoring

A continuing function that uses the systematic collection of data on project / programme parameters (e.g. expenditure, risk, milestone delivery, inclusive participation etc.) to provide management with indications of the extent of progress against plans and targets.

Outcome

Outcomes are the use (i.e., uptake, adoption, application) of an output by intended beneficiaries, observed as changes in institutions or behavior, attitude or condition.

Outputs

Outputs are the availability (for intended beneficiaries/users) of new products and services and/or gains in knowledge, abilities and awareness of individuals or within institutions.

Qualitative Indicator

Verifiable indicators that use categories that can be ranked or compared to assess changes such as judgments, opinion, perceptions or attitude. This can include statements that are answered with yes or no.

Quantitative Indicator

Verifiable indicators that can be measured numerically e.g. numbers, percentage, rate and ratio

Results

Results are intended changes in a state or condition that derive from a cause-and-effect relationship. Such changes must be describable and measurable/discernible. A results statement and its indicators should be collectively SMART⁴ or CREAM⁵ principles. Outputs, outcomes and impact are considered 'results' (as opposed to inputs and activities).

4 CREAM refers to indicators that are Clear, Relevant, Economic, Adequate, Monitorable

5 SMART refers to targets that are Specific, Measurable, Achievable, Realistic and Time-Bound

Results Based Management (RBM)

RBM 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 (outputs, outcomes and higher-level goals or impact). 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

Results Matrix⁶

A type of logic model that is tailored to monitoring progression toward the targets of the project results (outputs and outcomes)

Risks

Significant factors or conditions that may negatively affect a project.

Targets⁷

Specifies a particular value that an indicator should reach by a specific date in the future. For example, "total literacy rate to reach 85 percent among groups X and Y by the year 2010."

Theory of Change

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. A Theory of Change also allows for unintended positive and/or negative effects to be depicted.

6 Definition derived from expert forum

7 UNDG RBM Handbook (2012)

Introduction

A Monitoring, Evaluation and Learning (MEL) Strategy and Action Plan has been established for the Special Programme. The Strategy has the following objectives:

- To ensure that evidence-based monitoring, evaluation and learning is understood as part of the Programme and Project cycles of the Special Programme
- To provide consistent information to stakeholders at all levels
- To ensure that knowledge generated through learning is captured and disseminated internally and externally
- To build capacity of implementers of programmes and projects to incorporate MEL tools into design, planning, implementation and budgeting processes
- To guide the Annual technical and Financial reporting processes.

One of the key elements of the Strategy is the adoption of core indicators, which should be incorporated into the logical frameworks and reporting of all projects funded through the Special Programme. This will allow for the actual substantive achievements of the individual projects to be recorded, and for the effectiveness of the Special Programme itself in fulfilling its mandate to be measured.

At Project level, the primary focus of the management team in undertaking the monitoring and evaluation of the project will be **Monitoring and Reporting**.

This Toolkit is designed to guide funding recipients (Country Projects) through the project monitoring and reporting processes indicated in the Strategy. It has been developed to help countries in their implementation of the monitoring, evaluation and learning strategy. It is designed to be flexible, so that individual countries can adapt the tools to their needs. The Toolkit itself may be updated from time to time to reflect lessons learned through the implementation of the strategy.

Note. It may be necessary for an Evaluation Professional to introduce the concepts in this toolkit to the users, as the concepts may not be immediately understood by persons who have not been trained in the practice of Monitoring and Evaluation (M&E), or who have not done significant additional reading and research on the topic. Should clarification be needed on specific aspects of the Toolkit, or of the monitoring and reporting processes provided for in the Strategy itself, please reach out to the Secretariat of the Special Programme at unepchemicalsspecialprogramme@un.org.

The Toolkit comprises the following sections:

- Section A** sets out some elements of monitoring and reporting in the context of the Special Programme, which are explored in more depth in the sections that follow.
- Section B** looks at the Special Programme's Core Indicators in some detail, including definitions and methodology.
- Section C** provides guidance to countries in developing a monitoring and reporting plan.
- Section D** looks at how to identify and document lessons learned.



SECTION A: Elements of Monitoring and Reporting (M&R)

Monitoring and reporting on the project's activities and progress towards results is an important obligation under the funding agreement. While the individual projects work independently of each other, they are expected to contribute toward achieving the outcome of the Special Programme, which is: 'Governments of developing countries and countries with economies in transition are taking affirmative action to implement the Basel, Rotterdam and Stockholm conventions, the Minamata Convention and SAICM implementation plans'.

Monitoring and reporting by country project authorities provide the Special Programme Secretariat and other stakeholders (e.g. national partners) with regular feedback on project progress. They also provide early indications of problems in the achievement of planned results in order to facilitate timely adjustments in the operation.

Planning for monitoring and reporting starts at the project initiation stage. Project Applications submitted by countries currently include a **logframe** developed by the primary applicant. The preparation of the logframe is an important activity that can be challenging if the project management team is not adequately familiar with the exercise.

Given the limited resources that may be available at the country level to support the full elaboration of a working logframe and appropriate monitoring and reporting systems, a fairly basic log frame is acceptable in the initial Project Application. Support for the development of the logframe may be provided at this stage by the Secretariat as part of its technical assistance to countries in completing the Project Application form.

Once the Project is approved for funding, however, more detailed work on the logframe may be necessary. This process should be participatory, involving the main stakeholders of the project. Ideally the process should be led by the project management team, however external assistance can be sought. The Secretariat may also provide more specific guidance and feedback on the final logframe. Appendix 1 is a summary guidance for preparing a logical framework matrix.

Setting up a Monitoring and Reporting (M&R) Plan is strongly recommended. Section C contains a guide to developing a M&R plan.

The M&R plan is important because it guides project strategy, ensures effective operations and ensures that external reporting requirements are met.

Critical elements of a Monitoring and Reporting Plan are:

- i. The Results matrix (which is the intervention logic in matrix format). This starts with a good logframe and includes additional elements - see Section C for more information.**
- ii. SMART (Specific, Measurable, Achievable, Realistic, Timebound) indicators with definitions**
- iii. Roles and responsibilities of relevant stakeholders/actors**
- iv. Data analysis and processing procedures.**

When gathering and analyzing information and documenting the monitoring and reporting plan, stakeholder participation is desirable because it helps to build stakeholders' understanding of the project. The process creates a learning environment by sharing understanding of terminology and action, develops a framework approach or system that is designed within the institutional context, and standardizes data collection to ensure that results are valid and comparable.

The background features a historical map of the Solent region, showing the coastline, various bays, and numerous place names. The map is overlaid with seven vertical bars of different colors: red, pink, blue, teal, green, and yellow. The text is centered over the map and bars.

SECTION B: **Guidance** **on Special** **Programme** **Core Indicators**

1 Introduction

The Special Programme’s Monitoring, Evaluation, and Learning Strategy establishes a basis for monitoring and evaluation of the impact, outcomes and outputs of funded projects. It also provides guidance to countries in the development of their own monitoring and reporting frameworks and ensures that relevant results and indicators for measuring progress of the Special Programme itself are integrated at the project level.

In order to be able to aggregate and compare country-level results at the programmatic (Special Programme) level, a set of two core indicators (see Table 1) have been developed for the national monitoring and evaluation systems to report to the Secretariat. They have been designed to capture country level program outcomes/outputs and are aligned with the Special Programme’s own Theory of Change (see Appendix 2) and logframe (see Appendix 3). Reporting against Core Indicators at the project level will feed into measurement of overall progress at the level of the Special Programme, the outcome of which is that “Governments from developing countries and countries with economies in transition are taking affirmative action to implement the Basel, Rotterdam and Stockholm conventions, the Minamata Convention and SAICM implementation plans”. This document therefore distinguishes between project-level and programme-level monitoring and reporting, although the two are closely related.

The Core Indicators are also intended to assist the Secretariat and recipient country governments to assess their contribution to the realization of SDG 12.4 specifically, and also contributions to achieving SDGs 2, 3, 6, 7, 8, 11, 14, and 17.

This section provides practical information about how the Core Indicators are defined and measured at the project level in a manner that is consistent and in alignment with countries’ needs.

Table 1: Special Programme Core Indicators

Core Indicator 1

Extent of strengthened government capacity and coordination mechanism to support development and implementation of National Strategies for Chemicals and Waste Management as a result of funding from the Special Programme (Outcome indicator, Qualitative)

Core Indicator 2

Degree of integration of chemicals and waste management into national and sector planning - formally proposed, adopted, or being implemented including required reporting to the relevant Conventions and voluntary reporting to SAICM (Outcome Indicator, Qualitative)

The development of the core indicators is based on monitoring and reporting principles, the proposed Special Programme Monitoring, Evaluation, and Learning Strategy, and recipient countries' reporting practices⁸. Also taken into account are the findings of both the EU Results Oriented Monitoring (ROM) Review and the UNEP Mid-term Evaluation (2019). In summary, these reviews found that the absence of a stated requirement for qualitative data reporting in the existing Special Programme results framework indicators for measurement of country project performance had resulted in important achievements and best practices being omitted from project reports. Another finding was that not all projects had a communication component, but those that did could be expanded and integrated into a Special Programme Knowledge Management Platform to facilitate sharing of lessons learned and best practices.

The project logframe will need to be aligned with the Special Programme's Core Indicators, so that the data needed for reporting progress of the project can be generated.

Project managers may need to report on one or both Core Indicators, depending on the objectives of the project.

The definition sheets below explain the specific data required for reporting on each of the core indicators.

In addition to the Core Indicators, projects will use other relevant non-core indicators for monitoring and reporting. Data from these are also expected to be aggregated, where possible, and to contribute to reporting on the overall programme implementation.

Measurement of progress against the indicators also requires baselines and targets to be articulated, with targets set over a specific time frame and the frequency of measurement agreed.

⁸ Drawn from interviews with a sampling of Project Managers and review of reports.

2 Core Indicator Definition Sheets

This section contains the definition sheets for the two Core Indicators. The definition sheets set out a description of each indicator as well as the methodology for measuring and reporting on them. They include such considerations as rationale, linkages, reporting format, baseline, time period, disaggregation and data sources.

The sample scoring criteria demonstrate how progress against the indicators can be rated, while the sample scorecards demonstrate how the score is calculated, as well as capturing other qualitative information on progress (see Annex 1 to this section).

Table 2: Core Indicator 1 Definition Sheet

Extent of strengthened government capacity and coordination mechanism to support development and implementation of National Strategies for Chemicals and Waste Management as a result of funding from the Special Programme
Definition
<p>Countries/Governments with strengthened capacity to implement national strategies for chemical and waste management have new or improved ability to use innovative approaches, processes, strategies or methodologies. They also have greater opportunity for sustainability of the action. The ultimate goal is to lessen exposure to harmful chemicals and wastes and improve human and environmental health. As there are many stakeholders in the chemical and waste industry, a multi-stakeholder coordination mechanism is necessary for inclusion of all stakeholders' views in development and implementation of national strategies, as well as for ensuring consistent and persistent policy dialogue at high levels of decision making within government. The multi-stakeholder activities should be programmed and documented. Membership should comprise government officials, technical experts, private sector (chemical and waste industry), civil society organizations, trade unions. Considerations for gender, indigenous people and the vulnerable must be included in policy/strategy development as well as in the composition of the Coordination Mechanism.</p> <p>Indicators of strengthened government capacity to manage chemicals and wastes include but are not limited to:</p> <ul style="list-style-type: none">▪ Devotion of greater resources to chemical and waste management with a dedicated chemical and waste management unit with required human, financial and physical resources.▪ Improvement in administrative or organizational capacity of chemical focused government ministries, departments or agencies (MDAs)▪ Improved access to relevant equipment and data▪ Engagement of stakeholders and building networks related to chemical and waste management (national coordination mechanisms)▪ Building in-house technical expertise▪ Building knowledge amongst stakeholders and promoting compliance with best practices▪ Enforcement of regulations

SDG Linkage	
<p>SDG 12: Responsible Consumption and Production</p> <p>As well as:</p> <p>SDG 2: Zero Hunger: elimination of highly hazardous pesticides</p> <p>SDG 3: Health and Well-being: reduced exposure to chemicals and waste</p> <p>SDG 6: Clean Water and sanitation: no harmful chemicals and waste in ground water</p> <p>SDG 7: Affordable and Clean energy: no harmful air emissions</p> <p>SDG 8: Good jobs and economic growth: harmful chemicals and waste safely treated at the work-place</p> <p>SDG 11: Sustainable Cities and Communities: adequate and safe waste disposal</p> <p>SDG 14: Life below water: ASGM Mercury reduced in oceans</p> <p>SDG 15: Life on land: reduced contamination on land, soil</p> <p>SDG 17: Partnerships for the goals: IOMC; SAICM; Global Mercury Partnerships etc.</p>	
Linkage to Long Term Outcome or impact	An improved enabling environment through legal, regulatory and policy reform, strategy development and planning helps ensure that efforts and investments in chemical management have legal and strategic backing, as well as both government and stakeholder ownership. Thus, the contribution to the overall objective of the BRS and Minamata Conventions and implementation of the SAICM resulting in improved human and environmental health can be assured.
Indicator Type	Outcome
Reporting Type	Score Card and Narrative
Use of Indicator	This indicator will be used to track the role of Government and multi-stakeholder coordination mechanisms in national, legal, regulatory and policy progress in chemical and waste management. Their roles are expected to support compliance with the BRS and Minamata Conventions and implementation of the SAICM; also SDG Goals 2, 3, 6, 7, 8, 11, 12, 14, 15 & 17.
Reporting Frequency	Annually
Data Source	Data for the various parameters is collected from the agencies involved in various aspects of the project implementation
Reporting responsibility	Reporting is carried out by implementing partners (usually Special Programme recipient countries) using standard monitoring, evaluation & learning (MEL) procedures
Reporting Tools	Sample scoring criteria 1 Sample scorecard 1 See Annex 1
Calculation of the Indicator	The calculation is based on assessment of the extent of achievement of the following attributes: <ul style="list-style-type: none"> ▪ Existence of National chemical and waste databases? ▪ Existence of the necessary Chemical and Waste Management expertise available? ▪ Existence of a department for Chemical and Waste Management that is provided with the necessary resources? ▪ Participation of government in a Multi-stakeholder Coordination Mechanism for Chemical & Waste Management?

Table 3: Core Indicator 2 Definition Sheet

Degree of integration of chemical and waste management into national and sector planning - formally proposed, adopted, or being implemented including required reporting to the relevant Conventions and voluntary reporting to SAICM
Definition
<p>The Basel, Rotterdam and Stockholm (BRS) Conventions along with the Minamata Convention, and the Strategic Approach to International Chemical Management (SAICM) form a comprehensive regime globally for the sound management of chemicals and wastes. Many governments from developing countries and countries with economies in transition are taking affirmative action to implement these instruments.</p> <p>Laws, policies, plans, strategies, regulations, or standards considered under this indicator are measures developed to address and integrate chemical and waste management into national and sector planning.</p> <p>Plans or strategies, such as National Chemical and Waste Management plans, Stakeholder strategies, and other significant measures may be reported under this indicator. National significant measures may include sector specific plans, strategies, policies, or industrial standards which, if successfully implemented, could have a significant impact on the country's management of chemicals and waste.</p> <p>"Formally Proposed" means that a relevant government official or agency, organization, or non-governmental entity with decision-making authority has proposed the measure, according to established procedures, preferably publicly.</p> <p>"Adopted" means officially codified, gazetted or enacted by a government organization, or non-governmental entity with decision-making authority in its respective legal, regulatory, policy, or non-governmental system. If a measure is not yet adopted, it must at least be formally proposed within an official process to be reported.</p> <p>"Implemented" means that a measure is in force or being executed in the intended geographic locations and at the intended administrative levels.</p> <p>"Required reporting" means reporting to the relevant Conventions on chemicals and waste management as required by virtue of a country's ratification of the Convention.</p> <p>Each measure can be counted once as "proposed"; once as "adopted"; and "once" as "implemented" if applicable, within the same reporting period or across multiple reporting periods. The indicator narrative should include an explanation of when each measure is being reported.</p>
SDG Linkage
<p>SDG 12: Responsible Consumption and Production</p> <p>As well as:</p> <p>SDG 2: Zero Hunger: elimination of highly hazardous pesticides</p> <p>SDG 3: Health and Well-being: reduced exposure to chemicals and waste</p> <p>SDG 6: Clean Water and sanitation: no harmful chemicals in ground water</p> <p>SDG 7: Affordable and Clean energy: no harmful air emissions</p> <p>SDG 8: Good jobs and economic growth: harmful chemicals safely treated at the workplace</p> <p>SDG 11: Sustainable Cities and Communities: adequate and safe waste disposal</p> <p>SDG 14: Life below water: ASGM Mercury reduced in oceans</p> <p>SDG 15: Life on land: reduced contamination on land, soil</p> <p>SDG 17: Partnerships for the goals: IOMC; SAICM; Global Mercury Partnerships etc.</p>

Linkage to Long Term Outcome or impact	An improved enabling environment through legal, regulatory, and policy reform, strategy development and planning helps to ensure that efforts and investments in chemical and waste management have legal and strategic backing and institutional ownership.
Indicator Type	Outcome
Reporting Type	Percentage of integration
Use of Indicator	This indicator is used to track national legal, regulatory and policy progress in chemical and waste management which supports the UNEP's Relevant Sub-programme's Expected Accomplishment ⁹ (EA) and its related indicator ¹⁰
Reporting Frequency	Annually
Data Source	Data will be collected by implementing partners with knowledge of their specific activities and programmes.
Reporting Responsibility	Reporting is carried out by implementing partners (usually Special Programme recipient countries) using established standard monitoring, evaluation & learning (MEL) procedures
Reporting Tools	Sample scoring criteria 2 Sample scorecard 2 See Annex 1
Calculation of the Indicator	This involves scoring of the extent of development, updating or implementation of the following: <ul style="list-style-type: none"> ▪ Chemical and/or Waste Management Policy, Plan, Strategy ▪ chemical and/or waste management legal framework ▪ chemical and/or waste management regulatory framework ▪ Reporting to the Conventions to which the country is a contracted party
Disaggregates	National Proposed National Adopted National Implemented

9 Policies and legal, institutional and fiscal strategies and mechanisms for sound chemicals management developed or implemented in countries within the framework of relevant multilateral environmental agreements and SAICM.

10 Number of governments at all levels that are developing or implementing policies, strategies, legislation or action plans that promote sound management of chemicals and/or implementation of multilateral environmental agreements and SAICM with UNEP support.

3 Scoring against the Core Indicators

While the Core Indicators are qualitative indicators, they have been designed as supporting tools which allow for progress to be measured numerically, as well as qualitatively.

Tools in the form of sample scoring criteria and sample scorecards have been developed to aid reporting on the core indicators (**see Annex 1 to this section**). **These should be customized to match the project's indicators.**

The scoring criteria propose a range of scores from 0 to 5 (for Core Indicator 1) and 0 to 3 (for Core Indicator 2), to allow for the assessment of progress made in, for example, establishing a national chemicals and waste database (for Core Indicator 1) or developing a chemicals and waste management strategy (Core Indicator 2).

The scores are then used in the scorecard, to calculate an overall numerical score for the indicator. Subsequent reports should build upon previous reports to allow for the progress to be tracked over time.

The scorecards may also contain sections for narrative comments on aspects such as gender considerations, lessons learned, etc.

The following proposed steps may provide guidance in the process of monitoring and reporting on the Special Programme project. As noted in the Core Indicator Definition Sheets, reporting takes place annually. However, project managers may also wish to carry out the scoring process at 6 months to see the progress made in delivering planned outputs and outcomes leaving out Step 7 below.

Step

1

Establish a Scoring team.

The team should ideally comprise the in-country stakeholder groups, with representatives of all participating agencies, private sector and NGOs relevant to the project activities. Ensure that both men and women are included in the scoring team.

Step

2

Establish an inventory.

All chemical and waste responsive instruments, tools, strategies, and activities in the project

Step

3

Agree on scoring criteria for each core indicator.

Sample criteria have been provided in Annex 1; however, these need to be adapted to match the particular project.

Step

4

Establish individual scores for each indicator under each criterion.

The scoring team will negotiate and agree on scoring for each indicator based on their goals and objectives of the project.

Step

5

Compile data for Core Indicators 1 and 2. (as applicable).

Bear in mind that the scorecard contains sections to elaborate on how the project has included gender, indigenous people and the vulnerable in participatory discussions, workshops, training, policy documents, strategies and action plans.

Step

6

Do the quality assurance and verification.

Appoint someone with this responsibility to cross check the assessments/findings with the evidence available.

Step

7

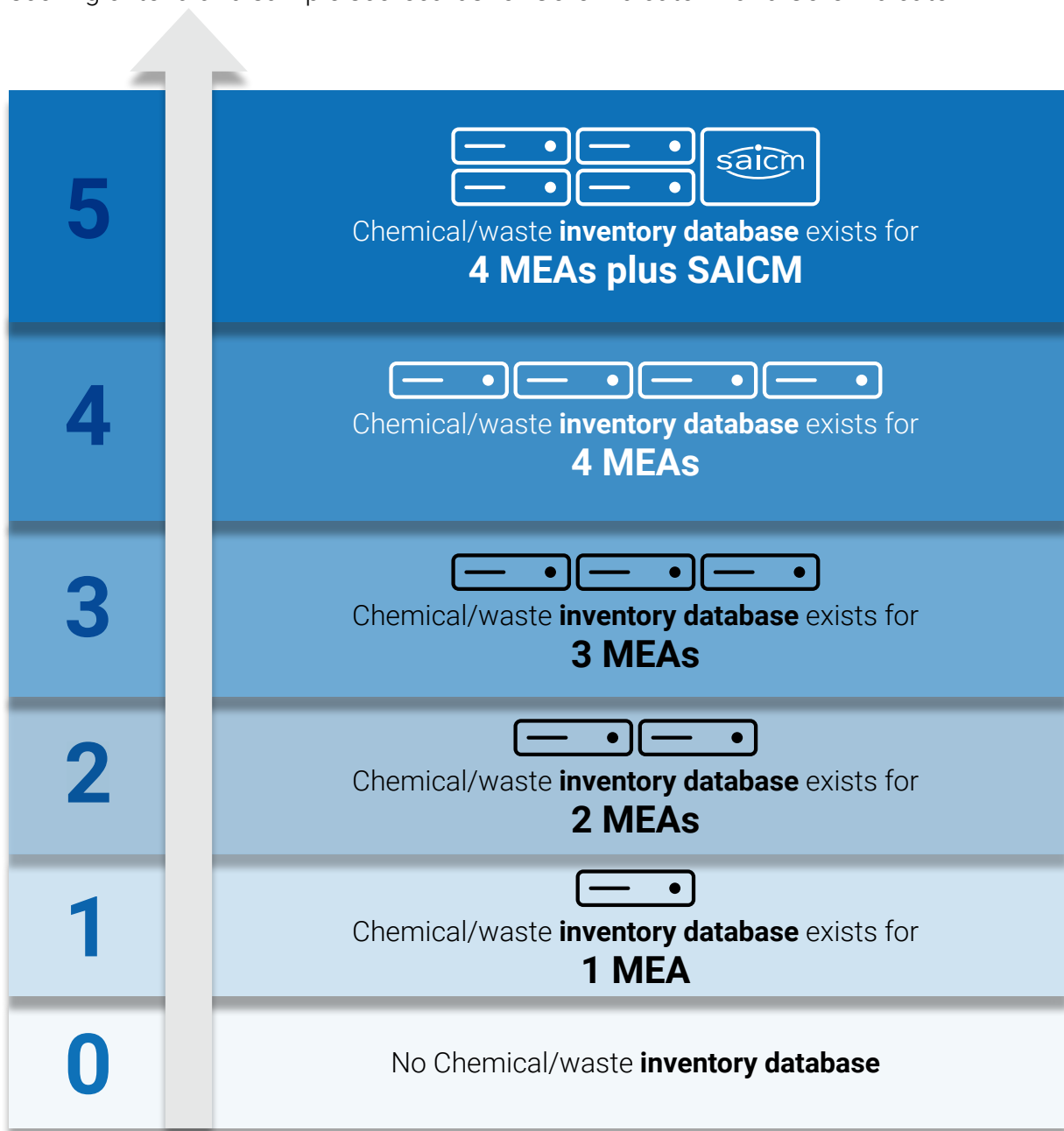
Submit completed scorecards and the relevant evidence.

To support the scoring decisions to the Project Manager for further submission along with the Annual Narrative Report, to the UNEP Secretariat.

Annex 1: Sample scoring criteria

Are there National chemical and/or waste databases?

Sample scoring criteria defined on a sliding scale can help to measure progress against specific aspects of project implementation over time, as in the example below on the establishment of a chemicals and waste database. The tables that follow set out sample scoring criteria and sample scorecards for Core Indicator 1 and Core Indicator 2.



Scoring criteria 1: for Core Indicator 1

SAMPLE: Scoring Criteria for Core Indicator #1. (National Level). Extent of strengthened government capacity and coordination mechanism to support development and implementation of National Strategies for Chemicals and Waste Management as a result of funding from the Special Programme.

Countries may revise criteria to suit their particular situation but in-keeping with intervention logic

In order to express “Extent” as a percentage, divide the score by 5 and multiply by 100

Score	Are there National chemical and/or waste data-bases?	Is the necessary Chemical and/or Waste Management expertise available?	Has a department been established for Chemical and/or Waste Management and provided with the necessary resources?	Does the government participate in a Multi-stakeholder Coordination Mechanism for Chemical & Waste Management?
0	No chemical/waste database exists	The requisite chemical and/or Waste Management expertise is not available	There is no dedicated department/unit for chemical/waste management	No Multi-Stakeholder Coordination Mechanism for Chemical & Waste Management exists
1	Chemical and/or waste inventory or databases exist for one MEA	Expertise available to Ministries, Departments and Agencies and a limited number of personnel in at least one priority Ministry have basic training in chemical and/or waste management	Government mandate in place for establishment of a dedicated chemical and /or waste management department/unit.	Multi-Stakeholder Coordination Mechanism for chemical and /or waste management is in early stage of initiation with limited (ad hoc) participation from government and non-government bodies.
2	Chemical and/or waste inventory or databases exist for 2 MEAs	Expertise available to MDAs and a reasonable. Number of personnel have basic training in Chemical and/or waste management	Framework document for establishment and operation of the Chemical/ Waste Management Department/Unit developed	Multi-Stakeholder Coordination Mechanism exists for chemical and /or waste Management activities with more regular/structured participation from governmental and non-governmental bodies and with consideration to gender, indigenous people and vulnerable groups

3	Chemical and/or waste inventory or databases exist for 3 MEAs	Expertise available to MDAs and a reasonable number of personnel from 1 or 2 MDAs have been trained in chemical and /or waste management and have the ability to facilitate the integration of chemical management in country planning.	Chemical and /or waste Management department/unit established and Executive Director in place	Multi-Stakeholder Coordination Mechanism exists for chemical and /or waste management activities with a greater level of adequate participation from governmental and non-governmental bodies and with consideration to gender, indigenous people and vulnerable groups
4	Chemical and/or waste inventory or databases exist for 4 MEAs	Expertise available to MDAs and a reasonable number of personnel in 3 or 4 agencies trained in chemical and /or waste management and are transferring their knowledge to their colleagues and stakeholders with emphasis on applications in the field.	Standard Operating Procedures for the Chemical and /or waste management Department/Unit developed and staff hiring is in process.	Multi-Stakeholder Coordination Mechanism exists for chemicals and waste management activities with a high level of active participation from governmental and non-governmental bodies with some degree of information sharing and coordinated planning through an information or knowledge exchange portal, with consideration to gender, indigenous people and vulnerable groups.
5	Chemical and/or waste inventory or databases exist for all 4 MEAs plus SAICM	Expertise in chemical and /or waste management available to MDAs; and a cadre of personnel trained to interpret and integrate chemical management into the development planning process in the country	Chemical/ Waste Management Department/Unit has the required human, physical, and financial resources .and is operational.	A fully functional Multi-Stakeholder Coordination Mechanism exists for chemical and/or Waste Management with full participation from required governmental and non-governmental bodies sharing information and coordinating on an ongoing basis through an established community of practice and with consideration to gender, indigenous people and vulnerable groups

Scoring criteria 2: for Core Indicator 2

SAMPLE: Scoring Criteria for Core Indicator #2. (National Level). Degree of integration of chemical and waste management into national and sector planning - formally proposed, adopted, or being implemented including required reporting to the relevant Conventions and voluntary reporting to SAICM.

Countries may revise criteria to suit their particular situation but in-keeping with intervention logic

In order to express “Degree” as a percentage, divide the score by 3 and multiply by 100

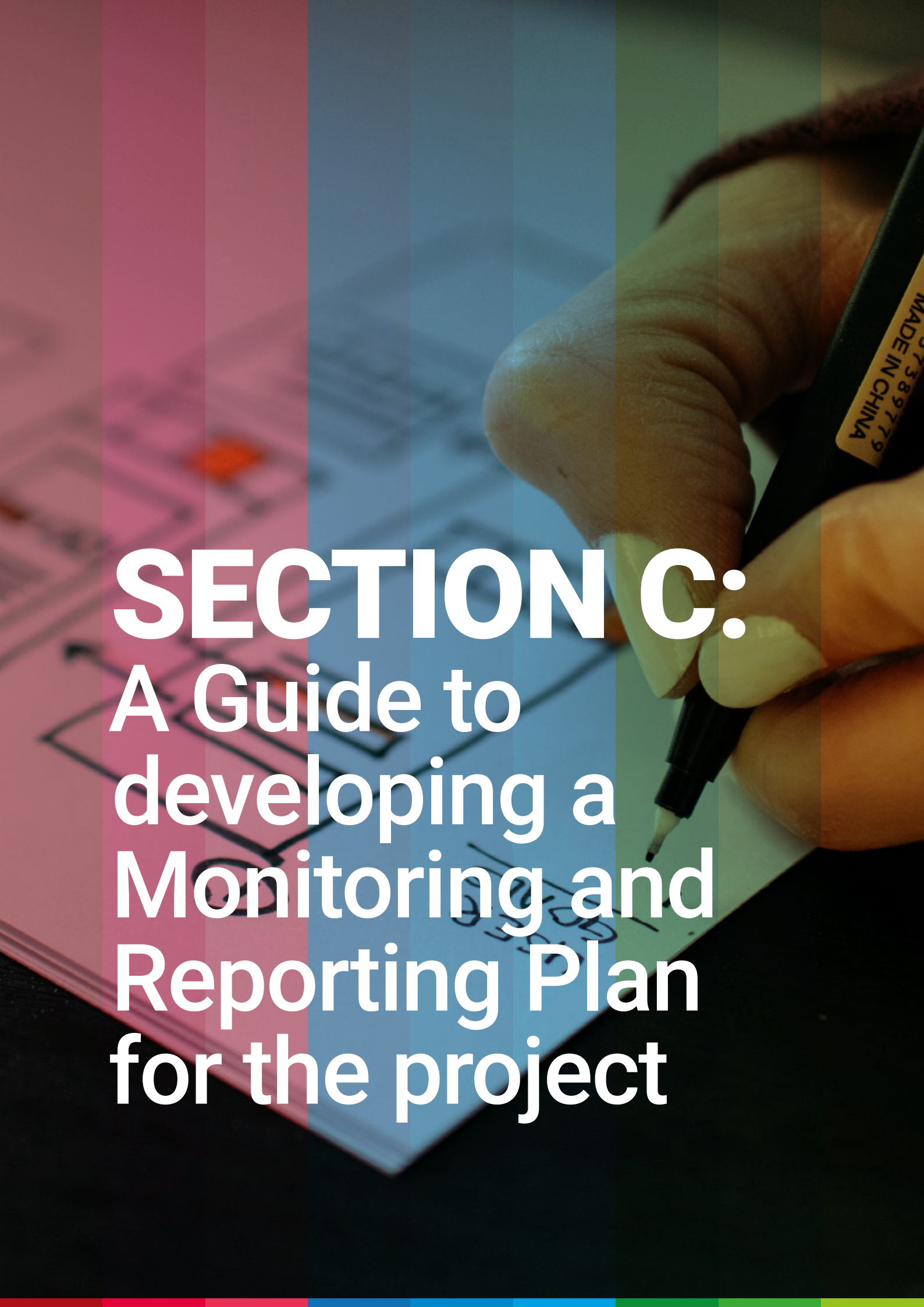
Score	Are Chemical and /or waste Management Policy, Plan, Strategy developed or updated and being implemented?	Is the necessary chemical and /or waste management legal framework in place?	Is the chemical and / or waste management regulatory framework in place?	Are reports to the MEAs to which the country is a party to being submitted?
0 No Action taken	No Chemical/Waste Management Policy, Plan, or Strategy exists	No legal framework in place	No Chemical and /or waste management regulatory framework	No reporting to relevant MEAs is being done
1 National Action (Plan/ policy strategy) proposed	A relevant government official, agency, organization or non-governmental entity with decision making authority in its respective legal, regulatory, policy or non-governmental system has proposed development of a national plan, policy or strategy for chemical and /or waste management	Legal Framework proposed	Regulatory Framework Proposed	Preparations for reporting to relevant MEAs have begun - A TOR for the report is being drafted
2 National Action Adopted	A relevant government official, agency, organization or non-governmental entity with decision making authority in its respective legal, regulatory, policy or non-governmental system has adopted a national plan, policy or strategy for chemical and /or waste management	A legal framework to support the policy/plan or strategy has been adopted.	A regulatory framework to support the policy, plan, or strategy has been adopted but enforcement not yet operational	A report to the relevant MEA is being drafted
3 National Action Implemented	A relevant government official, agency, organization or non-governmental entity with decision making authority in its respective legal, regulatory, policy or non-governmental system is implementing a national plan, policy or strategy for chemical and / or waste management that is in force	Legal framework to support policy, plan or strategy is in place	A regulatory framework to support the policy, plan, or strategy is in place and enforcement operational	Report to the relevant MEA is nearing completion/dispatched.

Scorecard 1		Date of Report:			
SP Core Indicator #1: Extent of strengthened government capacity and coordination mechanism to support development and implementation of National Strategies for Chemicals and Waste Management as a result of funding from the Special Programme					
Instructions:					
1. Please establish scoring criteria for each of the aspects of this scorecard and submit them with your report. This should be done once, preferably at baseline stage and used during subsequent reporting years.					
2. If you have previously established your scoring criteria, use them and submit them with your report .					
3. Score each cell with a score between 0 and 5 (refer to your scoring criteria defined for this scorecard)					
4. Provide explanation of change in scores between 2019 and 2020 (past and present years) in appropriate cells and avoid abbreviations.					
Data Collection Method: Data scored at the country level					
Name of Country:				Project name under SP Programme:	
Reporting Period:		From:		To:	
Government Capacity Complete/ (Add/subtract) below the partners identified as integral to project implementation in the project document		a) Is information from the national chemical database available?		b) Has a chemical management unit been established and/or is the necessary chemical and waste management expertise available?	
		c) Do the governments/Private Sector/CSOs participate in the Coordination Mechanism?			
		Input from different stakeholders (Ministry of Environment, Ministry of Agriculture, Ministry of Health etc.) would be provided below			
		Score last year	New Score	Score last year	New Score
(Example) Ministry of Environment		3		2	3
(How do you justify increase/ decrease in score from 2019 to 2020? Please explain)					
Note: The individual scores from different stakeholders will be aggregated. This aggregation can be weighted average or simple average and should be decided at the start of the project					

SP Scorecard 2		Date of Report:							
SP Core Indicator 2: Degree of integration of chemical and waste management into national and sector planning - formally proposed, adopted, or being implemented including required reporting to the relevant Conventions and voluntary reporting to SAICM									
Instructions:									
<ol style="list-style-type: none"> Please establish scoring criteria for each of the aspects of this scorecard and submit them with your report. This should be done once, preferably at baseline stage and used during subsequent reporting years. If you have previously established your scoring criteria, use them and submit them with your report. Score each cell with a score between 0 and 3 (refer to your scoring criteria defined for this scorecard). Provide explanation of change in scores between 2019 and 2020 (past and present years) in appropriate cells and avoid abbreviations. 									
Data Collection Method: Data scored at the country level. Project name under SP Programme:									
Name of Country:				Project name under SP Programme:					
Reporting Period:		From:				To:			
Government Capacity		a) Are Chemical and / or waste Management Policy, Plan, Strategy developed or updated and being implemented?		b) Are all the necessary chemical and /or waste management legal frameworks in place?		c) Are the chemical and /or waste management regulatory frameworks in place?		d) Are reports to the MEAs to which the country is a party to being submitted?	
		Input from different stakeholders (Ministry of Environment, Ministry of Agriculture, Ministry of Health etc.) would be provided below							
		Score last year 2019		New Score		Score last year		New Score	
(EXAMPLE) Ministry of Environment		1		2		1		2	
(How do you justify increase/decrease in score from 2019 to 2020? Please explain)									
Note: The individual scores from different stakeholders will be aggregated. This aggregation can be weighted average or simple average and should be decided in the start of the project									

In addition to the above scorecards, please consider filling out the additional useful information below:

Considerations for Gender, Indigenous People and the Vulnerable population	Key challenges
<p><i>Please elaborate on whether Policy Development has sought to include considerations for gender, indigenous peoples and the vulnerable population.</i></p>	<p><i>What have been the key challenges and what opportunities for improvement?</i></p>
Lessons Learned	Sharing experiences
<p><i>What have been the key successes when strengthening the Government capacity for chemical management through national and sectoral policy, plan, or strategy development /implementation?</i></p>	<p><i>Please provide insights into the particular experience of your country with policy, plan, strategy, legal and regulatory frameworks development?</i></p>



SECTION C:
A Guide to
developing a
Monitoring and
Reporting Plan
for the project

This section provides guidance for the development of the Monitoring and Reporting (M&R) Plan for the Project. This may be included as an Annex to the project agreement.

The Monitoring and Reporting Plan described in this document is divided into three parts, each of which may include concepts introduced in Sections A and B, showing how they are used in the plan.

The three parts comprise the results matrix description, the monitoring and reporting arrangements, and the annual monitoring and reporting workplan. Each of these parts of the M&R Plan is described below, with proposed methodology for its development.

Part 1:

Project Results Matrix Description

The results matrix is a logical model which sets out the relationships between the objectives and indicators and results. It forms the base for the monitoring and reporting actions and is derived from the logframe. To develop the results matrix, the following steps can be undertaken. The description below includes proposed formats for ease of use.

Step 1: Describe the project

The following format can be used as a basis for this introductory part of the results matrix, which provides a summary of the interventions in the project.

The Special Programme Country Project:

Objective(s):

The implementing agencies/partners are:

The planned project outcomes are:

The project has 4 components. They are:¹¹

Component 1:

The activities under this component include:

Component 2:

The activities under this component include:

Component 3:

The activities under this component are:

Component 4:

Project Management, Monitoring and Evaluation.

This component will provide support to carrying out the project, including overall technical management, financial management, procurement, compliance with environmental and social safeguards, monitoring and evaluation of data collection, provision of consulting services and operating costs.

¹¹ The project may have fewer or more components

Step 2: Develop the Results Matrix

Use the original logical framework to develop the results matrix which will be the base for the monitoring and reporting actions.

The project indicators should support one or both of the Special Programme Core indicators described in Section B. Table 4 provides a proposed format for the results matrix. Baselines

and targets should be established for each Core Indicator, with baselines established as of the date of approval of the Special Programme project. In setting the targets, refer to the scoring criteria to determine what the maximum score could be.

Table 4: Results Matrix Template

Core Indicator Supported	Intervention Logic	Indicators	Baseline	Targets			Means of Verification	Risks/Assumptions
				Yr 1	Yr 2	Yr 3		
	Objective(s)							
	Project Outcome(s)							
	Project Outputs							

Part 2:

Project Monitoring and Reporting Arrangements

This part of the plan sets out the arrangements that will be put in place to support monitoring and reporting on the project. These include the institutional arrangements, data collection, gender considerations, activity-level monitoring and a Monitoring and Reporting Flow Chart.

2.1 Institutional Arrangements

The section on institutional arrangements describes the composition, roles and responsibilities for monitoring and reporting on the project. These may include the steering committee, the project management unit and the participating project partners.

Day to day implementation of projects is usually undertaken by a **project management unit**, or similar body, which is usually situated in the implementing ministry/organization with which the project agreement has been signed. This is the entity responsible for the project's overall performance and progress and for monitoring and reporting to the Special Programme Secretariat on an annual basis. Reports will be in the formats described in the grant agreement of the UNEP Special Programme. Monitoring and reporting of project implementation will be conducted through routine activities of the Project Management Unit and any other participating project partners, in accordance with the annual Monitoring and Reporting Workplan (see past 3 below), will form a part of the annual work plan of the Project Management Unit and any partner implementing agency.

Projects may have a **project steering committee**, comprising interested and technically competent persons, which is responsible for overall direction of the project. The steering committee may also be the committee that is responsible for scoring of the Core Indicators as described in section B.

Participating project partners (if there are any) and their specific roles should be clearly identified, and aware and accepting of their role in project implementation. Each project partner is responsible for monitoring its own project implementation at activity level and for reporting to the Project Management Unit on a quarterly basis, with reporting based on standardized data collection.

Table 5 sets out a sample format for defining the relevant actors and their roles and responsibilities.

Table 5:
Sample project monitoring and reporting - institutional roles and responsibilities

Entity	Responsibility (for monitoring & reporting)
Official Focal Point (usually within the Implementing Ministry)	This is the key focal point within the government for communication with the Special Programme Secretariat. During the development of the project proposal the focal point should coordinate at national level to ensure that multiple duplicative submissions are avoided, working towards a single common proposal. The focal point submits an endorsement letter in support of the application and is identified in the application form.
Country Project Steering Committee (chaired by (name)) Members drawn from a broad cross section of stakeholders with relevant technical knowledge and interest	Undertakes semi-annual progress reviews to ensure that project is effectively implemented in keeping with development objectives, results frameworks, and budgets. Undertakes annual scoring activities to feed into annual reporting to the Special Programme Secretariat.
Project Management Unit	<ul style="list-style-type: none"> ▪ Overall monitoring and reporting of project activities to UNEP Special Programme annually through score cards and narrative reports. ▪ Provides oversight of the Project and implementation support to the project partners ▪ Participates in 6-monthly scoring exercise based on all partners reports ▪ Present semi-annual progress reports to Project Steering Committee ▪ Quarterly documentation of lessons learned and knowledge management (storage and dissemination)
Participating Project Partners (Name them)	<ul style="list-style-type: none"> ▪ Undertake monthly monitoring of activities they have responsibility for ▪ Undertake 6-monthly reporting to Implementing Agency; feed into the preparation of scorecards for Core Indicators ▪ Quarterly documentation of lessons learned and knowledge management (storage and dissemination)

2.2 Data Collection for Reporting

Data collection for reporting at project/national levels begins at the activity level and is the responsibility of each implementing or project partner.

Reference to the Results Matrix as the management tool is necessary. Data provided at activity level supports the monitoring of the project 'outputs'. Monitoring at this level is important in order to ensure that the output is (i) timely and (ii) the planned one. Monitoring can also be used to identify whether the project design assumptions were correct or if adaptive management is necessary. Risks are also monitored at this stage and lessons learned should be documented (see Section D of this document), used for making corrections, and disseminated for others to learn from.

Activity level monitoring utilizes a standardized methodology. The data collection forms are based on steps in the standardized methodology. Each data collection form is an important record and is to be signed, dated and submitted with reports. A standard form is used by all partner agencies in a project to record participation for example in training/capacity building exercises; meeting participation/consultations etc. The numbers are to be disaggregated according to gender, indigenous people and vulnerable groups where relevant.

The entire suite of data collection tools should be developed using participatory methodologies before project implementation starts and appended to the Monitoring and Reporting Plan. The tools should also be disseminated to those who will use them. See sample data collection tools in Annex 2.

2.3 Gender and other considerations in reporting

The M&R Plan should describe how considerations for gender, indigenous peoples and/or the vulnerable have been provided for in the project, and the data collection tools should also be designed to collect this data. The sample scorecards contained in Section B contain placeholders for reporting on how considerations of gender, indigenous people and the vulnerable have been responded to.

2.4 Monitoring and Reporting Flow Chart

The in-house Monitoring and Reporting arrangements for each implementing partner may appear different but all are based on standardized data collection, and monthly monitoring and reporting.

The data reporting flow for Special Programme country project authorities should be defined and presented in the monitoring and reporting Plan. The Plan should include the data flow for the partner implementing agencies involved your project.

Part 3.

Developing the Annual Monitoring and Reporting Workplan

To guide monitoring and reporting activities, the Project Management Unit will develop an annual monitoring and reporting work plan at the beginning of each year of the project.

Monitoring and reporting workplans are to be based on the Results Matrix of the country project. The monitoring and reporting workplan should observe the Toolkit's instructions for monitoring at project/national levels. To ensure that data collection is standardized and allows for easy amalgamation, as well as an accurate representation of the projects' progress at project/national levels, much emphasis has been placed on monitoring and reporting at the activity level.

For each activity of the project, the necessary data for a robust monitoring and reporting system including measurement of progress towards achievement of set targets should be agreed on by the respective participating project partners during consultations. Associated standardized data collection tools (examples can be seen in Annex 2) for each planned activity throughout the life of the project are to be developed and validated in a training workshop. They should bear the same indicator numbers as in the results matrix. They are to be used for guidance in the monitoring and reporting process to ensure targets are being logically pursued.

The monitoring and reporting process in each entity involved in implementation (i.e. implementing ministry/organization and any participating project partners) goes through various stages as outputs are checked against the activity level indicators and set targets. Reports are to be done by each entity involved in implementation on a monthly basis.

If there is more than one entity involved in implementation, all reporting flow charts should be included in the M&R Plan. Reports to the project management unit should be made on a quarterly basis. The quarterly report will include the documentation of lessons learned and good practices. Every six months, the project management unit should convene a scoring meeting to examine activity outputs and reports on progress towards planned outcomes or results. The scorecards should also be updated. The six-monthly report is NOT to be sent to the UNEP Secretariat; but is used to assess the project and whether adaptive management action is required. All adaptive management actions, for example, change of planned activities to get planned outputs, must be logged in the Results Matrix.

Note: The Planned Outcomes and the Objectives cannot be changed. However, indicators can be changed as required to measure progress in achieving Outcomes, and newly formulated outputs.

Annex 2:

Sample data collection tools for Monitoring and Reporting Plan

This section contains a number of sample data collection tools (forms) for a single output that supports Core Indicator 1. While they relate specifically to training activities, they can be adapted as needed for other activities as well.

The forms comprise the following:

- FORM A:** Sets out the planned training activities to be undertaken by the specific entity responsible for their implementation, over time.
- FORM B:** For each training workshop held, the entity responsible for its implementation should ensure that a standard registration form is completed by the participants.
- FORM C:** Provides a summary of each training workshop, including an overview of the topics covered and an indication of the number and type of participants, indicating gender breakdown as well.
- FORM D:** The lead organization collates information from multiple training workshops into one; can be done on an annual basis and submitted to the Project Management Unit.
- FORM E:** The lead organization can use this to record planned versus actual trainings provided, over time. This can be done on an annual basis and submitted to the Project Management Unit.

All forms should be collated by each entity responsible for the implementation and included in that entity's annual reports. The forms themselves should not be sent to the Special Programme Secretariat, but kept on file for possible inspection.

FORM A

Planned Training Activities						
Project Name:						
Component:		1				
Output Indicator 1.1.1:		Number persons trained in leading and coordinating the management of chemicals and waste.				
Implementing entity:						
Base (2021)	Year 1	Year 2	Year 3	Year 4	Year 5	Target
0	7	10	10			27

The activity expects that training will be over the first three (3) years.

There will be __x__ training per year, targeting on average __x__ persons

FORM B

Registration form/participants' list									
Project Name:									
Component:		Activity:							
Name	Organization/community	Contact tel:	Contact email:	Age range			Gender		
				16-25	26-35	>36	M	F	

Total # of participants:		M:		F:		
Prepared by:						
Signature:				Date		

FORM C

Training Workshop Summary					
Project Name:					
Component:		1			
Output Indicator 1.1.1:		Number persons trained in leading and coordinating the management of chemicals and waste.			
(Complete a separate form for each training workshop held)					
When was the workshop held?					
Workshop#		Date held:			
Please provide a summary of persons in attendance					
Total # of participants:		#Male:		#Female:	
What topics were covered at the workshop?					
Documents attached: (please tick)					
Workshop agenda	<input type="checkbox"/>	Curriculum	<input type="checkbox"/>	Participants list	<input type="checkbox"/>
Prepared by:					
Signature:					
Date:					

FORM D

Collated Workshop Information	
Project Name:	
Component:	1
Output Indicator 1.1.1:	Number persons trained in leading and coordinating the management of chemicals and waste.

Name	Workshop 1	Workshop 2	Workshop 3	Workshop 4

Prepared by:	
Signature:	
Date:	

FORM E

Collated Workshop Information	
Project Name:	
Component:	1
Output Indicator 1.1.1:	Number persons trained in leading and coordinating the management of chemicals and waste.

Implementing Agency:										
Base (2021)	Year 1		Year 2		Year 3		Year 4	Year 5	Target	
	Planned	Actual	Planned	Actual	Planned	Actual			Planned	Actual
0	7		10		10				27	

Prepared by:	
Signature:	
Date:	

A young girl with dark, curly hair is shown in profile, looking towards a bookshelf. The bookshelf is filled with books of various colors, including pink, blue, green, orange, and purple. The background is softly blurred, emphasizing the girl and the books. The text is overlaid on the image in a large, white, sans-serif font.

SECTION D: Documenting lessons learned

The learning function is vitally important to guide the further implementation of any project. In the context of the Special Programme, given that many of the individual projects are implementing similar types of activities, documenting lessons learned in each project can allow the implementers to build on their own and each other's experience, and make a significant difference to the body of knowledge and practices relevant to chemicals and waste management.

This section provides some guidance on how to identify lessons learned and tips on facilitating a 'lessons learned' workshop.

1. The Process to Harness Lessons Learned and Good/Best Practice

There are **five steps** to harnessing lessons learned and good/best practices to contribute to new knowledge:

| Step I: Define the Lessons learned and the Best Practices

- Establish the process and team through which lessons will be collected
- Identify the audience for the lessons learned
- Access, if possible, any lessons learned from similar projects
- Determine the format of the lessons learned product (length, style, presentation)
- Track improved effectiveness and efficiencies based on applying lessons learned
- Establish the data collection and analysis methodologies (surveys, questionnaires, workshops etc) and process
- Determine the dissemination strategy

| Step II: Collect information

- Capture information from as many sources can be solicited, through structured and unstructured processes – project critiques, written forms, and meetings including lessons learned workshop (see section 2 for more guidance)

NOTE: Lessons Learned can be based on positive experiences that help achieve goals and also on negative experiences that result in undesirable outcomes.

| Step III: Verify and Synthesize

- Verify the accuracy and applicability of lessons submitted
- Subject matter experts may be involved in coordinating reviews to determine whether or not a lesson is relevant across many projects; or is unique to a particular agency or project or applies to all agencies.

| **Step IV: Store**

- This usually involves incorporating lessons learned into an electronic database for future sharing and dissemination
- Store in a manner which allows for search by keywords

| **Step V: Disseminate**

- Determine how to disseminate the lessons learned and good/best practices e.g. through technical notes, newsletters, on the Web or otherwise.

NOTE: This is important because lessons are of little benefit unless they are distributed and used by people who can apply their new knowledge and benefit from them.

2. **How to facilitate a ‘lessons learned’ session**

The following tips can be useful when facilitating a ‘lessons learned’ session:

When calling the meeting:

- Invite the right people
- Appoint a Facilitator who is not closely involved with the project
- Revisit the objectives and deliverables - Ask ‘what did we set out to do?’ and ‘what did we achieve?’

Ask questions like:

- What went well?
- What were the successful steps towards achieving the objective?
- What went really well?
- Were any lessons learned from past projects applied?
- What repeatable, successful processes did we use?
- How could we ensure future projects go just as well, or even better?
- What could have gone better?
- What were the aspects that stopped you from delivering even more?
- What would your advice be to future project teams, based on your experiences
- Why did certain aspects go well?

The Facilitator should:

- Avoid expressing lessons learned in a passive, past tense and instead make the lesson more accessible to others
- Acknowledge feelings and press for the facts
- Ensure that participants leave with their feelings acknowledged
- Express the learning as advice or guidelines for the future
- Ask for ‘marks out of 10’
- And ‘What would make it 10 for you?’ to access residual issues.

Record the outcomes of the meeting:

- Use quotes to express the depth of feeling
- Express recommendations as clearly, measurably and unambiguously as possible
- Take a photograph of the project team and ensure you have contact information so anyone reading the lessons learned can have a follow-up conversation with them
- Ensure the “write-up” is shared with participants for comment and permission to use specific quotes before sharing more widely.

Have a dissemination Strategy:

- Once you have capture lessons learned, ensure they can be easily referenced by other project teams.
- Keep them in a location where they can be easily found and searched (project portal or intranet site etc.)

3. Suggested Lessons Learned Case Study Format

Title:	
Period covered:	
Date of the report:	
Case Overview (1/2 – 3/4 page)	
Background	
Project Objectives/Goals	

Impact (1-2 paragraphs)

What worked well? (1-2 paragraphs – could include quotes from staff/partners-reflective description on lessons learned)

What didn't work so well?

**If you had to do it all over again what would you do differently?
(1-2 paragraphs)**

What recommendations would you give to others doing similar project?

Suggestions for others (1-2 paragraphs) – could include quotes from partners/staff – prescriptive advice

Resources: Links to other relevant information

Metadata:

You may add photographs to help to tell your story

Author:	
Location of project:	
Types of partners:	
Priority:	
Date:	
Language:	
Photos:	

Appendix 1:

Logical Framework Matrix template

	Intervention logic	Indicators	Baseline (inc. reference year)	Current Value Reference date	Targets (inc. reference year)	Sources and means of verification	Assumptions
Overall objective: Impact	The broader, long-term change which will stem from the project and a number of interventions by other partners	Measure the ong-term change to which the projects contributes. To be presented disaggregated by sex.	Ideally, to be drawn from the partner's strategy		Ideally, to be drawn from the partner's strategy	To be drawn from the partner's strategy	
Specific objective(s): Outcome(s)	The direct effects of the project which will be obtained at medium term and which tend to focus on the changes in behaviour resulting from the project. Outcome = Oc (Oc 1: Oc 2; etc.)	Measure the changes in factors determining the outcome(s). To be presented disaggregated by sex.	The starting point or current value of the indicators	The value of the indicator at the indicated date	The intended value of the indicators	Sources of information and methods used to collect and report (including who an when/how frequently)	Factors outside project management's control that may impact on the outcome-impact linkage.

	Intervention logic	Indicators	Baseline (inc. reference year)	Current Value Reference date	Targets (inc. reference year)	Sources and means of verification	Assumptions
Outputs	The direct/tangible outputs (infrastructure, goods and services, delivered by the project). Output = Op Op 1.1 (related to Output 1) Op 1.2 (related to Output 1) (...) Op 2.1 (related to Output 2) (...)	Measure the degree of delivery of the outputs. To be presented disaggregated by sex.	Idem as above for the corresponding indicators.	The value of the indicator at the indicated date	Idem as above for the corresponding indicators.	Idem as above for the corresponding indicators.	Factors outside project management's control that may impact on the outcome-impact linkage.
Activities	<i>What are the key activities to be carried out, to produce the outputs? (Group the activities by result and number them as follows:</i> <i>A1.1.1 - "Title of activity"</i> <i>A1.1.2 - "Title of activity" (related to Output 1) (...)</i> <i>A1.2.1 - "Title of activity" (related to Output 1.2) (...)</i> <i>A2.1.2 - "Title of activity" (related to Output 2.1) (...)</i>	Means: <i>What are the means required to implement these activities? e.g. staff, equipment, training, studies, supplies, operational facilities, etc.</i> Costs: <i>What are the action costs? How are they classified? (Breakdown in the budget for the action)</i>					<i>Factors outside project management's control that may impact on the outcome-impact linkage.</i>

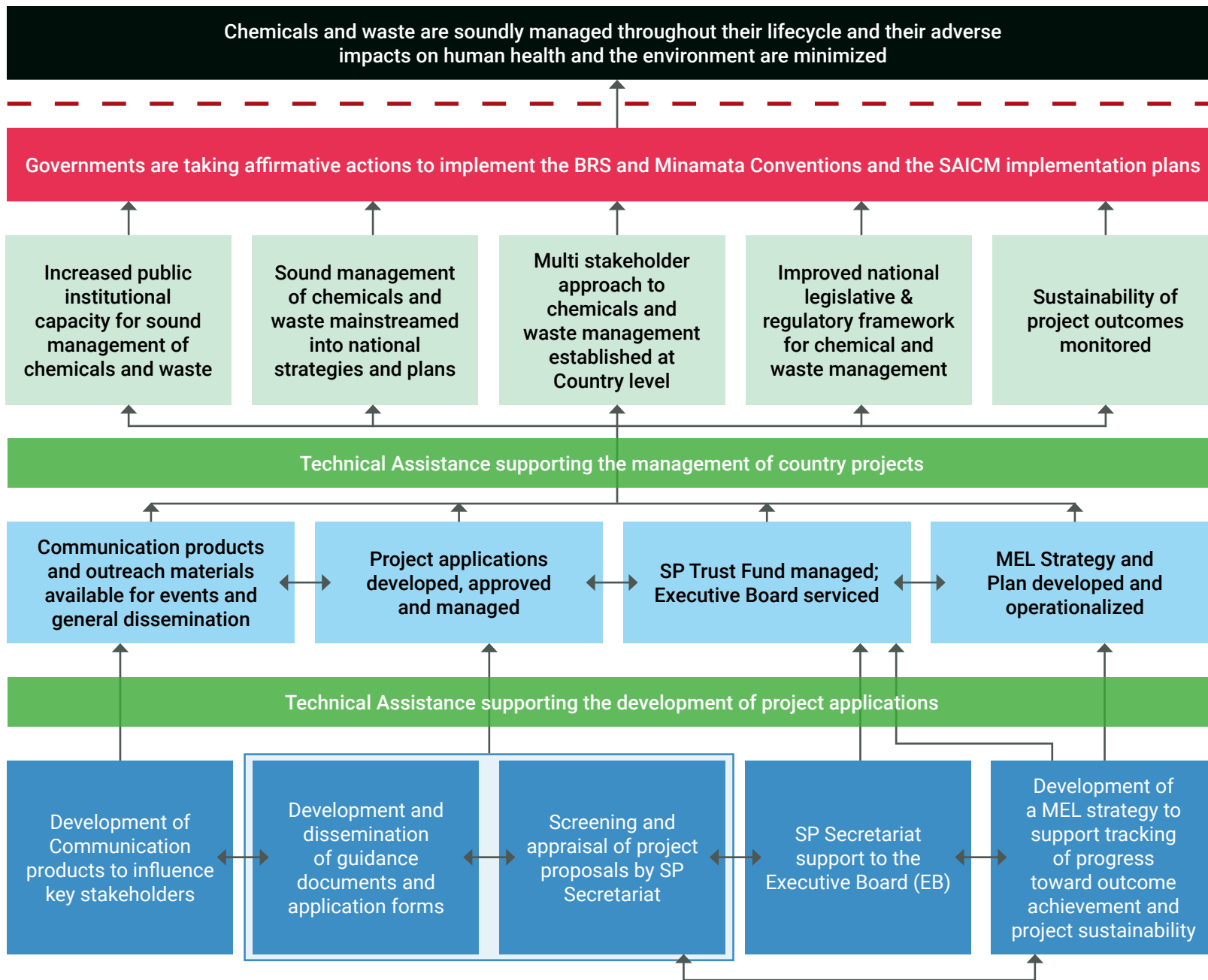
A logical framework matrix is a matrix in which results, assumptions, indicators, targets, baselines, and sources of verification related to an action are presented. The intervention logic tells how, in a given context, the activities will lead to the outputs, the outputs to the outcome(s) and the outcome(s) to the expected impact. The most significant assumptions developed in this thinking process are to be included in the logframe matrix.

The Project Manager may amend the activities, outputs, all the indicators and the related targets, baselines and sources of verification described in this logical framework in accordance with the project agreement. Any change must be explained in the reports, in advance of the change, whenever possible. In case of doubt, it is recommended to check beforehand with the Secretariat to ensure that the proposed modifications do not impact the basic purpose of the action.

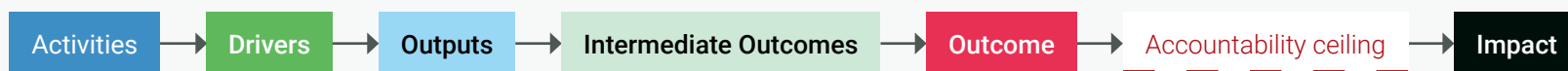
Appendix 2:

Special Programme Revised Theory of Change¹²

¹² As at 16 November 2020. Subject to final approval by UNEP.



Legend



Assumptions

Outcome level

Political and economic stability in applicant countries.
 Government priorities to address chemicals and waste management remain high.
 Adequate fiscal space exists within governments to support relevant implementing units and activities.

Output level

Countries willing and able to document best practices, lessons learned.

Activity/input level

Countries interested in accessing support to strengthen their institutional capacities.
 Countries able to access and prepare applications of sufficient quality to attract funding.
 Secretariat staff is adequate in quality and quantity to fulfil technical, administrative & management functions.

Appendix 3:

Special Programme revised logframe¹³

Intervention logic	Indicators	Baseline	Target (2025)	Means of verification	Assumptions/risks
Programme Outcome					
1. Governments from developing countries and countries with economies in transition are taking affirmative action to implement the Basel, Rotterdam and Stockholm conventions, the Minamata Convention and SAICM implementation plans	Core Indicator 1 Number of countries reporting strengthened government capacity and multi-stakeholder coordination mechanism to support development and implementation of National Strategies for chemicals management	0	99	Country Project reports	Political and economic stability in applicant countries
	Core indicator 2: Number of countries reporting improved level of integration of chemicals and/or waste management into national and sector planning	0	99	Country Project reports	Government priorities regarding action to address management of chemicals and waste remain high

¹³ As at 16 November 2020. Subject to final approval by UNEP

Intervention logic	Indicators	Baseline	Target (2025)	Means of verification	Assumptions/risks
	1.1 Number of countries that have ratified or are in the process of ratifying the Basel, Rotterdam or Stockholm conventions, or the Minamata Convention with the support of the Special Programme	0	20	Reports of the Basel, Rotterdam and Stockholm conventions, and the Minamata Convention	
	1.2 Number of countries reporting the adoption of policies and regulatory frameworks for management of chemicals and waste with the support of the Special Programme	0	50	Country project reports	
	1.3 Number of countries in compliance with their reporting obligations under the MEAs to which they are a party and/or submitting voluntary reports to SAICM.	0	40	Country Project reports	

Intervention logic	Indicators	Baseline	Target (2025)	Means of verification	Assumptions/risks
Project Outputs					
1. Special Programme Trust Fund managed and secretariat services delivered to the Special Programme Executive Board	1.1 Number of Executive Board meetings held (including teleconferences)	2	17	Executive Board meeting reports	Countries are interested in accessing support to strengthen their institutional capacities
	1.2 Attendance of Board members at each Executive Board meeting	88%	100%	Executive Board meeting reports	Countries are able to access and prepare applications of sufficient quality to attract funding
	1.3. Number of applications screened, reviewed and appraised by the secretariat for funding by the Special Programme Trust Fund	54	240	Secretariat internal reports	Revised versions of the application guidelines and applications forms will be available on the Special Programme website and circulated to relevant stakeholders
	1.4: Number of new or updated guidance documents and application forms prepared to support development of project applications (including gender consideration) to address the sound management of chemicals and waste	4	26	Secretariat internal reports	Political and economic stability in applicant countries

Intervention logic	Indicators	Baseline	Target (2025)	Means of verification	Assumptions/risks
2. Project applications developed, and projects approved and managed in line with the Terms of Reference of the Special Programme and guidance by the Special Programme Executive Board	2.1. Number of application cycles for the Special Programme	0	6	Published notices of Calls for Applications	<p>Staffing at the Secretariat is adequate in quality and quantity to fulfil the technical support functions</p> <p>Countries are interested in accessing support to strengthen their institutional capacities</p> <p>Countries are able to access and prepare applications of sufficient quality to attract funding applicant countries</p> <p>Political and economic stability in applicant countries</p>
	2.2. Number of target countries that have accessed technical support including guidance documents and application forms and e-learning prepared to support development of projects per round of funding.	0	100	Requests for support to complete applications; Report of the Executive Board meeting; Secretariat reports	
	2.3. Number of legal agreements signed with recipient countries within 12 months of project approval	0	120	Signed legal agreements	
	2.4. Number of projects completed and successfully closed	0	100	Reports of the Executive Board meeting	
	2.5. Funds approved for projects (as a percentage of total funds allocated to the Special Programme Trust fund)	0	70%	Financial summary of funds approved and funds disbursed to projects	
	2.6. Funds disbursed for project implementation as a percentage of funds approved	0	90%	Financial summary of funds approved and funds disbursed to projects	
	2.7. Number of countries taking affirmative action towards integrating gender into their institutional strengthening processes	0	24	Country project reports	

Intervention logic	Indicators	Baseline	Target (2025)	Means of verification	Assumptions/risks
3. Communication products and services developed & disseminated to influence key stakeholders and inform country beneficiaries	3.1 Number of communications tools provided by the Special Programme Secretariat to support the sound management of chemicals and waste	0	25	Communication materials	Countries are willing and able to document best practices, lessons learned Relevant country representatives are able to participate in communication events, whether in person or online
	3.2 Number of unique downloads of communications tools provided by the Special Programme Secretariat per round of funding to support the sound management of chemicals and waste	0	500	Internal Special Programme records	
	3.3. Number of targeted communication and outreach events undertaken	0	22	Report on events held	
	3.4. Number of case studies developed highlighting significant experiences (positive and negative), lessons learned and best practices in the course of project implementation (Country and Programme level)	0	100	Summary of Best Practices available on Special Programme Platform Case Studies available on Special Programme Platform	

Intervention logic	Indicators	Baseline	Target (2025)	Means of verification	Assumptions/risks
4. Monitoring system established to track Programme and Project progress toward Outcomes, and sustainability of project outcomes beyond project end	4.1 Status of development of Monitoring, Evaluation and Learning (MEL) strategy and Action Plan	No strategy and plan in place	Strategy and Plan developed and endorsed by the Executive board by Dec 2020 and Implemented	Monitoring, evaluation and learning Strategy and Action Plan	Staffing at the Secretariat is adequate in quality and quantity to fulfil the technical support functions
	4.2 Number of countries that are providing evidence of institutional arrangements in place and to be continued after project completion (Exit Strategy)	0	57	Final Country reports with exit Strategy National budgets	Resources available for implementation of monitoring, evaluation and learning Governments are able to allocate resource for continued action

**CHEMICALS
AND WASTE
MANAGEMENT
PROGRAMME**



The Special Programme



unepchemicalsspecialprogramme@un.org



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