

## CALL FOR SUBMISSION OF PROJECT PROPOSALS

### 1. Background

1.1 During the sixth meeting of the Conference of the Parties to the Basel Convention (COP 6), held in Geneva, 9-13 December 2002, the Parties requested the Secretariat "to cooperate closely with the Parties, the Basel Convention Regional Centres and other stakeholders in the development and implementation of those activities contained in the Strategic Plan for the Implementation of the Basel Convention and its associated Action Table for which financial support is agreed upon by the Parties" (Decision VI/1). In this context, the Secretariat was requested "to organise and compile the project proposals submitted by Parties or the Basel Convention Regional Centres for submission to the Open-ended Working Group for consideration". The Open-ended Working Group was requested "to consider the proposals submitted and choose those that qualify for funding" in accordance with the criteria approved by the meeting of COP 6 (Decision VI/2)<sup>1</sup>. The funding of the projects expected to be endorsed by the Working Group will be in the financial framework agreed by COP 6, which authorises the Executive Secretary "to utilise an amount not exceeding 1,200,000 United States dollars in the period 2003-2004 from the reserve and fund balance of the Basel Convention Trust Fund for the purpose of putting into effect activities to implement the Strategic Plan in 2003-2004" (Decision VI/41).

1.2 The first meeting of the Open-ended Working Group of the Parties to the Basel Convention is scheduled to be held in Geneva, 28 April - 2 May 2003. In order for the proposal to be ready for submission to the Open-ended Working Group they must be sent to the secretariat not later than 3 March 2003.

1.3 The present document has been prepared by the Secretariat in order to assist and guide the Parties to the Convention and the Regional Centres in the formulation of their project proposals taking into account:

- (a) the relevant decisions of COP 6;
- (b) the need for a standardised format of the project proposals in order to facilitate the selection of the proposals which qualify for funding; and
- (c) the formal requirements associated with transfer of funds through the mechanisms applicable to the financial management of the Basel Convention Trust Fund.

### 2. Format of the project proposals and deadline for their submission

2.1 The project proposals should not exceed 8 typewritten pages (including annexes and tables) and should be accompanied by a summary not exceeding 2 pages.

2.2 The summaries of the project proposals should be submitted in English. Parties and Centres whose working language is one of the additional five working languages of the Convention are requested to submit their proposals also in one of these languages.

2.3 The full project proposals (up to 8 pages) should be submitted preferably in English.

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<sup>1</sup> The Criteria for selection of Project Proposals for Implementation of the Basel Declaration through the Strategic Plan, as they appear in the Appendix to Decision VI/2, are reproduced in **Annex 1** of the present document.

2.4 The project proposals, including their summaries, should be received in electronic form in the Secretariat not later than 3 March 2003. Please send the project proposals to the following e-mail address: [sbc@unep.ch](mailto:sbc@unep.ch).

### 3. Layout and content of the project proposals

3.1 The two page summary of the project proposal should identify the following elements:

1. Name of the Party or Centre submitting the proposal.
2. Title of the proposed project.
3. Country(ies) and institutions/organisations participating in the implementation of the proposed project.
4. Short description of the activities proposed under the project.
5. Expected outputs (results) of the proposed project and their use.
6. Field and activity of the Strategic Plan to which the project intends to contribute. In case the project is submitted by a BCRC, reference to the activity foreseen within the Business Plan of the BCRC.
7. Duration of the proposed project (the duration of the project should not exceed 24 months).
8. Cost of the project (total cost with indication of the contribution requested from the resources of the Trust Fund and of the other sources of funding as counterpart contributions).

3.2 The full description of the project proposal, not exceeding 8 pages, should identify the following elements:

1. Name of the Party or Centre submitting the proposal.
2. Title of the proposed project.
3. Country(ies) and institutions/organisations participating in the implementation of the proposed project
4. Detailed description of the proposed project, including:
  - 4.1 Background and purpose (justification) of the proposed project. Identification of the problem the project is trying to solve and its priority in the context of the Basel Convention and of the countries expected to benefit from the project.
  - 4.2 Legislative authority. Reference to the field and activity of the Strategic Plan to which the project intends to contribute and to any other relevant Decision of the Parties. In case of several countries participating in the project, the status of proposal's endorsement by participating countries and institutions/organisations should be clarified. In case of a BCRC submitting the proposal the relation between the project and its Business Plan should be clarified.
  - 4.3 Outputs and results, their intended use and achievement indicators. Outputs should be specified as, for instance, training, advisory services, surveys, publications, etc., and their intended use described in concrete terms. The delivery of the project outputs is an insufficient indicator of the successful attainment of the project's goal. Therefore, indicators (whenever possible they should be quantifiable) should be identified against which the successful intended use of the outputs could be measured and evaluated.
  - 4.4 Activities. The project proposal may contain one or more activities. Each proposed activity should describe the process by which the outputs are planned to be achieved. In the case of training courses/seminars/workshops, information should be provided along the following elements: provisional title of the activity, location and the cooperating agency or supporting organisation, duration, objective, expected number of participants and the geographic regions (i.e. countries) from which they are to be selected, participant selection criteria and process, expected impact of the training in the country of the trainee, curriculum materials and instructors (names and brief CVs) planned to be used. If consultants are planned to be engaged, their Terms of Reference should be annexed to the project proposal.
  - 4.5 Workplan. The timetable for a starting and end date of each proposed activity should be specified and the responsibility for each activity indicated.
  - 4.6 Assumptions and uncertainties. The assumptions and uncertainties that may affect the proposed project, particularly those not within the control of the project, should be identified.

- 4.7 Budget. The cost of the project is expected to be covered by contributions from the Basel Convention Trust Fund and by cash or in-kind contributions ("matching funds") of the Party or Regional Centre proposing the project. Each project activity should be costed separately, indicating the estimated cost for each budget item (e.g., travel and DSA of workshop participants, publication of report, expert/consultant, communication, administrative support, travel of project staff, reporting cost, equipment). The contribution requested from the resources of the Trust Fund and those offered by the counterpart should be shown separately.
- 4.8 Follow-up. The aim of each project should be to deliver sustainable, lasting and quantifiable (measurable) benefits. However, these benefits may be considerably augmented if a project is followed up by additional activities. Suggestions for such activities, if any, which may be the subject of new projects, should be identified.
5. Institutional framework including information on the role and responsibilities of partners (including the Secretariat of the Convention) participating in the implementation of the project, as well as on the provisions for supervision, monitoring and reporting.

#### **4. Follow-up**

4.1 The summaries of the received project proposals shall be translated by the Secretariat into all six working languages of the Open-ended Working Group and submitted as a working document to the first meeting of the Working Group scheduled to be held in Geneva, 28 April - 2 May. The expanded text of the project proposals will be submitted in languages in which they have been received to the same meeting of the Working Group as an information document.

4.2 Due to time and manpower constraints, the Secretariat can not guarantee the translation of the project summaries into the working languages of the Open-ended Working Group if they are received after the indicated deadline (3 March 2003) or are exceeding 2 pages (see paragraph 2.1).

4.3 Project proposals endorsed by the meeting of the Open-ended Working Group for funding will be processed by the Secretariat as Memoranda of Understanding (MOU) or Project Documents signed between the Secretariat and the relevant Party or the Regional Centre, provided:

- (a) they follow the format, layout and content indicated in sections 2 and 3 above;
- (b) they are endorsed by the focal points of the countries indicated as participating in the project; and
- (c) the Framework Agreement between the Secretariat and the relevant Centre has been signed (this condition is applicable only in the case of proposals submitted by Regional Centres).

## **ANNEX 1**

### **Criteria for Selection of Project Proposals for Implementation of the Basel Declaration through the Strategic Plan**

The following criteria have been established in order to assist in selecting suitable projects to be taken forward to deliver the aims of the Basel Declaration through the Strategic Plan.

The criteria are set out in two groups:

- Group 1: Criteria which are relevant for all project proposals.
- Group 2: Those criteria which are intended to assist selection of project proposals of particular interest.

#### **Group 1: Relevant criteria**

Projects must:

- ◆ Be consistent with the vision and aims of the Strategic Plan.
- ◆ Be exemplary or useful for others with similar problems.
- ◆ Have clearly defined aims and methods.
- ◆ Be likely to succeed.
- ◆ Deliver practical and concrete outcomes.
- ◆ Deliver either short or long term benefits.
- ◆ Have realistic costs and delivery time scale.
- ◆ Include provisions for supervision, monitoring and reporting.

#### **Group 2: Value criteria**

Projects should:

- ◆ Have the potential to realise the aims of the Basel Convention and the Basel Convention Regional Centres with clear indicators on the effectiveness of their impacts.
- ◆ Have commonality within or between different regions.
- ◆ Be innovative.
- ◆ Be consistent with regional needs.
- ◆ Show benefits to or synergies with the objectives or activities of other multilateral environmental agreements.
- ◆ Provide partnership with stakeholders.
- ◆ Have demonstrably significant need.
- ◆ Implement and adapt as needed existing guidelines.
- ◆ Generate self-sustaining outcomes
- ◆ Provide other relevant information.

To be acceptable, the projects must meet all the Group 1 relevant criteria. For the purpose of prioritisation, the projects should meet one or more of the Group 2 value criteria.

Projects should be distributed equitably according to regional and national diversities and specificities, as appropriate.