

BASEL, ROTTERDAM AND STOCKHOLM CONVENTIONS

Modalities for projects on plastic waste under the conventions' Regional Centre Small Grant Programme (SGP) (rev)

I. Introduction

1. The present note outlines modalities for projects on plastic waste to be undertaken under the Basel and Stockholm Conventions' Regional Centre Small Grants Programme (SGP), hereinafter referred to as the "SGP on plastic waste". The modalities presented herein apply to the first round of projects to be selected under the SGP on plastic waste and may be reviewed as necessary thereafter. The projects will be implemented by Basel Convention regional and coordinating centres and Stockholm Convention regional and subregional centres in the context of the project "Further actions to address plastic waste under the Basel Convention" (BRS-Norad-2), funded by the Norwegian Agency for Development Cooperation (Norad).
2. The SGP is designed to channel bilateral donor funds for implementing the Basel and Stockholm conventions through the regional centres of the Basel and Stockholm conventions. The SGP seeks to identify and implement low cost high impact projects from the centres. It also aims to promote a competitive sense among the centres by providing them with an opportunity to implement project activities assisting eligible Parties to meet their obligations under the Conventions¹.
3. In paragraph 20 (c) (ii) of decision BC-14/18 and paragraph 11 (c) (ii) of decision SC-9/14, the Conferences of the Parties to the Basel and Stockholm conventions, respectively, requested the Secretariat to facilitate the implementation of regional, subregional and national projects based on the business plans or workplans of the regional centres through the SGP. Furthermore, activity 19 of the programme of work of the Basel, Rotterdam and Stockholm conventions for the biennium 2020-2021², on coordination and support for the Basel and Stockholm convention regional centres and cooperation and coordination between regional centres, contains a component on strengthening regional delivery of technical assistance by regional centres through the SGP.
4. Further to the adoption of the Basel Convention Plastic Waste Amendments³ and related decisions⁴ adopted by the Conference of the Parties at its fourteenth meeting in May 2019, the Secretariat has been facilitating technical assistance and capacity-building activities to support Parties to address plastic waste under the Basel Convention.
5. Since December 2018, the Secretariat has been implementing a 2.5-year-project in Bangladesh and Ghana, entitled "Marine litter and microplastics: Promoting the environmentally sound management of plastic wastes and achieving the prevention and minimization of the generation of plastic wastes" (BRS-Norad-1), also funded by Norad. The project aims to build capacities to address transboundary movements (TBM) of plastic waste, advance the environmentally sound management (ESM) of plastic waste, and preventing and minimizing the generation of plastic waste.
6. Building on results achieved in BRS-Norad-1, the Secretariat launched in December 2019 a second project, BRS-Norad-2, with the objective of improving the management of plastic waste in partner countries in order to contribute to Sustainable Development Goals (SDG) target 14.1 by preventing and significantly reducing marine pollution, in particular plastic litter, including

¹ See <http://www.basel.int/Partners/RegionalCentres/SmallGrantProgramme/tabid/5304/Default.aspx> and <http://chm.pops.int/Partners/RegionalCentres/SmallGrantProjects/tabid/630/Default.aspx>

² UNEP/CHW.14/INF/44-UNEP/FAO/RC/COP.9/INF/37-UNEP/POPS/COP.9/INF/46.

³ Decision BC-14/12.

⁴ Decisions BC-14/3, BC-14/9, BC-14/10, BC-14/18, BC-14/19, BC-14/21, BC-14/23.

microplastics. The project will also contribute towards achieving SDG targets 3.9, 11.6, 12.4, 12.5, 16.10 and 17.9, among others.

7. Component 1 of BRS-Norad-2 focuses on the SGP on plastic waste implemented by regional centres of the Basel and Stockholm conventions to build the capacities of countries to address plastic waste through the implementation of the Basel Convention. The 3-year-project budget includes a total of USD 1,800,000 for the implementation of selected projects on plastic waste channelled through the SGP on plastic waste.

II. Project team

8. The Secretariat of the Basel, Rotterdam and Stockholm Conventions, through an inter-Branch project team⁵, shall be responsible for the following administrative and other tasks to support the SGP on plastic waste.

- (a) Prepare relevant documentation, including templates for project application (annex I), screening (annex II), reporting and evaluation⁶;
- (b) Organise and disseminate calls for project proposals;
- (c) Liaise with applicants to seek clarifications and assist in further elaborating submitted proposals, as appropriate;
- (d) Following consultation with the steering committee, select projects to be funded based on a screening of project proposals using the template specified in annex II;
- (e) Make administrative arrangements, including hiring of international consultants as well as development of legal agreements and reporting templates;
- (f) Provide within available resources scientific and technical assistance as well as legal and policy advice as well as any other relevant support, such as lessons learned and deliverables from the BRS-Norad-1 project, throughout the implementation of selected projects, including liaising with and guiding international consultants;
- (g) Monitor and oversee the implementation of the selected projects and regularly update the steering committee on their status;
- (h) Organise meetings of the steering committee, including preparation and distribution of relevant documentation;
- (i) Undertake an evaluation of the selected projects, including through engagement of a consultant;
- (j) Maintain a dedicated webpage on the SGP on plastic waste and make relevant documentation publicly available;

III. Steering committee

9. A steering committee is established and shall be responsible for the following tasks:

- (a) Review the screening of project proposals prepared by the Secretariat and provide recommendations on the selection of projects to be funded;
- (b) Taking into account the information provided by the Secretariat, monitor the implementation of projects under SGP and provide guidance as necessary;

10. The steering committee will be composed of the following members:

- (a) The Executive Secretary, serving as chair of the steering committee;
- (b) A representative of Norad; and
- (c) Staff from the Governance Branch, Science and Technical Assistance Branch and Administration and Resource Oversight Branch of the Basel, Rotterdam and Stockholm Conventions.

11. The steering committee shall work by electronic means and may meet electronically. The steering committee may also decide to meet face-to-face, subject to the availability of funding and where possible, back-to-back with other meetings. The steering committee shall meet at the inception

⁵ This team would serve as the selection committee

⁶ Draft templates for reporting and evaluation will be developed at a later stage.

of the SGP on plastic waste, and thereafter at regular intervals and at least once per quarter or when the need arises.

IV. Scope of the projects

12. The projects will be implemented by Basel Convention regional and coordinating centres and Stockholm Convention regional and subregional centres.⁷ In preparing project proposals and implementing selected projects, the regional centres will cooperate closely with the respective beneficiary Parties.

13. The selected projects need to be aligned with the results framework of the BRS-Norad-2 project⁸ and will be selected, among others, considering in how far they are deemed capable of contributing towards achieving the respective outputs, outcomes and impact.

(a) Impact: In line with the BRS-Norad-2 results framework, selected projects will ultimately contribute to SDG target 14.1 by preventing and significantly reducing marine pollution, in particular plastic litter, including microplastics, from sources in partner countries;

(b) Long-term outcome: The selected projects will contribute towards achieving the long-term outcome that through increased knowledge, capacity and engagement among decision-makers and other stakeholders on the control of TBM and ESM of plastic waste in line with the provisions, guidelines and guidance of the Basel Convention, in particular the Basel Convention Plastic Waste Amendment,⁹ the project is expected to contribute to the improved management of plastic waste in partner countries;

(c) Enabling outcome: The selected projects will contribute towards achieving the enabling outcome that capacities to implement and enforce the Basel Convention and manage plastic waste in an environmentally sound manner are enhanced in partner countries;

(d) Expected output: The expected output is that the SGP builds the capacities of Parties in addressing plastic waste through the implementation of the Basel Convention. The respective target is that at least 10 countries developed ESM strategies and replicate identified best practices in relevant sectors, support by the project.

14. The projects should contribute to either one or several of the following four results areas:

(a) Controlling the TBM of plastic waste;

(b) Improving the ESM of plastic waste;

(c) Preventing and minimizing the generation of plastic waste;

(d) Reducing the risk from hazardous constituents such as persistent organic pollutants in plastic waste.

15. All projects should ensure sustainability of the outcome.

16. In-kind or financial contributions from the proponent as well as relevant Parties and others, are welcome.

17. The projects may be implemented in one or several countries that are eligible to receive funding under the technical assistance programme of the Basel and Stockholm Conventions and are listed on the development assistance cooperation (DAC) list of overseas development assistance (ODA) recipients and can feature activities at municipal, national and regional levels.

18. The projects should, where relevant, build on results achieved and make use of tools developed under the BRS-Norad-1 project referred to in paragraph 5 above.¹⁰

19. The projects may implement activities such as, but not limited to, the following:

(a) Review the legal or institutional framework and draft adjustments to fill identified gaps to facilitate TBM and ESM of plastic wastes under the Basel Convention;

⁷ <http://www.brsmeas.org/tabid/2636/Default.aspx>.

⁸ The results framework is currently being revised, which may make some adjustments necessary with regard to the impact, outcomes (incl. indicators and targets) and outputs (incl. indicators and targets).

⁹ Decision BC-14/12.

¹⁰ The Secretariat will share relevant information with regional centres as regards the outputs and lessons learned from BRS-Norad-1 project in order to inform the design of projects under BRS-Norad-2.

- (b) Identify plastic waste management pathways, including in the informal sector, and develop recommendations for infrastructure requirements;
- (c) Develop a national inventory of plastic waste;
- (d) Develop and implement a national ESM strategy on plastic waste;
- (e) Undertake trainings of custom authorities in the control of TBM of plastic waste;
- (f) Implement a financing scheme for the ESM of plastic waste;
- (g) Implement a collection and recycling scheme (e.g. extended producer responsibility) for plastic waste;
- (h) Pilot test best practices and technologies for reducing plastic waste in the packaging, fisheries, wastewater and/or other relevant sectors;
- (i) Develop and disseminate educational and outreach materials to promote behavioural change;
- (j) Undertake activities, including to explore new technologies and processes or to improve existing technologies, to eliminate hazardous constituents over the life cycle of plastic products, including during the recycling process;
- (k) Addressing the regional aspects of controlling TBM;
- (l) Developing a regional strategy towards the ESM of plastic waste;
- (m) Sharing of experiences and lessons learned in tackling sources of plastic waste.

V. Project modalities

20. The project cycle under the SGP on plastic waste is divided into the following stages:

- (a) Call for project proposals;
- (b) Eligibility and submission of project proposals;
- (c) Screening and selection of projects;
- (d) Implementation of the selected projects;
- (e) Monitoring and evaluation of the selected projects.

21. The following sections A to E provide details on each of these stages. Templates for project proposals and screening to facilitate a streamlined, efficient and transparent process are set out in annexes I and II to the present document, respectively. Templates for reporting and evaluation will be developed at a later stage.

A. Call for project proposals

22. The Secretariat shall publish a call for proposals for each round of pilot projects on its website and invite Basel Convention regional and coordinating centres and Stockholm Convention regional and subregional centres to apply. The Secretariat shall also inform focal points of Parties to the Basel and Stockholm conventions as well as observers of the publication of the call for proposals.

23. The call for proposals will be published and remain open according to a schedule to be decided upon by the Secretariat, taking into account the timeline of the BRS-Norad-2 project.

24. The call for proposals will be accompanied by relevant documentation, including the template for project proposals and guidance on the process for submitting proposals.

B. Eligibility and submission of project proposals

25. Project proposals are exclusively solicited from Basel Convention regional and coordinating centres and Stockholm Convention regional and subregional centres. Proposals received from any other stakeholders will not be considered. The submitting regional centres are strongly encouraged to design projects following an inclusive and multi-stakeholder approach, bringing together actors from Governments, the private sector, civil society and academia, as appropriate.

26. Project proposals from Basel Convention regional centres should be based on their respective business plan and submitted following consultation and agreement by their respective steering committee. Projects proposals from Stockholm Convention regional centres should be based on their respective workplans and demonstrate that they take into account the needs of the countries they serve.

27. Project proposals are to be submitted to the Secretariat within the indicated timeframe. Only proposals using the provided template (annex I) will be accepted for consideration.
28. In submitting project proposals, the proponents should ensure that the eligibility criteria are met, as specified below:
- (a) The proponent and lead implementing entity is a Basel Convention regional and coordinating centre or Stockholm Convention regional and subregional centre;
 - (b) The proponent that is a Basel Convention regional centre confirms that the project is based on its business plan and was consulted with and agreed to by the steering committee; the proponent that is a Stockholm Convention regional centre confirms that the project is based on its workplan and takes into account the needs of all countries;
 - (c) For country-level activities, the proposal is accompanied by a letter of endorsement from the relevant Focal Point of the beneficiary Parties. For projects to be implemented in several Parties, endorsements must be obtained from each of the respective focal points of the beneficiary Parties;¹¹
 - (d) The country/ies in which the project is to be implemented is/are among those eligible to receive funding under the technical assistance programme of the Basel and Stockholm Conventions and is/are listed on the development assistance cooperation (DAC) list of overseas development assistance (ODA) recipients;¹²
 - (e) The proposed project budget falls within the specified budget range of approximately USD 120,000 for national projects and approximately USD 180,000 for regional projects;
 - (f) The proposed project falls within the scope of projects to be funded under the SGP on plastic waste as specified in section IV of this document.

C. Screening and selection of projects

29. Upon closure of the window for submissions of project proposals, the Secretariat, through its internal selection committee, shall review the proposals with respect to the eligibility criteria and prepare a screening of the proposals using the template (annex II). It shall prepare a ranking of the project proposals based on the result of the screening. The Secretariat shall submit the screening and ranking to the steering committee and invite its guidance no later than 6 weeks following closure of the window for submissions. The steering committee will review the screening and provide recommendations on the selection of projects to be funded. The Secretariat will then select the projects to be funded under the SGP on plastic waste, taking into account the recommendations of the steering committee and the funding available under the respective component of the BRS-Norad-2 project.
30. On receipt of proposals, the Secretariat may contact proponents to request additional information and/or ask clarifying questions as deemed necessary.
31. In total, the projects will be selected in such a way as to ensure that at least 10 Parties to the Basel Convention are supported to make changes to regulations, policies and strategies for ESM of plastic waste, including in the informal sector and at the national or municipal level.¹³ The selection of the projects will take due account of regional balance as well as balance in the scope of the projects.
32. The Secretariat may specify necessary adjustments to the project proposals and may make the selection of the respective projects subject to the proponent addressing these in a timely manner. In such cases, the Secretariat shall inform the proponents accordingly and provide any guidance that may be needed. Each selected project will also be further refined, in particular through the inclusion of a more elaborate risk analysis and development of a results framework.

D. Implementation of the selected projects

33. The Secretariat shall undertake the necessary administrative arrangements to facilitate implementation of the selected projects, including preparation of a legal agreement with the respective regional centres and transfer of funds.

¹¹ This endorsement modality is limited to the Parties that are the primary beneficiary of the project, i.e. where a regional workshop or similar activities are organised, no formal endorsements need to be obtained from the Focal Points of the Parties participating.

¹² <http://www.oecd.org/dac/financing-sustainable-development/development-finance-standards/DAC-List-of-ODA-Recipients-for-reporting-2020-flows.pdf>.

¹³ Subject to further revisions being made in the results framework of BRS-Norad-2.

34. Implementation of the project is the primary responsibility of the respective regional centres. The projects will be implemented in close cooperation with the respective beneficiary Parties.
35. The Secretariat will provide, within available resources, scientific and technical assistance as well as legal and policy advice relevant for the implementation of the selected projects. This may include, but is not limited to, engagement of international consultants with expertise in the respective fields, assistance in the preparation of terms of reference for national experts, and provision of and instruction in the use of relevant tools and guidance.
36. In cases where adjustments to the project are necessary (for example due to unforeseen events), the implementing regional centre, working closely with the Secretariat, will develop an adjusted project document reflecting the new circumstances (e.g. revised outputs and targets, revised budget), taking into account any recommendations that may be provided by the steering committee.

E. Monitoring and evaluation of the selected projects

37. The implementing regional centres shall meet the reporting requirements for narrative and certified financial reports as per the legal agreement to be concluded with the Secretariat in order to document the progress in project implementation. The implementing regional centres shall send copies of all project related outputs (including related to outreach, e.g. press releases or brochures) to the Secretariat as they become available. The Secretariat may request additional information, as needed.
38. The Secretariat shall closely monitor implementation of the projects and regularly inform the steering committee on the progress made. The steering committee may provide guidance to the Secretariat and implementing regional centres to facilitate successful implementation, as appropriate.
39. Upon finalization of the projects and complementing the reporting as stipulated in the legal agreement, the implementing regional centres shall submit a final report in a template to be provided by the Secretariat.
40. The final deliverables as well as the final report referred to in para 38 are to be revised in accordance with any comments provided by the Secretariat. A consultant will be engaged to undertake, in close collaboration with the Secretariat, an evaluation of the project implementation against the agreed outcomes, outputs, indicators, targets and means of verification specified in the respective project documents. The consultant will use an evaluation template to be prepared by the Secretariat.

VI. Other matters

41. The projects to be implemented under the SGP on plastic waste will be closely aligned with and complement other activities to be undertaken under the BRS-Norad-2 project, thereby avoiding duplication of work.
42. Outreach and awareness-raising activities will be implemented throughout the SGP on plastic waste so as to draw attention, in particular, to the achievements of the selected projects (e.g. through the development of factsheets). The Secretariat will ensure that the webpage is kept up to date and presents user-friendly information on the status of the projects, recent news and other noteworthy announcements.

Annex I

Project proposal template

(to be completed by the project proponent)

Secretariat use only:

Date received:

Reference number:

Instructions:

Please submit the completed project proposal to the Secretariat (suman.sharma@brsmeas.org).

The proposal must be accompanied by an official endorsement from the relevant focal point(s) of the beneficiary Party(ies). By submitting the proposal, the proponent confirms that where the proponent is a Basel Convention regional centre the project is based on its business plan and was consulted with and agreed to by the steering committee; and where the proponent is a Stockholm Convention regional centre the project is based on its workplan and takes into account the needs of all countries.

Please carefully complete the fields listed below. Incomplete submissions will not be considered. The Secretariat may contact you in case of clarifying questions. Before submitting a proposal, please ensure that the eligibility criteria are met:

- a) The proponent and lead implementing entity is a Basel Convention regional and coordinating centre or Stockholm Convention regional and subregional centre;
- b) The proponent that is a Basel Convention regional centre confirms that the project is based on its business plan and was consulted with and agreed to by the steering committee; the proponent that is a Stockholm Convention regional centre confirms that the project is based on its workplan and takes into account the needs of all countries;
- c) For country-level activities, the proposal is accompanied by a letter of endorsement from the relevant Focal Point of the beneficiary Parties. For projects to be implemented in several Parties, endorsements must be obtained from each of the respective focal points of the beneficiary Parties;
- d) The country/ies in which the project is to be implemented is/are among those eligible to receive funding under the technical assistance programme of the Basel and Stockholm Conventions and is/are listed on the development assistance cooperation (DAC) list of overseas development assistance (ODA) recipients;
- e) The proposed project budget falls within the specified budget range of approximately USD 120,000 for national projects and approximately USD 180,000 for regional projects;
- f) The proposed project falls within the scope of projects to be funded under the SGP on plastic waste as specified in section IV of this document;

1. Identification

1.1 Title of the project

1.2 Implementing Basel Convention regional and coordinating centre or Stockholm Convention regional and subregional centre

Contact details of focal point

First Name:

Family Name:

Gender:

Position:

Institution:

Address:

City:

Zip code:

Country:

Tel:

Email:

Comment

2. Implementation

2.1 Country(ies) of project implementation

2.2 Project duration (number of months)¹⁴

2.3 Background and project justification, including previous and/or planned projects/initiatives it builds on (max 250 words)

2.4 Objective(s) (max 150 words)

2.5 Activities (please enumerate, indicate a title for each activity and describe briefly; add rows if needed) (max 350 words)

2.6 Area of intervention (several ticks possible)

- Controlling the TBM of plastic waste
- Improving the ESM of plastic waste
- Prevention and minimizing the generation of plastic waste
- Reducing the risk from hazardous constituents such as persistent organic pollutants in plastic waste

Comment

2.7 Communication plan: Please provide a brief (max 250 words in total) description outlining how project outputs and outcomes will be communicated to relevant stakeholders.

Activities to be undertaken (add, if needed):

Activity 1:

Activity 2:

Activity 3:

Communication products to be developed (e.g. brochures, factsheets, videos):

Key target groups:

2.8 Please provide a simple workplan. (add more lines/columns if needed) (include communication plan)

Activities	Year												Responsible	
	1	2	3	4	5	6	7	8	9	10	11	12		
1.)														
2.)														
3.)														

2.9 Expected outputs, indicators, targets and means of verification (enumerate e.g. output 1.1; please add rows if needed)

¹⁴ Minimum and maximum duration are to be determined.

Please note that the project should contribute towards the expected output of the BRS-Norad-2 project, namely that the SGP builds the capacities of Parties in addressing plastic waste through the implementation of the Basel Convention. The respective target is that at least 10 countries developed ESM strategies and replicate identified best practices in relevant sectors, supported by the project.

Activity 1				
Outputs	Delivery date	Indicators	Targets	Means of verification
	Click here to enter a date.			
	Click here to enter a date.			
	Click here to enter a date.			
Activity 2				
Outputs	Delivery date	Indicators	Targets	Means of verification
	Click here to enter a date.			
	Click here to enter a date.			
	Click here to enter a date.			
Activity 3				
Outputs	Delivery date	Indicators	Targets	Means of verification
	Click here to enter a date.			
	Click here to enter a date.			
	Click here to enter a date.			
Communication plan				
Outputs	Delivery date	Indicators	Targets	Means of verification
	Click here to enter a date.			
	Click here to enter a date.			
	Click here to enter a date.			

2.10 Expected outcomes (enumerate, e.g. Outcome 1.1; please add rows, if needed)

Please note that the project should contribute towards the expected enabling outcome of the BRS-Norad-2 project, namely that The selected projects will contribute towards achieving the enabling outcome that Capacities to implement and enforce the Basel Convention and manage plastic waste in an environmentally sound manner are enhanced in partner countries. The project is also expected to contribute to the long-term outcome, namely that through increased knowledge, capacity and engagement among decision-makers and other stakeholders on the control of TBM and ESM of plastic waste in line with the provisions, guidelines and guidance of the Basel Convention, in particular the Plastic Waste Amendment adopted at the Basel Convention COP-14, the project is expected to contribute to the improved management of plastic waste in partner countries. The projects will thus ultimately contribute to SDG target 14.1 by preventing and significantly reducing marine pollution, in particular plastic litter, including microplastics, from sources in partner countries.

Outcomes	Delivery date	Indicators	Targets	Means of verification
	Click here to enter a date.			
	Click here to enter a date.			
	Click here to enter a date.			

- 2.11 Project management: Please explain how project implementation will be organized, including size and composition of the project team, expertise of the members of the project team and monitoring arrangements (max. 250 words)
- 2.12 Project partners: Please list partners that will be engaged (max. 150 words)
- 2.13 Risk analysis and mitigation: Please identify the top 5 risks for successful project implementation and the measures that will be taken to address these.

3. Budget

- 3.1 Budget¹⁵ breakdown (in USD) (please add more lines if needed)

Please note the budget classes explanation below this table.

Budget class	Item description ¹⁶	Unit description ¹⁷	Quantity	Unit cost	Total
Activity 1:					
Staff, expert and other personnel costs	[item]				
Contractual Services ¹⁸	[item]				
Travel	[item]				
Equipment, Vehicles and Furniture ^{18 19}	[item]				
Operating and Other Direct Costs	[item]				
Supplies Commodities and Materials ¹⁸	[item]				
Transfers and Grants Issued to Implementing Partner (IP) ²⁰	[item]				

¹⁵ Approximately USD 120,000 for national projects and approximately USD 180,000 for regional projects.

¹⁶ There can be several items in each budget category.

¹⁷ These are, for example, working months per person in case of staff or days in case of consultants, or number of travels.

¹⁸ Total amount of goods or services procured from other legal entities (companies) is limited to 15% of the total budget. If a higher degree of procurement is required, include it and we will look at the modalities of implementation.

¹⁹ These are non-expendable assets. If the project implementation requires the purchase of these types of assets the ownership of the assets at the end of the project needs to be agreed. We also require a list of inventory as part of the end of project reporting requirements.

²⁰ These include non-profit organisations who are implementing partners who also adhere to value of the United Nations.

	Subtotal				
Activity 2:					
Staff, expert and other personnel costs	[item]				
Contractual Services	[item]				
Travel	[item]				
Equipment, Vehicles and Furniture	[item]				
Operating and Other Direct Costs	[item]				
Supplies Commodities and Materials	[item]				
Transfers and Grants Issued to Implementing Partner (IP)	[item]				
	Subtotal				
Activity 3:					
Staff, expert and other personnel costs	[item]				
Contractual Services	[item]				
Travel	[item]				
Equipment, Vehicles and Furniture	[item]				
Operating and Other Direct Costs	[item]				
Supplies Commodities and Materials	[item]				
Transfers and Grants Issued to Implementing Partner (IP)	[item]				
	Subtotal				
	Total				

Comment

UN Budget classes explanation

No	Budget Class Name	Explanation
1.	Staff, expert, and Other	(i) Includes all costs related to project personnel and their entitlement. These include staff, administrative and support staff, consultants, experts, and interns.

	Personnel Costs	(ii) Meeting facilitators, interpreters, translators and evaluation consultants are also all to be budgeted under this Budget Class if they are contracted in their individual capacity. However, if they are contracted as a company then that must be budgeted under “Contractual services”. (iii) All contracting for staff, experts and other personnel should follow a transparent, fair and competitive recruitment process.
2.	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. (NGOs that are implementing partners to be budgeted under “Transfers and Grants Issued to Implementing Partner (IP)”. (ii) Where meetings/workshops require venue to be hired e.g. Hotel, then relevant costs to be budgeted under this Class. (iii) Commercial printing/publication contracts to be budgeted here (iv) All contracting should follow a transparent, fair and competitive procurement process. The companies should adhere to the highest standards of moral and ethical conduct. (v) Total amount of goods or services procured from other legal entities (companies) is limited to 15% of the total budget. If a higher degree of procurement is required, it may be included and we will look at the modalities of implementation
3.	Travel	(i) Includes all reasonable travel related costs for staff, consultant, other personnel meeting participant. (ii) the costs can include reasonable cover for daily subsistence allowance or accommodation, meals, flight/train/bus/boat tickets, terminal expenses as applicable (iii) only economy class travel is allowed for all travelers, including staff.
4.	Equipment, Vehicles and Furniture	(i) Procurement of non-consumables e.g. IT equipment, vehicles, furniture etc. This would relate to all costs to put asset into service and the cost of disposal of the asset upon reaching its useful life. (ii) if this budget category is used, the ownership after the project of the equipment purchased will be agreed. (iii) final financial statement should include an inventory list of non-expendable (fixed) assets. (iv) Total amount of goods or services procured from other legal entities (companies) is limited to 15% of the total budget. If a higher degree of procurement is required, it may be included, and we will look at the modalities of implementation
5.	Operating and Other Direct Costs	(i) Rental of premises/equipment; utilities; cleaning; vehicle maintenance; communication costs including telephone and internet; Bank fee;
6.	Supplies, Commodities and Materials	(i) Consumable supplies e.g. office stationery, supplies, tools, etc.; (ii) Costs associated with the delivery, storage and distribution of consumable supplies procured such as transportation, freight, customs, insurance, warehousing and other logistical requirements;
7.	Transfers and Grants Issued to Implementing Partner (IP)	(i) To be used if SGP partner will work together with other non-profit partners and transfer funds to them under a contract. (ii) any procurement or partnering with for-profit companies should be budget under class “Contractual Services”. (iii) The choice and the contracting of an implementing partner should follow a transparent and fair process. The partners should adhere to the highest standards of moral and ethical conduct. (iv) Implementing partners are required to provide a financial statement and refund any unspent balance of funds received, after the implementation of the agreed activities has ended. (iv) if this modality and budget category is used, approval is on a case by case basis and more information will be required as it has implications on the due diligence of the subcontractors.

3.2 Will co-funding be provided? If yes, please provide estimated amount and source.

3.3 Has an application for financial support through other financial mechanisms or trust funds, such as, but not limited to the Small Grants Programme of the Convention, the implementation fund of the Convention, the Global Environment Facility, and the Special Programme to support institutional strengthening at the national level for implementation of the Basel, Rotterdam and Stockholm Conventions, the Minamata Convention and the Strategic Approach to International Chemicals Management, covering activities specified in this project proposal been submitted and/or accepted? If yes, please provide additional information.

4. Link to the BRS-Norad-2 project

Please explain how the project will contribute to the impact²¹, expected long-term outcome²² and relevant enabling outcome²³ of the BRS-Norad-2 project. (max 250 words)

5. Additional project information

5.1 Innovation

Does the project aim at developing new tools to address plastic waste, tackle a new aspect of the ESM of plastic waste, and/or feature another innovative element? If yes, please explain in the comment section.

Yes No

Comment

5.2 Informal sector

Will the project engage and target the informal sector? Yes No

Comment

5.3 Testing of guidance and tools

Does the project aim at testing existing guidance and tools for plastic waste (e.g. inventory, ESM guidance)? If yes, please explain in the comment section.

Yes No

Comment

5.4 National relevance

Are the objectives of the project aligned with the needs of the beneficiary country/ies and aligned with ongoing national policy processes and initiatives? If yes, please explain in the comment section.

Yes No

Comment

5.5 Replicability

Does the project have a high potential for scale-up/replicability, e.g. by providing a practical example of how other Parties and stakeholders can better succeed in similar activities? If yes, please explain and indicate which project outputs and activities could be replicated in other countries in the comment section.

Yes No

Comment

5.6 Leveraging

Is the result of this project expected to trigger expanded activities/follow-up projects in the immediate future? If yes, please explain in the comment section.

Yes No

²¹ Impact: Contribute to SDG target 14.1 by preventing and significantly reducing marine pollution, in particular plastic litter, including microplastics, from sources in partner countries.

²² Long-term outcome: Through increased knowledge, capacity and engagement among decision-makers and other stakeholders on the control of transboundary movements and environmentally sound management (ESM) of plastic waste in line with the provisions, guidelines and guidance of the Basel Convention, in particular the Plastic Waste Amendment adopted at the Basel Convention COP-14, the project is expected to contribute to the improved management of plastic waste in partner countries.

²³ Enabling outcome: Capacities to implement and enforce the Basel Convention and manage plastic waste in an environmentally sound manner are enhanced in partner countries.

Comment

5.7 Sustainability

Will the conditions for achievement of the outcomes to be established through this project prevail beyond the project duration? If yes, please explain how this will be ensured in the comment section.

Yes No

Comment

5.8 Gender

Does the project advance gender equality and advance gender mainstreaming? If yes, please explain in the comment section.

Yes No

Comment

5.9 Synergies

Does the project strengthen synergies between the Basel, Rotterdam and Stockholm Conventions and/or any other relevant multilateral environmental agreements? If yes, please explain in the comment section.

Yes No

Comment

5.10 South – south cooperation

Does the project advance south-south cooperation? If yes, please explain in the comment section.

Yes No

Comment

5.12 Sustainable Development Goals (SDGs)

Does the project contribute towards the achievement of the SDGs? If yes, please explain how and to which SDGs and targets the project contributes in the comment section.

Yes No

Comment

Annex II

Project screening template

(to be completed by the Secretariat)

Date received:
Reference number:
Proponent:
Title of the project:
Overall cost:

1. Completeness and eligibility

1.1 Completeness check: Is the proposal form duly completed and is an official endorsement from the relevant focal point(s) of the beneficiary Party(ies) attached?

1.2 Does the proposal meet all of the following basic eligibility criteria? If not, the evaluation can be stopped at this stage. Where appropriate, the proponent can be contacted to provide any potentially missing information. The following eligibility criteria apply:

- a) The proponent and lead implementing entity is a Basel Convention regional and coordinating centre or Stockholm Convention regional and subregional centre;
- b) The proponent that is a Basel Convention regional centre confirms that the project is based on its business plan and was consulted with and agreed to by the steering committee; the proponent that is a Stockholm Convention regional centre confirms that the project is based on its workplan and takes into account the needs of all countries;
- c) For country-level activities, the proposal is accompanied by a letter of endorsement from the relevant Focal Point of the beneficiary Parties. For projects to be implemented in several Parties, endorsements must be obtained from each of the respective focal points of the beneficiary Parties;
- d) The country/ies in which the project is to be implemented is/are among those eligible to receive funding under the technical assistance programme of the Basel and Stockholm Conventions and is/are listed on the development assistance cooperation (DAC) list of overseas development assistance (ODA) recipients;
- e) The proposed project budget falls within the specified budget range of approximately USD 120,000 for national projects and approximately USD 180,000 for regional projects;
- f) The proposed project falls within the scope of projects to be funded under the SGP on plastic waste as specified in section IV of this document;

2. Overall assessment

Provide an overall assessment of the project proposal's quality, taking into account among others coherence across the activities, outputs, indicators and outcomes, feasibility considering timeframe and budget, its linkages with the BRS-Norad-2 project, engagement of stakeholders etc. (max 350 words).

3. Quantitative assessment

The following section provides a quantitative assessment using a series of Yes/No answers to complement the qualitative assessment provided in the executive summary. The comment field can be used to elaborate on what the project did well and/or what may be missing as well as to point out any other relevant issues.

Score: Yes = 2 point / To some extent = 1 point / No = 0 points

Evaluation question	Comments	Points
1. Does the background and project justification provide a rationale and sufficiently strong evidence of the needs that are to be addressed through the project		
2. Is the objective clear and achievable?		

3. Are the activities coherently structured and can be reasonably expected to serve to achieve the outcomes and objective(s)?		
4. Are the outputs tangible, measurable through the indicators and correspond to the activities?		
5. Are the expected outcomes achievable and measurable through the indicators?		
6. Is the organisation of the project management team sufficient to expect smooth implementation and does it offer the required expertise?		
7. Does the project proposal include a communication plan?		
8. Will the project engage relevant partners, incl. government, civil society, private sector etc.?		
9. Will the project engage and target the informal sector?		
10. Are key risks identified and can the proposed measures be expected to be mitigate them?		
11. Is the timeline featured in the workplan achievable?		
12. Is the project cost-effective, i.e. can it be expected to deliver high impact at low cost?		
13. Has significant co-funding been secured?		
14. Does the proposal succeed in explaining how the project will contribute to the objective, envisioned impact and expected outcomes of the BRS-Norad-2 project?		
15. Is it clear how the project falls under one or several of the four results areas (controlling the TBM of plastic waste; improving the ESM of plastic waste; preventing and minimizing the generation of plastic waste; reducing the risk from hazardous constituents such as persistent organic pollutants in plastic waste)?		
16. Does the project aim at testing existing guidance and tools for plastic waste (e.g. inventory, ESM guidance)?		
17. Does the project aim at developing new tools to address plastic waste, tackle a new aspect of the ESM of plastic waste, and/or feature another innovative element?		
18. Are the objectives of the project aligned with the needs of the beneficiary country(ies) and aligned with ongoing national policy processes and initiatives?		
19. Does the project have a high potential for scale/replicability, e.g. by providing a practical example of how other Parties and stakeholders can better succeed in similar activities?		
20. Is the result of this project expected to trigger expanded activities in the immediate future?		
21. Will the conditions for achievement of the outcomes to be established through this project prevail beyond the project duration?		
22. Does the project advance gender equality and advance gender mainstreaming?		
23. Does the project advance south-south cooperation?		
24. Does the project contribute towards the achievement of the SDGs?		
25. Is the project to be implemented in a small island developing state and/or a least developed country?		
26. Will the project advance synergies between the Basel, Rotterdam and Stockholm Conventions and/or any other relevant multilateral environmental agreements?		
Overall score (maximum score = 52)		

4. Final evaluation

Taking into account the qualitative and quantitative assessment, please categorise the project as follows:

- Outstanding – strongly recommended for selection
- Satisfactory - recommended for selection subject to availability of funding
- Partially satisfactory – only recommended subject to further improvements and availability of funding
- Unsatisfactory - not recommended for selection

Final comments:
