



## **BASEL, ROTTERDAM AND STOCKHOLM CONVENTIONS**

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### **Modalities for projects under the Small Grants Programme (SGP) on Plastic Waste**

**(Third round, March 2022)**

#### **I. Introduction**

1. The present note outlines modalities for projects on plastic waste under the Small Grants Programme (SGP) on Plastic Waste. The modalities presented herein apply to the third round of projects to be implemented under the SGP on Plastic Waste and may be reviewed as necessary thereafter. Information on the projects under the first and second rounds can be found on the website of the Basel Convention.<sup>1</sup>

2. The conferences of the Parties to the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal and the Stockholm Convention on Persistent Organic Pollutants (POPs), 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.<sup>2</sup> Activity 19 of the programme of work of the Basel, Rotterdam and Stockholm conventions for the biennium 2020-2021,<sup>3</sup> 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.

#### ***Technical assistance on plastic waste under the Basel, Rotterdam and Stockholm conventions***

3. Following the adoption of the Basel Convention Plastic Waste Amendments<sup>4</sup> and related decisions,<sup>5</sup> the Secretariat has been facilitating technical assistance and capacity-building activities to support Parties to address plastic waste under the Basel Convention. The amendments clarified the categories of plastic waste subjects to the Convention's provisions on the control of transboundary movements, waste minimization and environmentally sound management.

4. Of the 30 POPs listed under the Stockholm Convention as of March 2022, 15 of them<sup>6</sup> are either used in the plastic production, used as plastic additives, or released as by-products of burning plastics. The Stockholm Convention requires Parties to, among others, take measures to reduce or eliminate releases from intentional production and use, stockpiles and wastes, as well as from unintentional production. The plastic wastes containing POPs are hazardous wastes under Annex VIII

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<sup>1</sup> <http://www.basel.int/tabid/8402/Default.aspx>.

<sup>2</sup> Decisions BC-14/18, SC-9/14.

<sup>3</sup> UNEP/CHW.14/INF/44-UNEP/FAO/RC/COP.9/INF/37-UNEP/POPS/COP.9/INF/46.

<sup>4</sup> Decision BC-14/12.

<sup>5</sup> Decisions BC-14/3, BC-14/9, BC-14/10, BC-14/13, BC-14/18, BC-14/19, BC-14/21, BC-14/23.

<sup>6</sup> Decabromodiphenyl ether; hexabromobiphenyl; hexabromocyclododecane; hexabromodiphenyl ether and heptabromodiphenyl ether; hexachlorobutadiene; mirex; pentachlorobenzene; polychlorinated biphenyls; polychlorinated naphthalenes; short-chain chlorinated paraffins; tetrabromodiphenyl ether and pentabromodiphenyl ether; perfluorooctanoic acid (PFOA), its salts and PFOA-related compounds; perfluorooctane sulfonic acid, its salts and perfluorooctane sulfonyl fluoride; polychlorinated dibenzo-p-dioxins; polychlorinated dibenzofurans.

to the Basel Convention.

5. Of the 15 plastics related chemicals listed under the Stockholm Convention, seven<sup>7</sup> are also listed under the Rotterdam Convention on the Prior Informed Consent Procedure (PIC) for Certain Hazardous Chemicals and Pesticides in International Trade. The chemicals listed under the Rotterdam Convention are subject to the PIC procedure when traded. The Rotterdam Convention contributes to the environmentally sound use of those hazardous chemicals by facilitating information exchange about their characteristics, including by providing for a national decision-making process on their import and export and by disseminating these decisions to Parties.

## II. Scope of the SGP on Plastic Waste

6. The SGP on Plastic Waste seeks to identify and implement low-cost high impact pilot projects on the ground, supported by Basel Convention regional and coordinating centres and Stockholm Convention regional and subregional centres. The projects are implemented at the national or regional levels with full engagement of relevant focal points of the Basel Convention or official contact points or national focal points of the Stockholm Convention (hereinafter referred to as “Focal Points”).

7. Projects under the SGP on Plastic Waste contribute to one or several of the following four results areas:

- (a) Controlling the transboundary movements (TBM) of plastic waste;
- (b) Improving the environmentally sound management (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.

8. The projects should build on results achieved and make use of the tools developed under the technical assistance activities on plastic waste undertaken by the BRS Secretariat, for example the plastic waste inventory toolkit using the material flow analysis approach developed under the BRS-Norad-1 project. Information on the relevant technical assistance activities can be found on the website of the Basel Convention.<sup>8</sup>

9. 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;
- (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;

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<sup>7</sup> Decabromodiphenyl ether; hexabromocyclododecane; hexabromodiphenyl ether and heptabromodiphenyl ether; polychlorinated biphenyls; short-chain chlorinated paraffins; tetrabromodiphenyl ether and pentabromodiphenyl ether; perfluorooctane sulfonic acid, its salts and perfluorooctane sulfonyl fluoride.

<sup>8</sup> <http://www.basel.int/tabid/8340/Default.aspx>.

- (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.
10. 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<sup>9</sup> and can feature activities at municipal, national and regional levels.
11. The projects are encouraged to:
- (a) Promote innovative approaches;
  - (b) Involve the informal sector and cooperatives;
  - (c) Engage the private sector;
  - (d) Ensure replicability and sustainability of the projects results and leverage related activities in the beneficiary countries;
  - (e) Contribute to achieving relevant SDGs;
  - (f) Advance synergies between the Basel, Rotterdam and Stockholm conventions and any other relevant multilateral environmental agreements;
  - (g) Advance gender equality and gender mainstreaming;
  - (h) Advance south-south cooperation; and
  - (i) Support small island development states and/or least developed countries.
12. The project implementation is monitored and evaluated by the implementing regional centres and the Secretariat.
13. Outreach and awareness-raising activities are a critical part of the project implementation, in particular to communicate the achievements of the project results. 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.

### III. Secretariat

14. The Secretariat of the Basel, Rotterdam and Stockholm Conventions, through an inter-Branch project team, is responsible for the following administrative and other tasks to support the SGP on Plastic Waste.
- (a) Prepare relevant documentation, including for project application, selection, reporting and evaluation;
  - (b) Organise and disseminate calls for project proposals;
  - (c) Liaise with applicants to seek clarifications and assist in further elaborating project proposals, as appropriate;
  - (d) Following the screening, evaluation and consultation with the steering committee, finalize the selection of the projects;
  - (e) Make administrative arrangements, such as hiring of international consultants and developing, concluding and managing legal agreements with the regional centres;
  - (f) Provide scientific, technical, legal and policy advice and other relevant support, within available resources, throughout the implementation of the projects;

<sup>9</sup> <https://www.oecd.org/dac/financing-sustainable-development/development-finance-standards/DAC-List-of-ODA-Recipients-for-reporting-2022-23-flows.pdf>.

- (g) Monitor and oversee the implementation of the selected projects and keep the steering committee informed of their status;
- (h) Organise meetings of the steering committee, including preparation and distribution of relevant documentation;
- (i) Undertake an evaluation of the projects, including through engagement of a consultant;
- (j) Maintain a dedicated webpage on the SGP on Plastic Waste and develop and disseminate awareness raising materials relating to the projects.

#### **IV. Steering committee**

- 15. A steering committee is established and is responsible for the following tasks:
  - (a) Review the screening and evaluation of project proposals prepared by the Secretariat and make recommendations on the selection of projects to be funded;
  - (b) Taking into account the information provided by the Secretariat, monitor the implementation of projects and provide guidance as necessary;
- 16. The steering committee consists of the following members:
  - (a) The Executive Secretary, serving as chair of the steering committee;
  - (b) Donor representatives; 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.
- 17. The steering committee works by electronic means and holds meetings online.

#### **V. Project modalities**

- 18. 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, evaluation and selection of projects;
  - (d) Implementation of the selected projects;
  - (e) Monitoring and evaluation of the selected project.
- 19. The following sections A to E provide details on each of these stages. The following templates are available in the annexes to the present document:
  - (a) Annex I: Template for project proposals;
  - (b) Annex II: Template for screening and evaluation;

##### **A. Call for project proposals**

20. The Secretariat launches a call for proposals for each round of pilot projects on its website and invites Basel Convention regional and coordinating centres and Stockholm Convention regional and subregional centres to apply. The Secretariat also informs Focal Points of Parties to the Basel and Stockholm conventions as well as observers about the call for proposals.

##### **B. Eligibility and submission of project proposals**

- 21. Project proposals can be submitted by the Basel Convention regional and coordinating centres and Stockholm Convention regional and subregional centres. Proposals received from any other stakeholders will not be considered.
- 22. 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.

23. In the event the proposal provides for the engagement of non-state actors (i.e. private sector, civil society, academia as oppose to the governmental or inter-governmental organizations), including procurement or grants to partners, regional centres are expected to demonstrate that fairness and transparency is ensured when selecting a partner.
24. A fair and transparent process can be ensured by making an open call for partners or contractors by publicizing on the website of your organization as well as through the Focal Points of the beneficiary countries the opportunity to become a partner or contractor in the proposed project. It is expected that the regional centres review the applications received and shortlist a minimum of three entities for review and comparison before engaging with a particular entity.
25. 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.
26. 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) The proposal is accompanied by a letter of endorsement from focal points of all relevant beneficiary countries of the project;<sup>10</sup>
  - (d) The countries in which the projects are to be implemented are among those eligible to receive funding under the technical assistance programme of the Basel and Stockholm Conventions and are listed on the DAC list of ODA recipients;<sup>11</sup>
  - (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 as well as within the maximum timeframe of 18 months;
  - (f) The proposed project falls within the scope of projects to be funded under the SGP on Plastic Waste as specified in section II of this document.

### C. Screening, evaluation and selection of projects

27. Upon closure of the window for submissions of project proposals, the Secretariat screens the proposals based on the eligibility and completeness criteria and prepares an evaluation of each proposal using the template (annex II).
28. The Secretariat submits the results of the evaluation to the steering committee. The steering committee reviews the evaluation and provides recommendations on the selection of projects to be funded. The Secretariat finalizes the selection of the projects, taking into account the recommendations of the steering committee and the availability of funding.
29. The selection of the projects will take due account of regional balance as well as balance in the scope of the projects.
30. 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 informs the proponents accordingly and provides 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.

<sup>10</sup> 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.

<sup>11</sup> <https://www.oecd.org/dac/financing-sustainable-development/development-finance-standards/DAC-List-of-ODA-Recipients-for-reporting-2022-23-flows.pdf>.

## **D. Implementation of the selected projects**

31. The Secretariat undertakes 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.
32. 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 countries.
33. 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 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.
34. 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 adjust the project reflecting the new circumstances (e.g. revised outputs and targets, revised budget).

## **E. Monitoring and evaluation of the selected projects**

35. The implementing regional centres submits narrative progress reports and financial reports as per the legal agreement to be concluded with the Secretariat. The implementing regional centres submit copies of all project related outputs, including outreach materials such as press releases or brochures, to the Secretariat as they become available. The Secretariat may request additional information as needed.
36. The Secretariat closely monitors implementation of the projects and periodically informs 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.
37. Upon finalization of the projects and complementing the reporting as stipulated in the legal agreement, the implementing regional centres submits a final report in a template to be provided by the Secretariat.
38. The final deliverables as well as the final reports 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.

## Annex I: Project proposal template

### 1. Identification

**1.1 Project title** Full title  
Short title

**1.2 Full name of the implementing regional centre**

**Focal point of the project at the regional centre** Name:  
Title:  
Position:  
Tel:  
Email:

### 2. Project profile

**2.1 Regional or national project**  Regional  National

**2.2 Beneficiary countries**

Please list all main beneficiary countries and contact points of the project. The beneficiary countries must be among those 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.<sup>12</sup> Please add rows as necessary.

Beneficiary country	Contact persons' name	Contact persons' title	Department / office / Ministry	Contact person's email

**2.3 Endorsement letters**

Please confirm whether all beneficiary countries have submitted endorsement letters signed by the Focal Points of the Basel and/or Stockholm Conventions.

Yes  No

If not, please explain the status.

**2.4 On-going or recent projects in beneficiary countries**

To the best of your knowledge, please list all on-going or recent projects related to plastic pollution implemented, in the beneficiary countries. Please add rows as necessary.

Beneficiary country	Donor	Implementing agency	Project title or description of project/activities related to plastic pollution
Example: Ghana	GEF	UNIDO	Establishing a circular economy framework for the plastics sector in Ghana

<sup>12</sup> <https://www.oecd.org/dac/financing-sustainable-development/development-finance-standards/DAC-List-of-ODA-Recipients-for-reporting-2022-23-flows.pdf>.

**2.5 Project duration**

Please indicate the project duration in months. The maximum project duration is 18 months.  
months

**2.6 Total project budget**

Please indicate the total project budget. The budget should be within USD 120,000 for national projects and USD 180,000 for regional projects. **Please provide detailed budget breakdown in section 5.**  
USD

**2.7 Alignment with the business plan or the workplan of the regional centres taking into account the country needs**

If the proponent is a Basel Convention regional centre, please confirm that the project is based on its business plan and was consulted with and agreed to by the steering committee. If the proponent is a Stockholm Convention regional centre, please confirm that the project is based on its workplan and takes into account the needs of all countries.

Yes                       No

**3. Implementation**

**3.1 Background and rationale of the project**

Please explain why this project is relevant to the beneficiary country and how the activities will contribute to meeting the objectives. (minimum 250 words)

**3.2 Objectives**

Please list the objectives of the project.

The objectives of the project are to:

1. ...
2. ...
3. ...

**3.3 Main areas of intervention:** Please select the main areas of intervention of the project.

- 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

**3.4 Expected outcomes of the project**

Please list expected outcomes of the project. Please add rows as necessary.

Expected outcomes	Indicator of success

Example:

Expected outcomes	Indicator of success
Environmentally sound management of plastic waste improved in the beneficiary country	Quantities of plastic waste managed in an environmentally sound manner
Control of transboundary movement of plastic waste strengthened in the beneficiary country	Cases of plastic waste in trade recorded by customs officers as appropriate

**3.5 Activities, outputs, delivery date and monitoring framework**

Please provide activity titles, description of activities, expected outputs with relevant delivery date, indicators of success, targets and means of verification. Please add rows as necessary. **Please make sure that the activity titles are exactly the same as the activity titles in the budget breakdown in section 5.**

Activity 1: [title]					
Description of activities	Outputs	Delivery date	Indicators	Targets	Means of verification
Activity 2: [title]					
Description of activities	Outputs	Delivery date	Indicators	Targets	Means of verification
Activity 3: [title]					
Description of activities	Outputs	Delivery date	Indicators	Targets	Means of verification
Activity 4: [title]					
Description of activities	Outputs	Delivery date	Indicators	Targets	Means of verification
Activity [number]: Communication					
Description of activities	Outputs	Delivery date	Indicators	Targets	Means of verification
Activity [number]: Monitoring and evaluation of the project results					
Description of activities	Outputs	Delivery date	Indicators	Targets	Means of verification

**Example:**

Activity 1: Enforce the national legislations on plastics and Transboundary movement in Rwanda					
Description of activities	Outputs	Delivery date	Indicators	Targets	Means of verification
1. Organize series of joint monitoring inspections to crack down illegal trade of banned plastics	Joint monitoring inspections of illegal trade of banned plastics	December 2022	Number of joint monitoring inspections carried out	1	Report of the joint monitoring inspections submitted to the BRS Secretariat
2. Develop documentation of best practices emanating from enforcement of existing laws and provide recommendations to guide future policies and legislation on plastic wastes management	Documentation of best practices and recommendations to guide future policies and legislation on plastic wastes management	December 2022	Number of documentation of best practices and recommendations developed	2 documentations and 1 recommendation	Documentations of best practices and recommendations submitted to the BRS Secretariat

**3.6 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.

Project management team	Description of the role	Name, title, organization
Team leader		
Team members		
Others (experts, consultants, etc.)		

**3.7 Project partners**

Please list all partners that you plan to engage and their roles. Please add rows as necessary. Please explain for each how the partner has been selected.

Partner	Role	Contact person	How the partner has been selected or plan to select

**3.8 Risk analysis and mitigation**

Please identify the top 5 risks for successful project implementation and the measures that will be taken to address these.

Type or risk (External or internal)	Description of risk	Risk mitigation measure
1.		

2.		
3.		
4.		
5.		

**4. Additional project information**

**4.1 Innovation**

Please describe the innovative approach taken in the project e.g. developing new tools to address plastic waste, tackle a new aspect of the ESM of plastic waste.

**4.2 Involvement of informal sector or cooperatives**

Please describe the involvement of informal sector or cooperatives in your project, if there is any.

**4.3 Using existing guidance and tools**

Please explain whether and how existing guidance and tools for plastic waste (e.g. inventory, ESM guidance) will be used in your project.

**4.4 Replicability**

Please explain how the project will ensure scale-up/replicability of the project results, e.g. by providing practical examples of how other Parties and stakeholders can better succeed in similar activities.

**4.5 Leveraging**

Please explain how the project will ensure that the result of this project will trigger expanded activities/follow-up projects in the immediate future.

**4.6 Sustainability**

Please explain how the project will ensure that the conditions for achievement of the outcomes to be established through this project prevail beyond the project duration.

**4.7 Gender**

Please explain how the project will contribute to advancing gender equality and advance gender mainstreaming.

**4.8 Synergies**

Please explain how the project will contribute to strengthening synergies between the Basel, Rotterdam and Stockholm Conventions and any other relevant multilateral environmental agreements.

**4.9 South-south cooperation**

Please explain how the project contribute to advancing south-south cooperation? If yes, please explain in the comment section

**4.10 Sustainable Development Goals (SDGs)**

Please explain how the project contribute towards the achievement of the SDGs.

## 5. Budget

Please provide budget breakdown. **Please make sure that the activity titles are exactly the same as the activity titles provided in section 3.5 above.** The explanation of the budget class code is provided in the table below. Please make sure that the total cost pertaining to procurement does not exceed 30% of the total budget. The format of the budget table is the same as the one used in the template for SSFAs of the BRS Secretariat.

Description	Budget Class Code <sup>1</sup>	Quantity	Unit Description	Unit Cost (USD)	Total Cost (USD)
<b>Activity 1: [title]</b>					
Activity 1 Item 1 –					
Activity 1 Item 2 –					
Activity 1 Item 3 –					
Activity 1 Item 4 –					
Activity 1 Item 5 –					
<b>Sub-total</b>					
<b>Activity 2: [title]</b>					
Activity 2 Item 1 –					
Activity 2 Item 2 –					
Activity 2 Item 3 –					
Activity 2 Item 4 –					
Activity 2 Item 5 –					
<b>Sub-total</b>					
<b>Activity 3: [title]</b>					
Activity 3 Item 1 –					
Activity 3 Item 2 –					
Activity 3 Item 3 –					
Activity 3 Item 4 –					
Activity 3 Item 5 –					
<b>Sub-total</b>					
<b>Activity 4: [title]</b>					
Activity 4 Item 1 –					
Activity 4 Item 2 –					
Activity 4 Item 3 –					
Activity 4 Item 4 –					
Activity 4 Item 5 –					
<b>Sub-total</b>					
<b>Activity [...]: Communication</b>					
Activity ... Item 1 –					
Activity ... Item 2 –					
Activity ... Item 3 –					



## Annex II: Project screening and evaluation template

### 1. Screening

Verify the project proposal based on the eligibility and completeness criteria below. Where appropriate, the proponent can be contacted to provide missing information.

Eligibility and completeness criteria	Verification
1. Is the proposal form duly completed?	<input type="checkbox"/> Yes <input type="checkbox"/> No
2. Is the proponent and lead implementing entity is a Basel Convention regional and coordinating centre or Stockholm Convention regional and subregional centre?	<input type="checkbox"/> Yes <input type="checkbox"/> No
3. Are the beneficiary countries are among those eligible to receive funding under the technical assistance programme of the Basel and Stockholm Conventions and are listed on the DAC list of ODA recipients?	<input type="checkbox"/> Yes <input type="checkbox"/> No
4. Does the proposal accompany official endorsement letters from the relevant focal points of all the main beneficiary countries of the project?	<input type="checkbox"/> Yes <input type="checkbox"/> No
5. If the proponent is a Basel Convention regional centre, is the project based on its business plan and consulted with and agreed to by the steering committee? If the proponent is a Stockholm Convention regional centre, is the project based on its workplan and takes into account the needs of all countries?	<input type="checkbox"/> Yes <input type="checkbox"/> No
6. Is 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 as well as within the maximum timeframe of 18 months?	<input type="checkbox"/> Yes <input type="checkbox"/> No
7. Does the proposed project falls within the scope of projects to be funded under the SGP on Plastic Waste specified in section II of the modalities?	<input type="checkbox"/> Yes <input type="checkbox"/> No

### 2. Evaluation

Evaluate the projects based on the evaluation questions below and provide scores as follows:

Excellent: 5 points; Good: 4 points; To some extent: 3 points; Need improvement: 2 points; No: 1 point

Evaluation questions	Points
1. Does the background and rationale of the project provide a sufficiently strong evidence of the needs that are to be addressed through the project?	
2. Is the objective of the project clear and achievable? Are the activities coherently structured and can be reasonably expected to serve to achieve the outcomes and objectives?	
3. Are the outputs tangible, measurable through the indicators and correspond to the activities? Are the expected outcomes achievable and measurable through the indicators?	
4. Is the organisation of the project management team sufficient to expect smooth implementation? Does it offer the required expertise?	
5. Does the project proposal include an effective communication plan?	
6. Will the project engage relevant partners, such as government, civil society, private sector?	
7. Does the project identify key risks? Does it include appropriate risk mitigation measures?	
8. Is the timeline of activities achievable?	
9. Is the project cost-effective, i.e. can it be expected to deliver high impact results at low cost?	
10. Does the project promote the following? <ul style="list-style-type: none"> <li>• Innovative approach, including developing new tools to address plastic waste, tackle a new aspect of the ESM of plastic waste, and/or feature another innovative element</li> <li>• Involvement of informal sector, cooperatives, private sector</li> <li>• Use of existing guidance and tools for plastic waste (e.g. inventory, ESM guidance)</li> </ul>	

<p>11. Does the project ensure the following?</p> <ul style="list-style-type: none"> <li>• Replicability and potential for scale-up</li> <li>• Leveraging related activities</li> <li>• Sustainability of the project results beyond the project duration</li> </ul>	
<p>12. Does the project contribute to the following?</p> <ul style="list-style-type: none"> <li>• Achievement of the SDGs</li> <li>• Synergies between the Basel, Rotterdam and Stockholm Conventions and any other relevant multilateral environmental agreements</li> <li>• Gender equality and advance gender mainstreaming</li> <li>• South-south cooperation</li> <li>• Support for the small island development state and/or least developed country</li> </ul>	
<p>Overall score (maximum score = 60)</p>	

### 3. 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, engagement of stakeholders.

### 4. Final evaluation

Taking into account the score and the overall assessment, 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