

Secretariat of the Basel, Rotterdam and Stockholm Conventions

# Findings of the sub- groups set up under the secretariat Task Force on Restructuring

December 2011

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## **A. Subgroup on meetings of the Conferences of the parties and subsidiary bodies under the Basel, Rotterdam and Stockholm Conventions**

### **1. Summary of the outcomes of the sub-group on Organizing the meetings of the COPs and subsidiary bodies to the Basel, Rotterdam and Stockholm conventions**

#### **i. Summary of activities of the group**

The subgroup on *Organizing meetings of the COPs and subsidiary bodies* undertook a mapping of all the processes and operations currently performed before, during and after the meetings of the COPs and the subsidiary bodies<sup>1</sup>.

The processes for organizing meetings of the COPs and subsidiary bodies were presented in comparative tables which highlighted the processes specific to one Convention or common to two or three conventions.

#### **ii. Observations**

The following observations have been evidenced:

##### ***Meetings of the COPs***

- The three secretariats have already at a high degree of integration in the way the meetings of the COPs are organized<sup>2</sup>. Variations can be seen come from differences in: rules of procedures of the meetings of the COP; decisions that affect the running of a COP, organizational structures of the secretariats;
- Further integration has taken place at the COPs in 2011; when a Coordinator was assigned to supervise the three COPs, and when similar procedures were adopted by the three Conferences of the Parties (e.g. the term of office of bureau members and financial rules);
- Most of the processes and functions performed for registration, travel, logistics, and finance in support of the COPs follow standardized procedures;
- The management of documents (pre-session documents, CRPs, and meeting report) follow the same general processes. Some differences have been noted in the internal review/clearance of documents;
- Some differences have been noted in the follow-up to COPs (communication with Parties; develop of internal work plans).

##### ***Subsidiary bodies***

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<sup>1</sup> i.e. the Basel Convention's Open-Ended Working Group; Implementation and Compliance Committee; and Expanded Bureau, as well as the Rotterdam Convention's Chemicals Review Committee; and the Stockholm Convention's POPs Review Committee.

<sup>2</sup> The synergies decisions, in particular the decision on administrative function, led to an enhanced standardization of the procedures and practices that are applied across the board by the three conventions.

- The subsidiary bodies under the conventions apply, mutatis mutandis, the rules of procedures of the COPs, for administrative and procedural matters (their mandate, membership/participation, working procedures are however very different from one body to another, as specified in their terms of references and in accordance with the mandate that was assigned to them by the conventions);
- Overall, the same steps for organizing COP meetings apply to the organization of subsidiary bodies meetings;
- Different types and levels of support are provided to ensure the logistics, registration, travel, and finance of the meetings of the subsidiary bodies;
- A lot of similarities can be found between the CRC and POPRC which have similar membership/participation, mandate and working procedures.

### **iii. Recommendations**

From the assessment, it was possible to identify areas where more integration could be implemented to gain efficiency in the way the meetings of the COPs and subsidiary bodies are organized.

- To coordinate all the functions involved in COPs and subsidiary bodies' meetings (and input from different secretariat' branches), it seems valuable to consider entrusting one branch with the overall responsibility and oversight of the whole process.
  - It will ensure a harmonized and consistent approach in the way the meetings of the COPs and subsidiary bodies' meetings are organized.
  - It will pursue the standardization of the current processes which have been identified as having a potential for improvement and more integration (e.g. document management, follow-up to the COPs).
- In this regard, it might be worth considering developing standardized operating procedures (SOPs) and tools (work plans, document tracking files, staff responsibility lists). Their implementation could be coordinated by the COPs/Subsidiary bodies' branch.
- It would be worthwhile testing and then replicating the best practices identified in the current processes, e.g. new CRC members' welcome package; POPRC roster of experts.

## 2. Observations and recommendations

### Context

The *Subgroup on Organizing meetings of the COPs and subsidiary bodies*<sup>3</sup> met on 29 August and worked subsequently by email to produce the following conclusions and tables describing existing processes in the secretariats for organizing COPs and subsidiary bodies meetings.

### Introduction

The synergies process is the driving force behind an increased harmonization in the ways the secretariats organize the meetings of COPs and subsidiary bodies. The synergies decisions<sup>4</sup>, in particular the decision on administrative function, led to an enhanced standardization of the procedures and practices that are applied across the board by the three conventions. Other driving forces for harmonization of procedures come from the standards applied by UNON in the field of administration/ finance and conference services.

	<u>Observations</u>	<u>Recommendations</u>
<u>Meeting of COPs</u>	<ul style="list-style-type: none"><li>○ The three secretariats have already at a high degree of integration in the way the meetings of the COPs are organized;</li><li>○ Variations can be seen come from differences in: rules of procedures of the meetings of the COP; decisions that affect the running of a COP, organizational structures of the secretariats;</li><li>○ Further integration has taken place at the COPs in 2011; when a Coordinator was assigned to supervise the three COPs, when similar procedures were adopted by the three Conferences of the Parties (e.g. the term of office of bureau members and financial rules);</li><li>○ Most of the processes and functions performed for <b>registration, travel, logistics, and finance</b> in support of COPs follow standardized procedures. Some differences can be seen in:<ul style="list-style-type: none"><li>- Pre-registration of Parties, where different level of focal points and authorities can endorse nominations, and admission of observers;</li><li>- Correspondence mail out, as the conventions have different official contact points at the</li></ul></li></ul>	<ul style="list-style-type: none"><li>○ In the spirit of more integration and gain in efficiency, it might be worth considering further development and refining of detailed standardized operating procedures (SOPs) for the organisation of future meetings of the COPs; in particular, attention should be given to further develop standardized procedures for:<ul style="list-style-type: none"><li>i) coordinated schedule of bureau meetings</li><li>ii) pre-registration; admission of observers (bearing in mind existing COP decisions on the matter); mailing out, and credentials;</li><li>iii) overall policy editing function for the development of pre-session documents;</li><li>iv) running of pre-session meetings;</li></ul></li></ul>

<sup>3</sup> The members of the group were: Juliette Kohler, Alexander Mangwiro; Alain Wittig; Digna Francisco; David Ogden; Jacqueline Alvarez; Kei Ohno; Leslie Angeles; Marzena Jankowska; Maria Cristina Cardenas; Melisa Lim; Neslihan Grasser; Peter Rossiter; Susanne Bengtsson; Stephanie Cadet; Tatiana Terekhova; Tarcisio Hardman Reis; and the chair was: Marylene Beau.

<sup>4</sup> Basel Convention (decision IX/10, June 2008), Rotterdam Convention (decision RC-4/11, October 2008), Stockholm Convention (decision SC-4/34, May 2009)

	Observations	Recommendations
	<p>national level. In RC, Permanent Missions in Rome are copied to the correspondence. In RC, a process seems to be in place by which UNON CS mails out hard copies of correspondence to official contact points.</p> <ul style="list-style-type: none"> <li>o The same general process applies for the development of <b>pre-session documents</b>. Some differences have been noted in the internal review of documents. In SC, the coordinator undertakes a policy check on all documents before being sent to ES, whereas in RC all documents are circulated to programme officers for comments before final clearance from the two ESS.</li> <li>o All three conventions organize <b>pre-session meetings</b> on Sunday before the meeting. In BC, pre-session meetings can also take place on Saturday sometimes to brief delegations on issues expected to require long negotiation or review at the COP.</li> <li>o The same general process applies for the <b>development and processing of CRPs and meeting reports</b>, taking into account specific standards for paperless meetings.</li> <li>o Some differences might also be seen in the <b>follow-up to COPs</b>. For instance, an omnibus letter that summarizes all COP information requests is being developed in SC. Within BC, following each COP the SBC posts on its website a list with an indication of the steps to be taken by Parties within the deadlines set by the COP. SBC also shares relevant decisions with partners through individual letters.</li> </ul>	<p>v) COP follow-up.</p> <ul style="list-style-type: none"> <li>o To supplement SOPs, other standardized tools, such as COP work plans, document tracking files, staff responsibility lists; can be harmonized and used across secretariats,</li> <li>o It might be worth exploring the development of mechanisms to facilitate formal and informal information exchange within the secretariats on COPs outcomes and lessons learned.</li> </ul>
<u>Meetings of the subsidiary bodies</u>	<ul style="list-style-type: none"> <li>o The subsidiary bodies under the conventions apply, <i>mutatis mutandis</i>, the rules of procedures of the COPs, for administrative and procedural matters, <ul style="list-style-type: none"> <li>- Their mandate, membership/participation, working procedures are however very different from one body to another, as specified in their terms of references and in accordance with the mandate that was assigned to them by the conventions,</li> </ul> </li> <li>o Overall, the same steps for organizing COP meetings apply to the organization of subsidiary bodies meetings,</li> <li>o Different types and levels of support are provided to ensure the <b>logistics, registration, travel, and finance</b> of the meetings of the subsidiary bodies,</li> <li>o <b>A lot of similarities can be found between the CRC and POPRC</b> which have a similar membership/participation (31 experts plus observers), mandate (scientific bodies that review chemicals for listing) and working procedures (nomination of experts, review of proposals or notifications, process for carrying out intersessional work).</li> </ul>	<ul style="list-style-type: none"> <li>o Similar to the recommendations formulated above, it might be worth considering further developing and refining standardized operating procedures (SOPs) and tools (work plans, document tracking files, staff responsibility lists) for the organization of future meetings of the subsidiary bodies;</li> <li>o It would be worth exploring if more synergies can be achieved in the support provided to the meetings of the subsidiary bodies; and promote further standardization in procedures ; when possible;</li> <li>o It would be worth capitalizing best practices identified during the meetings preparation; running and follow-up; e.g. new CRC members receive a welcome package by email; roster of experts in POPRC, and assess to which extent good practices can be replicated;</li> </ul>

	<u>Observations</u>	<u>Recommendations</u>
		<ul style="list-style-type: none"> <li>○ Building on the synergies decisions that requested improved information sharing between scientific committees, some mechanisms might be developed to institutionalize information exchange between the committees, as well as internally between the staff of the secretariats.</li> </ul>

**Table 1: Detailed Processes related to the organisation of the meetings of the Conferences of the Parties to the Basel, Rotterdam and Stockholm conventions**

**A. Preparing for the meeting**

Main steps and activities	Basel Convention <sup>5</sup>	Rotterdam Convention <sup>6</sup>	Stockholm Convention <sup>7</sup>	JCS	Commonalities (C) and Differences (D)
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<sup>5</sup> Mandate of BC COP: Article 16

<sup>6</sup> Mandate of RC COP: Articles 18 and 19 and Decision RC-1/1: Rules of procedure.

<sup>7</sup> Mandate of SC COP: Articles 19 and 20 and rules of procedures (consolidated version).

Main steps and activities	Basel Convention <sup>5</sup>	Rotterdam Convention <sup>6</sup>	Stockholm Convention <sup>7</sup>	JCS	Commonalities (C) and Differences (D)
1. Early logistics	<p>For meetings outside the secretariat:</p> <p>1. Same procedures as for SC except that the location of the COP can also be decided by the Expanded Bureau</p> <p>1. Communicate logistic requirements to JCS.</p>	<p>For meetings outside the secretariat:</p> <p>1. Same procedures as for SC</p> <p>1. Communicate logistic requirements to JCS.</p>	<p>For meetings outside the secretariat:</p> <p>1. Offer to host COP agreed to by COP</p> <p>2. Secretariat conducts necessary advance visits</p> <p>3. Host government agreement negotiated (ES, Coordinator, CS Coordinator UNON, legal, administration unit and security service from DSS)</p> <p>1. Communicate logistic requirements to JCS.</p>	<p>1. Books the meeting venue (<b>4-8 years</b> in advance). If host outside of Geneva is selected these reservations can be cancelled up to 1 year in advance.</p> <p>2. Plans for the IT and other equipment needed, especially for paperless meetings;</p> <p>3. Books UNON Conference Services (CS) (arrange for interpretation, reporting and recordings of the meeting).</p> <p>4. Liaise with potential exhibitors concerning space, equipment and catering requirements</p>	<p>Commonalities in the way the location of the COP is decided, except for BC expanded bureau that has the opportunity to make proposals</p>

Main steps and activities	Basel Convention <sup>5</sup>	Rotterdam Convention <sup>6</sup>	Stockholm Convention <sup>7</sup>	JCS	Commonalities (C) and Differences (D)
2. Meetings of the bureaus	<p>1. BC Bureau is composed of: a President and 3 Vice-Presidents; and one rapporteur</p> <p>2. Bureau is elected to start office from the closure of a COP until the closure of the next COP, (revised rules of procedures adopted at COP-10)</p> <p>3. Frequency of meetings not mentioned</p> <p>4. Secretariat prepares the agenda and meeting documents, and the bureau meeting report;</p> <p>5. The date of the COP meeting and agenda is agreed with the President;</p>	<p>1. RC bureau is composed of: a President and 4 Vice-Presidents; and one of whom shall be rapporteur (each of the UN regional groups shall be represented by one Bureau member); the Chairs of the CRC and any other subsidiary bodies shall be members ex-officio of the Bureau.</p> <p>2. Bureau is elected to start office from the closure of a COP until the closure of the next COP,</p> <p>3. Intersessional meetings are held annually and a meeting are held the day before the COP;</p> <p>4. The budget defines the number of bureau meetings;</p> <p>5. Senior Officers (Gva and Rome) prepare the agenda and meeting documents, and the bureau meeting report; with the support of Pos</p>	<p>1. SC bureau composed of: a President and 9 vice-presidents, one of whom shall be rapporteur. (2 members from each UN region), the Chairs of the POPRC and any other subsidiary bodies shall be members ex-officio of the Bureau.</p> <p>2. Bureau is elected to start office from the closure of a COP until the closure of the next COP, (revised rules of procedures adopted at COP-5)</p> <p>3. Intersessional meetings are held bi-annually and meetings are held the day before the COP;</p> <p>4. Secretariat prepares the agenda and meeting documents, and the bureau meeting report;</p> <p>5. The date of the meeting and agenda is agreed with the President;</p>	<p>1. Organises travel of members; payment of DSA via roster and other logistical arrangements.</p> <p>2. Prepare final statement of expenditures against roster for UNOG/UNON</p>	<p>D: The composition of the bureaus,</p> <p>C: All the other processes being involved in the organisation of the meetings of the bureaus seem similar</p>

Main steps and activities	Basel Convention <sup>5</sup>	Rotterdam Convention <sup>6</sup>	Stockholm Convention <sup>7</sup>	JCS	Commonalities (C) and Differences (D)
3. Fundraising	<p>After 1.:</p> <p>2. Follow-up with donors,</p> <p>3. Raise budget consultations with Permanent Missions after Permanent Mission briefing</p> <p>4. Liaise with ED/UNEP Resource Mobilization Section on possibility of assistance with fundraising efforts for participation costs</p>	Same than SC	<p>After 1:</p> <p>2. Contact with potential donors by phone</p> <p>3. Liaise with ED/UNEP Resource Mobilization Section on possibility of assistance with fundraising efforts for participation costs</p> <p>4. Mission briefings</p> <p>5. Meetings organized by ES with donor community</p>	<p>1. Prepare and send letters and reminders to donors seeking contributions for participants' support (Finance Team)</p>	<p>C: same approach in place throughout secretariats</p>

Main steps and activities	Basel Convention <sup>5</sup>	Rotterdam Convention <sup>6</sup>	Stockholm Convention <sup>7</sup>	JCS	Commonalities (C) and Differences (D)
4. Invitation letters	<p>1. Prepare invitation and agenda, gets ES clearance;</p> <p>2. Get the agreement of the President of the COP on the draft provisional agenda (to be included in the mailing out)</p> <p>3. The draft letter and agenda* are sent to UNON CS for editing and translation into 3 languages (English, French, Spanish)</p> <p><u>Note:</u> Sending out of invitation letters <b>4-5 months</b> prior to the meeting by priority mail to the FPs, copying CAs and PMs. Emails to PMs; through the Palais, advising of transmittal of hard copies.</p> <p>* translation into all UN languages</p>	<p>1. The letters and draft provisional agenda are generated by Geneva or Rome secretariat (depending location of meeting) and cleared by both ESs.</p> <p>2. Get the agreement of the President of the COP on the draft provisional agenda (to be included in the mailing out)</p> <p>3. The draft letter and agenda are sent to UNON CS for editing and translation into 3 languages (English, French, Spanish)</p> <p><u>Note 1:</u> Hard copy mail outs to OCPs and observers are done by UNON CS while JCS takes care of email send outs (incl. to PMs in GvA)</p> <p><u>Note 2:</u> The invitation letters (hard copy) need to be sent <b>4-5 months</b> prior to the meeting to Parties and non-Parties (with form for credentials), copied to PMs in Geneva and Rome. Letters also sent to Observers (UN bodies/ specialised agencies, IGOs, NGOs).</p>	<p>1. Coordinator prepares invitation and agenda, gets ES clearance.</p> <p>2. Get the agreement of the President of the COP on the draft provisional agenda (to be included in the mailing out)</p> <p>3. The draft letter and agenda are sent to UNON CS for editing and translation into 3 languages (English, French, Spanish)</p> <p><u>Note:</u> The invitation letters need to be sent <b>4-5 months</b> prior to the meeting by priority mail to the OCPs, copying NFPs and PMs. Letters also sent to Observers (UN bodies/ specialised agencies, IGOs, NGOs).</p>	<p>1. Organise the mailing out and emailing out</p> <p>2. Post the invitation note and registration form on the web (besides attaching the form to the invitation letters) <b>4 months</b> in advance.</p> <p>3. Reminder/follow-up emails to PMs of developing countries which are qualified to receive funding, but are yet to designate their representatives.</p> <p>4. Mailing list to be used for dispatching are regularly updated and generated by JCS in Geneva for each category of recipients, and sent to UNON CS for mail out</p>	<p>C: All three secretariats have similar steps in place to develop the invitations and COP agenda,</p> <p>- A difference is noted in RC where the final internal clearance of documents should be done by two ESs</p> <p>C: All three secretariats have the same mailing out process, except for RC who seems to make the hard copy mailing out from Nairobi</p>

Main steps and activities	Basel Convention <sup>5</sup>	Rotterdam Convention <sup>6</sup>	Stockholm Convention <sup>7</sup>	JCS	Commonalities (C) and Differences (D)
5. Pre-registration	<p>1. Registration for Parties:</p> <p>a. to be approved/signed by Foreign Affairs or Permanent Missions</p> <p>2. Registration for observers:</p> <p>a. Only the NGOs with history of participation in BC meetings, would receive an invitation to attend the meeting</p> <p>b. Every other NGO, without history of participation in BC meetings must apply to SBC for admission</p> <p>3. Credential process (delegations may provide in advance of the meeting for a pre-check by the secretariat)</p>	<p>1. Registration for Parties:</p> <p>a. to be approved/signed by one of the OCPs</p> <p>2. Registration for observers (rule 7 of rules of procedures RC-1/1 as set out in meeting report RC-1/33).</p> <p>3. Credential process (delegations may provide in advance of the meeting for a pre-check by the secretariat)</p>	<p>1. Registration for Parties:</p> <p>a. to be approved/signed by Foreign Affairs or Permanent Missions</p> <p>2. Registration for observers (process set out in decision SC-2/16 and document UNEP/POPS/COP.2/26)</p> <p>3. Credential process (delegations may provide in advance of the meeting for a pre-check by the secretariat)</p>	<p>1. Receive and clear participant nomination, enters DB and replies queries;</p> <p>2. Only one letter of acknowledgement will be transmitted per country, addressed to the FP of the country concerned informing it of all those who registered and specifying the delegate that will be sponsored and, if multiple registrations are received, identifying those that will not be sponsored</p> <p>3. Creation and maintenance of roster of participants</p>	<p>D: the nomination of a government representative requires signature of FAM and PMs in SC and BC, but in RC only the approval of OCPs (which can be FAM/PMs sometimes) is required</p> <p>D: Registration of observers follows different rules in RC/SC and BC</p> <p>C: Measures already taken to standardised the registration process (same registration form, etc.)</p> <p>C: Same credential process, but differences are noted in the way countries structure the nominations accredited (e.g. only one member of a delegation is accredited)</p>

Main steps and activities	Basel Convention <sup>5</sup>	Rotterdam Convention <sup>6</sup>	Stockholm Convention <sup>7</sup>	JCS	Commonalities (C) and Differences (D)
6. Confirmation letters	<p>1. Prepare draft confirmation letters</p> <p><u>Note:</u> Letters are sent to</p> <ul style="list-style-type: none"> <li>a. FPs of Parties that are eligible to receive funding, copied to PMs in GVA,</li> <li>b. FPs that are not eligible to receive funding (developed countries), copied to PMs in GVA, and to FPs of non-Parties, as well as to observers.</li> </ul>	<p>1. Prepare draft confirmation letters from Geneva or Rome (depending on COP location)</p> <p><u>Note:</u> Letters are sent to</p> <ul style="list-style-type: none"> <li>a. OCPs of Parties that are eligible to receive funding, copied to PMs in GVA and Rome,</li> <li>b. OCPs that are not eligible to receive funding (developed countries), copied to PMs in GVA and Rome, and to OCPs of non-Parties, as well as to observers.</li> </ul>	<p>1. Prepare draft confirmation letters</p> <p><u>Note:</u> Letters are sent to</p> <ul style="list-style-type: none"> <li>a. OCPs of Parties that are eligible to receive funding, copied to PMs in GVA,</li> <li>b. OCPs that are not eligible to receive funding (developed countries), copied to PMs in GVA, and to OCPs of non-Parties, as well as to observers.</li> </ul>	<p>1. Translate into three languages (En, Fr, Sp) and send out confirmation letters and travel information (at the latest one month before the COP);</p> <p>2. Publish information on accommodation on the web</p>	<p>C: Same confirmation letter development/review process; apart from RC that has to copy PMs in GVA and Rome</p>

Main steps and activities	Basel Convention <sup>5</sup>	Rotterdam Convention <sup>6</sup>	Stockholm Convention <sup>7</sup>	JCS	Commonalities (C) and Differences (D)
7. Travel of sponsored participants	Based on the amended financial rules (decision BC-10/28), the same process applies.	<p>The process is based on the annex to decisions SC-5/2 and RC-5/1 on "Procedure for allocation of funding from the voluntary Special Trust Fund (SV or RV) for facilitating the participation of parties in meetings of the Conference of the Parties" which is giving priority to LDC/SIDS and with the view of ensuring adequate geographic representation of eligible regions.</p> <ol style="list-style-type: none"> <li>1. A first list is compiled by JCS of all received requests for travel support by the deadline included in the invitation letter; the list includes details of region, country, name, title, and department/office and whether the requesting country is a party, least developed country (LDC) and/or small island developing country (SIDS), EU member country</li> <li>2. The list is sent to admin unit who indicate the funding availability and this will be sent to the ES for reviewed together with his/her team and then it will be submitted to the joint ES for approval</li> <li>3. The approved list is sent by admin unit to conference service in JCS who will start the travel process</li> <li>4. A second and eventually a third final list will be prepared of late received requests for travel support and depending on the availability of funds indicated by admin unit the review and approval steps will be done</li> <li>5. Admin unit will communicate with UNEP HQ on possibility of getting waiver of the 13 percent programme support costs on voluntary contribution for travel support</li> <li>6. Updates will be given to the bureau</li> </ol>	Same process than in RC	<ol style="list-style-type: none"> <li>1. Prepare a confirmed participant list (sponsored government representatives and experts) for financial clearance;</li> <li>2. Request index number, prepare Travel Ticket Notes (UNOG process), receive participant's itineraries (UNOG), and reply queries,</li> <li>2a. Request index number from UNON if not in Convention data base</li> <li>2b. Request Amex for itineraries for participants</li> <li>2c. Itineraries sent by Amex to SC/RC and then forwarded to participant.</li> <li>3. Prepare/modify Travel Request:</li> <li>3a. Prepare/modify Travel Request, request Amex to issue e.ticket which is sent to SC/RC and forwarded to participant.</li> </ol>	C: The administrative travel arrangement process is the same

Main steps and activities	Basel Convention <sup>5</sup>	Rotterdam Convention <sup>6</sup>	Stockholm Convention <sup>7</sup>	JCS	Commonalities (C) and Differences (D)
8. Pre-session documents	<p>1. Documents will be prioritized for the purpose of submission to UNON CS:</p> <p>a. <i>Programme of work and budget</i> must be made available on the website at the latest <b>3 months</b> prior to the meeting.</p> <p>b. To meet the <b>2-months</b> COP Rules of Procedure, most important documents to be submitted to docs control for processing not later than <b>19-weeks</b> before the meeting</p> <ul style="list-style-type: none"> <li>• Final clearance by ES not later than <b>17-weeks</b> before the meeting</li> <li>• To meet the 2-months COP Rules of Procedure, most important documents to be submitted to CS/UNON not later than <b>15-weeks</b> before the meeting</li> </ul> <p>c. To meet the UN <b>6-week</b> rule, less important documents to be submitted to docs control for processing not later than <b>16-weeks</b> before the meeting</p> <ul style="list-style-type: none"> <li>• Final clearance by ES not later than <b>14-weeks</b> before the meeting</li> <li>• To meet the UN 6-week rule, less important documents to be submitted to CS/UNON not later than 12-weeks before the meeting</li> </ul> <p>d. Deadline for submission of INF documents to docs control not later</p>	<p>1. Shared responsibility between Rome and Gva teams for drafting of documents; (coordination required on all documents)</p> <p>2. The dispatching of meeting documents is organized in three separate batches. .</p> <p>a. First set covering the draft DGDs that have been approved by the CRC for inclusion into Annex III of the Convention have to be dispatched <b>6 months</b> prior to the meeting, and all other documents that can be prepared early (4-5 months ahead).</p> <p>b. Second set covering the <i>programme of work and budget</i>, and the financial report must be made available at the latest <b>3 months</b> prior to the meeting.;</p> <p>c. The latest batch cover all remaining documents and has to take place no later than <b>6 weeks</b> prior to the meeting</p>	<p>1. Coordinator prepares the Document Preparation Schedule (<b>9-11 months</b> in advance).</p> <p>2. The dispatching of documents is organized in three separate batches:</p> <p>a. First set covering proposed amendments to the Convention at least <b>6 months</b> before the COP meeting;</p> <p>b. Second set covering the <i>programme of work and budget</i>, and the financial report must be made available at the latest <b>3 months</b> prior to the meeting.</p> <p>c. The latest batch cover other documents and has to take place at least <b>6 weeks</b> before the COP meeting;</p> <p>3. Lead programme officers draft documents and send them to coordinator;</p> <p>4. Coordinator to review the documents and submit them for ES clearance;</p>	<p>All documents on financial and administrative matters are prepared by Finance Team</p> <p>1. Meet with ES, Coordinator, Technical teams for budget discussions</p> <p>2. Prepare draft budget and financial report at least <b>4.5 months</b> before the COP meeting, and finalized at least 3 months before the meeting.</p> <p>3. Post relevant meeting <b>documents</b> in all languages once available: on the websites according to different deadlines (advanced English version could be posted before that all languages are available)</p> <p>4. Arrange for note taking and reporting at the COP (5 to 6 report writers/ editors, 2 typist and 2 Remote Transmission/ Documents Control staff are generally needed in</p>	<p>C: Same review process with UNON CS</p> <p>C: same deadlines for dispatching documents (apart the last dispatch of BC that has to take place 2 month in advance not 6 weeks like RC and SC)</p> <p>D: Different internal review processes:</p> <ul style="list-style-type: none"> <li>- In SC the coordinator undertakes a policy check on all the documents before they get send to ES,</li> <li>- In RC the documents are circulated to all technical POs.</li> </ul> <p>D: The practice in RC that the documents get edited by UNON before final clearance by ESs seems no longer in practice</p>

Main steps and activities	Basel Convention <sup>5</sup>	Rotterdam Convention <sup>6</sup>	Stockholm Convention <sup>7</sup>	JCS	Commonalities (C) and Differences (D)
	<p>2. Officers to submit to docs control a list of their docs to be prepared for the meeting not later than 20-weeks before the meeting and indicate which of their documents fall within which categories (b or c above)</p> <p>3. Docs control to compile the list of the docs, prepare and maintain the tracking table, assign doc symbols following the prov agenda, indicate deadlines, etc.</p> <p>4. Submit provisional list of documents to UNON CS for their planning purposes</p> <p>5. Drafting of meeting documents and submission to docs control</p> <p>6. Docs control to format and submit the draft documents for ES clearance</p> <p>7. Once cleared by the ES, docs control sends them to UNON CS</p> <p>8. Once edited by UNON, and cleared internally (by drafter and head of unit), they are sent back to UNON CS for finalization (Advance English) and translation</p> <p>9. Advance E posted on website</p> <p>10. Languages received are checked internally for any oversight or formatting issues before being posted on the website</p> <p>11. Getting ready the tentative daily programme at the time of registration (or before) so that delegates can have them as they</p>	<p>3. A PO keeps track of all documents developed and once ready sends them to all the staff for review</p> <p>4. Once reviewed by the staff, the PO sends the documents to UNON CS;</p> <p>5. Once the documents are sent back from UNON CS, they are sent to both ESs for final clearance (it seems that the documents are now reviewed by ESs before getting sent to UNON).</p> <p>6. Once documents cleared by ESs (also be UNON), and cleared internally, they are sent back to UNON CS for finalization (Advance English) and translation</p> <p>7. Advance E posted on website</p> <p>8. Languages received are checked internally for any oversight or formatting issues before being posted on the website</p> <p>9. Shared responsibility for drafting of decisions (based on same share as for documents)</p> <p>10. Shared responsibility for preparation of President's notes for the COP</p> <p>11. Technical secretariat teams meeting with ES to discuss all issues in depth</p> <p>12. Preparing in advance of meeting daily timetables to reflect all meetings, including Contact Groups and side events</p> <p>13. Prepare the President's notes for the COP, to be circulated and discussed with the President before the meeting;</p>	<p>5. Coordinator transmits documents to UNON CS for editing and translation (all 6 languages):</p> <p>a. First set at least <b>4.5 months</b> before the COP meeting;</p> <p>b. Second set at least <b>3 months</b> before the meeting</p> <p>6. Once edited by UNON, and cleared internally (by coordinator and drafter), they are sent back to UNON CS for finalization (Advance English) and translation</p> <p>7. Advance E posted on website</p> <p>8. Languages received are checked internally for any oversight or formatting issues before being posted on the website</p> <p>9. Preparing in advance of meeting daily timetables to reflect all meetings, including Contact Groups and side events</p> <p>10. Prepare the President's notes for the COP, to be circulated and discussed with the President before the meeting;</p> <p>11. Technical secretariat</p>	<p>4. An email to OCPs of Parties is sent to indicate that meeting documents are posted on the website</p>	

Main steps and activities	Basel Convention <sup>5</sup>	Rotterdam Convention <sup>6</sup>	Stockholm Convention <sup>7</sup>	JCS	Commonalities (C) and Differences (D)
9. Communication, media and information materials, incl. statements/ briefing documents	<p>1. Develop a plan for press relations, exhibition management, production of conference gifts, organization of opening ceremony, organization of protocol arrangements, production of conference information material (printed and audio-visual), nomination of focal points for trouble shooting, etc.</p> <p>2. Preparation of publications and awareness materials, in cooperation with Public Information Department (JCS)</p>	<p>1. Identify publications and materials for the meeting,</p> <p>2. Prepare publications and awareness materials, in cooperation with Public Information Department (JCS);</p> <p>3. Hold a Permanent Mission briefing <b>2-4 weeks</b> in advance of the COP meeting (POs and ES, supported by JCS Public Information Team)</p> <p>4. Prepare press releases and public information on the web, in cooperation with Public Information Department (JCS)</p> <p>5. Hold press briefing prior to the meeting, by coordinator and ES supported by Public Information Team (JCS)</p>	<p>1. Identify publications and materials for the meeting,</p> <p>2. Prepare publications and awareness materials, in cooperation with Public Information Department (JCS);</p> <p>3. Hold a Permanent Mission briefing <b>2-4 weeks</b> in advance of the COP meeting (Coordinator and ES, supported by JCS Public Information Team)</p> <p>4. Prepare press releases and public information on the web, in cooperation with Public Information Department (JCS)</p> <p>5. Hold press briefing prior to the meeting, by coordinator and ES supported by Public Information Team (JCS)</p>	<p>1. Public Information Department (JCS) develops suggestions for a COP communication strategy / incl. consider developing a COP slogan and/or broad themes (optional) in consultation with technical teams</p> <p>2. Set up of website for COP</p> <p>3. Public Information Department (JCS) liaises with the press, field press inquiries and schedule interviews</p> <p>5. Public Information Department (JCS) prepares speeches and other interventions, with clearance from coordinator and ES</p>	<p>C: the processes in place for communicating on the COPs seem the same in the three secretariats</p>

Main steps and activities	Basel Convention <sup>5</sup>	Rotterdam Convention <sup>6</sup>	Stockholm Convention <sup>7</sup>	JCS	Commonalities (C) and Differences (D)
10. Side Events and Pre-Session Meetings	<p>1. Coordinating arrangements for side events, making efforts to finalize the scheduling of all side events <b>one month</b> in advance of the meeting</p> <p>2. Booking and timetabling of side-events</p>	<p>1. Responsible programme officers develop a schedule of side-events, receptions for the COP,</p> <p>2. Invite IGOs, NGOs to participate / sponsor the events identified,</p> <p>3. Develop and/or receive proposals, coordinate schedules and exhibitions,</p> <p>4. Prepare leaflets and invitations.</p>	<p>1. Responsible programme officer, under the supervision of the Coordinator, develops a schedule of side-events, receptions for the COP,</p> <p>2. Invite Governments, IGOs, NGOs to participate / sponsor the events identified,</p> <p>3. Develop and/or receive proposals, coordinate schedules and exhibitions,</p> <p>4. Prepare leaflets and invitations.</p>	<p>1. Identify requirements regarding rooms</p> <p>2. Coordinate allocation of rooms and catering service</p> <p>3. Posting information about side events on the website, including the contact person for organization of side events</p>	<p>C: in SC /RC the main themes of the side events are defined by the secretariat and partners are contacted according to the themes chosen</p>

Main steps and activities	Basel Convention <sup>5</sup>	Rotterdam Convention <sup>6</sup>	Stockholm Convention <sup>7</sup>	JCS	Commonalities (C) and Differences (D)
11. Staff travel and Logistics				<p>1. Preparing Order of Departure of staff</p> <p>2. Preparing staff and roster</p> <p>3. Booking of tickets for staff</p> <p>4. Shipment of documents, equipment and other materials</p> <p>5. Exploring the possibility of getting staff from UNEP or other sister conventions like Stockholm, Rotterdam or the UNEP Chemicals</p> <p>6. Follow up with MoE re any special requirements for opening a bank account, and contact UNDP for Bank contact details</p> <p>7. Encourage UN security to agree to placement of registration inside entrance of conference hall</p>	

Main steps and activities	Basel Convention <sup>5</sup>	Rotterdam Convention <sup>6</sup>	Stockholm Convention <sup>7</sup>	JCS	Commonalities (C) and Differences (D)
12. Staff preparatory meetings	1. Organise internal staff meetings to discuss main issues and strategies, 2. Preparing staff assignment list	1. Organise internal staff meetings to discuss main issues and strategies, 2. A list of staff responsibilities is circulated,	1. Organise internal staff meetings to discuss main issues and strategies, 2. A list of staff responsibilities is circulated,		

**B. On arrival at venue and during meeting**

Main steps and activities	Basel Convention	Rotterdam Convention	Stockholm Convention	JCS	Commonalities (C) and Differences (D)
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Main steps and activities	Basel Convention	Rotterdam Convention	Stockholm Convention	JCS	Commonalities (C) and Differences (D)
13. Pre-session meetings	<p><b>Organisational Issues:</b></p> <ol style="list-style-type: none"> <li>1. Pre-session meeting with Presidency to go through agenda</li> <li>2. Meeting with UNON CS and report writers</li> <li>3. Consultations with Governments to get experienced chairs for the Plenary and Contact Groups</li> </ol> <p><b>Substantive Issues:</b></p> <ol style="list-style-type: none"> <li>1. Help to organise Regional Groups meetings (this can involve the secretariat at the request of the regional groups)</li> <li>2. Holding pre-session meetings on specific technical issues that are likely to form contact groups;</li> </ol>	<ol style="list-style-type: none"> <li>1. Bureau meeting on Sunday to: discuss organization of work, possible contact groups and chair, nomination of new bureau member and representative of subsidiary bodies.</li> <li>2. Pre-session meeting with Presidency to go through agenda</li> <li>3. Meeting with UNON CS and report writers (provide a report outline to the Chief Editor)</li> <li>4. Possible consultations with Governments to get experienced chairs for the Plenary and Contact Groups</li> <li>5. Hold NGO briefings, if appropriate</li> <li>6. Help to organize Regional Groups Meetings (this can involve the secretariat at the request of the regional groups)</li> <li>7. Organise a staff meeting</li> </ol>	<ol style="list-style-type: none"> <li>1. Bureau meeting on Sunday to: discuss organization of work, possible contact groups and chair, nomination of new bureau member and representative of subsidiary bodies.</li> <li>2. Pre-session meeting with Presidency to go through agenda</li> <li>3. Meeting with UNON CS and report writers (provide a report outline to the Chief Editor)</li> <li>4. Possible consultations with Governments to get experienced chairs for the Plenary and Contact Groups</li> <li>5. Hold NGO briefings, if appropriate</li> <li>6. Help to organize Regional Groups Meetings (this can involve the secretariat at the request of the regional groups)</li> <li>7. Organise a staff meeting</li> </ol>	<ol style="list-style-type: none"> <li>1. Registration of participants</li> <li>2. Ensuring that sufficient signs and directions are put up at the conference venue, containing relevant information</li> <li>3. Public Information Department (JCS) contacts media re: press releases</li> <li>4. Catering arrangements and room allocations</li> </ol>	<p>C: The same pre-session meetings are organized for the 3 conventions;on Sunday</p> <p>D: For its last COP, BC organized pre-meetings to give a head start to a number of substantial issues that would be addressed at the COP in contact groups</p>

Main steps and activities	Basel Convention	Rotterdam Convention	Stockholm Convention	JCS	Commonalities (C) and Differences (D)
14. Documents, CRPs and Reporting:	<ol style="list-style-type: none"> <li>Coordinator helps the President to manage plenary sessions,</li> <li>Provide technical support to contact groups and drafting groups: <ol style="list-style-type: none"> <li>Contact Group chairs must be encouraged to finish their meetings on time</li> </ol> </li> <li>Processing of CRPs and Report final clearance <ol style="list-style-type: none"> <li>SOPs available for CRPs and meeting report development</li> </ol> </li> <li>Maintenance of list of in-session documents and their status</li> <li>Liaison between editor/ report writers and Secretariat</li> <li>Maintenance of list of decisions</li> <li>Revision of daily timetable and transmittal to UNON CS for placement on screens</li> </ol>	<ol style="list-style-type: none"> <li>Help the President and other chairs of plenary to manage plenary sessions;</li> <li>Provide technical support to contact groups and drafting groups;</li> <li>CRPs and L documents are managed in accordance with a processes established <ol style="list-style-type: none"> <li>SOPs available for CRPs and meeting report development</li> </ol> </li> <li>Maintenance of list of in-session documents and their status</li> <li>Liaison between editor/ report writers and secretariat</li> <li>Maintenance of list of decisions</li> <li>Revision of daily timetable and transmittal to UNON CS for placement on screens</li> </ol>	<ol style="list-style-type: none"> <li>Coordinator assists the President to manage plenary sessions,</li> <li>Provide technical support to contact groups and drafting groups;</li> <li>CRPs and L documents are managed in accordance with a processes established <ol style="list-style-type: none"> <li>SOPs available for CRPs and meeting report development</li> </ol> </li> <li>Maintenance of list of in-session documents and their status</li> <li>Liaison between editor/ report writers and Secretariat</li> <li>Maintenance of list of decisions</li> <li>Revision of daily timetable and transmittal to UNON CS for placement on screens</li> </ol>	<ol style="list-style-type: none"> <li>Liaise with UNON CS for editing and translation (Ariel)</li> <li>JCS performs a helpdesk to participants, distributes laptops, provide IT assistance, etc.</li> <li>Posting CG/drafting groups documents and CRPs on intranet</li> </ol>	<p>C: Similar processes for CRP and meeting report development (involvement of DELC: Masa)</p>

Main steps and activities	Basel Convention	Rotterdam Convention	Stockholm Convention	JCS	Commonalities (C) and Differences (D)
15. Communication, media and information materials				1. Liaise with press, field press inquiries, schedule interviews 2. Hold press briefing during the meeting 3. Post information to the website and chemical listserv	
16. Exhibitions, side-events	1. Relevant programme officers assist / coordinate the delivery of side-events 2. Relevant programme officers deliver make opening remarks or presentations at the side-events	1. Relevant programme officers assist / coordinate the delivery of side-events 2. Relevant programme officers deliver make opening remarks or presentations at the side-events	1. Relevant programme officers assist / coordinate the delivery of side-events 2. Relevant programme officers deliver make opening remarks or presentations at the side-events	1. Organisation of the exhibition areas 2. Coordination of arrangements for exhibits (logistics) 3. Maintenance of exhibits/publication stands 4. Take pictures	
17. Administration, Finance, Registration and Logistics	The Bureau of any meeting shall examine the credentials and submit its report to the Conference of the Parties.	The Bureau of any meeting shall examine the credentials and submit its report to the Conference of the Parties.	The Bureau of any meeting shall examine the credentials and submit its report to the Conference of the Parties.	1. Set up venue and make final verifications (give phones, allocate staff offices), 2. Participant registration, badging and list of participants; 3. Distributes DSA to	

Main steps and activities	Basel Convention	Rotterdam Convention	Stockholm Convention	JCS	Commonalities (C) and Differences (D)
				sponsored participants 4. With the help of legal programme officers, collects and approves credentials. The final list of approved credentials has to be closed 48 hours after the beginning of the COP, 5. JCS performs daily set-up control of plenary and other rooms. 6. Observe Protocol logistics if High Level Segment	
18. IT support				1. Check set up computers and printers 2. Ensure running of the wifi, intranet and other equipment for paperless meetings 3. Operate a helpdesk for	

Main steps and activities	Basel Convention	Rotterdam Convention	Stockholm Convention	JCS	Commonalities (C) and Differences (D)
				participants	
19. Bilaterals	1. Assist in scheduling Executive Secretary's appointments	1. Assist in scheduling Executive Secretary's appointments	1. Assist in scheduling Executive Secretary's appointments		
20. Secretariat daily meetings:	1. Staff meetings 2. Bureau meetings	1. Staff meetings 2. Bureau meetings	1. Staff meetings 2. Bureau meetings	1. Staff meetings	

#### C. After the meeting

Main steps and activities	Basel Convention	Rotterdam Convention	Stockholm Convention	JCS	Commonalities (C) and Differences (D)
21. Meeting report	1. The Secretariat tracks the finalization of the COP report 2. The cleared meeting report is sent to UNON Conference Services for translation into all six official UN languages 3. The Secretariat will post the meeting report on the Convention website once available in all languages. An "advance" English copy of the report may be posted on the website while the other language versions are being finalized.	1. The Secretariat tracks the finalization of the COP report 2. The cleared meeting report is sent to UNON Conference Services for translation into all six official UN languages 3. The Secretariat will post the meeting report on the Convention website once available in all languages. An "advance" English copy of the report may be posted on the website. A "Latest news" announcement is added to the 3 languages versions of the website home page once report is available. 4. A letter is prepared with the	1. Coordinator manages the meeting report clearance process and sends to UNON CS for editing and translation, 2. The cleared meeting report is sent to UNON Conference Services for translation into all six official UN languages 3. The Secretariat will post the meeting report on the Convention website once available in all languages. An "advance" English copy of the report may be posted on the website while the other language versions are being finalized.	1. Post the meeting report on the website; 2. An email is sent to the PMs informing that the report is available and that can be downloaded from the Convention website	C: Finalization of meeting report D: RC send an email to PMs informing that the report is available D: Follow up letters after COP seem different in RC and SC

Main steps and activities	Basel Convention	Rotterdam Convention	Stockholm Convention	JCS	Commonalities (C) and Differences (D)
		scope to inform that the final meeting report is available on the website and containing also information on decisions that are relevant to the Governments and it is dispatched by UNON CS in the 6 UN language to: all meeting participants, OCPs of Parties, new Bureau members, CRC experts, UNEP ED and to the heads of divisions of UNEP, FAO DG.	4. Prepare an omnibus letter to be sent to the Parties to follow up on the information requests decided at the COP,		
22. Amendments to the Convention		<ol style="list-style-type: none"> <li>1. Depository informed as soon as possible of amendment to Annex III with request to inform Parties (<i>Gva</i>) (coordinate with UNON CS first on the final text)</li> <li>2. Amendments enter into force 3 months after the date on which the Party accepts the amendment.</li> <li>3. DGDs circulated by email in three languages (E, F, S) together with a cover letter and form for Import Responses to: <ol style="list-style-type: none"> <li>a. DNAs (Cc: OCPs) within 3 months after a COP as starting date for PIC procedure (as stated in the relevant COP decision) (Rome +Gva)</li> <li>b. Parties have 9 months to send IR for each added chemical from that date</li> </ol> </li> <li>4. RC text/booklet revised and</li> </ol>	<ol style="list-style-type: none"> <li>1. If amendments to the Convention adopted: <ol style="list-style-type: none"> <li>a. Lead programme officer drafts the notification letter(s);</li> <li>b. Coordinator gets the internal review of the documents and ES clearance; send the amendments to UNON CS for editing and translation;</li> <li>c. Coordinator with other programme officers finalise the revision of documents from UNON CS;</li> <li>d. Send the amendments in all languages, through DELC, to the depository.</li> </ol> </li> <li>2. SC text/booklet revised and reprinted</li> <li>3. Changes to be made on</li> </ol>	<ol style="list-style-type: none"> <li>1. JCS distributes documents and publishes notifications on the web (at least <b>6 months</b> in advance to the COP);</li> <li>2. Parties and depository also get informed of the proposed amendments.</li> <li>3. Update the website with new chemicals</li> </ol>	C: Entry into force of amendments triggers the sending out of the DGDs / Import/response forms under the PIC procedure, and a letter listing the new obligations (registering for exemptions )

Main steps and activities	Basel Convention	Rotterdam Convention	Stockholm Convention	JCS	Commonalities (C) and Differences (D)
		reprinted (Rome)  5. WCO to be contacted and process initiated for assigning specific HS code for the new chemicals (Gva)  5. Changes to be made on website as soon as possible (Rome +Gva)	website as soon as possible		
23. Administration, Finance and Logistics				1. Prepare final statement of expenditures 2. Financial reports for donors on use of voluntary contributions 3. Shipment of documents/publications back to MIE 1. 4. Return IT equipment, 5. Process travel claims.	
24. Communication, media and information materials				1. Hold press briefing on the outcome of the meeting 2. Liaise with UNEP DCPI on wrap-up press release	

**Table 2: Detailed Processes related to the organisation of the meetings of the Subsidiary Bodies to the Basel, Rotterdam and Stockholm conventions**

**A. Preparing for the meeting**

Main steps and activities	Basel Convention <sup>8</sup>		Rotterdam Convention	Stockholm Convention	JCS	Commonalities (C) and Remarks (R)
	OEWG <sup>9</sup>	ICC <sup>10</sup>	CRC <sup>11</sup>	POPRC <sup>12</sup>		
<b>1. Membership and participation</b>	<p>1. Participation is not limited and is open to all Parties and observers (no credential clearance process)</p> <p>2. Meets every second year (not the year of the COP)</p> <p>3. Bureau of OEWG elected by the previous COP (although this practice is not in line with the Rules of procedure)</p>	<p>1. Support election of ICC members. Membership limited: 15 members elected by COP, based on nomination by Parties, for a maximum of two terms.</p> <p>a. Remind Parties via Communication of upcoming election and call for nominations of candidates</p> <p>b. Preparation of COP document on election of Committee members (working document with draft decision and INF document with nominations)</p> <p>c. Following election, post CV on website, coordinate election of officers (Bureau), and if</p>	<p>1. Geneva based secretariat arranges for nomination of new members for CRC.</p> <p>a. Relevant documents for CRC and COP are prepared on status of membership</p> <p>b. Follow up on nominations during the COP</p> <p>c. Upon receipt of a notification on the nomination or change of a CRC expert, verification takes place to ensure that it comes from an OCP.</p> <p>d. To formally accept nomination of expert, the originals of the required documents must be submitted. The official nomination must include a nomination letter, the new</p>	<p>1. Support rotation of membership:</p> <p>a. Prepare documents for each POPRC and COP meeting on the status of membership</p> <p>b. Follow up on nominations during the COP</p> <p>c. Follow up with countries on nomination, CVs and declaration of conflict of interest</p> <p>d. Coordinate with countries if a member is replaced during its terms of office</p> <p>2. Maintain roster of experts:</p> <p>a. Invite Parties and observers to nominate experts</p> <p>b. Liaise with JCS on the update of the electronic data base of nominated experts</p> <p>c. Identify experts to be invited to the</p>	<p>1. Update database of POPRC and CRC nominated experts</p> <p>For CRC:</p> <p>- send standard correspondence by the Geneva based Secretariat (JCS) to the country's OCP indicating the procedure for replacement/change of a member of the CRC:</p> <p>- assist with verification of necessary documents</p>	<p>C: The participation in ICC, CRC and POPRC, is limited to members that are designated by COP</p> <p>D: In the OEWG, all Parties and observers can participate based on a open registration process; No credentials is required for Parties</p> <p>C: similar steps are noted for the nomination of new members in ICC, CRC and POPRC</p>

<sup>8</sup> The expanded bureau is another subsidiary body under the Basel Convention. The processes related to the meetings of the expanded bureau could not be described in this table because of lack of information.

<sup>9</sup> Mandate of OEWG: Article 16, decision VI/36

<sup>10</sup> Mandate of Implementation and Compliance Committee:

<sup>11</sup> Mandate of CRC: i) Article 19 and ii) Terms of reference of the Committee (RC-1/X)

<sup>12</sup> Mandate of POPRC: i) Articles 8 and 19; and ii) Terms of reference of the Committee (SC-1/7, amended by 4/19, 5/11).

Main steps and activities	Basel Convention <sup>8</sup>		Rotterdam Convention	Stockholm Convention	JCS	Commonalities (C) and Remarks (R)
	OEWG <sup>9</sup>	ICC <sup>10</sup>	CRC <sup>11</sup>	POPRC <sup>12</sup>		
		<p>needed ensure that members resigning are replaced by an alternate from the nominating Party</p> <p>2. Observers: rules of procedures of COP apply mutatis mutandis during consideration of issues of "general review" ; meetings dealing with specific submissions are closed unless the ICC and the Party concerned agree otherwise (para 16 of the TORs).</p> <p>a. General review: practice has been for the ICC to hold closed meetings with two exceptions: future COP host, experts invited by the ICC. In addition, the country concerned by a submission is entitled to attend consideration of the submission. SBC consults with the ICC with regards to requests from observers and liaises with observers based on the guidance received.</p> <p>3. Meets at least once between each COP, and in conjunction with meetings of other Convention bodies. Frequency, in practice, decided by the</p>	<p>expert's curriculum vitae and a completed Conflict of Interest form.</p> <p>e. The Rome based Secretariat then sends to the new experts a welcome package by email.</p> <p>f. SOP for change of CRC experts also available</p>	<p>meetings and liaise with them on their contribution at the meeting (presentations, documents, etc.)</p> <p>3. Coordinate conflict of interest procedure:</p> <p>a. Collect updated forms from the members.</p> <p>b. Organize a closed session on Monday morning before the start of POPRC meetings to review the status of conflict of interest</p> <p>4.Coordinate confidentiality arrangements:</p> <p>a. Publish and update code of practice for the treatment of confidential information</p> <p>b. Handle and store confidential information as set out in code of practice</p>		

Main steps and activities	Basel Convention <sup>8</sup>		Rotterdam Convention	Stockholm Convention	JCS	Commonalities (C) and Remarks (R)
	OEWG <sup>9</sup>	ICC <sup>10</sup>	CRC <sup>11</sup>	POPRC <sup>12</sup>		
		COP based on adopted budget				
2. Intersessional work		<p>Not one specific process, multiple ones depending on the activity concerned.</p> <p>Lead technical officer supports the ICC in its implementation of the COP adopted work programme: setting of priorities, fundraising for activities, research and advice, drafting of guidance tools, hiring and supervision of consultants, consultations with experts and Parties, liaising with ICC members on all issues (including possible new SBC submissions and organizing informal consultations), coordination of the work by other SBC units as necessary, liaising with Parties concerned by a submission, ensuring follow up of decisions adopted by the ICC.</p>	<p>1. Secretariat receives two notifications from two Pic regions for a certain chemical</p> <p>2. Secretariat (GVA for industrial chemicals, Rome for pesticides) reviews the information in the notification in line with Annex I requirements.</p> <p>3. If satisfactory, secretariat contact notifying countries and seeks supporting information to send to the CRC together with the notifications.</p> <p>4. Secretariat works with the CRC Bureau and prepares a detailed preliminary review, discusses and sets priority for candidate chemicals, prepares for support to intersessional tasks groups and drafting groups, and their possible structure</p> <p>After the meeting</p> <p>a. For chemicals that went through the CRC process, intersessional task group Chairs draft an internal proposal on the chemical based on the information available to CRC, through notifications and</p>	<p>1. Secretariat receives new proposal(s) and verifies that it/them contain information specified in Annex D:</p> <p>a. If satisfying, the Secretariat forwards the proposal(s), background documents and Secretariat's verification to POPRC</p> <p>2. Depending on the stage of review of a chemical proposed for listing:</p> <p>a. Invite Parties and observers to submit information according to Annex E (Risk Profile development stage) or F (Risk Management Evaluation stage);</p> <p>b. Collect information, send it to the chair/drafter (decided during POPRC meetings) and publish it on the homepage;</p> <p>c. Circulate drafts of the Risk Profile /Risk Management Evaluation for comments and submit them to the chair/drafter</p> <p>d. Prepare documents related to the Risk Profile or Risk Management Evaluation for POPRC meeting and an INF document compiling all comments and responses to the comments</p>		<p>C: POPRC and CRC appears to have similar working procedures, e.g. reviews proposals or notifications, after the meeting, chairs develop drafts of required documents, get input from members and observers; finalise documents for review at next meeting</p> <p>D: in ICC, the intersessional work focuses on the work programme adopted at the COP, which is plural in nature.</p>

Main steps and activities	Basel Convention <sup>8</sup>		Rotterdam Convention	Stockholm Convention	JCS	Commonalities (C) and Remarks (R)
	OEWG <sup>9</sup>	ICC <sup>10</sup>	CRC <sup>11</sup>	POPRC <sup>12</sup>		
			<p>supporting documentation.</p> <p>b. Task group chair sends draft internal proposal to drafting group members for comments via e-mail.</p> <p>c. Task group chair, updates internal proposal based on comments from drafting group members.</p> <p>d. Task group chair with secretariats assistance sends updated internal proposal to all CRC members and observers for comments via e-mail.</p> <p>e. Task group chair drafts a decision guidance document (DGD) based on the comments from CRC members and observers.</p> <p>f. Sends draft DGD to drafting group members for comments via e-mail. When DGD is finalized, it is then sent to the Secretariat.</p> <p>g. Secretariat prepares draft DGD for next Committee meeting.</p>			
3. Invitation letters	<p>1. Prepare master invitation letter and provisional agenda to be cleared by ES(s)</p> <p>2. Get the approval of OEWG co-</p>	Drafting of the invitation letter (in English) to members and observers, support from JCS to send and follow up with the invitation. For observers, some	1. The preparation of the invitation letters (personalized to experts and impersonalized to observers), the provisional agenda in English is shared by	1. Prepare invitation letter (English French Spanish) and agenda, (six languages) <b>three months</b> in advance of the meeting. Consult with the chair when preparing the	<p>1. Send invitation letters to Parties and observers (funded and non-funded)</p> <p>2. Publish information on registration on</p>	<p>C: processes for sending out invitations;</p> <p>D: in most of the time, the agenda is prepared in</p>

Main steps and activities	Basel Convention <sup>8</sup>		Rotterdam Convention	Stockholm Convention	JCS	Commonalities (C) and Remarks (R)
	OEWG <sup>9</sup>	ICC <sup>10</sup>	CRC <sup>11</sup>	POPRC <sup>12</sup>		
	<p>chairs on provisional agenda</p> <p>3. Send letter and agenda to UNON CS for editing, once reviewed internally, send back for translation</p> <p>4. Mail out letters 4-5 months before the meeting</p> <p>5. In general, same rules apply than for COP</p>	<p>invitations have so far been sent via simple email from the lead officer.:</p> <p>Drafting of the provisional agenda in consultation with the Committee.</p> <p>For informing about paperless meeting, JCS in charge, based on substantive input from lead officer, as necessary</p> <p>Letters to ICC members not copied to PM. Letters to Parties concerned by a submission copied to PM.</p>	<p>Gva and Rome. An information sheet providing basic requirements for the paperless meeting is included together with information on hotels.</p> <p><u>Note:</u></p> <p>a. The letters have to be co-signed by the Co-executive Secretaries.</p> <p>b. The letters to experts are sent in English whereas letters to observers are in three UN language,</p> <p>c. Letters are sent by email and ordinary mail.</p> <p>d. Letters to observers go to: OCPs of Parties and Non-Parties, • United Nations bodies and specialized agencies, Intergovernmental organizations, NGOs, copied to PMs of the host city of the meeting (Geneva or Rome)</p> <p>The letter to observers is generated by the Secretariat (Geneva or Rome) depending on the location of the meeting and sent to UNON Conference Services for editing and translation in three languages (English, French and Spanish)</p>	<p>agenda.</p> <p>2. If requested, identify and invite additional experts or consultants to support POPRC meetings.</p>	<p>website (OEWG, CRC and POPRC)</p>	<p>consultation with chair(s) of the committees; except for ICC for which the agenda is shared with the whole committee</p> <p>D: Documents of ICC are only available in English; whereas invitations are available in three languages in POPRC and CRC, and agenda in all languages;</p>

Main steps and activities	Basel Convention <sup>8</sup>		Rotterdam Convention	Stockholm Convention	JCS	Commonalities (C) and Remarks (R)
	OEWG <sup>9</sup>	ICC <sup>10</sup>	CRC <sup>11</sup>	POPRC <sup>12</sup>		
4. Confirmation letters, incl. travel of sponsored participants	<p>1. Prepare draft confirmation letters</p> <p><u>Note:</u> Letters are sent to</p> <ul style="list-style-type: none"> <li>a. FPs of Parties that are eligible to receive funding, copied to PMs in GVA,</li> <li>b. FPs that are not eligible to receive funding (developed countries), copied to PMs in GVA, and to FPs of non-Parties, as well as to observers.</li> </ul>	<p>BC trust fund covers costs of participation of eligible members. BD has been used to cover costs of participation of Parties concerned by a submission</p> <p>Practice so far has not been to have confirmation letters etc...</p>	<p>1. Prepare (shared responsibilities) three different types of confirmation letters personalised letters for sponsored members and non-sponsored members and non-personalised letter to observers)</p> <p><u>Note:</u> CLs contain:</p> <ul style="list-style-type: none"> <li>a. information about travel arrangements, DSA and visas.</li> <li>b. A reminder that the meeting will be run paperless.</li> <li>c. Information on hotels</li> <li>d. Details on task group pre-meetings for the day prior to the opening of the meeting.</li> </ul>	<p>1. Prepare three different types confirmation letters (personalised letters for sponsored members and non-sponsored members and non-personalised letter to observers)</p> <p><u>Note:</u> CLs contain:</p> <ul style="list-style-type: none"> <li>a. information about travel arrangements, DSA and visas.</li> <li>b. A reminder that the meeting will be run paperless.</li> <li>c. Information on hotels</li> <li>d. Details on task group pre-meetings for the day prior to the opening of the meeting</li> </ul>	<p>1. Preparing and sending letters and reminders to donors seeking contributions for participants' support (Finance Team)</p> <p>2. Keep track of registrations,</p> <p>3. Respond to questions and requests from participants</p> <p>4. Organize travel for funded participants, invited experts and consultants</p> <p>5. Send confirmation letters out</p>	<p>C: same procedures seem to be followed by OEWG, CRC and POPRC. Procedures to also be applied to ICC?</p>
5. Administration, Finance, Registration, and Logistics		Meeting venue: MIE. Booking and logistic arrangements by JCS.		<ul style="list-style-type: none"> <li>1. Send a meeting request to the Conference Service</li> <li>2. Review and approve cost estimate</li> <li>3. Liaise with JCS manager to assign staff for logistic arrangements</li> <li>4. Communicate logistic requirements to JCS</li> </ul>	<ul style="list-style-type: none"> <li>1. Organize venue, and other logistics of the meetings</li> <li>2. Translation interpretation, sound recording, rooms, equipment, report writers,</li> <li>3. Set up intranet page for paperless meeting</li> </ul>	
6. Pre-session documents	Same process as COP	1. Lead technical officer, with support from other SBC staff as necessary, drafts meeting documents including draft decisions (English only, no	<ul style="list-style-type: none"> <li>1. Secretariat prepares meeting documents (Meeting documents are made available in English only.)</li> <li>2. Draft decision guidance (DGD)</li> </ul>	<ul style="list-style-type: none"> <li>1. Prepare documents for POPRC meetings <ul style="list-style-type: none"> <li>a. Draft meeting documents</li> <li>b. Send to UNON CS for editing and translation</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>1. Prepare all pre-session and in-session documents on financial and administrative issues.</li> </ul>	

Main steps and activities	Basel Convention <sup>8</sup>		Rotterdam Convention	Stockholm Convention	JCS	Commonalities (C) and Remarks (R)
	OEWG <sup>9</sup>	ICC <sup>10</sup>	CRC <sup>11</sup>	POPRC <sup>12</sup>		
		<p>editing). Drafting of documents may require liaising with ICC members.</p> <p>2. Documents are submitted to docs control for formatting and sends to the ES for clearance</p> <p>3. Finalized and post on ICC website</p> <p>4. Docs control prepares and maintains a tracking table listing all the documents and their status</p> <p>5. Lead technical officer drafts introductory remarks by ES and Speaking Notes for ICC Chair if requested</p> <p>6. Lead technical officer to liaise with Chair for the organization of the work of the meeting</p>	<p>documents and consolidated comments on the DGD are however needed in all six official UN languages.</p> <p>3. Meeting documents require formal editing by UNON CS (and translation for the DGDs and comments on the DGDs). The supporting documentation submitted by countries for candidate chemicals is not edited.</p> <p>4. UNON CS requires a minimum of four weeks for editing and translation.</p> <p>5. All available meeting documents for candidate chemicals are sent to the Chair and to the Bureau first week of December for a preliminary review.</p> <p>6. All available meeting documents are posted on the web, 8 weeks prior to the meeting (1st posting) together with information and guidance for intersessional TG work (usually 15 January). A note should be placed on the website as a chapeau to the meeting documents that the meeting will be paperless.</p> <p>7. An email is sent to the 31 CRC</p>	<p>c. New proposals for listing chemicals to be published <b>3 months</b> in advance of the meeting</p> <p>d. Other documents <b>6 weeks</b> before the meeting</p> <p>2. Prepare draft decisions and other background documentation that might be required</p> <p>3. Liaise with the chair to prepare running of the meeting and issues to be discussed</p> <p>4. Prepare outline of meeting report</p>	<p>2. Post documents on the website supported by IT team.</p>	

Main steps and activities	Basel Convention <sup>8</sup>		Rotterdam Convention	Stockholm Convention	JCS	Commonalities (C) and Remarks (R)
	OEWG <sup>9</sup>	ICC <sup>10</sup>	CRC <sup>11</sup>	POPRC <sup>12</sup>		
			<p>experts on the availability of meeting documents on the website, and the availability of the guidance and tools for the inter-sessional work of the task groups.</p> <p>8. During all communication to experts and observers regarding availability of meeting documents, a reminder should be included that the meeting will be paperless.</p> <p>9. The draft DGDs, prepared by the CRC drafting groups are to be made available as a meeting document to the CRC meetings in the 6 official languages together with considerations/ comments received.</p> <p>10. All other meeting documents are posted on the Secretariat website as they become available (when formal editing from UNON Conference Services has been completed). A note should be placed on the website as a chapeau to the meeting documents that the meeting will be paperless.</p> <p>11. For documents that require translation, the upload to the</p>			

Main steps and activities	Basel Convention <sup>8</sup>		Rotterdam Convention	Stockholm Convention	JCS	Commonalities (C) and Remarks (R)
	OEWG <sup>9</sup>	ICC <sup>10</sup>	CRC <sup>11</sup>	POPRC <sup>12</sup>		
			<p>Convention website should be for an "advance" English copy as soon as available and with a notice on the website for the other language versions as they become available</p> <p>12. An email is sent to the 31 CRC experts when remaining documents have been finalized (INFs for ex) informing them that the documents are also available on the convention website</p> <p>13. Prepare outline of meeting report</p>			
7. Communication, media and information materials incl. statements/ briefing documents	<p>1. Develop a plan for press relations, exhibition management, production of conference gifts, organization of opening ceremony, organization of protocol arrangements, production of conference information material (printed and audio-visual), nomination of focal points for trouble shooting, etc.</p> <p>2. Preparation of publications and awareness materials, in cooperation with Public Information Department (JCS)</p>	There is currently no such activities	<p>1. Relevant media groups are invited prior to the meeting</p> <p>2. Publications and materials for the meeting are identified</p> <p>3. Initial press release and public information is prepared by the Gva and Rome based secretariat, (coordination required) and public information department</p>	<p>1. Identify publications and materials for the meeting;</p> <p>2. Prepare awareness raising materials, if appropriate</p> <p>3. Hold briefings (eg webinar)</p> <p>4. Prepare press releases and public information on the web, in cooperation with Public Information Department (JCS)</p>	1. Public Information Department (JCS) liaises with the press and manages press releases	

Main steps and activities	Basel Convention <sup>8</sup>		Rotterdam Convention	Stockholm Convention	JCS	Commonalities (C) and Remarks (R)
	OEWG <sup>9</sup>	ICC <sup>10</sup>	CRC <sup>11</sup>	POPRC <sup>12</sup>		
8. Side-events and pre-session meetings	1. Coordinating arrangements for side events, making efforts to finalize the scheduling of all side events <b>one month</b> in advance of the meeting 2. Booking and timetabling of side-events	No side events. Possible ICC Bureau meeting prior to the opening of the meeting		1. Responsible programme officer develops a schedule of side-events, receptions for the COP, 2. Invite IGOs, NGOs to participate / sponsor the events identified, 3. Receive proposals, coordinate schedules and exhibitions, 4. Prepare leaflets and invitations.	1. Coordinate allocation of rooms and catering service 2. Post information about side events on the website, including the contact person for organization of side events	

**B. On arrival at venue and during meeting**

Main steps and activities	Basel Convention		Rotterdam Convention	Stockholm Convention	JCS	Commonalities (C) and Differences (D)
	OEWG	ICC	CRC	POPRC		
9. Documents, CRPs and reporting	Same as BC COP	1. Manage sessions 2. Provide technical support 3. Assist chair, and prepare draft decisions. 4. Prepare meeting report 5. Arrange other meetings (consultations) as required	1. Support Sunday pre-meetings of task groups. 2. Manage plenary sessions 3. Provide technical support to contact groups 4. Assist chairs, and prepare CRPs. 5. Prepare meeting report 6. Arrange other meetings (side events) as required.	1. Support Sunday pre-meetings 2. Manage plenary sessions 3. Provide technical support to contact groups 4. Assist chairs, and prepare CRPs. 5. Prepare meeting report 6. Arrange other meetings (side events) as required.		C: SOPs for CRPs and meeting report development available
10. Administration, Finance, Registration, and	1. Communicate logistic requirements to JCS.	1. Communicate logistic requirements to JCS.	1. Communicate logistic requirements to JCS.	1. Communicate logistic requirements to JCS.	1. Set up venue and make final verifications,	

Main steps and activities	Basel Convention		Rotterdam Convention	Stockholm Convention	JCS	Commonalities (C) and Differences
logistics					2. Takes care of participant registration and updating the list of participants; 3. Distributes DSA to sponsored participants , 4. Provide conference services	
11. IT support	1. Communicate IT requirements to IT support.	1. Communicate IT requirements to IT support.	1. Communicate IT requirements to IT support.	1. Communicate IT requirements to IT support.	1. Provide IT support, especially to post in-session documents on intranet site 2. Ensure running of the wifi, intranet and other equipment for paperless meetings	
12. Communication, media and information materials					1. Hold press briefings 2. Publish press release (may occur immediately after the meeting)	

C. After the meeting

Main steps and activities	Basel Convention	Rotterdam Convention	Stockholm Convention	JCS	Commonalities (C) and Remarks (R)
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	OEWG	ICC	CRC	POPRC		
13. Meeting report	<p>1. The Secretariat tracks the finalization of the COP report</p> <p>2. The cleared meeting report is sent to UNON Conference Services for translation into all six official UN languages</p>	<p>Lead technical officer to draft report (English only, no formal editing). Report circulated to ICC members for adoption. Report, as amended if required, adopted by electronic means (negative resolution).</p> <p>Report sent to JCS for formatting and posting on the website,</p> <p>Report sent to ICC members and to all Parties via an SBC Communication.</p>	<p>1. The Secretariat tracks the finalization of the CRC report</p> <p>2. The Secretariat will post the final CRC report on the Convention website, and will coordinate the announcement of its availability as follows:</p> <ul style="list-style-type: none"> <li>• An email is sent to all CRC participants (31 experts + participating observers) informing that the report can also be downloaded from the Convention website. The report in English is also attached to the email.</li> <li>• An email is sent to the CRC Bureau members and Chair (old and new) informing them of the availability of the report. The report in English is also attached to the email.</li> <li>• An email is sent to the COP Bureau members and Chair informing them of the availability of the report. The report in English is also attached to the email.</li> <li>• An email is sent to the permanent missions of both cities (Geneva and Rome) informing that the report can be downloaded from the Convention website</li> </ul>	<p>1. Finalize the meeting report and sends to UNON CS for editing and translation</p>	<p>1. Post the meeting report on the website;</p> <p>2. An email is sent to the participant and others (as indicated under each convention) to inform them that the report is available</p>	

Main steps and activities	Basel Convention		Rotterdam Convention	Stockholm Convention	JCS	Commonalities (C) and Remarks (R)
	OEWG	ICC	CRC	POPRC		
			<ul style="list-style-type: none"> <li>• A letter is sent by mail (or if possible, by email) to all OCPs informing that the report is available on the website.</li> <li>• DNAs are informed in the cover letter of the PIC Circular that the report is available on the website and the PDF file of the report is inserted in the CD containing the PIC Circulars and the DNA registers (JCS to provide updated mailing lists, UNON Conference Services to organize the dispatch)</li> </ul>			
14. Follow up with the COP	1. Any proposal from a Party to amend the Convention has to be submitted to OEWG three months in advance; 2. OEWG agrees to proceed with it or not.	ICC reports to the COP; lead officer prepares a draft ICC report to the COP and consults with the ICC. Once agreed by the ICC, the report goes through the internal process for the preparation of COP working documents.  In addition to the report, lead officer prepares, under the guidance of the ICC, the required INF documents.	1. Distribution of DGDs to DNAs (cc OCPs) within 3 months after a COP as starting date for PIC procedure (as stated in the relevant COP decision) (Rome +Gva)  2. Once a COP approves the addition of a new chemical to the Annex III of the Convention the final DGD is to be sent by email in three languages (E, F, S) together with a cover letter and form for Import Responses to: a. DNA's (Parties only)  A copy of the cover letter only is	1. If POPRC recommends listing the chemical, prepare documents for COP <b>sixth months</b> prior to the meeting: a. Support contact group discussions during COP b. If listed, verify text of the amendment to the Convention in 6 languages (in consultation with some Parties) c. Communicate amendment to the Convention to the depository d. Communicate entry into force to Parties and observers e. Update convention text to include new POPs	1. Organise the emailing out 2. maintains contacts DB	

Main steps and activities	Basel Convention		Rotterdam Convention	Stockholm Convention	JCS	Commonalities (C) and Remarks (R)
	OEWG	ICC	CRC	POPRC		
			<p>sent to</p> <p>b. OCPs (Parties only)</p> <p>3. The decision containing the amendments to Annex III of the Text of the Convention for the inclusion of the new chemical is sent to the UN Treaty depositary in New York.</p>			
15. Other work		<p>See activities under “intersessional work”.</p> <p>In addition, because of the breadth of the activities of the ICC, there is regular liaising by the lead technical officer with other processes under the Convention to ensure consistency in the work of the convention bodies and within the SBC. Eg, the CLI negotiations, the Strategic framework negotiations, the technical assistance on national reporting, the project activities in areas of relevance to the work programme of the Committee, the cooperation with other organizations on enforcement and illegal traffic etc...</p>	<p>1. Training of new CRC members through workshops.</p> <p>2. Follow workplans and update regularly between Rome and Geneva secretariats</p> <p>3. In line with intersessional work, deal task group relevant issues, support groups in their work</p> <p>4. Review and update draft documents and guidances</p> <p>5. Support effective participation efforts by Parties and observers , in particular with SC, prepare relevant documents, materials, workshops and coordinate information exchange between committees.</p>	<p>1. See activities under Step “Intersessional Work”</p> <p>2. Coordinate implementation of other work, including work programmes on new POPs, the development of guidance document, the assessment of alternatives, etc. and any other activities during intersessional period:</p> <p>a. Set up work plans and terms of references</p> <p>b. Identify and contract consultants to carry out tasks</p> <p>c. Develop questionnaires for information collection</p> <p>d. Invite Parties and observers to provide information or comments on draft documents</p> <p>e. Review draft documents</p> <p>3. Support effective participation by Parties and observers in the process</p> <p>a. Prepare and publish guidance document, handbooks, etc. and arrange for translation</p> <p>b. Organize workshops, webinars,</p>		

Main steps and activities	Basel Convention		Rotterdam Convention	Stockholm Convention	JCS	Commonalities (C) and Remarks (R)
	OEWG	ICC	CRC	POPRC		
				for members, Parties and observers on how the POPRC works, how to collect scientific information, etc. c. Coordinate with the technical assistance team on other activities		

## B. Subgroup on technical and scientific matters

### 1. Report of the subgroup

**Taskforce on restructuring  
Subgroup on scientific and technical issues  
Report**

Meeting time: 29 August 2011, 10 am

Chair: Melisa Lim

Participants: Nesslihan Grasser, Katarina Magulova, Gamini Manuweera, Kei Ohno

Other registered members: Jacqueline Alvarez, Ibrahim Shafii

#### 1. Summary of group discussions:

- It was recognised that scientific and technical issues in the 3 Secretariats, related activities and outputs were highly varied and heterogeneous;
- To guide the identification of processes, the group established definitions for some key terms (see section 2) and a framework for the operation of the Secretariats (see Annex 2). Within this framework, scientific and technical issues are presented as one of the work areas (see section 3) in which the Secretariats provide support to the implementation of the Convention and decision making by Parties and other stakeholders.
- Within the work area related to scientific and technical issues, each of the three Secretariats has established programmes of work (see section 4). The identification of these programmes allows for a systematic approach to the identification of processes within each programme.

The compilation of processes produced by the group is presented in **Table 1 of Annex 1**. Processes are grouped into 5 broad categories and Secretariat-specific processes for each Secretariat are listed for each category.

The categories represent the main tools and mechanisms through which the Secretariats deliver support to Parties and other stakeholders in relation to scientific and technical matters. As indicated in the table, given that processes related to scientific and technical issues are often linked to other work areas, complementary information may be provided by subgroups working on other work areas such as technical assistance issues.

- Descriptions of the workflow for each of the five categories are presented in **Table 2 of Annex 1**.

#### 2. Definitions:

- Procedures: processes mandated by the Conventions and COPs e.g. Listing of chemicals. In many cases, main steps of procedures have been established by the COP and are described in COP decision documents. For example there is a procedure for ongoing revision and update of the Toolkit (SC-3/6).
- Operational processes: series of steps (activities and tasks) that lead to a defined outputs including execution of procedures.

#### 3. Work areas:

- Coordination and organization of COPs and subsidiary bodies meetings
- Policy
- Scientific and technical issues
- Technical assistance/capacity building (cross-cutting)
- Clearing house mechanism (cross-cutting)
- Reporting (cross-cutting)
- Resource mobilization (cross-cutting)

- Legal (cross-cutting)
- Outreach/public awareness (cross-cutting)

#### **4. Programmes of work related to scientific and technical issues:**

##### Basel Convention

- Development of and amendments to the technical guidelines for ESM of wastes
- Amendments to the list of wastes in Annexes VIII and IX
- WCO/Harmonised System Codes for Basel Waste lists
- Classification and hazards characteristics under Basel in coordination with the UNSCE/GHS and TDG
- National classification and control procedures
- National reporting (waste classification)
- Enforcement and illegal trafficking of hazardous waste (technical aspects)
- Development of and review of scientific and technical documents (with other UN agencies and for outreach purposes)
- Technical input into technical assistant projects

##### Rotterdam Convention

- CRC and related scientific reviews, development of relevant guidance and activities ( can be chemical or topic specific)
- Development of technical and scientific material requested by the COP
- Development and review of scientific and technical materials used for outreach purposes

##### Stockholm Convention

- Restriction and elimination of intentional POPs
  - Pesticides
  - Industrial POPs
  - Exemptions
- Reduction of unintentional releases of POPs
  - BAT/BEP guidances
  - Toolkit
- Effectiveness evaluation
  - Global monitoring plan
- Reporting
- POPRC
- Wastes and stockpiles

## ANNEX 1: Compilation of processes

Table 1: Compilation of processes related to scientific and technical issues			
Convention specific processes/activities (numbers in bracket refer to activities as listed in budget tables in the following documents BC: CHW.10/23/Add.1; RC: /RC/COP.5/24/Add.1; SC: POPS/COP.5/36)			
Process category	BC	RC	SC
I) Development of technical documents, including technical guidance documents	<ul style="list-style-type: none"> <li>• Technical guidelines, and manuals on the environmentally sound management of hazardous and other wastes (12)</li> <li>• Update the general technical guidelines on the environmentally sound management of persistent organic pollutants waste to include new persistent organic pollutants (14/S7)</li> <li>• Case study, feasibility study, guidance and training materials related to the safe dismantling of ships (31)</li> <li>• Facilitate the submissions and consideration by Parties on the amendments to the list of waste in Annexes VIII and IX</li> <li>• Preparation of submissions by Parties to the WCO/Harmonised System Committee</li> <li>• Coordination with the UNSCE/GHS and UNSCE/TDG on issues of classification</li> <li>• Contribute to the development of training tools and manuals</li> </ul>	<ul style="list-style-type: none"> <li>• Technical guidance documents development and revisions, particularly working guidance for CRC</li> <li>• Decision guidance documents development</li> <li>• Review content and components of resource kit; prepare new material (e.g., on monitoring and reporting of severely hazardous pesticide formulations, Customs and trade); update established key publications (5/8P)</li> <li>• Supporting parties on life cycle management to chemicals, in particular in relation to industrial chemicals</li> <li>• Guidance and methodologies on how to use information available under the Convention to support the sound management of industrial chemicals in its lifecycle</li> <li>• List of credible sources of information and assessment methodologies complementing the information available under the Convention and that might be used to strengthen the sound management of industrial chemicals in its lifecycle</li> <li>• Case studies and success stories</li> </ul>	<ul style="list-style-type: none"> <li>• General technical guidelines on the ESM of POPs wastes to include new POPs (19S/S7);</li> <li>• Global monitoring plan (GMP) guidance document-updated (24)</li> <li>• BAT/BEP guidances (30)</li> <li>• Toolkit for dioxin and furans releases (30);</li> <li>• Guidances for NIP updating (33)</li> <li>• Technical paper on alternatives to the use of PFOS in open applications (35)</li> </ul>
II) Collection and review of technical and scientific information to support evaluation of implementation of the Convention and related recommendations (Complementary information is provided in the in the compilation by the subgroup on reporting related issues)	<ul style="list-style-type: none"> <li>• Support national reporting: (a)Collect, validate, enter data and information into the national reporting database (b) Prepare a summary, including graphic representations of the data (c) Prepare country fact sheets (d) provide assistance to Parties in improving their data collection and submission e.g through workshops (e) cooperate with and provide feedback to the Implementation and Compliance Committee (Note: activities a – e are carried out by national reporting officer) <ul style="list-style-type: none"> <li>• Provide guidance on waste classification (national reporting)</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Information reviewed and collected prior to the CRC, review of final regulatory action notifications (FRAs) and request for supporting information from notifying parties</li> <li>• Review of import responses and FRAs and incorporating these in the PIC circular</li> </ul>	<ul style="list-style-type: none"> <li>• Global monitoring plan (GMP) (25)</li> <li>• Work programme on new POPs: monitor progress in implementing recommendations on the elimination from waste stream of BDE and on risk reduction for PFOS, its salts and PFOSF; collect information on progress made in the elimination of BDEs and PFOS (35)</li> <li>• Assessment of continued need for DDT for disease vector control: Collection of information using the DDT questionnaire and preparation of the assessment report</li> <li>• Evaluate progress in eliminating PCBs: Provide Parties with an electronic reporting format for reporting on progress in eliminating PCBs (revise format as requested by COP); Compiling the reports and presenting the analysis to the COP</li> </ul>

			<ul style="list-style-type: none"> <li>• Register of Specific Exemptions</li> <li>• Information received through the national reports under Article 15</li> </ul>
<p>III) Supporting subsidiary bodies, including intersessional work (Complementary information is provided in the compilation by the subgroup on meetings of COP and subsidiary bodies)</p>	<p>OEWG:</p> <ul style="list-style-type: none"> <li>• Drafting and preparing substantive pre-session and in-session documents and reports on technical agenda items</li> <li>• Facilitate the work of intersessional working groups on technical issues (e.g on technical guidelines)</li> <li>• Review, disseminate and follow-ups on inputs from Parties and other stakeholders</li> </ul>	<p>CRC:</p> <p><u>Technical</u> intersessional work in relation to CRC:</p> <p>Prior to CRC:</p> <ul style="list-style-type: none"> <li>• Revision of Final Regulatory Action Notifications in line with Annex I</li> <li>• Request for supporting material from notifying countries</li> <li>• review of all information received</li> <li>• preparation of detailed preliminary bureau, for the bureau to be informed of the available information and possible evaluation of CRC</li> <li>• updating and supporting the Chair on technical issues, preparing detailed chairs notes that walks the Chair through the whole meeting</li> <li>• preparing possible task groups and organization for these groups for CRC and intersessional work, based on experts strengths and availabilities ( coordination required with Rome secretariat)</li> </ul> <p>At the meeting:</p> <ul style="list-style-type: none"> <li>• giving the Chair technical support on any issues that may emerge regarding industrial chemicals, supporting the Chair strategically, technically and administratively when needed</li> </ul> <p>After the meeting:</p> <ul style="list-style-type: none"> <li>• -Following up the work of Task groups</li> <li>• Reviewing comments and transferring these o the task groups</li> <li>• Solving any issues that emerge from task group work</li> <li>• Dealing with preparation of Decision Guidance Documents and following administrative steps</li> </ul>	<p>POPRC:</p> <ul style="list-style-type: none"> <li>• Support process for listing new chemicals: <ol style="list-style-type: none"> <li>1. Receive proposal for listing of new chemicals from Party</li> <li>2. Verify proposal and produce INF document on Secretariat evaluation</li> <li>3. Present proposal, background documents and verification to POPRC</li> <li>4. Support contact group discussions during POPRC meeting</li> <li>5. If proposal proceeds, support Risk Profile development</li> <li>6. Support contact group discussions during POPRC meeting</li> <li>7. If proceeds, support Risk Management Evaluation development</li> <li>8. Support contact group discussions during POPRC meeting</li> <li>9. If POPRC recommends listing the chemical, prepare documents for COP sixth months prior to the meeting</li> <li>10. Support contact group discussions during COP</li> <li>11. If listed, verify text of the amendment to the Convention in 6 languages (in consultation with some Parties)</li> <li>12. Communicate amendment to the Convention to the depository</li> <li>13. Communicate entry into force to Parties and observers</li> <li>14. Update convention text to include new POPs</li> </ol> </li> <li>• DDT Expert group: establishment of the expert panel, coordinate with WHO, engage a consultant to facilitate the meeting and development of recommendations</li> </ul>
<p>IV) Strengthening of Parties' capacity to implement the Convention, providing input to the development</p>	<ul style="list-style-type: none"> <li>• Assist parties to enforce the Convention and to combat illegal traffic (technical aspects) (11)</li> <li>• E-waste: Develop programmes for the ESM of e-waste with partners in developing countries;</li> </ul>	<ul style="list-style-type: none"> <li>• Customs training activities: For both importing and exporting partners, work with the Green Customs (13)</li> <li>• Ongoing development of a programme on industrial chemicals, to establish or increase parties' capacity to manage industrial chemicals at the national level (16):</li> </ul>	<ul style="list-style-type: none"> <li>• Global monitoring plan (GMP) (25)</li> <li>• Reducing releases of unintentional POPs</li> <li>• Developing and maintaining POPs release inventories</li> <li>• Pesticides, including DDT alternatives (28): Conduct technical assistance activities to facilitate generation of</li> </ul>

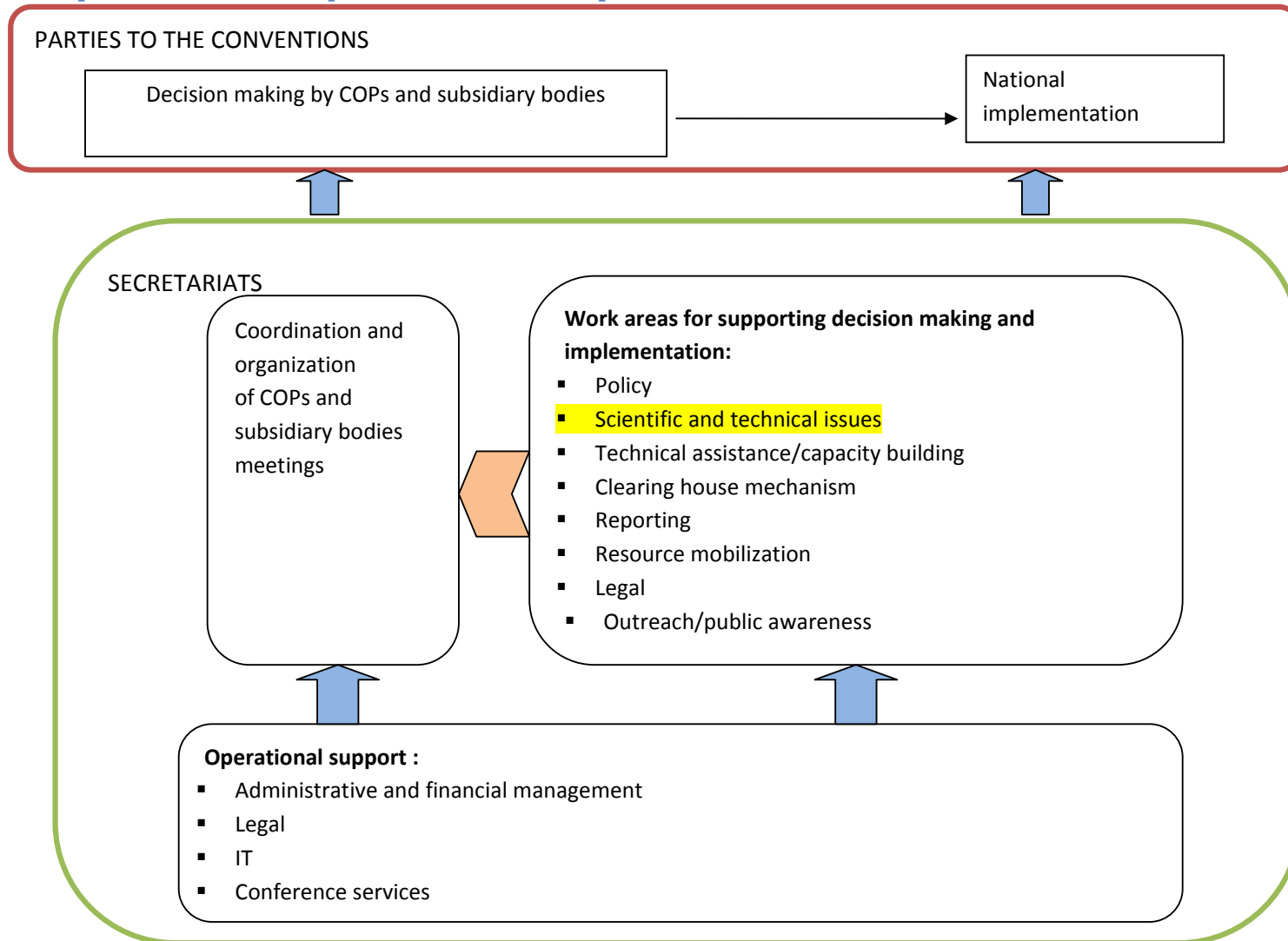
<p>of capacity building programmes and support to their implementation, providing guidance to parties on technical aspects of the Convention (Complementary information about some processes is provided in the compilation by the subgroup on technical assistance issues)</p>	<p>Promote the ESM of e-waste in developing countries through regional projects; Equip Parties and BCRCs with tools to enable them to address the growing problems and impacts of e-waste; including imports of hazardous e-waste; Facilitate the implementation of follow-up activities on the project on "implementing the Nairobi Declaration in Africa on e-waste management (26)</p> <ul style="list-style-type: none"> <li>• POPs wastes: Collaborate with UNEP and respective BCRCs in development and execution of PCB related GEF projects; Equip Parties and BCRCs with tools to enable them to implement ESM and disposal of PCBs.</li> <li>• Biomedical and health care wastes: Promote the ESM of biomedical and health care wastes in developing countries and CEIT; Disseminate technical guidelines and guidance manuals on ESM of biomedical and healthcare wastes</li> <li>• Ship dismantling: Promote safe and environmentally sound practices, including environmentally sound disposal of hazardous and other wastes generated by ship dismantling; Implement studies on (i) the development of compliant models of ship recycling, and associated guidance, on the basis of the requirements of the Basel and Hong Kong conventions; and, (ii) cost-effective alternatives to the beaching method of ship recycling; Assist parties in clarifying the scope of application of the Basel Convention in relation to ship recycling, in collaboration with the International Maritime Organization and the International Labour Organization (10).</li> </ul>	<p>Support to Parties in the establishment and improvement of mechanisms to use and integrate export notifications, labelling and safety data in the sound management of industrial chemicals and of coordination mechanisms related to industrial chemicals at national level to better control and monitor unwanted trade</p> <ul style="list-style-type: none"> <li>• Support to Parties in the evaluation of pesticides and industrial chemicals- based on requests</li> <li>• Support effective participation in the work of CRC</li> </ul>	<p>information and reporting on DDT</p> <ul style="list-style-type: none"> <li>• Workshops on register for specific exemptions.</li> <li>• Support Parties to implement the Convention regulations related to PCBs (29): Support information exchange between Parties to help them implement their obligations through the PCBs Elimination Network; Coordinate with the technical assistance team to support Parties to implement the obligations related to PCBs:</li> <li>• Guidances for NIP updating (33): develop pilot testing projects and training activities related to the Guidances</li> <li>• Industrial POPs: provide technical input and support to activities aimed raising awareness about newly listed industrial POPs and promoting their elimination</li> <li>• Support effective participation in the work of POPRC</li> </ul>
<p>V) Providing technical input related to the Conventions to external meetings and initiatives</p>	<ul style="list-style-type: none"> <li>• Coordinate and provide support to parties in the development of certification system and formulation of standards in relation to the Indonesian-Swiss country led initiative (19)</li> <li>• Enhance cooperation and coordination with other multilateral environmental agreements and</li> </ul>	<ul style="list-style-type: none"> <li>• Participate in regular sessions of regional entities covering chemicals and pesticides management (18), as well as work of international organizations, such as WCO (in particular on HS codes), WTO, WHO etc</li> <li>• Recommendations to other initiatives in the integration of chemicals management approach: Formulate</li> </ul>	<ul style="list-style-type: none"> <li>• Contributing, on ad-hock basis to WHO meetings and initiatives related to DDT and promotion of alternatives in vector born disease endemic countries</li> <li>• Participation in UNEP/GEF regional project meetings on DDT Delivering presentations during relevant activities organized by partners</li> </ul>

	<p>intergovernmental organizations on issues of common concern (47)</p> <ul style="list-style-type: none"> <li>• Contribute to continuing discussions on United Nations system-wide coherence and related activities on wastes at Headquarters and UNEP; participate in meetings of relevant bodies such as the conferences of the parties of related multilateral environmental agreements, UNEP Governing Council, SAICM, United Nations Conference on Sustainable Development, Commission on Sustainable Development, World Trade Organization, WHO; participate in meetings of relevant bodies, steering and expert groups and projects such as: Chemicals Branch project on cost of inaction, Chemicals Branch expert group on technical guidelines for the development of legal etc (48)</li> <li>• Delivering presentations during relevant activities organized by partners</li> <li>• Review of scientific and technical documents (with other UN agencies and for outreach purposes)</li> </ul>	<p>recommendations to other IGOs and MEAs for the integrated approach of chemicals management based on experience of supporting Parties</p>	<ul style="list-style-type: none"> <li>• Delivering presentations during relevant activities organized by partners</li> </ul>
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Table 2: Workflow of processes described in table 1						
Process category	<i>I) Development of technical documents, including technical guidance documents</i>	<i>(II) Collection and review of technical and scientific information to support evaluation of implementation of the Convention and related recommendations</i>	<i>III) Supporting subsidiary bodies, including intersessional work</i>	<i>IV) Strengthening of Parties' capacity to implement the Convention, providing input to the development of capacity building programmes and support to their implementation, providing guidance to parties on technical aspects of the Convention</i>	<i>V) Providing technical input related to the Conventions to external meetings and initiatives</i>	
Stages	Subprocesses/activities					Unit providing operational support
Approval	a. Develop concept document/project brief/TOR b. Obtain endorsement from relevant bodies	a. Develop concept document/project brief/TOR b. Obtain endorsement from relevant bodies	a. Develop strategy to achieve objectives of decisions related to subsidiary bodies b. Obtain endorsement from relevant bodies	a. Develop strategy to achieve objectives of COP decisions and/or Convention. b. Obtain endorsement from relevant bodies	a. Identify opportunities for linkages with external initiatives b. Obtain endorsement from relevant bodies	
Initiation	a. Elaborate project proposal/document b. Mobilise resources c. Coordinate with partners d. Gather information from Parties and observers e. Develop contracts/agreements/MoUs/documents	a. Gather available information from Parties and observers b. Elaborate strategy and methodology for data collection c. Mobilise resources d. Identify implementing agents/consultants e. Develop contracts/agreements/MoUs	a. Identify approaches and activities to implement strategy b. Mobilise resources c. Identify implementing agents and partners d. Develop contracts/agreements/MoUs	a. Identify approaches and activities to implement strategy b. Mobilise resources c. Identify implementing agents and partners d. Develop contracts/agreements/MoUs	a. Elaborate implementation strategy b. Identify implementing agents, if external c. Develop contracts/agreements/MoUs	Resource mobilisation; Finance admin; Legal
Execution	a. Organize drafting/work groups meetings b. Coordinate intersessional work if any c. Supervise work of consultants d. Coordinate review and	a. Oversee and provide support to the work of implementing agents and partners b. Coordinate submission of data to relevant bodies c. Compile and analyse	a. Oversee and provide support to the work of implementing agents and partners b. Obtain reports and other outputs from activities c. Report to subsidiary bodies	a. Oversee and provide support to the work of implementing agents and partners b. Obtain reports and other outputs from activities	a. Oversee and provide support to the work of implementing agents and partners b. Coordinate with partners to monitor progress of implementation c. Participate in meetings	Admin (e.g. for travel arrangements); Finance admin; Legal; Conference services (for translations of technical documents); Publications unit (for printing documents); IT (e.g. for online publication)

	<ul style="list-style-type: none"> <li>e. revision of drafts</li> <li>f. Arrange for copy-editing of final draft</li> <li>g. Coordinate process to gather comments on final draft and to incorporate comments</li> <li>h. Coordinate endorsement process by relevant bodies</li> <li>i. Arrange for translation</li> <li>j. Arrange for printing</li> </ul>	information for presentation to relevant bodies (e.g. POPRC) and COP			<ul style="list-style-type: none"> <li>d. and events</li> <li>e. Prepare reports on outcome for presentation to relevant bodies</li> </ul>	of documents)
Closure	<ul style="list-style-type: none"> <li>a. Arrange for dissemination of document</li> <li>b. Report on completion of document/project to relevant body</li> <li>c. Financial/project reporting</li> </ul>	<ul style="list-style-type: none"> <li>a. Financial/project reporting</li> </ul>	<ul style="list-style-type: none"> <li>a. Financial/project reporting</li> <li>b. Report on activities in relevant documents e.g for COP</li> </ul>	<ul style="list-style-type: none"> <li>a. Financial/project reporting</li> <li>b. Report on activities in relevant documents e.g for COP</li> </ul>	<ul style="list-style-type: none"> <li>a. Financial/project reporting</li> </ul>	Resource mobilisation, Finance admin
Follow up	<ul style="list-style-type: none"> <li>a. Publish awareness raising materials</li> <li>b. Develop training material/activities related to document</li> <li>c. Initiate update of document as necessary</li> </ul>	<ul style="list-style-type: none"> <li>a. Publish awareness raising materials</li> <li>b. Initiate next round of data collection as necessary</li> </ul>	<ul style="list-style-type: none"> <li>a. Follow up as decided by subsidiary body</li> </ul>	<ul style="list-style-type: none"> <li>a. Identify and support activities that can amplify impact of capacity building activities</li> </ul>	<ul style="list-style-type: none"> <li>a. Develop awareness raising and capacity building activities</li> </ul>	Publications unit

## ANNEX 2: Proposed schematic representation of the operational framework of the Secretariats



## ANNEX 3: Proposed functions for a Science and Technology Branch

### Functions

- Manage scientific and technical programmes and activities of the three Conventions Secretariat, including development of implementation strategy, funding proposals and projects;
- Support the scientific and technical work of the COPs and subsidiary bodies incl. intersessional work;
- Provide scientific support and technical input to all Conventions programmes and activities as well as to international cooperation and external initiatives;
- Coordinate development of scientific and technical documents incl. guidelines and guidance;
- Support programmes and activities to strengthen capacity of Parties to implement the Conventions;
- Collect, review, assess and evaluate scientific and technical information, incl. information provided by Parties;
- Collect, manage compile and analyze information in national reports, notifications and exemptions;

### Scope

Science and Technology Branch provides scientific support and technical input to other branches to ensure that all outputs are based on sound science and manages implementation of specific scientific and technical programmes and activities under the Basel, Rotterdam and Stockholm Conventions with particular emphasis on the following programmes:

Basel Convention	Rotterdam Convention	Stockholm Convention
Strategic framework (support)	PIC procedure (lead)	POPs pesticides (lead)
Priority waste streams (support)	Industrial chemicals and contaminants (lead)	POPs industrial chemicals (lead)
Technical guidelines (lead)	Pesticides (lead)	Unintentionally released POPs (lead)
Global waste platform/partnerships (support))	Technical/scientific subsidiary bodies (support)	POPs global monitoring plan (lead)
Basel Open-ended Working Group (support)		Effectiveness evaluation (lead)
Country led initiative (support)		POPs review committee (support)
		POPs waste and stockpiles (in cooperation with BC)

*NOTE: Lead and support functions are in relation to cooperation with other branches*

#### **Direct input to / cooperation with the following branches/units**

- Convention Operations Branch
- Technical Assistance Branch
- Knowledge/information management unit

#### **Operational support needed from the following branches/units:**

- Resource mobilization
- Finance/admin
- Legal
- Conference services
- Knowledge/information management
- IT

## C. Subgroup on Reporting and notification related matters <sup>1314</sup>

### 1. Reporting Activities under the 3 Conventions

Process	Basel Convention	Rotterdam Convention	Stockholm Convention	Possible common approaches/ opportunities to improve/ any other comment
<u>General information:</u>  - Article - Schedule - Mandatory/voluntary	- Article 13 paragraph 3  - Parties send reports to the SBC at the end of every year  - Mandatory  - National reports follow a format and organization of content adopted by the COP in 2002 (Two parts, with open questions and statistical data).	-	- Article 15 on reporting; - Article 16 on effectiveness evaluation? - On the dates decided by COP (commencing 4 years after date of entry into force of Convention for effectiveness evaluation) - Mandatory (however compliance mechanisms and procedures, pursuant to Article 17, are yet to be in place)	- (CVK) Changing the frequency or content of the Basel nat. reports means amending the text of the Convention, which is not recommended. Besides, it does not look like, from different consultations with the Parties, that this is expected anymore. The text of synergies related to frequency has been dropped in the SC COP. - (CVK) Changing the way submissions of national reports are done in Basel seem to be a way forward. The idea at the moment is to change Basel and make it look similar to the way national report submissions is done in Stockholm, i.e. web-based, using the same "look & feel". - (SS) By changing existing Basel reporting method to electronic system of reporting, the training on using electronic system of reporting /preparation of user manual etc could be done together
<u>Prior STEP</u>  <u>Availability, collection and preparation of</u>		- NAPs - RC Notifications <sup>15</sup>	- Base line information for national reporting are generally based on their National Implementation Plans (NIPs), pursuant to Article 7 - Parties are required to report on production, use, import/export, disposal and any exemption in effect relating to the specified POPs	- (SS) NIP is a comprehensive document containing also the information relevant for Basel Convention hence can help establishing information baseline for BC also. Guidance on NIP preparation and revision could suggest collecting also the

<sup>13</sup> The name information exchange is limited to the information provided by Parties as a response to an obligation defined at the Convention. It shall not be confused with other activities (eg. POPs social; CHM; Public Awareness; Information Service, etc)

<sup>14</sup> Comment: "Information exchange" is too broad a terminology for the scope of this paper. For instance, Parties exchange information by commenting on various issues and SBC posts such comments on the website, But such comments are invited by COP decisions, and are not of the same nature as the information transmitted in line with a BC provision, The terminology "transmission of information" reflects what amounts to formal processes provided for under the Convention and not only in decisions

<sup>15</sup> Comment: As there is no national reporting under RC, this would be better placed under the following section of 'Other information Parties transmit through the Secretariat'

Process	Basel Convention	Rotterdam Convention	Stockholm Convention	Possible common approaches/ opportunities to improve/ any other comment
<u>background information:</u>  - National plans - Exemptions - Other kind of communication			- In addition to Article 15 reporting, several POPs e.g. DDT, PFOS, Endosulfan etc. are subject to more specific and in-depth reporting <sup>16</sup> - Communication for listing new chemicals under POPRC requires some reporting/information exchange	information relating to Basel during the process
<u>STEP I Communication:</u>  - Inform the Parties about related obligations (letter, emails)  - Follow up with the submissions (letter, phone calls)  - Centralize the submissions	- Emails are sent twice to remind Parties of this obligation. One email in Sept/Oct, the other in Feb/Mar of the following year. Faxes or letters are also used, when necessary.  - Parties send three files (2 MS Word files, and one excel file) via email (or fax) to the SBC, as their national reports.  - Once the SBC starts handling the reports, clarifications are sought via email, fax or letters.  - From 2011, the SBC will send one communication per Party with questions related to the content and to the specific legal items in the reports.		- COP decides on the reporting deadlines and the Secretariat follows-up with the Parties through formal letters, generally twice (soon after COP and before the deadline), and series of emails, faxes and follow-up letters are sent out - Since the submission is online, once submitted, the reports are instantaneously published. - Parties are provided with specific log-in information to assess their electronic (online) reporting forms through official contact points (OCP), hence following up to the Parties to nominate OCP is needed - Centralizing of the information is done at national level through the provision of having administrative passwords over the technical passwords.	1. Same follow up communication could be used for both the Conventions if it were the - same OCP/NFP/institution, - same reporting schedule 2. same training workshops could be used if both used the similar electronic reporting system

<sup>16</sup> Comment: The timing, reporting cycle, approach and steps involved may be different in these reporting options when compared to reporting on the implementation of the conventions (e.g article 15 of SC). More importantly the scope and goals of these reporting are more technical in nature while the other type is mainly dealing with enforcement aspects of the Conventions. I think it is important to identify the two major types of reporting separately viz. general enforcement VS technical information along with respective practices of information collection by the Secretariats.

Process	Basel Convention	Rotterdam Convention	Stockholm Convention	Possible common approaches/ opportunities to improve/ any other comment
<b>STEP II</b> <u>Analysis of Reports:</u> <ul style="list-style-type: none"> <li>- Review of submissions;</li> <li>- Quantitative analysis;</li> <li>- Qualitative analysis;</li> <li>- Report to the COP/Subsidiary body</li> </ul>	<ul style="list-style-type: none"> <li>- SBC does quality control on the information submitted, cleans up quantitative data outside of the standards, and seek clarifications from the Parties.</li> <li>- SBC has developed an interactive tool to show quantitative data in an interactive way.</li> <li>- Reports via the ICC (if part of the work programme) and directly to the COP on the status of national reporting.</li> </ul>		<ul style="list-style-type: none"> <li>- No revision of the submission is made</li> <li>- Simple data validation tools are encrypted in the data cells</li> <li>- Some simple qualitative and quantitative data analysis tools are inbuilt to the system</li> <li>- Compilation of the information received are presented in the subsequent COPs</li> <li>- Data will be used for the effectiveness evaluation in accordance with Article 16.</li> </ul>	<ul style="list-style-type: none"> <li>- (CVK) Cross-cutting data analysis could be an approach used in the future to assess submissions, but also the evolution/involvement of some areas. This requires effort and "brain work", but it is an important area to be explored in the future.</li> <li>- (CVK) An electronic tool could be developed for Parties to self- assess the conventions implementation / maturity at their national levels. It could be one tool covering the three conventions!</li> <li>- (SS) Some common approach on reviewing the reports particularly on checking quality of information/ data and consistency with other information could be developed jointly</li> </ul>
<b>STEP III</b> <u>Database:</u> <ul style="list-style-type: none"> <li>- Compilation of submissions (physical/electronic)</li> <li>- Electronic database (searchable)</li> <li>- Available (website, on demand);</li> <li>- Linkage with CHM;</li> </ul>	<ul style="list-style-type: none"> <li>- National reports are received per email or as hard-copies by the SBC.</li> <li>- The content is entered manually into a database.</li> <li>- Documents, compilations, analysis, presentations make use of information received and stored.</li> <li>- An online database is open for public consultation.</li> <li>- The SBC publishes different sorts of documents related to the area of national reporting on the BC website.</li> </ul>		<ul style="list-style-type: none"> <li>- Encouraged Parties to make only the electronic submissions</li> <li>- All the reports that are submitted online are instantaneously available on the webpage</li> <li>- Some data analysis tools are incorporated in the system hence the analysis of the information is available instantaneously</li> <li>- Currently the system is designed for national reporting only but is aimed to be a part of CHM under the Convention</li> </ul>	<ul style="list-style-type: none"> <li>- (CVK) If Basel and Stockholm uses the same IT infrastructure, and technologies for national reporting, other tools could be built on top of these, to serve all conventions.</li> <li>- (SS) If harmonized both the Convention can link the reporting as a part of their CHM</li> <li>- (JH) EXCOPS.1/2 and SC5/15.4 and 5 request the Secretariat to use a CHM that serves the 3 Conventions. SOP could be developed to ensure that all "databases" are compatible with the CHM</li> </ul>

Process	Basel Convention	Rotterdam Convention	Stockholm Convention	Possible common approaches/ opportunities to improve/ any other comment
<b><u>STEP IV</u></b> <b><u>Use of the reports:</u></b> <ul style="list-style-type: none"> <li>- Publications;</li> <li>- Monitoring activities/reports;</li> <li>- Non compliance;</li> <li>- Other</li> </ul>	<ul style="list-style-type: none"> <li>- Publications, website, presentations, reports, etc.</li> <li>- The ICC has been mandated to review the reports and assess difficulties, needs, classify performance etc... This is part of a general review mandate.</li> <li>- The ICC considers specific submissions by Parties or the SBC on implementation and compliance difficulties with national reporting and seeks to address these difficulties (currently, 10 submissions)</li> <li>- Please see below – link to proposal to COP 10 that information in national report sent by focal point can constitute a notification. This could require follow up on information in national reports</li> </ul>		<p>Information collected pursuant to Article 15 are utilized for the effectiveness evaluation process (Article 16) and will be used for compliance monitoring (Article 17) once the compliance mechanism comes into force</p>	<p>(SS) As there is no compliance regime with the SC there is little commonality, however a joint publications on the finding of the reporting under both the Conventions could be prepared</p>
<b><u>PARALLEL STEP</u></b> <b><u>(See TA Group)</u></b> <b><u>Assistance to the Parties:</u></b> <ul style="list-style-type: none"> <li>- Preparation of model submissions;</li> <li>- Publications;</li> <li>- Workshops;</li> <li>- Webinars;</li> </ul>	<ul style="list-style-type: none"> <li>- The ICC has prepared a guideline for adoption in this COP to be used as "benchmark".</li> <li>- The ICC has prepared a guideline on national reporting processes.</li> <li>- The ICC is recommending that COP-10 request the development of additional tools</li> <li>- The SBC has recently prepared a publication analysing the data from 2004 to 2006.</li> <li>- The SBC organizes workshops on national reporting, based <i>inter alia</i> on guidance from the ICC</li> <li>- The SBC has never organized a webinar on national reporting.</li> </ul>		<ul style="list-style-type: none"> <li>- Parties are offered online assistance for reporting including reporting day events,</li> <li>- Training workshops on reporting are organized with every possible workshops organized for OCPs</li> <li>- Test accounts are created and made available in the webpage for Parties to practice preparing and submitting their reports</li> <li>- Webinars are organized on reporting</li> <li>- Users manual on electronic system for reporting are prepared in all six languages and distributed widely</li> </ul>	<ul style="list-style-type: none"> <li>- (CVK) Webinars, trainings and workshops, which can combine items of the different conventions related to national reporting &amp; communication may be useful. But mainly for Parties when the representatives at the national level are the same for these conventions. In many cases, this is not the reality. Coordination at the national level seems to be a weak point, which is not clear how the Secretariats can / should assist.</li> <li>- (CVK) Publications can be another way to explore collaboration, or electronic tools related to national reporting (mentioned above).</li> <li>- (SS) Once the reporting system is harmonized the training workshops to use the electronic system could be organized jointly including creating test accounts, user manuals for both the Conventions</li> </ul>

Process	Basel Convention	Rotterdam Convention	Stockholm Convention	Possible common approaches/ opportunities to improve/ any other comment
<p><u>STEP V</u></p> <p><u>Interaction with the COP:</u></p> <ul style="list-style-type: none"> <li>- Preparation of reports</li> <li>- Review</li> <li>- Character of the decisions</li> </ul>	<ul style="list-style-type: none"> <li>- Preparation of status documents for the COP, reporting on activities and draft decisions related to national reporting and legal areas.</li> <li>- Support to the work and documents of the ICC.</li> </ul>		<ul style="list-style-type: none"> <li>- COP considers the report prepared by the Secretariat based on the information received from the report submitted by Parties</li> <li>- COP decides on the next submission due</li> <li>- COP makes decision on any specific information need/format etc</li> </ul>	<p>(SS)Very little commonality exist as both the Conventions have different mandates and objectives</p>

## 2. Other information

Other information Parties required<sup>17</sup> to transmit through the Secretariat (eg. Notification, focal points, etc)

Process	Basel Convention	Rotterdam Convention	Stockholm Convention	Possible common approaches/ opportunities to improve/ any other comment
<p><b>General information:</b></p> <p>- Types and description</p> <p>- Article</p> <p>-Mandatory/voluntary</p>	<p>- Notification on national definitions of hazardous wastes (Article 3). <b>Frequency:</b> Parties are required to: send their notifications to the Secretariat, within six months of becoming a Party to the Convention; and inform the Secretariat of any subsequent changes made to the previously provided information.</p> <p>- Notification of import prohibition s/restrictions of hazardous wastes or other wastes (Articles 4 and 13) <b>Frequency:</b> Parties are required to inform as soon as possible, when such decisions are made by them and of any substantive changes thereafter.</p> <p>- Notification of export prohibition s/restrictions of hazardous and other wastes (Article 4 and 13) <b>Frequency:</b> Parties are required to inform as soon as possible, when such decisions are made by them and of any substantive changes thereafter.</p> <p>- Reporting on national classification and control procedures for the import of wastes contained in Annex IX (Articles 3 &amp; 4 ) <b>Frequency:</b> Parties were invited to fill in the questionnaire and to submit it initially in advance of the twenty-first session of the Technical Working Group and subsequently whenever they have</p>	<p>- Notification of Designated national authorities (art. 4) <b>Frequency:</b> (Continuous) Parties are required to notify the name and address of the authority no later than the date of entry into force of the Convention for it and notify of any changes thereafter Mandatory;<sup>20</sup></p> <p>- Final regulatory actions (art. 5) Mandatory;</p> <p>- Severely Hazardous Pesticide Formulations (art. 6<sup>21</sup>)<sup>3</sup></p> <p>- Import responses (art. 10), mandatory i. no later than date of entry into force of RC, transmit responses to each chemical in Annex III (except if responses already provided under London Guidelines/International Code of Conduct) ii. nine months after dispatch of DGDs and iii. submit a revised response if Party modifies its response</p> <p>- SRC informs Parties of all responses it has received <b>Frequency:</b> Every 6 months</p> <p>- Article 14 on Information Exchange</p>	<p>- Nomination of a focal point (NFP) for information exchange (Article 9) is mandatory</p> <p>- Nomination of official contact point (OCP) for all the administrative communications (SC-2/16) is voluntary<sup>22</sup> - however, nominating OCP is essential to get passwords for Article 15 reporting, and is useful for NIP transmission, etc.)</p> <p>- Article 9 on Information Exchange and CHM is ongoing and mandatory</p> <p>- Article 10 on Public information and education is ongoing and mandatory, within the Parties' respective capacities</p> <p>- Article 13 on financial resources and mechanisms</p>	<p>- (SS) One single request for the nomination of various focal points could be sent out and followed up to the Parties as applicable<sup>23</sup></p>

<sup>17</sup> Comment: There are some work which are more of information collection by the Secretariat than "Reporting" by parties. In some cases parties are REQUESTED but not REQUIRED to provide these information.

<sup>20</sup> Comment: Why not also include information on Official Contact Points?

<sup>21</sup> Comment: It is not advisable to put voluntary as this is an obligation within the convention text

<sup>3</sup> Process managed by the FAO part of the Secretariat.

<sup>22</sup> COP decision does 'invite' Parties but by its very nature as a COP decision it would seem to be binding

<sup>23</sup> Comment: Good idea but in doing so please be aware that it might still be necessary to send to several different entities for some Parties

Process	Basel Convention	Rotterdam Convention	Stockholm Convention	Possible common approaches/ opportunities to improve/ any other comment
	<p>updates to the information in the questionnaire.</p> <p>- Designation of Focal Points and Competent Authorities (Article 5) <b>Frequency:</b> within 3 months of becoming a Party; and within 1 month of taking such a decision, of any changes regarding the designation of these entities</p> <p>- Transmission of Notification and Movements Documents (Article 6) <b>Frequency:</b> when exporting or importing hazardous wastes NB: the SBC has no role in this regard<sup>18</sup></p> <p>- Reporting on illegal traffic (Article 9) <b>Frequency:</b> Encouraged as it occurs (No specified frequency stated in the Convention text)</p> <p>Article 11 –Reporting on bilateral, multilateral and regional agreements <b>Frequency:</b> Required as it occurs (No specified frequency stated in the Convention text)</p> <p>Article 13 – overall mandate for exchange of information (which also includes national reporting)</p> <p>Request for Emergency Assistance (decision V/32) <b>Frequency:</b> as it occurs</p> <p>Note: In addition to the frequency mentioned above, Parties can submit information related to notifications at any time<sup>19</sup> in the year. Follow-ups are done, after the SBC receives national reports (if there is capacity) and upon requests from the BC governing or subsidiary bodies.</p>			

<sup>18</sup> Comment: This is transmission of information between Parties only usually. Sometimes SBC is copied on transmission of these documents but this is not mandatory and does not occur frequently.

<sup>19</sup> Comment: This is not entirely factual.

Process	Basel Convention	Rotterdam Convention	Stockholm Convention	Possible common approaches/ opportunities to improve/ any other comment
<p><b><u>Prior STEP</u></b> <b><u>Availability, collection and preparation of background information:</u></b></p> <ul style="list-style-type: none"> <li>- Documents that originate notifications:</li> <li>- Activities that may contribute to improve notifications</li> </ul>	<p>There are specific forms for articles 3, 5 and 9, and for requests for emergency assistance under decision V/32. For the other transmission of information, Parties usually send correspondence and the specific accompanying documents (fax, post, email) to the SBC.</p> <p>There is a current proposal to COP10 to amend Article 3 notification form and adopt new Article 4 notification form.</p> <p>COP10 may also decide that information transmitted through a national report transmitted by a designated focal point can constitute a notification.</p>	<ul style="list-style-type: none"> <li>- Documents originating notifications: New Parties (notification on DNAs / OCPs); DGDs (import responses)</li> <li>- National Action Plans; Training workshops, development of online interactive web-based training tools.</li> </ul>	<ul style="list-style-type: none"> <li>- Listing of new chemicals requires substantial amount of information exchange between the requesting Parties and the Secretariat including other stakeholders</li> <li>- Parties are requested to provide feedbacks on the use of various guidance documents, experience with technical assistance and technology transfer etc</li> </ul>	<p>The development of online interactive web-based training tools could be developed for the 3 conventions as part of the joint-CHM activities</p>
<p><b><u>STEP I</u></b> <b><u>Communication:</u></b></p> <ul style="list-style-type: none"> <li>- Inform the Parties about related obligations (letter, emails)</li> </ul>	<p>Every time a notification is received on articles 3 and 4, a communication from the SBC to all FPs, CAs and PMGVAs is sent out. Additionally, information is also published on the website.</p> <p>Whenever a change to FP and CA is made, the information is updated on the website and the database. A confirmation letter is prepared and transmitted to the Party concerned.</p> <p>Every time a notification on article 9 is received, all Parties involved in the illegal traffic case must be informed immediately (article 16 1(i)) by the SBC.</p> <p>From time to time, communications can be done based on requests from the ICC or the COP, for example.</p>	<ul style="list-style-type: none"> <li>- PIC Circular (Every 6 months: June and December, 3 languages)</li> <li>- PIC website (in 3 languages)</li> <li>- Report to the Parties</li> <li>- DNAs are provided with unique passwords to assess the interactive web-based forms</li> <li>- New DNA notifications are received from Parties through any the official contact point.</li> </ul>	<ul style="list-style-type: none"> <li>- Convention website</li> <li>- Request and follow up letters/emails</li> <li>- Sending questionnaires</li> </ul>	<p>Same follow up communication could be used for the 3 Conventions if it were the</p> <ul style="list-style-type: none"> <li>- same OCP/NFP/institution,</li> <li>- (AW) Harmonized passwords to online tools</li> </ul> <p>If a Party notified of change to country contact for more than 1 convention, joint confirmation letter could be sent out. Coordination is already occurring when BC sends out confirmation letter – check is carried out with JCS colleagues as to whether there needs to be communication for RC and SC.</p>

Process	Basel Convention	Rotterdam Convention	Stockholm Convention	Possible common approaches/ opportunities to improve/ any other comment
<b>STEP II</b> <b>Analysis of notifications:</b> <ul style="list-style-type: none"> <li>- Review of submissions;</li> <li>- Quantitative analysis;</li> <li>- Qualitative analysis;</li> <li>- Report to the COP/Subsidiary body</li> </ul>	<p>The SBC prepares information, notes, documents, reports on status, draft decisions to the COPs, OEWDs, ICC on notifications.</p> <p>The SBC is requested to assist Parties in ensuring that information notified (national definitions) is up to date and as clear as possible</p> <p>There is no review or analysis in place for the notifications, however further communications and follow up/clarification is undertaken to:</p> <ul style="list-style-type: none"> <li>- confirm if information transmitted is intended to constitute a notification;</li> <li>- request further information / clarification (e.g. clarification about the restrictions in place; texts of national legislation etc.).</li> </ul>	<p>Informal only. Used to assess technical assistance needs and considering the status of implementation.</p> <ul style="list-style-type: none"> <li>- Decision RC-5/2 guidelines on FRAs;</li> </ul> <p>Secretariat to consider ways of meeting information needs; Secretariat to consider ways to improve level of notification</p> <p><b>Notifications of FRA:</b></p> <ul style="list-style-type: none"> <li>- Secretariat review of FRAs based on Annex I information requirements within 6 months after receipt</li> <li>- Secretariat communicated a synopsis of info received in FRAs every 6 months (PIC circular)</li> </ul> <p><b>Import Responses:</b></p> <ul style="list-style-type: none"> <li>- Secretariat verifies the completeness of the IR against the criteria set out in Article 10. Secretariat sends written request if Party not provided IR and help it provide IR within time period specified in Art. 11(2)</li> <li>- Secretariat communicated a synopsis of info received in IR's every 6 months (PIC circular)</li> </ul>	<p>Under POPRC process - comprehensive review and analysis of the submission for listing new chemicals are done.</p> <p>Follow up communication may be needed if the submitted information are not adequate or clear</p> <ul style="list-style-type: none"> <li>-- Development of report based on the information received from the Parties, provided by IGOs (eg. WHO, FAO)</li> <li>-DDT expert group assessment process</li> </ul>	<ul style="list-style-type: none"> <li>- (CVK) Cross-cutting data analysis could be an approach used in the future to assess submissions, but also the evolution/involvement of some areas. This requires effort and "brain work", but it is an important area to be explored in the future.</li> <li>- (CVK) An electronic tool could be developed for Parties to self- assess the conventions implementation / maturity at their national levels. It could be one tool covering the three conventions!<sup>24</sup></li> </ul>
<b>STEP III</b> <b>Database:</b> <ul style="list-style-type: none"> <li>- Compilation of submissions (physical/electronic)</li> <li>- Electronic database (searchable)</li> <li>- Available (website, on demand);</li> <li>- Linkage with CHM;</li> </ul>	<ul style="list-style-type: none"> <li>- Information on the FPs, CAs, national legislation and Art. 11 agreements are stored on databases. Other documents are published directly on the web.</li> </ul>	<ul style="list-style-type: none"> <li>- Searchable databases available for Final Regulatory Actions, Import Responses and DNA &amp; OCP contacts information (in 3 languages).</li> <li>- Interactive web-based forms for FRAs &amp; IRs (password protected areas of RC website) in 3 languages</li> <li>- PIC Circular in 3 languages (Word &amp; PDF format from RC website)</li> </ul>	<p>Database on following are available in the webpage:</p> <ul style="list-style-type: none"> <li>- OCP/ NFP</li> <li>- NIPs submitted</li> <li>- National Reports</li> <li>- Convention Ratification</li> <li>- Nomination, workplans, activity reports of regional centres, etc</li> </ul> <p>All such information could be packaged under the CHM</p>	<ul style="list-style-type: none"> <li>- (CVK) If Basel and Stockholm uses the same IT infrastructure, and technologies for national reporting, other tools could be built on top of these, to serve all conventions.</li> <li>- (SS) If harmonized both the Convention can link the reporting as a part of their CHM</li> <li>- (JH) EXCOPS.1/2 and SC5/15.4 and 5 request the Secretariat to use a CHM that serves the 3 Conventions. SOP could be developed to ensure that all "databases" are compatible with the CHM</li> <li>- (AW) If reporting and notifications are considered together, then harmonization of DB's, online reporting systems and passwords management as part of the joint-</li> </ul>

<sup>24</sup> Comment: Some such tools exist in certain areas for BC. Eg. checklist for the legislator

Process	Basel Convention	Rotterdam Convention	Stockholm Convention	Possible common approaches/ opportunities to improve/ any other comment
				CHM activities can benefit and serve all 3 conventions.
<b>STEP IV</b> <u>Use of the notifications:</u> - Publications; - Monitoring activities/reports; - Non compliance; - Other	The ICC looks at all this sorts of information, if in its work programme.	- Information sharing (PIC Circular, website and databases) - Non compliance (still under negotiation); - Effectiveness of the Convention; - Chemical Review Committee	- Effectiveness Evaluation of the Convention; - Non compliance (still under negotiation); - NIP Guidance - POPRC	
<b>PARALLEL STEP</b> <b>(See TA Group)</b> <u>Assistance to the Parties:</u> - Preparation of model submissions; - Publications; - Workshops; - Webinars;	Information on these obligations are included in different workshops (e.g., national reporting workshops).  Information leaflets are produced on these topics from time to time.  Workshops on legal frameworks also cover notification issues.	- TA in relation to FRA is consider a priority in the workplan 2011 (14P) and 2013 (12).  - Workplan also defines specific TA for notifications and the clearing house 21 (33 of the former WP)).	- Parties are provided formats/questionnaires to provide requested information - Several HOW TO/effective participation guidance are provided - Workshops and webinars are organized to improve reporting skills of the Parties	
<b>STEP V</b> <u>Interaction with the COP:</u> - Preparation of reports	INF docs, COP decisions are prepared on the different types of notifications and the processes for transmitting these notifications.	COP reviews notifications received and mandates the Secretariat on the way forward.	COP reviews various information received from Parties for various contexts and mandates the Secretariat on the way forward.	

Process	Basel Convention	Rotterdam Convention	Stockholm Convention	Possible common approaches/ opportunities to improve/ any other comment
<ul style="list-style-type: none"> <li>- Review</li> <li>- Character of the decisions</li> </ul>				

## D. Sub-group on technical assistance

8 December 2011

### 1. Summary of activities and recommendations

#### 1) MAPPING EXERCISE

The sub-group on Technical Assistance undertook the exercise of identifying and documenting processes relevant to the technical assistance under the three Conventions. The processes and sub-processes were grouped into clusters according to the subject areas. A list of steps was proposed for each process and sub-process for the three conventions to allow comparison. Detailed information on processes is presented in the table "Subgroup on Technical assistance under the three Conventions: processes".

As a next step, analysis was carried out identifying areas where processes or specific steps are similar within the secretariats. Similarly, differences in approaches, methodology, means of implementation and sequence of steps in implementing technical assistance activities in each secretariat were flagged, where possible. For certain areas suggestions for synergy or coordination were made. More information is available in the table "Overview structure of the technical assistance table and analysis".

#### 2) POTENTIAL FUNCTIONS OF THE TECHNICAL ASSISTANCE BRANCH

When the preliminary overall structure of the three secretariats was made known, the processes were transferred into functions which potentially could be exercised by the Technical Assistance Branch. The proposed functions included:

##### 1. Developing technical assistance programmes

- A. Identifying Parties' needs
- B. Developing a technical assistance programme
- C. Resource mobilization and fundraising (for specific technical assistance activities)

##### 2. Implementing technical assistance / capacity-building programmes

- A. Preparing, coordinating and implementing projects
- B. Delivery of technical assistance through supporting partnerships and cooperation: establishing and serving partnerships
- C. Organizing and conducting trainings, webinars and workshops
- D. Developing guidance documents, resource toolkits and electronic training tools

##### 3. Monitoring and evaluating technical assistance programmes

##### 4. Coordinating effective functioning of regional centers

#### 3) OBSERVATIONS AND RECOMMENDATIONS

All three secretariats are involved in the technical assistance activities. However, specific aspects of the planning, delivery and follow-up on the technical assistance activities differ from one secretariat to another.

- a. *Institutional and organizational arrangements:* in the Basel Convention the Implementation and Capacity Building Unit mostly takes the lead on capacity-building activities, however some technical assistance issues and activities are led by other units. In the Rotterdam Convention, activities are shared between the Geneva/Rome technical assistance teams while in the Stockholm Convention these activities are coordinated by the technical assistance team.

- b. *Means of implementation*: The Stockholm Convention focuses on delivering its technical assistance programme mainly using such tools as trainings and webinars. There are several projects co-executed by the Stockholm Convention's teams other than technical assistance. The Rotterdam Convention organizes trainings and also implements pilot projects. The Basel Convention has the coordinating role with the involvement of BCRCs as well as it encourages BCRCs to implement projects.
- c. *Cooperation with regional centers*: There are differences in institutional set-ups between Basel and Stockholm centers, their relationship with the secretariats and the degree of cooperation/independence with regards to the secretariats and the centers.
- d. *Needs assessment*: There are fundamental differences on how the secretariats approach needs assessments which are directly linked to the different reporting requirements and information sharing tools in the conventions. The Stockholm Convention has the advantage of receiving regular and detailed information from parties which develop and periodically update their National Implementation Plans. In the Basel Convention there may be some opportunity to link the work under the Implementation and Compliance Committee (ICC) and national reporting with the identification of needs (e. g. as an additional information source subject to submissions to ICC). Another significant source of information used for needs assessment by the Basel Convention is face-to-face cooperation and communication with Parties at the project workshops, meetings or through the project activities.
- e. *Guidance documents and toolkits*: Mainly work related to developing guidance documents, toolkits, etc. is undertaken in Basel Convention by other teams, however the capacity-building team also undertakes developing guidance documents and methodologies as part of its projects. This is less frequently practiced by the technical assistance teams in other two conventions.
- f. *Resource mobilization*: Resource mobilization practices for technical assistance are different between the secretariats (e. g. the Stockholm Convention supports activities undertaken in relation to GEF as the financial mechanism for the Convention, the Basel Convention undertakes fundraising for its Trust Funds).

Synergy approach, harmonization and coordination should be explored in a number of areas of capacity building and technical assistance, including in needs identification, developing a technical assistance programme, resource mobilization, developing and implementing projects, organizing and conducting trainings, webinars and workshops, developing guidance documents, resource toolkit and electronic training tools, and monitoring and evaluation of technical assistance / capacity-building programmes.

Technical assistance is a broad work area which includes various cross-cutting and convention-specific or area-specific activities. Each branch of the Secretariat is expected to be engaged in the "technical assistance" functions in their different capacities. To ensure a coordinated approach to the implementation of technical assistance activities, it seems valuable that one branch be entrusted with the overall responsibility for such functions. In this case effective collaboration, information sharing and team work will be a key to success.

## 2. Comparative analysis of the processes and sub-processes of BC, RC, and SC in relation to technical assistance

Cluster 1: Technical assistance and capacity building activities	
Processes / Sub-processes	Analysis (similarities, differences, good practices, if applicable)
<b>Process 1: Developing technical assistance / capacity-building programmes</b>	
<p>A. Identifying Parties' needs</p>	<p>A. All three secretariats have similar steps in place to identify the needs of the Parties. Some information sources for identifying the needs are similar for all three conventions, while others are different (e. g. NIPs is one the information sources for SC, NIPs and NAPs for RC and national reports for BC; UNITAR National Profiles and SAICM projects/activities are also considered). SC and RC maintain several databases that identify the needs (challenges and opportunities) of Parties. A more coordinated approach for identifying the countries' needs, sharing information, and better use of existing information sources between the three secretariats should be explored.</p>
<p>B. Developing a capacity-building plan / strategy / programme</p>	<p>B. BC, RC and SC have processes in place for developing a capacity-building plan / strategy / programme. In SC this sub-process appears as structured and formalized (e. g. TAU prepares a technical assistance programme for biennium), which should be highlighted as a good practice. Using a harmonized and structured approach could be beneficial for the provision of TA by other conventions' secretariats.</p> <p>The three secretariats should also explore systematic planning for their capacity-building activities. In this regard, a joint technical assistance programme, which would include joint and convention-specific activities, could be developed. This programme would be based on the decisions of the COPs of each convention and serve as a planning tool for the three secretariats (i. e. for internal use). Alternatively, there could be separate programmes developed by each secretariat (also with joint and convention-specific activities) in close coordination with each other. This would allow active and systematic information sharing and identifying possible areas for synergies.</p>
<p>C. Resource mobilization and fundraising</p>	<p>C. All the three secretariats facilitate fundraising and jointly support parties in resource mobilization through trainings and tools and have procedures in place for individual fundraising activities for specific projects and initiatives.</p> <p>The secretariats employ different procedures which directly reflect the specific funding arrangements for the implementation of the conventions. For example, in SC the procedures focus on the access facilitation to financial assistance and GEF while in BC the focus is to raise funds for activities which are not funded from the assessed contributions.</p> <p>Taking into consideration these differences, it is nevertheless recommended to further explore areas of possible cooperation and coordination between the three secretariats in this area. See also recommendations of the sub-group on RM on the general fundraising and resource mobilization activities for the three secretariats.</p>
<b>Process 2: Implementing technical assistance / capacity-building</b>	

programmes	
<p>A. Preparing and implementing projects</p> <p>B. Delivery of technical assistance through regional centers</p> <p>C. Delivery of technical assistance through supporting partnerships and cooperation</p> <p>1) Establishing and serving partnerships</p> <p>2) International cooperation (partnerships organized and facilitated by MEAs, international organizations and other stakeholders)</p> <p>D. Organizing and conducting trainings, webinars and workshops</p> <p>1) Organizing and conducting trainings and workshops</p> <p>2) Organizing and conducting webinars</p>	<p>A. Procedures identified for this sub-process are only indicative and vary based on the project thematic areas, the team/individual responsible for project implementation, etc. The processes are similar when it comes to the project implementation with some minor differences, e. g.:</p> <p>a) SC and RC use a tracking system for questions and requests for assistance addressed to the Secretariat.</p> <p>b) BC seeks to regularly evaluate projects during and after their completion.</p> <p>B. The secretariats appear to use different approaches in delivering technical assistance and capacity building activities through the regional centers. The Stockholm centers operate independently with no or little involvement of the SC secretariat. The SC secretariat facilitates the funding of the projects of the centers (Stockholm and more recently Basel) through the small scale grant programme. However, it should be noted that no decisions of the COP have endorsed or formalized the small scale grant programme and funding for it was not approved at the last COP.</p> <p>The RC secretariat uses the Basel/Stockholm centers and FAO regional centers mostly for logistical support and regional experts.</p> <p>The BC secretariat works with BCRCs in more consistent and close collaboration. It actively uses the centers as partners in its capacity building activities, provides them with advice on funding issues, etc.</p> <p>C. All three convention secretariats are involved in and/or have established various partnerships relevant to their capacity-building activities. Currently only BC serves the partnerships established under its auspices. At the SC COP5, Parties have requested the SC secretariat to facilitate a transition of the leadership of the Global Alliance and PEN from the Secretariat to one or more United Nations agencies whose mandate is better suited to the implementation of major projects.</p> <p>As for other types of partnerships in which secretariats' role is limited to providing inputs, the processes appear to be similar between the secretariats.</p> <p>It should be noted that the BC has a well-established network of partnerships in which it participates and which has been endorsed by several COP meetings/decisions. See also recommendations of the sub-group on international cooperation.</p> <p>D. The steps involved here are generally similar between the three secretariats with some variations. For example:</p> <p>a) SC systematically uses the outreach tools, such as making announcements about the workshop and follow-up information (e. g. posting presentations online). This is a practice which should be adopted by other secretariats.</p> <p>b) BC promotes the results of events through its quarterly and other publications and SC through its monthly technical assistance newsletter. These are good practices to be highlighted and harmonized across the secretariats.</p> <p>c) There are some minor differences in procedural aspects of the preparation of meetings and workshops. A more harmonized approach could be considered for the organization of events in the future, however some flexibility should remain to tailor meetings and trainings according to the needs/audience.</p> <p>d) SC is leading in conducting webinars and therefore has developed detailed procedures. It is recommended that BC and RC consider using webinars more actively in their capacity-building activities.</p> <p>e) SC has developed specific procedures for evaluation of trainings and webinars which should be considered as a good practice.</p> <p>E. The procedures for developing guidance documents, resource toolkit and electronic training tools differ between the secretariats and within the</p>



## **Main differences and observations**

1. The three secretariats use different overall approaches for technical assistance / capacity building activities.
  - a. Institutional and organizational arrangements: in BC the Implementation and Capacity Building Unit mostly takes the lead on capacity-building activities, however some technical assistance issues and activities are led by other units. In RC, activities are shared between the Geneva/Rome technical assistance teams while in SC these activities coordinated by the technical assistance team.
  - b. Differences in means of implementation: The SC focuses on delivering its technical assistance programme mainly using such tools as trainings and webinars. There are several projects co-executed by SC's teams other than technical assistance. The RC organizes trainings and also implements pilot projects. The BC has the coordinating role with the involvement of BCRCs as well as encourages BCRCs to implement projects.
2. The secretariats use different approaches with regard to the operations of, support from and to Basel/Stockholm convention regional centers. There are differences in institutional set-ups between Basel and Stockholm centers, their relationship with the secretariats and the degree of cooperation/independence with regards to the secretariats and the centers.
3. There are fundamental differences on how the secretariats approach needs assessments which are directly linked to the different reporting requirements and information sharing tools in the conventions. SC has the advantage of receiving regular and detailed information from parties which develop and periodically update their NIPs. In BC there may be some opportunity to link the work under the Implementation and Compliance Committee and national reporting with the identification of needs (e. g. as an additional information source subject to submissions to ICC). A link should be made the identification of needs with the outcomes of the sub-group on national reporting. Another significant source of information used for needs assessment by BC is face-to-face cooperation and communication with parties at the project workshops, meetings or through the project activities.
4. Whereas there is work undertaken in BC for developing guidance documents, toolkits, etc. by other teams, capacity-building team undertakes developing guidance documents and methodologies as part of its projects. This is less frequently practiced by the technical assistance teams in RC and SC.
5. GEF as the financial mechanism for SC vs. Trust Funds of the Basel Convention
6. Synergy approach, harmonization and coordination should be explored in a number of areas of capacity building and technical assistance, including in needs identification, developing a technical assistance programme / plan, resource mobilization, developing and implementing projects, organizing and conducting trainings, webinars and workshops, developing guidance documents, resource toolkit and electronic training tools, and monitoring and evaluation of technical assistance / capacity-building programmes.

### 3. Compilation of processes and procedures related to technical assistance

The focus of this table is to consider the provision of technical assistance under the three Conventions in the broadest possible sense and the processes involved in providing such assistance. This table is intended to be demonstrative and does not constitute a comprehensive list of all processes involved or those units responsible. It intends to describe these processes as they currently operate, without determination about any future organizational structure to deliver or as to staff roles and responsibilities in delivering the technical assistance under the Conventions

Terminology and abbreviations used in the table:

**Basel:** Convention Services and Governance Unit (CSGU), Implementation and Capacity Building Unit (ICBU), Programme Support Unit (PSU), Public Awareness Outreach (PAO)/Outreach team.

**Stockholm:** Team 1 (technical assistance, etc.), Technical Assistance Unit (TAU), Team 2 (GMP, BAT/BEP, new POPs monitoring MSP, etc.), Team 3 (POPRC, NIPs, Regional Centers, Reporting, synergies, etc.), Team 4 (PFOS, BDE, waste, etc.), Financial Mechanism (FM), Programme Officers (POs), Joint Services of the Basel, Rotterdam and Stockholm Conventions

Lead Unit – The group worked on the understanding that technical assistance is undertaken by various units. As such, the lead unit may not always be the technical assistance unit within the specific Secretariat.

NB the mandates listed in this document are indicative only and not an exhaustive list, due to time constraints with the preparation of this text.

#### Cluster 1: Technical assistance and capacity building activities

##### Process 1: Developing technical assistance / capacity-building programmes

###### Basel (Work programme CHW.10/23/Add1):

- Develop and deliver training programmes (34)
- Develop and implement synergies capacity-building projects for the development of national institutional frameworks for the implementation of the conventions (36)
- COP Decisions VIII/34; IX/7 - IX/23; IX/31; IX/32

###### Rotterdam (Technical assistance: workplan for the biennium 2012–2013, decision RC-5/10; and decision RC-5/12, Enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm conventions):

- Deliver sub-regional awareness-raising, training and elements of national plans workshops. (8).; Customs training activities, with possible linkages to relevant chemicals activities (13); Development of orientation workshop for the effective participation in the work of the CRC(14N)
- Facilitating the preparation of notifications of final regulatory actions (12)
- Resource kit - review content and components, prepare new material and update established key publications, to be made available also in an electronic format with consideration of possible training opportunities (5)
- Undertake synergistic capacity-building activities designed to enhance cooperation and coordination among the Basel, Rotterdam and Stockholm conventions (1, 2, 3, 6, 10, 21).
- Strengthen national capacities for industrial chemicals management through pilot projects (16)

###### Stockholm (Work programme, decision SC-5/28):

- Undertake overall coordination of the delivery of technical assistance programmes and coordinate secretariat activities to provide technical assistance (11).
- Develop and deliver assistance based on regional and national needs (8).
- Capacity-building programmes: develop and deliver assistance based on regional and national needs and in accordance with the technical assistance strategy plan (12S)

Sub-process A: Identifying Parties' needs		
CONVENTION-SPECIFIC SUB-PROCESSES AND STEPS		
Basel	Rotterdam	Stockholm
1) Review COPs decisions, national reports, requests for assistance, advice from BCRCs, other information sources (Lead Unit, ICBU, CSGU) 2) Consult with Parties on possible activities (Lead Unit, ICBU) 3) Consider funding options (Lead Unit, ICBU, Finance) 4) Consult with potential donors (Lead Unit, ICBU)	<ul style="list-style-type: none"> <li>1) Identify Parties's needs based on:               <ul style="list-style-type: none"> <li>Review requests for assistance</li> <li>National reports,</li> <li>NIPs</li> <li>Rotterdam Convention NAPs</li> <li>Ongoing projects</li> <li>Other information sources</li> <li>Left ver activities from the previous biennium.</li> <li>COP mandates: prioritized new activities identified by the latest COPs.</li> <li>Consider new Party ratifications</li> </ul> </li> <li>3) Consider availability of funds (Admin).</li> </ul>	1) Maintain several databases that identify the needs (challenges and opportunities) of Parties that are developing countries and countries with economies in transition in implementing the Convention by the Technical Assistance Unit (TAU) The information collected is based on: <ul style="list-style-type: none"> <li>The NIPs;</li> <li>National reports pursuant to Article 15 of the Convention;</li> <li>Requests for assistance received by the Secretariat;</li> <li>Projects (GEF, SAICM QSPTF, etc.) being implemented by countries;</li> <li>Other information provided by other units of the Secretariat.</li> </ul>

**Sub-process B: Developing a capacity-building plan / strategy / programme**

**CONVENTION-SPECIFIC SUB-PROCESSES AND STEPS**

Basel	Rotterdam	Stockholm
<p>1) Define the activities to be delivered, taking into account needs identified (Lead Unit.)</p> <p>2) Identify Parties, BCRCs, IGOs, and other stakeholders that will participate in the different activities (Lead Unit with input of other units as needed).</p> <p>3) Set priorities and scheduling of activities (Lead Unit, with input of other units as needed).</p> <p>4) Develop a draft plan (Lead Unit, ICBU)</p> <p>5) Consult relevant internal entities (Lead Unit,)</p> <p>6) Consult relevant external entities (Lead Unit, partners, regional centres)</p>	<p>1) Define the activities to be delivered, taking into account needs identified.</p> <p>2) Develop draft strategies/plans/concept notes, workshop meeting flows and draft agendas.</p> <p>3) Develop of strategies for joint work by the 3 Conventions.</p> <p>4) Consult with relevant internal entities and outside entities if working with other IGOs (e.g. IOMC partner organizations).</p> <p>5) Identify Parties that will participate in the different activities.</p> <p>6) Set priorities and scheduling of activities.</p>	<p>1) Technical staff members (SC teams 1, 2, 3 and 4 and financial resources team) develop activity plans based on COP decisions and programme of work by fully taking into account resources required for effective and efficient implementation of the activities.</p> <p>2) TAU invites other teams to provide proposals for technical assistance activities to be undertaken during a defined period.</p> <p>All proposals should include the following information: type of activity (i.e. workshop, project, etc. ), issue to be covered, target audience (i.e. OCP, NF, technical experts, etc) and a concept note.</p> <p>3) TAU reviews the proposals and evaluates possible synergies within the Secretariats of the Basel, Rotterdam and Stockholm Conventions through ITAG.</p> <p>4) Taking into account the needs identified in sub-process 1, and the proposals received by other units, TAU prepares a technical assistance programme for the biennium that includes a programmatic strategy. The programmatic strategy gives further details on implementation modalities (roles and responsibilities, partners) as well as indicative time frame of implementation for each of the identified TA activities. See Annexes I and II for the technical assistance programme and programmatic strategic developed for the biennium 2012-2013.</p> <p>5) The technical assistance programme is shared with other units for further input and possible adaptation of implementation modalities and timeframes.</p> <p>6) The technical assistance programme is submitted to the Executive Secretary for clearance.</p> <p>7) Coordinate the implementation of technical assistance activities (see process 2 for information on coordination of the implementation of technical assistance)</p>

Sub-process C: Resource mobilization and fundraising		
CONVENTION-SPECIFIC SUB-PROCESSES AND STEPS		
Basel	Rotterdam	Stockholm
<p>1) Consult with internal entities and review funding available from core and voluntary sources.</p> <p>2) Facilitate fundraising for activities that are not funded from the Basel Convention Trust Fund (ICBU, as well as CSGU and PSU as appropriate.)</p> <p>3) Provide information on funding opportunities to BCRCs, Parties (ICBU, CSGU).</p> <p>4) Provide training and develop tools and strategies on resource mobilization (see Process 2: sub-processes C, D and E).</p> <p>5) Fundraising on specific activities (see process 2 and Note at the end of document).</p>	<p>1) Facilitate the development of project proposals for submission to the SAICM-QSP or other donor agencies.</p> <p>2) Fundraising / resource mobilization for the 3 Secretariats (donor contacts, donors' meetings, etc)</p>	<p>1) Facilitate the development of project proposals and templates with SSC staff</p> <p>2) Fundraising / resource mobilization for the 3 Secretariats (donor contacts, donors' meetings, etc)</p> <p>3) Facilitate access to financial assistance/matchmaking, organize meetings with donors, cooperation with GEF and other potential funding institutions</p> <p>4) Training and outreach (webinars and workshops) on resource mobilization and access to financial resources for Parties (see process 2, sub-process D).</p>
<p><b>Process 2: Implementing technical assistance / capacity-building programmes</b></p> <p>Implementation of the technical assistance activities through the following sub-processes:</p> <ul style="list-style-type: none"> <li>A. Preparing and implementing projects</li> <li>B. Delivery of technical assistance through regional centers</li> <li>C. Delivery of technical assistance through supporting partnerships and cooperation</li> <li>D. Organizing and conducting trainings, webinars and workshops</li> <li>E. Developing guidance documents, resource toolkit and electronic training tools</li> <li>F. Providing assistance to Parties on the implementation of the Conventions</li> </ul>		
<p><b>Sub-process A: Preparing and implementing projects</b></p> <p><b><u>Basel (Work programme CHW.10/23/Add1):</u></b></p> <ul style="list-style-type: none"> <li>- Implementation Fund: assist developing countries subject to a submission to the Compliance Committee (7) (concrete activities are not known yet)</li> <li>- Assist parties to enforce the Convention and combat illegal traffic (11).</li> <li>- Provide guidance and technical support to parties on technical issues (13).</li> <li>- Coordinate and support the implementation of strategic framework (18).</li> <li>- Coordinate and provide support in relation to the Indonesian-Swiss country-led initiative (19)</li> <li>- Develop information network and establish coordinating group for capacity-building (on specific issue) (24).</li> <li>- Develop national inventories, management plans, pilot projects, formulate e-waste policies, regulatory frameworks and strategies for implementation (25).</li> <li>- Follow-up activities on the project on "implementing the Nairobi Declaration in Africa (26).</li> <li>- Implement pilot projects through regional centers (33).</li> <li>- Develop and implement synergies capacity-building projects, provide technical assistance with regional centers (36).</li> </ul>		

**Technical assistance: workplan for the biennium 2012–2013, decision RC-5/10; and decision RC-5/12, Enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm conventions):**

- Deliver sub-regional awareness-raising, training and elements of national plans workshops. (8).; Customs training activities, with possible linkages to relevant chemicals activities (13); Development of orientation workshop for the effective participation in the work of the CRC(14N)- Facilitating the preparation of notifications of final regulatory actions (12)
- Resource kit - review content and components, prepare new material and update established key publications, to be made available also in an electronic format with consideration of possible training opportunities (5)
- Undertake synergistic capacity-building activities designed to enhance cooperation and coordination among the Basel, Rotterdam and Stockholm conventions (1, 2, 3, 6, 10, 21).
- Strengthen national capacities for industrial chemicals management through pilot projects (16)

**Stockholm (Work programme, decision SC-5/28):**

- Undertake synergistic capacity-building projects on national institutional frameworks, provide technical assistance through regional centers (17s).

CONVENTION-SPECIFIC STEPS		
Basel	Rotterdam	Stockholm
<p><b>1) Initiate projects (see also sub-process B and D)</b></p> <ul style="list-style-type: none"> <li>a. Identify areas to be addressed by the project <ul style="list-style-type: none"> <li>i. Review the requests, reports, information on other projects in the country(ies) and other relevant information (Lead Unit, ICBU)</li> <li>ii. Consult with internal sources, BCRCs, Parties, other MEAs and stakeholders (ICBU)</li> </ul> </li> <li>b. Identify funding options <ul style="list-style-type: none"> <li>i. Consult with relevant internal persons</li> <li>ii. Consult with relevant external persons (see sub-processes (B) and (C))</li> <li>iii. Informally consult with donors (ICBU)</li> </ul> </li> <li>c. Develop concept note/ project proposal / project document <ul style="list-style-type: none"> <li>i. Draft the proposal (Lead Unit, ICBU)</li> <li>ii. Consult with relevant internal persons, stakeholders in the country(ies), partners, Regional Centers as per necessary to finalize the project proposal (ICBU, CSGU, other units as relevant)</li> <li>iii. Develop the budget (Lead Unit, ICBU and Finance)</li> </ul> </li> <li>d. Submit the proposal / project document for approval to donors (Lead Unit, ICBU)</li> <li>e. Receive the approval from donors (Lead Unit, ICBU, finance)</li> <li>f. Make an agreement with donors (Lead Unit, ICBU, Legal, Finance)</li> <li>g. Receive funding (Finance)</li> <li>h. Consult with concerned internal and external stakeholders (Lead Unit, ICBU, Legal, CSGU, Finance, BCRCs, other partners, IGOs).</li> <li>i. Conclude agreements with partners <ul style="list-style-type: none"> <li>i. Draft an agreement (Lead Unit, ICBU, legal, finance, partner)</li> <li>ii. Draft project description (Lead Unit, ICBU, legal, finance)</li> <li>iii. Clear the agreement with legal</li> </ul> </li> </ul>	<p><b>1. Develop projects</b></p> <p><i>a Needs assessment</i></p> <ul style="list-style-type: none"> <li>i. Identify Parties needs based on requests for assistance, national reports, NIPs, Rotterdam Convention NAPs, ongoing projects, other information sources. Leftover activities from the previous biennium.</li> <li>ii. Review COP mandates: prioritize new activities identified by the latest COPs.</li> <li>iii. Consider New Party ratifications.</li> <li>iv. Consider availability of funds.</li> <li>v. Work with partners and other MEAs.</li> <li>vi. Analyze requests for assistance and questions addressed to the Secretariat</li> </ul> <p><b>b. Drafting of project proposals</b></p> <ul style="list-style-type: none"> <li>i. Develop concept note/ project proposal / project document for routine technical assistance activities or pilot projects on industrial chemicals.</li> <li>ii. Draft a costed concept note and circulate internally (Senior Officers, Ex-Secs and other colleagues)</li> <li>iii. Submit concept note to donors; then later submit a full proposal in requested formats.</li> </ul> <p><b>c. Agreements with Parties</b></p> <ul style="list-style-type: none"> <li>i. After having agreement and go ahead from the Executive Secretaries as to the activities to be carried out, Memoranda of Understanding (MOUs) are drafted for signature between the Parties and the Secretariat.</li> <li>ii. Technical assistance activities will carried out for those</li> </ul>	<p><b>1) Initiate projects</b></p> <ul style="list-style-type: none"> <li>a. Based on the activities identified in the technical assistance programme and requests for assistance received from countries, a concept note for the project is being developed (e.g. background, objectives, target groups, activities, expected outcomes, possible implementing partners, workplan, budget). The concept note could be developed by TAU and/or technical teams.</li> <li>b. The concept note is sent to interested countries for review.</li> <li>c. If funding is already available (check with Finance Section), then go Step 2.</li> <li>d If funding is not available, then identify funding options <ul style="list-style-type: none"> <li>i. Informally consult with donors (Resource Mobilisation officer)</li> <li>ii. Possibly revise the concept note (Technical / TA PO and/or Resource Mobilisation officer)</li> <li>iii. Receive approval from donors (Resource Mobilisation officer)</li> <li>iv. Make an agreement with donor (Admin Unit and Resource Mobilization officer)</li> <li>v. Receive funding, Admin unit will inform based on actual deposits (Admin Unit)</li> </ul> </li> </ul> <p><b>2) Agreement</b></p> <ul style="list-style-type: none"> <li>a. The TAU or other Technical Units prepare a memorandum of understanding (MOU) including a budget (based on existing templates).</li> <li>b. The MOU is first cleared by Finance Unit (for financial information. At that stage it is possible that more consultation with</li> </ul>

<ul style="list-style-type: none"> <li>iv. Clear the agreement with finance</li> <li>v. Draft general terms of reference for consultants that will support project implementation (Lead Unit, ICBU, legal, finance)</li> <li>vi. Draft guidelines for monitoring and evaluation (ICBU)</li> <li>vii. Identify or develop financial and progress reports templates (ICBU)</li> <li>viii. Consult partners (Lead Unit, ICBU or another unit as relevant)</li> <li>ix. Approve the agreement (Partner, Legal, Finance)</li> <li>x. Conclude the agreement (signature) (Lead Unit, ICBU, legal, finance, partner)</li> <li>xi. Initiate payments (Finance with the request of Lead Unit)</li> </ul> <p>j. Recruit staff/consultants to support project implementation</p> <ul style="list-style-type: none"> <li>i. Develop specific ToR (Lead Unit)</li> <li>ii. Approve ToR and initiate recruitment (Finance)</li> <li>iii. Select consultants (Lead Unit)</li> <li>iv. Finalize recruitment (Finance)</li> </ul> <p>k. Prepare webpages with project information and undertake other communication-related actions (Lead Unit, PAO, IT officers, and, if appropriate, legal and partners)</p> <ul style="list-style-type: none"> <li>i. Develop the webpage matrix (PAO, IT)</li> <li>ii. Write texts with project information for uploading in the website (Lead Unit)</li> <li>iii. Write texts with project information for the Basel Bulletin and other publications e.g. press releases (Lead Unit, PAO)</li> <li>iv. Other activities</li> </ul> <p><b>2) Implement projects</b></p> <ul style="list-style-type: none"> <li>a. Organize meetings, teleconferences (for organizing meetings steps are similar to those under sub-process D) (Lead Unit, ICBU, Admin, Finance with support of other units as needed)</li> <li>b. Participate in meetings (Lead Unit, ICBU with support of other units as needed)</li> </ul>	<p>Parties that have expressed an interest for the specific activities.</p> <ul style="list-style-type: none"> <li>iii. The MOU is first cleared by Admin (for financial information) and then by legal team clears the MOU before signature.</li> <li>iv. Upon signature of the MOUs, funds are usually sent in two parts, first 75% and then the last 25% after the financial statements and reports as agreed in the MOU.</li> </ul>	<p>the partner to agree on revised budgets. Once financially cleared, the MOU is cleared by Legal Unit.</p> <ul style="list-style-type: none"> <li>c. The MOU is first signed by ES and then by partners. Mail out by Admin.</li> <li>d. Once signed, initiate payments (Finance Unit)</li> </ul> <p><b>3) Implement projects</b></p> <ul style="list-style-type: none"> <li>a. Prepare training manuals, guidance documents, etc. (see also sub-process (F)) by TA and other Technical Teams, and/or support from consultant/ implementing agency</li> <li>b. Assist Partner in organizing project meetings and participate in meetings by PO of TA and other Technical Teams (or consultant)</li> <li>c. Organize training workshops (see also sub-process (D))</li> <li>d. Provide guidance and technical advice to project partners by PO of TA and other Technical Teams (or consultant)</li> <li>e. Review and comment on project outputs by PO of TA and other Technical Teams (or consultant)</li> <li>f. Regularly communicate with project partners by PO of TA and other Technical Teams (or consultant)</li> <li>g. Undertake awareness-raising actions (update website, prepare publications, information notes, brochures, press releases) by TA</li> <li>h. Execute financial transactions and maintain financial records (e. g. payments) by Finance Unit</li> </ul> <p>Prepare progress and financial reports for donors (by TA and other</p>
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<ul style="list-style-type: none"> <li>c. Organize workshops and trainings (see also sub-process (D) (Lead Unit, ICBU, other units as relevant))</li> <li>d. Prepare training manuals, guidance documents, etc. (see also sub-processes (C) and (F)) (Lead Unit, ICBU and/or Legal, CSGU, PSU as necessary)</li> <li>e. Provide guidance and technical advice to project partners (ICBU and/or Legal, CSGU, PSU)</li> <li>f. Review and comment on project outputs (ICBU and/or Legal, CSGU, PSU as necessary, external reviewers)</li> <li>g. Regularly communicate with project partners (Lead Unit with support from other units as relevant)</li> <li>h. Undertake awareness-raising actions (update website, prepare publications, information notes, brochures, press releases) (Lead Unit, ICBU, PAO, IT)</li> <li>i. Execute financial transactions and maintain financial records (e. g. payments) (Finance upon requests of Lead Unit)</li> <li>j. Follow-up on the delivery of outputs and progress and financial reports from partners (Lead Unit, ICBU)</li> <li>k. Prepare progress and financial reports for donors and reviews reports from partners (Lead Unit + Finance (financial reports))</li> </ul> <p><b>3) Wrap-up projects</b></p> <ul style="list-style-type: none"> <li>a. Finalize financial and administrative issues (Lead Unit, Finance)</li> <li>b. Prepare final reports (Lead Unit, Finance, legal, partner if applicable)</li> <li>c. Disseminate project results through the website, leaflets, brochures, publications, etc. <ul style="list-style-type: none"> <li>i. Prepare project information for uploading on the website (Lead Unit)</li> <li>ii. Prepare project information for internal circulation, the Basel Bulletin and other outreach tools (Lead Unit, PAO, legal, IT)</li> </ul> </li> <li>d. Organize a wrap-up meeting with partners involved on the project implementation for exchange of lessons learned and best practices, if needed (Lead Unit, partners)</li> </ul> <p><b>4) Evaluate the project</b></p> <ul style="list-style-type: none"> <li>a. Organise a wrap-up meeting with partners involved on the</li> </ul>	<p><b>2) Implementation of projects</b></p> <ul style="list-style-type: none"> <li>a) Design, develop and deploy a tracking system for questions and requests for assistance addressed to the Secretariat</li> <li>b) Guidance materials /resource kit regarding Parties obligations. Identify specific areas requiring additional guidance; Review, update and develop guidance materials to meet identified needs (see Process 2, sub-process E)</li> <li>c) Workshops (see Process 2, sub-process D)</li> <li>d) Support to Parties in issues related to Industrial Chemicals pilot projects <ul style="list-style-type: none"> <li>i. Continue improving the pilot project concept, format and methodology.</li> <li>ii. Deliver support to Parties that express an interest in this particular activity.</li> </ul> </li> </ul> <p>The following activities will be undertaken to accomplish the outputs and purposes of the pilot projects:</p> <ul style="list-style-type: none"> <li>1) <i>Pre-project scoping meeting</i>: familiarize the stakeholders, and seek political support of decision-makers, mission including the expert that will provide technical support will visit the pilot countries: <ul style="list-style-type: none"> <li>a. Attend the meeting (PO, and consultant)</li> </ul> </li> <li>2) <i>Initial Stakeholders' workshop</i>: workshop to establish the responsibilities for data collection and analysis to determine the status of national industrial chemicals management of the country. Also, awareness-raising on how to conduct a needs assessment and provided with information on the objectives, principles and tools of sound management of industrial chemicals and on the elements of risk assessment. <ul style="list-style-type: none"> <li>a. Attend the workshop (PO and consultant)</li> </ul> </li> <li>3) <i>Preparation of a legal study on the existing management of industrial chemicals</i>: Using expertise from the country, a review of the current legislation that is in place will be undertaken. <ul style="list-style-type: none"> <li>a. Review and comment on the output (POs)</li> </ul> </li> <li>4) <i>Development of the national profile on industrial chemicals management</i>: Stakeholders will be requested to provide information relating to the status of industrial chemicals management in the country. <ul style="list-style-type: none"> <li>a. Review and comment on the output (POs)</li> </ul> </li> <li>5) <i>Final stakeholders' workshop</i>: In line with the initial</li> </ul>	<p><b>3 Implement projects</b></p> <ul style="list-style-type: none"> <li>a. Prepare training manuals, guidance documents, etc. (see also sub-process (F)) by TA and other Technical Teams, and/or support from consultant/ implementing agency</li> <li>b. Assist Partner in organizing project meetings and participate in meetings by PO of TA and other Technical Teams (or consultant)</li> <li>c. Organize training workshops (see also sub-process (D)) Provide guidance and technical advice to project partners by PO of TA and other Technical Teams (or consultant)</li> <li>d. Review and comment on project outputs by PO of TA and other Technical Teams (or consultant)</li> <li>e. Regularly communicate with project partners by PO of TA and other Technical Teams (or consultant)</li> <li>f. Undertake awareness-raising actions (update website, prepare publications, information notes, brochures, press releases) by TA</li> <li>g. Execute financial transactions and maintain financial records (e. g. payments) by Finance Unit</li> <li>h. Prepare progress and financial reports for donors (by TA and other POs) and reviews reports from partners by TA and other POs.</li> </ul> <p><b>4). Wrap-up projects</b></p> <ul style="list-style-type: none"> <li>a. Finalize financial and administrative issues by Admin</li> <li>b. Prepare final reports by Pos</li> <li>c. Disseminate project results through the website, leaflets, brochures, publications, etc. by Pos and IT team</li> </ul>
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<p>project implementation for exchange of lessons learned and best practices (ICBU, partners, admin and finance if travel involved).</p> <p>b. Depending on the size of the project and donor's requirements, either evaluate the project in-house (Consult progress reports (ICBU, finance and if needed legal) or arrange evaluation by the external consultant</p> <p>c. Prepare documents reporting to COP and/or subsidiary bodies, as well as donors (Lead Unit, conference services)</p>	<p>workshop, a second workshop will be convened for stakeholders to deliberate on the report of the status of industrial chemicals management and the implementation plan for capacity strengthening and increased management.</p> <p>a. Attend the workshop (PO and consultant</p> <p>6) Case study reports: To document the success of the project and to establish a process for similar future exercises, a case study will be prepared. This case study will be critical for the finalisation of the toolkit to be used to support development of industrial chemicals management for developing country Parties and Parties with economies in transition to the Rotterdam Convention.</p> <p>a. Guide consultations (PO)</p> <p>b. Discuss outputs with internal units</p> <p>3) Wrap up:</p> <p>a. Finalize financial and administrative issues by Admin</p> <p>b. Prepare final reports by Pos</p> <p>c. Disseminate project results through the website, leaflets, brochures, publications, etc. by Pos and IT team</p>	
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#### **Sub-process B: Delivery of technical assistance through regional centers**

##### **Basel (Work programme CHW.10/23/Add1):**

- Assist parties to enforce the Convention and combat illegal traffic (11)
- Provide guidance and technical support to parties on technical issues (13)
- Coordinate and support the implementation of strategic framework (18)
- Coordinate and provide support in relation to the Indonesian-Swiss country -led initiative (19)
- Facilitate the development of pilot projects in cooperation with regional centers and other partners (27).
- Collaborate with regional centers and partners to develop and implement projects (28).
- Assist regional centers in developing and implementing projects and pilot national plans, developing pilot activities (29, 30, and 32).

##### **Stockholm (SC-2/9, SC-3/12, SC 5/20, 5/21 and 5/27)**

- Regional centres to develop project proposals to assist eligible Parties for the consideration of financial mechanism and other donors
- regional centres to develop and regularly update a list of technologies available to be transferred to developing-country parties
- regional centres to submit to the Secretariat their periodic workplans and activity reports on stipulated timelines

CONVENTION-SPECIFIC STEPS		
Basel	Rotterdam	Stockholm
<p><b>1) Initiate projects</b></p> <ul style="list-style-type: none"> <li>a. Liaise with regional centers on areas to be addressed by the project (Lead Unit, ICBU in consultation with other units if necessary)</li> <li>b. Advise regional centers on funding issues (Lead Unit, ICBU and finance)</li> <li>c. Develop or provide input into concept note/ project proposal / project document (Lead unit, ICBU, legal, finance)</li> <li>d. Prepare or provide input into TORs for project activities (Lead unit, ICBU, finance)</li> <li>e. Prepare or provide input into guidelines for monitoring and evaluation (ICBU)</li> <li>f. Prepare or provide input into progress and financial reports templates as per necessary (ICBU)</li> <li>g. Prepare webpages with project information and make other communications/outreach-related actions (Lead unit, ICBU, PAO, IT)</li> </ul> <p><b>2) Support the implementation of project through regional centers</b></p> <ul style="list-style-type: none"> <li>a. Participate in meetings and training workshops (Lead unit with support of other units as needed e.g. national reporting, legal etc. Conference Services, Finance and Admin if travel is involved)</li> <li>b. Provide input into training manuals, guidance documents, etc. (Lead unit, ICBU and/or Legal, CSGU, PSU as necessary)</li> <li>c. Provide guidance and technical advice to project partners (ICBU and/or Legal, CSGU, PSU as necessary)</li> <li>d. Review and comment on project outputs (Lead unit, ICBU, Legal, CSGU, PSU)</li> <li>e. Undertake awareness-raising actions (update website, prepare publications, information notes, brochures, press releases) (Lead unit, ICBU, PAO, IT)</li> </ul> <p><b>3) Wrap-up projects</b></p> <ul style="list-style-type: none"> <li>a. Disseminate project results through the website, leaflets, brochures, publications, etc. <ul style="list-style-type: none"> <li>i. Prepare project information for upload in the website (Lead unit, PAO, IT, partners)</li> <li>ii. Prepare with project information for the Basel Bulletin (Lead unit, PAO, partners,)</li> </ul> </li> </ul> <p><b>4) Evaluate the project</b></p> <ul style="list-style-type: none"> <li>a. Organize a wrap-up meeting with partners involved on the project</li> </ul>	<p>In some cases, especially for sub-regional workshops, the secretariat works with FAO and /or Basel /Stockholm regional centers, to provide for the logistics the workshops. They also assist in the transaction of funds and payment of DSA to participants. Sometimes they assist in the travel arrangements for the participants:</p> <ul style="list-style-type: none"> <li>a) The FAO and UNEP regional officers assist the secretariat in the delivery of workshops in their regions.</li> <li>b) Regional experts also assist the secretariat in delivering workshops, if they are available.</li> </ul>	<p><b>1) Project proposals</b></p> <ul style="list-style-type: none"> <li>a. Regional centres in consultation with the Parties and also by analyzing the NIPs identify the areas for project development</li> <li>b. These projects constitute the centre's work plans</li> <li>c. Project proposals thus prepared are submitted to the financial mechanism/donors</li> <li>d. Funded projects are implemented by the center</li> <li>e. Completed activities are reported to the COP</li> <li>f. In response to the invitation for proposals by the Secretariat, the centres prepare proposals under small grant programme</li> </ul> <p><b>2) Collaboration with partners</b></p> <ul style="list-style-type: none"> <li>a. Centres in collaboration with partners including the Secretariat organize workshops and training programmes on various thematic areas</li> <li>b. Continue engaging with other regional partners in planning and implementing capacity building programme in the region</li> </ul>

<p>implementation for exchange of lessons learned and best practices (Lead unit, partners, admin and finance if travel involved).</p> <p>b. Consult progress reports and monitoring and evaluation reports (Lead unit, finance and if needed legal)</p> <p>c. Prepare documents reporting to COP and/or subsidiary bodies, as well as donors (Lead Unit, conference services)</p>		
<p><b>Sub-process C: Delivery of technical assistance through supporting partnerships and cooperation</b></p> <p><b><u>Basel (Work programme, document UNEP/CHW.10/23):</u></b></p> <ul style="list-style-type: none"> <li>- Assist parties to enforce the Convention and combat illegal traffic (11)</li> <li>- Provide guidance and technical support to parties on technical issues (13)</li> <li>- Coordinate and support the implementation of strategic framework (18)</li> <li>- Coordinate and provide support in relation to the Indonesian-Swiss country-led initiative (19)</li> <li>- Serve as secretariat of the PACE and facilitate the operation and activities of PACE (20)</li> <li>- Facilitate the involvement of partners in the dissemination of partnership concept (21).</li> <li>- Provide Convention-related input into global partnerships organized and facilitated by other MEAs, international organizations and stakeholders (22)</li> <li>- Develop strategic partnerships with other MEAs (23 (S4))</li> </ul> <p><b><u>Stockholm (Work programme, decision SC-5/28):</u></b></p> <ul style="list-style-type: none"> <li>- Develop strategic partnerships with other MEAs (18 N S (S4))</li> <li>- Cooperate with GEF and other donors to facilitate the delivery of financial assistance through regular communication with GEF, parties and others (8), 9 13, 33.</li> <li>- Decision SC-4/2: Global Alliance for alternatives to DDT;</li> <li>- Decisions SC-1/15, SC-2/9, SC-3/11, SC-4/22, SC-5/20, SC-4/22 and SC-5/20: Coordination of technical assistance</li> <li>- Develop strategic partnerships with other MEAs (S4)</li> </ul> <p><b><u>Rotterdam (Work programme, decision RC ...)</u></b></p> <p>Article 19 paragraph 2 (b) Partnerships with key partners</p>		

Component 1: Establishing and serving partnerships		
CONVENTION-SPECIFIC STEPS		
Basel	Rotterdam	Stockholm
<p><b>1) Initiate the process (Facilitate the operations and activities of MPPI and PACE)</b></p> <ul style="list-style-type: none"> <li>a. Review and identify possibilities for providing technical assistance through partnerships <ul style="list-style-type: none"> <li>i. Review needs for technical assistance</li> <li>ii. Review existing partnerships and capacity to provide support</li> <li>iii. If needed or mandated by the COP, initiate relationship with new partners (see note below on institutional etc. arrangements)</li> <li>iv. Organize formal and/or information consultations (Lead unit with ICBU, PSU, CSGU)</li> </ul> </li> <li>b. Identify funding sources <ul style="list-style-type: none"> <li>i. Discuss with Finance and potential donors (Lead Unit)</li> </ul> </li> <li>c. Prepare for the initiation of the partnership (if applicable) <ul style="list-style-type: none"> <li>i. Send official communication to join partnership (Lead, Admin)</li> <li>ii. Establish rules of procedures (Lead, members of the partnership)</li> <li>iii. Agree on the working arrangements (regular teleconferences, face-to-face meeting once a year)</li> <li>iv. Make financial arrangements for the partnership (Finance)</li> </ul> </li> <li>d. Develop joint activities to forward the objectives of the partnership (see sub-processes (A), (D) and (E) (if applicable))</li> <li>e. Identify support for maintaining the partnership: <ul style="list-style-type: none"> <li>i. Identify staff to support activities (Lead Unit, Finance)</li> <li>ii. Identify a consultant to support activities (Lead Unit, Finance)</li> <li>iii. Make contractual arrangements (Lead Unit, Finance, HR)</li> </ul> </li> <li>f. Formalize cooperation to provide technical assistance e.g. prepare and enter SSFA (see sub-processes (A) (D) and (E))</li> <li>g. Undertake awareness-raising actions (update website, prepare publications, information notes, brochures, press releases) <ul style="list-style-type: none"> <li>i. Identify the format (Lead Unit, PAO)</li> </ul> </li> </ul>	<p>Article 19 paragraph 2 (b): Develop partnerships with key partners</p>	<p>Synergy decision (S4):</p> <p><b>1) Initiate the process</b></p> <p>Develop strategic partnerships with other multilateral environmental agreements, such as for the management and disposal of ozone-depleting substances, persistent organic pollutants and other hazardous substances.</p> <p><b>Implement the partnership activities:</b></p> <p>Legal and procedural issues classified at the national level; capacity in dealing with the destruction of ozone-depleting substances and persistent organic pollutants developed; disposal operations carried out for ozone-depleting substances, persistent organic pollutant wastes and other hazardous chemicals by joint management and disposal approach.</p>

<ul style="list-style-type: none"> <li>ii. Prepare the content (Lead, external partners, PAO)</li> <li>iii. Consult / Get approval from partners</li> <li>iv. Make financial arrangements (Lead Unit, Finance)</li> <li>v. Publish / Print (PAO)</li> </ul> <p><b>2) Develop technical assistance activities within context of partnership</b></p> <ul style="list-style-type: none"> <li>a. Develop joint activities to forward the objectives of the partnership (see sub-processes (A), (D) and (E))</li> </ul> <p><b>3) Implement the partnership activities:</b></p> <ul style="list-style-type: none"> <li>a. Organize and participate in partnership meetings (Lead Unit, partners)</li> <li>b. Participate in or jointly implement activities to forward the objectives of the partnership (see sub-processes (A), (D) and (E)).</li> <li>c. Provide comments and input into the written outputs (Lead unit with support from other units)</li> <li>d. Prepare / provide input into awareness-raising activities (leaflets, publications, presentations, press releases, etc). (Lead unit, Partner, support from other units, PAO)</li> <li>e. Formally approve the outputs (Lead Unit)</li> <li>f. Update the webpage (Lead Unit, IT)</li> <li>g. Maintain financial records (Finance)</li> <li>h. Conclude agreements with external partners (Lead Unit, Legal, Finance)</li> <li>i. Provide legal advice and input to the activities undertaken with the partner (e. g. the use of logos) (Legal)</li> <li>j. Report to the COP on progress (Lead Unit with input from other units as relevant, Conference Services)</li> </ul> <p><b>5) Completing the partnership activities:</b></p> <ul style="list-style-type: none"> <li>a. Evaluate the results (Lead Unit)</li> <li>b. Finalize any outputs developed</li> <li>c. Prepare narrative and financial reports (Lead Unit, Finance)</li> </ul> <p><b>6) Disseminating results</b></p> <ul style="list-style-type: none"> <li>a. Post the final outputs on the website (Lead unit, IT)</li> <li>b. Include information about outputs in the presentations, brochures, bulletins, etc. (Lead Unit, PAO).</li> </ul>		
<b>Component 2: International cooperation (partnerships organized and facilitated by MEAs, international organizations and other stakeholders)</b>		
<b>CONVENTION-SPECIFIC STEPS</b>		

Basel	Rotterdam	Stockholm
<p><b>(See also sub-processes A, D, E)</b></p> <p><b>Initiate a cooperation with a partner</b></p> <ol style="list-style-type: none"> <li>Initiate / Receive a request for a cooperation (ICBU, CSGU, Legal, PSU)</li> <li>Identify areas of mutual interest (ICBU, CSGU, Legal, PSU)</li> <li>Agree on modality of cooperation (ICBU, CSGU, Legal, PSU with external partners)</li> <li>Agree on the workplan (ICBU, CSGU, Legal, PSU with external partners)</li> <li>Make formal arrangements (conclude an agreement)/informal arrangements (written confirmation on cooperation) (CSGU, ICBU, Legal, PSU supported by Finance and Legal in the case of formal arrangements).</li> </ol> <p><b>2) Undertake cooperation activities</b></p> <ol style="list-style-type: none"> <li>Provide input on the agreed areas of cooperation <ol style="list-style-type: none"> <li>Draft required outputs (ICBU, CSGU, Legal, or PSU)</li> <li>Review and provide comments on outputs prepared by external partners</li> </ol> </li> <li>Attend meetings and teleconferences (ICBU, CSGU, Legal, or PSU)</li> <li>Participate in trainings, side-events, conferences organized by partners (ICBU, CSGU, Legal, or PSU supported by Finance).</li> <li>Approve the outputs of cooperation from Basel side (ICBU, CSGU, Legal, or PSU).</li> <li>Include information about outputs in the presentations, brochures, bulletins, etc. (ICBU, CSGU, PAO, PSU, IT).</li> </ol> <p><b>3) Wrap-up the cooperation</b></p> <ol style="list-style-type: none"> <li>Request endorsement of outputs of cooperation</li> </ol>	<p>The secretariat works in conjunction with UNEP Chemicals, ILO, WHO, GTZ, CIEL and SAICM, in the delivery of industrial chemicals pilot projects:</p> <p><b>1) Identify relevant partners</b></p> <p><b>2) Coordinate programme of work with partners, identify overlaps and synergies</b></p> <p><b>3) Initiate a cooperation with a partner</b></p> <ol style="list-style-type: none"> <li>Identify areas of mutual interest</li> <li>Agree on modality of cooperation</li> <li>Agree on the workplan</li> <li>Make formal arrangements (conclude an agreement)/informal arrangements (written confirmation on cooperation).</li> </ol> <p><b>4) Undertake cooperation activities</b></p> <ol style="list-style-type: none"> <li>Provide input on the agreed areas of cooperation</li> <li>Review the outputs and provide comments</li> <li>Attend meetings and teleconferences</li> </ol> <p><b>3) Wrap-up the cooperation</b></p> <ol style="list-style-type: none"> <li>Endorse outputs of cooperation</li> </ol>	
<p><b>Sub-process D: Organizing and conducting trainings, workshops, and webinars</b></p> <p><b><u>Basel (Work programme CHW.10/23/Add1):</u></b></p> <ul style="list-style-type: none"> <li>- Assist Parties implement and comply with their obligations (6 and 7)</li> <li>- Assist parties to enforce the Convention and combat illegal traffic (11)</li> <li>- Provide guidance and technical support to parties on technical issues (13)</li> <li>- Implementation Fund: assist developing countries subject to a submission to the Compliance Committee (7).</li> <li>- Activities 24, 25, 26, 34</li> </ul> <p><b><u>Rotterdam (Work programme, PIC/COP5-24/Add1):</u></b></p> <ul style="list-style-type: none"> <li>- Activity 8</li> </ul>		

<ul style="list-style-type: none"> <li>- Review content and components of resource kit, prepare new material and update key publications, and make available in electronic format; consider possible training opportunities (5).</li> <li>- Develop tools, including electronic ones, to identify and outline elements for national activities and strategies, including Secretariat helpdesk support, videoconferences, a comprehensive independent review and subregional hands-on training courses or meetings (12).</li> <li>- Develop programmes and provide training to assist Parties with specific issues upon their request; provide training focusing on basic obligations under the Convention, especially for new Parties and those experiencing difficulties (15)</li> <li>- Provide customs training activities (17).</li> </ul> <p><b><u>Stockholm (Work programme, decision SC-5/28):</u></b></p> <ul style="list-style-type: none"> <li>- Develop and implement a programme to facilitate and improve access to financial support and technical assistance (9), 11, 13,</li> <li>- Facilitate development and updating of national implementation plans (13), support parties in reviewing and updating NIPs for new POPs (33), 12</li> <li>- Cooperate with GEF and other donors to facilitate the delivery of financial assistance through regular communication with GEF, parties and others (8),</li> </ul> <p><b><u>Technical assistance: workplan for the biennium 2012–2013, decision RC-5/10; and decision RC-5/12, Enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm conventions):</u></b></p> <ul style="list-style-type: none"> <li>-Deliver sub-regional awareness-raising, training and elements of national plans workshops. (8).; Customs training activities, with possible linkages to relevant chemicals activities (13); Development of orientation workshop for the effective participation in the work of the CRC(14N)- Facilitating the preparation of notifications of final regulatory actions (12)</li> <li>- Undertake synergistic capacity-building activities designed to enhance cooperation and coordination among the Basel, Rotterdam and Stockholm conventions (1, 2, 3, 6, 10, 21).</li> <li>- Strengthen national capacities for industrial chemicals management through pilot projects (16)</li> </ul>		
<b>Component 1: Organizing and conducting trainings and workshops</b>		
<b>CONVENTION-SPECIFIC STEPS</b>		
<b>Basel</b>	<b>Rotterdam</b>	<b>Stockholm</b>
<b>1) Initiate the process (either internally or in consultation with partners (see sub-processes (C) and (G))</b> <ul style="list-style-type: none"> <li>a. Prepare a proposal with key training elements (ICBU or another Lead Unit and partner if appropriate)</li> <li>b. Agree on the dates (ICBU or other Lead Unit, consultation with internal and external partners, if appropriate)</li> </ul>	<b>1) Initiation</b> <ul style="list-style-type: none"> <li>a. Based on the activities identified in the technical assistance programme, share the activities to be done by the Rome secretariat and those to be done by the Geneva secretariat.</li> </ul>	<b>1) Initiation</b> <ul style="list-style-type: none"> <li>a. Based on the activities identified in the technical assistance programme and detailed planning, the TAU prepares a proposal (e.g. key training elements, target audience) to seek the interest of Stockholm/Basel Convention Regional Centres or other partners to organise the workshop and pencil down tentative dates.</li> <li>B. Once workshop dates have been agreed, the TAU will prepare a</li> </ul>

<p>c. Prepare a workplan (ICBU or other Lead Unit)</p> <p>d. Identify partners to participate / organize the workshop (ICBU or other Lead Unit, partners, if appropriate)</p> <p>e. Agree on arrangements for the organization and execution of a workshop / training (ICBU or other Lead Unit and partner if appropriate)</p> <p>f. Prepare the budget (ICBU or other Lead Unit, as well as Finance and partner, if appropriate)</p> <p>g. Conclude an agreement (ICBU or other Lead Unit, and Legal, Finance, partner if appropriate)</p> <p>h. Prepare / provide input to the invitations to participants (ICBU or other Lead Unit, Conference Services)</p> <p>i. Coordinate the registration of participants / confirm the list of participants (ICBU or other Lead Unit, Conference Services, partners if appropriate)</p> <p>j. Take corrective actions when necessary in case of changes in workshop dates and others and keep participants informed (ICBU or other Lead Unit, Conference Services, IT Officer if needed)</p> <p>k. Develop agenda and workshop materials (ICBU or other Lead Unit in consultation with relevant internal sources and external sources if appropriate)</p> <p>l. Prepare missions (ICBU or other Lead Unit, Admin and Finance)</p> <p><b>2) Deliver trainings/workshops</b></p> <p>a. Make presentations (ICBU or other Lead Unit + partner if appropriate)</p> <p>b. Provide advice on technical issues (ICBU or other Lead Unit)</p> <p>c. Contribute to the development of recommendations and the workshop report (ICBU or other Lead Unit)</p> <p>d. Coordinate the evaluation of the</p>	<p>b. Identify which Parties to benefit and which countries to host the workshops. Also if regional workshops, which Basel/Stockholm regional centers can assist.</p> <p>c. Once the dates are set and the venues use the workshop planner software to detail when to do what activity. – information posted on website.</p> <p>d. In collaboration with the partner and the assistance of the Finance and Legal units, prepares a memorandum of understanding (MOU) that includes a budget. The MOU clarifies the roles and responsibilities of the partner and the secretariat, and specifies the meeting requirements.</p> <p><b>2. Invitation / registration of participants</b></p> <p>a. In collaboration with the programme assistants (admin and/or JCS), send the invitations out to DNAs- participant registrations.</p> <p>b. Confirmation letters and related information sent to confirmed participants.</p> <p>c. Organize participants' travel.</p> <p><b>3) Development of agenda and workshop materials</b></p> <p>a. In collaboration with the partner, develop and update the agenda. Coordinate the development of workshop materials.</p> <p>b. Organize the shipment of materials.</p> <p><b>4) Delivery of workshops</b></p> <p>Make presentations, facilitate discussions and</p>	<p>Work plan and a checklist for the specific workshop to ensure an effective organisation and planning of related activities. Templates of a work plan and a checklist are listed in Annex I and II (on pages 4-11).</p> <p>c. In addition, an announcement is posted on the website to communicate on the details of the new activity.</p> <p><b>2) Agreement and budget</b></p> <p>a. The TAU, in collaboration with the partner and the assistance of the Finance and Legal units, prepares a memorandum of understanding (MOU) that includes a budget. The MOU clarifies the roles and responsibilities of the partner and the secretariat, and specifies the meeting requirements.</p> <p><b>3) Invitation / registration of participants</b></p> <p>a. The TAU, in collaboration with the programme assistants (admin and/or JCS), sends the invitations out and takes care of participant registrations. Based on decision SC-2/16, nominations to workshops by means of registration forms have to be sent through the official channels, i.e. through the official contact point (for the performance of administrative functions and formal communication under the Convention) or the Ministry of Foreign Affairs/Permanent Missions.</p> <p>b. After the registration deadline, confirmation letters, including Participants' Information Notes, are sent out by the programme assistants (admin) to the participants officially confirmed.</p> <p>c. The programme assistants (admin and/or JCS) then organise participants' travel. When the travel is outsourced, a list of confirmed participants is sent to the partner. The latter takes care of buying and confirming flight itineraries to participants directly.</p> <p>d. A specific registration tracking file is used to monitor this step.</p> <p><b>4) Development of agenda and workshop materials</b></p> <p>a. The TAU, in collaboration with other units (e.g. teams 2, 3 and 4), as appropriate, and with the partner, updates the agenda and coordinates the development of and/or elaborate workshop materials (e.g. presentations, exercises).</p> <p>b. The TAU, with relevant programme assistants (Admin and/or JCS), organises the shipment of materials.</p> <p><b>5) Mission preparation</b></p>
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<p>workshops (ICBU or other Lead Unit)</p> <p><b>3) Follow-up actions</b></p> <ul style="list-style-type: none"> <li>a. Finalise recommendations and prepare follow-up activities (Lead Unit in con</li> <li>b. sultation with internal sources, participating stakeholders and partners)</li> </ul> <p><b>4) Disseminate the results of the workshops (update the website)</b></p> <ul style="list-style-type: none"> <li>a. Write texts with project information for uploading on the website (ICBU or other Lead Unit, PAO, IT Officer)</li> <li>b. Write texts with project information for the Basel Bulletin, leaflet and other publications (ICBU or other Lead Unit, PAO, information officer, legal)</li> </ul>	<p>exchanges among participants, and answer questions. Evaluate workshop.</p> <p>-Prepare an analytical report and mission report plus proceedings of the workshop.</p>	<p>The TAU, with relevant programme assistants (Admin and/or JCS), helps prepare the travel of the staff on mission (e.g. travel plan). The TAU also prepares country profiles. This information is intended to help the staff increase her/his knowledge on the status of implementation of the Convention in the countries participating in the workshop.</p> <p><b>6) Delivery of workshops</b></p> <p>During the workshop, the relevant programme officers on mission make presentations, facilitate discussions and exchanges among participants, and answer questions. The programme officers are expected to contribute to the development of the workshop report (only composed of conclusions and recommendations) which is usually prepared by the partner (regional centers). The officers invite participants to fill out the workshop evaluation forms and bring them back to the office.</p> <p><b>7) Follow up</b></p> <p>The programme officers on mission develop and circulate to the SSC a mission report with possible recommendations to take as a follow-up to the workshop.</p> <p>The TAU updates the website with all workshop presentations, the workshop report and pictures. This is usually done by interns with the support of IT team. The TAU evaluates the success /effectiveness of the activity by analyzing the evaluation forms and by updating dedicated databases on TA activity evaluation</p>
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## Component 2: Organizing and conducting webinars

### CONVENTION-SPECIFIC STEPS

Basel	Rotterdam	Stockholm (extracted from previous submission from MB)
<ol style="list-style-type: none"> <li>1) Serve as a resource person in webinars organized by SSC</li> <li>2) Organize webinars for COP10 <ol style="list-style-type: none"> <li>a. Prepare the content (CSGU with support from ICBU)</li> <li>b. Provide logistical support (SSC)</li> </ol> </li> </ol>	<ol style="list-style-type: none"> <li>1) Participate in webinars with Parties in projects delivered in conjunction with partners (WHO) and Parties having difficulty with certain aspects of the implementation of a project.</li> <li>2) Develop presentation and have it internally reviewed before webinar.</li> <li>3) Identify the speakers(s) and agree on the roles within the team.</li> </ol>	<p><b>1) Initiation</b></p> <ol style="list-style-type: none"> <li>a. Identify topics of the webinars: <ul style="list-style-type: none"> <li>- The topics of the webinars are either suggested by the Technical assistance team or by other members of the Secretariat.</li> </ul> </li> <li>b. Develop a concept note with key information about the planned webinars <ul style="list-style-type: none"> <li>- A concept note is developed explaining the background, objectives, target group,</li> </ul> </li> </ol>

	<p>4) Organize the registration process.</p>	<p>content and schedule</p> <p>c. Identify the speakers(s)</p> <p><b>2) Planning</b></p> <p>a. The TA team develops a calendar of suggested webinars with all proposals received by colleagues</p> <p>b. Once the schedule is approved by the Technical assistance coordinator, the dates of the webinars are confirmed to the submitting colleagues.</p> <p>c. the TAU works on identifying who does what (updating the Webinar's to do list): presenter, facilitator, technical support, lead for developing presentation, deadline for finalised presentation, deadline for registration, and deadline for sending out of invitation.</p> <p><b>3 Advertising</b></p> <p>a. Announce the webinars in relevant fora (newsletter, website, Chemicals-L, other email lists) usually done by TAU staff.</p> <p><b>4. Registration and logistics</b></p> <p>a. The person in charge of registrations (usually an intern) tracks the registrations and compiles them in a table, sends out acknowledgement emails (and if 5 days before the webinar, registration is low, sends out a reminder email). Two days after the registration deadline, the person sends out an invitation email to the registered participants with the User's guide in PDF, the webinar agenda and the list of participants. One day later, the person sends out a reminder to all invited participants, and again one hour before the webinar starts.</p> <p><b>5. Materials development</b></p> <p>a. Presenters (incl. Technical Teams and TAU) develop the presentation, which is revised by the TA team the week before the webinar at latest.</p> <p><b>6. Conduct the webinars</b></p> <p>a. The webinar is set up one hour before the session by the TA team (usually the technical support person), and relevant documents are distributed to the presenter who joins fifteen minutes before the session: list of participants, script for question and answer session.</p> <p>b. The webinar takes place: the introduction session (5 minutes) is facilitated by the TA team, allowing for each participant to present her or himself, and covering the agenda and objectives of the session.</p> <p>c. Then the presentation takes place (20-25 minutes), sometimes in conjunction</p>
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		<p>with an expert outside of the secretariat to supplement additional information.</p> <p>d. The questions and answer session (20 minutes) is then followed by the conclusion (5 minutes), during which the presentation is shared as well as some announcements made about what will be sent by email after the session.</p> <p><b>7. Follow up</b></p> <p>a. Once the session is over, the facilitator gives the list of effective participants to the person in charge of registration, who sends out an email with the presentation in PDF as well as an invitation to join the POPs Social on the related Forum theme and an evaluation form to send feedback about the webinar.</p> <p>b. The technical support person collects the recording and transcribes the questions (compiled into a Frequently Asked Questions from the different sessions), which is reviewed by the presenter, the TA team, Legal (upon request) and then posted with the recording on the website and in the POPs Social relevant Webinar Forum.</p>
<p><b>Sub-process E: Developing guidance documents, resource toolkit and electronic training tools</b></p> <p><b><u>Basel (Work programme CHW.10/23/Add1):</u></b></p> <ul style="list-style-type: none"> <li>- Assist the Implementation and Compliance Committee to implement its work programme (6)</li> <li>- Implementation fund: assist developing country parties or parties with economies in transition subject to a submission (7)</li> <li>- Assist Parties to enforce the Convention and to combat illegal traffic (11)</li> <li>- Develop and upgrade toolkit and electronic training tools (35), 26, 32, 33</li> <li>- Provide guidance and technical support to parties on technical issues (13)</li> <li>- Coordinate and support the implementation of strategic framework (18)</li> <li>- Coordinate and provide support in relation to the Indonesian-Swiss country-led initiative (19)</li> <li>- Develop and upgrade toolkit and electronic training tools (35), 26, 32, 33</li> <li>- Facilitate and oversee the development of technical guidelines, manuals and tools on technical aspects of the ESM of hazardous and other wastes (12)</li> <li>- Support Parties' implementation of the life-cycle approach to chemicals management, update the general technical guidelines on ESM of POPs waste to include new POPs (14 (S7))</li> <li>- Coordinate and provide support to Parties in the development of a certification system and formulation of standards in relation to the CLI (19)</li> <li>- Publications: Produce and disseminate legal and technical publications (44 (S14))</li> </ul> <p><b><u>Rotterdam (Work programme, PIC/COP5-24/Add1): 5, 12</u></b></p> <p>- Develop programmes and provide training to assist Parties with specific issues upon their request; provide training focusing on basic obligations under the Convention, especially for new Parties and those experiencing difficulties; consider the development of electronic training tools, where relevant (under resource kits) (15)</p> <p><b><u>Stockholm (Work programme, decision SC-5/28):</u></b></p> <ul style="list-style-type: none"> <li>- Develop and upgrade toolkit and electronic training tools (16s), 13, 33</li> <li>- Update the general technical guidelines on the environmentally sound management of persistent organic pollutant waste to include new persistent organic pollutants (POPs) (19 S (S7))</li> <li>- Publications: Produce and disseminate legal and technical publications (22 S (S14))</li> </ul>		

CONVENTION-SPECIFIC STEPS		
Basel	Rotterdam	Stockholm (the process below has been built on from the process “Technical guidance documents and technical papers” identified under the sub-group Scientific and Technical Issues.)
<p><b>1) Initiate the process (either internally or in consultation with partners (see sub-processes (c) and (G))):</b></p> <ul style="list-style-type: none"> <li>a. Identify the needs to be addressed by the tools (Lead Unit, ICBU, CSGU, PSU, Legal, partners) <ul style="list-style-type: none"> <li>i. Review specific requests by Parties or possibly review invitation from partner or expert group or subsidiary body (ICC) OR</li> <li>ii. Review the COP decision OR</li> <li>iii. Review the project document (which included this sub-process as an activity)</li> </ul> </li> <li>b. Identify funding for the preparation of guidance documents / resource toolkit / electronic training tools (Lead Unit, ICBU, Finance, partner)</li> <li>c. Develop TORs and methodology for developing required outputs (Lead Unit, ICBU, PSU, Legal, external partners)</li> <li>d. Develop workplan (Lead Unit, ICBU, CSGU, PSU, Legal, external partners)</li> <li>e. Coordinate the TORs and workplan with other two secretariats for overlaps and synergies</li> <li>f. Make legal and financial arrangements (if needed) (Lead Unit, ICBU, CSGU, PSU, Legal, and Finance)</li> <li>g. Agree on the responsibilities internally and externally (Lead Unit, ICBU, CSGU, PSU, Legal, external partners)</li> <li>h. Make administrative arrangements for engaging consultant(s) if needed (ICBU, CSGU, PSU, Legal, Finance, partner).</li> </ul>	<p><b>1) Initiate the process:</b></p> <ul style="list-style-type: none"> <li>a. Make needs assessment following the analysis of existent documents and requests from Parties</li> <li>b. Identify funding for the preparation of guidance documents - consultants / resource toolkit / electronic training tools</li> <li>c. Develop TORs and methodology for developing required outputs</li> <li>d. Develop workplan</li> </ul> <p><b>2) Execution</b></p> <ul style="list-style-type: none"> <li>a. Organize drafting/work groups meetings</li> <li>b. Coordinate intersessional work if any</li> <li>c. Supervise work of consultants</li> <li>d. Coordinate review and revision of drafts</li> <li>e. Arrange for translation and printing, if necessary.</li> <li>f. Pilot test the results</li> </ul>	<p><b>1) Approval</b></p> <ul style="list-style-type: none"> <li>a. Develop concept document/project brief/TOR</li> <li>b. Obtain endorsement from relevant bodies</li> </ul> <p><u>Leads:</u> Technical teams, Legal</p> <p><b>2) Initiation</b></p> <ul style="list-style-type: none"> <li>a. Elaborate project proposal/document</li> <li>b. Mobilise resources</li> <li>c. Coordinate with partners</li> <li>d. Gather information from Parties and observers</li> <li>e. Develop contracts/ agreements/MoUs/documents</li> </ul> <p><u>Leads:</u></p> <ul style="list-style-type: none"> <li>a., c and d. Technical teams, Legal</li> <li>b. Resource mobilisation; finance admin</li> <li>e. Legal, finance admin with technical team involvement</li> </ul> <p><b>3) Execution</b></p> <ul style="list-style-type: none"> <li>a. Organize drafting/work groups meetings</li> <li>b. Coordinate intersessional work if any</li> <li>c. Supervise work of consultants</li> <li>d. Coordinate review and revision of drafts</li> </ul>

<p><b>2) Develop the guidance documents, resource toolkit and electronic training tools (either internally or in consultation with partners (see sub-processes (C))</b></p> <ul style="list-style-type: none"> <li>a. Identify and select publications and other materials relevant to the preparation of the guidance documents, resource toolkit and electronic training tools (Lead Unit, ICBU, CSGU, PSU, Legal, information officer, partner, consultant)</li> <li>b. Draft / provide input into the drafting process (Lead Unit, ICBU, CSGU, PSU, Legal, partners, consultant)</li> <li>c. Liaise with relevant internal/external sources to collate and provide relevant existing materials</li> <li>d. Arrange consultations on draft outputs (Lead Unit, ICBU, CSGU, PSU, Legal, external partners)</li> <li>e. Finalize the content of guidance documents / resource toolkit / electronic training tools (Lead Unit, ICBU, CSGU, PSU, Legal, external partners)</li> <li>f. Obtain an approval of guidance documents / resource toolkit / electronic training tools (internal or external partners)</li> <li>g. Make available depending on the format: hard copy publication, online tool (Lead Unit, ICBU, CSGU, PSU, Legal, PAO, information officer, external partners)</li> <li>h. Translate into other languages: <ul style="list-style-type: none"> <li>i. Hire a consultant OR</li> <li>ii. In-house OR</li> <li>iii. Conclude an agreement with BCRC</li> </ul> </li> <li>i. Raise awareness about the final output (information on the website, distribute to target audience, etc.) <ul style="list-style-type: none"> <li>i. Post the final outputs on the website (Lead Unit, ICBU, CSGU, PSU, legal, PAO, IT)</li> <li>ii. Include information about outputs in the presentations, brochures, bulletins, etc. (Lead Unit, ICBU, CSGU, PAO, PSU).</li> </ul> </li> </ul>		<ul style="list-style-type: none"> <li>e. Arrange for copy-editing of final draft</li> <li>f. Coordinate process to gather comments on final draft and to incorporate comments</li> <li>g. Coordinate endorsement process by relevant bodies</li> <li>h. Arrange for translation</li> <li>i. Arrange for printing</li> </ul> <p><u>Leads:</u></p> <ul style="list-style-type: none"> <li>a., b. c. d., f., g. Technical teams, with involvement of Legal on a and g. and Admin on a. e. and h. Admin</li> <li>i. Publications unit</li> </ul> <p><b>4) Closure</b></p> <ul style="list-style-type: none"> <li>a. Arrange for dissemination of document</li> <li>b. Report on completion of document/project to relevant body</li> <li>c. Financial/project reporting</li> </ul> <p><u>Leads:</u></p> <ul style="list-style-type: none"> <li>a. Documents shipping, web posting</li> <li>b. POs</li> <li>c. Fundraising, finance admin</li> </ul> <p><b>5) Follow up</b></p> <ul style="list-style-type: none"> <li>a. Publish awareness raising materials</li> <li>b. Develop training material/activities related to document</li> <li>c. Initiate update of document as necessary</li> </ul> <p><u>Leads:</u></p> <ul style="list-style-type: none"> <li>a. Publications unit</li> <li>b. Technical assistance</li> <li>c. POs</li> </ul>
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<p><b>3) Follow-up actions</b></p> <p>a. Pilot test the guidance documents, resource toolkit and training tools (Lead Unit, ICBU, CSGU, PAO, PSU, IT, external partners).</p> <p><b>4) Revise the content based on lessons learned from the pilot testing</b> (Lead Unit, ICBU, CSGU, PAO, PSU, external partners).</p>		
<p><b>Process F: Providing assistance to Parties on the implementation of the Conventions</b></p> <p><b><u>Basel (Work programme CHW.10/23/Add1):</u></b></p> <ul style="list-style-type: none"> <li>- Provide general and legal policy advice to Parties (9)</li> <li>- Assist parties to clarify the scope of application of the Basel Convention to ship recycling (10)</li> <li>- Assist parties to enforce the Convention and combat illegal traffic (11)</li> <li>- Coordinate and support the implementation of strategic framework (18)</li> <li>- Coordinate and provide support in relation to the Indonesian-Swiss country-led initiative (19)</li> </ul> <p><b><u>Rotterdam (Technical assistance: workplan for the biennium 2012–2013, decision RC-5/10; and decision RC-5/12, decision RC-5/14 Enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm conventions):</u></b></p> <ul style="list-style-type: none"> <li>- Provide general and legal policy advice to Parties(36)</li> <li>- Assist Parties in whatever specific need they have to strengthen their capacities and capabilities to meet their obligations under the convention.</li> </ul> <p><b><u>Stockholm (Work programme, decision SC-5/28):</u></b></p> <p>Activities 9, 13, 33 Provide general and legal policy advice to parties (39)</p>		
Basel	Rotterdam	Stockholm
<p><b>1) Receive a request for guidance and technical support</b></p> <p>a. Receive request or information from Party or other stakeholder e.g. regional centre Liaise with appropriate person to identify issues and ensure exchange of information or clarification about request, if needed</p> <p>b. Make any necessary arrangements to receive formal request if received by informal means e.g. involving focal point if request from other entity, completion of form for confirmed cases of illegal traffic, confirmation with Party as to whether it wishes to make art. 3, 4 notification etc.</p> <p><b>2) Undertake consultations with the requesting Party</b></p> <p>a. Liaise directly with the Party Involve other</p>	<p><b>1) Receive a request for guidance and technical support</b></p> <p>a. Receive request from Party or other stakeholder e.g. regional centre</p> <p>b. Liaise with appropriate person to identify issues and ensure exchange of information or clarification about request, if needed</p> <p>c. Make any necessary arrangements to receive formal request if received by informal means e.g. involving focal point if request from other entity</p> <p><b>2) Undertake consultations with the requesting Party</b></p> <p>a. Liaise directly with the Party</p> <p>b. Involve other relevant national and/or regional stakeholders, if appropriate e.g. regional centre</p>	<p><b>1) Receive a request for guidance and technical support</b></p> <p>a. Receive request from Party or other stakeholder e.g. regional centre</p> <p>b. Liaise with appropriate person to identify issues and ensure exchange of information or clarification about request, if needed</p> <p>c. Make any necessary arrangements to receive formal request if received by informal means e.g. involving focal point if request from other entity</p> <p><b>2) Undertake consultations with the requesting Party</b></p> <p>a. Liaise directly with the Party</p> <p>b. Involve other relevant national and/or regional stakeholders, if appropriate e.g. regional centre</p>

<p>relevant national and regional stakeholders, if appropriate e.g. regional centre</p> <p><b>3) Undertake consultations with the relevant internal and external actors</b></p> <p>a. Liaise with staff as necessary</p> <p>b. Liaise with other external stakeholders e.g. BCRCs, UNEP etc.</p> <p>c. In cases of illegal traffic, communicate all information to Parties concerned as soon as possible</p> <p><b>4) Provide response to Party</b></p> <p>a. Provide guidance and technical support directly from Secretariat</p> <p>b. In the case of formal notifications, prepare and circulate general communications, as well as make available on website</p> <p>c. Initiate cooperation with and/or between relevant national and regional stakeholders, if appropriate</p>	<p><b>3) Provide response to Party</b></p> <p>a. Provide guidance and technical support directly from Secretariat</p> <p>b. Initiate cooperation with and/or between relevant national and regional stakeholders, if appropriate</p> <p>c. Coordinate and support assistance from other stakeholders, including follow up actions as may be required e.g. through involvement in a project, targeting training, developing guidance etc.</p>	<p><b>3) Provide response to Party</b></p> <p>a. Provide guidance and technical support directly from Secretariat</p> <p>b. Initiate cooperation with and/or between relevant national and regional stakeholders, if appropriate</p> <p>c. Coordinate and support assistance from other stakeholders, including follow up actions as may be required e.g. through involvement in a project, targeting training, developing guidance etc.</p>
<b>Process 3: Monitor and evaluate technical assistance / capacity-building programmes</b>		
<b>CONVENTION-SPECIFIC STEPS</b>		
<b>Basel</b>	<b>Rotterdam</b>	<b>Stockholm</b>
<p>- Undertake internal evaluation by reviewing within the Secretariat the achievements and results</p> <p>- Secretariat reports to subsidiary bodies and COP for evaluation and adoption of further decisions as necessary</p> <p>- Undertake external evaluation upon requests from COP</p>	<p>- Undertake internal evaluation by reviewing the achievements and results (OR)</p> <p>- Undertake external evaluation by hiring an independent consultants</p>	<p><b>1)</b> TAU evaluates and monitors the effective delivery of technical assistance activities and revises the TA programme every six months.</p> <p>a. For workshops and webinars keep track of participant attendance, satisfaction/evaluation on activities, budget / expenditures. (carried out by programme officers or interns)</p> <p><b>2)</b> TAU prepares evaluation reports relating to the technical assistance programme to be submitted for consideration to the Conference of the Parties, or to be submitted to donors upon request/requirements.</p>

Cluster 2: Regional centers		
<p><b>Process: Coordination for effective functioning of regional centers</b></p> <p><b>Basel (Work programme CHW.10/23/Add1):</b></p> <ul style="list-style-type: none"> <li>- Effective and coordinated operations of regional centers, cooperation and coordination with other regional centers (15).</li> <li>- Annual joint meetings to exchange experiences and improve cooperation in implementing elements of technical assistance (16).</li> <li>- South-South cooperation: Basel, FAO and UNEP regional centers address priority issues (17).</li> </ul> <p><b>Rotterdam (Work programme, PIC/COP5-24/Add1):</b></p> <ul style="list-style-type: none"> <li>- Facilitate South-South cooperation through the regional centers (20).</li> </ul> <p><b>Stockholm (Work programme, decision, SC-3/12, SC-4/23, SC-5/21, SC-5/28):</b></p> <ul style="list-style-type: none"> <li>- Submission of biennial workplans by the centres to the Secretariat</li> <li>- Submission of activity reports to the Secretariat</li> <li>- Development of methodology for the evaluation of the performance and the sustainability of the regional centres</li> <li>- Prepare a report on the activities of the regional centres for the consideration of the COP</li> <li>- Prepare a verification report of the nominated centres for their possible endorsement by the subsequent COP</li> <li>- Promote coordination and collaboration among the centres located in the same region</li> <li>- Annual joint meetings to address priority regional issues (20NS).</li> <li>- South-South cooperation: Basel, FAO and UNEP regional centers address priority issues (21NS).</li> </ul>		
CONVENTION-SPECIFIC STEPS		
Basel	Rotterdam	Stockholm
<ol style="list-style-type: none"> <li>1. Ensure that all institutional arrangements are in place for regional centre (see Note at end of document) (CSGU, Legal, Finance).</li> <li>2. Facilitate information exchange and communications between/with regional and coordinating centres / offices to enhance programmatic cooperation and coordination (CSGU)</li> <li>3. Offer support to and facilitate activities of the regional and coordinating centres to better coordinate, organize a more comprehensive technical assistance and capacity building programme on a global level for Parties e.g. participate in correspondence and projects, meetings and other communications, review information on results of such cooperation (CSGU).</li> </ol>		<ol style="list-style-type: none"> <li>1) <b>Selection process</b> <ol style="list-style-type: none"> <li>a. Regional representative in the bureau submit the nomination of existing institution for regional centre</li> <li>b. The nominated centre provides information on the expertise and institutional profile in prescribed format</li> <li>c. Secretariat in collaboration with the bureau verifies that the nominated centre meets the criteria</li> <li>d. The COP takes decision on the endorsement of the centre</li> </ol> </li> <li>2) <b>Workplan preparation</b> <ol style="list-style-type: none"> <li>a. Regional centre in consultation with Parties prepares their biennial work plans</li> <li>b. Workplans are submitted to relevant Parties for</li> </ol> </li> </ol>

<p>4. Facilitate and support the development of Business Plans for the regional centres (CSGU)</p> <p>5. Prepare reports to COP and subsidiary bodies on technical assistance activities carried out by and with the regional and coordinating centres (see Cluster 1: Process 2)</p>		<p>endorsement</p> <p>c. Endorsed workplans are submitted to the Team 3 before the deadline specified by COP</p> <p>d. The Workplans are published in the Convention's webpage for the consultation of the stakeholders</p> <p>3) <b>Activity reporting</b></p> <p>a. Regional centres submit the activity reports to the Secretariat before the specified deadline</p> <p>b. Team 3 compiles the reports thus received for COP to consider</p> <p>4) <b>Evaluation of performance and sustainability</b></p> <p>a. Based on the information provided in the reports, the Secretariat prepares the evaluation report for COP to consider</p> <p>b. COP, based on the evaluation report may consider on the re/endorsement of the centre for further</p> <p><b>5) Promoting cooperation and coordination among the centres</b></p> <p>a. Annual meeting of the regional centres including the BCRC and FAO regional offices is organized to promote:</p> <ul style="list-style-type: none"> <li>- Sharing experiences/best practices</li> <li>- Cross fertilizing of ideas</li> <li>- Promoting south -south cooperation</li> <li>- Regional coordination in delivering technical assistance by the centres.</li> </ul> <p>i. Thematic group on regional centre comprising representatives from SC (PO regional centre), BC(PO governance/ regional centre), RC (PO TA - PIC Geneva and PO TA - PIC Rome) initiates the discussion on organizing this meeting</p> <p>ii. Task to develop concept note, meeting agenda, meeting logistics and resources planning etc are distributed among the thematic group members</p> <p>iii. Consultations are held with other relevant people within the respective secretariats</p> <p>iv. MOU is prepared and agreed upon if the regional centres are requested to organize such a meeting OR</p> <p>v. JCS support is requested if the meeting is to be organized by the secretariat</p> <p>vi. Meeting report is prepared by the relevant PO and published in the Convention's webpage</p>
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**Note:**

During the discussion within the group, several issues have been identified as relevant to the technical assistance work however they would not fit into the scope of what the technical assistance group was requested to do. These issues appear to refer to processes related to governance, policy, legal, institutional, strategic and political aspects of the work of the secretariats. The group therefore wishes to bring to the attention of the Chair of the Task Force on Restructuring to, *inter alia*, the following issues:

- Financial mechanism of the Stockholm Convention (e. g. activity 7N of the programme of work on Review of the financial mechanism) and work related to institutional aspects of this mechanism
- Resource mobilization (in a general sense, e.g. related to the resource mobilization for the secretariats)
- Institutional and legal aspects of activities related to cooperation with partners (e.g. institutional arrangements for establishing partnerships and international cooperation/coordination with other entities – establishing rules for partnerships, entering into Letters of Agreement/Memoranda of Understanding etc.)
- Supporting and implementing decisions of the COP on processes and analysis required in support of the operation and assessment of the Stockholm Convention financial mechanism
- Supporting and facilitating stakeholder dialogues to address and discuss financial issues and other issues mandated by the COP and specific to the Stockholm Convention (finance and non-compliance)
- Finance committee and compliance under the Stockholm Convention and implications of its activities for the technical assistance

**Annex I: General comments from Michael Stanley-Jones**

Dear Tatiana,

Thank you for this near-final compilation. With respect to Public awareness and outreach and Knowledge Management - captured as 'Outreach' and 'IT' in the table, the exercise reveals a remarkable fragmentation of responsibility among core functions of our Secretariat.

To give one example, during initiation of projects, as reported by SBC at task k. Prepare webpages with project information and undertake other communication-related actions, this activity is shared by ICBU, publication officers, IT officers, and, if appropriate, legal and partners.

Similarly, in the Dissemination of project results through the website, leaflets, brochures, publications, etc., responsibilities are shared between ICBU, Public awareness and Outreach, legal, IT.

Whereas, developing the webpage matrix is done by Outreach and IT, writing texts with project information for uploading in the website is done by ICBU, and writing texts with project information for the Basel Bulletin and other publications e.g. press releases is done by ICBU and information officers.

"Other activities" are unassigned but presumably important enough to bear mentioning.

Under Sub-process A: Preparing and implementing projects, citing Rotterdam practices, sub-regional awareness-raising is given as a element of national plans workshops. The audience for this activity would primarily be Government officials, a use of the term which dissolves the distinction between technical assistance - typically aimed at officials - and Public awareness and outreach, which as the name suggests is aimed at a different audience.

For Rotterdam and Stockholm under c. Disseminate project results through the website, leaflets, brochures, publications, etc., these tasks are assigned to Pos and IT teams, without mention of PAO.

Even were we to fill in the responsibilities of the public awareness and outreach team in the various tasks where they are missing, such fragmentation suggests that Public awareness and outreach and

KM/IT are either treated as ancillary to technical assistance and capacity building - afterthoughts tacked on to core activities of these technical functions - or are activities being mislabelled as outreach.

Reporting, information exchange, Capacity-building, Training - there are a few of the terms that might better be used to represent essentially technical assistance activity which has little or no bearing on communication with the wider public.

The function of Public awareness and outreach is an essential part of our mandates and work programmes. The division of the sub-groups of the present task force, however, which does not recognize PAO as a primary responsibility of the Secretariats and in some cases reduces it through misappellation to other categories, fails to respect these mandates. Distributing or disguising the function as a "cross-cutting" one risks PAO and IT being lost in the consideration by our senior management of how best to organize the core functions of the Secretariat.

I have participated in two sub-groups which suffer from the same neglect of the so-called "cross-cutting" processes and in each, outreach and IT have the nature of being tacked on or are fragmented in the analysis. ("Knowledge management" hasn't, as far I have observed, even been mentioned.)

In some cases, the reports of fragmentation are accurate in as much as PAO, including publications, has not been systematically organized or addressed by the 3 secretariats, which often act in an ad hoc and un-synergistic fashion. The failure to define a common publication style or brand, for instance, or to follow UNEP publication standards (Green Dot), may be mentioned in this respect. Unnecessary and costly multiplication of visual identities at meetings and in outreach materials is another example.

Addressing these evident inefficiencies, duplication of services and lost opportunities for communication requires looking at Public information and Outreach and Knowledge Management/IT as holistic processes and not as occasional, fragmented sub-features of other core processes.

The efforts of the TA sub-group have helped uncover this weakness in the disaggregation of core Secretariat functions and has therefore provided a useful service to the process, for which I express gratitude.

We are still in the early stages of our review of processes, functions and responsibilities. I appreciate the sincere effort your sub-group has made which has helped bring these to light.

Kind regards,

Michael

## E. Subgroup on administration and finance

Restructuring Task Force  
Sub/Sub-group on Administration and Conference Services  
7 December 2011

### 1. Summary of activities and recommendations

#### General

As a first step the sub/sub-group did an inventory of current functions performed by the administration and conference services groups which is captured in the attached documents (Annex 1 and 2).

During the discussion in the sub/sub-group different options were discussed and presented to the Task Force group who favored option A.

However, it was clear during the TF deliberations that the other options could be considered such as moving some of the functions to both the Conventions Operations Branch and Technical Assistance Branch, see below options.

Also note that the TF agreed that the function related to "Meeting document management" be moved to the Conventions Operations Branch.

The components related to finance & budget, human resources and general administration were seen as clear parts of the Administrative Services Branch.

The sub/sub-group also discussed the title of the Administrative Services Branch and came up with two other proposals that reflect all parts of the branch:

- Conventions Support Branch or
- Support Services Branch

#### Summary of options for consideration (not in preferential order)

#### **Option A: All functions of the Conference Services as part of the Administrative Services Branch**

##### Including the following functions related to Conference Services:

- Participant's management for COP's and subsidiary bodies;
- Participant's management for workshops and meetings;
- Management of Logistics; and
- Management of translation and proof-reading services.

#### **Option B: Partial functions of the Conference Services as part of the Administrative Services Branch**

##### Including the following functions related to Conference Services:

- Participant's management for COP's and subsidiary bodies;
- Management of Logistics; and
- Management of translation and proof-reading services.

#### Remarks:

- We are taking note of the synergy decision on joint services "saves costs on support services and moves resources towards assistance for the implementation of the three Conventions"

#### **Option C: Partial functions of the Conference Services as part of the Conventions Operations Branch**

Including the following functions related to Conference Services:

- Participant's management for COP's and subsidiary bodies

Remarks:

- We are taking note of the synergy decision on joint services "saves costs on support services and moves resources towards assistance for the implementation of the three Conventions"

**Option D: Partial functions of the Conference Services as part of the Technical Assistance Branch**

Including the following functions related to Conference Services:

- Participant's management for workshops and meetings

Remarks:

- We are taking note of the synergy decision on joint services "saves costs on support services and moves resources towards assistance for the implementation of the three Conventions"

Annex:

1. Summary list of all functions related to the administration and conference services areas
2. Detailed list of functions related to the administration and conference services areas

## 2. Summary list of functions related to the administration and conference services areas

Summary list of all the functions pertaining to the administration and conference services areas (see further detailed list of functions in document “7_functions related to admin, finance and conference services”)
<b><u>Overall functions:</u></b> <ul style="list-style-type: none"> <li>• Finance and budget component (1 to 4)</li> <li>• Human Resource component (5)</li> <li>• Administration component (6 to 8)</li> <li>• Conference Services component (9 to 14)</li> </ul>
<b><u>Detailed functions:</u></b>
<b><u>Finance and budget component</u></b> <ol style="list-style-type: none"> <li><b>1. Budget</b> - Plan, organize and manage the preparation of the programme of work and annual budgets.</li> <li><b>2. Finance</b> - Management and monitoring of the Conventions Funds and expenditures</li> <li><b>3. Project management including legal instruments</b> - Management and monitoring project implementation</li> <li><b>4. Audit</b> Facilitate internal and external audits</li> </ol> <b><u>Human Resource component</u></b> <ol style="list-style-type: none"> <li><b>5. Human Resources</b> - Management of staff related issues including consultants and interns</li> </ol> <b><u>Administration component</u></b> <ol style="list-style-type: none"> <li><b>6. Administration</b> - Procurement and inventory</li> <li><b>7. Staff travel</b></li> <li><b>8. Office space</b></li> </ol> <b><u>Conference and Correspondence Services component</u></b> <ol style="list-style-type: none"> <li><b>9. Participant’s management of COPs and subsidiary bodies</b></li> <li><b>10. Participant’s management of workshops and meetings</b></li> <li><b>11. Management of logistics</b></li> <li><b>12. Meeting document management</b></li> <li><b>13. Management of translation and editing service</b></li> <li><b>14. Performing protocol functions</b></li> </ol>

### 3. Detailed list of functions for the admin unit of the Basel, Rotterdam and Stockholm Secretariat

(as of 14 November 2011)

Functions	Process by SBC	Process by SRC	Process by SSC	Process by JCS
<b><u>Finance and Budget component</u></b>				
<b><u>Budget</u></b>	X	X	X	<p>Plan, organize and manage the preparation of the programme of work and annual budgets. (shared with tech. teams)</p> <ul style="list-style-type: none"> <li>a) Review, analyse and finalize the POW on the basis of technical units submissions in harmonized format ensuring its coherence;</li> <li>b) Ensure that legislative mandates are accurately translated into POW</li> <li>c) Review, analyse and finalize cost estimates and budget proposals, in terms of staff and non-staff requirements;</li> <li>d) Provide detailed input with respect to resource requirements for budget submissions;</li> <li>e) Prepare coordinated answers and responses to questions/comments and observations raised by Parties;</li> <li>f) Prepare financial reports and substantive reports on financial and administrative matters and make presentations as and when required;</li> <li>g) Manage the allotments (UNON) and sub-allotments (UNOG); prepare monthly reports to the respective sections on the status of the expenditures;</li> <li>h) Prepare revisions for updates on changes in the utilization of funds during the year;</li> </ul>
<b><u>Finance</u></b>	X	X	X	<p>Monitoring of the Conventions Funds and expenditures:</p> <ul style="list-style-type: none"> <li>a) Plan, monitor and review outstanding obligations, review of accounts receivables and payable; review of prior year obligations;</li> <li>b) Monitor and review the assessed and voluntary contributions received status during the biennium; prepare reminder letters on unpaid pledges for current period and arrears;</li> <li>c) Advise sections on effective utilization of available financial resources;</li> <li>d) Control the efficient utilization of the available financial resources;</li> <li>e) Participate in meetings when required with budget implications ensuring adherence to UN Financial Rules and Regulations, answering all queries on financial and budget matters;</li> <li>f) Prepare cost proposals as required;</li> <li>g) Prepare financial implications plans as required;</li> <li>h) Process of all transfers related to Memorandum of Understanding (MOU) and Letter of Agreement (LOA)</li> </ul>

				<div>and payment of invoices;</div> <div>i) Prepare financial statements to donors on received voluntary contribution;</div> <div>Disbursement of funds;</div> <div>a) Process of all transfers related to Memorandum of Understanding (MOU) and letter of Agreement (LOA);</div> <div>b) Create and review payment of invoices;</div> <div>c) Create and approve pre encumbrances and create and review obligations;</div> <div>d) Create and certify travel authorizations and create and approve travel advances in IMIS for staff as per the approved travel plan;</div> <div>e) Create and certify travel authorizations for meeting participants;</div> <div>f) Create, review and certify DSA rosters;</div> <div>g) Arrange for and collect cheques for DSA payment and distribute at meetings</div> <div>Processing of payments via UNOG/UNON for</div> <div><div>a) Low value items<ul style="list-style-type: none"><li>• Mobile phones</li><li>• Water</li><li>• Reimbursements for S/M</li><li>• Hospitality</li><li>• Goods</li><li>• Services</li></ul></div><div>a) Obligated<ul style="list-style-type: none"><li>• MOUs</li><li>• Goods</li><li>• Services</li><li>• Consultants</li></ul></div><div>Conference &amp; Meeting cost estimates</div></div>
<b><u>MOU/Project management</u></b>				<div>Manage and monitor project implementation ( shared with tech. teams and resource mobilization)</div> <div>a) Contribute to formulation of MOUs, funding arrangements, and budgets (note that the legal review can also be done by the admin unit – currently no resources available in this unit);</div> <div>b) Contribute to the preparation of new project documents and their revisions;</div> <div>c) Facilitate management of projects through certification of transactions, raising obligation documents and initiating disbursement of funds to external implementers;</div> <div>d) Monitor the implementation of the reports by following –up on management and financial reports;</div> <div>e) Facilitate the closure of operationally completed projects</div>
<b><u>Audit</u></b>				<div>Facilitate internal and external audits</div> <div>a) Coordinate responses to audit queries</div>

<u>Human Resources component</u>				
<u>Human Resources</u>	X	X	X	<p>Advice on HR issued and related procedures</p> <ul style="list-style-type: none"> <li>a) Provide advice and support to managers and staff on human resources related matters;</li> <li>b) Assist supervisors and staff with understanding and using the performance appraisal system (PAS).</li> <li>c) Time and attendance records</li> </ul> <p>Post management (shared with UNON and UNOG)</p> <ul style="list-style-type: none"> <li>a) Establishment of posts;</li> <li>b) Assist in classification and reclassification of posts;</li> <li>c) Review and build vacancy announcements;</li> <li>d) Assist in screening applications and evaluating candidates</li> <li>e) Organize and participate in interview panels, including the panel recommendations</li> <li>f) Assist with the documentation of the process, including operation of automated system, i.e. IMIS, INSPIRA etc</li> <li>g) Maintenance of staffing table</li> </ul> <p>Administer staff members (shared with UNON and UNOG)</p> <ul style="list-style-type: none"> <li>a) Initiate and coordinate all human resources administrative transactions, covering recruitment, administration of their contracts and entitlements, including in IMIS;</li> <li>b) Monitor and record time and attendance;</li> <li>c) Facilitate staff training and development;</li> <li>d) Maintenance of personnel files</li> </ul> <p>Manage and administer consultants and their travel</p> <ul style="list-style-type: none"> <li>a) Review of the terms of reference including remuneration levels;</li> <li>b) Prepare contracts for approval by UNON(ASC)/UNOG;</li> <li>c) Prepare travel arrangements for consultants and process travel authorizations in IMIS including DSA;</li> <li>d) Monitor and prepare payments based on evaluation details from the requested officer as per respective terms of reference</li> </ul> <p>Facilitate hiring of interns</p> <ul style="list-style-type: none"> <li>a) Ensuring all relevant documents are included and complete ( application forms, motivation letter, curriculum vitae, medical insurance, enrolment at university)</li> <li>b) Review TOR</li> <li>c) Arrange for internship agreement with ASC</li> <li>d) Prepare draft recommended letter for technical staff</li> </ul> <p>Training</p> <ul style="list-style-type: none"> <li>a) Maintain a track database and updated information on staff training undertaken and submit quarterly to UNON</li> </ul>

<b><u>Administration component</u></b>				
<b><u>Administration</u></b>	X	X	X	<u>Procurement and inventory</u> Initiate and follow-up on procurement activities for both goods and services in line with actual procurements plans for the Secretariats with UNOG and UNON <ul style="list-style-type: none"> <li>a) Initiate and follow-up on procurement activities for both goods and services in line with actual procurements plans for the Secretariats</li> <li>b) Part of the review panel for the technical review of offers</li> <li>c) Monitoring deliveries on time</li> <li>d) Maintain records of the expendable equipment in stock and ensuring the availability of office material at all time</li> <li>e) Prepare payments for goods and service and as well for low-value items</li> <li>f) Coordinate the inventory reports as of 30 June and 31 December via UNOG for submission to UNEP</li> </ul> Maintain proper inventory records of all non-expendable equipment belonging to the Secretariats <ul style="list-style-type: none"> <li>a) Coordinate the inventory reports as of 30 June and 31 December via UNOG for submission to UNEP</li> <li>b) Coordinate the physical inventory of items within the Secretariat</li> </ul>
<b><u>Staff travel</u></b>	X	X	X	<u>Staff travel</u> Processing of staff travel <ul style="list-style-type: none"> <li>a) Review and update of joint travel plans for the Secretariats</li> <li>b) Prepare travel authorization in IMIS for all staff as per the approved travel plan, liaise with travel agent and make tentative reservations for the staff (visa, hotel bookings, security/medical clearance)</li> <li>c) Process travel claims</li> <li>d) Maintain an track databases and update information on all staff members travel and submit quarterly travel plans to UNON</li> </ul>
<b><u>Office space</u></b>				<u>Office space and facility management</u> <ul style="list-style-type: none"> <li>a) Monitor and allocate office space, telephone lines and other office facilities</li> </ul>
<b><u>Conference and Correspondence Services component</u></b> (to be discussed with JCS Coordinator on the possible move to admin)				
<b><u>Conference Services</u></b>	X	X *	X *	Participant's management of conferences and subsidiary meetings including (Linked to COPs and other subsidiary bodies) (to the future COP & subsidiary component) <ul style="list-style-type: none"> <li>a) Serve as focal point to respective Coordinator in the Secretariats and head of conference service. Assist the Coordinator and other unit heads by coordinating, organizing and prioritizing work. This involves the monitoring of progress according to schedules of work, the establishment of functional timelines for registration, travel and correspondence processes and report to the Coordinator and/or other unit heads.</li> <li>b) prepare and request travel cost estimates.</li> <li>c) prepare and send invitation letters, registration forms and draft agenda to governments and observers.</li> </ul>

				<ul style="list-style-type: none"> <li>d) responsible for receiving and screening official nominations and registration of delegates and observers and send the status to the focal point for database.</li> <li>e) register participants into the database, related management.</li> <li>f) serve as point of contact for diplomatic missions, ministries, international organizations and agencies. Draft responses to queries and requests from participants regarding details/information on the meeting.</li> <li>g) prepare and send confirmation letters to governments and observers.</li> <li>h) prepare participant funding tables for the approval of the Executive Secretary.</li> <li>i) process travel arrangements for funded participants (arrange participants' travel with travel agency, check/request UN index numbers and create IMIS travel authorizations for participants) and send itineraries and electronic tickets.</li> <li>j) provide statistics</li> <li>k) preparation of rosters</li> <li>l) prepare provisional lists of participants</li> <li>m) registration of participants including badging</li> <li>n) payment of DSA based on approved roster</li> <li>o) process credentials, prepare summary table and draft report</li> <li>p) finalize list of all participants</li> <li>q) reporting of paid supported participants to finance</li> <li>r) process travel claims for meeting participants after meeting</li> </ul> <p><b><u>Correspondence</u></b></p> <ul style="list-style-type: none"> <li>s) coordinate and oversee ingoing and outgoing correspondence of meetings to ensure conformity with UN rules and procedures</li> <li>t) process and circulate follow-up correspondence among the respective Conventions' contact points, missions and stakeholders. Maintain contact with Parties and stakeholders as appropriate.</li> <li>u) handle a wide range of information requests and inquiries for appropriate action.</li> <li>v) prioritize and prepare drafts for the attention of the coordinator and unit heads, as required.</li> <li>w) ensure availability of information needed for the coordinator and unit heads.</li> <li>x) prepare and send welcome letters to new Parties of the Conventions</li> </ul> <p>* Participants management of workshops and meetings including (other than COPs and subsidiary bodies) Tasks carried out by staff of the Stockholm &amp; Rotterdam Conventions (<a href="#">to the future technical/capacity-building component</a>)</p> <ul style="list-style-type: none"> <li>a) coordination with respective programme officer in the Secretariats and head of conference service. Assist the head(s) and other programme officer(s) by coordinating, organizing and prioritizing work. This involves the monitoring of progress according to schedules of work, the establishment of functional timelines for registration, travel and correspondence processes and report to the head(s) and other programme officer(s).</li> <li>b) prepare and request travel cost estimates.</li> <li>c) prepare and send invitation letters, registration forms and draft agenda to participants.</li> <li>d) responsible for receiving registration of participants and send the status to the focal point for database.</li> </ul>
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				<p>e) register participants into the database, related management.</p> <p>f) draft responses to queries and requests from participants regarding details/information on the meeting.</p> <p>g) prepare and send confirmation letters.</p> <p>h) process travel arrangements for funded participants (arrange participants' travel with travel agency, check/request UN index numbers and create IMIS travel authorizations for participants) depending on legal arrangements in MOA, LOA and send itineraries and electronic tickets.</p> <p>i) provide statistics.</p> <p>j) preparation of rosters, if meeting/workshop is in Geneva. Prepare template roster, if meeting/workshop is outside Geneva depending on legal arrangements in MOA, LOA.</p> <p>k) prepare list of participants.</p> <p>l) registration of participants including badging.</p> <p>m) payment of DSA based on approved roster, if meeting/workshop is in Geneva.</p> <p>n) finalize list of participants.</p> <p>o) reporting of paid supported participants to finance, if meeting/workshop is in Geneva.</p> <p>p) process travel claims for meeting participants after meeting, if meeting/workshop is in Geneva.</p> <p><b><u>Correspondence</u></b></p> <p>q) coordinate and oversee ingoing and outgoing correspondence of meetings to ensure conformity with UN rules and procedures.</p> <p>r) process and circulate follow-up correspondence.</p> <p>s) handle a wide range of information requests and inquiries for appropriate action.</p> <p>t) prioritize and prepare drafts for the attention of the unit heads and programme officers, as required.</p> <p>u) ensure availability of information needed for the head(s) and programme officer(s).</p> <p>v) provide direct support to the implementation of the programme of work by making information needed for project management available and ensuring communication with countries.</p> <p>Management of logistics arrangements including</p> <p>a) coordination of all aspect related to the logistics arrangement both to external and internal providers</p> <p>b) coordination and inputs from and to in-house clients</p> <p>c) catering service</p> <p>Meeting documents management including <a href="#">(to the future COP &amp; subsidiary component)</a></p> <p>a) coordination of official documents/reports</p> <p>b) formatting of documents</p> <p>c) focal point for translation and editing of the same for COPs and subsidiary meetings with the external translation service provider (UNON)</p> <p>d) liaison for preparation and distribution of CRPs etc</p> <p>Management of translation and editing service including (both internal and external)</p>
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				<ul style="list-style-type: none"> <li>a) coordination of pool of external translators</li> <li>b) providing in-house translation to/from English, French and Spanish</li> </ul> <p>Performing protocol functions together with legal and information staff including</p> <ul style="list-style-type: none"> <li>a) assist in accreditation task</li> <li>b) other protocol task, i.e. sitting arrangements for high-level ministers etc</li> <li>c) coordinate the credential list for review by senior legal officer</li> </ul>
<b><u>Functions to be moved to other areas</u></b>				
<b><u>Secretarial (to be moved to respective technical units)</u></b>				<p>Secretariat support functions including</p> <ul style="list-style-type: none"> <li>a) maintaining unit calendars for appointments</li> <li>b) monitoring phone calls for one or two units</li> <li>c) drafting general letters</li> <li>d) faxing</li> <li>e) filing and archiving (greater use of electronic filing)</li> </ul>
<b><u>Research (to be moved to respective technical units)</u></b>		X	X	<p>Perform research functions including</p> <ul style="list-style-type: none"> <li>a) general areas, i.e. Parties ratification, how-to-do processed in a certain matter within JCS or with other service providers, etc</li> <li>b) technical areas, i.e. related to specific chemical, legal matter, etc</li> </ul>

## F. Subgroup on legal matters

### 1. Summary of discussions and recommendations

Task Team on Restructuring - Subgroup on legal matters:  
(Lead: Ms. Amélie Taoufiq)  
8 December 2011

The subgroup on legal matters undertook a mapping exercise of the legal processes of the three secretariats. Based on this mapping exercise identifying current practices within the three secretariats, the group identified the legal functions of the secretariats as well as the scope of such functions. The group also developed observations and recommendations.

#### Legal functions:

Scope of legal functions: **1)** International law related to: environmental law including MEAs, intellectual property law, WTO law, etc. **2)** UN/UNEP specific rules, Conventions' bodies rules of procedure, **3)** Illegal traffic/enforcement, and **4)** national/regional law (national legal and institutional frameworks implementing the Conventions).

#### Convention-related legal operations

- Develop, manage and implement the legal programmes and activities of the secretariats;
- Provide legal input to all other Conventions programmes and activities;

#### *i.e., inter alia:*

- Develop and manage legal documents, conduct legal researches, produce legal analyses, legal review of documents, and provide legal and policy advice to the secretariats staff, the ES, Parties and stakeholders;
- Cooperate and liaise on legal matters with other UNEP divisions, offices and branches, including DELC, DTIE, UNEP chemicals, etc.;
- Conference of the Parties and Subsidiary Bodies Activities (Provide legal and policy advice relating to the preparations for and servicing of meetings, the host country agreement, the application of rules of procedure; develop technical legal documents including guidance; review decisions, reports and other documents; conduct legal analysis);
- Compliance (**BC**: serve the ICC, i.e. i) undertake intersessional work - assist the ICC in implementing its work programme: research, advice, consultations, hiring and supervision of consultants, preparation of documents, coordination of the work of other units as necessary - , ii) liaise with ICC members, and ii) prepare/organize/serve meetings of the ICC; **RC and SC**: negotiations on the adoption of the compliance procedures and mechanisms);
- Manage international cooperation on legal matters and provide legal support to other areas of international cooperation;
- Provide substantive support for the development and implementation of the legal component of the Technical Assistance programme of the secretariats;
- Collect, review, assess and evaluate legal information, including information provided by Parties;
- Review and analyze legal information and information with legal implications in national reports, notifications, exemptions, etc.
- Undertake legal operations pertaining to Party status, entry into force of Convention, amendments and annexes.

**Corporate Legal Services:**

- Manage, develop, negotiate, advise on legal documents/instruments;
- Conduct research on matters of corporate legal services;
- Handle corporate services-related dispute resolution/prevention;
- Consult with and maintain channel of communication with depositary, Office of Legal Affairs (OLA)/Treaty Section, and UNEP OfO (Office for Operations) on matters of corporate legal services.

**OBSERVATIONS AND RECOMMENDATIONS**

- Legal matters encompass also implementation (in the legal technical sense), institutional, governance, compliance, enforcement, illegal traffic, technical assistance, international cooperation, international trade, and policy matters.
- Across the three Secretariats, there are varying appreciations of what "legal functions" consist of. Therefore, the understanding of the scope and nature of legal functions should be improved and harmonized.
- Legal functions include both "lead" and "support" functions.
- To some extent, synergies have been achieved across the three Secretariats, through the legal unit of the JCS and beyond (mainly corporate legal services, legal functions with regards to meetings of Convention bodies, the legal TA activities and programme). However, this was just a first step.
- For some legal functions, differences between the three Secretariats are due to different current COP mandates (e.g. on compliance). Also, there are currently different understandings as to the nature of the legal functions to be performed (e.g. enforcement issues) or, for historical reasons, some legal functions are performed by non-legal officers (e.g. as to ships dismantling concerning BC, activities related to the development of legal framework for industrial chemicals as to RC).
- For some other legal functions, further development and strengthening are needed to ensure equal level of development of processes, programmes and activities across the 3 Conventions (e.g. national legislation). Efforts towards this have already begun.
- Finally, as to legal technical assistance, there is a need to reconsider how legal technical assistance is undertaken and managed within the overall TA activities: legal officers should have a lead role in the substantive planning, implementation and follow up of legal technical assistance activities.
- Develop joint and harmonized legal programme of work, legal policy and strategy, for consideration by the 2013 Conferences of the Parties.

## 2. Compilation of legal processes and procedures

Task team on restructuring:  
Subgroup on legal functions  
Lead: Ms. Amélie Taoufiq

The purpose of this table is to aim at presenting a comprehensive overview of the various legal functions of the three Secretariats in the broadest possible sense (approach similar to the one followed by the Technical Assistance subgroup).

Legal Functions	SBC	SRC	SSC
Legal basis: respective COP decisions and Conventions articles			
I. Corporate legal services	<p>Management of and advice on legal documents, contracts and other legal instruments (e.g. UNEP Standard Legal instruments) as may be required for the <u>functioning of the Secretariat(s)</u>, e.g. in connection with Technical Assistance (TA) related activities (cross reference to TA subgroup) and according to Standard Operating Procedures to be defined (preparing, drafting, reviewing, negotiating where the case may be, and clearance),</p> <p>Advice on or research legal questions concerning the <u>organisation, structure and administration of the Secretariat(s)</u>;</p> <p>Identification and advice on legal issues arising <u>in the course of the activities of the Secretariats</u>, such as:</p> <ul style="list-style-type: none"> <li>i) Copyright and other intellectual property issues arising from the Secretariats' activities;</li> <li>ii) Law and regulations governing the staff of the Secretariat, assisting in this respect with the day-to-day interpretation and implementation of the applicable legal and regulatory framework.</li> </ul> <p>Handling of corporate services related disputes/dispute prevention, where necessary.</p> <p>Consultation and channel of communication with depositary, Office of Legal Affairs, Treaty Section and UNEP QAS (legal issues).</p>		
II. Conventions generic legal operations and advice	<p>Conduct legal and policy researches and produce legal analysis as to:</p> <ul style="list-style-type: none"> <li>the interpretation (including clarification of the scope and relationship between the Basel , Rotterdam and Stockholm Conventions),</li> <li>the implementation, compliance with and enforcement of international law, environmental law, intellectual property, etc.; UN rules, other MEAs, the Conventions provisions, etc.</li> </ul>		

Legal Functions	SBC	SRC	SSC
III. Conventions specific legal operations and advice related to:			
1. Conference of the Parties and subsidiary bodies activities	Legal and policy advice to Parties and Secretariats staff and other stakeholders relating to the preparations for and servicing of meetings; host country agreement; application of protocols and rules of procedure (eg admission of observers, credentials, election of officers, voting), ; drafting of documents on legal issues, review of decisions, reports/other documents; etc.. Analysis of the implications of the mandates granted by the bodies of the Conventions in relation to legal issues and make recommendations to the ES on how to best address these.		
	BC COP; OEWG, ICC (see infra).	RC COP; CRC.	SC COP; POPRC.
2. Compliance	Serve the Implementation and Compliance Committee (ICC): Intersessional work: assist the ICC in the implementation of its work programme as per COP decisions: research, advice, consultations, hiring and supervision of consultants, preparation of documents, coordination of the work of other units as necessary (e.g. national reporting, notifications, control procedure), liaise with ICC members, and prepare/organize/serve meetings of the ICC (documents, report, substantive support during meeting).	Provision of legal advice to facilitate the negotiations on the adoption of the compliance procedures and mechanisms pursuant to Article 17 of the Convention.	Provision of legal advice to facilitate the negotiations on the adoption of the compliance procedures and mechanisms pursuant to Article 17 of the Convention.

Legal Functions	SBC	SRC	SSC
3. Illegal traffic/trade and enforcement	<p>Cooperation with IGOs and NGOs on illegal traffic/trade and enforcement (WCO, Interpol, GCI, INECE, IMPEL TFS, Asian network), i.e. exchange of information, consultations, representation during meetings, joint activities (eg. inspections), advice, for example:</p> <ul style="list-style-type: none"> <li>- GCI: represent Secretariats during Partners meeting, coordinating secretariats' work with respect to GCI workshops (preparation of PPTs, questionnaire, identification of secretariats representative, liaising with GCI Coordinator, BCRCs etc...);</li> <li>- WCO: represent Secretariats during WCO enforcement Committee meetings, cooperation with WCO in elaboration of the joint WCO tool, cooperation with WCO on operations;</li> <li>- Interpol: represent Secretariats during meetings, coordinate development of joint e-learning tool, cooperate through E-Waste Crime Group.</li> </ul> <p>Development of tools on illegal traffic/trade and enforcement (guidance materials, PPT sect...).</p> <p>Delivery of capacity building on illegal traffic/trade and enforcement (workshops).</p> <p>Provision of specific legal and policy advice to Parties, ES/Secretariat staff, IGOs and other stakeholders on illegal traffic/trade and enforcement.</p> <p>Assistance to Parties, upon request, in relation to cases of illegal traffic (identification of the case and circulation of information to Parties concerned).</p> <p>Preparation of COP/OEWG documents on illegal traffic/trade and enforcement.</p>		
3. International Cooperation on legal issues	<p>International cooperation on legal, institutional and policy issues, e. g. with:</p> <p>IMO (Ships dismantling and MARPOL),</p> <p>WTO,</p> <p>UNEP OCHA,</p> <p>Other MEA Secretariats,</p> <p>WHO,</p> <p>Etc. .</p> <p>Establishing and maintaining contacts with these organizations</p>	<p>International cooperation on legal issues with: other UNEP entities (UNEP chemicals, DELC, SAICM, etc.), other MEAs, specialized UN agencies and organizations, and other organizations, in particular as to Trade-related issues through the World Trade Organization.</p>	<p>International cooperation on legal issues with: other UNEP entities (UNEP chemicals, DELC, SAICM, etc.), other MEAs, specialized UN agencies and organizations, and other organizations, in particular the World Health Organization.</p>

Legal Functions	SBC	SRC	SSC
	<p>(including through the negotiation of cooperative agreements). Represent the secretariats at meetings of such organizations, exchange of information. Legal advice to Secretariat and Parties. Drafting of reports/documents and joint activities. Legal, institutional and policy aspects of international environmental governance reform. Cross reference to international cooperation subgroup</p>		
4. Party status, entry into force of Convention and related texts, notifications of legal information	<p>Party status and development/entry into force of Convention, Protocol, amendments to Conventions and to annexes: legal advice to Parties, Parties-to-be, Secretariat staff and the ES, welcoming of new Parties (SBC), consultations with Depositary (through the Office of Legal Affairs), legal research. Review of accuracy and timeliness of notifications by Parties pertaining to information with legal implications (BC national definitions, BC import/export prohibitions, BC competent authority and focal point, art. 11 agreements, request for emergency assistance, RC DNA, SC NFP and OCP... - cross reference to table from subgroup on transmission of information).</p>		
5. Other Conventions specific legal programmes and implementing activities	<p>Synergies' Review arrangements: preparation of COP documents, support to Parties during COP, follow-up actions as provided for in the BC COP-10 decision (and associated SC-RC decisions). Specific legal and policy advice to ES and Parties. Handling of disputes/dispute prevention, where necessary.</p>		
	Protocol on Liability and Compensation.	Development of Conventions implementing legal frameworks, including legislations /regulations.	

Legal Functions	SBC	SRC	SSC
	<p>Emergency assistance.</p> <p>Counsel of the BC associate legal officer.</p> <p>Collection of national legislations and other measures.</p>		
IV. Legal Technical Assistance and Capacity Building	<p>Development and implementation of the legal component of the Technical Assistance/Capacity Building Programmes of Work of the SBC, in particular as to legal frameworks, including legislations /regulations implementing the Convention (top down approach).</p> <p>Cooperation with ICBU on projects and activities (bottom up approach).</p> <p>Development of joint legal tools, delivery of joint training activities.</p> <p>Cross reference to TA subgroup</p>	<p>Development and implementation of the legal component to Technical Assistance/Capacity Building Programmes of Work, in particular as to the legal frameworks, including legislations /regulations implementing the Convention.</p> <p>Development of joint legal tools, delivery of joint training activities.</p> <p>Cross reference to TA subgroup</p>	

## G. Subgroup on international cooperation

### 1. Summary of activities of the subgroup

#### Restructuring task team Subgroup on international cooperation

##### Summary of activities and recommendations

The subgroup on international cooperation undertook a mapping exercise of the various international cooperation activities and processes of the three secretariats with a focus on cooperation with IGOs and NGOs/networks. The mapping exercise extended to cooperation with more than 40 partners including UNEP, MEA Secretariats, UN (Secretariat, bodies, agencies, programmes, funds, research and training institutes), other international and regional organizations, and non-governmental organizations / networks. The mapping exercise evidenced the following elements:

- All three secretariats cooperate with a number of other international institutions
- The *legal basis* for cooperation varies, from a generic COP decision, to more specific COP decisions, to MoUs, SSFAs or to cooperation on an informal basis.
- The *nature* of the cooperation is varied: policy, scientific/technical, TA or legal.
- The *type* of activities undertaken in cooperation with IGOs and NGOs/networks include: consultations, advice and exchange of information, development of initiatives (eg. a network), organization and/or participation in meetings, elaboration of documents or publications, planning and delivery of TA projects/tools/trainings.
- Some cooperative activities are *specific* to one Secretariat (eg. UNEP OCHA for SBC), while others see the three secretariats having *similar* types of involvement. In several instances, the secretariats are already closely cooperating and “think jointly and act with one voice”. This is particularly the case in the area of international cooperation on enforcement issues (WCO, Interpol, GCI) or the consultative process on financing options (UNEP DELC).
- In other instances, the institution is the same, but the nature of cooperation or the activities involved are different (eg. MEA Secretariats).
- The synergies decisions specifically “*Request(s)* the secretariats of the Basel, Rotterdam and Stockholm conventions, whenever feasible, to act jointly in participating in other related processes and in providing information to other related bodies, organizations, institutions and processes” (Section III C). International cooperation underpins other parts of the synergies decisions, for instance programmatic cooperation in the field, and cooperation on technical and scientific issues

#### Observations/recommendations on the way forward

- International cooperation does not operate in a vacuum: it is one way for the secretariats to deliver on their mandates. Each branch of the Secretariat is thus expected to exercise “international cooperation” functions, although it seems valuable that one branch be entrusted with the overall responsibility for such functions, which would entail *inter alia*, ensuring a harmonized approach to international cooperation as well as for dealing with the specific case of institutional cooperation with UNEP and FAO.
- In general, the three secretariats have already implemented synergies in the way they cooperate with other institutions whenever issues related to two or more conventions are, in substance, similar.
- In the case of cooperative activities that are similar across the three secretariats and where joint input/representation is already a reality (eg. WCO, Interpol, GCI, UNDESA, OHCHR, IOMC), it might be worth considering whether there is value in further streamlining of the way the secretariats operate at the internal level and if so, on what basis and how (consolidation process).

- In the case of cooperative activities that are similar across the three secretariats but where the synergies have not yet materialized (eg. WTO, flame retardants in e-waste, cooperation with GEF Secretariat and GEF/STAP), it would be worthwhile analyzing why this is not the case.
- In the case where it is unclear as to whether synergies can be achieved, the relevant staff of the secretariats should sit down and evaluate whether a synergy approach would make sense.
- Several areas of international cooperation cannot be synergized and will remain Convention-specific.
- It would be worthwhile to have a similar legal basis (mandate) for the three secretariats for international cooperation. The BC generic decision could possibly be replicated for RC and SC.

## 2. Processes and procedures related to international cooperation

International and regional organizations, MEAs, NGOs and networks	BC  General basis for cooperation: decision IX/11 For more information, see: UNEP/CHW.10/INF/14	RC	SC
UNEP			
UNEP-Chemicals	<p>Basis for cooperation: decision VIII/33, VIII/34, IX/7 Nature of cooperation: technical issues (guidelines and reports), legal issues, policy issues, capacity building and technical assistance Activities/processes involved:</p> <ul style="list-style-type: none"> <li>• participation in meetings: mercury INC process, UNEP chemicals organized meetings</li> <li>• participation in UNEP Global Mercury Partnership (member of the Partnership Advisory Group and the mercury partnerships area groups on reduction in products, supply and storage, and waste management),</li> <li>• joint activities and cooperation through projects on the Sound Management of Chemicals,</li> <li>• exchange of information,</li> <li>• contribution to drafting of documents</li> </ul>	<p>Basis for cooperation: informal Activities and processes:</p> <ul style="list-style-type: none"> <li>• Cost of inaction</li> <li>• Global Chemical Outlook</li> </ul>	<p>Basis for cooperation: Decision SC-2/5 and SC-3/6: Ongoing review and updating of the Standardized Toolkit for Identification and Quantification of Dioxin and Furan Releases Nature of cooperation: technical, capacity building The Secretariat, in cooperation with UNEP Chemicals, will organize and facilitate the Toolkit review process, through, inter alia, support to the work of the expert group to further develop the Toolkit. Activities:</p> <ul style="list-style-type: none"> <li>• Project on "Determination of Emission Factors for Unintentional POPs from Open Burning of Biomass"</li> <li>• Project on "Hazardous Substances from Open Burning of Waste in Developing Countries"</li> <li>• Implementation of four regional GEF projects to support the implementation of the Global Monitoring Plan in West Africa, Eastern and Southern Africa, Latin America, and the Pacific Islands.</li> <li>• Implementation of a GEF MSP on analytical procedures for new POPs</li> <li>• UNEP Chemicals also coordinated the international action to reduce and eliminate persistent organic pollutants and facilitated the development of an international legally binding instrument: the Stockholm Convention on POPs.</li> <li>• Participation in meetings: mercury INC process, UNEP chemicals organized meetings (Cost of Inaction, others)</li> <li>• Decisions SC-5/6 and SC-5/7 that UNEP Chemicals, among other agencies, might take</li> </ul>

International and regional organizations, MEAs, NGOs and networks	BC General basis for cooperation: decision IX/11 For more information, see: UNEP/CHW.10/INF/14	RC	SC
			<p>over the implementation of DDT Global Alliance and the PCBs Elimination Network</p> <ul style="list-style-type: none"> <li>• Broader cooperation on governance issues, such as the Commission on Sustainable Development, where a publication on practices in the sound management of chemicals, was launched during CSD-18, in May 2010.</li> <li>• Other mandate for collaboration could be taken from the Synergies decisions (SC-4/34, SC.Ex-1/1, SC-5/27, as UNEP Chemicals is a participating organization in IOMC</li> </ul>
UNEP-GEF Unit	<p>Basis for cooperation: decision VIII/34, IX/11 Nature of cooperation: capacity building, enforcement Activities/processes:</p> <ul style="list-style-type: none"> <li>• development and implementation of project proposals, including in cooperation with GCI</li> </ul>	<ul style="list-style-type: none"> <li>•</li> </ul>	<p>Basis for cooperation: Stockholm Convention, Article 14</p> <ul style="list-style-type: none"> <li>• Serves as implementing agency under GEF, the principal entity of the Financial mechanism, capacity building, enforcement</li> <li>• Assisting parties in developing, preparing and updating NIPs</li> <li>• Development and implementation of global or regional projects</li> <li>• Part of the GEF POPs-task force (gather all GEF agencies, GEF Secretariat and Stockholm Convention Secretariat)</li> </ul>
UNEP-DTIE and Regional Offices	<p>Basis for cooperation: decision IX/11 Nature of cooperation: capacity building, policy, legal and enforcement Activities/processes:</p> <ul style="list-style-type: none"> <li>• SBC is a Partner in the Green Customs Initiative (GCI): participation in partner's meetings, development of tools (eg. PPT for trainings and WCO tool) and delivery of trainings. Through GCI, SBC also cooperates with: DELC, OPCW, UNODC, Interpol, WCO, and the Secretariats of CDB, Montreal, CITES, SSC and SRC</li> <li>• Participation in the global waste partnership</li> <li>• Participation in meetings (eg. brainstorming symposium on tackling illegal trade in ODS for</li> </ul>	<p>Basis for cooperation: decision 1/14 Activities and processes: GCI: Training to customs officers and development of materials</p>	<p>Basis for cooperation: Synergies decisions (SC-4/34, SC.Ex-1/1, SC-5/27) on technical assistance and scientific and technical work (joint-activities)</p> <ul style="list-style-type: none"> <li>• Technical assistance, capacity building and enforcement</li> <li>• SSC is a partner of Green Customs Initiative (GCI): same activities as for SBC</li> <li>• Also invited to take part in other meetings (eg. brainstorming symposium on tackling illegal trade in ODS for judges, prosecutors, MEA REN)</li> </ul>

International and regional organizations, MEAs, NGOs and networks	BC General basis for cooperation: decision IX/11 For more information, see: UNEP/CHW.10/INF/14	RC	SC
	<p>judges, prosecutors and other legal stakeholders, MEA REN, UNEP China forum, global waste partnership, Task Force on Consumer, Environmental Protection and Recycling)</p> <ul style="list-style-type: none"> <li>• Contribution in preparation of documents newsletters (eg. Waste Chapter of the Green Economy Report, MEA REN newsletter, paper on Waste Management tabled at UNEP GC 25 and 26)</li> <li>• Supporter of SBC projects (supported the submission to SAICM of a series of enforcement projects)</li> </ul>		
UNEP Post-Conflict & Disaster Management Branch (UNEP-PC & DMB)	<p>Basis for cooperation: decision VIII/1 Nature of cooperation: capacity building Activities and processes:</p> <ul style="list-style-type: none"> <li>• development of the UNEP-SBC project on waste management in Côte d'Ivoire (see also UNEP/CHW.10/INF/28).</li> </ul>	•	•
UNEP Division of Environmental Law and Conventions (DELIC)	<p>Basis for cooperation: decision IX/23 Nature of cooperation: policy, legal, enforcement Activities and processes:</p> <ul style="list-style-type: none"> <li>• The Secretariat cooperates with UNEP DELIC through the Green Customs Initiative.</li> <li>• Participation in meetings: consultative process on financing options for chemicals and wastes</li> </ul>	<p>Basis for cooperation: 3/15 The consultative process on financing options for chemicals and wastes</p>	<ul style="list-style-type: none"> <li>• The consultative process on financing options for chemicals and wastes is coordinated by DELIC.</li> <li>• Participation in meetings of ED FI</li> <li>• Work on InformMEA (JCS/CHM is Focal Point for that project)</li> <li>• The Secretariat cooperates with UNEP DELIC through the Green Customs Initiative.</li> </ul>
SAICM secretariat	<p>Basis for cooperation: decision VIII/34, IX/11 Nature of cooperation: Policy, capacity building, legal and enforcement (illegal traffic), e-waste Activities and processes:</p> <ul style="list-style-type: none"> <li>• Facilitation of the submission of project proposals to the SAICM Quick Start Programme Trust Fund.</li> <li>• Consultations and exchange of information</li> <li>• Mutual participation in relevant meetings.</li> <li>• Contribution to the preparation of, and participation during meetings: ICCM2, International Workshop on Hazardous</li> </ul>	<p>Basis for cooperation: decision and 3/5 and 4/12 Activities and processes:</p> <ul style="list-style-type: none"> <li>• Effective use of resources</li> <li>• Industrial chemicals</li> </ul>	<p>Basis for cooperation: Synergies decisions (SC-4/34, SC.Ex-1/1, SC-5/27) on technical assistance and scientific and technical work (joint-activities)</p> <ul style="list-style-type: none"> <li>• Scientific and technical cooperation, information exchange</li> <li>• Collaboration for providing technical assistance to parties in implementing the Convention mainly through QSP projects and regional synergies workshops;</li> <li>• Contribution to the preparation of, and participation during meetings: ICCM2, International Workshop on Hazardous Substances</li> </ul>

International and regional organizations, MEAs, NGOs and networks	BC General basis for cooperation: decision IX/11 For more information, see: UNEP/CHW.10/INF/14	RC	SC
	Substances within the Life Cycle of Electrical and Electronic Products held in Vienna, 29 to 31 March 2011 (see report at <a href="http://www.basel.int/techmatters/index.html">http://www.basel.int/techmatters/index.html</a> ), report on illegal international traffic in toxic and dangerous products.		within the Life Cycle of Electrical and Electronic Products held in Vienna, 29 to 31 March 2011
UNEP and the Office of Coordination of Humanitarian Affairs (OCHA) Joint Environment Unit	Basis for cooperation: decision V/32, Letter of Agreement Nature of cooperation: Institutional, emergency assistance Activities and processes: <ul style="list-style-type: none"><li>• Consultations and exchange of information</li><li>• Meetings to assess implementation of the LoA</li><li>• Putting into place of the modalities to ensure the immediate operability of experts in an emergency situation.</li></ul>	•	•
UNEP Division of Early Warning and Assessment (UNEP-DEWA)		•	• Cooperate and collaborate on technical matters as necessary or upon request such as on the development of the Global Environmental Outlook.
<b>MEAs</b>			
Montreal Protocol on Substances that Deplete the Ozone Layer	Basis for cooperation: decision IX/11 Nature of cooperation: Activities and processes: technical, institutional, legal, capacity building <ul style="list-style-type: none"><li>• Participation in meetings: workshops, MoP, Compliance Committee,</li><li>• Exchange of information and consultations</li><li>• Cooperation in drafting of documents</li><li>• Project development and implementation (pilot project on feasibility assessment and preparation of destruction of banks of ODS and POPs in Central American countries).</li></ul>	Basis for cooperation: decision 3/5 <ul style="list-style-type: none"><li>• Effective use of resources</li></ul>	Basis for cooperation: Decision SC-5/27 <ul style="list-style-type: none"><li>• Scientific and technical cooperation</li></ul>
MEA Secretariats: CBD, UNFCCC, CITES, the UNCCD and the UNECE Aarhus Convention	Basis for cooperation: decisions IX/7 (UNFCCC), IX/11 Nature of cooperation: Institutional, legal, compliance, enforcement, policy Activities and processes:	•	Basis for cooperation: Decision SC-5/27 <ul style="list-style-type: none"><li>• Information sharing between the POPs Review Committee and the POPs task force under the UNECE Aarhus Convention's POPs Protocol</li><li>• POPs and climate change – studies on impact of</li></ul>

International and regional organizations, MEAs, NGOs and networks	BC  General basis for cooperation: decision IX/11 For more information, see: UNEP/CHW.10/INF/14	RC	SC
	<ul style="list-style-type: none"><li>• Consultations and exchange of information.</li></ul>		climate change on risk management of POPs presented at UNFCCC
UN Agencies and organizations			
United Nations Committee of Experts on the Transport of Dangerous Goods and on the Globally Harmonized System of Classification and Labelling of Chemicals	Basis for cooperation: decision IX/11 Nature of cooperation: technical Activities and processes <ul style="list-style-type: none"><li>• Participation in the work and meetings (Committee of Experts, correspondence group of experts of the Basel Convention and the Committee of Experts).</li></ul>	<ul style="list-style-type: none"><li>•</li></ul>	<ul style="list-style-type: none"><li>• As part of the guidance for the review and updating of the NIP, Guidance on labeling of new POPs is in preparation</li></ul>
Food and Agriculture Organization (FAO)	Basis for cooperation: decision IX/11 Nature of cooperation: capacity building, policy Activities and processes <ul style="list-style-type: none"><li>• Cooperation in programmes (programme on Obsolete Pesticides).</li></ul>	Basis for cooperation: decision 1/4 Cooperation through Regional Offices	Basis for cooperation: Decision SC-5/3, 5/4 <ul style="list-style-type: none"><li>• Information sharing and technical cooperation with FAO on risk management and alternatives to of endosulfan</li><li>• GEF implementing agency, development and update of NIP</li><li>• Decision SC-5/27 collaboration with FAO regional and subregional office in the delivery of technical assistance activities</li></ul>
Inter-Organization Programme for the Sound Management of Chemicals (IOMC)	Basis for cooperation: decision IX/11 Nature of cooperation: technical, policy Activities and processes <ul style="list-style-type: none"><li>• Participation in meetings (IOMC Coordinating Group on the preparation of the SAICM E-Products workshop, 35th IOMC meeting )</li><li>• Preparation of documents</li></ul>	Basis for cooperation: work programme Activities and processes: <ul style="list-style-type: none"><li>• Programme on Industrial Chemicals</li></ul>	<ul style="list-style-type: none"><li>• Participation in meetings</li></ul>
International Labour Organization (ILO)	Basis for cooperation: decision IX/30 Nature of cooperation: capacity building, policy Activities and processes <ul style="list-style-type: none"><li>• Joint ILO/IMO/Basel Convention Working Group on Ship Scrapping: participation in and support to meetings, joint activities through the Global Programme for Sustainable Ship Recycling</li><li>• Cooperation through PACE.</li></ul>	(TBC)	<ul style="list-style-type: none"><li>•</li></ul>

International and regional organizations, MEAs, NGOs and networks	BC General basis for cooperation: decision IX/11 For more information, see: UNEP/CHW.10/INF/14	RC	SC
International Maritime Organization (IMO)	<p>Basis for cooperation: decision IX/11, IX/30, IX/12 Nature of cooperation: capacity building, policy, legal, technical Activities and processes</p> <ul style="list-style-type: none"> <li>• Joint ILO/IMO/Basel Convention Working Group on Ship Scrapping: participation in and support to meetings, joint activities through the Global Programme for Sustainable Ship Recycling</li> <li>• Consultation and exchange of information</li> <li>• Contributions to documents (technical guidelines, legal analysis)</li> <li>• Participation in meetings (Hong Kong International Convention for the Safe and Environmentally Sound Recycling of Ships, Marine Environment Protection Committee, workshops)</li> <li>• Cooperation through enforcement projects (Probo Koala programme) .</li> </ul>	<ul style="list-style-type: none"> <li>•</li> </ul>	<ul style="list-style-type: none"> <li>•</li> </ul>
World Health Organization (WHO)	<p>Basis for cooperation: decision IX/11, Bali Declaration on Waste Management for Human Health and Livelihood Nature of cooperation: policy, capacity building, technical Activities and processes</p> <ul style="list-style-type: none"> <li>• Consultations and exchange of information with the Secretariat and the WHO Department of Public Health and Environment (PHE)</li> <li>• Joint submission of project proposals to donors (including SAICM QSP) and cooperation in project implementation (Probo Koala programme)</li> <li>• Participation in meetings (Children,</li> </ul>	<p>Basis for cooperation: decision 1/14 Activities:</p> <ul style="list-style-type: none"> <li>• Programme on Industrial Chemicals</li> <li>• "Integration between SHPF reporting requirements with the WHO pesticide data management system and community-based approach to pesticide poisonings piloted in selected countries"</li> </ul>	<p>Basis for cooperation: Stockholm Convention, Annex B, part II on DDT</p> <ul style="list-style-type: none"> <li>• Each Party registered in DDT acceptable purposes shall restrict production and use of DDT in accordance with the WHO recommendations and guidelines.</li> <li>• Every three years, each Party that uses DDT provides to the Secretariat and the WHO information on the amount used, the conditions of such use etc.</li> <li>• At its every ordinary meetings, COP evaluates the continued need for DDT for disease vector control in consultation with WHO.</li> <li>• The Global Alliance for alternatives to DDT was developed in collaboration with WHO. The interim</li> </ul>

International and regional organizations, MEAs, NGOs and networks	BC General basis for cooperation: decision IX/11 For more information, see: UNEP/CHW.10/INF/14	RC	SC
	<p>Environment and Health Conference, Interministerial Conference on Health and Environment in Africa</p> <ul style="list-style-type: none"> <li>• Contribution to documents (Situation Analysis and Needs Assessments in the context of the implementation of the Libreville Declaration summary report) and studies (Pilot Study for the sustainable management of net life-cycle)</li> <li>• Policy statements: resolution on the Improvement of Health through Safe and Environmentally Sound Waste Management (WHA63.25)</li> </ul>		<p>steering committee of the global alliance is represented by the WHO Global Malaria Programme. The vector resistance work stream of the WHO Roll Back Malaria Partnership is established as a thematic group on vector resistance patterns and mechanisms of the global alliance. The thematic group on integrated vector management of the global alliance is led by WHO.</p> <ul style="list-style-type: none"> <li>• The POPs Review Committee works with WHO in considering the development of the framework for the assessment of multiple chemical exposure for its chemical review process</li> <li>• Within the Global Monitoring Plan, the human milk survey is undertaken in collaboration with UNEP and WHO.</li> <li>• In accordance with decision SC-4/15, reporting and reviewing requirements for the use of Lindane as a human health pharmaceutical for the control of head lice and scabies were developed in cooperation with WHO.</li> </ul>

International and regional organizations, MEAs, NGOs and networks	BC General basis for cooperation: decision IX/11 For more information, see: UNEP/CHW.10/INF/14	RC	SC
Office of the United Nations High Commissioner for Human Rights (OHCHR)	<p>Basis for cooperation: decision IX/11</p> <p>Nature of cooperation: policy, technical, legal, streams: ships dismantling, e-waste, hospital waste</p> <p>Activities and processes</p> <ul style="list-style-type: none"> <li>• Information exchange and consultation</li> <li>• Cooperation in drafting of documents</li> <li>• Assistance in preparing missions of the Special Rapporteur</li> <li>• Participation in meetings of the Human Rights Council.</li> </ul>	<ul style="list-style-type: none"> <li>•</li> </ul>	<p>No formal mandate.</p> <p>Activities and processes</p> <ul style="list-style-type: none"> <li>• Information exchange and consultation meetings with Special Rapporteur on Transboundary Movements of Hazardous Wastes</li> </ul>
United Nations Commission on Sustainable Development / DESA	<p>Basis for cooperation: decisions IX/31 (activity no. 56) IX/11</p> <p>Nature of cooperation: policy</p> <p>Activities and processes</p> <ul style="list-style-type: none"> <li>• Participation in CSD meetings and CSD processes (intergovernmental task force on integrated waste management and the partnership with the Local Authorities).</li> <li>• Development of publications (Synergies Success Stories for CSD 19).</li> <li>• RIO +20: Transmission of the expected COP-10 "Cartagena Declaration on Prevention, minimization and recovery of wastes"</li> </ul>	<ul style="list-style-type: none"> <li>•</li> </ul>	<p>Nature of cooperation: policy</p> <p>Activities and processes (most of the activities are and were jointly implemented with SBC and SRC)</p> <ul style="list-style-type: none"> <li>• Participation in CSD meetings and CSD processes (IPM and seminars).</li> <li>• Development of publications (Synergies Success Stories for CSD 19 in May 2011 and on practices in the sound management of chemicals, for CSD-18 in May 2010).</li> <li>• UNCSD Rio +20: Development of a publication and release of the results of the Global Youth and Children Contest for the 10<sup>th</sup> anniversary of the Stockholm Convention</li> </ul>
United Nations Development Programme	<p>Basis for cooperation: decision VII/34, IX/9</p> <p>Nature of cooperation: technical</p>	<ul style="list-style-type: none"> <li>•</li> </ul>	<ul style="list-style-type: none"> <li>• Implementing agency under GEF,</li> <li>• Consultation for the technical assistance and capacity building programmes</li> </ul>

International and regional organizations, MEAs, NGOs and networks	BC General basis for cooperation: decision IX/11 For more information, see: UNEP/CHW.10/INF/14	RC	SC
	<p>Activities and processes</p> <ul style="list-style-type: none"> <li>Cooperation through PACE.</li> </ul>		<ul style="list-style-type: none"> <li>Preparation and updating of NIPs</li> <li>Synergies decisions (SC-4/34, SC.Ex-1/1, SC-5/27, as UNEP Chemicals is a participating organization in IOMC)</li> </ul>
United Nations Division for Ocean Affairs and Law of the Sea	<p>Basis for cooperation: decision IX/11</p> <p>Nature of cooperation: policy, legal and capacity building</p> <p>Activities and processes</p> <ul style="list-style-type: none"> <li>Exchange of information, contribution to documents</li> </ul>	<ul style="list-style-type: none"> <li></li> </ul>	<ul style="list-style-type: none"> <li></li> </ul>
United Nations Educational, Scientific and Cultural Organization (UNESCO)	<p>Basis for cooperation: decision IX/9 and IX/11</p> <p>Nature of cooperation: policy, legal and capacity building</p> <p>Activities and processes</p> <ul style="list-style-type: none"> <li>Cooperation in preparing documents (guide for small business to develop a computer recycling plan).</li> <li>Cooperation through PACE .</li> </ul>	<ul style="list-style-type: none"> <li></li> </ul>	<ul style="list-style-type: none"> <li></li> </ul>
United Nations Industrial Development Organization (UNIDO)	<p>Basis for cooperation: decision IX/9</p> <p>Nature of cooperation: technical, capacity building</p> <p>Activities and processes</p> <ul style="list-style-type: none"> <li>Cooperation through PACE.</li> </ul>	<ul style="list-style-type: none"> <li></li> </ul>	<ul style="list-style-type: none"> <li>Executing agency under GEF with comparative advantages on issues relating to cleaner production, implementation of BAT&amp;BEP;</li> <li>Technical assistance, capacity building, guidance development</li> <li>Guidance for the review and updating of the NIP is in preparation with UNIDO and UNITAR under</li> </ul>

International and regional organizations, MEAs, NGOs and networks	BC General basis for cooperation: decision IX/11 For more information, see: UNEP/CHW.10/INF/14	RC	SC
			<p>GEF project.</p> <ul style="list-style-type: none"> <li>Support to the implementation of BAT and BEP through regional forums in East and South East Asia, Eastern Europe, Caucasus and Central Asia, and Gulf Cooperation Countries.</li> </ul>
International Telecommunication Union	<p>Basis for cooperation: decision IX/11. MoU under discussion</p> <p>Nature of cooperation: policy, technical, capacity building</p> <p>Activities and processes</p> <ul style="list-style-type: none"> <li>Participation in meetings and processes: ITU-T Study Group 5 on Environment, the ITU working group on developing Technical Specifications for Sustainability Standards for the ICT Sector, ITU Symposium on Information and Communication technologies (ICTs) and the Environment and Climate Change in Accra</li> <li>Cooperation in preparing documents/reports (eg. Universal Chargers, A Method to provide recycling information of rare metals in ICT goods, global e-waste survey).</li> <li>Joint activities under discussion: ITU, UNCTAD and other stakeholders draft MoU with the aim to improve the availability and quality of statistical information on e-waste in the ICT sector</li> </ul>	<ul style="list-style-type: none"> <li></li> </ul>	<ul style="list-style-type: none"> <li></li> </ul>
United Nations Institute for Training and Research (UNITAR)		<p>Basis for cooperation: decision 3/5 and MoUs</p> <p>Activities and processes:</p> <ul style="list-style-type: none"> <li>Cooperation on technical</li> </ul>	<p>Basis for cooperation: Synergies decisions (IOMC organisation), others</p> <p>Nature of cooperation: capacity building and guidance development</p>

International and regional organizations, MEAs, NGOs and networks	BC General basis for cooperation: decision IX/11 For more information, see: UNEP/CHW.10/INF/14	RC	SC
		assistance <ul style="list-style-type: none"> <li>• Draft guidance on resource mobilization</li> <li>• SAIMC/QSP applications</li> <li>• Global Harmonized System (GHS)</li> </ul>	<ul style="list-style-type: none"> <li>• Guidance for the review and updating of the NIP is in preparation with UNIDO under GEF project.</li> <li>• Decision from RC to work with UNITAR on resource mobilization in the field of chemicals and hazardous wastes as part of the regional workshops on enhancing collaboration and cooperation between the Basel, Rotterdam and Stockholm conventions</li> <li>• Previous work to update the guidance on calculation of action plan costs (decision SC-4/9)</li> </ul>
United Nations University (UNU)		<ul style="list-style-type: none"> <li>•</li> </ul>	<ul style="list-style-type: none"> <li>• Cooperate and collaborate on technical matters as necessary or upon request such as on the POPs monitoring in the Asian Region with Shimazu Corporation and other POPs related technical meetings.</li> </ul>
International Atomic Energy Agency (IAEA)		<ul style="list-style-type: none"> <li>•</li> </ul>	<ul style="list-style-type: none"> <li>• Share information and expertise related to POPs monitoring and international calibration of POPs analysis,</li> </ul>
Other international and regional organizations			
World Customs Organization (WCO)	Basis for cooperation: decision IX/23, IX/18, MoU Nature of cooperation: policy, enforcement and illegal traffic, technical, capacity building Activities and processes <ul style="list-style-type: none"> <li>• Cooperation through GCI (see UNEP DTIE)</li> <li>• Operational activities: assistance from SBC in the preparation of customs operations (Demeter I and Demeter II).</li> <li>• Participation in meetings: WCO Enforcement Committee, WCO Harmonized System</li> </ul>	Basis for cooperation: decision 1/8 and MoU Activities and processes: <ul style="list-style-type: none"> <li>• HS Codes</li> <li>• Development of an internet tool</li> </ul>	<ul style="list-style-type: none"> <li>• Inform WCO when new chemicals are listed under the Stockholm Convention; request a new Customs code for new POPs as necessary.</li> <li>• Cooperation through GCI (see UNEP DTIE)</li> <li>• Development of Customs training e-learning tool</li> </ul>

International and regional organizations, MEAs, NGOs and networks	BC General basis for cooperation: decision IX/11 For more information, see: UNEP/CHW.10/INF/14	RC	SC
	<p>Committee (HSC)</p> <ul style="list-style-type: none"> <li>• Development of tools</li> <li>• Technical issues: cooperation on inclusion of BC wastes in HS</li> </ul>		
World Trade Organization	<p>Basis for cooperation: decision IX/11 (pending CTE observer status)</p> <p>Nature of cooperation: policy, legal, capacity building</p> <p>Activities and processes</p> <ul style="list-style-type: none"> <li>• Participation in meetings (CTE, upon invitation, and workshops - eg. workshop on Environmental Goods and Services, regional workshop on Trade and Environment, regional workshop on Trade and Environment for English Speaking African Countries regional WTO workshop in Colombia and from BCRC Dakar in a regional WTO workshop in Senegal).</li> <li>• Policy/legal consultations and exchange of information, including through bilateral between the ES and the DG.meeting</li> </ul>	<p>Basis for cooperation: decision 1/15</p> <p>Activities and processes:</p> <p>Seek observer status; report on WTO meetings attended; Monitor developments on the CTE in Special session; Reflect ways of enhancing information flows on matters of common interest</p>	<p>SSC participated as an observer in meetings of the World Trade Organization, including meetings of the Trade and Environment Committee. It is also engaged in a regular dialogue with World Trade Organization officials concerning the implementation of the Convention and other multilateral environmental agreements that contain trade-related measures. Similarly, a representative of the World Trade Organization participated in each of the previous meetings of the Conference of the Parties to the Stockholm Convention.</p>
United Nations Groups on the Information Society (UNGIS) WSIS	<p>Basis for cooperation: decision IX/11</p> <p>Nature of cooperation: policy</p> <p>Activities and processes</p> <ul style="list-style-type: none"> <li>• Participation in meetings (open consultations on financial mechanisms for meeting the challenges of ICT for development, World Summit on Information Society).</li> </ul>	•	•
3R Initiative established by the G-8	Basis for cooperation: decision IX/11	•	•

International and regional organizations, MEAs, NGOs and networks	BC		
	General basis for cooperation: decision IX/11 For more information, see: UNEP/CHW.10/INF/14	RC	SC
	Nature of cooperation: policy Activities and processes <ul style="list-style-type: none"> <li>Participation in 3R Initiative</li> </ul>		
Organization for Security and Co-operation in Europe (OSCE)	Basis for cooperation: decision IX/23 Nature of cooperation: enforcement and illegal traffic Activities and processes <ul style="list-style-type: none"> <li>Exchange of information and consultations on project on capacity building for combating illegal waste transportation to Eastern Europe.</li> </ul>	<ul style="list-style-type: none"> <li></li> </ul>	<ul style="list-style-type: none"> <li></li> </ul>
Interpol	Basis for cooperation: decision IX/23, MoU Nature of cooperation: enforcement and illegal traffic, legal, capacity building, policy Activities and processes <ul style="list-style-type: none"> <li>Cooperation through GCI (see UNEP DTIE)</li> <li>Participation in meetings (Interpol Pollution Crime Working Group, International Conference on Environmental Crime, Interpol's Global E-Waste Crime Group Conference)</li> <li>Joint activities: development of joint e-learning tool, cooperation through Interpol's Global E-Waste Crime Group</li> </ul>	<ul style="list-style-type: none"> <li></li> </ul>	<ul style="list-style-type: none"> <li>Cooperation through GCI and SBC (see UNEP DTIE)</li> <li>Joint activities: development of joint e-learning tool,</li> </ul>
Global Environment Facility (GEF)	Basis for cooperation: decision VIII/34 and IX/11 Nature of cooperation: policy, capacity building Activities and processes: The Secretariat participates as part of the UNEP observer	<ul style="list-style-type: none"> <li></li> </ul>	Basis for cooperation: Stockholm Convention, Articles 13 and 14 Nature of cooperation: policy, capacity building, enforcement <b>Activities and processes:</b>

International and regional organizations, MEAs, NGOs and networks	BC General basis for cooperation: decision IX/11 For more information, see: UNEP/CHW.10/INF/14	RC	SC
	<p>delegation to GEF. Accordingly, the Secretariat attended the GEF Council meeting in November 2009.</p> <ul style="list-style-type: none"> <li>• Participation in meetings: GEF Council meeting, Scientific and Technical Advisory Panel (STAP)</li> <li>• Cooperation on project proposals which involve BCRCs and the Secretariat (see section on UNEP GEF Unit above).</li> </ul>		<p><b>1. Review of the financial mechanism</b> Paragraph 8 of Article 13; 1st and 2nd Reviews of the Financial Mechanism: SC-1/10 and SC-3/17 3rd review: Decision SC-5/25 Objective: Review of the effectiveness of the FM in supporting the implementation of the Convention, including performance of the GEF</p> <p><b>2. Guidance to the financial mechanism</b> Mandate: paragraphe 6 and 7 of Article 13 Decisions: SC-1/9; SC-2/11; SC-3/16; SC-4/27 SC-4/28, SC-5/23 Scope: Determination of: - Policy, strategy and programme priorities - Criteria and guidelines regarding eligibility to the financial mechanism - Consolidated guidance updated every four years after COP-6 - Consolidated guidance as input to negotiations on the replenishment of the GEF Trust Fund of the Global Environment Facility</p> <p><b>3. Implementation of the MOU SC COP and GEF Council</b> Mandate: Article 13 paragraph 7, Decision SC-1/11 Adoption of MoU with Council on relationship: - COP guidance and conformity with the guidance - Reporting</p>

International and regional organizations, MEAs, NGOs and networks	BC General basis for cooperation: decision IX/11 For more information, see: UNEP/CHW.10/INF/14	RC	SC
			<ul style="list-style-type: none"> <li>- M&amp;E</li> <li>- Cooperation between Secretariats and reciprocal representation</li> </ul> <p>Reviewed at each COP</p> <p><b>4. Development of project proposals and support in implementation of projects:</b></p> <ul style="list-style-type: none"> <li>- Review of proposals submitted to the GEF during the review/comment period</li> <li>- Participation in some project activities, in accordance with the Secretariat mandate (i.e. development of guidance for NIPs)</li> </ul> <p><b>5. Participation in meetings:</b> GEF Council meeting, Scientific and Technical Advisory Panel (STAP) replenishment meetings and POPs-task force</p>
Organisation for Economic Co-operation and Development (OECD)		<ul style="list-style-type: none"> <li>•</li> </ul>	<ul style="list-style-type: none"> <li>• Cooperate and collaborate on technical matters as necessary or upon request such as on the PFCs Steering Committee</li> <li>• Organize joint webinars as necessary</li> </ul>
Non-governmental organizations / Networks			
Global Major Groups and Stakeholders	<p>Basis for cooperation: decision IX/11</p> <p>Nature of cooperation: policy</p> <p>Activities and processes:</p> <ul style="list-style-type: none"> <li>• Participation in meetings: UNEP 11th Global Major Groups and Stakeholders Forum</li> </ul>	<ul style="list-style-type: none"> <li>•</li> </ul>	<ul style="list-style-type: none"> <li>• Participation in the meetings, technical expert groups, etc: <ul style="list-style-type: none"> <li>- IPEN (International POPs Elimination Network)</li> <li>- Arctic Monitoring and Assessment Programme (AMAP)</li> </ul> </li> </ul>

International and regional organizations, MEAs, NGOs and networks	BC	RC	SC
	General basis for cooperation: decision IX/11 For more information, see: UNEP/CHW.10/INF/14 (GMGSF-XI) on 21 February 2010.		
European Union Network for the Implementation and Enforcement of Environmental Law (IMPEL)	<p>Basis for cooperation: decision IX/11, IX/23, MoU</p> <p>Nature of cooperation: policy, enforcement/illegal traffic, capacity building</p> <p>Activities and processes:</p> <ul style="list-style-type: none"> <li>• Participation in meetings: IMPEL TFS Annual meetings</li> <li>• Joint Activities: cooperation through projects (E-wastes Africa project)</li> </ul>	•	•
International Network for Environmental Compliance and Enforcement (INECE)	<p>Basis for cooperation: decision IX/11, IX/23, MoU</p> <p>Nature of cooperation: policy, enforcement/illegal traffic, capacity building</p> <p>Activities and processes:</p> <ul style="list-style-type: none"> <li>• Consultations and information exchange</li> <li>• Participation in meetings: INECE Seaport Environmental Security Network (SESN), INECE International Conference</li> <li>• Activities: cooperation in the development of INECE SESN's inspection projects; preparation of reports.</li> </ul>	•	•
Asian Network on the Control of Illegal Traffic in Hazardous Wastes	<p>Basis for cooperation: decision IX/11, IX/23</p> <p>Nature of cooperation: policy, enforcement/illegal traffic</p> <p>Activities and processes:</p> <ul style="list-style-type: none"> <li>• Participation in meetings of the workshops of the Asian Network.</li> </ul>	•	•
Waste Shipment Compliance and Enforcement Platform	<p>Basis for cooperation: decision IX/11, IX/23</p> <p>Nature of cooperation: policy, enforcement/illegal traffic, capacity building</p> <p>Activities and processes:</p> <ul style="list-style-type: none"> <li>• Participation in meetings</li> <li>• Exchange of information and consultations</li> </ul>	•	•
Solving the E-waste Problem Initiative (StEP)	<p>Basis for cooperation: decision IX/9, MoU</p> <p>Nature of cooperation: policy, capacity building</p> <p>Activities and processes:</p> <ul style="list-style-type: none"> <li>• Cooperation through PACE</li> </ul>	•	•

International and regional organizations, MEAs, NGOs and networks	BC		
	General basis for cooperation: decision IX/11 For more information, see: UNEP/CHW.10/INF/14	RC	SC
	<ul style="list-style-type: none"> <li>• Participation in meetings (Task Force on policy and legislation)</li> <li>• Preparation of documents (global e-waste survey (see also ITU above).</li> <li>• Cooperation through projects (E-waste Africa project).</li> </ul>		
Sahelian Pesticides Committee		Basis for cooperation: decision 3/6 Activities and processes (coordinated by SRC Rome): <ul style="list-style-type: none"> <li>• Cooperation and support to DNAs in the region</li> </ul>	•
Asia Pacific Plant Protection Commission		Basis for cooperation: decision 3/6 Activities and processes (coordinated by SRC Rome): Participation of regional experts in APPPC meetings	•
CIEL		(TBC)	•
Governments			
GIZ		(TBC)	•

## Annex: Functions related to international cooperation<sup>25</sup> (draft 24.11.11)

*NB: International cooperation does not operate in a vacuum: it is one way for the secretariats to deliver on their mandates, whether on substantive matters or for institutional reasons (relationship with UNEP and FAO). Each branch of the Secretariat is thus expected to have "international cooperation" functions.*

### **1. Ensure that the secretariats have a harmonized approach to international cooperation, eg:**

- Clarifying the overall policy direction of the secretariats with regards to international cooperation
- Maintain overview of the secretariats' international cooperation
- Ensuring, when possible, that international cooperation serves all 3 conventions
- Cooperation with UNEP and FAO (at the institutional level)

### **2. Establish the cooperation:**

- Identification of the basis for cooperation: 1) a COP/SB decision requesting secretariat to cooperate with a partner, 2) the added value of cooperating with a partner, or 3) an invitation by a partner to cooperate
- Identification of the objectives of the cooperation and intended outcomes
- Identification of the scope of the cooperation (policy/strategic, scientific/technical, legal, enforcement, TA...)
- Clarification of the respective roles of the Secretariat and partners
- Identification of the format for cooperation (bilateral or multilateral, short term or longer term, member or observer) and, if needed, formalization of the cooperation (eg: request for observer status, Framework Agreement, MoU).

### **3. Maintain and review the cooperation:**

Contact/meetings with the partner on a regular basis to:

- Assess progress/challenges in the cooperation,
- Set directions for future cooperation (or not), and
- Communicate and build on any COP/SB decision.

### **4. Identify and implement cooperative activities/approaches:**

Eg: consultations, advice and exchange of information, development of initiatives (eg. a network), organization and/or participation in meetings, elaboration of documents or publications, planning and delivery of TA projects/tools/trainings.

### **5. Coordinated report on international cooperation to subsidiary bodies and COPs**

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<sup>25</sup> The functions presented in this document are based on the 13.10.2011 table mapping the various international cooperation activities and processes of the three secretariats, that focuses on cooperation with IGOS and NGOs/networks.

## H. Subgroup on resource mobilisation

### 1. Summary

#### **Summary of the outcomes of the sub-group on Resource Mobilization under the Basel, Rotterdam and Stockholm Conventions**

##### 1. Summary of activities of the group

The main task of the subgroup on Resource Mobilization (RM) under the Basel, Rotterdam and Stockholm Conventions included the compilation of past and ongoing processes and operations of the Secretariats of the three Conventions in the context of mobilizing financial resources for the respective voluntary special trust funds.

The group focused on issues related to strategic RM and donor relations; implementation of the RM strategies and communication with donors; quality assurance and quality control, including the preparation of project documents, reporting, and monitoring; and RM facilitation and support through Public Awareness and outreach activities.

The RM operations and processes used by each of the three Conventions were presented in comparative tables.

##### 2. Observations and recommendations

###### i. Strategic RM and donor relations:

- Approaches to donors can to a large extent be done in synergy, which has already been implemented in the past two years (e.g. EC ENRTP and synergy projects);
- In particular synergies can be achieved where the focal areas of the three Conventions has common issues (e.g. PCBs, dioxin reduction/co-processing, enforcement);
- Following closely the negotiations between UNEP and other donors was crucial for securing adequate allocation of funding for the chemical and waste MEAs.

###### Recommendations:

- |   |
|---|
| <ul style="list-style-type: none"><li>- A harmonized RM strategy could be developed in cooperation with staff and approved by the Executive Secretary. This RM strategy should contain the definition and scope and it could encompass all aspects of RM of the secretariat;</li><li>- The RM strategy could also include, for example, UNEP negotiations with donors, other external RM activities and relations to the GEF;</li><li>- A general work plan could be prepared, indicating main dates when project proposal are expected so that donors deadlines are met.</li><li>- A RM focal point/coordinator could be established to implement the RM strategy and coordinate RM activities of the secretariat. The RM focal point/coordinator could liaise with technical units.</li></ul> |
|---|

###### ii. The actual mobilization of resources and communication with donors:

- The organization of the donor meetings allowed the establishment of personal contacts within the EPAs, Ministries and other key institutions in the donor community;
- With regard to RM for convention-specific activities, RC and SC coordinated their approach to donors
- Resource mobilization of individual staff members at meetings, conferences and other occasions proved to be beneficial if closely coordinated within the Secretariat and the RM focal point

###### Recommendations

- |   |
|---|
| <ul style="list-style-type: none"><li>- Donors meetings dealing with synergy activities could continue to be prepared and organized in coordination with the Secretariats;</li><li>- The individual RM of staff members and other convention-specific RM activities could continue, the RM focal point/coordinator needs to be advised and aware of these interactions;</li></ul> |
|---|

- For all RM-related activities, the RM focal point/coordinator could ensure a coordinated approach, transparency and alignment with other activities of the secretariats;
- To avoid confusion and to ensure a harmonized approach, communication with donors on RM-related issues could be done through the RM focal point/coordinator (e.g. prioritization, development and submission of proposals, reporting and follow-up on individual RM activities).
- A common project follow up data base could be updated using already existing tracking tool.

### iii. Quality assurance and quality control – project documents, reporting, and monitoring

- The preparation of project documents, implementation follow-up, monitoring and reporting has been coordinated by JCS and the RM focal point.
- QA/QC functions performed by the RM focal point and JCS increased the quality of project documents and reports submitted to donors.
- There is considerable overlap with activities under International Cooperation which should be recognized (e.g. cooperation with the GEF, World Bank, UNDP, and other donor agencies).

### Recommendations

- The RM focal point/coordinator could develop a harmonized template for project proposals that follows RBM principles and other materials to be used for RM for all three conventions;
- The RM focal point/coordinator could continue to provide QA/QC functions by ensuring that project proposals and reports are in line with the RM strategy and donor requirements (format, deadlines, etc.).

### iv. RM facilitation and support through PA/Outreach

- Facilitation activities have been undertaken for BC specific project, programme and partnership development with BCRCs and other partners is convention specific;
- The matchmaking activities and activities to facilitate the access to means of implementation make use of the RC FAO offices as well as the SC Regional Centres networks
- In terms of RM support through PA/Outreach, activities focused primarily on in-kind or subsidies for one-off events; events management, esp. of brands; recognition of donors/sponsors; personal contacts with celebrity supporters and media; research of goodwill ambassadors; and the recruitment of high profile spokespersons.

### Recommendations

- The implementation of matchmaking and facilitation activities of the secretariats could continue and be implemented through the technical units with support and coordinated by the RM focal point/coordinator;
- The support of RM through PA/Outreach could continue. The RM focal point/coordinator should ensure that RM related PA/Outreach activities are aligned with the RM strategy.

## 2. Processes and procedures on resource mobilization

### Prepared by the Subgroup: Resource Mobilization

#### Mandates:

- BC: Art. 14: Financial Aspects/Art. 16: Secretariat, decisions VIII/34 and OEWG-VII/16
- RC: decision RC-5/11
- SC: Art. 13 and 14: Financial Mechanism, decision SC-5/34
- Synergies: decisions BC-IX/10, SC-4/34, section IV B; Omnibus decisions BC.Ex-1/1, RC.Ex-1/1, SC.Ex-1/1, section III, paragraph 3.

Cluster 1: Resource mobilization for the Voluntary Special Trust Funds of the Basel, Rotterdam and Stockholm Conventions			
Process 1.1: Organization of donor meetings and establishment of contacts within the donor community (donor profiles)			
CONVENTION-SPECIFIC PROCESSES AND STEPS			
<b>Lead units:</b> BC - Implementation and Capacity Building Unit (ICBU); <b>RC/SC</b> - SC Policy and coordination unit (PCU); <b>JCS</b> - PAO unit  <b>Other divisions involved:</b> BC - Conferences Services and Governance Unit (CSGU), Programme Support Unit (PSU), Executive Secretary; <b>RC/SC</b> – JCS/Executive Secretary; <b>JCS</b> – n/a			
Basel	Rotterdam	Stockholm	JCS
<u>Objective:</u> to ensure that activities of the programme of work of the Basel, Rotterdam and Stockholm Conventions are funded through contributions to the voluntary trust funds of the Conventions  <u>Process description:</u> <ul style="list-style-type: none"> <li>The SC and RC Secretariats and also separately the BC Secretariat implement programmes of donor meetings that are held with the Executive Secretary and the responsible staff member for resource mobilization.</li> <li>At the donor meetings, the donor presents its strategic and geographic priorities</li> <li>The Secretariats present and discuss with the donor the programme of work and strategic priorities.</li> <li>Project proposals are prepared and submitted to the donor (see resource mobilization process 2)</li> <li>To support the discussions during the meeting, background material, donor profiles are prepared</li> </ul>			<u>Objective:</u> to secure external sponsorships in support of implementation of the 3 conventions' global public awareness and outreach strategy  <u>Process description:</u> <ul style="list-style-type: none"> <li>Donor meetings and events held in conjunction with planned outreach activities</li> <li>Communication with potential donors</li> </ul>

<ul style="list-style-type: none"> <li>• In some cases also synergy activities are being discussed as well.</li> </ul> <p><u>Comments/observations:</u></p> <ul style="list-style-type: none"> <li>• Approach to donors can to a large extent be done in synergy with BC, RC and SC.</li> <li>• In particular synergies can be achieved where the BC focal areas coincide with SC and RC, e.g. PCBs, dioxin reducing/co-processing, enforcement;</li> <li>• The organization of the donor meetings allowed the establishment of personal contacts within the EPAs, Ministries and other key institutions in the donor community.</li> <li>• Several projects proposals have been funded through the meetings or follow-up discussions.</li> <li>• The meetings also allowed the exchange of information on other strategic issues related to the implementation of the Conventions, organization of COPs and other events.</li> <li>• It further provided valuable insights in trends, changing priorities, planning cycle and requirements of the involved institution.</li> <li>• There is considerable overlap with activities under International Cooperation which should be recognized (e.g. cooperation with the World Bank, UNDP, other donors agencies).</li> </ul>	<p>usually made in advance of planned events</p> <p><u>Comments/observations:</u></p> <ul style="list-style-type: none"> <li>• Resources raised are primarily in-kind or subsidies for one-off events</li> <li>• Events management, esp. of brands Recognition of donors/sponsors</li> <li>• Donors profiles needed</li> <li>• Personal contacts with celebrity supporters and media.</li> </ul>
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Process 1.2: Identification and development of project proposals			
CONVENTION-SPECIFIC PROCESSES AND STEPS			
<b>Lead units:</b> BC – n/a ; RC/SC - SC Policy and coordination unit (PCU) ; JCS – n/a <b>Other divisions involved:</b> BC – n/a ; RC/SC – Executive Secretary; JCS – n/a			
Basel	Rotterdam	Stockholm	JCS
<p><u>Objective:</u> to ensure that donors receive high quality proposals that respond to their needs and requirements by using a harmonized format for project proposals that take into account results based management (RBM) principles</p> <p><u>Process description:</u></p> <ul style="list-style-type: none"> <li>For donor missions and other submissions, background material and project proposals have been prepared</li> <li>The project proposals use a harmonized template that follows RBM principles.</li> <li>Prior to donor meetings and other funding opportunities, meetings with substantive staff are organized that focus on pre-screening of high priority activities being part in the programme of work and requiring funding</li> <li>Based on these preliminary discussions, the staff member responsible for resource mobilization (RM focal point) requests the submission of proposals using the templates</li> <li>The RM focal point then compiles and finalizes the proposal in close cooperation with the technical units</li> <li>The RM focal point also collects background information on the proposals, such as priorities, already funded component, time frame and partners (e.g. regional centres)</li> <li>The Executive Secretary approves the funding package to be presented to the donor (the package can vary depending on the donor).</li> </ul> <p><u>Comments/observations:</u></p> <ul style="list-style-type: none"> <li>(see Process 1)</li> </ul>			<p><u>Objective:</u> n/a</p> <p><u>Process description:</u> n/a</p> <p><u>Comments/observations:</u> n/a</p>

Process 1.3: Drafting of project documents, monitoring of project implementation and reporting			
CONVENTION-SPECIFIC PROCESSES AND STEPS			
Lead units: BC – n/a ; RC/SC - SC Policy and coordination unit (PCU) ; JCS – n/a			
Other divisions involved: BC – n/a ; RC/SC – Executive Secretary; JCS – n/a			
Basel	Rotterdam	Stockholm	JCS
<p><u>Objective:</u></p> <p>To ensure that donors receive high quality project documents and reports that respond to their needs and requirements by using appropriate formats that take into account results based management (RBM) principles</p> <p><u>Process description:</u></p> <ul style="list-style-type: none"> <li>Following the successful submission and approval of funding proposals, the staff member responsible for resource mobilization (RM focal point) has informed the technical units of the approval of the donor</li> <li>The RM focal point will also inform JCS (Admin) who will arrange for the invoicing of the voluntary contribution to the donor, reporting to UNEP/CSS on the coming donor funding for deposit and recording on the respective trust fund</li> <li>The RM focal point then contacted the donor regarding the templates to be used and the deadlines for reporting.</li> <li>The preparation of project documents has been coordinated by the RM focal point. This included the distribution of templates to the technical units and the setting of submission deadlines.</li> <li>For draft project documents, the RM focal point also performed to some extent QA/QC functions and requested possible changes, if required</li> <li>The Executive Secretary approved the project proposal to be submitted to the donor</li> <li>The RM focal point followed/monitored the implementation and has been in contact with technical staff regarding reporting deadlines and other milestone events.</li> <li>The preparation of financial and substantive project reports has been coordinated by the RM focal point (substantive) and JCS (financial). This included the distribution of templates to the technical units and the setting of submission deadlines.</li> <li>For draft project reports, the RM focal point and JCS also performed to some extent QA/QC functions and requested possible changes, if required</li> <li>The Executive Secretary approved the project reports to be submitted to the donor.</li> </ul> <p><u>Comments/observations:</u></p> <ul style="list-style-type: none"> <li>QA/QC functions performed by the RM focal point and JCS increased the quality of project documents and reports submitted to donors. Relatively few comments were received.</li> </ul>			<p><u>Objective:</u> n/a</p> <p><u>Process description:</u> n/a</p> <p><u>Comments/observations:</u> n/a</p>

Process 1.4: Following negotiations of UNEP with donors on strategic funding agreements			
CONVENTION-SPECIFIC PROCESSES AND STEPS			
Lead units: BC – n/a ; RC/SC - SC Policy and coordination unit (PCU) ; JCS – n/a			
Other divisions involved: BC – n/a ; RC/SC – Executive Secretary; JCS – n/a			
Basel	Rotterdam	Stockholm	JCS
<p><u>Objective:</u> to ensure that the MEA interests are reflected in UNEP-led negotiations with donors that have implications for the contributions to the BC/RC/SC voluntary trust funds</p> <p><u>Process description:</u></p> <ul style="list-style-type: none"> <li>The MEA Secretariats have provided input to requests of the UNEP RM unit for bilateral and other funding opportunities</li> <li>The RM focal point has followed the negotiations between UNEP and the European Commission to ensure that MEA interests and properly reflected</li> <li>The RM focal point followed the implementation of the Consultative Process on Financing Options for Chemicals and Wastes</li> <li>The RM focal point has been in contact with the UNEP RM unit and other relevant offices, such as ROE, to discuss RM-related matter and provide input into ongoing processes.</li> </ul> <p><u>Comments/observations:</u></p> <ul style="list-style-type: none"> <li>Following closely the negotiations between UNEP and other donors was crucial for securing adequate allocation of funding for the chemical and waste MEAs.</li> </ul>			<p><u>Objective:</u> n/a</p> <p><u>Process description:</u> n/a</p> <p><u>Comments/observations:</u> n/a</p>

## Cluster 2: Leveraging financial support and matchmaking activities

### Process 2.1: Matchmaking activities between donor and recipient countries

#### CONVENTION-SPECIFIC PROCESSES AND STEPS

**Lead units:** BC - Implementation and Capacity Building Unit (ICBU); RC/SC - SC Policy and coordination unit (PCU); JCS – n/a

**Other divisions involved:** BC - Conferences Services and Governance Unit (CSGU), Programme Support Unit (PSU), Executive Secretary; RC/SC – JCS/Executive Secretary; JCS – n/a

Basel	Rotterdam	Stockholm	JCS
<p><u>Objective:</u> to ensure the provision of sufficient resources in the BD Trust Fund to support the priority focal areas of the Strategic Plan for the implementation of the BC.</p> <p><u>Process description:</u></p> <ul style="list-style-type: none"><li>Develop a strategy for the mobilization of resources in the Technical Cooperation Trust Fund of the Basel Convention and to assist Parties and BCRCs to increase resources needed to implement the Basel Convention;</li><li>Facilitate fundraising for activities that are not funded from the Basel Convention Trust Fund (BC); provide training and develop tools and strategies on resource mobilization</li></ul> <p><u>Comments/observations:</u></p> <ul style="list-style-type: none"><li>Facilitation activities for BC specific project, programme and partnership development with BCRCs and other partners is convention specific;</li></ul>	<p><u>Objective:</u> to facilitate the access of developing countries and CEITs to financial resources</p> <p><u>Process description:</u></p> <ul style="list-style-type: none"><li>Active matchmaking between donor and recipient countries</li></ul> <p><u>Comments/observations:</u></p> <ul style="list-style-type: none"><li>The matchmaking activities and activities to facilitate the access to means of implementation make use of the the RC FAO offices as well as the SC Regional Centres networks</li><li>SC COP-5 report on brokering tool provides overview on matchmaking services provided (case studies)</li><li>Successful continuation of the facilitation role after SC and RC COP-5</li></ul>	<p><u>Objective:</u> n/a</p> <p><u>Process description:</u> n/a</p> <p><u>Comments/observations:</u> n/a</p>	

## Process 2.2: Public awareness and outreach for leveraging of financial support

### CONVENTION-SPECIFIC PROCESSES AND STEPS

**Lead units:** BC - ; RC/SC – n/a JCS – PAO unit

**Other divisions involved:** BC – n/a ; RC/SC – n/a ; JCS - PAO unit

Basel	Rotterdam	Stockholm	JCS
<p><u>Objective:</u> to leverage external resources in support of Basel Waste Solutions Circle</p> <p><u>Process description:</u></p> <ul style="list-style-type: none"> <li>Develop a strategy for the Basel Waste Solutions Circle;</li> <li>Outreach materials in development</li> <li>Brand management</li> </ul> <p><u>Comments/observations:</u></p> <ul style="list-style-type: none"> <li>MOU with consultancy</li> <li>Research of goodwill ambassadorship</li> <li>Uncertainty over development of global marketing, sales and sponsorship strategy through Safe Planet Campaign</li> </ul>	<p><u>Objective:</u> to leverage external resources in support of RTK flagship campaign</p> <p><u>Process description:</u></p> <ul style="list-style-type: none"> <li>Develop global marketing, sales and sponsorship strategy through Safe Planet Campaign</li> <li>Outreach sponsorship materials in development</li> <li>Thematic events</li> <li>Brand management</li> </ul> <p><u>Comments/observations:</u></p> <ul style="list-style-type: none"> <li>MOU with consultancy</li> <li>Cooperation with OzonAction, TERRE Policy Centre (India)</li> <li>Recruitment of high profile spokespersons</li> </ul>	<p><u>Objective:</u> to leverage external resources in support of Climate Change and Chemicals publication</p> <p><u>Process description:</u></p> <ul style="list-style-type: none"> <li>Develop global marketing, sales and sponsorship strategy through Safe Planet Campaign Brand management</li> </ul> <p><u>Comments/observations:</u></p> <ul style="list-style-type: none"> <li>MOU with consultancy</li> <li>MOUs with BC/SC RCs</li> <li>Recruitment of high profile climate change / chemicals spokesperson</li> </ul>	<p><u>Objective:</u> to leverage external resources in support of strategic outreach objectives of the work programme(s) and special projects</p> <p><u>Process description:</u></p> <ul style="list-style-type: none"> <li>Develop global marketing, sales and sponsorship strategy through Safe Planet Campaign Brand management</li> </ul> <p><u>Comments/observations:</u></p> <ul style="list-style-type: none"> <li>MOU with consultancy</li> <li>Current resource mobilization between two or more external partners (non pass-through)</li> <li>Tacit support of Secretariat</li> <li>Sources of funds should not compete with conventions' POW funding sources (New resource principle)</li> </ul>

## **I. Subgroup on Information management and public awareness matters**

### **1. Summary**

#### Knowledge management and public awareness - Summary

Through combining Knowledge Management and Outreach and Public Awareness into a single function, the secretariats will enhance information and communication coherence, and streamline delivery of services to Parties and other stakeholders. Knowledge management functions are independent from the technology used; hence the separation from Information Technology functions.

Knowledge management comprises strategies and practices used in an organization to identify, create, represent, distribute, and enable retention of insights and experiences. Such insights and experiences comprise knowledge, either embodied in individuals or embedded in organizations as processes or practices.

Outreach is a means by which public awareness is raised in order to increase external support for and delivery of resources to the implementation of the conventions.

Knowledge management and public awareness are a cross-cutting function which is inherently dependent upon close cooperation and coordination between relevant branches of the organization.

## Subgroup on Public Awareness, Outreach and Knowledge Management<sup>26</sup>

### 2. List of current processes

Basel, Rotterdam & Stockholm conventions process	Examples (taken from other subgroups)	Variation from common process
<b>1. Strategy and overall information management</b> <ol style="list-style-type: none"> <li>Develop and maintain an overall communication strategy, including more specific strategies and communication plans</li> <li>Develop and maintain an overall knowledge management strategy</li> <li>Develop and maintain needs-based Convention specific and/or joint strategies and work plans under the overall knowledge management and clearing-house mechanism strategies (to feed into activities 9 &amp; 11 listed below)</li> <li>Develop and maintain branding and visual identity guidelines (web and print)</li> <li>Develop and maintain publishing process (web and print)</li> <li>Develop and maintain distribution strategy for conventions' publications and public awareness materials</li> <li>Ensure that clearing-house strategy is reflected in other Information Management guidelines</li> <li>Crisis management</li> <li>Monitoring effectiveness of information management</li> </ol>	<b>1. Support to COPs and subsidiary bodies meetings</b> <i>Derivates from COPs and Subsidiary Bodies subgroup:</i> <ol style="list-style-type: none"> <li>Communication strategy</li> </ol> <b>2. Support to scientific and technical issues, reporting, technical assistance, and others</b> <ol style="list-style-type: none"> <li>Communication strategy</li> <li>Knowledge management and information exchange strategy (joint and convention specific)</li> </ol>	<ol style="list-style-type: none"> <li>Convention specific strategies and plans to be assets on a case-by-case basis</li> <li>For RC, need for close cooperation and involvement of the Rome-based Secretariat to include their specific communication &amp; KM needs and strategies</li> </ol>
<b>2. Brand management</b> <ol style="list-style-type: none"> <li>Perform quality control activities for all on-line and print publications (including website layout, posters, leaflets, newsletters, business cards, PowerPoint presentations etc.)</li> <li>Intellectual Properties issues (authorization on logo use, photos credits...) with, if need be, advices</li> </ol>		<ol style="list-style-type: none"> <li>Link to the FAO brand standards</li> </ol>

<sup>26</sup> **Participants:** Nalini Basavaraj, Digna Francisco, Julien Hortonedo (chair), Christophe Marchat, Michael Stanley-Jones, Alain Wittig

<p>from legal team</p> <p>c. Develop and maintain branding and visual identity guidelines (web and print)</p>		
<p><b>3. Production of publications &amp; public awareness materials</b></p> <p>a. Manage budget allotted to publications</p> <p>b. Coordinate planning, forecasting, editing, printing/production<sup>27</sup>, reproduction and distribution of convention publications</p> <p>c. Oversee graphic design, review print proofs and provide quality assurance</p> <p>d. Liaise with programme officers of the secretariats, graphic designers and printers</p> <p>e. Follow up on the submission dates of the final drafts and production schedule</p> <p>f. Verify invoices received and approve them for payment</p> <p>g. Ensure posting of final versions of the publications on respective conventions websites</p>	<p><b>1. Assistance to the Parties</b> <i>Derivates from Technical Assistance subgroup:</i></p> <p>a. Publications (including training and guidance manuals, case studies, leaflets, information notes, brochures, newsletters etc.)</p> <p><b>2. Other information transmitted to Parties and other stakeholders</b> <i>Derivates from Transmission of Information and Scientific and Technical Issues subgroups:</i></p> <p>a. Development of technical documents, including technical guidance documents</p> <p><b>3. Support to COPs and Subsidiary Bodies meetings</b> <i>Derivates from COPs and Subsidiary Bodies subgroup:</i></p> <p>a. Publications</p> <p>b. Public awareness-raising materials</p>	<p>1. Translation for web content is specific to Rotterdam Convention where content is posted only if it is available in 3 languages.</p> <p>2. All processes described in the left column are to be closely coordinated with the Rome-based Secretariat of the RC</p>
<p><b>4. Press and media relations</b></p> <p>a. Prepare and issue press releases / news stories</p> <p>b. Organize press events / briefings</p> <p>c. Prepare and dispatch media kits and other media related materials</p> <p>d. Speechwriting</p> <p>e. Perform public speaking, deliver lectures</p> <p>f. Scheduling and giving interviews</p> <p>g. Respond to media enquiries</p> <p>h. Media accreditation</p> <p>i. Provide co-drafting service</p>	<p><b>1. Assistance to the Parties</b> <i>Derivates from Technical Assistance subgroup:</i></p> <p>a. Related media activities (briefings, press releases etc.)</p> <p>b. Communication with project's partners</p> <p><b>2. Support to COPs and Subsidiary Bodies meetings</b> <i>Derivates from COPs and Subsidiary Bodies subgroup:</i></p>	<p>1. All processes described in the left column are to be closely coordinated with the Rome-based Secretariat of the RC</p>

<sup>27</sup> See Procedures and Processes: design, layout & printing document

	<ul style="list-style-type: none"> <li>c. Mission and Press briefings and other briefings (e.g. webinars)</li> <li>d. Press releases and media relations / inquiries, including liaison with UNEP/DCPI</li> </ul>	
<b>5. Exhibitions and special events management and planning</b> <ul style="list-style-type: none"> <li>a. Manage invitations</li> <li>b. Schedule speakers<sup>28</sup></li> <li>c. Define list of materials to be displayed / distributed</li> <li>d. Prepare consignments and special materials</li> <li>e. Coordinate, set up and staff exhibitions and side events</li> <li>f. Determine type and quantity of public awareness materials to be displayed and distributed</li> <li>g. Arrange catering<sup>29</sup></li> <li>h. Liaise and provide support to host organization and event partners</li> </ul>	<b>1. Support to COPs and Subsidiary Bodies meetings</b> <i>Derivates from COPs and Subsidiary Bodies subgroup:</i> <ul style="list-style-type: none"> <li>a. Speeches and opening remarks</li> <li>b. Organize and coordinate side events</li> <li>c. Organize and coordinate exhibitions</li> <li>d. Conference gifts and information packages</li> <li>e. Other awareness raising materials</li> </ul>	1. All processes described in the left column are to be closely coordinated with the Rome-based Secretariat of the RC
<b>6. Campaigns and other outreach activities management</b> <ul style="list-style-type: none"> <li>a. Developing and managing outreach campaigns</li> <li>b. Developing other outreach activities</li> <li>c. Facilitate celebrity or good will ambassadors appearances</li> </ul>	<b>1. Assistance to the Parties</b> <i>Derivates from Technical Assistance subgroup:</i> <ul style="list-style-type: none"> <li>a. Awareness raising workshops and webinars</li> <li>b. Support to resource mobilization and fundraising activities</li> </ul> <b>2. Support to COPs and subsidiary bodies meetings</b> <i>Derivates from COPs and Subsidiary Bodies subgroup:</i> <ul style="list-style-type: none"> <li>a. Conference gifts and information packages</li> <li>b. Other awareness raising materials</li> </ul>	1. All processes described in the left column are to be closely coordinated with the Rome-based Secretariat of the RC
<b>7. Multimedia resources management and production</b> <ul style="list-style-type: none"> <li>a. Produce multimedia (for example, photos, movies, podcasts)</li> <li>b. Coordinate multimedia documents compilation</li> <li>c. Produce or procure graphic design services</li> </ul>	<b>1. Support to COPs and subsidiary bodies meetings</b> <i>Derivates from COPs and Subsidiary Bodies subgroup:</i> <ul style="list-style-type: none"> <li>a. Taking, publishing and archiving pictures</li> <li>b. Conference gifts and information packages</li> </ul>	1. All processes described in the left column are to be closely coordinated with the Rome-based Secretariat of the RC
<b>8. Internal knowledge management</b> <ul style="list-style-type: none"> <li>a. Maintain, archive and update official documents libraries / repositories (M-Files)</li> <li>b. Maintain and update publications repositories</li> </ul>	<b>1. National Reporting</b> <i>Derivates from Transmission of Information subgroup:</i> <ul style="list-style-type: none"> <li>a. Prior Step – Other kinds of communication</li> <li>b. Step I- Communication,</li> </ul>	1. All processes described in the left column are to be closely coordinated with the Rome-based Secretariat of the RC

<sup>28</sup> Ad hoc process

<sup>29</sup> Ad hoc process

<ul style="list-style-type: none"> <li>c. Maintain and update multimedia stock and libraries / repositories</li> <li>d. Maintain and update other public information &amp; outreach materials stock and inventory (posters, kits etc.)</li> <li>e. Maintain events and meetings calendars including workshops and webinars</li> <li>f. Maintain contacts directory (OCP, NFP, DNA, FP, CA etc.) and correspondence management and tracking</li> <li>g. Track media placements, clippings and citations</li> <li>h. Taxonomy / indexing management</li> <li>i. Ensure that other types of databases are compatible with the clearing-house mechanism</li> <li>j. Coordinate with IT team to ensure that our IT infrastructure can support our knowledge management needs</li> </ul>	<ul style="list-style-type: none"> <li>c. Step III – Database</li> <li>d. Step IV - Use of the reports</li> </ul> <p>2. <b>Other information transmitted by Parties</b>  <i>Derivates from Transmission of Information subgroup:</i></p> <ul style="list-style-type: none"> <li>a. Contacts (OCP, NFP, DNA, FP, CA)</li> <li>b. National definitions (BC)</li> <li>c. Import prohibitions and restrictions (BC)</li> <li>d. Export prohibitions and restrictions (BC)</li> <li>e. National classification and control procedures (BC)</li> <li>f. Notification and movements (BC)</li> <li>g. Report on illegal traffic (BC)</li> <li>h. Report on bilateral, multilateral agreements (BC)</li> <li>i. Final regulatory actions (RC)</li> <li>j. Severely Hazardous Pesticide Formulations (RC)</li> <li>k. Import responses (RC)</li> <li>l. PIC Circular (RC)</li> <li>m. Listing of new chemicals (SC)</li> <li>n. Register of Specific Exemptions (SC)</li> <li>o. POPs release inventories (SC)</li> <li>p. POPs laboratories (SC)</li> <li>q. Any other type of information</li> </ul> <p>3. <b>Support to COPs and Subsidiary Bodies meetings</b>  <i>Derivates from COPs and Subsidiary Bodies subgroup:</i></p> <ul style="list-style-type: none"> <li>a. Archiving pictures</li> <li>b. Archiving of documents</li> </ul>	
<p>9. <b>External Knowledge Management (including websites management)</b></p> <ul style="list-style-type: none"> <li>a. Maintain, update and enhance the three conventions websites and the synergy one (in progress) as required – both in terms of content and tools</li> <li>b. Overall content management coordination</li> <li>c. Ensure that information architecture is coherent among the clearing-house mechanism and websites</li> <li>d. Identify, compile, produce, package and disseminate Secretariat generated information to the clearing-house mechanism</li> <li>e. Identify, compile, package and disseminate user generated content (parties, regional centres, users</li> </ul>	<p>1. <b>National Reporting</b>  <i>Derivates from Transmission of Information subgroup:</i></p> <ul style="list-style-type: none"> <li>a. Step I- Communication</li> <li>b. Step III – Database</li> <li>c. Step IV - Use of the reports</li> </ul> <p>2. <b>Assistance to the Parties</b>  <i>Derivates from Technical Assistance subgroup:</i></p> <ul style="list-style-type: none"> <li>a. Activities web pages</li> <li>b. Awareness raising workshops and webinars</li> <li>c. Communication with project's partners</li> </ul> <p>New example:</p> <ul style="list-style-type: none"> <li>d. Electronic training tools</li> </ul> <p>3. <b>Support to COPs and Subsidiary Bodies meetings</b></p>	<p>1. Rotterdam Convention has specific workflows in coordination with FAO in Rome, including legal validation where relevant</p> <p>2. All processes described in the left column are to be closely coordinated with the Rome-based Secretariat of the RC</p> <p>3. For RC, all products resulting from the processes described in the left column are to be available in English, French and Spanish before external dissemination takes place</p>

<p>of our social media initiatives, other partners and stakeholders) to the clearing-house mechanism</p> <p>f. Identify, design, compile, produce, package and disseminate interactive tools as required, such as e-learning tools, to the clearing-house mechanism</p> <p>g. Prepare, aggregate and disseminate specific data sets / information packages for specific audiences to the clearing-house mechanism (mainly based on information collected in process 8 Internal knowledge )</p> <p>h. Coordinate with IT team to ensure that our IT infrastructure supports the websites</p> <p>i. Perform quality control activities and testing before external dissemination of all new information products or interactive tools</p>	<p><i>Derivates from COPs and Subsidiary Bodies subgroup:</i></p> <p>a. Meeting webpage(s)</p>	
<p><b>10. Information Exchange Management</b></p> <p>a. Develop and nurture "social sharing" social networks (Safe Planet on Facebook, ENB &amp; Chemical Listserv)</p> <p>b. Develop and nurture "social conversing" social networks (POPsSocial, PICSocial and joint CHM)</p> <p>c. Develop and participate in other information exchange network to nurture clearing-house mechanism information capital</p> <p>d. Coordinate with IT team to ensure that we have the necessary tools to exchange information with other networks</p>	<p><b>1. Assistance to the Parties</b></p> <p><i>Derivates from Technical Assistance subgroup:</i></p> <p>a. Develop information networks</p>	<p>1. For RC, all processes described in the left column are to be closely coordinated with the Rome-based Secretariat of the RC</p>
<p><b>11. Public Information Partnerships management</b></p> <p>a. Ensure proper coordination with UNEP/DCPI, UN/DPI</p> <p>b. Establish and maintain celebrity or good will ambassadors related partnerships (celebrity profiles, celebrity management companies)</p> <p>c. Establish and maintain Information Exchange partnerships (other MEAs, regional centres, etc.)</p>		<p>1. For RC: coordination with FAO office of Corporate Communications and External Relations</p>

### 3. Functions

Proposed list of functions

Information exchange (CHM)

Knowledge management

Media & special events

Publications, multimedia & websites

Strategies & brand management

Summary of current functions<sup>31</sup>

1. **Information exchange (CHM)**
  - a. Creation of a Global Knowledge Base on POP, PIC and waste issues.
  - b. Creation and nurture of a Global Network for Information Exchange.
2. **Knowledge management**
  - a. Internal knowledge management, including documents management and archiving, events and meetings calendars repositories and contacts directories.
  - b. External knowledge management, including packaging and disseminating information to the clearing-house mechanism.
3. **Media & special events**
  - a. Press and media relations.
  - b. Exhibitions and special events planning and management.
  - c. Campaigns and other outreach activities management.
4. **Publications, multimedia & websites**
  - a. Production of publications & public awareness materials.
  - b. Multimedia resources management and production, including graphic design.
  - c. Websites management, including content management coordination.
5. **Strategies & brand management**
  - a. Strategies<sup>32</sup>, including the overall communication strategy and project ones.
  - b. Brand management<sup>33</sup> including branding and visual identity.

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<sup>30</sup> Participants: Nalini Basavaraj, Digna Francisco, Julien Hortonedo (chair), Christophe Marchat, Michael Stanley-Jones, Alain Wittig

<sup>31</sup> All Rotterdam Convention processes are closely coordinated with the Rome-based Secretariat of the RC

<sup>32</sup> Convention specific strategies and plans to be defined on a case-by-case basis

<sup>33</sup> Link to the FAO and UNEP brand standards

## **J. Subgroup on Information technology support (IT)**

**JSS – List of standard Services. Preliminary draft for discussions.**

### **IT AND INFORMATION MANAGEMENT SERVICES**

#### **Management**

- Establishment of data and information handling procedures and policies.
- Ensuring compliance with UN and UNEP IT policies and procedures
- Liaising with UNEP, UN and other organizations to ensure compatibility and inter-operability
- Assessing user needs and requirements and drafting IT workplans
- Managing IT Budget
- Management of IT procurement and hardware and software life cycles
- Establish strategies for the use of technology in the office

#### **Basic IT Services (provided in cooperation with UNEP Chemicals)**

- Hardware, Software Installation and maintenance (servers and workstations)
- e-mail and users administration
- Network and Storage Administration
- Network Security, including firewalls, anti-virus, anti-spam
- Back-up and restore. Disaster recovery services.
- Mobile user services, including laptops set-up and remote access
- Electronic fax services
- Network scanning services
- IT Asset's inventory

#### **Data Collection, Quality Control and Records Keeping**

- Contacts Databases, including reception of information, quality check, data cataloguing, data entry and data extracts for use by the staff.
- Document Management and archiving, including categorization of documents, quality check and electronic filing.
- Correspondence Tracking and archiving, including designing workflows and procedures, quality control and correspondence categorization and archiving.
- Calendar of the activities of the two Secretariats, ensuring its publication in the web.
- Development and documentation of classification systems and standard terminology and thesaurus for information systems used in different projects.
- Organize and file correspondence and documentation.
- Maintain and regularly update existing databases for the two Conventions.

Reception, dispatching and processing of staff requests for information services

Preparation of technical and user documentation.

Support and liaise with records-originating offices on data transfer procedures and documentation.

### **Development of tools and systems**

Develop MS Office standard templates and macros for automation of repetitive office tasks.

Development of standard presentations and audio visual materials

Development of information systems and databases

Support on software development matters, including security, data integrity and recovery; assist with needs assessment.

Web sites

Application design and development

### **Systems Maintenance**

Database administration

Bug fixes

Systems enhancements, e.g. small modifications that could not be considered as new developments

### **Training**

Adhoc training on established data and information handling procedures and policies.

Adhoc training and support on existing software applications and systems.

### **Operational Support**

Provision of operational support and maintenance of applications and systems.

Maintenance of userids and passwords for different access rights to databases and systems, including outside users.

IT support to conference services, including preparation of requirements, reviewing vendor proposals, providing onsite supervision of equipment set-up and functioning.

- Office troubleshooting, IT helpdesk on request.

### **Information management and records keeping**

Development and maintenance of classification schemes for official documents and publications.

Development and maintenance of controlled vocabularies for the management of the information.

Development and maintenance of Document Management System and publications database.

Analyse, catalogue and describe information products.

Establish, and maintain management tracking system to ensure implementation of COP decisions.

Design and constant review of standard office processes, develop and make available detailed documentation

Development and maintenance of standard operating procedures

Development and maintenance of knowledge transfer documents

## **Translation**

Liaise with external translators, make research and provide background material for translators.

Verify translation quality and ensure that the right terminology is used.

Keep control of work assignments and word counting.

Prepare translators' terms of reference according to the specificities of the work assignment.

Research and propose free-lance translators and prepare contracts.

Follow up administrative arrangements for translators' contracts.

Make formal/informal translations for small documents and web pages (current language availability: English, French, Spanish).

## **Other**

Market research and testing of available information technologies and solutions for adoption by the two secretariats