

## **BC-11/13: Process for evaluating the performance and sustainability of the Basel Convention regional and coordinating centres**

### *The Conference of the Parties*

1. *Takes note* of the situation of the Basel Convention regional and coordinating centres and all the differences between Basel Convention regional and coordinating centres and Stockholm Convention regional and subregional centres;
2. *Adopts* the interim criteria for evaluation of the performance of Basel Convention regional and coordinating centres as set forth in annex I to the present decision;
3. *Also adopts* the interim methodology for evaluating the performance of Basel Convention regional and coordinating centres based on the interim criteria referred to in paragraph 2 above as set forth in annex II to the present decision;
4. *Decides* to evaluate, in accordance with the interim criteria and the interim methodology referred to in paragraphs 2 and 3 above, respectively, the performance and sustainability of Basel Convention regional and coordinating centres at its twelfth meeting and every four years thereafter;
5. *Also decides* to add to the interim methodology a section on the evidence and information provided by the users of the Basel Convention regional and coordinating centres on the following: services received, challenges experienced, gaps identified, priorities identified and recommendations to facilitate further strengthening and continuous improvement of the centres;
6. *Further decides* that the interim criteria for evaluation and interim methodology for evaluating the performance of the Basel Convention regional and coordinating centres may be revised, if deemed necessary, for adoption by the Conference of the Parties at its twelfth meeting;
7. *Requests* the Secretariat to report on the implementation of the present decision to the Conference of the Parties at its twelfth meeting.

### **Annex I to decision BC-11/13**

#### **Interim criteria for evaluating the performance of Basel Convention regional and coordinating centres**

The following criteria shall be used in evaluating the performance of Basel Convention regional and coordinating centres. A successful centre:

- (a) Demonstrates the capacity to identify, document and implement actions and practices aimed at assisting parties in the implementation of their obligations under the Convention;
- (b) Achieves concrete and/or measurable results in terms of capacity-building in its technical assistance and technology transfer activities;
- (c) Identifies, undertakes and serves to advance cooperation, collaboration and synergies in efforts to assist parties in meeting Convention obligations;
- (d) Identifies additional financial resources and other donors to fund activities to assist parties in meeting Convention obligations;
- (e) Manages and conducts all activities:
  - (i) Efficiently;

- (ii) Effectively;
- (iii) Transparently;
- (f) Demonstrates the capacity to meet the various language requirements of the region or subregion and conduct business in English as required.

## Annex II to decision BC-11/13

### Interim methodology for evaluating the performance and sustainability of Basel Convention regional and coordinating centres

**Table 1: Interim methodology for evaluating the performance and sustainability of Basel Convention regional and coordinating centres based on the interim criteria for evaluating the performance of the regional and coordinating centres<sup>1</sup>**

<i>Criteria<sup>2</sup></i>	<i>Instructions</i>	<i>Indicators and rankings</i>	<i>Sources of information</i>	<i>Evaluator's summary comments<sup>3</sup></i>	<i>Total score (maximum possible score 33)</i>
(a) The centre demonstrates the capacity to identify, document and implement project activities aimed at assisting parties in the implementation of their obligations under the Basel Convention.	Based on factual evidence, the evaluator should seek examples that demonstrate that the centre has the capacity to:  (a) Identify; (b) Document; (c) Implement; projects/activities.	Number of examples for which the centre has identified, documented and implemented project activities:  0: No example found in any of the three areas; 1: At least one example observed in one of the three areas; 2: At least one example in two of the three areas; 4: At least one example in all three areas.	– Activity reports for relevant years  – Business plans for relevant years  – Other relevant information sources (e.g., feedback from parties)		(Maximum possible score: 4)
(b) Achieves concrete and/or measurable results in terms of capacity-building in its technical assistance and technology transfer activities.	Based on factual evidence, the evaluator should look into the number of completed capacity-building activities or projects relevant to the implementation of the Convention undertaken by the centre and the number of parties that benefited from such activities or projects.	Number of capacity-building activities implemented by the centre:  0: No proven example; 1: 1–5 examples; 2: 6–10 examples; 4: 11–15 examples; 8: 16 or more examples.  Number of parties that benefited from these activities:  1: Up to 5 parties; 2: More than 5 parties.	– Activity reports for relevant years		(Maximum possible score: 10)

<sup>1</sup> See annex I above on interim criteria for the evaluation of the performance of the Basel Convention regional and coordinating centres.

<sup>2</sup> Ibid.

<sup>3</sup> Lists references of the sources and the information and data collected that provide evidence for the score given.

<i>Criteria<sup>2</sup></i>	<i>Instructions</i>	<i>Indicators and rankings</i>	<i>Sources of information</i>	<i>Evaluator's summary comments<sup>3</sup></i>	<i>Total score (maximum possible score 33)</i>
(c) Identifies, undertakes and promotes cooperation, collaboration and synergies in efforts to assist parties in meeting Convention obligations.	Based on factual evidence, the evaluator should seek proven examples of coordination and collaboration with other relevant partners (such as other regional centres, the Secretariat, UNEP, FAO and other United Nations entities) to assist parties in meeting Convention obligations.	Number of coordination and collaborative activities undertaken by the centre with other relevant partners:  0: No proven example; 1: At least one example; 2: More than one example.	– Activity reports for relevant years  – Other information provided by parties or observers		(Maximum possible score: 2)
(d) Identifies additional financial resources and other donors to fund activities to assist parties in meeting Convention obligations.	Based on factual evidence, the evaluator should look into the number of examples of donors or funds mobilized to implement the centre's activities or what proportion of the business plan has been implemented.  (Funding for the day-to-day operation of the centre shall not be counted).	Number of donors or funding sources mobilized or percentage of the business plan implemented:  0: No example of additional donors or funding mobilized to implement any of the activities of the business plan; 1: One or two examples of additional donors or funding sources mobilized to implement activities or up to 25 per cent of the business plan implemented; 2: Three or four examples of additional donors or funding sources mobilized to implement activities or up to 50 per cent of the business plan implemented; 4: Five to seven examples of additional donors or funding sources mobilized to implement activities or up to 75 per cent of the business plan implemented; 8: Eight or more examples of additional donors or funding sources mobilized to implement activities or more than 75 per cent of the business plan implemented.	– Activity reports for relevant years  – Business plan for relevant years		(Maximum possible score: 8)
(e) Manages and conducts all activities efficiently, effectively and transparently.	Based on factual evidence, the evaluator should seek proven examples that demonstrate that the centre conducts its	Number of examples for which the centre has conducted its activities  (a) Efficiently; (b) Effectively;	– Activity reports for relevant years  – Business plans for relevant years		(Maximum possible score: 8)

<i>Criteria<sup>2</sup></i>	<i>Instructions</i>	<i>Indicators and rankings</i>	<i>Sources of information</i>	<i>Evaluator's summary comments<sup>3</sup></i>	<i>Total score (maximum possible score 33)</i>
	activities: (a) Efficiently; (b) Effectively; (c) Transparently; and has submitted the required business plans and activity reports within the given deadlines.	(c) Transparently: 0: No example found in any of the three areas; 1: At least one example observed in one of the three areas; 2: At least one example observed in two of the three areas; 4: At least one example observed in each of the three areas.  Number of business plans or activity reports submitted within the deadline: 0: None of the business plans and activity reports submitted within the given deadlines; 1: Up to two out of four documents (business plans and activity reports) submitted within the given deadlines; 2: Three out of four documents submitted within the given deadlines; 4: All four documents submitted within the given deadlines.	– Other relevant information sources (e.g., feedback from parties or information available on the website of the centre)		
(f) Demonstrates the capacity to meet the various language requirements of the region or subregion and conduct business in English as required.	Based on factual evidence, the evaluator should seek proven examples which demonstrate that the centre does have such capacity.	Number of examples showing that the centre meets the language requirements of the region: 0: No example; 1: One or more examples showing that such capacity exists.	– Activity reports for relevant years – Other relevant information sources (e.g., feedback from parties)		(Maximum possible score: 1)
<b>Total scores</b>					

## Summary of performance evaluation

The performance evaluation exercise can be summarized as follows:

### Summary of points scored against evaluation criteria for the centre being evaluated

Total score (TS) (maximum possible: 33)	Assessment percentage TS x 100/33	<b>Grading</b> <ul style="list-style-type: none"> <li>○ Excellent (&gt;90%)</li> <li>○ Good (75–89%)</li> <li>○ Acceptable (60–74%)</li> <li>○ Unsatisfactory (&lt;60%)</li> </ul>

**Table 2: Status of the core set of elements for inclusion in the framework agreement to be signed between the Secretariat of the Basel Convention (on behalf of the Conference of the Parties) and the representatives of the Governments of the host countries, as adopted by the Conference of the Parties in decision VI/3**

<i>Core set of elements</i>	<i>Status at the time of concluding the relevant framework agreement</i>	<i>Status at the time of the evaluation</i>
(a) Identification of the parties entering into the agreement		
(b) Overall purpose for entering into the agreement		
(c) Legislative authority on which the agreement is based		
(d) Official name and address of the regional centre		
(e) Legal status of the centre (for example, separate national legal entity with a regional role or intergovernmental institution and authority under which the centre was established and operates)		
(f) Countries consenting to be served by the centre		
(g) Management/governance arrangements (for example, national committee/body to mobilize and coordinate the national inputs into the centre; steering committee attended by the representatives of the countries served by the centre to determine the business plan of the Centre and oversee the plan's implementation, terms of reference of these bodies; rules and procedures governing the meetings organized by the centre)		
(h) The possible involvement of donors in respect of financial and technical assistance to support the centre		
(i) Effective cooperation and coordination with the Secretariat of the Basel Convention and among the regional centres		
(j) Reporting channels		
(k) Contributions of host countries in kind, cash and services towards the operation of the centre and, if possible, contributions of the countries served by the centre		
(l) Contributions from the Technical Cooperation Trust Fund to assist developing countries and other countries in need of technical assistance in the implementation of the Basel Convention and other voluntary contributions towards the financing of the core functions of the centre and operational and other associated costs related to the core functions of the centre		
(m) Matching funds (contributions in cash, kind or services) to be raised by the centre		
(n) Working language(s) of the centre		
(o) Exemption by the host country from taxation and other levies on the resources (including equipment) provided from the funds under the control of the contracting parties according to its national legislation, whenever possible		

<i>Core set of elements</i>	<i>Status at the time of concluding the relevant framework agreement</i>	<i>Status at the time of the evaluation</i>
(p) In the case of an intergovernmental institution, the terms and conditions of the 1946 Convention on the Privileges and Immunities of the United Nations shall apply as appropriate		
(q) Reporting on substantive activities undertaken by the centre and financial reporting on the funds raised by the centre and the expenditures of the centre to the Secretariat of the Basel Convention		
(r) Arrangements to settle any disputes between the signatories to the agreement		
(s) Duration of the agreement		
(t) Provisions for the periodic external review, extension, termination or amendment of the agreement		
(u) A business plan for the regional centre, approved by the countries served by the centre, shall be prepared before the signature of the framework agreement		
<b>Observations</b>		