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**Basel Convention on the Control of
Transboundary Movements of Hazardous
Wastes and Their Disposal**

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**Rotterdam Convention on the Prior
Informed Consent Procedure for Certain
Hazardous Chemicals and Pesticides in
International Trade**



**Stockholm Convention on Persistent
Organic Pollutants**

**Conference of the Parties to the
Basel Convention on the Control
of Transboundary Movements
of Hazardous Wastes and
Their Disposal
Thirteenth meeting**
Geneva, 24 April–5 May 2017
Item 4 (f) of the provisional agenda*
**Matters related to the
implementation of the Convention:
financial resources**

**Conference of the Parties to the
Rotterdam Convention on the Prior
Informed Consent Procedure for
Certain Hazardous Chemicals and
Pesticides in International Trade
Eighth meeting**
Geneva, 24 April–5 May 2017
Item 5 (e) of the provisional agenda**
**Matters related to the
implementation of the Convention:
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**Conference of the Parties to the
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Persistent Organic Pollutants
Eighth meeting**
Geneva, 24 April–5 May 2017
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**Matters related to the
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**The special programme to support institutional strengthening at
the national level for implementation of the Basel, Rotterdam
and Stockholm conventions, the Minamata Convention on
Mercury and the Strategic Approach to International
Chemicals Management**

Note by the Secretariat

The annex to the present note sets out information on activities undertaken since the establishment of the special programme to support institutional strengthening at the national level for implementation of the Basel, Rotterdam and Stockholm conventions, the Minamata Convention on Mercury and the Strategic Approach to International Chemicals Management (SAICM). The information has been submitted by the secretariat of the special programme. The present note, including its annex, has not been formally edited.

* UNEP/CHW.13/1.

** UNEP/FAO/RC/COP.8/1.

*** UNEP/POPS/COP.8/1.

Annex

The special programme to support institutional strengthening at the national level for implementation of the Basel, Rotterdam and Stockholm conventions, the Minamata Convention on Mercury and the Strategic Approach to International Chemicals Management

I. Background

1. In view of the increased need for sustainable, predictable, adequate and accessible financing for the chemicals and waste agenda, the Executive Director of UN Environment made a proposal for an Integrated Approach to financing sound management of chemicals and waste, that was presented at the 27th session of the UNEP Governing Council, in February 2013. The UNEP Governing Council, in its decision 27/12 on Chemicals and Waste Management, welcomed the integrated approach and underscored that the three components of an integrated approach, mainstreaming, industry involvement and dedicated external finance, are mutually reinforcing and are all important for the financing of sound management of chemicals and waste.
2. The first session of the United Nations Environment Assembly (UNEA-1), in June 2014, in resolution 1/5 on Chemicals and Waste, further adopted the terms of reference for a Special Programme, to be funded by voluntary contributions, to support institutional strengthening at the national level to enhance the implementation of the Basel, Rotterdam and Stockholm conventions, the Minamata Convention on Mercury and the Strategic Approach to International Chemicals Management (SAICM). The Special Programme is one of two complementary elements of dedicated external financing under the integrated approach, with the GEF being the other element.
3. In UNEA-1 resolution 1/5, governments requested the Executive Director of UN Environment, consistent with the terms of reference for the Special Programme, to establish and administer the Special Programme trust fund and to provide a secretariat to deliver administrative support to the Programme.
4. The Special Programme is part of the subprogramme 5 on chemicals and wastes in UN Environment's Programme of Work, as it provides dedicated support to institutional strengthening at the national level towards the implementation of the Basel, Rotterdam and Stockholm conventions, the Minamata Convention and SAICM. It specifically addresses expected accomplishment (a) *that countries increasingly have the necessary institutional capacity and policy instruments to manage chemicals and waste soundly including the implementation of related provisions in the multilateral environmental agreements (MEAs)*.
5. An internal task team consisting of representatives from the secretariats of the Basel, Rotterdam and Stockholm conventions, the Minamata Convention and the Strategic Approach to International Chemicals Management (SAICM) and the secretariat of the Global Environment Facility was formalized by the executive board at its second meeting. Its role is to assist the Special Programme Secretariat to undertake an appraisal of the applications received from developing countries and countries with economies in transition.¹
6. The terms of reference of the Special Programme stipulate that in order for countries to be eligible for support from the Programme the following eligibility criteria are in place:
 - (a) Developing countries, taking into account the special needs of least developed countries and small island developing States, and for countries with economies in transition, with priority given to those with least capacity;
 - (b) If the country is party to any one of the relevant conventions or have demonstrated that they are in the process of preparing for ratification of any one of the conventions; and
 - (c) Applications to include identification of the associated domestic measures to be taken to ensure that the institutional capacity supported by the Special Programme is sustainable in the long term.

¹ The report of the second executive board meeting is available at: <http://web.unep.org/chemicalsandwaste/special-programme/meetings-and-events/Second%20meeting%20of%20the%20Executive%20Board>

7. The terms of reference also provide for the following operational arrangements:
- (a) The applications should be outlined within the context of an overall country approach to strengthening institutional capacity;
 - (b) The applications should contain proposed measures and performance targets, and information relating to long-term sustainability;
 - (c) Cumulative allocations to a country should be decided by the Executive Board, based on the contributions received and the needs expressed in the applications submitted. Of that total, an amount not exceeding 13 per cent may be retained for administrative purposes;
 - (d) Beneficiary countries will contribute resources equal to the value of at least 25 per cent of the total allocation, noting that the Executive Board may reduce that percentage, commensurate with consideration of the specific national circumstances, capacity constraints, gaps and needs of the applicant; and
 - (e) Beneficiary countries shall submit annual reports on progress achieved. A final report and financial audit shall be submitted upon completion of each project, which shall include a full accounting of funds used and an evaluation of outcomes, as well as evidence as to whether the performance targets have been met.

II. Implementation

A. The Executive Board of the Special Programme

8. The Executive Board is the decision making body overseeing the Special Programme. The Executive Board reflects a balance between donors and recipients. The term of the representatives is a two-year rotation. The Executive Board is composed of the following:

- (a) Four representatives of recipient countries, reflecting equitable, geographical representation, drawn from the following United Nations region: Africa, Asia-Pacific, Central and Eastern Europe and Latin America and the Caribbean. In addition, the Executive Board will have one representative from a least developed country or a small island developing State on a rotational basis;
- (b) Five donor representatives, which are not also recipient countries.

9. The Executive Board has been established with the following representation:

- (a) Recipient countries: Kenya (Africa), Pakistan (Asia Pacific), Former Yugoslav Republic of Macedonia (Central and Eastern Europe), Brazil and Argentina (Latin America and the Caribbean – sharing the two-year term), and Yemen (Least Developed Country);
- (b) Donor representatives: European Union, Finland, Germany, Sweden and the United States.

B. First meeting of the Executive Board of the Special Programme, February 2016, Geneva, Switzerland

10. The first meeting of the Executive Board was held from 2 to 3 February 2016 in Geneva Switzerland. Significant progress was made during this meeting, with agreement reached on the Rules of Procedure for the operations of the Executive Board of the Special Programme, the application guidelines, and application forms. The Board also nominated the Co-chairs of the Executive Board: Brazil representing recipient countries and Finland representing the donors. The Executive Board also agreed to launch the first round of applications on 4 April 2016, with a deadline of submission of application on 4 July 2016.²

C. First round of applications for the Special Programme, April to July 2016

11. In preparation for the launch, the application guidelines and application forms were finalised following recommendations from the first meeting of the Executive Board. The Special Programme website was updated to include information on the outcomes of the first meeting of the Executive Board, an update on the donors, and information on the launch of the first round of applications. Announcements for the launch of the first round of applications were also made by the Secretariat of

² The approved meeting report of the first meeting of the Executive Board is available on the Special Programme website: <http://web.unep.org/chemicalsandwaste/special-programme>.

Basel, Rotterdam and Stockholm (BRS), Minamata and SAICM through their websites and the BRS, Minamata and SAICM broadcasts.

12. A series of outreach events were undertaken on the Special Programme following the launch of the first round for applications and providing visibility on the donors of the Special Programme, including:

- (a) Technical Briefing on “Financing under the Minamata Convention” held on the margins of the Seventh Session of the Intergovernmental Negotiating Committee on Mercury (INC 7), 9 March 2016, Dead Sea, Jordan;
- (b) First meeting of the Bureau of the International Conference on Chemicals Management for its fifth session, 16–17 March 2016, Dead Sea, Jordan;
- (c) Chemicals and Waste Briefing for the Permanent Missions to the United Nations in Geneva, 29 April 2016;
- (d) Webinar series on the Special Programme: the first call for proposals hosted by the BRS Secretariat:
 - (i) 25 April 2016 for Asia and the Pacific and Africa;
 - (ii) 28 April 2016 for Asia and the Pacific and Africa;
 - (iii) 3 May 2016 for SIDS and Latin America and the Caribbean;
 - (iv) 18 May 2016 for Latin America and the Caribbean (Spanish);
 - (v) 19 May 2016 for Central and Eastern Europe and Central Asia (Russian);
 - (vi) 19 May 2016 for Francophone Africa (French);
 - (vii) 20 May 2016 for Central and Eastern Europe and Central Asia;
- (e) 45th Inter-Organisational Programme for Sound Management of Chemicals (IOMC) Meeting, 11–12 May 2016, Geneva, Switzerland;
- (f) Global workshop on enhancing national cooperation and coordination for the implementation of the Basel, Rotterdam and Stockholm conventions, 21–23 June 2016, Geneva, Switzerland;
- (g) Meeting of the Bureau of the Conference of the Parties to the Rotterdam Convention, 14 June 2016, Geneva, Switzerland;
- (h) Meeting of the Bureau of the Conference of the Parties to the Stockholm Convention, 28–29 June 2016, Geneva, Switzerland;
- (i) Meeting of the Bureau of the Conference of the Parties to the Basel Convention, 11–12 July 2016, Geneva, Switzerland;
- (j) Meeting of the Bureau of the Minamata Convention, 24–25 August 2016, Livingstone, Zambia;
- (k) Sub-Regional workshop on enhancing national cooperation and coordination for the implementation of the Basel, Rotterdam, Stockholm and Bamako conventions and the Sustainable Development Goals (SDGs) in the SADC countries, 6 September 2016, Manzini, Swaziland; and
- (l) Chemicals and Waste Briefing for the Permanent Missions to the United Nations in Geneva, 30 November 2016.

13. Information on the Special Programme was also included in the UNEP Chemicals and Waste Branch, DTIE Newsletters in March 2016 and May 2016.

14. From April to July 2016, the Secretariat responded to a large number of questions and queries from developing countries and countries with economies in transition in support of the development of their application packages.

15. Applications were submitted from the end of June 2016 and until the deadline of 4 July 2016. A total of 54 applications were received from 45 countries. Acknowledgements of the application packages were sent no later than a week of receipt of the application package. Statistics on the applications status outlining the applications received by region and by type of country are set out in the Appendix to the present note.

16. Four meetings of the internal task team, comprising of representatives from the Basel, Rotterdam and Stockholm conventions Secretariat, the interim Minamata Secretariat and the SAICM Secretariat, were convened in July and August 2016, to undertake a technical review of the applications received.

17. To support the work above, the secretariat engaged an intern during the period of June – August 2016. In addition, a Junior Professional Officer joined the Special Programme Secretariat and supported processing the application proposals for approval by the Executive Board and the management of approved allocations over the coming year.

18. Between July and September 2016, the secretariat undertook an appraisal of the applications received for eligibility and completeness resulting in 42 applications being presented to the Executive Board for their consideration and approval.

D. Second meeting of the Executive Board, October 2016, Bangkok, Thailand

19. The second meeting of the Executive Board was held from 11 to 13 October 2016 in Bangkok, Thailand. The meeting was attended by the full complement of Board members, represented by the following recipient countries: Kenya, Pakistan, Former Yugoslav Republic of Macedonia, Brazil, Yemen, and the following donors: the European Union, Finland, Germany, Sweden and the United States. In addition, a number of observers attended the meeting, from Governments, IOMC members – UNEP, UNITAR and WHO, representatives from the BRS Secretariat, the interim Minamata Secretariat and the SAICM Secretariat, and the GEF Secretariat.

20. The main objective of the meeting was to review the eligible and complete applications submitted for the first and pilot round of applications. The outcome of the review resulted in seven approved projects for this pilot round amounting to US\$ 1.75 million, taking into consideration, regional balance and the special needs of least developed countries and small island developing States:

- (a) *Benin*: Legal and institutional strengthening for the sound management of chemicals in Benin;
- (b) *Tanzania*: Strengthening institutional capacity for sound management of chemicals and waste in the United Republic of Tanzania;
- (c) *Iraq*: Develop and strengthen the institutional structure for the management of chemicals and waste in Iraq;
- (d) *Kyrgyz Republic*: Strengthening capacities for national implementation of chemicals and waste related international agreements;
- (e) *Ukraine*: Strengthening the enforcement of the Rotterdam Convention in Ukraine, and building capacity to counteract illegal trafficking of chemicals;
- (f) *Argentina*: Strengthening national capacity for the sound management of chemicals and waste; and
- (g) *Dominican Republic*: Strengthening institutional capacity for the implementation of the Basel, Rotterdam and Stockholm conventions, the Minamata Convention and SAICM in Dominican Republic.

21. The Board agreed that the second round of applications would take place in February 2017. The third Executive Board meeting is scheduled for end of October/beginning of November 2017.

22. The advance version of the report of the second meeting of the Executive Board is available on the Special Programme website: <http://web.unep.org/chemicalsandwaste/special-programme>.

E. Launch of the second round of applications, February to June 2017

23. The launch of the second round of applications was undertaken on 22 February 2017, with a deadline for submission of applications on 20 June 2017.

24. To facilitate this application process, revised application guidelines and application forms were developed. The application guidelines provide detailed steps on how to complete the forms and what information would be required for submission of applications. These documents are also available on the Special Programme website: <http://web.unep.org/chemicalsandwaste/special-programme>.

- (a) Application guidelines;
- (b) Application Form IA– project summary; Form IB – project description; and

(c) Application Form II – project budget.

25. Announcements for the launch of the second round of applications were also made by the Secretariat of Basel, Rotterdam and Stockholm (BRS), Minamata and SAICM through their websites and the BRS, Minamata and SAICM broadcasts.

26. A series of outreach events will be undertaken on the Special Programme following the launch of the second round of applications, starting with information sharing events during the Conference of the Parties of the Basel, Rotterdam and Stockholm conventions. Further information on upcoming outreach events will be posted on the Special Programme website: <http://web.unep.org/chemicalsandwaste/special-programme>.

F. Special Programme funding status

27. The generous contributions of donors to the Special Programme trust fund and its operations are greatly appreciated. The following table provides an update of donor contributions to the Special Programme Trust Fund in 2015 and 2016. In addition, some donors have provided financial resources towards the operations of the Special Programme (for example, convening of the Executive Board meetings, outreach and communications) and the Special Programme secretariat. Three new positions (P3 Programme Officer, P2 Associate Programme Officer and G5 Administrative Officer) within the Secretariat will be filled during the course of 2017.

Table 1. Contributions and pledges received 2015–2016 (as at February 2017)

Donor	Total amount pledged/contributed
Austria	€40,000
European Union	€11,000,000
Finland	€200,000
Germany	€180,000
Sweden	USD 2,680,000
The Netherlands	€60,000
United States	USD 1,250,000
Total contributions and pledges	~ USD 16,000,000

28. In line with the Special Programme terms of reference, all signatories and parties to the conventions and other Governments with the capacity to do so, as well as from the private sector, including industry, foundations and non-governmental organizations and other stakeholders, to contribute to the Special Programme Trust Fund.

Appendix

Statistics on the applications status outlining the applications received by region and by type of country

