

## **Modalities for the submission, selection, implementation, and evaluation of pilot projects of the Basel Convention Partnership on Plastic Waste working group<sup>1</sup>**

### **Appendix I**

#### **Partnership on Plastic Waste working group pilot projects – template for proposals**

**(to be completed by the project proponent)**

<p><u>Secretariat use only:</u></p> <p>Date received:</p> <p>Reference number:</p>
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**Instructions: Please read before proceeding.**

This submission template must be completed in English.

Please carefully complete the fields listed below. Incomplete submissions will not be considered. The Secretariat may contact the proponent in case of clarifying questions.

Before submission, please ensure that the eligibility criteria are met:

- a) Proposals may be submitted by Parties and Basel and Stockholm Convention Regional and Coordinating Centres, as well as any not-for-profit entities and non-Party States that have observer status under the Basel Convention;
- b) Only one project proponent or implementing partner (if different from the proponent) may be identified for each proposal; other entities contributing to the project may be identified as project partners;
- c) Proposals must be accompanied by a letter of endorsement or letter of support from the Focal Point of the Party in which the project is to be implemented (for projects to be implemented in several countries, endorsements must be obtained from each of the respective Parties);
- d) Projects are to be implemented in Parties eligible to receive funding under the technical assistance programme of the Basel and Stockholm Conventions, namely developing country Parties and Parties with economies in transition, subject to donor requirements that may apply in some cases.

Please note that any action by the Secretariat to support the tasks of the Partnership on Plastic Waste working group, including the steering group, is to be in conformity with applicable United Nations (UN)/UN Environment Programme (UNEP)/Basel Convention's rules and regulations (e.g. financial), procedures and policies (notably on engagement with non-State stakeholders, corporate and policy due diligence, delegation of authority, partnerships, procurement and legal instruments) and consistent with relevant provisions of the Basel Convention and decisions of the Conference of the Parties.

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<sup>1</sup> As adopted by the working group of the Plastic Waste Partnership on Monday 8 June 2020 (UNEP/CHW/PWPWG.2/3/Rev.1)..

**1. Project identification**

1.1 Title of the project **Regional Project to support and facilitate the implementation of the Basel Convention Plastic Waste Amendments, emphasizing empty plastic pesticide containers, in Latin America.**

1.2 Proponent (indicate full name of the entity) **Basel Convention Regional Centre for Central America and Mexico (BCRC) / Stockholm Convention Regional Centre of Panama – CIIMET / University of Panama**

Contact details

First Name: **Hildaura** Family Name: **Acosta de Patiño**

Gender: **Female**

Position: **Director**

Institution: **Basel Convention Regional Centre for Central America and Mexico in Panama (BCRC)/ SCRC- University of Panama** Type of institution

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Comment

**For the development of this proposal, efforts and collaboration have been joined between the Regional Centres of the Basel Convention of Panama (which assists Central America and Mexico) and Regional Centres of the Basel Convention of Argentina (which assists South America). Letter of support from BCRC South America are included.**

**LETTERS OF ENDORSEMENT FROM THE FOCAL POINT OF PROJECT COUNTRIES: BOLIVIA (PLURINATIONAL STATE OF), EL SALVADOR, GUATEMALA, HONDURAS, AND PANAMA ARE ATTACHED TO THIS PROJECT PROPOSAL**

1.3 Implementing partner (indicate full name of the entity)

Contact details

First Name: Family Name:

Gender:

Position:

Institution: Type of institution

Address:

City: Zip code:

Country:

Tel:

Email:

Comment

**Note:** The implementing partner is the entity with which the Secretariat would, as appropriate, enter into a legal agreement; it may be the proponent itself or a different entity, as identified in the project proposal.

Is the implementing partner a not-for profit entity? Yes  No

**If yes,** the attached “Form for Due Diligence Review - selection of not-for-profit entities” is to be completed by the implementing partner and submitted with this form, under the responsibility of the proponent.

## 2. Proposed project description

2.1	Country(ies) of project implementation	Bolivia (Plurinational State of), El Salvador, Guatemala, Honduras, and Panama.
2.2	Project duration (number of months) <sup>2</sup>	Minimum: 18 months    Maximum: 24 months
2.3	Background and project justification, including previous and/or planned projects/initiatives it builds on (max 250 words)	<p>The Conference of the Parties to the Basel Convention (COP-14, 2019) adopted amendments to Annexes II, VIII, and IX to the Convention with the objectives of enhancing the control of the transboundary movements of plastic waste and clarifying the scope of the Convention as it applies to such waste. Decision BC-14/12 specifies the new categories of plastic waste that will be subject to the Convention and entered into force on 1 January 2021.</p> <p>Most Latin American countries (97%) have ratified the Convention. However, relevant challenges are currently being faced in the implementation of the Convention at the national and regional levels, since there are generally weak institutional frameworks, lack of systematic information on waste, inefficient separate collection systems, lack of treatment and final disposal facilities, among other challenging circumstances.</p> <p>The governments of Latin America have made significant efforts to effectively implement the Basel Convention, to stimulate a new plastic economy, with bans on bags and other disposable plastic items or new regulations on waste management, circular economy, and Extended Producer Responsibility.</p> <p>This project stems from the need to coordinate national policies on plastics with the provisions of the Basel Convention and to strengthen national capacity to effectively implement the provisions regarding plastic waste listed in entries A3210 and Y48. Plastic waste from pesticides will be used as a common point to move forward more efficiently, taking advantage of the experience of previous projects (SGP on plastic waste) with the support of the Regional Centres.</p>
2.4	Objective(s) (max 150 words)	<p>To develop a toolkit for the effective implementation of the Basel Convention with a special focus on amendments on plastics and the Decision BC-14/12 and the outreach, education, and awareness-raising about plastic contamination are the objectives. For this purpose, the BCRCs (Panama and Argentina) and the project countries will work in coordination on: i) Gather of common barriers, challenges, and opportunities for improvement for the effective implementation of the Basel Convention, using empty plastic containers of pesticides as an example most easy because have a possibility to the commitment of stakeholders; ii) Design or review a set of recommended procedures, legal instruments, and institutional framework approaches; iii) Development of a training program for national agencies and key stakeholders including, among others, environment, health, agriculture, industry, customs, academia, and civil society and, iv) Develop and pilot an educational program and a social-media campaign, supporting the prevention and minimization of plastic waste.</p>
2.5	Activities (please enumerate, indicate a title for each activity and describe; add rows if needed) (max 500 words)	<p><b>COMPONENT 1: TRANSBOUNDARY MOVEMENTS OF PLASTIC WASTE</b></p> <ol style="list-style-type: none"> <li><b>Toolkit for the effective implementation of the Basel Convention</b> with a focus on the amendments on Plastics: A Toolkit will be developed, presenting a Roadmap for implementing the BC amendments on Plastic including a set of recommended procedures, legal instruments – such as Practical Guidelines to develop secondary level legislation- and institutional frameworks approaches for the effective implementation of the Basel Convention. This Toolkit will be useful for developing countries and countries with economies in transition in general. Guatemala, Honduras, and Panama will transfer the experience and lessons learned from the execution of the Small Grants Program in Plastic Waste (NORAD-2 Round 1) project through the SCRC/BCRC-Panama. BRS Secretariat will be invited to participate in the development of this Toolkit.       <ol style="list-style-type: none"> <li><b>Revision of the legal and institutional frameworks</b> in the project countries, emphasizing the regulations of empty plastic pesticide containers: This includes the revision of the regulatory and policy instruments on waste, plastics, and Basel and Rotterdam Convention and the analysis of institutional schemes with the objective of improving current legal and institutional frameworks.</li> <li><b>Information gathering:</b> to analyze in-depth potential impacts of new policies and identify common barriers, challenges, and opportunities for improvement. It will include assessing through web research, questionnaire, and interviews the following sectors: government, plastic industry, informal sector, NGOs, and Academia, among others.</li> </ol> </li> <li><b>National Training Workshops:</b> A set of webinars/workshops will be carried out by the national agencies and key stakeholders involved in the Rotterdam and Basel Convention in the project countries (Government areas of Environment, Health, Agriculture, Customs, Production; Private sector; informal sector, among others) to reach common ground on the requirements for effective implementation of the Basel Convention and the implications and steps needed for the plastic amendments. BRS Secretariat members will be also invited to these activities.</li> <li><b>Sharing of lessons learned</b> with developing countries and countries with economies in transition in Latin America and the Caribbean and other Regions: The Toolkit for effective implementation of the BC Amendments will be shared with developing countries and countries with economies in transition through workshops to exchange knowledge within the regions. A document of conclusions with lessons learned and barriers in the implementation will be developed.</li> </ol> <p><b>COMPONENT 2: OUTREACH, EDUCATION, AND AWARENESS-RAISING</b></p> <ol style="list-style-type: none"> <li><b>Develop and pilot an educational program</b>, supporting the prevention and minimization of plastic waste with teachers from three groups of basic education (4-5 years old; 6-11 years old, and 12-17 years old) and university teachers from at least five areas of knowledge: natural sciences, medical sciences, agricultural sciences, communication information and technology sciences, political and law sciences.</li> <li><b>Design and pilot a social-media campaign</b> about the work of the Plastic Waste Partnership with the support of teachers and students who participated in the pilot educational program.</li> <li><b>Awareness-raising activities</b> will be carried out with the various groups of key actors (government, private sector, informal sector, NGOs, civil society, etc.) about plastic waste, empty plastic pesticide containers, marine litter, and microplastics.</li> </ol>

<sup>2</sup> Indicative minimum project duration is 12 months; indicative maximum project duration is 24 months. For regional projects, the maximum duration is 24 months. COVID-19 related restrictions may impact the proposed timeframes for implementation of pilot projects.

2.6 Please provide a simple workplan. (Add more lines/columns if needed)

Activities	Year 1				Year 2				Responsible*
	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	
<b>COMPONENT 1: TRANSBOUNDARY MOVEMENTS OF PLASTIC WASTE</b>									
1. Toolkit for the effective implementation of the Basel Convention with focus in the amendments on plastics									Project Regional Coordinator A and 5 Project National Coordinators
1.1. Revision of the legal and institutional frameworks at the project countries, emphasizing the regulation of empty plastic pesticide containers									Legal Assistant and 5 Project National Coordinators Project Regional Coordinator A
1.2. Information gathering process to improve the implementation of BC and amendments on plastics									Technical Assistant and 5 Project National Coordinators Project Regional Coordinator A Legal Assistant
2. National Training Workshops for implementation of the plastic amendments of BC									Project Regional Coordinator A and 5 Project National Coordinators
3. Sharing of lessons learn with developing countries and countries with economies in transition in Latin America and the Caribbean and other Regions									Project Regional Coordinator A and 5 Project National Coordinators
<b>COMPONENT 2: OUTREACH, EDUCATION, AND AWARENESS-RAISING</b>									
4. Develop and pilot an educational program									Project Regional Coordinator B and 5 Project National Coordinators Teaching Assistant
5. Design and pilot a social-media campaign									Project Regional Coordinator B and 5 Project National Coordinators Teaching Assistant Communication Assistant
6. Awareness-raising activities									Project Regional Coordinator B and 5 Project National Coordinators Communication Assistant
<b>COMMUNICATION PLAN</b>									
1. Videos and photos of presentation events and training workshops and the consultation process									Project Regional Coordinator A and B 5 Project National Coordinators Legal Assistant Technical Assistant Teaching Assistant Communication Assistant  In coordination with Executive Committee
2. Roadmap for implementing the BC amendments on plastic									
3. Practical Guidelines to develop a secondary level piece of legislation									
4. Webinars to promote replication of lessons learn in Latin America and The Caribbean (Document of conclusions and workshops)									
5. Messages designed to outreach through social networks and infographics design to raise awareness of different sectors involved and civil society									
<b>REGIONAL MEETINGS AND PROJECT REPORT (PROGRESS AND FINAL)</b>									
<b>Regional project team meeting</b>									
Virtual meeting									Project Regional Coordinator A and B 5 Project National Coordinators Executive Committee
Face to face meeting									
<b>Project report</b>									
Progress report									Project Regional Coordinator A and B 5 Project National Coordinators Executive Committee
Final report									

\*BCRC/SCRC Panama and BCRC Argentina will supervise all the components and activities that are carried out in the project. The BCRC/SCRC Panama will provide all the facilities and support for the success of the project.

2.7 Expected outputs (for each activity listed under section 2.5, provide the following information on outputs; add rows if needed)

<b>COMPONENT 1: TRANSBOUNDARY MOVEMENTS OF PLASTIC WASTE</b>		
<b>Activity 1: Toolkit for the effective implementation of the Basel Convention with focus in the amendments on Plastics</b>		
Outputs	Delivery date	Means of verification
Toolkit developed for the effective implementation of the Basel Convention with focus in the amendments on plastics	Q4 Draft: Month 10 Final: Month 12	<ul style="list-style-type: none"> <li>• Roadmap for implementing the BC amendments on plastic               <ul style="list-style-type: none"> <li>○ Set of recommended procedures, legal instruments</li> <li>○ Practical Guidelines to develop a secondary level legislation and institutional frameworks</li> </ul> </li> </ul>
<b>Activity 1.1: Revision of the legal and institutional frameworks at the project countries, emphasizing the regulations of empty plastic pesticide containers</b>		
Outputs	Delivery date	Means of verification
Legal and institutional framework on Plastic and Basel Convention revised	Q2 Draft: Month 4 Final: Month 6	Draft of the Legal and institutional framework report developed including the suggested adjustments
<b>Activity 1.2: Information gathering process</b>		
Outputs	Delivery date	Means of verification
Information gathered to improve the implementation of BC and amendments on plastics	Q2 Draft: Month 4 Final: Month 6	List of contacted organisms Minutes of the meetings Reports and compilation of information gathered
<b>Activity 2: National Training Workshops</b>		
Outputs	Delivery date	Means of verification
National agencies and key stakeholders trained on BC amendments	Q5 Draft: Month 13 Final: Month 15	List of participants Presentations Minutes of the meetings
<b>Activity 3: Sharing of lessons learnt with developing countries and countries with economies in transition in Latin America and the Caribbean and other Regions</b>		
Outputs	Delivery date	Means of verification
Regional virtual workshops developed (in Spanish and English) to share the lesson learned.	Q6 Draft: Month 17 Final: Month 18	-Photos, Videos, PowerPoint presentations -List of participants -Survey of satisfaction
<b>COMPONENT 2: OUTREACH, EDUCATION, AND AWARENESS-RAISING</b>		
<b>Activity 4: Develop and pilot an educational program</b>		
Outputs	Delivery date	Means of verification
Educational program developed and pilot carried out.	Q5 Draft: Month 13 Final: Month 15	Photos, Videos Document of Program for each group (children, adolescents, and young people from different university careers) Report of activities in each project countries
<b>Activity 5: Design and pilot a social-media campaign</b>		
Outputs	Delivery date	Means of verification
Social-media campaign designed, and pilot carried out	Q6 Draft: Month 17 Final: Month 18	Messages designed for social networks and mass media Photos and videos of the process carried out with students and teachers Social media statistics
<b>Activity 6: Awareness-raising activities</b>		
Outputs	Delivery date	Means of verification
Awareness-raising activities carried out	Q7 Draft: Month 19 Final: Month 21	Videos and photos of each activity in each project countries Reports of the activities List of participants
<b>COMMUNICATION PLAN</b>		
Outputs	Delivery date	Means of verification
Videos and photos of the national training's workshops shared	Q7 Draft: Month 19 Final: Month 21	Videos and photos of each activity in each project countries Reports of the meetings in each project countries
Videos and photos of the information gathering process developed		Videos and photos Reports of the meetings in each project countries
Toolkit (Roadmap + Guidelines) shared		Toolkit Photos in each project countries
Seminars or webinars developed		Reports of the meetings List of participants Survey of satisfaction
<b>REGIONAL MEETINGS AND PROJECT REPORT (PROGRESS AND FINAL)</b>		
Outputs	Delivery date	Means of verification
Six Virtual and one face to face meeting held during the project execution.	Virtual: Q1, Q3, Q5 Face-to-face: Q7	Videos and photos of each activity Reports of each meeting List of participants
Three progress reports and a final project report delivered.	Progress report: Q2, Q4, Q6 Final report: Q8	Progress reports document (technical and financial) Final report document (technical and financial)

- 2.8 Project management: please explain how project implementation will be organized, including size and composition of the project team, expertise of the members of the project team and monitoring arrangements. (max. 250 words)

Five Project assistant will be hired, one in each project countries, to coordinate all activities at the national level, both for component 1 and component 2.

**Component 1** will be coordinated by the BCRC for South America (Argentina), in close communication with the BCRC/SCRC of Panama, will be staffed: Regional Coordinator A for Component 1; Legal Assistant and Technical Assistant specialist in process reengineering.

**Component 2** will be coordinated by the BCRC/SCRC of Panama, will be staffed: Regional Coordinator B for Component 2; Teaching assistant and Communication assistant.

Graphic design and video production services are essential in this component.

An assistant will also be hired to monitor, gather, and report data relevant to the evaluation throughout the project.

**Financial Assistance:** This function will be covered by the BCRC/SCRC Panama to support the members of the Project team in administrative matters: (i) generating and auditing financial transactions; (ii) budget projections; (iii) financial reports, among others. An administrative assistant will be hired.

**Executive Committee:** for assist and supervise the progress of the Project and to ensure the success of its activities, will be composed of (i) national focal points of Basel and Rotterdam Convention in the project countries; (ii) BCRC/SCRC Panama; (iii) BCRC South America. It will be responsible for: (i) promoting the activities established in the Project's work plan; (ii) ensure the availability of the necessary financial and technical resources; (iii) arbitrate in case of controversies (iv) evaluate the project monitoring and progress reports through technical reports and evaluation tools.

- 2.9 Project partners: please explain which partners will be engaged. (max. 150 words)

In each country, invitations will be made to: Ministry of Environment, Health, Agriculture and Education; customs authorities, local and municipal authorities, private sector (plastics managers mainly), Chamber of Industry, NGOs and civil society organizations will form part of the highly relevant strategic partners. The informal sector and other stakeholders will be part of the training and awareness activities. The Central American Commission for Environment and Development (CCAD) will be political and strategic partners, a memorandum of understanding was recently signed for the development of activities aimed at protecting the environment. We will invite other regional groups, such as the Intergovernmental Chemical and Waste Network for Latin America and the Caribbean and the UN Environment Regional Office for Latin America and the Caribbean, based in Panama. Likewise, regional research and action programs will be invited, such as the SALTRA Program (health, work, and environment), a regional network of Central American universities.

- 2.10 Risk analysis, please identify the top 3 risks for successful project implementation and the measures that will be taken to address these.

**1. Covid19 pandemic health emergency: Uncertainty in the return to habitual local and foreign work activities.**

*Mitigation measures:* In case measures to prevent covid 19 remain, workshops and other activities will be done in online basis. All the activities proposed under the project could be developed even if the lockdown remains.

**2. Private sector reluctance to implementing Decision BC-14/12**

*Mitigation measures:* Workshops with intersectorial and multistakeholder participation will be convened to facilitate dialogue between key Stakeholders, mainly the private sector identifying gaps and opportunities of improvement.

**3. Informal sector not involved in the project**

*Mitigation measures:* Workshops with intersectorial and multistakeholder participation will be convened to facilitate dialogue between key Stakeholders. The informal sector will be reached out to ensure their participation and representation.

**4. Lack of political will to implement measures to be proposed under the Project:**

*Mitigation measures:* Provide the necessary technical background to facilitate political adoption of measures suggested. Convene inter-ministerial and inter-sectorial discussions in workshops to ensure support and sustainability to the project.

### 3. Budget

3.1 Budget<sup>3</sup> breakdown in USD (please add more lines if needed)

Please note that procurement costs – e.g. for equipment, supplies, etc. – cannot exceed 15% of the total budget.

Budget class	Item description <sup>4</sup>	Unit description <sup>5</sup>	Quantity	Unit cost	Total
<b>GENERAL COSTS</b>					
Staff, expert, and other personnel costs	National Coordinator (technical and administrative). 20 months in 5 countries	Months	100	1,900	190,000
	Regional Administrative Assistant 24 months	Months	24	1,300	31,200
	Data gathering every 6 months for 24 months One person	Each	1	10,000	10,000
Operating and Other Direct Costs	Bank fee for international money transfer. Eighth transfers to each project countries	Each	40	30	1,200
	Subtotal				<b>232,400</b>
<b>COMPONENT 1: TRANSBOUNDARY MOVEMENTS OF PLASTIC WASTE</b>					
Activity 1: Toolkit for the effective implementation of the Basel Convention 1.1. Revision of the legal and institutional frameworks 1.2. Information gathering process					
Staff, expert, and other personnel costs	Regional Coordinator A for component 1	Months	24	2,000	48,000
	Legal Assistant	Months	8	1,500	12,000
	Technical Assistant	Months	8	1,500	12,000
Operating and Other Direct Costs	Bank fee for international money transfer One transfer every three months to one country	Each	8	30	1,200
Supplies, Commodities and Materials <sup>5</sup>	Office stationery, supplies, tools, etc	Total	1	2,000	2,000
	Subtotal				<b>75,200</b>
Activity 2: National Training Workshops					
Contractual Services	Catering services for workshops in each country. (5 workshops per country for 5 countries)	Each	25	800	20,000
Operating and Other Direct Costs	Bank fee for international money transfer Two transfers to each country	Each	10	30	300
	Subtotal				<b>20,300</b>
Activity 3: Sharing of lessons learned					
Staff, expert, and other personnel costs	Spanish - English - Spanish interpreters. Three hours per session. Two persons, Two sessions.	Hours	12	150	1,800
	Subtotal				<b>1,800</b>
<b>COMPONENT 2: OUTREACH, EDUCATION, AND AWARENESS-RAISING</b>					
Activity 4: Develop and pilot an educational program Activity 5: Design and pilot a social-media campaign Activity 6: Awareness-raising activities					
Staff, expert, and other personnel costs	Regional Coordinator B for component 2	Months	24	2,000	48,000
	Teacher Assistant	Months	15	1,000	15,000
	Communication Assistant	Months	12	1,000	12,000
Contractual Services	Catering services for awareness-raising activities in each country. (15 activities face-to face per country for 5 countries)	Each	75	700	52,500
	Graphic designer services and video productions	Each	1	12,000	12,000
Operating and Other Direct Costs	Bank fee for international money transfer Two transfers to each country	Each	10	30	300
Supplies, Commodities and Materials <sup>5</sup>	Office stationery, supplies, tools, etc	Total	1	1,240	1,240
	Subtotal				<b>141,040</b>

<sup>3</sup> The indicative budget can range from USD 50,000 to 180,000; for regional project, the indicative budget can range from USD 200,000 to 500,000

<sup>4</sup> There can be several items in each budget category.

<sup>5</sup> These are, for example, working months per person in case of staff or days in case of consultants, or number of travels.

Budget class	Item description	Unit description	Quantity	Unit cost	Total
<b>REGIONAL MEETINGS</b>					
Contractual Services	Catering services for face-to-face regional meeting (3 days meeting for 20 participants). 3 Coffebreak, 3 Lunch per people and facilities. Dinner with authorities and participants	Each	100	75	7,500
Travel	Travel related costs for staff (regional and national coordinators), focal point of Basel Convention, and Director of BCRC South America. DSA for Panama (in US\$) = 219 10 people. (air ticket and DSA)	Each	10	2,176	21,760
	Subtotal				29,260
	<b>Total</b>				<b>500,000</b>

Comment: BCRC/SCRC Panama will support with national resources as a counterpart for the successful execution of the project. Being housed in a University, we will have all the facilities to support the development of Component 2 in association with the Faculty of Education, the Faculty of Social Communication and the Faculty of Information Technology, Electronics and Communication, as well as administrative dependencies such as the Technology Department Education and the Directorate of Information Technology and Communication.

UN Budget classes explanation

No	Budget Class Name	Explanation
1.	Staff, expert, and Other Personnel Costs	(i) Includes all costs related to project personnel and their entitlement. These include staff, administrative and support staff, consultants, experts, and interns. (ii) Meeting facilitators, interpreters, translators and evaluation consultants are also all to be budgeted under this Budget Class if they are contracted in their individual capacity. However, if they are contracted as a company then that must be budgeted under “Contractual services”. (iii) All contracting for staff, experts and other personnel should follow a transparent, fair and competitive recruitment process.
2.	Contractual Services	(i) Works and services of a commercial nature contracted following procurement procedures. This could include contracts given to NGOs if they are more similar to procurement of services than a grant transfer. (NGOs that are implementing partners to be budgeted under “Transfers and Grants Issued to Implementing Partner (IP)”. (ii) Where meetings/workshops require venue to be hired e.g. Hotel, then relevant costs to be budgeted under this Class. (iii) Commercial printing/publication contracts to be budgeted here (iv) All contracting should follow a transparent, fair and competitive procurement process. The companies should adhere to the highest standards of moral and ethical conduct. (v) Total amount of goods or services procured from other legal entities (companies) is limited to 15% of the total budget.
3.	Travel	(i) Includes all reasonable travel related costs for staff, consultant, other personnel meeting participant. (ii) the costs can include reasonable cover for daily subsistence allowance or accommodation, meals, flight/train/bus/boat tickets, terminal expenses as applicable (iii) only economy class travel is allowed for all travelers, including staff.
4.	Equipment, Vehicles and Furniture	(i) Procurement of non-consumables e.g. IT equipment, vehicles, furniture etc. This would relate to all costs to put asset into service and the cost of disposal of the asset upon reaching its useful life. (ii) if this budget category is used, the ownership after the project of the equipment purchased will be agreed. (iii) final financial statement should include an inventory list of non-expendable (fixed) assets. (iv) Total amount of goods or services procured from other legal entities (companies) is limited to 15% of the total budget.
5.	Operating and Other Direct Costs	(i) Rental of premises/equipment; utilities; cleaning; vehicle maintenance; communication costs including telephone and internet; Bank fee;
6.	Supplies, Commodities and Materials	(i) Consumable supplies e.g. office stationery, supplies, tools, etc.; (ii) Costs associated with the delivery, storage and distribution of consumable supplies procured such as transportation, freight, customs, insurance, warehousing and other logistical requirements;
7.	Transfers and Grants Issued to Implementing Partner (IP)	(i) To be used if the partner will work together with other non-profit partners and transfer funds to them under a contract. (ii) any procurement or partnering with for-profit companies should be budget under class “Contractual Services”. (iii) The choice and the contracting of an implementing partner should follow a transparent and fair process. The partners should adhere to the highest standards of moral and ethical conduct. (iv) Implementing partners are required to provide a financial statement and refund any unspent balance of funds received, after the implementation of the agreed activities has ended. (iv) if this modality and budget category is used, approval is on a case by case basis and more information will be required as it has implications on the due diligence of the subcontractors.

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

The financial contribution in kind is listed below

It consists of the following items per country:

- Personnel (20% of monthly salary)
- Office equipment and furniture
- Telecommunication and internet equipment
- Stationery and office supplies
- Physical space and facilities for the national coordinator

Fixed expenses (water, electricity, telephone, internet) are not included.

Honduras	Guatemala	Panama
CESSCO, Ministry of Environment	Ministry of Environmental and Natural Resources and Universidad de San Carlos	Ministry of Health and Universidad of Panama (CIIMET/BCRC/SCRC)
~ 32,000	~ 40,000	~ 80,000
El Salvador	Bolivia (Plurinational State of)	Argentina
Ministry of Environment and Natural Resources	Ministry of Environment and Water	BCRC-South America
~ 32,000	~ 35,000	~ 30,000

A total estimated of US\$ 249,000.00

3.3 Has an application for financial support through other financial mechanisms or trust funds, such as, but not limited to the Small Grants Programme of the Convention, the implementation fund of the Convention, the Global Environment Facility, and the Special Programme to support institutional strengthening at the national level for implementation of the Basel, Rotterdam and Stockholm Conventions, the Minamata Convention and the Strategic Approach to International Chemicals Management, covering activities specified in this project proposal been submitted and/or accepted? Yes  No

If yes, please provide additional information.

4. Link to the goal and workplan of the Plastic Waste Partnership working group

4.1 Objectives

Please explain how the project will contribute to the goal<sup>6</sup> of the Partnership working group. (max 250 words)

Through the strengthening of the national capacity at the Projects countries in implementing the Basel Convention amendments on plastic, stronger results will be achieved in terms of:

1. Controlling the TBM of plastic waste: Through national training workshops, the revision of the legal and institutional framework and the development of a Toolkit for the effective implementation of the Basel Convention with focus in the amendments on Plastics, a more effective control on the TBM is expected. Participation of Key national actors including Ministries of Environment and Customs will bring the necessary information to identify barriers in the implementation and make feasible recommendations in the development of the Toolkit.
2. Improving the ESM of plastic waste: Thorough the Revision of the legal and institutional frameworks at the project countries and the Information gathering process is expected to design a practical Toolbox generating positive impacts in the project countries with a life cycle approach on ESM.

In addition, due to the similar characteristics of the countries in the Latin American and the Caribbean region and other developing countries and countries with economies in transition, outcomes and lessons learnt during this project will be shared within the Region through the BCRC and the participation of the BRS Secretariat.

4.2 Project groups

Under which project group will the project fall? (Proponents are encouraged to highlight the main focus of the project by selecting no more than two groups)

- 1) Prevention and minimization
- 2) Plastic waste collection, recycling, and other recovery, including financing and related markets
- 3) Transboundary movements
- 4) Outreach, education, and awareness raising

<sup>6</sup> The goal of the Basel Convention Partnership on Plastic Waste is to improve and promote the environmentally sound management of plastic waste at the global, regional and national levels and prevent and minimize their generation so as to, among other things, reduce significantly and in the long-term eliminate the discharge of plastic waste and microplastics into the environment, in particular the marine environment.

Comment

**5. Additional project information**  
(Special consideration is given to information provided under 5.1, 5.4, 5.5)

5.1	Innovation	Does the project aim at developing new tools to address plastic waste, tackle a new aspect of ESM plastic waste and/or feature another innovative element? If yes, please explain in the comment section.	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
	Comment	<p>This project aims at developing a new tool to help countries of the Latin American and the Caribbean Region and other countries with economies in transition to effectively implement Basel Convention Plastic Waste Amendments.</p> <p>Educational activities with different ages and groups of students will be a great challenge, however, it will be a product with a greater possibility of generating changes in society to prevent plastic pollution.</p>		
5.2	Testing of existing guidance and tools	Does the project aim at testing existing guidance and tools for plastic waste (e.g. inventory, ESM guidance)? If yes, please explain in the comment section.	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>
	Comment			
5.3	National relevance	Are the objectives of the project aligned with the needs of the country/ies in which the project is to be implemented and aligned with its/their ongoing national policy processes and initiatives? If yes, please explain in the comment section.	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
	Comment	<p>The five countries have developed internal regulations regarding BC compliance and TBM, ESM on plastics. They have ratified the BC on the following dates: 1992: El Salvador and Panama; 1995: Guatemala; 1996: Honduras and 1997: Bolivia (plurinational state of). It is important to recall that this project is fully aligned with the policies of the project countries. As Parties of BC, they have committed to making their maximum effort to comply with the Agreement. The development of regulations, and other policy instruments that ensure international commitments have been the motivation for the development of this proposal.</p> <p>In the training of new professionals and the generation of a culture of prevention of plastic pollution, a great impact will be obtained and the opportunity for teamwork between the ministries of environment, health, agriculture with the ministry of education, strengthening cooperation and generating lasting alliances over time.</p>		
5.4	Replicability	Does the project have a high potential for scale/replicability, e.g. by providing a practical example of how other Parties and stakeholders can better succeed in similar activities? If yes, please explain and indicate which project outputs and activities could be replicated in other countries in the comment section.	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
	Comment	<p>Project countries in particular and developing countries and countries with economies in transition in general, have a great need for clear guidelines to achieve effective implementation of the BC amendments. This project will allow the development and implementation of specific guidelines in the project countries and provide practical examples and lessons learned in all those countries that need it. As it was mentioned previously, the project has an enormous potential for scaling up and replicability. Most of the countries of the Region have ratified Basel Convention and already face challenges in the implementation. Due to the similar characteristics of the counties in the Region, and countries with economies in transition od other regions, outcomes and lessons learnt of this project will definitely add value to the path they will have to go through.</p> <p>All the effort in educational programs and awareness activities will be shared as lessons learned to other countries in other regions.</p>		
5.5	Leveraging	Is the result of this project expected to trigger expanded activities in the immediate future? If yes, please explain in the comment section.	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
	Comment	<p>It is expected that the project countries successfully implement the Basel Amendments on Plastic, providing other developing countries and countries with economies in transition of useful tools to do the same in the Latin American and Caribbean Region and other regions. At the same time, the project is expected to position the Basel Amendments on Plastic on agenda in the Latin American region in the immediate future. On this purpose, the Inter-governmental network on chemicals and waste could be a good alliance.</p>		
5.6	Sustainability	Will the conditions for achievement of the outcomes to be established through this project prevail beyond the project duration? If yes, please explain in the comment section.	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
	Comment			

Through the development of new regulations and policy instruments, outcomes of the project will remain once the lifecycle of the project ends. In addition, information gathering processes will strengthen the relationship among national and regional Stakeholders. Finally, activities to be developed regarding dissemination of lessons learnt pursue the continuousness of the project outcomes.

- 5.7 Gender mainstreaming  
Does the project advance gender mainstreaming? If yes, please explain in the comment section. Yes  No   
Comment  
The project has been designed including gender considerations. Under activity 1, the project aims at promoting women’s participation and leadership in all forms of decision-making. Under activity 1.2, gender approach will be taken into account due to the fact that mainly in informal sectors of waste collection, women are a large part of the workforce.
- 5.8 South – south cooperation  
Does the project advance south-south cooperation? If yes, please explain in the comment section. Yes  No   
Comment  
The regional approach of the project will promote South-South and North-South cooperation and exchange of information among the project countries. In addition, the objective of this project aims to bring solutions in a matter that is frequent in most countries of the region deal with. Thus, lessons learnt will be very useful to share with the entire Latin America and the Caribbean region and other regions with developing countries and countries with economies in transition.  
A Collaboration Agreement will be signed very soon between the BCRC/SCRC of Panama and the BCRC of South America, which will strengthen and improve cooperation in our region.
- 5.9 Sustainable Development Goals (SDGs)  
Does the project contribute towards the achievement of the SDGs? If yes, please explain how and to which SDGs and targets the project contributes in the comment section. Yes  No   
Comment  
This project is fully in line with the 2030 Agenda for Sustainable Development, in particular with SDG 3 on Good Health and Well-being; SDG 6 on Clean Water and Sanitation, SDG 12 on Sustainable Consumption and Production; and SDG 14 on life below water.

**To be completed by a proponent or implementing partner (if different from the proponent) that is a not-for-profit entity**

**Form for Due Diligence Review  
Selection of not-for-profit entities**

<b>Category A: (Red) Exclusionary criteria</b>		
<b>Criteria:</b>	<b>Yes/No</b>	<b>Comments:</b>
<b>1. Legal status and governance</b>		Copies of the Partner’s incorporation/registration document; and its governing documents (e.g. by-laws) must be publicly available
1.1 Does legal status reflect a not-for profit status?		
1.2 Has the entity been duly registered?		
<b>2. Financial and administrative capacity</b>		
2.1 Are its audited financial statements publicly available, showing sound financial management?		
<b>3. Technical capacity</b>		
3.1 Does the entity have the basic technical capacities to carry out the project?		
<b>Category B: (Yellow) Caution</b>		
<b>Criteria</b>	<b>Yes/No</b>	<b>Comments:</b>
<b>4. Alignment to UN values:</b>		
4.1 Does the entity fail to meet relevant obligations or responsibilities required by the United Nations?		

4.2 Does the entity violate sanctions established by the UN Security Council?			
4.3 Are there any issues with the entity that could pose a reputational risk to UNEP/BRS?			
<b>5. Already working with UNEP/BRS:</b>			
<b>5.1</b> Is the entity currently working with any part of UNEP/BRS as an implementing partner?			
<b>Category C: (Green) Positive screening (eligibility criteria)</b>			
<b>Criteria:</b>	<b>Yes/No</b>	<b>Score<sup>7</sup> 1/0</b>	<b>Comments:</b>
<b>6. Specific Technical Capacities</b>			
6.1 Does the entity have relevant proven experience in implementing similar activities (e.g., at a similar level of technical complexity; access to relevant information sources/networks)?			
6.2 Has the entity previously managed activities in the same geographic area?			
6.3 Has the entity previously managed efforts at a similar scale of funding?			
6.4 Are there additional technical merits for partnering with the entity?			
<b>7.Strategic Capacity</b>			
7.1 Does the organizational mandate of the entity cover the purpose of the proposed activity?			
7.2 Does the entity have an environmental or sustainability policy that reflects similar / complementary values to those of BRS/ UNEP?			
7.3 Does the entity have positive feedback from working with BRS, UNEP, the UN and/or other intergovernmental organizations?			
7.4 Are there additional strategic merits for partnering with the entity?			
<b>Total Score for positive screening:</b>		<b>x/8</b>	<b>&gt;5</b> <b>3-5</b> <b>&lt;3</b>
<i>Score of more than 5 – clear yes; score of 3-5 – require an explicit, clear commitment; score of less than 3 – consider no</i>			

**Duly authorized officer of the implementing partner**

**Signature:**

**Name:**

**Title:**

**Date:**

\_\_\_\_\_

**BRS internal use**

**Signature:**

**Name:**

**Title: Executive Secretary, BRS Secretariat**

**Date:**

<sup>7</sup>For questions 6-7 award 1 point for YES, 0 for NO.