

# Standard Operating Procedure

Maintained by: *Resource Mobilization Focal Point (COB)*

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**Title:** Mobilization of Financial Resources for the Voluntary Special Trust Funds of the Basel, Rotterdam and Stockholm Conventions, including donor communication and reporting

## I. Description

The SOP covers harmonized operating procedures across the Secretariat of the Basel, Rotterdam and Stockholm Conventions for its offices in Geneva and Rome for mobilizing financial resources for contributions to the Voluntary Special Trust Funds of the Conventions, including financial and substantive reporting, as well as procedures for the communication with donors.

The SOP outlines general practices in terms of Resource Mobilization (RM) and donor communication relating to RM-related activities that should be followed by all staff of the Secretariat. However, if the situation warrants and with prior approval of the Executive Secretary, alternative RM mechanisms can apply. The annexes to the SOP contain generic templates for the preparation of concept notes, project proposals and donor reports that should be used by all staff. Other templates that follow specific donor requirements will be made available on a case-by-case basis.

All concept notes, project ideas and project proposals should be based on the work programmes of the Basel, Rotterdam and Stockholm Conventions as approved by their respective Conferences of the Parties.

## II. Actors

Executive Secretary (ES), Deputy Executive Secretary (DES), Management Team (MT), Resource Mobilization Focal Point (RM FP), Administrative support for finance and budget-related matters (Fin Admin), Administrative support for donor-related matters (RM Admin), RM contact points in Geneva-based branches and Rome (RM CPs), Resource Mobilization Coordination Group (RM Group), legal team of the Secretariat, staff members through their respective Branch Chiefs (Geneva and Rome).

Activities related to Resource Mobilization are coordinated by the Conventions Operation Branch (COB) through the *RM FP*. Communication on RM-related matters passes through the respective *RM CPs*, if not advised differently by the MT.

### List of acronyms:

ES	Executive Secretary
DES	Deputy Executive Secretary
MT	Management Team
Fin Admin	Administrative support for finance and budget-related matters
RM Admin	Administrative support for donor-related matters
COB	Conventions Operations Branch
ASB	Administrative Support Branch
RM	Resource Mobilization
RM FP	Resource Mobilization Focal Point
RM CP	Resource Mobilization Contact Points
RM Group	Resource Mobilization Coordination Group

## III. Responsibilities

### A. Resource Mobilization Focal Point

The *RM FP* is located in COB and seeks clearance by the COB Branch Chief for assigned tasks. The *RM FP* performs the following support functions:

- Serves as the focal point for official communication with donors regarding issues relating to contributions to the voluntary trust funds of the Conventions and reporting;
- Chairs the *RM Group*;
- Coordinates and maintains a list of concept notes developed for each funding priority;
- Keeps track of donor requirements regarding scope and criteria for contributions to the voluntary trust funds of the Basel, Rotterdam and Stockholm Conventions;
- Keeps track of donor cycles for the impromptu submission of project proposals;
- Coordinates the submission of official communication as well as financial and substantive reports to donors;
- Coordinates the input to and update of the Resource Mobilization database;

- Coordinates the input to and update of the Resource Mobilization section of the synergy website;
- Informs BRS staff on RM activities through the bi-weekly reports;
- Reports back to the MT on RM activities on a quarterly basis.

#### **B. Administrative support for donor-related matters**

The *Fin Admin* is located in ASB and seeks clearance by the ASB Branch Chief for assigned tasks. The *Fin Admin* performs the following support functions:

- Prepares financial reports for submission to donors through the *RM FP*;
- Serves as a support staff to the *RM Group*;
- Keeps track of received donor contributions and expenditures for projects;
- Alerts the *RM Group* if no expenditures for certain activities occur, after funding was received;
- Works with the responsible staff member/Programme Officer to ensure that expenditures for activities are in compliance with donor requirements as set out in the RM database. In cases of non-compliance and following consultation with the responsible staff member/Programme Officer, alerts the *RM Group* of such cases;
- Inputs, in collaboration with the *RM Admin*, finance-related data into the Resource Mobilization database and keeps the finance part of the database up-to-date;
- Provides finance-related input to the Resource Mobilization section of the synergy website and maintains the site up-to-date;
- Prepares invoices for submission to donors through the *RM FP*;
- Provides input to the preparation of grant agreements.

#### **C. Administrative support for finance and budget-related matters**

The *RM Admin* is located in COB and seeks clearance by the *RM FP* for assigned tasks. The *RM Admin* performs the following support functions:

- Serves as a support staff to the *RM Group*;
- Inputs, in collaboration with the *Fin Admin*, pledge-related data into the Resource Mobilization database, including, but not limited to, information on donor requirements, staff responsibilities and other project-related data;
- Posts, through ASB, concept notes on the RM section of the synergy website;
- Supports the compilation of financial and substantive donor reports;
- Organizes meetings of the *RM Group*;
- Prepares RM-related letters and communication for submission to donors through the *RM FP* and provides copies to the *RM Group*;
- Supports the preparation, signature and submission of grant agreements to donors.

#### **D. Resource Mobilization Contact Points**

The *RM CPs* are located in the Geneva-based branches and Rome and seek clearance by their respective branch chiefs. The *RM CPs* are tasked with the coordination of project implementation within their respective branches and the office in Rome and with policy aspects of projects and perform the following support functions:

- Serve as members of the *RM Group*;
- Coordinate the timely preparation of concept notes within their branches and ensure the quality of such notes;
- Coordinate the timely preparation of substantive reports within their branches and ensure the quality of such reports;
- Coordinate the timely preparation of more detailed project documents, if required by donors, within their branches and ensure the quality of such documents;
- Compile and provide information to the *RM FP* on responsibilities within the branches and the office in Rome for the implementation of funded projects;
- Ensure that RM-related information is communicated within their branches and the office in Rome;
- Inform the *RM FP* and the *RM Group* of any relevant RM-related issues, including delays in the implementation of activities, within the respective branch.

#### **E. Resource Mobilization Group**

The RM Group was established to support the implementation of the Standard Operating Procedure on Resource Mobilization and is chaired by the *RM FP*. The members of the Group consist of one representative for each

branch (*RM CP*), the *Fin Admin* and the *RM Admin*. Each branch can nominate one backup for its *RM CP*. The *RM Group* meets on a monthly basis and performs the following support functions:

- Facilitates information sharing on RM-related activities of the Secretariat of the Basel, Rotterdam and Stockholm conventions among the branches and the office in Rome;
- Verifies that expenditures for donor-funded projects are aligned with donor requirements;
- Collects information related to resource mobilization and donor reporting from the branches and the office in Rome for use in the RM database and other RM-related activities;
- Identifies possible concept notes for submission to donors for RM opportunities;
- Keeps track of upcoming reporting obligations;
- Provides advice to the *MT* and the *ES/DES*, through the *RM FP*, on any issues, including delays, relating to resource mobilization, donor reporting, the implementation of funded activities and in cases of non-compliance with donor requirements.

## IV. General procedures and steps

### A. Communication

#### Communication with donors

- All staff, at any time during the work plan cycle, may contact donors personally or via email regarding the mobilization of resources. The *RM FP* and respective *RM CP* should be copied on any communication with potential donors;
- No commitments are to be made by individual staff members regarding the acceptance of pledges or the undertaking of specific activities;
- If the initial contact took place during a meeting or workshop, staff members, through their *RM CP*, prepare a short summary of discussions with the donor and submit to *RM FP*;
- In the case of a positive donor response, staff members advise the donor to continue the communication regarding the possible contribution to the voluntary trust fund through the *RM FP*.

#### Communication with the office in Rome

- RM-related issues under the Rotterdam Convention, including related synergy activities, are communicated through the Rome-based members (*RM CP*) of the *RM Group*.

### B. Resource Mobilization

#### Preparation and update of concept notes

- At the beginning of each budget cycle, the *RM Group* schedules a kick-off meeting to prepare a list of concept notes (template for concept notes contained in Annex I) for COP approved work plan activities to be funded through contributions to the voluntary trust funds (BD, RV, SV);
- Following the review and agreement of the *MT* and clearance by the *ES/DES*, the concept notes are posted on the RM section of the synergy website, not later than two months after the closure of a COP meeting;
- In the intersessional period, concept notes may need to be revised or new concept notes are to be added. In this case, the respective *RM CP* submits the updated or new concept note to the *RM FP*. The approval process stays the same as outlined above.

#### Mobilization of resources for specific activities/ projects/ programmes

- RM activities can be triggered by the following events:
  - o Donor trigger - receipt of donor pledge for funding of priority activities contained in the COP-approved work plans of the three Conventions, including synergies;
  - o Donor trigger - receipt of urgent/ad hoc donor pledges;
  - o Secretariat trigger - impromptu submission of funding proposals;
- In such an event, the *RM FP* informs the *RM Group* about the RM opportunities and, if appropriate, schedules a meeting of the *RM Group* to identify possible concept notes for submission to the donor(s);
- The *RM FP* compiles a list of concept notes and submits a draft list, including information on funding status of proposed activities, to *ES/DES* for review and clearance;

- Following ES/DES clearance, the final list of concept notes, including required letters, are submitted to the donor;
- The *RM FP* keeps the RM Group and *ES/DES* informed about possible further revisions of the concept notes;
- In case the donor requires more detailed information, the *RM FP* initiates the preparation of a fully-fledged project document through the *RM CPs*. The approval process stays the same as outlined above.

### **C. Approval of the pledge**

- Once the donor has confirmed the pledge, the *RM FP* informs the *ES/DES* and the *RM Group*;
- The *Fin Admin* prepares the invoice and the *RM Admin* the accompanying letter. The *RM FP* submits the letter and invoice to the donor;
- The *Fin Admin* and *RM Admin* enter the pledge information in the RM database and request the submission of missing information from the *RM Group*, if necessary;
- In case the donor requires a grant agreement, the *RM FP*, in collaboration with the legal team of the Secretariat and *Fin Admin*, coordinates the preparation, signature and submission of the agreement to the donor.

### **D. Funds receipt and project implementation**

- Upon the receipt of funds, *Fin Admin* informs *RM FP* and *RM Group*;
- The *Fin Admin* includes finance-related information on funding received in the RM database;
- Before any expenditure for planned activities is approved by *ES/DES*, the *Fin Admin* confirms that the activities are in line with donor requirements;
- Once expenditures have been incurred, the *Fin Admin* includes this information in the RM database;
- In case the implementation of activities is delayed, the substantive staff member, through the respective *RM CPs*, informs the *RM FP* in a timely manner about the reasons of the delay and if a extension is required.

### **E. Reporting**

- The *RM Group*, through reports generated by the RM database, keeps track of reporting deadlines;
- If reporting deadlines are approaching (two months before the deadline at the latest), the *RM Group*, at their regular meetings, initiates the preparation of financial and substantive reports (template for reports contained in Annex III). This includes the preparation of a list of projects, including staff responsibilities;
- *Fin Admin* prepares the financial report and submits to the *RM Group* for verification and for use by the branches in preparing substantive reports. The responsible staff member/Programme Officer notifies their respective *RM CPs* of any anomalies in the financial report. The *RM CP* communicates such anomalies to the *Fin Admin* and ensures they are rectified.
- Branches prepare their substantive reports and submit them, through the respective *RM CPs*, to the *RM FP* (copy to *RM Admin*);
- The *RM FP* sends the draft report to *ES/DES* for review and clearance;
- Following *ES/DES* clearance, the final report, including required letters and invoices, is submitted to the donor. The *RM FP* sends a copy of the final report to the RM Group for distribution to the relevant staff members.

### **F. Use of unspent funding**

- Based on the information contained in financial reports, the *RM FP* compiles a list of un-spent funding, if any, and submits this information to the *MT*;
- The *MT*, at one of its next meetings, discusses the use of such un-spent funding and advises the *RM Group*, through the *RM FP*, on the next steps. The next steps may include a decision on the reallocation of funding for one or more specific activities, based on existing concept notes, or a request for submission of one or more new concept notes for consideration by the *MT*.

## **V. Tools**

### **A. Resource Mobilization database**

- The RM database is accessible to the all staff members of the Secretariat (read access) and is being kept up to date by the *Fin Admin* and the *RM admin* (read and write access);
- It includes information on pledge-related data, including reporting deadlines and specific donor requirements as well as information on project-related data to support the reporting of progress and final reports for projects;

- The objective of the RM database is to provide the Secretariat with a broad range of donor and project-related information and supports the Secretariat in meeting its reporting obligations.

#### **B. RM section of the synergy website**

- The RM section of the synergy website contains information on the COP approved budget and contributions received so far for each Programme of Work activity of the three conventions that requires voluntary funding. It also provides a link to concept notes that can be downloaded by interested donors and other stakeholders;
- The *RM Admin* posts on the RM section of the synergy website, through ASB, concept notes approved by the *MT*;
- The *Fin Admin*, through ASB, updates information on contributions received on a regular basis and at least at the beginning of each quarter.

## Annex I: Template for the preparation of concept notes

<b>Convention:</b> <i>[BC/RC/SC OR SYN]</i>		<b>Project Title:</b>
<b>LEGAL BASIS/MANDATE:</b>		
<i>[PoW # AND RELATED COP-DECISIONS]</i>		
<b>BACKGROUND INFORMATION:</b>		
<i>[PURPOSE AND PROVIDE BACKGROUND INFORMATION – max ½ page]</i>		
<b>PROPOSED ACTIVITIES TO BE FUNDED:</b>		
<ul style="list-style-type: none"> <li><i>[ACTIVITIES]</i></li> </ul>		
<b>RESULTS TO BE ACHIEVED:</b>		
<ul style="list-style-type: none"> <li><i>[RESULTS TO BE ACHIEVED]</i></li> </ul>		
<b>BUDGET [USD] FOR <i>[SPECIFY BIENNIUM]</i></b>		
<b>10</b>	<b>PROJECT PERSONNEL COMPONENT</b>	
1100	<i>Professional Staff</i>	<i>[INSERT BUDGET IN USD]</i>
1200	<i>Consultants</i>	<i>[INSERT BUDGET IN USD]</i>
1300	<i>Conference services</i>	<i>[INSERT BUDGET IN USD]</i>
1600	<i>Travel on Official Business</i>	<i>[INSERT BUDGET IN USD]</i>
<b>20</b>	<b>SUB-CONTRACT COMPONENT</b>	
2200	<i>Sub-contracts</i>	<i>[INSERT BUDGET IN USD]</i>
<b>30</b>	<b>TRAINING COMPONENT</b>	
3300	<i>Meetings and Conferences</i>	<i>[INSERT BUDGET IN USD]</i>
<b>40</b>	<b>EQUIPMENT AND PREMISES COMPONENT</b>	
4100	<i>Expendable equipment</i>	<i>[INSERT BUDGET IN USD]</i>
4200	<i>Non-expendable equipment</i>	<i>[INSERT BUDGET IN USD]</i>
<b>52</b>	<b>MISCELLANEOUS COMPONENT</b>	
5200	<i>Reporting costs</i>	<i>[INSERT BUDGET IN USD]</i>
<b>DIRECT PROJECT COST OPERATIONAL BUDGET</b>		<i>[INSERT BUDGET IN USD]</i>

<b>Programme Support Costs 13%<sup>1</sup></b>	<i>[INSERT BUDGET IN USD]</i>
<b>TOTAL OPERATIONAL BUDGET</b>	<i>[INSERT BUDGET IN USD]</i>
<b>TOTAL COP-APPROVED BUDGET</b>	<i>[INSERT BUDGET IN USD]</i>
<b>FUNDING RECEIVED*</b>	<i>[INSERT BUDGET IN USD]</i>

\* as of *[insert date]*

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<sup>1</sup> Adapt if donor requires different programme support costs

## Annex II: Template for the preparation of project proposals

Project :

### 1. Legal basis (relevant COP decision(s) and PoW activity number):

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### 2. Background:

### 3. Project objective(s):

### 4. Expected outcomes:

### 5. Activities and work plan:

Target audience:

Work plan:

### 6. Budget (including co-financing):

Project budget: US\$

Co-financing: US\$ [SPECIFY CO-FINANCING SOURCES]

**Budget requested: US\$**

Budget line		Budget [US\$]
<b>10</b>	<b>PROJECT PERSONNEL COMPONENT</b>	
	1100 Professional Staff	
	<b>1199 Sub-total, Professional Staff</b>	
	1200 Consultants	
	<b>1299 Sub-total, Consultants</b>	
	1300 Conference services	
	<b>1399 Sub-total Conference services</b>	
	1600 Travel on Official Business	
	<b>1699 Sub-total Travel on Official Business</b>	



Budget line			Budget [US\$]
	1999	TOTAL PROJECT PERSONNEL COMPONENT	
20		SUB-CONTRACT COMPONENT	
	2200	<i>Sub-contracts</i>	
	2299	Sub-total sub-contracts	
	2999	TOTAL SUB-CONTRACT COMPONENT	
30		TRAINING COMPONENT	
	3300	<i>Meetings and Conferences</i>	
	3399	Sub-total Meetings and Conferences	
	3999	TOTAL TRAINING COMPONENT	
40		EQUIPMENT AND PREMISES COMPONENT	
	4100	<i>Expendable equipment</i>	
	4199	Sub-total Expendable equipment	
	4200	<i>Non-expendable equipment</i>	
	4299	Sub-total Non-expendable equipment	
	4999	TOTAL TRAINING COMPONENT	
52		MISCELLANEOUS COMPONENT	
	5200	<i>Reporting costs</i>	
	5999	Sub-total Reporting costs	
	5999	TOTAL MISCELLANEOUS COMPONENT	
DIRECT PROJECT COST OPERATIONAL BUDGET			
Programme Support Costs 13% <sup>2</sup>			
TOTAL OPERATIONAL BUDGET			

**7. Involvement of regional centres (if any):**

**8. Partners/stakeholders:**

<sup>2</sup> Adapt if donor requires different programme support costs

## Annex III: Template for the preparation of substantive and financial donor reports

### PART I: Executive Summary

Projects title	Year of funds receipt	#	Brief summary of outcomes
[SPECIFY]	[SPECIFY]	1	[PROVIDE BRIEF SUMMARY OF PROJECT OUTCOMES – MAXIMUM ONE PARAGRAPH]

### PART II: Project Summary Reports

**Project:** [SPECIFY PROJECT TITEL]

[PROVIDE A SUMMARY REPORT OF PROJECT IMPLEMENTATION]

### PART II: Overall Assessment of Project Implementation

**Project:**[SPECIFY PROJECT TITEL]

#### 1) Assessment of implementation in [PLEASE SPECIFY REPORTING YEAR]

[PROVIDE DETAILED ASSESSMENT OF PROJECT IMPLEMENTATION – THIS SHOULD ALSO INCLUDE REASONS AND JUSTIFICATION IN CASE OF DEVIATIONS FROM THE INITIAL PLAN]

#### 2) Budget (including co-financing):

<b>Total project budget</b> (incl. PSC)	<b>US\$</b>
Contribution by [SPECIFY](incl. PSC)	US\$
Co-financing by [SPECIFY](incl. PSC)	US\$

Expenditures for reporting year

Budget line		Expenditures [US\$]
<b>10</b>	<b>PROJECT PERSONNEL COMPONENT</b>	
	1100 Professional Staff	
	<b>1199 Sub-total, Professional Staff</b>	
	1200 Consultants	
	<b>1299 Sub-total, Consultants</b>	
	1300 Conference services	
	<b>1399 Sub-total Conference services</b>	
	1600 Travel on Official Business	
	<b>1699 Sub-total Travel on Official Business</b>	

Budget line			Expenditures [US\$]
	1999	TOTAL PROJECT PERSONNEL COMPONENT	
20		SUB-CONTRACT COMPONENT	
	2200	<i>Sub-contracts</i>	
	2299	Sub-total sub-contracts	
	2999	TOTAL SUB-CONTRACT COMPONENT	
30		TRAINING COMPONENT	
	3300	<i>Meetings and Conferences</i>	
	3399	Sub-total Meetings and Conferences	
	3999	TOTAL TRAINING COMPONENT	
40		EQUIPMENT AND PREMISES COMPONENT	
	4100	<i>Expendable equipment</i>	
	4199	Sub-total Expendable equipment	
	4200	<i>Non-expendable equipment</i>	
	4299	Sub-total Non-expendable equipment	
	4999	TOTAL TRAINING COMPONENT	
52		MISCELLANEOUS COMPONENT	
	5200	<i>Reporting costs</i>	
	5999	Sub-total Reporting costs	
	5999	TOTAL MISCELLANEOUS COMPONENT	
DIRECT PROJECT COST OPERATIONAL BUDGET			
Programme Support Costs 13% <sup>3</sup>			
TOTAL OPERATIONAL BUDGET			

Planned expenditures in the next reporting period

Budget line			Planned expenditures [US\$]
10		PROJECT PERSONNEL COMPONENT	
	1100	<i>Professional Staff</i>	
	1199	Sub-total, Professional Staff	
	1200	<i>Consultants</i>	
	1299	Sub-total, Consultants	

<sup>3</sup> Adapt if donor requires different programme support costs

Budget line			Planned expenditures [US\$]
	1300	Conference services	
	<b>1399</b>	<b>Sub-total Conference services</b>	
	1600	Travel on Official Business	
	<b>1699</b>	<b>Sub-total Travel on Official Business</b>	
	<b>1999</b>	<b>TOTAL PROJECT PERSONNEL COMPONENT</b>	
<b>20</b>	<b>SUB-CONTRACT COMPONENT</b>		
	2200	Sub-contracts	
	<b>2299</b>	<b>Sub-total sub-contracts</b>	
	<b>2999</b>	<b>TOTAL SUB-CONTRACT COMPONENT</b>	
<b>30</b>	<b>TRAINING COMPONENT</b>		
	3300	Meetings and Conferences	
	<b>3399</b>	<b>Sub-total Meetings and Conferences</b>	
	<b>3999</b>	<b>TOTAL TRAINING COMPONENT</b>	
<b>40</b>	<b>EQUIPMENT AND PREMISES COMPONENT</b>		
	4100	Expendable equipment	
	<b>4199</b>	<b>Sub-total Expendable equipment</b>	
	4200	Non-expendable equipment	
	<b>4299</b>	<b>Sub-total Non-expendable equipment</b>	
	<b>4999</b>	<b>TOTAL TRAINING COMPONENT</b>	
<b>52</b>	<b>MISCELLANEOUS COMPONENT</b>		
	5200	Reporting costs	
	<b>5999</b>	<b>Sub-total Reporting costs</b>	
	<b>5999</b>	<b>TOTAL MISCELLANEOUS COMPONENT</b>	
<b>DIRECT PROJECT COST OPERATIONAL BUDGET</b>			
<b>Programme Support Costs 13%<sup>4</sup></b>			
<b>TOTAL OPERATIONAL BUDGET</b>			

<sup>4</sup> Adapt if donor requires different programme support costs