



## Standard Operating Procedure (SOP)

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<b>Maintained by/Author:</b> PROU/EO

**Title:** **Mobilization of Financial Resources for the UNEP-administered Voluntary Special Trust Funds of the Basel, Rotterdam and Stockholm Conventions, including monitoring of the status of implementation of voluntary funded activities, donor communication and reporting**

**Description:** This SOP covers harmonized operating procedures across the Secretariat of the Basel, Rotterdam and Stockholm (BRS) Conventions for its offices in Geneva for mobilizing financial resources for contributions to the Voluntary Special Trust Funds of the Conventions, including financial and substantive reporting, the monitoring of the status of implementation of voluntary funded activities, as well as procedures for the communication with donors.

The general practices in terms of resource mobilization and donor communication outlined in this SOP should be followed by all staff of the Secretariat. However, if the situation warrants and with prior approval of the Executive Secretary (ES), being the responsible manager of the UNEP trust funds, as per the authority personally delegated to the ES, alternative resource mobilization processes can apply, in accordance with, as applicable, the United Nations (UN)/UN Environment Programme (UNEP) respective regulations and rules<sup>1</sup>, consistent with relevant provisions of the BRS Conventions, their financial rules, and with the respective decisions of the Conferences of the Parties (COPs).

The SOP covers the following sections related to the mobilization of financial resources:

[I. General principles](#)

[II. Programme Oversight Group \(POG\)](#)

[III. Communication with donors](#)

[IV. Preparation of concept notes](#)

[V. Fundraising strategy and programmatic priorities](#)

[VI. Mobilization of resources](#)

[VII. Project implementation and monitoring](#)

[VIII. Information sharing](#)

[IX. Reporting](#)

[X. Use of unspent funding](#)

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<sup>1</sup> Note that this SOP does not cover FAO-related resource-mobilization activities.

Annex I to the SOP sets out the criteria to guide the process for the selection and prioritization of concept notes for funding. Annexes II, III, and IV to the SOP contain templates for the preparation of concept notes, as well as substantive progress and final reports respectively.

**Actors:**

1. Executive Secretary (ES)
2. Deputy Executive Secretary (DES)
3. Executive Office (EO)
4. Branch Chief (includes the coordinator of the Rome-based part of the Secretariat as well as EO unit heads) (BC)
5. Programme Officer (PO)
6. Programme Resources and Oversight Unit/Executive Office (PROU/EO)
7. Resource Mobilization Officer in PROU/EO (RMO/PROU/EO)
8. Branch Focal Point for POG (BFPP)
9. Funds Management, Administration and Human Resources Branch (FMAHR)
10. Fund Management Officer (FMO)
11. Programme Oversight Group (POG)
12. Legal Officer responsible for corporate matters (LO)
13. Public Awareness and Outreach Officer (PAOO)

**Steps:**

**I. General principles**

1. Under the delegation of authority further delegated by the UNEP Executive Director, the ES has the overall responsibility to manage financial resources under the Financial Regulations and Rules and delegated authority to solicit and accept voluntary contributions if they do not involve additional financial liability for the United Nations. The ES is also delegated authority to negotiate, approve and sign amendments to contributions. The amendments should be executed prior to the expiry of the original term stipulated in the underlying agreement and not on an ex post facto basis.
2. Activities related to resource mobilization and the monitoring of the status of programmatic implementation are coordinated by the EO, through PROU/EO, with support provided by the RMO/PROU/EO.
3. As per the authority delegated to FMOs (on a personal basis) and with particular reference to Financial Rule 105.5, the FMO is responsible for all fund management functions including managing the utilization of resources in accordance with the purposes for which those resources

were provided<sup>2</sup>, the principles of efficiency and effectiveness and the Financial Regulations and Rules of the United Nations.

4. The United Nations Enterprise Resource System (Umoja) serves as the official and authoritative data source for all financial records relating to voluntary contributions. The FMO is responsible for maintaining documentation to support all commitments, disbursements and expenses certified in Umoja. To this end, all staff who communicate with donors should ensure that communications that have financial implications or affect the purpose of a contribution are forwarded to the FMO. It is critical that the FMO maintains a record of what was sent, when it was sent and who sent it, hence such documentation should be sent to the FMO as an email or email attachment rather than a link to a document repository as the latter may subsequently be modified.
5. A resource mobilisation dashboard (hereinafter referred to as the “BRS Dashboard”), aiming at specifically monitoring the implementation of voluntary funded activities, is a tool used by the Secretariat to centrally track and monitor donor agreements and the implementation of donor-funded activities. The BRS Dashboard has been developed to support the implementation of donor-funded activities and provides BRS staff with information on donor contributions, and donor-funded activities, including related deadlines. PROU/EO is responsible for the maintenance and further development of the BRS Dashboard.
6. Information on resource mobilization-related matters is communicated through the POG (section II). Internal communication on specific projects is carried out either directly with the concerned lead PO, copying as relevant and the respective BFPP and FMO, or, if coordination at the branch level is required, the BC.
7. The ES/DES, FMO and POG are to be kept informed of all funding proposals under negotiation and the ES/DES & FMO should be consulted prior to agreeing to any special donor conditions, particularly those that may result in special implementation requirements.
8. When necessary, task teams are set up by the ES/DES to coordinate the preparation of fundraising proposals and/or reports to donors for specific processes.
9. All funding needs, concept notes and project proposals are to be based on the Programmes of Work (PoW) of the Basel, Rotterdam and Stockholm Conventions as adopted by the respective COPs and reflected in the factsheets. They should also be consistent with previous applicable decisions of the COPs as well as initiatives which contribute to the common objectives of and are in conformity with the provisions of the three Conventions. Exceptions to this needs to be approved by the ES.

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<sup>2</sup> The purposes for which the resources are provided are to be consistent with relevant provisions of the BRS Conventions, their financial rules, with the respective decisions of the COPs, and the contractual obligations towards the respective donors.

10. All internal communication with the ES/DES seeking approval of potential funding sources is to be channelled from BCs through PROU/EO.
11. Following signature of the donor agreement, all requests to use funds should be certified by the FMO and approved by the ES. Should the FMO require confirmation that the proposed use of funds complies with donor conditions, the advice of RMO/PROU/EO may be sought and, if required, the FMO may seek clarification from the donor through RMO/PROU/EO.
12. The use of unearmarked funds such as the Host Country contributions is at the discretion of the ES and not normally available to POs as a funding source for project activities. However, if warranted, any internal communication with the ES/DES seeking approval for the use of such unearmarked funds, should be channelled through FMAHR who will provide the ES with advice on the feasibility of accommodating the request. Should FMAHR consider that the proposal would require donor approval, FMAHR may seek input from PROU/EO prior to submission to the ES/DES.

## **II. Programme Oversight Group (POG)**

13. The POG is chaired by PROU/EO and meets on a monthly basis or as otherwise required.
14. The POG discusses the preparation of concept notes (section IV); project implementation and monitoring (section VII); reporting (section IX); and the use of unspent funding (section X).
15. One week prior to the meeting of the POG, PROU/EO will circulate a list of all donor reports that have not been completed. The report will provide details of reporting deadlines and highlight upcoming deadlines.
16. At each POG meeting, PROU/EO provides information on resource mobilization activities; highlights upcoming donor reporting and other contribution-related deadlines.
17. BCs, the FMO and PROU/EO bring to the attention of the POG any issues related to project implementation affecting the contractual obligations towards the respective donors, such as delays, spending issues, requests for extensions, unspent balances for closed or soon to be closed projects and related requests for reallocation of contribution budgets.
18. POG shall keep the ES/DES informed on any issue relating to donor reporting, failure to meet donor deadlines and obligations, etc. The ES/DES may impose further measures with regards to project implementation to ensure adherence to the contractual obligations towards the respective donors.

## **III. Communication with donors**

19. Official communication with donors is channelled through PROU/EO, who keeps the ES/DES, BCs, FMO, BFPPs, and lead POs informed, as necessary.
20. Staff members, at any time during the biennium, may interact with donors regarding the mobilization of resources. PROU/EO and, if appropriate, the ES/DES and the respective BC, the Chief of FMAHR and the FMO should be copied on any relevant communication with potential donors.
21. No commitments are to be made by individual staff members regarding the acceptance of pledges and/or proposed projects.

#### **IV. Preparation of concept notes**

22. During the preparation of the budgets for consideration by the COPs, fact sheets are prepared by the FMO (finance part) and the relevant PO (programmatic part), in consultation with PROU/EO, taking into account the need to facilitate the preparation of fundraising concept notes following adoption of the budget by the COPs.
23. Within three months following the meetings of the COPs, the FMO prepares, in cooperation with relevant POs, a revised version of the factsheets, reflecting the outcomes of the COPs is prepared.
24. The revised factsheets are submitted for review and clearance to relevant BCs and for clearance to the ES/DES and constitute the main basis of funding needs and fundraising concept notes. Within four months following the meetings of the COPs, PROU/EO transposes the fact sheets into the concept note format (Annex II), ensuring that all voluntarily funded activities in the approved PoW and budgets of the three Conventions have been included in the concept notes. PROU/EO shares the concept notes for clearance with by the FMO and relevant POs and then submits them for clearance to relevant BCs and, subsequently, to the ES/DES.
25. Following the clearance by the ES/DES, the concept notes are posted on the resource mobilization section of the Conventions' website at the latest before the start of the new biennium. Once posted, PROU/EO will inform Parties about the posting of the concept notes.
26. Tailored concept notes for activities of the PoW or initiatives that are in line with the common objectives of and are in conformity with the provisions of the three Conventions can be developed at the discretion of ES/DES. In that case, PROU/EO contacts the lead PO(s) to prepare such a concept note under the responsibility of the BC(s).

#### **V. Fundraising strategy and programmatic priorities**

27. After each meeting of the COPs, a resource mobilization strategy for the implementation of activities for the upcoming biennium is developed by PROU/EO, with input from the BCs and the FMO, and cleared by ES/DES, to determine an overall strategic resource mobilization approach.
28. The mobilization of resources takes into account the strategy set out in the preceding paragraph and is based on the submission of funding

needs by BCs at regular intervals outlining branch priorities. When preparing their branch priorities, BCs liaise as needed with one another. The PROU/EO launches such calls as follows:

- (a) Within three months following the meetings of the COPs, for activities that need to be undertaken before or early in the new biennium;
  - (b) By October 15 of the year prior to the start of the new biennium for activities that require funding in the first 12 months of the biennium;
  - (c) Every six months thereafter throughout the biennium.
29. PROU/EO coordinates the transmission by Branches through their BCs of their funding needs on the basis of a template seeking information on: Convention, PoW Activity No. (factsheet), project title, brief description of the background and mandate, outline of planned activities, implementation timeframe, COP-approved budget in USD, funding needed in USD, and available co-funding in USD. All budget figures are to include programme support costs (PSC) (). PROU/EO compiles all branch submissions and makes them centrally available in the POG shared folder in MS Teams.
30. Ad hoc and/or urgent funding requests by branches not included in the funding needs submissions pursuant to paragraphs 28 and 29 above are channelled through BCs to PROU/EO, with copy to the ES/DES. The decision taken by ES/DES with regard to such requests, is communicated to BCs, the FMO and the POG through PROU/EO.
31. Resource mobilization for the participation of developing country Parties and Parties with economies in transition in meetings of the COPs, the OEWG and, as needed, other standing subsidiary body meetings, follows a separate process<sup>3</sup> and is launched by the POs coordinating the meeting through PROU/EO well ahead and no later than nine months before each of such meetings.

## **VI. Mobilization of resources**

32. In the case where a donor expresses interest in funding BRS activities, PROU/EO coordinates the process for recommending the selection of potential concept notes to the ES/DES for submission to the donor. If the level of interest is USD 200,000 or higher, inputs are sought from all branches. Where the level of interest is USD 1 million or above<sup>4</sup>, special attention needs to be given to the human resource requirements for the delivery of such projects. If the level of interest is less than USD 200,000 and if the donor has not specifically earmarked the funding, BCs are to be consulted, and funding needs submitted by branches are taken into account. In all cases, the criteria set out in Annex I to the present SOP as well as the resource mobilization

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<sup>3</sup> See SOP.26

<sup>4</sup> If the level of interest is over USD 1 million, the contribution agreement to be signed by the ES will first have to be cleared by UN Environment Programme (UNEP) Corporate Services Director as per the applicable UNEP 'Delegation of Authority Policy and Framework for the management and administration of Multilateral Environmental Agreement Secretariats and other bodies for which UN Environment provides the Secretariat or secretariat functions'.

strategy are taken into account. Final decisions on which fundraising concept notes will be submitted to the donor are taken by the ES/DES. BC(s), FMO and the lead PO(s) are provided by PROU/EO an email with an attachment of the concept note that was submitted to the donor.

33. PROU/EO keeps the lead PO, BFPP, FMO and LO informed of the communications with the donor, seeking guidance, as needed, to answer questions from the donor and to provide feedback.
34. Ad hoc pledges often need to be handled quickly and follow the above process immediately following the receipt of the pledge. Before the ad hoc pledge is accepted, PROU/EO liaises with the ES/DES, relevant BC and FMO and seeks confirmation that the Secretariat is in a position to use the funding according to the requirements of the donor.
35. Once the donor agrees to the funding, PROU/EO, in collaboration with the lead PO, the BFPP(s), the LO and the FMO, initiates and coordinates the preparation, signature and submission of a tailored concept note (Annex II) as well as a legal agreement<sup>5</sup>, containing the tailored concept note and other relevant documentation received by the donor.
36. The process and standard timelines are as follows:
  - a. The lead PO submits through the BC to the RM/PROU/EO a tailored concept note, and, within five working days from receipt of the request sent by PROU/EO;
  - b. For contributions without time limits indicated in the pledge, the PO, in the submission of the tailored concept note to the RM/PROU/EO, indicates an internal project completion date that will be recorded in the Dashboard;
  - c. PROU/EO prepares and submits to BC of FMAHR a draft legal agreement within five days from the date of submission of the tailored concept note from the BC to the RM/PROU/EO;
  - d. The BC of FMAHR submits to the RM/PROU/EO the cleared legal agreement with invoice<sup>6</sup>:
    - i. within five working days for an Exchange of Letter (EOL);
    - ii. within ten working days for standard donor agreements;
  - e. PROU/EO submits the cleared legal agreement to ES/DES for clearance and signature within 2 working days.
37. No-cost extensions of projects require authorisation by the relevant donor, and as applicable, an extension of the duration of the related legal instrument, which will then need to be amended<sup>7</sup>. PROU/EO initiates and coordinates the process, by reaching out to the respective donor and by requesting the lead PO to prepare an updated concept note. The PO will inform the RM/PROU/EO in case the internal project

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<sup>7</sup> For amendments of already existing legal instruments involving voluntary financial contributions, which are still in force, please also refer to the abovementioned SOP No. 34; if the legal instrument has expired, a new legal instrument will have to be concluded.



completion date, as set out paragraph 36.b above, is to be updated. Once ES/DES and the donor agrees to the no-cost extension, the process and standard timelines follow the same steps, as set out in paragraphs 35 and 36 above.

38. Re-allocations of unspent funding, as detailed in section X below, require the authorisation from the donor, and as applicable, an amendment of the relevant legal instrument (or a new legal instrument if the former has expired<sup>8</sup>)<sup>9</sup>. PROU/EO initiates and coordinates the process by reaching out to the respective donor and by requesting the lead PO to prepare new concept note(s) and, as appropriate, the internal project completion date, as set out paragraph 36.b above. Once the donor agrees to the re-allocation, the process and standard timelines follow the same steps, as set out in paragraphs 35 and 36 above.
39. PROU/EO and ES/DES encourage donors to avoid transferring their voluntary contributions to the BRS Conventions together with other UNEP contributions, as the reconciliation of deposits in UNEP may delay the availability of funds and thus project implementation.
40. In case the donor requires more detailed information, PROU/EO initiates and coordinates the preparation of the full project document in collaboration with the lead PO and the FMO.
41. Following ES/DES clearance, the documentation, including as required concept note(s), project document(s), relevant legal instrument(s) (e.g. donor agreement and/or exchange of letters, etc.), are submitted to the donor by PROU/EO. PROU/EO provide, by email, a copy of the communication with the donor to the respective BC, FMO, LO and the lead PO. PROU/EO is responsible for storing all related information in the BRS Dashboard.

## **VII. Project implementation and monitoring through the BRS Dashboard**

42. The BRS Dashboard aims at monitoring the implementation of voluntary funded activities. The BRS Dashboard includes at minimum the following information:
  - a. Donor name
  - b. Donor representative(s) contact details
  - c. Name(s) of the convention(s)
  - d. Reference to the PoW
  - e. Contribution-code (C-code)
  - f. Project-code (P-code)
  - g. IPMR codes
  - h. Title(s) of funded project(s)

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<sup>8</sup> See above footnote on amendments of legal instruments as well as, for more detailed information, the corresponding specific SOP on legal instrument 'Funds Received'.

<sup>9</sup> Unless the donor requirements state a different process, which is compatible with applicable UN/UNEP/BRS Conventions' rules and regulations as well as policies and procedures or business practices pertaining thereto; and/or FMAHR, in particular the LO, confirm that an exchange of letters or other type of legal instrument is not legally required.



- i. Amount(s) planned and received in original currency (OC) and in USD<sup>10</sup>
  - j. Lead PO and the back-up officer
  - k. Date of receipt of funding
  - l. Start and end-dates of the project
  - m. Donor conditions
  - n. Reporting deadlines (internal and external)
  - o. Expiry date of the contribution
  - p. Entry into force (i.e. latest official signature date) of the legal instrument
  - q. Expiry date of the legal instrument
  - r. Any other relevant dates (e. g. extensions)
  - s. The status of implementation using a traffic light system
  - t. A project log to be updated at regular intervals
  - u. The days passed since the last update of the project log.
43. PROU/EO assigns a BRS-internal reference number for each donor contribution (C-codes) as well as for the funded activities (P-codes). These reference numbers should be cited in all relevant processes and forms, including the pre-commitment forms, to help the FMO, PROU/EO and other involved staff identify the activity for which funding is requested, as well as in internal and external communications related to the pledge.
  44. Project-related information may include, as appropriate, additional information such as e.g. the name of beneficiary countries. PROU/EO establishes links to relevant internal BRS data as well as external data as technically feasible and appropriate.
  45. The BRS Dashboard also includes a document repository containing all pledges and project information such as signed legal instruments, donor communications, reports, etc.
  46. Under the overall coordination of PROU/EO, relevant information to feed in the BRS Dashboard is taken from the applicable legal instruments and the tailored concept notes. Other substantive information relating to the implementation of activities is provided by the lead Pos as appropriate.
  47. Once a month, FMAHR informs all staff of all voluntary funds received in BRS accounts during that month and that have been verified. PROU/EO updates the Dashboard accordingly with the amounts received and verified as referred to in paragraph 42.i above.
  48. The implementation of the projects and utilisation of funds can start when the funds have been received in BRS trust funds for voluntary contributions.
  49. To initiate expenditure for voluntary funded activities, the lead PO prepares a pre-commitment form which is used to request the

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<sup>10</sup> These are estimates only, final certified figures to be provided by FMAHR.

Executive-Secretary's approval to use funds. The pre-approval form is copied to PROU/EO and cleared the FMO. If PROU recognizes any issue it will inform the FMO. The FMO ensures that the funds have been received, budgeted and confirms that the proposed programmatic activities are in accordance with donor's requirements. The FMO certifies as per his/her delegation of authority and in accordance with financial rule 105.5 that the proposed obligations, commitments and expenditures are in accordance with the Financial Regulations and Rules and related administrative Instructions of the United Nations, and in line with the budgetary purpose(s) for which the relevant appropriation(s), allotment(s) and staffing table(s) were approved and can be met from the available relevant fund balance with due regard to foreseeable future commitments.

50. Pos are neither entitled to exceed the allocation of funds once approved by Executive-Secretary, nor are they entitled to modify the signed pre-commitment forms. Consequently, any changes in the allocation of funding towards voluntary funded activities in the signed pre-commitment forms have to be authorized, in writing, by the Executive-Secretary with copy to PROU/EO and certified by the FMO.
51. At least two days prior to each POG meeting, the BCs ensure that the status of activities managed by them are updated in the BRS Dashboard. A green, yellow and red traffic light system is used to indicate which projects are on schedule; are at risk of missing deadlines, or at risk of having to return funds to the donor respectively.
52. PROU/EO prepares a report at each POG of the traffic light status of all open projects, including the date of last update of the project log in the Dashboard. The POG, upon discussion of the traffic light status at each meeting, prepares recommendations, if appropriate, to the ES/DES on projects with yellow and red flags.
53. The POG discusses issues raised related to the status of implementation of donor-funded activities, such as delays; spending issues; the need to ask donors for extensions; and other implementation issues as raised by members of the POG. Lead POs are to inform their BCs in a timely manner on any issues arising from the implementation of activities, who bring it to the attention of the POG.
54. Once the activities of a project have reached either the project end date and/or the expiry of the contribution, the respective project, the lead PO is to update the status of the respective project in the BRS Dashboard and mark it as concluded.
55. On a monthly basis, the FMO will provide POs with financial information on the budgets, commitments and expenditures for ongoing voluntary funded contributions. As needed by the lead PO during the implementation of the project (e.g. for reporting purposes or to determine whether there are spending issues), the lead PO can seek information from the FMO on the funding spent and remaining balances for the project.

56. In case the project is concluded before reaching the respective deadlines, the lead PO should update the status of the respective project in the BRS Dashboard. The PO informs the FMO and once all open items have been closed, the FMO provides the PO with an interim financial report indicating the unspent balance. Based on the FMO's report, the PO notifies the POG that the unspent balance is available for reallocation. Any decision by the POG on the reallocation of funds is subject to the provisions of section X.

#### **VIII. Information sharing**

57. To facilitate fundraising and reporting requirements, the PAOO, FMO, LO, PROU/EO and relevant POs make the following information centrally available within the Secretariat:
- a. Donor visibility plan if required by the donor (prepared and uploaded in the respective contribution folder in the BRS Dashboard by the PAOO);
  - b. Fundraising strategy (shared by PROU/EO through the POG);
  - c. Monthly overview of fundraising activities (shared by PROU/EO through the POG and other means);
  - d. Any materials produced in accordance with the donor visibility plan, as required (uploaded in the respective contribution folder in the BRS Dashboard by the PO as soon as such materials are available);
  - e. Documentation related to donor funded activities, e.g. official communication with donors, submitted concept notes, final narrative and financial reports (uploaded by PROU/EO and stored in the respective contribution folder in the central document repository of the BRS Dashboard);
  - f. Signed legal instruments (uploaded in the respective contribution folder in the BRS Dashboard by PROU/EO, alongside relevant BRS administrative/financial, legal and programmatic BRS secretariat databases or shared drives);
  - g. Financial information of donor-funded projects, including expenditure rates (provided by the FMO at regular intervals).

#### **IX. Reporting**

58. PROU/EO sends to the FMO and the relevant lead POs, copying the BCs, at least four weeks before the reports are due, requests for reports to be prepared (the BRS reporting template for substantive progress reports is set out in Annex III, the template for final substantive reports is set out in Annex IV).
59. In cases where the donor only requires a financial report, PROU/EO makes this information available through the POG.
60. The FMO, liaising as needed with the lead PO, prepares the financial report and submits it to the lead PO for review at least two weeks before the report is due and thereafter to the Executive Secretary for signature. Following signature of the report, the FMO provides the financial report to PROU/EO for submission to the donor.

61. The lead PO, liaising as needed with the FMO, prepares the substantial narrative report and submits it to PROU/EO at least one week before the report is due.
62. In case inter-branch coordination is necessary for the preparation of the narrative reports, these are prepared by task teams referred to in paragraph 8 of the present SOP.
63. PROU/EO in consultation, as needed, with the lead PO and the FMO verify that the content in financial and substantive reports matches. PROU/EO sends the cleared final financial and substantive reports to the donor, once cleared by the respective BCs and ES/DES, copying the FMO, the lead PO and the BCs. PROU/EO stores the reports in the contribution repository in the BRS Dashboard and informs the POG at its next meeting.

**X. Use of unspent funding**

64. The process on using unspent balances of voluntary funded projects set out in this section only applies to concluded projects for which all activities have been implemented as per the agreement with the donor, as reported by the PO in the BRS Dashboard and brought by the relevant BC to the attention of the POG.
65. Based on the information provided by the PO to the POG at the earliest possible date and/or information contained in progress or final financial reports prepared by the FMO, RM/PROU/EO informs the ES/DES about such unspent funding.
66. The process of re-allocating unspent funding to new activities follows the procedures set out in relevant paragraphs of the above SOP section VI on mobilization of resources. In the case of multi-component projects the matter of re-allocation is discussed at the POG.
67. The final decision on the proposed use of unspent funding is taken by ES/DES and brought to the attention of the lead PO, the FMO and relevant BC by PROU/EO. The proposed use of the unspent funding is communicated by PROU/EO to the donor for its consideration.
68. Once the donor has approved the proposed reallocation of unspent funding, PROU/EO coordinates the process for the preparation of tailored concept notes and informs the POG. Legal instruments are prepared as specified in the above section VI on mobilization of resources, in particular paragraphs 35 and 36 above, in line with the SOPs on legal instruments, more specifically the SOP No. 34 on 'Funds Received'. All other subsequent steps set out in this SOP remain the same and are to be followed.

## Document revision history

Version	Description	Date
1.0	First version issued and posted	30.09.2012
2.0	Second version issued and posted	22.03.2013
3.0	Third version issued and posted	21.04.2020
4.0	Fourth version issued and posted	08.02.2024

## **Annex I - Criteria to guide the process for the selection of priority concept notes that require funding**

The following non-exhaustive list of criteria is intended to inform the decision-making process and aims at ensuring an objective and balanced RM approach throughout the biennium:

1. Timing when funding is needed;
2. Conformity with the provisions of the BRS Conventions and with the financial rules pertaining to each Convention;
3. Consistency with the PoW of the Basel, Rotterdam and Stockholm Conventions, as adopted by the conferences of the parties (COPs), as well as with other relevant decisions of the COPs as well as initiatives which contribute to the common objectives of the three Conventions set out in their provisions; compliance with applicable UN/UNEP regulations and rules, policies and procedures, business practices;
4. Consistency with the COPs- approved voluntary budget for a given PoW activity;
5. Un- or underfunded PoW activities;
6. Availability of core funding or co-funding from other donors;
7. Donor priorities;
8. Balanced support across all three Conventions;
9. Balanced geographic/regional focus;
10. Requirement of additional voluntary funded staff that would need to be hired to ensure the implementation of the activity;
11. Activities of strategic value to BRS;
12. Potential multiplying effect of the envisaged project;
13. Involvement of regional centres and other partners;
14. Cost-effectiveness of the envisaged activity;
15. UN/UNEP safeguard, risk management and due diligence policies, as appropriate;
16. UN Sustainable Development Goals and other relevant UN policy frameworks.

## Annex II - Concept note template

### Project concept note

Project title: [fill in]

Project reference: [fill in]

Contribution reference: [fill in]

Conventions: ☐BC ☐RC ☐SC ☐SYN

Funding scope: ☐Global ☐Regional ☐National

Mandate  
Convention Article(s): [fill in]  
COP decision(s): [fill in]  
Convention Programme of Work: [fill in]

#### Rational and background

[Include the rational of the project and general information, if appropriate, by component]

#### Outcomes and indicators of achievement

##### Outcomes

Component 1: [fill in]

Component xx: [fill in]

##### Indicators of achievement

Component 1: [fill in]

Component xx: [fill in]

##### Means of verification

Component 1: [fill in]

Component xx: [fill in]

#### Socio-economic aspects

Sustainable Development Goals: [fill in]

Gender mainstreaming: [fill in]

Integrated Approach: [fill in]

#### Implementation timeframe

Project start date: [fill in]

Project completion date: [fill in]<sup>11</sup>

Total duration: [fill in]<sup>12</sup>

#### Partners

[fill in]

Budget in [fill in currency of the pledge]<sup>13</sup>

Activity	Output type	POW #	Budget
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<sup>13</sup> The donor contribution, once received, will be converted to United States (US) dollars, which is the base currency of the UN, and the project budget as well as the financial reporting will be expressed in US dollars.



<b>Component 1:</b>			
[fill in]	[fill in]	[fill in]	[fill in]
[fill in]	[fill in]	[fill in]	[fill in]
<b>Component xx:</b>			
[fill in]	[fill in]	[fill in]	[fill in]
[fill in]	[fill in]	[fill in]	[fill in]
<b>DIRECT COSTS</b>			<b>[fill in]</b>
<i>Programme Support Costs (PSC) 13%</i>			<i>[fill in]</i>
<b>TOTAL BUDGET</b>			<b>[fill in]</b>

### Annex III: Template for the Preparation of Substantive Progress Reports

#### Project Progress Report

*< Indicate title of the project >*

Prepared by

*< Indicate name of PO/ name of branch >*

SIGNATURES	
Name of Project Manager:	Signature  Date:_____/_____/20__
Name of Branch Chief Managing Project:	<b>Sign Off</b> Signature  Date:_____/_____/20__

*[progress reporting template to be inserted in a technical review once finalized]*

## Annex IV: Template for the Preparation of Final Substantive Reports

### Final Project Report

*< Indicate title of the project >*

Prepared by

*< Indicate name of PO/ name of branch >*

SIGNATURES	
Name of Project Manager:	Signature  Date:_____/_____/20__
Name of Branch Chief Managing Project:	<b>Sign Off</b> Signature  Date:_____/_____/20__

