

# **RESOURCE MOBILIZATION FOR THE SOUND MANAGEMENT OF CHEMICALS AND WASTES**

## **GUIDANCE DOCUMENT**

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**unitar**

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### **About this Document**

This guidance originates from work undertaken by UNITAR, with the support of the Government of Switzerland, to assist countries to develop a strategic and programmatic approach towards resource mobilization for the integrated management of chemicals and wastes. In its first edition it was tested in several pilot countries, followed by broader distribution for general country use. This 2011 edition, which is updated and expanded, is being developed as part of cooperation between UNITAR and the three Convention Secretariats (Basel, Rotterdam and Stockholm) through a contract with the Rotterdam Convention Secretariat. The guidance, in modular form, is being tested in a series of regional workshops in late-2010 and early-2011. Subsequent editions, or further specific guidance, may be developed in response to identified country needs and/or other related international events.

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## EXECUTIVE SUMMARY

With chemicals and waste management increasingly recognized as an environmental and health priority – at national, regional and international levels – it is becoming critically important for national governments to mobilize resources for sound chemicals and waste management. Though there are many critical issues which must be tackled by governments in their quest for sustainable development, chemicals and waste management is simply an issue that can no longer be ignored. Therefore there is a need at the national level to develop a Resource Mobilization Strategy for the sound management of chemicals and wastes. This guidance document provides an overview of the issues and challenges, information on key initiatives, and, importantly, a structured approach to developing a Resource Mobilization Strategy. It has been drafted as a support tool for assisting national governments to secure much needed funding for chemicals and waste programmes at the national and regional levels.

### 1. INTRODUCTION AND OBJECTIVES OF THIS GUIDANCE

This guidance document addresses the challenge of raising much needed resources for countries to meet their commitments regarding the negative effects of chemical and wastes. Countries that are working to meet international, national and other commitments related to protecting the environment and human health have long been limited by lack of financial resources.

At the international level, efforts have been made, particularly with regard to the Basel<sup>1</sup>, Stockholm<sup>2</sup> and Rotterdam<sup>3</sup> Conventions, to find synergies that can, in part, result in the more efficient and effective allocation of such limited resources in a manner that can further assist countries in achieving their commitments. In addition, other international agreements and frameworks, such as the Strategic Approach to International Chemicals Management (SAICM)<sup>4</sup>, also assist countries with achieving the same goals by acting as an umbrella agreement for the sound management of chemicals and wastes. Nevertheless, even with more efficient use of resources, the need for mobilising additional resources remains.

This guidance originates from work undertaken by UNITAR<sup>5</sup>, with the support of the Government of Switzerland, to assist countries to develop a strategic and programmatic approach towards resource mobilization for the integrated management of chemicals and wastes. This guidance sets out a clear, easy-to-follow methodology aimed at assisting countries and other stakeholders both inside and outside government to:

- understand their current, internal (within country) situation regarding resource mobilization issues, and identify resource-related priorities;
- understand and appreciate the various opportunities (including sources and tools) for resource mobilization at the international level (through financial mechanisms of conventions, other funding sources – both bilateral and multilateral, and through entities which can offer human resources-related technical assistance);
- coordinate at the national level to ensure efficient and effective pursuit of resources;

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<sup>1</sup> Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and their Disposal: <http://www.basel.int>.

<sup>2</sup> Stockholm Convention on Persistent Organic Pollutants: <http://chm.pops.int>.

<sup>3</sup> Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade: <http://www.pic.int>.

<sup>4</sup> SAICM: <http://www.saicm.org>.

<sup>5</sup> United Nations Institute for Training and Research: <http://www.unitar.org>.

- coordinate, as appropriate, at the regional level to ensure efficient and effective pursuit of resources; and
- develop a strategy, endorsed at a high level, to assist with ensuring a coherent and strategic approach to resource mobilization is realized at the national level.

This guidance note was drafted particularly in response to demand from countries for planning advice regarding resource mobilization strategy development. While this document fulfils that mandate, it is not recommended that the advice contained herein be taken in isolation from other, related guidance.

The guidance document addresses a number of topics:

- essential background information, including the overall challenge and various experiences and lessons learned;
- suggested key steps for the development of a resource mobilization strategy;
- sample guidance questions for a situation analysis to assist countries in identifying and thinking through relevant issues;
- a proposed structure for a strategy; and
- suggestions designed to assist with the adoption of and ownership of the strategy.

## **2. RELEVANT INTERNATIONAL AGREEMENTS AND INITIATIVES**

### **2.1 Overview of Agreements and Initiatives**

Over the last 25 years, significant progress has been made at the international level to address concerns regarding the protection of human health and the environment from the negative effects of chemicals and wastes. Several significant international conventions – notably the Basel, Stockholm and Rotterdam Conventions – have been negotiated and entered into force. Negotiations for a global legally binding instrument on mercury are also underway.

A host of relevant voluntary agreements have been successfully concluded, including the Globally Harmonized System for the Classification and Labelling of Chemical (GHS)<sup>6</sup> and SAICM. At the regional level, various important agreements that share similar goals have also been concluded over this time period.

When combined with identified national priorities, these new commitments at the international and regional level create new opportunities for responsible action, but also new demands for resources. This is especially true for developing and transition countries that have limited financial resources. While several agreements (e.g. SAICM, the Stockholm Convention) contain financial and technical assistance provisions or mechanisms that comprise significant opportunities for countries to mobilize resources at the international level, the majority of agreements to-date are not usually accompanied by resources that are adequate to ensure the protection of human health and the environment from chemicals and wastes. In addition, some financial arrangements are temporary in nature (e.g. the SAICM Quick Start Programme Trust Fund<sup>7</sup>). The future demise of such temporary arrangements runs the risk that replacement or strengthened funding arrangements may not be forthcoming.

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<sup>6</sup> See: [http://live.unece.org/trans/danger/publi/ghs/ghs\\_welcome\\_e.html](http://live.unece.org/trans/danger/publi/ghs/ghs_welcome_e.html).

<sup>7</sup> See: <http://www.unitar.org/cwm/saicm/enabling-activities>.

The following summaries provide a brief overview of some selected key relevant agreements at the international level. For those agreements where there are dedicated multilateral financial assistance arrangements, reference is made. Most, if not all, of the other agreements have significant sources of bilateral funding provided from time-to-time.

## 2.2 The Global Environment Facility

Established in 1991, the Global Environment Facility (GEF)<sup>8</sup> is today the largest funder of projects to improve the global environment. The main focus of GEF funding related to chemicals has been as the principal entity entrusted, on an interim basis, with the operations of the financial mechanism of the Stockholm Convention. Virtually all GEF-eligible countries<sup>9</sup> have benefitted from enabling, capacity building, investments or other projects to implement the Stockholm Convention. A significant body of experience has been gained by countries and international organizations (such as GEF Implementing Agencies who directly work to assist countries) in accessing GEF resources.

The GEF's February 2011 report<sup>10</sup> to the 5<sup>th</sup> Conference of the Parties of the Stockholm Convention noted the following level of resources mobilization:

As of June 30, 2010, the GEF had committed US\$ 425 million to projects in the POPs focal area since the adoption of the Stockholm Convention in May 2001. This cumulative GEF POPs allocation had leveraged some US\$ 700 million in co-financing to bring the total value of the GEF POPs portfolio to US\$ 1.1 billion.

During the reporting period, 20 Full-sized Projects (FSPs) and 15 Medium-sized Projects (MSPs) were approved in addition to 17 Project Preparation Grants (PPGs) totalling US\$ 113 million and leveraging co-financing commitments of US\$ 249 million. Project activities related mainly to obsolete pesticides disposal, implementation of BAT/BEP, PCBs management and disposal, DDT management for vector control and capacity development and institutional strengthening for sound management of POPs.

In the past years, the GEF Council approved major reforms designed to give developing countries and stakeholders more control and access to funds. Among the reforms approved by Council are the direct access to GEF resources for recipient countries; streamlined GEF project cycle and a move to a more refined and strategic programmatic investment approach. Moreover, the GEF Council decided to broaden the partnership by approving the policies, procedures, and criteria for a pilot on accrediting new institutions to serve as GEF partners for the implementation of GEF projects.

## 2.3 The Basel Convention

The Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal<sup>11</sup> is an international treaty to reduce the movements of hazardous waste between nations, and specifically to prevent transfer of hazardous waste from developed to less developed countries. The convention entered into force in 1992. At their 10th Conference of the Parties, in October 2011, the Parties are expected to adopt a more strategic approach to resource mobilization including collaboration with the Rotterdam and Stockholm Conventions

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<sup>8</sup> See: <http://www.thegef.org/gef>.

<sup>9</sup> GEF eligibility involves being a Party to the Convention and also being eligible to borrow from the World Bank or receive technical assistance from UNDP. See: <http://www.thegef.org/gef/node/1432>.

<sup>10</sup> See: [http://www.thegef.org/gef/POPs\\_report\\_cop5](http://www.thegef.org/gef/POPs_report_cop5).

<sup>11</sup> See: <http://basel.int>.

(see also section on “Synergies Process among the Basel, Rotterdam and Stockholm Conventions” below).

## 2.4 The Rotterdam Convention

The Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade, more commonly known simply as the Rotterdam Convention, is a multilateral treaty to promote shared responsibilities in relation to importation of hazardous chemicals. The Convention promotes open exchange of information and calls on exporters of hazardous chemicals to use proper labelling, include directions on safe handling, and inform purchasers of any known restrictions or bans. Parties can decide whether to allow or ban the importation of chemicals listed in the treaty, and exporting countries are obliged make sure that producers within their jurisdiction comply. Regarding resource mobilization, there is increasing collaboration with the Basel and Stockholm Conventions (see also section on “Synergies Process among the Basel, Rotterdam and Stockholm Conventions” below).

## 2.5 The Stockholm Convention

The Stockholm Convention on Persistent Organic Pollutants is a global treaty to protect human health and the environment from chemicals that remain intact in the environment for long periods, become widely distributed geographically, accumulate in the fatty tissue of humans and wildlife, and have adverse effects to human health or to the environment. The Convention, which was adopted in 2001 and entered into force in 2004, requires Parties to take measures to eliminate or reduce the release of POPs into the environment. Paragraph 6 of Article 13 defines a financial mechanism for the provision of adequate and sustainable financial resources to developing country Parties and Parties with economies in transition on a grant or concessional basis to assist in their implementation of the Convention. The Global Environment Facility (GEF) is, on an interim basis, the principal entity entrusted with the operations of the financial mechanism in accordance with Article 14 of the Convention. The Conference of the Parties to the Convention, at its ordinary meetings, provide the entity or entities entrusted with the operations of the financial mechanism guidance on issues relating to eligibility criteria, policy and strategy, programme priorities, and determination of funding needed to ensure effective implementation of the Convention (see also section on “Synergies Process among the Basel, Rotterdam and Stockholm Conventions” below).

Annex A of the present guidance outlines the approach of the Secretariat of the Stockholm Convention to facilitate the access of developing country Parties and Parties with economies in transition to financial resources.

## 2.6 Montreal Protocol of the Vienna Convention

The Montreal Protocol on Substances That Deplete the Ozone Layer<sup>12</sup> (a protocol to the Vienna Convention for the Protection of the Ozone Layer), which entered into force in 1989, is designed to protect the ozone layer by phasing out the production of a number of substances believed to be responsible for ozone depletion. Both the Montreal Protocol Multilateral Fund<sup>13</sup> (for developing countries) and the GEF (for countries with economies in transition) serve to finance technical cooperation projects designed to address chemicals that harm the ozone layer. The Multilateral Funds includes in its accomplishments the following:

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<sup>12</sup> See: <http://www.unep.org/ozone/Montreal-Protocol/Montreal-Protocol2000.shtml>.

<sup>13</sup> See: <http://www.multilateralfund.org>.



Donor countries have held to their commitments to provide funding with more than 90 per cent of the pledged contributions having been paid, amounting to US \$2.34 billion out of a total of US \$2.59 billion between 1991 and July 2009.

By July 2009, the Fund had supported the transfer of technology and capacity building through more than 6000 projects and activities in 147 developing countries.

Projects approved through 2007 have already eliminated the consumption of nearly 258,574 ODP tonnes and the production of 195,013 ODP tonnes.

## **2.7 Strategic Approach to International Chemicals Management (SAICM)**

SAICM is a policy framework to foster the sound management of chemicals. SAICM supports the achievement of the goal agreed at the 2002 Johannesburg World Summit on Sustainable Development to ensure that, by the year 2020, chemicals are produced and used in ways that minimize significant adverse impacts on the environment and human health.

Initial capacity building activities for the implementation of SAICM objectives have been supported by the Quick Start Programme (QSP). The QSP includes a voluntary, time-limited trust fund, administered by UNEP, and multilateral, bilateral and other forms of cooperation. The objective of the QSP is to “support initial enabling capacity building and implementation activities in developing countries, least developed countries, small island developing States and countries with economies in transition.”

## **2.8 Other Initiatives**

### ***Synergies Process among the Basel, Rotterdam and Stockholm Conventions***

Simultaneous extraordinary Conferences of the Parties (ExCOPs) to the Basel, Rotterdam and Stockholm Conventions were held 22-24 February 2010 in Nusa Dua, Bali, Indonesia. At the ExCOPs, delegates adopted an omnibus synergies decision on joint services, joint activities, and synchronization of the budget cycles, joint audits, joint managerial functions, and review arrangements.

As a direct outcome of the ExCOPs, the Secretariats of the Basel, Rotterdam and Stockholm Conventions are phasing in a joint programme to support Parties in their implementation of the decisions on Cooperation and Coordination among the three Conventions (Stockholm COP decision SC-4/34). This programme includes regional and national pilot projects implemented in collaboration with the Basel and Stockholm Convention Regional Centres as well as regional workshops. Lessons learned and best practices emerging from the projects will be replicated in other countries and regions.

At COP-5 of the Stockholm Convention in April 2011, a synergy decision was adopted that calls for the development of a joint resource mobilization strategy with the objective to maximize access to public and private sector funding for implementing the chemicals and wastes agenda in a synergistic manner (see COP-5 decision SC-5/27, activity S16).

### ***Mainstreaming for Sound Chemicals Management***

The UNDP-UNEP Partnership Initiative for the Integration of Sound Management of Chemicals (SMC) into Development Planning Processes<sup>14</sup> aims to help countries:

- incorporate sound management of chemicals priorities into development policies and plans;
- assess and update development policies and plans that already contain sound management of chemicals elements; and
- identify donor funding opportunities for a country's chemicals management capacity building needs.

Several country projects have been approved under the SAICM Quick Start Programme Trust Fund and through bilateral donor assistance to pilot guidance on this issue.<sup>15</sup> For more information, please see the *Zambian case study* in Annex B.

### ***The Globally Harmonized System of Classification and Labelling of Chemicals (GHS)***

The GHS has the ultimate goal of ensuring that information on chemical hazards - such as labels and safety data sheets--is made available to workers and consumers in a harmonized and understandable format in countries around the world. The system was adopted in 2003. UNITAR<sup>16</sup> and the International Labour Organization (ILO) are the capacity building focal points in the UN system for capacity building for GHS implementation.

### ***SAICM Information Clearinghouse***

One of the functions of the SAICM secretariat is to provide information clearinghouse services such as provision of advice to countries on implementation of the Strategic Approach, referral of requests for information to relevant sources, and facilitation of access to information and expertise in support of specific national actions. Accordingly, the SAICM secretariat has developed an Information Clearinghouse<sup>17</sup> funded by the Government of Germany.

The clearinghouse's function is performed principally on the basis of a web-based facility. It supplements the SAICM website and offers an entry point to chemicals-related information from a broad base of sources and forums. This includes a section for region, country and organization pages where countries and agencies could, on a voluntary basis, share information on relevant activities being undertaken at the national and regional levels or by the concerned agencies. Countries are offered the opportunity to provide web links to relevant sites or key documents such as national implementation plans and policy and legislative documentation.

### ***Consultative Process on Financing Options for Chemicals and Wastes***

In May 2009, at the 4th Conference of the Parties of the Stockholm Convention, the Executive Director of UNEP launched the Consultative Process on Financing Options for Chemicals and Wastes<sup>18</sup>. The purpose of the process is "to analyse the current situation with regard to financing for chemicals and waste management at the national level, including but not limited to the implementation of Party obligations under chemicals-related multilateral environmental agreements, and to devise strategic, synergistic proposals for improving it." Through a series of

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<sup>14</sup> See: [http://www.chem.unep.ch/unepsaicm/mainstreaming/UNEP\\_UNDP\\_PI\\_default.htm](http://www.chem.unep.ch/unepsaicm/mainstreaming/UNEP_UNDP_PI_default.htm).

<sup>15</sup> See: <http://www.undp.org/chemicals/mainstreamingsmc.htm>.

<sup>16</sup> See: <http://www.unitar.org/cwm/ghs/policy-recommendations>.

<sup>17</sup> See: <http://www.saicm.org/ich>.

<sup>18</sup> See: [http://www.unep.org/dec/Chemical\\_Financing/index.asp](http://www.unep.org/dec/Chemical_Financing/index.asp).

meetings a 'road map' is being shaped. By the 4<sup>th</sup> consultation in May 2011, four financing tracks were under consideration:

- Mainstreaming of sound management of chemicals and hazardous wastes;
- Industry involvement, including public-private partnerships and the use of economic instruments at national and international levels;
- New trust fund similar to the Multilateral Fund; and
- Introducing safe chemicals and wastes management as a new focal area, expanding the existing POPs focal area under GEF or establishing a new trust fund under GEF.

### **3. LESSONS LEARNED FROM PAST EXPERIENCES**

Many chemicals and wastes related assistance projects suffer from certain shortcomings in project design. Some projects are too short in duration. Some are strictly sectoral which, at times, leads to duplication of effort by different ministries or development agencies. Some lack monitoring and follow-up activities; and many are not sufficiently geared to the specific context, needs and capabilities of the recipient countries. While significant improvements in projects, due to the collective efforts of donors, international organizations, and countries have been realized, further efforts can be of benefit for sound chemicals and waste management including strategic resource mobilization.

Planning for resource mobilization can be project-based or extend far beyond an individual, project-based approach. Addressing chemicals issues as part of a longer-term integrated national programme, for example, provides an opportunity to carefully reconsider the planning and design of capacity-building programmes for chemicals and waste management. Guidance to countries can also be provided by international organizations to support their efforts to assess existing national infrastructure for chemicals management, agree on priorities for action, and develop and implement programmes designed to address these priorities.

At the outset, resource requirements should be part of any assessment and programme planning process. Further, the potential sources for mobilising resources – whether internal or external – need to be identified. For internal resourcing, there is a need to assess what is possible given political realities and criterion, requirements and conditions of the donor agencies providing financial assistance. When analysing the results gained through country-based capacity-building initiatives in the past, a number of lessons can be learned. These lessons are of direct relevance to the desired success and long-term stability of these programmes and hence to the availability and sustainability of resources.

Some of the most important findings in lessons learned to date include the following:

- As chemicals/wastes safety issues have a low priority both nationally and internationally, these issues need to be expressed in the context of higher priority issues;
- At the national level and even within ministries and departments, there is significant competition for resources requiring careful attention to opportunities for collaboration with competing agendas;
- As there is generally an absence of a clear national chemicals/wastes management policy, the allocation of resources for concrete activities and projects is unstable and unreliable;
- Absence of a planning strategy for the improvement of chemicals management at the national level and lack of knowledge on how to design such a strategy limits the ability to mainstream resource mobilization into national chemical management processes;

- Revenues from chemical safety-related legal procedures (e.g. fees, taxes, fines) flow into the national treasury, but may not be adequately 'recycled' or 'earmarked' for strengthening the national chemicals management infrastructure;
- Lack of a central co-ordinating body that can, inter alia, facilitate the exchange of information concerning the financial aspects of chemicals/waste management, limits the 'voice' for chemicals in national debates regarding resource allocation;
- Little experience, if any, with instruments that provide incentives for industry and trade to contribute financially to an adequate national chemicals safety/management infrastructure limits the ability to implement innovative financial mechanisms; and,
- Limited knowledge on procedures to explore and obtain external financial assistance (e.g. how to access international agencies, bilateral donors and lending institutions and gain insight into their rules, procedures, conditions and preferences), constrains efforts to mobilize resources in the context of commitments to support sustainable development.

There is much to be done. Guidance on how to address these challenges is outlined in the following parts of this document.

## **4. KEY COMPONENTS OF A RESOURCE MOBILIZATION STRATEGY**

### **4.1 Context**

Chemicals and waste management programmes and activities require financial resources. The degree to which resources are allocated for chemicals-related activities is often a reflection of their priority in the broader policy context. While the importance of these activities has been increasingly acknowledged at the international level through the establishment of new conventions and voluntary agreements, prioritization of chemical issues is still often not the case at the national or regional level.

At the national and regional levels, a commitment to enhance chemicals management and better protect human health and the environment from chemical pollution, and encouraging sustainable chemicals-related development is essential for effective and efficient action, including resource mobilization. Systematic planning that demonstrates a commitment to address chemicals issues nationally and regionally can be communicated to external funders – thus increasing the chances for accessing external resources, both bilaterally and multilaterally.

In the recent past, developing countries and countries with economies in transition have, on numerous occasions, confirmed that such outside assistance would be needed to supplement the limited internal resources available to effectively improve the management of chemicals. At the international level, there are many on-going activities to assist countries to enhance their capacity to manage chemicals safely. Multilateral and regional technical co-operation agencies and programmes (e.g. Participating Organizations of the Inter-Organization Programme for the Sound Management of Chemicals (IOMC)<sup>19</sup>) and multilateral and regional development banks (e.g. the World Bank, the Asian Development Bank and the Inter-American Development Bank,) have also supported both short-term small projects as well as long-term technical assistance programmes through the provision of loans and grants.

Developed countries have also recognized their responsibility to help developing countries and countries with economies in transition with chemicals management. Bilateral development assistance agencies frequently undertake significant longer-term technical assistance for

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<sup>19</sup> See: <http://www.who.int/iomc/en/>.

countries to strengthen national, technical and administrative infrastructure (including training staff), thereby increasing the effectiveness of domestic chemicals-related activities and the application of international agreements and treaties.

## 4.2 Goal and Objectives

A possible goal for a chemicals and waste-related resource mobilization strategy for countries and regions could be “to ensure, within a reasonable time frame, that adequate internal and external resources are committed for implementation of aspects (essential issues) of chemicals and waste management at the national and regional levels”.

In order to achieve that goal, the strategy can serve the following objectives:

- Raise awareness regarding chemicals and waste management issues among decision-makers and the public;
- Put chemicals and waste-related issues higher on a country’s internal priority list;
- Ensure that those responsible for chemicals issues understand the country’s internal decision-making processes for allocation of internal governmental resources; and
- Ensure that those responsible for chemicals issues improve their knowledge of external funding opportunities – and details of the process of obtaining such funding.

## 4.3 The Way Forward

As mentioned above, developing a successful Resource Mobilization Strategy involves actions to strengthen the links between protecting the environment and human health and fostering sustainable economic and social development. Progress towards building or strengthening a strategy can rely on a number of steps. Also see the Annexes for more information.

**Step 1:** Form a Resource Mobilization Task Force with representation from government ministries/agencies and key stakeholders and draft a Terms of Reference for the work of the Task Force to develop a Resource Mobilization Strategy that reflects the goal and objectives outlined above.

**Step 2:** Conduct a situation analysis that comprises, *inter alia*, an in-depth analysis of how the decision-making process works for financial resource allocation, what external funding opportunities exist (both bilateral and multilateral), and what opportunities also exist at the regional level.

**Step 3:** Identify which opportunities for resource mobilization have a reasonable chance of success and establish a strategy.

**Step 4:** Coordinate chemicals and waste-related requests for resources in a coherent and systematic way within the Resource Mobilization Strategy.

**Step 5:** Secure necessary political support for the Resource Mobilization Strategy from the decision-makers.

**Step 6:** Implement the Resource Mobilization Strategy, including regular revisions as needed to ensure that it remains useful and relevant.

## **5. STEPS TO IMPLEMENTING A RESOURCE MOBILIZATION STRATEGY**

For each of the steps outlined above, more information is provided in the subsections below.

### ***Step 1: Establish a Resource Mobilization Task Force***

The formation of a Resource Mobilization Task Force and development of its Terms of Reference, work plan and budget form the first step in the process. The Task Force should include representation from key ministries, agencies and stakeholders. If possible and appropriate, it could be co-chaired by an official who is familiar with internal resource allocation process. This could be someone from the central planning office or an official with responsibilities for making relevant resource allocation decisions. The other co-chair could be an official or stakeholder who is familiar with chemicals issues.

With regard to stakeholder representation, certain NGOs can bring a wealth of experiences regarding financial resource mobilization to the table. For example, they may bring expertise in proposal preparation, project management and even in building political support. Technical experts from industrial sectors, universities or research institutions may also be asked to join the Task Force.

The Terms of Reference for the taskforce should focus on developing and building support for the Resource Mobilization Strategy. It should specify a work plan with timelines and budget as required.

### ***Step 2: Undertake a Situation Analysis***

An essential component of the situation analysis is an understanding of what chemicals and waste-related activities are planned and/or underway in the country. Sharing information on such activities will assist greatly towards assuring donors that a well-co-ordinated, coherent approach to chemicals management is being taken by the country. A recent National Profile can be of great assistance in that regard. Annex C below outlines a possible Table of Contents for such a situation analysis.

A successful resource mobilization strategy for chemicals is also dependent upon a thorough understanding of how national decisions regarding overall development priorities are made and how external funders evaluate and support country-driven initiatives. This comprises part of the situation analysis for the Resource Mobilization Strategy.

While each country and each funder will have its own unique approach, a number of key questions can be asked to assist in 'painting the picture'. Responses to the following questions can help form the basis for a country to develop its resource mobilization strategy. Countries should decide which questions are of the highest priority, and if other useful questions can be asked. Such questions include:

#### **Priorities**

- Is chemicals and wastes management/safety a recognized priority on the national policy and development agendas?
- How are priority issues determined by government within the country?
- What are the current and planned chemicals-related activities within the country that would benefit from financial resource mobilization?

### **Internal resource allocation**

- How are internal resources presently allocated for chemicals and waste management issues?
- What possibilities exist within the country for procuring internal financial and human resources?
- What taxes and subsidies exist for sectors involved in chemicals and waste management? Can these be accessed or re-profiled as potential revenue streams?
- Are there internal programmes that can be accessed?
- Are there resources that remain unallocated within the country on a regular basis?
- What is the time frame for making decisions regarding the allocation of resources?
- Who within the ministry/department makes resource allocation decisions and how?
- Is there a standardized process for organising input into the resource allocation process (e.g. a government committee)?
- Is there a possibility to access internal non-financial (human) resources?
- What contributions can the private sector and NGOs make in terms of resources?

### **External funding**

- What external funders (e.g. developed country governments, multilateral institutions and non-governmental sources) exist?
- Which multilateral, regional or bilateral development co-operation/lending institutions are present in the country?
- How do external funders make decisions regarding which initiatives to support?
- What is the government's policy on procuring external assistance and seeking development co-operation? What procedures are followed?
- Are there existing international and regional initiatives that provide funding (for example, related to the main chemicals and wastes conventions) that can either directly or indirectly be of benefit for priority chemicals issues for the country?

Though answering such questions, a detailed situation analysis can be drafted that provides the necessary background information for a country as it formulates its Resource Mobilization Strategy.

### ***Step 3: Identify Priority Resource Mobilization Opportunities***

Once a thorough situation analysis has been completed, the next step for the Task Force can be to prioritize opportunities for resource mobilization – based on the insights obtained through the situation analysis. This will enable a systematic approach to potential funders – nationally, regionally and internationally – to maximize the chances for success. The following questions can assist the Task Force in planning for and creating such opportunities:

- What internal and external funding programmes are the 'best fit' for chemicals and waste management priorities? Which have sufficient funding, a compatible funding cycle, and a commitment to the addressing the issues?

- Which external funders – regional and international – are most familiar with the country and its chemicals/wastes issues?
- Which funders include chemicals/wastes as a priority issue area on a regular basis?
- Are there funders without a presence in the country that are considered good prospects for approaching?
- Are there funders that have no history on chemicals issues and are not in the country that might be approached?
- Have the private sector, private foundations and NGOs been considered as possible sources of resources?
- Are there instruments that can be employed or, if needed, developed to provide incentives for the private sector to become contributors to chemicals management initiatives?

#### **Step 4: Coordinate Chemicals and Waste-related Requests for Resources**

Coordination of the various potential requests for resources will be critical to ensure a coherent, efficient and effective Resource Mobilization Strategy. In this respect, in developing its strategy, the Task Force will need to consider questions such as the following:

- Which ministries or agencies intend to approach potential funders or already are in the process of approaching, or already have approached funders for chemicals and waste-related projects?
- Is an internal process in place to co-ordinate both chemicals-related and non-chemicals related submissions to the same funders?
- Have efforts been made to harmonize, where possible and practical, potentially competing submissions to funders?
- Are proposals for funding consistent with funders' requirements (for example, matching funds/in-kind contributions)?
- Are there opportunities for securing new funders, such as the private sector, through co-financing arrangements?
- Can submission deadlines be met?

#### **Step 5: Secure Political Support for the Strategy**

Chemicals and waste issues compete with a vast array of other priority issues for a country. Similarly, external funders usually respond to issues put forward by a country seeking assistance in order of national priority. Engaging key decision-makers on chemicals issues will help to ensure that their familiarity with the importance of chemicals issues will lead directly to intervention on matters of resource allocation and external proposals for funding.

Integral to the process for strategy development is an exploration of the links between chemicals issues and the myriad related issues of sustainable economic and social development such as, *inter alia*: the protection of human health; the economic benefits of a cleaner environment for attracting investment within the country; fostering sustainable agriculture for both internal and external markets; and the contribution that the sound management of chemicals can make to reinforcing the legislative and policy framework of a country. Importantly, in many cases, a small pilot or demonstration project, which can be presented to decision-makers, can showcase concrete applications of resource mobilization.



Key questions that can assist countries to ensure that decision-makers are engaged include the following:

#### **Internal and external decision-makers**

- What is the current level of awareness regarding chemicals and waste issues among key decision-makers, including relevant political figures such as ministers, senior policy advisors and influential figures outside government?
- Have regular lines of communication with representatives of external funders been established?
- Can key decision-makers be involved early on in the process? Can they endorse the Resource Mobilization Strategy and/or facilitate the cooperation of other agencies and ministries that might not initially be engaged on chemicals issues?
- Are internal decision-makers (e.g. ministers, central decision-making authorities, other key officials) briefed on domestic chemicals-related activities on a regular basis?
- Have multilateral/bilateral funders within the country and regionally been similarly briefed on domestic chemicals and waste-related activities?
- Have funders/senior officials been invited to attend chemicals-related meetings, events, field visits, etc.?
- Have other key tools for awareness-raising (e.g. strategic briefings, visits from senior figures from outside the country) for decision-makers been identified?
- Have chemicals-related products, such as programme brochures, hazard communication tools and website addresses been brought to the attention of external funders?
- Do chemicals and waste management issues appear in any general government documents (e.g. annual reports, press releases, budget speeches, planning documents) that outline overall priorities, and, if so, have they been brought to the attention of external funders?
- What information sources exist within the country, regionally and internationally that address the links between chemicals issues and other issues of priority?

#### **Public awareness**

- What is the general level of public awareness on chemicals and waste issues?
- What activities can take place to enhance public awareness?
- Are there opportunities to partner with the private sector and NGOs to raise public awareness?

#### **Step 6: Implement the Strategy**

Once a national Resource Mobilization Strategy (Annex D provides a possible outline of such a strategy) has been developed and approved by the key decision makers, it must be implemented. Annex E illustrates a critical path for implementation. It is critical that the Resource Mobilization Strategy has a clear programme of activities, timeline and budget that is adequately resourced in terms of financial and human resources to be implementable.

In all countries, of course, political priorities can and do change regularly, and the field of the sound management of chemicals and wastes is no exception. It is therefore essential that any Resource Mobilization Strategy is regularly re-evaluated to ensure that it is an accurate

reflection of country priorities. Any re-evaluation of priorities should occur in a systematic and defensible way. While funders often respond to country priorities when making decisions, if such priorities tend to change continuously the long-term sustainability of chemicals management can be threatened. Thus careful consideration must be preceded by any decision to change priorities.

Putting into place a process for regular evaluation of the strategy with the objective of ensuring its effectiveness is essential. Such an evaluative process should commence soon after the Resource Mobilization Strategy comes into effect.

Key questions that can assist in implementing the strategy include:

#### **Accommodating changing priorities**

- Are any changes foreseen in chemicals and waste-related priorities in the near- and longer-term?
- If so, is it possible to relate any “new” priorities to existing ones?
- How are new priorities brought into the process?
- Has a mechanism for addressing unforeseen priorities (e.g. attention to a non-priority chemicals issue due to an accident) been put into place?

#### **Evaluating the strategy**

- What criteria can be developed to adequately evaluate the success of the strategy?
- What mechanism can be put into place for regular review of the strategy?

## **6. SUMMARY AND CONCLUSIONS**

This guidance document has outlined a suggested process to assist countries in gathering the necessary information and putting a strategy in place for the successful development and implementation of a resource mobilization strategy for chemicals and wastes. There is no simple path for a country to follow that ensures successful resource mobilization. However, it is critical that a country is able to develop a sound strategy to access internal and external funding sources. Such a strategy will be enhanced by careful planning of activities, consensus on national priorities, in-depth research, information exchange, interministerial co-ordination and strategic partnerships.

Priority actions on the sound management of chemicals and wastes will always be undertaken in a setting filled with many other national development priorities. In following-up the implementation of the strategy (suggested step #6), it may be useful to take this broader guidance and approach and tailor it to national or local situations and consider the development of specific and detailed action plans. By working towards integrated approaches at the national and regional levels in a systematic way and by striving to achieve consensus within government and among stakeholders, the chances for sustainable resource allocation and therefore successfully meeting national priorities (including Convention obligations) will be greatly enhanced.

**ANNEX A: APPROACH OF THE SECRETARIAT OF THE STOCKHOLM CONVENTION TO FACILITATE THE ACCESS TO FINANCIAL RESOURCES OF DEVELOPING COUNTRY PARTIES AND PARTIES WITH ECONOMIES IN TRANSITION**

The lack of financial means and technical capacity is a key barrier that hampers countries to implement their national priorities under the Stockholm Convention. Experiences gained in the past years in the implementation of the Convention suggest that a large number of countries still have essential capacity assistance needs and hence may not be able to make full use of funds provided under the financial mechanism of the Convention.

The Secretariat of the Stockholm Convention is implementing activities that aim at facilitating the provision of capacity assistance and at improving the communication between countries that request capacity assistance and respective providers by matching the demand for capacity assistance in developing countries and countries with economies in transition with the respective providers of such assistance. The activities, at the same time, seek to assist both the donor and recipient community when deciding on collaboration with other partners in the chemicals and waste area.

The objectives are to enhance the communication among stakeholders, such as recipients and donors, donors and donors, as well as recipients and recipients; facilitate partnerships; provide advice; enhanced dissemination of good practices and lessons learned; and foster regional and global cooperation.

## **ANNEX B: MAINSTREAMING CASE STUDY: ZAMBIA**

In 2006, UNDP and UNEP developed a Partnership Initiative for implementation of SAICM. It draws upon the unique support services that can be provided by each of the cooperation agencies. The Initiative seeks to facilitate the integration of the sound management of chemicals into national development planning processes to support sustainable development in developing countries and countries with economies in transition.

The Partnership Initiative helps countries to:

- Identify specific areas of chemicals management likely to result in demonstrated environment, health and economic benefits and put in place a plan to begin addressing the identified specific areas;
- Assess their national development strategies for protecting the environment and human health from adverse effects from adverse effect through sound management of chemicals; and
- Improve the integration of chemicals management priorities into the national development plans.

With support of funding secured through the SAICM Quick Start Programme Trust Fund, the UNDP-UNEP Partnership Initiative has been launched in Macedonia and Uganda, while activities in Belarus, Belize, Honduras, Ecuador and Liberia started in the first quarter of 2009. In addition, thanks to support provided by the Government of Sweden through the Swedish Chemicals Agency (KemI), two more countries were added: Zambia, where implementation was launched in 2007, and Cambodia, where activities began in June 2008.

The Sweden (KemI) supported project “UNDP-UNEP Case Study in Partnership with Zambia: Mainstreaming Sound Management of Chemicals Issues into MDG based National Development Planning” was officially launched at the Project’s Inception Workshop (14-15 November 2007, Lusaka) by the Zambian Minister of Tourism, Environment and Natural Resources, Honourable Michael L. Kaingu, MP. The wide diversity of ministries represented - 20 government ministries and agencies - and the participation of private sector, academic and NGOs representatives reinforced the understanding among participants of the cross-sectoral relevance of chemicals management and its economic significance. The active involvement and commitment to the project process by the Ministry of Finance and National Planning was a clear sign of the strategic value of the proposed project approach.

Sector teams were established to develop the national chemicals management situation report which was completed in the last quarter of 2008. The core analytical group, comprised of an economist, an environment health expert and an Environment Council of Zambia (ECZ) environmental expert, used the situation report as a basis for identifying national SMC priorities for action in context of the national development plan. These priorities were presented to and approved by the Interagency Coordinating Mechanism (ICM) in December 2008. Various additional meetings have been held with the Ministry of Finance and National Planning to secure their ‘buy-in’ in the process of integrating SMC priorities into the Zambian national development planning process.

An economic cost-benefit analysis of the social and financial costs of relevant interventions in the Kafue river basin was started in the first quarter of 2009. Options and interventions related to chemicals management to foster development while improving health and environment conditions in the basin will be presented. The Zambian Fifth National Development Plan (FNDP) has undergone a mid-term review and in this context the project is therefore continuously

engaging national planning authorities in its activities to ensure that SMC-MDG linkages are clear to planning officials and their commitment to the project's objectives is being secured, with the objective to facilitate the mainstreaming of the highest national chemical management priorities into Zambia's national development plan.

In recognition of the importance to further enhance Zambia's capacity with respect to environmental economics, the Government of Norway has providing additional resources to the project which are being used to train a junior environmental economist, who works with the senior economist, as part of the core analytical group.

## **ANNEX C: POSSIBLE TABLE OF CONTENTS FOR A SITUATION ANALYSIS**

### **1. Overview of main chemicals-related resource requirements in the country/region**

- Gap analysis, e.g. identification of which chemicals-related issues are not funded or under-resourced

### **2. Outline of how resource-related decisions are made within departments/ ministries**

- E.g. documentation needed, standards and timelines for each department/ministry (e.g. Ministry of Health, Ministry of Industry)
- List of internal programmes which may have available funds

### **3. Outline of how resource-related decisions are made within government overall**

- Key contacts
- List of committees with decision-making power
- Overview of decision-making process (e.g. may include case study of how funding is approved)
- List of programmes within country which may have available funds

### **4. Comprehensive list of multilateral/bilateral organizations in the country and a select list of those outside the country**

- Overview of chemicals-related activities of such funders
- Details of process for approaching funders
- Key contacts – national, regional and international

### **5. Identify opportunities for Public-Private Partnerships**

## **ANNEX D: POSSIBLE TABLE OF CONTENTS OF A RESOURCE MOBILIZATION STRATEGY**

### **1. Introduction**

### **2. Situation Analysis**

- Trends
- Institutional Arrangements

### **3. Challenges**

### **4. Goal and Objectives**

### **5. Guiding Principles**

### **6. Strategic Actions**

- Improve communication and information
- Institute processes, systems and tools
- Operationalize/introduce incentives
- Enhance skills and capacity
- Pursue donor interaction, regionally and internationally
- Produce results and monitor impacts

### **7. Critical Success Factors**

### **8. Budget and Timeline**

### **9. Monitoring and Evaluation**

## ANNEX E: CRITICAL PATH FOR A RESOURCE MOBILIZATION STRATEGY

