

TEXTE

52/2023

Final report

# Overview of possible funding sources for the sound management of chemicals and waste

by:

Jozef Buys

Independent consultant, Erembodegem

**publisher:**

German Environment Agency

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**Umwelt  
Bundesamt** 



TEXTE 52/2023

Project No. 168173

Report No. (UBA-FB) FB001016/ENG

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On behalf of the German Environment Agency

## Imprint

### **Publisher**

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Internet: [www.umweltbundesamt.de](http://www.umweltbundesamt.de)

 [umweltbundesamt.de](https://www.facebook.com/umweltbundesamt.de)

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### **Report completed in:**

November 2022

### **Edited by:**

Section IV 1.1 International Chemicals Management  
Dr. Anja Klauk (Fachbegleitung)

Publication as pdf:

<http://www.umweltbundesamt.de/publikationen>

ISSN 1862-4804

Dessau-Roßlau, March 2023

The responsibility for the content of this publication lies with the author(s).

**Abstract: Overview of possible funding sources for the sound management of chemicals and waste**

Study commissioned by the German government, through its Federal Environment Agency (UBA) with the aim to identify and describe the entities that may provide financial support to developing countries and countries with economies in transition, in order to address their challenges with the sound management of chemicals and waste.

The overview of the 47 entities identified by the study provides a fairly complete picture in terms of which entities may support countries and for what activities: the topics that may be funded, in which countries and regions, who is eligible for the funding and in which way the funding is provided. Other aspects of the entities are less well documented and it may be worthwhile to consider a follow-up phase in order to expand the number of possible funding sources, review the methodology and improve the quality of information of the funding sources.

**Kurzzusammenfassung: Übersicht möglicher Finanzierungsquellen für ein nachhaltiges Chemikalien- und Abfallmanagement**

Die Studie wurde vom Umweltbundesamt im Namen des Bundesministeriums für Umwelt, Naturschutz, nukleare Sicherheit und Verbraucherschutz (BMUV) in Auftrag gegeben. Ziel der Studie ist es, Organisationen zu identifizieren und zu beschreiben, die wirtschaftlich aufstrebenden und Entwicklungsländern finanzielle Unterstützung bieten können, um ihre Herausforderungen beim nachhaltigen Chemikalien- und Abfallmanagement bewältigen zu können.

Die in dieser Studie erarbeitete Übersicht über 47 solcher Organisationen bietet ein relativ vollständiges Bild darüber, welche Organisationen Länder bei designierten Aktivitäten unterstützen. Herausgearbeitet wurden die förderungsfähigen Themenfelder, Länder und Regionen, mögliche Förderungsempfänger und in welcher Form die Förderung bereitgestellt wird. Andere Aspekte sind weniger umfassend beschrieben. Insgesamt erscheint es sinnvoll, in einem Folgeprojekt die Methodik zu überarbeiten, weitere Förderquellen ausfindig zu machen sowie qualitative bessere Informationen zu den jeweiligen Förderquellen zu beschaffen.

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## List of abbreviations

<b>CB</b>	Capacity-building
<b>CEE</b>	Central and Eastern Europe
<b>CEIT</b>	Country with economy in transition
<b>Dev. Agency</b>	Development Agency
<b>FAO</b>	Food and Agriculture Organisation
<b>IA</b>	International Association
<b>IFAD</b>	International Fund for Agricultural Development
<b>IGO</b>	Inter-Governmental Organisation
<b>ILO</b>	International Labour Organisation
<b>IO</b>	International Organisation
<b>LAC</b>	Latin America and the Caribbean
<b>MDB</b>	Multilateral Development Bank
<b>NB</b>	National Bank
<b>NGO</b>	Non-Governmental Organisation
<b>OECD</b>	Organisation for Economic Cooperation and Development
<b>R&amp;D</b>	Research and Development
<b>RDA</b>	Regional Development Agency
<b>RDB</b>	Regional Development Bank
<b>SAICM</b>	Strategic Approach to International Chemicals Management
<b>SDG</b>	Sustainable Development Goal
<b>SDRB</b>	Sub-Regional Development Bank
<b>TA</b>	Technical Assistance
<b>UN</b>	United Nations
<b>UNEP</b>	United Nation Environment Programme
<b>UNIDO</b>	United Nations Industrial Development Organisation

## Summary

The need for financial resources, the availability and access to them, in support of the implementation of Multilateral Environmental Agreements, remains an important aspect of the follow-up of those agreements and thus also in the case of the Strategic Approach to International Chemicals Management (SAICM) beyond 2020.

In order to address this issue of possible funding sources for the sound management of chemicals and waste, the German government, through its Federal Environment Agency (UBA), commissioned this study in the run-up to the fourth meeting of the SAICM Intersessional Process, where it was presented at a Technical Briefing meeting.

The aim of the study is to identify and describe the entities that may provide financial support to developing countries and countries with economies in transition in order to address their challenges with the sound management of chemicals and waste.

The basis for the study is laid down in the Terms of Reference and consists of the questions:

- a) To which kind of topics/activities/measures does the funding relate?
- b) What is the overall budget of the funding source/funding programme over a specified period of time?
- c) What is the maximum amount of funding per year for individual measures / activities / projects?
- d) What is the maximum funding period per measure/activity/project?
- e) Who/which organisation can participate?
- f) What are the selection criteria?
- g) How does the application process work?
- h) Are there services or deliverables that always have to be provided regardless of the measure/activity/project (e.g. a specific type of documentation or reporting)?
- i) Where and how is the information referred to in questions a-h accessible/available (e.g. internet link, individual contact by telephone number or email, flyer)?

In order to prepare the presentation of the findings, the following overviews have been created:

1. Overviews sorted by sustainability fields;
2. Overviews sorted by eligible activities/measures/projects;
3. Overviews sorted by sources of origin;
4. Overviews sorted by stakeholder;
5. Overviews sorted by target countries/regions.”

The funding sources to which the current title refers must be seen in a way that transcends the mere provision of cash resources, thus including capacity-building and technical assistance. The study has not covered bilateral aid programmes, nor existing partnerships.

The overview of funding sources has been conducted through an internet search of entities that are operating in the fields of environment, development and finance, in order to document their activities related to chemicals and waste management, their strategy and planning instruments, the specifics of their operations, their requirements for access, their budgets, etc. Verification of unclear or incomplete information has occasionally been sought through phone calls, email communications and interviews.

For each of the entities a general form has been filled out with all relevant information for the study and links to the entity's website for further details. The forms are translated into an Excel file with the aim of building a directory of possible funding sources that countries can access in order to have an initial overview of them. The forms and the Excel file complement each other and should be used in conjunction. The Excel file is meant to browse the database of entities in order to identify those which correspond best to a country's needs and conditions. The forms linked to those entities provide more details about their characteristics in order to clarify the terms and requirements for accessing the support.

The data gathered through this study have first been classified in categories that correspond with selected sections of the form and the Excel file. For each category, the full range of observed variables is described and discussed. To the degree possible, the variables are mutually exclusive in order to allow for relevant analysis.

Selected categories are then further analysed with the aim of presenting the requested overviews. These overviews are intended to provide insights in what kind of entities are focused on chemicals and waste, what their geographical and thematic coverage is, what kind of stakeholders can access them.

The general quantitative analysis presents the full cohort of entities deemed to be possible sources of funding. The analysis of selected categories of information corresponds to the various overviews requested by the terms of reference, while also evaluating the quality of the information provided. The study arrives at the following conclusions:

1. With regard to the general (sustainability) fields and types of entities, the study shows that the majority of registered entities come from the development and environment realms, at 45.5 % and 32 % respectively, and are UN-entities in 36 % of the cases, funds in 21 % and banks in 19 %.
2. When developing countries and countries with economies in transition are in search of possible sources of funding for the sound management of chemicals and waste, the overview presented by the study provides a fair picture of which entities may support them. They can identify which topics may be funded, in which countries and regions, who is eligible for the funding and in which way the funding is provided.
3. Specific budgets provided and available for the sound management of chemicals and waste could not be clearly identified by the study, except in the cases of dedicated funds. The reason is that mostly there is only a general indication about the importance of the sound management of chemicals and waste for the entity.
4. While more detailed information about specific budgets for the sound management of chemicals and waste, the maximum amount and time of funding, as well as regarding the selection criteria and application procedure would be welcome and helpful, it doesn't seem to be absolutely necessary for initially identifying entities relevant for countries in search of support for their needs.
5. The information provided by entities on their websites mainly serves the purpose of showing to the outside world their mandate and work. Most of the times websites are not conceived as a tool for countries to access resources of the organisation.
6. The types of funding that the entity can provide are usually clearly indicated, with grants at 36 % and loans at 17 %, but can also vary a lot in the details, especially for the non-grant funding.
7. The description of the geographical destination to which entities' support can go is usually clearly indicated, with 70 % of them indicating global coverage.

8. While it is clear which countries can access the funding, there is no uniform way of designating those countries. The detail of the in-country recipients is indicated in 19 % of the cases and is often little specified.
9. The selection criteria for projects and the application procedures for accessing the funding are entity specific and vary considerably.
10. As a result of the variation in the terminology, the identification of the key words used in the study may be subject to change, correction or fine-tuning in the future.

The aim of the study being to identify and describe the entities that may provide financial support to developing countries and countries with economies in transition in order to address their challenges with the sound management of chemicals and waste, the general conclusion can be that the study presents an overview that allows those countries to identify which entities may support them. It does so, based on the information that the websites of those entities contain with regard to which topics may be funded, in which countries and regions, who is eligible for the funding and in which way the funding is provided.

The analysis, discussion and conclusions of the study suggest to reflect about the suitability of the methodology, the sufficiency / fit-for-purpose of the outcome and the quality of the results.

The 47 entities identified by the present study are just a portion of an unknown universe of possible sources for the sound management of chemicals and waste. Based on a number of under-represented types of entities, further research will certainly increase the amount of entities, thus broadening the options for developing countries to access funding sources.

A number of categories of information of the study, such as those related to more financial details about the funding provided and available, the selection criteria for fundable activities and the application procedures for accessing the funding, are presently less well documented and could benefit from further research.

Across many categories, if not all, the lists of variables within them don't seem to be exhaustive, mutually exclusive, nor well defined, and the terminology varies considerably. Additional comparison of variables and terminology may provide clarification and increase the understanding and the comparability of the categories in general and of those who are less well documented in particular.

It is recommended to:

1. Conduct a second phase of the study with the aim to expand the number of possible funding sources, review the methodology, improve the quality of information and address any other issue that the present study may raise.
2. Conduct a feasibility study on how the overview could be made operational and kept updated for practical use, by defining its functions and exploring options for formats that can convert the overview into a permanent tool.

## **Zusammenfassung**

Um die Umsetzung multilateraler Umweltabkommen zu fördern, ist es nach wie vor essentiell, die dazu benötigten finanziellen Ressourcen bereitzustellen und den Zugang zu ihnen zu gewährleisten. Die gilt auch für das Nachfolgerahmenwerk des Strategic Approach to International Chemicals Management, SAICM "beyond 2020".

Unter dieser Maßgabe wurde die vorliegende Studie vom Umweltbundesamt im Namen des Bundesministeriums für Umwelt, Naturschutz, nukleare Sicherheit und Verbraucherschutz

(BMUV) in Auftrag gegeben. Die Studie wurde im Vorfeld der 4. Interseasonalen Konferenz (IP 4) angefertigt; ihre Ergebnisse wurden dort in einem Technical Briefing vorgestellt.

Ziel der Studie ist es, Organisationen zu identifizieren und zu beschreiben, die wirtschaftlich aufstrebenden und Entwicklungsländern finanzielle Unterstützung bieten können, um ihre Herausforderungen beim sicheren Chemikalien- und Abfallmanagement bewältigen zu können.

Grundlage der Studie war die Leistungsbeschreibung, mit folgenden zu adressierenden Fragen:

- a) Welche Themen / Aktivitäten / Maßnahmen werden gefördert?
- b) Welches Budget hat die Finanzierungsquelle / das Programm insgesamt über einen bestimmten Zeitraum?
- c) Mit welchem Höchstbetrag werden einzelne Maßnahmen / Projekte pro Förderjahr gefördert?
- d) Wie lang ist die maximale Förderdauer?
- e) Wer / welche Organisation kann teilnehmen?
- f) Welches sind die Auswahlkriterien?
- g) Wie läuft der Bewerbungs- / Antragsprozess ab?
- h) Gibt es Leistungen, die unabhängig von der Maßnahme / vom Projekt immer erbracht werden müssen (z.B. eine bestimmte Art der Dokumentation)?
- i) Wo und wie sind die Informationen zu den Fragen a-h zugänglich / verfügbar (z.B. Internet-Link, individueller Kontakt per Telefonnr. oder Email, Flyer)?

Um die Darstellung zielgruppen-, themen- und quellenorientiert zu halten, sollen folgende Finanzierungsübersichten erstellt werden:

3. Übersichten nach Nachhaltigkeitsfeldern sortiert;
4. Übersichten nach förderfähigen Aktivitäten und Maßnahmen sortiert;
5. Übersichten nach Herkunftsquelle (UN, World Bank, GEF, EU, GIZ et al.) sortiert;
6. Übersichten nach Stakeholdern sortiert;
7. Übersichten nach Zielländern / Regionen sortiert.

Die Finanzierungsquellen in dieser Studie sollten nicht nur Ressourcen in Form von Bargeld in den Blick nehmen, sondern auch Kapazitätsaufbau und praktische Unterstützungsleistungen. Bilaterale Partnerschaften und Hilfsprogramme waren dagegen nicht Gegenstand der Studie.

Die Übersicht über Finanzierungsquellen wurde auf Grundlage von Internetrecherchen durchgeführt. Untersucht wurden dabei Organisationen, die auf den Gebieten Umwelt, Entwicklung und Finanzen tätig sind. Für jede Organisation wurde geprüft, auf welche Art sie im Chemikalien- und Abfallmanagement tätig ist, ihre Strategie und Planungsinstrumente, typische Handlungsansätze, außerdem die jeweiligen Anforderungen für den Zugang zu Budgets. Unklare oder unvollständige Information wurde mithilfe von Telefonaten, Email-Verkehr und Interviews geprüft.

Für jede Organisation wurde ein Formblatt mit allen für die Studie relevanten Informationen sowie mit einem Link zur untersuchten Webseite ausgefüllt. Die Formblätter wurden in eine Excel-Datei überführt, um ein Verzeichnis möglicher Finanzierungsquellen anzulegen, welches Ländern als erste Anlaufstelle zur Verfügung stehen soll. Die Formblätter und die Excel-Datei ergänzen einander und sollten zusammen genutzt werden. Die Excel-Datei soll dabei als Datenbank von herauszufilternden Organisationen dienen, die bestmöglich zu den Bedarfen des

suchenden Landes passen. Die Formblätter enthalten auf der anderen Seite zusätzliche Details zu den Bedingungen und Anforderungen, um die Unterstützung abrufen zu können.

Die in dieser Studie gesammelten Informationen wurden zunächst in Kategorien eingeteilt, die spezifischen Abschnitten des Formblattes und der Excel-Datei entsprechen. Für jede Kategorie wurden die untersuchten Variablen vollumfänglich beschrieben und ausgewertet. Die Variablen wurden nach Möglichkeit trennscharf voneinander gestaltet, um die Analyse zu erleichtern.

Bestimmte Kategorien wurden dann eingehender betrachtet mit dem Ziel, die geforderten Übersichten anzufertigen. Diese Übersichten sollen einen Einblick darüber vermitteln, welche Organisationen das Augenmerk auf Chemikalien und Abfall richten, was sie in geografischer und thematischer Hinsicht abdecken, welche Stakeholder sie ansprechen können.

Die allgemeine quantitative Auswertung präsentiert vollumfänglich alle Organisationen, die als Finanzierungsquelle in Frage kommen könnten. Die Analyse ausgewählter Informationskategorien entspricht den verschiedenen Übersichten, die in der Leistungsbeschreibung gefordert wurden. Darüber hinaus beschäftigt sich die Analyse auch mit der Qualität der Informationen.

Insgesamt kommt die Studie zu den unten aufgeführten Schlußfolgerungen:

1. Im Hinblick auf die generischen Nachhaltigkeitsfelder und Herkunft der Organisationen zeigt die Studie, dass die Mehrheit der identifizierten Organisationen mit 45.5% bzw. 32% aus dem Entwicklungs- bzw. Umweltbereich kommen und dass es sich in 36% um UN-Organisationen handelt, in 21% um Finanzierungsprogramme/Fonds und in 19% der Fälle um Banken.
2. Wenn aufstrebende und Entwicklungsländer nach möglichen Finanzierungsquellen für ein nachhaltiges Chemikalien- und Abfallmanagement suchen, bietet die erarbeitete Übersicht über 47 solcher Organisationen bietet ein relativ vollständiges Bild darüber, welche Organisationen sie unterstützen können. Entsprechend lassen sich die förderungsfähigen Themenfelder, Zielländer und -Regionen, mögliche Förderungsempfänger und in welcher Form die Förderung bereitgestellt wird, herausfiltern.
3. Spezifische Budgets für ein nachhaltiges Chemikalien- und Abfallmanagement ließen sich nicht eindeutig identifizieren, mit Ausnahme von zweckgebundenen Fonds. Der Grund ist, dass in den meisten Fällen nur ein allgemeiner Hinweis formuliert wird derart, dass der Organisation das nachhaltige Chemikalien- und Abfallmanagement wichtig ist.
4. In der Tat wären detailliertere Informationen zu den für nachhaltiges Chemikalien- und Abfallmanagement vorbehaltenen Budgets willkommen und hilfreich. Allerdings sind diese nicht unbedingt nötig, wenn es darum geht, Erstinformation darüber zu sammeln, welche Organisationen zur Deckung bestimmter Bedarfe prinzipiell in Frage kommen.
5. Die Informationen, welche Organisationen auf ihren Webseiten zur Verfügung stellen, dienen häufig dem Zweck, der Außenwelt das Mandat und die Arbeit der Organisation nahezubringen. In den meisten Fällen sind die Webseiten nicht als Tool ausgestaltet, dass es Ländern erleichtern soll, auf Ressourcen der Organisation zuzugreifen.
6. Die Arten der Finanzierung, welche die Organisation bereitstellt, sind im allgemeinen klar benannt, wobei Zuschüsse 36% und Darlehen 17% der Fälle ausmachen. Details der Finanzierung können hier stark variieren, vor allem bei nicht Zuschuß-basierter Finanzierung.
7. Die geografische Zielregion für die finanzielle Unterstützung ist in der Regel klar benannt, wobei 70% der Organisationen auf globaler Ebene fördern.
8. Während es klar ist, welche Länder auf die Förderung zugreifen können, gibt es keine einheitliche Beschreibung der Länder. Details zu bestimmten Förderungsempfängern



innerhalb der Länder werden nur in 19% der Fälle aufgeführt und sind oft wenig aussagekräftig.

9. Auswahlkriterien für Projekte sowie die Antragsprozesse zum Abrufen der Fördergelder sind je nach Organisation sehr unterschiedlich.
10. Da die Terminologie und die Suchbegriffe sich von Organisation zu Organisation unterscheiden können, wird empfohlen, dass in einer künftigen Studie die Untersuchung daraufhin angepasst wird.

Als Ziel der Studie wurde formuliert, Organisationen zu identifizieren und zu beschreiben, die wirtschaftlich aufstrebenden und Entwicklungsländern finanzielle Unterstützung bieten können, um ihre Herausforderungen beim nachhaltigen Chemikalien- und Abfallmanagement bewältigen zu können. In dieser Hinsicht ist das Ergebnis, dass es der Studie gelungen ist, eine Übersicht zu produzieren, die dazu angetan ist, dass Länder jene Organisationen finden können, die sie unterstützen können. Dies ist deshalb möglich, weil die Webseiten der Organisationen Informationen zu förderfähigen Themen, Ländern und Regionen, Stakeholdern und der Art der Förderung bereithalten.

Die Analyse, Auswertung, und Schlußfolgerungen legen nahe, über die Methodik, die Eignung und Qualität der Befunde nachzudenken.

Die in dieser Studie identifizierten 47 Organisationen dürften nur einen Bruchteil der möglichen Finanzierungsquellen für eine nachhaltiges Chemikalien- und Abfallmanagement darstellen. Da eine Reihe von Organisationstypen in dieser Studie unterrepräsentiert sind, würden weitere Untersuchungen sicherlich die Anzahl an möglichen Finanzierungsquellen erhöhen, und damit weitere Wege für Entwicklungsländer eröffnen.

Eine Reihe von Informationskategorien der Studie, u.a. solche, die weiterer Details zu den Fördermöglichkeiten abbilden, sind weniger umfänglich dargestellt und könnten von weiteren Untersuchungen profitieren. Dazu zählen die Auswahlkriterien und die Details rund um die Antragstellung.

Über die Kategorien hinweg erscheint die Anzahl an Variablen nicht erschöpfend zu sein; auch sind Kategorien nicht immer eindeutig und trennscharf voneinander abgrenzbar. Daher würden weitere Untersuchungen hier Klarheit schaffen und die Interpretation der Terminologie erleichtern, vor allem in solchen Fällen, wo Details unzureichend vorhanden sind.

Es wird daher folgendes empfohlen:

- Fortführung der Studie mit dem Ziel, die Anzahl an Fördermöglichkeiten zu erhöhen, die Qualität der Informationen zu verbessern und weitere Aspekte rund um das Thema Finanzierungsquellen zu bearbeiten, die die vorliegende Studie nahelegt. Für weitere Arbeiten empfiehlt es sich, die Methode in geeigneter Weise anzupassen.
- Durchführung einer Machbarkeitsstudie darüber, wie die Übersichten für die Nutzerinnen praktikabel gestaltet und auch aktualisiert werden können. Zum Beispiel könnten weitere Funktionen zur Handhabung eingeführt und Optionen für Formate entwickelt werden, durch welche sich die Übersichten in ein permanentes Instrument überführen lassen.

# 1 Introduction

## 1.1 Background

The need for financial resources, the availability and access to them, in support of the implementation of Multilateral Environmental Agreements, remains an important aspect of the follow-up of those agreements and thus also in the case of SAICM beyond 2020. Indeed, especially in the context of processes leading to new long-term agreements, developing countries usually emphasise the need for different kinds of support in order to implement the resolutions taken by the international community. In these processes it is not uncommon to hear some countries state that there are many funds available, while others believe that there are not. An additional challenge related to this is the ease of access to the variety of funds that are out there.

In order to address this issue of possible funding sources for the sound management of chemicals and waste, given the broad nature of the full life cycle world of chemicals, it speaks to reason that a comprehensive study is in order. The German government, through its Federal Environment Agency (UBA) commissioned this study in the run-up to the fourth meeting of the SAICM Intersessional Process, where it was presented at a Technical Briefing meeting.

## 1.2 Objective and scope

The aim of the study is to identify and describe the entities that may provide financial support to developing countries and countries with economies in transition in order to address their challenges with the sound management of chemicals and waste.

In order to cover the depth and breadth of SAICM's scope, a comprehensive study should look into fields beyond the obvious sources for the management of chemicals and waste. Beyond the world of environment finance and inspired by the UNEP Assessment on linkages with other clusters related to chemicals and waste management<sup>1</sup>, the study has therefore looked for organisations that are active in the fields of health, labour, biodiversity, climate change, agriculture and food, sustainable consumption and production, human rights, development in general, development finance, research and development

In the course of the research it became apparent that the original title of the study "Identification of sources to finance measures for safeguarding chemical safety" was unnecessarily narrowing its scope to the safety aspects of chemicals management and not in line with the needs expressed by developing countries. Therefore, the title has been modified "Overview of possible funding sources for the sound management of chemicals and waste".

The funding sources to which the current title refers must also be seen in a way that transcends the mere provision of cash resources. Time and again developing countries have indicated their continuing need for capacity-building and technical assistance. Whenever this kind of support is provided, it represents a cost that the recipient would have to cover should there not be an organisation that is ready to do so.

The study has not covered bilateral aid programmes, nor existing partnerships. The former because it is a readily available source of support for developing countries<sup>2</sup>, the latter because

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<sup>1</sup> SAICM/IP.4/INF/3 (2020) Submission from UNEP: Assessment on linkages with other clusters related to chemicals and waste management and options to coordinate and cooperate on areas of common interest.

<sup>2</sup> UNITAR (2001): Fact Sheets on Bilateral Assistance for Chemicals Management.



partnerships have their own, often very specific, dynamics for access. That said, both would be relevant for a research project that would seek to estimate the total amount of financial resources for the sound management of chemicals and waste.

### 1.3 Terms of reference

In accordance with the terms of reference for the study “The aim of the project is to develop (a) comprehensive overview(s) of financing sources and funding programmes of chemical management measures and projects that exist within relevant sustainability fields such as climate protection, biodiversity, agriculture, the labour sector, marine protection, sustainable production and consumption, etc.

For each funding source and funding programme, the following questions should be clarified:

- j) To which kind of topics/activities/measures does the funding relate?
- k) What is the overall budget of the funding source/funding programme over a specified period of time?
- l) What is the maximum amount of funding per year for individual measures / activities / projects?
- m) What is the maximum funding period per measure/activity/project?
- n) Who/which organisation can participate?
- o) What are the selection criteria?
- p) How does the application process work?
- q) Are there services or deliverables that always have to be provided regardless of the measure/activity/project (e.g. a specific type of documentation or reporting)?
- r) Where and how is the information referred to in questions a-h accessible/available (e.g. internet link, individual contact by telephone number or email, flyer)?

In order to prepare the presentation of the findings in a way which adequately reflects target groups, topics, activities and funding sources/programmes, the following overviews are to be created (in excel table format):

- 11. Overviews sorted by sustainability fields;
- 12. Overviews sorted by eligible activities/measures/projects;
- 13. Overviews sorted by sources of origin;
- 14. Overviews sorted by stakeholder;
- 15. Overviews sorted by target countries/regions.”

### 1.4 Methodology

The overview of funding sources has been conducted through an internet search of entities, i.e. organizations/institutions/programmes, that are operating in the fields of environment, development and finance. In order to document the aspects above (see a) to i) under 1.3 above), the websites of those entities have been searched for their activities related to chemicals and waste management, for their strategy and planning instruments, for the specifics of their operations, for their requirements for access, their budgets, etc.

Verification of unclear or incomplete information has occasionally been sought through phone calls, email communications and interviews.

For each of the entities a general form has been filled out with all relevant information for the study and links to the entity's website for further details (Figure 1).

**Figure 1: Individual form**

UNEP SPECIAL PROGRAMME	
Special Programme on Institutional Strengthening for the Chemicals Cluster	
<p><u>Description</u></p> <p>The Special Programme, also known as the Chemicals and Waste Management Programme, provides support to developing countries and countries with economies in transition to enhance their sustainable institutional capacity to develop, adopt, monitor and enforce policy, legislation and regulation for effective frameworks for the implementation of the Basel, Rotterdam and Stockholm Conventions, the Minamata Convention and SAICM.</p> <p>The Trust Fund for the Special Programme is open to receive voluntary contributions for seven years from the date it was established, in September 2015.</p> <p><u>Topics/activities/ measures funded</u></p> <p>Institutional strengthening at the national level, in the context of an integrated approach to address the sustainable financing of sound management of chemicals and wastes. Activities that fall outside the mandate of the Global Environment Facility.</p> <p><u>Overall budget and specifics</u></p> <p>Approved budget (24 May 2022): 18,11 million USD.</p> <p><u>Type of funding</u></p> <p>Grants:</p> <p><u>Maximum funding amount for individual activities</u></p> <p>50,000-250,000 USD per project proposal, including possible administration fees and monitoring and evaluation and financial audit. In certain circumstances, an applicant country may request up to a maximum of 500,000 USD. Projects requesting more than US\$ 250,000 should fulfill specific criteria (see Scope of Special Programme).</p> <p><u>Maximum funding period</u></p> <p>Projects should be fully completed within three years.</p> <p><u>Who can be funded</u></p> <p>Developing countries that are Parties to any one of the relevant conventions or have demonstrated that they are in the process of preparing for ratification of any one of the</p>	<p>conventions, taking into account the special needs of least developed countries and small island developing States, and for countries with economies in transition, with priority given to those with least capacity. Countries should also be on the Development Assistance Committee (DAC) list of Official Development Assistance (ODA) at the time of application.</p> <p><u>Selection criteria</u></p> <p>See Scope of Special Programme.</p> <p><u>Application process</u></p> <p>The sixth round of applications is now open to receive applications through to 12 August 2022. Applications must include:</p> <ul style="list-style-type: none"> <li>- The duly signed <a href="#">Project application form</a></li> <li>- A <a href="#">project budget form</a></li> <li>- Endorsement letter from the Official focal point</li> <li>- Letters of support from the project partners confirming its/their role(s)</li> <li>- Projects with an implementing organization/institution, a letter from the organization/institution confirming its role (if relevant)</li> <li>- Annexes providing any relevant additional information regarding the measures and activities to be funded</li> </ul> <p><u>Required information</u></p> <p>Identification of the associated domestic measures to be taken to ensure that the national institutional capacity supported by the Special Programme is sustainable in the long term.</p> <p><u>References</u></p> <p>General information:  <a href="https://www.unep.org/explore-topics/chemicals-waste/what-we-do/special-programme">https://www.unep.org/explore-topics/chemicals-waste/what-we-do/special-programme</a>            Scope of the Special Programme:  <a href="https://wedocs.unep.org/bitstream/handle/20.500.11822/39717/GSSP6.pdf">https://wedocs.unep.org/bitstream/handle/20.500.11822/39717/GSSP6.pdf</a>            Applying for funding: <a href="https://www.unep.org/explore-topics/chemicals-waste/what-we-do/special-programme/applying-funding-through-special">https://www.unep.org/explore-topics/chemicals-waste/what-we-do/special-programme/applying-funding-through-special</a>            Special Programme Application Guidelines:  <a href="https://wedocs.unep.org/bitstream/handle/20.500.11822/39714/SPAG6.pdf">https://wedocs.unep.org/bitstream/handle/20.500.11822/39714/SPAG6.pdf</a></p>

own illustration, J.Buys

The individual forms consist of:

a heading composed of the acronym of the entity, the full name and the eventual affiliation with other organisations, followed by numbered sections:

1. a description of the entity;
2. the topics that are being funded;
3. the overall budget and the specific allocations for chemicals and waste;
4. the types of funding provided;
5. the maximum amount of funding,
6. the maximum period of funding;
7. the eligibility criteria for funding;
8. the selection criteria for activities to be funded;
9. the application process,
10. other required information not covered by eligibility and selection criteria;
11. references to where the information can be found;
12. the direct link to applying for funding.

The full annotated blank form can be consulted in Appendix A

The forms are being translated into an Excel file with the aim of building a directory of possible funding sources that countries can access in order to have an initial overview of them (Figure 2). This file should allow to identify which organisations may be of interest for countries' needs and is to be consulted in conjunction with the individual forms where further details can be found.

**Figure 2: Partial view of Excel file with selected organisations**

Organisation	Minamata Convention SP	UNDP	UNEP FI	UNEP SP	UNEP	UN Habitat	UN
Type	Fund	UN	UN	UN	UN	UN	UN
Sustainability field	environment	development	environment	environment	environment	urban development	industry
Target country/region	Global	Global	Global	Global	Global	Global	Global
Topic/activities/measures funded	Strengthening institutional capacity to control emissions from sources listed in Annex D. Putting in place effective procedures for managing trade in mercury and mercury-added products developed at the national and sub-regional levels. Strengthening capacity to phase out mercury use in industrial processes in accordance with Article 5.	Strengthen policy, regulatory and financial incentives to phase out chemicals of concern. Waste management. Circular economy.	Circular economy. Elimination of waste and pollution. Sustainable finance training.	Institutional strengthening at the national level, in the context of an integrated approach to address the sustainable financing of sound management of chemicals and wastes.	Waste management. Waste water management. Air pollution. Circular economy. Sound science and information and knowledge sharing on chemicals, waste and pollution. Policy shifts towards the sound management of chemicals and waste.	Sustainable waste management. Water and sanitation.	Promoting clean pathways to produce efficient resources reductions in waste.
Overall budget	2016-2021: \$ 6 million	2022 Budget: \$ 6.06 billion	Proposed 2022 budget: 8.35 million USD	Approved budget (24 May 2022): 18.1 million USD.	2021 Budget and Income: UN Regular Budget: 23.7 million USD. Environment Fund: 100 million USD. earmarked Funds: 191 million USD.	2021: 167.3 million USD implemented.	Total 2022-2023: Regular Budget: Operational Budget: Technical cooperation: 100 million €
Specific budget		GEF Small Grants Programme 2022-2025: 155 million USD			For specific budgets and the questions below see UNEP FI and UNEP SP		UNIDO projects through the GEF Multilateral Fund below vary across
Type of funding	Grants	Grants		Grants	Grants	Grants	Grants
Maximum funding amount for individual activities?	50,000 - 250,000 USD	N/A		50,000-250,000 USD per project proposal, including possible administration fees and monitoring and evaluation and financial audit. In certain circumstances, an applicant country may request up to a maximum of 500,000 USD.	N/A	N/A	
Maximum funding period	Projects must be completed within 36 months/three years.	N/A		Projects should be fully completed within three years.	N/A	Variable 1-4 years for Waste Wise Cities programme	
Who can be funded?	Governments from developing countries Parties to the Minamata Convention and Parties with economies in transition.	Developing countries and CETTs		Developing countries that are Parties to any one of the relevant conventions or have demonstrated that they are in the process of preparing for ratification of any one of the conventions, taking into account the special needs of least developed countries and small island developing States, and for countries with economies in transition, with priority given to those with least capacity. Countries should also be on the Development Assistance Committee (DAC) list of Official Development Assistance (ODA) at the time of application.	Developing countries and CETTs	Developing countries government and municipal-level officials	Developing countries
Selection criteria	Not for activities that are already funded or planned to be funded by the Global Environment Facility (through a Minamata Initial Assessment, an ASGM National Action Plan or other enabling activities projects), or by the Special Programme on Institutional Strengthening.	N/A		See Scope of Special Programme.	N/A		
Application process	Rounds of applications.	N/A		Via rounds of applications.	N/A		

own illustration, J.Buys

In the Excel file, the columns represent the individual entities in alphabetical order, the rows describe the characteristics of each of them, based on the information contained in the forms, but shortening the heading (only acronym) and leaving out sections 1), 10), 11) and 12) of the form, while adding the type of organisation, the sustainability field and the target countries/regions. The additions were introduced in order to allow creating the overviews requested by the terms of reference (see 1-5 under 1.3 above).

The forms and the Excel file complement each other and should be used in conjunction. The Excel file is meant to browse the database of entities in order to identify those who correspond best to a country's needs and conditions. The forms linked to those entities provide more details about their characteristics in order to clarify the terms and requirements for accessing the support.

## 2 Data presentation and analysis

### 2.1 General structure

The data gathered through this study have first been classified in categories that correspond with selected sections of the form and the Excel file. Therefore, they represent the direct answers to the original questions of the study (see 1.3 above).

For each category, the full range of observed variables is described and discussed. Most of the variables stem directly from the information provided by the entities on their websites, through the description of their mandate, strategies, programmes and activities. For the categories “Type of entity”, “Sustainability field” and “Target countries/regions”, the identification of the variables is based on the same kind of information and a personal interpretation of it. To the degree possible, the variables are mutually exclusive in order to allow for relevant analysis.

Selected categories are then further analysed with the aim of presenting the requested overviews. These overviews are intended to provide insights in what kind of entities are focused on chemicals and waste, what their geographical and thematic coverage is, what kind of stakeholders can access them. Equally important will be the determination of the degree of detail that the study has arrived at with regard to the characteristics of individual entities and how this could be enhanced.

### 2.2 Descriptive categories

#### 2.2.1 Type of entity

The word “entity” is being used because it is a generic term that includes all types of organisations, institutions, banks, funds, foundations, associations, etc. The study has observed the following types of entities (abbreviation used in the Excel file in parentheses):

- ▶ EU Programme
- ▶ Foundation
- ▶ Fund
- ▶ International Association (IA)
- ▶ Inter-governmental Organisation (IGO)
- ▶ International Organisation (IO)
- ▶ Multilateral Development Bank (MDB)
- ▶ National Bank (NB)
- ▶ Non-governmental Organisation (NGO)
- ▶ NGO Network
- ▶ Research Institute (R&D)
- ▶ Regional Development Agency (RDA)
- ▶ Regional Development Bank (RDB)

- ▶ Sub-regional Development Bank (SRDB)
- ▶ United Nations organisation or programme (UN)

The variables within this category are not necessarily mutually exclusive, e.g. IFAD is a fund within the UN. With regard to the banks, the distinction between the variables is clear when it comes to national versus regional or sub-regional banks, but less obvious in the case of a multilateral development bank.

EU Programme, Foundation, Fund, NGO, NGO network, IA and IGO are self-explanatory and come from the name and description of the entity itself. The terms IO has been assigned to a general development entity, i.e. the OECD. The only example of an R&D entity could also be considered as academia.

### **2.2.2 Sustainability field**

The concept “sustainability field” stems from the terms of reference for the study (see under 1.3 above) and refers broadly to the 17 Sustainable Development Goals (SDGs) set up in 2015 by the United Nations General Assembly. While conserving the term, it became apparent in the course of the research that referring to the SDGs in a general way, was not always relevant for the purpose of the study. Therefore, this category has rather been conceived as an indicator of the fields of activities or sectors that may hold perspectives for funding the sound management of chemicals and waste. The study has observed the following sustainability fields:

- ▶ Agriculture
- ▶ Biodiversity
- ▶ Business
- ▶ Climate change
- ▶ Development
- ▶ Development finance
- ▶ Environment
- ▶ Health
- ▶ Industry
- ▶ Labour
- ▶ Marine protection
- ▶ Research and Development
- ▶ Trade
- ▶ Urban development

Clearly, biodiversity, climate change and marine protection are part and parcel of environment and typify with more detail certain entities that operate on the environmental level. The same applies to entities that deal with development in general and others that specifically focus on urban development or development finance. Business and industry may look similar to a certain

degree or strongly related, but are here distinguishing between a business association and an organisation specialised in industry development.

### **2.2.3 Target countries/regions**

This category indicates the geographic coverage by the entities. The study has observed the following target countries/regions:

- ▶ Africa
- ▶ Africa sub-Sahara
- ▶ Asia
- ▶ Central and Eastern Europe (CEE)
- ▶ Global
- ▶ Latin America and the Caribbean (LAC)
- ▶ Latin America
- ▶ Limited

Two of the standard UN regions have entities that limit their support to sub-areas. Asia should probably be understood to be Asia-Pacific. Limited coverage means that support is being provided to a reduced number of countries, based on different kinds of parameters.

### **2.2.4 Topics funded**

Under this category, originally named as “Topics/activities/measures funded”, the information provided by the entities through their websites encompasses many, if not all, aspects of the sound management of chemicals and waste. The descriptions often are rather detailed, but, in other instances, too general to clearly define the concrete areas of work.

In the face of this reality, a first general classification is presented below, trying to distil the main topics from the sometimes-numerous aspects that all have to do with that main activity, often complemented with more but different topics. This richness of information is being kept both in the individual form and in the Excel file, but need further work to turn this category into a more operational element of the search engine that this study is hinting at.

The study has observed the following broad topics:

- ▶ Capacity-building
- ▶ Chemical safety
- ▶ Chemicals management
- ▶ Circular economy
- ▶ Elimination of chemicals
- ▶ Environmental science
- ▶ Environmental pollution
- ▶ Green economy

- ▶ Hazardous chemicals
- ▶ Health
- ▶ Institutional strengthening
- ▶ Chemicals pollution
- ▶ Mining
- ▶ Ocean protection
- ▶ Pesticides
- ▶ Policies
- ▶ Clean production
- ▶ Sanitation
- ▶ Sustainable agriculture
- ▶ Training
- ▶ Waste management

The obvious overlaps in the list of topics above, taken directly from the websites of the entities, illustrate the variety in the ways of describing the activities. In several cases the variables are more specified, e.g. waste management in general versus solid waste or waste water, water and sanitation. Many entities combine entirely different topics with few indications about priorities.

### **2.2.5 Overall budget**

In this category the total budget of the entity is presented as documented on the website. Entities use different terms such as: budget, portfolio, programme and budget, general budget, total revenue. Often there is a qualifier like target budget, proposed budget, approved budget. In a few cases there are details about the composition of the overall budget, indicating what part is the regular budget and how that is complemented with special budgets or funds. The study has observed the following types of overall budget:

- ▶ One-year budget: single year in the range 2020 – 2023
- ▶ One-year budget for 2 or 3 consecutive years
- ▶ Two-year budget
- ▶ Three-year budget
- ▶ Four-year budget
- ▶ Five-year budget
- ▶ Six-year budget
- ▶ Seven-year budget

The amounts refer to varying periods of time (yearly, triennium, biennium) and currencies. They are not always up to date and are characterised in different ways such as revenue, investment, funds mobilised, amounts implemented, types of funding (grants or loans).

Sometimes the exact year is not mentioned, and where it is, the exact time span is not always clear (fiscal year or calendar year).

Information about the overall budget indicates the scope of the entity, as well as the relative importance of the budget for the sound management of chemicals and waste, when specified.

### **2.2.6 Specific budget**

If mentioned, the specific budgets, i.e. the amounts of funding allocated to or spent on the sound management of chemicals and waste, show the same variation of currencies, but a greater variation in the time period than the overall budget information. There are different ways in which the entities structure their sectoral funding. As such, support for the sound management of chemicals and waste may be included in a variation of sub-divisions of the entity. The study has observed the following components:

- ▶ Finance framework
- ▶ Fund
- ▶ Field programmes
- ▶ Programmes
- ▶ Climate and environmental protection
- ▶ Sustainable growth
- ▶ Environmental activities other than climate change mitigation and adaptation

From the interviews with representatives of several entities it became clear that, in many cases, the amounts allocated to activities in the realm of the sound management of chemicals and waste represent staff and operating costs of the entity, not a possible source for funding.

### **2.2.7 Type of funding**

The type of funding refers to the way in which the resources are transferred to the recipient countries. The study has observed the following types of funding:

- ▶ Grants
- ▶ Loans (concessional and commercial)
- ▶ Equity
- ▶ Guarantees
- ▶ Blended finance
- ▶ Variable
- ▶ Capacity-building
- ▶ Technical cooperation



- ▶ Training
- ▶ Chemical analysis

The list above is composed of financial and non-financial types of funding/support. While the former is usually expressed in specific amounts and currencies, the latter is rarely quantified. Research of financial (audited) reports may give an indication of the costs that the entity has incurred in general for these types of activities, but cannot be assigned to the sound management of chemicals and waste with any degree of certainty.

### **2.2.8 Maximum funding amount**

When available, the maximum amount of funding that an entity can provide for an individual activity is here presented. In some cases, entities have classified individual activities in cost categories according to their size. In addition, the different steps of the approval process of an individual activity, e.g. a project, may receive support for preparing the concept, the project itself and/or feasibility studies. The study has observed the following maximum funding amounts in relation to a few broad types of activities:

- ▶ Readiness and preparatory work: up to 1 million USD
- ▶ Enabling activities: 0.5 – 1 million USD
- ▶ Project preparation: 50,000 USD - 1.5 million USD
- ▶ Projects of different sizes: 50,000 USD – over 25 million USD
- ▶ Variable

### **2.2.9 Maximum funding period**

The maximum funding period is expressed in years or months and is sometimes related to the amount of funding provided, e.g. small grants versus large grants. The study has observed the following periods:

- ▶ 2 years
- ▶ 3 years
- ▶ 5 years
- ▶ 2 – 3 years
- ▶ 1 – 4 years
- ▶ 1 -15 years
- ▶ Variable

### **2.2.10 Eligibility criteria**

This category indicates which countries and which stakeholders within those countries can be funded. The description varies considerably, from broad developmental categories to geographic indications, or a limited, defined amount of countries. The study has observed the following eligibility criteria:

- ▶ Developing countries

- ▶ Developing countries and CEITs
- ▶ Developing Convention Party countries
- ▶ Developing member countries
- ▶ Regional member countries
- ▶ Shareholder countries
- ▶ Focal countries
- ▶ Developing countries through national, regional and international accredited entities
- ▶ Member countries and Muslim communities in non-member countries
- ▶ Member organisations
- ▶ Member States and Associate Members
- ▶ Member institutions

Details about the in-country stakeholders usually are little specified or not at all. From the few details available the study has observed the following stakeholders:

- ▶ Governments
- ▶ Private sector
- ▶ Provinces
- ▶ Municipalities
- ▶ NGOs

#### **2.2.11 Selection criteria**

The criteria for selecting activities that can be funded by a given entity vary considerably and may be of very different natures: some refer to geographic characteristics, social categories or track records for similar projects in the past. Equally important are accordance with priorities, either of the recipient country and/or those of the funding entity, criteria of excellence, impact and development potential. The study has observed the following broad categories of selection criteria:

- ▶ Geographic location
- ▶ Accordance with country priority
- ▶ Contributing to country development
- ▶ Viability (environmental, economic, financial, institutional, legal, social, technical)
- ▶ Accordance with entity's priorities and standards
- ▶ Impact potential
- ▶ Sustainability
- ▶ Scientific excellence

### 2.2.12 Application process

Different systems of application for funding exist with varying degree of detail and practicality. They range from contacting the entity through a link on the website to filling out an application form on-line. The study has observed the following procedures:

- ▶ Periodic application rounds
- ▶ Establish contact via website/specific officer
- ▶ Through accredited entity
- ▶ Project proposals on a rolling basis
- ▶ Through headquarters or country offices
- ▶ Variable

The elements of the list above are not mutually exclusive as they may refer to different steps of the application procedure, e.g. a first contact through the website or country office will only kick-off the full procedure. There is also a considerable variation in the degree of detail that these procedures request, which may even vary within the same entity, according to the categories of projects that have been established by the entity.

## 2.3 Analysis

In this section of the study, the general results with regard to the number of organisations registered and to the quality of the recorded information will be presented and discussed.

The general quantitative analysis presents the full cohort of entities deemed to be possible sources of funding, on the basis of the answers they provide with regard to the basic questions (see section 1.3 above).

The analysis of selected categories of information corresponds to the various overviews requested by the terms of reference, while also evaluating the quality of the information provided.

### 2.3.1 General quantitative analysis

The study has registered 47 entities out of a total of 62 entities reviewed, which gives a registration rate of 75.8 %. At this point in time, it is difficult to estimate which fraction of the total universe of possible funding sources this represents, but it speaks to reason that further research will increase the number of 47.

In the course of the final phase of the study, interviews with representatives of entities and consultations with colleagues, have provided a glimpse of what may still be out there. A quick look rapidly identifies another 60-70 entities, among which foundations, companies, business initiatives, multi-stakeholder partnerships, from such diverse fields as agriculture, electronics, transport, mining.<sup>3</sup>

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<sup>3</sup> M. Hemmati, personal communication

The information available on the websites of the entities, in some cases completed by representatives that were interviewed, varies considerably in quantity (see Figure 1) and quality.

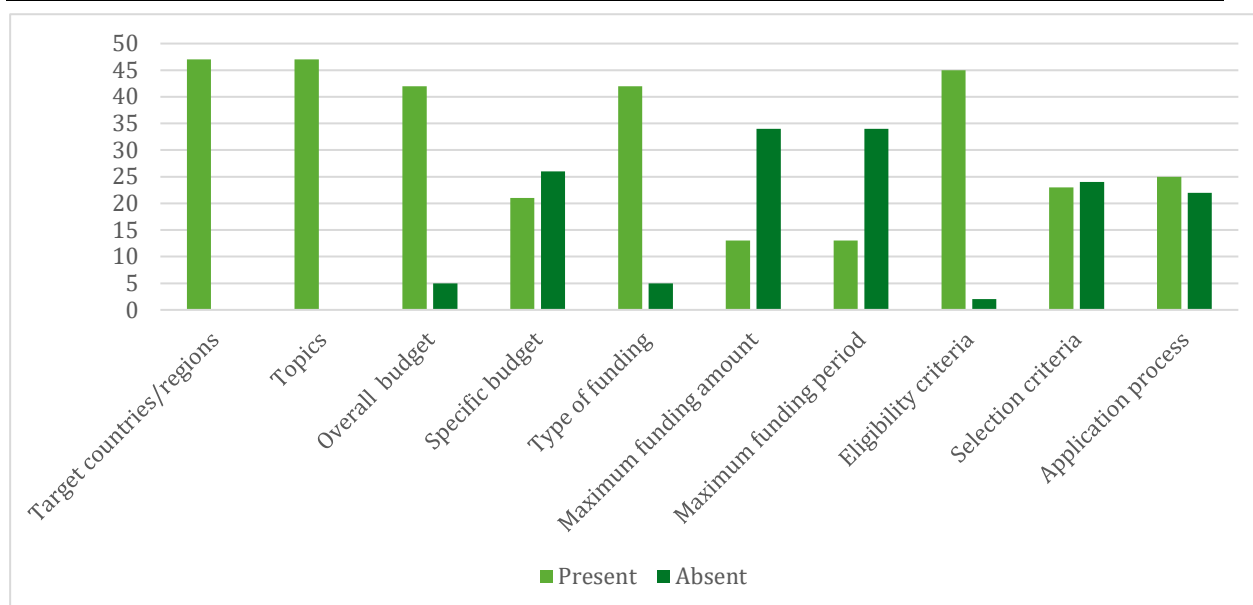
**Table 1: Analytical categories: presence/absence of information**

Category	Present	Absent
Name of organisation	47	0
Type of organisation	47	0
Sustainability field	47	0
Target countries/regions	47	0
Topics	47	0
Overall budget	42	5
Specific budget	20	27
Type of funding	42	5
Maximum funding amount	12	35
Maximum funding period	10	37
Eligibility criteria	45	2
Selection criteria	21	26
Application process	25	22

own illustration, J.Buys

In order to evaluate the quantity and quality of the information, the first three categories are not taken into consideration because the name of the entity is a given and both type and sustainability field have been assigned by the study. The remaining categories do allow to appreciate whether the information provided can help identify the entities that may serve as a possible source of funding (see Figure 3).

**Figure 3: Presence/Absence of information in relevant categories**



own illustration, J.Buys

All entities retained in the study indicate well the geographic coverage of their activities by means of lists or groups of countries and/or regions. Also the topics, i.e. the kind of activities they are involved with, are always mentioned.

When it comes to financial information, the overall budget has been identified in 89 % of the entities and the specific budget for activities related to the sound management of chemicals and waste in 44.6 % of the cases. However, it is not always clear if the latter represents funding available for specific activities, or if it is the budget line for staff and operating costs that deal with the issue at the level of headquarters or country offices. The type of funding provided has been registered in 89 % of the entities, with at least an indication of grant versus non-grant instruments. The maximum funding amount and the maximum funding period have both been identified in 27.6 % of the entities.

Almost 96 % of the entities describe which countries can apply for funding and indicate what the criteria for the selection of activities are in 49 % of the cases and how to apply for support in almost 53 %.

## 2.3.2 Analysis of selected categories

### 2.3.2.1 Sustainability field

Not surprisingly, the main field from which possible funding sources stem is development, at 44.5 % of the entities, when combining development in general, development finance and urban development. Among those three, development finance is by far the most important field with 32 % of the total number of entities belonging to it (see Table 2 and Figure 4).

Entities pertaining to the field of environment in general come in as second most represented with 23.4 % of the cases, but adding the fields of biodiversity, climate change and marine protection, the percentage increases to 32 %.

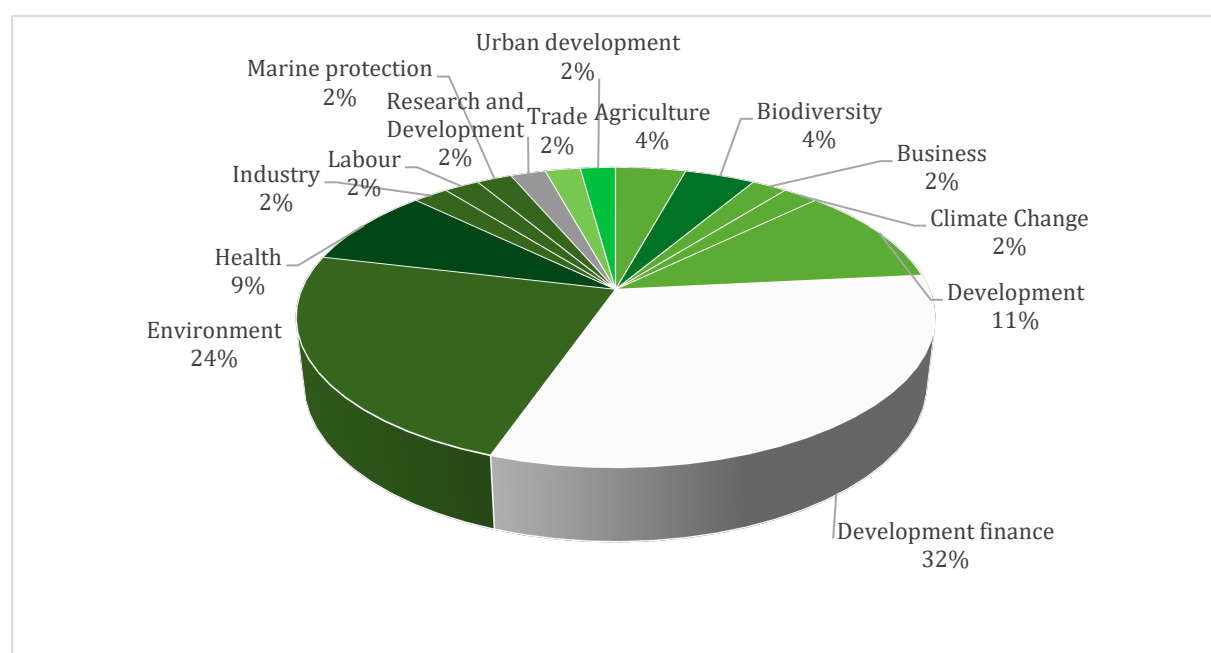
The sustainability field of health comes next with 8.5 %, followed by agriculture with 4 %, while all the others, i.e. business, industry, labour, trade and research and development are represented by only one case or 2 %.

**Table 2: Frequency of sustainability field types**

Sustainability field	Number
Agriculture	2
Biodiversity	2
Business	1
Climate Change	1
Development	5
Development finance	15
Environment	11
Health	4
Industry	1
Labour	1
Marine protection	1
Research and Development	1
Trade	1
Urban development	1
<b>Total</b>	<b>47</b>

own illustration, J.Buys

**Figure 4: Relative frequency of sustainability field types**



own illustration, J.Buys

### 2.3.2.2 Topics funded

In order to deal with the overlaps in the observed topics funded, the analysis has converted several of the variables listed above (see section 2.2.4) into broader categories (see Table 3 and Figure 5). For the purpose of the present study:

- ▶ waste includes the entities' indication of waste management in general, solid waste, waste water and elimination of waste pollution
- ▶ sustainable agriculture also includes pesticides
- ▶ water and sanitation comprise the separate mention of water and/or sanitation as well
- ▶ chemicals management means general management, the elimination of specific chemicals, plastics, micro-plastics and chemicals in products
- ▶ circular economy includes green economy
- ▶ ocean or marine protection is occasionally specified as ocean plastics
- ▶ health refers mainly to human health
- ▶ chemical safety

The above is an initial intent to present the overview of topics in a simpler way, while trying to still reflect the richness in variables. It must be taken as an arbitrary collapsing of elements that need further work. Many other topics mentioned by the entities have not been included because they could fit in different categories. As an example, this is a non-exhaustive list of such topics: e-waste, hazardous chemicals, mining, food safety, food security, etc.

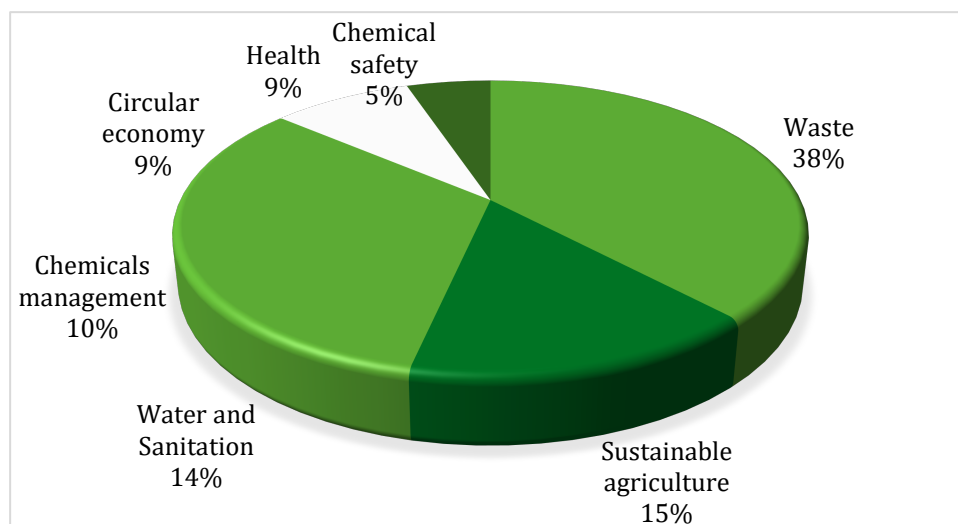
An additional challenge is the fact that there is hardly any detailed description of the topics that entities deal with. This may make the analysis to some degree inconsistent, as there is not enough information to guarantee that topic X in one entity covers the same activities as the topic with the same name in entity Y.

**Table 3: Frequency of topics funded**

Topics	Number
Waste	22
Sustainable agriculture	9
Water and Sanitation	8
Chemicals management	6
Circular economy	5
Ocean plastics	5
Health	5
Chemical safety	3

own illustration, J.Buys

**Figure 5: Relative frequency of topics funded**



own illustration, J.Buys

### 2.3.2.3 Types of entities

The majority of entities registered by the study belong to the UN-system with 36 % of the total amount. Although the World Bank is often considered separately, it is technically a Specialised Agency of the UN, in the same way as FAO, ILO, UNIDO and others. Therefore, the study has considered it as UN (see Table 4 and Figure 6).

The second most recurrent source of possible funding are the funds, with 21 %. Here the best-known funds like the Multilateral Fund of the Montreal Protocol, the UNEP Special Programme, the Minamata Specific Programme, the Global Environment Facility, the Green Climate Fund and others can be found, next to lesser known but promising funds in the UN and the Arab world.

In the group of banks, the four Regional Development Banks, representing 8.5 %, come first, followed by the Sub-Regional Development Banks and the National Banks, each at 4.2 %, and one Multilateral Bank.

Individual NGOs stand for 6.4 % and NGO Networks for 4.2 %. Taken together, the NGOs account for 10.6 % of the total amount of entities. All other entities have only one representative in this study.

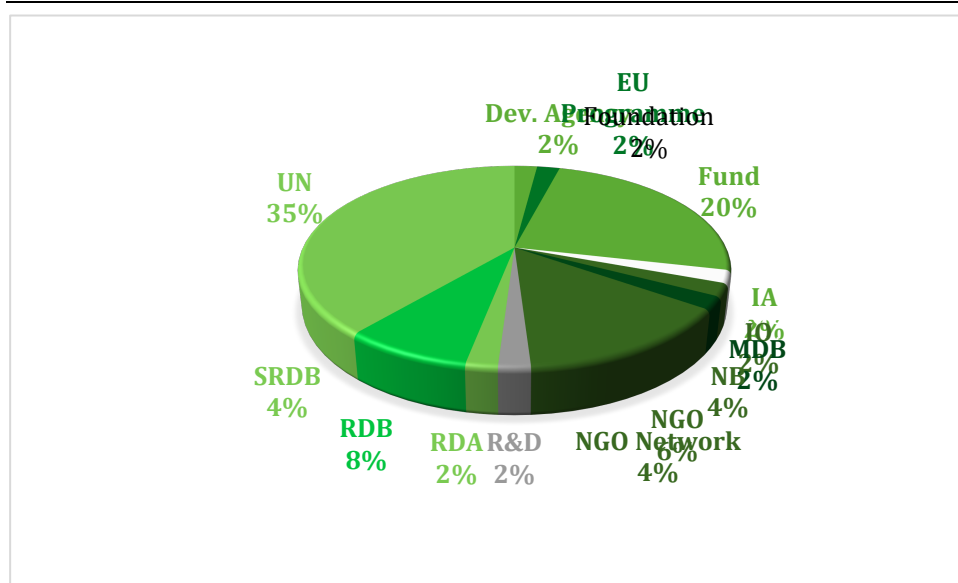


**Table 4: Frequency of entity types**

Type	Number
Development Agency (Dev. Agency)	1
EU Programme	1
Foundation	1
Fund	10
International Association (IA)	1
Inter-Governmental Organisation (IGO)	1
International Organisation (IO)	1
Multilateral Development Bank (MDB)	1
National Bank (NB)	2
Non-Governmental Organisation (NGO)	3
NGO Network	2
Research and Development (R&D)	1
Regional Development Agency (RDA)	1
Regional Development Bank (RDB)	4
Sub-Regional Development Bank (SRDB)	2
United Nations (UN)	17
<b>Total</b>	<b>47</b>

own illustration, J.Buys

**Figure 6: Relative frequency of entity types**



own illustration, J.Buys

#### 2.3.2.4 Target countries and regions

The vast majority of entities that may be sources of funding are characterised by having global coverage, with 70 % of the registered sites.

Regarding the standard UN-regions, Africa may be served by 8.5 % of the entities, one of which is limited to the sub-Saharan part of the continent. The same situation can be observed in the Latin America and the Caribbean region with a 6.4 % share of the total amount of entities,

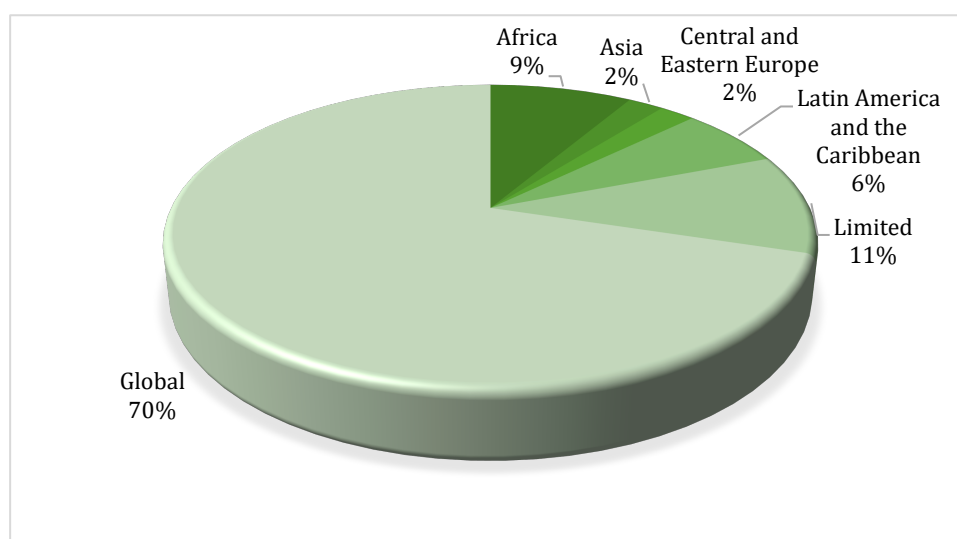
among which one is limited to the Latin America part of the region. Asia and Central and Eastern Europe have only one representative in the study (see Table 5 and Figure 7).

**Table 5: Frequency of target countries/regions**

Target Countries/Regions	Quantity
Africa	4
Asia	1
Central and Eastern Europe	1
Latin America and the Caribbean	2
Latin America	1
Limited	5
Global	33
<b>Total</b>	<b>47</b>

own illustration, J.Buys

**Figure 7: Relative frequency of target countries/regions**



#### 2.3.2.5 Stakeholders

When it comes to the identification of the in-country stakeholder that can access possible funding, 76 % of the entities limit their indication to the country level. The rest of the registered entities provide a variable combination of national components in 19 % of the cases or no information in 4 % (see Table 6 and Figure 8).

In that variation, the public sector is mentioned first in five entities, followed by other levels of national government, mainly provinces and municipalities, in three cases, NGOs in three entities and the private sector in two. One entity explicitly mentions indigenous peoples.

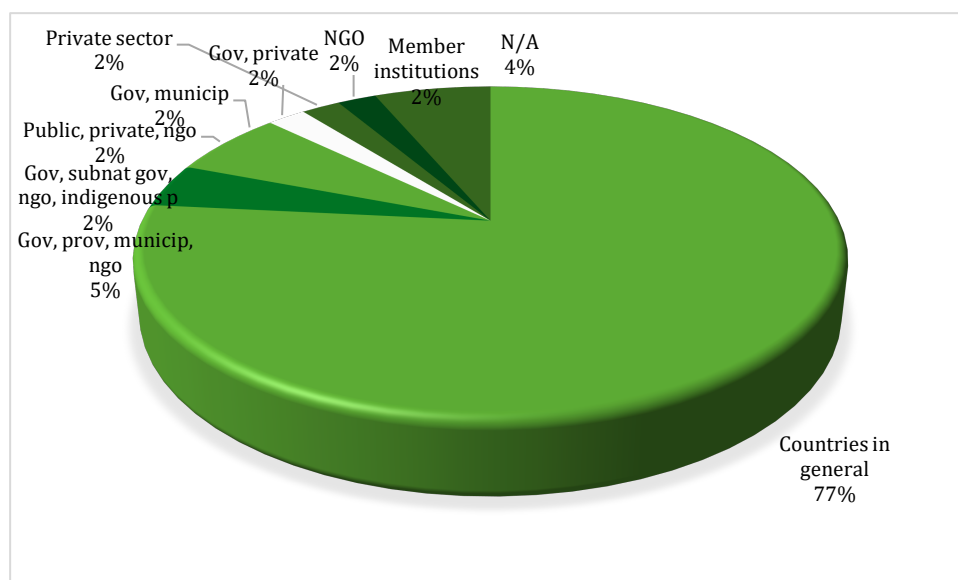
There are three examples of apparent exclusivity not associated with official instances, in the entities that would only serve NGOs, the private sector or member institutions.

**Table 6: Frequency of stakeholders indicated**

Stakeholders	Number
Countries in general	36
Gov, prov, municip, ngo	2
Gov, subnat gov, ngo, indigenous p	1
Public, private, ngo	1
Gov, municip	1
Gov, private	1
Private sector	1
NGO	1
Member institutions	1
N/A	2
<b>Total</b>	<b>47</b>

own illustration, J.Buys

**Figure 8: Relative frequency of stakeholders indicated**



own illustration, J.Buys

### 2.3.2.6 Types of funding

The way in which the entities provide funding may be financial and non-financial, but the two are by no means mutually exclusive, although details about it are often scarce (see Table 7 and Figure 9).

In the majority of entities, the financial support is provided through grants, at 36 %, followed by loans at 17 %. The mixed group of grants and loan, in 8.5 % of the cases, seems to indicate that the entities provide more grants than loans. In the same logic, the group of loans and grants, at 10.5 %, seems to flag the reverse, but there is no firm evidence to guarantee that that is true.

Grants and blended finance occur in 4 % of the entities, while there is one case where funding is described as variable.

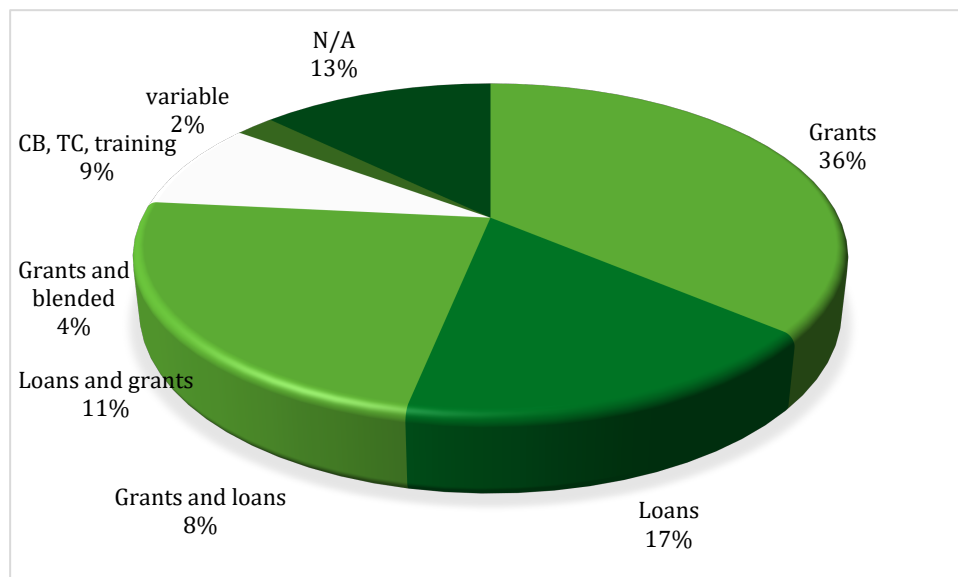
The non-financial support, representing 8.5 %, comprises capacity-building, technical assistance, technical cooperation and training in equal proportions, but a precise definition of each is not given. The non-financial funding is probably considerably more important, e.g. as part of investment projects, but is seldom mentioned.

**Table 7: Frequency of types of funding**

Types of funding	Number
Grants	17
Loans	8
Grants and loans	4
Loans and grants	5
Grants and blended	2
CB, TC, training	4
variable	1
N/A	6
<b>Total</b>	<b>47</b>

own illustration, J.Buys

**Figure 9: Relative frequency of types of funding**



own illustration, J.Buys

### 3 Discussion and conclusions

At the outset of these conclusions it must be remembered that the whole study is mainly a desk review of publicly available information on the websites of the registered entities. In a few occasions that information has been validated by representatives of the entity, but this was in no way a systematic procedure. Also, the information gathered and reproduced by the study stays as closely as possible to what is documented by the entities on their websites, in order to avoid incorrect interpretations.

#### 3.1 Quantitative information of the study

##### 3.1.1 Entities: sustainability fields and types

The 47 entities identified by the present study are just a portion of the universe of possible sources for the sound management of chemicals and waste. To define the scope of that universe in order to estimate how well this sample represents the totality of possible sources, would need further research. However, there is no guarantee that doing so will clarify the relationship of the sample versus the universe of possible funding sources. That said, further research will certainly increase the number of entities, thus broadening the options for developing countries to access funding sources. This fully coincides with the primary objective of the present study and, therefore, may be worth pursuing.

Based on the findings of the study, the best way for identifying additional entities would be to concentrate further research on entities in the realm of development/development finance and environment with regard to their sustainability field category, in combination with the most relevant entity types which are the UN, funds and banks. However, due to the characteristics of the study sample, certain under-represented types such as foundations, NGOs and research institutions/academia, may also add relevant information.

##### Conclusion 1

With regard to the general (sustainability) fields and types of entities, the study shows that the majority of registered entities come from the development and environment realms, at 45.5 % and 32 % respectively and are UN-entities in 36 % of the cases, funds in 21 % and banks in 19 %.

##### 3.1.2 Basic questions

The general quantitative analysis of the various categories of the study, i.e. of the answers to the original questions of the study, has shown varying degrees of information among and within them. At this point in time, a quantitative evaluation of the validity of that information for the purpose of the study is in order. Starting from the basic questions that interested countries would like to see answered, the study presents a fairly complete picture:

- For the question what can be funded, all entities provide at least a general indication of the topics (measures/activities/projects) they can support, sometimes complemented with varying degrees of detail
- When it comes to where the funding can go, all entities clearly indicate the general geographical location (target countries and regions)

- For the question who can be funded (eligibility criteria), all but two entities indicate the individual recipients of the support, in some cases with in-country specification
- As for the way in which funding is provided, 89% of the entities present at least general information about financial and non-financial support

### Conclusion 2

When developing countries and countries with economies in transition are in search of possible sources of funding for the sound management of chemicals and waste, the overview presented by the study provides a fair picture of which entities may support them. They can identify which topics may be funded, in which countries and regions, who is eligible for the funding and in which way the funding is provided.

### 3.1.3 Financial information

In contrast with the above, when it comes to specific budgets for the sound management of chemicals and waste, the picture is much less complete with 44.6 % of the entities providing information. However, it is not always clear if this indicates funding available for specific activities, or if it is the budget line for staff and operating costs that deal with the issue at the level of headquarters or country offices.

Detailed information about the maximum amount of funding and the maximum period of funding is present in a little over a quarter of the entities.

The exceptions are the dedicated funds which usually are very specific about the amounts available over a certain period of time. Access to those entities is readily available and normally very well known.

### Conclusion 3

Specific budgets provided and available for the sound management of chemicals and waste have not been clearly identified by the study, except in the cases of dedicated funds. The reason is that mostly there is only a general indication about the importance of the sound management of chemicals and waste for the entity.

### 3.1.4 Selection criteria and application procedure

A similar tendency appears in the categories that indicate the selection criteria for activities and the conditions for application, with both categories having approximately a 50-50 presence/absence occurrence.

Selection criteria for projects and application procedures may be very specific for a given entity and will always be clarified prior to or during the process of project preparation. As such, these categories don't seem to be of primary importance when searching for possible sources of funding.

### Conclusion 4

While more detailed information about specific budgets for the sound management of chemicals and waste, the maximum amount and time of funding, as well as regarding the selection criteria and application procedure would be welcome and helpful, it doesn't seem to be absolutely

necessary for initially identifying entities relevant for countries in search of support for their needs.

## 3.2 Quality of the information

### 3.2.1 General information

While the information that the entities provide on their websites follows a logical structure, in order to explain to the general public their mandate, areas of work, overall strategies, and activities, the degree of detail varies considerably. The description of the general topics and specific activities that can be funded, in particular, is sometimes so general that either everything or nothing could relate to chemicals and waste management.

The terminology used for describing the above fits the provision of general information well and is sometimes complemented by more details in the different sections of the website. A full comparison of this terminology was not the object of the study but may bring further clarification about what can be funded and how, in the future.

#### Conclusion 5

The information provided by entities on their websites mainly serves the purpose of showing to the outside world their mandate and work. Most of the times websites are not conceived as a tool for countries to access resources of the organisation.

### 3.2.2 Types of funding

The types of funding available basically fall into two general categories: financial (grants and loans) and non-financial (capacity-building, technical assistance, training), but combinations within and between both also occur.

When both grants and loans are mentioned it is not always clear whether there is a priority for one or the other. However, it can be assumed that banks would preferably use loans, while other entities would rather use grants. When loans are the main type of funding, they can be of different types (concessional, commercial) and usually exist next to other financial instruments (equity, guarantees). In a few cases entities have indicated the practice of providing grants for the preparation of projects that would then be funded through loans.

#### Conclusion 6

The types of funding that the entity can provide are usually clearly indicated, with grants at 36 % and loans at 17 %, but can also vary a lot in the details, especially for the non-grant funding.

### 3.2.3 Target countries and regions

In terms of target countries and regions, entities give clear indications about where their support can go. Financial resources are provided on global, regional or sub-regional scale, with global coverage being in the majority.

In a few cases support is available for a limited, well-defined group of recipient countries. These limited groups are formed on the basis of varying criteria, mainly of geographical nature, next to economic and business affiliation.

#### Conclusion 7

The description of the geographical destination to which entities' support can go is usually clearly indicated, with 70 % of them indicating global coverage.

### 3.2.4 Eligibility criteria

Recipient countries are categorised, according to different criteria, as developing countries, countries with economies in transition, emerging countries, low-income countries, middle-income countries, etc. This is due to the fact that there is no universally adopted definition of developing countries and therefore different criteria are used, mainly economic.

The level of detail with regard to the in-country stakeholders that can access the possible sources of funding is rather low. At the national level recipients can be the government, sub-governments, governmental institutions, private sector, NGOs, academia, etc., or unspecified.

#### Conclusion 8

While it is clear which countries can access the funding, there is no uniform way of designating those countries. The detail of the in-country recipients is indicated in 19 % of the cases and is often little specified.

### 3.2.5 Selection criteria and application procedures

The criteria for selecting activities vary considerably and may be of very different natures: some refer to geographic characteristics, social categories or track records for similar projects in the past. Equally important are accordance with priorities, either of the recipient country and/or those of the funding entity, criteria of excellence, impact and development potential.

The description of the application procedure varies from non-existent, the email address of a contact person, referral to the country office of the entity, referral to implementing agencies, to the hyperlink that opens the application form. In some cases, a considerable number of documents needs to be consulted, in particular when there are different types of funding.

#### Conclusion 9

The selection criteria for projects and the application procedures for accessing the funding are entity specific and vary considerably.

### 3.2.6 Terminology

On a general note, a considerable variation in the terminology has been noted for many aspects of the study. This is the case for the description of general areas of work and specific activities of the entities, of their associated general or specific budget lines, of the non-grant financial instruments, of the recipient countries and their in-country entities, and of the application procedure.

#### Conclusion 10

As a result of the variation in the terminology, the identification of the key words used in the study may be subject to change, correction or fine-tuning in the future.



## 4 General conclusion and recommendations

### 4.1 General conclusion

The aim of the study being to identify and describe the entities that may provide financial support to developing countries and countries with economies in transition in order to address their challenges with the sound management of chemicals and waste, the general conclusion can be that the study presents an overview that allows those countries to identify which entities may support them. It does so, based on the information that the websites of those entities contain with regard to which topics may be funded, in which countries and regions, who is eligible for the funding and in which way the funding is provided.

### 4.2 Final considerations

The analysis, discussion and conclusions of the study suggest to reflect about the suitability of the methodology, the sufficiency / fit-for-purpose of the outcome and the quality of the results.

The 47 entities identified by the present study are just a portion of an unknown universe of possible sources for the sound management of chemicals and waste. Based on a number of under-represented types of entities, further research will certainly increase the number of entities, thus broadening the options for developing countries to access funding sources. This fully coincides with the primary objective of the present study and, therefore, may be worth pursuing.

A number of categories of information of the study, such as those related to more financial details about the funding provided and available, the selection criteria for fundable activities and the application procedures for accessing the funding, are presently less well documented and could benefit from further research.

Across many categories, if not all, the lists of variables within them don't seem to be exhaustive, mutually exclusive, nor well defined, and the terminology varies considerably. This is mainly due to the fact that the study has followed the original language of the websites as closely as possible. Additional comparison of variables and terminology may provide clarification and increase the understanding and the comparability of the categories in general and of those who are less well documented in particular.

### 4.3 Recommendations

In light of the analysis, discussion, conclusions and additional considerations above, it would be recommendable to consider a follow-up phase to the present study. It speaks to reason to maintain the primary objective of the study also for the second phase, i.e. to present, now to expand, the overview of possible funding sources for the sound management of chemicals and waste. At the same time, it would be interesting to turn the overview into a practical tool for developing countries and countries with economies in transition to identify and access those possible sources. Therefore, the follow-up of the present study is suggested to include:

#### Recommendation 1

Conduct a second phase of the study with the aim to:

- ▶ expand the number of possible funding sources;
- ▶ review the methodology, in particular the relevance of the categories used so far;
- ▶ improve the quality of information of the funding sources already in the study, but also of the new ones;
- ▶ address any other issue that the present study may raise.

### **Recommendation 2**

Conduct a feasibility study on how the overview could be made operational and kept updated for practical use, by defining its functions and exploring options for formats that can convert the overview in a permanent tool.

## 5 List of references

SAICM/IP.4/INF/3 (2020) Submission from UNEP: Assessment on linkages with other clusters related to chemicals and waste management and options to coordinate and cooperate on areas of common interest.

UNITAR (2001): Fact Sheets on Bilateral Assistance for Chemicals Management.

[https://cwm.unitar.org/publications/publications/cw/inp/bilateral\\_aid\\_fact\\_sheets.pdf](https://cwm.unitar.org/publications/publications/cw/inp/bilateral_aid_fact_sheets.pdf)

## A Appendix: Annotated blank form

<b>Acronym of the organisation</b>
Full name of the organisation
Eventual affiliation (GEF agency, IOMC agency, etc.)

### 1) Description

General description of the organization: mandate, objectives, etc.

### 2) Topics/activities/ measures funded

The themes related to chemicals and waste that the organization is dealing with: sustainable management, green industry, circular economy, capacity-building, technical assistance, etc.

### 3) Overall budget and specifics

The most important information here relates to budgets for the topics above. However, if these budget lines are elements of the core budget and mainly refer to staff and general expenses, it would be important to also indicate if there are funds that developing countries can access for operations in the field. Points 4 to 9 and especially 11 apply to those funds specifically.

### 4) Types of funding

Indicate if mainly loans or grants

### 5) Maximum funding amount for individual activities

Individual activities here mean those related to chemicals and waste as cited under point Funding amount should also indicate whether it is in the form of grants, loans, etc.

### 6) Maximum funding period

Indication of the maximum duration of support activities, in years, if any.

### 7) Who can be funded

Eligibility criteria for countries, such as developing countries in general, or limited to regional or other groups of countries, and who can be funded within the country, such as government entities, private sector, NGOs, etc.

### 8) Selection criteria

The conditions for a proposal to be selected, such as conformity with topics/priorities of the organization, with national plans and priorities, the general and specific information requested, etc.

#### 9) Application process

Steps to undertake for presenting a proposal, and the conditions for the application, timing (rolling basis, call for proposals, other), etc.

#### 10) Required information

Instructions for information or presentation of the information that is absolutely necessary, beyond what is required in points 7) and 8) above.

#### 11) References

Links to the organization's policies, thematic priorities, application canals, etc., where further explanation about the above points can be obtained.

#### 12) Direct link to application

Ideally, this point should contain the direct link to the application form of the organization, which developing countries, when they have established the compatibility of the organization's programmes with their needs, could click on to start applying for support. As an example, here is the link for applying to the UNEP Special Programme on Institutional Strengthening for the Chemicals Cluster: [Project application form](#)

## **B Appendix: Registered entities: individual forms**

## **C Appendix: registered entities: Excel file**