



PROJECT DOCUMENT - Viet Nam

Project Title: **Scaling Up a Socialised Model of Domestic Waste and Plastic Management**

Project Number: **Award ID: 00121996/Project ID: 00117761**

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Brief Description

Waste management has become a major concern in Viet Nam, as waste generation is increasing at an unprecedented pace and is projected to triple over the next 15 years. Currently, the country does not have the capacity to effectively handle this waste: 70% is disposed in landfills where the implementation of environmental standards is limited; while the rest is burned or discarded in nature, with much of it eventually ending up into the sea. The complex structure of solid waste management at the policy and governance level, together with the lack of reliable data and poor regional coordination worsen the situation. Citizens and businesses are not generally aware of the negative impacts improper waste management causes on human health, in addition to soil, air and water pollution; which calls for increased investment in education. Similarly, Viet Nam has become a major producer and consumer of plastic, with immediate negative consequences in terms of marine pollution, population wellbeing, and on the tourism and fishery industries. Finally, the circular economy approach is relatively unknown, while the linear economy (take, make, waste) is widely employed by business in Viet Nam.

The project objective is to develop integrated, green and fair models to improve domestic waste and plastic management, in five Vietnamese cities. This objective will be met through the achievement of five key outcomes: (1) Five cities have developed effective small-scale models of domestic waste management; (2) Enhanced regulatory framework and capacity of the local authorities and stakeholders through the promotion of the circular economy approach; (3) Increased awareness and participation of all stakeholders in reducing single-use plastic and in improving waste management; (4) Increased income and safety of the waste picker groups; (5) Innovation and information platforms created and promoted.

The project is aligned with the One Strategic Plan 2017-2021 between the Government of the Socialist Republic of Vietnam and the United Nations in Viet Nam and responds to the ASEAN and Vietnamese ambition of drastically reducing marine plastic pollution. It will contribute to the achievement of the Sustainable Development Goals, in particular to SDG3 'Good Health and wellbeing'; SDG 6 'Clean Water and sanitation', SDG 9 'Industry, innovation and infrastructure'; SDG 12 'Responsible consumption and production'; and SDG 14 'Life below water'. It will also contribute to the efforts currently undertaken in Viet Nam to introduce the Circular Economy approach.


Project locations:

Ha Long, Binh Duong, Binh Thuan, and Quy Nhon, and the final city will be selected during the inception phase.

<p>ONE UNITED NATIONS STRATEGIC PLAN: Outcome 2.2 Sustainable management of natural resources and the environment</p> <p>CPD Indicative Outputs: 1.2 and 2.3</p> <p>Project Management Modality: Direct Implementation Modality (DIM)</p> <p>Gender Marker: Gen2</p>
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Total resources required:	\$995,000	
Total resources allocated:	UNDP TRAC:	
	Donor:	\$995,000
	Government:	
Unfunded:		

Agreed by (signatures):

UNDP

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Date: 10 December 2019

I. DEVELOPMENT CHALLENGE

Over the past decades, Viet Nam's socio-economic model has achieved a tremendous reduction in poverty reduction and a steady increase in household incomes, with GDP per capita rising from \$545 in 2004 to \$2,100 in 2015. However, the country's rapid economic growth also put pressure on Viet Nam's natural resources and poses unprecedented challenges, particularly for urban and industrial areas, who are already experiencing health and environmental impacts. Among them, the issue of waste management has become a growing problem, particularly challenging because of its multi-faceted and rapidly changing nature, in addition to difficulties in inter-ministerial coordination.

Between 2004 and 2015, average rates of municipal waste increased by 102%: from 15.6 million tons to 31.2 million tons annually; of which 70% of is disposed in landfills, while the rest is burned or illegally dumped. This rapid increase is primarily due to steady economic growth, rapid and uncontrolled rates of urbanisation and expansion in household consumption. In urban areas, over 85 % of waste is collected, but this number fell to 40-45% in rural Viet Nam (IPSONRE, 2018). There are a total of 98 open dumping sites and landfills in Viet Nam, of which 16 sites have been categorised as using environmentally sound practices, while the rest do not function in a way that is environmentally sound (Truong, 2018).

According to the Law on Environmental Protection, the Ministry of Natural Resources and Environment (MoNRE) is the primary ministry responsible for implementing, monitoring and assessing practices in the waste management sector. Until recently, other ministries were also involved and tasked with overseeing specific types of waste, these are: the Ministry of Health (MoH), the Ministry of Construction (MoC), the Ministry of Agriculture and Rural Development (MARD), the Ministry of Transport (MoT), and the Ministry of Industry and Trade (MoIT). However, the Government recently assigned MONRE to be the focal point for state management on solid waste and the President of the Provincial People's Committee to be fully responsible for waste and waste treatment in the area (Resolution No. 09/NQ-CP, Feb. 2019). The assignment of one Ministry as focal point should ease the coordination and implementation of programmes. Following this Resolution, MONRE has been agreed to initiate the revision of the Law on Environmental Protection 2014, and will submit to the National Assembly for approval in 2020.

In 2009, Viet Nam adopted the National Policy on Integrated Solid Waste Management (Decision No. 2149/2009/QĐ-TTg), which was further revised by the decision 491/QĐ-TTg in May 2018. The policies set ambitious objectives of: achieving a collection rate of 80 % in rural areas by 2025; 100 % 'eco-friendly' plastic bags shall be used in supermarkets; 100% of the total amount of hazardous waste generated from production, business, service, health care is collected by 2025. It also aims to mutualise solid waste systems across communes in order to reduce costs and improve efficiency.

Plastic waste, in particular, makes up between 10 and 12 % of the total amount of solid waste generated in Viet Nam and the country produces approximately 1.8 million tons of plastic waste, every year. Four ASEAN countries (Thailand, Philippines, Viet Nam and Indonesia) are together responsible for 60% of the plastic dumped into the sea. ASEAN nations have adopted the 'Bangkok Declaration on Combating Marine Debris in the ASEAN Region', in June 2019, in an effort to eliminate marine plastic debris in the region. Prime Minister Nguyen Xuan Phuc called for greater international cooperation to respond to, and prevent plastic waste from, getting into our oceans at the G7 Summit in June 2018, held in Canada.

The plastic industry in Viet Nam has grown in recent years at a rate exceeding 16% per annum ; however, the current national production of plastic resins only meets 44% of the national demand, which is ironic given the fact that national plastic consumption is booming hereby generating high amounts of plastic waste. Due to the lack of effective waste management systems, plastic waste ends up in landfills or incinerated; as a result, the Vietnamese recycling industry has to import waste from foreign countries. By 2020 the demand of plastic raw material in Vietnam will be of 5 million tons (VCBS, 2016). There are more than 2,000 companies operating in the plastic industry, of which over 84% are concentrated in the South where intense competition occurs, while the rest is located in the North. Most of them (around 90%) are small enterprises. The connection between the Vietnamese plastic industry and the fragmented network of waste and plastic collectors is

missing, at the expense of a major economic and social opportunity. The effects on Viet Nam's plastic industry have yet to be fully understood following the Chinese ban imports of plastic waste¹. It seems that although its officially severely restricted since July 2018– small ports are increasingly accepting plastic waste, seizing the opportunity left from major routes.

Despite various policy frameworks, numerous challenges remain, in Viet Nam. Waste production is predicted to triple by 2025; yet local Governments lack technical knowledge, capacities and resources to develop solid waste management systems that are efficient and flexible enough to accommodate this rapid increase. Besides, the current institutional framework does not keep up with the rapid consumption and use of plastics. Additional challenges include low coverage, improper waste storage, few incentives for composting, and lack of proper disposal practices. Furthermore, the number of landfill infrastructures is limited, their quality is low and the lack of enforcement of environmental norms for industries means that leakage of pollutants is common. Similarly, Vietnamese enterprises lack the knowledge, so far, to alter their behaviours, transform their process and manage the situation at their respective levels in the plastics life cycle, without hindering economic growth, job creation and overall access to modern consumer goods. Finally, little educational programmes are aiming at raising awareness on these issues.

Unsustainable waste management has severe consequences for the Vietnamese population who live in urban areas, for those who are reliant on ecosystems as their primary source of livelihoods, and for the tourism and fisheries industry. The decomposition of organic waste in landfills contributes to methane generation, a greenhouse gas (GHG) with a global warming potential 28 times higher than CO₂. Hazardous components of waste contaminate soils and groundwater, rendering it unsustainable for drinking and harming aquatic life. Moreover, CO₂ emissions from the waste sector are projected to triple by 2030 to reach over 48 MtCO₂ (INDC, 2015). In addition to environmental impacts, waste mismanagement carries large hygiene and health risks. Illegal dumps and openly burned waste lead to numerous adverse health effects, such as: respiratory infections, catarrh, cough and chest pains, diarrhoea, intestinal worms, typhoid fever (Addo, 2015). Further, dumpsites are the ideal location for insects breeding, such as flies and mosquitos, which also increase the risk of diseases, in addition to contaminating food.

Workers in the informal waste sector are extremely poor, they live in the outskirts of society and are very vulnerable. More than 60% of them are women, who earn less than men working in the waste sector, and 9% of waste pickers are children. These groups tend to be socially marginalised. They frequently live on or near garbage disposal sites and thus are exposed to environmental and safety hazards. Although they are organised entrepreneurs, possess skills and crafts, their limited inclusion in formal municipalities waste systems and into the overall circular economy prevent them from gaining social protection from the state.

Marine plastics pose high risks for aquatic life and human health, as they further disintegrate into small particles. The coastal population and the fishing industry are directly impacted by the garbage patch accumulating near their livelihoods. The accumulation of improperly discarded plastic clogs drains and waterways, eventually causing flooding and nourishing habitats for mosquitos- vectors of disease. In Viet Nam, the combined effects of the loss of wildlife and marine litter covering beaches undermine the tourism industry, as they attract fewer visitors. Plastic pollution has an immediate impact on the local population's sense of wellbeing, as well as on their activities, such as tourism, fishing or swimming. In addition, litter and plastic waste are hazardous to grazing animals. 79% of plastic is not recycled after its initial use and ends up in landfills and improperly disposed of in the natural environment, for instance in the sea; generating an estimated \$500-2500 billion loss in the value of marine ecosystem services (Beaumont, 2019).

Solid waste management will be one of the major development challenges for decades to come, with an especially heavy burden for emerging and fast-growing economies such as Viet Nam. Enhancing waste management systems is crucial for Viet Nam' sustainable development, as this essential utility service closely relates to issues such as public health, private sector development, environmental protection, and gender equality. Ensuring the adequate and rigorous implementation and enforcement of waste management is

¹ Between January and November 2018, Viet Nam was the third larger importer of plastic waste after Malaysia and Thailand (Greenpeace, 2019).

essential for both Vietnamese society and the economy. In fact, the costs of inaction and/or uncontrolled waste far outweigh the costs of managing waste properly, if one accounts for the negative externalities associated with illegal dumping. Correctly disposing of, storing and recycling waste considerably reduces the risks and the vectors of diseases. Collecting reliable data is another crucial component to effective systems of solid waste management, as a considerable part of waste collection is undertaken by informal waste traders and these groups are not subject of any official reporting.

80% of plastic found in the ocean originates from land. The handling of waste—including collecting, treating, disposing, recycling, is crucial to providing a cost-effective waste management system that can reduce negative effects on public health, minimize environmental risks and combat marine pollution.

II. STRATEGY

The project objective is to **develop integrated models to improve domestic waste and plastic management, in five Vietnamese cities.**

Waste collection is the single most important step to prevent plastic from entering the oceans. As such, improving waste collection systems is critical in reducing marine plastic pollution. The proposed project aims to utilise an integrated approach to contribute to poverty reduction and low-carbon, resilient and environmentally sustainable development of Viet Nam, as prioritised under Outcome 1 and Outcome 2 of the Country Programme Document (CPD), for the period 2017-2021 (Outcome 1.1 Poverty and vulnerability reduction Outcome 2.2 Sustainable Management of natural resources and the environment of the OSP)

For decades, UNDP has been instrumental in shaping past and current environmental policies in Viet Nam, with the provision of technical assistance. However, this project proposes to take a step back from top-down policy assistance, to move towards an approach geared around experimentation, innovation and scaling-up of locally-sourced ideas. This project will implement waste and plastic small-scale projects in five sites in parallel. As such, a big emphasis of this project will be placed on the observation of progress and results, the communication between the sites to collectively learn and on the dissemination of lessons learned at national level.

The project team will work in close collaboration with other units and the Accelerator Lab - UNDP's latest vehicle for accelerating social and environmental impact. The Accelerator Lab will look at the portfolio of experiments, identify what works and what doesn't, periodically evaluate and suggest adaptation interventions accordingly. In comparison to traditional programming, this project seeks to be more agile in experimenting and adapting in order to keep up with the pace of change of the challenge. The Accelerator Lab will also support the development of local innovations through training, design thinking and related capacity building for the local NGOs/CSOs, start-ups and government; absorb what will be done under Components 1 and 2 and contribute with innovative ways of thinking about the problems.

The rationale for the project is twofold: (i) the exponential increase of waste generated in Viet Nam and its recent ranking as one of the largest producer/contributors of marine plastic; (ii) the significant success of the UNDP/GEF Small Grant Programme (SGP)- Hoi An project. The theory of change for this project is that enhanced community capacity for waste management, when supported by an enabling environment and the transition of local business towards a circular economy approach, will contribute to delivering sustainable and transformative solutions. The hypothesis is underpinned by the following design features: (i) strengthening and empowering local communities to take ownership of the locally-sourced solutions; (ii) enhancing complementarity by focusing on five sites simultaneously and bringing a cross-unit UNDP team together; (iii) engaging with the government in anticipating changes and in supporting regulations that are conducive to the sustainability of the solutions; (iv) adopting an innovation-focus approach, with mechanisms in place to disseminate learnings at city level and among sites

The project will take place in five sites:

The project selected five sites in Viet Nam based on the following criteria. These locations represent a breadth of complex challenges, which allows for different experimentations.

- Pressing need to address increasing production/consumption of waste and plastic;
- Expressed interest from the local authorities and partners to work on these issues;
- Presence of active NGOs/ CSOs to implement Component 1;

Besides, the sites have diverse sectors (tourism, construction, fisheries etc) to allow Component 2 to introduce the Circular Economy approach to a variety of business.

The project will be implemented in Ha Long, Binh Duong, Binh Thuan, and Quy Nhon, and the final city will be selected during the inception phase based on the above-mentioned criteria and building on the ongoing UNDP work on circular economy.

Ha Long Bay and Hue are both World Cultural Heritage centres, which attracted respectively 7 and 3 million visitors in 2017. This influx of tourists poses serious challenges to the overstretched waste management systems and undermine the local economy as well as the tourism industry. Both localities have demonstrated their high commitment to reducing plastic waste and improve waste management systems.

Quy Nhon (Binh Dinh province) and Binh Thuan have marine protected areas (Hon Cau, Phu Quy and Qui Nhon Bay) including sea turtle and coral reef conservation zones. These two provinces have also shown strong commitment through the provision of co-financing and mainstreaming of the local SEDP. Further, the local private sector and community groups have been pro-active and committed to improve waste management. The UNDP/GEF SGP is currently implementing 4 and 12 projects in these provinces.

Binh Duong province, located just north of Ho Chi Minh City is home to over 28 industrial parks spread over 10,000 ha. It produces massive amounts of waste and still lacks an effective system of waste collection and management. Binh Duong ranks the fourth most competitive province in the country, and the GDP grew by 8.5 percent in 2016. Some of the major global firms in the region include KIA, Samsung, Nike, Unilever, Bosch, P&G, IBM, Hyundai, AkzoNobel, and Intel. Binh Duong Waste Treatment Complex (Chanh Phu Hoa Ward, Ben Cat Town) receives 1,500-1,700 tons of domestic waste every day. In parallel to the development of this complex, numerous operations have taken place to raise awareness of the communities on the benefits of protecting the environment. Finally, DOIT has been supporting over 35 enterprises in moving towards cleaner production (including the reduction of raw materials used, reuse of waste products, and investment in waste treatment systems). The project will also implement activities in this province in collaboration with SINTEF.

UNDP and the PPC in **Danang** have recently signed a Memorandum of Understanding (MoU) and the Accelerator Lab is currently conducting experimentations around waste management with communities in addition to the systemic design workshop around the following question 'How might we leverage our assets to create better consumption and disposal practices?'

The activities under Output 1 will support the production of a baseline for each site, as currently there is little or no data available. Similarly, the methodology and the results produced by the Alberta Lab systemic mapping in Danang will be used to inform the design of the projects in other sites.

This project comprises two components:

Component 1: Development of a Socialised Model of Waste Management in five cities, will support local NGOs or CSOs in implementing a local system of waste and/or plastic management, or innovation to cut down plastic pollution;

Component 2: Introduction of the Circular Economy Approach to Waste and Plastic Management, will reinforce community efforts developed under Component 1, using a 2-pronged approach including upstream and downstream interventions across the waste and plastic value chains; further it will bring various stakeholders together to foster and accelerate collaboration to transition from a linear approach.



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COMPONENT 1: DEVELOPING A SOCIALISED MODEL OF SOLID WASTE MANAGEMENT

This Component aims to replicate the successful model of UNDP/GEF SGP of Hoi An in five sites, with the same ambition of increasing the rate of solid waste collection and treatment, while leveraging existing local capacity and empowering women through mass organisations. This will be done through four main activities: (i) research on local waste systems; (ii) strengthening institutional capacities; (iii) financial and technical support to the waste scrapper groups through local NGOs or CSOs; (iv) localised communication events, with a special focus on waste prevention.

The activities under this Component explicitly target the informal workers and specifically women, who are often excluded and/or marginalised despite contributing to the development of greener cities.

The informal sector plays pivotal role in the system of solid waste management in Viet Nam, and over 30% of the waste is estimated to be collected through this channel. Also called 'Dong Nat', the women waste pickers buy or collect waste from households, before reselling them to larger recyclers, which supply craft villages. Between 10,000 and 16,000 waste pickers respectively are working every day, in Hanoi and Ho Chi Minh City. Therefore, they carry a utility service 'for free', which removes considerable costs from the authorities, in addition, to be quite efficient. A better understanding of the informal sector would permit the inclusion of these workers in a more formalised system of waste management, while offering them considerable opportunities to increase their livelihoods, in addition to reducing safety risks associated with the current functioning of the sector.

Lessons learned from the project 'Building a Socialised Model of Domestic Waste Management in Hoi An' This successful pilot implemented in 2010 was funded by the UNDP-hosted GEF Small Grants Programme (SGP) with \$50,000 in GEF funds complemented by \$38,000 in co-financing from local authority and communities. It has become a recognised regional success demonstrating that local communities can be empowered and sustainably increase their livelihoods, with the right support in place, and further that partnerships with local authorities are essential to leverage additional sources of finance and ensure the sustainability of the project. The pilots used in the Cam Than and Thanh Ha wards of Hoi An, and the supportive policies developed, have been adopted as the city model for socialised waste management. It has since spawned further campaigns to reduce the use of plastic bags in the Hoi An market, to commemorate the new socialised model through the naming of new infrastructure, and to support the development and promotion of "bio-cultural" tourism products in Hoi An. There were also broader socioeconomic impacts with respect to poverty alleviation, job creation, women's empowerment, enhanced access to finance, enhanced shared societal responsibility and collaboration to address local waste management, and a better level of awareness overall.

The Global Environment Facility (GEF) Small Grants Programme (SGP), implemented by UNDP has been providing support for community-based innovation and empowerment for more than two decades, in Viet Nam. To date, over 100 projects have been financed in areas of biodiversity, climate change mitigation, community-based adaptation etc. Its approach is based on three pillars: global environmental benefits, poverty reduction and community empowerment, all of which are aligned with the goal of this proposed project. This Component builds on the existing know-how, the funding agility and the strong relationships built by the programme with local authorities during past projects.

COMPONENT 2: INTRODUCTION OF THE CIRCULAR ECONOMY² APPROACH TO WASTE AND PLASTICS

What this Component proposes to address is the institutionalisation of waste collection and the development of a circular economy approach, which brings together different stakeholders: authorities, citizens and business towards the common goal of reducing our use of virgin materials and reusing waste and plastics. This Component will build on, and complement, Component 1 with a more systemic approach to reducing and recycling waste and plastics. Specifically, this component will target three categories of people: (i) citizens, (ii) authorities, and (iii) business.

Why applying the concept of a circular economy to waste management? Firstly, the Vietnamese population is not unfamiliar with this concept. Hanoi has been ranked as one of the Asian cities with the highest rate of recycling, partly due to the thousands of waste pickers walking down the streets every day. Besides, over 3,000 craft villages, mostly located in Nam Dinh, are specialised in recycling discarded plastic and other waste materials. The villages buy plastic from local depots or waste pickers and process it into new products. Secondly, an efficient system of waste management would allow the localities to overcome the negative impacts of a linear economy, where the end of life of a product generates pollution, value and energy loss. Finally, valorising city waste, as opposed to burying or discarding it, could become both an important civic and governmental objective.

(i) Engaging the citizens as actors of change

The project will promote behaviour change of local communities through the dissemination of essential information, the introduction of innovative incentive schemes to encourage the community to refuse waste, demand green standards, recycle their domestic waste and move to non-plastic alternatives. It will build on the extensive networks of mass organisations operating in Viet Nam, that allow for the timely and accurate transmission of information, and knowledge.

(ii) Supporting localities in developing integrated policies towards circular economy, waste and plastic management

As of 2018, over 127 countries around the world have adopted, or are in the process of adopting, some form of legislation to regulate plastic bags. They include banning single-use plastics, extending producer responsibility, implementing taxes, and imposing bans on microbeads (for instance, 83 countries have forbidden free retail distribution, including Cambodia, Bangladesh, and Sri Lanka). There are a few local policies already in place in Viet Nam to phase out single-use plastics, for instance, Cham Islands have banned the use of plastic bags, and Con Dao and Ha Long Bay are following similar paths. Although the population has been applying the Circular Economy concept, without naming it for decades, only recently it has recently gained traction among policymakers and enterprises. Consequently, this project will use this growing appetite for the implementation of local policies as a trigger for the enactment of new national regulations. So far, no policies or compulsory measures have been implemented to encourage households reducing their solid waste generation.

(iii) Introducing the Circular Economy to local companies

The National Action Plan on Green Growth includes a range of targets and actions that correspond to the principles advanced by the circular economy. Some institutions like the Vietnam Chamber of Commerce and Industry (VCCI) and the Vietnam Business Council for Sustainable Development (VBCSD) have expressed their interest in exploring the potential of circular economy strategies, as illustrated by the recent launch of their programme on the circular economy. However, currently, there is limited legislation³ in Viet Nam to

² Looking beyond the current take-make-waste extractive industrial model, a circular economy approach aims to redefine growth, focusing on positive society-wide benefits. It entails gradually decoupling economic activity from the consumption of finite resources and designing waste out of the system. The circular model builds economic, natural, and social capital. It is based on three principles: (i) Design out waste and pollution, (ii) Keep products and materials in use, and (iii) Regenerate natural systems. Source: Ellen Mc Arthur Foundation. Only industrial and health waste are governed by a regulation, which requires producers to sort out their 'dangerous' waste from ordinary waste.

³ Only industrial and health waste are governed by a regulation, which requires producers to sort out their 'dangerous' waste from ordinary waste.

encourage producers to take responsibility in the sorting, collecting and recycling of their waste. Furthermore, the Government of Viet Nam has allowed the import of plastic waste as raw materials for the production of intermediary products until 2024 (Resolution 09/NQ-CP, Feb. 2019).

Partnership with OPTOCE project: Under this Component, the project will partner with SINTEF in Binh Duong province, to develop the potential of the waste-to-energy sector, through the OPTOCE ‘Ocean Plastics Turned into an Opportunity in Circular Economy’. This pilot project aims to use non-recyclable plastic waste in energy-intensive industries effectively. Binh Duong is an ideal location for this pilot project, as the province produces massive amounts of waste and still lacks an effective system of waste collection and management. Waste to energy is a cost-effective solution to use non-recyclable waste streams, which would eventually end up in landfills or the oceans.

Focus on: KNOWLEDGE SHARING PLATFORM

Plastic pollution is a multi-faceted challenge that requires a good understanding of the multiple drivers and actors at play. This sub-component will build on the interventions occurring in parallel in five Vietnamese sites while fostering innovation using collective intelligence; thus, lessons learned from the five sites will be systematically documented and discussed. The knowledge platform (online and offline) will act as the data hub of the project, as a lack of reliable data on waste is a major drawback to effective policies. The networking activities will promote greater collaboration between the private sector, start-ups, innovators, researchers and others.

The issue of plastic is moving faster than we are able to keep pace with it; consequently, there is a need to adapt our responses to the speed of this challenge. In this context, the project aims to design the first regulatory sandbox about waste and plastic in Viet Nam, which will further create an environment with relaxed regulations within the city for enterprises to easily experiment with innovative solutions without fearing regulatory sanctions.

The strategy of this project is aligned with the ONE UN Strategic Plan 2017-2021, in particular with:

- **Climate Resilience and Environmental Sustainability: Outcome 2.2: Sustainable management of natural resources and the environment.** The project intends to contribute to reducing the amount of waste generated by households and the leakage the environment; while encouraging the transition to a circular economy which promotes more efficient use of scarce resources.
- **Data for development:** has been identified as a cross-cutting outcome in the ONE UN Strategic Plan 2017-2021. This project will produce a comprehensive study of the sources/ usage of plastic in one city, and five shorter research/ mapping on the state of waste management systems in five localities; thereby contributing to new and qualitative data.

The project has benefited from peer to peer discussions with Country Offices colleagues working on the topic of circular economy, waste and plastic management; the UNDP-GEF SGP lessons learned of Hoi An project; and a number of insights generated by the Accelerator Lab through their ethnographic study and field visits in Da Nang.

III. RESULTS AND PARTNERSHIPS

The activities of this project have been designed to achieve five key outcomes: (1) Five cities have developed effective small-scale models of domestic waste management; (2) Enhanced regulatory framework and capacity of the local authorities and stakeholders; (3) Increased awareness and participation of all stakeholders in reducing single-use plastic and in improving waste management; (4) Increased income and safety of the waste picker groups; (5) Innovation and information platforms created and promoted.

COMPONENT 1 – SOCIALISED MODEL OF SOLID WASTE MANAGEMENT

OUTPUT 1.1: LOCAL WASTE/PLASTIC MANAGEMENT PROJECTS IMPLEMENTED BY LOCAL NGOs/CSOs supported under the UNDP/GEF SGP in 5 sites

Activity 1.1.1: Selection of the local organisations based on their concept note

The project will follow the [UNDP/GEF guidelines](#) under the direction of the SGP National Coordinator. A call for concepts will be designed requesting for concept to address a localised issue of solid waste management and/or plastic pollution. The selection of the grantees will follow a competitive and transparent process, as per the UNDP/GEF SGP guidelines. The selection criteria are the following: the project will have an impact in the GEF/SGP areas of work; the project is feasible, science-based and has a community-based approach; the project is sustainable and replicable; the organisation has the capacity to implement it; the budget respect GEF/SGP guidelines; the applying organisation must be Vietnamese and, gender-sensitive options to engage equally women in the project should be presented. The applicant organisations will submit a concept note, which will be revised by the SGP National Coordinator and the SGP National Steering Committee.

Upon acceptance of their concept paper, the selected organisations will receive support from UNDP/GEF SGP to refine and develop their full project proposal, similar to the support offered under the LVA.

Activity 1.1.2: Incubation training in Hanoi with the selected organisations to develop their final proposal

The selected organisations will be invited to Hanoi for a training, where they will get the opportunity to share and discuss their local issues with other organisations, learn about the qualitative and quantitative techniques they should use to proceed to their study on waste management systems, as well as new tools and processes for addressing the variety of challenges brought by waste management. The training aims to (i) support NGOs/CSOs in the formulation of their project by learning about quantitative and qualitative methods; (ii) teach new ways of working (e.g., collective intelligence); (iii) encourage cooperation among cities.

Activity 1.1.3: Study on the state of the solid waste management systems, in five sites

The lack of reliable, up to date and localised data on solid waste management systems has been identified as a key challenge, preventing the development of localised solutions. Currently, there is no baseline of what the collection and recycling rates of domestic waste are, or its composition. This activity is the direct follow-up of the training (Activity 1.1.2) and aims to fill this gap by supporting the NGOs/CSOs in consistently collecting and analysing information needed to make informed decisions. In line with UNDP/GEF SGP guidelines, the organisations will research waste management system in their locality, including the governance structure and network, waste generation and characterisation, infrastructures; and they will survey waste collectors and traders. This study will function as a baseline for identifying and designing project activities. This study has two main objectives: (i) project formulation: improved knowledge and definition of baseline metrics against which progress can be measured; and (iii) knowledge sharing: it will provide reliable data and insights to all stakeholders involved in waste/plastic management at city-level.

Results/ deliverables under Output 1.1:

1.1.1: Selection of the local organisations based on their concept notes

- 1 call for concepts is launched, in five cities.

1.1.2: Incubation training in Hanoi with the selected organisations to develop their final proposal

- 1 training toolkit related to waste and plastic management is available.
- 1 training session is organised in Hanoi.

1.1.3: Study/ research on the state of the solid waste management systems, in five sites

- 5 reports available in English and Vietnamese summarising key findings on the waste/plastic management systems, in five sites.

OUTPUT 1.2: LOCAL CAPACITIES IN SYSTEMATICALLY TACKLING WASTE AND MANAGING STRENGTHENED, PLASTIC, in five localities

Activity 1.2.1: Capacity building of the local stakeholders on systemic thinking for waste management

A capacity strengthening plan will be developed at the inception of the project activity, and an inception training will be arranged in each locality within the first six months. It will respond to the needs and gaps identified under Output 1, present key data and insights, and target the local Office of Natural Resources and the Environment, Provincial People's Committees, Public Work Authorities etc. Specialists from the Governance and Participation Unit, Accelerator Lab and technical experts, will provide training on issues such as: (i) up-to-date data on waste and plastic in the city (e.g: the study Activity 1.1.3); (ii) case studies of success in community mobilisation in other countries; and (iii) low-cost examples of valorisation of waste using the circular economy approach, and (iv) system thinking and innovative processes in anticipatory governance in order to adapt to the rate of change and new challenges. Training and capacity building activities will be conducted jointly with the Foundation for Scientific and Industrial Research (SINTEF) in some sites, such as Binh Duong province.

Activity 1.2.2: Establish or strengthen dialogues at the city level with key players on waste/ plastic

Effectively managing solid waste and combatting plastic pollution requires tight cooperation between the lead agency with responsibility for these areas and other relevant departments, in collaboration with the business sector and the public. This activity will support the creation of a city dialogue (or a taskforce) which will develop a common vision of what an integrated and effective waste management system looks like, and act as the local coordination vehicle. It will involve the building of partnerships between different stakeholders including the awarded NGOs, other mass organisations, communal and provincial authorities and businesses. It will include the mapping of the organisations, as well as the identification of their roles and respective strengths in order to avoid duplicating or overlapping with current efforts. Once the task force is established, the project will support the facilitation and organisation of meetings, advocacy and engagement interventions. The creation of this task force should also guarantee the sustainability of the working group after the project ends.

Results/ deliverables under Output 1.2:

1.2.1: Capacity building of the local stakeholders on systemic thinking for waste management

- 1 training action plan is developed and tailored to each city.
- 1 training workshop is conducted in each city during the first 6 months of the project (2 days).

1.2.2: Establish/ strengthen dialogues at the city level with key players on waste/ plastic

- A partnership platform is established in five cities.
- At least 1 focus group discussion is conducted in each city.

OUTPUT 1.3: WASTE PICKER GROUPS' BUSINESS EXPANDED, AND FAVOURABLE CONDITIONS ESTABLISHED to ensure sustainability

Activity 1.3.1: Selected NGOs/ CSOs receive grants through the UNDP/GEF – SGP and LVG procedures

The NGOs/CSOs will receive a grant amounting for \$50-60,000, after having signed the letter of agreement with UNDP Country Offices, in line with the UNDP guidelines for Low Value Grants. The NGOs/CSOs will implement a range of activities, including working with waste groups, training and capacity building, communication campaigns and the establishment of revolving funds. At this stage, the project cannot predict what exact activities will the NGOs/ CSOs conduct. After the call for concepts is issued (act 1.1.1), the activities under Output 1 and Output 2 will contribute to supporting the NGOs/CSOs in refining and preparing the detailed project proposal, under the supervision of the UNDP/GEF – SGP National Coordinator. In each city, the project will be slightly different as it will depend on the NGOs/CSOs experience and be tailored to the needs of the citizens.

Activity 1.3.2: Establishment/formalisation and training of the core groups of waste collectors

The “informal” status of the waste pickers and recyclers is one of the difficulties for formal enterprises to get in contact with them and enhance their capacity (in term of quantity and quality of the material collected) up to the required industry standard. As “informal”, the collectors have no liabilities and are not interested in quality, they are driven by market demands and are price sensitive. In general, their revenue will be based on the amount of waste collected and they will focus on few categories of plastic waste (PET, white plastic, dark plastic, etc.), with no incentives to properly discard the remaining waste.

The primary aim of this activity is to reinforce the capacity and effectiveness of the informal waste scrapper network, which mostly comprises women workers, without disrupting existing value chains. These groups are often trapped in poverty, although they have developed skills and crafts and are, in fact, entrepreneurs. Many waste pickers work on the streets or open dumps, and they are exposed to hazardous or medical waste, which may pose serious risks to their health. As a first step, the project will help the groups to formalise their activities, which opens the possibility of entering into agreements for recycling programmes. In collaboration with the NGOs/CSOs, this activity will provide technical support on occupational health and safety, as well as training on collecting, sorting, and recycling standards. This activity will also benefit from the input of the Accelerator Lab, which will conduct an ethnographic research surveying women waste traders. The objective is to better understand what their underlying needs are and create sustainable interventions based on these, which will differ from one city to another.

Activity 1.3.3: Revolving funds established to support the procurement of assets

The project will develop and disburse loan facilities in the form of revolving funds, which will be administrated and monitor by mass organisations such as Women’s Union. The amount administered by the revolving funds will depend on a set of criteria such as the size of the city, project needs, number of beneficiaries etc. The funds will be used to support the procurement of equipment (e.g. bicycles, trolleys, simple boats) for the groups. It will also be adjusted in function of the ability of the mass organisation, CSOs/ NGOs to manage and disburse such a fund, in line with UNDP/GEF – SGP procedures.

Activity 1.3.4: Connection and inclusion of waste trader groups in the formal waste management system

Although the functioning of the informal sector is unsanitary and poses serious health risks, past studies have estimated that informal waste pickers divert up to 15% of the waste generated from ending up in landfills. Also, it benefits the economy as a whole, because recycled materials are often much cheaper than virgin and imported materials. This activity will support the waste trader groups in climbing the poverty ladder, by empowering them as economic actors who are progressively included in the formalised system of municipal recycling. The project will connect these groups with the task force established under Output 1.2 and position them as key partners and assets for the municipalities, it may also connect the waste traders groups with local business, industries and factories which are looking for stable supply of waste for their recycling activities. Thanks to improved organisation and formalisation of their activities (1.3.1), the project will be able to effectively support the groups in negotiating agreements and contracts with local business, middlemen, neighbourhood associations and institutions, to gain better access to recyclables etc. For instance, it will connect the waste collectors to recycling centres and plants in the area. Specifically, in Binh Duong province, the project will connect waste picker networks with the OPTOCE (Ocean Plastics Turned into an Opportunity in Circular Economy) project under “The Norwegian Development Assistance Program Against Marine Litter and Microplastics” to be implemented by SINTEF.

Results/ deliverables under Output 1.3:

Activity 1.3.1: Selected NGOs/ CSOs receive grants through the procedures the UNDP/GEF – SGP

- Five projects are funded and implemented by local NGOs/CSOs to address challenges of waste and plastic management.

Activity 1.3.2: Establishment/formalisation and training of the core groups of waste collectors

- 2 training programmes targeting the waste collectors are conducted in five cities.

Activity 1.3.3: Revolving funds established to support the procurement of assets

- The NGOs/CSOs established revolving funds are established, and disbursements made.

Activity 1.3.4: Connection and inclusion of waste trader groups in the formal waste management system

- Consultations with the local city- platforms to co-design integrated systems of waste management that are inclusive.

COMPONENT 2 – INTRODUCTION OF THE CIRCULAR ECONOMY APPROACH TO WASTE AND PLASTIC MANAGEMENT

OUTPUT 2.1: IMPROVEMENT OF CITIZENS' AWARENESS ON WASTE AND PLASTIC

Local communication:

This output will catalyse communication by building on the local knowledge of the mass organisations, in combination with the extensive experience of UNDP in delivering awareness campaigns, at scale. The CCE Media & Communication Analyst will support NGOs/CSOs to develop tailored communication campaigns that are impactful and address the specific needs of the communities. The project will include the sensibilization of youth and students on the waste hierarchy. The waste hierarchy includes an order of preference for waste actions in waste management, intending to reduce the total amount of waste generated and enhance the overall system. Waste prevention is the first and surely the most important step in waste management. As such, innovative campaigns, and activities targeting local citizens and tourists will carry messages on the adverse effect of waste and plastic on human health and their damages to the environment. The project will make use of best practices collected by the European Commission⁴. Off-line events will be organised, such as local cultural events and public contests, encouraging the population to change their habits and behaviours. These will empower communities by providing ways in which everyone can act as agents of change.

National communication:

These activities will deepen and strengthen communication undertaken at the local level, through the extension of the coverage, the conveying of additional messages in respect to the circular economy and the use of digital technologies to encourage and reward behavioural change. A national communication action campaign will be designed. This will include the development and implementation of awareness and behavioural change campaigns, aiming to promote greater understanding on (i) the need to use resources in ways that are not wasteful and damaging to the environment; (ii) the promotion of alternative materials; and (iii) the different types of waste, and how to recycle them. The project will support the development/or the scale-up of a mobile application that will bring together users to achieve a circular economy society (for instance, to report trash hotspots and illegal dumping or to improve recycling). It will also involve the Youth and Innovation networks supported by the Governance and Participation Unit to ensure a whole-of-society wider engagement.

Results/ deliverables under Output 2.1.2:

Local:

- At least 2 local events organised in five cities.
- Communication campaigns targeting the local population, students and tourists deployed in five cities and publicly available for other sites.

National:

- 1 national comprehensive communication plan, including awareness campaigns with a series of activities (offline, online and events).
- Support to the national deployment of a mobile application to educate users about the circular economy.

⁴ Key criteria of effective awareness campaigns to stimulate the prevention of waste include: targeted, innovative, replicable, representative and effective. Source: <https://ec.europa.eu/environment/waste/prevention/practices.htm>

- 1 event specifically targeting Youth and Students.

OUTPUT 2.2: INCREASE OF CORPORATE REGULATIONS ON SUSTAINABLE PRODUCTION AND CONSUMPTION OF MATERIALS

The activities will target the local business using a 2-pronged approach, both upstream and downstream.

Activity 2.2.1: Training of business on-premises on introduction to the Circular Economy approach

A standard pack of training and support modules, combined with mentoring, will be developed and provided to build the capacities of the local business comprehensively and systematically. These modules will include training on the circular economy system, on sorting and reducing waste, as well as technical disciplines such as product redesign, product recycling, and waste to energy. This activity will result in the adoption by the business of new principles and regulations; for instance: commitment to using a percentage of recycled materials in their production, or to repair/buy returned products from consumers. The enterprises will be carefully selected to represent a board range of sectors; lessons learned will be widely shared to develop a business case for Circularity.

At the upstream level, interventions will include support for local enterprises to reduce packaging in their production and to use alternative materials, training and advocacy regarding the generation of single-use materials such as plastics, and co-creation of solutions and experimentation. The project will define criteria to select eligible enterprises for these interventions. The choice of enterprises will reflect gender equality, cover a large range of sectors (industry, tourism, packaging, etc.), and include social enterprises.

At the downstream level, activities will include the development and implementation of a targeted campaign for enterprises on the segregation/recycling of waste on their premises. This activity aims to demonstrate to the companies that moving to increased circularity will generate cost reduction or even financial gains, encourage enterprises to innovate and experiment around the use of alternatives.

Results/ deliverables under Output 2.2:

Activity 2.2.1: Training of business on introduction to the Circular Economy approach

- 1 standard training programme on Introducing Circular Economy for business.
- At least 10 companies have received training.

OUTPUT 2.3: LOCAL REGULATIONS ON WASTE OR PLASTIC ADOPTED/ STRENGTHENED

The project will assist the local government in developing cost-efficient policies to reduce plastics and enhance waste management. The policies shall aim for the (i) protection of public health; (ii) environmental protection; and (iii) recovery of resource value from waste. The activities will be conducted using a similar 2-pronged approach for upstream and downstream. Appropriate fiscal incentivization (to motivate private sector) and revenue-generating tools (to help fund relevant infrastructure) is critical to help lay the foundation for a long term shift to the new plastics economy, whether in the form of time-limited and scaled rewards in corporate tax reductions for investments in sustainability by enterprises, taxation or levies on unsustainable products and processes, and/or enhanced access to soft loans and grant investment by private sector. This output will be a vehicle to establishing the foundation for this level of change.

Activity 2.3.1: Analysis of local policies on waste and plastic

Upstream: interventions will assess and map out potential single-use plastics to be banned (e.g. straws, bags, etc.) and enhance the knowledge of the Government officials on corporate regulations on production and consumption of materials, such as plastics in products, services, and operations. The project will highlight some key aspects of policy on waste and plastic such as: service user inclusivity, financial sustainability and cost accounting, and regulatory control and enforcement. Rules for enterprises for recyclers, obligation to showcase waste prevention communication material on-premises

At the downstream level: the project will assess the current regulatory framework to strengthen circularity, estimate the potential to improve the current infrastructure and capacity of the waste management system. The team will work with the localities to test new and innovative ways to reduce plastic in the community, such as banning single-use plastics or creating financial incentives to recycle domestic waste.

Activity 2.3.2: Comprehensive study on the sources/usage of plastic in 1 city

More research is needed to understand better where the plastic comes from, what types of plastic are being used, by whom and for what, to better identify the main source of pollution and hence identify the priority sources. Therefore, this study will focus on one locality in order to give a full picture of the plastic lifecycle: from production to consumption and disposal, as well as the identification of the main sources of leakage into the ocean. The study will also include an analysis of a dataset of plastic litter and estimate the frequency and type of plastic items, that found their way on the ocean in some specific locations. The results of this research will inform the second step through the targeting of one sector (e.g. hospitality, packaging, schools), where there is room for improvement and quick wins. The sector will be selected during consultations with the localities, communities and business (city-platform). As a next step, the project will produce cost-benefit analyses which estimate alternatives options and their feasibility. It will also identify production hotspots around the locality that could be linked to the sector to kick start a sustainable value chain. The rationale behind this research is that business already produces alternatives; however, they may lack access to a network and/or the financial services to scale-up their operations.

Activity 2.3.3: Participatory workshops

The results will be presented during participatory workshops comprising members of the task force established in Component 1, the local government and NGOs/CSOs and the private sector.

Results/ deliverables under Output 2.3:

Activity 2.3.1: Analysis of local policies on waste and plastic

- 1 short report reviewing local policies and regulations on waste and plastic management in five cities.

Activity 2.3.2: Comprehensive study on the sources/usage of plastic in 1 city

- A comprehensive study on the sources and uses of plastic, in one city.
- 1 technical report presenting options to replace plastics in one sector, using Cost-Benefit Analysis (CBA).

Activity 2.3.3: Participatory workshops

- Recommendations for a systemic change and integrated waste/plastic management systems discussed with key stakeholders using the city platform, during a participatory workshop.

OUTPUT 2.4: ACCELERATION OF INNOVATION ON CIRCULAR ECONOMY FOR WASTE & PLASTIC MANAGEMENT

Of particular importance for Viet Nam, the plastic industry grew in recent years at a rate exceeding 16% per annum. A first step, therefore, consists of the mapping of all actors across the plastic packaging value chain in order to identify pockets of opportunities.

Activity 2.4.1: Technical guidance for the establishment of a regulatory sandbox

In adopting a circular economy model, businesses may rethink the way they work, grow capabilities, drive innovation and modify their use of technologies to raise productivity. The aim is to put forward the opportunities for businesses to embrace a circular economy. By advocating for a regulatory sandbox approach, the project can encourage governmental partners in sourcing locally designed idea, generating, testing/prototyping innovative integrated solutions, and scaling up tested solutions (including at national level as applicable). Combined with the circular economy approach, the regulatory sandbox will foster innovations in various fields such as products redesign, plastic value extraction, innovative behavioural change campaigns, targeted fiscal incentives etc.

Activity 2.4.3: Establish a network, data & knowledge platform on circular economy for Viet Nam

Since the inception phase of the project, the project team has constantly been monitoring and mapping other national and international programmes/workshops relevant to waste and plastic management. By leveraging existing local and global circular economy networks, the project can engage with professionals and citizens to widely promote the circular economy approach and to build new partnerships. The format of the platform will be defined at a later stage based on the needs identified by the cross-unit team. This platform will create the necessary conditions for addressing waste/plastic challenges in a systematic way, foster the dissemination of success and innovation, thereby supporting long-term transformation. Through these partnerships, the project can for instance create access to material innovation infrastructure, Intellectual Property Protection, access to capital, Customer Discovery and Expert membership, and Investor forums to scale up innovations that demonstrate beneficial impact on reducing plastic waste, enhancing socioeconomic conditions and commercial viability. Local appropriate, assessed innovations will be supported with advice for uptake at the provincial or national level. This platform will regroup existing fragmented initiatives and help create a common sense of direction that will spark a new wave of innovations. Activities will also include designing or supporting an online knowledge portal for repository and sharing of data and information on the project, which will be accessible to all stakeholders.

Results/ deliverables under Output 2.4:

Activity 2.4.1: Technical guidance for the establishment of a regulatory sandbox

- Consultations with government partners and local stakeholders on the definition of a regulatory sandbox.
- A set of recommendations for experimental policies on waste management or plastic.

Activity 2.4.2: Establish a network, data & knowledge platform on circular economy for Viet Nam

- A national event for professionals to network and share knowledge on Circular Economy.
- An online knowledge & data platform is launched or supported.

Resources Required to Achieve the Expected Results

The project will start on November 2019 until March 2022. The project will focus its efforts on five sites (Ha Long, Quy Nhon, Binh Thuan and Binh Duong, and one more site which will be selected during the inception phase). The project team involved in the direct management of the project will include members from three units: Climate Change and Environment, Governance & Participation, and the Accelerator Lab. They will undertake project management, technical advisory, communication campaigns, the building of partnerships, reporting and monitoring, and production of knowledge products. A plan of mobilisation of resources is detailed under Section 4.

The project manager will have the overall responsibility of implementing the project, and in particular to build and maintain strategic partnerships. S/he will proactively work to institutionalise the approach, processes and success into government procedures.

Partnerships

Strategic partnerships will be integral to the success of this project.

Under Component 1, the project will work with five NGOs or CSOs, who will be awarded the grant under the UNDP/GEF Small Grant Programme mechanism. At the institutional level, the project will collaborate provincially with the Department of Natural Resources and the Environment (DONRE), the Vietnam Environment Administration (VEA) under MONRE, and authority-licensed municipal rubbish collection services, such as Citenco or Urban Environment Company (URENCO).

Under Component 2, the project will explore opportunities for collaboration with plastic and waste ecosystems. These enterprises include start-ups, producers, companies operating in diverse industries such as tourism and manufacturing. It will, for instance, reach out to the Viet Nam Chamber of Commerce and

Industries (VCCI). UNDP will play an advisory role in areas of policy, networking with other organisations, governance and strategic guidance.

The Viet Nam Plastics Association (VPA) is the key non-governmental association, which gathers traders and manufacturers. The project will convene local workshops during which professional organisations will be invited to provide a snapshot of the industry. In moving towards the circular economy, it is crucial to involve the VPA and other professional organisations in order to discuss and co-create solutions which extend producers responsibility, explore the development of alternatives, formulate recycling mechanisms etc. Globally, only 9% of the plastic is recycled, plastic producers have a huge role to play in proposing a new narrative in which waste is valuable.

The proposed project will have synergies with the OPTOCE (Ocean Plastics Turned into an Opportunity in Circular Economy) project under “The Norwegian Development Assistance Program Against Marine Litter and Microplastics” to be implemented by the Foundation for Scientific and Industrial Research (SINTEF), in Binh Duong province. The collaboration activities will include: jointly work with local authorities and communities to raise awareness and enhance capacity and systems for sustainable management of domestic waste and plastic waste; and socialised collection and classification of waste, including non-recyclable plastics for OPTOCE’s pilot activities on co-processing and the circular economy. Additionally, this project envisions to collaborate with the PAPI index to monitor the progress of public perceptions and experiences of waste management services and efforts by the local government. For instance, ‘waste collection’ could be included in the Public Service Delivery category, along with other public services such as health and education.

Visibility of the Government of Norway

Norway is the unique provider of fund for this project, as such, it is important to ensure its visibility throughout the project. This will be achieved through several mechanisms, including:

- Donor branding will be strategically placed on the materials purchased by the beneficiaries such as: bicycles, trolleys, boats.
- Donor branding at the workshops/training/fairs organised in five cities.
- Sharing of success stories on social media and blog stories will include mention of the donor.
- Logos and acknowledgement of the donor on the knowledge products.

Risks and Assumptions

(i) Limited interest from the private sector and the local authorities to engage with the circular economy approach: medium

The circular economy approach to waste management, along with the introduction of alternative materials and new practices (segregation of waste at factory premises, reduced packaging) will likely encounter some reservations from local authorities and some enterprises, such as those working in the packaging, tourism, and production industries.

Mitigation measures:

- At the early stage, the project will include stakeholders that may be the most impacted, and therefore reluctant, to change. It will collaborate with Provincial People’s Committees, DONRE, and associations undertake public awareness campaigns, training and workshops to promote alternative materials, eco-practices, and a better understanding of the negative consequences of plastic waste mismanagement.
- The project will engage ‘green champions’ enterprises and highlight the potential to develop innovative and sustainable solutions (segregation at source, roadmap to reduce plastics; financial incentives).

(ii) Implementation challenge as a result of working in target cities in different provinces: low

The project will be directly implemented by UNDP, under the well-established framework and mechanism of the UNDP-GEF Small Grant Programme, which worked with a National Steering Committee, Standard Operational Procedures. The Project will take advantage of existing knowledge and practice, effective communication channels and coordination network with local partners.

Mitigation measures: UNDP will work with Provincial People's Committees, authorities and associations in all the five provinces to further strengthen collaboration for the project execution and avoid any ad-hoc issues. As environmental protection and waste management are challenges which receive priority from the Government, it is most likely that the project will receive strong support by both authorities and local communities.

(iii) Financial/corruption risk: Very low

(1) UNDP-GEF Small Grant Programme grant:

The fund will be managed and disbursed directly to the selected organisations by UNDP. UNDP will apply the well-established framework of the UNDP-GEF Small Grant Programme, including UNDP's and LVGA international standard procedures. This procurement system is transparent and based on competitiveness.

Mitigation measures: UNDP will ensure that all processes including calling for proposals, technical-service packages, then appraisal and selection are conducted in an open, transparent and competitive manner. Technical proposals from local partners will be jointly reviewed by UNDP and the Small Grant Programme National Steering Committee. All Term of References for technical experts will be publicly advertised.

(2) Revolving funds to buy the waste collection and transport tools:

Revolving funds will be managed by local Women's Union, who has the mandate to receive, manage and disburse the fund from UNDP. The main concern is how to select beneficiaries and ensure that the fund is disbursed and managed for the designed purpose/objective.

The UNDP/Global Environment Facility (GEF) Small Grants Programme (SGP) has introduced and implement small revolving funds at the community level in many SGP projects, which provided support for community-based innovation and empowerment for more than two decades in Viet Nam and possess extensive experience in collaborating successfully with the Women's Union. The SGP has globally recognized comprehensive standard operational guidelines for community-based project management, including revolving funds.

In this project, SGP will partner with local Women's Union in the design, management, operation and monitoring and evaluation of the revolving loan.

Mitigation measures:

- The Women's Union will work closely with authorities, to develop a set of criteria to select waste collectors to benefit from the loan, then conduct an open and transparent process for selecting participants– the loan may be able to provide financial support up to 20 per cent of the whole group (i.e. 120 members or so).
- The loan is only for procurement of waste collection tools and equipment like trolleys and bicycles, so the procurement process will be done following UNDP SGP open, transparent, and competitive process.
- The Women's Union will follow UNDP/GEF-SGP standard procurement procedure which ensures an open and transparent process to get the best supplier and quality materials. The Women's Union and the Commune People's Committee will monitor the effective use of the tools. They will also put in place feedback mechanisms to ensure that any mismanagement practices are reported.

(iv) Social and cultural risk: very low

Waste collection, waste transportation and waste disposal into landfills largely rely on existing systems in the targeted cities. It is unlikely that the project will lead to riots and protests as it will strengthen waste management practices, help reducing waste dumping and eventually leading to the improved well-being of the communities.

Mitigation measures: UNDP will work with local partners to design and implement targeted communication campaigns and feedback mechanisms that will help clarify questions or concerns of community members.

(v) Safety and security risk: very low

Viet Nam is a safe country, and no current threats to internal security such as riots and demonstrations are foreseen. UNDP, as the Implementing Partner, will comply with the policies, procedures and practices of the United Nations Security Management System (UNSMS).

Mitigation measures: UNDP will ensure that clear regulations and standards are put in place for training, field visits, research and workshops. The project will focus its efforts on domestic waste and will not work with hazardous or health waste which may cause safety concerns.

Stakeholder Engagement

Key stakeholders on this project include the selected NGOs/ CSOs, which are implementing agent, district/provincial authorities such as the Department of Natural Resources and the Environment (DONRE) in the selected sites, mass organisations and the private sector.

As the project aims to create integrated solutions to waste and plastic management, the engagement of stakeholders is pivotal to ensure ownership and the sustainability of solutions. In many countries, deficiencies in the waste sector have been characterised by a lack of political will, which has been explained by a supposed 'invisibility' of investments. For instance, at the district level, the investment into infrastructures such as roads and hospitals generate more political benefits than a new landfill compliant with environmental standards. Consequently, the project will develop a range of activities to keep stakeholders engaged, which will include: open-access to mapping and baseline data, co-design of solutions, community awareness events, and annual reporting.

South-South and Triangular Cooperation (SSC/TrC)

Through the ASEAN network, the project will disseminate lessons learned and good practices. Likewise, at the inception of the project, research will be conducted to map and reach out to similar projects in the ASEAN or in other developing countries.

Knowledge

The production and dissemination of knowledge are central to the success of the project as the lack of reliable data prevents evidence-based decision making in the field of waste and plastic management. The primary method of delivering sound knowledge management is (i) ensuring full and transparent engagement with the targeted communities and cities; (ii) ensuring that knowledge and results are shared with all stakeholders within and across cities; (iii) establishing an M&E framework that will detail progress and identify any issues as they arise.

Specifically, the following knowledge products will be produced:

Component 1: Socialised Model of Waste Management

- Case studies of five UNDP/GEF SGP projects. This will include governance arrangements, lessons learned, bottlenecks and identified solutions. Case studies will explain the strategies adopted and propose recommendations for the scaling-up of the model at the city level.
- Videos directed and produced by UNDP (approximately 3 minutes) showcasing success stories; including interviews with beneficiaries and main actors. These videos will use a gender-sensitive lens to ensure equal representation.

Component 2: Introduction to the Circular Economy Approach to waste and plastic management

- Communication and behavioural campaigns will be made available, for further uses in other locations in Viet Nam. They will be designed in a way that is culturally sound, including key facts and tips about waste management and plastic pollution.
- 1 standard package of training and support modules on Circular Economy, with clear instructions to improve recycling and sorting on company premises.
- Data & knowledge platform to collect innovations with respect to alternative materials.

- Comprehensive study summarising the drivers and the lifecycle of plastic throughout the plastic value chain, in one city.

Sustainability and Scaling Up

Activities under Component 1 consist of the scaling-up of the Hoi An socialised model of waste management. To ensure the sustainability of the project, the revolving funds will be set-up which allows for continued funding of the assets needed by the waste traders.

Component 2 has been designed with the aim of replicability and scalability to other sectors, locations and with other stakeholders. This project aims to build the capacity of authorities to utilise innovative, participatory and cross-sectoral approaches to other sets of challenges. The project will also encourage innovation and experimentation in one city, with the ambition to scale-up innovative solutions to other sites. The project will create a network of plastic champions that can contribute further to learning, advocacy and exploration of new opportunities, including closer engagement with the private sector in seeking investments for combatting plastic pollution at the city level.

IV. PROJECT MANAGEMENT

Project Management

Direct day to day project management will be carried out in Hanoi, at UNDP, by the project management team. The project will be implemented in five sites (Ha Long, Quy Nhon, Binh Thuan and Binh Duong, and one more site which will be selected during the inception phase).

UNDP standard management services

The project multi-year Work Plan also includes a General Management Support (GMS) charge that covers the costs for UNDP that are not directly attributable to specific projects or services but are necessary to fund the corporate structures, management and oversight costs of UNDP. The GMS is applied to all projects financed by Development Partners that are implemented by UNDP around the world. It is globally set at 9% of the total project costs.

Cost Efficiency and Effectiveness

The project is designed to utilise the experience of different UNDP units. It will build on the extensive experience of the UNDP/GEF- SGP in supporting similar local projects while ensuring capacity building and monitoring and evaluation of the progress. The project will make use of the data already produced and available at UNDP, such as the result of the PAPI index on plastic bans. The project is fortunate to receive additional support through the Accelerator Lab to reach the outlined outcomes. The triangular collaboration across units will allow for cost-sharing in term of monitoring and procurements costs, delivering cost efficiency. The parallel interventions running in five localities have been designed in such a way that these will inform UNDP's portfolio management approach.

Human Resources for project management support & UNDP Direct Technical Guidance and support

Figure 2 presents the detailed programmatic resources to achieve the delivery of the two project components in line with UNDP principles of full transparency. UNDP will assign staff on a part-time basis as follow: a CCE Programme Officer, an SGP National Coordinator, Technical Experts, a Communication Specialist, a Policy and Innovation Specialist, an Accelerator Lab Specialist. All anticipated programmatic and operational costs to support this project have been identified and estimated. This includes both costs for activities that require technical support as well as support costs.

Figure 1: Human Resources

Position	Key functions
SGP National Coordinator	<ul style="list-style-type: none"> • Management & Oversight of 5 SGP projects
Programme Officer on Waste and Plastic/ Technical Support	<ul style="list-style-type: none"> • Project Management (oversight of the annual work plans/progress) • Technical support • Production & dissemination of knowledge products
CCE Communication & Media Analyst	<ul style="list-style-type: none"> • Supervision of the communication & awareness campaigns
Policy and Innovation Specialist	<ul style="list-style-type: none"> • Capacity building on local governance systems • Technical support for innovative policies
Accelerator Lab	<ul style="list-style-type: none"> • Share experiences of other projects – train on systematic design thinking • Design the regulatory sandbox
Short-Term Technical Experts	<ul style="list-style-type: none"> • Based on the needs under each Output



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Resilient nations.

V. RESULTS FRAMEWORK⁵

⁵ UNDP publishes its project information (indicators, baselines, targets and results) to meet the International Aid Transparency Initiative (IATI) standards. Make sure that indicators are S.M.A.R.T. (Specific, Measurable, Attainable, Relevant and Time-bound), provide accurate baselines and targets underpinned by reliable evidence and data, and avoid acronyms so that external audience clearly understand the results of the project.

EXPECTED OUTPUTS	OUTPUT INDICATORS ⁶	DATA SOURCE	BASELINE		TARGETS (by frequency of data collection)				DATA COLLECTION METHODS & RISKS
			Value	Year	2020	2021	2022	FINAL	
COMPONENT 1: SOCIALISED MODEL OF SOLID WASTE MANAGEMENT									
1.1 Local waste/plastic management projects implemented by local NGOs/CSOs, supported under the UNDP/GEF SGP, in 5 sites	# reports available (in both English and Vietnamese) summarising key findings on the waste management systems, in five sites	Project Report	0	2019	5			5	Lack of interest from the local NGOs to participate in this project
1.2 Local capacities in systematically tackling waste and managing plastic strengthened, in five localities	# training workshops conducted in five cities # of participants (men and women) trained	Project Report	0 TBD	2019	5	5		10 TBD	Conflicted interested between local government, private sector
	# partnership platforms in five cities	Project Report	0	2019	5			5	
1.3 Waste picker groups' business expanded, and favourable conditions established to ensure sustainability	# projects are funded and implemented by local NGOs/CSOs to address issues of waste and plastic management.	Project Report	0	2019	5			5	
	# training programmes targeting the waste collectors are conducted in five cities.	Project Report	0	2019	5	5		10	
	% increase in income of waste pickers who receive training			2019		20%		20%	
COMPONENT 2: INTRODUCTION OF THE CIRCULAR ECONOMY APPROACH									
2.1 Improvement of citizens' awareness on waste and plastic	% increased of citizens awareness on waste and plastic has increased	Project survey	TBD	2020				40%	
	Existence of communication campaigns on waste and plastic	Project Report	0	2019	1	1		2	
2.2 Increase of corporate regulations on sustainable production and consumption of materials	# corporate regulations on sustainable production and consumption of materials adopted	Project report	0	2020	5	5		10	Limited interest from local business on the CE approach
	# of business trained on the Circular Economy approach/ on-premises	Project report	0	2020	5	5		10	
2.3 Local regulations on waste or plastic adopted/strengthened	# cities adopted/strengthened local regulations on waste or plastic	Project report	0	2020			3	3	Fragmented responsibilities, lack of ownership among local govt

	# reports reviewing local policies and regulations on waste and plastic management		0	2019	3	2		5	
	# comprehensive study on the sources and uses of plastic, in one city		0	2019				1	
2.4 Acceleration of innovations on CE /plastic management	# national event for professionals to network and share knowledge on Circular Economy		0	2019				1	Lack of mechanisms to ensure LT sustainability
	# technical guidance for the development of a regulatory sandbox		0	2019				1	

⁶ It is recommended that projects use output indicators from the Strategic Plan IRRF, as relevant, in addition to project-specific results indicators. Indicators should be disaggregated by sex or for other targeted groups where relevant.



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VI. MONITORING AND EVALUATION

Monitoring Plan

Monitoring Activity	Purpose	Frequency	Expected Action	Partners (if joint)	Cost (if any)
Track results progress	Progress data against the results indicators in the RRF will be collected and analysed to assess the progress of the project in achieving the agreed outputs.	Quarterly, or in the frequency required for each indicator.	Slower than expected progress will be addressed by project management.		
Monitor and Manage Risk	Identify specific risks that may threaten achievement of intended results. Identify and monitor risk management actions using a risk log. This includes monitoring measures and plans that may have been required as per UNDP's Social and Environmental Standards. Audits will be conducted in accordance with UNDP's audit policy to manage financial risk.	Quarterly	Risks are identified by project management and actions are taken to manage risk. The risk log is actively maintained to keep track of identified risks and actions taken.	Local NGOs/CSOs	
Learn	Knowledge, good practices and lessons will be captured regularly, as well as actively sourced from other projects and partners and integrated back into the project.	At least annually	Relevant lessons are captured by the project team and used to inform management decisions.	Local NGOs/CSOs	
Annual Project Quality Assurance	The quality of the project will be assessed against UNDP's quality standards to identify project strengths and weaknesses and to inform management decision making to improve the project.	Annually	Areas of strength and weakness will be reviewed by project management and used to inform decisions to improve project performance.		
Review and Make Course Corrections	Internal review of data and evidence from all monitoring actions to inform decision making.	At least annually	Performance data, risks, lessons and quality will be discussed by the project board and used to make course corrections.		
Project Report	A progress report will be presented to the Project Board and key stakeholders, consisting of progress data showing the results achieved against pre-defined annual targets at the output level, the annual project quality rating summary, an updated risk long with mitigation measures, and any evaluation or review reports prepared over the period.	Annually, and at the end of the project (final report)			

Project Review (Project Board)	The project's governance mechanism (i.e., project board) will hold regular project reviews to assess the performance of the project and review the Multi-Year Work Plan to ensure realistic budgeting over the life of the project. In the project's final year, the Project Board shall hold an end-of project review to capture lessons learned and discuss opportunities for scaling up and to socialize project results and lessons learned with relevant audiences.	Specify frequency (i.e., at least annually)	Any quality concerns or slower than expected progress should be discussed by the project board and management actions agreed to address the issues identified.		
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VII. MULTI-YEAR WORK PLAN ⁷⁸

All anticipated programmatic and operational costs to support the project, including development effectiveness and implementation support arrangements, need to be identified, estimated and fully costed in the project budget under the relevant output(s). This includes activities that directly support the project, such as communication, human resources, procurement, finance, audit, policy advisory, quality assurance, reporting, management, etc. All services which are directly related to the project need to be disclosed transparently in the project document.

EXPECTED OUTPUTS	PLANNED ACTIVITIES	Planned Budget by Year				RESPONSIBLE PARTY	PLANNED BUDGET		
		Y1	Y2	Y3	Y4		Funding Source	Budget Description	Amount
Output 1: <i>Gender marker:</i>	1.1 Activity								
	1.3 Activity								
	Sub-Total for Output 2								
Evaluation (as relevant)	EVALUATION								
General Management Support									
TOTAL									

⁷ Cost definitions and classifications for programme and development effectiveness costs to be charged to the project are defined in the Executive Board decision DP/2010/32

⁸ Changes to a project budget affecting the scope (outputs), completion date, or total estimated project costs require a formal budget revision that must be signed by the project board. In other cases, the UNDP programme manager alone may sign the revision provided the other signatories have no objection. This procedure may be applied for example when the purpose of the revision is only to re-phase activities among years.

VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

UNDP will implement Component 1 under the existing Small Grant Programme implementation set-up, which includes making use of existing organisation structures such as the SGP National Coordinator (NC) and SGP National Steering Committee (NSC). The NSC will ensure a sustained and focused capacity development at the local level. The SGP NC will be responsible for building the capacity of NGOs and CSOs in project proposal development and implementation of activities.

They will work in close collaboration with the Programme Officer in the CCE Unit who has the overall responsibility for the delivery of the project. He will be responsible for the overall project, and the activities under Component 2; he will also undertake project management: financial, administrative, communication, procurement and monitoring and evaluation tasks.

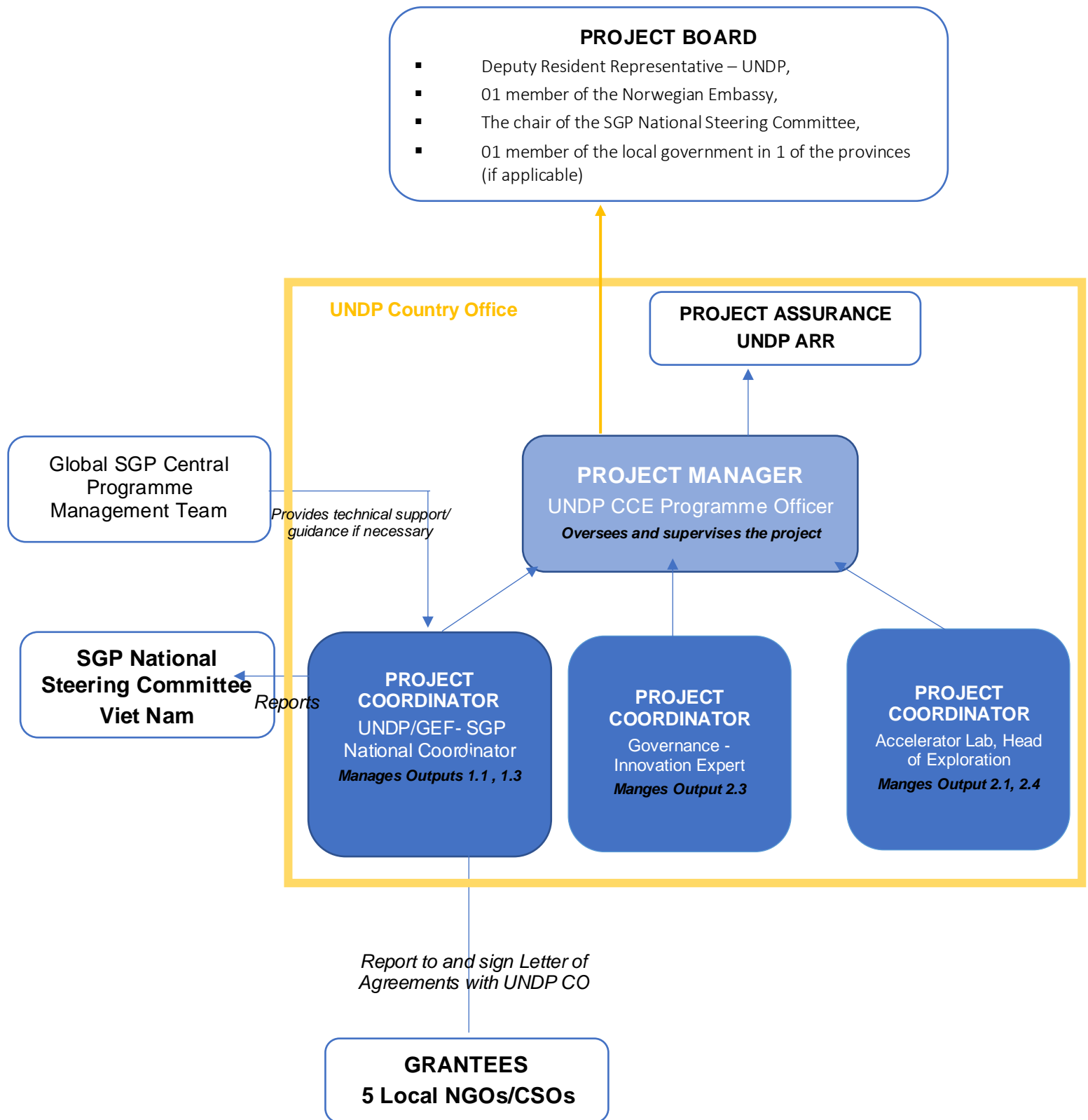
Figure 2 shows the simplified reporting lines and links of the decentralised framework. It illustrates who each department will have the most contact with. Regular meetings will be held, as knowledge sharing is vital to achieving the expected outputs under each Component.

The Project Board will provide the overall guidance and orientation on the annual work plans for implementation of the Project. The Board meet at least annually. Direct communication and reporting to the Norwegian Embassy will be done in line with reporting requirements set out in the framework agreement.

UNDP is directly implementing the project and is the Responsible Party under the Multi-Year Work Plan November 2019 to March 2022. The Multi-Year Work Plan identifies the technical activities and planned budget at Outputs 1 to 7.

The project team involved in the Direct Management of the Project will be based in UNDP Country Office (see section IV).

Figure 2: Project Arrangement



IX. LEGAL CONTEXT

This project document shall be the instrument referred to as such in Article 1 of the Standard Basic Assistance Agreement between the Government of (country) and UNDP, signed on (date). All references in the SBAA to “Executing Agency” shall be deemed to refer to “Implementing Partner.”

This project will be implemented by [name of entity] (“Implementing Partner”) in accordance with its financial regulations, rules, practices and procedures only to the extent that they do not contravene the principles of the Financial Regulations and Rules of UNDP. Where the financial governance of an Implementing Partner does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition, the financial governance of UNDP shall apply.

X. RISK MANAGEMENT

Option b. UNDP (DIM)

1. UNDP as the Implementing Partner will comply with the policies, procedures and practices of the United Nations Security Management System (UNSMS.)
2. UNDP as the Implementing Partner will undertake all reasonable efforts to ensure that none of the [project funds]⁹ [UNDP funds received pursuant to the Project Document]¹⁰ are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via http://www.un.org/sc/committees/1267/ag_sanctions_list.shtml. This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.
3. Social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (<http://www.undp.org/ses>) and related Accountability Mechanism (<http://www.undp.org/secu-sm>).
4. UNDP as the Implementing Partner will: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.
5. All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to project sites, relevant personnel, information, and documentation.
6. UNDP as the Implementing Partner will ensure that the following obligations are binding on each responsible party, subcontractor and sub-recipient:
 - a. Consistent with the Article III of the SBAA [*for the Supplemental Provisions to the Project Document*], the responsibility for the safety and security of each responsible party, subcontractor and sub-recipient and its personnel and property, and of UNDP’s property in such responsible party’s, subcontractor’s and sub-recipient’s custody, rests with such responsible party, subcontractor and sub-recipient. To this end, each responsible party, subcontractor and sub-recipient shall:
 - i. put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
 - ii. assume all risks and liabilities related to such responsible party’s, subcontractor’s and sub-recipient’s security, and the full implementation of the security plan.

⁹ To be used where UNDP is the Implementing Partner

¹⁰ To be used where the UN, a UN fund/programme or a specialized agency is the Implementing Partner

- b. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of the responsible party's, subcontractor's and sub-recipient's obligations under this Project Document.
- c. Each responsible party, subcontractor and sub-recipient will take appropriate steps to prevent misuse of funds, fraud or corruption, by its officials, consultants, subcontractors and sub-recipients in implementing the project or programme or using the UNDP funds. It will ensure that its financial management, anti-corruption and anti-fraud policies are in place and enforced for all funding received from or through UNDP.
- d. The requirements of the following documents, then in force at the time of signature of the Project Document, apply to each responsible party, subcontractor and sub-recipient: (a) UNDP Policy on Fraud and other Corrupt Practices and (b) UNDP Office of Audit and Investigations Investigation Guidelines. Each responsible party, subcontractor and sub-recipient agrees to the requirements of the above documents, which are an integral part of this Project Document and are available online at www.undp.org.
- e. In the event that an investigation is required, UNDP will conduct investigations relating to any aspect of UNDP programmes and projects. Each responsible party, subcontractor and sub-recipient will provide its full cooperation, including making available personnel, relevant documentation, and granting access to its (and its consultants', subcontractors' and sub-recipients') premises, for such purposes at reasonable times and on reasonable conditions as may be required for the purpose of an investigation. Should there be a limitation in meeting this obligation, UNDP shall consult with it to find a solution.
- f. Each responsible party, subcontractor and sub-recipient will promptly inform UNDP as the Implementing Partner in case of any incidence of inappropriate use of funds, or credible allegation of fraud or corruption with due confidentiality.

Where it becomes aware that a UNDP project or activity, in whole or in part, is the focus of investigation for alleged fraud/corruption, each responsible party, subcontractor and sub-recipient will inform the UNDP Resident Representative/Head of Office, who will promptly inform UNDP's Office of Audit and Investigations (OAI). It will provide regular updates to the head of UNDP in the country and OAI of the status of, and actions relating to, such investigation.

- g. *Choose one of the three following options:*

Option 1: UNDP will be entitled to a refund from the responsible party, subcontractor or sub-recipient of any funds provided that have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of this Project Document. Such amount may be deducted by UNDP from any payment due to the responsible party, subcontractor or sub-recipient under this or any other agreement. Recovery of such amount by UNDP shall not diminish or curtail any responsible party's, subcontractor's or sub-recipient's obligations under this Project Document.

Where such funds have not been refunded to UNDP, the responsible party, subcontractor or sub-recipient agrees that donors to UNDP (including the Government) whose funding is the source, in whole or in part, of the funds for the activities under this Project Document, may seek recourse to such responsible party, subcontractor or sub-recipient for the recovery of any funds determined by UNDP to have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document.

Note: The term "Project Document" as used in this clause shall be deemed to include any relevant subsidiary agreement further to the Project Document, including those with responsible parties, subcontractors and sub-recipients.

- h. Each contract issued by the responsible party, subcontractor or sub-recipient in connection with this Project Document shall include a provision representing that no fees, gratuities, rebates, gifts, commissions or other payments, other than those shown in the proposal, have been given, received, or promised in connection with the selection process or in contract execution, and that the recipient of funds from it shall cooperate with any and all investigations and post-payment audits.
- i. Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the project or programme, the Government will ensure that the relevant national authorities shall actively investigate the same and take appropriate legal action against all individuals found to have participated in the wrongdoing, recover and return any recovered funds to UNDP.

- j. Each responsible party, subcontractor and sub-recipient shall ensure that all of its obligations set forth under this section entitled “Risk Management” are passed on to its subcontractors and sub-recipients and that all the clauses under this section entitled “Risk Management Standard Clauses” are adequately reflected, *mutatis mutandis*, in all its sub-contracts or sub-agreements entered into further to this Project Document.

XI. ANNEXES

- 1. Annual WorkPlan**
- 2. Social and Environmental Screening Template** [\[English\]](#)[\[French\]](#)[\[Spanish\]](#), including additional Social and Environmental Assessments or Management Plans as relevant.
- 3. Risk Analysis.** Use the standard [Risk Log template](#). Please refer to the [Deliverable Description of the Risk Log](#) for instructions
- 4. Project Design stage QA Assessment**
- 5. Key positions**