



Project Title: Ending Plastic Pollution Innovation Challenge - EPPIC

Project Number: 00119237

Implementing Partner: Ministry of Natural Resources and Environment, Viet Nam.

Start Date: January 2020

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Brief Description

If current trends continue, it is estimated that by 2050 there will be more plastic than fish in the ocean. Still, worldwide plastic consumption is expected to quadruple during this time. Besides, plastics have become the fastest-growing source of industrial greenhouse gases emissions. Plastic pollution has numerous adverse economic, social, and environmental impacts. In particular, marine plastic pollution costs up to \$2.5 billion per year in lost marine ecosystem services. Tackling plastic pollution will require multi-stakeholder collaboration and engagement.

The objective of this project is to contribute to the reduction of plastic pollution in coastal areas in four ASEAN target countries, contributing to the achievement of SDG 14: Life Below Water and SDG 12: Responsible Production and Consumption. EPPIC is a competition that will source innovative ideas from ASEAN countries for tackling local plastic challenges to contribute to widespread system-level change across the entire region.

The project intends to bring together citizens, local governments, and the private sector to identify pressing issues and collaborate in implementing effective solutions, in four countries - including Viet Nam, Thailand, Indonesia and The Philippines.

EPPIC will be implemented over 2.5 years with the following expected outcomes:

- **OUTCOME 1:** A portfolio of solutions is selected, supported and scaled-up through the EPPIC in four countries (Viet Nam, Thailand, Indonesia, and the Philippines).
- **OUTCOME 2:** Capacity building in Viet Nam for the prevention and reduction of plastic pollution, and networking and experience sharing in ASEAN countries are strengthened

ONE UNITED NATIONS STRATEGIC PLAN:

2.1: By 2021, Viet Nam has accelerated its transition to low-carbon and green development and enhanced its adaptation and resilience to climate change and natural disasters, with a focus on empowering the poor and vulnerable groups.

CPD Indicative Outputs:

2.3 Policies, systems and technologies in place to enable people to benefit from sustainable management of natural resources (forests, ecosystems), and reduced environmental and health risks

Project Management Modality: Direct Implementation Modality (DIM)

Gender Marker: Gen2

Total resources required:	\$1.560 million	
Total resources allocated:	UNDP TRAC:	
	Donor:	\$1.560 million
	Government:	/
	In-Kind:	/

Agreed by (signatures):

UNDP
Print Name:
Date:

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I. DEVELOPMENT CHALLENGE

Plastic use is expected to reach unprecedented levels in the coming decades, doubling within 15 years and more than quadruple by 2050. Estimations suggest that around 80 percent of plastics found in the ocean originates from land-based sources, and 8 million tons of plastic enter the sea every year. Plastic waste poses high risks to aquatic life, with serious consequences for the ocean ecosystem and the sustainability of fisheries.

Plastics are key drivers of climate change. The petrochemical industry's demand for oil is expected to accelerate and reach over half of global oil consumption growth by 2050 (which is superior to combined sectors of aviation, shipping and trucks). Emissions from plastic in 2015 amount for 1.8 billion metrics tons of CO₂ and these will reach 17% of the global carbon budget by 2050. These emissions come from all stages of the plastics value chain: from extraction, transportation and refining of raw material (coal, oil) to manufacturing, waste collection, recycling, incineration (Shen, 2019). Plastic packaging makes up for 40% of global plastics, and the production of plastic packaging is expected to quintuple between 2015 and 2050! The incineration of plastic packaging generated 16 million tons of CO₂-eq/year in 2015 and is expected to reach 84 million and 309 million tons of CO₂-eq/year in 2020 and 2050, respectively.

Globally, only 14% of plastic is recycled or 'decycled', as plastics are mostly transformed in low-value materials a few times before eventually being discarded in landfills or the environment. Less than 2% of used plastics are actually recycled in a closed circuit, that is to say, recovered to produce a usable material like new plastic and indistinguishable from it.

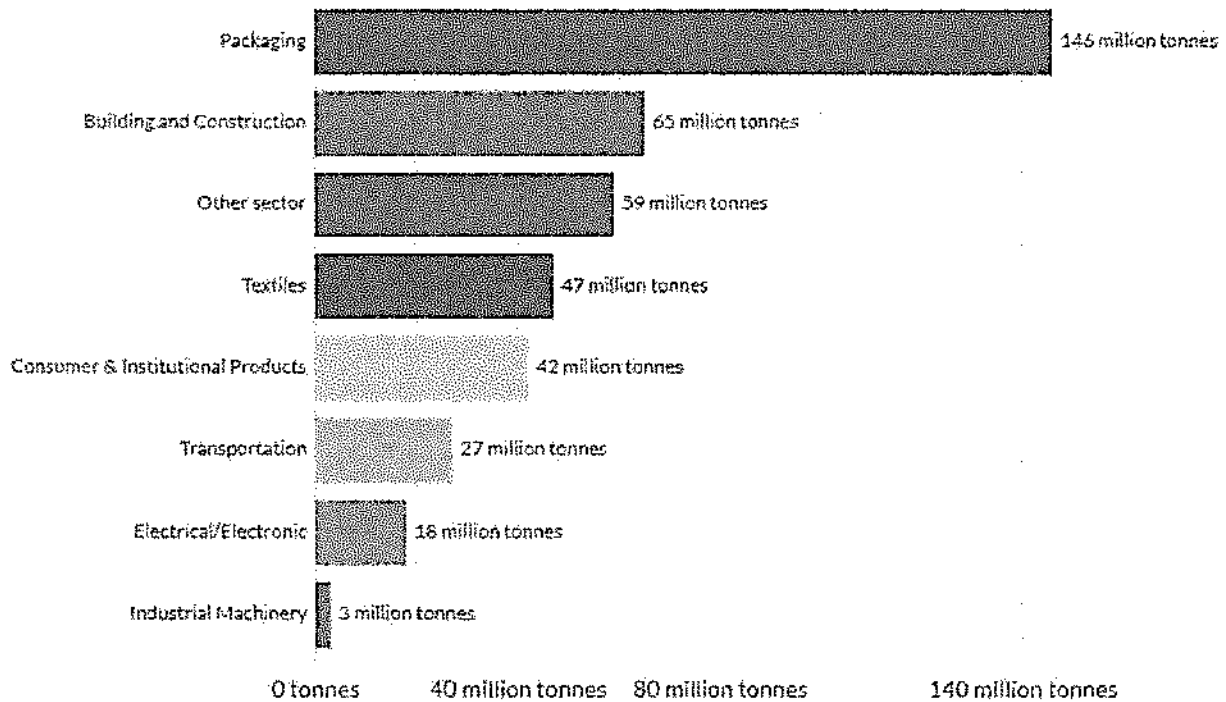
Four ASEAN member countries (Viet Nam, Indonesia, Thailand, and the Philippines) are responsible, with China, for 60 percent of the plastic discharged into the ocean every year (Ocean Conservancy, 2015). These countries are indeed large plastic producers and importers, but they also possess limited waste management systems, leading to leakage of plastics into the environment. Constraints to effective implementation of such waste systems include rapid urbanisation, population growth, and increase in per capita income leading to increased consumption; alongside lack of environmental awareness. However, the topic of plastic pollution is gaining momentum, and ASEAN member countries have endorsed in June 2019 the *Bangkok Declaration on Combating Marine Debris in the ASEAN region*.

At the global level, many countries have undertaken concrete actions to address plastic pollution, such as bans on single-use plastics, promotion of recycling standards, and Extended Producer Responsibility systems. In the ASEAN region, programmes to reduce plastic waste are just getting started. It is therefore critical to support ASEAN countries in preventing plastic pollution, communicating the risks associated with it, engaging the public and the business in the co-creation of solutions, and scaling-up innovative solutions to tackle plastic pollution. In recent years, local waste and plastic pollution across the entire ASEAN region has systematically brought negative impacts to the environment and quality of life of the regional population. There is increasing evidence from ASEAN countries that local start-ups, communities and youth are successfully undertaking new initiatives to address the challenge. Their efforts need technical, financial and policy support to systematically reduce plastic waste.

In Viet Nam, the plastic problem is twofold: firstly the country has been identified as a significant producer, secondly, plastic consumption has increased exponentially over the past decades (from 3.8kg per capita in 1990 to 41 kg annually in 2015). Recent estimates from MONRE (2019) indicated that Viet Nam produces 1.8 million tons of plastic waste annually, while Hanoi and Ho Chi Minh City alone generate 80 tons of plastic bags daily. Furthermore, Vietnamese households use, on average, 223 plastic bags a month (Nguyen, 2018). Early 2020, the country approved the National Action Plan for management on Marine Plastic Litter (Decision 1746/QD-TTg) demonstrating a high commitment to tackle the wicked problem of plastic pollution. Further, Viet Nam currently chairs the ASEAN network in addition to sitting as a non-permanent member of the UN Security Council. This international visibility presents a tremendous opportunity to start engaging the country and its partners in a paradigm shift on the way plastic is produced, consumed, recycled and disposed.

Tackling plastic pollution entails developing strategies for a range of sectors: packaging, construction, but also textiles and consumer products. Although the current awareness campaigns have mostly shed light on the over-use of single-use plastic by the food and beverage industry, this is only the tip of the iceberg and less commonly identified sectors deserve equal attention.

Figure 1: Plastic production by industrial sector, 2015 (Geyer et al, 2017).



Numerous solutions to reduce plastic pollution exist all over the world, from highly technical new materials to reusable packaging services and effective behavioral campaigns, the critical question this project proposes to address now is **'how to identify these solutions and help to scale them up'**? How to encourage people-powered innovation to address plastic challenges in their region? How can we support participating countries overwhelmed with the dramatic increase of plastics, to address the issue with locally developed innovative solutions?

Some preliminary studies have highlighted the challenges impeding many innovations, and specifically social innovations, to grow. These include:

- Financial barriers (high level of innovativeness rendering them risky for investors and longer payback periods)
- Technical barriers (lack of business skills such as sales, marketing, market analysis)
- Policy barriers (lack of fiscal incentives, procurement delays, risk-averse policymakers)
- Fragmented ecosystem (lack of coordination across various actors from the private, nonprofit, and public sector).
- Capacity gap (lack of necessary skills to finetune ideas to be scalable or profitable, and limited functional and technical expertise to thrive working in complex ecosystems).

These barriers emphasize the importance of an enabling environment for innovation as well as a robust networked approach to foster the ecosystem. The proposed project supports the inclusive innovation approach of engaging communities and different ecosystem players from investors to government officials across the countries to address the issue of plastic pollution. It also focuses on the importance of skills development and training as part of the scaling up.

In Viet Nam, women play a critical role in every stage of the plastics value chain. They make up the majority of waste collectors and scavengers working in landfills, and the collection points and small recycling depots are often own and run by women. Although limited empiric information exists in Viet Nam, a recent study highlighted the challenges and stigma these women are currently facing as well as their potential contributions in transforming the plastic value chain, with the correct technical and financial support in place (CECR, 2019). The Women's Unions and other mass organization advocate for continuous targeted policy support to strengthen the role of women in environmental protection while contributing to poverty reduction.

II. STRATEGY

Innovators, including government, businesses and citizens, are all needed to tackle the ever-growing plastic crisis, by developing and implementing together practical solutions which prevent the consumption of plastic in the first place. The project depicts the paradigm shift at UNDP from project-based work to a portfolio approach in order to create systemic impact¹. EPPIC challenge will illustrate this approach by building on locally developed solutions around the region to address the pressing problem of plastic pollution. Governments and the private sector will play a pivotal role in scaling up these solutions in which UNDP will function as the convener and facilitator, providing necessary capacity development support and connections.

Plastic pollution can only be reduced by a system-level shift towards a circular economy², including both bottom-up and top-down approaches. Consequently, there is a need to identify and leverage existing solutions aimed at preventing the generation of plastic waste and improving local waste management systems.

To do so, this project intends to deliver two outcomes:

- **OUTCOME 1:** A portfolio of solutions is selected, supported and scaled-up through the EPPIC in four countries (Viet Nam, Thailand, Indonesia, and the Philippines).
- **OUTCOME 2:** Capacity building in Viet Nam for the prevention and reduction of plastic pollution, and networking and experience sharing in ASEAN countries are strengthened

OUTCOME 1: A PORTFOLIO OF SOLUTIONS IS SELECTED, SUPPORTED AND SCALED-UP THROUGH THE EPPIC IN VIET NAM, THAILAND, INDONESIA, AND THE PHILIPPINES

To ensure the success and sustainability of the EPPIC, multiple preliminary and follow-up activities will be implemented. Before the actual launching of the challenge, local stakeholders in project sites will be consulted to identify the priority issue to be addressed through the EPPIC. This will be done through consultations with governmental, non-governmental and private institutions in each locality (2 countries and 2 sites each year). The aim is to ensure the full ownership, buy-in and interest of the stakeholders from the participating countries in solving the issues with innovative solutions. This is an essential design feature of the project and should hopefully trigger transformative change.

The project will set-up a high profile, impartial and multidisciplinary and gender parity selection panel to ensure that the selected solutions are indeed the ones with the highest probability of sustainability and replicability as they will address the most important priorities in the ASEAN with regards to plastic pollution.

After the EPPIC Pitch Competition, incubation and tutoring will be carried out in cooperation with training entities with outstanding records on business incubation supported by international experts on the several technical aspects related to the prevention, reuse, recycle and disposal of plastic. In parallel of the incubation period, the project will provide technical support to targeted institutions to support them in the adoption and uptake of the winning solutions. EPPIC selects and supports a cluster of applications in order to de-risk the process of finding the best solutions by granting and rewarding those who most excel throughout the incubation period.

OUTCOME 2: CAPACITY BUILDING IN VIET NAM FOR THE PREVENTION AND REDUCTION OF PLASTIC POLLUTION, AND NETWORKING AND EXPERIENCE SHARING IN ASEAN COUNTRIES ARE STRENGTHENED

¹ In 2019, UNDP established 60 Accelerator Labs around the world to create portfolios of experiments to tackle complex development challenges. This is a result of UNDP witnessing a widening gap between the solutions that we are delivering, and the complexity of the challenges faced by the countries in which we operate.

² Looking beyond the current take-make-waste extractive industrial model, a circular economy 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. Underpinned by a transition to renewable energy sources, the circular model builds economic, natural, and social capital. It is based on three principles: Design out waste and pollution, Keep products and materials in use, Regenerate natural systems.

Under Outcome 2, the intended outputs aim to build the capacity of key stakeholders in Viet Nam and ensure that EPPIC helps to lay the foundation for disruption of current pollutive practices. As such, the project will support the Vietnamese government at ministerial level, while simultaneously improving the capacity of the provincial authorities to address this complex challenge by enhancing their technical knowledge (local plastic assessment), soft skills (such as collective intelligence methods), and stakeholders' collaboration to drive innovation. Specifically, the project will support the establishment of the ASEAN Research Center on Marine Debris and the implementation of the National Plan on Marine Plastic, which is the backbone on the current efforts to address plastic.

Further, the project will utilize Viet Nam's chairmanship of the ASEAN network to fast track the learning curve in the region under the ASEAN working groups on Coastal and Marine Environment and through cross-country learnings via different platforms, social media and network. It will not only collect and disseminate lessons learned and results but also gather the key learning process throughout the project implementation. At the end of the project, scalable solutions will have accumulated all around the ASEAN region, providing a wealth of knowledge on what works and what doesn't in addressing the complex challenge of plastic pollution.

EPPIC is part of a bigger portfolio of projects at UNDP in the field of Circular Economy, waste management and plastics, and will be channeled through the Accelerator Lab network which will further strengthen the impact of the project. Besides, the project will collaborate with other activities carried out by different partners such as the World Bank, World Economic Forum, WWF, and the EU-Rethink Plastic who are now working closely with the Government for fighting plastic in the country and the region.

Training and awareness-raising campaigns tailored for key stakeholders (local government, citizens, private sector) to improve their knowledge, and encourage cooperation practices in addressing plastic waste locally and in the region, will be delivered. The awareness-raising campaigns will include both traditional and social media targeting the plastic challenge from both upstream and downstream perspectives, with a significant focus on waste prevention.

Criteria used for the selection of the project sites in each country

The challenge will target the coastal countries, which are together (with China) responsible for over 60% of the marine plastic pollution: Indonesia, Philippines, Viet Nam and Thailand (Ocean Conservancy, 2015). The selection of sites will be conducted during the inception phase of the project, in close discussion with the project Steering Committee. Five strategic criteria have been defined to guide the site selection for the competition.

No.	Criteria	Justification
1	Nearby coastal and sea area	The selected site should be located near the coastal area and sea area.
2	Political leadership and interest	The project will assess if the candidate site is identified as a priority location by the national government. It will target sites where there are a strong will and leadership to transform the system, based on the CO's knowledge and experience in operating in the country.
3	Local regulations in place	The project will appraise current and upcoming regulations on waste and plastic management and Circular Economy. It will assess the extent to which EPPIC responds to identified needs and is supported by evidence of local demand. Potential policies that could impede the uptake of the winning solutions will be analyzed and risk mitigation measures proposed.
4	Availability of data	The project will investigate if there is adequate availability of information and knowledge of the candidate site. This includes any scientific data available for decision-making and planning with respect to the type of plastic, usage and sources and ownerships of such information.

5	On-going programmes/projects	The existence of previous or ongoing programmes or projects on the site covering waste/plastic management is a favourable condition for the selection. These should be mapped, and synergies can be explored.
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Timeline and competition

Key milestones	2020												2021												2022					
	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun
EPPIC COMPETITION 2020 - Viet Nam Thailand																														
Design EPPIC Challenge (selection of countries, jury, categories etc)																														
Systemic design workshops/baseline studies to elicit the challenge																														
Develop communication materials (website, pr, etc)																														
Launch of the EPPIC challenge																														
EPPIC challenge is open to ASEAN Applicants																														
Announcement that EPPIC will be open for 10 more days (for final applicants)																														
Applications close - The jury evaluate the applications																														
UNDP conduct due diligence process																														
10-15 solutions shortlisted for a 3-months training and competition																														
EPPIC Pitch Competition (in Hanoi) - selection of 4 winning solutions - end of Sept																														
Equity-free seed funding to turn 4 winners solutions into viable business																														
Incubation Training and Impact Acceleration for the 4 winning solutions																														
EPPIC COMPETITION 2021 - Indonesia The Philippines																														
Systemic design workshops to elicit the challenge for 2 countries																														
2nd Edition of the EPPIC challenge is open to ASEAN Applicants																														
Announcement that EPPIC will be open for 10 more days (for final applicants)																														
Applications close - The jury evaluate the applications																														
UNDP conduct due diligence process																														
10-15 solutions shortlisted for a 3-months training and competition																														
EPPIC Pitch Competition - selection of 4 winning solutions																														
Equity-free seed funding to turn 4 winners solutions into viable business																														
Incubation Training and Impact Acceleration for the 4 winning solutions																														
End of the project																														

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 plastic generated, consumed and discarded while encouraging the transition to a circular economy which promotes more efficient use of scarce resources.

This proposed project has benefited from a robust cross-unit collaboration within the Country Office working on the topic of circular economy, waste and plastic management; and in particular with the Governance and Participation Unit whose previous experience in designing and running innovation challenges is invaluable to the project, as well as the Accelerator Lab through their ethnographic study and field visits in Da Nang.

III. RESULTS AND PARTNERSHIPS

OUTCOME 1: A PORTFOLIO OF SOLUTIONS IS SELECTED, SUPPORTED AND SCALED-UP THROUGH THE EPPIC IN VIET NAM, THAILAND, INDONESIA, AND THE PHILIPPINES

To deliver Outcome 1, the project will implement the activities listed below twice: targeting Viet Nam and Thailand in 2020, and Indonesia and the Philippines in 2021. The project will put in place monitoring, feedback and learning mechanisms to allow for potential amendments from one year to another. Based on the lessons learned from the EPPIC 1, some of the activities may be redesigned to ensure that they contribute to the delivery of outputs.

Output 1.1: A portfolio of innovative solutions to combat ocean plastic pollution is selected and designed

The core mechanism of EPPIC is the following: each year, up to 15 innovative solutions to fight plastic pollution will be selected for the first stage of support in order to finalize their proposal, lasting up to three months. At the end of this stage, these solutions will compete during an EPPIC Pitch Competition. The four most promising solutions (the EPPIC winners) will be awarded to enter the second stage (incubation training), which will last for an additional 9 months. Depending on the quality of the applicants, the project may accept more solutions for the incubation stage.

1.1.1: EPPIC is designed using evidence-based research and set-up in the participating countries

The CO will select a locality based on the CO's on-going projects, the priorities identified by the government counterpart and a range of other indicators, such as availability of data and local leadership to transform the status quo. Firstly, the project will conduct a baseline study assessment. The baseline study will explore the root causes of plastic pollution and inform the design of the challenge. As such, it aims to get a better understanding of the current situation (type and quantity of plastics produced/consumed, key actors, existing of recycling facilities, waste management system for plastic). The priorities of the communities and population affected by plastic pollution will also be reflected in the baseline. As a second step, a consultation will be organized to (i) present the results of this study, and (ii) collectively identify the most pressing local problem to be tackled (it could be a sector, a type of plastic etc). This second step allows for engagement and ownership of the local actors, as well as the framing of the specific problem to be tackled. Viet Nam CO will design and facilitate the consultations, while the partner CO will invite 10-15 key stakeholders (local government, NGOs, private actors, mass organizations) and manage the logistics (facilities and translators). For instance, the challenge might be to *'propose cost-effective and sustainable solutions to reduce the consumption of plastics from the tourism industry'*. Through the baseline assessment and during the consultation, a focus will be made to ensure that women's voices are properly represented and accounted for in the design of the competition.

A technical expert will develop the challenge categories and the criteria for assessing applications building on the existing Impact Measurements guidelines developed by UNDP. A first criteria will look at the composition of the application teams. Women-led teams will be encouraged. Other criteria may include investment readiness, including user reach/pool, area covered, local relevance, scalability, etc. Additionally, the criteria will consider the wider social impact of the entity and prototype within the framework of the SDGs. Some specific criteria may vary from one location to another as the selected solutions need to respond to a specific problem, therefore the winning innovations should tackle this issue. This will be clearly stated in the call for applications. UNDP will form the selection panel with experts and high-profile personalities capable of shedding light on the challenge; from ASEAN, Norway and other countries. It will include members of the government from participating countries, circular economy and plastic experts, and impact investors.

1.1.2: Engagement and communications activities implemented to ensure wide participation in the challenge

The call will be open for 6-8 weeks which is enough to ensure the broad participation in the challenge. During this time, the project team will work with stakeholders to drive awareness and maximising engagement to the challenge. It is recognized that women and men do not always use the same communication channels, thus the project will ensure that women groups are targeted in priority and women-led innovations will be encouraged, through the Women's' Union. Based on UNDP's previous experience (Youth Colab, SDG Challenge), workshops or local events will be arranged to reach out to potential applicants as well as contribute to awareness-raising and visibility of the project. The challenge will also be advertised through different UNDP's social media channels, e.g: Facebook has been found having most outreach in the context of Vietnam. Viet Nam CO will set-up the EPPIC website or incorporate the challenge into an existing website on waste and plastic (English and national languages – Year 1: Vietnamese and Thai), social media handles, design the logo and the global campaign.

1.1.3: 10-15 solutions are selected and enrolled for a 3-months training

Viet Nam CO will proceed to a first screening of the applications, and the partner CO will select the final solutions for Thailand based on its knowledge of the context. The competition will view all ideas regardless of the typology and size of the submitting entity, similarly valuable and with the proven track record and success will be equally evaluated, although the evaluation criteria will encourage the application of small organizations, NGOs, individuals, and academia. It is worth noting that the project will apply gender parity and will ensure sure that at least 50% of the selected applications are led by women.

The project will look for different types of solutions such as innovative materials, new services, behavioural innovations, data visualization, recycling technologies, community engagement mechanisms etc.

Awarded solutions will receive an enrolment form to start the 3-months 1st stage training, designed by Impact Aim UNDP Viet Nam. This is a collaborative initiative between UNDP and a private sector incubator program in Viet Nam to provide impact business acceleration/incubation services. It combines UNDP's impact measurement and acceleration knowledge with the private sector's business acceleration expertise to offer a holistic package to help businesses and organizations implement and scale up their innovative solutions. Impact Aim will deliver the training online and offline, including diverse topics, such as technical aspects of the circular economy for plastic, presentation skills, gender equality, SDG impact etc. The 10-15 most promising solutions will also be invited to join a field trip (in Thailand and Viet Nam) to gain more insights about the specific challenge and refine their ideas.

1.1.4: EPPIC Pitch Competition successfully organized and 2-4 winners awarded

All 15 solutions will be invited to Viet Nam for the final boot camp prior to the EPPIC Pitch Competition. The later will be co-organised by UNDP and VASI and broadcasted online on YouTube and other channels. Participants will present their ideas during a short pitch, followed by a Q&A session by the jury. The jury will attribute a note that will count for the final mark. 2-4 solutions will be awarded the EPPIC Award and invited to join a 9-months incubation period.

Output 1.2: Tailored support to grow and scale-up provided to the identified solutions

EPPIC has been designed to help inventors and innovators de-risking their solutions by providing them with resources and support that they need to thrive. The project aims not only to encourage people-powered innovation and identify locally developed solutions by different actors to address plastic pollution but also places high importance on the scaling up of the solutions. This requires an understanding of the conditions and patterns that enable social innovations to scale up as well as the nuanced incubation and training needs of the chosen teams. As part of the EPPIC, the combination of both incubation training and equity-free seed funding will be given for the 4 winning solutions.

1.2.1: Incubation and Impact Acceleration training delivered for the 2-4 solutions

The 4 winning solutions will be placed on a "launching pad" which will enable them to enter most successfully the market or public space. This incubation time covers from proponents/innovators' participation in the incubation training, development into complete project/technology ready for scale-up. Impact Aim will continue to oversee the training, on several technical aspects related to the prevention, reuse, recycle and disposal of plastic; as well as financial and business skills. The incubator (implementing partner) will be the entity in charge of delivering the training and will call for women experts to deliver the training sessions.

The solutions will frame their innovations as more effective means of contributing/achieving the priorities of the development policy, in this case, the National Action Plan on Marine Litter.

1.2.2: Equity-free seed funding disbursed upon progress and deliverables provided by 2-4 winners

The 2-4 selected winners each year will receive their grant in two³ instalments during the 9-months incubation period, upon the submission of deliverables, to ensure that it is spent in a sound way. Based on UNDP's experience with Youth Co:Lab, this is recognized as the best means to keep the teams engaged throughout the project, to ensure progress, and overcome potential barriers to commercialization.

UNDP does not intend to replace the existing angel investors in the countries where it operates, as this could potentially have adverse effects, but instead provide information, connections and capacity building when and where needed. Therefore, in parallel to the incubation training, the project will introduce the winners to impact investors interested in finding sustainable solutions. Specifically, it will connect effective solutions developed through EPPIC to

³ A first deliverable related to the detailed workplan of the solution/technology to be implemented, with timeframe and milestones and the complete design of the solution/technology to be implemented. A second deliverable which will correspond to the full implementation of the technology / solution, and the achievement of the practical results declared when submitting the application to the challenge, plus the submission of an interim report.

impact investors such as Circular Capital (who recently raised \$106 million) and the United Nations Social Impact Fund (UNSIF) to raise social impact financing for the scaling up of selected solutions. UNSIF will also be engaged to measure the impact of EPPIC solutions to attract further support from impact investors and facilitate project pipeline development for future solutions combatting plastic debris.

Output 1.3: Diffusion and replication strategies are designed and delivered – From ideas to impact

Throughout the project, efforts will be made to encourage the solutions to explicitly design for scale. In fact, when the potential for widespread impact is considered from the initial conception, it can drive important decisions around the design, costs, human resources, usages etc.

1.3.1: Technical support provided to the localities to implement the identified solutions

This activity is about creating effective demand for the identified solutions. Throughout the incubation training, UNDP will work in close collaboration with the locality to identify the bottlenecks which could prevent the implementation of the solutions, as well as to keep the momentum alive on reducing plastic pollution and supporting identified solutions. The project may conduct an analysis of local regulations, deliver the capacity building on technical aspects, facilitation, development a policy brief to support the buy-in and implementation. To summarize, it relates to supporting an enabling environment which will provide demand for the model. For instance, it could take the form of public agencies ready to provide commissions or contracts. Through this activity, the project will ensure that the solutions don't disrupt existing value chains and in particular the livelihoods of women working in the informal waste sector.

1.3.2: Assessment concluded of the replication potential of winning solutions at the regional/ national level

The project will conduct a study to assess the opportunities for expanding the pilot project to a larger scale. This will include mapping new locations, desired and existing capacities, regulations, the existence of potential partners, to deliver innovations at scale. In parallel, the project will leverage communications channels to advertise the winning solutions at the national and ASEAN level. Some of the plastic issues met by the two countries of Year 1 are likely to be found in other ASEAN member countries; therefore, the project will ensure that opportunities for replication are identified, lessons shared.

OUTCOME 2: CAPACITY BUILDING IN VIET NAM FOR THE PREVENTION AND REDUCTION OF PLASTIC POLLUTION, AND NETWORKING AND EXPERIENCE SHARING IN ASEAN COUNTRIES ARE STRENGTHENED

This project will contribute to the portfolio of services around waste and plastic management, currently offered by UNDP to the Vietnamese government and other partners. EPPIC will create a momentum and target innovators who are willing to engage with the issue by taking actions. However, to unleash transformational change, it is necessary to activate multiple levers simultaneously, such as policy, behaviour change and collaboration at the regional level.

This is why the activities under this outcome will be focused at three levels of interventions; (i) working with national institutions, particularly with VASI and VEA (within MONRE) to develop systemic, institutional and individual capacity for establishing and administrating the International Research Center on Marine Debris and Universities, Industries and Associations in Viet Nam (and relevant agencies in other countries); and (ii) promoting and leverage ASEAN platforms to fast track solutions to tackle plastic waste and (iii) cooperating with exiting national and regional plastic reduction initiatives (EU-Rethink Plastic, National Plastic Action Partnership), community and professional organisations.

Output 2.1: Increased awareness of plastic pollution and circular economy for plastics

2.1.1: Awareness needs and behavioral change triggers identified in participating countries

In respect to awareness and corresponding behavioural change, key messages delivered through the campaigns shall be actionable and understandable by all stakeholders. This means that the communication will be different depending on the audience: youth and students, business, local government etc. The baseline surveys will inform the communication plans as it will allow the project team to understand precisely where the needs and gaps are. A crucial element of this activity is to develop a communication strategy for disseminating key information to different target audiences. This would include, plastic prevention activities, explaining the risks posed by all type of plastics and the consequences of plastic pollution on different stakeholders and sectors, showcasing economic alternatives, and finally proposing concrete actions needed to change the status quo. The project will work in close collaboration with VASI and development partners to carry out successfully these activities. Plastic pollution is currently a key topic in Viet Nam; it is, therefore, essential to ensure that financial resources are going in the same direction to deliver tangible results. It is recognized that women typically manage household waste and display different behaviors concerning recycling; therefore the survey and the communication campaigns will target them as key demographic groups.

2.1.2: Innovative and impacting communication campaigns delivered

The programme is intended to have a multi-stakeholder approach, including the private sector, which plays a crucial role in addressing the issue of plastic pollution. Thereby, the awareness-raising will be equally targeted to the private sector, which in many instances lack knowledge on the impacts of plastic pollution on human health, natural ecosystems and environment. The communication campaigns will be delivered through traditional media such as national TV, social media, partnerships, PR and events.

Output 2.2: Renewal capabilities and capacity of national stakeholders strengthen to address plastic pollution

2.2.1: Functions and capacity of the government institutions strengthened

UNDP will be supporting the establishment of the International Research Centre on Marine Plastic Litter, which will be located in Viet Nam and hosted by the Vietnam Administration of Sea and Islands (VASI) under the Ministry of Natural Resources and the Environment (MONRE). UNDP will support the drafting of the SOPs which are an integral part of a successful organization and should describe both technical and fundamental programmatic elements, activities under the annual work plans, process to maintain quality control and quality assurance, compliance with government requirements etc. Besides, the project will draft the mandate, functions, and vision for the Center, as well as mechanisms to ensure cost-effective outreach with ASEAN countries. Several capacity-building activities to the new Center will be conducted such as support to recruitment and training of its new staffs, planning for annual activities etc.

Considering that in G20 meeting in 2019, Japan proposed a new implementation framework for actions to tackle the issue of marine plastic waste on a global scale; Indonesia also planed to establish a Center on Marine Debris, it is necessary to look at chances for functioning of the Vietnam center and collaboration with others. The Project will work closely with VASI for a more detailed plan on this point.

2.2.2: Policy frameworks (NAP on Marine Litter and the Blue Economy) effectively implemented

The Vietnamese Prime Minister recently signed the Decision 1746/QĐ-TTg dated 4th December 2019 approving the National Action Plan on Marine Plastic Litter, which sets 2025 targets of "Reduction of marine plastic litter by 50%; a collection of 50% of abandoned, lost or discarded fishing gear; 80% of coastal tourism areas, tourist attractions, tourist accommodations and other coastal tourism services stop using single-use plastics and non-biodegradable plastic bags; ensure nationwide beach cleanup campaigns are launched at least twice a year; and 80% of marine protected areas are without plastic". This project will support the establishment of the Monitoring and Evaluation (M&E) framework, include the baseline assessment. With the baseline assessment, the Project will support VASI/MONRE to assess the implementation the the NAP after different milestones.

The Government of Viet Nam recently introduced Decree 26/NQ-CP to establish a 5-year-plan and comprehensive plan to implement Resolution 36/NQ-TQ of the Central Party Sustainable Development of the Blue economy, followed by a National Steering Committee for implementation of the Sustainable Blue Economy Development Strategy (Decision 203/QD-TTg dated 06th February 2020). The Prime Minister is the Chairman, and MONRE Minister is the Vice Chairman of the Committee. As to support the implementation of Resolution 36/NQ-TQ, UNDP will provide some support VASI, especially in review, comment and launching of a Blue Economy Study, that are being developed under another Project.

It is clear that the successful implementation of the Vietnamese NAP on Marine Plastic Litter and Blue Economy Implementation Plan would significantly contribute to the reduction of plastic pollution in the East-Sea and ASEAN region. Therefore, the project will strongly support the implementation of these frameworks.

Output 2.3: Lessons learned, and plastic initiatives widely shared with ASEAN countries

2.3.1: ASEAN platform supported to facilitate the collaboration of plastic actors/innovators

The Project will support Viet Nam collaboration with other ASEAN countries on the topic of plastic pollution. Specifically, the Project is expected to support a special ASEAN Ministerial Meeting on enhancing cooperation and coordination on the marine environment, hosted by Viet Nam, as well as formulate Viet Nam's positions on plastic pollution issues in preparation for various international meetings and conferences. A joint statement is also expected to be promulgated at this meeting, including a focus on marine plastic pollution in the region. Furthermore, the ASEAN working group on Coastal and Marine Environment (AWGCME) is a technical group under the ASEAN Senior Officials on the Environment (ASOEN), which would be an appropriate platform for technical discussions on marine debris. Therefore, the Project will work with AWGCME, and support VASI in its role of Vietnamese focal point in order to improve dialogues, with a focus on ground issues to influence decision-makers on this area.

2.3.2: Lessons learned, key success and challenges are shared among all ASEAN countries

Successful practices from the 4 flagship countries will be shared at regional dialogues and forums, to ensure the mainstreaming of these practices and innovations. The project will report lessons learned and results to the ASEAN Working Group on Coastal and Marine Environment (AWGCME). Such information will also be shared on a regular basis to the ASEAN Ministerial Meeting on the Environment (AMME), and ASEAN Senior Officials on the Environment (ASOEN).

RESOURCES REQUIRED TO ACHIEVE THE EXPECTED RESULTS

The resources required to achieve the outputs detailed in the Results Framework are detailed in the Multi-Year Work Plan. The activities described above will be implemented over 30 months between January 2020 and June 2022 inclusive. The selection of the project sites (one site in each of the four countries) will be elaborated at the inception of the project based on the COs' current projects to maximise impacts. The project team involved in the direct management of the project will comprise 3 staff that will undertake project management, technical support, reporting and monitoring. These positions are cost-shared with other projects of the Climate Change and Environment and Governance and Participation Units. UNDP Regional Technical and Innovation Advisors from Bangkok Regional Hub will provide technical guidance and review regularly. A plan of mobilisation of resources is detailed under Section 4.

PARTNERSHIPS

Concerning the government partners: the Vietnam Administration of Sea and Islands (VASI) and the Viet Nam Environmental Agency (VEA) under the Ministry of Natural Resources and the Environment (MONRE), as well as the local provinces (will be identified at inception) are the key stakeholders in the project for Viet Nam. For the other participating countries, the government partners will be determined during inception with the support from partner COs in Thailand, Indonesia and the Philippines.

Organisations	Role
National Focal Points <i>Viet Nam: VASI</i> <i>Thailand: TBD</i> <i>Indonesia: TBD</i> <i>The Philippines: TBD</i>	<ul style="list-style-type: none"> Share knowledge and lessons learned to ASEAN and international forums.
Provincial Governments <i>Viet Nam: PPC or DONRE</i>	<ul style="list-style-type: none"> Leverage the participation of all stakeholders. Leadership and coordination for local engagement, provision of knowledge management. Adoption/scaling-up of winning solutions.

UNDP is actively engaged in the development and support of the nascent impact investing ecosystem in Viet Nam, which the project will benefit from. The incubation training will be delivered by Impact Aim, in close collaboration with a private Vietnamese Incubator, to build capacities further and anchor the solutions in the innovation scene in Viet Nam that UNDP has been supporting. This project acknowledges the upcoming Viet Nam National Innovation Centre, who may be contacted at a later stage. Further, the EPPIC aims to build a networked approach in addressing the challenge including with the ASEAN Centre on Combating Marine Debris, as such, it will not only work with the public and NGOs but will also actively engage the private sector to address the challenge.

In addition, there are an increasing number of development partners who are working to end plastic pollution in Viet Nam; however, none of them has launched an innovation competition so far. It is recognized that EPPIC should build on past and current initiatives and avoid any unnecessary duplication of efforts. This is why the competition will be open to existing solutions (who may have emerged during previous projects funded by partners). Through a strong multi-stakeholder approach, the project will seek to stay up-to-date with current programmes and efforts, encourage partners to share EPPIC in the communities they work with to speed-up the emergence of bottom-up solutions, and explore knowledge exchange opportunities, synergies and entry points for collaboration.

The project, especially through its Component 2, will ensure coordination with other marine-debris related initiatives, including among others with:

- **The ASEAN-Norwegian Cooperation Project on Local Capacity Building for Reducing Plastic Pollution in the ASEAN Region (ASEANO)** on sharing and disseminating plastic pollution reduction initiatives at ASEAN level.
- **ASEAN-World Bank PRO BLUE Project on Marine Debris.** This recently launched project aims to foster coordination among development partners working in the field of plastic pollution in Viet Nam. EPPIC will leverage this network to encourage full participation in the challenge.
- **ASEAN-EU Rethink Plastic project.** It is envisioned that EPPIC will collaborate with the EU to synergize efforts of interventions on communication and awareness-raising (Output 2.2).
- **Plastic Smart Cities – World Wildlife Fund.** Both projects will collaborate on the collection and dissemination of best practices, and communication/awareness-raising of the impacts of plastic pollution.

In addition, the project will also leverage partnerships with impact investing and financial institutions willing to collaborate with UNDP in offering financial instruments for supporting the growth of practical solutions to prevent plastic pollution.

Other related UNDP Viet Nam Projects include:

- Scaling up a socialized model of waste and plastic management, with the objective to develop integrated small-scale models to improve domestic waste and plastic management, in five Vietnamese cities and to introduce a circular economy approach to solid waste management.
- Integrated River Basin Management in ASEAN Countries. The project objective is to improve governance and management responsiveness and capacities in integrated water resources management, pollution load reduction from nutrients and other land-based activities, protection and conservation of freshwater environmental flows, and alleviation of climate vulnerability through demonstrations, planning, and strengthening of integrated river basin management in priority river basins of 7 ASEAN countries (including the countries selected for this project).

- Innovation projects (Youth Co:Lab, SDG Challenge) as well as the Climate Business Index.
- UNDP Viet Nam Accelerator Lab, which has been working in Da Nang to develop a systemic understanding of waste management and a subsequent portfolio of experiments to address the City's waste management challenge.

Visibility of the Norad

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

- Donor branding will be strategically placed on all communication materials (including website, infographic etc)
- Donor branding during the incubation training, EPPIC Pitch Competition and all events to promote the challenge
- Sharing of success stories on social media and blog stories will include mention of the donor
- Logos and acknowledgement of the donor on all the knowledge products.

RISKS

A detailed analysis of risks is available in Annex 4 Risk Log.

STAKEHOLDER ENGAGEMENT

The engagement and participation of stakeholders (UNDP Partner COs, local governments, incubators) are central to the successful delivery of this project. The issue of plastic pollution is complex and multi-faceted, and as such, it requires a combination of different skills and experiences throughout the project to identify, select and support the most promising solutions. The relevant stakeholders who will be involved in the project in each country will be recognised during the project development phase. This project intends to take a whole of society approach whereby start-up, but also communities, NGOs and individuals are given the opportunity to apply.

At ASEAN level, the ASEAN Working Group on Coastal and Marine Environment (AWGCME) has been identified as the main entry point for sharing lessons learned throughout the project. The following key dates have been identified:

- June 2020: The 21th meeting of the AWGCME (Location TBC, Viet Nam).
- Nov 2020: Special ASEAN Ministerial Meeting on Enhancing Cooperation and Coordination on Marine Environment (Location TBC).

SOUTH-SOUTH AND TRIANGULAR COOPERATION (SSC/TRC)

The project will set-up a number of networking opportunities among the participants to the challenge, the selected countries and the national/international partners. Through the ASEAN network, the project will explore and share lessons and good practices from all four 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 innovations in the field of plastic pollution. Specifically, the following knowledge products will be produced, Component 1:

- Baseline assessments of the plastic situation in 4 sites in 4 countries. These assessments will inform the challenges and respond to the following questions. What does the problem look like? What are the key facts and figures? And where are the opportunities to curb the increase in plastic pollution?
- Repository of 10-15 winning solutions each year. This will include the key contact information of the winning innovations, the technology/solutions they offer, the price if any. The aim is to make the information available to enhance the links between potential private/public actors who may be interested in buying/establish these in their localities.

- Lessons learned based on the Incubation Training. The project will produce technical briefs highlighting the key elements of the training that were the most successful, and recommendations for future projects on the capabilities needed for start-ups to access innovation competition on plastic/waste pollution.
- Case studies for each locality. The project will collect and disseminate lessons learned, with a particular focus on the strategies put in place by project sites to facilitate the implementations of the winning solutions. The format of these case studies may be videos telling the 'Innovation Journey Story' of the sites, including interviews with different stakeholders through the project.

SUSTAINABILITY AND SCALING UP

The continuity of the project will be supported by the efforts of the UNDP Viet Nam Accelerator Lab and the Accelerator Lab network, which in Viet Nam and other countries in the region is focusing on the topic of Circular Economy. UNDP Viet Nam is also supporting impact startups through other projects such as Youth Co:Lab and SDG Challenge, which will further provide support for the ecosystem.

Additionally, the sustainability will be ensured through the support of the plastic platform, facilitating the connection between the ideas and the investors, local governments and other stakeholders. UNDP will also include the winning initiatives as part of the on-going efforts in this area, inviting them to training, mentoring, capacity building and networking opportunities as well as provide them with visibility. Finally, these initiatives will be connected to the planned business accelerator platforms developed as part of the project entitled Scaling up a socialized model of waste and plastic management, supported by the Government of Norway.

In the selection of the innovative businesses to tackle plastic pollution, particular priorities will be given to initiatives capable of replacing the linear economy model with a circular economy model, which is sustainable in terms of job creation and which may be considered profitable by investors. UNDP, through technical assistance and training, will ensure that the financial, social and environmental sustainability of the innovative business is properly considered and strengthened. The EPPIC will span 2.5 years and will source innovative ideas to address localised issues in four countries; consequently, it would be desirable to continue the rotation of countries and ultimately hold the competition in all ASEAN countries eligible for ODA funding after a few years.

IV. PROJECT MANAGEMENT

COST EFFICIENCY AND EFFECTIVENESS

The project is cost-effective: It supports high-impact solutions with tailored training and equity-free seed financing. The financial award is somewhat limited vis-à-vis other competitions because UNDP sees EPPIC project as the connector between Impact Investing firms and local solutions and thus EPPIC should not replace financial facilities. EPPIC has been designed to identify promising solutions, support the de-risking and mobilized additional financial capital.

The project is designed to deliver maximum outputs with available resources through several mechanisms: (i) Joint activities with other projects on waste /plastic management (baseline studies, communication campaigns); (ii) some of the outputs planned for this project will utilise and capacitate internal partners (e.g. Impact Aim) who have relevant expertise in specific areas; and (iii) use of a portfolio approach whereby the identified 10-15 best solutions for Viet Nam could be supported through other mechanisms if relevant (Acc Lab, Impact Aim, Other challenges)

PROJECT MANAGEMENT

UNDP Viet Nam is directly implementing the project and is the Responsible Party under the Multi-Year Work Plan January 2020 to June 2022.

The UNDP project team consists of:

- **The Project Manager** (CCE Programme Officer Chemicals/Waste) will be responsible for the day-to-day management and decision-making for the project, and all aspects of quality management oversight of the Project.

S/he reports to the CCE Team Leader. The Project Manager will be responsible for overseeing the implementation of the annual work plans as well as the yearly progress and final reports.

- **The Programme Associate** will undertake project management support, predominantly on a part-time basis, including financial, communications, administrative, procurement, and monitoring and evaluation tasks.
- **International Consultants** (Climate Change and Environment, Governance and Participation Units) will assist and report to the Project Manager in project management, implementation and quality assurance, coordination with partners ensuring reporting and monitoring of the Project in compliance with UNDP rules, regulations and mandates.

V. RESULTS FRAMEWORK⁴

⁴ 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.

UNITED NATIONS DEVELOPMENT PROGRAMME



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UN ONE STRATEGIC PLAN OUTCOME INVOLVING UNDP #2.1: By 2021, Viet Nam has accelerated its transition to low-carbon and green development, and enhanced its adaptation and resilience to climate change and natural disasters, with a focus on empowering the poor and vulnerable groups

Country Programme Document (CPD): Output 2.3 Policies, systems and technologies in place to enable people to benefit from sustainable management of natural resources (forests, ecosystems); and reduced environmental and health risks.

Project Objective: Contribute to the reduction of plastic pollution in coastal areas in four ASEAN target countries, contributing to the achievement of SDG 14: Life Below Water and SDG 12: Responsible Production and Consumption

Project Title: Ending Plastic Pollution Innovation Challenge – EPPIC

EXPECTED OUTPUTS	OUTPUT INDICATORS	DATA SOURCE	BASELINE		TARGETS (by frequency of data collection)			DATA COLLECTION METHODS & RISKS
			Value	Year	2020	2021	2022 (FINAL)	
OUTCOME 1: A PORTFOLIO OF SOLUTIONS IS SELECTED, SUPPORTED AND SCALED-UP THROUGH THE EPPIC COMPETITION IN FOUR COUNTRIES (VIET NAM, THAILAND, INDONESIA, AND THE PHILIPPINES)								
Output 1.1: A portfolio of innovative solutions to combat ocean plastic pollution is selected and designed	<ul style="list-style-type: none"> ▪ # of plastic baseline assessments conducted in project sites ▪ # of consultations conducted with local stakeholders to define the main challenge to be tackled ▪ # of press/digital impressions about EPPIC ▪ # of applications to the challenge ▪ # of solutions which have been identified and shortlisted for the 3-months incubation stage * 	Project Report	0	2019	2	4	4	Scarcity of data
			0	2019	2	4	4	
			0	2019	20	40	40	Low number/low quality of applications
			0	2019	70	140	140	
0	2019	15	30	30				
Output 1.2: Tailored support to grow and scale-up provided to the identified solutions	<ul style="list-style-type: none"> ▪ # of solutions awarded as EPPIC winners for incubation training/impact acceleration * ▪ Amount of plastic waste (tons) prevented or treated by the awarded innovative solutions during project implementation * 	Project Report	TBD	2019	/	/	8 ⁵	Selected solutions do not deliver on time

⁵ 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

Output	# local roadmaps to support the establishment of the solutions	# studies on replication potential of the solutions to other localities	Project Report	2019	2019	2019	2019	2019	Market forces in place to stop the introduction of the solutions
Output 1.3: Diffusion and replication strategies designed and delivered – From ideas to impact	0	0		2	4	4	2	4	4
Output 2.1: Increased awareness of plastic pollution and circular economy for plastics	TBD during inception	TBD	Project survey	N/A	40%	40%	N/A	40%	Challenges to measure increased awareness
Output 2.2: Renewal capabilities and capacity of key stakeholders developed to address plastic pollution.	0	0	Media report, PR, blogs Project survey	1	2	2	N/A	40%	2
Output 2.3: Lessons learned, and plastic prevention initiatives widely shared with ASEAN countries	0	0	Project Report	/	1	1	5	15	1
	0	0	Project Report	1	1e	1	10	15	15
	0	0	Project report	10	15	15	10	20	20

OUTCOME 2: CAPACITY BUILDING IN VIET NAM FOR THE PREVENTION AND REDUCTION OF PLASTIC POLLUTION, AND NETWORKING AND EXPERIENCE SHARING IN ASEAN COUNTRIES ARE STRENGTHENED

or for other targeted groups where relevant.

6 - Eight (8) solutions will be awarded in total after 2 years. This includes 4 solutions for 2 countries each year.



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VI. MONITORING AND EVALUATION

In accordance with UNDP's programming policies and procedures, the project will be monitored through the following monitoring and evaluation plans

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.	UNDP Partners COs (Thailand, Indonesia, the Philippines)	
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.		
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.	Bi-annual	Relevant lessons are captured by the project team and used to inform management decisions.	UNDP Partners COs (Thailand, Indonesia, the Philippines)	
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 log with mitigation measures, and any	Annually, and at the end of the project (final report)			

	evaluation or review reports prepared over the period.				
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.		
Project Evaluation	An independent evaluation will be conducted at the end of the project.	30/09/2022	The aim is to assess the outcomes against the target set and to verify the relevance, efficiency, effectiveness and sustainability of the project activities.	UNDP Viet Nam.	\$25,000

According to UNDP's requirements, the project is not subject to an evaluation⁷ because the budget is lower than \$5 million and will be implemented over 2.5 years. However, it was agreed with the donor that UNDP will conduct a terminal project evaluation.

⁷ UNDP requirements for an independent evaluation:

- (a) Projects with a planned budget or actual expenditure of over \$5 million must plan and undertake both a midterm and final evaluation
- (b) Projects with a planned budget or actual expenditure between \$3 million and \$5 million must plan and undertake either a midterm or final evaluation
- (c) Projects with a duration of more than five years must plan and undertake either a midterm or final evaluation.



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VII. MULTI-YEAR WORK PLAN ⁸⁹

The Multi Year Work Plan can be found in Annex 1.

⁸⁸ 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.

⁸⁹ 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

The full project will be managed and implemented by Project Team pertaining to the Climate Change and Environment at UNDP Viet Nam. The Project Board will be established to provide overall guidance and provide objective and independent project oversight and monitoring functions. This role ensures that appropriate project management milestones are managed and completed. Government representatives will participate in the Project Board, and as such, they will share the responsibility of monitoring the project against the set indicators to ensure its success and promptly undertake any actions necessary to keep project implementation on track. The partners will be government entities, such as the Ministry of Environment and Natural Resources and the Ministry of Foreign Affairs as well as UNDP Country Offices. The project will ensure government inclusion, engagement, and interest in creating and facilitating the deployment of innovative solutions. It is worth clarifying that the governments who participate in the EPPIC project cannot be held accountable for the success or failure of the solutions which are selected.

The project has been discussed with the Environmental Focal Point to ASEAN of the Viet Nam Environmental Agency (VEA), and with the Focal Point of the ASEAN Center on Combating Marine Debris within Viet Nam Administration of Sea and Islands (VASI), both VEA and VASI belong to the Ministry of Natural Resources and the Environment (MONRE).

The Project Board will be chaired by a senior representative of UNDP Viet Nam, and will comprise the representatives of the following organisations:

Project Board/ Steering Committee

- Deputy Resident Representative of UNDP Viet Nam
- Representative of the Norwegian Embassy/ Norad
- Representative of the Viet Nam Administration of Sea and Islands (VASI)
- Representative of the MOFA as focal point to ASEAN

The composition of the EPPIC Panel will be done at inception of the project.

Figure 2: Project Arrangement

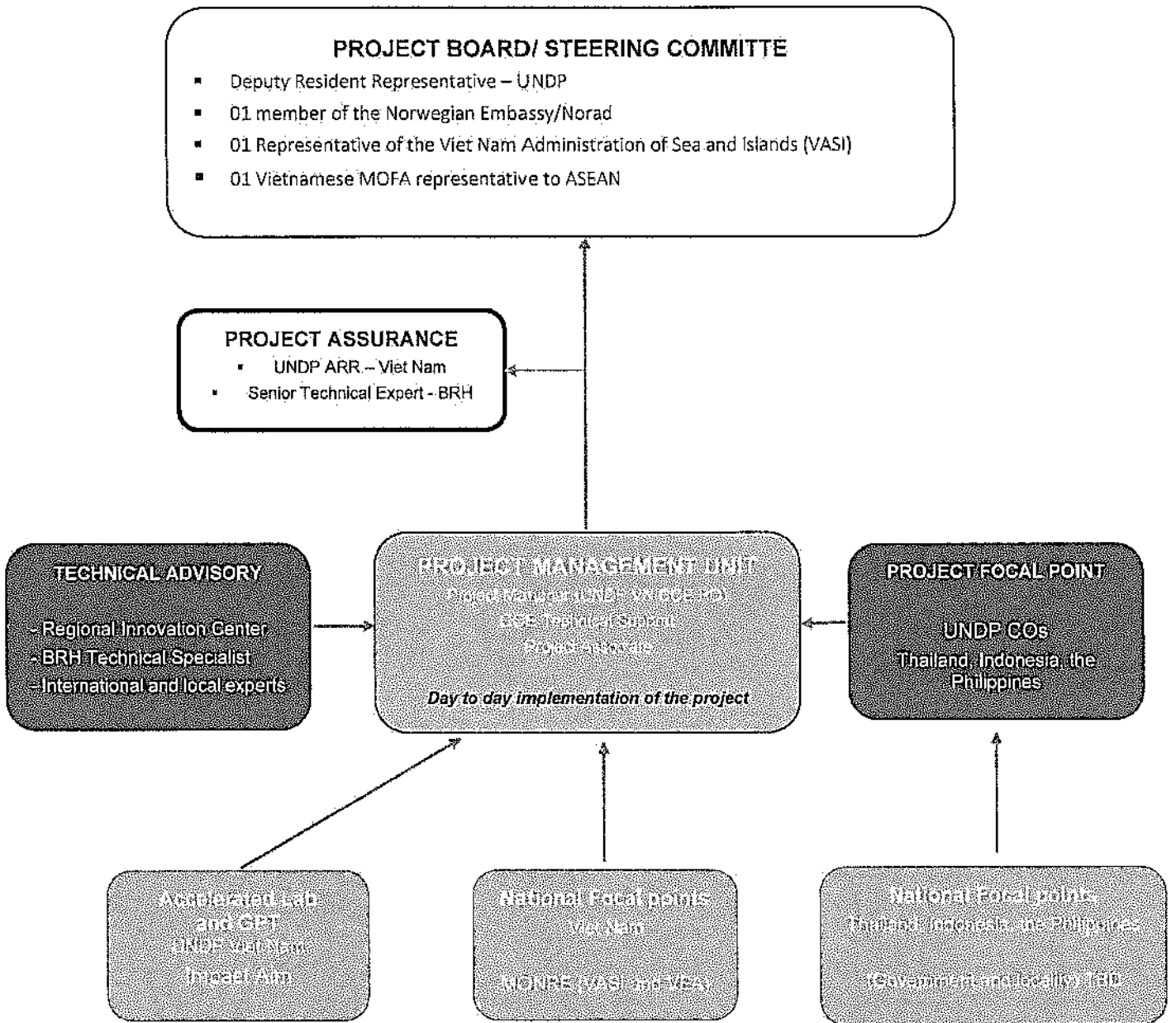


Table 3: Indicative roles of different stakeholders

Project Board	<ul style="list-style-type: none"> ▪ Provide direction and orientation to the Project implementation, to be in line with legal context of the country, in the region and donor's perspective. ▪ Review the project progress and approve overall planning. ▪ Approve substantial changes regarding objectives and outcomes of the project ▪ Project Board to meet annually and meet upon request.
UNDP Country Offices: UNDP Viet Nam, Thailand, Indonesia and the Philippines	<ul style="list-style-type: none"> ▪ Select the locality for the challenge ▪ Recruit IC and NC to conduct baseline assessments (including local consultation to identify the issue) ▪ Government counterpart agrees to sit in the panel ▪ Participation in local events, digital and PR communications; networking ▪ COs and the government counterparts attend the competition in Viet Nam ▪ Recruit NC to continue building momentum with stakeholders and identify local bottlenecks/challenges to implementation of winning solutions <p><u>Accelerator Lab and GPT through Impact Aim:</u></p> <ul style="list-style-type: none"> ▪ Design and Supervise the Incubation Training ▪ Position EPPIC in the start-ups/innovation scene
Vietnam National Focal point: VASI/VEA under MONRE	<ul style="list-style-type: none"> ▪ Participate in the EPPIC challenges and uptake the solution to the country ▪ Promote the implementation of NAP on Marine Plastic and Sustainable Development of Blue Economy following recent Government legal documents ▪ Promote cooperation and networking in ASEAN region
Government counterparts in Thailand, Indonesia and the Philippines	<ul style="list-style-type: none"> ▪ Participate in the EPPIC challenge and uptake the solution to the country ▪ Public awareness raising on EPPIC and reduction of marine plastic litter
UNDP BRH and Regional Innovation Center	<ul style="list-style-type: none"> ▪ Provide technical guidance when necessary on the design of the competition (categories, jury, criteria) ▪ Introduce relevant technical experts
Incubators	<ul style="list-style-type: none"> ▪ Collaborate with Impact Aim ▪ Deliver the Incubation Training
Communication agencies	<ul style="list-style-type: none"> ▪ Design EPPIC website and communication materials ▪ Participate to local events to present EPPIC and encourage participation to the challenge ▪ Design and activate social media campaigns

IX. LEGAL CONTEXT

This project document shall be the instrument referred to as such in Specific Agreement between Norwegian Agency for Development Cooperation (NORAD) and United Nation Development Programme (UNDP), signed on 12th November 2019. All references in the SBAA to "Executing Agency" shall be deemed to refer to "Implementing Partner."

This project will be implemented by UNDP 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]¹⁰ [UNDP funds received pursuant to the Project Document]¹¹ 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/ao_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-srm>).
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. In the implementation of the activities under this Project Document, UNDP as the Implementing Partner will handle any sexual exploitation and abuse ("SEA") and sexual harassment ("SH") allegations in accordance with its regulations, rules, policies and procedures.
6. 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.
7. 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 *[or 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.
 - 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. In the performance of the activities under this Project, UNDP as the Implementing Partner shall ensure, with respect to the activities of any of its responsible parties, sub-recipients and other entities engaged under the Project, either as contractors or subcontractors, their personnel and any individuals performing services for them, that those entities have in place adequate and proper procedures, processes and policies to prevent and/or address SEA and SH.
 - d. 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.
 - e. 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

¹⁰ To be used where UNDP is the Implementing Partner

¹¹ To be used where the UN, a UN fund/programme or a specialized agency is the Implementing Partner

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.

- f. 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.
- g. 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.

- h. 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.

Option 2: Each responsible party, subcontractor or sub-recipient agrees that, where applicable, donors to UNDP (including the Government) whose funding is the source, in whole or in part, of the funds for the activities which are the subject of the 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.

Option 3: 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 the 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.

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.

- i. 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.

- j. 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.
- k. 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 Work Plan**
- 2. Social and Environmental Screening**
- 3. Project Quality Assurance Report**
- 4. Risk Analysis**
- 5. Key project Management Positions**