United Nations Development Programme

Project title: Supporting the Implementation of the National Action Plan on Marine Plastic Litter in the context of Green Recovery post-COVID 19 in Viet Nam		
Country: Vietnam	**Implementing Partner (GEF Executing Entity):** Viet Nam Agency of Seas and Islands on behalf of Ministry of Agriculture and Environment (MAE)	**Execution Modality:** National Implementation Modality (NIM)
Contributing Outcome (UNSDCF/CPD, RPD, GPD): **UNSDCF Outcome:** OUTPUT 2.2 Accelerated implementation of policies and measures and enhanced awareness and engagement of stakeholders for low-carbon development, circular economy, environmental protection, and reduced environmental pollution. **UNDP Country Program:** OUTPUT 2.2: Policies and solutions designed and implemented for transformation to low-carbon development, circular economy, and environmental protection		
UNDP Social and Environmental Screening Category: Moderate	**UNDP Gender Marker:** 2	
Quantum Award ID: 1163166	**Quantum Project/Output ID:** 01001272	
UNDP PIMS ID number: 6695	**GEF Project ID number:** 11017	
LPAC meeting date: 4 January 2024		
Last possible date to submit to GEF: 12 June 2023		
Latest possible CEO endorsement date: 20 September 2023		
Project duration in months: 48		
Planned start date: 1 June 2025	**Planned completion date:** 31 May 2029	
Expected date of Mid-Term Review (MTR) submission to the GEF: (N/A)	**Expected date of Terminal Evaluation (TE) submission to the GEF:** 1 March 2029	
Expected Operational Closure Date: 28 February 2030	**Expected Financial Closure Date:** 28 August 2030	
Brief project description: Viet Nam is a Southeast Asian country with severe marine plastic pollution that affects the South China Sea Large Marine Ecosystem. This is historically due to internal (poor management of municipal waste, limited control of waste released by marine activities) as well as external (plastic waste transported by the ocean to the Vietnamese coasts) factors. The COVID-19 pandemic has further exacerbated the situation and accelerated the manufacture and use of Single Use Plastics (SUPs). The objective of the project is to strengthen the implementation of the Vietnam Government's National Action Plan (NAP) on Marine Plastic Litter signed with Decision 1746/QD-TTg dated 4th December 2019. The project will provide policy-to-practice support to the NAP with a number of upstream and downstream actions piloted in Binh Dinh Province, which will contribute to a Green Recovery from COVID-19.		

Building on previous projects supported by the Norwegian Embassy and implemented by UNDP, such as "Scaling up a Socialised Model of Domestic Waste and Plastic Management in Five Cities in Viet Nam," "Scaling Up Integrated and Inclusive Waste Management Models through Empowering the Informal Sector and Fostering the Circular Economy," and the Ending Plastic Pollution Innovation Challenge (EPPIC), the project will support measures enhancing collection and recycling of plastic waste, behavioral change to reduce SUP consumption, and awareness raising and communication, the project intends to significantly reduce the release of plastic waste to the ocean. The project has three components to address the key barriers identified in the implementation of the NAP: Component 1: Enabling Policy Framework on marine plastic effectively implemented; Component 2: Behavior change in relevant sectors (e.g., food and beverage) to accelerate the transition towards a Circular Economy in Binh Dinh Province; and Component 3: Knowledge Management, Monitoring and Evaluation.	
FINANCING PLAN	
GEF Trust Fund grant	USD 2,000,000
(1) Total Budget administered by UNDP	**USD 2,000,000**
(2) Co-financiers that will deliver project results included in the project results framework (Funds not administered through UNDP accounts) (USD)	
(2) Total confirmed co-financing	**USD 10,136,000**
(3) Grand-Total Project Financing (1)+(2)	**USD 12,136,000**

SIGNATURES:

Signature: **Nguyen Duc Toan** **Director General** **Viet Nam Agency of Seas and Islands on behalf of Ministry of Agriculture and Environment**	**Agreed by Implementing Partner**	**Date/Month/Year:** 02 Jun 2025
Signature: **Ramla Khalidi** **Resident Representative** **UNDP Viet Nam**	**Agreed by UNDP**	**Date/Month/Year:** 03 June 2025

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List of Acronyms and Abbreviations

Abbreviation	Definition
AWGCME	ASEAN working group on Coastal and Marine Environment
DARD	Department of Agriculture and Rural Development
DONRE	Department of Natural Resources and Environment
EPR	Extended Producer Responsibility
GEF	The Global Environment Facility
GPAP	The Global Plastic Action Partnership
IA	Implementing agency
LEP	Law on Environmental Protection
MAE	Ministry of Agriculture and Environment
MARD	Ministry of Agriculture and Rural Development
MONRE	Ministry of Natural Resources and Environment
MOIT	Ministry of Industry and Trade
MRF	Material Recovery Facility
NAP	National Action Plan
NPAP	National Plastic Action Partnership
PPC	Provincial People's Committee
PPE	Personal protective equipment
PPG	Project Preparation Grant
PSC	Project Steering Committee
TE	Terminal evaluation
UNFCC	United Nations Framework Convention on Climate Change
URENCO	Urban Environment Limited Company
VASI	Viet Nam Administration of Seas and Island
VEA	Viet Nam Environment Administration
VEPF	Viet Nam Environment Protection Fund

II. DEVELOPMENT CHALLENGE

II.1. The global environmental and/or adaptation problems,

Viet Nam is seen as one of the top plastic consumers worldwide. Its plastic consumption per capita has increased by 11 times, from 3.8 kilograms in 1990 to 81 kilograms in 2019 (IUCN-EA-QUANTIS, 2020, National Guidance for plastic pollution Hotspotting and shaping action, Country Report Viet Nam). Viet Nam alone produces 1.8 million to 6.2 million ton of plastic waste (IUCN-EA-QUANTIS/ MONRE, 2019) annually, and more than half of this number remains uncollected. This results in discharging about 280,000-730,000 tons of plastic debris in the ocean each year, ranking fourth among the top 20 nations in plastic waste volume[1]. According to the IUCN-EA-QUANTIS report 453,000 tons of plastic waste was discarded into the ocean in 2018. World Bank also has estimated that overall waste generation rate is projected to double from 27 million tons in 2018 to 54 million tons by 2030, which will likely have significant impact on the level of marine plastic debris generated inland.

This is not problem for Vietnam alone, but a regional and global problem. Indeed, the issue of marine plastic pollution is severe along all the Southeast Asia region where rapid economic growth has led to an immense increase in the use of plastic, especially for packaging of consumer goods. Unfortunately, waste management systems in the region have not kept pace. In Thailand, for example, only around half the waste is collected, while in Malaysia and the Philippines, just 15 percent is safely disposed of.

Plastic pollution has also seen a significant increase during the COVID-19 due to the increased use of packaged and delivery food, and the use of personal protective equipment (PPE) which are in most cases manufactured with synthetic fibers.[2] The aquatic ecosystems are interconnected both at local and global level. No matter their development level, all the countries worldwide are impacted to a certain extent by the plastic pollution of the ocean. Plastic waste has the unique characteristics of being extremely durable and having the capability of being transported with the ocean currents. Therefore, there is a strict interrelation between the generation of plastic waste from the land and the pollution of the ocean, and vice-versa. The result is the damaging of the sensitive costal ecosystems, like for instance mangrove ecosystems and coral reefs, and at the same time, the damaging of the deep marine ecosystems. Although both land-based activities and marine based activities contribute to the release of plastic waste into the ocean, the larger percentage of plastic waste are generated from land-based sources[3]. Plastic is a contaminant which impacts all the trophic levels of the marine ecosystem. The interactions of large plastic debris with several marine taxa, through processes such as ingestion and entanglement, have been well documented[4] [5] [6]. More recently, concern arose about the impact of microplastic on the marine ecosystem. Due to their small size, microplastics are potentially bioavailable, via ingestion, to a wide range of organisms as they overlap with the size range of their prey[7]. In turn, this impact indirectly on human health through the food chain. However, the impact of plastic pollution is not limited to the already unacceptable impact on the environment and human health. Plastic

[1] IUCN. 2020. National Guidance for Plastic Pollution Hotspotting and Shaping Action, Country Report Viet Nam. Bangkok

[2] The impact of the COVID-19 on plastic pollution has been diverse and complex, as testified by several research articles published in 2021 (Silva et al., Increased plastic pollution due to COVID-19 pandemic: Challenges and recommendations, Chem Eng J. 2021 Feb 1; 405: 126683; European Environment Agency, https://www.eea.europa.eu/highlights/covid19-in-europe-increased-pollution, etc.).

[3] Andrady, A.L., 2011. Microplastics in the marine environment. Mar. Pollut. Bull. 62, 1596–1605. https://www.sciencedirect.com/science/article/pii/S0025326 X11003055.

[4] S. Baulch, C. Perry, Evaluating the impacts of marine debris on cetaceans, Mar. Pollut. Bull., 80 (2014), pp. 210-221, https://doi.org/10.1016/j.marpolbul.2013.12.050

[5] .L. Lavers, A.L. Bond, I. Hutton, Plastic ingestion by Flesh-footed Shearwaters (Puffinus carneipes): implications for fledgling body condition and the accumulation of plastic-derived chemicals, Environ. Pollut., 187 (2014), pp. 124-129. https://doi.org/10.1016/j.envpol.2013.12.020

[6] E.M. Duncan, Z.L.R. Botterell, A.C. Broderick, T.S. Galloway, P.K. Lindeque, A. Nuno, B.J. Godley
A global review of marine turtle entanglement in anthropogenic debris: a baseline for further action
Endanger. Species Res., 34 (2017), pp. 431-448
https://doi.org/10.3354/esr00865

[7] Zara L.R. Botterell, Nicola Beaumont, Tarquin Dorrington, Michael Steinke, Richard C. Thompson, Penelope K. Lindeque, Bioavailability and effects of microplastics on marine zooplankton: A review, Environmental Pollution, Volume 245,2019, Pages 98-110,ISSN 0269-7491,https://doi.org/10.1016/j.envpol.2018.10.065.

pollution has dramatically impacted the aesthetic value of some of the most beautiful coastal areas and rivers in the world, including UNESCO heritage sites.[8] [9]

Sensitive to the severity of the problem, the Viet Nam government in 2019 has promulgated the "National Action Plan for Management of Marine Plastic Litter by 2030", which includes ambitious specific targets and a timeframe for the reduction of marine plastic litter. The successful implementation of the NAP will require actions at 3 different levels: 1. Waste avoidance, by reducing the use of SUPs (single used plastic products) and promoting re-use; 2. Better collection of plastic waste, even though the establishment of an effective extended producer responsibility system (EPR); 3. Enhance the environmentally safe recycling of plastic waste. The implementation of the NAP requires therefore a gigantic effort in term of shifting from a linear to circular economic model in the production of goods, promote behavioral change of consumers, and establishing new infrastructures for the collection and recycling of plastic waste.

The management of municipal solid waste in Viet Nam, especially outside urban areas, is not effective, resulting in a large amount of mixed and unsorted waste entering the environment and ending up in the sea. The main issue in Viet Nam is the complete lack of a sustainable tariff system for waste collection services. The charging fee for waste services is not enough to cover the collection and disposal costs paid by state-owned companies like URENCO. At the same time, the participation of private companies in waste management is very limited due to complex permitting procedures, and policy constraints. This results in several consequences: 1. The collection of recyclables is mostly carried out by the informal sector, which is theoretically illegal, but tolerated by the government as it contributes to solving the issue of inefficient collection. The informal sector is therefore at the same time considered indispensable and kept at the margin of the society[10] [11]. 2. The transportation costs and logistical complexity make the collection of waste in remote / rural areas financially unsustainable for state-owned companies and are assigned therefore a lower priority 3. The lack of a sound tariff system prevents the state-owned companies from investing in the waste management sector, with the consequence that most of the waste ends up in landfills which are often poorly managed or are disposed of in substandard incinerators. 4. As the cost of waste services is minimal, there is no incentive for people to reduce their generation of waste. Instead, it is common to receive some money from informal collectors upfront the collection of recyclables, like plastic, metal scrap, papers. This has generated the common perception that to reduce the generation of waste is the duty of "someone else".

Most domestic plastic scrap is recycled by the informal sector, mostly in plastic recycling craft villages. It is estimated that about 309.000 ton of domestic plastic scrap was recycled (about one-third of input plastic scrap) in the craft villages (*IUCN-AE-QUANTIS, 2020*).

In the case of plastic recycled in Viet Nam, 93% of total input scrap is imported and recycled by the formal sector (*IUCN-AE-QUANTIS, 2020*). The remaining 7% of plastic recycled is domestic scrap and is recycled by the informal sector in craft villages.

In recycling villages, domestic plastic waste is recycled on a small scale, with low-grade technology producing low quality products, with low energy efficiency and lacking necessary environmental protection measures. Craft villages such as Minh Khai, outside Hanoi, have more than 900 households recycling plastic scraps, processing 650 tonnes of plastics per day. In such recycling villages, only 70-75% of the plastic waste is recycled, whilst 25-30% is discarded as non-recyclable, often ending up in open burning releasing PCDD/F, particulate matter, and other pollutants. Large amounts of wastewater, from washing contaminated plastics, are discharged each day without proper treatment. The rudimentary process with insufficient treatment and lack of regulation creates negative externalities from this informal recycling, notably the serious environmental pollution. Such an unregulated informal industry poses a threat to the local community as well as the shared global environment.

[8] Tanveer M. Adyel* and Peter I. Macreadie, World's Largest Mangrove Forest Becoming Plastic Cesspit, Front. Mar. Sci., 12 October 2021, Sec. Marine Pollution, https://doi.org/10.3389/fmars.2021.766876

[9] From the Field: The pollution challenge facing the 'Dragon's Jewels' of Viet Namhttps://news.un.org/en/story/2021/08/1097052

[10] ILO. Informal economy in Viet Nam. https://www.ilo.org/hanoi/Areasofwork/informal-economy/lang--en/index.htm

[11] A very illuminating analysis of the situation of informal waste operators in Viet Nam has been carried out by the UNDP accelerator lab and may be found here: https://www.undp.org/vietnam/blog/peek-life-informal-waste-workers-viet-nam-during-covid-19

II.2. Root causes

Below, the root causes which have been identified during project preparation are described:

- **Continuous tax incentives for plastic import.** Until recently, the government of Viet Nam is still providing tax incentives for the import of plastic material to help local plastic industry businesses overcoming difficulties in the short term. This has facilitated the import of virgin material instead of the development of recycling industry to increase the availability of locally recycled plastic (https://vpas.vn/information/news/petrochemicals-materials-and-pp-resins-pellets-import-tariffs-cut-to-1.html).
- **The COVID-19 pandemic has increased the use of single-use plastic items.** The COVID-19 pandemic increased the use of single-use plastic packaging, as well as single-use food ware, glasses and tableware, which is perceived as safer and cleaner. The use of single-use plastic bags and containers for food and shop delivery also increased significantly, due to limited mobility and lockdowns during the pandemic.
- **SUP use in the tourism sector.** The tourism boom in Viet Nam slowed down during the first years of the pandemic due to the restrictions associated with international – and local – travel. Currently, although the restrictions to movement and tourisms have been relieved, the high consumption of SUP related to the hospitality and F&B industry remains. Provinces – like Binh Dinh - already impacted by plastic waste due to intensive national and international tourism, prior to Covid19, are now facing an even more serious impact.
- **Transport of plastic waste from land to the ocean.** Binh Dinh Province is situated on the coast of middle Central Viet Nam and runs 110 km north-south with a natural land area of 6,025km² plus 36,000km² of sea waters. Binh Dinh borders Quang Ngai, Gia Lai, and Phu Yen Provinces on the north, west and south respectively. It has a steep elevation and sloping land from west to east. There are four main rivers, namely, Kon, Ha Thanh, La Tinh, and Lai Giang Rivers. All the rivers flowing through the province are short and are often flooded during the wet season whilst dry during the hot season. The waste accumulated in the riverbed during the dry season is easily transported to the sea during the rainy season.
- **Impact of improper recycling technologies.** Most of the recycled plastic in Viet Nam comes from informal recycling sector. Some well-known recycling villages are processing large amounts of plastic, and in many cases, it is unlikely that this amount is entirely coming from the collection activities: the huge amount of recycled plastic in village like Minh Khai derived indeed not only from the collection of municipal waste, but also from the illegal import of plastic from abroad. In the last years, the village has become a major unofficial recycling hub that handles plastic from northern provinces and even developed countries like Japan, Canada and the U.S[12]. Basically, there is no quality control in the processing of plastic from these informal centers. Due to lack of quality control, PBDEs and other pollutants contained in plastic remain in the plastics value chain cycle and end up being improperly disposed of in the environment.

II.3 Barriers that need to be addressed

The main barriers that the project will seek to address are:

1) **Lack of guidelines and policy-to-practice instruments for NAP implementation.** The efforts planned under the NAP are still too much focused on "end of pipe" activities (waste recycling, collection, clean-up, disposal) rather than on up-stream activities aimed at the avoidance of single-use plastic items or the promotion of reusable foodware. The main barrier in the implementation of the NAP is therefore the lack of a practical implementation in terms of emanation of circulars and secondary laws to regulate the single chapters of the plan, appropriate funding, and technical capacity. The NAP ambitions are undermined by perverse incentives in the form of favourable taxation regimes for virgin plastics importation.
2) **Lack of infrastructures and technologies for environmentally sound management of plastic waste.** Available technologies and infrastructure for management of plastic waste at provincial level is still not satisfactory. Main barriers hindering a better management of plastic waste are lack of infrastructures, investments, and technologies. This is an issue at country level; however, it is also particularly true for Binh Dinh province. According to Binh Dinh DONRE, the daily solid waste generation amount in the province is

[12] https://e.vnexpress.net/news/business/industries/near-hanoi-a-village-welcomes-trash-3963717.html

about 1,051 tons/day. Although the waste collection rate in Binh Dinh claims to be quite high (up to 85.8% in urban areas), it is very limited in rural areas, especially in some rural communes at about 61%. Thus, it can be seen that a very large proportion of domestic solid waste has not been collected and treated. Despite collection efforts made recently by local government, volunteer groups and waste collection companies, plastic waste pollution remains a serious problem especially along the beach, at traditional markets, fishing harbors, rural areas, etc. Regarding the collection and transportation activities, there are two main collection methods applied in Binh Dinh province: door-to-door collection by handcart, and dustbin collection by truck. However, since collection vehicles are outdated and in a low hygienic condition, the waste collection stage faces many operational difficulties.

In addition, the main method of municipal waste treatment in Binh Dinh province is landfilling. Currently, the province has a total of 36 landfill sites, of which 5 landfill sites are sanitary, 29 sites are temporary and unsanitary, and 2 sites have temporarily stopped receiving solid waste. The operating unsanitary landfills are causing environmental problems such as leachate and landfill gases, especially during the rainy season. Moreover, in some districts such as Hoai Nhon and Phu Cat, the capacity of landfills is already overloaded. Thus, finding alternative solutions to treat the increasing waste is also a big challenge for the local authorities.

Regarding recycling, waste separation at source is currently lacking. Recyclables are mainly collected by the informal sector and local authorities still do not manage the recyclable amount. Part of collected recyclables will be transported to other provinces such as Ho Chi Minh city, the other part will be treated at recycling facilities. Since most recycling facilities are small businesses, investment in recycling technology may not be affordable for such entities and thus may lead to low quality recycled products.

In terms of human resources, the absence of experts and professionals with in-depth understanding of solid waste management is a concern in the province of Binh Dinh. The environmental staff lack technical capacity and need to improve their skills in solid waste management. Due to the limited capacity, solid waste management operations and implementation may not be carried out in an efficient and effective manner. Since environmental staff will be the key actors, capacity building for the environmental personnel needs to be a focus at the local level.

3) **Lack of rules for the proper channeling of available funds generated by EPR**. Funds to support a better management of plastic waste could have originated from a better implemented EPR policy, which is regulated in the Law for Environmental Protection (LEP 2020) Decree 08/2022/ND-CP and Circular 02/2022/TT-BTNMT. Nevertheless, up to present, there is missing legislation to guide in detail for the operation of the EPR system in Viet Nam. Although VEPF has already collected a substantial number of financial resources, as of November 2022 there are no rules in place yet for the allocation of EPR funds to beneficiaries. This has meant that the EPR funds are not being channeled towards fostering of a circular economy for plastics, or to seek suitable alternatives for single use plastics which are the largest segment of the marine litter problem in Vietnam.

4) **Lack of an effective collection scheme at source and its social consequences, including the effect on consumer behavior.** It should be noted that inappropriate disposal of plastic waste is common in Viet Nam, even though public awareness of plastic waste is increasing. Moreover, consumer behavior is often to throw plastic waste, especially single-use plastic indiscriminately rather than find ways to put them in the trash bin. One of the important reasons is the failure in piloting waste separation at source model, the lack of appropriate waste collection and plastic waste recycling infrastructures. Since the bulk of domestic recycling is carried out by the informal recycling sector, tracking and monitoring the flow of plastics remains a challenge. The collection of recyclables (plastic, scrap metal, cardboard) is also mostly carried out by informal workers. There is quite a rigid hierarchy among informal collectors and recyclers, therefore an attempt to regulate such activities could bring undesired social effects on the informal community of waste processors. It is important to note that this situation is caused by the lack of collection and classification of plastic waste at source, which causes the low quality of domestic scrap. In Binh Dinh, take-away related waste accounted for 43.6 percent in number and 35.1 percent in weight of the total plastic waste, followed by fisheries-related waste (32.6 percent in number and 30.6 percent in weight), and household-related waste (21.6 percent in

number and 22.8 percent in weight), according to a World Bank report[13]. Traditional approaches to changing behaviors rely on employing rules and regulations or information sharing, but there is lack of comprehensive approaches, which can be more effective when complemented by emotional appeals, social influences or choice architecture, such as: 'avoiding a fee' was more effective in encouraging shoppers to utilize reusable bags in place of plastic bag; it should be designed in a way that meet local contexts and social systems.

5) **Incomplete shifting toward a more circular economy.** UNDP Viet Nam and MONRE (now MAE) launched the Viet Nam Circular Economy Hub in October 2021. UNDP has been an active member of the Viet Nam National Plastic Action Partnership (NPAP) and taking the role of hosting the Viet Nam NPAP, working with Viet Nam Environment Administration (Now Viet Nam Environment Agency). However, these initiatives remain separated and there is little exchange of knowledge, best practices and lessons learnt that could effectively enhance the fight against plastic pollution.
6) **Need for more active participation on the International Agreement on Plastic Pollution** The Prime Minister signed Decision No 1407/QĐ-TTg to approve the plan to ensure sufficient human resources, information, and data to serve Viet Nam's participation in the negotiation, thereby protecting the country's rights and interests and improving its capacity in ocean plastic pollution prevention and control. As Ministry of Natural Resources and Environment (MONRE) and Vietnam Administration of the Seas and Islands (VASI) are therefore requested to move ahead with negotiation, more capacity building is needed to participate and actively contribute to the international agreement.

III. STRATEGY

III.1 Description of the baseline scenario

Regulatory Framework

The Viet Nam Law on Environmental Protection (LEP) is the highest-level regulation, providing statutory provisions on environmental protection activities; measures and resources used for the purpose of environmental protection; rights, powers, duties and obligations of regulatory bodies, agencies, organizations, households, and individuals in relation to environmental protection tasks. The regulation has been recently updated with provisions related to the EPR mechanism in Viet Nam and general criteria for the implementation of a circular economy. The regulation also includes provisions related to the preservation of the marine ecosystem,

The Vietnamese Prime Minister recently signed the Decision 1746/QD-TTg dated 4th December 2019 approving the National Action Plan (NAP) on Marine Plastic Litter, which sets the following targets to be achieved by 2025: "Reduction of marine plastic litter by 50%; collection of 50% of the 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. Despite the introduction of the NAP and its ambitious targets, little has been done and the country needs much greater effort and capacity to fully implement and reach the targets by 2025 and 2030. Indeed, the NAP did not result in the promulgation of any circular or technical guidelines, and a significant risk does exist that, without a concerted effort, the NAP would not be implemented. The coordination between stakeholders is also not clear, as several ministries are involved in the NAP: Ministry of Industry and Trade (MOIT) for plastic manufacturing, Ministry of Agriculture and Environment (MAE) for plastic waste management and importation, as well as management of fishery and marine protected areas; Vietnam Environment Agency (VEA) and Vietnam Administration of Seas and Islands (VASI). Table below provides a commented summary of some recent regulations on waste in Viet Nam, including their relevance to plastic waste.

In Figure 1 (from the World Bank Policy Brief on the Reduction of SUP in Vietnam) the timeline of the enforcement of regulations which had an impact on plastic waste is provided.

Figure 1. Timeline of the enforcement of regulations which include provisions on plastic waste

[13] https://documents1.worldbank.org/curated/en/099731406282241639/pdf/P1673070d02f2c0be080740356b6b0e3deb.pdf

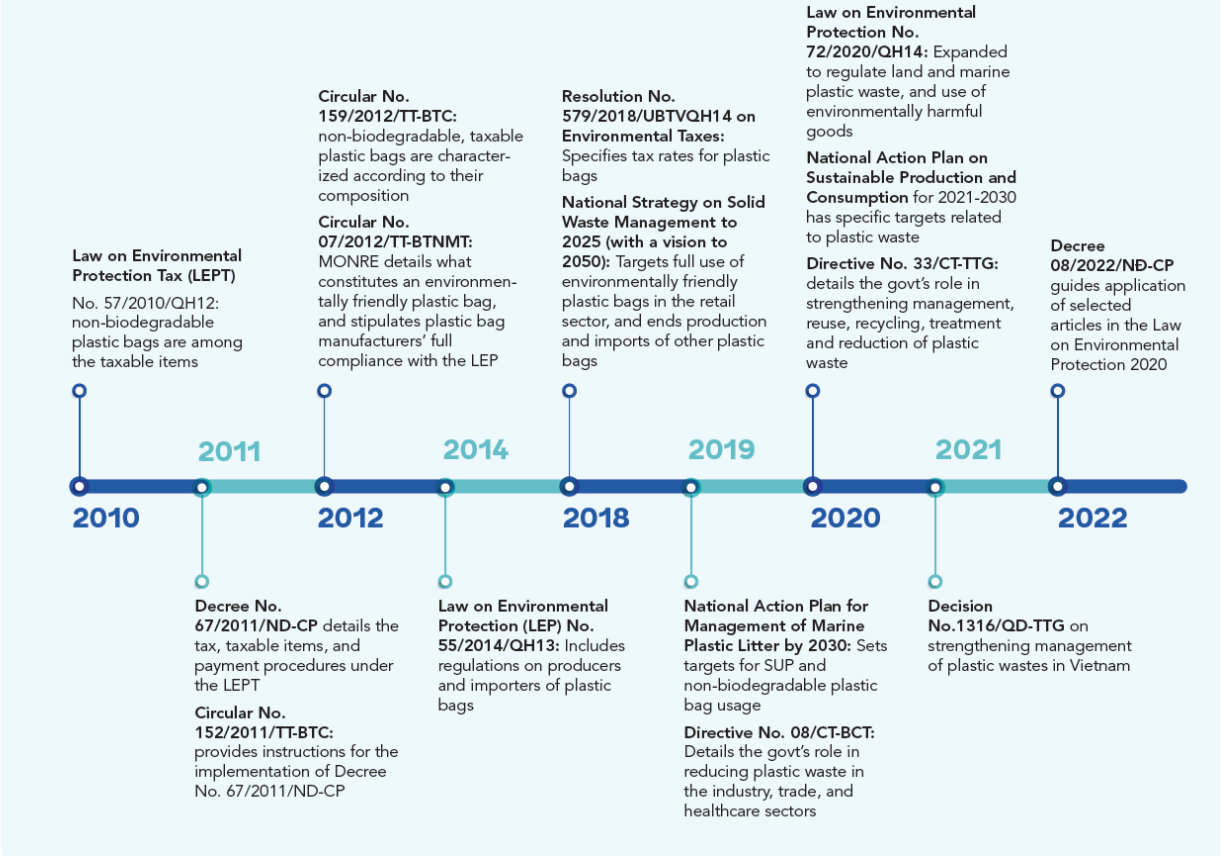


Table 1: Regulations and technical guidelines on waste and plastic waste

No.	Name of regulations and technical guidelines	Main content
Field of environmental protection		
1.	Strategy on Solid Waste Management 2018 Decision 491/QD-TTg of the Prime Minister in 2018	It establishes the following targets: by 2025, 100% of the total volume of hazardous solid wastes generated from production, business and service activities, health establishments and craft villages will be collected, transported, and disposed of according to the environmental protection requirements; 85% of hazardous solid wastes generated at households and by individuals will be collected, transported, and disposed of according to the environmental protection requirements. It also envisages collection points established by manufacturers to collect discarded electronic equipment. It also intends to enhance recycling and reuse of hazardous wastes; to limit the licensing of disposal activities by way of burial and solidification of hazardous wastes which are recyclable or reusable.
2.	Law on Environmental Protection 2020	Article 54 regulated the Recycling responsibilities of producing and importing organizations and individuals of discarded products. Based on this article, in order to implement EPR, the following contents need to be done: (1) Determining the list of products and packages subject to collection and recycling; (2) determine the recycling rate for each type of product, commodity and application route; (3) determining the level of financial contribution of producers and importers; (4) determine the recycling standards for each type

		of packaging, after-use products; (5) registration mechanism, database management; (6) recycling credit mechanism; (7) the operating mechanism of PRO and the Fund in ensuring the implementation of the recycling rate. This defines terms of POPs and PTS (Persistent Toxic Substances) at Article 3. Also, this Law regulates requirements of environmental protection on POPs and articles, products, goods, and equipment containing POPs (Article 69), as well as limits of POPs in articles, products, goods, and equipment (Article 97, 98).
3.	The Prime Minister Directive 33/CT-TTg in August 2020 on strengthening the management, reuse, recycling, treatment, and reduction of plastic waste.	The PM instructed ministries, branches and localities to issue directives and plans to reduce and recycle plastic waste no later than October 30, 2020; as well as to minimize the use of disposable plastic products, and priorities the selection of recycled and environmentally friendly products.
4.	Decree 08/2022/ND-CP of the Government dated January 10, 2022, on elaboration of several Articles of the Law on Environmental Protection 2020	The Decree, which basically set the implementing rules for EPR in Viet Nam, regulated the recycling responsibilities of producing and importing organizations and individuals for 6 groups of products, including (1) packaging, (2) Batteries and accumulators, (3) lubricant oil, (4) Tires and tubes, (5) Electrical and Electronic appliances, including lamps and solar cells, and (6) transportation vehicles. It is regulated the objects, roadmap for implementation of recycling responsibility (Article 77), the Mandatory recycling rates and specifications for objected products (Article 78), the forms of implementation of recycling responsibility (Article 79), the Registration of recycling plans and reports on recycling results (Article 80), the financial contribution to Viet Nam Environmental Protection Fund (Article 81) and the support for product and packaging recycling activities (Article 82).
5.	Circular 02/2022/TT-BTNMT of MONRE dated January 10, 2022, on Detailing a number of articles of law on environmental protection	The Circular regulated the form for implementation of responsibility for product and packaging recycling and treatment of manufacturing/importing organizations and individuals as well as process on submission and receiving registration of recycling plan, report of recycling results, declaration of financial contribution, account for receiving financial contributions to support recycling and treatment activities
6	The Master Plan at the Decision 1316/QD-TTg signed by Deputy Prime Minister Le Van Thanh in July 2022 to set a scheme for strengthening management of plastic waste in Viet Nam	The Master Plan mandates the recycling and treatment of 85 percent of all plastic waste and a 50-percent reduction of maritime plastic waste, including the use of environmentally friendly plastic bags and packaging at all supermarkets by 2025. Tourism sites and hotels will not be allowed to use non-biodegradable plastic bags and single-use plastic products by 2025

Status of implementation of EPR in Viet Nam

Principles for the extended responsibility of producers (EPR) are set in Articles 54 and 55 of the Law on Environmental Protection amended in 2020. These articles establish, among others, that: producers and importers of recyclable products and packages must recycle them according to the mandatory recycling rate and specifications. This can be done either by themselves, organizing recycling of products and packages in accordance with the law, or through a financial contribution to the Viet Nam Environment Protection Fund to support recycling of products and packages.

The appendix XXII of Decree No. 08/2022/NDCP lists the products and packaging, which must be recycled with recycling rate and recycling recruitments.

According to the Decree, manufacturers and importers need to report the plan as well as the results of EPR implementation with audit to confirm the fulfillment of their responsibilities by submitting these reports:

- Recycling plan Registration and Report on the Recycling Result (Appendix 53)
- List of quantities and volumes of manufactured and imported products and packages sold to the market (Appendix 54)

The mandatory recycling rate for plastic packaging is listed in the table below:

Type and material of packaging	Required recycling rate in the first 3 years	Mandatory recycling rate (Minimum 40% recovery by weight of the packaging product to be recycled according to the suggested recycling modality listed in the column)
A.3.1. Rigid PET packaging	22%	1. Producing recycled plastic beads used as production materials for industries. 2. Manufacture of other products (including PE fibers). 3. Chemical production (including oil).
A.3.2. Hard HDPE, LDPE,	15%	1. Producing recycled plastic beads as production materials 2. Manufacture of other products (including PE and PP fibers). 3. Chemical production (including oil).
A.3.3. Rigid EPS packaging	10%	1. Producing recycled plastic beads as production materials for industries. 2. Manufacture of other products. 3. Chemical production (including oil).
A.3.4. Rigid PVC packaging	10%	1. Producing recycled plastic beads as production materials 2. Manufacture of other products. 3. Chemical production (including oil).
A.3.5. Other hard plastic	10%	1. Producing recycled plastic beads as production materials packaging for industries. 2. Manufacture of other products. 3. Chemical production (including oil).
A.3.6. Soft material single	10%	1. Producing recycled plastic beads as production materials packaging for industries. 2. Manufacture of other products. 3. Chemical production (including oil).
A.3.7. Soft multi-material	10% 1.	Producing recycled plastic beads as production materials packaging for industries. 2. Manufacture of other products. 3. Chemical production (including oil).

As of now (October 2022) VEPF has received the declaration of the number of contributions to support waste treatment in 2022 from 55 manufacturers and importers. The total amount of contribution to support waste treatment in 2022 according to the declaration is about 390 billion VND (around 16.63 million USD) of which 386 billion (16.46 million USD) already paid to the Viet Nam Environment Protection Fund, which is the implementing body for EPR. These should be spent to; a) Collect, transport, and treat domestic solid waste arising from households

and individuals; b) Research and develop technologies, techniques, and initiatives for domestic solid waste treatment; c) Collect, deliver, and treat packages containing plant protection chemicals. However, pending the promulgation of a governance mechanism or regulation to support disbursement, these funds lie dormant within government accounts.

Green Finance Mechanisms

On September 25, 2012, the Prime Minister signed Decision No. 1393/QD-TTg approving the National Strategy on Green Growth for the period 2011–2020 a, which also includes provisions to provide environmental incentives. As the most important capital channel for the economy, the Viet Nam banking system plays a key role in the process of transforming the national economy into a development model towards green growth and carbon emission reduction. Accordingly, credit institutions actively participate in building a green financial system including:

(1) green credit;
(2) green bonds;
(3) green stock;
(4) green financial fund; and
(5) green insurance.

The financial products listed above are helpful in mobilizing and encouraging social resources to invest in green manufacturing industries while reducing investments polluting the environment. Based on the survey reported in Annex 16, it has been found that by the end of June 2019, the credit balance for green projects was about VND 317,600 billion, (around 13,54 million USD) in which:

(a) medium- and long-term loans accounted for 76% of green credit balance;
(b) short-term green loan interest rate is 5%–8%/year,
(c) medium- and long-term is 9%–12%/year.

The proportion of green credit also increased strongly in the period from September 2016 to June 2020, from 1.5% to 4.1% of the total outstanding loans of the whole economy. Compared with the need of $30.6 billion for green finance by 2020, the proportion is already a significant source of domestic capital for green growth. Banks such as VPBank, Sacombank, and BIDV in Viet Nam have developed **Green Loan Schemes** to support several activities for project, production, trading, and consumption to prevent climate change, reduce carbon emissions, and promote the transition to a sustainable, environmentally friendly economy or to support activities capable of protecting natural resources and environment.

Eco/Green Products

Regulations on incentives and support for **environmentally friendly products** are also considered under the Law on Environmental Protection (LEP) 2020. But, on the other hand, Decree No. 19/2015/ND-CP refers to secondary legal documents, which, in turn, only include general statements, or delegate to state agencies the power to specifically regulate or decide on incentive and support rate. This legal arrangement is discouraging enterprises from applying for incentives and support related to Eco-Labeling. Most Vietnamese enterprises lack the knowledge needed to invest in environmentally friendly manufacturing, including the manufacturing of products meeting the requirements of Vietnamese Green Label Scheme. Although the green procurement and green public procurement policies are being pushed through regulations, the market for environmentally friendly products is still limited and not responding to these legal incentives.

Viet Nam Green Label Criteria and the Circular No. 41/2013/TT-BTNMT are the legal basis for enterprises and state agencies to consider, assess, and evaluate whether a product is environmentally friendly. Since 2008, the MONRE (now MAE) has issued only 17 Green Label criterion for certain types of products: (1) Powder laundry detergent; (2) Fluorescent lamps; (3) Biodegradable plastic shopping bag; (4) Synthetic paper food packaging; (5) Ceramic building materials; (6) Accumulators; (7) Paper office; (8) Hair Care products; (9) Solid soap; (10) Hand dishwashing detergent; (11) Architectural coating products; (12) Laptop; (13) Toner cartridge; (14) Printer; (15) Batteries; (16) Photocopier; and (17) LED lights.

The situation of plastic pollution in Viet Nam.

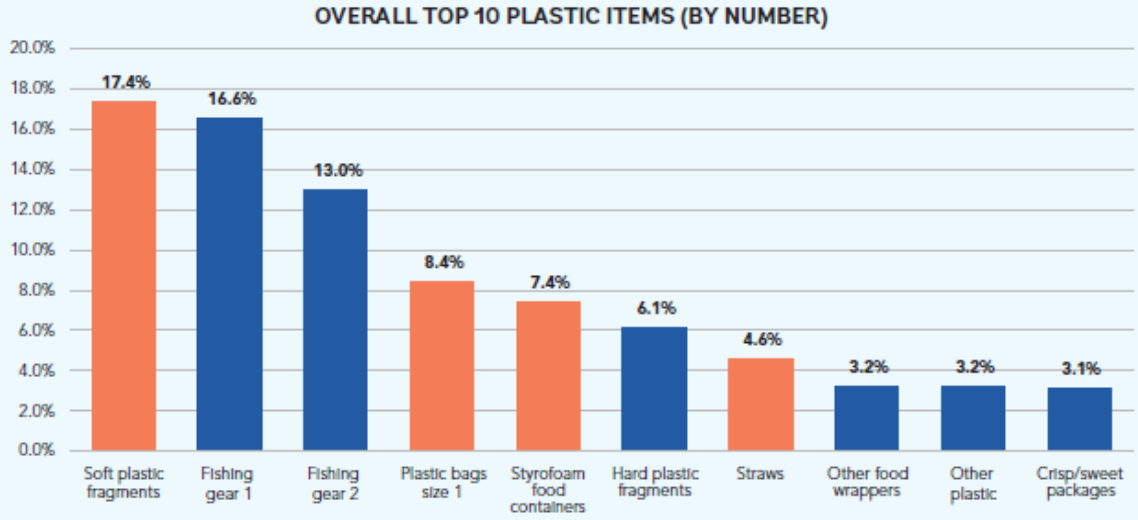
In response to a request from the Government of Viet Nam, the World Bank has conducted a study from July 2020 to April 2021 (Viet Nam: Plastic Pollution Diagnostics 2022 The World Bank / Pro Blue) to deepen knowledge about the different plastic waste types leaking into rivers and the ocean in Viet Nam and identify their market alternatives for potential substitution. Results of the survey are summarized in the picture below, taken from the WB Policy Brief on the Reduction of Single Use plastics in Viet Nam[14]

BOX 1. TOP 10 POLLUTING PLASTIC ITEMS IN VIETNAM'S WATERWAYS

Plastic waste accounted for most of the suspended waste collected in the studied waterways (around 94 percent in number; and around 71 percent in weight)

Single-use plastic items accounted for 62 percent of the total plastic waste (in number) and 58 percent (in weight)

Take-away food related waste was the most abundant source of plastic waste (44 percent in number and 35 percent in weight). This was followed by fisheries-related waste (33 percent in number and 31 percent in weight), and household-related waste (22 percent in number and 23 percent in weight)



The survey has revealed that:

- The Clean Coast Index (CCI) measurement, which is a tool to assess relative coastal cleanliness[15], showed that 71 percent of the coastal sites surveyed were extremely dirty (a CCI of more than 20) and 86 percent were extremely dirty or dirty (a CCI of more than 10).

[14] The World Bank: Policy Brief. Reduction of Single Use plastics in Viet Nam. April 2022.

[15] the Clean-Coast index (CCI) developed by Alkalay, Pasternak, and Zask (2007) was used in the World Bank report as a tool for the relative evaluation of coastal cleanliness. The calculation used for the CCI is presented in the following equation:
plastic (parts /m2) = (total plastic parts counted in Z line/ Zx5[m] x beach width [m]) x k
Where the coefficient k = 20, to simplify the presentation of data for communicating with the public, results for the appearance of waste at coastal sites were graded as follows: CCI 0-2 Very clean, no waste was seen. CCI 2-5: Clean: no waste was seen over a large area. CCI 5-10: Moderate: A few pieces of waste were detected. CCI 10-20: Dirty A lot of waste on shore/at sites. CCI >20: Extremely dirty. Most of the beach/site was covered with waste

- Take-away food packaging waste was the most abundant source of plastic waste found in the field surveys (44% in number), followed by fisheries-related waste (33% in number), and household-related waste (22% in number).
- Single-use plastic (SUP) items accounted for 72 percent (in number) of the total plastic waste identified at riverbanks and 52 percent (in number) of the total plastic waste identified at coastal sites in the field surveys. Plastic bags and their fragments (around 26 percent in number of total plastic waste identified) were the most common single-use items in the survey locations. When both categories of waste were combined, they were the most prevalent in river locations, and the second most prevalent in coastal locations. Styrofoam food containers were among the top five items in both river and coastal locations.
- Fishing gear was very prevalent, accounting for around 30 percent of plastic waste (in number).

The survey results indicate most of the plastic waste which is polluting the sites comes from a small number of single-use and low-value products. Therefore, policies are needed to reduce the input of low-value plastic products, as their use is becoming progressively restricted worldwide, and Viet Nam could benefit from other countries' experience in implementing waste reduction policies. Further analysis is needed across the key sub-sectors of the fishing sectors to guide the implementation of the actions envisaged for the Fisheries Sector under the NAP

Based on the above results, the World Bank study ended up with the following recommended actions with proposed year of implementation:

- Restrict the distribution of plastic straws (2022 to 2023)
- Restrict the use of certain SUPs for consumption in restaurants, cafeterias, etc. (2022 to 2023)
- Restrict the provision of plastic cutlery with food deliveries (voluntary agreement) (2022 to 2023)
- Restrict hotels' distribution of detergent and toiletry products in SUP bottles (2022 to 2023)
- Restrict the use of certain SUPs in tourist zones (2023 to 2024)
- Charge a fee for each plastic bag (2022 to 2023)
- Charge fee for each plastic coffee cup (2025 to 2026)
- Market ban of plastic straws (through a ban on sales or production and imports (2024 to 2025)
- Market ban of plastic bags (through a ban on sales or production and imports) (2025 to 2026)
- Market ban of Expanded Polystyrene (EPS) food containers (through a ban on sales or production and imports) (2026)
- On EPS, the policy also suggests banning EPS food containers in the midterm, after having implemented transitional measures which are needed *"because an immediate ban on sales or production and imports could negatively impact small businesses and poor communities"*.

Available technologies for the recycling of low-value (or non-recyclable) plastic waste in Viet Nam. In Viet Nam, the issue of "non-recyclable plastic waste", i.e. plastic waste which has been already discarded by recyclers, or plastic waste contaminated with other materials found in dumpsite and contaminated areas, is severe. Around 30% of the plastic waste collected by informal recyclers is dumped in illegal dumpsites or burnt in the open. The abandoned plastic waste is rejected by recyclers for several reasons:

1. Variable market conditions, making the recycling of certain types of plastics profitable only when demand and price for recycled plastic price is high.
2. Plastic waste stored in the open for too long and getting degraded by exposure to rain, dust, sun.
3. Plastic waste mixed with other waste, making the segregation too long and expensive.

Some pictures related to plastic waste not processed and / or abandoned in recycling plastic village (Minh Khai) are provided below for clarity. Such plastic waste represents therefore a potential source for marine pollution or air pollution and needs to be removed urgently from the environment.

<table>
<tr><td colspan="2"> </td></tr>
<tr><td colspan="2">Low quality plastic mixed with other waste abandoned along one of the road of a recycling village in Viet Nan</td></tr>
<tr><td></td><td></td></tr>
<tr><td>Mixed plastic (including PVC and industrial plastic) abandoned in a field near a recycling village in Viet Nam</td><td>Plastic waste rejected by recyclers and abandoned in a cemetery near a recycling village in Viet Nam</td></tr>
<tr><td></td><td></td></tr>
<tr><td>Illegal landfill of rejected plastic waste, near the cemetery. Waste are burnt here during night time.</td><td>An informal plastic waste recycling factory processing mostly “soft” plastic .</td></tr>
</table>

As of now, and beside landfilling and incineration, there are currently available only two technologies for the processing of such waste in Viet Nam.

One is the use of mixed plastic waste to generate building materials. In Binh Dinh, a pilot project to use low value plastic waste to generate building material has been successfully completed by Vinacolour and the project could consider the scaling up of this project [16]. Vinacolour has successfully created a system of production lines for building material like roofing sheets, floor tiles, and house bricks from low-quality plastic waste. After an initial attempt using ash from power plants as fillers, which however revealed being too abrasive for the machinery, the consolidated technologies envisage the use of industrial grade calcium carbonate. The process is in 3 stages, including shredding,

[16] Vietnam’s first recyclable plastic-built school. https://vietnamcirculareconomy.vn/en/vietnams-first-recyclable-plastic-built-school/

mixing and extrusion at a temperature of around 200°. Bricks produced with this methodology are more expensive than commercial bricks (around 20%), whilst roof tiles and planks are cheaper (-30% and 50% respectively) The current capacity of the plant is in the order of 210 tons / month.[17]-[18]. The recycled goods generated have been used in community service initiatives including the Hoan Kiem district's walking street, housing projects, and low-cost schools for rural communities. The project of Vinacolour could consider the scaling up of this project.

Co-processing of low-value plastic is the other option, as it has been already successfully implemented in Viet Nam. In Viet Nam there are many cement kilns, and waste-to-energy (including material and energy recovery from non-recyclable plastic) is already attempted in synergy with municipal waste management agencies.

Currently, as explained above, non-recyclable plastic is either dumped in the vicinity of plastic scrap villages, or burnt in the open, with a heavy impact on the environment in term of U-POP release (PCDD/F), release of heavy metals, particulates and GHG. The main issue in the co-processing process is, however, the need for pre-treatment (fine shredding) of plastic waste to ensure they can be processed in cement kilns. In the years 2021 and 2022, URENCO, with financial support from Nestlé, and an agreement with the administration of the villages, has carried out the recycling of a total amount of 1683 tons in 2021 and 2600 tons in 2022 of non-recyclable plastic waste discarded by the plastic recycling villages of Minh Khai, Phan Boi, Xa Cau and Dong Mau in North Vietnam, with an overall investment – including shredders and waste collection machines – in the order of 250,000 USD[19] The project ended in September 2022. Compared to the use of coal, consolidated research has demonstrated that the use of plastic waste as material and energy recovery in CK ensure a significant reduction in the GHG release (as it avoid the mining operations to extract raw materials and fuels)[20] and allows for the avoidance of U-POPs emission due to the high temperature of the process. In terms of cost, based on a recent document from Holcim/Geocycle and GIZ[21], the value of scrap plastic as alternative fuel and material is roughly comparable to the cost for the pretreatment of such material. Therefore, in case a cement kiln had to pre-treat that material by itself, it would not pay any gate price for the plastic scraps; whilst in case it receives the pre-treated material, it could pay for the cost of the pre-treatment. As plastic is a product made mostly from fossil fuel, it is evident that its calorific value is very high. Some research show that the calorific value (CV) of PET caps is 3 times higher than the CV of lignite[22]; in general, however, CV of plastic ranges from 5873 Kcal/kg for PVC up to 11289 Kcal/kg for PET, compared to the 7800-8000 Kcal/kg of high-quality coal and 4165 Kcal/kg for lignite[23]). Considering the replaced heath value, and assuming conservatively that the CV of plastic scrap is comparable of the one of coal as the coal price in Viet Nam is in the order of 50USD/ton, 1000 tons of waste to energy could correspond roughly to a value of 50,000 USD which should go for paying the pre-treatment of plastic waste. This does not include the financial benefit of the fraction of plastic which would enter the clinker as material. To ensure a market return and interest of the different parties, at least 100 USD/ton with a quantity which is not less than 1000 tons/ year should be considered. Although is clear that high quality plastic waste (i.e., plastic waste which have been segregated at source and that are not contaminated by other materials) should not end up in co-processing but should instead more profitably recycled as material, co-processing should be considered as a valid option for recycling of “negative value” plastic waste, including mixed plastic waste from dumpsites, plastic waste collected from contaminated shorelines, rejected plastic waste abandoned near recycling village.

[17] Mr. Cuong, manager if Vinacolor. Personnal communication – zoom meeting held on 9/12/2022

[18] Construction works from recycled plastic waste at Vinacolour factory (in Vietnamese): https://vinacolour.com.vn/cong-trinh-xay-du%cc%a3ng-tu-rac-tha%cc%89i-nhu%cc%a3a-tai-che-ta%cc%a3i-nha-may-vinacolour/

[19] URENCO Nestlé. Project: Collection, Transportation and pre-treatment of non-recyclable plastic waste in plastic recycling villages. Power Point presentation, 2021, and Nestlé Viet Nam (Fausto Tazzi – personal communication, December 2022).

[20] Lafarge Holcim and GIZ Guidelines on Pre- and Co-processing of Waste in Cement Production. Chapter 2.4. Co-processing and Climate Change. 2019. Available at: https://www.giz.de/de/downloads/giz-2020_en_guidelines-pre-coprocessing.pdf

[21] Lafarge Holcim and GIZ Guidelines on Pre- and Co-processing of Waste in Cement Production. Use of waste as alternative fuel and raw material. 2019. Available at: https://www.giz.de/de/downloads/giz-2020_en_guidelines-pre-coprocessing.pdf

[22] Nurdan Irem Unal, Siddika Mertdinc, Hanzade Haykiri-Acma, Serdar Yaman. Comparison of the fuel properties and the combustion behavior of PET bottle caps with lignite. Science Direct, Energy Procedia 136 (2017) 22-26

[23] Manoj Suthar, Nandeshwar Lata, Bharat Nagar. Plastic Waste as an Alternate Fuel. International Journal of Engineering Research & Technology (IJERT) http://www.ijert.org ISSN: 2278-0181 Vol. 9 Issue 07, July-2020

III.2. Associated baseline projects

To dictate composition of packaging to manufacturers is beyond the scope and capacity of this project. The project however will intervene at regulatory level with the development of policy guidance, guidelines and instruments for NAP roadmap, as well as implementation of EPR, aiming among others, to support policy directives from national and local governments, backed by technical dialogue with the industries to reduce the amount of virgin plastic imported or placed in the market in Viet Nam through a better regulation on packaging and banning of SUP. As of now, the most important initiative going in this direction is the implementation of the NAP and EPR provisions, to ensure that here will be a complete internalization of the cost associated with the excessive manufacturing of plastic packaging and SUP. The EPR regulation is probably one of the most important "baseline" projects which will be supported by project actions (Project outputs 1.1.1, 1.1.3, 2.12) to ensure an upstream reduction of plastic input. Besides that, baseline projects which are being implemented in Viet Nam with which this project may be synergic are listed below.

Through the support of the Government of Norway, the United Nations Development Programme (UNDP) is implementing the new project on 'Scaling-up Integrated and Inclusive Waste Management Models through Empowering the Informal Sector and Fostering the Circular Economy'. This 3-year project intends to deploy and test interventions, including direct support for informal waste workers, a management model in the fisheries sector, and an ecosystem-level approach of value chains through the establishment of a Material Recovery Facility, which is being piloted in Binh Dinh province. This project aims to tackle the growing issue of waste management in Viet Nam and accelerate the transition to an inclusive circular economy. Therefore, Binh Dinh should be considered as a main project site for synergy with similar projects and to ensure bigger impacts if more and broader interventions are carried out.

Furthermore, with support from the Government of Norway, UNDP is implementing the "Ending plastic pollution Innovation Challenge" project, which looks for innovative solutions that contribute to the creation of circular economy by preventing plastic waste and pollution at the local level, through reduced production and consumption of plastic, use of natural materials for the manufacturing of certain single use items like straws, reduction of single-use plastics and development of reuse models. These solutions will be implemented in 4 countries: Viet Nam, Thailand, Indonesia, and the Philippines. During the first phase organized in Viet Nam and Thailand, the Project has selected 4 teams out of 159 teams who applied to EPPIC in less than two months from six ASEAN countries. They came up with a broad range of solutions to tackle plastic pollution with upstream and downstream innovations, that might be applicable for this project to be piloted in Binh Dinh

The World Wildlife Fund, through the Project "Reducing Ocean plastic waste in Viet Nam" is conducting many activities contributing to reducing ocean plastic waste pollution in Viet Nam by supporting the development of guiding documents to implement priority rules related to plastics, communication activities, strengthening capacity, raising awareness, and changing behavior towards plastic waste, to support the implementation of the National Action Plan on ocean plastic waste management to 2030 in Viet Nam.

GIZ (2020-2023) is also implementing a regional project to reduce, reuse, and recycle to protect marine environments and coral reefs in ASEAN countries: Indonesia, Cambodia, Philippines and Viet Nam (3R-ProMar) with specific objectives for the component in Viet Nam including: (i) Capacity building in the practice of formulating, planning and implementing solutions to reduce marine waste from the mainland state management agencies; (ii) The coordination between the public sector and the private sector is strengthened, contributing to promoting active participation of the private sector in the value chain to achieve common goals; (iii) Successfully and effectively implementing a pilot project to reduce, reuse and recycle plastic waste in the Mekong Delta, which will serve as a practical basis for replication and institutionalization of the approach and practices widely applied in the Mekong Delta, Viet Nam.

The objective of the ADB's Regional Technical Assistance Project "Promoting Action on Marine Plastic Pollution in Asia and the Pacific". is to strengthen the action of developing countries (DMCs) to tackle marine plastic pollution; restoring the health of rivers, coasts, and marine ecosystems. Expected outcomes include Output 1: Supported action plans and policies to tackle marine plastic pollution; Outcome 2: Support investment to reduce plastic pollution; Outcome 3: Knowledge sharing, regional cooperation, and financing for improved marine plastic pollution solutions.

World Bank has conducted several studies in Viet Nam on waste and plastic management, such as Market Study for Viet Nam – Plastic Circularities Opportunities and Barrier (2021); Towards a national single use plastics roadmap in Viet Nam: strategies and options for reducing priority single-use plastics (2022);

COBSEA/UNEP (2018-2022) – Regional Action Plan. The overall goal of the COBSEA Regional Action Plan on Marine Litter is to consolidate, coordinate, and facilitate cooperation, and implement the necessary environmental policies, strategies, and measures for sustainable, integrated management of marine litter in the East Asian Seas region. The Regional Action Plan on Marine Litter will thereby directly support COBSEA participating countries to deliver target 14.1 of Sustainable Development Goal 14, to prevent and significantly reduce marine pollution of all kinds, particularly from land-based activities, including marine debris and nutrient pollution, and contribute to the achievement of other Sustainable Development Goals and associated targets

USAID through its "Clean Cities, Blue Oceans" (CCBO) implemented in Asia, Latin America, and the Caribbean, with a 5-year implementation period (2019-2024). The purpose of the program is to respond to the problem of ocean plastic pollution. USAID's headquarters in Washington, USA directly coordinated this aid, targeting ocean plastics directly at their sources, focusing on rapidly increasing areas largely contributing to the estimated eight million metric tons of plastic that flow into the ocean each year. In Viet Nam 4 cities selected to implement CCBO are in the provinces of Da Nang, Bien Hoa, Phu Quoc, and Hue.

III.3 The Proposed Alternative Scenario: Theory of Change

Project objective: The general project objective is to *strengthen the implementation of the National Action Plan (NAP) on Marine Plastic Litter at the national level and in Binh Dinh Province* as a pilot site.

Summary of the Baseline situation: As detailed in the baseline section of this document, the pollution of the sea and Vietnamese coasts by plastic waste is severe and caused by several factors, including poor collection of plastic waste, excessive use of SUP, unsafe recycling practices. The situation has been aggravated by the increased use of SUP associated with the COVID-19 pandemic. The current recycling practices adopted in informal recycling villages, whilst from one side ensures a certain level of plastic recycling, from another side cause a significant release of non-recyclable plastic waste which eventually end up in rivers and in the ocean. Therefore, the issue of plastic in Viet Nam is both upstream (excessive production and consumption of SUP) and downstream (presence of a large amount of low-value plastic waste abandoned in the environment by informal recyclers). The current fee policies for waste collection services is an additional discourage the public to reduce generation of plastic waste.

The current regulation has established some key provisions (including Action Plans and the EPR mechanisms) however the practical implementation of such regulation is still poor due to the lack of specific guidance and implementing rules and circulars. A few projects are ongoing, supported by bilateral funds or also through the GEF, are trying to provide solutions to the above. All the above is currently affecting the fate of plastic waste and the circularity of the management of plastic products (see picture "Theory of Change 1: baseline and baseline projects")

Impact pathways. In consideration of the baseline described above, the project will implement activities which will impact the plastic waste flow both upstream and downstream, and will also promote systemic change in plastic waste management as follows:

- The systemic change will be achieved by providing technical support in drafting the second level regulation for implementing the National Action Plan on Marine Plastic Pollution (Outcome 1.1 of the project, Outputs 1.1.1 and 1.1.2) and the Binh Dinh Action Plan on Marine Plastic Pollution. (Output 2.1.3 of the project); furthermore, mobilization of funds from existing financial mechanisms will be achieved (including EPR) to improve opportunities for plastic circularity (Output 1.1.3) as described below;
- Upstream actions will aim to reduce of the generation of plastic waste by improving the behavior of the consumers and informal operator, and by anticipating the banning of the marketing of use of some SUP as per the Road Map endorsed by the Government in 2022 based on World Bank recommendations. (Outcome 2.1 of the project, Outputs 2.1.1 and 2.1.2).
- As already explained, to establish actions at industrial level to reduce the manufacturing and place on the market of plastic products is beyond the scope of this project. However, technical support to the central and local government for a more effective implementation of EPR and indirect impact on the industry through

promoting behavior change against the consumption of SUP will also have an impact upstream at the level of manufacturing.

- Downstream, the project will support the scale up of advanced recycling technologies already launched under the EPPIC project (Output 2.1.2) , and will demonstrate the recycling of low-value (considered non-recyclable) plastic waste with technologies already available in Viet Nam (Output 2.1.1). Furthermore, it will improve – through enhanced cooperation with the informal sector - the collection door-to-door of plastic waste and the collection of plastic waste generated by the fishing industry.
- Beside reduction and recyclable alternatives such as glass bottles etc.), other biodegradable alternatives will be promoted, such as:

  - Products tested and introduced through EPPIC project: grass straws, refills
  - Compostable products from An Phat Bioplastics, as they are one of project co-financiers
  - Other innovative solutions, such as single use products made of bio-source, compostable materials that are introduced more and more in the market.

The description of the activities related to the above is provided in section "IV.1 Results" of this document. The entry point for such outputs/activity in the plastic circular economy are summarized in Theory of change 3: project outputs (see figure below).

Summary of Risk/Barriers: The project will be implemented in such a way to minimize the risk and overcome the barriers affecting the fate of plastic waste and the circularity of plastic product economy (see picture "Theory of change 4: Risks and Barriers"). Risks and countermeasures are detailed in Table 5 of this document. In summary, risks classified as having a moderate impact on the project are loss of job and income of informal workers, risk of child labor in the informal sector, unbalanced gender participation, climate aspects (including flooding); low risks are structural changes at the government level, loss of income in formal enterprises, health and risk safety for workers in the waste management sector, accidental release of plastic waste, limited land availability. All these risks/barriers are properly addressed within project design as documented in the SESP (Annex 5 of this document) and in the Risk Register (Annex 6)

Assumptions. The project has been designed based on the following assumptions: an increased awareness is the main leverage point to achieve behavior change at consumer level; the integration of informal workers in the process, through education pertaining to collection and high quality segregation, is necessary to ensure the improvement of the quality of their operations and increase the amount of plastic waste recovered; improvement of regulation, through the definition of guidance and implementing circulars will have a large impact on the mobilization of existing resources and the practical achievement of the National Plan objectives; all the stakeholders are willing and committed to support this project for a better implementation of solutions to fight marine plastic pollutions.

Stakeholders: The project intends to work with the following stakeholders and partners (see picture "Theory of change 2: stakeholders and actors in the plastic chain".

- The government at central and provincial level, more specifically, MONRE (now MAE) (VASI, VEA, VEPF), the DONRE of Binh Dinh province.
- The general public and consumers, through information and awareness raising campaigns (mostly to be undertaken under Component 3 of the project)
- The informal collectors, through the establishment of proper cooperation schemes with civil organizations like the Women's Union.
- Entrepreneurs and workers in the tourism sectors (for instance, the Association of the Tourism Operators in Binh Dinh).
- International donors and agencies, financial institutions, commercial banks
- Providers of waste management services (URENCO) and recyclers.
- Civil organizations in Binh Dinh, including the Women's' Union, will undertake awareness raising for households and cooperation with informal collectors;

GEF and co-financing inputs: Through the implementation of the project, inputs consisting in technical assistance, knowledge sharing, financial contribution (grants from the GEF and from Vietnamese institutions, in-kind co-financing), technology and equipment, legal assistance to update relevant regulations will be provided. These can be materialized in policy guidelines for implementation of the NAP and fund mobilization from EPR and other sources for plastic reduction in Component 1; specific interventions in Binh Dinh such as waste sorting at source, scheme to reduce and avoid single use plastic in food and beverage sector in the province in the Component 2; and finalize sharing and initiate replication at national and ASEAN region.

Key results: The project is expected to provide the following key results:

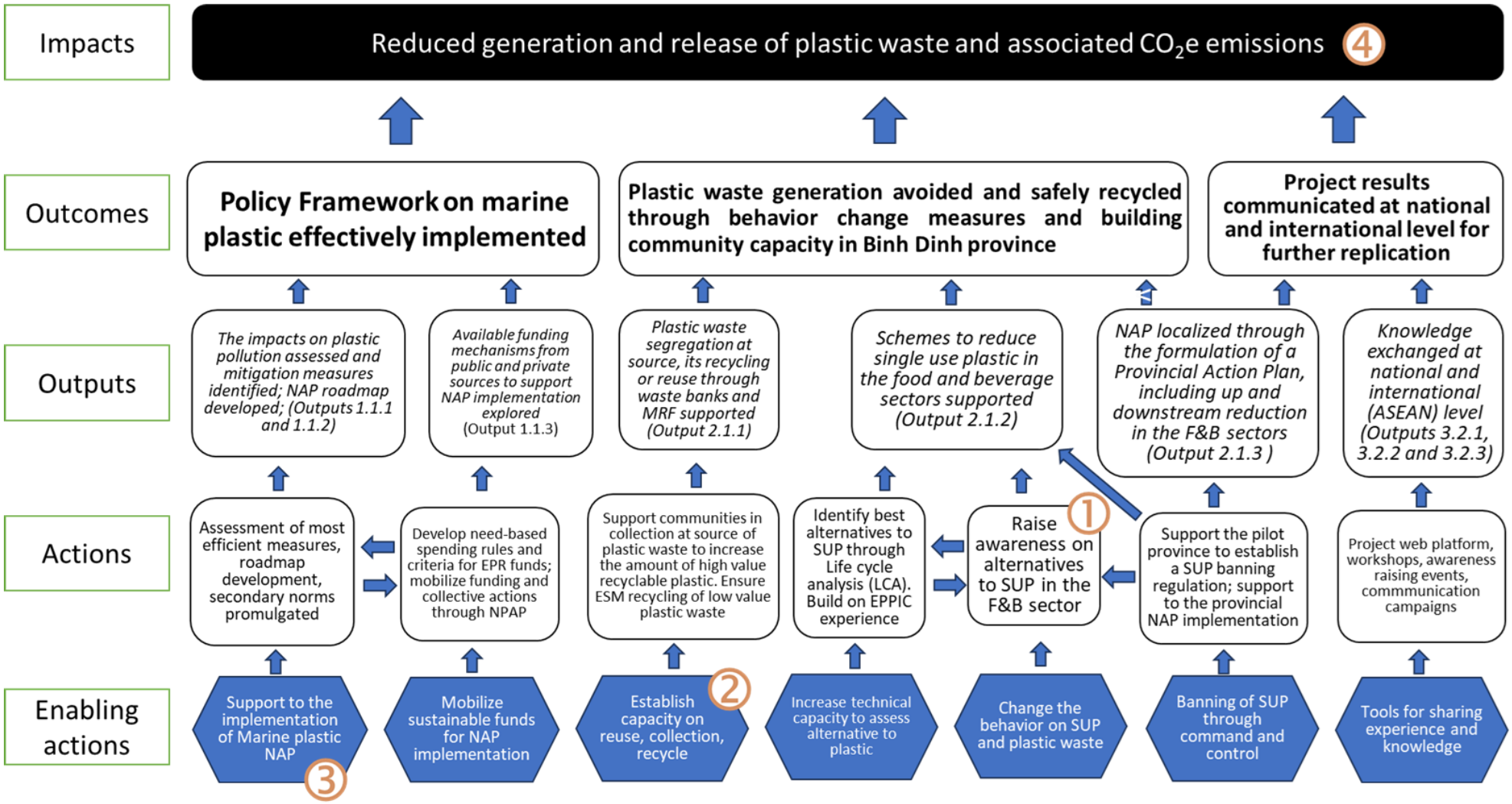
- Outcome 1.1: National Action Plan on management of marine plastic litter effectively implemented in Viet Nam, with a special focus on food and beverage sectors. As secondary results, under this outcome the following will be achieved: Assessment carried out and mitigation measures identified; realistic and science-based target indicators for NAP implementation developed; a practical and target-based road map for the implementation of the NAP developed; secondary norms and circulars developed, promulgated, and enforced to render the NAP implementable and operational.
- Outcome 2.1: A life-cycle approach is applied to enhance the waste and plastic management in the food and beverage sectors in Binh Dinh as pilot province for future countrywide replication. Under this outcome, the following will be achieved: SUP production and usage avoided: 500 tons; Quantity of plastic waste, including food packaging and COVID-19 waste, properly collected in homogeneous and good quality streams (t): 2000 tons; quantity of zero or negative value plastic recycled (t): 200t; The action plan on marine plastic at provincial level revised; 20 job positions generated in the plastic waste management sector.
- **Outcome 3.2:** Initiated the replication and update of best practices and lessons learned in Viet Nam and ASEAN. Under this outcome the following will be achieved: national workshops held to support a knowledge exchange mechanism on marine plastic prevention and reduction; The NAP exchange platform established and functional; one site visit to another ASEAN country to study solution on marine plastic prevention and reduction and to exchange experience about the project.

The Theory of Change of the project is summarized in the matrix diagram below. In the diagram, the columns correspond to the current baseline which the project intends to improve; expected project results are directly listed below each relevant baseline component.
Rows are instead associated to:

1. Stakeholders which can considered accountable for the current baseline situation and which may be impacted, positively or negatively, by the baseline situation or project outputs;
2. Risk identified and addressed at project design;
3. The project Outputs which will contribute to the achievement of the targets;
4. Baseline projects which will complement the project, or with which the project will establish the needed coordination:

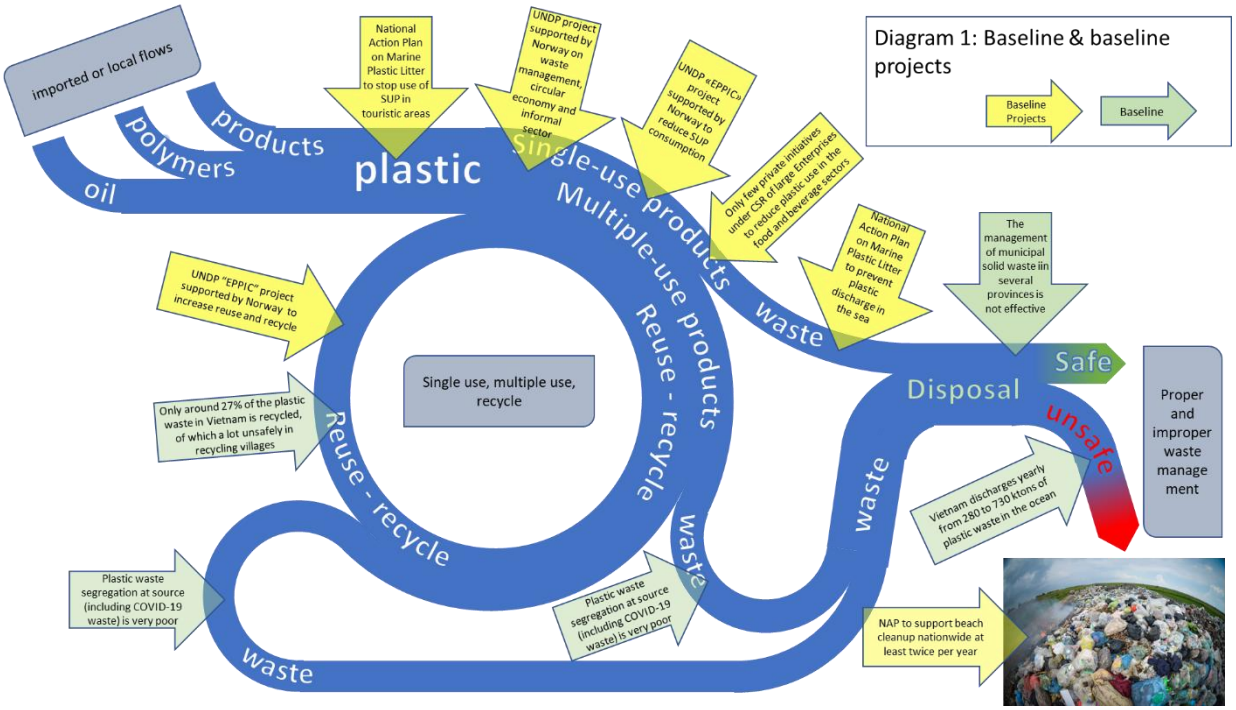
Logical arrows have been included, for clarity, only to show which project outputs are linked to each expected results, and which stakeholders bear responsibility for the current baseline. Other connectors have not been reported as deemed unnecessary, and because they would render the diagram more difficult to read.

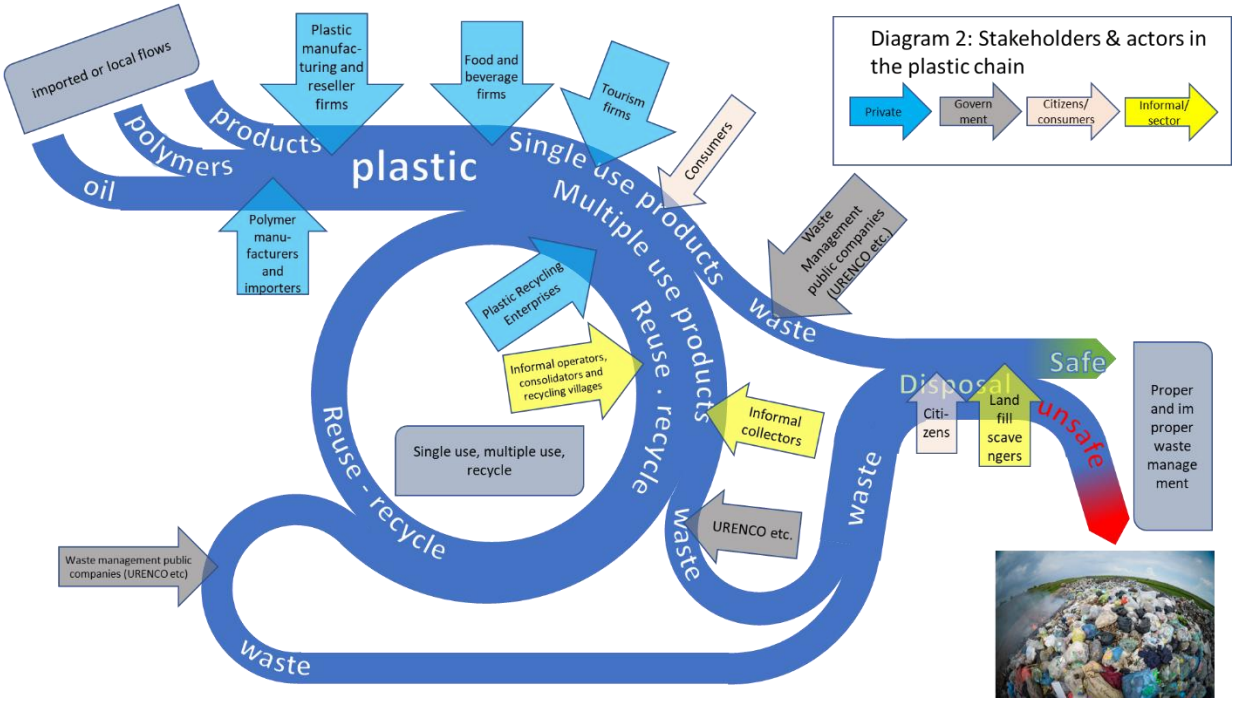
Theory of Change

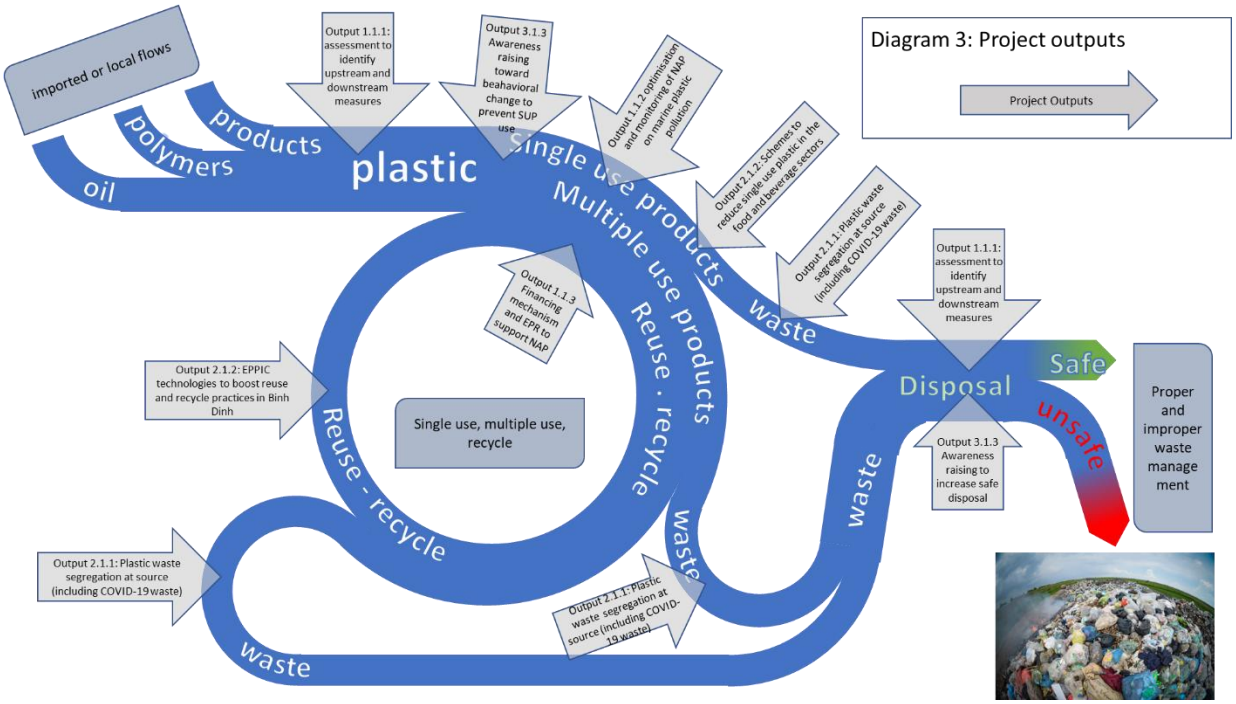


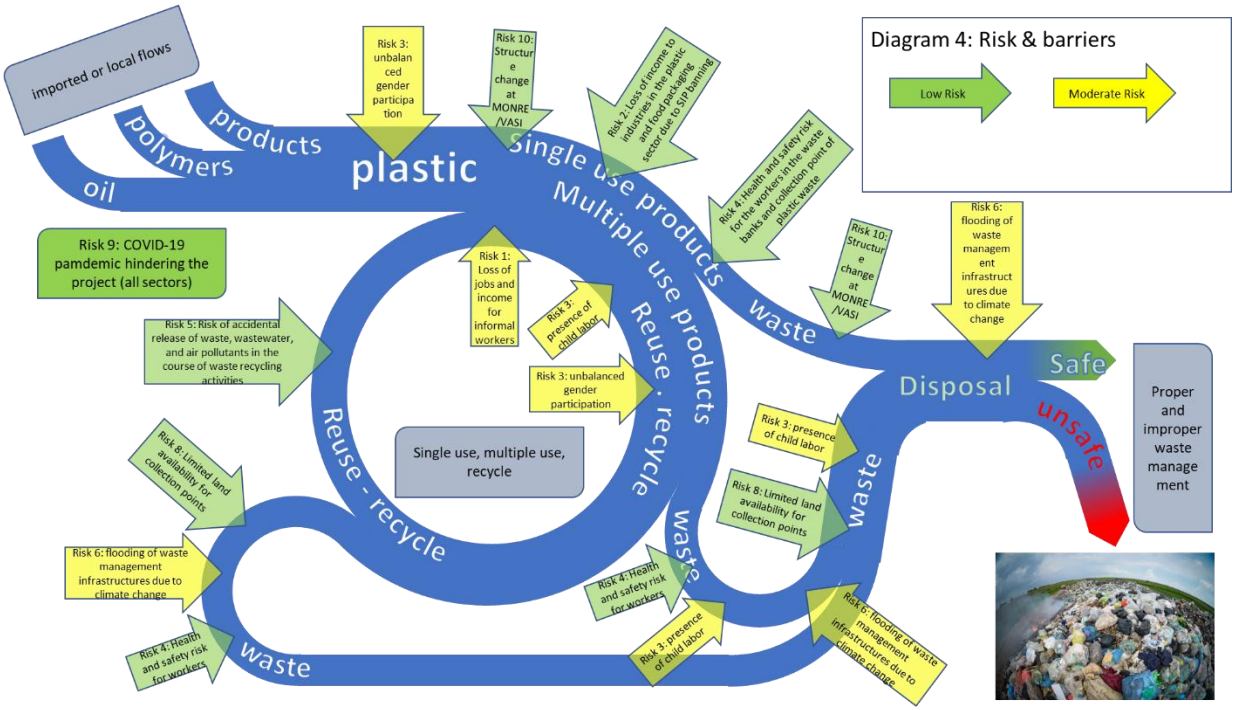
Key assumptions:

1. Increased awareness is the main leverage point to achieve consumer-level behavioural change.
2. The integration of informal workers through education is necessary to ensure improved operation quality and increase the amount of plastic waste recovered.
3. Improved regulations will have a large impact on the mobilization of existing resources and practical achievement of NAP objectives.
4. All stakeholders are willing and committed to support this project for a better implementation of solutions to fight marine plastic pollution.


Diagram 1: Baseline & baseline projects
Baseline Projects
Baseline
imported or local flows
oil
polymers
products
plastic
National Action Plan on Marine Plastic Litter to stop use of SUP in touristic areas
UNDP project supported by Norway on waste management, circular economy and informal sector
UNDP «EPPIC» project supported by Norway to reduce SUP consumption
Only few private initiatives under CSR of large Enterprises to reduce plastic use in the food and beverage sectors
National Action Plan on Marine Plastic Litter to prevent plastic discharge in the sea
The management of municipal solid waste iin several provinces is not effective
Single-use products
Multiple-use products
Reuse - recycle
waste
Disposal
Safe
unsafe
Proper and improper waste manage ment
UNDP "EPPIC" project supported by Norway to increase reuse and recycle
Single use, multiple use, recycle
Only around 27% of the plastic waste in Vietnam is recycled, of which a lot unsafely in recycling villages
Vietnam discharges yearly from 280 to 730 ktons of plastic waste in the ocean
Plastic waste segregation at source (including COVID-19 waste) is very poor
Plastic waste segregation at source (including COVID-19 waste) is very poor
NAP to support beach cleanup nationwide at least twice per year


Diagram 2: Stakeholders & actors in the plastic chain
Private
Govern ment
Citizens/ consumers
Informal/ sector
imported or local flows
oil
polymers
products
plastic
Plastic manufac-turing and reseller firms
Food and beverage firms
Tourism firms
Consumers
Polymer manu-facturers and importers
Single use, multiple use, recycle
Plastic Recycling Enterprises
Informal operators, consolidators and recycling villages
Informal collectors
URENCO etc.
Waste Management public companies (URENCO etc.)
Waste management public companies (URENCO etc)
Single use products
Multiple use products
Reuse - recycle
waste
Disposal
Citi-zens
Land fill scave ngers
Safe
unsafe
Proper and im proper waste manage ment


Diagram 3: Project outputs
Project Outputs
imported or local flows
oil
polymers
products
plastic
Output 1.1.1: assessment to identify upstream and downstream measures
Output 3.1.3 Awareness raising toward beahavioral change to prevent SUP use
Output 1.1.2 optimission and monitoring of NAP on marine plastic pollution
Output 2.1.2: Schemes to reduce single use plastic in the food and beverage sectors
Output 2.1.1: Plastic waste segregation at source (including COVID-19 waste)
Single use products
Multiple use products
Reuse - recycle
Output 1.1.3 Financing mechanism and EPR to support NAP
Output 2.1.2: EPPIC technologies to boost reuse and recycle practices in Binh Dinh
Single use, multiple use, recycle
Output 2.1.1: Plastic waste segregation at source (including COVID-19 waste)
waste
Output 2.1.1: Plastic waste segregation at source (including COVID-19 waste)
waste
waste
Output 1.1.1: assessment to identify upstream and downstream measures
Disposal
Safe
unsafe
Output 3.1.3 Awareness raising to increase safe disposal
Proper and improper waste manage ment


Diagram 4: Risk & barriers
Low Risk
Moderate Risk
imported or local flows
oil
polymers
products
plastic
Risk 3: unbalan ced gender participa tion
Risk 10: Structur e change at MONRE /VASI
Risk 2: Loss of income to industries in the plastic and food packaging sector due to SUP banning
Risk 4: Health and safety risk for the workers in the waste banks and collection point of plastic waste
Risk 10: Structur e change at MONRE /VASI
Risk 6: flooding of waste managem ent infrastruct ures due to climate change
Risk 9: COVID-19 pamdemic hindering the project (all sectors)
Risk 1: Loss of jobs and income for informal workers
Risk 3: presence of child labor
Risk 5: Risk of accidental release of waste, wastewater, and air pollutants in the course of waste recycling activities
Risk 3: unbalanced gender participation
Single use products
Multiple use products
Reuse - recycle
Single use, multiple use, recycle
waste
Disposal
Safe
unsafe
Proper and improper waste manage ment
Risk 3: presence of child labor
Risk 8: Limited land availability for collection points
Risk 8: Limited land availability for collection points
Risk 6: flooding of waste management infrastructures due to climate change
Risk 4: Health and safety risk for workers
Risk 4: Health and safety risk for workers
Risk 3: presence of child labor
Risk 6: flooding of waste management infrastructures due to climate change
waste
waste

Consistency with National Priorities

- The project is compliant with the objectives and strategy set by the following national regulations, action plans and strategies_ the National Action Plan on Marine Plastic Litter at Decision 1746/QD-TTg of the Prime Minister., and its main objective is indeed to facilitate and operationalize the implementation of this plan; the project also is compliant with the EPR provisions established under the Vietnam Law on Environmental Protection, and under Decree 08/2022/ND-CP: as indeed intends to facilitate the implementation of such provisions specifically for what entails the definition of eligibility criteria and modalities for the disbursement of EPR funds.
- The project is also compliant with the Decision No. 1316/QD-TTg approving the scheme for strengthening management of plastic wastes in Viet Nam, and the International Agreement on Plastic Pollution: signed by the Prime Minister with Decision No 1407/QĐ-TTg as it intends to facilitate and pilot the restriction and banning of SUP items in tourism facilities like restaurant and hotels in Binh Dinh.
- The project is obviously compliant with all the policies, rules and strategies related to the management of waste, including National Strategy for Solid Waste Management at Decision 491/QD-TTg of the Prime Minister in 2018, as it indeed intends to strengthen the door-to-door collection of plastic waste, which is one of the main tools to preserve the quality of plastic scrap and increase circularity.
- The project is synergistic with the objectives if Global Plastic Action Partnership (GPAP) hosted by the World Economic Forum (WEF), which was launched in September 2018 at the Sustainable Development Investment Summit as a lighthouse initiative within the Platform for Shaping the Future of Global Public Goods.
- All the activities planned under this project will have as secondary benefit the reduction of GHG emission, either through the minimization of the production of plastic, or through the adoption of recycling technologies which are less GHG intensive than the current waste management approach and are therefore compliant with the UNFCCC National Communications (NC).

III.5 Alignment with GEF focal area

The project is aligned with the GEF-7 Strategy for IW Objective 1 (Strengthening National Blue Economy Opportunities) through addressing pollution reduction in the coastal area of Viet Nam. The project is also aligned with the GEF-7 Strategy for C&W program 1 on industrial chemicals because of the reduction of U-POPs and release associated with the avoidance of unsafe disposal of plastic waste, and by avoiding that industrial POPs contained in specific plastic waste (including PBDEs, HBCDD, SCCP) re-enter the value chain through improper recycling. The project is compliant with the Basel Convention Technical Guidelines on the Identification and Environmentally Sound Management of Plastic Wastes and their Disposal.

III.6 Incremental cost reasoning

Table 2: Incremental cost reasoning

Baseline	Alternative Scenario

The National Action Plan on the management of marine plastic litter, establishing ambitious targets related to the reduction of plastic waste released into the sea, was promulgated in 2019. The NAP includes as key tasks the prevention of marine plastic pollution from i. land sources, ii. marine sources (like fishery and tourism) and iii. Reduction of the pollution at sea through cleaning of coastal shorelines, and collection of plastic waste in the ocean and rivers That plan still lacks a practical implementation in terms of emanation of circulars and secondary laws to regulate the single chapters of the plan, appropriate funding, and technical capacity. Indeed, the NAP did not result in the promulgation of any circular or technical guideline, and a significant risk does exist that, without a renovated effort, the NAP would not be implemented. The implementation of the NAP became even more urgent after the COVID-19 pandemic, as the pandemic generated a significant amount of additional plastic waste which eventually reached the ocean. Beside the National Action Plan on marine plastic litter issued in 2019, the Viet Nam Environmental Protection Law 2020 has been recently updated with provisions related to the EPR mechanism in Viet Nam and general criteria for the implementation of circular economy. EPR funds have been disbursed by obliged enterprise, however these funds are still held at VEPF due to lack of implementing rules for their disbursement.	Under the project, building on the National Action Plan on Marine Plastic Litter, secondary norms and circulars will be developed to render the NAP implementable and operational, with specific reference to the development of realistic, science-based targets and indicators, and clear road maps for the implementation of measures in the above areas. Based on the work performed by the World Bank on the assessment of marine plastic pollution in Vietnam and proposed road map, the project will assess the current and past, direct, and secondary impact of COVID-19 on plastic pollution and identify the most urgent measures and strategies to prevent plastic pollution from SUP in the COVID-19 recovery phase and beyond. Furthermore, and building on the EPR regulation established under the LEP and the Decree No. 08/2022/NDCP, a funding scheme based on private and public sources for the prevention and remediation of marine pollution will established. That will include, in coordination with VEPF, the establishment of rules for the disbursement of the resources generated by the EPR (currently, around 15M USD are on hold undisbursed at VEPF as EPR funds) to implement action aimed at preventing marine pollution; the establishment of a marine plastic platform, coordinated by VASI, to coordinate efforts being undertaken by private entities and international firms which are undertaking voluntary actions aimed at preventing plastic pollution in compliance with their environmental policies; and agreements, with private entities, including the members of PRO Viet Nam, in case, as envisaged by the EPR rules, they intend to implement their EPR programs directly, without channeling their resources through VEPF,
In Viet Nam, a solid regulatory basis for a better management of municipal waste, the reduction of plastic pollution, the implementation of the polluter pays principles, and the enhancement of a circular economy has been established in recent years. In reality, the situation is far from ideal. The country alone produces 1.8 million tons of plastic waste, which is increasing by 16 percent every year while only 27 percent is currently recycled, as reported by MONRE (now MAE). This results in discharging about 280,000-730,000 tons of marine plastic debris each year, ranking fourth among the top 20 nations in plastic waste volume. According to the IUCN-EA-QUANTIS report 453,000 tons of plastic waste was discarded into the ocean in 2018. World Bank also has estimated that overall waste generation rate is projected to double from 27 million tons in 2018 to	The project will reinforce and support the baseline in the following ways: Under Component 2 of the project, behavior change in relevant sectors (e.g., food and beverage, tourism) will be implemented to accelerate the transition towards a Circular Economy in the Binh Dinh Province taken as pilot province. This will envisage the support for the segregation at source of plastic waste, (including COVID-19 waste) and the establishment of recovery and re-use schemes including the establishment of waste banks and deposit and return schemes linked to the Material Recovery Facility in Quy Nhon, Binh Dinh province. Pilot activities will be identified in Binh Dinh in cooperation with key enterprises, including enterprises operating in the tourism and fishing-sectors and in the food/beverage sector which are directly related to the

54 million tons by 2030, which will likely have significant impact on the level of marine plastic debris generated inland Plastic pollution has also seen a significant increase during the COVID-19 due to the increased use of packaged and delivery food, and the use of PPEs which are in most cases manufactured with synthetic fibers. In the country, a lot of plastic is recycled in recycling villages which process plastic waste without any environmental protection measures and burn the non-recyclable plastic directly in open areas. To pave the way toward a better circularity of plastic in Viet Nam, UNDP, with the support of the Government of Norway, is implementing a project on 'Scaling-up Integrated and Inclusive Waste Management Models through Empowering the Informal Sector and Fostering the Circular Economy'. This project is deploying and testing interventions, including direct support for informal waste workers, a management model in the fisheries sector, and an ecosystem-level approach of value chains through the establishment of a Material Recovery Facility, which is being piloted in Binh Dinh province. Still with support from Norway, UNDP is implementing the "Ending plastic pollution Innovation Challenge" (EPPIC) project, to assist firms to scale-up their innovative solutions to market level. As of now, the first EPPIC stage has been concluded: After a highly competitive pitching competition, the four EPPIC winners were announced. They were Galaxy Biotech (biodegradable bag from Cassava), Green Joy (biodegradable straws made from the natural grass Lepironia), CIRAC (converting poly-laminated packaging in aluminum, fuel oil and activated carbon) and Refill Day (with a service to refill products of trusted brand and deliver them to customer's homes).	up-stream prevention of single use plastic. At PPG stage, agreement have been already established with the Tourism association of Quy Nhon to reduce the use of SUP in hotels and restaurants; and with the fishing industry to expand the scope of the UNDP project for the collection of marine plastic by fishermen, and with the informal recycling sector through the Women's Union of Quy Nhon to undertake door to door collection of plastic waste. Schemes to reduce single use plastic in the food and beverage sectors will be supported, including (i) upstream prevention of SUP through command-and-control instruments such as regulations banning use in particular sub-sector, and (ii) incentive scheme for consumers aimed at promoting behavior change and reduce the market demand for SUP. The above will be supported with a science-based assessment (through existing LCA analyses for specific plastic items) of environmentally sound alternatives to Single Use Plastic, to prevent the adoption of alternatives which, although beneficial from the side of marine pollution, are associated with undesired environmental impact like increase in GHG release. Building on the successful experience of the EPPIC project, the project will apply some of the innovative and proven solutions launched under the EPPIC project to complete the life cycle approach in marine plastic pollution focusing on Binh Dinh province. On the basis of the above initiatives, the provincial NAP will be reassessed and reviewed, with special focus on the upstream and downstream reduction in the food and beverage sectors

Initiatives against Single-Use Plastic (SUP) or to promote the separation of plastic waste at sources have been piloted and implemented at local level in various parts of the country. For instance, In Ho Chi Minh City and in Da Nang, laws that required households to properly separate their waste have been enacted. In Phu Quoc, a plan for the substantial reduction of plastic waste has been proposed in cooperation with WWF. The UNDP "5 cities" project (Scaling Up a Socialised Model of Domestic Waste and Plastic Management) is currently being implemented in Ha Long, Binh Duong, Binh Thuan, Binh Dinh, and Da Nang. This is to mention only the few initiatives being implemented in Viet Nam on plastic waste at the city level. UNDP Viet Nam and MONRE (now MAE) launched the Viet Nam Circular Economy Hub in October 2021. UNDP has been an active member of the Viet Nam National Plastic Action Partnership (NPAP) and currently under discussion of taking the role of hosting the Viet Nam NPAP. However, these initiatives remain separated and there is little exchange of knowledge, best practices and lessons learnt that could effectively enhance the fight against plastic pollution.	To increase the awareness on existing solutions against plastic pollution, and establish an effective knowledge exchange platform, under Component 3, the project will establish coordination, through periodic meetings, workshops and a web platform, to share knowledge and coordinate actions on plastic waste avoidance and management, especially through Viet Nam National Plastic Action Partnership (NPAP), of which UNDP is a member in the Advisory Board, but also through other partnerships such as the plastic Development Partner Group , Plastic and Health Action Partnership, and Viet Nam Circular Economy Hub. Furthermore, the project will support Viet Nam to collaborate with other ASEAN countries on the topic of plastic pollution: it will coordinate with the ASEAN working group on Coastal and Marine Environment (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. This will basically happen through technical and resource support, by mobilizing a team of experts which will work on a day-to-day basis with VASI during preparation and participation to the meetings of the AWGCME. National awareness and communication campaigns at national level toward behavioral change will also be conducted with the aim of reducing the use of single-use plastics and proper plastic waste disposal.

IV. RESULTS AND PARTNERSHIPS

IV.1 Results

Project Objective: To strengthen the implementation of the National Action Plan (NAP) on Marine Plastic Litter at the national level and in Binh Dinh Province as a pilot site, contributing to Green Recovery from COVID-19

The project is structured in two technical components and one management component, which includes project monitoring and evaluation and knowledge management. A description of the project components, outcomes, outputs, and activities is below.

Component 1: Enabling Policy Framework on marine plastic effectively implemented

Outcome 1.1: National Action Plan on management of marine plastic litter effectively implemented in Viet Nam, with a special focus on food and beverage sectors

Output 1.1.1. The impacts on plastic pollution (including COVID 19 mitigation measures) related to food handling/packaging assessed nationally and mitigation measures identified for regional piloting
Under this output the project will assess the current and past, direct, and secondary impact of COVID-19 on plastic pollution and identify the most urgent measures and strategies to prevent plastic pollution from SUP in the COVID-19 recovery phase and beyond. The project will also build up on the analysis and surveys undertaken by the World Bank, including "Vietnam: Plastic Pollution Diagnostics", "Toward a National Single-use Plastics Roadmap in Vietnam: Strategic Options for Reducing Priority Single-use Plastics", especially by adopting the survey methodology and assessment tools provided in such documents, and verify whether the roadmap proposed can be implemented and piloted at provincial level.

The assessment will be conducted - with technical assistance provided by the project - at the national level in order to propose measures including actions to be undertaken at both national and local level, which will be linking to each other. While national level actions will be targeting policy and guidelines, local level actions are designed to be actionable, which then will be piloted in the project site of Binh Dinh province. These measures will include both upstream (SUP reduction and prevention, packaging design, etc.) to down-stream (enhanced segregation and collection, reuse and recycle, etc.). The impact of these proposed measures in terms of plastic waste avoidance, reduction of POPs and U-POPs, and marine plastic avoidance will be also assessed and the associated financial cost and benefit for each proposed measure estimated.

This pilot will be implemented in Component 2 (in relation to the Output 2.1.3), and later will be reviewed and scaled up, replicated to other provinces, which then contribute to national benefits.

This output will be achieved through the following activities:

- Activity 1.1.1.1 Assessment of the current and past, direct, and secondary impact of COVID-19 on plastic pollution.
- Activity 1.1.1.2 Identification of the most efficient measures and strategies to prevent plastic pollution from SUP and food packaging in the COVID-19 recovery phase and beyond, including any upstream avoidance measure and downstream improvement of recycling and collection, with using Life Cycle Assessment (LCA) approach. Life Cycle Assessment (LCA) is a standard approach to assess different products throughout their lifecycle. LCA has an important role here to prevent alternatives to plastic which indeed are worse for the environment in terms of GHG release, energy consumption, or release of chemicals, are promoted. LCA is also important to assess the environmental footprint of different recycling options to demonstrate their sustainability. LCA should be conducted based on ISO 14040 set of standards. Another possible measure is promoting green procurement, which can drive the market demand for circular solutions. This Activity can

be linked to the implementation of the Project "Reduce the impact and release of mercury and POPs in Viet Nam through lifecycle approach and Ecolabel" GEFID10519.

- Activity 1.1.1.3 Proposal of the measures (upstream and downstream) to be piloted in Binh Dinh against plastic pollution agreed and endorsed by the relevant stakeholders at regional level.

Output 1.1.2: NAP operationalized through the development of roadmap and policy guidelines including indicators, baselines and targets and a Monitoring and Evaluation Framework at the national level.

Currently the NAP is an overall strategy and does not include a practical implementation plan or roadmap. The project intends to work with VASI of MONRE (now MAE) to develop an implementable roadmap for NAP implementation, together with the needed ancillary regulations.

The NAP includes as key tasks the prevention of marine plastic pollution from i. land sources, ii. marine sources (like fishery and tourism) and by reduction of the pollution at sea through cleaning of coastal shorelines, and collection of plastic waste in the ocean and rivers. Under this output, secondary norms and circulars will be developed to render the NAP implementable and operational, with specific reference to the development of realistic, science-based targets and indicators, and clear road maps for the implementation of measures in the above areas. MONRE (now MAE) is also developing a circular on survey and investigation of marine plastic. The draft circular[24] will stipulate technical procedures on survey, investigation, analysis, and assessment of marine plastic litter, formulating maps on marine plastic pollution in key areas. The Project will support the implementation of this circular once it is promulgated by ensuring its wider distribution, awareness and adoption. The project will also support MAE in the preparation of the National Report of Plastic Marine Litter, envisaged under the NAP, which will take a form of a collection of environmental statistic information, similar to other environmental reports (like the National State of Environment Report) previously developed.

Beside those tasks mentioned in the NAP, the Project also supports the implementation of Decision No. 1316/QD-TTg dated 22 July 2021 on the Master Plan to Tackle Plastic Pollution, including by helping provinces to develop and implement incentive mechanisms at the local level to reduce single-use plastic (this refers to outcomes in Component 2 of the Project). A taxation system to restrict the production and use of single-use plastic will also be considered as part of the policy guidelines to implement the plan. One key regulation that has been newly established is an EPR scheme, which will be supported in Output 1.1.3.

This output will be achieved through the following activities:

- Activity 1.1.2.1. A target-based roadmap for NAP implementation developed, including relevant indicators and secondary norms and circulars as needed to render the NAP implementable and operational.
- Activity 1.1.2.2 Review and development of policy guidelines including incentive mechanism, taxation scheme, and delivery of training to support implementation of the guidelines
- Activity 1.1.2.3: Preparation of the National Report on Plastic Marine Litter to implement the NAP and negotiation for global treaty on plastic litter.
- Activity 1.1.2.4: Consolidation of the existing datasets on plastic pollution into a national database

Output 1.1.3: Available funding mechanisms from public and private sources (VEPF, EPR, PRO-Viet Nam) to support NAP implementation explored

One of the most important aspects of this output is to establish rules and guidelines (circular) for the mobilization of EPR funds already disbursed by obliged enterprises and not yet used for implementing circular economy actions like waste minimization, collection, recycling, as well as clean-up of contaminated sites. This will entail the assessment of the nationwide demand for plastic collection, development of circulars on eligible EPR fund beneficiaries, and capacity building of EPF on fund disbursement.

[24] *Circular* is understood in Viet Nam as referring to a legal document issued by the ministerial level in order to implement a specific policy.

Under this output, a funding scheme based on private and public sources for the prevention and remediation of marine pollution will be explored. That will envisage, for instance, the channeling of some of the resources generated by the EPR recently established under the Law of Environmental Protection to implement action aimed at preventing marine pollution; the establishment of a marine plastic platform, coordinated by MAE, to coordinate efforts being undertaken by private entities and international firms which are undertaking voluntary actions aimed at preventing plastic pollution in compliance with their environmental policies (for instance the ones currently being implemented by the members of the PRO Viet Nam association). The role of VASI under MAE will also be strengthened with guidance on how the agency can work toward the protection of the sea, including monitoring and enforcement, prevention measures to avoid the flow of pollutants including plastics from land to the sea of waste associated with socio-economic development activities.

Hosted by UNDP, the NPAP Viet Nam has recently launched a new task force to promote innovation and catalyze investment in effective solutions for reducing plastic waste and pollution in Viet Nam. The NPAP Innovation and Financing Task Force -- co-chaired by the International Cooperation Department of the Ministry of Natural Resources and Environment (MONRE) (now MAE) and the Alliance to End Plastic Waste – brings together government agencies and domestic and international enterprises and organizations to boost innovative ideas and solutions to drive positive changes in plastic reduction, reuse and recycling and to unlock new sources of sustainable financing such as those from impact investors, banks, incubators and accelerators. The Project therefore will support the operation of the NPAP, specifically operationalize the newly established Task Force, promote pilot of innovative solutions and explore funding opportunities to implement innovative solutions.

This output will be achieved through the following activities:

- Activity 1.1.3.1. Assessment of the nationwide EPR funds demand for plastic collection, development of circulars, guidelines on eligible EPR fund beneficiaries, and capacity building of EPR on fund disbursement. This activity will result in suitable SOP and guidelines for EPR disbursement to enterprises and activities that support upstream activities to reduce plastic usage and waste generation.
- Activity 1.1.3.2. Strengthening the capacity of VASI on environmental monitoring and enforcement of measures
- Activity 1.1.3.3. Support the implementation of NPAP (National Plastic Action Partnership), mobilize funding and collective actions and technical guidance for reduction of the release of plastic waste in the environment.

Component 2: Behavior change in relevant sectors (e.g., food and beverage) to accelerate the transition towards a Circular Economy with interventions in Binh Dinh Province

<u>Outcome 2.1: A life-cycle approach is applied to enhance the waste and plastic management in the food and beverage sectors in Binh Dinh as pilot province for future country wide replication</u>

Output 2.1.1: Plastic waste segregation at source (including COVID-19 waste) supported; recovery and re-use schemes including the establishment of waste banks and deposit and return schemes linked to the Material Recovery Facility in Quy Nhon, Binh Dinh province.

This output intends therefore to expand what UNDP is already piloting in Quy Nhon for the MRF and waste sorting at source, on a larger scale. An overall amount of 1500 tons of plastic waste avoided or prevented entering the environment is envisaged under this output. The application for MRF will be enacted by the city. Under this output a circular approach for the management of plastic waste, considering also the challenges posed by the recent COVID-19, will be explored. This will include:

- Enhance the collection of plastic waste from supermarkets and hotels, through dedicated take back campaigns for the collection of used plastic containers which may be compensated with rewards for the purchasing of other products. That will envisage the establishment of agreement with key supermarket chains, as well as logistic arrangement for the temporary deposit and transportation of plastic waste to recyclers. It may be estimated that through a drop-off point in supermarkets, it is possible to collect up to 22 ton per year in a small supermarket, 73 ton and 220 ton per year for in a medium and large supermarket,

respectively. Reverse logistics, i.e., exploring the feasibility of using the supermarket delivery chain as plastic collection chain for taking back plastic packages will also be explored.

- Plastic waste collection points (waste bank models) can be established in large residence areas, for instance in cooperation with the Building Management Units, or with support with supermarkets inside/around or near the building for plastic waste bin to collect plastic. It has been calculated that a mid-size residential building (a 100 flats tower) may generate not less than 20 kg of plastic per day. Larger residential multi-tower buildings, very common in residential areas, could each generate around 100kg of recyclable plastic/day, with a net value around 1 million VND/day.
- Local communities will be supported with collection tools, providing key infrastructures (storage/deposits), awareness raising and training on how to enhance the quality of plastic waste, and logistic support for transportation to plastic recyclers. Cooperation with ongoing initiatives to boost their performance in terms of plastic collection, enhance the quality of plastic waste collected, and to facilitate the signature of agreements with recyclers (for recyclable plastic) and cement factories (for non-recyclable plastic) will be also established.
- From the social standpoint, it must be considered that if the project "seizes" all that plastic under improved collection schemes, several people, who are currently "informally" buying and selling that plastic, could lose their income. With a collection target of 1300t, and considering that the average income of an informal collector is in the order of 200,000 VND, this could impact several informal workers through project duration ranging to 20 to 40. A compensation system will be piloted (through a social compensation mechanism), to prevent impacted waste collectors losing their income, by providing other 'sources of income and employment' in the waste chain- such as assigning them tasks like collection, segregation at source, guarding of recycling and collection equipment. Whilst the funds for such compensation will initially come from the project budget, after the end of the project the system should be made financially self-sustainable, through the development of service fees and from income from the sorted waste itself. The project will explore how the EPR funds could be mobilized to support such livelihood diversification. The plastic segregated at source will be periodically collected by the project and shipped to a formal recycler for further processing and recycling. Furthermore, it has to be considered that reuse/refill systems may be an important opportunity for livelihoods as the systems require not only collection and handling at the facilities (similar to recycling) but also redistribution. Creating these reuse/refill systems will therefore target waste pickers for laborers.
- Under this output, the activity already piloted in Quy Nhon, where fishermen have been provided with simple net baskets installed on their boats to collect their plastic waste and the plastic wasted collected from the sea, will be further scaled up[25].
- For low value plastic waste, which are often considered as non-recyclable, several options will be considered, including use of low value plastic waste mixed with ash to manufacture building materials, co-processing in cement kilns, or technologies that may become available in Viet Nam in the course of project implementation.

This output will be achieved through the following activities:

- Activity 2.1.1.1. Implementing waste sorting and collection at source in one urban area and in one rural area in the Binh Dinh province
- Activity 2.1.1.2. Cooperation of Women Union to conduct a livelihoods assessment and develop livelihoods action plans (LAPs) with the informal sector to ensure more effective transition to segregation and organised waste collection and compensate for any loss of income during this transition.
- Activity 2.1.1.3. Recycling / recovery of low-value plastic waste piloted and experience-based guidelines developed.
- Activity 2.1.1.4. Scaling up of plastic waste collection in the fishing sector in the Quy Nhơn harbor.

[25] Collective actions to improve solid waste and plastic management in Binh Dinh for the reduction of marine plastic pollution. https://www.undp.org/vietnam/press-releases/collective-actions-improve-solid-waste-and-plastic-management-binh-dinh-reduction-marine-plastic-pollution

Output 2.1.2: Schemes to reduce single use plastic in the food and beverage sectors supported, including (i) upstream prevention of SUP through command-and-control instruments such as regulations banning use in particular sub-sector (ii) Application and/or replication of innovative and proven solutions already identified under the EPPIC project against marine plastic pollution focusing on Binh Dinh province.

This output, which has an overall target of 500t of SUP consumption avoided over project life, will include the following:

- Identify and pilot activities in Binh Dinh in cooperation with key enterprises, including enterprises operating in the tourism and fishing-sectors and in the food/beverage sector which are directly related to the up-stream prevention of single use plastic (for instance introduction of reusable containers in fishing instead of Styrofoam boxes, banana leaf packaging in supermarket; design of smart food / beverage packaging particularly suited to the climate condition of Viet Nam; incentive to reuse bags available at home for carrying goods instead of plastic bags or new shoppers; prevention of bottled waters and other plastic items in hotels; pilot the selling of bulk beverages and other goods instead of bottled products, incentive of reusable food ware for food stalls, cafes, restaurants take-away and delivery. Some agreements (for instance with the tourism association in Quy Nhon) have been already established during stakeholder consultation held during project preparation.
- Carry out awareness raising campaign in different sectors in the province to implement singe use plastic reduction promoting behavior change for consumers.
- Planning for the ban of single-use plastic, supported by incentive schemes for alternative materials for plastic. Again, it is important to stress that the ban of single-use plastic needs to be supported by the identification of materials or alternatives which have a reduced impact in terms of GHG releases. Therefore, the incentive scheme will consider not only the reduction of impact to the sea, but also the reduced climate change impact of the alternative. The province will be therefore assisted by the project in the science-based assessment (through existing LCA analyses for specific plastic items) of environmentally sound alternatives to SUP, which may include not only material replacement, but also behavioral change.
- Implementing and/or scaling up some of the solutions identified by the EPPIC project, which is funded by the Norwegian Government. Through EPPIC, many innovative solutions have been identified and helped to expand at market level such as Refill (sell services instead of selling goods), cassava straws (straws made of cassava to use in replacement of plastic one), digital platform mobile application to encourage people to live greener and say no to plastic, exchange plastic with products. In the scaling up of these initiatives, how to ensure job opportunities to people currently working informally in the plastic recycling sector will be considered.

This output will be achieved through the following activities:

- Activity 2.1.2.1. Introducing/ scaling up tested alternatives to SUPs and promoting behaviour change in the food and beverage sector to reduce the amount of plastic waste generation.
- Activity 2.1.2.2. Technical support to the Binh Dinh province on the design and implementation of a SUP banning regulation, which includes material replacement and behavioral change.
- Activity 2.1.2.3. Technical and financial support for the implementation and scaling up of selected EPPIC and innovative solutions.

Output 2.1.3 The NAP localized through the formulation of a Provincial Action Plan, with special focus on the upstream and downstream reduction in the food and beverage sectors.

- The project intends to anticipate the detailed design and piloting of the NAP at provincial level. This will allow to overcome the scale and regulatory challenges of implementation at the national level, whilst still undertaking operations at a significant scale. Binh Dinh has been selected as a pilot province as it has a relatively simple waste flow and has already experienced plastic reduction initiatives.
- The Project will develop a local roadmap that will concern mainly the tourism and the retailer sectors, including a local incentivization on consumers for certain SUPs, i.e., also on non-degradable plastic bags.

This output will be achieved through the following activities:

- Activity 2.1.3.1 Detailed design of the NAP for the province of Binh Dinh
- Activity 2.1.3.2 Sector-wise roadmap for NAP implementation: tourism, retailer sectors, SUP avoidance at consumers' level

Component 3: Knowledge Management, Monitoring and Evaluation

Outcome 3.1. Project Monitoring and Evaluation

Output 3.1.1: Project monitoring and evaluation, including gender and safeguards activities carried out

The project will be monitored and evaluated following GEF Guidelines, as well as applicable UNDP Rules and Regulations for monitoring and oversight. The monitoring will include the development of the GEF Tracking Tools at different stages of project implementation; the analysis of project achievements against the objectively verifiable indicators through the preparation of Project implementation Reports (PIRs), Project annual work plans, Project reports, and technical reports.

There will be one evaluation exercise: terminal evaluation (TE), which will be carried out by a team of independent evaluators assigned by the Implementing Agency. The project audit will be carried out regularly, as per UNDP Rules and Regulations. A project knowledge management system, where all the project documentation will be stored, will be implemented in a website with personalized access levels for the project partners.

The Project will assign a staff member who is responsible for the implementation of gender mainstreaming activities and reporting periodically on the project progress regarding gender inclusion and gender-sensitive indicators during the process of project implementation.

This output will be achieved through the following activities:

- Activity 3.1.1.1 Project inception including updated gender and safeguards measures.
- Activity 3.1.1.2 Project monitoring and reporting
- Activity 3.1.1.3 Project evaluation, including terminal evaluation

Outcome 3.2: Initiate the replication and update of best practices and lessons learned in Viet Nam, ASEAN and globally

Output 3.2.1: Knowledge exchange with other cities and provinces in Viet Nam through Viet Nam NPAP and other country's plastic partnerships facilitated.

In Viet Nam, many cities started programs and enacted local regulations aimed at reducing the use of plastic and promoting the separation of plastic waste at sources. For instance, In Ho Chi Minh City and in Da Nang, city officials passed laws that required households to properly separate their waste. In Phu Quoc, a plan for the substantial reduction of plastic waste has been proposed in cooperation with WWF. The UNDP "5 cities" project (Scaling Up a Socialized Model of Domestic Waste and Plastic Management) is currently being implemented in Ha Long, Binh Duong, Binh Thuan, Quy Nhon, and Da Nang. This is to mention only the few initiatives being implemented in Viet Nam on plastic waste at the city level.

Under this Output, a coordination and knowledge exchange mechanism, based on a web platform, meetings and workshop will be held to share knowledge and coordinate actions on plastic waste avoidance and management, especially through Viet Nam National Plastic Action Partnership (NPAP), of which UNDP is a member in the Advisory Board. Beside NPAP, there have been other partnerships such as plastic Development Partner Group, Plastic and Health Action Partnership, and Viet Nam Circular Economy Hub looking at broader aspect of circular economy transition in the country. These partnerships could be utilized for knowledge sharing within this Output.

This output will be achieved through the following activity:

- Activity 3.2.1.1 Establishment and implementation of a knowledge exchange mechanism including a web platform, technical guidelines and regular meetings and workshops.

Output 3.2.2: Knowledge exchange with other ASEAN countries through the ASEAN Working Group on Coastal and Marine Environment and wider lessons sharing through IW LEARN facilitated.

The Project will support Viet Nam to collaborate with other ASEAN countries on the topic of plastic pollution. Specifically, the Project will use the platform created from the Norwegian supported project "Scaling Up a Socialized Model of Domestic Waste and Plastic Management in 5 cities in Viet Nam" to share results and good practices, including any best practices on gender mainstreaming and gender-specific interventions that have been captured. Also, through the EPPIC project, the Project can work within 4 countries: Viet Nam, Thailand, Indonesia, and the Philippines to exchange ideas and promote experience sharing.

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 as Vietnamese focal point in order to improve dialogues, with a focus on ground issues to influence decision-makers in this area.

The project will also set aside 1% of the budget to facilitate lessons, case studies and project experience sharing through the IW Learn Platform created to exchange knowledge between GEF International Waters projects, and to participate in global conferences, as deemed appropriate.

This output will be achieved through the following activity:

- Activity 3.2.2.1. Coordination and sharing of good practice with other ASEAN countries through the AWGCME and participation in IW-Learn events and international conferences.

Output 3.2.3: National awareness and communication campaigns at national level toward behavioral change conducted with the aim of reducing the use of single-use plastics and proper plastic waste disposal.

With regard to awareness and corresponding behavioral change, messages delivered through project campaigns will be implemented. This means that the communication will be designed differently depending on the audience: youth and students, business, local government etc. A crucial element of this activity is to develop a communication strategy for disseminating key messages to different target audiences including the support from mass media, celebrities and supported innovative communication methodologies. This could entail activities like beach cleanup, environmental awards for students, etc.

This output will be achieved through the following activities:

- Activity 3.2.3.1: Development of the project communication strategy
- Activity 3.2.3.2: Awareness raising events with innovative communication methodologies and support from celebrities.

IV.2 Partnerships

The project will establish/expand partnerships with the following institutions and stakeholders:

Stakeholder	**Institutional Role & Functions**	**Role in the project**
Ministry of Agriculture and	MAE is a Government agency responsible for state management in the following areas: agriculture, forestry, animal husbandry, fisheries	MAE will replace MONRE in this project as a result of the merger of the Ministry of Natural Resources and Environment

Environment (MAE)	irrigation, natural disaster prevention, rural development, land, water resources, mineral resources and geology, the environment, meteorology and hydrology; climate change, surveying and mapping, integrated resource management and the protection of marine and island environments, remote sensing, and the state management of public services within its mandate.	(MONRE) and Ministry of Agriculture and Rural Development (MARD) to form the Ministry of Agriculture and Environment (MAE) as of 1 March 2025
Ministry of Natural Resources and Environment (MONRE)	MONRE is a government entity of the national administration structure performing state management functions in the areas of land, water resources; mineral resources, geology; environment; hydrometeorology; climate change; surveying and mapping; management of the islands and the sea. *Note: MONRE and Ministry of Agriculture and Rural Development (MARD) were merged to become Ministry of Agriculture and Environment (MAE) on 1st March 2025*	MONRE will be accountable for the Government of Viet Nam for ensuring (1) the successful execution of the Project; (2) mobilization of all resources including the needed co-financing for project implementation; and (3) the coordination among all related ministries, agencies, provinces (if necessary) and stakeholders involved in project execution.
Ministry of Health (MOH)	MOH is the government entity of the national administration structure responsible for the State management of healthcare sector, including household chemicals, insecticides and disinfectant for domestic and medical use, cosmetics including their safety use; State management of food safety in food production facilities, business, etc. including food additives, etc.; Environmental protection in healthcare sector including medical waste. The Ministry of Health is also in charge of the response against the COVID-19 pandemic and therefore it establishes the guidelines and plans concerning the monitoring, prevention, and vaccination of the COVID-19.	Role of MOH in the implementation of activities related to reduction of Covid-19 related waste material, disposal of such waste material in a sanitary way, developing guidelines for the disinfection and recycling of such waste material.
Ministry of Science and Technology (MOST)	MOST is the government entity of the national administration structure responsible for state administration of science and technology activities, including technology transfer and import of new technology; development of science and technology potentials; intellectual property; quality control of national standards.	The ministry has 2 functions: one concerning the support on quality control for waste release standards, and the second concerning introduction of new technology/solution for the project (where required)
Ministry of Labor Invalids and Social Affairs (MOLISA)	MOLISA is the government entity of the national administration structure responsible for state administration on employment, occupational safety, social insurances, and vocational training; social protection and prevention of social evils; childcare and gender equality.	The ministry will oversee collaboration, provision of policy advice and monitoring activities related to the improvement of environment quality at the workplace and mainstreaming of gender issue.
Ministry of Industry and Trade (MOIT)	TMOIT is the government entity of the national administration structure responsible for trade development, the production of green products,	The ministry will be in charge of enforcing regulation and providing guidelines to

	and enforcement of industrial waste regulation by business	reduce the plastic waste of production, trade, and business in the upstream.
VEA (Viet Nam Environment Administration)	The Viet Nam Environment Administration (VEA) is an organization directly under the Ministry of Natural Resources and Environment, performing the function of advising and assisting the Minister of Natural Resources and Environment in state management and organization of law enforcement on environmental protection. environment and biodiversity nationwide; manage and organize the implementation of public service activities.	The VEA has 2 functions: (i) Regarding the management of domestic solid waste, ordinary industrial solid waste, and hazardous waste. And (ii) Guide and inspect the classification of domestic solid waste at source and organize pilot implementation, review, and replicate the model of domestic solid waste classification at source. In the project, the VEA will be playing a key role in technical guidance on investigation, survey, and assessment of plastic waste; Building a baseline for plastic waste; review and support the NPAP implementation.
Viet Nam Environment Protection Fund (VEPF), managed by MONRE (now MAE)	VEPF is a state-owned financial institution under the MONRE (now MAE)responsible for financial support through soft loans provision for the implementation of programmes, projects, activities in environmental protection, natural resources and biodiversity conservation, and reduction of pollution and reduction of environmental risks. In charge of EPR management.	VEPF is a member of the Project Steering Committee (PSC). VEPF acts as a financial service of MONRE (now MAE) in the implementation of EPR through collection of EPR fees and disbursement of EPR resources to eligible beneficiaries. The project will coordinate with VEPF in order to finalize implementation rules for the release of EPR funds for eligible activities that support NAP implementation.
Local Government Agencies at provinces (DOIT, DONRE and DOLISA)	These are the respective provincial level departments of MOIT, MONRE (now MAE) and MOLISA.	Local ministry departments will be involved in the activities conducted at provincial level (*when relevant*). Representatives from these departments can be invited to join the training and awareness raising programmes. Positive interventions in Binh Dinh provinces will be lessons learnt for other provinces to replicate and implement.
Binh Dinh Women Union (WU)	Women union in Binh Dinh province play a key role not only in livelihood development support but also in environmental protection campaigns including the sorting waste at source, saying-no-to-SUP useage etc.	Input to policy formulation, especially policy in Binh Dinh province. The Women Union (WU) is very engaged and will be leveraged to reach women informal waste workers. In addition, the WU will be engaging in the waste/plastic waste segregation models.
Private sector and associations with special reference to firms in the Binh Dinh province.	Several companies have been consulted during project preparation, including the ones which have already implemented in previous projects on plastic waste management implemented by UNDP with the support of the Norwegian government. These are listed in Annex 9 and in Annex 8.	Nam Thanh Xuan Hieu Company and Binh Dinh Environment Company are those operating in waste collecting and treatment areas in Binh Dinh. These companies will work with the Project on waste sorting at source, especially organize different collection for different type of waste after sorting.

		Vinacolor is a company producing construction materials from low value plastic. The Project will work with Binh Dinh PPC to pilot using these secondary materials in public investment such as pavement for parks and public areas. Vietnam Plastic Associations, Fishermen Association, Binh Dinh Toursim Association consisting of 78 members representing numerous hotels, restaurants in Quy Nhon city and Binh Dinh Province. These hotels and restaurants and normal eatery, especially fast food will be joining the plastic reduction programme as part of the Output 2.1.2. Beside the above partners working on downstream solutions, the Project also works with those who offer upstream measures, such as GreenJoy offering grass straws, Refill Day offering refill solutions, and Galaxy Biotech offering alternatives to plastic bags. Viet Nam Plastic Associations, Fishermen Association, hotels, restaurants in Binh Dinh Province. The National Fishery Association will be invited to provide input to policy formulation and the provincial Association is expected to participate in project activities, especially encouraging fish boats to bring back waste (mostly plastic bottles and food containers) when coming back from the sea. Enterprises, especially those in Binh Dinh will be engaged in implementing EPR scheme, deposit return program, and encouraged to reduce, reuse, and recycle plastic and other recyclable materials
NGOs and CSOs (tentative list included in Annex 8)	All these organizations have taken an active role in awareness raising and carrying out activities related to environmental aspects, waste management, circular economy, recycling, etc.	NGOs will be consulted during all the key steps of project implementation; some NGOs such as Green Hub, MCD and E-policy will be selected to carry out specific project activity, especially the ones requiring communication and awareness raising with potential project beneficiaries, and / or related to gender mainstreaming.

		A number of NGOs that were involved in the implementation of previous GEF projects will continue to collaborate with this Project. For example, E-policy is the one working closely with Legal Department on formulation of EPR framework, and it will be involved in this project through further formulation of EPR guidelines. MCD is a Centre for Marine life Conservation and Community Development, established in 2003, who has been working on coastal communities and marine ecosystem. MCD will be working with the Project in terms of sharing data on coastal community, assessment of project impacts and delivering training. Cooperation with NGOs is a key aspect to ensure the proper dissemination of project results and to guarantee as many stakeholders are listened to. These organizations will be actively involved in the implementation and monitoring of the project Gender Mainstreaming Plan
General public, consumers	People of Binh Dinh, the general public/consumers	People of Binh Dinh, especially those who live in project piloting area will be joining waste sorting at source, exercising deposit-return scheme, which is designed by the Project.
Mass media organizations, including national and provincial television and radio networks, private communication agencies, printed media, and online media.	Mass media has the responsibility for the dissemination of information and awareness on state policies, strategies, and plans to the general public at the national and regional level through mainstream channels of television, radio and print, and social media.	Partnerships with key media organizations will support dissemination of information at provincial and national levels, including on project workshops and seminars, training, and capacity building events as well as results and best practices from targeted activities at the national level and in the project site. Approaches will include direct communication, press meetings, and press releases, field visits, etc. The Plastic Recycling Sub-Association (PRA) under the Vietnam Plastic Association is one of the key partners the Project will be collaborating with. The PRA has been working with the informal sector to promote collection and recovery of plastic, which is the “inclusive part” of the Project. PRA is hosted by the VietCycle Company, which not only provides downstream solutions but also offer upstream measures such as refills.

United Nations Development Programme – UNDP	The GEF Implementing Agency (IA)	Responsible for the oversight of the project. Coordination with UNDP and the Viet Nam Environment Agency (VEA) under MAE to exchange views and experiences related to key topics, issues on POPs importation, the implementation of Green Chemistry Principles in relevant industrial sectors and the Green Financing Mechanism and Procurement.
Viet Nam Agency of Seas and Islands (VASI)	VASI is an agency under MAE, with the following mission and major tasks: • Undertake coastal, marine and island use planning and management. • Undertake integrated coastal management (ICM) and guide local levels in implementation of ICM; • Implement international cooperation on of seas • and islands; • Implement the international conventions relating to the marine environment and resources; • Warning and emergency responses of natural • and man-made hazards on the seas and coasts;	On behalf of MAE, VASI is the main focal point for implementing this Project. Responsible for the coordination and organization of component 1 and 3's activities Responsible to build the technical guide on energy and material recovery operations planning and advocacy campaign that can be applied not only to Binh Dinh Province but also the other provinces
Binh Dinh Provincial People's Committee	Responsible for executing and carrying out State management at local level in accordance with the Constitution, law and documents of State agencies at higher levels and resolutions of the Provincial People's Council.	Binh Dinh PPC will be responsible for implementing specific activities of the project in Binh Dinh province. The PPC may assign and coordinate different departments such as DONRE, DARD (now Department of Agriculture and Environment) with specific activities.
Norwegian Government (Norad and Norwegian Ministry of Foreign Affair)	Through the Norway Embassy in Viet Nam and the Norwegian aid agency (NORAD)	Major partner and co-financer of this project and other plastic-waste related projects in Viet Nam

Co-financing sources and activities

Co-financing source	Type of Co-financing	Amount (USD)	Included in Project Results	Planned Co-financing Activities/Outputs
Viet Nam Administration of Seas and Island	Investment	2,000,000	Y	VASI is responsible for implementing the National Action Plan for Marine Plastic Litter, therefore will contribute significantly to project implementation.
Viet Nam Environment Administration	Investment	1,500,000	Y	To support activities of the project and more specifically including solid waste management, implementation of waste sorting at source, EPR and operation of National Plastic Action Partnership.

(Now Department of Environment)				
Viet Nam Environment Protection fund	Investment loan	500,000	Y	Committed to providing Green Credit through concessional lending to investment projects on plastic pollution reduction and projects on alternative material to single use plastic.
Binh Dinh Finance Department	Investment	1,200,000	Y	20% of total investment for annual expenditure of environmental protection in Binh Dinh province during the period 2023 – 2026, with focus on waste management.
An Phat Holding	Investment	1,000,000	Y	Offer the solution of replacing conventional plastic with compostable plastic products such as biodegradable fishing gears, compostable shopping bags, cutlery, straws, tablecloths, and so on
Nam Thanh Xuan Hieu Company in Binh Dinh	Investment	1,500,000	Y	Nam Thanh Xuan Hieu plans to make an investment in waste treatment and recycling plant in Binh Dinh, and offers the support to work with the project, especially focus on organic waste and low value plastic
Binh Dinh Environment Company	Investment	1,300,000	Y	Binh Dinh Environment Company is a waste management company, currently manage waste from Quy Nhon and adjacent provinces. The Company commits to support project activities, especially in term of collection and segregation of waste.
United Nations Development Programme (UNDP)	Investment	500,000	N	UNDP is implementing the Project "Scaling-up Integrated and Inclusive Waste Management Models through Empowering the Informal Sector and Fostering the Circular Economy" funded by Norway
Quy Nhon City People's Committee	Investment	636,000	Y	Investment from Quy Nhon PC for the implementation of the Non-Project "Pilot implementation of waste management from domestic and fishery source to accelerate circular economy in Quy Nhon City"
Total		**10,136,000**		

IV.4. Gender equality and Women's Empowerment

Viet Nam has been performing well in terms of gender equality. The country's human development (HDI) has increased from 0.682 in 2016 to 0.706 in 2020. The Viet Nam's HDI has progressed from medium human development in the 2016-2018 to high human development in the 2019-2020. Average life expectancy at birth in Viet Nam has increased over the years, from 73.4 years in 2016 to 73.7 years in 2020. During 2016-2020, life expectancy at birth increased for both women and men, but life expectancy of women is still higher than that of men by 5.3 - 5.4 years. In 2020, life expectancy for women is 76.4 years compared to 71.0 years for men[26]. The Global Gender Gap Index (GGGI) of the World Economic Forum examines the gap between men and women in four categories: economic participation and opportunity, educational attainment, health, and survival; and political empowerment. The below table shows that Viet Nam have quite positive ranking in terms of economic participation and opportunity for women, while health care and political empowerment still need a lot of improvement. This ranking was made by the World Economic Forum in 2021.

Table 5: Global Gender Gap Index for Viet Nam

	Rank	Score
Economic Participation and Opportunities	26	0.765
Educational Attainment	94	0.982
Health and Survival	152	0.945
Political Empowerment	121	0.113

[26] GSO (2021c), Viet Nam Human Development Index Report 2016-2020

Source: World Summit Forum. Global Gender Gap Report 2021

UNDP uses the Gender Inequality Index (GII) and Gender Development Index (GDI).[27] GII is a composite measure that shows inequality in achievement between women and men in reproductive health, empowerment, and the labour market while GDI measures achievement in human development in three areas: health, education, and command over economic resources. The GDI considers the gender gaps on human development between men and women. The GII measures indicators where Viet Nam has performed well and stably, namely maternal survival, educational parity at secondary level, and the share of working-age women in the workforce. With the Gender Development Index (GDI) value of 0.997 in 2019, Viet Nam ranks 65th out of 162 countries and is the highest among five country groups. The results of the National Assembly election in May 2021 has observed Viet Nam rise to a ranking of 53rd of 193 countries on the Women in National Parliaments Index of the Inter-Parliamentary Union.[28] However, Viet Nam is still facing gender inequality challenges: the country ranks in the bottom third globally in terms of sex ratio at birth (1.12), violence against women by intimate partners (34.45 %) and women with accounts in financial institutions or with a mobile money service provider (30.45 %). Disaggregated data show larger disparities within geographical locations and ethnic minority groups[29].

As indicated in the UNDP report on Gender Equality Strategy 2016 – 2020 women also experience more difficulties in overall socio- economic development because they have to cope with various obstacles at different forms. In terms of economy, women names are not always indicated on household land use certificate and decisions related to important investment are often made by men. Socially, women have to cope with gender stereotypes which hold a belief that they are subordinate to men. In terms of work arrangement, while taking role as key labors in farming work, they must do many other unpaid housework which are taken for granted their responsibilities.

In the course of project implementation, UN policies on equal opportunities will be implemented to ensure that the project supports women's capabilities and their enjoyment of rights, and women's equal and meaningful participation as actors, leaders, and decision makers. It has to be noticed that in the waste recycling sector including among informal waste workers (IWW), female workers represent the majority with more than 95% in Binh Dinh in particular. The implementation of a Material Recovery Facility (MRF) supported by another UNDP project, will directly benefit female worker through the establishment of better working conditions and increasing job opportunities, not only for workers but also for entrepreneurs in the waste recycling sector.

The project will work closely with key stakeholders in implementing gender-responsive activities, namely VASI of MAE, national and international NGOs at the national level and provincial's People Committees, Departments of Natural Resources and Environments (DONRE), Women's Unions, local NGOs, and private sector – private enterprises working in food/beverage sector. During the PPG, targeted consultations were conducted in the Quy Nhon, Binh Dinh province and revealed that the DONRE, Women's Union and all relevant stakeholders have expressed strong support to project efforts to address gender equality barriers.

The Gender Action Plan will ensure that a gender and socially inclusive perspective is applied to all activities; research on gender and social roles will inform resulting plans and ensures equitable distribution of benefits; and information is collected and shared across gender and social groups. The Gender Action Plan will be incorporated into the overall monitoring and evaluation of the project, and its monitoring will be done through participatory means with key stakeholders at all levels. The Project will assign a staff member who is responsible for the implementation of gender mainstreaming activities and reporting periodically on the project progress regarding gender inclusion and gender-sensitive indicators during the process of project implementation.

Based on the evidence gathered during the PPG, although the Vietnamese society can be considered as a favorable environment for the promotion of gender equality and recent experience of Women Union participating in UNDP waste and plastic project in the pilot site of Binh Dinh, there are still gaps which should be considered in designing activities and during project implementation.

[27] United Nations Development Programme. Human Development Reports. http://hdr.undp.org/en/content/table-4- gender-inequality-index.
[28] World Economic Forum (WEF). 2021. op. cit.
[29] UNDP (2020), The next frontier Human Development and the Anthropocene, Human Development Report 2020

In general, the project will:

- Apply a gender and socially inclusive approach to all project activities including participation at meetings, in reporting, recruitment of project staff, contribution to planning, and implementation of activities.
- Incorporate gender and socially sensitive indicators and collect sex disaggregated data for monitoring and evaluating project results.
- Enroll a part-time gender specialist to facilitate the implementation and monitoring of the gender plans and for capacity building and training of key implementing agency staff.
- Closely coordinate between PMU and Binh Dinh Women's Unions in targeting women beneficiaries of 50%

Therefore, the project will strive to ensure that the following strategies will be followed in implementation:

- Gender-specific training and awareness material should be developed/conducted during the project implementation. Accordingly, the close consultation key stakeholders at national level like VASI, MAE and at local level including Women Union, DAE, private sector and local NGO/CSO will be conducted.
- Developed implementation guidelines to ensure equal access to the job opportunities generated by the project: the project will set up the prioritized criteria for selecting the women-led initiatives, women led enterprises to access to the financing schemes or promotion the creation of micro and small enterprises led by women and previous informal operators.
- Equal access to the information generated by the project: Specific activities dedicated for the training and awareness raising of women will be carried out. At the implementation stage, it will be ensured that equal opportunities will be given to women and men for the participation to workshops and trainings as well as awareness raising campaign. Additionally, awareness raising materials are specifically developed for male and female participants.
- Assessment of gender-specific risk associated with the management of plastic waste: Assessment of the exposure to dangerous plastic waste in the targeted waste recycling sectors with the aim to identify differences in the risks between male and females and to identify specific measures to reduce these risks at workplace through the design of green chemistry interventions.
- Specific health and safety guidelines for female employees in the waste collection and recycling industries: the project will provide the support to IWW many of whom are female.

The budget for the GM action plan represents around 7.5% of the overall GEF grant budget for this project.

Table 6: Project Gender Action Plan and Monitoring & Evaluation of gender-responsive indicators

Output	Activities	Activity related to Gender Mainstreaming	Indicators and targets	Responsible institutions
Project Objective: To strengthen the implementation of the National Action Plan (NAP) on Marine Plastic Litter at the national level and in Binh Dinh Province as a pilot site	**Mandatory** Indicator 2: # indirect project beneficiaries disaggregated by gender (individual people) Number of people (F/M) benefitting from reduced plastic pollution:	Incorporate gender and socially sensitive indicators and collect sex disaggregated data for monitoring and evaluating project results. Train project staff and allied partners on gender sensitive approaches for implementation and results reporting Gender specialist to facilitate the implementation and monitoring of the gender plans and for capacity building and training of key implementing agency staff. Should close coordinate with PMU and Binh Dinh Women's Unions in targeting women beneficiary	At least 50% of beneficiaries from reduced plastic pollution are women.	PMU, project manager Gender expert M&E consultant
	Mandatory Indicator 1: # direct project beneficiaries disaggregated by gender (individual people) Number of people (F/M) participating in training and awareness raising activities, benefitting from green financial incentives, or from project-related job opportunities.	Incorporate gender and socially sensitive indicators and collect sex disaggregated data for monitoring and evaluating project results. Train project staff and allied partners on gender sensitive approaches for implementation and results reporting Gender specialist to facilitate the implementation and monitoring of the gender plans and for capacity building and training of key implementing agency staff. Should close coordinate with PMU and Binh Dinh Women's Unions in selected areas in awareness raising activities for women.	50% of the audience participating in training and awareness raising activities are women. 50% of enterprises accessing green financial incentives or project-related livelihood opportunities are woman-led.	PMU, project manager Gender expert M&E consultant
	Component 1: Enabling Policy Framework on marine plastic effectively implemented			

Output	Activities	Activity related to Gender Mainstreaming	Indicators and targets	Responsible institutions
Output 1.1.1. The impacts on plastic pollution (including COVID 19 mitigation measures) related to food handling/packaging assessed nationally and mitigation measures identified for regional piloting	1.1.1.1 Assessment of the current and past, direct and secondary impact of COVID-19 on plastic pollution, including estimates of the CO2 and POPs releases;	Gender specific impact of COVID-19 of plastic pollution including POPs to women should be identified in the relevant assessments. Sex-disaggregated data from past and ongoing POP, mercury projects in Việt Nam along the full value chain manufacturing sectors.	Number of sections regarding the gender specific impact	PMU, project manager Gender expert M&E consultant
	1.1.1.2 Identification of the most efficient measures and strategies to prevent plastic pollution from SUP in the COVID-19 recovery phase and beyond, including any upstream avoidance measure and downstream improvement of recycling and collection	Gender specific role involved in relevant measure and strategies to prevent plastic solution from SUP should be identified in the relevant assessment. Binh Dinh Women's Union should be involved in the consultation process of legal document development.	Number of sections regarding the gender specific role	PMU, project manager Gender expert M&E consultant
	1.1.1.3 Proposal of the measures (upstream and downstream) to be piloted in Binh Dinh against plastic pollution agreed and endorsed by the relevant stakeholders.	Measure proposed by women to be piloted in Binh Dinh against plastic pollution should be identified	Number of measures proposed by women	PMU, project manager Gender expert M&E consultant
Output 1.1.2: The operationalization of the NAP through the development of roadmap and policy guidelines including indicators baselines and targets, and a Monitoring and Evaluation Framework at the national level put in place.	1.1.2.2 Review and development of policy guidelines including incentive mechanism, taxation scheme, and delivery of training to support implementation of the guidelines	Gender responsive section in the guideline and circular on survey and investigation of 45tyrof plastic should be developed	Gender responsive section is prepared 30% of the audience participating in training are women.	PMU, project manager Gender expert M&E consultant
	1.1.2.3: Preparation of the National Report on Plastic Marine Litter to implement the NAP and negotiation for global treaty on plastic litter.	Gender responsive section within the National Report on Plastic Marine Litter should be developed	Gender responsive section is prepared and included in the report	PMU, project manager Gender expert M&E consultant

Output	Activities	Activity related to Gender Mainstreaming	Indicators and targets	Responsible institutions
Output 1.1.3: Available funding mechanisms from public and private sources (VEPF, EPR, PRO-Vietnam) to support NAP implementation explored	1.1.3.1. Assessment of the nationwide EPR funds demand for plastic collection, development of circulars, guidelines on eligible EPR fund beneficiaries, and capacity building of EPR on fund disbursement.	Financing management measures should target the women or women led enterprises, women-led NGOs/CSOs, and mass organizations Gender responsive section within circulars should be developed including assessment of impact on informal waste collectors many of whom are women	Number of women led measures proposed by women	PMU, project manager Gender expert M&E consultant
	1.1.3.2. Strengthening the capacity of VASI on monitoring and enforcement of measures	Women staff should be targeted	100% women staffs should be received training	PMU, project manager Gender expert M&E consultant
	Component 2: Behavior change in relevant sectors (e.g., food and beverage) to accelerate the transition towards a Circular Economy with interventions in Binh Dinh Province			
Output 2.1.1: Plastic waste segregation at source (including COVID-19 waste) supported; recovery and re-use schemes including the establishment of waste banks and deposit and return schemes linked to the Material Recovery Facility in Quy Nhon, Binh Dinh province.	2.1.1.1. Implementing waste sorting and collection at source in one urban area and in one rural area in the Binh Dinh province.	Close consultation with the Binh Dinh Women Union to select and finance collection and segregation projects led by women	30% women collection and segregation projects are selected and financed	PMU, project manager Gender expert M&E consultant
	2.1.1.2. Cooperation of Women Union to conduct a livelihoods assessment and develop livelihoods action plans (LAPs) with the informal sector to ensure more effective transition to segregation and styrofoam waste collection and compensate for any loss of income during this transition.	Through a tight cooperation with the Women Union in Quy Nhon, one of the objectives of this output is to substantially improve the working conditions of informal waste workers, with specific reference to the use of PPE, information on job rights, and prevention of risks associated with door-to-door collection and transportation of plastic waste.	Number of female/male IWW whose working condition improved.	PMU, project manager Gender expert M&E consultant

Output	Activities	Activity related to Gender Mainstreaming	Indicators and targets	Responsible institutions
Output 2.1.2: Schemes to reduce single use plastic in the food and beverage sectors supported, including (i) upstream prevention of SUP through command-and-control instruments such as regulations banning use in particular sub-sector (ii) Application and/or replication of innovative and proven solutions building on the activities of EPPIC project to complete the life cycle approach in marine plastic pollution focusing on Binh Dinh province.	2.1.2.1. Implementation of SUP avoidance in the food and beverage sector to reduce the amount of plastic waste generation	Women's union should be consulted and get involved in the SUP avoidance in the food and beverage sector.	Women involvement result in participation of number of restaurants and hotels in SUP avoidance	PMU, project manager Gender expert M&E consultant
	2.1.2.3. Technical and financial support for the implementation and scaling up of selected EPPIC solutions	Selected EPPIC solutions proposed by women should be prioritized	30% of selected EPPIC solutions proposed are women	PMU, project manager Gender expert M&E consultant
Output 2.1.3 The NAP localized through the formulation of a Provincial Action Plan, with special focus on the upstream and downstream reduction in the food and beverage sectors	2.1.3.1 Detailed design of the NAP for the province of Binh Dinh	Gender responsive to be included in the revision of the of Binh Dinh NAP	Consultation report including the gender responsive	PMU, project manager Gender expert M&E consultant
	2.1.3.2 Sector-wise roadmap for NAP implementation: tourism, retailer sectors, SUP avoidance at consumers' level	Close consultation with the women union and tourism enterprises for road map implementation of NAP	Consultation report including the gender responsive	PMU, project manager Gender expert M&E consultant
	Component 3: Knowledge Management, Monitoring and Evaluation			

Output	Activities	Activity related to Gender Mainstreaming	Indicators and targets	Responsible institutions
3.1.1: *Project monitoring and evaluation, including gender and safeguards carried out*		Sex-disaggregated data is collected. Gender and safeguards documents are updated	Updated GAP and ESMP	PMU, Project Manager
Output 3.2.1: Knowledge exchange with other cities and provinces in Viet Nam through Viet Nam NPAP and other country's plastic partnerships facilitated. *3.2.3 Knowledge exchange with other ASEAN countries through the ASEAN Working Group on Coastal and Marine Environment and wider lessons sharing through IW LEARN facilitated.*	3.2.1.1 Establishment and implementation of a knowledge exchange mechanism including a web platform, technical guideline and regular meeting and workshops	Gender sensitve aspect should be reflected in the web platform, technical guideline. Sex-disaggregated data should be collected and documented in regular meetings and workshops	30% women participated in the meetings and workshops	PMU, project manager Gender expert M&E consultant
Output 3.2.3: National awareness and communication campaigns at national level toward behavioral change conducted with the aim of reducing the use of single-use plastics and proper plastic waste disposal.	3.2.3.1: Development of the project communication strategy	Gender sensitve communitication should be implemented to raise the awareness for the public and community for a better recognition and social acceptance of the social role of informal workers in the waste sector	Gender sensitve communitication included in the strategy	PMU, project manager Gender expert M&E consultant

IV.5 Risks

- Environmental and social safeguard risks related to project activities are subject to an in-depth analysis under the Social and Environmental Screening Procedure (SESP) (cf ANNEX 5, separate document) and GAP (cf. Annex 9 separate document). The project is classified Moderate Risk according to the SESP. The following principles and standards are triggered:

Overarching Principle: Leave No One Behind

X Human Rights

X Gender Equality and Women's Empowerment

X Accountability

Standards

X 1.Biodiversity Conservation and Sustainable Natural Resource Management

X 2.Climate Change and Disaster Risks

X 3.Community Health, Safety and Security

☐ 4.Cultural Heritage

X 5.Displacement and Resettlement

☐ 6.Indigenous Peoples

X 7.Labour and Working Conditions

X 8.Pollution Prevention and Resource Efficiency

A list of 7 risks, ranking from Low to Moderate, are detailed in the SESP (Annex 6). Specific measures were included in the 3 components of the projects to avoid, and where avoidance is not possible, reduce, mitigate, and/or offset adverse risks and impacts. The table below provides an overview of the required social and environmental safeguards elements to be designed and their timeframe.

Table 7: Risk Management Plans

Environmental and social elements	**Description**
Social and Environmental Screening Procedure	The SESP was conducted during PPG and available as an annex to the ProDoc. It details the 7 safeguard risks associated with the implementation of the project, as well as the measures that are embedded in the project design, and other measures to avoid, and where avoidance is not possible, reduce, mitigate, and/or offset adverse risks and impacts.
Stakeholder Engagement Plan	The project has developed a Stakeholder Engagement Plan (cf. Annex 9) which clearly identifies the modalities for engagement of the main project stakeholders, including the private sector and the Informal Waste Workers (IWW). The Stakeholder Engagement Plans details measures and channels to ensure that this project will engage with all stakeholders in a meaningful way. It will guide all actions pertaining to SES implementation.
Gender Action Plan	The project has developed a Gender Action Plan (cf. Annex 11, a separate document) which clearly identifies the most vulnerable women groups who have interest in the project and who will benefit from the project activities. This document (1) details the situation of all women and of women rights in Viet Nam and in the project area (2) defines appropriate measures to ensure the project benefits to women; (3) propose ad hoc measures to avoid, attenuate, mitigate or compensate any adverse impact on women. The GAP will guide all actions pertaining to SES implementation and gender-

	mainstreaming. It offers specific activities, from capacity-building to specific consultation activities, allowing all women to fully engage with the project and decision-making processes from the outset.
Grievance Redress Mechanism	The project will set up a Grievance Redress Mechanism. This GRM will be established by the national government agencies (or, as appropriate, by regional or municipal agencies) to receive and address concerns about the impact of the project on external stakeholders, and any conflicts related to project implementation. The GRM will be accessible, collaborative, expeditious, and effective in resolving concerns through dialogue, joint fact-finding, negotiation, and problem solving. It will be developed by the Implementing Agency and will be evaluated and validated by UNDP CO in the first six months of project implementation. Interested stakeholders may raise a grievance at any time with the Project Management Office, the government party, UNDP, or the GEF.

Table 8: Risk Register

#	Risk Category and Description	Date Identified Risk Level (Low, Mod, High) Probability Impact	Risk Treatment / Management Measures	Risk Owner
1	**Social and environmental** **Loss of jobs and income for informal waste workers in the plastic recycling sector** As the project intends to improve the plastic waste segregation at source, this could obviously interfere with the operations of existing informal waste workers in pilot Binh Dinh. However, better collection and storage is a prerequisite to reduce the environmental impact of plastic waste management. The informal waste workers will still play a key role in the collection of plastic waste. A smooth transition and cooperation schemes are then needed. It is estimated that with a collection target of 1300 t over project duration, a maximum overall number of IWW ranging from 20 to 40 could be impacted if the project covers only areas already covered by IWW.	Project implementation, component 2 I = 2 L =4 Moderate	The informal waste workers will still play a key role in the collection of plastic waste. A smooth transition and cooperation schemes are then needed to shift to a new collection regime. There is a need to better understand the economic dependence and livelihood implications of stopping informal waste collection and processing activities for IWW, both at the national (potential livelihood implications of NAP for these workers across the country) and, more in detail, at the provincial level (potential livelihood implications of the demonstration activities under Component 2 in Binh Dinh province). The **Stakeholder Engagement Plan** (SEP) will be updated to include culturally appropriate consultation and engagement activities with IWW at the national level. The goal will be to understand and assess the significance of this risk at the national level. Since women make up a large fraction of IWW, the **Gender Analysis and Action Plan** (GAAP) will also be updated based on these consultations. At the provincial level, the project will conduct a **Livelihoods Assessment of Informal Waste Workers** in the province of Binh Dinh. This assessment will include: - Undertaking a census to identify individuals and households who will be economically displaced by project activities. - Socio-economic survey is used to determine and analyze their socio-economic conditions, including vulnerability factors. <u>Management</u> At the national level, conclusions from this additional *stakeholder analysis* will be	**PMU**

			included in the development/operationalization of the NAP as part of Outcome 1.1. At the provincial/pilot level, a **Livelihoods Action Plan** (LAP) will be developed based on the results of the **Livelihoods Assessment of Informal Waste Workers** in the province of Binh Dinh. This LAP will articulate the measures needed to compensate for the loss of earnings of IWWs (e.g., loan for livelihood support or providing the collection equipment's and technical training for their more effective waste collection and storage). The compensation mechanism envisaged as part of Output 2.1.1 will be developed in this LAP. The project has established and included **Grievance Redress Mechanism** (GRM) in the SEP to ensure that IWWs as well as other project affected person who do not have the capacity would claim their rights. IWW will be informed of the existence of the GRM and on the way to use it. The GRM will be reviewed and updated as needed during project implementation to ensure its effective application.	
2	**Social and environmental** **Loss of income to industries in the plastic and food packaging sector due to banning or restricting the use of certain single use plastic (SUP)** The internalization of environmental cost, resulting in a net loss for enterprises, is currently occurring in Vietnam, for some industrial sectors, through the application of EPR rules under the Law of Environmental Protection 2020. Whilst this is a risk from the perspective of some industries operating in the food packaging and plastic manufacturing sector, the internalization of the environmental cost associated with the restriction of use of SUP, which has delayed for too long, will represent a benefit for the community	Project implementation, component 2 I = 2 L =3 Low	Currently, the impact of EPR on the enterprises is very low as it consists of a small contribution proportional to the amount of plastic products placed on the market, which is paid to VEPF The issue of SUP reduction is already among the policies planned by the Binh Dinh and central government will be addressed at governmental level with participation of all the key stakeholders. UNDP will support the government and key stakeholders in identifying the best win-win actions toward the reduction of the use and marketing of SUP and a better recycling which could be beneficial for both enterprises and society, and support the diversion of EPR funds to support industry to adopt these through Output 1.1.3	**PMU**

3	**Social and environmental** **Imbalanced gender participation in the project** In similar projects implemented by UNDP it has been found that the women operating as informal waste collectors did not want to show up in workshops or attend awareness raising events because they were shy and afraid of being blamed or disapproved. According to the research, Vietnam has a high participation rate by women and especially so in the informal and independent sector. Women represent 35-40% of formal waste collectors while they dominate the informal sector with 65% participation rate. This higher participation rate is also supported by the fact that women often work alongside their spouses or other family members in a wider range of occupations, including waste collection. In many cities, they dominate the low-paying but secure professions of street sweeping and waste material collection by handcart. Although the presence of women in the informal recycling sector is common in other countries in Asia, their numbers in Vietnam's solid waste related activities, typically as street recycling pickers, itinerant buyers, and small-scale junk shop operators is greater. Men earn more as recycling collectors at dumps because they are more likely to work at night, when most of the waste material arrives. Men dominate higher paying 'jobs' not only in the informal waste economy, such as dealers and owners of recycling businesses, but also in the formal waste economy, such as truck drivers and managers.	Project implementation, all components I=3 L=3 Moderate	This risk has been addressed/mitigated in project design and GAP. Whilst informal collectors and waste scavengers need to be supported and offered with better job opportunities, at the same time the project will conduct awareness raising for the public and community for a better recognition and social acceptance of the social role of informal workers in the waste sector. This is crucial to ensure that discrimination against women working in the informal sector will be prevented. As such, the communication strategy to be developed during the project implementation (under the Activity 3.2.3.1) will be developed. Furthermore, the project will find ways to meet the IWWs "in the field" in "informal manner" rather than formal gatherings like meetings, training or workshops. Under Output 2.1.1, through a tight cooperation with the Women Union in Quy Nhon, the project will seek to substantially improve the working conditions of informal waste workers, with specific reference to the use of PPE, information on job rights, and prevention of risks associated with the collection and transportation of plastic waste. The PPG has consulted with the Binh Dinh Women Union who played a crucial role in the UNDP similar previous project and it was agreed that Women Unions will enhance the possibility to raise awareness among IWWs and women as well. The GAP has been developed by PPG to incorporate the gender issues during the project design. In addition, SEP and has clearly presented the plan to engage the IWWs and relevant stakeholder to avoid the imbalanced ensure a balanced gender participation.	**PMU**

4	**Social and environmental** **Environmental, Health and Safety risk for the workers in the waste banks, collection point of plastic waste and recycling activities.** Currently plastic waste collection and recycling are largely carried out by the so-called informal recycler, which basically are structured in 3 hierarchical levels: informal collectors and scavengers, consolidators and recyclers. At all levels, the operations are carried out without significant protection for the worker or the environment. It was reported that around 30% of the plastic collected by informal operators get discarded in the environment or burnt in the open. The process of plastic recycling in recycling village has a serious impact on the water quality and atmosphere. In Viet Nam there are currently only two solutions to prevent the leaking into the environment of the plastic discarded by informal operators is dumped into the environment or burnt in the open: one, is currently the co-processing in modern cement kiln that can ensure at the same time the recovery of ash into clinker and the recovery of energy; the second, and most recent option, is the use of such "non-recyclable" plastic in an extrusion process aimed at manufacturing building materials (bricks, tiles, pillars etc.)	Project implementation, component 2 I = 3 L =3 Moderate	This baseline risk has been partially addressed in project design and further minimization will be ensured at implementation. Under the project design, the component 1 will enable Policy Framework on marine plastic through effective implementation of the NAP. The guidelines and circulars developed to enable NAP implementation will address issues such as open burning of plastic waste, as well as reduced consumption of Single Use Plastics (SUPs) that do not yield to recycling. As in Binh Dinh province or future countrywide replication, the component 2 will demonstrate a life-cycle approach to plastic waste to enhance the waste and plastic management in the food and beverage sectors in Quy Nhon City and adjacent coastal districts. From the implementation of these two components, the knowledge management, including exchange on best practices and lesson learnt, awareness raising and training will be implemented in the component 3. As such, the project implementation will directly address this risk through upstream (reduced consumption and production of SUP) and downstream (better collection and more efficient recycling) measures, through the establishment of collection and storage areas. Although the project is dealing with non-hazardous waste which does not represent an outstanding health risk for the waste collectors, safety protocols and training for the use of PPEs will be developed and communicated to the workers through dedicated training event. . The project will anyway also provide operators with proper PPE (Activity 2.1.1.2). Awareness raising and training on the use of PPE during plastic collection and recycling operations will be carried out for the workers in charge of waste collection and recycling operations, who, in the informal plastic waste chain, are the least protected (Activity 2.1.1.1). For low value plastic waste, which are often considered as non-recyclable, several options will be considered, including use of low value plastic waste mixed with ash to manufacture building materials, co-	**PMU**

			processing in cement kilns, or technologies that may become available in Viet Nam during project implementation (Activity 2.1.1.3). To prevent the release in the environment associated with recycling processes, evaluation of the recycling process before its adoption and laboratory analysis of the effluents during operation will be carried out.	
5	**Social and environmental** **Climate Change: Risk of flooding of waste banks or collection points** The impact of climate change in Vietnam resulted in increased frequency of extreme weather events, with landslide and flooding in many areas. In November 2021, nearly 100 households in areas at risk of landslide and flooding in Quy Nhon city and Phu Cat district of Binh Dinh province were relocated to safer places as torrential rain caused flooding. .	Project implementation, component 2 I=2 L=3 Low	The survey and consultation with Binh Dinh DONRE were conducted during the PPG and found that the waste banks/collection points will be put in the locations close to/within the existing shopping mall or residential buildings that are high level positions and not prone to flooding, mitigating the likelihood of these points being affected even should extreme weather events occur. In addition to that, the collected plastic waste is discharged from domestic source rather than the industry and not included the harmful substances. Prior to establishment of a waste collection point, a **location screening** will be conducted as part of site selection to avoid areas under risk of flooding. <u>Management</u> **Emergency Response Plans** would be developed for each collection point during the project implementation for each collection site, depending on the risk profile of each location, to ensure that flood risks are given adequate consideration when selecting collection points.	PMU
6	**Social and environmental** **Participation of minors in waste collection activities** As currently plastic waste collection and recycling are in large part carried out by the so-called IWW, the participation of minors in informally established firms cannot be excluded. Therefore, the project cannot directly support informal or illegal enterprises, where the risk of child labor is high.	Project implementation, component 2 I=2 L=3 Moderate	The project will provide direct support to informal collectors of plastic waste as individuals through cooperation with the Women Union, with the requirement that participation in the project is subject to the compliance with the Vietnam regulation on employment and safety at work, which strictly forbid child labor. Through establishment and enforcement of specific requirements in recruitment processes, the project will not support informal or illegal enterprises, where the risk of child labor is high. Considering however that many informal enterprises operating in the plastic	PMU

			recycling sector are family enterprises, the project will provide awareness raising even to such enterprises through Output 2.1.1, Activity 2.1.1.3 on the issue of child labor, the right of minors, and will explore what are the needed support families need to give up with child labor and ensure their children the right of education and play time.	
7	**Social and environmental** **Limited availability of land for waste banks and collection points** In other similar projects the availability of lands proved to be a bottleneck in project implementation, therefore an anticipated agreement on the use of lands is needed.	Project implementation, component 2 I=2 L=3 Low	Instead of using new lands for the collection and storage of waste, the project will make full use of available space for temporary collection at retailer's and shop places through the establishment of commercial agreements. This will avoid the need for land and will boost the responsibility of the generators. Waste banks/collection points will be small and temporary storage of the plastic waste during the daytime only. In this regard, no dedicate area of land is needed and this will be addressed during the planning stages of Output 2.1.1.	PMU
8	**Operational** **Data generated from enterprises on SUP reduction are not accurate or realistic. Indirect surveys affected by large uncertainty** To verify the actual reduction of SUP and the increase of collection and recycling, data will be gathered through reports generated by the enterprises involved in relevant activities, and by pre and post project surveys on consumers. These data will be unavoidably affected by a certain level of uncertainty and subjectivity.	Project implementation, component 2 I=2 L=3 Low	Technical exchange, training and a conservative approach will ensure that enterprises provide accurate measures and that the survey provide reliable and realistic data. This will be supported during implementation all the Activities envisaged under Output 2.1.1	PMU
9	Operational **Difficulties related to the monitoring of the Binh Dinh coast to gather meaningful results** Even if the project will ultimately result in a significant reduction of the amount of plastic waste entering the ocean, direct monitoring of the coast could be misleading due to delay in the effects, previous presence of plastics waste, and plastic waste coming from the adjacent coastal areas and other ocean-based sources.	Project implementation, component 2 I=3 L=3 Moderate	To ensure reliability of data related to the presence of plastic waste in the environment, the monitoring of the source will be preferred over the direct monitoring of the plastic waste at the coastline, although survey of specific sections at coastline will be carried out in the course of project implementation.	PMU
10	Financial	Project implementati	Co-financing will be monitored with the same accounting approach adopted for GEF	PMU / UNDP

	Committed co-financing not achieved at implementation A number of risks for the delivery of co-financing have been identified in section VIII. Financial planning and management, as follows: • Restructuring and change in personnel • Lack of coordination between agencies • Low interest of enterprises to apply for green funds • Change in investment and expenditure • Reduce interest and commitment at the time of project implementation • Delay in investment	on, all components I=3 L=2 Low	grants. As of now, all the GEF project implemented by UNDP in Viet Nam achieved or exceeded to co-financing committed. A detailed list of measures to ensure that the committed co-financing will be delivered is reported in Table 8 – Co-financing sources and activities.	
11	Project management **Delay in project implementation** Delay of the implementation of project activities is common and may be related mostly to activities requiring procurement of complex goods or services, enactment / endorsement of regulations which timelines cannot be imposed by the project, procedures for the permitting or environmental assessment of specific infrastructures. Delay sometimes is caused by COVID-19	Project implementation, M&E I=3 L=3 Moderate	The project does not require the procurement of complex or expensive equipment therefore it is expected that the procurement will be quick and straightforward. The participation of MAE/ DAE in project activities will facilitate the issuance of needed environmental permitting. Only second-level regulation, requiring endorsement only at Ministry level, will be developed and endorsed under the project. UNDP will closely monitor project work planning and procurement issues. The pandemic had a significant impact on implementation of many projects few years ago, but the country has well managed by widespread vaccination and applied flexible working arrangement such as online, telecommuting etc. The thorough project monitoring and supervision will allow to identify in advance actions and countermeasures to timely address issues potentially leading to project delay.	PMU / UNDP

IV.6. Climate Screening and Climate Risk Assessment

Viet Nam has both a tropical climate zone and a temperate climate zone, with all the country experiencing the effects of the annual monsoon. Rainy seasons correspond to monsoon circulations, which bring heavy rainfall in the north and south from May to October, and in the central regions from September to January. In the northern regions, average temperatures range from 22°C–27.5°C in summer to 15°C–20°C in winter, while the southern areas have a narrower range of 28°C–29°C in summer to 26°C–27°C in winter. Viet Nam's climate is also impacted by the El Niño Southern Oscillation (ENSO), which influences monsoonal circulation, and drives complex shifts in rainfall and

temperature patterns which vary spatially at a sub-national level. El Niño has also been shown to influence sea-level, drought incidence and even disease incidence.[30]

Viet Nam is a country prone to climate change effects, sea level rise, and extreme weather events. The country has issued and implemented a National Strategy and National Action Plan to Respond to Climate Change. Viet Nam demonstrates dedication to combating climate change through a range of national policies and concrete adaptation measures. In 2011, the National Climate Change Strategy was issued, outlining the objectives for 2016–2050. In 2012, the National Green Growth Strategy was approved, which includes mitigation targets and measures. In 2013, the Law on natural Disaster Prevention and Control was enacted, aiming to address diverse natural hazards that affect the country, which are primarily climate related. Additionally, the 2014 Law on Environment includes a full chapter on climate change. Viet Nam ratified the Paris Agreement on November 3, 2016, and the associated Nationally Determined Contribution (World Bank, 2019).

Binh Dinh is a coastal province in Central Viet Nam. The territory of the province stretches 110 km in the North-South direction, the natural area: 6,025 km2, the territorial area: 36,000 km2. It is bordered on the north by Quang Ngai Province, on the south by Phu Yen Province, on the west by Gia Lai Province, on the east by the East Sea with a coastline of 134 km long, the easternmost point is Nhon Chau commune (Cu Lao Xanh) in Qui Nhon City (Figure 1). Binh Dinh is assessed as having a strategic position of great importance in socio-economic development of the central key economic region, considered one of the gate ways to the sea of the Central Highlands and southern provinces. Laos, northeastern Cambodia. Binh Dinh has a lot of rivers, rivers are not big, high, short, low sediment. There are four big rivers: Lai Giang, Kon, La Tinh and Ha Thanh.

In Quy Nhon, for agriculture, aquaculture, and forestry: most manufacturing operations are dependent on the weather. Moreover, poor people group mainly work in these sectors, their production are made just to maintain their lives and there is almost no accumulation, which leads to the fact that they cannot afford equipping themselves with better conditions to respond to natural disasters, such as: strong houses, equipment, facilities, and production capital. To overcome these problems, some relevant activities need to be performed, including: (i) raising awareness of people about climate change and other threats, (ii) planning to develop manufacture based on the climate change research to integrate into the operations, (iii) policies to support (such as funds, facilities, and equipment), insurance and resettlement in line with community participation and community education enhancement.

The city now has got the organizational structure and facilities to prevent and reduce natural disasters as well as search and rescue, which can reduce the risk of climate change. Also, the project will not envisage large infrastructure in low land, instead waste banks or deposit/return schemes will be integrated into existing infrastructure such as markets, shopping malls, restaurants.

IV.7. Global Environmental Benefits

By reducing generation and release of plastic waste in a systematic way in the inland and coastal territory of the province of Binh Dinh, the project intends to reduce the pollution load along the estuaries of the river of the same province, and therefore, protecting the marine environment and the associated coastline.

The project will result therefore in the reduced pollution load along the coast of the pilot province of Binh Dinh, which may be tentatively estimated as 7.2 km^2. Quy Nhon City is the metropolitan area of Binh Dinh province, where most activities of the project will be undertaken. In the administrative area of Quy Nhon city there are two estuaries: (i) Con River flowing from the northwest to Quy Nhon City; and (ii) Ha Thanh river flowing from the southwest to Quy Nhon City, discharging on a coastline of 72km. Although very likely the impact of the project will go beyond this area, a conservative assumption is that only the area influenced by such estuaries will benefit from project implementation. Assuming a strip of 100mx72km, that will correspond to 720 ha.

This is in line with Objective 1 – Strengthening Blue Economy opportunities – of the GEF 7 International Waters Focal area, with specific reference mainly to the area of strategic actions addressing pollution reduction in marine environments, and indirectly through sustaining healthy coastal and marine ecosystems and catalyzing sustainable fisheries management.

[30] Country Climate Risk Profile, The World Bank (2019)

In term of plastic waste avoided or prevented to enter the environment, the project has set a target of 2000 tons of plastic waste over project duration, as following:

- **On the side of SUP avoidance**: Binh Dinh was visited in 2018 by 3.7 million visitors, (https://en.nhandan.vn/binh-dinh-tourism-looks-towards-sustainable-development-post67720.html-). Currently it has a capacity of around 5 million person per year. (https://en.vietnamplus.vn/efforts-made-to-attract-tourists-to-binh-dinh/224913.vnp.) It may be safely assumed that as a minimum each average tourist consumes not less 2 plastic water bottles per day (weight in the order of 30g), one plastic bag, a couple of plastic straw and one Styrofoam lunch box, without considering SUP like small shampoo bottles and laundry bags and liners. Assuming also that tourism in Binh Dinh is mostly short stay (3 days, whilst the average for VN is 8 days), that would generate around 1280 tons of SUP consumption per year. To set as a target the reduction of 500 tons (around 20% of the generation over 2 years) as SUP avoidance from the tourism sector for the project duration may be therefore considered as a reasonable target. That could be supported by the EPPIC technologies promoting the replacement of SUP with refilling systems, alternative materials and so on.
- **On the side of segregate collection of plastic waste**: Taking the average generation of municipal waste in Quy Nhon (0.7kg/day per capita in 2012) and a percentage of plastic waste in the order of 10%, the province of Binh Dinh (with a population of around 1.5 million people in 2022) generates around 38325 tons of plastic waste per year. The project intends to collect 1300 tons over the project duration, which represents around 1.7% of the provincial generation of plastic waste over project duration, or, from another perspective, it will collect the plastic waste generated by around 25000 people. This would be arranged through a system of collection points / waste banks established in supermarkets, large residential buildings, rural areas, through the collaboration with Women Union in Binh Dinh which will be the coordination institution for the involvement of informal collectors. Included in this target is also the amount of plastic which will be collected through agreement with the fishing sector in Binh Dinh, through scaling up of the current UNDP projects which has already started such cooperation.
- **On the side of demonstration of the recycling of non-recyclable plastic:** The project will also demonstrate the collection and recycling of around 200 tons of low-quality plastic waste, including the plastic waste discarded by recyclers or informal collectors as considered non-recyclable by them. That plastic would be processed by consolidated technologies already existing in Viet Nam, as described with more detail in the project document. The above will represent an overall target of 2000 tons of plastic waste removed from (or prevented from entering into) the environment over project duration. Concerning the impact on the coastline of this reduction, in 2020 UNDP VN undertook a field test along a riverbank near Halong bay of a cost-effective methodology to measure the amount of plastic on contaminated beaches and river banks. *(C.Lupi, Photo Survey on marine and mega litter along Vietnamese coast – Methodology testing, prepared for UNDP on may 27, 2020; and Carlo Lupi, Photo survey on marine macro and mega litter along Vietnamese coasts. Methodological concept notes, prepared for UNDP, April 12, 2020)* One of the results of the test was that 5,7 kg of plastic are enough to badly contaminate a strip of riverbank in the order of 300m2 (3x100 m). Although is acknowledged that is impossible to predict specifically the length of the coast which would benefit from the reduction of plastic released in the environment, theoretically 2000 tons of plastic removed from the environment could have the capacity to contaminate a strip of land 100m wide and with 1052 km length (calculated as (2,000,000kg / 5.7kg) x (300m2)) / (1000m x 100m), or 50 m wide and with a length of 2104 km. The density of plastic waste (bags, styrofoam, PET bottles) is extremely low and therefore a small mass of plastic waste has indeed the capacity to contaminate an extremely wide area. Although the benefit could indeed concentrate in smaller areas, it is not an overestimation to claim that the removal (or avoidance) of 2000 t of plastic waste could generate benefits for the whole province. On another perspective, we should notice that according to Binh Dinh DONRE, the daily solid waste generation amount in the province is about 1,011 tons/day, of which around 10% (101 t) are plastic. The project therefore has an impact comparable to the 20 days of plastic of the whole province, or 5.5% the amount of plastic waste generated in one year. This is the average improvement that could be expected over the provincial coastline. The Project will refine the value during first 6 months of implementation.

As a co-benefit, it may be anticipated that the project will result in a significant avoidance of abandoned and/or improperly disposed plastic waste of plastic entering the coastal water of Viet Nam, with an associated reduction of CO2, and a significant reduction of U-POPs associated with the avoidance of open burning of non-recyclable plastic. The following amount of CO2e avoidance has been estimated:

- **CO2e release in the production stage.** The EIONET report on "Greenhouse gas emissions and natural capital implication of plastic" (Eionet Report – ETC/WMGE 2021/3) provides an estimate for the emission of CO_2 from plastic production of 2.94 kgCO_2e/Kg for PET granules, 1.98 kgCO_2e/Kg for LDPE granules, and 3.68 kgCO_2e/Kg for general purpose polystyrene. In the absence of more detailed data for Vietnam, assuming an average among the 3 types of plastic, it may be assumed an average emission factor of 2.8 kgCO_2e/Kg in the production stage. It should be also considered that the CO_2e emission from plastic manufacturing in Vietnam may be different from the one estimated for Europe.
- **Generation of CO2e from Incineration or open burning.** Conversion of C to CO_2e – based on the molecular weight (12/44). One kg of C generates 44/12 = 3.67 kg of CO_2Content of C in plastic: based on *(Smeaton, Craig. (2021). Augmentation of global marine sedimentary carbon storage in the age of plastic. Limnology and Oceanography Letters. 6. 10.1002/lol2.10187)* the six most common types of plastic contain 74.63% ± 15.81% of C. Based on the above, the combustion of one kg of plastic generates up to 2.71 kg of CO_2. For each kg of plastic waste avoided (i.e. which is not manufactured), around (2.8+2.7) = 5.5 kgCO_2e/Kg would be avoided. As the project intends to reduce by 500 tons the amount of plastic entering the Vietnam market, that would result in the avoidance of 2750 t CO_2
- **Generation of CO2e from recycling.** Recycling of plastic bottle into pellets consumes around 540 kJ of energy/kg *(The IMPEE project: Energy balance in recycling one PET bottle – the Cambridge-MIT Institute)*, assuming a thermal to electricity conversion efficiency is 0.3, this will represent 1800 Kj; translated in coal equivalent this is approximated to 0.06148 kg of coal, and therefore 0.0648*0.66 (CO_2 in one kg of coal) = 0.15 kg CO_2 per kg of recycled PET. Assuming that the average value for the recycling of mixed plastic is twice of the one for PET, this means that for each kg of plastic which is recycled instead of burnt, the amount of CO_2 avoided is in the order of (2.71 – 0.3) kg per kg of plastic which is recycled instead of incinerated. The project intends to collect and recycle of 1300 tons of plastic waste, preventing their incineration, resulting therefore in the avoidance of 3133t CO_2e (avoided incineration or open burning). The avoided CO_2 from the recycling of low value plastic (200t under the project) would depend from the specific technology selected and is therefore not accounted here.
- **In total, the plastic avoidance plus the collection at source and recycling would allow for a total saving of CO_2e emission estimated in 5883 t of CO_2e.**

IV-8. Innovativeness, Sustainability and Potential for Scaling Up

Innovativeness

There are potential types for innovation in this project as follow:

- Firstly, a funding scheme based on private and public sources for the prevention of marine plastic waste will be explored. That will envisage, for instance, the channeling of some of the resources generated by the EPR recently established under the Law of Environmental Protection 2020, which for the first time introduced the Extended Producer Responsibility ("EPR'') concept which extends the responsibilities of producers and importers regarding the recycling and treatment of discarded products and packaging which contain non-biodegradable plastics. MONRE (now MAE) launched two public-private platforms, which are National Plastic Action Partnership in collaboration with the World Economic Forum and Viet Nam Circular Economy Hub in collaboration with UNDP. These two platforms can be considered as a basis for enhancing public-private partnership to deal with plastic waste in the country.

- Secondly, UNDP Vietnam has engaged with the UNDP Accelerator Lab team who is leading a social lab process with innovation and experiment. Beside the Viet Nam Circular Economy Hub created at the national level, the country team is working with Quy Nhon city to deploy and test interventions, including direct support for the informal waste workers, a management model in the fishery sector, and an ecosystem-level approach of value chains through the establishment of a Material Recovery Facility. Furthermore, UNDP

Vietnam will collaborate with the regional and global Innovations Teams at UNDP to explore potential opportunities on sustainable tourism for learning/coordination across the region.

- Thirdly, this is the first time that a portfolio of interventions in one province in Viet Nam is implemented for the adoption of a circular approach for the management of plastic waste, considering also the challenges posed by the recent COVID-19. This will include enhancement of the collection of plastic waste from supermarkets and hotels; plastic waste collection points (waste bank models) in large residence areas; shifting toward "market of goods" to "market of services" (refilling program); local communities supported waste collection tool, providing key infrastructures (storage/deposits); waste-to-energy for non-recyclable plastic.

The project will also work on the side of behavioral change at different levels, by promoting the alternatives to single-use plastic in business and day to day live through the adoption of innovative models in food services (delivery, restaurants), food packaging, hotel services, supermarkets, to reduce the amount of plastic consumed and the associated plastic waste.

Sustainability

The project intends to demonstrate that a more circular approach in the plastic sector is possible, with beneficial social and environmental impacts, and including actions at all the stages – from manufacturing, use, segregate collection, and recycling of low-value plastic waste into value chain. A revision of the National Action Plan and the Provincial Action Plan to help their practical implementation will represent the regulatory support for the sustainable scaling up of this project.

Potential for scaling up

The project intends to put in place activities which have a significant replication potential. From the financial standpoint, the identification of EPR sources (both as EPR activities to be directly implemented by firms in compliance with their EPR obligations, or EPR funds disbursed at VEPF) is indeed a win-win and catalytic approach for the following reasons:

1) enterprises may prefer to implement their own EPR activities if they can demonstrate such activity has a direct impact on the reduction of plastic pollution, have an image return, and are more cost-effective than the simple disbursement of funds to VEPF.

2) VEPF/MONRE (now MAE) will have a significant interest in demonstrating the prompt and effective use of EPR funds received as indeed is under pressure from EPR enterprises who have already disbursed their EPR funds.

From the technical side, almost all the activities proposed by the project can be either scaled up or replicated, and the piloting of several activities will allow for a better design and easier implementation at replication stage:

1) Activities related to collection at source of plastic waste: these activities, which in this project will be piloted with the support of the Binh Dinh Women Union, will set an example on how informal operators can achieve a better livelihood through a more sustainable work on plastic waste collection. The key issues to be addressed during the pilot are the logistic aspects, and the shifting of informal workers toward more formal employment. Such activities can be easily replicated in other places of Viet Nam and / or scaled up.

2) Activities related to consumer behavior and prevention of SUP use are also easily replicable once it is demonstrated that easy and convenient alternatives to SUP are available. The project intends to start with the tourism sector, as tourists are a category of consumers which may be more motivated in protecting the environment they decided to visit. However, the project will also expand SUP alternatives and prevention to the general consumers. It is obvious that the success of SUP avoidance, once demonstrated in touristic places, can be easily scaled up nationwide and used as model for a nationwide regulation.

3) Activities related to the recycling of discarded plastic. Although the hope is that this kind of activity, with the progressive reduction of plastic waste, will be less and less needed in the future, for the coming years a lot of plastic discarded by informal recyclers is still expected. The demonstration of recycling of low value plastic waste with the technologies proposed by the project is indeed already a replication of such

technologies and may be considered by local and national authorities as one of the options to be – at least temporarily – included as an eligible EPR activity.

At provincial level, taking the average generation of municipal waste in Quy Nhon (0.7kg/day per capita in 2012) and a percentage of plastic waste in the order of 10%, the province of Binh Dinh (with a population of around 1.5 million people in 2022) generates around 38325 tons of plastic waste per year. The project intends to collect 1300 tons over the project duration, which represents around 1.7% of the provincial generation of plastic waste over project duration, or, from another perspective, it will collect the plastic waste generated by around 25000 people.

Therefore, based on the financial and technical approach explained above the project can and indeed should be scaled up even starting from the Binh Dinh province, which has a population of around 5 million people.

The project aims to prevent around 20% of the SUP generated in 2 years in the tourism sector through push (banning) and pull (promoting behavior change) measures. This is a significant amount which can be scaled up with very limited cost after the successful pilot undertaken by this project.

V. PROJECT RESULTS FRAMEWORK

Table 9: Project Results Framework

This project will contribute to the following Sustainable Development Goal (s): SDG 3(Good health and well-being); SDG5 (Gender Equality); SDG9 (Industry, Innovation, and Infrastructure); SDG11 (Sustainable Cities and Communities) SDG12 (Responsible production and consumption); SDG13 (Climate action), SDG14 (Life below water)				
This project will contribute to the following country outcome (UNDAF/CPD, RPD, GPD): One Plan Focus Area 2**: ensuring climate resilience and environmental sustainability** Outcome 2.2: Sustainable management of natural resources and the environment. By 2021, Viet Nam has enhanced sustainable management of natural capital, biodiversity and ecosystem services and improved the quality of the environment, while contributing to the implementation of multilateral environmental agreements.				
	Objective and Outcome Indicators	Baseline	Mid-term Target	End of Project Target
Project Objective: To strengthen the implementation of the National Action Plan (NAP) on Marine Plastic Litter at the national level and in Binh Dinh Province as a pilot site	**Mandatory** Indicator 1: # direct project beneficiaries disaggregated by gender (individual people) Number of people (F/M) participating in training and awareness raising activities, benefitting from green financial incentives, or from project-related job opportunities. Target: 100/100		20/20	100/100
	Mandatory Indicator 2: # indirect project beneficiaries disaggregated by gender (individual people) Number of people (F/M) benefitting from reduced plastic pollution:	0 M 0 F	50,000M 50,000F	125,000 M 125,000 F
	Mandatory GEF Core Indicators 3 – 5: 3. Reduction of plastic waste generation: target 2000 tons 4. U-POPs releases reduced. Target: 0.8gTeq/yr CO_2 emission reduction	Indicator 3: No reduction Indicator 4 No reduction	Indicator 3: 500 out of 2000 tons Indicator 4 0.2 g Teq/yr	Indicator 3: 2000 out of 2000 tons Indicator 4 Indicator 4 0.8gTeq/yr

	Target: 5883 tons	No reduction	1000 tons	5883 tons
Core Indicator for IW	Area of marine habitat under improved practices: target 7.2 km^2	No reduction	1.8 km^2	7.2 km^2
Project component 1	Component 1: Enabling Policy Framework on marine plastic effectively implemented			
Project Outcome 1.1 National Action Plan on management of marine plastic litter effectively implemented in Viet Nam, with a special focus on food and beverage sectors	Indicator 5: Availability of a science/evidence-based, and practical road map for the implementation of the NAP with clear targets validated by stakeholders or approved by the Cabinet of Ministers	Decision 1746/QD-TTg dated 4th December 2019 approving the National Action Plan (NAP) on Marine Plastic Litter signed by the GoV but not yet operational.	-Key mitigation/management measures identified (Output 1.1.1) by mid term	Realistic and science-based indicators and monitoring methodology for NAP implementation developed validation/approval by Cabinet/Council of Ministers
	Indicator 7: The number of new financing mechanisms (including government incentives, EPR fund disbursement and private sector green banking) available for entrepreneurs and local authorities for circular economy practices/ plastic pollution prevention/ plastic alternatives	TBD	At least one new funding mechanism operational	3 new funding mechanisms available for green enterprises to engage in circular economy/ plastic alternatives
	Indicator 7. Availability of endorsed secondary norms (regulations) and circulars for the implementation of the NAP.	Secondary norms and circulars for the implementation of the NAP are missing	At least one Secondary Norm and one circular developed, promulgated, and enforced	Target achieved at mid term
Outputs to achieve Outcome 1.1	1.1.1. The impacts on plastic pollution (including COVID 19 mitigation measures) related to food handling/packaging assessed nationally and mitigation measures identified for regional piloting 1.1.2: The operationalization of the NAP through the development of roadmap and policy guidelines including indicators baselines and targets, and a Monitoring and Evaluation Framework at the national level put in place.			

	1.1.3: Available funding mechanisms from public and private sources (VEPF, EPR, PRO-Viet Nam) to support NAP implementation explored			
Project component 2	Behavior change in relevant sectors (e.g., food and beverage) to accelerate the transition towards a Circular Economy with interventions in Binh Dinh Province			
Outcome 2.1: A life-cycle approach is applied to enhance the waste and plastic management in the food and beverage sectors in Binh Dinh as pilot province for future countrywide replication	*Indicator 8: An overall amount of 2000 tons of plastic waste prevented to enter the (Marine /coastal areas) environment*[31]*.*	Limited policies on the avoidance of SUP production and consumption.	150	500
		The segregate collection of plastic waste is limited and carried out mostly informally	500	1300
		Some mixed waste including plastic is already fed to cement kiln but there is the need for a more structured approach	50	200

[31] Details related to the plastic avoidance target. Binh Dinh was visited in 2018 by 3.7 million visitors, https://en.nhandan.vn/binh-dinh-tourism-looks-towards-sustainable-development-post67720.html-. Currently it has a capacity of around 5 million person per year. https://en.vietnamplus.vn/efforts-made-to-attract-tourists-to-binh-dinh/224913.vnp. It may be safely assumed that as a minimum each average tourist consumes not less 2 plastic water bottles per day (weight in the order of 30g), one plastic bag, a couple of plastic straw and one Styrofoam lunch box. Assuming also that tourism in Binh Dinh is mostly short stay (3 days, whilst the average for VN is 8 days), that would generate around 1280 tons of SUP consumption per year, without considering SUP like small shampoo bottles and laundry bags and liners. To set as a target the reduction of 500 tons (around 20% of the generation over 2 years) as SUP avoidance from the tourism sector for the project duration in may be therefore considered as a reasonable target. That could be supported by the EPPIC technologies promoting the replacement of SUP with refilling systems, alternative materials and so on.

Taking the average generation of municipal waste in Quy Nhon (0.7kg/day per capita in 2012) and a percentage of plastic waste in the order of 10%, the province of Binh Dinh (with a population of around 1.5 million people in 2022) generates around 38325 tons of plastic waste per year. The project intends to collect 1300 tons over the project duration, which represents around 1.7% of the provincial generation of plastic waste over project duration, or, from another perspective, it will collect the plastic waste generated by around 25000 people. This would be arranged through a system of collection points / waste banks established in supermarkets, large residential buildings, rural areas, through the collaboration with Women Union in Binh Dinh which will be the coordination institution for the involvement of informal collectors. Included in this target is also the amount of plastic which will be collected through agreement with the fishing sector in Binh Dinh, through scaling up of the current UNDP projects which has already started such cooperation. The project will also demonstrate the collection and recycling of around 200 tons of low quality plastic waste, including the plastic waste discarded by recyclers or informal collectors as considered non-recyclable. That plastic would be processed by consolidated technologies already existing in Viet Nam, as described with more detail in the project document. The above will represent an overall target of 2000 tons of plastic waste removed from (or prevented to enter into) the environment over project duration.

		and better environmental control. Pilot testing for transforming non-recyclable plastic into building material carried out.		
	Indicator 9: Availability of a revised action plan on marine plastic at provincial level	A provincial action plan on marine plastic has been developed by the Binh Dinh province, however its implementation has not started yet.	The implementation of the Decision 470/QD-UBND and Decision 78/QD-UBND assessed	A detailed revision of the NAP for the province of Binh Dinh proposed
	Indicator 10: Number of (new) green jobs (male/female) generated in the plastic waste management sector	N/A	10	20
Outputs to achieve Outcome 2.1	2.1.1: Plastic waste segregation at source (including COVID-19 waste) supported; recovery and re-use schemes including the establishment of waste banks and deposit and return schemes linked to the Material Recovery Facility in Quy Nhon, Binh Dinh province. 2.1.2: Schemes to reduce single use plastic in the food and beverage sectors supported, including (i) upstream prevention of SUP through command-and-control instruments such as regulations banning use in particular sub-sector (ii) Application and/or replication of innovative and proven solutions building on the activities of EPPIC project to complete the life cycle approach in marine plastic pollution focusing on Binh Dinh province. 2.1.3 The NAP localized through the formulation of a Provincial Action Plan, with special focus on the upstream and downstream reduction in the food and beverage sectors			
Project component 3	Knowledge Management, Monitoring and Evaluation			
Outcome 3.1: Project monitoring and evaluation	Indicator 11: Gender action plan and safeguards action plan implemented and monitored	N/A	At least 20% gender actions funded and implemented by the project	Gender and safeguards assessed as (at least) satisfactory at Terminal Evaluation
Outputs to achieve Outcome -3.1	3.1.1: Project monitoring and evaluation, including gender and safeguards carried out			

Outcome 3.2 Initiate the replication and update of best practices and lessons learned in Viet Nam, ASEAN and globally	Indicator 12: Number of workshop and meeting participants reporting a higher awareness on reduction, collection and recycling technologies	N/A	50 national 100 in Binh Dinh marine plastic prevention and reduction	100 national 300 in Binh Dinh
	Indicator 13: Availability of NAP exchange platform	N/A	The NAP exchange platform established and functional	The NAP exchange platform used as a public access and authoritative source of information on plastic prevention strategies
	Indicator 14: Number of (and effectiveness of) knowledge sharing efforts supported by the project -outstanding examples of marine plastic reduction activities in other ASEAN Countries. - Presented project results at IWC Conference Target: one international conference (IWC) Target: one international conference and one ASEAN level conference.	N/A	One site visit to another ASEAN country to study solution on marine plastic prevention and reduction and to exchange experience about the project Information sharing with the IW-Learn Platform and contribution to IWC conferences	Total of 2 site visits to other ASEAN country to study solution on marine plastic prevention and reduction and to exchange experience about the project - One ASEAN level international conference held in Viet Nam on marine plastic prevention and reduction At least 2 case studies shared with IW-Learn Platform and participation of one International Conference (IWC)
	Indicator 15:Consumer behaviour impacted measured by demand for alternate packaging, number of food and beverage delivery platform using environmentally friendly packaging and increased rate of recycling in Binh Dinh Province No of partner supermarkets successfully offering plastic alternatives to plastic packaging and plastic take-back services Customer feedback from hotels, supermarkets	N/A	Baseline survey carried out involving at least 1000 consumers with at least 30% of interviewed aware of the plastic waste issue and at least 15% practicing alternatives to SUP	Baseline survey carried out involving at least 1000 consumers with at least 80% of interviewed aware of the plastic waste issue and at least 40% practicing alternatives to SUP

	Availability of a project website and of communication campaign broadcasted on TV, website, newspaper with the participation of celebrities. Target: one project website, 100 hours of overall broadcasting time on TV and websites, two awareness raising event with celebrities			
Outputs to achieve Outcome -3.2	3.2.1: Knowledge exchange with other cities and provinces in Viet Nam through Viet Nam NPAP and other country's plastic partnerships facilitated 3.2.2: Knowledge exchange with other ASEAN countries through the ASEAN Working Group on Coastal and Marine Environment and wider lessons sharing through IW LEARN facilitated. 3.2.3: National awareness and communication campaigns at national level toward behavioral change conducted with the aim of reducing the use of single-use plastics and proper plastic waste disposal			

VI. MONITORING AND EVALUATION (M&E) PLAN

The project results, corresponding indicators, and mid-term and end-of-project targets in the project results framework will be monitored annually and evaluated periodically during project implementation. If baseline data for some of the results indicators are not yet available, they will be collected during the first year of project implementation. The Monitoring Plan details the roles, responsibilities, and frequency of monitoring project results.

Project-level monitoring and evaluation will be undertaken in compliance with UNDP requirements as outlined in the UNDP POPP and UNDP Evaluation Policy. The UNDP Country Office is responsible for ensuring full compliance with all UNDP project monitoring, quality assurance, risk management, and evaluation requirements. Additional mandatory GEF-specific M&E requirements will be undertaken in accordance with the GEF Monitoring Policy and the GEF Evaluation Policy and other relevant GEF policies[32]. The cost M & E plan included below, and the Monitoring plan, will guide the GEF-specific M&E activities to be undertaken by this project.

In addition to these mandatory UNDP and GEF M&E requirements, other M&E activities deemed necessary to support project-level adaptive management will be agreed during the Project Inception Workshop and will be detailed in the Inception Report. This will include the exact role of project target groups and other stakeholders in project M&E activities including the GEF Operational Focal Point (OFP) and national/regional institutes assigned to undertake project monitoring. The GEF OFP will strive to ensure consistency in the approach taken to the GEF specific M&E requirements (notably the GEF Tracking Tools) across all GEF-financed projects in the country. This could be achieved, for example, by using one national institute to complete the GEF Tracking Tools for all GEF-financed projects in the country, including projects supported by other GEF agencies.

Additional GEF monitoring and reporting requirements:

Inception Workshop and Report: A project inception workshop will be held within 2 months from the first disbursement, with the aim to:

a. Familiarize key stakeholders with the detailed project strategy and discuss any changes that may have taken place in the overall context since the project idea was initially conceptualized that may influence its strategy and implementation.
b. Discuss the roles and responsibilities of the project team, including reporting lines, stakeholder engagement strategies and conflict resolution mechanisms.
c. Review the results framework and monitoring plan.
d. Discuss reporting, monitoring and evaluation roles and responsibilities and finalize the M&E budget; identify national/regional institutes to be involved in project-level M&E; discuss the role of the GEF OFP and other stakeholders in project-level M&E.
e. Update and review responsibilities for monitoring project strategies, including the risk log; SESP report, Social and Environmental Management Framework and other safeguard requirements; project grievance mechanisms; gender strategy; knowledge management strategy, and other relevant management strategies.
f. Review financial reporting procedures and budget monitoring and other mandatory requirements and agree on the arrangements for the annual audit.
g. Plan and schedule Project Steering Committee meetings and finalize the first-year annual work plan.
h. Formally launch the Project.

GEF Project Implementation Report (PIR):

The annual GEF PIR covering the reporting period July (previous year) to June (current year) will be completed for each year of project implementation. Any environmental and social risks and related management plans will be monitored regularly, and progress will be reported in the PIR. The PIR submitted to the GEF will be shared with the PSC. The quality rating of the previous year's PIR will be used to inform the preparation of the subsequent PIR.

[32] See https://www.thegef.org/gef/policies_guidelines

GEF Core Indicators:

The GEF Core indicators included as Annex 12 will be used to monitor global environmental benefits and will be updated for reporting to the GEF prior to MTR and TE. Note that the project team is responsible for updating the indicator status. The updated monitoring data should be shared with MTR/TE consultants prior to required evaluation missions, so these can be used for subsequent ground truthing. The methodologies to be used in data collection have been defined by the GEF and are available on the GEF website.

Terminal Evaluation (TE):

An independent terminal evaluation (TE) will take place upon completion of all major project outputs and activities. The terms of reference, the evaluation process and the final TE report will follow the standard templates and guidance for GEF-financed projects available on the UNDP Evaluation Resource Center.

TE must be submitted to the GEF no later than 6 months after the Completion Date. This is a hard deadline that, if not met, can only be extended through a formal extension request. To meet the submission deadline, final TE reports must be completed and submitted to BPPS NCE team no later than 2 months in advance of the deadline to allow sufficient time for internal review/clearance that is required prior to submission.

Provisions should be made to complete and submit the TE within the submission deadline. Therefore, TE must start no later than 8 months before the expected date of submission of the TE (or 11 months prior to the estimated operational closure date).

The evaluation will be 'independent, impartial, and rigorous. The evaluators that will be hired to undertake the assignment will be independent from organizations that were involved in designing, executing, or advising on the project to be evaluated. Equally, the evaluators should not be in a position where there may be the possibility of future contracts regarding the project being evaluated.

The GEF Operational Focal Point and other stakeholders will be actively involved and consulted during the terminal evaluation process. Additional quality assurance support is available from the BPPS/NCE..

The final TE report will be publicly available in English and posted on the UNDP ERC by the TE submission date included on cover page of the project document. A management response to the TE recommendations will be posted to the ERC within six weeks of the TE report submision to the GEF.

Per the GEF Terminal Evaluation requirements, for cancelled full-sized projects, Terminal Evaluations are required if the GEF grant expenditure exceeds more than US$ 2 million.

Final Report:

The project's terminal GEF PIR along with the terminal evaluation (TE) report and corresponding management response will serve as the final project report package. The final project report package shall be discussed with the PSC during an end-of-project review meeting to discuss lessons learned and opportunities for scaling up.

Agreement on intellectual property rights and use of logo on the project's deliverables and disclosure of information**:** To accord proper acknowledgement to the GEF for providing grant funding, the GEF logo will appear together with the UNDP logo on all promotional materials, other written materials like publications developed by the project, and project hardware. Any citation on publications regarding projects funded by the GEF will also accord proper acknowledgement to the GEF. Information will be disclosed in accordance with relevant policies notably the UNDP Disclosure Policy[33] and the GEF policy on public involvement[34].

[33] See http://www.undp.org/content/undp/en/home/operations/transparency/information_disclosurepolicy/
[34] See https://www.thegef.org/gef/policies_guidelines

Table 10: M&E Plan and Budget

Monitoring and Evaluation Plan and Budget:		
GEF M&E requirements	**Indicative costs (US$)**	**Time frame**
Inception (workshop and report)	17,200	Inception Workshop within 2 months of the First Disbursement
M&E of GEF core indicators and project results framework	31,250	Annually and at mid-point and closure.
GEF Project Implementation Report (PIR)	None[35]	Annually typically between June and August
Monitoring of Gender Action Plan	None[36]	Ongoing.
Review and update SES and safeguard documents	13,200	Annually
Supervision missions	None	Annually
Independent Terminal Evaluation (TE)	38,350	01 March 2029
TOTAL indicative COST	**100,000**	

[35] The cost is included in the cost for the Project Manager and included in TOR

[36] The cost is included in the cost for the Project Manager and included in TOR

VII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

The project will be implemented following UNDP's National Implementation Modality (NIM), according to the Standard Basic Assistance Agreement between UNDP and the Government of Viet Nam, the Viet Nam Government's regulations for ODA project/program management (Decree 114/2021/NĐ-CP and Decree 20/2023/NĐ-CP), and the Joint Harmonized Project/Program Management Guidelines of the UN and Government of Viet Nam.

Section 1: General roles and responsibilities in the projects' governance mechanism

Implementing Partner (IP): The Implementing Partner for this project is the Viet Nam Agency of Seas and Island (VASI) on behalf of the Ministry of Agriculture and Environment (MAE) of Viet Nam.

The Implementing Partner (IP) is the entity to which the UNDP Administrator has entrusted the implementation of UNDP assistance specified in this signed project document along with the assumption of full responsibility and accountability for the effective use of UNDP resources and the delivery of outputs, as set forth in this document.

The Implementing Partner is responsible for executing this project. Specific tasks include:

- Project planning, coordination, management, monitoring, evaluation, and reporting. This includes providing all required information and data necessary for timely, comprehensive, and evidence-based project reporting, including results and financial data, as necessary. The Implementing Partner will strive to ensure project-level M&E is undertaken by national institutes and is aligned with national systems so that the data used and generated by the project supports national systems.
- Overseeing the management of project risks as included in this project document and new risks that may emerge during project implementation.
- Procurement of goods and services, including human resources.
- Financial management, including overseeing financial expenditures against project budgets.
- Approving and signing the multiyear workplan.
- Approving and signing the combined delivery report at the end of the year; and,
- Signing the financial report or the funding authorization and certificate of expenditures.

The MONRE (now MAE) is also acting as the Governing Body of the project, as regulated by the Decree 114/2021/ND-CP and Decree 20/2023/NĐ-CP of the Government of Viet Nam. Specific tasks include:

- Review and approve workplan and procurement plan
- Organize the supervision and assessment of the project progress, ensure punctuality, quality, and achievement of set targets.
- Bear the additional costs incurred because of human errors, wastefulness, corruption, and misconducts in management and use of ODA under its management in accordance with regulations of law on public investment; and
- Perform other duties and entitlements in accordance with law, specific international treaty, or agreement on ODA.

The merger of the Ministry of Natural Resources and Environment with the Ministry of Agriculture and Rural Development into the Ministry of Agriculture and Environment was carried out in accordance with a Resolution of the National Assembly at the 9th extraordinary session of the 15th National Assembly. Subsequently, the Government issued Decree No. 35/2025/NĐ-CP dated February 28, 2025 stipulating the functions, tasks, powers, and organizational structure of the Ministry of Agriculture and Environment.

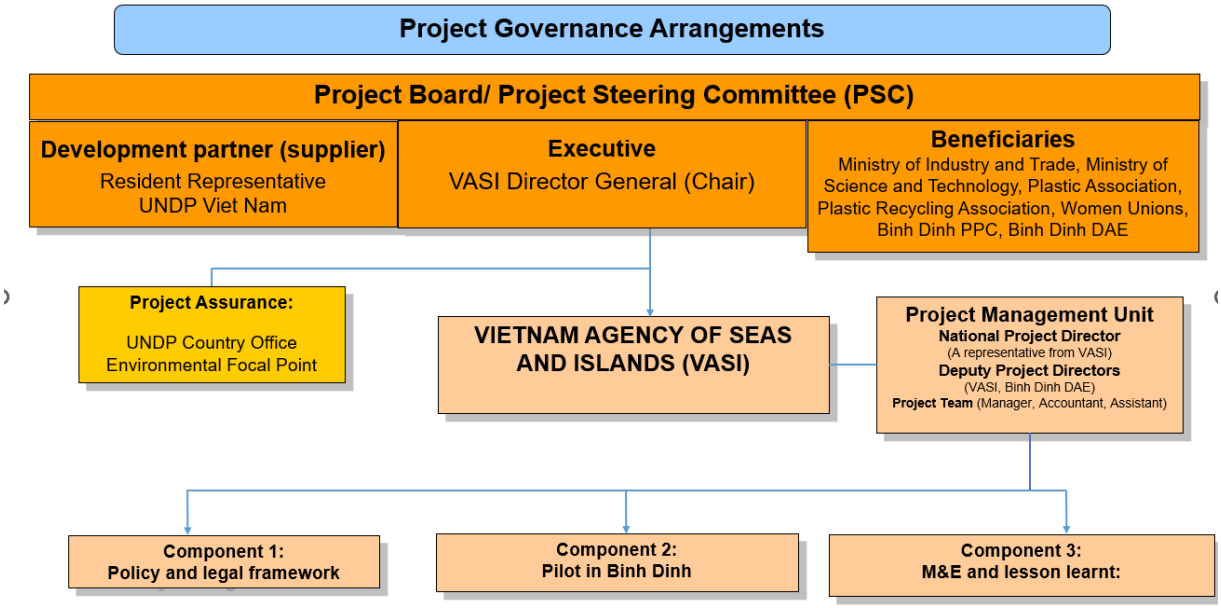
MONRE (now MAE) has assigned the Viet Nam Agency of Seas and Islands (VASI), which is a department under MONRE (now MAE), to be the focal point to work with UNDP in formulation of the project as in the letter No.37 dated July 02 2022 from MONRE (now MAE) sent to UNDP Viet Nam. At the time of project implementation, VASI is

expected to be the focal point on behalf of MONRE (now MAE) for direct implementation and management of the project including planning, implementation, monitoring and evaluation of the project intervention, reporting, and achieving project outcomes. VASI has been assigned the following tasks as regulated by Decree 114/2021/ND-CP and Decree 20/2023/NĐ-CP:

(a) organize the program/project management and execution apparatus according to the decision of the governing body MONRE (now MAE);
(b) effective management and use of the project resources of the project during the operation; conduct procurement process.
(c) formulate and submit overall plan, and annual plans for project implementation to the governing body for approval;
(d) formulate quarterly work plan for actual implementation of the interventions;
(e) carry out procurement activities in accordance with effective regulations of the national law on procurement;
(f) negotiate, conclude, and supervise the implementation of contracts, and resolves difficulties within their competence;
(g) cooperate with the local governments of three piloting provinces for establishment and management of three sites;
(h) supervise and assess the project to ensure punctuality, quality, and achievement of set targets;
(i) provide direction to the Project Management Unit (PMU) to make the terminal report and financial statement of the project, audit and transfer of assets and documents of the program/project, and compliance with regulations on project close-out of the international treaty or agreement on ODA; and
(j) take responsibility for every loss, wastefulness, corruption, and misconduct that occurs during the implementation of the project.

UNDP: UNDP is accountable to the GEF for the implementation of this project. This includes overseeing project execution undertaken by the Implementing Partner to ensure that the project is being carried out in accordance with UNDP and GEF policies and procedures and the standards and provisions outlined in the Delegation of Authority (DOA) letter for this project. The UNDP GEF Executive Coordinator, in consultation with UNDP Bureaus and the Implementing Partner, retains the right to revoke the project DOA, suspend or cancel this GEF project. UNDP is responsible for the Project Assurance function in the project governance structure and presents to the Project Board and attends Project Board meetings as a non-voting member.

Section 2: Project governance structure



Second line of defense:

- Regional Bureau oversees RR and Country Office compliance at portfolio level.
- BPPS NCE RTA oversees technical quality assurance and GEF compliance. BPPS NCE PTA oversees RTA function.
- UNDP GEF Executive Coordinator and Regional Bureau Director can revoke DOA/cancel/suspend project or provide enhanced oversight.

The UNDP Resident Representative assumes full responsibility and accountability for oversight and quality assurance of this Project and ensures its timely implementation in compliance with the GEF-specific requirements and UNDP's Programme and Operations Policies and Procedures (POPP), its Financial Regulations and Rules and Internal Control Framework. A representative of the UNDP Country Office will assume the assurance role and will present assurance findings to the Project Board, and therefore attends Project Board meetings as a non-voting member.

Section 3: Segregation of duties and firewalls vis-à-vis UNDP representation on the project board:

As noted in the Minimum Fiduciary Standards for GEF Partner Agencies, in cases where a GEF Partner Agency (i.e. UNDP) carries out both implementation oversight and execution of a project, the GEF Partner Agency (i.e. UNDP) must separate its project implementation oversight and execution duties, and describe in the relevant project document a: 1) Satisfactory institutional arrangement for the separation of implementation oversight and executing functions in different departments of the GEF Partner Agency; and 2) Clear lines of responsibility, reporting and accountability within the GEF Partner Agency between the project implementation oversight and execution functions.

In this case, UNDP is only performing an implementation oversight role in the project vis-à-vis our role in the project board and in the project assurance function and therefore a full separation of project implementation oversight and execution duties has been assured.

Section 4: Roles and Responsibilities of the Project Organization Structure:

a) Project Board/ Project Steering Committee

All UNDP projects must be governed by a multi-stakeholder board or committee established to review performance based on monitoring and evaluation, and implementation issues to ensure quality delivery of results. The Project Board (also called the Project Steering Committee) is the most senior, dedicated oversight body for a project.

The Project Steering Committee (PSC) by a multi-stakeholder board or committee will be established to review performance based on monitoring and evaluation, and implementation issues to ensure quality delivery of results. The Project Board (also called the Project Steering Committee) is the most senior, dedicated oversight body for a project. The two main (mandatory) roles of the project board are as follows:

- **High-level oversight of the execution of the project by the Implementing Partner** (as explained in the "Provide Oversight" section of the POPP). This is the primary function of the project board and includes annual (and as-needed) assessments of any major risks to the project, and decisions/agreements on any management actions or remedial measures to address them effectively. The Project Board reviews evidence of project performance based on monitoring, evaluation and reporting, including progress reports, evaluations, risk logs and the combined delivery report. The Project Board is responsible for taking corrective action as needed to ensure the project achieves the desired results.
- **Approval of strategic project execution decisions of the Implementing Partner** with a view to assess and manage risks, monitor and ensure the overall achievement of projected results and impacts and ensure long term sustainability of project execution decisions of the Implementing Partner (as explained in the "Manage Change" section of the POPP).

Requirements to serve on the Project Board:

- ✓ Agree to the Terms of Reference of the Board and the rules on protocols, quorum and minuting.
- ✓ Meet annually; at least once.
- ✓ Disclose any conflict of interest in performing the functions of a Project Board member and take all measures to avoid any real or perceived conflicts of interest. This disclosure must be documented and kept on record by UNDP.
- ✓ Discharge the functions of the Project Board in accordance with UNDP policies and procedures.
- ✓ Ensure highest levels of transparency and ensure Project Board meeting minutes are recorded and shared with project stakeholders.

Responsibilities of the Project Board:

The PB must include the following responsibilities:

- ✓ Consensus decision making:
    - The project board provides overall guidance and direction to the project, ensuring it remains within any specified constraints, and providing overall oversight of the project implementation.
    - Review project performance based on monitoring, evaluation and reporting, including progress reports, risk logs and the combined delivery report;
    - The project board is responsible for making management decisions by consensus.
    - In order to ensure UNDP's ultimate accountability, Project Board decisions should be made in accordance with standards that shall ensure management for development results, best value money, fairness, integrity, transparency and effective international competition.
    - In case consensus cannot be reached within the Board, the UNDP representative on the board will mediate to find consensus and, if this cannot be found, will take the final decision to ensure project implementation is not unduly delayed.
- ✓ Oversee project execution:
    - Agree on project manager's tolerances as required, within the parameters outlined in the project document, and provide direction and advice for exceptional situations when the project manager's tolerances are exceeded.

- Appraise annual work plans prepared by the Implementing Partner for the Project; review combined delivery reports prior to certification by the implementing partner.
- Address any high-level project issues as raised by the project manager and project assurance;
- Advise on major and minor amendments to the project within the parameters set by UNDP and the donor and refer such proposed major and minor amendments to the UNDP BPPS Nature, Climate and Energy Executive Coordinator (and the GEF, as required by GEF policies);
- Provide high-level direction and recommendations to the project management unit to ensure that the agreed deliverables are produced satisfactorily and according to plans.
- Track and monitor co-financed activities and realisation of co-financing amounts of this project.
- Approve the Inception Report, GEF annual project implementation reports, mid-term review and terminal evaluation reports.
- Ensure commitment of human resources to support project implementation, arbitrating any issues within the project.

✓ Risk Management:
- Provide guidance on evolving or materialized project risks and agree on possible mitigation and management actions to address specific risks.
- Review and update the project risk register and associated management plans based on the information prepared by the Implementing Partner. This includes risks related that can be directly managed by this project, as well as contextual risks that may affect project delivery or continued UNDP compliance and reputation but are outside of the control of the project. For example, social and environmental risks associated with co-financed activities or activities taking place in the project's area of influence that have implications for the project.
- Address project-level grievances.

✓ Coordination:
- Ensure coordination between various donor and government-funded projects and programmes.
- Ensure coordination with various government agencies and their participation in project activities.

Composition of the Project Board: The composition of the Project Board must include individuals assigned to the following three roles: The composition of the Project Steering Committee must include the following roles:

- *Project Executive*: representing ownership of the project and chairs the Project Board. The Executive is normally the national counterpart for nationally implemented projects. The Project Executive is the VASI Director General.
- *Beneficiary Representative(s)*: Institutions, Individuals or Groups representing the interests of those who will ultimately benefit from the project. Their primary function within the board is to ensure the realization of project results from the perspective of project beneficiaries. The Beneficiary representatives are: Department under Ministry of Agriculture and Environment, Ministry of Industry and Trade (MOIT), Binh Dinh People's Committee (Department of Agriculture and Environment, Women Union), Business Associations, Academia.
- *Development Partner(s):* Individuals or groups representing the interests of the parties concerned that provide funding and/or technical expertise to the project. The Development Partner is UNDP.

b) Project Assurance: Project assurance is the responsibility of each project board member; however, UNDP has a distinct assurance role for all UNDP projects in carrying out objective and independent project oversight and monitoring functions. UNDP performs quality assurance and supports the Project Board (and Project Management Unit) by carrying out objective and independent project oversight and monitoring functions, including compliance with the risk management and social and environmental standards of UNDP. The Project Board cannot delegate any of its quality assurance responsibilities to the Project Manager. Project assurance is totally independent of project execution.

A designated representative of UNDP playing the project assurance role is expected to attend all board meetings and support board processes as a non-voting representative. It should be noted that while in certain cases UNDP's project assurance role across the project may encompass activities happening at several levels (e.g. global, regional), at least one UNDP representative playing that function must, as part of their duties, specifically attend board meeting and provide board members with the required documentation required to perform their duties. The UNDP representative playing the main project assurance function is Monitoring & Evaluation officer.

c) **Project Management – Execution of the Project:**

The Project Management Unit (PMU) will be responsible for execution of project activities while providing mechanisms and technical inputs necessary to integrate the results of various activities, will ensure satisfactory performance of the project members and contractors, and will provide official reports to the PSC as needed. The PMU shall perform the tasks:

(a) formulate and submit overall plan and annual plans for the project implementation;
(b) prepare and carry out the actual project implementation;
(c) carry out activities, contract management;
(d) budget management, perform financial and asset management of the project;
(e) monitor and assess the implementation of the project activities;
(f) prepare the acceptance and transfer of the results of the project after completion, finish audit works, transfer assets of the project, prepare the terminal report and financial statement of the project, follow regulations on project close-out as per UNDP-GEF procedures;
(g) perform other tasks given by Project Director within the framework of the project.

The PMU will provide tracking data on co-financing, which will be quality assured by the UNDP country office, as part of its oversight function and reported during PSC meetings as part of the annual reporting. The PMU will be responsible for providing detailed figures and monitoring the realization of the co-financing commitment, which will be documented in annual reports. The PIRs, MTR, and TE, will be used by UNDP CO, PMU and IP to verify and report back on co-financing mobilized during implementation. The data will be updated annually in the PIRs.

Positions under PMU are as follow (Detailed TORs for all key positions and committees is provided in Annex 7):

a) The **National Project Director (NPD)** is accountable to Project Steering Committee for the use of project resources and to deliver on outcomes, responsible for overall management and implementation of the project interventions. He/she will head the PMU and will be accountable to VASI/MAE for the use of project resources and to deliver on outcomes. The NPD will manage the implementation of all project activities and will work closely with all partner institutions to link the project with complementary national programs and initiatives. The NPD is accountable to VASI/MAE and the PSC for the quality, timeliness, and effectiveness of the project intervention implementation, as well as for the use of resources. The NPD will be technically supported by contracted national and international consultants and service providers. Recruitment of specialist services for the project will be done by the NPD, in consultation with UNDP and VASI/MAE. The NPD will not be paid by the project but will represent a government in kind contribution to the project.
b) **National Project Deputy Directors (NPDDs):** NPDDs will be assigned responsibility to support the NPD in technical aspects of the project, provide direct guidance to project management unit to achieve project results/targets. The NPDDs will not be paid by the project but will represent a government in-kind contribution to the project. There are two NPDDs, one from VASI and one from Binh Dinh DONRE. The NPDD from Binh Dinh DONRE will be responsible for implementing activities in Binh Dinh province, while the other NPDD will be responsible for the rest of activities and coordination between different stakeholders and beneficiaries under the Project.
c) **National Project Coordinators (NPCs):** NPCs will be assigned to be in-charge to support PMU to supervise NPO, ensure the project implementation in accordance with government regulations. The NPC will not be paid by the project but will represent a government in-kind contribution to the project.

d) **National Project Team** will assist the PMU in the project execution and monitoring on a day-to-day basis. The NPT will function until the finalization of the Terminal Evaluation and corresponding financial completion of the project. The National Project Team consists of:
    a. One National Project Manager (NPM),
    b. One Project Assistant-cum-Interpreter, and
    c. One Project Accountant will be recruited by the NPD. These three main positions will be covered by the Project.

The Project Manager (PM) is responsible for the overall day-to-day management of the project on behalf of the National Project Team, including the mobilization of all project inputs, supervision over project staff (under the national project team), consultants and sub-contractors. The project manager typically presents key deliverables and documents to the Project Management Unit and the Project Board for their review and approval, including progress reports, annual work plans, adjustments to tolerance levels and risk registers.

VIII. FINANCIAL PLANNING AND MANAGEMENT

The total cost of the project is **USD 12,136,000**. This is financed through a GEF grant of USD 2,000,000 administered by UNDP, and additional support of USD 10,136,000 below. UNDP, as the GEF Implementing Agency, is responsible for the oversight of the GEF resources and the cash co-financing transferred to UNDP bank account only.

Confirmed Co-financing: The actual realization of project co-financing amounts will be monitored by the UNDP Country Office and the PMU on an annual basis in the GEF PIR and will be reported to the GEF during the terminal evaluation process as follows:

Table 11: Co-financing sources

Co-financing source	Type of Co-financing	Amount (USD)
Viet Nam Administration of Seas and Island	Investment	2,000,000
Viet Nam Environment Administration	Investment	1,500,000
Viet Nam Environment Protection fund	Investment loan	500,000
Binh Dinh Finance Department	Investment	1,200,000
An Phat Holding	Investment	1,000,000
Nam Thanh Xuan Hieu Company in Binh Dinh	Investment	1,500,000
Binh Dinh Environment Company	Investment	1,300,000
United Nations Development Programme (UNDP)	Investment	500,000
Quy Nhon City People's Committee	Investment	636,000
Total		**10,136,000**

Budget Revision and Tolerance: As per UNDP POPP, the project board may agree with the project manager on a tolerance level for each detailed plan under the overall multi-year workplan. The agreed tolerance should be written in the project document or approved project board meeting minutes. It should normally not exceed 10 percent of the agreed annual budget at the activity level, but within the overall approved multi-year workplan at the activity level. Within the agreed tolerances, the project manager can operate without intervention from the project board. Restrictions apply as follows:

Should the following deviations occur, the Project Manager/IP through UNDP Country Office will seek the approval of the BPPS/NCE-VF team to ensure accurate reporting to the GEF. It is **strongly encouraged** to maintain the expenditures within the approved budget at the budgetary account and at the component level:

a) Budget reallocations must prove that the suggested changes in the budget will not lead to material changes in the results to be achieved by the project. A strong justification is required and will be approved on an exceptional basis. Budget re-allocations among the components (including PMC) of the approved Total Budget and Work Plans (TBWP) that represent a value greater than 10% of the total GEF grant.
b) Introduction of new outputs/activities (i.e. budget items) that were not part of the agreed project document and TBWP that represent a value greater than 5% of the total GEF grant. The new budget items must be eligible as per the GEF and UNDP policies.
c) Project management cost (PMC): budget under PMC component is capped and cannot be increased.

UNDP is not in a position to increase the total budget above the amount approved by the donor, therefore any over-expenditure would have to be absorbed from non-GEF resources by the Implementing Partner (GEF Executing Entity)

Project extensions: The UNDP-BPPS-NCE team Executive Coordinator must approve all requests for extension of the Project Completion Date and for other milestone extensions with hard deadlines. All extensions impose additional time and cost burdens at all levels and the GEF project budget cannot be increased beyond its originally approved amount. A single extension may be granted on an exceptional basis and subject to the conditions and maximum durations set out in the UNDP POPP. The project management costs during the extension period must remain within the originally approved amount, and any increase in PMC costs shall be covered by non-GEF resources; the additional UNDP oversight costs during the extension period must be covered by non-GEF resources, in accordance with UNDP's policy as set out in UNDP POPP.

For any extension request, UNDP CO and IP will consult and jointly present a clear plan indicating how and from which specific sources the additional oversight costs that will be incurred by UNDP will be covered during the extended period. The BPPS-NCE Executive Coordinator will consult the Regional Bureaux (RBX) and may reject the extension request if no (external co-financing by the IP or internal UNDP CO resources) can be identified.

All extension requests, along with all supporting documentation, shall be submitted by the IP to the UNDP CO in line with the requirements and within the deadlines set out in the UNDP SOPs and policies in UNDP POPP.

Audit: The project will be audited as per UNDP Financial Regulations and Rules and applicable audit policies. Audit cycle and process must be discussed during the Inception workshop. If the Implementing Partner is an UN Agency, the project will be audited according to that Agencies applicable audit policies.

Transfer or disposal of assets: In consultation with the Implementing Partner and other parties of the project, UNDP is responsible for deciding on the transfer or other disposal of assets. Transfer or disposal of assets is recommended to be reviewed and endorsed by the project board following UNDP rules and regulations. Assets may be transferred to the government for project activities managed by a national institution at any time during the life of a project, however **must be done before the operational closure date**. In all cases of transfer, a transfer document must be prepared and kept on file[37]. The transfer should be done before Project Management Unit complete their assignments.

Completion Date: The project completion date is the date of Project Document Signature plus project duration. This date can only be extended through a formal extension request. Prior to completion date, all UNDP-financed inputs must be provided and related activities for the Project completed. No activities, except for the final clearance of the Terminal Evaluation Report and the corresponding management response and the end-of-project review Project Board Meeting should take place after the Completion Date.

Project Closure: Project closure will be conducted as per UNDP requirements outlined in the UNDP POPP. All costs incurred to close the project must be included in the project closure budget and reported as final project commitments presented to the Project Board during the final project review. The only costs a project may incur following the final project review are those included in the project closure budget.

- **Operational Closure**: **Operational closure must happen within 9 months from project completion date.** Prior to operational closure, the Terminal Evaluation must have been submitted and the corresponding TE management response and the end-of-project review Project Board meeting must have been completed. The Implementing Partner through a Project Board decision will notify the UNDP Country Office when operational closure has been completed. Before Operational Closure, the project must have completed the transfer or disposal of any equipment that is still the property of UNDP.
- **Financial Closure: Financial closure must happen within 6 months of operational closure or after the date of cancellation.** The project will be financially closed when the following conditions have been met: a) the

[37] See https://popp.undp.org/_layouts/15/WopiFrame.aspx?sourcedoc=/UNDP_POPP_DOCUMENT_LIBRARY/Public/PPM_Project%20Management_Closing.docx&action=default.

project is operationally completed or has been cancelled; b) the Implementing Partner has reported all financial transactions to UNDP; c) UNDP has closed the accounts for the project; d) UNDP and the Implementing Partner have certified a final Combined Delivery Report (which serves as final budget revision).

Between operational and financial closure, the implementing partner will identify and settle all financial obligations and prepare a final expenditure report. The UNDP Country Office will send the final signed closure documents including confirmation of final cumulative expenditure and unspent balance to BPPS/NCE for confirmation before the project will be financially closed in Quantum by the UNDP Country Office.

Cancellation and Suspension: All projects considering going through cancellation or suspension must follow UNDP and GEF requirements. Guidance can be found in the UNDP POPP (SOPs for management actions of Vertical Fund projects escalated to the Executive Coordinator and Guidance for GEF project revisions).

Refund to GEF: Should a refund of unspent funds to the GEF be necessary, this will be managed directly by the BPPS/NCE team Directorate in New York. No action is required by the UNDP Country Office on the actual refund from UNDP project to the GEF. Unspent project balance is not permitted to be transferred to any other projects.

IX. TOTAL BUDGET AND WORK PLAN

Total Budget and Work Plan			
Quantum Business Unit	UNDP-VNM		
Quantum Project ID:	01001272	Quantum Project Title:	*PIMS6695_Supporting the Implementation of the NAP on Marine Plastic Litter in the context of Green Recovery post-COVID 19 in Viet Nam*
Quantum Award ID:	1163166	Quantum Award Title:	*PIMS6695-GEF support NAP Marine Plastic in Vietnam*
UNDP-GEF PIMS No.	6695		
Implementing Partner	*Viet Nam Agency of Seas and Islands on behalf of Ministry of Agriculture and Environment (MAE)*		

Activity (GEF Component)	Quantum Output and Activity (GEF Outcome)	Quantum Responsible Party (UNDP, IP, or Responsible Party)	Fund ID	Donor Name	Budgetary Account Code[3]	Budget Account Description[3]	Amount Year 1 (USD)	Amount Year 2 (USD)	Amount Year 3 (USD)	Amount Year 4 (USD)	*Total (USD)*	*See Budget Note:*
Component 1: Enabling Policy Framework on marine plastic effectively implemented	Outcome 1.1: National Action Plan on management of marine plastic litter effectively implemented in Viet Nam, with a special focus on food and beverage sectors	MAE/VASI	62000	GEF	71200	International consultant	48,750	39,000	4,875	4,875	***97,500***	1
		MAE/VASI	62000	GEF	71300	Local Consultant	67,250	105,500	15,000	15,000	***202,750***	2
		MAE/VASI	62000	GEF	72100	Contractual Services-companies	20,000	57,182	30,000	30,000	***137,182***	3
		MAE/VASI	62000	GEF	72200	Equipment and Furniture	5,040	720	720	720	***7,200***	4
		MAE/VASI	62000	GEF	71600	Travel	20,350	11,750	-	-	***32,100***	5
		MAE/VASI	62000	GEF	75700	Training, Workshops and Conferences	11,150	23,150	-	-	***34,300***	6
						Total for Component 1	***172,540***	***237,302***	***50,595***	***50,595***	***511,032***	
Component 2: Behavior change in relevant sectors (e.g. food and beverage) to accelerate the transition towards a Circular Economy in Binh Dinh Province	Outcome 2.1: A life-cycle approach is applied to enhance the waste and plastic management in the food and beverage sectors in Binh Dinh as pilot province for future country wide replication	MAE/VASI	62000	GEF	71200	International consultant	3,900	25,740	15,405	11,505	***56,550***	7
		MAE/VASI	62000	GEF	72100	Contractual Services-companies	7,000	53,000	45,000	45,000	***150,000***	8
		MAE/VASI	62000	GEF	71300	Local Consultant	24,125	63,825	37,275	21,525	***146,750***	9
		MAE/VASI	62000	GEF	72100	Contractual Services-companies	12,500	234,500	166,500	166,500	***580,000***	10
		MAE/VASI	62000	GEF	71600	Travel	2,475	20,735	11,670	10,320	***45,200***	11
		MAE/VASI	62000	GEF	72200	Equipment and furniture	-	35,720	26,790	26,790	***89,300***	12

		MAE/VASI	62000	GEF	75700	Training, Workshops and Conferences	-	12,860	9,145	5,145	***27,150***	13
						Total for Component 2	***50,000***	***446,380***	***311,785***	***286,785***	***1,094,950***	
Component 3: **Knowledge Management, Monitoring and Evaluation**	*Outcome 3.1: Project monitoring and evaluation*	UNDP	62000	GEF	71200	International consultant	6,500	1,300	1,300	14,300	***23,400***	14
		UNDP	62000	GEF	71600	Travel	-	-	-	10,000	***10,000***	15
		Total UNDP					6,500	1,300	1,300	24,300	***33,400***	
		MAE/VASI	62000	GEF	71300	Local Consultant	17,813	9,813	9,813	19,811	***57,250***	16
		MAE/VASI	62000	GEF	71600	Travel	-	-	-	1,350	***1,350***	17
		MAE/VASI	62000	GEF	75700	Training, Workshops and Conferences	4,000	-	-	4,000	***8,000***	18
		Total MAE					21,813	9,813	9,813	25,161	66,600	
						Total for Outcome 3.1	***28,313***	***11,113***	***11,113***	***49,461***	***100,000***	
Component 3: **Knowledge Management, Monitoring and Evaluation**	Outcome 3.2: Initiate the replication and update of best practices and lessons learned in Viet Nam, ASEAN and globally	MAE/VASI	62000	GEF	71200	International consultant	-	1,170	1,560	1,170	***3,900***	19
		MAE/VASI	62000	GEF	71300	Local Consultant	-	4,500	6,000	4,500	***15,000***	20
		MAE/VASI	62000	GEF	72100	Contractual Services-companies	4,000	15,060	16,080	15,060	***50,200***	21
		MAE/VASI	62000	GEF	71600	Travel	720	6,240	7,600	6,240	***20,800***	22
		MAE/VASI	62000	GEF	75700	Training, Workshops and Conferences	-	6,690	8,920	6,690	***22,300***	23

						Total for Outcome 3.2	***4,720***	***33,660***	***40,160***	***33,660***	***112,200***	
						Total for Component 3	**33,033**	**44,773**	**51,273**	**83,121**	**212,200**	
Project management cost	PMC	UNDP	62000	GEF	74100	Professional services (including audit)	2,000	2,000	2,000	2,000	***8,000***	24
		Total UNDP					2,000	2,000	2,000	2,000	***8,000***	
		MAE/VASI	62000	GEF	72400	Communication & Audio visual Equip	7,220	3,610	3,610	3,609	***18,049***	25
		MAE/VASI	62000	GEF	71800	Contractual Services-individuals hired by Implementing Partner	36,228	36,228	36,228	36,228	***144,912***	26
		MAE/VASI	62000	GEF	72500	Supplies	1,114	1,114	1,114	1,115	***4,457***	27
		MAE/VASI	62000	GEF	74200	Audio Visual&Print Prod Costs	1,000	1,000	1,000	1,000	***4,000***	28
		MAE/VASI	62000	GEF	74500	Miscellaneous expenses	600	600	600	600	***2,400***	29
		Total MAE/VASI					46,162	42,552	42,552	42,552	173,818	
Total Project Management Cost							***48,162***	***44,552***	***44,552***	***44,552***	***181,818***	
Total Project Grant							**303,735**	**773,007**	**458,205**	**465,053**	**2,000,000**	

Table 12: Budget notes

Budget Note No.	Budget Account Description	Description of cost items
Component 1. Enabling Policy Framework on marine plastic effectively implemented		
1	International consultant	International consultants (total 150 days at 650 USD/day = 97,500 USD) providing: ● technical assistance and expertise on SUP consumption associated to COVID19 and projections; ● strategic view on a science-based strategy paper to reduce plastic production and consumption and increase recycling; ● technical assistance and expertise on revision of the Binh Dinh plan for piloting plastic reduction; ● technical assistance and expertise on indicators and target related to the reduction of marine plastic; ● technical assistance and expertise on the development of the NAP roadmap; ● technical assistance and expertise on the development of chapters of the national report related to plastic consumption and recycling and negotiation;
		● technical assistance and expertise on consolidation of the existing information on plastic pollution in Viet Nam; ● technical assistance and expertise on the identification of eligible projects to receive EPR funds and development of circulars; ● provide knowledge and international experience on the development of guidance documents for the reduction of plastic generation.
2	Local Consultant	Local consultants (total 811 days at 250 USD/day = 202,750 USD) with the following tasks: ● Developing list of priorities on SUP consumption scenarios before, during and after COVID 19; ● Assisting in the negotiation and discussion of the strategy paper on plastic reduction; ● Working side by side with the Binh Dinh administration on development of the provincial plan for piloting initiative in plastic avoidance, reuse and recycle; ● Working side by side with VASI on the development of science-based indicators and target for NAP implementation; ● Working side by side with VASI on on the development of the NAP roadmap; ● Drafting on the national report on marine plastic litters and conduct negotiations for global treaty on marine plastic litters; ● Information on plastic pollution in Viet Nam and their organization and consolidation into a database; ● technical assistance and participate on in the activities of NPAP, as well as developing guidance documents; ● Drafting on financial norms and guidance to allow the channeling of EPR funds toward marine plastic avoidance, including the development of circulars: ● To provide technical assistance to VASI on the development of the monitoring plan to verify implementation of NAP;
3	Contractual Services – Companies	Service companies (137,182 USD) to: ● conduct assessment of the current and past, direct and secondary impact of COVID-19 on plastic pollution, including estimates of the CO2 and POPs releases; for an overall amount of 20,000 USD; ● conduct TOT training to support the circular on survey and investigation of marine plastic for an overall amount of 12,182 USD; ● take care of editorial and publishing aspects of the National Report on marine plastic litters for an overall amount of 20,000 USD; ● develop a database on plastic pollution in Viet Nam and entering data and information related to plastic pollution in Viet Nam for an overall amount of 25,000 USD;

Budget Note No.	Budget Account Description	Description of cost items
		• support VASI in the enforcement and monitoring of NAP for an overall amount of 20,000 USD; • support VEA in the day to day management of NPAP platform for an overall amount of 40,000 USD
4	Equipment and Furniture	IT equipment at PMU : 02 Laptops and a printing machine for an overall amount of 7,200 USD
5	Travel	National Travels estimated each as one round flight at 200 USD plus one day accommodation at 250 USD/day (total of 17,100 USD) International Travels estimated as one round flight at 2500 USD plus 10 days with a DSA of 250 USD/day for each travel package. (total of 15,000 USD)
6	Training, Workshops and Conferences	• One small workshop on the presentation of the study on the COVID-19 on SUP consumption for an overall amount of USD 2,000. • One national level workshop on to introduce the Binh Dinh plan on plastic reduction and collect views from stakeholders for an overall amount of USD 7,150.
		• One workshop to be conducted at VASI on the indicators and targets for NAP for an overall amount of USD 2,000. • One national level workshop on to discuss the draft of the NAP roadmap and the associated regulation for an overall amount of USD 7,150. • Training events (three) on preparation of the National Report on Plastic Marine Litter in support to implement the NAP and negotiation for global treaty on plastic litter for an overall amount of USD 6,000. • Training events (three) on consolidation of the existing datasets on plastic pollution into a national database USD 6,000. • Two small workshops on the identification of eligible activities to receive EPR funds and financial norms for EPR fund management for an overall amount of USD 4,000
Component 2: Behavior change in relevant sectors (e.g. food and bererage) to accelerate the transition towards a Circular Economy in Binh Dinh Province		
7	International consultant	International consultants (total of 87 working days at 650 USD/day = 56,550 USD) providing: • technical assistance and sharing knowledge on horizontal recycling technologies and door to door collection of plastic • technical assistance and sharing international experience on the energy and material recovery of low quality non-recyclable plastic waste; • technical assistance and participating in selection panel on alternatives to Styrofoam boxes in fish sector, packaging optimization and behavioral change to avoid SUP; • international experience on the drafting and implementation of a SUP avoidance regulation, including avoidance, material replacement and behavioral change; • technical support on assessment and review of the provincial action plan on marine plastic prevention in Binh Dinh ; • technical support on the contribution of different sectors to marine plastic pollution.
8	Contractual Services - companies	Contract to services-companies for an total amount of 150,000 USD detail as follows: • award for the creation of 2 micro and small enterprises led by women or previous informal operators to operate in the field of plastic waste collection for an overall amount of 80,000 USD. • to scale up the production and deployment of equipment and services for the collection of plastic waste in the fishing sector for an overall amount of 70,000 USD
9		Local Consultants (total of 587 working days at 250 USD/day = 146,750 USD) to

Budget Note No.	Budget Account Description	Description of cost items
	Local Consultant	• ensure coordination, supervision and planning on innovative projects to improve plastic collection schemes including reverse logistic and waste banks to ensure horizontal recycling • provide technical assistance on events for the establishing of technical cooperation with informal workers on the segregation and collection of plastic wase • liaise with operators and local authorities on projects related to the energy and material recovery of low quality and non-recyclable plastic waste • coordinate and supervise of the scaling up of plastic waste collection in the fishing sectors • coordinate and supervise of demonstration activities related to alternatives to Styrofoam boxes, packaging optimization and behavioral change to avoid SUP • support Binh Dinh government on the drafting and implementation of a SUP avoidance regulation, including avoidance, material replacement and behavioral change
		• assist in the preparation of TOR and bidding documents to select 2 of the EPPIC winners for further scaling up of plastic avoidance and recycling • provide technical support on assessment and review of the provincial action plan on marine plastic prevention in Binh Dinh • provide technical support on drafting the sector-wise roadmap for the implementation of the Provincial Action Plan on marine plastic reduction in Binh Dinh
10	Contractual Services - companies	Contract to services-companies for an total amount of 580,000 USD detail as follows: • Recyclers, to be selected through a competitive event, to implement horizontal and sustainable recycling of plastic waste for a total amount of at least 1000 tons (180 USD/ton) and to collectors to ensure the collection of plastic waste at source for an overall amount of 3000 tons (50 USD/ton) for an overall amount of 245,000 USD • Carry out energy and material recovery of low-quality non recyclable waste, with cleanup of dumping sites, for an overall amount of at least 1400 tons (150 USD/ton) for an overall amount of 90,000 USD • Services-companies awarded to conduct demonstration activities related to alternatives to styrofoam boxes , packaging optimisation and behavioral change to avoid SUP for an overall amount of 180,000 USD • Services-companies to conduct studies on the best regulatory options for SUP avoidance regulation in Binh Dinh for an overall amount of 25,000 USD • Company selected among EPPIC winners to further scaling up their activities, ensure their sustainability, and increase the quantity of plastic avoided or recycled for an overall amount of 40,000 USD
11	Travel	National Travels estimated each as one round flight at 200 USD plus one day accommodation at 250 USD/day (total of 25,200 USD) International Travels estimated as one round flight at 2500 USD plus 10 days with a DSA of 250 USD/day for each travel package. (total of 20,000 USD)
12	Equipment and furniture	Equipment and furniture consisting of carts, bin, trolleys and infrastructures for the door to door collection of plastic waste for an lumpsum amount of 89,300 USD
13	Training, Workshops and Conferences	• One workshop event on the selection of companies to undertake innovative approach on horizontal recycling and door to door collection of plastic waste for an overall amount of USD 7,150. • One workshop events on the awarding of the creation of micro and small enterprises for the door to door collection of plastic waste for an overall amount of USD 2,000. • Two workshop events on planning and results related to energy and material recovery of non-recyclable, low quality plastic waste for an overall amount of USD 4,000.

Budget Note No.	Budget Account Description	Description of cost items
		• One workshop event on to discuss and select the initiatives on alternatives to styrofoam boxes in fishing sector, packaging optimization and behavioral change to avoid SUP for an overall amount of USD 2,000. • One workshop event on to discuss and select 2 out of 4 EPPIC winners to further scale up their activities for an overall amount of USD 2,000. • Meeting and conferences on the provincial action plan on marine plastic reduction in Binh Dinh for an overall amount of USD 6,000. • Meeting and conferences on the sector-wise roadmap on the PAP in Binh Dinh for an overall amount of USD 4,000.
Component 3:Monitoring and Evaluation / Outcome 3.1 Monitoring and Evaluation		
14	International consultant	International consultants (total of 36 working days at 650 USD/day = 23,400 USD) recruited to: • International consultant providing support on Review and update SES and safeguard documents (estimate for 8 days = $5,200) • (one) consultant : Provide support on the inception workshop (estimate for 8 days = $5,200)
		• International consultant undertaking on terminal evaluation of the project in compliance with UNDP and GEF rules for a total number of 20 working days at 650 USD/day
15	Travel	International Travels arrange by UNDP - estimated as one round flight at 2,500 usd plus 10 days with a DSA of 250 USD/day for each travel package (USD 10,000), total 4 round trip: • 2 International travels for Project evaluation, including TE • 2 International travels for Knowleadge management (Coordination and sharing of good practice with other ASEAN countries through the AWGCME)
16	Local Consultant	Local consultants (total of 229 working days at 250 USD/day = 57,250 USD) recruited to: • Provide support on Review and update SES and safeguard documents (32 days * $250/day); • Provide support on the inception workshop (32 days * $250/day); • Work on Indicators establishment to facilitate successful project implementation and sound impact assessment, detailed project workplan result framework and final report (125 days * $250/day); • Undertake on terminal evaluation of the project in compliance with UNDP and GEF rules (40 days * $250/day);
17	Travel	National travel cost for project terminal evaluation, estimated each as one round flight at 200 USD plus one day accommodation at 250 USD/day (1,350USD), includes: • 3 National Travels for Project evaluation, including TE • 4 National Travels for Establishment and implementation of a knowledge exchange mechanism including a web platform and regular meeting and workshops • 4 National Travels for. Coordination and sharing of good practice with other ASEAN countries through the AWGCME. • 8 National Travels for: Development of the project communication strategy • 8 National Travels for: Awareness raising events with innovative communication methodologies and support from celebrities
18	Training, Workshops and Conferences	One workshop on project inception for an overall amount of USD 4,000 One workshop on terminal project evaluation for an overall amount of USD 4,000
Component 3:Monitoring and Evaluation / Outcome 3.2 Knowledge Management		
19	International consultant	International consultant sharing knowledge and preparing materials on marine plastic reduction examples and technologies, SUP avoidance, etc (total of 6 working days at 650 USD/day = 3,900 USD)
20		Local consultants (total of 60 working days at 250 USD/day = 15,000 USD) recruited to:

Budget Note No.	Budget Account Description	Description of cost items
	Local Consultant	• Work on implementation and maintenance of the Knowledge Sharing Platform; • Work on the preparation of ASEAN level conferences on the reduction of marine plastic;
21	Contractual Services – Companies	Enterprises / consultancies contracted to: • Implement and maintain the Knowledge Sharing Platform for an overall amount of 10,200 USD • Develop the National communication strategy on marine plastic reduction for an overall amount of 10,000 USD • Carry out awareness raising events nationwide with the support and involvement of celebrities for an overall amount of 30,000 USD.
22	Travel	National Travels estimated each as one round flight at 200 USD plus one day accommodation at 250 USD/day.. International Travels estimated as one round flight at 2,500 USD plus 10 days with a DSA of 250 USD/day for each travel package…
23	Workshops and Conferences	Knowledge exchange workshop on marine plastic solutions in Vietnam for an overall amount of USD 8,000. International workshop with ASEAN countries on to share experience on the fight against marine plastic pollution for an overall amount of USD 14,300
Project management cost		
24	Professional services	Professional services (including audit/Financial spot-check) to carry out yearly HACT assurance activities for an overall amount of 8,000 USD)
25	Communication & Audio visual	PMU communication budget
26	Contractual Services – Imp Partner	One full-time Project Manager staff (1,909USD/month * 12 months * 4 years) One full-time Project accountant cum Project Assistant/procurement ($1,110 USD/month for 4years*12 months)
27	Supplies	Office supplies, annual facilities and operating cost for project office which includes: stationeries, office supplies, utilities and other running costs (USD$ 4,457)
28	Audio Visual&Print Prod Costs	Audio Visual&Print Prod Costs (for printing, communication…) for an overall amount of 4,000 USD
29	Miscellaneous Expenses	Misc cost related to sundry, bank fee et. (2,400 USD)

X. 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 Viet Nam and UNDP, signed on 21 March 1978. All references in the SBAA to "Executing Agency" shall be deemed to refer to "Implementing Partner."

This project will be implemented by the Viet Nam Ministry of Agriculture and Environment (MAE) ("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.

XI. RISK MANAGEMENT

1. Consistent with the Article III of the Standard Basic Assistance Agreement (SBAA), the responsibility for the safety and security of the Implementing Partner and its personnel and property, and of UNDP's property in the Implementing Partner's custody, rests with the Implementing Partner. To this end, the Implementing Partner shall:
   a) 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;
   b) assume all risks and liabilities related to the Implementing Partner's security, and the full implementation of the security plan.

2. 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 Implementing Partner's obligations under this Project Document.

3. The Implementing Partner agrees to undertake all reasonable efforts to ensure that no UNDP funds received pursuant to the Project Document 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 United Nations Security Council Consolidated Sanctions List, and that no UNDP funds received pursuant to the Project Document are used for money laundering activities. The United Nations Security Council Consolidated Sanctions List can be accessed via https://www.un.org/securitycouncil/content/un-sc-consolidated-list.

4. The Implementing Partner acknowledges and agrees that UNDP will not tolerate sexual harassment and sexual exploitation and abuse of anyone by the Implementing Partner, and each of its responsible parties, their respective sub-recipients and other entities involved in Project implementation, either as contractors or subcontractors and their personnel, and any individuals performing services for them under the Project Document.
   a) In the implementation of the activities under this Project Document, the Implementing Partner, and each of its sub-parties referred to above, shall comply with the standards of conduct set forth in the Secretary General's Bulletin ST/SGB/2003/13 of 9 October 2003, concerning "Special measures for protection from sexual exploitation and sexual abuse" ("SEA").
   b) Moreover, and without limitation to the application of other regulations, rules, policies, and procedures bearing upon the performance of the activities under this Project Document, in the implementation of activities, the Implementing Partner, and each of its sub-parties referred to above, shall not engage in any form of sexual harassment ("SH"). SH is defined as any unwelcome conduct of a sexual nature that might reasonably be expected or be perceived to cause offense or humiliation, when such conduct interferes with work, is made a condition of employment, or creates an intimidating, hostile or offensive work environment. SH may occur in the workplace or in connection with work. While typically involving a pattern

of conduct, SH may take the form of a single incident. In assessing the reasonableness of expectations or perceptions, the perspective of the person who is the target of the conduct shall be considered.

5. (a) In the performance of the activities under this Project Document, the Implementing Partner shall (with respect to its own activities), and shall require from its sub-parties referred to in paragraph 4 (with respect to their activities) that they, have minimum standards and procedures in place, or a plan to develop and/or improve such standards and procedures in order to be able to take effective preventive and investigative action. These should include: policies on sexual harassment and sexual exploitation and abuse; policies on whistleblowing/protection against retaliation; and complaints, disciplinary and investigative mechanisms. In line with this, the Implementing Partner will and will require that such sub-parties will take all appropriate measures to:
   (i) Prevent its employees, agents or any other persons engaged to perform any services under this Project Document, from engaging in SH or SEA;
   (ii) Offer employees and associated personnel training on prevention and response to SH and SEA, where the Implementing Partner and its sub-parties referred to in paragraph 4 have not put in place its own training regarding the prevention of SH and SEA, the Implementing Partner and its sub-parties may use the training material available at UNDP;
   (iii) Report and monitor allegations of SH and SEA of which the Implementing Partner and its sub-parties referred to in paragraph 4 have been informed or have otherwise become aware, and status thereof;
   (iv) Refer victims/survivors of SH and SEA to safe and confidential victim assistance; and
   (v) Promptly and confidentially record and investigate any allegations credible enough to warrant an investigation of SH or SEA. The Implementing Partner shall advise UNDP of any such allegations received and investigations being conducted by itself or any of its sub-parties referred to in paragraph 4 with respect to their activities under the Project Document, and shall keep UNDP informed during the investigation by it or any of such sub-parties, to the extent that such notification (i) does not jeopardize the conduct of the investigation, including but not limited to the safety or security of persons, and/or (ii) is not in contravention of any laws applicable to it. Following the investigation, the Implementing Partner shall advise UNDP of any actions taken by it or any of the other entities further to the investigation.

   (b) The Implementing Partner shall establish that it has complied with the foregoing, to the satisfaction of UNDP, when requested by UNDP or any party acting on its behalf to provide such confirmation. Failure of the Implementing Partner, and each of its sub-parties referred to in paragraph 4, to comply of the foregoing, as determined by UNDP, shall be considered grounds for suspension or termination of the Project.

6. 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).

7. The Implementing Partner shall: (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.

8. 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.

9. The Implementing Partner will take appropriate steps to prevent misuse of funds, fraud or corruption, by its officials, consultants, responsible parties, subcontractors and sub-recipients in implementing the project or using UNDP funds.

10. In the implementation of the activities under this Project Document, UNDP places reasonable reliance upon the Implementing Partner for it to apply its laws, regulations and processes, and applicable international laws regarding anti money laundering and countering the financing of terrorism, to ensure consistency with the principles of then in force the UNDP Anti-Money Laundering and Countering the Financing of Terrorism Policy.

11. The Implementing Partner will ensure that its financial management, anti-corruption, anti-fraud and anti-money laundering and countering the financing of terrorism policies are in place and enforced for all funding received from or through UNDP.

12. The requirements of the following documents, then in force at the time of signature of the Project Document, apply to the Implementing Partner: (a) UNDP Policy on Fraud and other Corrupt Practices and (b) UNDP Office of Audit and Investigations Investigation Guidelines. The Implementing Partner 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.

13. In the event that an investigation is required, UNDP has the obligation to conduct investigations relating to any aspect of UNDP projects and programmes in accordance with UNDP's regulations, rules, policies and procedures. The Implementing Partner shall provide its full cooperation, including making available personnel, relevant documentation, and granting access to the Implementing Partner's (and its consultants', responsible parties', 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 the Implementing Partner to find a solution.

14. The signatories to this Project Document will promptly inform one another in case of any incidence of inappropriate use of funds, or credible allegation of fraud or corruption with due confidentiality.

    Where the Implementing Partner becomes aware that a UNDP project or activity, in whole or in part, is the focus of investigation for alleged fraud/corruption, the Implementing Partner will inform the UNDP Resident Representative/Head of Office, who will promptly inform UNDP's Office of Audit and Investigations (OAI). The Implementing Partner shall provide regular updates to the head of UNDP in the country and OAI of the status of, and actions relating to, such investigation.

15. UNDP shall be entitled to a refund from the Implementing Partner 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 an amount may be deducted by UNDP from any payment due to the Implementing Partner under this or any other agreement. Recovery of such amount by UNDP shall not diminish or curtail the Implementing Partner's obligations under this Project Document.

    Where such funds have not been refunded to UNDP, the Implementing Partner 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 the Implementing Partner 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.

16. Each contract issued by the Implementing Partner 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 the Implementing Partner shall cooperate with any and all investigations and post-payment audits.

17. Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the project, 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.

18. The Implementing Partner shall ensure that all of its obligations set forth under this section entitled “Risk Management” are passed on to each responsible party, subcontractor, and sub-recipient and that all the clauses under this section entitled “Risk Management Standard Clauses” are included, *mutatis mutandis*, in all sub-contracts or sub-agreements entered into further to this Project Document.

XII. MANDATORY ANNEXES

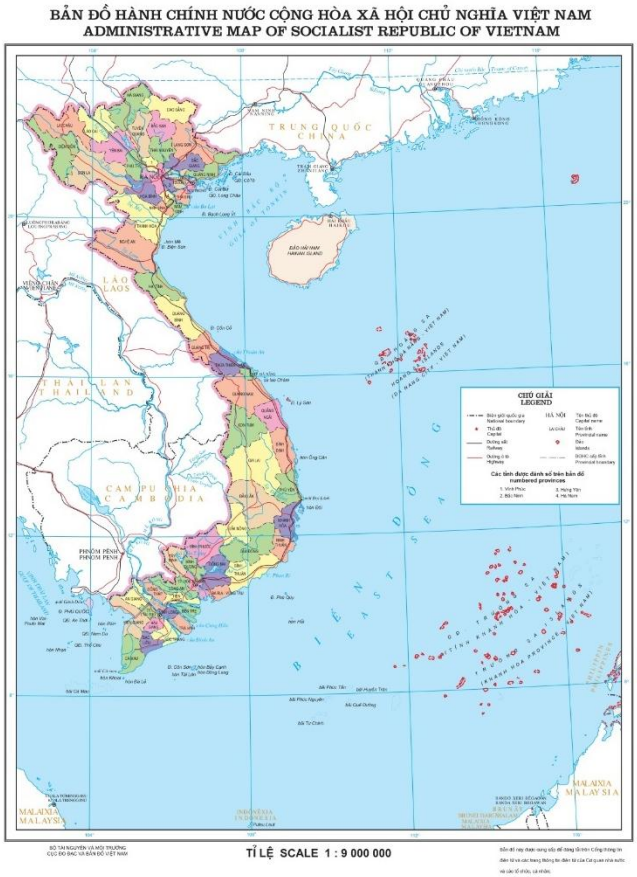
1. GEF Budget Template (available from BPPS NCE-VF)
2. Project Map and geospatial coordinates of the project area
3. Multiyear Workplan
4. Monitoring Plan
5. Social and Environmental Screening Procedure (SESP)
6. UNDP Atlas Risk Register
7. Overview of technical consultancies/subcontracts
8. Stakeholder Engagement Plan
9. Gender Analysis and Gender Action Plan
10. Procurement Plan – for first year of implementation especially
11. Letter of financial commitments
12. GEF Core indicators
13. GEF Taxonomy
14. Partners Capacity Assessment Tool and HACT assessment
15. UNDP Project Quality Assurance Report (to be completed in UNDP online corporate planning system)

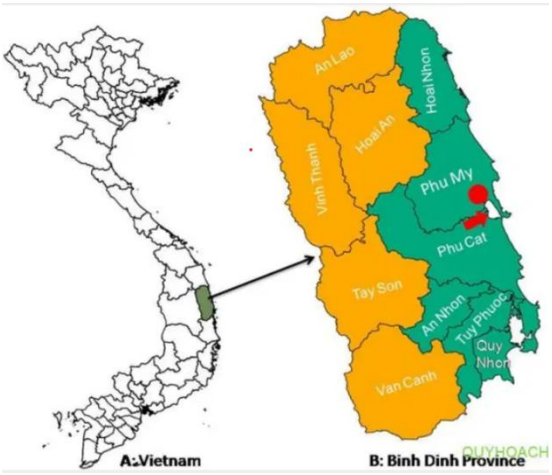
Annex 1: GEF Budget Template

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Annex 2: Project map and Geospatial Coordinates of project sites

The project will be implemented nationwide with specific pilot interventions in Binh Dinh province (coordinates: 14°10’N 109°0’E).





Annex 3: Multi Year Work Plan

Outcomes	Outputs	Detailed activities	Y1 Q1	Y1 Q2	Y1 Q3	Y1 Q4	Y2 Q1	Y2 Q2	Y2 Q3	Y2 Q4	Y3 Q1	Y3 Q2	Y3 Q3	Y3 Q4	Y4 Q1	Y4 Q2	Y4 Q3	Y4 Q4
Outcome 1.1: National Action Plan on management of marine plastic litter effectively implemented in Viet Nam, with a special focus on food and beverage sectors	*Output 1.1.1. The impacts on plastic pollution (including COVID 19 mitigation measures) related to food handling/packaging assessed nationally and mitigation measures identified for regional piloting*	Activity 1.1.1.1 Assessment of the current and past, direct, and secondary impact of COVID-19 on plastic pollution, including estimates of the CO2 and POPs releases;																
		Activity 1.1.1.2 Identification of the most efficient measures and strategies to prevent plastic pollution from SUP in the COVID-19 recovery phase and beyond, including any upstream avoidance measure and downstream improvement of recycling and collection;																
		Activity 1.1.1.3 Proposal of the measures (upstream and downstream) to be piloted in Binh Dinh against plastic pollution agreed and endorsed by the relevant stakeholders.																
	Output 1.1.2: The operationalization of the NAP through the development of roadmap and policy guidelines including indicators baselines and targets and a Monitoring and Evaluation Framework at the national level put in place.	Activity 1.1.2.1 Development of realistic and science-based target indicators for NAP implementation developed																
		Activity 1.1.2.2 Review and development of policy guidelines including incentive mechanism, taxation scheme, and delivery of training to support implementation of the guidelines																
		Activity 1.1.2.3 Secondary norms and circulars developed, promulgated, and enforced to render the NAP implementable and operational.					0											
	Output 1.1.3: Available funding mechanisms from public and private sources (VEPF, EPR, PRO-Viet Nam) to support NAP implementation explored	Activity 1.1.3.1. Implementing financial management measures for channeling EPR funds toward reduction of marine plastic pollution.					0											
		Activity 1.1.3.2. Strengthening the capacity of VASI on monitoring and enforcement of measures																
Outcome 2.1: A life-cycle approach is applied to enhance the waste and plastic management in the food and	*Output 2.1.1: Plastic waste segregation at source (including COVID-19 waste) supported; recovery and re-use schemes including the establishment of waste banks and deposit and return schemes linked to the Material Recovery Facility in Quy Nhon, Binh Dinh province.*	Activity 2.1.1.1. Competitive selection and financing innovative projects to improve plastic collection schemes including reverse logistic and waste banks to ensure horizontal recycling.					0											
		Activity 2.1.1.2. Awarding the creation of LAC (Livelihoods Action Plan) for informal operators for the implementation of initiatives on improved collection schemes and creation of micro and small enterprises led by women					0											
		Activity 2.1.1.3. Energy and material recovery from non-recyclable plastic.																

beverage sectors in Binh Dinh as pilot province for future country-wide replication		Activity 2.1.1.4 Awareness raising initiatives on plastic waste collection schemes.		■				■				■				■				
	Output 2.1.2: Schemes to reduce single use plastic in the food and beverage sectors supported, including (i) upstream prevention of SUP through command-and-control instruments such as regulations banning use in particular sub-sector (ii) Application and/or replication of innovative and proven solutions building on the activities of EPPIC project to complete the life cycle approach in marine plastic pollution focusing on Binh Dinh province.	Activity 2.1.2.1. Implementation of SUP avoidance in the food and fishing sectors to reduce the amount of plastic waste generated and the overall water consumption and GHG releases;				■	■	■	■	■	■	■	■	■	■	■	■		
		Activity 2.1.2.2. Technical support to the Binh Dinh province on the design and implementation of a SUP banning regulation, which includes material replacement and behavioral change		■	■	■	■													
		Activity 2.1.2.3. Technical and financial support for the implementation and scaling up of selected EPPIC solutions					■	■	■	■	■	■	■	■	■	■	■	■		
	Output 2.1.3 The NAP localized through the formulation of a Provincial Action Plan, with special focus on the upstream and downstream reduction in the food and beverage sectors	Activity 2.1.3.1 Detailed design of the NAP for the province of Binh Dinh					■	■												
		Activity 2.1.3.2 Sector-wise roadmap for NAP implementation: tourism, retailer sectors, SUP avoidance at consumers' level									■	■	■							
Outcome 3.1. Project Monitoring and Evaluation	*Output 3.1.1: Project monitoring and evaluation, including monitoring and evaluation framework carried out*	Activity 3.1.1.1 Project inception, Review and update SES and safeguard documents	■	■	■	■	■	■	■	■										
		Activity 3.1.1.2 Project monitoring and reporting	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■
		Activity 3.1.1.3 Project evaluation, including TE											■	■	■	■	■	■		
Outcome 3.2: Initiate the replication and update of best practices and lessons learned in Viet Nam, ASEAN and globally	*Output 3.2.1: Knowledge exchange with other cities and provinces in Viet Nam through Viet Nam NPAP and other country's plastic partnerships facilitated.* *Output 3.2.2 Knowledge exchange with other ASEAN countries through the ASEAN Working Group on Coastal and Marine Environment and wider lessons sharing through IW LEARN facilitated*	Activity 3.2.1.1 Establishment and implementation of a knowledge exchange mechanism including a web platform and regular meeting and workshops					■	■	■	■	■	■	■	■	■	■	■	■		
		Activity 3.2.2.1. Coordination and sharing of good practice with other ASEAN countries through the AWGCME and IWC					■				■				■					
	Output 3.2.3: National awareness and communication campaigns at national level toward behavioral change conducted with the aim of reducing the use of single-use plastics and proper plastic waste disposal	Activity 3.2.3.1: Development of the project communication strategy	■				■				■	■								
		Activity 3.2.3.2: Awareness raising events with innovative communication methodologies and support from celebrities	■				■				■			■						
Project Management			■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■

Annex 4: Monitoring Plan

This Monitoring Plan and the M&E Plan and Budget in Section VI of this project document will both guide monitoring and evaluation at the project level for the duration of project implementation.

Monitoring	Indicators	Targets	Description of indicators and targets	Data source/Collection Methods[38]	Frequency	Responsible for data collection	Means of verification	Risks/Assumptions
	Indicator 1 direct project beneficiaries disaggregated by gender (individual people) Number of people (F/M) participating in training and awareness raising activities, benefitting from green financial incentives, or from project-related job opportunities.	100/100	An average of staff for each firm benefitting from incentive, assuming at least firms; 10 training of trainers involving at least 10 trainees and a total audience of not less than people with ; an average proportion F/M of 50/50	Pre and post training tests will be carried out. Training report and attendance sheet with test scores Number of staff will be calculated based on the application forms received from enterprises benefitting of grants/incentives	Annually and after every event.	Project Management Unit	Workshop and meeting reports Technical reports	Risk: training participant and firm applying incentives below expectations. Assumption: based on previous experience, there will be enough application from potential partners / enterprises to take part in project activities
	Indicator 2 Mandatory Indicator 2: # Indirect project beneficiaries disaggregated by gender (individual people) Number of people (F/M) benefitting from reduced plastic pollution:	125,000 /125,000	See detailed explanation in Global Environmental Benefits chapter	Data related to this indicator will be calculated through surveys and statistics related to the people who have been impacted by awareness raising initiatives	Annually and at project end	Project Management Unit	Workshop and meeting reports Technical reports National statistics report	Risk: Gender issues not properly mainstreamed in the project. Assumption: the development and implementation of a GM plan will ensure that Gender aspects are properly addressed.

[38] Data collection methods should outline specific tools used to collect data and additional information as necessary to support monitoring. The PIR cannot be used as a source of verification.

Monitoring	Indicators	Targets	Description of indicators and targets	Data source/Collection Methods[38]	Frequency	Responsible for data collection	Means of verification	Risks/Assumptions
	Indicator 3 Reduction of plastic waste generation: target	2000 tons	This target includes avoidance of SUP in the tourism sector (500 tons), collection of plastic wase at source (1300 tons) and recycling of low-value/non-recyclable plastic waste (200 tons)	Data gathered through reports generated by the involved enterprises on the avoided manufacturing of SUP, collection and recycling, and by pre and post project surveys on consumers.	Mid-term and at project end	Project Management Unit	Report from participating enterprises Meeting and mission reports	Risk: data generated from enterprises not accurate or realistic. Indirect surveys affected by large uncertainty. Assumption: technical exchange, training and a conservative approach will ensure that enterprises provide accurate measures and that the survey provide reliable and realistic data.
	Indicator 4 Area of marine habitat under improved practices:	7.2 km^2	Quy Nhon City is the metropolitan area of Binh Dinh province, where most activities of the project will be undertaken. In the administrative area of Quy Nhon city there are two estuaries: (i) Con River flowing from the northwest to Quy Nhon City; and (ii) Ha Thanh river flowing from the southwest to Quy Nhon City, discharging on a coastline of 72km. Although very likely the impact of the project will go beyond this area, a conservative assumption is that only the area influenced by such estuaries will benefit from project	Data will be generated through surveys along the Binh Dinh coast to verify that the implementation of the project has indeed generated the expected benefit.	Annually and at project end	Project Management Unit	Surveys, mission reports Meeting reports	Risk: difficulties related to the monitoring of the Binh Dinh coast to gather meaningful results. Assumption: in case the monitoring of the coast proved to be not achievable, the benefit in term of plastic avoided will be considered as spread all along the Binh Dinh coast.

Monitoring	Indicators	Targets	Description of indicators and targets	Data source/Collection Methods[38]	Frequency	Responsible for data collection	Means of verification	Risks/Assumptions
			implementation. Assuming a strip of 100mx72km, that will correspond to 720Ha.					
Outcome 1.1: National Action Plan on management of marine plastic litter effectively implemented in Viet Nam, with a special focus on food and beverage sectors	**Indicator 5:** Indicator 5: Availability of a science/evidence-based, and practical road map for the implementation of the NAP with clear targets validated by stakeholders or approved by the Cabinet of Ministers	Realistic and science-based indicators and monitoring methodology for NAP implementation developed validation/approval by Cabinet/Council of Ministers	Target is self-explanatory. The road map will be based on both national and international experience and will have to bring practical and implementable solutions to reduce plastic pollution from SUP in the COVID-19 recovery phase and beyond.	Assessment study Meeting reports	Annually and at project end	Project Management Unit	Meeting minutes and reports Assessment report – draft and final	Risk: the roadmap is either overambitious or minimalistic Assumption: the involvement of international experts together with a local team will ensure that the roadmap targets are suitable for the Viet Nam situation and at the same time the proposed solutions have proved effective in other countries.
	Indicator 6: Indicator 6: The number of new financing mechanisms (including government incentives, EPR fund disbursement and privates' sector green banking) available for entrepreneurs and local authorities for circular economy practices/ plastic pollution prevention/ plastic alternatives.	3 new funding mechanisms available for green enterprises to engage in circular economy/ plastic alternatives	This indicator refers to the number of sustainable green financing mechanisms that the project has contributed to establish or render operational, based on public or private funds, and triggered by compliance to regulation (EPR) or by market mechanisms.	Meeting reports Legal documents related to the establishment of green financing mechanism. Cash flows as documented by financing institutions (private or public)	Annually and at project end	Project Management Unit Project Management Unit	Meeting minutes and reports. Interviews with beneficiaries or potential beneficiaries.	Risk: green financing mechanism not large enough to support the change; scope of the green financing mechanism not aligned with the plastic reduction goals; complexity of application procedures to benefit of the green financing funds. Assumptions: currently the enterprises in the plastic sector are already paying EPR funds to VEPF, which may be considered one financing mechanism. Some enterprises would prefer to manage by themselves EPR intervention (as this is one of the legal options of EPR) and that could be an additional source of green financing. Banks could be interested in financing

Monitoring	Indicators	Targets	Description of indicators and targets	Data source/Collection Methods[38]	Frequency	Responsible for data collection	Means of verification	Risks/Assumptions
								green loans if the demand for such loans is large enough.
	Indicator 7 Availability of endorsed secondary norms and circular for the implementation of the NAP.	Set of endorsed secondary norms and circular.	The necessary norms and circular will be elaborated by the GoV with assistance from UNDP and promulgated.	Text of circular and norms at draft and final stage. Meeting reports	Annually and at project end	Project Management Unit	Meeting minutes and reports Text of circular and norms at draft and final stage.	Same as above
Outcome 2.1: A life-cycle approach is applied to enhance the waste and plastic management in the food and beverage sectors in Binh Dinh as pilot province for future country-wide replication	Indicator 8: An overall amount of 2000 tons of plastic waste prevented to enter the environment.	2000t	This target includes avoidance of SUP in the tourism sector (500 tons), collection of plastic wase at source (1300 tons) and recycling of low-value/non-recyclable plastic waste (200 tons)	Data gathered through reports generated by the enterprises involved on the avoided manufacturing of SUP, collectors and recyclers and by pre and post project surveys on consumers.	Annually and at project end	Project Management Unit	Technical reports Mission reports Meeting minutes Survey reports	Risk: monitoring missed production of SUP could be problematic. Assumption: a combination of site visits, information generated by enterprises, and survey with consumers will provide information that can be cross-checked and considered reliable.
	Indicator 9: Availability of a revised action plan on marine plastic at provincial level.	A detailed revision of the NAP for the province of Binh Dinh proposed	A PAP for Binh Dinh already exists, but in agreement with the Binh Dinh government, the project will revise and improve it	Meeting minutes Draft and final version of the provincial action plan revised	Annually	Project Management Unit	Participation in meeting, analysis of meeting reports and of the action plans	Risk: lack of coordination between provincial and central government on the provincial action plan. Assumption: as the PMU is involved in the implementation of project components at both central and provincial level, it will facilitate the coordination among the two entities
	Indicator 10: Number of job positions (male/female) generated	20	Self-explanatory	A number of new positions will be reported by the enterprises or	Annually and at project end	Project Management Unit	Technical reports	Risk: new jobs only last for the duration of the project.

Monitoring	Indicators	Targets	Description of indicators and targets	Data source/Collection Methods[38]	Frequency	Responsible for data collection	Means of verification	Risks/Assumptions
	in the plastic waste management sector			associations involved in project activities.			Reports generated by participating enterprises.	Assumption: whilst is not possible to ensure that the new job triggered by the project will last after project end, the highly sustainable approach of the project should ensure that more and more jobs will be generated in the sectors of alternative to plastic or plastic recycling. See section on sustainability.
Outcome 3.1: Project Monitoring and Evaluation	**Indicator 11:** Indicator 11: Gender action plan and safeguards action plan implemented and monitored	Gender and safeguards assessed as (at least) satisfactory at Terminal Evaluation	This refers to the development and implementation of the gender and safeguard action plan which will have to be assessed at least satisfactory at TE.	The UNDP HQ will verify the compliance of the TE report with UNDP and GEF requirements, including the assessment of the GAP and SAP.	At project end, during and after TE development.	UNDP	Examination of GAP, SAP, and associated report to be conducted ant TE	Risk: TE report not up to the required standard. Assumption: UNDP has a long history experience to conduct project evaluation through fully independent evaluation consultants. Evaluation and review reports not complying with the standards are very rare, if any.
	Indicator12 Indicator 12: Number of workshop and meeting participants reporting a higher awareness on reduction, collection and recycling technologies	(Target: 4 workshops with a total of 100 participants at national level and 300 in Binh Dinh)	This refers to workshops where experience generated from the project and from other projects at national or provincial level is exchanged among stakeholders.	Pre and post – workshop questionnaires. Workshop reports and participation attendance. The success of the knowledge exchange workshop will be assessed by the TE evaluators and by UNDP CO.	Annually and at project end	Project Management Unit	Workshop preparation reports Workshop minutes with attendance sheets Questionnaire reports	Risk (for all workshop – conference events): Workshop / conference event not attended by enough relevant stakeholders; speakers not up to the standard. Assumptions: UNDP Viet Nam and MAE/VASI have established a network of experts which will ensure the high quality of the material to be presented during conferences. This network is also very effective in mobilizing stakeholders at the national and international level.

Monitoring	Indicators	Targets	Description of indicators and targets	Data source/Collection Methods[38]	Frequency	Responsible for data collection	Means of verification	Risks/Assumptions
Outcome 3.2: Initiate the replication and update of best practices and lessons learned in Viet Nam, ASEAN and globally	**Indicator 13:** Availability of a NPAP exchange platform	One NPAP exchange platform established	The NPAP exchange platform will take the form of a blog website continuously maintained and updated centrally and by the platform members to inform about ongoing initiatives, tools, regulations, and financial incentives related to marine plastic prevention.	Data related to the frequency of access, frequency of posting, number of events channeled through the platform	Annually and at project end	Project Management Unit	NPAP platform meeting reports Material published on the NPAP platform. Technical reports related to frequency of platform access and posting	Risk: Low interest of joining and participating the NPAP by stakeholders. Assumptions: UNDP Viet Nam and MAE/VEA will ensure the high quality of the engagement and support This network is also very effective in mobilizing stakeholders at the national and international level.
	Indicator 14: Number of (and effectiveness of) knowledge sharing efforts supported by the project -outstanding examples of marine plastic reduction activities in other ASEAN Countries. - Presented project results at IWC Conference.	Target: one international conference (IWC) Target: one international conference and one ASEAN level conference		Conference reports and participation attendance. Mission report to the host countries.	Annually and at project end	Project Management Unit	Workshop and site visit preparation reports Workshop minutes with attendance sheets Questionnaire reports	Workshop / conference event not attended by a sufficient number of relevant stakeholders; speakers not up to the standard; Assumptions: UNDP Viet Nam and MAE/VASI have established a network of experts which will ensure the high quality of the material to be presented during conferences. This network is also very effective in mobilizing stakeholders at the national and international level.
	Indicator 15: Consumer behaviour impacted measured by demand for alternate packaging, number of food and beverage delivery platform using environmentally friendly packaging and increased	Baseline and end of project surveys carried out involving at least 1000 consumers with at least 80% of interviewed aware of the	This indicator aim at measuring the rate of change of consumer behavior toward consumption of single use plastic.	Baseline survey and end of project surveys carried out by an independent company on the attitude and behavior of consumers at project start and end	At project start and at project end	Project Management Unit	Assessment of the baseline and end of project survey	Risk: surveys not statistically strong or biased; unsatisfactory rate of answers to the survey Assumption: the survey will be conducted by a professional entity with proven experience in surveys and statistical analysis of market and social matters. An independent international consultant will verify the survey templates and the methodology before

Monitoring	Indicators	Targets	Description of indicators and targets	Data source/Collection Methods[38]	Frequency	Responsible for data collection	Means of verification	Risks/Assumptions
	rate of recycling in Binh Dinh Province	plastic waste issue and at least 40% practicing alternatives to SUP						the survey start. This will ensure both the relevance, quality and statistical significance of the surveys.

Annex 5: UNDP Social and Environmental Screening Procedure (SESP)

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Annex 6: UNDP Risk Register

#	Event	Cause	Impact(s)	Risk Category and Sub-category *(including Risk Appetite)*	Impact, Likelihood & Risk Level *(see Annex 3 Risk Matrix)*	Risk Valid From/To	Risk Owner *(individual accountable for managing the risk)*	Risk Treatment and Treatment Owner
1	There is a risk that informal waste workers (IWW) in the plastic recycling sector may lose their jobs and income.	As a result of the project's intention to improve the plastic waste segregation at source.	Which will impact by interfering with the operations of existing informal waste workers in the pilot location of Binh Dinh. It is estimated that with a collection target of 1,300 t over project duration, a maximum overall number of IWW ranging from 20 to 40 could be impacted if the project covers only areas already covered by IWWs. However, a better collection and storage is a prerequisite to reduce the environmental impact of plastic waste management. The informal waste workers will still play a key role in the collection of plastic waste. A smooth transition and cooperation schemes are then needed.	**1. SOCIAL AND ENVIRONMENTAL (1.10. Labour and working conditions) - UNDP Risk Appetite: CAUTIOUS**	Likelihood: **4 - Highly likely** Impact: **2 - Minor** Risk level: **LOW (equates to a risk appetite of CAUTIOUS)**	From: 01-Nov-23 To: 01-Nov-27	VASI	**Risk Treatment 1.1**: As the informal workers only collect a fraction of the plastic waste generated, the project will plan to operate in areas usually not covered by them, therefore avoiding any competition with informal workers. The purpose of the project is, however, to collect plastic waste, which is usually not of interest for IWWs (i.e., Styrofoam containers) therefore will not be in competition with them. **Risk Treatment Owner**: PMU **Risk Treatment 1.2**: Furthermore, the project (Output 2.1.1) envisages to provide direct support to informal waste workers (IWWs) to promote the shifting from informal to formal in Binh Dinh as pilot province. It is acknowledged that if the project is able to transform a significant amount of plastic to an improved collection scheme, a number of people, who are currently "informally" buying and selling that plastic, could lose partly their income. The plastic segregated at source will be periodically collected by the project and shipped to formal recycler like MRF for further processing and recycling, and the income used to support the collection. In addition to that, having been complementary to the lessons learnt from the previous UNDP project, the project design will include other support for IWWs like providing low-interest loan for livelihood support or providing the collection equipment and technical

#	Event	Cause	Impact(s)	Risk Category and Sub-category *(including Risk Appetite)*	Impact, Likelihood & Risk Level *(see Annex 3 Risk Matrix)*	Risk Valid From/To	Risk Owner *(individual accountable for managing the risk)*	Risk Treatment and Treatment Owner
								training for effective and safe waste collection and storage. **Risk Treatment Owner**: PMU
2	There is a risk that industries in the plastic and food packaging sector may lose income due to banning or restricting the use of certain single use plastic (SUP).	As a result of the application of EPR rules currently occurring in Viet Nam under the Law of Environmental Protection 2020.	Which will impact in the internalization of environmental cost, resulting in a net loss for enterprises. Whilst this is a risk from the perspective of some industries operating in the food packaging and plastic manufacturing sector, the internalization of the environmental cost associated with the restriction of use of SUP, which has delayed for too long, will represent a benefit for the community.	**6. REGULATORY (6.1. Changes in the regulatory framework within the country of operation) - UNDP Risk Appetite: CAUTIOUS**	Likelihood: **3 - Moderately likely** Impact: **2 - Minor** Risk level: **LOW (equates to a risk appetite of CAUTIOUS)**	From: 01-Nov-23 To: 01-Nov-27	PMU	**Risk Treatment 2.1**: Currently, the impact of EPR on the enterprises is very low as it consists of a small contribution proportional to the amount of plastic products placed on the market, which is paid to VEPF. The issue of SUP reduction is already among the policies planned by the Binh Dinh and central government will be addressed at governmental level with participation of all the key stakeholders. UNDP will support the government and key stakeholders in identifying the best win-win actions toward the reduction of the use and marketing of SUP and a better recycling which could be beneficial for both enterprises and society, and support the diversion of EPR funds to support industry to adopt these through Output 1.1.3. **Risk Treatment Owner**: PMU
3	There is a risk that the project will have imbalanced gender participation .	As a result of women operating as informal waste collectors being shy and afraid of being blamed or disapproved of, as has been found in similar projects	Which will impact in women not wanting to show up in workshops or attend awareness raising events.	**1. SOCIAL AND ENVIRONMENTAL (1.2. Gender equality and women's empowerment) - UNDP Risk Appetite: CAUTIOUS**	Likelihood: **3 - Moderately likely** Impact: **3 - Intermediate**	From: 01-Nov-23 To: 01-Nov-27	PMU	**Risk Treatment 3.1**: This risk has been addressed/mitigated in project design and the GAP. The GAP has been developed by the PPG to incorporate the gender issues during the project design. In addition, SEP has clearly presented the plan to engage the IWWs and relevant stakeholder to avoid the imbalanced ensure a balanced gender participation. **Risk Treatment Owner**: PMU

#	Event	Cause	Impact(s)	Risk Category and Sub-category *(including Risk Appetite)*	Impact, Likelihood & Risk Level *(see Annex 3 Risk Matrix)*	Risk Valid From/To	Risk Owner *(individual accountable for managing the risk)*	Risk Treatment and Treatment Owner
		implemented by UNDP.			Risk level: **LOW (equates to a risk appetite of CAUTIOUS)**			**Risk Treatment 3.2**: Whilst it is clear that informal collectors and waste scavengers need to be supported and offered with better job opportunities, at the same time the project will conduct awareness raising for the public and community for a better recognition and social acceptance of the social role of informal workers in the waste sector. This is crucial to ensure that discrimination against women working in the informal sector will be prevented. As such, the communication strategy to be developed during the project implementation (under the Activity 3.2.3.1) will be developed. **Risk Treatment Owner**: PMU **Risk Treatment 3.3**: Furthermore, the project will find ways to meet the IWWs "in the field" in "informal manner" rather than formal gatherings like meetings, training or workshops. Under Output 2.1.1, through a tight cooperation with the Women Union in Quy Nhon, the project will seek to substantially improve the working conditions of informal waste workers, with specific reference to the use of PPE, information on job rights, and prevention of risks associated with the collection and transportation of plastic waste. The PPG has consulted with the Binh Dinh Women Union who played a crucial role in the UNDP similar previous project and it was agreed that Women Unions will enhance the possibility to raise awareness among IWWs and women as well. **Risk Treatment Owner**: PMU

#	Event	Cause	Impact(s)	Risk Category and Sub-category *(including Risk Appetite)*	Impact, Likelihood & Risk Level *(see Annex 3 Risk Matrix)*	Risk Valid From/To	Risk Owner *(individual accountable for managing the risk)*	Risk Treatment and Treatment Owner
4	There is a risk that the workers in the waste banks, collection point of plastic waste and recycling activities will encounter environmental, health, and safety risks.	As a result of the lack of protection surrounding informal waste collection operations. Currently plastic waste collection and recycling are largely carried out by the so-called informal recycler, which basically are structured in 3 hierarchical levels: informal collectors and scavengers, consolidators and recyclers. At all levels, the operations are carried out without significant protection for the worker or the environment.	Which will impact in health effects for IWWs exposed during waste collection. It has been reported that around 30% of the plastic collected by informal operators get discarded in the environment or burnt in the open. The process of plastic recycling in recycling village has a serious impact on the water quality and atmosphere. In Viet Nam there are currently only two solutions to prevent the leaking into the environment of the plastic discarded by informal operators that is dumped into the environment or burnt in the open: First, that currently the co-processing in modern cement kilns can ensure at the same time the	**3. OPERATIONAL (3.7. Occupational safety, health and well-being) - UNDP Risk Appetite: EXPLORATORY TO OPEN**	Likelihood: **3 - Moderately likely** Impact: **3 - Intermediate** Risk level: **MODERATE (equates to a risk appetite of EXPLORATORY)**	From: 01-Nov-23 To: 01-Nov-27	PMU	**Risk Treatment 4.1**: This baseline risk has been partially addressed in project design and further minimization will be ensured at implementation. Under the project design, the component 1 will enable Policy Framework on marine plastic through effective implementation of the NAP. The guidelines and circulars developed to enable NAP implementation will address issues such as open burning of plastic waste, as well as reduced consumption of Single Use Plastics (SUPs) that do not yield to recycling. As in Binh Dinh province or future countrywide replication, the component 2 will demonstrate a life-cycle approach to plastic waste to enhance the waste and plastic management in the food and beverage sectors in Quy Nhon City and adjacent coastal districts. From the implementation of these two components, the knowledge management, including exchange on best practices and lesson learnt, awareness raising and training will be implemented in the component 3. As such, the project implementation will directly address this risk through upstream (reduced consumption and production of SUP) and downstream (better collection and more efficient recycling) measures, through the establishment of collection and storage areas. **Risk Treatment Owner**: PMU **Risk Treatment 4.2**: Although the project is dealing with non-hazardous waste which does not represent an outstanding health risk for the waste collectors, safety protocols and training for the use of PPEs will

#	Event	Cause	Impact(s)	Risk Category and Sub-category *(including Risk Appetite)*	Impact, Likelihood & Risk Level *(see Annex 3 Risk Matrix)*	Risk Valid From/To	Risk Owner *(individual accountable for managing the risk)*	Risk Treatment and Treatment Owner
			recovery of ash into clinker and the recovery of energy; Second, and the most recent option, is the use of such "non-recyclable" plastic in an extrusion process aimed at manufacturing building materials (bricks, tiles, pillars etc.).					be developed and communicated to the workers through dedicated training event. The project will anyway also provide operators with proper PPE (Activity 2.1.1.2). Awareness raising and training on the use of PPE during plastic collection and recycling operations will be carried out for the workers in charge of waste collection and recycling operations, who, in the informal plastic waste chain, are the least protected (Activity 2.1.1.1). **Risk Treatment Owner**: PMU
								Risk Treatment 4.3: For low value plastic waste, which are often considered as non-recyclable, several options will be considered, including use of low value plastic waste mixed with ash to manufacture building materials, co-processing in cement kilns, or technologies that may become available in Viet Nam in the course of project implementation (Activity 2.1.1.3). **Risk Treatment Owner**: PMU
								Risk Treatment 4.3: To prevent the release in the environment associated with recycling processes, evaluation of the recycling process before its adoption and laboratory analysis of the effluents during operation will be carried out. **Risk Treatment Owner**: PMU
5	There is a risk that waste banks or collection points may be flooded.	As a result of the impact of climate change in Vietnam, which has resulted in increased frequency of	Which will impact in flooded or damaged project locations. In November 2021, nearly 100 households in areas at risk of landslide	**8. SAFETY AND SECURITY (8.6. Natural hazards) - UNDP Risk Appetite: CAUTIOUS**	Likelihood: **3 - Moderately likely** Impact:	From: 01-Nov-23 To: 01-Nov-27	PMU	**Risk Treatment 5.1**: Although the probability of floods in Quy Nhon is high, the impact would be only limited to small storages of plastic waste that would be simply prevented by initial screening/assessment. Surveys and consultation with Binh Dinh DONRE were conducted during the PPG and it was agreed waste banks/collection points will be preferentially

#	Event	Cause	Impact(s)	Risk Category and Sub-category *(including Risk Appetite)*	Impact, Likelihood & Risk Level *(see Annex 3 Risk Matrix)*	Risk Valid From/To	Risk Owner *(individual accountable for managing the risk)*	Risk Treatment and Treatment Owner
		extreme weather events, with landslide and flooding in many areas.	and flooding in Quy Nhon city and Phu Cat district of Binh Dinh province were relocated to safer places as torrential rain caused flooding.		**2 - Minor** Risk level: **LOW (equates to a risk appetite of CAUTIOUS)**			put in existing locations close to/within the existing shopping mall or residential buildings that are located at high level and not prone to flooding. As the collection will be very frequent, the amount of plastic waste at each collection point will be very limited. In addition to that, the collected plastic waste is originated from household sources and as such is considered a non-hazardous waste. In any case, the persons in charge of the management of collection point will be trained to adapt proper emergency response to avoid the plastic waste getting dispersed in the environment in case of flood. **Risk Treatment Owner**: PMU
6	There is a risk that minors may participate in waste collection activities.	As a result of the informal nature of current plastic waste collection practices. As currently plastic waste collection and recycling are in large part carried out by the so-called IWW, the participation of minors cannot be excluded. Therefore, the project cannot directly support informal or illegal	Which will impact in the participation of minors in informally established firms.	**1. SOCIAL AND ENVIRONMENTAL (1.1. Human rights) - UNDP Risk Appetite: CAUTIOUS**	Likelihood: **3 - Moderately likely** Impact: **2 - Minor** Risk level: **LOW (equates to a risk appetite of CAUTIOUS)**	From: 01-Nov-23 To: 01-Nov-27	PMU	**Risk Treatment 6.1**: The project will provide direct support to informal collectors of plastic waste as individuals through cooperation with the Women Union, with the requirement that participation in the project is subject to the compliance with the Vietnam regulation on employment and safety at work, which strictly forbid child labor. Through establishment and enforcement of specific requirements in recruitment processes, the project will not support informal or illegal enterprises, where the risk of child labor is high. Considering however that many informal enterprises operating in the plastic recycling sector are family enterprises, the project will provide awareness raising even to such enterprises through Output 2.1.1, Activity 2.1.1.3, on the issue of child labor, the right of minors, and will explore what are the needed support families need to give up with child labor and

#	Event	Cause	Impact(s)	Risk Category and Sub-category *(including Risk Appetite)*	Impact, Likelihood & Risk Level *(see Annex 3 Risk Matrix)*	Risk Valid From/To	Risk Owner *(individual accountable for managing the risk)*	Risk Treatment and Treatment Owner
		enterprises, where the risk of child labor is high.						ensure their children the right of education and play time. **Risk Treatment Owner**: PMU
7	There is a risk that there will be limited land for waste banks and collection points.	As a result of limited availability.	Which will impact in a bottleneck in project implementation, as has happened in other similar projects. Therefore, an anticipated agreement on the use of lands is needed.	**1. SOCIAL AND ENVIRONMENTAL (1.6. Community health, safety and security) - UNDP Risk Appetite: CAUTIOUS**	Likelihood: **3 - Moderately likely** Impact: **2 - Minor** Risk level: **LOW (equates to a risk appetite of CAUTIOUS)**	From: 01-Nov-23 To: 01-Nov-27	PMU	**Risk Treatment 7.1**: Instead of using new lands for the collection and storage of waste, the project will make full use of available space for temporary collection at retailer's and shop places through the establishment of commercial agreements. This will avoid the need for land and will boost the responsibility of the generators. Waste banks/collection points will be small and temporary storage of the plastic waste during the daytime only. In this regard, no dedicate area of land is needed and this will be addressed during the planning stages of Output 2.1.1. **Risk Treatment Owner**: PMU
8	There is a risk that data generated from enterprises on SUP reduction not accurate or realistic, with indirect surveys affected by large uncertainty.	As a result of the process involved in verifying the actual reduction of SUP and the increase of collection and recycling: data will be gathered through reports generated by the enterprises involved in relevant activities, and by pre and post project	Which will impact in the availability of accurate data on reduction in SUP use.	**4. ORGANIZATIONAL (4.5. Monitoring and oversight) - UNDP Risk Appetite: EXPLORATORY TO OPEN**	Likelihood: **3 - Moderately likely** Impact: **2 - Minor** Risk level: **MODERATE (equates to a risk appetite of EXPLORATORY)**	From: 01-Nov-23 To: 01-Nov-27	PMU	**Risk Treatment 8.1**: Technical exchange, training and a conservative approach will ensure that enterprises provide accurate measures and that the survey provide reliable and realistic data. This will be supported in the course of implementation all the Activities envisaged under Output 2.1.1 **Risk Treatment Owner**: PMU

#	Event	Cause	Impact(s)	Risk Category and Sub-category *(including Risk Appetite)*	Impact, Likelihood & Risk Level *(see Annex 3 Risk Matrix)*	Risk Valid From/To	Risk Owner *(individual accountable for managing the risk)*	Risk Treatment and Treatment Owner
		surveys on consumers. These data will be unavoidably affected by a certain level of uncertainty and subjectivity.						
9	There is a risk of difficulties related to the monitoring of the Binh Dinh coast to gather meaningful results.	As a result of direct monitoring of the coast that could be misleading due to delay in the effects, previous presence of plastic waste, and plastic waste coming from the adjacent coastal areas and other ocean-based sources, even if the project will ultimately result in	Which will impact in difficulties with gathering accurate data for monitoring purposes.	**4. ORGANIZATIONAL (4.5. Monitoring and oversight) - UNDP Risk Appetite: EXPLORATORY TO OPEN**	Likelihood: **3 - Moderately likely** Impact: **3 - Intermediate** Risk level: **MODERATE (equates to a risk appetite of EXPLORATORY)**	From: 01-Nov-23 To: 01-Nov-27	PMU	**Risk Treatment 9.1**: To ensure reliability of data related to the presence of plastic waste in the environment, the monitoring of the source will be preferred over the direct monitoring of the plastic waste at the coastline, although survey of specific sections at coastline will be carried out in the course of project implementation. **Risk Treatment Owner**: PMU

#	Event	Cause	Impact(s)	Risk Category and Sub-category *(including Risk Appetite)*	Impact, Likelihood & Risk Level *(see Annex 3 Risk Matrix)*	Risk Valid From/To	Risk Owner *(individual accountable for managing the risk)*	Risk Treatment and Treatment Owner
		a significant reduction of the amount of plastic waste entering the ocean.						
10	There is a risk that committed co-financing may not be achieved at implementation.	As a result of a number of risks for the delivery of co-financing which have been identified in section VIII. Financial planning and management, as follows: • Restructuring and change in personnel • Lack of coordination between agencies • Low interest of enterprises to	Which will impact in terms of lower-than-expected co-financing resources.	**2. FINANCIAL (2.6. Budget availability and cash flow) - UNDP Risk Appetite: MINIMAL TO CAUTIOUS**	Likelihood: **2 - Low likelihood** Impact: **3 - Intermediate** Risk level: **LOW (equates to a risk appetite of CAUTIOUS)**	From: 01-Nov-23 To: 01-Nov-27	PMU/UNDP	**Risk Treatment 10.1**: Co-financing will be monitored with the same accounting approach adopted for GEF grants. As of now, all the GEF project implemented by UNDP in Viet Nam achieved or exceeded to co-financing committed. A detailed list of measures to ensure that the committed co-financing will be delivered is reported in Table 8 – Co-financing sources and activities. **Risk Treatment Owner**: PMU/UNDP

#	Event	Cause	Impact(s)	Risk Category and Sub-category *(including Risk Appetite)*	Impact, Likelihood & Risk Level *(see Annex 3 Risk Matrix)*	Risk Valid From/To	Risk Owner *(individual accountable for managing the risk)*	Risk Treatment and Treatment Owner
		apply for green funds • Change in investment and expenditure • Reduce interest and commitment at the time of project implementation • Delay in investment						
11	There is a risk that project implementation will be delayed.	As a result of common issues that may be related mostly to activities requiring procurement of complex goods or services, enactment / endorsement of regulations which timelines cannot be imposed by the project, or procedures for the permitting or environmental assessment of specific infrastructures. Delay	Which will impact in delayed implementation of planned activities.	**4. ORGANIZATIONAL (4.3. Implementation arrangements) - UNDP Risk Appetite: EXPLORATORY TO OPEN**	Likelihood: **3 - Moderately likely** Impact: **3 - Intermediate** Risk level: **MODERATE (equates to a risk appetite of EXPLORATORY)**	From: 01-Nov-23 To: 01-Nov-27	PMU/UNDP	**Risk Treatment 11.1**: The project does not require the procurement of complex or expensive equipment therefore it is expected that the procurement will be quick and straightforward. The participation of MAE / DAE in project activities will facilitate the issuance of needed environmental permitting. Only second-level regulation, requiring endorsement only at Ministry level, will be developed and endorsed under the project. UNDP will closely monitor project work planning and procurement issues. The thorough project monitoring and supervision will allow to identify in advance actions and countermeasures to timely address issues potentially leading to project delay. **Risk Treatment Owner**: PMU/UNDP

#	Event	Cause	Impact(s)	Risk Category and Sub-category *(including Risk Appetite)*	Impact, Likelihood & Risk Level *(see Annex 3 Risk Matrix)*	Risk Valid From/To	Risk Owner *(individual accountable for managing the risk)*	Risk Treatment and Treatment Owner
		sometimes is caused by COVID-19						

Annex 7: Overview of Project Staff

Consultant	Time Input	Tasks, Inputs and Outputs
For Project Management		
Local / National contracting		
Project Manager	Full-time 4 years at 1,909 USD/month	The full-time Project Manager (PM), together with the Lead Technical Advisor will be responsible for the overall management of the project, including the mobilization of all project inputs, supervision over project staff, consultants and sub-contractors. Duties and Responsibilities • Manage the overall conduct of the project. • Plan the activities of the project and monitor progress against the approved workplan. • Execute activities by managing personnel, goods and services, training and low-value grants, including drafting terms of reference and work specifications, and overseeing all contractors' work. • Monitor events as determined in the project monitoring plan, and update the plan as required. • Provide support for completion of assessments required by UNDP, spot checks and audits. • Manage requests for the provision of UNDP financial resources through funding advances, direct payments or reimbursement using the FACE form. • Monitor financial resources and accounting to ensure the accuracy and reliability of financial reports. • Monitor progress, watch for plan deviations and make course corrections when needed within project board-agreed tolerances to achieve results. • Ensure that changes are controlled and problems addressed. • Perform regular progress reporting to the project board as agreed with the board, including measures to address challenges and opportunities. • Prepare and submit financial reports to UNDP on a quarterly basis. • Manage and monitor the project risks – including social and environmental risks – initially identified and submit new risks to the Project Board for consideration and decision on possible actions if required; update the status of these risks by maintaining the project risks log; • Capture lessons learned during project implementation. • Prepare revisions to the multi-year workplan, as needed, as well as annual and quarterly plans if required. • Prepare the inception report no later than one month after the inception workshop. • Ensure that the indicators included in the project results framework are monitored annually in advance of the GEF PIR submission deadline so that progress can be reported in the GEF PIR. • Prepare the GEF PIR; • Periodic monitoring and reporting of the co-financing mobilized during the implementation as per the commitments on the co-financing letter

Consultant	Time Input	Tasks, Inputs and Outputs
		• Assess major and minor amendments to the project within the parameters set by UNDP-GEF; • Monitor implementation plans including the gender action plan, stakeholder engagement plan, and any environmental and social management plans; • Monitor and track progress against the GEF Core indicators. • Support the Terminal Evaluation process. • Add technical tasks as necessary
Project Accountant cum Project Assistant/procurement	4 years at 1,110 USD/month	Duties and Responsibilities • Assist the Project Manager in day-to-day management and oversight of project activities; • Assist the M&E officer in matters related to M&E and knowledge resources management; • Assist in the preparation of progress reports; • Ensure all project documentation (progress reports, consulting and other technical reports, minutes of meetings, etc.) are properly maintained in hard and electronic copies in an efficient and readily accessible filing system, for when required by PB, TAC, UNDP, project consultants and other PMU staff; • Provide PMU-related administrative and logistical assistance. • Keep records of project funds and expenditures, and ensure all project-related financial documentation are well maintained and readily available when required by the Project Manager; • Review project expenditures and ensure that project funds are used in compliance with the Project Document and GoV financial rules and procedures; • Validate and certify FACE forms before submission to UNDP; • Provide necessary financial information as and when required for project management decisions; • Provide necessary financial information during project audit(s); • Review annual budgets and project expenditure reports, and notify the Project Manager if there are any discrepancies or issues; • Consolidate financial progress reports submitted by the responsible parties for implementation of project activities; • Liaise and follow up with the responsible parties for implementation of project activities in matters related to project funds and financial progress reports.

Annex 8: Stakeholder Engagement Plan

here

Annex 9: Gender Analysis and Gender Action Plan

here

Annex 10: Procurement Plan for the first year

(The template of this plan is designed following the Law of Procurement of Viet Nam No. 43/2013/QH13 and Decree 63/2014/ND-CP of the Government)

No.	Name of package	Amount (USD)	Source of funds	Selection Form	Selection Method	Start date for Bidder selection	Type of Contract	Contract date	Responsible by
A	**Consulting Services**	**478,388**							
1	International consultant to support on policy on plastic and marine plastic NAP	65,000	GEF/UNDP	International Open bidding	Two Stages Single Envelope	Q2/ 2025	Lumpsum	42 months	VASI
2	International consultant to support promoting behavior change in food and beverage sector to accelerate CE in Binh Dinh province	41,600	GEF/UNDP	International Open bidding	Two Stages Single Envelope	Q2/ 2025	Lumpsum	42 months	VASI
3	National consultant to develop list of priorities on SUP consumption scenarios, develop strategy for plastic reduction	28,500	GEF/UNDP	National Open bidding	Two Stages Single Envelope	Q2/ 2025	Lumpsum	24 months	VASI
4	National consultant for the development of the Binh Dinh plan for piloting initiative in plastic avoidance, reuse and recycle	12,000	GEF/UNDP	National Open bidding	Two Stages Single Envelope	Q2/ 2025	Lumpsum	12 months	VASI
5	National consultants for development of science-based indicators and target for NAP implementation; and development of the NAP roadmap	38,250	GEF/UNDP	National Open bidding	Two Stages Single Envelope	Q2/ 2025	Lumpsum	30 months	VASI
6	National consultants for coordination, supervision and planning on innovative projects to improve plastic collection schemes and technical cooperation with informal workers on the segregation and	40,750	GEF/UNDP	National Open bidding	Two Stages Single Envelope	Q2/ 2025	Lumpsum	30 months	VASI

	collection of plastic wase								
6	National firm to conduct assessment of the current and past, direct and secondary impact of COVID-19 on plastic pollution, including estimates of the CO2 and POPs releases	20,000	GEF/UNDP	National Open bidding	Two Stages Single Envelope	Q2/ 2025	Lumpsum	18 months	VASI
7	National firm to conduct TOT training to support the circular on survey and investigation of marine plastic	12,288	GEF/UNDP	National Open bidding	Two Stages Single Envelope	Q2/ 2025	Lumpsum	18 months	VASI
8	National firm to support VEA in the day-to-day management of NPAP platform	40,000	GEF/UNDP	National Open bidding	Two Stages Single Envelope	Q2/ 2025	Lumpsum	36 months	VASI
9	Services-companies awarded to conduct demonstration activities related to alternatives to Styrofoam boxes, packaging optimization and behavioral change to avoid SUP	180,000	GEF/UNDP	National Open bidding	Two Stages Single Envelope	Q2/ 2025	Lumpsum	36 months	VASI
B	**Procurement of goods and non-consulting services**	**11,670**				Q2/ 2025			
1	Inception workshop	4,000	GEF/UNDP	Competitive quotation	One Stages Single Envelope	Q2/2025	Lumpsum	01 months	VASI
2	One small workshop on the presentation of the study on the COVID-19 on SUP consumption	2,000	GEF/UNDP	Competitive quotation	One Stages Single Envelope	Q2/2025	Lumpsum	01 months	VASI
3	Office equipment (computer, printer, scanner…) (Project management cost)	5,670	GEF/UNDP	Competitive quotation	Two Stage - Sginle Envelope	Q2/2025	Lumpsum	03 months	VASI
	Total	**490,058**							

Annex 11. Letter of financial commitments

(here))

Annex 12 GEF Core indicators

(here)

Annex 13: GEF Taxonomy
(here)

Annex 14: Partners Capacity Assessment Tool and HACT assessment

(Available upon request)

Annex 15: UNDP Project Quality Assurance Report

here

Annex 16: Private Sector Due Diligence

(File attached separately)

Annex 17: GEF Audit Checklist

(File attached separately)