PROJECT DOCUMENT

Project Title: Catalysing Lower Emissions through Advancing National Adoption of Commercially viable Technologies (CLEAN-ACT) – Shifting Investment Flows Towards Green Transformation (SHIFT)
Project Number: 01003048
Implementing Partner: United Nations Development Programme (UNDP)

Start Date: September 2024 **End Date:** December 2027 **PAC Meeting date:** 20 Sep 2024

Brief Description

Viet Nam is a middle-income country with a fast-growing economy and aims to reach a high-income country status by 2045. However, according to a World Bank study, Viet Nam is estimated to require approximately $368 billion to reach its 2050 net zero goal, the achievement of this goal requires at this early stage to strengthening the Government's capacity to coordinate and implement economic policy reforms and public investments, as well as a shift in its economic growth model. Further, estimates provided by MOIT in 2020 highlight a total investment of US$134.7 billion towards new power projects by 2030 is needed to finance projected shortages. Viet Nam has declared its pledge of achieving net-zero emissions by 2050 and signed a Just Energy Transition Partnership (JETP) with the G7 countries, Norway, and Denmark, committing to accelerate its climate mitigation efforts in exchange for substantial international financial support. This calls for comprehensive market and regulatory reform to facilitate and accelerate relevant investment to achieve a rapid and radical green transformation.

In support of these endeavours, a consortium of six partners will join forces to implement the 'Shifting Investment Flows Towards Green Transformation (SHIFT)' project in Viet Nam, enhancing know-how and capacities of relevant public and private stakeholders in the areas of green finance and energy transition. The consortium consists of Agora Energiewende/the Smart Energy for Europe Platform (SEFEP), the Banking Academy of Viet Nam (BAV), International Finance Cooperation (IFC), SNV Netherlands Development Organisation Viet Nam, the United Nations Development Programme (UNDP) and the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) as the consortium lead.

Within the framework of SHIFT, UNDP is responsible for the design and implementation of two Work Packages. The objective is to generate interest and build technical capacity in the private sector especially women-led enterprises or enterprises with a proven approach to promote gender equality concerning RE, EE and energy transition technologies. UNDP will receive 3 million Euros (of 15 million Euros for the entire project) to implement the following two work packages: (1) design and implementation of replicable investment projects in energy transition technologies to substantially reduce greenhouse gas emissions in high energy consuming sectors; and (2) catalyse and facilitate the replication and scale-up of the piloted energy transition technologies and other energy transition technologies.

Contributing Outcome (UNSDCF, CPD, RPD):
United Nations Sustainable Development Cooperation Framework (UNSDCF):
Outcome 2: Climate Change Response, Disaster Resilience & Environmental Sustainability
Outcome 3: Shared Prosperity through Economic Transformation

Total resources required:		**USD 3,160,607**
Total resources allocated:	BMWK/Germany	**USD 3,160,607**
	In-Kind:	**USD 0**

Global Output 1.1: Drive private investment in clean, affordable, and reliable energy. **Global Output 1.3:** Support national and local governments to achieve decarbonization through just transition. UNDP Country Programme Document: **Outcome 2:** Climate Change, Disaster Resilience and Environmental Sustainability. ***Output 2.2***: Policies and solutions designed and implemented for transformation to low-carbon development, circular economy, and environmental protection. Indicative Output(s) with gender marker: GEN2 Output 1: GEN2 Output 2: GEN2	

Agreed by (signature):

UNDP
Print Name: Ramla Khalidi
Date: 14/11/24

Contents

I. Development Challenge 4
II. Strategy 5
2.1 Objectives 5
2.2 Theory of Change 6
III. Results and Partnerships 7
3.1 Expected results 7
3.2. Project Log-frame 10
3.3 Resources required to achieve the expected results 16
3.4 Partnerships 17
3.5 Risks and assumptions 19
3.6 Stakeholder engagement 19
3.7 South-South and Triangular Cooperation (SSC/TrC) 19
3.8 Digital solutions 20
3.8 Knowledge and visibility 20
3.9 Sustainability and scaling up 20
3.10 Cost efficiency and effectiveness 21
IV. Project Management 21
4.1 Project management 21
4.2 UNDP standard management services 22
V. Results Framework 23
TARGETS (by frequency of data collection) 23
DATA COLLECTION METHODS & RISKS 23
VI. Monitoring And Evaluation 26
VII. Multi-Year Work Plan 28
VIII. Governance and Management Arrangements 31
IX. Legal Context 32
X. Risk Management 33
XI. ANNEXES 36

I. DEVELOPMENT CHALLENGE

The Government of Viet Nam has made very ambitious commitments to reduce its greenhouse gases (GHG) emissions. In 2022, a second update of Viet Nam's Nationally Determined Contribution (NDC) was submitted, raising the country's GHG emissions reduction targets for 2030, compared to business-as-usual (BAU), from 9.0 percent to 15.8 percent unconditionally, and from 27.0 percent to 43.5 percent conditional upon receiving adequate international financial support. This NDC is complemented by Viet Nam's National Climate Change Strategy (NCCS) to 2050 which, inter alia, aims for national emissions to peak in 2035, execution of greenhouse gas inventories among facilities emitting at least 3,000 tCO2eq annually, and promoting the implementation of EE and RE technology options to assure that RE accounts for at least 55 percent of total electricity produced by 2050.

At the 26th United Nations Climate Change Conference of the Parties (COP26) in Glasgow, United Kingdom, the Prime Minister of Viet Nam committed to achieving net-zero GHG emissions by 2050. Viet Nam also signed the Global Coal to Clean Power Transition Statement and committed to reducing methane emissions by 30 percent by 2030, relative to 2020 levels. Viet Nam is a middle-income country with a fast-growing economy and aims to reach a high-income country status by 2045. However, according to a World Bank study, Viet Nam is estimated to require approximately $368 billion to reach its 2050 net zero goal. It requires at this early stage to strengthening the Government's capacity to coordinate and implement economic policy reforms and public investments, as well as a shift in its economic growth model. Further, estimates provided by MOIT in 2020 highlight a total investment of US$134.7 billion towards new power projects by 2030 is needed to finance projected shortages.

On 14 December 2022, the Government of Viet Nam and the International Partners Group (IPG) comprising the European Union, the United Kingdom of Great Britain and Northern Ireland, the United States of America, Japan, the Federal Republic of Germany, the French Republic, the Italian Republic, Canada, the Kingdom of Denmark and the Kingdom of Norway, announced the Political Declaration on the Viet Nam Just Energy Transition Partnership (JETP). The JETP will mobilize US$ 15.5 billion in public and private finance over the next three to five years to support Viet Nam's energy transition. Launched at COP28 in November 2023, the JETP Resource Mobilisation Plan (JETP RMP) and its associated scope of actions represent the first step towards implementing the JETP. Specifically, the RMP identifies a pipeline of defined investment and technical assistance projects, as well as priority policy action, consistent with the Government of Viet Nam's position to be implemented and ensure all of society benefit from a low-carbon transition. The provision of a catalytic $15.5 billion investment over the next 3 to 5 years represents a promising start to addressing the funding shortfall.

Within this overall context, it is crucial to design, approve and implement all required policy, regulatory and financial instruments to complement the existing frameworks. Additionally, to achieve Viet Nam's ambitious targets, significant contributions must be made in terms of improvements in enhancing EE as well as increasing the share of RE share across all sectors of the economy.

During the full SHIFT project proposal preparation phase, UNDP, in coordination with the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) and with inputs from the Government of Viet Nam (particularly MPI and MOIT) and other partners of the SHIFT Consortium, has indicated sectors and sub-sectors with high potential for GHG emissions reduction and energy savings on the basis of a preliminary review. However, a thorough evaluation of sectors and sub-sectors with high energy consumption, an examination of available and viable energy transition technologies as well as their financial viability is required during the early phase of project implementation.

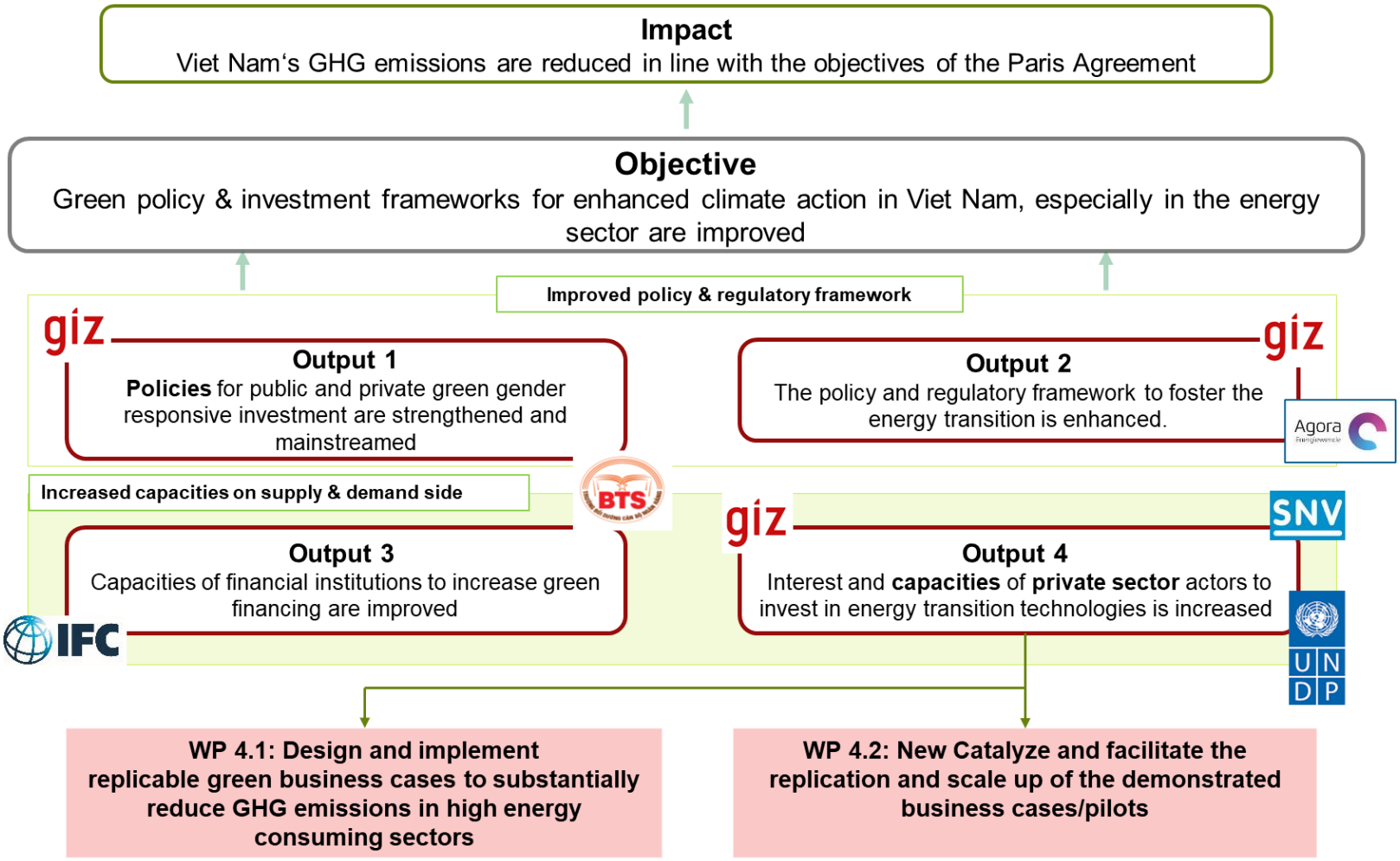
Placed in the context of Viet Nam's JETP RMP, NCCS, NGGS, and PDP8, the CLEAN-ACT project directly contributes towards Viet Nam's achievement of each of these government strategies and their affiliated targets, specifically by facilitating access green finance and enabling the scale-up of energy transition technologies. The CLEAN-ACT project is closely aligned with the ongoing efforts of the international community to support the Government of Viet Nam in attaining the aforementioned GHG emissions reduction and energy efficiency targets, particularly in the context of enabling catalytic investments in energy transition technologies and the creation of decent jobs.

II. STRATEGY

2.1 Objectives

- The main objective of the overall SHIFT project is to redirect financial flows towards energy transition and increase investments in RE and EE. The successful implementation of the SHIFT project will contribute to achieving Viet Nam's GHG emissions reduction targets set out in the NDC and other national strategies.
- UNDP is responsible for the design and implementation of two Work Packages (WPs), specifically WP IV.1 and WP IV.2, both falling under Output IV. The objective of Output IV is to generate interest and build technical capacity in the private sector especially women-led enterprises or enterprises with a proven approach to promote gender equality concerning RE, EE and energy transition technologies. Improved knowledge and interest in these technologies and their benefits will lead to increased private sector investments.
- In particular, WP IV.1 will focus on the design and implementation of viable and replicable investment projects in energy transition technologies in emissions-intensive sectors, while the emphasis of WP IV.2 will be on facilitating the replication and scale-up of the investments piloted under WP IV.1, as well as other energy transition technologies.
- The two UNDP-led WPs will pilot, replicate, improve confidence in and scale-up green investment projects in energy transition technologies. The findings of WPs IV.1 and IV.2 will be used to draw lessons learned and recommendations to inform Outputs II and III, and concomitantly financial instruments developed under Output III will be accessed to finance investment projects under WPs IV.1 and IV.2.
- For the design and implementation of the two WPs, UNDP is adopting an all-encompassing approach and fostering gender equality, spanning from piloting design and implementation of green investment projects to their monitoring and evaluation (M&E), from strengthening sustainability through capacity building programmes and lessons learned to replication and scale-up of the piloted investment projects, and from identification and mobilization of financial resources to provision of recommendations for the formulation and updating of supportive policies. The underlying methodology applied during implementation will be based on the reassessment and removal of all identified barriers, while fostering women empowerment and supporting the inclusion of gender and marginalized groups. This approach will guarantee a long-lasting impact of the results achieved.
- UNDP will ensure that the relevant Milestones outlined in the offer will be achieved:
  - Milestone IV.1: Energy transition technologies to be promoted under the four work packages of Output IV have been defined (12/2024) (responsible: GIZ, UNDP, SNV)
  - Milestone IV.2: Implementation of one investment pilot project of Work Package IV.1 (12/2026) (responsible: UNDP)
- Lastly, the focus of the two UNDP-led WPs are, respectively: 1) design and implementation of viable and replicable investment projects in energy transition technologies; and 2) facilitating the replication and scale-up of the investments piloted under WP IV.1 as well as other energy transition technologies.

2.2 Theory of Change



III. RESULTS AND PARTNERSHIPS

3.1 Expected results

Complementing the Outputs of SHIFT, Output IV will take a bottom-up approach and aim to trigger companies to invest in best available energy transition technologies and so establish their viability and replicability in the Vietnamese context. UNDP work package, CLEAN-ACT project covers the WP IV.1 and IV.2, which will focus on large enterprises in high energy consuming and least energy efficient sectors and pilot state-of-the-art solutions for energy transition. WP IV.3 (SNV) will focus exclusively on the promotion of EE in SME of the industry sector via the creation of EE networks and fostering ESCOs. WP IV.4 (GIZ) will explore opportunities for innovative energy transition technologies in SME. Supporting women-led enterprises, or enterprises with a proven approach to promote gender equality, e.g. through positive gender discrimination and active programmes to remove gender-related barriers, will be a priority in all four work packages. The WPs will identify technologies which have the potential to be replicated and upscaled in Viet Nam, and in so doing to contribute significantly to GHG emissions mitigation efforts. The Output will prioritise creating the conditions for a sustained and long-lasting impact beyond the duration of SHIFT through capacity building programs on energy transition technologies and green investments for relevant players from the private sector, as well as for government officials and national organisations.

The CLEAN-ACT project aims to achieve the improved interest and capacities of the private sector – the interest and capacities of private sector actors especially women-led enterprises or enterprises with a proven approach to promote gender equality to invest in RE, EE or other energy transition technologies are increased. Detailed objectives as follows:

Activity	Sub-activities	Results / Milestones	Sources of Verification, documentation*
Output IV: Improved interest and capacities of the private sector – the interest and capacities of private sector actors especially women-led enterprises or enterprises with a proven approach to promote gender equality to invest in RE, EE or other energy transition technologies are increased			
Work Package IV.1: Design and implementation of replicable investment projects in energy transition technologies to substantially reduce GHG emissions in high energy consuming sectors			
Activity (A IV.1.1): Conduct a thorough assessment of high energy consuming sectors and sub-sectors, and available energy transition technologies, select focus sectors and technologies to be piloted.	• Sub-Activity (S-A) IV.1.1.1: Study to select a minimum of two sectors/sub-sectors with high potential for energy savings, RE adoption, electrified equipment, and GHG emissions reductions and to identify the best energy transition technologies to be piloted. • S-A IV.1.1.2: Presentation of assessment results to SHIFT steering structure (here: MPI, MOIT, GIZ, and other relevant consortium partners) and agreement on sectors/sub-sectors and technologies to be selected and piloted. • S-A IV.1.1.3: Conduct energy audits with a detailed analysis of energy use and direct emissions inventory, if not available, in the two enterprises[1] chosen in the selected sectors.	Finalized Assessment Report to be produced at the end of 4Q-Yr1	• Sector/sub-sector Surveys and Energy Audits. • Assessment Report.

[1] To select the enterprises, clear selection criteria such as strong balance sheet and financial creditworthiness, willingness to participate

	• S-A IV.1.1.4: Presentation of energy audits and GHG emissions inventory to SHIFT steering structure (here: MPI, MOIT, GIZ, and other relevant consortium partners). • S-A IV.1.1.5: Preparation of the final assessment report.		
Activity (A IV.1.2): Design a minimum of two inclusive green investment projects to validate the technical and financial viability of the assessed energy transition technologies.	• S-A IV.1.2.1: Selection of minimum two the enterprises/companies within the identified sectors/sub-sectors that will implement the pilot projects in agreement with SHIFT's steering structure (here: MPI, MOIT, GIZ, and other relevant consortium partners), prioritizing women-led enterprises or enterprises with a proven approach to promote gender equality. • S-A IV.1.2.2: Design of a minimum of two inclusive green investment pilot projects. • S-A IV.1.2.3: Conduct Environmental and Social Impact Assessments for the two pilot projects.	Two project designs to be completed by the end of 4Q-Yr2	• Project designs, incl. the preparation of roadmaps and workplans for implementation, assessment of budget required, selection of optimal financing schemes and financing sources, etc. • Project implementation plans.
Activity (A IV.1.3): Provide technical support to selected enterprises to identify the best technology suppliers and most favourable financing instruments.	• S-A IV.1.3.1: Provide technical support to the enterprises to identify and procure the energy transition technologies. • S-A IV.1.3.2: Provide technical support to the enterprises to identify and access the most favourable financing instruments and, if needed, facilitate the dialogue between the enterprises and the financial institutions.	Selection of technology supplier(s) and financing sources will be completed: by the end of 2Q-Yr3 for the first pilot, and by the end of 2Q-Yr4 for the second pilot, which will however start at the same time as the first pilot.	• Documentation for technology procurement. • Documentation for requesting financial resources.
Activity (A IV.1.4): Oversee and provide support e.g. technical monitoring and recommendations throughout the implementation of the investment pilot projects.	• S-A IV.1.4.1: Provide technical support to the enterprises to implement the pilots, • S-A IV.1.4.2: Collect and analyse data quarterly, including on GHG emissions and energy performance. • S-A IV.1.4.3: Preparation of case studies and lessons learned for replication and scale-up.	Case studies and lessons learned by the end of 4Q-Yr4	• Implementation progress reports. • Case studies and lessons learned reports.

and implement energy transition technologies, metric(s) of gender-equality, size, and significant potential for energy savings and GHG emissions reduction can be communicated among the SHIFT steering structure (*see Strategic sector orientation, sec. 7)*.

Work Package IV.2: Catalyse and facilitate the replication and scale-up of the piloted energy transition technologies and other energy transition technologies			
Activity (A IV.2.1): Design and implement a training programme for government officials and managers from national organizations on the assessment of 'next gen' transition technologies.	• S-A IV.2.1.1: Assessment of the gaps and needs to be filled and identification of the participants to the training programme. • S-A IV.2.1.2: Development of gender inclusive training programme materials on "next gen" energy transition technologies.[2] • S-A IV.2.1.3: Administration of the developed training materials. • S-A IV.2.1.4: Evaluation of the training activities. • S-A IV.2.1.5: Development of a catalogue of next-gen energy transition technologies. • S-A IV.2.1.6: Establishment of sharing platform for the catalogue.	First next-gen energy transition technologies catalogue to be completed by the end of 2Q-Yr3	• Training materials. • Capacity building evaluation survey results. • First next-gen energy transition technologies catalogue.
Activity (A IV.2.2): Design and implement a training programme on financial, environmental and social risks assessment, and technical and financial benefits of investment in energy transition technologies.	• S-A IV.2.2.1: Assessment of the gaps and needs to be filled and identification of the participants to the training programme by conducting a survey. • S-A IV.2.2.2: Development of gender-inclusive training programme materials on financial, environmental, and social risks and benefits of investments in energy transition technologies. • S-A IV.2.2.3: Administration of the developed training materials. • S-A IV.2.2.4: Evaluation of the training activities. • S-A IV.2.2.5: Training programme to Toot on the same subjects. • S-A IV.2.2.6: Evaluation of these additional training activities.	Relevant stakeholders are capacitated to administer future capacity building programmes for enterprises by the end of 2Q-Yr3	• Training materials, including the Toot programme. • Capacity building evaluation survey results including the ToT programme.
Activity (A IV.2.3): Provide technical assistance and recommendations to enterprises[3] to integrate energy transition technology applications[4] within their business strategies and to develop	• S-A IV.2.3.1: Provide technical support to enterprises to develop investment portfolios in energy transition technologies. • S-A IV.2.3.2: Provide technical support to enterprises to develop implementation budgets, timelines and workplans.	Replication of the investment projects and energy transition technologies piloted under	• Implementation progress reports for the replication projects. • Enterprises' business

[2] The term 'next-gen' (generation) technologies refers to technologies that are the current state-of-the-art or best available technologies at a certain moment in time: over the five years of the project, this will inevitably change as new technological advances are launched on global markets.

[3] UNDP will support 30 enterprises, 9 of which are led by women or with a proven approach promoting gender equality, contributing to the achievement of Indicator IV.1.

[4] Including the development and, where appropriate, the adoption of social and environmental safeguards procedures.

respective investment portfolios.	• S-A IV.2.3.3: Provide technical support to enterprises to implement a minimum of 1 replication for each pilot.	WP IV.1 by the end of 4Q-Yr4	strategies and annual reports.
Activity (A IV.2.4): Elaboration of lessons learned to inform policy development and awareness-raising events and initiatives to enhance replicability of pilots.	• S-A IV.2.4.1: Collect and analyse GHG emissions and energy performance data from the replication and scale-up projects of piloted as well as other energy transition technologies. • S-A IV.2.4.2: Preparation of lessons learned and recommendations, based on the analysis performed in sub-activity S-A IV.2.4.1, to inform policy development. • S-A IV.2.4.3: Awareness raising events and initiatives on benefits of investment projects. • S-A IV.2.4.4: Establishment of a digital info platform to support the design and financing of investment projects.[5]	Lessons learned and a digital platform by the end of 4Q-Yr4	• Awareness raising events. • Documented lessons learned. • Digital platform for data sharing.

3.2. Project Log-frame

Work Package IV.1: Design and implementation of replicable investment projects in energy transition technologies to substantially reduce GHG emissions in high energy consuming sectors

Activity (IV.1.1): Conduct a thorough assessment of high energy consuming sectors and sub-sectors, and available energy transition technologies, select focus sectors and technologies to be piloted.

Outputs

- *One assessment report to select the high energy consuming sectors and sub-sectors, and the most suitable energy transition technologies to pilot.*
- *Two energy audits and one GHG emissions inventory in two chosen enterprises/companies, one for each selected sector/sub-sector (minimum of two).*

Activities

- UNDP will prepare the terms of reference and launch a competitive bidding process utilising UNDP procurement channels and applying UNDP evaluation and selection procedures for the recruitment of a specialized and experienced national consulting firm, to undertake the completion of a detailed assessment study.
- The procured national consulting firm will perform a thorough analysis for the selection of a minimum of two sectors/sub-sectors as well as the identification of the best and most financially sound energy transition technologies to be piloted (in that respective sector), using a combination of in-house expertise, information from public and business association databases, scientific literature, company reports, surveys and data collection procedures and other best practices. The national consulting firm will periodically report to UNDP, and if needed to the SHIFT Steering Committee (i.e., MPI, MOIT, GIZ, and other consortium partners), to assure that the assessment study is on track and report obstacles.

[5] To optimize resources and avoid duplication of efforts, it is planned to establish a single platform that will host all information under Activities IV.2.1 and IV.2.4.

- After completing the study, the national consulting firm will present its findings and the recommended criteria for selection to UNDP and the SHIFT Steering Committee to enable the selection of two sectors/sub-sectors and associated best available energy transition technologies.
- Once the sectors/sub-sectors and appropriate energy transition technologies are identified, the national firm will further support UNDP and the SHIFT Steering Committee for the selection of at least one enterprise/company for each of the selected sectors/sub-sectors and it will conduct a detailed on-site energy audit, including a GHG emissions inventory to establish a baseline scenario. The selection will be done in a gender inclusive manner, prioritizing women-led enterprises or enterprises with a proven approach to promote gender equality.
- The results of the energy audits and the GHG emissions inventory will be presented to UNDP and the SHIFT Steering Committee.
- As last step of the consultation, the national firm will prepare a detailed assessment report to be used for the design and implementation of two investment pilot projects.

Activity (IV.1.2): Design a minimum of two inclusive investment projects to validate the technical and financial viability of the assessed energy transition technologies

Outputs:

- *Two detailed designs of investment pilot projects, completed of implementation roadmaps, work plans, budgets, and selection of best financial scheme and financial sources.*
- *Two social and environmental safeguards reports for the installation of the energy transition technologies and the disposal of the replaced, obsolete technologies.*

Activities

- UNDP will prepare the terms of reference and launch a competitive bidding process utilising UNDP procurement channels and applying UNDP evaluation and selection procedures for the recruitment of a specialized national or international engineering firm, through a competitive bidding process, to undertake the design of a minimum of two investment projects based on the assessment report completed in Activity IV.1.1.
- Selection of the enterprises/companies that will implement the investment projects (preferably, the selected enterprises will be chosen among those audited under Activity IV.1.1, but it is not mandatory). Selection of enterprises will be done in close coordination with the SHIFT steering structure (MPI, MOIT, GIZ, and other consortium partners), in a gender inclusive manner, prioritizing women-led enterprises or enterprises with a proven approach to promote gender equality.
- The procured national or international engineering firm will execute a design of a minimum of two investment projects to pilot the chosen energy transition technologies. The designs will include detailed engineering designs, implementation roadmaps and work plans, an assessment of the technical and financial viability, selection of the optimal financing schemes and financing sources, etc.
- The procured national or international firm will develop an Environmental and Social Impact Assessment report, in alignment with the implementation of the energy transition technology. This may consider national and UNDP safeguard regulations and policies, monitoring & evaluation plan, mitigation and management plans, stakeholder mapping, review of potential gender-specific impacts etc.
- Completion of environmental and social safeguards procedures (i.e., mitigation and management) to guarantee the risk-free implementation of the new energy transition equipment as well as recycling and safe disposal of replaced obsolete equipment, and preparation of final reports with submission to UNDP and the Steering Committee for review and approvals before project implementation.

Activity (IV.1.3): Provide technical support to selected enterprises to identify technology suppliers and financing instruments

Outputs

- *One shortlist of domestic/international suppliers of the energy transition technologies to be implemented in the two investment projects to be piloted.*
- *One shortlist of market available financial instruments (including those designed and developed under Output III).*

Activities

- Recruitment of both national and/or international specialists, following UNDP recruitment and procedures and using UNDP recruitment channels, to integrate UNDP officials to form a Project Management Unit (PMU) for the implementation of all project activities and sub-activities under both WPs IV.1 and IV.2.
- The newly established PMU, in coordination with the engineering firm engaged under Activity IV.1.2, will provide technical support to the selected enterprises/companies to create a shortlist of domestic/international suppliers for the chosen energy transition technologies to be implemented in the investment projects to be piloted, based on considerations such as vendor surveys, market research, referrals, review of technical capabilities, financial evaluation (i.e., pricing proposal, O&M costs), delivery time, and due diligence (e.g., financial stability of supplier) etc, ranking each against the initial screening. The PMU will provide additional support for the selection of an optimal supplier.
- The PMU, in coordination with the engineering firm engaged under Activity IV.1.2, will provide technical support to the selected enterprises/companies to help them identify and access the most favourable financing instruments (either readily available on the market or designed and developed under Output III), by creating a shortlist which takes into consideration criteria such as available instruments (e.g., debt financing, equity, grants, bank loans etc.), project cost estimation and financing gap, priorities of the enterprise/company (e.g., minimising up-front costs, securing long-term funding etc.), preferences of the enterprise/company preference, matching requirements, interest rates, and repayment schedule etc. The PMU will provide additional support for the selection of an optimal financing instrument.

Activity (IV.1.4): Oversee and provide support e.g. technical monitoring and recommendations throughout the implementation of the investment pilot projects

Outputs

- *Two case studies/lessons learned reports, one for each investment project to be piloted, to be used for replication and scale-up. The reports will include also the GHG emissions and energy performance data collected and a subsequent analysis of the data collected*

Activities

- The engineering firm contracted in Activity IV.1.2, with support from UNDP and the PMU, will establish a communication channel with the selected enterprises to support the implementation stage. This will involve a combination of meetings upon pre-established intervals as well as organised on an ad hoc (as needed) basis.
- The engineering firm will perform annual on-site monitoring and evaluation of technical and energy performance, including GHG emissions to be compared to the baseline established under Activity IV.1.1 to determine energy savings and GHG emissions reduction as well as review of adherence to the S/EIA safeguards and gender equality initiatives.

- The engineering firm will prepare case studies and lessons learned which will be submitted to UNDP and the SHIFT Steering Committee for approval and later used for replication and scale-up under WP IV.2

Work Package IV.2: Catalyse and facilitate the replication and scale-up of the piloted energy transition technologies and other energy transition technologies

Activity (IV.2.1): Design and implement a training programme for government officials and managers from national organizations on the assessment of 'next gen' transition technologies

Outputs

- *One training programme for government officials, and managers from national organization and sectoral business associations on the assessment of next-gen energy transition technologies.*
- *One completed next-gen energy transition technologies catalogue.*
- *One sharing platform for sharing the next-gen energy transition technologies catalogue.*

Activities

- Recruitment of a specialized national consulting firm, through a competitive bidding process following UNDP procurement procedures and utilizing UNDP procurement channels, to undertake a capacity needs assessment and subsequently identify the participants to the training program among government officials, and managers from national organisations, e.g. the Viet Nam Chamber of Commerce and Industry (VCCI), or sectoral business associations. Participation of women will be actively pursued and encouraged.
- The contracted national consulting firm, based on the findings of the capacity needs assessment, will design the content of the gender-inclusive capacity building programme on the evaluation of “next gen” energy transition technologies, to capacitate these institutions to develop and periodically update catalogues of viable technologies in the Vietnamese context.
- The administration of the training activities will be done in person, unless unforeseeable condition will require virtual meetings, in a suitable location to be determined. The contracted national firm will deliver the training program in coordination with UNDP and the PMU.
- The consulting firm will be also responsible of performing an evaluation of the success of the training activities by preparing and administering a survey to the trainees after the capacity building programme is completed. Based on feedback of participants at the capacity building, the national consulting firm shall improve and modify the capacity building programme content.
- The trained stakeholders, under the supervision of UNDP and the national consulting firm, will develop the first catalogue of next-gen energy transition technologies. Communication channels and periodic meetings, both virtual and in person, will be set up to facilitate the completion of this task. The update of the catalogue will be an ongoing effort to be performed periodically also after the end of the SHIFT implementation period.
- UNDP will issue a technical terms of reference for the recruitment of a specialized national consulting firm, through a competitive bidding process and utilizing UDNP procurement channels, to design and establish a sharing platform for the catalogue and siting it at the offices of one of the participating institutions who will be responsible for operating and managing the platform (to be identified during the implementation of the activity). This process will require UNDP and the consulting firm to engage potential users and stakeholders by surveying and interviewing in order to understand their needs; determine their level of interest in the use of the platform on a sustained basis; and develop the platform for the participating institution based on the needs assessment and contacting potential users in order to tailor to their specific needs and catalogue formats

Activity (IV.2.2): Design and implement a training programme on financial, environmental and social risks assessment, and technical and financial benefits of investment in energy transition

Outputs

- *One training programme for relevant enterprises, Energy Service Companies (ESCOs), engineering and consulting firms, private investors, energy service support providers, and local partners on the assessment of financial, environmental and social risks, and on technical, financial, and environmental benefits of investments in energy transition technologies.*
- *One Training of Trainers (ToT) programme for ESCOs, engineering and consulting firms on the same topics as the previous training programme.*

Activities

- Recruitment of a specialized national consulting firm, through a competitive bidding process following UNDP procurement procedures and utilizing UNDP procurement channels, to undertake a capacity needs assessment and subsequently identify the participants to the training program among relevant enterprises, ESCOs, engineering and consulting firms, private investors, energy service support providers, and local partners. Participation of women will actively be pursued and encouraged and the participation of women-led enterprises and enterprises with proven approach to promote gender equality will be prioritised.
- The contracted national consulting firm, based on the findings of the capacity needs assessment, will design the content of a gender-inclusive capacity building programme on the assessment of financial, environmental and social risks, as well as on the technical, financial, and environmental benefits of investments in energy transition technologies.
- The administration of the training activities will be done in person, unless unforeseeable condition will require virtual meetings, in a suitable location to be determined. The contracted national firm will deliver the training program in coordination with UNDP.
- The consulting firm will be also responsible of performing an evaluation of the success of the training activities by preparing and administering a survey to the trainees after the capacity building programme is completed. Subsequently, based on feedback of participants at the capacity building, the national consulting firm shall improve and modify the capacity building programme content.
- The selected consulting firm will also design a ToT programme, on the same topics as the training programme under this same Activity IV.2.2, to be able to continue to build capacity in enterprises past the completion of the SHIFT project. Participation of women will actively be pursued and encouraged and the participation of women-led enterprises and enterprises with proven approach to promote gender equality will be prioritised.
- The administration of these additional training activities for ESCOs and engineering and consulting firms will done in person, unless unforeseeable condition will require virtual meetings, in a suitable location to be determined (participants to these training programme will be chosen among the participants of the previous training programme under this same Activity IV.2.2).
- The consulting firm will be also responsible of performing an evaluation of the success of these additional training activities by preparing and administering a survey to the trainees after the capacity building programme is completed. Subsequently, based on feedback of participants at the capacity building, the national consulting firm shall improve and modify the capacity building programme content.

Activity (IV.2.3): Provide technical assistance and recommendations to enterprises to integrate energy transition technologies within their business strategies and to develop respective investment portfolios

Outputs

- *A minimum of two, and up to four, complete designs of investment replication projects based on the energy transition technologies piloted under WP IV.1, complete with implementation roadmaps, work plans, budgets and selection of best financial schemes and financial sources.*
- *A minimum of two, and up to four, social and environmental safeguards report for the investment replication projects for the installation of the energy transition technologies and the recycling and safe disposal of the replaced, obsolete technologies.*
- *Up to 28 enterprises' business strategies and investment portfolios integrating viable energy transition technologies, both piloted or not under WP IV.1, and not limited to the sectors/sub-sectors selected for the investment pilot projects. Women-led enterprises and enterprises with proven approach to promote gender equality will be prioritised.*

Activities

- As outreach, UNDP, in coordination with the same national/international engineering firm contracted in Activity IV.1.2, shall conduct periodic surveys (once annually), disseminate case studies and lessons learned developed under Activity IV.1.4, and use the sharing platform for an intake window, to seek interest from enterprises/companies in energy transition technology projects. To do so, UNDP and the engineering firm shall define selection criteria such as presence of social/environmental procedures in place (e.g., annual sustainability report), size of the company etc. Gender mainstreaming, including proven approach to promote gender equality and social and environmental safeguards will be considered and prioritized for all supported enterprises. To widen the pool, efforts will be based on activities under WP IV.1, but not limited to the selected sectors/sub-sectors nor to the piloted energy transition technologies.
- Based on the declared commitment from an enterprise/company to install an energy transition technology, the provision of technical support from UNDP and the engineering firm will differ according to their discretion and needs. Each shortlisted enterprise will be required to undertake a self-financed technology needs assessment to declare their specific challenges and needs.
- UNDP will utilize the sharing platform to facilitate the establishment of communication channels among relevant stakeholders to allow interactions not only among themselves, but also with technology experts/vendors to explore viable options based on their needs.
- To further catalyse the adoption of energy transition technologies, UNDP and the engineering firm will provide support to each selected enterprise to develop a high-level customized road map for integrating viable technologies into their respective long-term business strategies, market opportunities, and existing operations.
- Out of all developed business strategies and investment plans, UNDP will select, in coordination with the SHIFT steering committee, a minimum of one replication, and up to two, for each of the two investment pilot projects implemented under WPs IV.1 and facilitate, in coordination with the engineering firm, the actual implementation of the developed investment plans. The selected enterprises will have to satisfy a series of criteria to demonstrate their technical and financial viability

Activity (IV.2.4): Elaboration of lessons learned to inform policy development and awareness-raising events and initiatives to enhance replicability of pilots

Outputs

- *A minimum of two, and up to four, case studies/lessons learned, one for each investment project to be replicated, to be used for policy development, particularly linking to Output II. The reports will include also the GHG emissions and energy performance data collected and a subsequent analysis of the data collected.*

- *One case study/lessons learned to summarize the up to 28 enterprises' business strategies and investment portfolios integrating viable energy transition technologies developed under Activity IV.2.3, also to be used for policy development, particularly linking to Output II.*
- *One awareness raising programme on the benefits of energy transition technologies, both piloted and not.*
- *One digital platform for sharing with enterprises information concerning the design of energy transition.*

Activities

- UNDP will issue a technical terms of reference for the recruitment of a national consulting firm (with preference to the firm contracted in Activity IV.1.1), through a competitive bidding process following UNDP procurement procedures and utilizing UNDP procurement channels to conduct collection and analysis of data and information referring to the project replication efforts as well as the enterprises' business and investment strategic plans.
- The contracted firm will prepare broader case studies and lessons learned, based on investment replication projects as well as on enterprises' business and investment strategic plans, to be used for policy development, particularly linking to Output II. The case studies and lessons learned will be submitted to UNDP and the SHIFT Steering Committee for approval.
- UNDP will issue a technical terms of reference for the recruitment of a marketing and communications agency through a competitive bidding process following UNDP procurement procedures and utilizing UNDP procurement channels to use the lessons learned to design awareness raising events and initiatives concerning the financial, technical and environmental benefits of energy transition technologies, in order to enhance the replicability of pilot investment projects.
- Implementation of the awareness raising events involving relevant industry bodies and associations, as well as key private sector players. This may involve organising webinars, media communications (e.g., newspapers, broadcast, pamphlet), a workshop, dissemination involving women and youth groups, and/or site visit to discuss the potential for scalability of the energy transition technologies.
- UNDP in coordination with the same national consulting firm contracted under Activity IV.2.1 for the sharing platform will design a digital platform to host information to be shared with enterprises that intend to design investment projects in energy transition technologies, and to access appropriate market-based financing mechanisms. The platform will include information targeting women-led businesses and women personnel. Preferably, to minimize efforts and maximize efficiency and resources utilization, the two digital instruments (under Activity IV.2.1 and this activity) should be integrated in one online platform
- UNDP in cooperation with the national consulting firm will establish the digital platform and site it at the offices of a national organisation (i.e., VCCI) or by a government department (i.e., under MPI or MOIT) - selection to be finalized during the implementation of the activity. This may involve early engagement of a national organisation or government department by seeking high-level buy in in the form of written support or formal approvals after presenting the initiative to relevant officials. The national consulting firm will provide a clear communication plan on progress and challenges to the Steering Committee, to encourage continuous feedback and project alignment

3.3 Resources required to achieve the expected results

The resources required to implement the project activities and realize the expected project outcomes are detailed in the Multi-Year Work Plan. The activities described above will be implemented over 40 months, from September 2024 to December 2027.

The project Multi-Year Work Plan also includes a General Management Support (GMS) charge that covers the costs for UNDP that are not directly attributable to specific projects or services, but are necessary to fund the corporate

structures, management and oversight costs of UNDP. The GMS is applied to all projects funded by Development Partners that are implemented by UNDP around the world.

In terms of Project Organization structure, a Project Board/Steering Committee will be established. The project assurance and project execution team at UNDP involved in the direct management from head of CCEU, Programme Specialist, Programme Associate, Social and Environmental Standards (SES) focal point, Communications Analyst and Gender focal point. Project execution team will be supported by the Country Office Support (COS) Services, including Procurement and Finance Teams.

The project positions will have costs shared with other projects being implemented by UNDP Viet Nam Country Office (CO). The project will mobilise the resources within the CCE Unit for the required specific expertise such as energy, carbon market, gender and safeguards.

The project will leverage experience and expertise across the UNDP Viet Nam Country Office, both within the CCE Unit, as well as from the Inclusive Growth Unit and the Governance and Partnerships Unit. Furthermore, the project will tap into the experiences of the donors, wherever possible, and will continuously seek out opportunities for strengthened partnerships throughout the implementation of the project.

3.4 Partnerships

Strategic partnerships will be integral to the successful implementation of this project.

Stakeholder	Individual role and functions	Partner's role in the project and work relation with UNDPS
The Department for Science, Education and Natural Resources (DSENRE) at the Ministry of Planning and Investment (MPI	DSENRE is an affiliated unit under the Ministry of Planning and Investment which helps the Minister perform the state management functions on planning and investment in developing sectors and fields of science, technology and innovation; academic education and vocational education; basic investigation; resources and environment; climate change; green growth; sustainable development, resource mobilisation for implementing the nationally determined contributions: and climate response. Furthermore, DSENRE is the national focal point and lead agency responsible for the development and implementation of the Viet Nam Green Growth Strategy 2021-2030 (VGGS-2).	DSENRE will be the lead political partner for the overall SHIFT project.DSENRE will ensure that activities are aligned with government priorities. It will facilitate coordination with and access to government institutions and organisations. In that way, national ownership of the project can be fostered, enhancing at the same time sustainable anchoring of its results. The political partner will also ensure synergies with other development projects and national initiatives in the field of GHG emission mitigation. As required by SHIFT Governance structure, annual workplan for CLEAN-ACT will need to be consulted with DSENRE and get consent for the implementation of activities.
Electricity and Renewable Energy Authority EREA/MOIT	ERAE has the function of advising and assisting the Minister of Industry and Trade in state management and organizing law enforcement in the field of electricity (including: thermal power, nuclear power, hydropower, power transmission, power distribution, rural electricity, new energy electricity, renewable energy); organize and manage public service non-business activities in the fields and scope under the Department's management in accordance with the provisions of law and	In SHIFT, ERAE will be the focal point partner for the overall SHIFT project at MOIT. EREA will be mainly in charge and leading the implementation of Output II on enhancing the energy transition policy framework within SHIFT, at the meantime, EREA plays the role of implementing partners for Output 4 will ensure that activities are aligned with government priorities in energy transition. Within CLEAN-ACT, UNDP will work closely with EREA on identifying the most potential private partners for implementing the pilots, in that way,

	decentralization and authorization of the Minister of Industry and Trade.	national ownership of the project can be fostered, enhancing at the same time sustainable anchoring of its results. UNDP will collaborate closely with EREA under WP1 and WP2 to implementation during the agreed upon timeframe.
GIZ	GIZ is the project implementing organisation on behalf of BMWK. GIZ will coordinate the overall project. As main applicant, GIZ will provide grants to the other partners, oversee financial management as well as liaise with and report to BMWK. GIZ is also responsible for coordinating implementation on country level, with very close involvement of the respective country partners. GIZ will lead the steering group within the consortium and ensure that synergies and complementarities between activities and work packages in the four Outputs are maximized. GIZ will be responsible for Output I which will enhance policies to facilitate green investment, jointly responsible for Output II, which will enhance policies and support other measures to mainstream energy transition (with Agora), and for Work Package (WP) IV.3, which will stimulate private sector energy efficiency investments.	UNDP will coordinate proactively with GIZ during the implementation of CLEAN-ACT to ensure and maximize SHIFT's economic efficiency, impact and sustainability and to avoid duplication of efforts. For this, UNDP will pool resources and expertise, share knowledge, and merge the working results of individually developed solutions where appropriate with GIZ. UNDP will work closely with GIZ and relevant partner ministries and the consortium partners takes place in particular issues, such as: - decisions on the selection of sectors or sub-sectors in which UNDP will undertake further funding activities, - decisions on which technologies or technology applications are to be promoted by UNDP (GIZ is allowed to make the final decision on this), - the preparation of studies and analyses. Studies and analyses commissioned by UNDP will be generally made available to GIZ and the consortium partners for comments before they are completed.
SHIFT Consortium members (SNV, IFC, Agora, SBV)	Project implementation is built upon a Consortium including four international (GIZ, UNDP, IFC, and Agora Energiewende) and at least two national (SNV, Banking Academy of Viet Nam) Consortium partners. Consortium partners have much international influence and visibility – most notably UNDP and IFC, but also GIZ, Agora Energiewende, and SNV.	UNDP will coordinate proactively with all related consortium partners to ensure and maximize SHIFT's economic efficiency, impact and sustainability and to avoid duplication of efforts. For this, UNDP will pool resources and expertise, share knowledge, and merge the working results of individually developed solutions where appropriate with GIZ and other consortium partners. UNDP will seek co-operation with other consortium partners for maximising the transfer of lessons learned, knowledge and technology transfer, and to create synergies and avoid duplication of efforts. UNDP's contributions, such as case studies, lessons learned, and policy recommendations, align with the Steering Structure's responsibility for shaping appropriate energy transition technologies as well as financial instruments. Additionally, the procurement of specialised consulting firms, utilising UNDP's procurement processes, provides an avenue for quality assurance and monitoring, based on payment contingent upon satisfactory completion of agreed upon services, where applicable in Activity IV.1 and Activity IV.2.
Mass medica organizations, including television and radio networks,	Mass media disseminates information and awareness on state policies, strategies, and plans to the general public at the national and	Partnerships with key media organizations will support dissemination of information at the national levels, including on project workshops and seminars, training, and capacity building events as

private communication agencies, printed media and online media	regional levels through mainstream channels of television, radio and print, and social media.	well as results and best practices from targeted activities at the national level and in the project site. Approaches will include direct communication, press releases, field visits, etc.

3.5 Risks and assumptions

The key risks to the implementation of this project are summarised in the Risk Log (Annex 2).

3.6 Stakeholder engagement

Given that SHIFT is cross cutting by nature, the project promotes an integrated, multi-stakeholder knowledge management for a wide range of stakeholders.

Consortium partners have much international influence and visibility – most notably UNDP and IFC, but also GIZ, Agora Energiewende, and SNV. A joint communication strategy following IKI-orientation will be developed at the project start. Activities will thus be visible to a wide audience on the international stage. Partners will publicise project outcomes and experiences. GIZ will showcase results and experiences of this project through its energy and financial sector projects, to promote innovation approaches around the world. Furthermore, the IKI interphase project SIPA will serve as knowledge hub to disseminate the activities and results of SHIFT in Viet Nam and the region.

At national level, MPI, MOIT, MOF, SBV and BTS will be closely involved in awareness-raising activities, which are an integral part of all Outputs, enabling SHIFT to draw on national media and established communication networks. Media reports and events to spotlight pilot projects and innovative private investments will broadcast the opportunities provided by green investment and energy transition to a wide audience of public and private sector actors.

All consortium partners will be involved in regular exchange, which will ensure harmonization of activities, facilitate learning, and cooperation between Outputs. Under the supervision of the Management Unit, each WG will document more and less effective strategies to ensure mutual learning and replication of successful approaches.

All relevant stakeholders including the line ministries, international development partner, large GHG emission enterprises, civil society, women's union, and indigenous peoples will be engaged throughout the project.

3.7 South-South and Triangular Cooperation (SSC/TrC)

The project will disseminate lessons learned and good practices from Viet Nam with the other IKI countries project with a strong interest in the energy transition, not only within the Association of Southeast Asian Nations (ASEAN), but at the global level as well. To bring the voice of Viet Nam to global and regional fora, the project will explore opportunities for meaningful participation in specific events where UNDP could support engagement with the global development discourse on related issues.

SHIFT builds on GIZ's experience in Viet Nam working on green finance and investment, EE and RE and will draw these strands together. However, many projects focus on just one of these topics. SHIFT can make an important contribution to maximize synergies by using established channels to highlight interactions and interdependencies between these topics. Green investment activities will be coordinated between GIZ sustainable economy cluster and i.a. KfW, SECO, USAID, UNDP, JICA, ADB, AFD, IMF and World Bank in regular meetings. Coordination with energy transition projects, e.g. the multi-donor Southeast Asia Energy Transition Partnership (ETP) and Support to Viet Nam for the Implementation of the Paris Agreement will take place within the Viet Nam Energy Partnership Group, an effective platform for donor coordination in the energy sector. The project will also create synergies with GIZ's Macroeconomic Reform Programme (BMZ) on green public finance. SHIFT will showcase lessons learned on green finance from Viet Nam to other banking regulators through the IFC managed Sustainable Banking and Finance Network, and it will promote alignment of Viet Nam's financial sector industry standards with those set by initiatives such as the Green Bond Initiative and the Task Force on Climate Related Financial Disclosures.

Learning opportunities and technology transfer from peer countries will be further explored during project implementation. To present opportunities for replication in other countries, the project will codify good practices and facilitate dissemination through global ongoing South-South and global platforms, such as UNDP's Sustainable Energy Hub and UN South-South Galaxy knowledge sharing platform.

In the context of the Energy Transition, south-south cooperation is viewed as one of multiple core activities to accelerate its implementation in alignment with net-zero objectives. In addition, to bring the voice of Viet Nam to global and regional fora, the project will explore opportunities for meaningful participation in specific events where UNDP could support engagement with the global development discourse on accelerating the investment in the implementation of energy transition technologies.

3.8 Digital solutions

The project will result in the development of a number of knowledge products across two WPs. Where possible, these knowledge products will be made available digitally as digital public goods so that they can be adopted and built upon by other partners.

Project will design a digital platform to host information to be shared with enterprises that intend to design investment projects in energy transition technologies, and to access appropriate market-based financing mechanisms. The platform will include information targeting women-led businesses and women personnel. Preferably, to minimize efforts and maximize efficiency and resources utilization, the two digital instruments should be integrated in one online platform. Project will also establish the digital platform and site it at the offices of a national organisation (i.e., VCCI) or by a government department (i.e., under MPI or MOIT) - selection to be finalized during the implementation of the activity.

All digital solutions implemented by the project will take into consideration the digital gender divide and be designed in an inclusive and accessible manner.

3.8 Knowledge and visibility

Vietnamese partners will gain knowledge through capacity development and awareness-raising. All consortium partners will work continuously with national partners to implement activities, and so, knowledge will be constantly disseminated to relevant ministries and agencies, Finance Institutes, and the private sector. All products will be made available for further dissemination.

In terms of visibility, the project will codify good practices and facilitate dissemination through global ongoing South-South and global platforms, such as UNDP's Sustainable Energy Hub and UN South-South Galaxy knowledge sharing platform, as detailed above. Further, the project involves a number of high-level dialogues, workshops and training programmes which will facilitate the distribution of knowledge and enhance the visibility of lessons learned and good practices from the project, in order to make the project results and products accessible to others.

The project will ensure the visibility of the donors throughout the project. This will be achieved through several mechanisms, including:

- Publicity to be provided on strategically placed sign boards, particularly in pilot project sites;
- Donor branding at the workshops/training/fairs organized at the national and provincial levels;
- Sharing of success stories on social media and blog stories will include mention of the donor; and
- Logos and acknowledgement of the donor on the knowledge products.

3.9 Sustainability and scaling up

The project plans to secure sustainability and multiplier effects by supporting Viet Nam's development pathway consistent with a just net-zero transition, a long-term goal well past the project duration. Therefore, the project measures will have an effect beyond the project period. Particularly, the improvement of existing monitoring systems will contribute to a sustained impact as they enable long-term evaluation of green investment flows. An important

element of the project will be to build technical capacity within government partners (MOF, MPI, SBV and MOIT), financial institutions, industry associations, and the private sector, to facilitate engagement between these actors, and lay the foundations for their continued cooperation beyond the timeframe of the project. Cooperation between national government stakeholders will foster the institutionalisation of collaborative policy design and shape policy development beyond the project period. Project will explore the possibility to attract additional funding for the extension of the GICF from philanthropists, foundations or other donors to increase its outreach and avail the fund after the end of the project.

The project specifically embeds opportunities to scale up sharing the knowledge, expertise, methods and tools that will be generated during the project. The project will also build on existing policies and institutions and will assure the shift from a project-based approach to a sustainable and ongoing process. For instance, trainings to be provided under the project will build institutional and community capacity, contributing to the successful operation and long-term sustainability of this project.

3.10 Cost efficiency and effectiveness

The cost efficiency and effectiveness of the project design will be ensured through a number of considerations.

The project strategy builds upon previous and ongoing projects and sustainable development initiatives, and the project is designed in such a way that ensures that activities and investments are the most cost-effective so that project approaches can be easily replicated and scaled up using existing institutional arrangements and budgetary constraints that operate within the provinces and the country at large.

For one, the project will maximize the use of existing infrastructure, and wherever possible, the project is designed to utilize the existing office buildings of UNDP, ministries, institutions, and other relevant stakeholders to the maximum.

In addition, the project uses a portfolio approach whereby multiple activities are taking place simultaneously from the national to provincial levels to support an improved enabling environment and ensure synergies with national and international development partners. Further, the programme outputs are well-aligned with national priorities, policies and action plans. Indeed, the project strategy is designed to create synergies between existing efforts and priorities in the energy sector and other relevant sectors. This will ensure that maximum impacts are created from the funds and resources allocated.

Efforts such as awareness campaigns, trainings, and capacity-building activities will complement and leverage the successful implementation of similar activities.

The project will seek co-operation with regional and international programmes for maximising the transfer of lessons learned, knowledge and technology transfer, etc. Hence, significant resource and budget allocation for separate research and development of technologies/skills will be avoided, where possible.

The project will continue to embrace and promote innovation and more diverse partnerships that help identify new ways, new technologies and innovative solutions to programme implementation and programme arrangement, financial management and monitoring, with the ultimate goal to reduce costs, improve the effectiveness of development assistance and remain adaptable, agile and responsive in a rapidly changing world. Therefore, it is ensured that the programme has effectively considered cost efficiency and effectiveness in its strategy design.

IV. PROJECT MANAGEMENT

4.1 Project management

Direct day-to-day project management will be carried out in Ha Noi, at UNDP.

The project will be delivered under UNDP's direct implementation modality (DIM), with UNDP as the Implementing Partner. Activities will be implemented by the Climate Change and Environment (CCE) Unit, under the direct supervision of the Assistant Resident Representative (ARR), Head of the CCE Unit.

UNDP Viet Nam is responsible for successful execution of the project; the mobilization of all resources for project implementation; and coordination among all stakeholders involved in project execution.

UNDP will ensure that the generosity of the donors is fully and visibly acknowledged. This will include press releases, human interest stories, and photo reportages. Relevant logos will be placed on supplies and other visible materials, such as banners, to ensure that end beneficiaries are aware of the generous contribution of the donors. UNDP will use its social media platforms (Facebook and Twitter) to disseminate information on the impact of these partnership(s). The close engagement with the donors will be realized through regular communications as well as joint conferences and communication events, and field visits, whenever possible.

For further details on project management, please refer to *Section 8: Governance and Management Arrangements*.

4.2 UNDP standard management services

The project Multi-Year Work Plan also includes a general management system (GMS) charge that covers the costs for UNDP that are not directly attributable to specific projects or services, but are necessary to fund the corporate structures, management and oversight costs of UNDP. The GMS is applied to all projects financed by development partners that are implemented by UNDP around the world. It is globally set at nine percent of the total project costs.

Human resources required for project management support and UNDP direct technical guidance and oversight are provided in the table below, in line with UNDP principles of full transparency.

All anticipated programmatic and operational costs to support this project have been identified and estimated. This includes both costs for activities that require technical support as well as support costs.

V. RESULTS FRAMEWORK

Intended Outcome as stated in the UNSDCF/Country [or Regional] Programme Results and Resource Framework:
United Nations Sustainable Development Cooperation Framework (UNSDCF):
Outcome 2: Climate Change Response, Disaster Resilience & Environmental Sustainability
Outcome 3: Shared Prosperity through Economic Transformation

Global Output 1.1: Drive private investment in clean, affordable, and reliable energy.
Global Output 1.3: Support national and local governments to achieve decarbonization through just transition.

UNDP Country Programme Document:
Outcome 2: Climate Change, Disaster Resilience and Environmental Sustainability.
Output 2.2: Policies and solutions designed and implemented for transformation to low-carbon development, circular economy, and environmental protection.

Outcome indicators as stated in the Country Programme [or Regional] Results and Resources Framework, including baseline and targets:

Applicable Output(s) from the UNDP Strategic Plan:

Project title and Quantum Project Number: Catalysing Lower Emissions through Advancing National Adoption of Commercially-viable Technology (CLEAN-ACT)

EXPECTED Project OUTPUT	OUTPUT INDICATORS	DATA SOURCE	BASELINE		TARGETS (by frequency of data collection)					DATA COLLECTION METHODS & RISKS
			Value	Year	Year 1	Year 2	Year 3	Year 4	FINAL	
Improved interest and capacities of the private sector – the interest and capacities of private sector actors especially women-led enterprises or enterprises with a proven approach	*1. # of women led enterprises (or with a proven approach to promote gender equity) are reached by SHIFT's information, dissemination, capacity building, and/or technical support confirm that they plan to invest in RE, EE, or other energy transition technologies.*	*Project progress report*	0	*2024*	*0*	*3*	*3*	*3*	*9*	*Data collection: Activities report* *Risk: Delay in the Government of Viet Nam's approval*
	2. # of enterprises implement investment projects in RE, EE or other energy transition technologies following interactions with SHIFT activities	*Project progress report*	*0*	*2024*	*0*	0	*4*	*4*	*8*	
	3. # of women led enterprises (or enterprises with a proven approach to promote gender equity) implement investment projects in RE, EE	*Project progress report*	*0*	*2024*	*0*	0	*1*	*1*	*2*	

EXPECTED Project OUTPUT	OUTPUT INDICATORS	DATA SOURCE	BASELINE		TARGETS (by frequency of data collection)					DATA COLLECTION METHODS & RISKS
			Value	Year	Year 1	Year 2	Year 3	Year 4	FINAL	
to promote gender equality to invest in RE, EE or other energy transition technologies are increased.	*or other energy transition technologies following interactions with SHIFT activities*									
	Work package IV.1. Design and implementaion of replicable investment projects in energy transition technology to subtantially reduce GHG emission in high energy consuming sectors									
	1.2 # *of pilots on energy transition technologies are implemented for private sector*	*Project progress report*	*0*	*2024*	*1*	*1*			*2*	*Data collection: Activities report* *Risk: Lack of interest and financial investment for energy transition technologies from private sectors*
	1.3 # *of enterprises are reached by SHIFT's information, dissemination, capacity building, and/or technical support confirm that they plan to invest in RE, EE, or other energy transition technologies.*		*0*	*2024*		*10*	*10*	*10*	*30*	
	Work package IV.2. Catalyze and facilitate the replication and scale-up of the piloted energy transition technologies and other energy transition technologies.									
	2.1 # of Government official, managers from national organization and sectoral business associations are trained on the assessment of next-gen energy transition technologies.	*Project progress report*	0	2024	*60*				*60*	*Data collection: Activities report* *Risk: Delay in the Government of Viet Nam's approval*
	2.2 # of enterprises, Energy Service Companies (ESCOs), engineering and consulting firms, private investors, energy service support providers, and local partners are trained on financial, environmental and social risks, assessment of energy transition technologies		*0*	*2024*		*60*			*60*	*Data collection: Activities report* *Risk: Lack of interest from line ministries leading the Working Groups*

EXPECTED Project OUTPUT	OUTPUT INDICATORS	DATA SOURCE	BASELINE		TARGETS (by frequency of data collection)					DATA COLLECTION METHODS & RISKS
			Value	Year	Year 1	Year 2	Year 3	Year 4	FINAL	
	2.3 # of project in the investment portfolios are supported in developing Pre-FS/FS on integrating viable energy transition technologies.		*0*	*2024*			*14*	*14*	*28*	

VI. MONITORING AND EVALUATION

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

Monitoring Activity	Purpose	Frequency	Expected Action	Person in charge of monitoring activities
Track results progress	Progress data against the results indicators in the RRF will be collected and analysed to assess the progress of the project in achieving the agreed outputs.	Quarterly, or in the frequency required for each indicator.	Slower than expected progress will be addressed by project management.	Project team and M&E officer in charge
Midterm evaluation	UNDP Evaluation Guidelines, projects with planned budget more than 3million USD must carry out mid-term or end evaluation.	An independent evaluation will be conducted after 2 years after the implementation	Midterm evaluation report aim at assessing the outcome against the target set-forth and to verify the relevance efficiency, effectiveness and sustainability of the project activities	Project allocated budget 20,000 USD for independent consultant
Monitor and Manage Risk	Identify specific risks that may threaten achievement of intended results. Identify and monitor risk management actions using a risk log. This includes monitoring measures and plans that may have been required as per UNDP's Social and Environmental Standards. Audits will be conducted in accordance with UNDP's audit policy to manage financial risk.	Quarterly	Risks are identified by project management and actions are taken to manage risk. The risk log is actively maintained to keep track of identified risks and actions taken.	Project team and M&E officer in charge
Learning	Knowledge, good practices and lessons will be captured regularly, as well as actively sourced from other projects and partners and integrated back into the project.	At least annually	Relevant lessons are captured by the project team and used to inform management decisions.	Project team and M&E officer in charge
Annual Project Quality Assurance	The quality of the project will be assessed against UNDP's quality standards to identify project strengths and weaknesses and to inform management decision making to improve the project.	Annually	Areas of strength and weakness will be reviewed by project management and used to inform decisions to improve project performance.	Project team and M&E officer in charge
Review and Make Course Corrections	Internal review of data and evidence from all monitoring actions to inform decision making.	At least annually	Performance data, risks, lessons and quality will be discussed by the project board and used to make course corrections.	Project team and M&E officer in charge
Project Report	A progress report will be presented to the Project Board and key stakeholders, consisting of progress data showing the results achieved against pre-defined annual targets at	Annually, and at the end of the project (final report)	Progress report, based on donor's requirements	Project team and M&E officer in charge

Monitoring Activity	Purpose	Frequency	Expected Action	Person in charge of monitoring activities
	the output level, the annual project quality rating summary, an updated risk long with mitigation measures, and any evaluation or review reports prepared over the period.			
Project Review (Project Board)	The project's governance mechanism (i.e., project board) will hold regular project reviews to assess the performance of the project and review the Multi-Year Work Plan to ensure realistic budgeting over the life of the project. In the project's final year, the Project Board shall hold an end-of project review to capture lessons learned and discuss opportunities for scaling up and to socialize project results and lessons learned with relevant audiences.	At least annually	Any quality concerns or slower than expected progress should be discussed by the project board and management actions agreed to address the issues identified.	Project team and M&E officer in charge

VII. MULTI-YEAR WORK PLAN

Expected National Outputs	Quantum Task number	Planned activities	Timeframe				IP	PLANNED BUDGET			
			Year 1	Year 2	Year 3	Year 4		Funding code	Budget Description	Required amount (EUR)	Required amount (USD)
WORK PACKAGE IV.1: Design and implementation of replicable investment projects in energy transition technologies to substantially reduce GHG emissions in high energy consuming sectors	Output 1	1.1. Conduct a thorough assessment of high energy consuming sectors and sub-sectors, and available energy transition technologies, select focus sectors.	X				001981	11688-GIZ	Contractual services - Companies	45,650.00	50,000.00
				X			001981	11688-GIZ	Workshop/ Training	5,478.00	6,000.00
				X			001981	11688-GIZ	Travel cost	6,576.00	7,203.00
		1.2. Design a minimum of two inclusive investment projects to validate the technical and financial viability of the assessed energy transition technologies.	X	X			001981	11688-GIZ	Contractual services - Companies	82,170.00	90,000.00
				X			001981	11688-GIZ	Workshop/ Training	2,739.00	3,000.00
		1.3 Provide technical support to selected enterprises to identify technology suppliers and financing instruments	X	X	X	X	001981	11688-GIZ	International Consultant	223,500.00	244,797.00
				X	X	X	001981	11688-GIZ	National Consultant	38,700.00	42,388.00
				X			001981	11688-GIZ	Contractual services - Companies	639,100.00	700,000.00
				X			001981	11688-GIZ	Workshop/ Training	4,565.00	5,000.00
					X		001981	11688-GIZ	Travel cost	6,576.00	7,203.00
		1.4. Oversee and provide support e.g. technical monitoring and recommendations throughout the implementation of the investment pilot projects technologies.		X	X		001981	11688-GIZ	Contractual services - Companies	127,819.95	140,000.00
						X	001981	11688-GIZ	International Consultant	24,906.00	27,279.00
				X	X	X	001981	11688-GIZ	Travel cost	8,220.00	9,003.00

		GMS (8%)	X	X	X	X	001981	11688-GIZ	Facilities & Administration	97,645.20	106,950.00
		SUB-TOTAL WORK PACKAGE IV.1								**1,318,210.20**	**1,443,823.00**
'WORK PACKAGEIV.2: Catalyse and facilitate the replication and scale-up of the piloted energy transition technologies and other energy transition technologies	Output 2	2.1. Design and implement a training program for government officials and managers from national organizations on the assessment of 'next gen' transition technologies	X		X		001981	11688-GIZ	Contractual services - Companies	29,216.00	32,000.00
					X		001981	11688-GIZ	Workshop/ Training	13,695.00	15,000.00
				X			001981	11688-GIZ	National Consultant	4,020.00	4,403.00
				X			001981	11688-GIZ	Travel cost	3,288.00	3,601.00
		2.2. Design and implement a training program on financial, environmental and social risks assessment, and technical and financial benefits of investment in energy transition.	X				001981	11688-GIZ	Contractual services - Companies	36,519.95	40,000.00
					X	X	001981	11688-GIZ	Workshop/ Training	27,390.00	30,000.00
					X	X	001981	11688-GIZ	Travel cost	6,576.00	7,203.00
		2.3. Provide technical assistance and recommendations to enterprises to integrate energy transition technologies within their business strategies and to develop green investment portfolios.	X	X	X	X	001981	11688-GIZ	International Consultant	223,500.00	244,797.00
				X	X	X	001981	11688-GIZ	National Consultant	16,150.00	17,689.00
				X	X		001981	11688-GIZ	Contractual services - Companies	187,164.90	205,000.00
				X	X	X	001981	11688-GIZ	Travel cost	41,090.00	45,005.00
		2.4. Elaboration of lessons learned to inform policy development and awareness-raising events to enhance replicability of pilots.			X	X	001981	11688-GIZ	Contractual services - Companies	18,260.00	20,000.00
					X		001981	11688-GIZ	National Consultant	20,100.00	22,015.00

						X	001981	11688-GIZ	Workshop/ Training	36,520.00	40,000.00
		GMS (8%)	X	X	X	X	001981	11688-GIZ	Facilities & Administration	54,174.80	59,337.00
		Midterm evaluation		x		x	001981	11688-GIZ	Contractual Services - Individua	18,260.19	20,000
		SUB-TOTAL WORK PACKAGE IV.2								**731,359.80**	**801,050.00**
'PROJECT MANAGEMENT COST	PMC	1. UNDP's staff direct support to project implementation	X	X	X	X	001981	11688-GIZ	Contractual Services - Individ	661,976.00	725,056.00
		2. Office and Admin Costs	X	X	X	X	001981	11688-GIZ	Miscellaneous Expenses	73,040.00	80,000.00
				X			001981	11688-GIZ	Equipment	12,664.56	13,871.00
		GMS (8%)	X	X	X	X	001981	11688-GIZ	Facilities & Administration	59,814.44	65,514.00
		SUB-TOTAL PROJECT MANAGEMENT								**807,495.00**	**884,441.00**
TOTAL - DIRECT COSTS										**2,857,065.00**	**3,129,314.00**
UNRC Coordination Levy (1%)										28,570.65	31,293.00
Grand Total (up to)										**2,885,635.65**	**3,160,607.00**

VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

UNDP will oversee the implementation of the project through its Direct Implementation Modality (DIM), where UNDP is responsible for managing the implementation of the project. The UNDP Viet Nam Country Office has strong in-house management and technical capacities as well as proper set up to provide oversight and financial management of the project. UNDP will make available for this project several dedicated focal points to provide project coordination, M&E, communication, financial support, and procurement services.

Project Board / Steering Committee

A Project Board / Steering Committee including relevant stakeholders will be established to provide overall guidance and oversight to the project. The Project Board will be chaired by Residential Representative or the Deputy Residential Representative of UNDP Viet Nam, and will comprise a representative of the DSENRE/MPI and EREA/MOIT as project beneficiaries; and GIZ as representative of the Donor of CLEAN-ACT project. The Project Board / Steering Committee will provide overall guidance and orientation on the annual workplans for implementation of the project. The Project oard / Steering Committee will meet at least annually to review evidence of project performance based on monitoring, evaluation and reporting, including progress reports, monitoring mission's report, evaluation, risk logs, quality assessment and the combined delivery report. The Project Board is the main body responsible for taking corrective actions as needed to ensure the project achieves the desired results. And its function includes oversight of annual assessment of any major risks to the project and related decision/agreement on any management actions or remedial measures to address them effectively.

The UNDP RR or DRR will ensure timely implementation of the project in compliance with UNDP's Programme and Operations Policies and Procedures (POPP), its Financial Regulations and Rules and Internal Control Framework.

Project assurance

Project assurance is the responsibility of each Project Board member. In addition, UNDP has a distinct assurance role, assigned to the CO's M&E Analyst, that performs the quality assurance and support the Project Board and project management team in carrying out objective and independent project oversight and monitoring functions, including applying UNDP's social and environmental management system to ensure SES are applied through the project cycle.

Project team

The UNDP Viet Nam CO has strong in-house management and technical capacities, and is also well positioned to provide technical oversight, supervision, and financial management of the project. As such, UNDP staff will provide technical oversight and quality assurance of project activities related to Work Packages IV.1 and IV.2.

The project team will consist of the Project Manager (CCE head), Project Coordinator (CCE programme Analyst) and supporting members (Programme Associate, Communications Specialist, and the Procurement and Finance Teams).

Project manager, Head of the CCE Unit will oversee the implementation of the annual work plans as well as the yearly progress and final reports with the support of International and National Technical Officer. The Head of the CCE Unit will review the ToRs, certify the quality of the outputs from all consultants, and approve all payments. The PM will be Full Accountability for Project Execution. Ensure project Information (incl. project makers and results; Financial management (incl. Budget Revision & Financial Reports); Approve Requisition (fund commitment) and receive good, services, works (before making payments).

The Project Coordinator will be responsible for the day-to-day management of the project. They will draw up and update the project work plan, propose adjustments as needed, and submit them to the Project Manager; coordinate with local and international consultants to prepare ToRs for studies, surveys, consultancies and procurement of equipment; review outputs produced by project consultants and subcontractors and assess the quality and relevance of these outputs in accordance with agreed ToRs and the project objectives; and support all administrative procedures and support services related to the preparation of the project's activities.

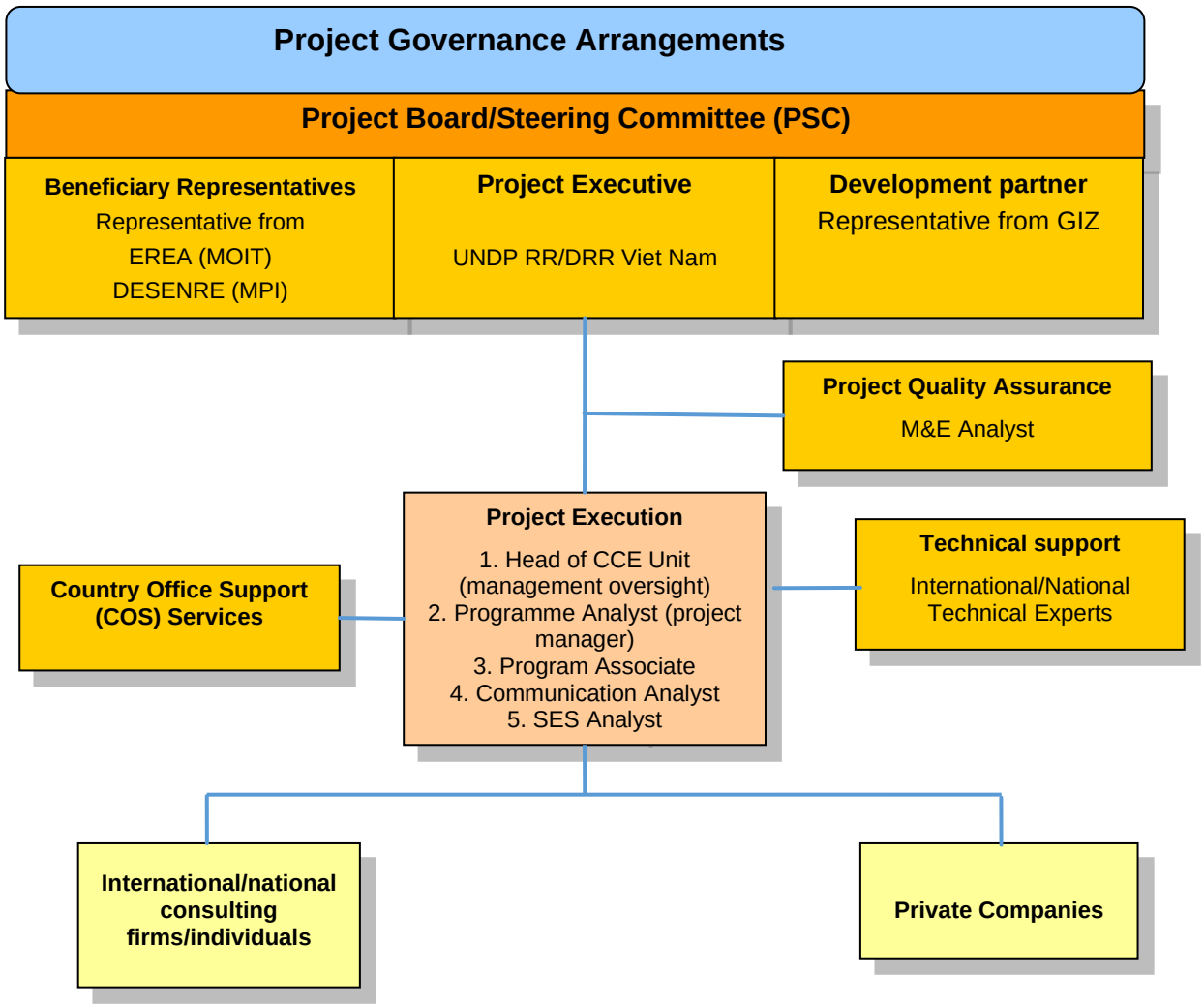
The Project Associate will undertake project management support, predominantly on a part-time basis, including financial, administrative, procurement, monitoring and evaluation tasks, and communication activities. Furthermore, they will support administrative and financial procedures in bidding and disbursement; be responsible for the administrative, operational and

financial transactions during the implementation of the project; and provide logistics support for the organization of meetings, workshops and travel, as needed.

The Annual Progress Report shall be prepared to provide a review and assessment of project status and progress and highlight results achieved in accordance with the project workplan. A Final Report will be prepared at the end of the project, specifying results achieved, lessons learned and way forward to scale up programme components.

Project external support

UNDP will recruit national and international technical experts, consultants and contractors to implement key activities under the project.



IX. LEGAL CONTEXT

This project document shall be the instrument referred to as such in Article 1 of the Standard Basic Assistance Agreement between the Government of the Socialist Republic 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 UNDP ("Implementing Partner") in accordance with its financial regulations, rules, practices and procedures, in full consultation with the donors.

X. RISK MANAGEMENT

UNDP (DIM)

1. UNDP as the Implementing Partner will comply with the policies, procedures and practices of the United Nations Security Management System (UNSMS).

2. UNDP as the Implementing Partner will undertake all reasonable efforts to ensure that none of the [project funds][6] [UNDP funds received pursuant to the Project Document][7] are used to provide support to individuals or entities associated with terrorism , 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. This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.

3. Social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (http://www.undp.org/ses) and related Accountability Mechanism (http://www.undp.org/secu-srm).

4. UNDP as the Implementing Partner will: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.

5. In the implementation of the activities under this Project Document, UNDP as the Implementing Partner will handle any sexual exploitation and abuse ("SEA") and sexual harassment ("SH") allegations in accordance with its regulations, rules, policies and procedures.

6. All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to project sites, relevant personnel, information, and documentation.

7. UNDP as the Implementing Partner will ensure that the following obligations are binding on each responsible party, subcontractor, and sub-recipient:

a. Consistent with the Article III of the SBAA *[or the Supplemental Provisions to the Project Document]*, the responsibility for the safety and security of each responsible party, subcontractor and sub-recipient and its personnel and property, and of UNDP's property in such responsible party's, subcontractor's and sub-recipient's custody, rests with such responsible party, subcontractor and sub-recipient. To this end, each responsible party, subcontractor and sub-recipient shall:

   i. put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;

   ii. assume all risks and liabilities related to such responsible party's, subcontractor's and sub-recipient's security, and the full implementation of the security plan.

b. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of the responsible party's, subcontractor's and sub-recipient's obligations under this Project Document.

c. Each responsible party, subcontractor and sub-recipient (each a "sub-party" and together "sub-parties") acknowledges and agrees that UNDP will not tolerate sexual harassment and sexual exploitation and abuse of anyone by the sub-parties, 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.

[6] To be used where UNDP is the Implementing Partner

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

(a) In the implementation of the activities under this Project Document, each sub-party 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, each sub-party, 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.

d. In the performance of the activities under this Project Document, each sub-party shall (with respect to its own activities), and shall require from its sub-parties (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, sub-parties will and will require that their respective 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 sub-parties have not put in place its own training regarding the prevention of SH and SEA, sub-parties may use the training material available at UNDP;

(iii) Report and monitor allegations of SH and SEA of which any of the sub-parties 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. Each sub-party shall advise UNDP of any such allegations received and investigations being conducted by itself or any of its sub-parties 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 relevant sub-party shall advise UNDP of any actions taken by it or any of the other entities further to the investigation.

e. Each sub-party 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 relevant sub-party to comply of the foregoing, as determined by UNDP, shall be considered grounds for suspension or termination of the Project.

f. Each responsible party, subcontractor and sub-recipient will ensure that any project activities undertaken by them will be implemented in a manner consistent with the UNDP Social and Environmental Standards and shall ensure that any incidents or issues of non-compliance shall be reported to UNDP in accordance with UNDP Social and Environmental Standards.

g. Each responsible party, subcontractor and sub-recipient will take appropriate steps to prevent misuse of funds, fraud, corruption or other financial irregularities, by its officials, consultants, subcontractors and sub-recipients in implementing the project or programme or using the UNDP funds. It will ensure that its financial management, anti-corruption, 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.

h. The requirements of the following documents, then in force at the time of signature of the Project Document, apply to each responsible party, subcontractor and sub-recipient: (a) UNDP Policy on Fraud and other Corrupt Practices (b) UNDP

Anti-Money Laundering and Countering the Financing of Terrorism Policy; and (c) UNDP Office of Audit and Investigations Investigation Guidelines. Each responsible party, subcontractor and sub-recipient agrees to the requirements of the above documents, which are an integral part of this Project Document and are available online at www.undp.org.

i. In the event that an investigation is required, UNDP will conduct investigations relating to any aspect of UNDP programmes and projects. Each responsible party, subcontractor and sub-recipient will provide its full cooperation, including making available personnel, relevant documentation, and granting access to its (and its consultants', subcontractors' and sub-recipients') premises, for such purposes at reasonable times and on reasonable conditions as may be required for the purpose of an investigation. Should there be a limitation in meeting this obligation, UNDP shall consult with it to find a solution.

j. Each responsible party, subcontractor and sub-recipient will promptly inform UNDP as the Implementing Partner in case of any incidence of inappropriate use of funds, or credible allegation of fraud, corruption other financial irregularities with due confidentiality.

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

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

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

l. Each contract issued by the responsible party, subcontractor or sub-recipient in connection with this Project Document shall include a provision representing that no fees, gratuities, rebates, gifts, commissions or other payments, other than those shown in the proposal, have been given, received, or promised in connection with the selection process or in contract execution, and that the recipient of funds from it shall cooperate with any and all investigations and post-payment audits.

m. Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the project or programme, the Government will ensure that the relevant national authorities shall actively investigate the same and take appropriate legal action against all individuals found to have participated in the wrongdoing, recover and return any recovered funds to UNDP.

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

XI. ANNEXES

1. **Social and Environmental Screening** (attached)
2. **Risk Analysis** (attached)
3. **Gender Action Plan** (attached)
4. **GRM** (attached)