

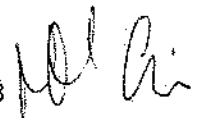
SPECIFIC AGREEMENT

1. Name of Programme/Project:	Ending Plastic Pollution Innovation Challenge (EPPIC) as described in the Project Document ASEAN Cooperation Project Proposal dated 06.12.2019 (hereinafter the "Project")												
2. Agreement number	UN ref. no: <u>00124209</u> the Donor ref. no RAS-19/0026												
3. Agreement Start Date:	Upon entry into force in accordance with paragraph 24, below.												
4. Support Period	From 01.01.2020 to 30.06.2022												
5. Agreement End Date:	The Agreement shall expire on 30 th June 2022 with the completion of the Project. However, the obligations of the Parties under the Agreement will remain in force until all obligations arising from it have been fulfilled and all commitments and liabilities incurred in the implementation of the Project have been met. The Recipient shall notify the Donor when all activities related to the Project have been completed.												
6. Donor:	Norwegian Agency for Development Cooperation "NORAD"												
7. Recipient:	United Nations Development Programme "UNDP"												
8. Contribution Currency/Amount:	Not exceeding NOK 14 256 000												
9. Payment (to be made upon written payment request): (Check one only. <i>Each disbursement may only cover expenditures for a period of 12 months for grants from the Ministry of Foreign Affairs and NORAD but may only cover a period of 6 months from the Ministry of Climate and Environment.</i>)	<input checked="" type="checkbox"/> The Contribution will be transferred in accordance with the following indicative disbursement plan: <table border="1" style="margin-left: 20px;"> <thead> <tr> <th></th> <th>Tentative payment due date</th> <th>Currency/Amount</th> </tr> </thead> <tbody> <tr> <td>1.</td> <td>12.12.2019</td> <td>4 837 000 (4 695 000 + 142 000 for UN Levy)</td> </tr> <tr> <td>2.</td> <td>07.12.2020</td> <td>7 387 000</td> </tr> <tr> <td>3.</td> <td>06.12.2021</td> <td>2 032 000</td> </tr> </tbody> </table> <p>The first disbursement shall be made upon signing of the Agreement. The second disbursement shall be made upon approved updated risk and results framework, received by 31 August 2020 at the latest, and approved inception report, received by 30 June 2020 at the latest.</p> <input type="checkbox"/> The full amount of the Contribution will be transferred upon entry into force of this Agreement.		Tentative payment due date	Currency/Amount	1.	12.12.2019	4 837 000 (4 695 000 + 142 000 for UN Levy)	2.	07.12.2020	7 387 000	3.	06.12.2021	2 032 000
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1.	12.12.2019	4 837 000 (4 695 000 + 142 000 for UN Levy)											
2.	07.12.2020	7 387 000											
3.	06.12.2021	2 032 000											
9.a. Coordination Levy: (Only applicable to tight earmarked support, please see the Operational	Pursuant to paragraph 10(a) of United Nations General Assembly Resolution 72/279 of 31 May 2018, the Donor agrees that an amount corresponding to 1% of												

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<p><i>Guidance for Implementing the Coordination Levy)</i></p>	<p>the contribution to the Recipient shall be paid to fund the United Nations Resident Coordinator System. This amount, hereinafter referred to as the “coordination levy” will be held in trust by the Recipient until transfer to the United Nations Secretariat for deposit into the United Nations Special Purpose Trust Fund for the reinvigorated Resident Coordinator system, which has been established to fund the UN Resident Coordinator System and is managed by the United Nations Secretariat.</p> <p>The Donor acknowledges that once the coordination levy has been transferred by the Recipient to the United Nations Secretariat, the Recipient is not responsible for the use of the coordination levy and does not assume any liability. The fiduciary responsibility lies with the United Nations Secretariat as the manager of the Resident Coordinator system.</p> <p>The coordination levy does not form part of the Recipient’s cost recovery and is additional to the costs of the Recipient to implement the activity or activities covered by the contribution. Accordingly, there is no normal obligation for the Recipient to refund the levy, in part or in full, even where the activities covered by the contribution are not carried out in full by the Recipient. As deemed necessary by the Donor – and especially where the scale of the resources concerned or reputational risk justify the refund transaction costs – the donor can submit a request for refund to the United Nations Secretariat directly or through the Recipient. The responsibility to refund the levy lies with the United Nations Secretariat, and not with the Recipient.</p> <p>The coordination levy for this agreement is up to NOK 142 000. The tentative payment schedule, refer to article 9, provides the breakdown of the disbursements of the coordination levy and the payments of the contribution.</p>
<p>10. UNDP Bank Account:</p>	<p>Bank name: DNB NOR Bank ASA Bank address: Stranden 21, Aker Brygge, 0021 Oslo, Norway Account title: UNDP Contributions (NOK) Account Account No.: 70010243287 IBAN/SWIFT: NO4370010243287/DNBANOKK</p>
<p>11. Recovery Rate for Indirect Costs: (enter Executive Board decision authorizing recovery rate)</p>	<p>8% of the Contribution charged on the basis of the total expenses incurred from the Contribution.</p>
<p>12. Project Description and Budget</p>	<p>Project description and budget are included in Annex I.</p>
<p>13. Remittance Advice to be sent to: (the applicable UN Organization. Please specify the address at</p>	<p>finance.vn@undp.org and contribution@undp.org</p>

<p><i>unit/division-level, and not to a specific person)</i></p>	
<p>14. Confirmation of Remittance Receipt to be sent to: <i>(the applicable Donor. Please specify the address at unit/division-level, and not to a specific person)</i></p>	<p>Development Program to Combat Marine Litter, Department for Climate, Energy and Environment</p> <p>NORAD-Post-KEM@norad.no</p>
<p>15. Consultations: <i>(check one only if any; strike if not applicable and enter "N/a")</i></p>	<p><input checked="" type="checkbox"/> Annual, tentatively one month after submission of the annual report <input type="checkbox"/> Other: <i>[pls specify]</i></p> <p>Unless otherwise agreed, the Recipient shall convene and chair the consultations. The Recipient shall draft agreed minutes of the meeting and submit these within 3 weeks to the Donor for comments and approval. Each Party shall bear their own costs for participating in such consultations.</p> <p>The purpose of these consultations is to:</p> <p>a) review the progress of the Project b) discuss possible revisions of plans and budgets c) discuss issues of special concern for the implementation of the Project.</p> <p>The documents specified in the Framework Agreement (hereinafter the Framework Agreement Articles V, VI and VII shall form the basis for the Annual Consultations.</p>
<p>16. Additional reporting: <i>(if any; strike if not applicable and enter "N/a")</i></p>	<p>The Recipient shall provide the following additional reporting:</p> <ol style="list-style-type: none"> 1. An inception report no later than 30 June 2020 to be approved by Norad. The report will be developed to take in recommendations and necessary updates from the inception workshop, where procedures for data collection will be established. The report will also include the set evaluation criteria for the innovation challenge and a detailed budget, down to the level of output and activities, in addition to an updated workplan and clarification of the role of all stakeholders. 2. An updated risk and results framework no later than 31 August 2020 to be approved by Norad 3. Project evaluation, no later than 30 September 2022. This will be done by an independent evaluation to assess the outcomes against the

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	<p>targets set and to verify the relevance, efficiency, effectiveness and sustainability of project activities.</p> <p>The costs of additional reporting to be provided hereunder shall be considered a direct cost of the Project, and be included in the budget.</p>
17. Contact Persons:	<p>(a) <u>For the Donor:</u> Name: Lauren Naville Gisnås Title: Senior Adviser Email: Lauren.Celine.Naville.Gisnas@norad.no Telephone: +4723980282</p> <p>b) <u>For the Recipient:</u> Name: Dao Xuan Lai Title: Head of Environment and Climate Change Department, UNDP Viet Nam Email: dao.xuan.lai@undp.org Telephone: +84 906002828</p>
18. Annexes: (add additional Annexes as necessary)	<p>Annex I: Project description, including Results Framework, Budget; and Description of Risk Management.</p> <p>Annex II: Copy of the Framework Agreement.</p>
19. The Donor agrees to make the Contribution to the Recipient (together with the Donor referred to as the " <u>Parties</u> "), in accordance with the terms of this Specific Agreement and the Framework Agreement for the Project activities as specified in the Project description document.	
20. In the event that the Contribution is disbursed by the Donor subject to a tentative payment schedule as set out paragraph 9 above, the Parties agree that such schedule shall be subject to the principle that payments must be received by the Recipient in advance of any implementation of Project activities. The tentative payment schedule may be amended as agreed between the Parties in writing, to ensure that it remains consistent with the progress of the Project. If payments are not received in accordance with the payment schedule, the Recipient reserves the right to reduce, suspend or discontinue the Project.	
21. This Specific Agreement constitutes an agreement supplementary to the Framework Agreement between the Parties. The terms of the Framework Agreement constitutes an integral part of this Specific Agreement.	
22. This Specific Agreement may be modified by written agreement between the Parties. It may be terminated by mutual agreement of the Parties or by one Party providing to the other Party a written notice of termination of not less than 30 calendar days. Upon receipt by one Party of the other Party's written notice of termination, the Parties will take all reasonable and necessary measures to conclude the implementation of the Project and complete their activities in an orderly manner. The Recipient may apply any unutilized portion of the Contribution up to the date of termination to permit the orderly conclusion of the Project, including the completion of final reports, the withdrawal of personnel, funds and property, the settlement of accounts between the Parties, and the settlement of contractual commitments or liabilities relating to or in connection with the Project, including in respect of any implementing partners, contractors, subcontractors, consultants or suppliers.	
23. Any unspent funds that according to the Framework Agreement shall be repaid to the Donor, shall be marked: "Unused funds from: (specify agreement number), (specify agreement name), and repaid to the following bank account:	

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Name of the account: Norad
Account no.: 7694.05.14815
IBAN no.: NO31 7694 0514 815
Swift/BIC code: DNBANOKKXXX

The Recipient shall inform the Donor when a repayment is made via e-mail message with remittance information to NORAD-Post-KEM@norad.no stating the agreement number.

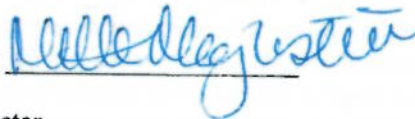
24. This Specific Agreement will enter into force on the date it is signed for and on behalf of both Parties.

25. In witness whereof, the undersigned, acting on behalf of their respective Parties, have signed the present Agreement in the English language in two copies.

FOR NORAD:

Mette Møglestue

Signature:



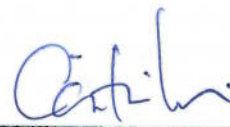
Title: Director

Date:

12.11.19

**FOR THE UNITED NATIONS
DEVELOPMENT PROGRAMME:**

Signature:



Title:

Date:



Annex A Agreed Project/Programme Summary

Identification of the Programme

- Programme Title/Name: Ending Plastic Pollution Innovation Challenge (EPPIC)
- Implementing institution: UNDP Vietnam

Description of the Programme

The overall aim of the Ending Plastic Pollution Challenge (EPPIC-project) is to contribute to the reduction of plastic pollution in coastal areas in four ASEAN target countries initially and all ASEAN countries in the long term, contributing to the achievement of SDG 14: Life Below Water and SDG 12: Responsible Production and Consumption.

Two main outcomes are expected, firstly, to strengthen the circular economy of plastic in the ASEAN region, and secondly, to increase knowledge, cooperation and networking in ASEAN-countries for prevention and reduction of plastic waste. UNDP will achieve this by running one-year innovation challenges in four different ASEAN-countries to support local innovations and prevent plastic from entering the ocean. Up to 15 innovative solutions will be shortlisted for a three-month incubation period, and up to four solutions will enter a second stage of incubation for additional nine months. The chosen ASEAN-countries will be Vietnam, in addition to three of the following countries, Indonesia, Philippines, Thailand and Cambodia. Norway can come with suggestions on which these countries will be. Two challenges will be organised per year and UNDP will in addition create a platform of actors to provide technical support to participants and connect winning ideas to investors for implementation and scale-up. Local governments, NGOs and the private sector will be consulted to identify priorities to be addressed in the challenge and increase the likelihood of finding solutions that will be sustainable after the project has ended. The final selection of priorities will be done in close collaboration with local governments to ensure their support and interest in solving the issues with local solutions. An inception phase at the start of the project will help create a results framework with baseline data in order to measure results of the challenge. Other activities organised will be awareness campaigns, workshops and the establishment of a Marine Plastic Center in Vietnam. UNDP will act as a convener to facilitate connections between different stakeholders in the scale-up process and will also gather the lessons learnt throughout the project implementation. They will share these learnings via social media and different platforms and networks, and ultimately the scalable solutions in the ASEAN-region will be further shared through the UNDP Accelerator Lab network, which collect portfolios of experiments to tackle complex development challenges such as plastic pollution around the world.

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RESULTS FRAMEWORK: (Note: A baseline, as well as refined indicators will be established as result of the inception phase (Q1, 2020) and will represent one of the deliverables of the inception phase. An updated risk and results framework will be submitted to Norad no later than 31. August 2020)

LEVEL	EXPECTED RESULT	INDICATORS	Indicator data				Data source of verification	Comments
			BASELINE 2019	TARGET 2020	TARGET 2021	FINAL TARGET 2022 Q2		
IMPACT	Plastic waste entering in the ocean is reduced.							
OUTCOME 1	Circular economy of plastic products in ASEAN strengthened	<ul style="list-style-type: none"> Number of ASEAN countries for which a portfolio of solutions is selected, designed and supported. 	N/A	2	4	4	See below	
		<ul style="list-style-type: none"> Number of ASEAN countries for which scaling up and replication strategies have been designed 	N/A	2	4	4		
		<ul style="list-style-type: none"> Number of solutions which have been identified and shortlisted for the 3 months incubation stage. Number of solutions awarded as EPPIC winners, which will undergo incubation training and impact acceleration 	N/A	15	30	30		
OUTPUT 1.1	A portfolio of innovative solutions to combat ocean plastic waste pollution, selected and designed to contribute to system-level change in the ASEAN region						Baseline survey based on interviews with sector experts and information gathered from the EPPIC applicants Project reports, site visit reports and meeting minutes Post-challenge surveys and reports.	Note 1) the amount of plastic prevented at this stage cannot be quantified. Specific indicators and targets have to be studied at the inception of project. The return – in term of plastic prevented - of investments in behavioral change solution, or in material substitution, or in cleanup activities may be very different. It may be expected that the cost

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LEVEL	EXPECTED RESULT	INDICATORS	Indicator data					Data source of verification	Comments
			BASELINE 2019	TARGET 2020	TARGET 2021	FINAL TARGET 2022 Q2			
		<ul style="list-style-type: none"> ▪ Amount of plastic waste (tons) prevented or treated by the awarded innovative solutions during project implementation. (note 1) 	N/A						effectiveness of the investment may be as following (from the most effective to the least effective): communication and behavioral change > material substitution > segregation and recycling > disposal > cleanup. However, this would be inversely related to the time needed to achieve the desired results, as socially-oriented solutions are usually slower than technological solutions or disposal activities to exert their impact. Therefore, whilst the impact – in term of plastic prevented – of behavioral change may be huge, maybe this will be fully achieved only after project ends; whilst innovative technological activities will show their impact in a way proportional to the investment within project implementation, and to a larger extent at the replication stage.
OUTPUT 1.2	Scaling up and replication strategies designed	<ul style="list-style-type: none"> • Number of solutions supported with scaling up and replication strategies. • Potential amount (tons) of plastic averted from release in the environment 	N/A	4	4	8	Baseline survey based on the information gathered from the successful applicants Project reports, site visit reports and meeting minutes Post challenge surveys technical and		

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LEVEL	EXPECTED RESULT	INDICATORS	Indicator data				Data source of verification	Comments
			BASELINE 2019	TARGET 2020	TARGET 2021	FINAL TARGET 2022 Q2		
OUTCOME 2	Knowledge, cooperation and networking in ASEAN-countries for prevention of and reduction of plastic waste in nature increased	at replication / scaling up stage. (see note 1)					sustainability assessment of the solutions.	
		1) % increase in number of national and regional actors showing interest in joining the ASEAN plastic platform hosted by UNDP through this project.	0	10%	20%	20%		
		2) Increase in number of joint actions, solutions or initiatives for marine plastic management	0	05	15	15		
OUTPUT 2.1	Increased awareness of the circular economy for plastic among stakeholders.	Number of: i. citizens, ii. businesses and iii. local governments aware of the issue of plastic waste and the ways to prevent it. Number of training and workshops carried out.	Note 2)				Baseline survey: interviews and questionnaires surveys based on the KAP approach on significant population samples Training and workshop reports with outcome of pre and post trainings Post-training capacity assessment, and replication of the KAP surveys.	Note 2) Baseline to be measured at inception through KAP survey, partially through coordination with ongoing projects representing a parallel cofinancing.
		Ratio of increased awareness compared to baseline of the circular	Note 2)	20%	40%	40%	The ratio of increased awareness will be a synthetic indicator	

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LEVEL	EXPECTED RESULT	INDICATORS	Indicator data					Data source of verification	Comments
			BASELINE 2019	TARGET 2020	TARGET 2021	FINAL TARGET 2022 Q2			
		economy for plastic among surveyed stakeholders.						developed as part of the KAP survey.	
OUTPUT 2.2	Renewal capabilities and capacity of key stakeholders developed to ensure the sustainability of solutions to address plastic pollution upstream (in land) and downstream (sea).	<p>Number of actors in the network from</p> <ol style="list-style-type: none"> civil society, government and business sectors undertaking actions to ensure sustainability of solutions to address plastic pollution. 	Note 2)					Baseline assessment – interviews with NGOs, government representatives, academia and entrepreneurs in the waste management sectors. Project reports, site visit reports and meeting minutes Technical assessment of the selected solutions/technologies at different stages of implementation.	
		Value of the synthetic indicators of organisation performance (KM factors or others) (note 3)						Activity reports of the Center and the Network Interviews and surveys	Note 3) As the methodology to measure renewal capability of an organization is specific to the type and size of the organisation involved, it will be defined at inception. It can be either based on KM factor or simpler assessment methods
		Level of accomplishment against the planned targets on ocean plastic reduction						Workplans and Activity reports of the Center and the Network	
		Number of lessons and best practices learned	N/A	10	20	20		Project intermediate reports, meeting	

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LEVEL	EXPECTED RESULT	INDICATORS	Indicator data				Data source of verification	Comments
			BASELINE 2019	TARGET 2020	TARGET 2021	FINAL TARGET 2022 Q2		
		<p>from the EPPIC challenge.</p> <p>ASEAN Center on Combating Marine Debris established in Viet Nam.</p> <p>Number of meetings/workshops organised by ASEAN Center on Combating Marine Debris</p> <p>Number of capacity trainings received.</p>					<p>minutes, site surveys, technical reports, interviews, report from the tutoring of the shortlisted and awarded enterprises, etc.</p>	

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DESCRIPTION OF RISK MANAGEMENT:

2. GENDER AND OTHER CROSS-CUTTING ISSUES –

The project will be an opportunity to tackle some cross-cutting issues in the participating countries, including Gender and Human Rights – on the specific field of plastic waste management. The implementation of this project will therefore reduce – not increase – the risk of neglecting human rights, as the implementation modalities of the project – based on UN standards – will represent an example to be followed. For this reason we did not identify the project or its activity as a source of risk for cross-cutting issues, specifically for human rights or gender mainstreaming.

Gender.

UNDP has specific guidelines on gender mainstreaming, and UNDP gender mainstreaming experts are routinely involved in the preparation and implementation of all UNDP projects.

The project will ensure the equal participation of women and men in the competition, as well as among the selection committee and the training teams. More specifically, throughout the project's implementation, a specific gender mainstreaming workplan with gender-sensitive targets and indicators will be developed and integrated into the project results framework. This will include as a minimum the following:

- Integration of gender-mainstreaming into the evaluation criteria adopted for selecting innovative ideas;
- Availability of gender-specific training and awareness-raising initiatives;
- Equal access to the information generated by the project;

UN policies on equal opportunities will be considered to ensure that the project supports women's capabilities and their enjoyment of rights, and women's equal and meaningful participation as actors, leaders and decision-makers.

Environmental sustainability.

The project will mitigate the environmental risks associated with plastic pollution by reducing the rate of plastic pollution in ASEAN target countries as its core objective. To mitigate the environmental risks associated with the project, the following measures will be taken:

- Winning solutions will be selected based on their ability to reduce plastic pollution without causing adverse effects on other dimensions of environmental sustainability, including, for example, biodiversity conservation and natural resource management.
- The ability of proposed solutions to address plastic pollution without increasing emissions will be considered.

Human Rights

For all UNDP project, there are no exceptions for the application of the UNDP social and environmental safeguards, which are based on the UN Charter. Therefore, UNDP' social and environmental safeguards will be used for each country where EPPIC will take place. It's through the impact of these projects that we intend to improve the application of human rights even in difficult situations.

The project will consider the specific challenges faced by potentially affected stakeholders in participating countries. To ensure duty-bearers meet their obligations, the following accountability

measures will be taken:

- Government representatives will be included in the Project Board to ensure shared responsibility for monitoring the project against set indicators.
- UNDP will work in close collaboration with NGOs, the Vietnam Women's Union and other mass organizations that can raise concerns regarding the project on behalf of marginalized groups.

Environmental and social safeguards.

UNDP has detailed environmental and social safeguards standards (SES), as well as standard procedures to assess the environmental and social risk for any new project. (see for instance https://info.undp.org/sites/bpps/ses_toolkit/default.aspx)

Any new project must go through this procedure to ensure proper safeguards are adopted

Anti Corruption

The "UNDP Policy against Fraud and other Corrupt Practices" applies to all activities and operations of UNDP, including UNDP-funded programmes and projects, services provided by UNDP to other organisations and management service agreements. As from the introduction of the policy document, "UNDP has zero tolerance for fraud and corruption, meaning that UNDP staff members, non-staff personnel, vendors, implementing partners and responsible parties are not to engage in fraud or corruption". All the above parties are bound to fulfil the rule of the policy relevant to them by contract or signed agreement.

The project will adopt the following anti-corruption measures:

- Funding will be managed by UNDP and directly disbursed to the selected winners.
- UNDP's international standard procedures will be applied.
- The procurement system will be transparent and based on competitiveness.
- UNDP will ensure that all processes, including calls for proposals and technical-service packages, and appraisal and selection are conducted in an open, transparent and competitive manner.
- All Terms of Reference for technical experts will be publicly advertised.

3. POTENTIAL RISKS

UNDP adheres to core principles that align with the four risk assessment categories outlined by Norad. These four cross-cutting categories of risk have been addressed in Section 6 above. Additional context-specific considerations are addressed below based on the results of the UNDP Social and Environmental Standards screening. The costs of mitigating these risks have been included in the activities.

Risk/threat	External/Internal Risks Probability (low, medium, high) Impact (low, medium, high)	Analysis and Mitigation strategy
Limited public interest in participating in the EPPIC	<ul style="list-style-type: none"> - External risk - P:Low - I: Medium 	<p>Plastic pollution and circular economy are currently among the hottest topic in ASEAN countries, therefore the risk of limited public interest is low. It also creates new business opportunities for private sector, including investors.</p> <p>Mitigation Measures:</p>

		<ul style="list-style-type: none"> • Collaboration with authorities and associations to undertake comprehensive public awareness campaigns, including a series of offline and online events to promote the EPPIC. • Mobilization of UNDP extensive networks including Youth and Innovation, mass organizations, Climate Change Working Groups and development partners. • Engagement of the most affected stakeholders during the early stages of the project to highlight the potential of innovative and alternative solutions to plastic pollution.
Existing regulations in place that prevent the establishment or scaling-up of the winning ideas	<ul style="list-style-type: none"> - External risk - P: Low - I: Medium 	<p>Existing regulations in ASEAN countries obviously do not hinder the establishment of winning ideas against plastic pollution, nevertheless some technical aspect like licensing and permitting, quality criteria and legal status of recycled materials, are not readily available and need to be formulated to regulate the efforts to combat marine plastics</p> <p>Mitigations measures:</p> <ul style="list-style-type: none"> • The support to shortlisted solutions will cover the national and international regulatory aspects, specifically connected to each proposed solution; • The government will be engaged since the early stages of the project. • Local authorities will sit on the solutions evaluation panel. • Long-term incubation and training period (12 months) will allow localities to become familiar with the winning solution
Private sector could work against new innovations to reduce plastic litter if it goes against their current business model.	<ul style="list-style-type: none"> • External risk • P: Low • I: Medium 	<ul style="list-style-type: none"> • Shifting from linear to a circular economy may entail a redistribution of resources – for instance from the production of single-use goods to services, or from quantity to quality. There would be however not a direct competition between sectors working on a traditional linear model and the ones adopting a circular model under the EPPIC. It is expected moreover that the increase of the awareness of regulators generated by the project will also incentivise the private sector to increase the circularity of their production modalities. • Mitigations Measures: • The private sector will be involved and informed since the early stage of the project, so that it will be easier to identify solutions that can be considered profitable also by conventional business, and to enhance the awareness of regulator that will be more keen to establish mechanisms like Extended Producer Responsibility which are currently very poorly implemented in ASEAN countries.




<p>Disrupting livelihoods of people working in the informal sector.</p>	<ul style="list-style-type: none"> • External risk • P: Medium • I: Medium 	<ul style="list-style-type: none"> • At this stage, no significant disruption of the activities of the plastic informal collectors is expected. In recent years, the amount of plastic waste increased much faster than the capacity of informal recyclers to process it. Besides, the informal waste sector collects all types of waste (organic, carton, metal, electronics etc); therefore, the project will not jeopardise their livelihoods. <p>Mitigation Measures:</p> <ul style="list-style-type: none"> • The project will ensure that new innovations do not potentially negatively affect people working in the informal sector by taking away their livelihoods. <p>As part of the selection process, participants will be invited to submit a thorough risk assessment</p> <ul style="list-style-type: none"> • Informal collectors are currently living on marginal profit, and hence their capacity to invest in safer collection and processing technology is limited. In the long-range, the project expects that the informal collectors may be one of the beneficiaries of the solutions: any low-cost process technology which can be adopted by informal collectors will be of great interest, for instance
<p>Environmental risks</p>	<ul style="list-style-type: none"> • External risk; • P: Very low • I: Medium 	<p>In general, reducing the generation of plastic waste, reducing the consumption of single-use plastic, and increasing the circular economy of plastic is in the worst case climate-neutral, but is indeed expected to bring benefit in term of GHG emissions.</p> <ul style="list-style-type: none"> • Mitigation Measures: • To further mitigate the environmental risks associated with the project, winning solutions will be selected based on their ability to reduce plastic pollution without causing adverse effects on other dimensions of environmental sustainability, including, for example, water and air quality, biodiversity conservation and natural resource management. • Moreover, an assessment of the environmental impacts of each technology or solution proposed by the EPPIC applicants will be carried out. • Furthermore, only non-combustion and non-thermal processes will be considered eligible under the EPPIC.
<p>Improper or fraudulent winner's use of grant money.</p>	<ul style="list-style-type: none"> • External • P: Medium • I: High 	<p>The Project fund will be managed and disbursed directly by UNDP using our international standard procedures. UNDP will engage with representatives of ASEAN countries to develop a detailed milestone schedule / workplan of the winners to which UNDP provides seed funding.</p> <p>Mitigation measures:</p>

		<ul style="list-style-type: none"> To ensure the efficient and non-fraudulent use of grant money, disbursement will follow the UNDP procedures for procurement, which is disbursement in 3 or 4¹ instalments associated to deliverables. The rationale behind that is to balance between the need to maintain control on the quality of the deliverables, and at the same time, ensure the financial viability of the contracted activity (i.e. prevent interruption of the planned activity because of lacking of funds). The final disbursement will correspond to the full achievement of the practical results declared, a scaling up / replication plan and the submission of a final report, covering the remaining amount. . .
Financial / corruption risk	<ul style="list-style-type: none"> - Internal risk - P: Very low • I: High 	<p>The Project fund will be managed and disbursed directly by UNDP using our international standard procedures. Our procurement system is transparent and is based on competitiveness. Logistic services to be procured for this Project will be publicly advertised, and evaluation of bids will be done transparently.</p> <p>Mitigation measures:</p> <ul style="list-style-type: none"> TORs and specifications for logistic service procurement will be discussed and agreed with Project Board. Evaluation of bids will be jointly undertaken.

UNDPs Ability to implement the project	Internal Risk P: Very low I: Low	UNDP is an organization of the United Nations, used to work in multicultural, multidisciplinary and complex contexts. UNDP has robust procedures for project management, monitoring and evaluation, as
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- o ¹ A first deliverable related to the detailed workplan of the solution/technology to be implemented, with timeframe and milestones; associated to a disbursement of 10% to 20% of the overall amount;
- o A second deliverable which may be identified with the complete design of the solution/technology to be implemented, the completion of a pilot activity or a prototype, the result of the preliminary testing and the completion of an activity report. This may be associated to a disbursement of 20 to 30% of the total amount.
- o A third deliverable which will correspond to the full implementation of the technology / solution, and the achievement a substantial (for instance 50%) of the practical results declared when submitting the application to the challenge, plus the submission of an interim report. For instance, may be the amount of plastic waste processed, the number of people subscribing and using a certain application, the amount of plastic production avoided etc. That will be of 20 to 30% of the total amount.

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		well as the capacity to mobilize top experts in the specific technical and managerial aspects as needed by the project. The «internal» or intrinsic risk of working with UNDP is therefore reduced compared to conventional organizations. UNDP has experience in organizing such competitions and in working in cross-ASEAN countries.
Lack of buy-in/commitment from ASEAN countries	<ul style="list-style-type: none"> - External risk; - P: Very low - I: High 	<p>Marine plastic is a common threat to livelihood and bio-diversity of countries in ASEAN. There is now a high-commitment from central governments in all of these countries. From Viet Nam, MONRE (VEA and VAS) have indicated a very strong support to this project. From ASEAN countries, their representatives to the ASEAN Secretariat also indicates strong support to initiatives that help their country fight marine plastic pollution</p> <p>Mitigation measures:</p> <ul style="list-style-type: none"> - The Project board will share frequent information and update to representatives of countries to the ASEAN Secretariat. - Engage with focal points (of ASEAN countries) through any other platforms and regional events relevant to marine plastics/circular economy.
Political risk	<ul style="list-style-type: none"> - External risk; - P: Very low - I: High 	<p>Viet Nam has a stable political environment. The country also has strong leadership of the State and Government bodies and no threats are foreseen with regards to political instability such as riots and extremism activities.</p> <p>Within the Region, Viet Nam has strong bilateral and multilateral ties with ASEAN (especially those countries responsible for the majority of marine plastic pollution, namely: Indonesia, the Philippines, Thailand and Cambodia). Viet Nam will be the Chair of the ASEAN for the term 2020-2011, and Viet Nam and Norway will host an international conference on sustainable ocean economy and climate change adaptation in March 2020. This political landscape puts Viet Nam in a good position to combat marine plastic and protect oceans among ASEAN countries.</p> <p>Mitigation measures:</p> <ul style="list-style-type: none"> - Establish a Project Board comprising of representatives of Norway, Vietnam, UNDP and of participating countries. - The board will frequently analyse macro-level political and socio-economic update and initiate timely actions to ensure that

		the Project is implemented in a stable environment.
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BUDGET PROPOSAL

Project Title : Ending Plastic Pollution Innovation Challenge EPPIC
 Implementing Agency : UNDP Viet Nam
 Duration/Period : 2020- 2022 - 2.5 years

Budget Line	Description	Total Cost (USD)	Y2020	Y2021	Y2022
I. PROGRAMME/ACTIVITY COST					
A. Airfare					
A.1	International Airfare - Participants (ASEAN + long haul; average cost)	41 000,00	12 000,00	22 000,00	7 000,00
A.2	National Airfare - Participants (Travel within the country)	45 600,00	12 000,00	27 600,00	6 000,00
Total Budget for Airfare		86 600,00	24 000,00	49 600,00	13 000,00
B. Per diem					
B.1	Per diem for International participant	17 510,00	5 015,00	9 265,00	3 230,00
B.2	Per diem for National participant	19 920,00	5 200,00	11 520,00	3 200,00
Total Budget for Per diem		37 430,00	10 215,00	20 785,00	6 430,00
C. Meeting Package / Workshop / Seminar					
C.1	Small Meeting Packages, Lunch / Dinner / Meal / Receptions (up to 25 participants)	92 500,00	19 250,00	48 250,00	25 000,00
C.2	Large Meeting Packages, Lunch / Dinner / Meal / Receptions (up to 50 participants)	65 000,00	27 000,00	29 000,00	9 000,00
Total Budget for Meeting Package / Workshop / Seminar		157 500,00	46 250,00	77 250,00	34 000,00
D. Consultant/Expert					



D.1	International Consultant/Expert	193 800,00	56 500,00	98 300,00	39 000,00
D.2	Local Consultant/Expert	293 750,00	108 750,00	161 500,00	23 500,00
Total Budget for Consultant / Expert		487 550,00	165 250,00	259 800,00	62 500,00
E. Contractual services					
E.1	Contractual services-dissemination of information on the start of the EPPIC	22 000,00	11 000,00	11 000,00	
E.2	Contractual services - collaboration with the private sector	30 000,00	10 000,00	20 000,00	
E.3	Contractual services - baseline surveys	60 000,00	30 000,00	30 000,00	
E.4	Contractual services - communication campaigns	80 000,00	20 000,00	30 000,00	30 000,00
E.5	Contractual services - translation services	13 700,00	5 700,00	6 000,00	2 000,00
E.6	Contractual services - Individuals hired by Implementing Partner-long term for Marine Plastic Center	25 000,00	5 000,00	15 000,00	5 000,00
E.7	Contractual services - Individuals hired by Implementing Partner-long term for Incubation Center	15 000,00	5 000,00	10 000,00	
E.8	Contractual services - disseminating lessons learnt throughout the projects carried out in all the ASEAN countries through continuous exchanges with EPPIC winners and main stakeholders.	20 000,00		20 000,00	
E.9	Contractual services - Establishing of the periodic reporting	6 000,00	2 000,00	4 000,00	
E.10	Contractual services - Individuals hired by Implementing Partner-long term for PMU	24 000,00	8 000,00	16 000,00	
E.11	Contractual services - Independent terminal evaluation	15 000,00	5 000,00	5 000,00	5 000,00
E.12	Contractual services - printing services	12 500,00	2 500,00	7 000,00	3 000,00
E.13	Contractual services - Car rental/travel...	29 570,00	5 000,00	20 000,00	4 620,00
E.14	Contractual services - Communication/firm mater	11 000,00		6 000,00	5 000,00
Total Budget for Contractual Services		363 770,00	109 200,00	200 000,00	54 620,00
F. EPPIC awards					

F.1	Grants to Winners of the EPPIC (4 countries in 2 years)	140 000,00	70 000,00	70 000,00	
Total Budget for EPPIC awards					
		140 000,00	70 000,00	70 000,00	0,00
SUB TOTAL OF PROGRAMME COST (I)					
		1 272 850,00	424 915,00	677 435,00	170 550,00
II. OPERATIONAL COST (direct cost)					
G. Administrative					
G.1	Desk cost (for room rent, office supplies, security...)	10 500,00	2 500,00	5 000,00	3 000,00
G.2	Implementation Support Services (ISS) - Direct Project cost	25 000,00	8 000,00	10 000,00	7 000,00
Total Budget for Administrative					
		35 500,00	10 500,00	15 000,00	10 000,00
H. Personnel					
H.1	Staff cost for Programme Manager (40% working time)	67 800,00	22 400,00	32 000,00	13 400,00
H.2	Staff cost for Project Administrative Assistant (50% working time)	54 000,00	18 000,00	24 000,00	12 000,00
Total Budget for Personnel					
		121 800,00	40 400,00	56 000,00	25 400,00
SUB TOTAL OF OPERATIONAL COST (II)					
		157 300,00	50 900,00	71 000,00	35 400,00
SUB TOTAL (I + II)					
		1 430 150,00	475 815,00	748 435,00	205 950,00
III. Contingency 8% (Contingency 8% - requested by Norad)					
IV. UNDP/UN standard management cost (Indirect cost)					
IV.1	UNDP standard management services (8%)	114 405,00	38 065,00	59 875,00	16 472,00
IV.2	UN Levy 1%	15 445,00	15 445,00		
Total UNDP cost recovery					
		129 850,00	53 510,00	59 875,00	16 472,00

TOTAL (I + II + III + IV)	1 560 000,00	529 325,00	808 310,00	222 365,00
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