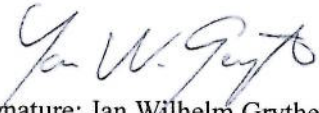
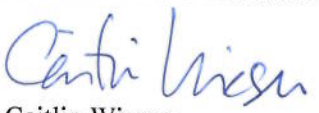


SPECIFIC AGREEMENT

1. Name of Project:	Scaling up a socialised model of domestic waste and plastic management in five cities in Vietnam (DWP5C) (hereinafter the "Project")												
2. Agreement number	UN ref. no: _____, the Donor ref. no SRV-19/0006.												
3. Agreement Start Date:	Upon entry into force in accordance with paragraph 24, below.												
4. Support Period	From September 2019 to 30 December 2021												
5. Agreement End Date:	The Agreement shall expire on 30 December 2021 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:	The Norwegian Ministry of Foreign Affairs.												
7. Recipient:	United Nations Development Programme (UNDP)												
8. Contribution Currency/Amount:	Not exceeding NOK 8,718,000 (including a coordination levy amount of NOK 86,000)												
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>September 2019</td> <td>NOK 1,482,000</td> </tr> <tr> <td>2.</td> <td>March 2020</td> <td>NOK 4,152,600</td> </tr> <tr> <td>3.</td> <td>March 2021</td> <td>NOK 3,083,400</td> </tr> </tbody> </table> <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.	September 2019	NOK 1,482,000	2.	March 2020	NOK 4,152,600	3.	March 2021	NOK 3,083,400
	Tentative payment due date	Currency/Amount											
1.	September 2019	NOK 1,482,000											
2.	March 2020	NOK 4,152,600											
3.	March 2021	NOK 3,083,400											
10. UNDP Bank Account:	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												

11. Recovery Rate for Indirect Costs: (enter Executive Board decision authorizing recovery rate)	8 % of the Contribution charged on the basis of the total expenses incurred from the Contribution as per EB decision DP/2013/9 effective 1 January 2014
12. Project Description and Budget	The Project description and budget are included in Annex I.
13. Remittance Advice to be sent to: (the applicable UN Organization. Please specify the address at unit/division-level, and not to a specific person)	Finance.vn@undp.org ; Climate.Env.vn@undp.org
14. Confirmation of Remittance Receipt to be sent to: (the applicable Donor. Please specify the address at unit/division-level, and not to a specific person)	emb.hanoi@mfa.no Royal Norwegian Embassy 8th Floor, Hanoi Towers 49 Hai Ba Trung, Hanoi, Vietnam
15. Consultations: N/a (check one only if any; strike if not applicable and enter "N/a")	<input checked="" type="checkbox"/> Annual, tentatively in second quarter of each calendar year. <input type="checkbox"/> Other: [pls specify] 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. The purpose of these consultations is to: 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. The documents specified in the Framework Agreement (hereinafter the Framework Agreement) Articles V, VI and VII shall form the basis for the Annual Consultations.
16. Reporting: (if any; strike if not applicable and enter "N/a").	The reporting follows the Framework Agreement, which is Annex 2 of the Agreement. In essence, the recipient shall provide the following reports: 1. Progress reports on results and finances, to be submitted no later than June of each calendar year. 2. Final narrative report, to be submitted no later than 30 June 2022. 3. Final certified financial report, to be submitted no later than 30 June of the year following the financial closing of the Project.
17. Contact Persons:	(a) For the Donor: Name: Mr Jan Wilhelm Grythe Title: Deputy Head of Mission

	<p>Email: jwg@mfa.no Telephone: +8424 39748900</p> <p>(b) <u>For the Recipient:</u> Name: Mr Dao Xuan Lai Title: Assistant Resident Representative, Head of Unit Climate Change and Environment UNDP Viet Nam Email: dao.xuan.lai@undp.org Telephone: +84 90600 2828</p>
<p>18. Annexes: <i>(add additional Annexes as necessary)</i></p>	<p>Annex I: Project description, including Results Framework, Budget; and Description of Risk Management.</p> <p>Annex II: Copy of the Framework Agreement.</p> <p>Annex III: Coordination Levy</p>
<p>19. The Donor agrees to make the Contribution to the Recipient (together with the Donor referred to as the “Parties”), in accordance with the terms of this Specific Agreement and the Framework Agreement for the Project activities as specified in the Project description document.</p>	
<p>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.</p>	
<p>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.</p>	
<p>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.</p>	
<p>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:</p> <p>Name of the account: Klg. Norsk ambassade Hanoi Account no.: 7694 05 13649 IBAN no: NO 85 7694 05 13649</p>	

Currency:	NOK
Name and address of the bank:	DNB Postboks 1600 Sentrum, 0012 Oslo, Norway
Swift/BIC code:	DNBANOKK
The Recipient shall inform the Donor when a repayment is made via e-mail message with remittance information to the Embassy of Norway 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.	
<p>FOR THE NORWEGIAN MINISTRY OF FOREIGN AFFAIRS:</p>  <p>Signature: Jan Wilhelm Grythe Title: Counselor/Charge d'affaires a.i. Date: 9.9.2019</p>	<p>FOR THE UNITED NATIONS DEVELOPMENT PROGRAMME:</p>  <p>Signature: Caitlin Wiesen Title: Resident Representative Date: 9.9.2019</p>

FRAMEWORK AGREEMENT IN THE
FIELD OF DEVELOPMENT
COOPERATION

BETWEEN

THE GOVERNMENT OF NORWAY

AND

UNITED NATIONS DEVELOPMENT
PROGRAMME

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The Government of Norway (hereinafter referred to as "Norway") and the United Nations Development Programme (hereinafter referred to as "UNDP"), (hereinafter collectively referred to as the "Parties"), desiring to further strengthen their cooperation for the purpose of implementing activities which are consistent with and supportive of UNDP's mandate and Strategic Plan, including organisation-wide results framework, hereby agree as follows:

ARTICLE I

Scope and Objectives

1. This Framework Agreement covers non-core contributions, as described in Article II, from the Ministry of Foreign Affairs (hereinafter referred to as "the Ministry"), from the Norwegian Agency for Development Cooperation (Norad), and other Ministries and their subordinate agencies if deemed relevant to UNDP, setting forth the general terms and conditions for such support. Contribution to UNDP's regular resources is not to be covered under this Framework Agreement. This Framework Agreement shall replace the previous Framework Agreement in the field of Development Cooperation between the Norway and UNDP dated 2 December 2003.
2. Programme activities under this Framework Agreement shall be selected, designed and implemented in line with the Strategic Plan approved by the Executive Board of UNDP as well as the relevant policy decisions and guidelines. Thematic support (Type A, below) and other multi-donor support (Type B, below) are preferred modalities for support.
3. Programme activities to be implemented under this Framework Agreement through non-core contributions, in accordance with the directives outlined by the Executive Board of UNDP, are:
 - A: Thematic support at global, regional or country level (Type A: support),
 - B: Earmarked contributions to programmes/projects funded by Norway together with other donors e.g. through multi-donor trust funds or other co-financing modalities (Type B: support),
 - C: Earmarked contributions to programmes/projects funded by Norway as single-donor (Type C: support).
4. The Parties will enter into a separate agreement for each specific contribution, setting forth the specific terms and procedures for such contribution.

Type A: thematic support at global level will be regulated in a Programme Cooperation Agreement (PCA), while Type A: thematic support at regional and country level will be regulated in a specific agreement ("specific agreement").

Type B: support and Type C: support will be regulated in a specific agreement based on agreed templates unless covered by the PCA. A PCA may also include global "Type B" and "Type C: support".

5. The Parties shall strive to ensure that there are no discrepancies between this Framework Agreement and the PCA or the specific agreement. In exceptional cases, the Parties may agree to deviate from specific clauses in the Framework Agreement. If such discrepancies do occur, then the terms of the PCA or specific agreement shall prevail. Should such discrepancies be unintentional, the Parties shall in good faith consult, and if necessary make the required amendment to the PCA/specific agreement.
6. The overall objective of this Framework Agreement is to support the realization of international development goals in developing countries through the work of UNDP and based on the guidance provided in the Quadrennial Comprehensive Policy Review (QCPR). A specific results framework will be included in each PCA/specific agreement.
7. UNDP shall receive and administer support under this Framework Agreement in accordance with UNDP's financial regulations and rules, applicable resolutions of the General Assembly and decisions of UNDP's Executive Board.

ARTICLE II

Contribution

1. Norway shall, subject to Parliamentary appropriations, and on the terms and procedures set out or referred to herein and in the relevant PCA/specific agreement, make available financial contributions to be used exclusively to finance the activities described in or referred to in the PCA/specific agreement.

Based on proposals from UNDP, Norway shall, in the PCA also include the distribution among result areas in the Strategic Plan.

2. Contributions will cover, in addition to direct costs of the activities concerned, expenses for administrative and technical backstopping at the level approved by the Executive Board (the cost-recovery rate). The level will be reflected in the PCA/specific agreement as well as in the financial statements.
3. Disbursement of the contributions will be undertaken upon written requests from UNDP in instalments based on the documented financial need of the activities and

shall take into account that payment shall be made in advance of the implementation of planned activities. Instalments will take place annually or more frequently as agreed in the PCA/specific agreement.

- A: for Type A: Support, contributions shall, unless otherwise agreed, be disbursed to UNDP's General Account upon receipt and assessment of relevant reports as referred to in Articles V, Clause 4 and VI, Clause 1, a)
 - B: for Type B: Support, contributions shall be disbursed to an account specified in the specific agreement upon request from UNDP and receipt and assessment of relevant reports by Norway, as referred to in Articles V, Clause 5, as well as VI, Clause 1, a)
 - C: for Type C: Support, contributions shall be disbursed to an account specified in the specific agreement upon request from the Organisation and receipt and assessment of relevant reports by Norway, as referred to in Articles V, Clause 6, and VI, Clause 1, a)
4. Norwegian contributions shall be made and transferred in Norwegian Kroner (NOK). UNDP shall acknowledge in writing receipt of contributions in Norwegian Kroner as well as the equivalent amount in US dollars at the United Nations operational rate of exchange applicable on the date of each transaction.
 5. UNDP shall administer and account for the funds in accordance with its Financial Regulations and Rules. All financial commitments and expenditure incurred by UNDP with respect to activities financed under this Framework Agreement shall be expressed in US dollars at the United Nations operational rate of exchange applicable on the date of each transaction.
 6. The Parties agree that interest resulting from any contribution hereunder shall be retained by the UNDP and form part of its regular resources, as provided under UNDP's Financial Regulations and Rules.

ARTICLE III

Programming of Funds

1. Contributions to activities under Article I, Clause 3, A shall be allocated on the basis of the organisation-wide or country-specific results framework, as applicable.
2. Contributions to activities under Article I, Clause 3, B or C shall be allocated on the basis of programme/project-documents/proposals or similar submitted by UNDP

3. The programme/project-documents/proposals shall contain a results framework and an accompanying description of risk management. UNDP shall prepare annual results-based work plans and results and cost-based budgets. The plans and budgets shall be discussed with Norway as specified in the PCA/specific agreement. For global type A support the work plan shall consist of the organisation-wide results framework.
4. Activities at country level shall, unless otherwise agreed, be in line with national priorities and plans as reflected in the United Nations Development Assistance Framework or other relevant framework. The Parties agree that the relevant programme country government should, whenever relevant, include any transfer of cash by UNDP to the government, which is financed from contributions made hereunder, in its national budget.
5. To maximize the development effectiveness of activities to be financed under the Framework Agreement, UNDP shall participate in joint analysis and reviews undertaken by the UN Country Team, and pursue collaboration and partnerships with relevant development partners, regardless of source of funding.

ARTICLE IV

Monitoring, Review and Evaluation

1. Norway and UNDP shall promptly inform each other about any condition/event/situation which interferes or threatens to interfere with the successful implementation of any activity financed in full or in part by Norway.
2. UNDP shall be responsible for the monitoring and regular review of activities carried out under this Framework Agreement. For activities under Article I, Clause 3, B and C above, the cost of monitoring and review shall constitute a direct cost to the programme and, therefore, will be paid from the relevant contribution.
3. The evaluation of programmes hereunder shall be subject to the provisions of the UNDP Evaluation Policy as from time to time approved or amended by UNDP's Executive Board.
4. Unless otherwise decided by UNDP's Executive Board, final evaluation reports and management responses, as applicable, are publicly disclosed by UNDP at <http://www.UNDP.org/evaluation/> (or at such other URL as UNDP from time to time may decide).
5. UNDP shall each year, in connection with the annual consultations referred to in Article XIII below, inform Norway about the schedule for reviews and evaluations planned for the following twelve (12) months.

6. Terms of reference for reviews of types B and C: activities, shall be forwarded to Norway at least four (4) weeks in advance for comments. Norway may be invited to participate in the review activities.
7. UNDP shall forward without undue delay to Norway any review and/or evaluation report pertaining to activities funded under this Framework Agreement, or inform Norway that such report is available at UNDP's website, as referred to in Clause 4 above.
8. Norway may, separately or jointly with other partners, take the initiative to evaluate or review its cooperation with UNDP under this Framework Agreement, with a view to determining whether results are being or have been achieved and whether contributions have been used for their intended purposes. UNDP shall be informed about such initiatives and may be invited to join. UNDP shall upon request assist in providing relevant information within the limits of its regulations and rules. All major costs shall be borne by Norway, unless otherwise agreed.

ARTICLE V

Progress Reporting on Results and Finances

1. UNDP shall prepare progress reporting on results and finances. The reporting shall cover the entire activity, not only the Norwegian contribution and display status compared to the previous period.
2. Progress reporting on results shall:
 - compare actual outputs with planned outputs and analyse how these outputs contribute to expected outcomes of the programme/project activities.
 - include information on how financial resources have been distributed among the outcomes and outputs achieved, based on the format of UNDP's organization-wide, country specific or programme/project specific results framework, as applicable,
 - explain major deviations from plans and problems encountered,
 - include a brief account of materialised internal and external risk factors to the programme/project and how these have been handled, and
 - include other information, as relevant, related to the successful implementation of the activities.
3. Progress reporting on finances shall include:
 - For type A support; Information on allocations from regular resources and all forms of other resources as well as an overview of the amount received in thematic funding per donor as well as the total amount of cost recovery.
 - For type B support; Information on income from all donors and actual expenditure including the total amount of cost recovery for the previous

- calendar year comparable to the approved cost-based budget for such previous period.
- For type C support; Information on the amounts received from the contribution and actual expenditure including the total amount of cost recovery for the previous calendar year compared to the approved cost-based budget for such previous period.
4. For activities under Article I, Clause 3, A above, UNDP shall provide the above specified information in annual thematic reports at the appropriate level.
 5. For multi-donor activities under Article I, Clause 3, B above, UNDP shall provide the above specified information in common annual reports.
 6. For single-donor activities under Article I, Clause 3, C above, UNDP shall provide the above specified information in an annual report one month before the annual consultation, or if such a meeting is not held, by 30 of June each calendar year, but in no case earlier than 31 March of each calendar year.
 7. For activities under Article I, Clause 3, B and C above, UNDP shall prepare a final report no later than six (6) months after programme/project completion or termination of the specific agreement. The final report shall give a summary of actual outputs compared to planned outputs for the entire period and analyse how these outputs contribute to the outcomes and impact of the programme/project and reporting on finances as referred to in Clause 3 above.
 8. Norway may request additional information at any time. Such information shall be provided in a timely manner, and to the extent possible within 30 days of the request.

ARTICLE VI

Certified Financial Statements

1. For all Norwegian contributions under this Framework Agreement, UNDP will submit to Norway:
 - (a) One annual financial statement with regard to the Contribution certified by an authorized official of UNDP as of 31 December of the year in question, to be submitted no later than 30 June of the following year;
 - (b) For B and C support; One final financial statement certified by an authorized official of UNDP to be submitted no later than 30 June following the year in which the programme/project was financially completed.

2. All statements referred to under this Article will be expressed in US dollars. In the event that other donors contributed to the Programme (e.g. in the case of Type B: support), the statements will be consolidated, specifying the Contribution from each donor.

ARTICLE VII Audit

1. External and Internal Audit of UNDP:

Any contribution transferred hereunder shall be subject exclusively to the provisions on external and internal audit provided for in UNDP's Financial Regulations and Rules as well as its financial policies and procedures.

2. Audit of Implementing Partners:

The part of any contribution transferred by UNDP to implementing partners for activities towards the implementation of the programme shall be audited as provided under UNDP's Financial Regulations and Rules as well as its financial policies and procedures. Such audits are performed by external audit professionals designated by UNDP or by a government's supreme audit institution. It is understood that the external audit professionals may be either individual or corporate persons (such as an audit or accounting firm).

3. Disclosure of external audit reports prepared by the United Nations Board of Auditors on the audit of the financial statements of UNDP:

(a) The reports on the audits of the financial statements of UNDP by the United Nations Board of Auditors become public documents by reason of being transmitted through the Advisory Committee (*i.e.* the Advisory Committee on Administrative and Budgetary Questions, or "ACABQ") to the United Nations General Assembly.

(b) External audit reports of UNDP will be publicly disclosed by the United Nations Board of Auditors at <http://www.un.org/en/auditors/board/reports.shtml>, or at such other URL as the Board of Auditors may from time to time decide and at the website of UNDP's Executive Board.

4. Disclosure of Internal Audit Reports:

- 4.1 Unless the Executive Board otherwise decides, internal audit reports shall be publicly disclosed by UNDP's Director, Office of Audit and Investigation, subject to the limitations contained in the relevant decisions of the Executive Board.

- 4.2 Internal audit reports shall be publicly disclosed by UNDP's Director, Office of Audit and Investigation at <http://audit-public-disclosure.undp.org> or at such other URL as the Director, Office of Audit and Investigations from time to time may decide.
- 4.3 For purposes of this Article VII, the term "internal audit report" shall mean the final report resulting from an audit issued by the Director, Office of Audit and Investigation, to the UNDP Administrator and the auditees for their consideration and for the implementation of recommendations, unless otherwise defined in any policy approved by UNDP's Executive Board.
5. Disclosure of Audit Reports concerning Implementing Partners:
 - 5.1. Upon request, UNDP shall provide Norway with summaries of available audit reports that cover programmes implemented by national institutions or NGOs and that are in receipt of funding from Norway.
 - 5.2. Upon written requests, audit reports prepared by external audit professionals designated by UNDP and audit reports prepared by a government's supreme audit institution, on the activities of an implementing partner towards the implementation of programmes, will be disclosed by UNDP to Norway. Such written requests shall be in a standard form and format as from time to time decided by UNDP.
 - 5.3 It is understood that disclosure as provided in Clause 5.2 of this Article shall be contingent upon UNDP having obtained written consent to such disclosure from the Implementing Partner.
6. Norway may reasonably request additional explanations or consultations at any time. Additional explanations shall be provided in a timely manner and, to the extent possible within 30 days of the request, subject to UNDP's regulations, rules, policies and procedures.

ARTICLE VIII

Procurement

In implementing the activities financed under this Framework Agreement, UNDP shall effect all procurement of goods and services in accordance with UNDP's policies, rules and procedures for procurement. UNDP will engage in international competitive bidding as its preferred procurement method and, make reasonable efforts to encourage the participation of local suppliers in the relevant developing countries when procuring goods and services.

ARTICLE IX
Conflict of Interests

1. The Parties agree that it is important to take all necessary precautions to avoid conflicts of interest and corrupt practices. To this end, UNDP shall continue to maintain standards of conduct that govern the performance of its staff, including the prohibition of conflicts of interest and corrupt practices in connection with the award and administration of contracts, grants, or other benefits, as set forth in the Staff Regulations and Rules of the United Nations, the UNDP's Financial Regulations and Rules, and UNDP's Procurement Procedures.

2. In accordance with United Nations Staff Regulation 1.2, a "conflict of interest occurs when, by act or omission, a staff member's personal interests interfere with the performance of his or her official duties and responsibilities or with the integrity, independence and impartiality required by the staff member's status as an international civil servant. When an actual or possible conflict of interest does arise, the conflict shall be disclosed by staff members to their head of office, mitigated by the Organization and resolved in favour of the interests of the Organization."

ARTICLE X
Recognition

UNDP shall make every effort to ensure that publications and communications hereunder, press releases or other information material issued by UNDP with respect to any activity financed under the Framework Agreement, clearly indicate that the activities in question have received funding from Norway in all cases subject to security and safety considerations of UNDP.

ARTICLE XI
Property and Equipment

The ownership of assets paid for in whole or in part from the contributions under this Agreement shall be determined by reference to UNDP's regulations, rules, policies and procedures. The transfer of ownership of such assets by UNDP shall also be done in accordance with UNDP's regulations, rules, policies and procedures, and, as applicable, in accordance with UNDP's agreements concluded with the relevant host Government and any implementing partners.

ARTICLE XII
Public Access to Intellectual Property

1. Unless otherwise provided for in UNDP's regulations, rules, policies and procedures or UNDP's agreements concluded with the relevant host Government and/or any implementing partners, intellectual property produced as a result of activities financed in whole or (without prejudice to other funding arrangements) in part from contributions under this Agreement, shall be managed in a way that maximizes their public accessibility and allows the broadest possible use. Published reports produced as a result of activities financed in whole or in part from contributions under this Agreement shall, as far as possible and appropriate, be placed in the public domain for non-commercial use.
2. Transfer of ownership of such intellectual property by UNDP shall be done in accordance with UNDP's regulations, rules, policies and procedures, and, as applicable, in accordance with UNDP's agreements concluded with the relevant host Government and any implementing partners also in the spirit of securing them as a common global good.

ARTICLE XIII
Annual Consultations

1. For support governed by a PCA, UNDP and Norway shall hold annual consultations. Unless otherwise agreed, UNDP shall convene and chair the consultations, which shall be held at a mutually agreed date and place. UNDP shall draft agreed minutes of the meeting and submit these within three weeks to Norway for comments and approval. Each Party shall bear their own costs for participating in such consultations.
2. The consultations shall deal with the following issues:
 - i) exchange of views on major strategic issues;
 - ii) review of results of the activities implemented during the previous year, progress and challenges in ongoing activities, as well as the financial situation; and
 - iii) review of relevant evaluations.
3. For Type A, B, and C support not covered by a PCA, consultations will be specified in the specific agreement.

ARTICLE XIV

Financial irregularities

1. The Parties have a zero tolerance for fraud, corruption and any other financial irregularities. The zero tolerance policy applies to all staff members, consultants and other non-staff personnel, institutional contractors, implementing partners and beneficiaries of the grant funds.
2. Both Norway and UNDP are firmly committed to prevent, detect and manage fraud, corruption and other financial irregularities. Consistent with the UN Charter, the Standards of Conduct for the International Civil Service, the United Nations Staff Rules and Regulations, and UNDP's financial rules and regulations and procurement policies, UNDP will use reasonable efforts to ensure that the utilization of the Contribution conforms to the highest standard of ethical conduct and that every part of UNDP, as well as all individuals acting on behalf of UNDP, observe the highest standard of ethics and integrity.
3. UNDP, in accordance with its regulations, rules and directives, will ensure that any allegations of fraud, corruption and other financial irregularities in connection with the implementation of programmes/projects under this Framework Agreement are reported to the Office of Audit and Investigations (OAI) in a timely and accurate manner. Credible allegations will be investigated by OAI and assessed in accordance with its regulations, rules, policies and procedures. OAI will give notification on a confidential basis to the Director of the Foreign Service Control Unit, Ministry of Foreign Affairs of any investigations or action that it is undertaking or proposes to undertake in relation to allegations of fraud, corruption and other financial irregularities involving any activities funded in whole or in part with contributions made under this Framework Agreement, to the extent that such notification is consistent with OAI's regulations, rules, policies and procedures, protecting the probity and confidentiality of investigations and the due process rights of those under investigation. UNDP shall keep the Foreign Service Control Unit regularly informed of results of the implementation of such actions, including where relevant, details of any recovery of funds
4. The Parties may in addition exchange information in accordance with the Memorandum of Understanding between the Foreign Service Control Unit in the Ministry and the OAI of UNDP.
5. Following the conclusion of any investigation which identifies fraud, corruption and other financial irregularities, involving any activities funded in whole or in part with contributions made under this Framework Agreement, UNDP will;
 - a) Use reasonable efforts to recover any part of the contributions, which OAI has established as being diverted through fraud or corruption;

- b) In connection with (a) above, in consultation with the UN Office of Legal Affairs, give proper consideration to referring the matter to the appropriate authorities of the UN member state where the fraud, corruption or other financial irregularities is believed to have occurred and;
 - c) Assess and apply appropriate risk mitigating actions, including the option to withhold payment(s) to operations affected by financial irregularities where the risks of financial irregularities impacting the delivery of results within the activity remains high;
 - d) Undertake the relevant administrative proceedings through the UNDP Legal Support Office or the Vendor Review Committee, as appropriate;
 - e) Ensure repayment to Norway in accordance with Article XV, Clause 2 below.
6. In the event that Norway reasonably believes that timely and appropriate action has not been taken, it may request direct consultations at a senior level between Norway and UNDP in order to obtain assurance that UNDP's oversight and accountability mechanisms have been and are being fully applied in connection with such suspicions.

Article XV Reservations

1. Norway reserves its right to withhold disbursement in full or in part to an activity
 - if affected by credible allegations of fraud, corruption and any other financial irregularities that risk impacting the delivery of results within the activity
 - if contractual and/or reporting and accounting obligations are not met
 - if there are substantial deviations from agreed plans and budgets, if the programmes/projects develops unfavorably in relation to goal and objectives while paying due attention to the risk for not achieving results in complex development situations.
2. In the event that any part of the contribution is determined by UNDP to have been lost due to fraud, corruption or any other financial irregularities, such loss will be dealt with in accordance with the applicable financial regulations, rules, policies, procedures and directives of UNDP. Further, in respect of such amount which UNDP has been able to recover regarding programmes/projects or activities, such amount will be returned to the programme/project or activities for which the contribution was intended, and where the programme/proeject or activities for which the contribution was intended has or have been concluded or terminated, the Parties shall consult to decide whether the amount shall be re-programmed at Norway's instructions or returned to Norway at such bank account as determined by Norway on a pro rata basis as applicable. In respect of such amount that has

not been recovered, UNDP shall do its utmost to maintain its efforts to recover such funds. UNDP agrees to continue consultations with Norway and members of the Executive Board, with a view of determining a mutually agreeable solution, and in the interim, agree to discuss such issues on a case by case basis.

3. Before withholding any disbursements or claiming repayment, the Parties shall consult with a view to reaching a solution to the matter.

ARTICLE XVI

Final Provisions

1. This Framework Agreement shall enter into force upon signature by both Parties.
2. Nothing in the present Framework Agreement shall be understood as a waiver of the immunities and privileges of the United Nations of which UNDP is an integral part.
3. This Framework Agreement may be amended through an addendum between the Parties, following appropriate consultations.
4. This Framework Agreement shall remain in force unless terminated by mutual agreement, or by one Party providing to the other Party a written notice of termination. Upon termination of this Framework Agreement, and unless otherwise mutually agreed by the Parties, the Framework Agreement shall remain in force with respect to any PCA/specific agreements entered into prior to the termination of the Framework Agreement as long as any of these agreements are in force.
5. Any unspent balance of the total contribution under any PCA or specific agreement that remains after the financial closing of the relevant programme/project or upon termination or completion of the PCA or other agreements financed under this Framework Agreement that total less than NOK 500 (Norwegian Kroner Five Hundred), shall be credited to UNDP's regular resources. Any balance exceeding that amount shall be returned to Norway, net of all fees, charges and foreign exchange losses.
6. Any dispute, which may arise between the Parties as to the interpretation, application or performance related to this Framework Agreement or any PCA/specific agreement under this Framework Agreement, shall be settled by negotiation.

IN WITNESS WHEREOF the undersigned, acting on behalf of their respective Parties, have signed this Framework Agreement in two originals in the English language.

Done in Oslo, 14 December 2015

Tone Strøgen

For the Government of Norway

[Signature]

For the United Nations Development
Programme

PROJECT: SCALING UP A SOCIALISED MODEL OF DOMESTIC WASTE AND PLASTIC MANAGEMENT IN FIVE CITIES IN VIET NAM (DWP5C)
LOCATION: Ha Long, Quy Nhon, Mui Ne, Binh Duong, and Da Lat¹
DURATION: SEPTEMBER 2019 – DECEMBER 2021

1. BACKGROUND

Solid waste management will be one of the major development challenges for decades to come, with an especially heavy burden on emerging and fast-growing economies such as Viet Nam. This is due, in large part, to the increase in per capita waste generation coupled with increase in per capita income.

In Viet Nam, the amount of solid waste generated per capita is continuously increasing. CO₂ emissions from the waste sector are projected to triple by 2030 to reach over 48 MtCO₂. Vietnamese² households generated 1.5 kg of solid waste daily in 2012, a figure that is projected to reach 1.8 kg by 2025.

The plastic industry in Viet Nam has grown in recent years at a rate exceeding 16 percent per annum. The packaging industry in Viet Nam had a share of the plastic market of around 37 percent in 2015. In the same year, the packaging sector was valued at US\$4.3 billion. Unsustainable waste management, especially of plastics, has severe consequences for the Vietnamese population who live in urban areas, for those who are reliant on ecosystems as their primary source of livelihoods, and for the tourism industry. Illegal dumps and openly burned waste lead to numerous adverse health effects, such as respiratory infections caused by the release of fine particles. The decomposition of organic waste in landfills further contributes to methane generation, a greenhouse gas (GHG) with a global warming potential 28 times higher than CO₂. In addition, hazardous components of waste contaminate soils and groundwater, rendering it unsustainable for drinking and harming aquatic life.

Effective solid waste management is closely related to socio-economic development, including public health, private sector development, environmental protection, and gender equality. Ensuring the adequate and rigorous enforcement of waste management policies and regulations is an essential component of effective waste management. Effective solid waste management and reduction of marine plastics are essential for environmental and ocean protection as well as for sustainable development as a whole. They contribute to the achievement of SDG1 'No Poverty,' SDG3 'Good Health,' SDG5 'Gender Equality,' SDG9 'Industry Innovation and Infrastructure,' SDG11 'Sustainable Cities,' SDG14 'Life Below Water,' and SDG15 'Life on Land.'

Building on the success of the Socialised Domestic Waste Management project³, implemented by the city of Hoi An in 2010-2012, this project will replicate and expand the approach and models to five sites: Ha Long, Quy Nhon, Mui Ne, Binh Duong, and Da Lat.

¹ In consultation with SINTEF, 1-2 location may change to ensure linkages and complementary with the SINTEF project.

² As a comparison, in 2012 the Philippines generated 0.50 kg per capita per day and Thailand 1.8 kg per capita per day.

³ The project was funded by the UNDP-hosted GEF Small Grants Programme (SGP) with \$50,000 in GEF funds complemented by \$38,000 in co-financing.

2. SUCCESSFUL PRACTICE IN HOI AN: A SOCIALISED MODEL OF DOMESTIC WASTE MANAGEMENT

Hoi An Ancient Town is classified as a National Cultural Heritage Site and received over 12 million tourists in 2017. During 2010-2012, the city of Hoi An was generating about 75 tons of waste daily, from households, restaurants, hotels, markets, schools, offices, streets, and public places. Waste collection was conducted by the Hoi An Public Works Agency (PWA), informal collecting groups, and local scrappers. Three main issues were identified: (i) waste generally unsegregated at the source, (ii) inefficient access by scrappers to recyclable waste, and (iii) uncontrolled waste disposal in the commons of the city, as well as along rivers, beaches, and other undeveloped land areas.

In that context, with the funding of the UNDP-GEF Small Grants Programme (SGP), UNDP implemented an innovative project entitled 'Building a Socialised Model of Domestic Waste Management in Hoi An', with a total funding of \$50,000 from GEF and \$38,000 in co-financing from local authorities and communities.

The Hoi An project successfully built and applied a socialised model of domestic waste management, with four key activities:

- (i) fostering coordination and partnership with local authorities;
- (ii) strengthening the management of domestic waste in collaboration with communities through establishment of groups (collection groups, trader groups, loan facility groups);
- (iii) undertaking awareness campaigns and training courses;
- (iv) compilation, appraisal, and dissemination of lessons learned.

The project generated commendable results, including:

- Enhanced organisation of waste collection activities at the community level, with better equipped, more efficient collection communities. 4 community organisations were created: a waste trader group, a loan facility group for waste stakeholders, a trolley waste collection group, and a bicycle waste collection group.
- Enhanced purchasing modalities through the creation of waste trader groups comprised of purchasing agents who are able to buy from the better-organised street collectors and channel purchased waste more efficiently to the 17 larger waste purchasing facilities serving Hoi An.
- Strengthened technical and management capacity of the Hoi An Public Work Agency, the organisation in charge of waste management.
- Catalyzation of various radio and TV programme broadcasts and contests about environmental protection took place.
- Recorded increase in collected waste of 56 percent and a reduction of landfill waste of 70 percent as a result of segregation and differentiated treatment of waste into biodegradable waste for compost, recycled waste for sale to larger facilities, and remaining inorganic fractions for landfill.
- Recorded increase in the revenue of women waste collectors of 42 percent. They received \$6,270 in loans, bought 27 trolleys and 35 bicycles, and expanded their zone of influence and operation in the city.

Long-term benefits of the Hoi An SGP project:

The successful pilots used in the Cam Thanh and Thanh Ha wards of Hoi An, and the supportive policies developed, have been adopted as the city model for socialised waste management. It has since spawned further campaigns to reduce the use of plastic bags in the Hoi An market, to commemorate the new socialised model through the naming of new infrastructure, and to support the development and promotion of "bio-cultural" tourism products in Hoi An.

In addition, there were also broader socioeconomic impacts with respect to poverty alleviation, job creation, women's empowerment, enhanced access to finance, enhanced shared societal responsibility and collaboration to address local waste management, and a better level of awareness overall.

3. SYNERGY/COMPLEMENTARITY WITH SINTEF'S PROJECT

- This "Scaling up a Socialised Model of Domestic Waste and Plastic Management in Five Cities in Viet Nam", hereinafter called "DWP5C" project will have synergies with the OPTOCE (Ocean Plastics Turned into an Opportunity in Circular Economy) project, under SINTEF's "Norwegian Development Assistance Program Against Marine Litter and Microplastics", through two aspects: (1) provide joint technical support in selected cities/localities aiming to improve waste and plastic collection and management; and (2) the DWP5C's expected outputs of collecting non-recyclable plastic waste will serve as inputs to the co-processing in cement kilns of the SINTEF project.
- The collaboration activities will include: jointly work with local authorities and communities to raise awareness and enhance capacity and systems for sustainable management of domestic waste and plastic waste; and socialised collection and classification of waste, including non-recyclable plastics for OPTOCE's pilot activities on co-processing and the circular economy. Waste to energy is a cost-effective solution to use non-recyclable waste streams, which would eventually end up in landfills or in the oceans. Jointly working with local authorities to introduce innovative policies and tools to reduce the production and consumption of single-use plastic products will help create a shift toward more sustainable production and consumption patterns, using more environmentally-friendly products.

4. PROJECT EXPECTED IMPACTS

The project activities, outcomes and outputs will result in the following impacts:

- Contribution to environmental protection in 5 target cities and in Viet Nam, through the reduction of unsegregated waste and uncontrolled waste disposal which are important sources of marine, soil and air pollution. Raising awareness, understanding, social norms toward environmental protection will contribute to a shift toward sustainable production and consumption patterns, including using more environmentally-friendly alternative materials and products. The better quality environment will contribute to the greater health and wellbeing of communities.
- Enhanced the recognition of the informal sector and the linkages and coordination between the informal and formal sector will contribute to the cost-effective and efficient management of waste and plastics in the targeted cities. The project experiences on empowerment of waste collectors, especially women, and the important contribution of informal sector, will help to incorporate the role and contribution into the policy frameworks to enable the informal sector's contribution to economic development and its better linkage with the formal sector.
- Enhanced capacity and actions by the government authorities and local stakeholders toward sustainable domestic waste and plastic management, through development and enforcement of innovative policies and regulations.
- Contribution to poverty reduction through increase of income of informal workers, in particular women and their families. The project will help to create new and safer jobs for targeted groups.
- Promotion of gender equality and women's empowerment by collaborating and partnering with local Women's Unions and women's organisations. The project will prove the crucial roles women have in their communities with respect to environmental protection. The revolving funds to be managed by women union, with full participation of its members, will enable participating women and women's organisation to exercise their power and capacity to manage the fund and bring benefits for themselves.

5. PROJECT FRAMEWORK AND COMPONENTS DESCRIPTION

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

This objective will be met through the achievement of five key outputs:

- Five effective models of domestic waste management in five cities, which are replicable and scalable in other locations in Viet Nam. The project will improve the performance of the informal sector for waste collection and recycling. Further,

It will enhance linkages and coordination of all stakeholders in order to contribute to the effective and cost-efficient management of waste in the targeted cities, resulting in the reduction of unsegregated waste and uncontrolled waste disposal. Key success and best practices will be documented and disseminated to foster replication and scale-up to other localities.

- Enhanced regulatory framework and capacity of the local authorities and stakeholders. The project will build the capacity of the local government and stakeholders, including formulation and implementation of locally new policies and regulations for waste management, reduce production and use of single-use plastics, as well as production and consumption of environmental friendly products.
- Increased awareness and participation of all stakeholders in reducing single-use plastic and in improving waste management. The project will implement communication campaigns, on-site trainings, and workshops to raise awareness of the negative impacts that waste and plastic have on the environment and to empower all citizens to take actions. It will promote a circular economy approach, environmentally-friendly alternative materials, and sustainable production and consumption patterns.
- Increased income and safety of the waste picker groups. The project will empower these groups as economic actors by providing them with health and safety training and productive tools to participate actively and make contribution to and participate in waste collection and management in cities.
- Innovation and information platforms created and promoted. The project will encourage greater collaboration between the private sector, startups, researchers, associations and local government authorities to find innovative solutions to waste and plastic pollution. It will also set-up a knowledge platform to make reliable data available.

Component 1: Replicating the socialized model of waste management in other cities

This component aims to replicate the successful model in Hoi An in five cities, with the same model's objectives to increase the rate of solid waste collection and treatment through (i) enhanced partnership with local stakeholders, (ii) capacity building and financial support to the informal waste scrappers through Women's Unions, (iii) awareness raising among the local communities and tourists, and (iv) dissemination of results.

The four sub-components of the Hoi An Model are the same. However, depending on the city, tailored strategies⁴, activities and requirements will be designed and modified to meet context-specific needs. In some locations, the project will support investment in plastic, paper, and metal shredders, as these allow for reduction of waste at the place of collection, thereby reducing transportation costs. In others, such as Ha Long, the project recognises the unique ecosystem and the specific requirements regarding transport of the waste collectors and tourism, such as the necessity of providing boats and other equipment for the waste collectors to carry out the activities.

Key Activities

1. Undertake a mapping and assessment of the waste management system, including the governance structure and network, the waste auditing system, policy, and infrastructure in the replication areas and survey of waste collectors and traders. The mapping will function as a baseline for identifying and designing project activities.
2. Develop partnerships and capacity building activities, such as promoting the establishment of city-level public partnership platform and dialogues with the local Office of Natural Resources and Environment, Public Work Authority, NGOs, CSOs, local Women's Union and private enterprises. The project will build capacity for participating stakeholders

⁴ In 2014, Ha Long generated more than double at 616 tonnes per day.

by applying a Training-of-Trainers approach to ensure that training is maintained within local waste management authorities.

3. Map out and establish the core groups (such as: trolley / bicycle waste collector groups; waste trader groups; loan facility groups) in collaboration with the local Women's Union. The primary aim of this activity is to reinforce the capacity and effectiveness of the informal waste scrapper network, which is mostly comprised of women workers, without disrupting existing value chains. The project will provide technical support to these core groups on occupational health and safety, as well as training on collecting, sorting, and recycling standards. The project will develop and disburse loan facilities to support procurement of equipment (e.g. bicycles, trolleys or simple boats) for the groups. The project will also connect the waste collectors to recycling centres and plants in the area and ensure that efforts to address the problem do not negatively affect local livelihoods.
4. Undertake advocacy and awareness on domestic waste management. The project will develop and implement a communication action plan, including development of communication materials for target groups and organization of undertaking off-line events (e.g. local cultural events, public contests). These will empower communities by providing ways in which everyone can act as agents of change. The Project will also promote knowledge exchange between five participating cities on best practices for waste management, recycling, and combatting plastic pollution.
5. Monitor and evaluate the progress against quantitative indicators established during the baseline. Compilation and dissemination of lessons learned as well as policy recommendations.

Component 2: Circular Economy Approach to Solid Waste Management, with special focus on recycling plastic waste

This component is proposed to expand and scale up the Hoi An successful model to a more systemic, circular economy approach to reducing and recycling waste. A circular economy strives to maximize the circulation of products, components and materials and the value bound to them as much as possible in the economy from raw materials to design to production to distribution to consumption to collection to recycling and back to design (see Annex 1 – A Circular Economy Approach). The circular economy can be effective in reducing plastic pollution if a two-pronged approach is employed (see downstream and upstream approach in Annex 1).

Component 2 is designed to have three sub-components of 2.1 awareness raising and behavioral change, 2.2 innovative policy and regulation and 2.3 a business accelerator and knowledge exchange platform.

Sub-component 2.1: Awareness raising and behavioral change strategy to reduce plastic production and consumption and encourage recycling

Raising awareness regarding the damage caused by solid waste -especially plastics - cause and the ways in which everyone can contribute to fixing the environmental problem is essential. Therefore, this sub-component focuses on advocacy and communication campaigns, aiming to reduce the production and consumption of single-use plastics through promoting behaviour change among producers and the public.

Key Activities for Downstream

- Develop and implement an awareness and communications campaign, aiming to promote greater awareness and understanding of (i) the need to use resources in ways that are not wasteful and damaging to the environment promoting the use of alternative materials and, (ii) the different types of waste, and how to recycle.
- Carry out a specific communications campaign for tourists, aiming to raise awareness on the threats that plastic pollution presents, how to handle them, and how to take part in preserving the natural habitat in tourist sites.
- Carry out a targeted campaign for enterprises on the segregation of waste on their own premises.
- Promote behaviour change of local communities through design and dissemination of information, introduction of innovative incentive schemes to encourage the community to recycle their domestic waste and change to plastic alternatives.

- Provide training to local government officials on management, treatment and disposal of waste.

Key Activities for Upstream

- Undertake a targeted campaign for local enterprises to reduce packaging in their production and use alternative materials.
- Organise a consultation workshop for local government officials on understanding the importance of reducing plastic and other materials in industry.
- Conduct training and advocacy aimed at enterprises regarding the generation of single-use materials such as plastics.

Sub-component 2.2: Innovative policies and regulation on single-use plastics

Building on excellent global efforts to date, over 127 countries have adopted or are in the process of adopting some form of legislation to regulate plastic bags and the importance of policy and regulatory frameworks in waste management. This sub-component focuses on advocacy, policy formulation and implementation, and promotion of alternatives. One of the first activities under this sub-component is to conduct a holistic plastic-life cycle assessment in one of the 5 selected city to gain a full picture of the plastic lifecycle: from production to consumption and disposal. It is essential to have a better knowledge and understanding where the plastic comes from, what types of plastic are being used, by whom and for what, in order better identify the main source of pollution and hence identify the priority sources. This assessment will map the drivers of plastics (producers), their users and usage (downstream) and identify what the main sources of leakage into the ocean are.

Key Activities for Downstream

- Undertake policy advocacy to inform about the negative externalities of plastic waste, and offer assistance to local governments in creating a roadmap to reduce plastics and enhance waste management in their locality.
- Provide technical support in creating a policy and regulatory framework to enhance recycling measures and improve the infrastructure and capacity of the waste management system.

Key Activities for Upstream

- Deep dive in one pilot city to map out the full lifecycle of plastic.
- Assess and map out potential single-use plastics to be banned (e.g. straws, bags, etc.)
- Catalyze a regulatory sandbox in the local Government to test new and innovative ways to reduce plastic in the community, such as banning plastic bags, straws, or creating financial incentives to recycle domestic waste at localities.
- Enhance knowledge and experimentation of the Government officials and private sector leadership on corporate regulations on production and consumption of materials such as plastics in products, services, and operations.

Sub-component 2.3: Business Accelerator & Knowledge Sharing Network

Companies have a pivotal role to play in changing the unsustainable dynamic of plastic use. The consumer goods industry in particular is aware that the customers are already voting with their feet, shunning companies that do not phase out single-use plastic products and waste. Therefore, it is important that private sector acts in combatting plastic pollution through innovating and experimenting with alternative materials. UNDP has been promoting a platform approach, which brings together various stakeholders in all stages of generating, adopting and adapting new innovations. The platform also builds on the global network of 60 Accelerator Labs in the world and utilizes collective intelligence in accelerating learning

around frontier policy challenges. This is the component where the building of partnerships, detailed mapping, identification of gaps and opportunities, and design and plan for the other components of the project can occur.

Key Activities

- Undertake economic analysis of options and development of a roadmap to replace single-use plastics with locally produced alternatives for enterprises.
- Encourage enterprises to innovate and experiment around the use of alternatives, create financial incentives for the enterprises and a Business Case for Circularity to further encourage the use of alternatives.
- Establish a knowledge portal for repository and sharing of data and information pertaining to the project, which is accessible to the stakeholders.
- Establish a partnership consisting of relevant stakeholders from private sector, governments, UN agencies, interest groups, among others with clear roles and responsibilities.

6. CO-FINANCE AND CONTRIBUTION FROM PROJECT PARTNERS

- Co-finance and contribution from 5 city authorities, communities and stakeholders are made both in case and in kind
- A total of approximate 270,000⁵ in cash and in-kind will be contributed by the local Government to the component 1, throughout 2.5 year of the project implementation.
- Other in-kind contribution will be made by the local partners such as Women's Unions, the Public Work Authority, Government departments and agencies, and participating associations in the five cities have committed to make in-kind contributions to the project activities. These will include public awareness activities, creation of platforms/dialogues, support to waste collectors, and support to regular meetings of the taskforce. Local authorities have also committed to help facilitate connections between waste collector groups and recycling centers or plants.

7. RISK ASSESSMENT AND MITIGATION

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

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

Mitigation measures:

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

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

The project will be directly implemented by UNDP, under the well-established framework and mechanism of the UNDP-GEF Small Grant Programme, which has a National Steering Committee, Standard Operational Procedures, and applies UNDP's global standard Social and Environmental safeguards. As a result, the Project execution will take advantage of existing knowledge and practice, effective communication channels and coordination network with local partners.

⁵ Please refer to the project logical framework

Mitigation measures: UNDP will also work with Provincial People's Committees, authorities and associations in all the 5 provinces to further strengthen collaboration for the project execution and avoid any ad-hoc issues. As environmental protection and waste management are the issues which receive priority from the Government, it is most likely that the project will receive strong support and welcome by both authorities and local communities.

(iii) Financial/corruption risk: Very low

(1) UNDP-GEF Small Grant Programme grant:

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

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

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

The Revolving loan will be managed by local Women Union, who has mandates to receive, manage and disburse the fund from UNDP. The main concern is how to define the beneficiaries and how the fund will be disbursed and managed for the designed purpose/objective.

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

In this project, SGP will also partners with local Women Unions in the design, management, operation and monitoring and evaluation of the revolving loan.

Mitigation measures:

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

(iv) Social and cultural risk: very low

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

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

(v) Safety and security risk: very low

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

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

8. LOGICAL FRAMEWORK OF THE PROJECT

COMPONENTS	OUTPUT INDICATORS	TARGETS	SOURCES OF VERIFICATION	ACTIVITIES	PLANNED BUDGET 2019-2021		Co-Finance from authorities & stakeholders
					TOTAL Nok	Total US	In-case & In-kind (USD)
REPLICATING THE SOCIALISED MODEL OF DOMESTIC WASTE MANAGEMENT IN 5 CITIES	<ul style="list-style-type: none"> #studies on the system of SWM, in 5 cities # capacity building action plan # revolving loan funds established & managed by Women's Union # increase in income of the loan recipient # citizens (women) received trainings on SWM in 5 cities % increased awareness on the issue of waste and plastic 	5	Project Report	1.1 Assessment of the status of solid waste management systems in 5 cities	324,000	37,000	
		5	Project Report	1.2 Building capacity of the local actors	219,000	25,000	
		5	Project Report	1.3 Establishment & functioning of and technical support to the unions of waste collectors	2,848,000	325,000	250,000
		30%	Project Report	1.4 Communication & Awareness Raising campaigns	438,000	50,000	20,000
		600	Project Report	1.5 Monitoring and Evaluation of the project	131,000	15,000	
		40%	Project Report	1.6 Project staff	613,000	70,000	
			Mid-term & final evaluation report	1.7 Provide technical inputs from design project to activity implementation by experts/specialists	219,000	25,000	
			1.8 UNDP technical staffs to provide technical guidance, review and quality assurance.	175,000	20,000		
			1.9 Travels	45,000	5,000		
			SUBTOTAL			5,012,000	572,000

ANNEX - COORDINATION LEVY

UNITED NATIONS GENERAL ASSEMBLY RESOLUTION A/RES/72/279

The present Annex is an integral part of the Agreement SRV-19/0006.

Pursuant to paragraph 10(a) of United Nations General Assembly Resolution A/RES/72/279 (31 May 2018), the Donor agrees that an amount corresponding to 1% of the total contribution to UNDP shall be paid to finance the United Nations Resident Coordinator System. This amount, hereinafter referred to as the "coordination levy" will be held in trust by UNDP until transfer to the United Nations Secretariat for deposit into the United Nations Special Purpose Trust Fund, which has been established to finance the United Nations Resident Coordinator System and is managed by the United Nations Secretariat.

The Donor acknowledges and agrees that once the coordination levy has been transferred by UNDP to the United Nations Secretariat, UNDP is not responsible for the use of the coordination levy and does not assume any liability. The fiduciary responsibility lies entirely with the United Nations Secretariat as the manager of the Resident Coordination System.

The Donor acknowledges and agrees the coordination levy does not form part of UNDP's cost recovery and is additional to the costs of UNDP to implement the activity or activities covered by the contribution. Accordingly, there is no obligation for UNDP to refund the levy, in part or in full, even where the activities covered by the contribution are not carried out in full by UNDP. As deemed necessary by the donor, however, 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.

UNDP will not administer the coordination levy. UNDP will not report on the use of the coordination levy. UNDP does not have any liability on the use of the coordination levy by the United Nations Secretariat. Clarifications on the administration, reporting and/or use of the coordination levy by the United Nations Secretariat shall be discussed by the Donor and the United Nations Secretariat on bilateral basis.

A Contribution of NOK 8.632.000 (Eight million six hundred and thirty two thousand Norwegian Krone) is made under the Agreement. In addition to the Contribution amount, the Donor is paying a coordination levy amount of NOK 86.000 (Eighty six thousand Norwegian Krone. This coordination levy amount will be transferred to UNDP at the bank account indicated in the Agreement immediately after its signature.