



## **Supporting the Implementation of the National Action Plan on Marine Plastic Litter in the context of Green Recovery post-COVID 19 in Viet Nam**

### **Part I: Project Information**

#### **GEF ID**

11017

#### **Project Type**

MSP

#### **Type of Trust Fund**

GET

#### **CBIT/NGI**

**CBIT No**

**NGI No**

#### **Project Title**

Supporting the Implementation of the National Action Plan on Marine Plastic Litter in the context of Green Recovery post-COVID 19 in Viet Nam

#### **Countries**

Viet Nam

#### **Agency(ies)**

UNDP

#### **Other Executing Partner(s)**

Ministry of Natural Resources and Environment

#### **Executing Partner Type**

Government

#### **GEF Focal Area**

International Waters

#### **Taxonomy**

Demonstrate innovative approaches, Influencing models, Transform policy and regulatory environments, Deploy innovative financial instruments, International Waters, Focal Areas, Mangrove, Biomes, Coastal, Large Marine Ecosystems, River Basin, Freshwater, Strategic Action Plan Implementation, Pollution, Persistent toxic substances, Plastics, Private Sector, Stakeholders, Individuals/Entrepreneurs, SMEs, Partnership, Type of Engagement, Information Dissemination, Consultation, Participation, Non-Governmental

Organization, Civil Society, Trade Unions and Workers Unions, Community Based Organization, Communications, Behavior change, Awareness Raising, Public Campaigns, Beneficiaries, Indigenous Peoples, Local Communities, Gender Mainstreaming, Gender Equality, Sex-disaggregated indicators, Gender-sensitive indicators, Women groups, Gender results areas, Knowledge Generation and Exchange, Access to benefits and services, Participation and leadership, Innovation, Capacity, Knowledge and Research, Learning, Theory of change, Adaptive management, Indicators to measure change

**Sector**

**Rio Markers**

**Climate Change Mitigation**

Climate Change Mitigation 1

**Climate Change Adaptation**

Climate Change Adaptation 1

**Duration**

48 In Months

**Agency Fee(\$)**

190,000.00

**Submission Date**

5/10/2022

**A. Indicative Focal/Non-Focal Area Elements**

| <b>Programming Directions</b>  | <b>Trust Fund</b> | <b>GEF Amount(\$)</b> | <b>Co-Fin Amount(\$)</b> |
|--------------------------------|-------------------|-----------------------|--------------------------|
| IW-1-3                         | GET               | 2,000,000.00          | 11,000,000.00            |
| <b>Total Project Cost (\$)</b> |                   | <b>2,000,000.00</b>   | <b>11,000,000.00</b>     |

## B. Indicative Project description summary

### Project Objective

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

| <b>Project Component</b> | <b>Financing Type</b> | <b>Project Outcomes</b> | <b>Project Outputs</b> | <b>Trust Fund</b> | <b>GEF Amount(\$)</b> | <b>Co-Fin Amount(\$)</b> |
|--------------------------|-----------------------|-------------------------|------------------------|-------------------|-----------------------|--------------------------|
|--------------------------|-----------------------|-------------------------|------------------------|-------------------|-----------------------|--------------------------|

| Project Component  | Financing Type       | Project Outcomes   | Project Outputs   | Trust Fund | GEF Amount(\$) | Co-Fin Amount(\$) |
|--|----------------------|--|---|------------|----------------|-------------------|
| Component 1: Enabling Policy Framework on marine plastic effectively implemented | Technical Assistance | Outcome 1.1: National Action Plan on management of marine plastic litter effectively implemented in Vietnam, with a special focus on food and beverage sectors | <p>Output 1.1.1. The impacts on plastic pollution of COVID 19 mitigation measures related to food handling/packaging assessed and mitigation measures identified and applied in Binh Dinh province (in relation to Output 2.1.3)</p> <p>Output 1.1.2: The operationalization of the NAP through the development of indicators and corresponding baselines and targets supported and a Monitoring and Evaluation Framework at the national level put in place.</p> <p>Output 1.1.3: Available funding mechanisms from public and private sources (VEPF, EPR, PRO-Vietnam) to support NAP implementation explored</p> | GET        | 350,000.00     | 1,800,000.00      |

| Project Component   | Financing Type | Project Outcomes  | Project Outputs   | Trust Fund | GEF Amount(\$) | Co-Fin Amount(\$) |
|---|----------------|---|---|------------|----------------|-------------------|
| Component 2: Capacity building and behavior change in relevant sectors (e.g. food and beverage) to accelerate the transition towards a Circular Economy in Binh Dinh Province | Investment     | Outcome 2.1: A life-cycle approach is applied to enhance the waste and plastic management in the food and beverage sectors in Binh Dinh as pilot province for future country-wide replication | <p>Output 2.1.1: Plastic waste segregation at source (including COVID-19 waste) supported; recovery and re-use schemes including the establishment of waste banks and deposit and return schemes linked to the Material Recovery Facility in Quy Nhon, Binh Dinh province.</p> <p>Output 2.1.2: Schemes to reduce single use plastic in the food and beverage sectors supported, including (i) upstream prevention of SUP through command-and-control instruments such as regulations banning use in particular sub-sector (ii) Application and/or replication of innovative and proven solutions building on the activities of EPPIC (Ending Plastic Pollution Innovation Challenge) project to complete the life cycle approach in marine plastic pollution focusing on Binh Dinh province.</p> <p>Output 2.1.3 The NAP localized</p> | GET        | 1,300,000.00   | 6,877,500.00      |

| Project Component  | Financing Type       | Project Outcomes   | Project Outputs   | Trust Fund | GEF Amount(\$) | Co-Fin Amount(\$) |
|--|----------------------|--|---|------------|----------------|-------------------|
| Component 3: Knowledge Management, Monitoring and Evaluation | Technical Assistance | Outcome 3.1:<br><br>Initiate the replication and update of best practices and lessons learned in Vietnam and ASEAN | Output 3.1.1:<br>Knowledge exchange with other cities and provinces in Viet Nam through Viet Nam NPAP and other country's plastic partnerships facilitated.<br><br>Output 3.1.2:<br>Knowledge exchange with other ASEAN countries through the ASEAN Working Group on Coastal and Marine Environment facilitated.<br><br>Output 3.1.3:<br>National awareness and communication campaigns at national level toward behavioral change conducted with the aim of reducing the use of single-use plastics and proper plastic waste disposal<br><br>Output 3.1.4:<br>Project monitoring and evaluation, including monitoring and evaluation framework carried out | GET        | 255,000.00     | 1,800,000.00      |

| Project Component                    | Financing Type | Project Outcomes | Project Outputs     | Trust Fund            | GEF Amount(\$)       | Co-Fin Amount(\$)    |
|--------------------------------------|----------------|------------------|---------------------|-----------------------|----------------------|----------------------|
|                                      |                |                  |                     | <b>Sub Total (\$)</b> | <b>1,905,000.00</b>  | <b>10,477,500.00</b> |
| <b>Project Management Cost (PMC)</b> |                |                  |                     |                       |                      |                      |
| GET                                  |                |                  | 95,000.00           |                       | 522,500.00           |                      |
| <b>Sub Total(\$)</b>                 |                |                  | <b>95,000.00</b>    |                       | <b>522,500.00</b>    |                      |
| <b>Total Project Cost(\$)</b>        |                |                  | <b>2,000,000.00</b> |                       | <b>11,000,000.00</b> |                      |

Please provide justification

**C. Indicative sources of Co-financing for the Project by name and by type**

| <b>Sources of Co-financing</b> | <b>Name of Co-financier</b>   | <b>Type of Co-financing</b> | <b>Investment Mobilized</b> | <b>Amount(\$)</b>    |
|--------------------------------|---|-----------------------------|-----------------------------|----------------------|
| Recipient Country Government   | Vietnam Administration of Seas and Islands                            | Grant                       | Investment mobilized        | 1,900,000.00         |
| Recipient Country Government   | Vietnam Administration of Seas and Islands                            | In-kind                     | Recurrent expenditures      | 100,000.00           |
| Recipient Country Government   | Binh Dinh Provincial People's Committee                               | Grant                       | Investment mobilized        | 3,750,000.00         |
| Recipient Country Government   | Binh Dinh Provincial People's Committee                               | In-kind                     | Recurrent expenditures      | 250,000.00           |
| Donor Agency                   | Norwegian Government (Norad and Norwegian Ministry of Foreign Affair) | Grant                       | Investment mobilized        | 4,000,000.00         |
| Private Sector                 | Fishermen Association, hotels, restaurants in Binh Dinh Province      | Equity                      | Investment mobilized        | 1,000,000.00         |
| <b>Total Project Cost(\$)</b>  |   |                             |                             | <b>11,000,000.00</b> |

**Describe how any "Investment Mobilized" was identified**

Although detailed and further sources of co-financing will be identify during PPG phase, preliminary co-financing defined at this stage are as follow: Vietnam Administration of Seas and Islands is the focal point Department to implement the National Action Plan on marine plastic litter, therefore it is allocated funding from state budget for this work. Beside the in-kind contribution of USD 100,000, it can mobilize grant from different investment windows up to USD 1,900,000 in the course of 4 years. Binh Dinh Provincial People's Committee is committed to improve waste management in the upcoming time, therefore it is expected to mobilize around USD 4,000,000 from from provincial budget. UNDP is currently implementing 3 projects funded by Norwegian Government, focusing on waste, plastic, hence this USD 4,000,000 co-financing is confirmed. Lastly, private sectors including fishery association, hotels, restaurants who are expected to join the project pilot will also be co-financing contributors when they make investment on improving waste management in their business.

**D. Indicative Trust Fund Resources Requested by Agency(ies), Country(ies), Focal Area and the Programming of Funds**

| <b>Agency</b>                  | <b>Trust Fund</b> | <b>Country</b> | <b>Focal Area</b>    | <b>Programming of Funds</b> | <b>Amount(\$)</b>   | <b>Fee(\$)</b>    | <b>Total(\$)</b>    |
|--------------------------------|-------------------|----------------|----------------------|-----------------------------|---------------------|-------------------|---------------------|
| UNDP                           | GET               | Viet Nam       | International Waters | International Waters        | 2,000,000           | 190,000           | 2,190,000.00        |
| <b>Total GEF Resources(\$)</b> |                   |                |                      |                             | <b>2,000,000.00</b> | <b>190,000.00</b> | <b>2,190,000.00</b> |

**E. Project Preparation Grant (PPG)**

PPG Required **true**

**PPG Amount (\$)**

50,000

**PPG Agency Fee (\$)**

4,750

| <b>Agency</b>                  | <b>Trust Fund</b> | <b>Country</b> | <b>Focal Area</b>    | <b>Programming of Funds</b> | <b>Amount(\$)</b> | <b>Fee(\$)</b>  | <b>Total(\$)</b> |
|--------------------------------|-------------------|----------------|----------------------|-----------------------------|-------------------|-----------------|------------------|
| UNDP                           | GET               | Viet Nam       | International Waters | International Waters        | 50,000            | 4,750           | <b>54,750.00</b> |
| <b>Total Project Costs(\$)</b> |                   |                |                      |                             | <b>50,000.00</b>  | <b>4,750.00</b> | <b>54,750.00</b> |

## Core Indicators

**Indicator 5 Area of marine habitat under improved practices to benefit biodiversity (excluding protected areas)**

| Ha (Expected at PIF)   | Ha (Expected at CEO Endorsement)     | Ha (Achieved at MTR)     | Ha (Achieved at TE)     |
|--|--------------------------------------|--------------------------|-------------------------|
| <b>Indicator 5.1 Number of fisheries that meet national or international third party certification that incorporates biodiversity considerations</b> |                                      |                          |                         |
| Number (Expected at PIF)   | Number (Expected at CEO Endorsement) | Number (Achieved at MTR) | Number (Achieved at TE) |

Type/name of the third-party certification

**Indicator 5.2 Number of Large Marine Ecosystems (LMEs) with reduced pollutions and hypoxia**

| Number (Expected at PIF) | Number (Expected at CEO Endorsement) | Number (achieved at MTR) | Number (achieved at TE) |
|--------------------------|--------------------------------------|--------------------------|-------------------------|
| 1                        | 0                                    | 0                        | 0                       |

| LME at PIF | LME at CEO Endorsement | LME at MTR | LME at TE |
|------------|------------------------|------------|-----------|
|            |                        |            |           |

**Indicator 5.3 Amount of Marine Litter Avoided**

| Metric Tons (expected at PIF) | Metric Tons (expected at CEO Endorsement) | Metric Tons (Achieved at MTR) | Metric Tons (Achieved at TE) |
|-------------------------------|---|-------------------------------|------------------------------|
|                               |   |                               |                              |

**Indicator 9 Reduction, disposal/destruction, phase out, elimination and avoidance of chemicals of global concern and their waste in the environment and in processes, materials and products (metric tons of toxic chemicals reduced)**

| Metric Tons (Expected at PIF) | Metric Tons (Expected at CEO Endorsement) | Metric Tons (Achieved at MTR) | Metric Tons (Achieved at TE) |
|-------------------------------|---|-------------------------------|------------------------------|
| 1,000.00                      | 0.00                                      | 0.00                          | 0.00                         |

Indicator 9.1 Solid and liquid Persistent Organic Pollutants (POPs) removed or disposed (POPs type)

| POPs type | Metric Tons (Expected at PIF) | Metric Tons (Expected at CEO Endorsement) | Metric Tons (Achieved at MTR) | Metric Tons (Achieved at TE) |
|-----------|-------------------------------|---|-------------------------------|------------------------------|
| Select    | 1,000.00                      |   |                               |                              |

Indicator 9.2 Quantity of mercury reduced (metric tons)

| Metric Tons (Expected at PIF) | Metric Tons (Expected at CEO Endorsement) | Metric Tons (Achieved at MTR) | Metric Tons (Achieved at TE) |
|-------------------------------|---|-------------------------------|------------------------------|
|                               |   |                               |                              |

Indicator 9.3 Hydrochlorofluorocarbons (HCFC) Reduced/Phased out (metric tons)

| Metric Tons (Expected at PIF) | Metric Tons (Expected at CEO Endorsement) | Metric Tons (Achieved at MTR) | Metric Tons (Achieved at TE) |
|-------------------------------|---|-------------------------------|------------------------------|
|                               |   |                               |                              |

Indicator 9.4 Number of countries with legislation and policy implemented to control chemicals and waste (Use this sub-indicator in addition to one of the sub-indicators 9.1, 9.2 and 9.3 if applicable)

| Number (Expected at PIF) | Number (Expected at CEO Endorsement) | Number (Achieved at MTR) | Number (Achieved at TE) |
|--------------------------|--------------------------------------|--------------------------|-------------------------|
|                          |                                      |                          |                         |

Indicator 9.5 Number of low-chemical/non-chemical systems implemented, particularly in food production, manufacturing and cities (Use this sub-indicator in addition to one of the sub-indicators 9.1, 9.2 and 9.3 if applicable)

| Number (Expected at PIF) | Number (Expected at CEO Endorsement) | Number (Achieved at MTR) | Number (Achieved at TE) |
|--------------------------|--------------------------------------|--------------------------|-------------------------|
|                          |                                      |                          |                         |

Indicator 9.6 Quantity of POPs/Mercury containing materials and products directly avoided

| Metric Tons (Expected at PIF) | Metric Tons (Expected at CEO Endorsement) | Metric Tons (Achieved at MTR) | Metric Tons (Achieved at TE) |
|-------------------------------|---|-------------------------------|------------------------------|
|                               |   |                               |                              |

Indicator 11 Number of direct beneficiaries disaggregated by gender as co-benefit of GEF investment

|               | <b>Number<br/>(Expected at<br/>PIF)</b> | <b>Number (Expected at<br/>CEO Endorsement)</b> | <b>Number<br/>(Achieved at<br/>MTR)</b> | <b>Number<br/>(Achieved<br/>at TE)</b> |
|---------------|---|---|---|--|
| <b>Female</b> | 125,000                                 |   |   |  |
| <b>Male</b>   | 125,000                                 |   |   |  |
| <b>Total</b>  | 250000                                  | 0   | 0                                       | 0                                      |

Provide additional explanation on targets, other methodologies used, and other focal area specifics (i.e., Aichi targets in BD) including justification where core indicator targets are not provided

## Part II. Project Justification

### 1a. Project Description

1) the global environmental and/or adaptation problems, root causes and barriers that need to be addressed (systems description); 2) the baseline scenario and any associated baseline projects, 3) the proposed alternative scenario with a brief description of expected outcomes and components of the project; 4) alignment with GEF focal area and/or Impact Program strategies; 5) incremental/additional cost reasoning and expected contributions from the baseline, the GEFTF, LDCF, SCCF, and co-financing; 6) global environmental benefits (GEFTF) and/or adaptation benefits (LDCF/SCCF); and 7) innovation, sustainability and potential for scaling up.

*1) the global environmental and/or adaptation problems, root causes and barriers that need to be addressed (systems description)*

In Southeast Asia, rapid economic growth has led to an immense increase in the use of plastic, especially for packaging of consumer goods. Unfortunately, waste management systems in the region have not kept pace. In Thailand, for example, only around half the waste is collected, while in Malaysia and the Philippines, just 15 percent is safely disposed of. Vietnam is seen as one of the top plastic consumers worldwide. Its plastic consumption per capita has increased by 11 times, from 3.8 kilograms in 1990 to 41 kilograms in 2015. Viet Nam alone produces annually 1.8 million tons of plastic waste, which is increasing by 16 percent every year while only 27 percent is currently recycled. This result in discharging about 280,000-730,000 tons of marine plastic debris each year, ranking fourth among the top 20 nations in plastic waste volume.

The management of municipal solid waste in Vietnam, especially outside urban areas, is not effective, resulting in a large amount of mis-managed waste entering the environment and ending up in the sea. This is not a country problem, but regional and global problem. Plastic pollution has also seen a significant increase during the COVID-19 due to the increased use of packaged and delivery food, and the use of personal protective equipment (PPE) that includes face masks, face shields, gowns, etc) which are in most cases manufactured with syntetic fibers.

In the country, a lot of plastic is recycled in recycling villages which process plastic waste without any environmental protection measures and burn the non-recyclable plastic directly in the open (see for instance <https://e.vnexpress.net/news/business/industries/near-hanoi-a-village-welcomes-trash-3963717.html>). Craft villages such as Minh Khai, outside Hanoi, had more than 900 households

recycling plastic scraps, processing 650 tonnes of plastics per day. In recycling villages like that, only 70-75% of the plastic waste is recycled, whilst 25-30% is discarded as non-recyclable and very often ends up in open burning with release of PCDD/F, particulate matter and other pollutants. Large amount of wastewater from washing is discharged each day without proper treatment from these informal recycling areas. An unresolved lack of proper regulation and norms creates negatives externalities of recycling notably causing serious environmental pollution due to the use of out-of-date technologies lacking treatment functions. The entire community at local and global level may get affected of the pollution generated in recycling villages.

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The COVID-19 pandemic has increased the use of single-use plastic items for different reasons. As already explained, the first cause is the huge increase in the use of face masks, which is obviously needed to reduce infection risk. Until materials, technologies, and guidelines for reusable face masks are not available, it is expected that this type of waste will continue to be generated in large quantity. Beside that, the COVID-19 has changed the behavior of people in a way which is not sustainable. Single-use plastic packaging, as well as single use foodware, glasses and tableware is perceived as safe and clean, and the use of food and shop delivery, with the associated single-use plastic bags and containers has increased significantly.

Although the touristic boom in Viet Nam has slowed down during the first years of the pandemic due to the restrictions associated with international and partially also local travel, it is likely that this new habit of high usage of single use plastic items will be still in place when Viet Nam will again open its doors to international tourism. Provinces with high touristic vocation like Binh Dinh face therefore this risk of double impact.

Binh Dinh Province which is situated on the coast of middle Central Viet Nam runs 110 km north-south with a natural land area of approx. 6,025km<sup>2</sup> plus 36,000km<sup>2</sup> of sea waters. Binh Dinh borders Quang Ngai, Gia Lai and Phu Yen Provinces on the north, west and south respectively. It has a steep elevation and sloping land from west to east. All of the rivers flowing through the province are short and are often flooded during the wet season whilst dry during the hot season. There are four main rivers, namely, Kon, Ha Thanh, La Tinh, and Lai Giang Rivers.

## *2) the baseline scenario and any associated baseline projects,*

The Vietnamese Prime Minister recently signed the Decision 1746/QĐ-TTg dated 4th December 2019 approving the National Action Plan (NAP) on Marine Plastic Litter, which sets the following targets to be achieved by 2025: ?Reduction of marine plastic litter by 50%; collection of 50% of the abandoned, lost or discarded fishing gear; 80% of coastal tourism areas, tourist attractions, tourist accommodations and other coastal tourism services stop using single-use plastics and non-biodegradable plastic bags; ensure nationwide beach cleanup campaigns are launched at least twice a year; and 80% of marine

protected areas are without plastic. In spite of the introduction of the NAP and its ambitious targets, little has been done and the country needs much greater effort and capacity to fully implement and reach the targets by 2025 and 2030. Indeed, the NAP did not result in the promulgation of any circular or technical guideline, and a significant risk does exist that, without a renovated effort, the NAP would not be implemented.. The coordination between stakeholders is also not clear, as several ministries are involved in the NAP: MOIT (plastic manufacturing), MONRE (plastic waste importation; VEA and VASI), MARD (fishery, marine protected areas).

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

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

In spite of the above, even the efforts planned under the NAP are still too much focused on "end of pipe" activities (waste recycling, collection, clean-up, disposal) rather than on up-stream activities aimed at the avoidance of single-use plastic items or the promotion of reusable foodware. Also, there are not yet guidances in place that would allow for the safe reuse of protective face masks, to partially reduce the generation of this waste.

*3) the proposed alternative scenario with a brief description of expected outcomes and components of the project;*

## **Component 1: Enabling Policy Framework on marine plastic effectively implemented**

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

*Output 1.1.1. The impacts on plastic pollution of COVID 19 mitigation measures related to food handling/packaging assessed and mitigation measures identified and applied in Binh Dinh province (in relation to Output 2.1.3)*

The impact of the COVID-19 on plastic pollution has been diverse and complex, as testified by several research articles published in 2021 (Silva et al., Increased plastic pollution due to COVID-19 pandemic: Challenges and recommendations, *Chem Eng J.* 2021 Feb 1; 405: 126683; European Environment Agency, <https://www.eea.europa.eu/highlights/covid19-in-europe-increased-pollution>, etc.). Beside the direct pollution effect associated with single-use face masks, the massive increase of delivery services ? first of all food delivery, but also other services and goods during lock-down period? has generated quite a massive amount of waste from single-use plastic (SUP). Under this output the project will assess the current and past, direct and secondary impact of COVID-19 on plastic pollution, and identify the most urgent measures and strategies to prevent plastic pollution from SUP in the COVID-19 recovery phase and beyond. These measures will include both upstream (SUP reduction and prevention, packaging design, etc.) to down-stream (enhanced segregation and collection including face masks, reuse and recycle, etc.). The impact of these proposed measures in term of plastic waste avoidance, reduction of POPs and U-POPs, and marine plastic avoidance will be also assessed and the associated financial cost and benefit for each proposed measure estimated.

*Output 1.1.2: The operationalization of the NAP through the development of indicators and corresponding baselines and targets supported and a Monitoring and Evaluation Framework at the national level put in place.*

The NAP includes as key tasks the prevention of marine plastic pollution from i. land sources, ii. marine sources (like fishery and tourism) and iii. reduction of the pollution at sea through cleaning of coastal shorelines, and collection of plastic waste in the ocean and rivers. Under this output, secondary norms and circulars will be developed to render the NAP implementable and operational, with specific reference to the development of realistic, science based target and indicators, and clear road maps for the implementation of measures in the above areas.

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

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

*4) alignment with GEF focal area and/or Impact Program strategies;*

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

The proposed PIF will strengthen integration across the broader CO portfolio, particularly through its link to circular economy and chemical & waste management for Viet Nam, with following key projects and activities:

? ?Scaling Up a Socialised Model of Domestic Waste and Plastic Management? supported by Norway to develop integrated, green and fair models to improve domestic waste and plastic management, in five Vietnamese cities including Quang Ninh, Da Nang, Binh Dinh, Binh Thuan and Binh Duong.

? ?Ending Plastic Pollution Innovation Challenge? supported by Norway to bring together citizens, local governments, and the private sector to identify pressing issues and collaborate in implementing effective solutions, in four countries - including Viet Nam, Thailand, Indonesia and The Philippines. The Project also supports capacity building in Viet Nam for the prevention and reduction of plastic pollution, and networking and experience sharing in ASEAN countries are strengthened. This includes accelerating the implementation of Decree 26/NQ-CP to establish a 5-year-plan and comprehensive plan to implement Resolution 36/NQ-TQ of the Central Party Sustainable Development of the Blue economy, which is very much in line with the GEF focal area of International Water objective.

? ?Scaling-up Integrated and Inclusive Waste Management Models through Empowering the Informal Sector and Fostering the Circular Economy? supported by Norway aims to deploy and test interventions, including direct support for the informal waste workers, a management model in the fishery sector, and an ecosystem-level approach of value chains through the establishment of a Material Recovery Facility, which will be piloted in Quy Nhon, Binh Dinh province.

? UNDP Vietnam and MONRE launched the Vietnam Circular Economy Hub in October 2021. This is a new public private partnership platform to raise capacity of Vietnamese stakeholders to accelerate the transition to circular economy in the country.

? UNDP has been an active member of the Viet Nam National Plastic Action Partnership (NPAP) and currently under discussion of taking the role of hosting the Viet Nam NPAP.

Beside waste and plastic project, UNDP Vietnam also owns a substantial portfolio of chemical projects. The upcoming GEF funded project "Reduce the impact and release of mercury and POPs in Vietnam through lifecycle approach and Ecolabel", expected to be approved by the GEF in June Council Meeting, also targets sustainable green financing for reduction of Mercury and POP in the different industrial process, including waste and plastic operation.

*5) incremental/additional cost reasoning and expected contributions from the baseline, the GEFTF, LDCF, SCCF, and co-financing;*

| Baseline | Alternative Scenario |
|----------|----------------------|
|----------|----------------------|

The National Action Plan on the management of marine plastic litters, establishing ambitious targets related to the reduction of plastic waste released into the sea, has been promulgated in 2019.

The NAP includes as key tasks the prevention of marine plastic pollution from i. land sources, ii. marine sources (like fishery and tourism) and iii. reduction of the pollution at sea through cleaning of coastal shorelines, and collection of plastic waste in the ocean and rivers

That plan still lacks a practical implementation in term of emanation of circulars and secondary laws to regulate the single chapters of the plan, appropriate funding, and technical capacity. Indeed, the NAP did not result in the promulgation of any circular or technical guideline, and a significant risk does exist that, without a renovated effort, the NAP would not be implemented.

The implementation of the NAP became even more urgent after the COVID-19 pandemic, as the pandemic generated a significant amount additional plastic waste which eventually reach the ocean.

Under the project, secondary norms and circulars will be developed to render the NAP implementable and operational, with specific reference to the development of realistic, science based target and indicators, and clear road maps for the implementation of measures in the above areas.

The project will assess the current and past, direct and secondary impact of COVID-19 on plastic pollution, and identify the most urgent measures and strategies to prevent plastic pollution from SUP in the COVID-19 recovery phase and beyond.

Furthermore, a funding scheme based on private and public source for the prevention and remediation of marine pollution will be explored. That will envisage, for instance, the channelling of some of the resources generated by the EPR recently established under the Law of Environmental Protection to implement action aimed at preventing marine pollution; the establishment of a marine plastic platform, coordinated by VASI, to coordinate efforts being undertaken by private entities and international firms which are undertaking voluntary actions aimed at preventing plastic pollution in compliance with their environmental policies.

In Vietnam, a solid regulatory basis for a better management of municipal waste, the reduction of plastic pollution, the implementation of the polluter pay principles, and the enhancement of a circular economy has been established in the recent years.

Beside the National Action Plan on marine plastic litter issued in 2019, the Vietnam Environmental Protection Law 2020 has been recently updated with provisions related to the EPR mechanism in Vietnam and general criteria for the implementation of circular economy.

In reality, as described in the baseline section of this PIF, the situation on the management of plastic waste is still disappointing. The Country alone produces annually 1.8 million tons of plastic waste, which is increasing by 16 per cent every year while only 27 per cent is currently recycled. This result in discharging about 280,000-730,000 tons of marine plastic debris each year, ranking fourth among the top 20 nations in plastic waste volume.

Plastic pollution has also seen a significant increase during the COVID-19 due to the increased use of packaged and delivery food, and the use of PPEs (face masks, face shields, gowns, etc) which are in most cases manufactured with synthetic fibers.

In the country, a lot of plastic is recycled in recycling villages which process plastic waste without any environmental protection measures and burn the non-recyclable plastic directly in open areas

The project will reinforce and support the baseline in the following ways:

Under Component 2 of the project, capacity building and behaviour change in relevant sectors (e.g. food and beverage) will be implemented to accelerate the transition towards a Circular Economy in the Binh Dinh Province taken as pilot province.

This will envisage the support for the segregation at source of plastic waste, (including COVID-19 waste) and the establishment of recovery and re-use schemes including the establishment of waste banks and deposit and return schemes linked to the Material Recovery Facility in Quy Nhon, Binh Dinh province.

Pilot activities will be identified in Binh Dinh in cooperation with key enterprises, including enterprises operating in the tourism and fishing-sectors and in the food/beverage sector which are directly related to the up-stream prevention of single use plastic

Incentive scheme to achieve and support the ban of single-use plastic, will be explored. The province will be therefore assisted by the project in the science-based assessment (through existing LCA analyses for specific plastic items ) of environmentally sound alternatives to Single Use Plastic , which may include not only material replacement, but also behavioural change.

Furthermore, schemes to reduce single use plastic in the food and beverage sectors will be supported, including (i) upstream prevention of SUP through command-and-control instruments such as regulations banning use in particular sub-sector (ii) The project will apply or replicate the innovative and proven solutions launched under the EPPIC project to complete the life cycle approach in marine plastic pollution focusing on Binh Dinh province.

On the basis of the above initiatives, the NAP will be localized through the formulation of a Provincial Action Plan, with special focus on the upstream and downstream reduction in the food and beverage sectors

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

6) *global environmental benefits (GEFTF) and/or adaptation benefits (LDCF/SCCF);*

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

The project will result therefore in the reduced pollution load along the coast of the pilot province of Binh Dinh, which may be tentatively estimated as 13,400 hectares km<sup>2</sup> (134 km length of Binh Dinh coast x 1 km wide). This is in line with Objective 1 ? Strengthening Blue Economy opportunities - of the GEF 7 International Waters Focal area, with specific reference mainly to the area of strategic actions addressing pollution reduction in marine environments, and indirectly through sustaining healthy coastal and marine ecosystems and catalyzing sustainable fisheries management.

As a co-benefit, it may be anticipated that the project will result in a significant avoidance of abandoned and/or improperly disposed plastic waste of plastic entering the coastal water of Viet Nam, with an associated reduction of CO<sub>2</sub>, and a significant reduction of U-POPs associated with the avoidance of open burning of non-recyclable plastic.

#### *7) innovation, sustainability and potential for scaling up*

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

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

Secondly, CO has engaged with the UNDP Accelerator Lab team who is leading a social lab process with innovation and experiment. Beside the Vietnam Circular Economy Hub created at the national level, the CO team is working with Quy Nhon city to deploy and test interventions, including direct support for the informal waste workers, a management model in the fishery sector, and an ecosystem-level approach of value chains through the establishment of a Material Recovery Facility. Furthermore, the CO will collaborate with the BRH innovation team to explore potential opportunities on sustainable tourism for learning/coordination across COs in the region.

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

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

#### **1b. Project Map and Coordinates**

**Please provide geo-referenced information and map where the project interventions will take place.**

Project will be implemented nationwide (for policy and awareness raising component) and key interventions in Binh Dinh province. Binh Dinh is province showing in the map in the Annexes.

#### **2. Stakeholders**

**Select the stakeholders that have participated in consultations during the project identification phase:**

**Indigenous Peoples and Local Communities**

**Civil Society Organizations** Yes

**Private Sector Entities** Yes

**If none of the above, please explain why:**

**In addition, provide indicative information on how stakeholders, including civil society and indigenous peoples, will be engaged in the project preparation, and their respective roles and means of engagement**

The Ministry of Natural Resources and Environment, which is responsible for the implementation of plastic NAP and Binh Dinh PPC has been already engaged during the formulation of the idea.

At this stage, the local communities including the women union and fishery union have not been consulted yet due to travel restrictions related to COVID 19. Formal consultation will be conducted during PPG phase. This will be undertaken through dedicated meetings, site visits, project preparation

workshops (introduction and validation workshops), a procedure which is always implemented by UNDP CO in the course of the preparation of projects, to ensure commitment and buy in of beneficiaries, and to fine tune projects' outputs with the needs of beneficiaries.

Concerning the specific engagement of women's group and leaders, this Project will build on an existing project with Binh Dinh Women Union on waste and plastic management. Having this Project means we can provide further support to women, especially women who play a key role in recycling and waste management.

To increase the commitment and ownership of local communities and stakeholder who might be affected by the projects, consultation will be undertaken with communities at projects sites, waste workers, hotels, restaurant, retailers, single use plastic producers and consumers especially in food sector, recyclers, fishermen etc. It has to be noted that the pilot of the MRF under a Norway funded project has been consulted with local stakeholders in Binh Dinh and got consensus for implementation.

Preliminary roles of key stakeholder groups and their engagement in the project

| Stakeholders  | Role   | Engagement in the Project  |
|---|--|--|
| Ministry of Natural Resources and Environment (MONRE) | MONRE is a government entity of the national administration structure performing state management functions in the areas of waste, marine. | MONRE will be accountable for the Government of Viet Nam for ensuring (1) the successful execution of the Project; (2) mobilization of all resources including the needed co-financing for project implementation; and (3) the coordination among all related ministries, agencies, provinces (if necessary) and stakeholders involved in project execution. |
| Provincial Government (Binh Dinh People's Committee)  | Binh Dinh PPC is a government entity in charge of all socio-economic development in Binh Dinh province                                     | Binh Dinh PPC will be responsible for implementing specific activities of the project in Binh Dinh province. The PPC may assign and coordinate different departments such as DONRE, DARD with specific activities.   |
| Communities   | People of Binh Dinh  | People of Binh Dinh, especially those who live in project piloting area will be joining waste sorting at source, exercising deposit-return scheme, which is designed by the Project.   |

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| Private sector      | Food and beverage companies, hotels, restaurant in Binh Dinh; plastic recycling industries | These companies, especially those in Binh Dinh will be engaged in implementing EPR scheme, deposit return program, and encouraged to reduce, reuse and recycle plastic and other recyclable materials.  |
| Fishery association | Fishery association at central and local level   | The National Fishery Association will be invited to provide input to policy formulation and the provincial Association is expected to participate in project activities, especially encourage fish boats to bring back waste when coming back from the sea. |
| Women Union         | Women Union in Binh Dinh province  | Input to policy formulation, especially policy in Binh Dinh province. The Union is very important to engage women informal waste workers.   |

### 3. Gender Equality and Women's Empowerment

**Briefly include below any gender dimensions relevant to the project, and any plans to address gender in project design (e.g. gender analysis).**

There has been much progress in Vietnam on gender equality during the 10 years of implementation of the Law on Gender Equality. According to the General Statistics Office (2018), women account for 49.65% of the labor force. However, there are still many gender gaps for women, especially in terms of job opportunities and wages . According to the MOLISA report in 2020, female workers account for nearly half of the national labor force, but employment is not stable and unsustainable. The average monthly income of female workers is only about 80% of that of men . A wage gap (13%) still exists between men and women, and female workers are mainly engaged in low-paid jobs in the informal sector that are outside the scope of the Labor Code and are not access to social protection services.

In Vietnam, The Gender Policy Concept Paper and the Gender Policy Strategic Action Plan have been promulgated to achieve gender equality. However, policy documents, especially in the field of environment, still lack for a concrete implementation of objectives recommended by the above Paper and Action Plan. For example, the National Program on occupational safety and health for the period 2016-2020 (Prime Minister's Decision 05/QD-TTg, January 5, 2016), Circular 41/2013/TT-BTNMT stipulating procedures for certifying environmentally friendly products and related MONRE Decision to implement

Circular 41/2013/TT-BTNMT. Especially, Decision 154/QD-BTNMT dated 25 January 2014 introduces list of criteria for 14 types of industry.

Vietnamese women are mainly employed in low-income or vulnerable occupations, are more likely to be victims of underemployment or unemployment, and have more precarious employment conditions. Vietnamese women have less access to productive resources, education, skills development and employment opportunities than men. Women are often not consulted, do not have the right to decide in matters in the family, the workplace as well as participate in politics. Statistics show that one-third of women in Vietnam believe that men should be the decision makers, and the head of the household. Notably, the percentage of women who agree with this view has not changed since 2010.

The United Nations Development Programme (UNDP) uses Gender Inequality Index (GII). GII is a composite measure that shows inequality in achievement between women and men in reproductive health, empowerment and the labour market while GDI measures achievement in human development in three areas: health, education, and command over economic resources. The GDI considers the gender gaps on human development between men and women. Viet Nam's GII of 2018 has been estimated in 0.314 and ranks 68 out of 189 countries. It suggests that about 31.4% was the combined loss due to gender inequalities on achievement to reproductive health, empowerment and labour market participation. (in comparison, Malaysia has GII of 0.274 and ranks 58, Thailand has a GII of 0.377 and ranks 84, Indonesia has a GII of 0.451 and ranks 103).

In the course of the project design, a specific gender mainstreaming work plan, with gender-sensitive targets and indicators, will be developed and integrated in the project results framework. This will include as a minimum the following:

- ? Availability of gender specific training and awareness raising initiatives;
- ? Initiatives and rules to ensure equal access to the job opportunities generated by the project;
- ? Equal access to the information generated by the project;

? Assessment of gender-specific risks and benefits associated the lifecycle reduction of plastic, from reduced production, consumption and use to the waste management, recycling and reuse stage.

? Specific health and safety rules for female employees in the waste collection and recycling industries.

In addition to that, in the course of project design and implementation, UN policies on equal opportunities will be implemented to ensure that the project supports women's capabilities and their enjoyment of rights, and women's equal and meaningful participation as actors, leaders and decision makers. It has to be noticed that in the waste recycling sector, female workers represent the majority. The implementation of a Material Recovery Facility (MRF) will directly benefit female worker through the establishment of better working conditions and increasing job opportunities, not only for workers but also for entrepreneurs in the waste recycling sector.

**Does the project expect to include any gender-responsive measures to address gender gaps or promote gender equality and women empowerment? Yes**

**closing gender gaps in access to and control over natural resources;**

**improving women's participation and decision-making; and/or Yes**

**generating socio-economic benefits or services for women. Yes**

**Will the project's results framework or logical framework include gender-sensitive indicators?**

Yes

#### **4. Private sector engagement**

**Will there be private sector engagement in the project?**

Yes

**Please briefly explain the rationale behind your answer.**

The project will directly engage the private sector through its focus on the food and food packaging industry. Given the good experience of the UNDP Viet Nam Country Office working with private sector and CSOs, UNDP will utilize established PPP platforms at the project sites, for examples agreement signed between three parties: (1) local informal women waste worker group; (2) scrap

dealers and (3) Urban Waste Management Company. The successful model will be institutionalized at provincial and national level for replication and scaling up.

The Project also aims to implement or scale up some of the solution identified by the EPPIC project, which is funded by Norwegian Government, as described previously. Through EPPIC, many innovative solutions have been identified such as Refill (sell service instead of selling goods), cassava straws (straws made of cassava to use in replacement of plastic one), breathable bags (made of environment friendly materials for food wrapping), digital platform mobile application to encourage people to live greener and say no to plastic, exchange plastic with products. These upstream interventions could be considered as great chance to work and leverage private sectors, as well as promoting innovation in addressing the problem of plastic pollution.

The project will also explore the possibility to cooperate with hotels (initiatives aimed at reducing plastic in the hotels and a better collection of plastic waste), supermarkets (collection points for plastic, plastic waste exchanged with score points on fidelity cards), restaurants and coffee shops chains (promote plastic-free delivery and reusable cutlery, cups and straws), etc.

#### 5. Risks to Achieving Project Objectives

**Indicate risks, including climate change, potential social and environmental risks that might prevent the Project objectives from being achieved, and, if possible, propose measures that address these risks to be further developed during the Project design (table format acceptable)**

| <i>Risk Description</i> | <i>Significance</i> | <i>Comments (optional)</i> | <i>Description of assessment and management measures for risks rated as Moderate, Substantial or High</i> |
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| <p><b>Risk 1: Loss of jobs and income for informal workers in the plastic recycling sector</b></p> | <p>Moderate</p> | <p>As the project intends to improve the separate collection at source of plastic waste, this could obviously interfere with the operations of informal workers. However, a better collection and storage is a prerequisite to reduce the environmental impact of plastic waste management. The informal workers will still play a key role in the collection of plastic waste. A smooth transition and cooperation schemes are then needed.</p> | <p>This risk will be addressed at project design. At PIF stage, to be further explored, the project envisages to provide direct support to informal workers and to promote the shifting from informal to formal. It is acknowledged that if the project is able to transform a significant amount of plastic to an improved collection scheme, a number of people, who are currently "informally" buying and selling that plastic, could lose part of their income. The pilot will then involve these people in project activities assigning them tasks like collection, segregation at source, guarding of recycling and collection equipment. The plastic segregated at source will be periodically collected by the project and shipped to formal recycler for further processing and recycling, and the income used to support the collection.</p> |
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| <p><b>Risk 2: Loss of income to industries in the plastic and food packaging sector due to banning or restricting the use of certain single use plastic (SUP)</b></p> | <p>Low</p> | <p>The internalization of environmental cost, resulting in a net loss for enterprises, is currently occurring in Vietnam, for some industrial sectors, through the application of EPR rules under the Law of Environmental Protection.</p> <p>Whilst this is a risk from the perspective of some industries operating in the food packaging and plastic manufacturing sector, the internalization of the environmental cost associated with the restriction of use of SUP, which has delayed for too long, will represent a benefit for the community.</p> <p>This is a social and political issue that needs to be addressed at governmental level with participation of all the key stakeholders</p> | <p>UNDP is supporting the Government of Vietnam in the implementation of Circular Economy, National Action Plan on Plastic and implementation of Extended Producer Responsibility (EPR) policies since few years.</p> <p>Furthermore, UNDP is a member of the advisory board of the Vietnam National Plastic Action Partnership (NPAP) and partner of the plastic Development Partner Group, Plastic and Health Action Partnership, and Vietnam Circular Economy Hub. Therefore, UNDP is well positioned to support the government and key stakeholders in identifying the best win-win actions toward the reduction of the use and marketing of SUP and a better recycling which could be beneficial for both the enterprises and the society. Notably, many international enterprises operating in Viet Nam in the food sector have their CSR (corporate social responsibility) plans which include specific actions toward plastic avoidance, recycling, sustainability and circular economy. The project will therefore catalyze and coordinate these initiatives so that the conflict between the business of plastic manufacturer and the society is progressively solved in a way which is beneficial for the society and the economy.</p> |
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| <p><b>Risk 3:<br/>Imbalanced gender participation in the project</b></p>  | <p>Moderate</p> | <p>In similar projects implemented by UNDP it has been found that the women operating as informal waste collector did not want to show up in workshops or attend awareness raising events because they were shy and afraid of being blamed or disapproved.</p>  | <p>Whilst it is clear that informal collectors and waste scavengers need to be supported and offered with better job opportunities, at the same time the project should conduct awareness raising for the public and community for a better recognition and social acceptance of the social role of informal workers in the waste sector. This is crucial to ensure that discrimination against women working in the informal sector is stopped.</p> <p>Furthermore, the project should find ways to meet operators in the informal sectors ?in the field?, avoiding them to show up in formal gatherings like meetings, training or workshops. The project will also make use of women unions to enhance the possibility to raise awareness among informal workers.</p> <p>This will be part of the wider gender awareness plan which, as already described in the answer to Question 1 above, will be developed at PPG.</p> |
| <p><b>Risk 4: Health and safety risk for the workers in the waste banks and collection point of plastic waste</b></p> <p><i>This could happen if workers do not abide by a safety protocol and use the essential personal</i></p> | <p>Low</p>      | <p>Currently plastic waste collection and recycling are in large part carried out by the so-called informal recycler, which basically are structured in 3 hierarchical levels: informal collectors and scavengers, consolidators and recyclers. At all levels, the operations are carried out without significant protection for the worker or the environment.</p> | <p>This baseline risk will be partially addressed at design level. The project is dealing with non-hazardous waste which does not represent an outstanding health risk for the waste collectors.</p> <p>The project will anyway provide operators with proper PPE. Awareness raising and training on the use of PPE during plastic collection and recycling operations will be carried out for the workers in charged of wase collection and recycling operations, who, in the informal plastic waste chain, are the least protected.</p> <p>Informal waste worker will be also involved in the trainings, however, no direct support can be provided to informal recycling enterprises..</p>   |

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| <p><b>Risk 5: Risk of accidental release of waste, wastewater, and air pollutants in the course of waste recycling activities.</b></p> | <p>Low</p> | <p>Currently, around 30% of the plastic collected by informal operators get discarded in the environment or burnt in the open. The process of plastic recycling in recycling village has a serious impact on the water quality and atmosphere. The baseline risk is therefore high.</p> | <p>This risk will be partially addressed at project design and implementation. The project implementation will directly address this risk through upstream (reduced consumption and production of SUP) and downstream (better collection and more efficient recycling) measures, through the establishment of collection and storage areas. However, direct reduction of this risk is limited to project resources and timeframe.</p> <p>In the mid and long-term, beyond project life, the issue can only be addressed through identification of market drivers, investment, awareness raising, technology exchange. The project will put the basis for all the above through effective implementation of the NAP (component 1), demonstration of a life-cycle approach to plastic waste to enhance the waste and plastic management in the food and beverage sectors in Binh Dinh as pilot province or future countrywide replication (component 2) and knowledge management, including exchange on best practices and lesson learnt, awareness raising and training (component 3)</p> |
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| <p><b>Risk 6: Climate Change: risk of flooding of material recovery facility (waste banks or collection points)</b></p> <p><i>Increased weather events due to climate change will increase the risk of flooding of the MRF</i></p> | <p>Moderate</p> | <p>The impact of climate change in Vietnam resulted in increased frequency of extreme weather events, with landslide and flooding in many areas. In November 2021, nearly 100 households in areas at risk of landslide and flooding in Quy Nhon city and Phu Cat district of Binh Dinh province were relocated to safer places as torrential rain caused flooding.</p> | <p>Although the risk of floods of high, the impact would be limited to small storages of plastic waste.</p> <p>Furthermore, this risk will be addressed at project implementation through the following countermeasures:</p> <ol style="list-style-type: none"> <li>1) Assessment of the hydrological risk of the proposed sites for the waste banks or collection points to be located in sites with low hydrological risk.</li> <li>2) Identification of design requirements and management measures to prevent the spreading of plastic waste in case of flooding event.</li> <li>3) Adoption of emergency response plan to be adopted in case intense rain with risk of flooding events are anticipated.</li> </ol>   |
| <p><b>Risk 7: Participation of minors in waste collection activities</b></p>   | <p>Moderate</p> | <p>As currently plastic waste collection and recycling are in large part carried out by the so-called informal recycler, the participation of minors in informally established firms cannot be excluded. Therefore the project cannot directly support informal or illegal enterprises, where the risk of child labor is high.</p>                                     | <p>The risk will be addressed at design stage, and will be further prevented at implementation, The project will provide direct support to informal collectors of plastic waste as individuals, with the requirement that participation in the project is subject to the compliance with the Vietnam regulation on employment and safety at work, which strictly forbid child labor. The project will not support informal or illegal enterprises, where the risk of child labor is high. Considering however that many informal enterprises operating in the plastic recycling sector are family enterprises, the project will provide awareness raising even to such enterprises on the issue of child labor, the right of minors, and will explore what are the needed support families need to give up with child labor and ensure their children the right of education and play time.</p> |

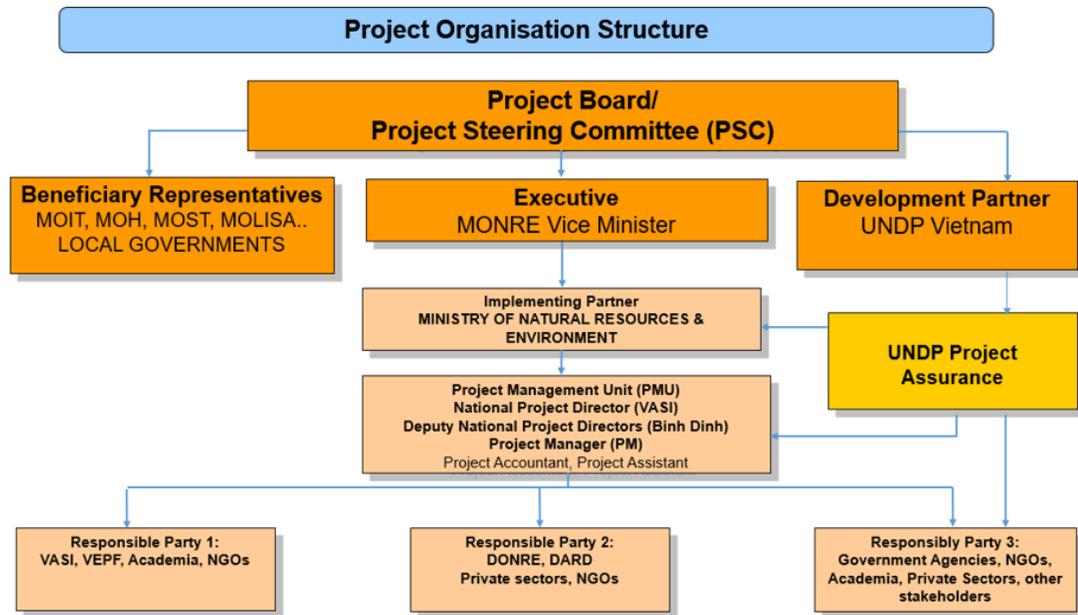
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| <b>Risk 8: Limited availability of land for waste banks and collection points</b>                       | Low | In other similar projects the availability of land proved to be a bottleneck in project implementation, therefore an anticipated agreement on the use of lands is needed. | This will be fully addressed at project design. The strategy is to avoid the need for new lands for the collection and storage of waste, but instead rely on dispersed and available space for temporary collection at retailer's and shop places through the establishment of commercial agreements. This will avoid the need for land and will boost the responsibility of the generators. |
| <b>Risk 9: The COVID-19 pandemic may inhibit the smooth implementation (and design) of this project</b> | Low | Vietnam Government at different levels has taken measures to manage COVID-19, including recent widespread vaccination in the country.                                     | The project plans to carry out continuous monitoring and assessment of the impact of COVID-19 on the progress of project implementation and undertake appropriate adaptive management. Project management and implementation supervision can be undertaken through various means such as online and telephone interactions, international experiences may be shared through web seminars.    |
| <b>Risk 10: Organizational structure change at the national IP (MONRE/VASI )</b>                        | Low | MONRE is in the process of changing its organizational structure including VASI. Any re-arrangement of structure could lead to delay in project implementation.           | UNDP will keep monitoring the process closely, and share this risk to Project Steering Committee. However, it is noted that the changes will be completed by the time of project implementation, therefore the this risk is very low.  |

## 6. Coordination

**Outline the institutional structure of the project including monitoring and evaluation coordination at the project level. Describe possible coordination with other relevant GEF-financed projects and other initiatives.**

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

The indicative project organogram is as follows:



Implementing Partner (IP): The Implementing Partner for this project is the Ministry of Natural Resource and Environment (MONRE) of Vietnam.

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

Responsible party: Binh Dinh People's Committee, who will be playing an important role to deploy a wide range of pilot intervention measures at Binh Dinh province.

A Project Steering Committee will be established. The Project Steering Committee is responsible for taking corrective action as needed to ensure the project achieves the desired results. In order to ensure UNDP's ultimate accountability, Project Steering Committee decisions should be made in accordance

with standards that shall ensure management for development results, best value money, fairness, integrity, transparency and effective international competition.

**Project Assurance:** UNDP performs the quality assurance and supports the Project Board and Project Management Unit by carrying out objective and independent project oversight and monitoring functions. This role ensures appropriate project management milestones are managed and completed, and conflict of interest issues are monitored and addressed.

#### Coordination with Relevant Projects:

? ?Scaling Up a Socialised Model of Domestic Waste and Plastic Management? supported by Norway to develop integrated, green and fair models to improve domestic waste and plastic management, in five Vietnamese cities including Quang Ninh, Da Nang, Binh Dinh, Binh Thuan and Binh Duong. The second phase is ?Scaling-up Integrated and Inclusive Waste Management Models through Empowering the Informal Sector and Fostering the Circular Economy? supported by Norway aims to deploy and test interventions, including direct support for the informal waste workers, a management model in the fishery sector, and an ecosystem-level approach of value chains through the establishment of a Material Recovery Facility, which will be piloted in Quy Nhon, Binh Dinh province. These two project will be implemented in synergy with this GEF funded project, specifically, it is expected that waste/plastic from GEF project will be used as input for MRF.

? ?Ending Plastic Pollution Innovation Challenge? supported by Norway to bring together citizens, local governments, and the private sector to identify pressing issues and collaborate in implementing effective solutions, in four countries - including Viet Nam, Thailand, Indonesia and The Philippines. The Project also supports capacity building in Viet Nam for the prevention and reduction of plastic pollution, and networking and experience sharing in ASEAN countries are strengthened. This includes accelerating the implementation of Decree 26/NQ-CP to establish a 5-year-plan and comprehensive plan to implement Resolution 36/NQ-TQ of the Central Party Sustainable Development of the Blue economy, which is very much in line with the GEF focal area of International Water objective.

? UNDP Vietnam and MONRE launched the Vietnam Circular Economy Hub in October 2021. This is a new public private partnership platform to raise capacity of Vietnamese stakeholders to accelerate the transition to circular economy in the country.

? UNDP has been an active member of the Viet Nam National Plastic Action Partnership (NPAP) and currently under discussion of taking the role of hosting the Viet Nam NPAP.

**GEF 7 funded Project:** ?Reduce the impact and release of mercury and POPs in Viet Nam through lifecycle approach and Ecolabel?, is expected to be approved by June 2022. The Project aims to reduce

of the use of POPs, new POPs and mercury and the release of POPs, U-POPs and mercury throughout the lifecycle in key industrial sectors supported by Ecolabel system, Green Financing, and Procurement mechanisms. One of targeting sector is plastic recycling, in which the Project supports to improve the design of plastic, polymers, paint, metal finishing, and other products improved to prevent the use of POPs and the release of POPs in the environment.

## 7. Consistency with National Priorities

### **Is the Project consistent with the National Strategies and plans or reports and assessments under relevant conventions?**

Yes

**If yes, which ones and how: NAPAs, NAPs, ASGM NAPs, MIAs, NBSAPs, NCs, TNAs, NCSAs, NIPs, PRSPs, NPFE, BURs, INDCs, etc**

The project is compliant with the objectives and strategy set by the following national regulations, action plans and strategies:

- **Vietnam Environmental Protection Law 2020 (LEP).** The Vietnam Law on Environmental Protection (LEP) is the highest level regulation, providing statutory provisions on environmental protection activities; measures and resources used for the purpose of environmental protection; rights, powers, duties and obligations of regulatory bodies, agencies, organizations, households and individuals in relation to environmental protection task. The regulation has been recently updated with provisions related to the EPR mechanism in Vietnam and general criteria for the implementation of circular economy. The regulation also include provisions related to the preservation of the marine ecosystem,
- **Decree 08/2022/ND-CP:** Provide guidance for the implementation of the Law on Environmental Protection 2020. The Decree states clear deadline for full implementation of waste sorting at source from 2024, details EPR mechanism, and issues criteria, roadmap and incentive mechanism for circular economy. In particular, it mentioned the provision for environmental protection deposits in the import of scrap to be used as raw material for manufacturing.
- **National Action Plan on Marine Plastic Litter at Decision 1746/QD-TTg of the Prime Minister.** On December 04, 2019, the Prime Minister issues the Decision No. 1746/QD-TTg promulgating the national action plan on marine plastic debris management through 2030. The plan establishes several objectives to be achieved in 2025 and 2030: By 2025: Reduce marine plastic litter (50% in 2025 and 75% in 2030); collect 50% of abandoned, lost or discarded fishing gear in 2025; up to 100% in 2030 with prohibition to further dispose fishing gear in the sea; 80% in 2025 and 100% in 2030 of coastal tourism areas, tourist attractions, tourist accommodations and other coastal tourism services stop using single-use plastics and non-biodegradable plastic bags; ensure nationwide beach

cleanup campaigns are launched at least twice a year; and 80% of marine protected areas are without plastic in 2025; 100% in 2030. Monitor marine plastic litter annually and assess marine plastic litter every 5 years at a number of estuaries of the 5 major drainage basins in 2025, and up to 11 major drainage basins in 2030 and 12 insular districts. s.

- **Decision No. 1316/QĐ-TTg approving the scheme for strengthening management of plastic wastes in Vietnam.** According to this Decision, specific objectives of the scheme as below: 100% of environmentally friendly plastic bags and packaging will be used at shopping centers and supermarkets for domestic purposes as replacement for non-biodegradable plastic bags; 85% of generated plastic wastes will be collected, reused, recycled and disposed of; 50% of marine plastic wastes will be reduced; 100% of tourist attractions, tourist accommodation establishments and hotels will not use non-biodegradable plastic bags and single-use plastic products; etc. The Prime Minister specifies tasks and solutions to implement the scheme, including: Investigate, survey and assess the situation of generation, collection and treatment of plastic wastes; Implement training, communication and international cooperation on plastic waste management; Research on, apply technologies and deploy models and activities related to the management of plastic wastes and the production of environmentally friendly products.

- **Resolution No. 36-NQ/TW of the Party Central Committee (12th tenure) on the Strategy for sustainable development of Vietnam's marine economy to 2030, with a vision to 2045. )**. The general objectives of the strategy are to ensure the transition of Viet Nam into a strong marine country; achieving the criteria for the sustainable development of marine economy; forming a marine ecological culture; proactively adapting to climate change and sea level rise; preventing the trend of marine environmental pollution, degradation, coastal landslide and erosion and saltwater intrusion; restoring and conserving important marine ecosystems. Advanced and modern scientific achievements are considered by the strategy as a direct factor promoting the sustainable development of the marine economy.

- **National Strategy for solid waste management at Decision 491/QĐ-TTg of the Prime Minister in 2018.** It establishes the following targets: by 2025, 100% of the total volume of hazardous solid wastes generated from production, business and service activities, health establishments and craft villages will be collected, transported and disposed of according to the environmental protection requirements; 85% of hazardous solid wastes generated at households and by individuals will be collected, transported and disposed of according to the environmental protection requirements. It also envisages collection points establishes by manufacturers to collect discarded electronic equipment. It also intends to enhance recycling and reuse of hazardous wastes; to limit the licensing of disposal activities by way of burial and solidification of hazardous wastes which are recyclable or reusable.

- **Directive on reduction of plastic waste in the country signed by the Prime Minister in 2020**

**UNFCCC National Communications (NC).** Vietnam has so far issued 3 National Communications in accordance with the UNFCCC guidelines. These include the 06 main chapters: (i) Country situation; (ii) National greenhouse gas inventory; (iii) Climate change impacts and adaptation measures; (iv) Assessment of greenhouse gases mitigation measures and related policies; (v) Other information, including Transfer of technologies; Research and systematic observation; Education, training, capacity

building and public awareness on climate change; Information and networking; Mainstreaming climate change issues into socio-economic development strategies, master plans and plans; and (vi) Constraints and gaps, and related financial, technical and capacity needs. The submission of the National Communications of Viet Nam to the UNFCCC demonstrate that Viet Nam, one of the developing countries most affected by climate change, aims to fulfill its obligations as a Party, is committed to respond to climate change, and participates actively in the international community to implement the ultimate objectives of UNFCCC and the Paris Agreement.

## **8. Knowledge Management**

**Outline the knowledge management approach for the Project, including, if any, plans for the Project to learn from other relevant Projects and initiatives, to assess and document in a user-friendly form, and share these experiences and expertise with relevant stakeholders.**

1. Facilitation of the exchanges of lessons learnt and best practices on the matter of marine plastic debris at national (output 3.1.1) and international (output 3.1.2) level, through establishment of coordination and knowledge exchange procedures, workshops and web-based platform for the project, similarly to what has been done so far for the ongoing 'EPPIC' project (see: <http://plasticchallenge.undp.org.vn/>). At international level, the project will use the platform created from the Norwegian supported project 'Scaling Up a Socialised Model of Domestic Waste and Plastic Management in 5 cities in Vietnam' to share the result and good practices. Also through synergy with EPPIC project, the Project can work within 4 countries: Vietnam, Thailand, Indonesia and the Phillipines to exchange ideas and promote experience sharing.

2. Conduction of awareness raising campaigns (output 3.1.3): awareness raising campaign will be implemented with various tools, including broadcasting of communication materials on TV channels and websites, events, workshops. This will also include the development and implementation of a communication strategy for disseminating key message to different target audiences with the support from mass media, celebrities and supported innovative communication methodologies.

## **9. Environmental and Social Safeguard (ESS) Risks**

Provide information on the identified environmental and social risks and potential impacts associated with the project/program based on your organization's ESS systems and procedures

**Overall Project/Program Risk Classification\***



The project will mainstream a human rights-based approach as follows:

1) No discrimination. In compliance with the Article 2 of the Declaration of Human Rights, in the design of the project it has been ensured that in access to project benefits no discrimination will be made of any kind, such as race, color, sex, language, religion, political or other opinion, national or social origin, property, birth or other status. The benefits envisaged by the project (a better environment, with a reduced marine plastic pollution; the job opportunities created by the project and the information on the management of plastic waste and alternatives to single use plastic, innovation promotion, positive contribution to gender issue) will be shared with the population as a whole. To ensure that no discrimination among genders will intentionally or unintentionally affect project design and implementation, a Gender Mainstreaming plan will be developed in the course of project preparation activities (PPG). The basic principles of the gender mainstreaming plan have already been identified at PIF stage.

2) Right to a standard of living adequate for the health and well-being of himself and of his family; right to a fair and properly remunerated work and favorable working conditions The project intends to elevate the standard of the working condition of informal workers in the recycling sectors, by replicating and extending the support to informal waste workers (who mostly are women), facilitating the shifting from informal to formal business in plastic waste collection and recycling. Furthermore, the reduced marine and coastal plastic pollution, which is the core objective of the project, is consistent with the right of living in a healthy environment.

3) Right to access education and access to environmental information. The project, through an adequate knowledge management activity (described in detail in the proposed Component 3 ?Knowledge Management, Monitoring and Evaluation? will ensure that the knowledge generated by the project will be made accessible to the people and tailored to the different audience, to ensure that everyone will have the opportunity to understand the social, technical, and economical aspect of the project and that all the stakeholders will have the opportunity to make use of the project knowledge to extend and replicate the project benefits.

***Briefly describe in the space below how the project is likely to improve gender equality and women's empowerment***

At PPG stage, in the course of the project design, a specific gender mainstreaming work plan, with gender-sensitive targets and indicators, will be developed and integrated in the project results framework. This will include as a minimum the following:

- ? Availability of gender specific training and awareness raising initiatives;
- ? Initiatives and rules to ensure equal access to the job opportunities generated by the project;
- ? Equal access to the information generated by the project;
- ? Assessment of gender-specific risks and benefits associated the lifecycle reduction of plastic, from reduced production, consumption and use to the waste management, recycling and reuse stage.
- ? Specific health and safety measures for female employees in the waste collection and recycling industries.

In addition to that, in the course of project design and implementation, UN policies on equal opportunities will be fulfilled with the purpose to ensure that the project supports women's capabilities and their enjoyment of rights, and women's equal and meaningful participation as actors, leaders and decision makers.

It has to be noticed that in the waste recycling sector, female workers represent the majority. The implementation of the waste collection centers and storage facilities envisaged by the project will directly benefit female worker through the establishment of better working conditions and increasing job opportunities, not only as workers but also as entrepreneurs in the waste recycling sector.

***Briefly describe in the space below how the project mainstreams sustainability and resilience***

The core objective of the project is to reduce the marine plastic pollution. This will envisage support to the Implementation of the National Action Plan on Marine Plastic Litter, within the context of Green Recovery from the COVID-19 pandemic. The achievement of this objective will result in a more sustainable (reduced impact on the environment) and resilient (reduced use of natural resource) society and economy.

To achieve this objective, the project will pursue more sustainable approach toward the consumption and end of life management of plastic items.

Under outcome 1.1, the project envisages the effective implementation of National Action Plan (NAP) on management of marine plastic litter, with a special focus on food and beverage sectors. Under this outcome the project will assess the current and past, direct and secondary impact of COVID-19 on plastic pollution, and identify the most urgent measures and strategies to prevent plastic pollution from SUP in the COVID-19 recovery phase and beyond. These measures will include both upstream (SUP reduction and prevention, packaging design, etc.) to down-stream (enhanced segregation and collection including face masks, reuse and recycle, etc.). Secondary norms and circulars will be developed to render the NAP implementable and operational, with specific reference to the development of realistic, science-based target and indicators, and clear road maps for the implementation of measures in the above areas

To ensure the financial sustainability of the project outcomes beyond project life, a funding scheme based on private and public source for the prevention and remediation of marine pollution will be explored. That will envisage, for instance, the channeling of some of the resources generated by the EPR recently established under the Law of Environmental Protection to implement action aimed at preventing marine pollution; the establishment of a marine plastic platform, coordinated by VASI, to coordinate efforts being undertaken by private entities and international firms which are undertaking voluntary actions aimed at preventing plastic pollution in compliance with their environmental policies

Under outcome 2.1, a life-cycle approach is applied to enhance the waste and plastic management in the food and beverage sectors in Binh Dinh as pilot province or future country-wide replication. This will envisage the following:

- ? Technical and financial support for the segregation of plastic waste at source (including COVID-19 waste);
- ? Establishment of recovery and re-use schemes including waste banks and deposit and return schemes linked to the Material Recovery Facility (MRF) in Quy Nhon, Binh Dinh province.
- ? Schemes to reduce single use plastic in the food and beverage sectors supported, including (i) upstream prevention of Single Use Plastic (SUP) through command-and-control instruments such as regulations banning use in particular sub-sector (ii) Application and/or replication of innovative and proven solutions building on the activities of EPPIC project to complete the life cycle approach in marine plastic pollution focusing on Binh Dinh province.

The resilience of the project to adverse events will be enhance through its reliance on good practices rather than on large infrastructures (consumer behavior, improved segregation of waste at source), on a diversity of financial sources in the long term (EPR, private initiatives, bilateral funding), culture change promoted through the exchange of knowledge and technological know-how at several level (project outcome 3.1)

***Briefly describe in the space below how the project strengthens accountability to stakeholders***

- The project envisages five approaches at all stages of the project cycle: (1) Sharing of Information; (2) Consultations (including surveys); (3) Participation; (4) Feedback; and (5) Learning and Adaptation (including monitoring and evaluation).
- At the current PIF stage, in spite of the restrictions associated with the Covid 19 pandemic and social distancing, consultation meetings (offline and online) were held with project stakeholders.
- At this stage, stakeholders involved in the project included ministries and regulatory agencies in the areas of management of plastic waste and marine pollution,
- During these stakeholder consultation meetings, stakeholders and beneficiaries as well as partner organisations were introduced to relevant information on issues related to: the proposed project (objectives, approaches, budget, staffing and contact details), what they should expect from project and UNDP (in terms of information, participation, respect etc.), and how to lodge a complaint with project and UNDP. Stakeholders are consulted on matters that directly affect them, especially in relation to the project. The consultations followed the principle of obtaining free, prior and informed consent (FPIC) from communities and men and women as stated in UNDP policy.
- Consulting stakeholders also enables the project to gain a greater understanding from stakeholders of their views, capabilities, needs and concerns. After consultations and surveys are conducted, follow up activities are concerned with feedback sessions to share the results and discuss the findings.
- In the PIF, a preliminary Stakeholder Analysis have been conducted. An Engagement Plan will be built at PPG stage on UNDP guidance. The stakeholder analysis already provided an opportunity to develop project team's ideas around who are the rights-holders and other stakeholders, what their interests are, whether the impact will be positive or negative, and how to engage them. The Stakeholder Engagement Plan will be made publicly available in a form and language appropriate to the relevant stakeholders and disseminated proactively to them.
- The project also includes awareness-raising activities to encourage stakeholders to participate in the project, and appropriate forms of participation.

Component 3 of the project, Monitoring and Evaluation, will establish indicators to facilitate successful project implementation and sound impact assessment. Project and its activities will be monitored and evaluated on a periodic basis in line with GEF, UNDP and government requirements. The project will try to encourage the participation of stakeholders in the monitoring and evaluation process if possible, in order to improve the independence and accuracy of monitoring information.

**Part B. Identifying and Managing Social and Environmental Risks**

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| <p><b>QUESTION 2:</b><br/>What are the Potential Social and Environmental Risks?</p> <p><i>Note: Complete SESP Attachment 1 before responding to Question 2.</i></p> | <p><b>QUESTION 3: What is the level of significance of the potential social and environmental risks?</b></p> <p><i>Note: Respond to Questions 4 and 5 below before proceeding to Question 5</i></p> |   |  | <p><b>QUESTION 6: Describe the assessment and management measures for each risk rated Moderate, Substantial or High</b></p> |
| <p><b>Risk Description</b><br/><i>(Broken down by event, cause, impact)</i></p>  | <p><b>Impact and Likelihood</b><br/><i>(1-5)</i></p>  | <p><b>Significance</b><br/><i>(Low, Moderate Substantial, High)</i></p> | <p><b>Comments</b><br/><i>(optional)</i></p> | <p><b>Description of assessment and management measures for risks rated as Moderate, Substantial or High</b></p>            |

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| <p><b>Risk 1: Loss of jobs and income for informal workers in the plastic recycling sector</b></p> <p><b>Related to risks:</b></p> <ul style="list-style-type: none"> <li>- Human Rights: P4</li> <li>- Gender Equality and Women's Empowerment: P10</li> </ul> | <p>I = 3</p> <p>L =3</p> | <p>Moderate</p> | <p>As the project intends to improve the separate collection at source of plastic waste, this could obviously interfere with the operations of informal workers. However, a better collection and storage is a prerequisite to reduce the environmental impact of plastic waste management. The informal workers will still play a key role in the collection of plastic waste. A smooth transition and cooperation schemes are then needed.</p> | <p>This risk will be addressed at project design. At PIF stage, to be further explored, the project envisages to provide direct support to informal workers and to promote the shifting from informal to formal. It is acknowledged that if the project is able to transform a significant amount of plastic to an improved collection scheme, a number of people, who are currently "informally" buying and selling that plastic, could lose part of their income. The pilot will then involve these people in project activities assigning them tasks like collection, segregation at source, guarding of recycling and collection equipment. The plastic segregated at source will be periodically collected by the project and shipped to formal recycler for further processing and recycling, and the income used to support the collection.</p> <p>Risk to be considered further in project ESMF as well as project support to NAP, ensuring an inclusive process.</p> |
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| <p><b>Risk 2: Loss of income to industries in the plastic and food packaging sector due to banning or restricting the use of certain single use plastic (SUP)</b></p> | <p>I = 3<br/>L =3</p> | <p>Moderate</p> | <p>The internalization of environmental cost, resulting in a net loss for enterprises, is currently occurring in Vietnam, for some industrial sectors, through the application of EPR rules under the Law of Environmental Protection.</p>  | <p>UNDP is supporting the Government of Vietnam in the implementation of Circular Economy, National Action Plan on Plastic and implementation of Extended Producer Responsibility (EPR) policies since few years.</p>  |
| <p><b>Related to risks:</b></p> <p>- Standard 8: Pollution Prevention and Resource Efficiency, Question 8.1 and 8.2</p>   |                       |                 | <p>Whilst this is a risk from the perspective of some industries operating in the food packaging and plastic manufacturing sector, the internalization of the environmental cost associated with the restriction of use of SUP, which has delayed for too long, will represent a benefit for the community.</p> | <p>Furthermore, UNDP is a member of the advisory board of the Vietnam National Plastic Action Partnership (NPAP), and partner of the plastic Development Partner Group, Plastic and Health Action Partnership, and Vietnam Circular Economy Hub. Therefore, UNDP is well positioned to support the government and key stakeholders in identifying the best win-win actions toward the reduction of the use and marketing of SUP and a better recycling which could be beneficial for both the enterprises and the society. Notably, many international enterprises operating in Viet Nam in the food sector have their CSR (corporate social responsibility) plans which include specific actions toward plastic avoidance, recycling, sustainability and circular economy. The project will therefore catalyze and coordinate these initiatives so that the conflict between the business of plastic manufacturer and the society is progressively solved in a way which is beneficial for the society and the economy.</p> |
|   |                       |                 | <p>This is a social and political issue that needs to be addressed at governmental level with participation of all the key stakeholders</p>   | <p>Risk to be considered further in project ESMF as well as project support to NAP, ensuring an inclusive process.</p>   |

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| <p><b>Risk 3:<br/>Imbalanced<br/>gender<br/>participation in<br/>the project</b></p> <p><b>Related to risks:</b></p> <p>- Gender Equality<br/>and Woman<br/>Empowerment, P8</p> | <p>I=3<br/>L=3</p> | <p>Moderate</p> | <p>In similar projects implemented by UNDP it has been found that the women operating as informal waste collector did not want to show up in workshops or attend awareness raising events because they were shy and afraid of being blamed or disapproved.</p> | <p>Whilst it is clear that informal collectors and waste scavengers need to be supported and offered with better job opportunities, at the same time the project should conduct awareness raising for the public and community for a better recognition and social acceptance of the social role of informal workers in the waste sector. This is crucial to ensure that discrimination against women working in the informal sector is stopped.</p> <p>Furthermore, the project should find ways to meet operators in the informal sectors in the field?, avoiding them to show up in formal gatherings like meetings, training or workshops. The project will also make use of women unions to enhance the possibility to raise awareness among informal workers.</p> <p>This will be part of the wider gender action plan which, as already described in the answer to Question 1 above, will be developed at PPG. Gender aspects will also be incorporated in project ESMF and Stakeholder Engagement Plan.</p> |
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| <p><b>Risk 4: Health and safety risk for the workers in the waste banks and collection point of plastic waste</b></p> <p><i>This could happen if workers do not abide by a safety protocol and use the essential personal</i></p> <p><b>Related to risks:</b></p> <p>- Standard 7: Labour and Working Conditions, Question 6</p> | <p>I = 2<br/>L = 3</p> | <p>Low</p> | <p>Currently plastic waste collection and recycling are in large part carried out by the so-called informal recycler, which basically are structured in 3 hierarchical levels: informal collectors and scavengers, consolidators and recyclers. At all levels, the operations are carried out without significant protection for the worker or the environment.</p> | <p>This baseline risk will be is partially addressed at design level. The project is dealing with non-hazardous waste which does not represent an outstanding health risk for the waste collectors.</p> <p>The project will anyway provide operators with proper PPE. Awareness raising and training on the use of PPE during plastic collection and recycling operations will be carried out for the workers in charge of waste collection and recycling operations, who, in the informal plastic waste chain, are the least protected.</p> <p>Informal waste worker will be also involved in the trainings, however no direct support can be provided to informal recycling enterprises.</p> <p>Risk to be considered further as part of ESMF and OHS procedures in place at waste banks and collections points, and waste to energy sites.</p> |
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| <p><b>Risk 5: Risk of accidental release of waste, wastewater, and air pollutants in the course of waste recycling activities.</b></p> <p><b>Related to risks:</b></p> <ul style="list-style-type: none"> <li>- Standard 1: Biodiversity and Natural Resource Management, Question 1.1</li> <li>- Standard 3: Community Health and Safety, Question 3.2</li> <li>- Standard 8: Pollution Prevention and Resource Efficiency, Question 1</li> </ul> | <p>I = 2<br/>L = 3</p> | <p>Low</p> | <p>Currently, around 30% of the plastic collected by informal operators get discarded in the environment or burnt in the open. The process of plastic recycling in recycling village has a serious impact on the water quality and atmosphere. The baseline risk is therefore high.</p> | <p>This risk will be partially addressed at project design and implementation. The project implementation will directly address this risk through upstream (reduced consumption and production of SUP) and downstream (better collection and more efficient recycling) measures, through the establishment of collection and storage areas. However, direct reduction of this risk is limited to project resources and timeframe.</p> <p>In the mid and long-term, beyond project life, the issue can only be addressed through identification of market drivers, investment, awareness raising, technology exchange. The project will put the basis for all the above through effective implementation of the NAP (component 1), demonstration of a life-cycle approach to plastic waste to enhance the waste and plastic management in the food and beverage sectors in Binh Dinh as pilot province or future countrywide replication (component 2) and knowledge management, including exchange on best practices and lesson learnt, awareness raising and training (component 3).</p> <p>Risk to be considered further as part of ESMF. An Emergency Response Plan will be prepared for each of the waste banks and collection points and waste to energy sites, which will include measures to reduce and mitigate this risk.</p> |
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| <p><b>Risk 6: Climate Change: Risk of flooding of material recovery facility (waste banks or collection points)</b></p> <p><i>Increased weather events due to climate change will increase the risk of flooding of the Material Recovery Facility.</i></p> <p><b>Related to risks:</b></p> <p>Standard 2:<br/>Climate Change and Disaster Risks,<br/>Question 2</p> | <p>I = 3</p> <p>L =3</p> | <p>Moderate</p> | <p>The impact of climate change in Vietnam resulted in increased frequency of extreme weather events, with landslide and flooding in many areas. In November 2021, nearly 100 households in areas at risk of landslide and flooding in Quy Nhon city and Phu Cat district of Binh Dinh province were relocated to safer places as torrential rain caused flooding.</p> | <p>Although the risk of floods of high, the impact would be limited to small storages of plastic waste.</p> <p>Risk will be considered further as part of ESMF. Furthermore, this risk will be addressed at project implementation through the following countermeasures:</p> <ol style="list-style-type: none"> <li>1) Assessment of the hydrological risk of the proposed sites for the waste banks or collection points to be located in sites with low hydrological risk.</li> <li>2) Identification of design requirements and management measures to prevent the spreading of plastic waste in case of flooding event.</li> <li>3) Adoption of emergency response plan to be adopted in case intense rain with risk of flooding events are anticipated.</li> </ol> |
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| <p><b>Risk 7:<br/>Participation of minors in waste collection activities</b></p> <p><i>If not specifically addressed, persons below 18 years of age in the recycling industry may be engaged in hazardous work, which is classified as ?worst forms of child labour?. In addition, persons younger than 15 years old may also be employed or allowed to work in these sectors.</i></p> <p><b>Related to risks:</b></p> <p>- Standard 7: Labour and Working Conditions, Question 6</p> | <p>I = 3<br/>L =4</p> | <p>Moderate</p> | <p>As currently plastic waste collection and recycling are in large part carried out by the so-called informal recycler, the participation of minors in informally established firms cannot be excluded. Therefore the project cannot directly support informal or illegal enterprises, where the risk of child labor is high.</p> | <p>The risk will be addressed at design stage, and will be further prevented at implementation, The project will provide direct support to informal collectors of plastic waste as individuals, with the requirement that participation in the project is subject to the compliance with the Vietnam regulation on employment and safety at work, which strictly forbid child labor. The project will not support informal or illegal enterprises, where the risk of child labor is high. Considering however that many informal enterprises operating in the plastic recycling sector are family enterprises, the project will provide awareness raising even to such enterprises on the issue of child labor, the right of minors, and will explore what are the needed support families need to give up with child labor and ensure their children the right of education and play time.</p> <p>This risk will be assessed further during design stage and risk management measures clarified further in ESMF. Each site involving labour will have in place OHS and Labour Management Plan/Procedures.</p> |
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| <p><b>Risk 8: Limited availability of land for waste banks and collection points</b></p> <p><b>Related to risks:</b></p> <p>- Human Rights, P2</p> <p>- Standard 5: Displacement and Resettlement, Questions 5.1, 5.2</p> | <p>I = 2</p> <p>L = 3</p> | <p>Low</p> | <p>In other similar projects the availability of lands proved to be a bottleneck in project implementation, therefore an anticipated agreement on the use of lands is needed.</p> | <p>This will be fully addressed at project design, including ESMF. The strategy is to avoid the need for new lands for the collection and storage of waste, but instead rely on dispersed and available space for temporary collection at retailer's and shop places through the establishment of commercial agreements. This will avoid the need for land and will boost the responsibility of the generators. If design stage indicates that land acquisition may be required then this risk will be adjusted accordingly and relevant social and environmental safeguards identified and in place and clarified in ESMF (e.g. Land Acquisition Plan or Resettlement Action Plan).</p> |
| <b>QUESTION 4: What is the overall project risk categorization?</b>   |                           |            |   |  |
|   |                           |            |   |  |
| <i>Low Risk</i>   |                           | ?          |   |  |
| <i>Moderate Risk</i>  |                           | ?          |   |  |
| <i>Substantial Risk</i>   |                           | ?          |   |  |
| <i>High Risk</i>  |                           | ?          |   |  |
| <b>QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are triggered? (check all that apply)</b>  |                           |            |   |  |
| Question only required for Moderate, Substantial and High Risk projects   |                           |            |   |  |
| <u><i>Is assessment required? (check if ?yes?)</i></u>  |                           | ?          | <i>Status? (completed, planned)</i>   |  |
| <i>if yes, indicate overall type and status</i>   |                           |            | <p style="text-align: center;">?</p> <p>Targeted assessment(s)</p>  | <p>Gender analysis</p> <p>Environmental/social assessment of potential waste bank and collection sites and waste to energy sites to inform site selection during project design</p>  |

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|  |  | ? | ESIA<br>(Environmental<br>and Social<br>Impact<br>Assessment)   |   |
|  |  | ? | SESA (Strategic<br>Environmental<br>and Social<br>Assessment)   |   |
| <b><i>Are management plans<br/>required? (check if ?yes)</i></b> |  | ? |   |   |
| <i>If yes, indicate overall type</i>                             |  | ? | <p>Targeted<br/>management<br/>plans:</p> <p>Gender Action<br/>Plan</p> <p>Stakeholder<br/>Engagement<br/>Plan</p> <p>Emergency<br/>Response Plan<br/>(for the waste<br/>banks and<br/>collection<br/>points)</p> <p>Waste<br/>Management<br/>Plan (for the<br/>waste banks and<br/>collection<br/>points)</p> <p>OHS and<br/>Labour<br/>Management<br/>Plan/Procedures<br/>(for the waste<br/>banks and<br/>collection<br/>points)</p> | <p>Planned</p> <p>Any targeted<br/>management plans to<br/>be prepared during<br/>project<br/>implementation will<br/>be clarified in<br/>ESMF, including<br/>confirming any<br/>activities that can not<br/>proceed until such<br/>plans are in place.</p> |

|   |  |   |   |                    |
|---|--|---|---|--------------------|
|   |  | ? | ESMP<br>(Environmental and Social Management Plan which may include range of targeted plans)  |                    |
|   |  | ? | ESMF<br>(Environmental and Social Management Framework)   | Planned during PPG |
| <i>Based on identified risks, which Principles/Project-level Standards triggered?</i> |  |   | <b>Comments (not required)</b>  |                    |
| <i>Overarching Principle: Leave No One Behind</i>                                     |  |   |   |                    |
| <i>Human Rights</i>   |  | ? |   |                    |
| <i>Gender Equality and Women's Empowerment</i>  |  | ? |   |                    |
| <i>Accountability</i>   |  | ? |   |                    |
| <i>1. Biodiversity Conservation and Sustainable Natural Resource Management</i>       |  | ? |   |                    |
| <i>2. Climate Change and Disaster Risks</i>   |  | ? |   |                    |
| <i>3. Community Health, Safety and Security</i>                                       |  | ? |   |                    |
| <i>4. Cultural Heritage</i>   |  | ? |   |                    |
| <i>5. Displacement and Resettlement</i>   |  | ? |   |                    |
| <i>6. Indigenous Peoples</i>  |  | ? | The Project will be implemented at National Level (for policy component) and in Binh Dinh province (for pilot demonstration), with focus in coastal area including Quy Nhon City where there is no presence of indigenous people. |                    |

|  |  |   |  |
|--|--|---|--|
|  | <b>7. Labour and Working Conditions</b>                | ? |  |
|  | <b>8. Pollution Prevention and Resource Efficiency</b> | ? |  |

**Supporting Documents**

Upload available ESS supporting documents.

**Title**

**Submitted**

**PIMS 6695 Pre-SESP PIF Vietnam Plastic \_12April22**

**Part III: Approval/Endorsement By GEF Operational Focal Point(S) And GEF Agency(ies)**

**A. RECORD OF ENDORSEMENT OF GEF OPERATIONAL FOCAL POINT (S) ON BEHALF OF THE GOVERNMENT(S): (Please attach the Operational Focal Point endorsement letter with this template).**

| <b>Name</b>            | <b>Position</b>   | <b>Ministry</b>                                     | <b>Date</b> |
|------------------------|---|---|-------------|
| Nguyen<br>Duc<br>Thuan | Director, Viet Nam Environmental<br>Protection Fund, MONRE and GEF<br>OFP | MINISTRY OF NATURAL<br>RESOURCES AND<br>ENVIRONMENT | 3/8/2022    |



