



## UNITED NATIONS DEVELOPMENT PROGRAMME

### PROJECT DOCUMENT

**Project Title:** Scaling-up Integrated and Inclusive Waste Management Models through Empowering the Informal Sector and Fostering the Circular Economy (Phase 2)

**Project Number:** 00121996

**Implementing Partner:** Quy Nhon Provincial People's Committee

**Start Date:** Jan. 2022

**End Date:** Jun. 2024

**LPAC Meeting date:** Jan. 2022

#### Brief Description

The rationale for the project lies in the significant, albeit overlooked, role undertaken by the informal sector in waste collection and segregation, and in the lack of local waste and recycling collection centers that respect environmental and social standards in Viet Nam. Linked to this is the significant role women play as informal waste collectors, and the opportunity for this project to contribute to both gender-inclusive development and building back better through a green recovery.

The piloting of different intervention models during Outcome 1 – covering a series of on-the-ground IWW support interventions, a sector-level approach and an ecosystem-level value chain approach – will allow the models to be tested, including the level of support inputs such as capacity development and training, and the requirements at the enabling environment level to allow the models to function effectively. The learning from this process will allow the models to be refined and adapted as necessary under Outcome 2, with a view to facilitating their take-up for scaling and replication, along with implementation support, while the knowledge assets and toolkits created will be made available at both national and regional level.

#### The project's objectives:

The project's objective is to deploy and test a range of interventions including on the ground support interventions for IWWs who are mainly women, a sector-focused WM model in fisheries, and an ecosystem-level approach at innovating the value chain through an MRF), and then refining these models based upon the deployment and learning with a view to continued and scaled-up deployment supported by a programme of capacity development and knowledge creation, sharing and dissemination.

#### Contributing Outcome (UNSDCF, CPD):

#### United Nations Sustainable Development Cooperation Framework (UNSDCF):

#### Outcome 2: Climate Change Response, Disaster Resilience & Environmental Sustainability

By 2026, people in Viet Nam, especially those at risk of being left behind, will benefit from and contribute to a safer and cleaner environment resulting from Viet Nam's effective mitigation and adaptation to climate change, disaster risk reduction and resilience building, promotion of circular economy, the provision of clean and renewable energy, and the sustainable management of natural resources.



## UNITED NATIONS DEVELOPMENT PROGRAMME

### UNDP Country Programme Document:

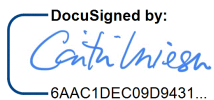
#### Outcome 2: Low-carbon, resilience and environmentally sustainable development

The project will contribute to environment protection, through the implementation of sustainable value chains that reduce the amount of waste burned or landfilled, while encouraging the collecting and reuse of recyclable materials, thereby contributing to SDG9' Sustainable Consumption and Production' and SDG11' Sustainable Cities and Communities'.

#### Indicative Output(s) with gender marker<sup>1</sup>: Gen 2

<b>Total resources required:</b>	1,298,000 USD	
<b>Total resources allocated:</b>	1,298,000 USD	
	<b>UNDP TRAC:</b>	N/A
	<b>Donor (Norwegian Embassy):</b>	Norwegian Embassy
	<b>Government (Binh Dinh's PPC – in kind):</b>	Binh Dinh 's People Committee
	<b>In-Kind:</b>	636,000 USD
<b>Unfunded:</b>		

#### Agreed by (signatures):

UNDP	
 6AAC1DEC09D9431...	
Print Name: Caitlin Wiesen	
Title: Resident Representative	
Date:	24-Feb-2022

<sup>1</sup> The Gender Marker measures how much a project invests in gender equality and women's empowerment. Select one for each output: GEN3 (Gender equality as a principle objective); GEN2 (Gender equality as a significant objective); GEN1 (Limited contribution to gender equality); GEN0 (No contribution to gender quality)



## UNITED NATIONS DEVELOPMENT PROGRAMME

### Table of Contents

I.	DEVELOPMENT CHALLENGE .....	5
1.1	Waste and Plastic Management in Viet Nam .....	5
1.2	Policy frameworks on Waste and Plastic Management in Viet Nam .....	6
1.3	COVID-19 Country Update .....	7
1.4	Role of Informal Sector/Waste Workers in the Formal Waste Management System.....	9
II.	STRATEGY.....	10
2.1	Objectives and Theory of Change .....	10
2.2	Key Beneficiaries and Target Groups of Phase 2 .....	12
2.3	Gender as a Cross-Cutting Objective .....	13
2.4	New-normal .....	14
2.5	Moving from traditional approaches to portfolio design to address uncertainty.....	14
III.	RESULTS AND PARTNERSHIP .....	16
3.1.	Expected Results .....	16
	Outcome 1: Sustainable models of waste management that increase livelihoods of waste workers (with a focus on women informal workers), implemented .....	16
	Outcome 2: Scaling and take-up of sustainable and inclusive waste management models and interventions through replication support, capacity development and knowledge-sharing.....	21
3.2.	Resources Required to Achieve the Expected Results.....	24
3.3.	Partnerships.....	24
3.4.	South-South and Triangular Cooperation (SSC/TrC).....	26
3.5.	Knowledge .....	26
3.6.	Sustainability and Scaling-Up.....	27
IV.	RESULT FRAMEWORK .....	29
V.	MONITORING AND EVALUATION.....	32
VI.	PROJECT MANAGEMENT .....	34
VII.	Legal Context .....	38
VIII.	Risk Management .....	38
IX.	ANNEXES .....	41
	Annex 1: Multi – year Work Plan (2021-2023) .....	41
	Annex 2: Risk Log .....	41
	Annex 3: Programme Quality Assurance .....	41



**UNITED NATIONS DEVELOPMENT PROGRAMME**

Annex 4: Gender checklist .....	41
Annex 5: SESP .....	41
Annex 6: Case Study UNDP India - Swachta Kendra .....	41
Annex 7: Synergies and enhancement between Phase 1 and Phase 2 .....	43



## UNITED NATIONS DEVELOPMENT PROGRAMME

# I. DEVELOPMENT CHALLENGE

## 1.1 Waste and Plastic Management in Viet Nam

According to the National Environment Report 2019 (published in 2020), every day the amount of MSW generated in urban areas is 35,624 tons and in rural areas is 28,394 tons/day. Compared to 2010, the total volume of MSW generated nationwide has increased by 46%. It is forecasted that the generation rate of MSW will increase 5%/year, the total amount of waste will reach to 54 million tons by 2030 (World Bank, 2018). Regarding collection and treatment, the collection rate is 92% in urban areas and 66% in rural areas, of which 71% of collected waste is treated by landfilling, 13% by incineration and 16% by composting (National Environment Report, 2020). In particular, plastic waste accounts for about 10-12% of the total solid waste generated in Viet Nam, equivalent to about 1.8 million tons annually.

Although essential to the improvement of waste management systems, at-source separation is not commonly found in Viet Nam. Challenges in classification, collection, transportation and treatment of solid waste include (i) poor awareness, lack of responsibility of the authorities, community and businesses in MSW management, (ii) lack of infrastructure for waste collection and classification, (iii) difficulty of municipality in selection of location to build/install centers for collection and classification, (iv) weak capacity of MSW management in many localities, (v) the system of policies, regulations, and guidelines related to solid waste management is still incomplete, (vi) lack of an effective operating mechanism that connects producers, consumers and management agencies, leading to limitations in mobilizing resources for MSW management, etc. There is however, some spontaneous waste separation that exists, driven mainly by the economic gains of reselling some recyclables, such as glass, carton, plastic. Pilots took place in Hanoi and Ho Chi Minh City, but these have rarely been sustainable.

The already difficult situation has been further exacerbated by the on-going COVID-19 pandemic, which has seen significant increases in the use of single-use plastics and an enormous volume of untreated masks and other Personal Protective Equipment (PPE) being discarded without clear disposal guidance, and this has become a growing challenge to waste management systems. Informal waste workers (IWWs) face high exposure to biological and chemical hazards due to their precarious working conditions because of the lack of systematic segregation of waste. The increase in PPE/COVID-19 related waste means that waste workers face greater risks of being exposed to contaminated materials that are not properly disposed of by households, quarantine facilities, and hospitals.

Due to their informal status, informal waste workers fall outside of the Social Protection (SP) package put in place by the Government of Viet Nam in response to COVID-19. During the nationwide COVID-19 lockdown in April 2020, many business activities slowed down or came to a complete halt, which significantly reduced the amount of tradable waste to be collected. Unable to wander the city searching for waste, many IWWs lost their primary source of income. During the peak of the first wave of the pandemic, almost 60% of surveyed informal workers were considered poor, while 6% were considered near-poor. While transient income poverty decreased in May 2020, the smallest decreases were registered among informal workers and women-headed households (UNDP RIM-2020 survey).



## UNITED NATIONS DEVELOPMENT PROGRAMME

Following the economic downturn associated with COVID-19, there is an opportunity to build back better, prevent further job losses to the extent possible (avoided employment destruction), and create alternative income-earning opportunities for workers in the informal sector or for those who normally work in micro and small enterprises affected by the slowdown in business activities. In this context, it is critical to increase the skills of these workers by investing more in vocational training, education, and soft skills, but at the same time seeking to provide models in which they can create (or improve) sustainable livelihoods.

### 1.2 Policy frameworks on Waste and Plastic Management in Viet Nam

In 2019, Resolution No. 09/NQ-CP (February 3rd, 2019) was issued, in which the GoV has assigned the Ministry of Natural Resources and Environment (MONRE) to be the focal point of unified state management of solid waste. MONRE issued Decision No. 849/QD-BTNMT on the plan to implement Resolution No. 09/NQ-CP to ensure the integrated and unified state management of solid waste from central to local levels. It is expected that this Plan will create a positive change in solid waste management, especially for domestic solid waste, contributing to the successful implementation of the National Strategy on the Integrated Management of Solid Waste by 2025, vision to 2050 approved by the Prime Minister in Decision No. 491/QD-TTg on May 7, 2018.

On plastic waste, in December 2019, the first National Action Plan for Management of Marine Plastic Litter was issued by the Prime Minister (PM). The plan sets the target of reducing marine plastic litter by 75%; collect 100% of abandoned, lost, or discarded fishing gears and put an end to the disposal of fishing gears in the sea; prevent the use of single-use plastics and non-biodegradable plastic bags in 100% of coastal tourism areas, tourist attractions, tourist accommodations, and other seaside tourism services; and strive for 100% of marine protected areas to be free of plastic litter, by 2030. On August 20, 2020, the Prime Minister issued Directive 33/CT-TTg on strengthening the management, reuse, recycling, treatment and reduction of plastic waste. The PM instructed ministries, branches and localities to issue directives and plans to reduce and recycle plastic waste; as well as to minimize the use of disposable plastic products and prioritize the selection of recycled and environmentally friendly products. The Directive also requests agencies and public institutions to minimize the use of disposable plastic products and reinforces environmental protection legislation to tackle environmental challenges. This is a strong signal given to line ministries and will foster the formulation of sectoral plans to reduce plastic pollution.

In November 2020, the revised Law on Environmental Protection (LEP) was adopted. It builds the institutional basis for the development of a circular economy and strengthens the stipulation on solid waste management directives? Article 142 gives the first definition of Circular Economy, in which “design, production, consumption and service activities reduce the extraction of raw materials, materials, extend product life, reduce generated waste and minimize negative impacts”. Articles from 75 to 79 of the revised LEP provide regulations on domestic solid waste collection and treatment service based on the sorted amount of waste, according to which: domestic solid waste must be classified into, solid waste that can be reused or recycled; food waste; other domestic solid waste. They must be stored in different packages to be collected and disposed of. The collection points and transfer station must have different areas to store the classified domestic solid waste, ensuring classified wastes are not mixed up. Solid waste that is reusable, recyclable, and hazardous waste generated from households and individuals has been classified according to regulations without having to pay for collection, transportation and treatment services. For other types of solid waste, it must be stored in the packages prescribed by the People's Committee to be collected and recycled. Domestic



## UNITED NATIONS DEVELOPMENT PROGRAMME

solid waste collection entities have the right to refuse collection of domestic solid waste from households and individuals that fail to classify and use packaging in accordance with regulations.

Binh Dinh province is developing a solid waste management plan under the Binh Dinh Provincial Master Plan for the period of 2021 - 2030, with a vision to 2050. According to Plan No. 15/KH-UBND of the Provincial People's Committee Binh Dinh dated February 8, 2021 on the implementation of Directive No. 41/CT-TTg dated December 1, 2020 of the Prime Minister on a number of urgent solutions to strengthen solid waste management in the area Binh Dinh province, Quy Nhon city has set the goal of collecting 100% of domestic solid waste, and at the same time strengthening the management, reuse, recycling and treatment of used plastic, minimizing the generation of waste, plastic waste into the environment. Also, according to this Plan, guideline for classification of waste at source, collection, reuse, recycling and treatment of waste (including plastic waste) will be developed for implementation at districts, towns and cities levels. In addition, the provincial regulations on solid waste management will be reviewed to ensure compliance with current legal regulations, the revised Law on Environmental Protection 2020.

### 1.3 COVID-19 Country Update

As of 1st December 2021, Viet Nam had reported a total of 1,238,082 cases, with 25,252 deaths (accounted for 2% total infected cases), and 989,348 persons recovered. Since the coronavirus (COVID-19) pandemic was first recorded in Viet Nam on January 23, 2020, three waves of outbreaks took place in the country (by April 2021). In response, the Vietnamese authorities took swift action through testing, contact tracing, quarantine and social distancing measures to curtail the spread and limit community transmission. Therefore, Viet Nam continues to be commended for its early, low-budget, contact-tracing, isolation and treatment response, which has led to a relatively low number of cases compared with some of its ASEAN neighbors. Nevertheless, the COVID-19 pandemic has substantially affected the economy and most vulnerable people and household businesses.

Output and revenue in Viet Nam's manufacturing, tourism, and transport sectors all dropped sharply during Q1 of 2020, while agricultural commodities produced for export have also been affected. An increase in inflationary pressures and a significant reduction in GDP growth in 2020 were projected. Based on the RIM survey 2 conducted by UNDP Viet Nam; 63% of all households experienced at least one of these employment impacts (members laid off, temporary break from work, reduced working hours) of the pandemic. The poverty rate of the affected population increased substantially between December 2019 and October 2020 across poverty lines used and across different segments of the population. If a World Bank's poverty line of USD 3.2 is used, the poverty rate for the affected population rose from 6.4% (Dec. 2019) to 15.1% (Oct. 2020).

The percentage of households using electronic payment increased to 10.1% of households in October 2020, from 6.9% in April 2020. Such a change is encouraging, indicating Viet Nam is turning challenges into opportunities for accelerating digital transformation. 13% of households did online shopping.

### COVID-19 Impact on Waste Management in Viet Nam

As mentioned above, the pandemic has seen a surge in single-use plastic driven by a number of factors, such as the spike in home delivery, the (incorrect) fear of virus transmission via reusable packaging, and the daily use of protective equipment globally. Although Viet Nam rapidly ramped up management of infectious and



## UNITED NATIONS DEVELOPMENT PROGRAMME

occupational health in national hospitals, the lack of systematic segregation of waste poses a risk to waste workers and citizens alike. Beyond the increase in plastic litter, there is very limited understanding among Vietnamese citizens of the health-related effects of hazardous waste.

In Viet Nam, and more widely across ASEAN countries, the enormous volume of untreated masks and other protective materials being discarded without clear disposal guidance has been described as a 'time-bomb', posing serious potential health and environmental challenges. This waste includes both medical waste from healthcare facilities as well as discarded PPE such as masks used by the general population. Inappropriately discarded masks also pose a threat to the environment, including marine, terrestrial, and avian life.

The pandemic's impact on employment has been dramatic, with an estimated 31.8 million workers in total having either lost their job or had their working hours reduced in September 2020, according to a report by Viet Nam's General Statistics Office. The impact is particularly pronounced for poor or near-poor segments of the population - UNDP's initial rapid consultation with the Women's Unions in the five provinces/cities covered by the DWP5C project indicates that urban poor and near-poor households are facing extreme difficulty due to loss of income and increased expenditures/livelihood costs. Poor households are worried about the coming months and do not have the financial resources and assistance to overcome difficulties. Migrant workers, such as waste collectors and street vendors, recorded a sharp decrease in income during the first months of 2020.

Despite the intended results of preventing vulnerable people from falling into poverty, the Government's SP support policy has faced several challenges in both its design and implementation. Some of the challenges impeding the effective delivery of the SP package include complicated rules and procedures for identifying and verifying eligibility, which have prevented several targeted groups from accessing it (e.g., informal workers who lost their jobs and/or experienced drops in income to below the poverty line). The feedback from surveyed MSMEs concerning the Government of Viet Nam's support during the pandemic identified 3 main difficulties: access to specific information about the application procedure, filing applications for support, and the verification process for support approval. 17.5% of households received some form of support. The support coverage was modest as compared to the percentage of households affected by the pandemic (63.3%).

The targeting program has so far done well with regards to the "fixed" targets, as evident by positive assessment of the support by the recipients as documented in RIM 2 survey. However, it generally failed to hit the "moving targets", i.e., unable to deliver the support to people in the so called "missing middle" who are not the program's list but are hit hard by economic shocks. Although the Government's Resolution 42 intended to support numerous groups of informal workers, the lack of information and the resultant high transaction costs of verification of eligibility of the spatially and occupationally mobile workers often prevented them from accessing the support package. Although the need for informal workers to access the support declines as the economy is recovering; important lessons need to be learnt to improve the coverage, speed and thereby the effectiveness of the social assistance program in the future.

### **From Pandemic Management Success to Waste Management Success?**

The current crisis can also be seen as a real opportunity for learning and creating positive and sustainable change. As seen, Viet Nam faces considerable challenges in creating a more sustainable waste management system, as part of the wider challenge it faces with regard to environmental and climate change





## UNITED NATIONS DEVELOPMENT PROGRAMME

challenges. On the other hand, Viet Nam has been more effective—relatively speaking—in dealing with the COVID-19 crisis, and it is possible that some learning can be extracted from this experience to help the Government start addressing more effectively and urgently the waste management challenge (and wider environmental challenges). The COVID-19 experience has shown policy makers the value of acting with urgency, taking the right measures at the right time, and developing collective vision and encouraging innovation and experimentation. This project can make a contribution to this process, as it already builds on a Phase 1 that used innovative approaches to tackling Vietnam’s acute waste management crisis, and now seeks to bring further innovation, fresh thinking and an ambition to scale and replicate such innovation solutions.

### 1.4 Role of Informal Sector/Waste Workers in the Formal Waste Management System

#### Profile of Informal Waste Workers

The informal sector plays a pivotal role in the solid waste management system in Viet Nam as over 30% of the waste is estimated to be collected through this channel. The majority of IWWs are women. Also known as 'Dong Nat,' they buy or collect waste from households to resell to larger recyclers, which supply craft villages. Between 10,000 and 16,000 waste pickers work every day in Hanoi and Ho Chi Minh City respectively. Their role in material recovery and diverting waste from landfills is often overlooked by both the local authorities and the authority-licensed municipal waste collection services. Although IWWs in Viet Nam are often portrayed as dirty, poor and at the bottom of the waste sector, these IWWs are in fact the real workhorse of the waste collection system in Viet Nam and make a significant contribution to the economy and society - if they did not exist, the country would be facing even more insurmountable waste management problems.

The typical Informal Waste Picker (IWW) is a middle-aged woman on a bicycle going through pre-selected neighborhoods to pick up waste either from her established contacts or randomly from households/businesses, earning between 100,000-200,000 VND/day. An established network is the main work resource for any IWW. As waste picking is not exactly a highly desirable job for most people, IWWs only enter the business on the advice of a trusted contact. They are vulnerable to fluctuating prices, exploitation by waste aggregators and traders, health hazards and injuries etc.

The comprehensive research and surveys of IWWs conducted by UNDP in Da Nang provided a number of insights into IWWs working lives and social conditions. Although IWWs are working independently, their livelihood is related to the quality of their professional networks. By establishing long term relationships with business contacts, they can avoid collecting trash from the streets and the bins, but rather directly collect from them. IWWs also suffer from societal stigma and poor social status, a lack of recognition, and general misconceptions about them among the general public. In Da Nang, for instance, our study estimated that they recover between 7 and 10% of municipal waste, which considerably reduces the amount of waste brought to the landfills.

The relationships between the formal waste management system, the informal waste sector, the collection and segregation centers, and households and businesses are complex and multi-faceted. For example, in Da Nang, it was found that IWWs play a significant role in the overall recovery of recyclable waste, with a total collection rate of between 6% and 7.5% compared to the volume brought to the landfill (approximately 1,000



## UNITED NATIONS DEVELOPMENT PROGRAMME

tons per day). In Da Nang, it is clear that the formal municipal waste management and the informal waste sector are already intertwined, however, this relationship currently exists only at an informal level. This includes municipal waste workers segregating tradeable waste from their collection points and selling it to informal aggregators; municipal waste workers informing IWWs about larger amounts of tradeable waste identified on their route that cannot be picked up; and IWWs supporting municipal sites by keeping them clean. These collaborations showcase the strategic integration and collaboration between the informal waste sector and the overall waste management system.

### Impact of COVID-19 on Informal Waste Workers

As mentioned above, IWWs' informal status has meant that they have fallen outside of the SP package put in place by the Government of Viet Nam. Many women IWWs eke out a living by collecting, sorting waste, and selling materials for recycling. During the COVID-19 lockdown, many businesses activities slowed down or came to a complete halt, which significantly reduced the amount of tradable waste being generated. Unable to wander the city searching for waste, many informal waste workers lost their primary source of income and had to return to their hometown during the cities' lockdown. Moving to other jobs during a pandemic may often mean workers are accepting higher health risks and lower income (or taking on multiple jobs, as reported by the media).

During the peak of the pandemic, almost 60% of surveyed informal workers were considered poor, while a further 6% were considered near-poor. Based on the other results stating they could use their savings for two months approximately, it can be expected that a very abrupt reduction in income would push these informal workers to move from transient to chronically poor. It is expected that Phase 1 and the inception activities of Phase 2 while transient income poverty decreased in May 2020, the fewest improvements were observed among informal workers and women-headed households.

In addition to economic loss, informal waste workers face high exposure to biological and chemical hazards due to their precarious working conditions and their daily work. Specifically, during the pandemic, waste workers faced greater risks of being exposed to contaminated materials if these are not properly disposed of by households, quarantine facilities, and hospitals. UNDP will collaborate with the health-environment programs to access and communicate the risks of leakages from the facilities (if any). Besides, their fragile households often live on the edge, in unsanitary shelters and face the risk of falling back into extreme poverty. Moreover, many are migrants from other provinces who are currently unable to send remittances back home due to their lack of income, which may jeopardize the education of their young children.

## II. STRATEGY

### 2.1 Objectives and Theory of Change

The objective of Phase 2 is to deploy and test a range of interventions (including on the ground support interventions for IWWs, a sector-focused WM model in fisheries, and an ecosystem-level approach at innovating the value chain through an MRF), and then refining these models based upon the deployment and learning with a view to continued and scaled-up deployment supported by a program of capacity development and knowledge creation, sharing and dissemination.



## UNITED NATIONS DEVELOPMENT PROGRAMME

The rationale for the project is twofold: (i) the significant, yet overlooked, roles undertaken by the informal sector in waste collection and segregation; and (ii) the lack of local waste and recycling collection centers that respect environmental and social standards.

The theory of change for this project is that enhanced community capacity for waste management, when supported by an effective enabling environment and the adoption by municipalities and businesses of the circular economy principles, will contribute to delivering sustainable and transformative solutions.

The hypothesis is underpinned by the following design features: (i) strengthening and empowering local waste workers and associations to play an increasing role in waste management; (ii) engaging with the government in responding to policy frameworks' objectives and testing regulations that are conducive to the sustainability of the pilots; and (iii) adopting an innovation-focused approach, and establishing a series of interventions to quickly learn and assess/evaluate the sustainability and effectiveness of supports to the informal waste sector; and (iv) establishing mechanisms to disseminate learnings at regional/national levels conducive to the scaling-up of the pilots.

The piloting of different intervention models during outcome 1 – covering a series of on-the-ground IWW support interventions, a sector-level approach and an ecosystem-level value chain approach – will allow the models to be tested, including the level of support inputs such as capacity development and training, and the requirements at the enabling environment level to allow the models to function effectively. The learning from this process will allow the models to be refined and adapted as necessary, with a view to facilitating their take-up for scaling and replication, along with implementation support, while the knowledge assets and toolkits created will be made available at both national and regional level.

The project structure reflects this causal flow of effect, with the structure comprising 2 outcomes:

**Outcome 1:** Sustainable models of waste management that increase livelihoods of waste workers (with a focus on women informal workers), implemented

**Outcome 2:** Scaling and take-up of sustainable and inclusive waste management models and interventions through replication support, capacity development and knowledge-sharing



## UNITED NATIONS DEVELOPMENT PROGRAMME

**Figure 1: Overview Theory of Change – Phase 2**



## 2.2 Key Beneficiaries and Target Groups of Phase 2

**The primary beneficiary group of Phase 2 are the waste workers and in particular the women and informal sector.** This group is often marginalized because of their social status, poverty levels, lack of recognition by the municipalities, etc. They are typically middle-aged to older women, often over the age of 50, who have been working in the informal waste sector for 15 to 24 years. 70% do not have any other employment beyond waste picking, meaning that they rely solely on this income. IWWs can earn, on average, from 1.3 million VND (US\$55) to 5.2 million VND (US\$223), per month. They work on average 4-5 hours per day, while the rest of their time is dedicated to other household duties.

Investing in the informal sector represents an effective mechanism for improving waste management systems – in particular the collection, segregation, and landfill diversion of waste – while simultaneously improving their working, health, and sanitary conditions and contributing to SDG1 of reducing poverty. Phase 2 intends to change the narrative that depicts informal waste workers as a city burden generating pollution, by putting forward the economic and environmental value that this stakeholder group brings to the system through waste recycling in general. Waste workers are in fact conducting a utility service for free, yet they crucially lack recognition from the city management.

**Secondly, the project will benefit local municipalities and representatives of mass/representative organizations.** This includes Women's Unions, as well as professional associations such as the fishery associations and waste management system bodies. Under Phase 1, the Women's Unions have received the UNDP/GEF Small Grant Programme to develop multi-stakeholder collaboration with local partners, implement local models of integrated waste management, and establish revolving funds serving the IWWs.



## UNITED NATIONS DEVELOPMENT PROGRAMME

Phase 2 takes a deep dive in 1 locality (Quy Nhon in Binh Dinh province) and will continue to build their capacity through the establishment of the Material Recovery Facility and waste segregation campaigns.

**Thirdly, the project will support Micro, Small and Medium Sized Enterprises (MSMEs) in the waste sector**, including waste collection points and consolidation centers. Many MSMEs are essential actors in waste value chains and some of them are included in the formal economy since they are required to have land titles and pay taxes. However, many do not apply environmental standards and are driven solely by market prices, which means they dispose improperly the materials that are not valuable. Similarly, the project will also entail benefits for the other actors in the waste value chain (such as aggregators, processors, traders, small-scale recyclers).

**Fourthly, the project will support the Government of Viet Nam**, and in particular the Ministry of Natural Resources and the Environment (MONRE), in the implementation and enforcement of current and upstream legislation on waste management and the circular economy.

**Other beneficiaries**, at a more indirect level, will include some of the above stakeholders (e.g., municipalities) in areas of Viet Nam not targeted by the project, who benefit from the project experience exchange, good practices and dissemination experience, as well as regional stakeholders such as other ASEAN governments, municipalities and possibly international financing agencies (IFIs) who adopt the model in their financing and investment portfolios. Similarly, the citizens of the beneficiary municipalities, who will derive some benefits from improved and more sustainable waste segregation and some reduction in public health risks.

### 2.3. Gender as a Cross-Cutting Objective

During COVID-19, gender-based roles and gender stereotypes have come into sharper focus, manifesting themselves for example in increased work burdens on women for responsibilities associated with care and domestic work, which was also accompanied by an associated higher risk of infection from routine household tasks such as purchasing daily necessities, as well as a higher risk of gender-based violence as expressed in respondents' to UNDP survey sharing about higher tensions and stress at home.

Most informal waste workers are women, but men and women do not collect the same streams of waste: men generally use bikes and collect metal, which is the highest-value waste, whereas women do not have access to the recyclables with the highest value. Due to their precarious working conditions, including night shifts, women waste workers are also at increased risk of violence.

The project is designed to benefit and support women waste workers in many different ways. It includes financial support, vocational training, as well as activities designed to address the social exclusion and stigma issues than often come with this work. The establishment or strengthening of unions and cooperatives has proven to be an effective mechanism in other countries to strengthen women leadership, foster a sense of community, and encourage collaboration and peer to peer moral support.

In order to foster the efficiency of the waste recycling value chains and improve environmental sustainability, Phase 2 will engage with the "intermediaries" (aggregators, processors, traders, small-scale recyclers) and train them on environmental technologies and standards. The module will also include some basic training on the waste hierarchy, the risks posed by pollution to health and the environment etc.



## UNITED NATIONS DEVELOPMENT PROGRAMME

During implementation, the project team will seek to locate gender at the heart of the project in a truly-cross-cutting manner. This will involve not only monitoring and reporting on IWWs and beneficiaries in a gender-sensitive manner, but also bringing a gender-lens in a holistic manner to the work on stakeholder engagement and ecosystem strengthening, support for replication and scaling, etc. This would mean for example including a clear gender dimension to the Guidance Package on Replication and Scaling. The team will also consider how the project can possibly generate new learning/bring a pioneering approach on the gender dimension, such as by considering the financial (and other indirect) costs and benefits of female IWWs in dealing with the less lucrative areas of waste that male IWWs tend not to favor, as well as the indirect societal benefits (family, family health, safety, and education for children etc.) from female IWWs that are gainfully employed and supported. We would also explore if a costs-of-inaction approach could be implemented in calculate the various levels of cost from not taking action (e.g., the cost of not supporting an IWW that is at risk of losing her work due to e.g., COVID -19 impact is not just the loss of her income, but increased vulnerability risk, as well as follow-on risks such as her children in a more precarious situation, education and schooling risks, health risk etc.).

### 2.4 New-normal

Phase 2 of the DWP5C is designed for the implementation in the 'new normal' environment of "co-existing with COVID-19." Given the profound socio-economic impacts of COVID-19, marked by a surge in inequality and uncertainty, the design of the project combines core activities to build the resilience of vulnerable households, with a technical support to the local and national governments to continue fostering an enabling environment for enhanced sustainable waste management in cities and in Viet Nam.

The design of Phase 2 allows for flexibility in activity implementation in order to quickly respond to changes such as the emergence of new COVID-19 cases, a city lockdown, or further directives. Recognizing the fast-changing nature of the current situation, the project may reallocate the sequence of activity delivery in order to deliver an effective, sustainable, and gender-sensitive project. It will also design agile activities to respond and adapt quickly to new potential shocks.

The significant focus on the creation of attractive knowledge products and the development of engaging toolkits and guidance manuals for key stakeholders to facilitate learning and accelerated take-up and replication of the project's models – inside and outside of Viet Nam – is also designed to provide further project resilience by allowing for a significant e-push in high-quality online engagement, communication and dissemination and stakeholder value even in operating environments that might be heavily restricted by COVID-19 (e.g. travel restrictions, social distancing requirements that complicate medium-size events, etc.). This will also help ensure a high visibility for Norway regardless of the COVID-19 situation.

### 2.5 Moving from traditional approaches to portfolio design to address uncertainty

This project aims to support waste workers, and in particular, the women working in the informal sector. Given these beneficiaries' typology, this project intends to experiment with a new way of working in line with UNDP' Accelerator Lab and Deep Demos new programmatic responses to wicked development challenges. By doing so, it intends to take a more modest approach towards reality.

The informal sector exhibits specific characteristics: self-employed, micro-enterprises, rarely integrated into socio-economic plans or covered by social packages, extraordinarily diverse and multi-sectoral, multi-activities, cross-provinces, underestimated in official statistics. Due to their informality, informal workers



## UNITED NATIONS DEVELOPMENT PROGRAMME

rarely can benefit from support packages; therefore, supporting them presents a number of challenges, which calls for a different approach to development. In addition, and this is exemplified by the COVID-19 pandemic, the strict planning of activities to achieve pre-defined results applied to informal employment will likely be irrelevant. No matter how we plan it, humans have their behaviors. We shall acknowledge that, only by interacting with complex systems, can we intervene.

Overall, it is critical to keep in mind that the mechanisms to formalize and socialize the waste workers are highly context-specific and will differ from one city to another. This is why the mechanisms to formalize and socialize the waste workers across different city settings will be highly scrutinized under this project. These will then be highlighted in the guidance material produced for national governments and municipalities to help them plan the replication and deployment of the models developed and validated by the project. Overall, Phase 2 supports the development of an enabling environment conducive to better recognition of informal waste workers since it is clear from Phase 1 that this informality represents an impediment to an increase of their livelihoods and working conditions.

Phase 1 allowed us to draw some key lessons such as: the behaviors of informal waste workers is not predictable, or linear, or only driven by market prices, it is highly context-specific, and depends on several social networks; vast discrepancy exists among the group in terms of livelihoods, experience resulting in different levels of (in)formality. The study conducted under Phase 1 about the informal sector routes in Da Nang has proven to be invaluable source of insights to design the next sequence of activities, address gaps, and mobilize additional funding. Yet, it is clear that the informal sector in Binh Dinh will behave differently. We don't currently have the answer to the question 'How can we increase the livelihoods of women working in the informal waste management sector in a sustainable way?'

Therefore, under Output 1.1 (Component 1), this project makes the assumption that, when dealing with such a complex situation, our main focus should be to understand the system, and from there rapidly designing a range of interventions that we would pilot, test, assess and through a well-established learning loop with our local government partners. Our intent is clear: we aim to empower informal waste workers & strengthen their resilience to withstand shocks, taking into account the gender specificities of the sector. In doing so, we put in place a number of principles such as:

- Collaboration and information sharing generously
- Rapid testing and feedback loop
- Ethnographic approach and research, rather than quantitative tools
- Continuous learning and adaptation towards the defined outcome

Under Output 1, we will partner with the EU Rethink Plastic program, the Hanoi University of Architecture, and other NPAP network members to share resources, insights, and methodologies to design cross-cutting transformative portfolios and develop new social narratives around the role of informal waste workers. The funding allocated under this Output will enable us to manage the portfolio dynamically while generating regular insights at the provincial, country, and regional level. The program will apply the portfolio approach methodology and related tools we developed in Viet Nam and intend to build and embed these local governments' capabilities.

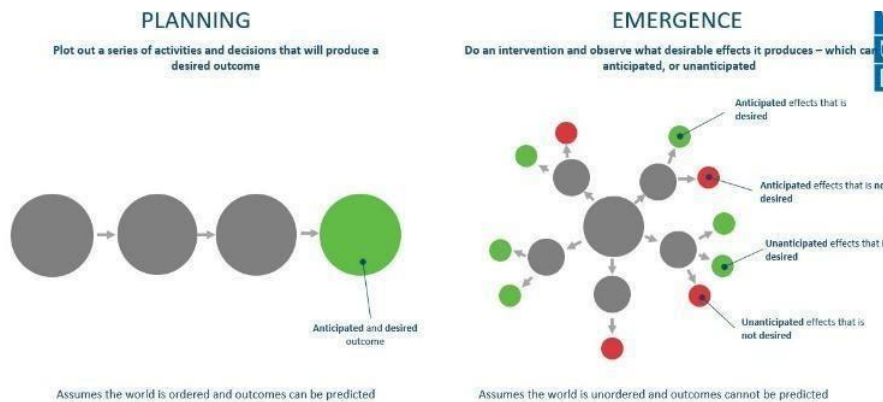
Since this project intends to strengthen the resilience of informal waste workers, a number of suggestions were extracted from the UNDP- RIM 2 survey, related to the factors that would help their inclusion under the formal system of social protection, as follows. Firstly, it is important to move from a residence-based system of social protection, which excludes Vietnamese migrant workers, to one based on national



**UNITED NATIONS DEVELOPMENT PROGRAMME**

citizenship. Secondly, digital technologies would help to substantially cut down transaction costs associated with eligibility verification and delivery of cash handout to recipients. The latter is a big challenge during times of lockdown, and when there is a need to reach out to people in remote areas in a rapid manner. Accelerating inclusive digital transformation in tandem with the Government’s plan to abolish the resident registration (Ho Khau) in 2021 and with the recently started pilot of mobile money would mark a turning point in the reform of the social assistance program in the digital age. It is also worth considering central government matching grants to provinces with limited financial resources to increase coverage and accelerate implementation.

**Figure 2: From Planning to the emergence**



**Figure 3: From Business as Usual to future practice**

From Business as usual		To Future practice
Measuring to validate and justify	MEASUREMENT	Measuring to learn and, improve
Validating decisions already made	DOCUMENTATION	Documenting practice to enable new possibilities
Centralised planning & control	MANAGEMENT	Empowering local accountability and variance
Retrospective focus on processes and outputs	PERSPECTIVE	Forward-oriented focus on effects and conditions
Updating logframes and reporting on projections	DATA	Assessing outcomes and their link to strategy
Stable measurement indicators and probabilities	INDICATORS	Continuous development and adaptation
Supporting traditional project management	APPROACH	Supporting portfolios of complementary activities

**III. RESULTS AND PARTNERSHIP**

**3.1. Expected Results**

**Outcome 1: Sustainable models of waste management that increase livelihoods of waste workers (with a focus on women informal workers), implemented**





## UNITED NATIONS DEVELOPMENT PROGRAMME

### Output 1.1 Series of Interventions to empower IWWs who are mainly women, and strengthen their resilience to withstand shocks, including the impacts of COVID-19, implemented

This output intends to enhance the livelihoods, social inclusion, and social protection of women IWWs building and expanding Phase 1. The learnings under this Output will contribute to the activities of UNDP on resilience & COVID-19 green recovery guidance for municipalities and national government. Activities are twofold.

Firstly, the project will deliver direct support to an additional number of IWWs (building on Phase 1) in the form of PPEs, soap, masks, and hand sanitizers and augment the dotation of the revolving funds established under Phase 1 to target more beneficiaries in 2-3 sites. Secondly, this Output will design a number of interventions that seek to respond to the following strategic questions: **'What is needed to increase the livelihoods of IWWs sustainably, empower them and strengthen their resilience to shocks, including COVID-19?'**

The "GoVN Social Protection Support to the affected people by COVID-19" was designed to protect the livelihoods of vulnerable people and boost domestic demand, but it reached only a limited number of workers. Given that informal waste workers are not registered as a business, nor are they in a formally registered work relationship, they were unable to access the social protection funds established to support the most severely affected workforce. The experiences of the pandemic have reinforced the need to revisit the design of support transfer programs in Viet Nam. Therefore, under this Output, Phase 2 will design a number of pilots to test different protection support mechanisms and test their initial roll-out for a limited period of time to evaluate if the mechanism is sustainable in the long term. Activities under this Output may also assess the opportunity of collaborating with Viettel and VNPost, since both organizations are currently disbursing cash transfers to vulnerable households.

Activities will be centered around a series of innovative interventions to empower IWW, strengthen their resilience and social inclusion; including implementing a pilot in one site.

#### **Cash for work activities**

UNDP RIM 2 survey found that 57.4% of respondents had a reservation wage (i.e., the minimum level of wage they require in order to accept the work) of under VND 120,000 (if they live in urban areas) or VND 95,000 (if they live in rural areas). The former falls into a lower range of regional minimum wages for 2021 while the latter is well below the range. This implies that demand for public work in time of economic downturn is relatively high, while it is cost effective. Activities will be organized by local government agencies that have a backlog environment restoration that could be started and completed quickly. Such programs need to be designed and implemented in a fast and gender-sensitive manner to meet the differentiated needs of female and male workers.

#### **Bottom-up Innovative interventions**

Some of the activities included may include offering a voluntary registration process for IWWs, enabling them to participate in the social system and receive basic health and social protection, give them access to morale and financial support mechanisms. Expanded access to credit is also critical for many vulnerable people that have been hit hard by the pandemic. The output may assess innovative solutions, such as supporting financial service providers that serve household businesses and micro and small enterprises working in the informal



## UNITED NATIONS DEVELOPMENT PROGRAMME

sector. Enabling intermediaries to bring digital financial services to underserved groups is also crucially needed. Such solutions should be designed and implemented with gender-sensitive approaches to address the chronic issue of women-led enterprises having less access to credit. Technological innovations, including mobile money and direct deposit options (e.g., through traditional top-up of phone card with small cash), have the potential to expand access to and use of savings accounts. Most recently, the Prime Minister agreed to pilot mobile money for two years, starting from 9 March 2021. This is a big step forward for promoting financial inclusion in general and raising savings in particular. This Output will continue to leverage the capacity of the UNDP's Accelerator Lab to identify and support promising innovations in the informal sector. The hypothesis underpinning the last activity is that informal workers are incredibly resourceful and, taken together, their individual innovations could have a spill-over effect at the ward, city, or even national level. It also aims at empowering those who are often left behind in the 'innovation' narrative and equip them with the technical and financial support they need to thrive and scale-up. Therefore, the project will strive to promote grassroots innovations developed by informal waste workers, ensuring their scale-up and sustainability.

Finally, the project will design a robust monitoring framework to estimate the effectiveness of the above support and its impact on poverty reduction and resilience.

### Activities include

1.1.1 Accelerate training on health/safety and disseminate PPEs to waste workers to cope with COVID-19: including, soap, masks, and hand sanitizers.

1.1.2 Expand revolving funds and grants to the existing women-led funds set up in Phase 1, and promote bottom-up innovative solutions to empower IWW, strengthen their resilience and social inclusion, targeting additional informal waste workers to encourage the purchase of equipment and access to credits.

1.1.3 Implement cash for work activities (e.g.: coastal clean ups)

### Output 1.2: Integrated waste management model in the fishery sector established, which will engage both fishermen and women-led cooperatives.

This Output is set to create additional income-earning opportunities for the IWWs in the fishery sector, while encouraging waste collection mechanisms from fishing boats. The fishing industry is responsible for the majority of marine plastic pollution and a large proportion of marine plastic found on the shores. The activities under this Output will enhance the linkages among fishermen and women-led cooperatives. To do so, fishing vessels will be asked to bring waste back to the land, instead of discarding this waste in the sea. When vessels come back to the port, they will have the opportunity to dispose of the waste accumulated during their time on the sea, with the women cooperatives. The cleaning, segregation and reselling of recyclable waste will generate additional income for women waste workers organized into cooperatives (Output 1.1).

Where possible, downstream activities will be promoted, whereby cooperatives would be supported for instance, to transform fishing gears into commercial recycled products or to sell unrecyclable waste to cement factories. The activities under this Output will contribute to the implementation of the Viet Nam National Action Plan for Management of Marine Plastic Litter that set the targets to collect 50% of



## UNITED NATIONS DEVELOPMENT PROGRAMME

abandoned, lost, or discarded fishing gear by 2025 and put an end to the disposal of fishing gear into the sea by 2030.

The project will also link with cement factories and other manufacturing facilities to co-process non-recyclable plastic or pilot waste to energy models, collaborating with SINTEF, for instance. This is acknowledging that processing of plastic waste is the least desirable option of the waste hierarchy, yet the project will evaluate emission reductions brought by co-processing. Viet Nam recently submitted its Nationally Determined Contributions to the UNFCCC and waste to energy is mentioned as one of the key measures to reduce emissions from landfills.

### Activities include

- 1.2.2 Conduct a Rapid need assessment, formulate and support the promulgation of a pilot regulation accepted by the local government and local fishery associations
- 1.2.3 Procure waste equipment for the boats and deliver training on waste management/segregation and environmental impacts of littering
- 1.2.4 Set up waste collection points along the seashore, led and implemented by IWW cooperatives/groups and linked to the Material Recovery Facility
- 1.2.5 Pilot of co-processing of non-recycle plastic waste with manufacturing facilities or waste to energy projects (e.g.: with SINTEF)

### Output 1.3: An inclusive Material Recovery Facility for Improved Local Material Value Chain piloted and established

Currently, there is a limited increase in income opportunities for informal waste workers who sit at the bottom of the value chain. They collect, segregate, and sell recyclable materials to local aggregators, who then proceed to package it and arrange transportation to massive and centralized recycling factories, such as the hubs for recycling located near Ho Chi Minh City or Hanoi. The lack of city, district or even provincial recycling facilities hinders the development of waste management models that efficiently avoid the loss of materials and preserve their economic value. The transportation costs contribute to reducing potential profits and therefore exclude the majority of waste from the informal recovery system.

This Output intends to pilot the establishment of a Material Recovery Facility (MRF) that is financially and operationally sustainable and employs informal waste workers both as operators of the facility as well as suppliers of waste. The primary objective of this initiative is to identify, invest and build a systematic waste collection system in addition to setting up a traceable collection system through a focus on inclusion activities. It builds on the success of UNDP in India, who has established 25 MRF across the country (see Annex 6).

The project will set up the MRF system with principles of fair wages and no deductions of weight, fostering sustainable livelihoods for the informal waste workers. After reaching the premises of the MRF, waste will be sorted and segregated based on its qualities and thickness; and pre-processed (e.g., shredding, bailing, extruding, etc.) as per the end-use requirement. It will also entail the establishment of links with the municipalities on the collection processes. Several agreements will be signed with local business/NGOs selected in the city, through UNDP's competitive bidding process, for operating the recycling activities (i.e., collection, segregation, recycling etc.) and managing the small recycling center. Other important agreements to be obtained include the certification signed with the waste workers of each city ward for collection and segregation of waste at defined pricing that they will receive, mutual agreements signed with the local



## UNITED NATIONS DEVELOPMENT PROGRAMME

municipalities for providing the land and for setting the recycling centers (subject to availability of capital like land/ space/ machinery), and mutual agreement signed with final end-of-life processors and other users/recyclers. Under this Output, the project will collaborate with the government to establish the list of official registered recycling for re-processing the different plastics and waste in an environmentally sound manner.

The Output will be designed as a blueprint for replication in Viet Nam and ASEAN. Learnings from the implementation in one city will be documented under the Viet Nam Circular Economy Hub to aid in strategies formulation for replication in additional cities under a potential Phase 3.

Recently, the social enterprise Evergreen Lab set-up a waste collection/segregation facility in Hoi An, Quang Nam province. This MRF is at an early stage and mainly designed for engagement and awareness raising, no recycling activities are carried out here. However, this is also a positive sign for the establishment of the MRF in Quy Nhon and the project may engage this company to implement some elements of the MRF.

Finally, waste segregation activities intend to focus on a smaller size city Quy Nhon where there is strong leadership from the local policymakers to support the local roll-out of the campaign. It will build on the network of informal waste workers to uplift their knowledge and utilize their existing connections with households and businesses from which they collect waste. They will receive specific training that will build their capacity to meet with residents and communicate new initiatives, such as a waste segregation campaign, and advocate for better waste management practices. Since behavioral change is a critical aspect of waste segregation, this activity will put in place door to door campaigns, capacity building, training at schools, among other activities to promote segregation at source, build awareness, and educate on the 4Rs – Reduce, Reuse, Recycle, Refuse on waste segregation. Under this activity, the project will engage CSOs, who may for instance, wander the city announcing the importance of segregating waste at source, playing pre-recorded jingles and messages for the public microphone etc.

### Activities include

- 1.3.1 Conduct a value chain analysis (including aggregators, traders and recycling facilities) & map the informal waste sector (including gender-sensitive analysis) in the locality
- 1.3.2 Design/facilitate partnership agreements between local government, waste management companies, recycling facilities, and informal waste workers (including allocation of land title, permit to operate, and bidding process to run the facility)
- 1.3.3 Establish and introduce Standard Operating Guidelines, procure machinery and oversee operations. Set-up revenue generation models for waste workers based on the supply of segregated waste
- 1.3.4 Ensure the financial and sustainable operationalization of the facility (including business development opportunities by utilizing the network developed under the EPPIC project)
- 1.3.5 Develop waste segregation plan and technical guidelines to support the implementation plan, including tailored guidance for each respective actor
- 1.3.6 Support for the procurement of waste collection and segregation infrastructures (including sorting equipment, bins) and setup in critical locations in the city and pilot extended waste segregation campaigns at schools, restaurants, hotels, beaches; including with the use of incentives to motivate stakeholders.



## UNITED NATIONS DEVELOPMENT PROGRAMME

### Outcome 2: Scaling and take-up of sustainable and inclusive waste management models and interventions through replication support, capacity development and knowledge-sharing

Outcome 1 is about testing deployment of a wide-ranging portfolio of interventions, including on-the-ground interventions for Women IWWs, a sector-specific approach (Fisheries Sector Pilot) and an ecosystem level approach (MRF). Outcome 2 is about distilling the knowledge creation and learning from this, creating a comprehensive set of guidance to maximize large-scale replication and scaling, as well as knowledge dissemination and learning, creating a detailed strategy and implementation plan.

The issue of waste management is fast-changing, complex and multi-faceted and requires multi-stakeholder collaboration at the national and local level. As observed during Phase 1, municipalities are often overwhelmed by the increase in the quantity of waste and the challenges of complex regulations, increasing number of players, and enforcement. This outcome comprises activities that intend to build the technical knowledge of local actors, strengthen their capacity to comprehend complex systems, and establish mechanisms to support enforcement of pilots, as well as innovations and plans/regulations. It will provide technical advice to MONRE and MARD at the central level, as well as to DONRE and DARD and mass organizations at the city level. In line with the commitments made by the Government of Viet Nam to promote a low-carbon and circular economy, Phase 2 will support the dissemination, uptake and adoption of these models.

The outputs under this outcome intend to build the capacity of key actors in the waste management systems, through a different set of interventions, the strengthening of institutional capacity, and the generation and dissemination of intelligence. Activities will also support the formulation of a new narrative that contributes to changing the ways IWW are perceived and open opportunity for being appropriately integrated and recognized as integral components of the waste management systems.

Outcome 2 has been deliberately designed to focus on a wide number of sustainability outcomes, as implied in the Output 2 title above, and specifically:

- Sustainability through Replication and/or Scaling – full replication or scaling of one of the outcome 1 pilot interventions
- Sustainability through targeted capacity development to support the above replication/scaling work, as well as creating comprehensive deployment and replication guidance material for deploying the Outcome 1 pilots
- Sustainability through sharing and dissemination knowledge, ranging from specific good practices (e.g., gender-inclusive informal waste management solutions centered on women IWWs) to presentations and full guidance packages on the models tested and refined during the Outcome 1 work
- Sustainability through working at the policy, regulatory and institutional level, by identifying areas for improvement, blockages etc., and preparing short policy briefs/discussion papers to feed into focused policy discussion workshops with government, municipal and other WM stakeholders.

The outputs under Outcome 2 will follow a logical, process-driven process, and are structured as follows:

#### Output 2.1 focusses on development and implementation of the replication, scaling strategy:

- a. the necessary preparation work – including (market) research, pilot refinement and documenting, development of capacity building and awareness-raising tools to plan a comprehensive and systemic sustainability effort encompassing Scaling, Replicating, Knowledge Creation, Sharing and Dissemination



## UNITED NATIONS DEVELOPMENT PROGRAMME

b. implementing the above Scaling, Replicating, Knowledge Creation, Sharing and Dissemination work program, and represents thus the biggest work effort under Outcome 2.

Output 2.2 is centered on a comprehensive knowledge creation, sharing and dissemination support program, with a significant online dimension (in particular on maintain and expanding the Viet Nam Circular Economy Hub ) to support the (above) Scaling, Replicating program, as well as the capacity development and awareness work, as well as national policy workshops and the regional knowledge-sharing and dissemination dimension. The strong online dimension also provides increased resilience for any COVID-19 or other pandemic constraints that might emerge during the implementation cycle of the project.

### Output 2.1: Replication, Scaling, Sustainability and Take-up of Outcome 1 assets developed and implemented

This output is critical in allowing the project team, partners and beneficiaries to consider how the learning and experience from the various pilots can be taken on board, and where necessary refining models and interventions as deemed necessary. It will involve reflecting how these models can be either scaled or replicated, (or both), to increase significantly their reach and impact on final beneficiaries such as women IWWs, as well as other target groups (fisherfolk, waste management stakeholders, municipalities.). This will include considering how to present the results and benefits as widely as possible, solicit interest from parties interested, and explain and train them up on the various models and how to implement them. This will require thinking on how the approach can be made as systemic as possible, and how maximum leverage and momentum can be built in, for example having a clear capacity development strategy that creates momentum and sustained capacity in target pilot replication hosts by training counterparts in a training-of-trainers approach.

This will be the most significant area of work focus under Outcome 2, given that it represents not just the planning and preparation actions but also the implementation of the comprehensive Replication, Scaling, Sustainability, Knowledge-Sharing and Dissemination. It should be emphasized that the preparation of the implementation of the scaling and replication will involve significant complexity. For example, in addition to the comprehensive approach on capacity development of target stakeholders at target sites that will be required, awareness-raising activities will also be required in numerous cases. For example, where the interventions are also looking to address at-source separation, significant stakeholder engagement and awareness-raising will likely be required, given that at-source separation is not commonly found in Viet Nam. Challenges include the lack of commitment from households to separate their waste, lack of infrastructure to collect segregated waste, the difficulties for the city municipalities to select a location to install the infrastructures, common complaints from the households with respect to the smell, health concerns etc.

#### **Activities include:**

2.1.1 Refine Outcome 1 Models and Interventions (IWW support, MRF, fishery sector pilot) based on pilot experience learnings, analysis and feedback, and develop detailed Guidance Packages to support replication and take-up

2.1.2 Develop a capacity development plan to support skills and knowledge transfer, a replication and scaling plan, and a knowledge sharing plan (national and regional dimensions)

2.1.3 Organize a series of workshops to raise awareness on the interventions/pilots under Outcome 1 to solicit interest from municipalities and actors willing to deploy one or more of the models



## UNITED NATIONS DEVELOPMENT PROGRAMME

2.1.4 Create enabling environment for the implementation and replication of Outcome 1 Models and Intervention: support to policy at central level and regulation at local level; develop guidelines for access to finance

2.1.5 Develop a sustainability and gender-responsive plan and the recommendations for post-project sustainability, including continued and accelerated replication and scaling of models developed

### Output 2.2: Knowledge and Intelligence Generated are systematically Collected and Disseminated, to catalyze online, national and regional-level learning and support replication

Knowledge sharing will mainly focus on two features. Firstly, based on the learnings and trainings delivered under Output 2.1 (and earlier under Outcome 1), the project intends to share with the Government representatives in Viet Nam and ASEAN, practical strategies to scale-up the models to other provinces, with priority to the five project sites under Phase 1. Throughout this first area for knowledge sharing, the project aims to fast track the learning curve of all stakeholders when it comes to plastic reduction and waste management. Signatory of the Bangkok Declaration on Combating Marine Debris, Viet Nam has set ambitious targets in this regard, which is especially challenging given the country topography and its long coastline. This area of knowledge exchange will therefore look at plastic reduction from a waste management perspective in order to demonstrate the effectiveness of multi-stakeholder and cross-sector collaboration, building on the two pilot projects.

Secondly, the experience generated from the interventions to increase the livelihoods of informal waste workers (output 1.1) will be shared in Viet Nam and other countries; with a focus on the specificities of each pilot project and municipalities waste systems and the different strategies put in place to enhance their roles and recognitions. Informal waste workers who are mainly women play a predominant role in waste management systems across many ASEAN countries, such as Thailand and Indonesia. It is increasingly recognized that the circularity transition of urban centers cannot happen without them. Gender-sensitive knowledge generated during implementation of waste management models will also be shared with stakeholders.

Also critical to the transition to a circular economy is the capacity of the government and its partners to sustain and scale-up successful practices, business models, and policies. As such, Phase 2 will also leverage bilateral and multilateral cooperation channels between the central and provincial governments, in addition to the ASEAN forums and working groups, to disseminate best practices across the region.

UNDP, through its Accelerator Lab networks – the world's largest learning network for development challenges – is well placed to collect, analyze, and disseminate actionable intelligence to the Governments and other development partners.

#### **Activities include:**

2.2.1 Promote and disseminate the Viet Nam Circular Economy Hub designed under Phase 1 as the primary learning hub for government partners in plastic pollution reduction and waste management, update and manage the content based on the project learning

2.2.2 Develop information, awareness-raising and communication strategies, tools and campaigns to promote continued increased awareness on key issues (e.g., waste-health nexus), waste segregation, the strong contribution potential of IWWs in gender-inclusive green recovery



## UNITED NATIONS DEVELOPMENT PROGRAMME

2.2.3 Generate actionable intelligence to share best practices on informal sector inclusion and waste segregation plans from the series of experimentations and promote exchanges among cities and countries including field visits

2.2.4 Organize national and regional seminars on Phase 2 learning, benefits and replication opportunities and engage with other national and ASEAN stakeholders, advising them on strategies and measures to implement waste models, as well as hosting site visits (onsite, or e-visits if COVID-19 restrictions require).

### 3.2. Resources Required to Achieve the Expected Results

The resources required to achieve the outputs detailed in the Results Framework are detailed in the Multi-Year Work Plan. The activities described above will be implemented over 30 months between January 2022 and June 2024 inclusive.

Regarding personnel, two Project Management Boards will be established, in local and in UNDP. Local authorities comprising of Quy Nhon PC, DONRE, DARD, and Women Union will be members of the PMU. The project team at UNDP involved in the direct management of the project will comprise of 01 Program Officer, 01 Waste and Circular Economy Officer, 01 Program Associate and 01 Climate Change and Circular Economy Officer that will undertake project management, technical support, reporting and monitoring. These positions are cost-shared with other projects of Waste and Chemicals Portfolio in the Climate Change and Environment Unit. A plan of mobilization of resources is detailed under Section IX.

### 3.3. Partnerships

#### **Binh Dinh Provincial People's Committee and Quy Nhon City People's Committee**

In 2007, Quy Nhon city, Binh Dinh province implemented the project "Community-based solid waste management and composting" with the aim to pilot waste management and composting with community participation. The project is considered a strategic breakthrough, from mobilizing people to separate waste, organize the collection and processing of compost from waste, which brought results to (i) reduce pressure of waste treatment at landfills; (ii) create a source of compost for local farmers; (iii) reduce the annual cost from governmental budget for waste treatment; (iv) create jobs for some local labors. The success of this project shows the high support of the local government for waste management and segregation at source and promotion of waste recycling activities.

Binh Dinh Provincial People's Committee has assigned Quy Nhon City People's Committee to be the implementing agency of the project. The project will establish a local PMU, in which the leader of Quy Nhon City People's Committee will be the Director of the PMU, state management agencies including Department of Natural Resources and Environment, Department of Agriculture and Rural Development and Quy Nhon Fishing Port Management Board will be members of the PMU. Units under the People's Committee of Quy Nhon City including the Department of Natural Resources and Environment, the Economic Department, the City Public Service Management Board and the city Women's Union, the Department of Protection of Aquatic Resources under DARD will take the main responsibility to implement the Project.

The project already undertook inception activities. The project is assessed to be very suitable with relevant activities and plans of the province such as the plan of waste separation at source, the plan of marine





## UNITED NATIONS DEVELOPMENT PROGRAMME

environment protection, the sustainable development plan. The assessment of value chain of domestic waste in Binh Dinh and development of concept for the Material Recovery Facility to improve local material value chain were initiated. This study will provide data on the domestic waste flow in Quy Nhon, from generation, collection to treatment and recycling, which is baseline to identify the operation model and carry out feasibility study for the MRF(s).

### Mass Organizations

Under Phase 1 of the Project, UNDP/GEF delivered grants to the Women's Union in 4 cities and the Farmers' Unions in Ha Long Bay based on their longstanding experience in community mobilization, as well as their extensive network of actors, and relationships with the local government. Phase 2 will utilize these existing partnerships to reinforce community mobilization and coordination of actors at the local level.

Pursuing the objective of deepening the target audience in each locality, the project will further assess, in close coordination with existing partners, the opportunities and practical mechanisms to collaborate with other mass organizations towards one shared goal of increasing engagement of citizens. For instance, the Ho Chi Minh Communist Youth Union (HCMCYU) has the capacity to mobilize 5.6 million members across the country and plays a critical role in bridging the gap between young people and the state. On Youth Environmental Day, they had planned a large-scale beach clean-up in Ha Long City, a project supported by the United Nations Task Group Adolescent and Youth. Youth are critical actors in the transition to a sustainable economy, according to a recent survey by UNTGAY showing that their awareness of and concern about the environment is one their highest priorities.

### Viet Nam Circular Economy Hub – Partners and Network

The project will strongly utilize the CE Hub to publish, disseminate, and amplify the lessons learned and the intelligence generated throughout the project. In particular, the CE Hub already benefit from an extensive network of partners from business (alternative materials to plastic; waste to energy companies), to universities, government partners, and donors. The findings under Outcome 2 will be published under Component 2 “Knowledge and Showcase” of the CE Hub, which contain a database highlighting essential resources and case studies from different sectors (including the plastic industry), technical guidance geared towards businesses interested in transitioning to circular models, and an online and offline community of practice. Further, the platform will be designed in such a way that it can act as an entry point for Viet Nam to share their lessons learned with other ASEAN member states, such as their key successes around plastic pollution and waste reduction.

### Links with the Norad-funded Project Ending Plastic Pollution Innovation Challenge (EPPIC)

During Phase 1 of the Project, UNDP developed a strategy to ensure synergies with the Ending Plastic Pollution Innovation Challenge (EPPIC). Through Phase 2, the project will build on the entry points developed under Phase 1 and utilise new ones. Key entry points to ensure synergy of efforts between the two projects are presented below:

- The **introduction of the circular economy** principles to both waste and plastic management will be of utmost importance for Viet Nam as the country transitions to a low carbon economy and pursues the achievement of the SDGs. To this end, UNDP has developed a portfolio of projects spanning from energy efficiency, nature-based solutions, to responsible business practices, and green public procurement. The resources of both Norway-funded projects are central to this portfolio and will continue to be maximised to achieve an enhanced capacity of national and local partners; and increased awareness of businesses on resource efficiency.



## UNITED NATIONS DEVELOPMENT PROGRAMME

- **Accelerate Inclusive Innovation:** The EPPIC sourced and selected a portfolio of highly contextual innovative solutions to address the issue of plastic pollution, such as: alternative materials, education campaigns, bio-fences, or mobile-app/gamification. Phase 2 will ensure that these solutions are mainstreamed and introduced to the local implementing partners, with the aim of sustainable establish some of the solutions in the project sites. **Phase 2 will also utilize and scale-up some of the innovations from the EPPIC Finalists** in the implementation of the interventions that support the social inclusion of waste workers for instance. Furthermore, the project may collaborate directly with some of the EPPIC winners during the design and implementation of the models of waste management in the fishery sector and the MRF.
- **NAP on Management of Marine Plastic Litter:** UNDP through the EPPIC project has been supporting the Vietnamese Administration of Seas and Islands in the formulation and implementation of this national framework. The fishery industry is extremely affected by plastic pollution, while being one of the largest generators of plastic waste. Therefore, Phase 2 will develop integrated waste management model in the fishery/aquaculture industry, designed in a way that allows for knowledge sharing and rapid dissemination of lessons learned/best practices.
- Both projects develop and **disseminate communication messages around waste prevention, waste hierarchy, waste segregation, health impacts of mismanaged waste**, etc. In addition, the mobile app will request users to precisely map plastic hotspots, which will further contribute to the mapping of the plastic lifecycle in one city currently being developed in Quang Ninh.

### 3.4. South-South and Triangular Cooperation (SSC/TrC)

The concept of the MRF is directly inspired from UNDP CO in India who has been providing technical guidance to the design of the upcoming MRF to be established in Phase 2. The lessons learned from India will be constantly leveraged to ensure the sustainability and success of the MRF in Viet Nam. Furthermore, through the Viet Nam Circular Economy Hub, this case study will be widely shared with our partners in the other COs and in the ASEN region, with a view of replicating inclusive MRF that non only enhance waste management systems, but also provide livelihood opportunities to the vulnerable women working in the informal sector.

Since Viet Nam has been leading the formulation of an international treaty on marine plastic, the country is extremely well positioned to bring to the forefront of the negotiations the success in waste management and plastic reduction policy frameworks.

In addition, this project contributes to Viet Nam CO's portfolio of Circular Economy and in particular it will help the CO and the Government Partners to frame what an 'inclusive Circular Economy Transition'. This is critical frontier challenge and one that requires increased collaboration with other countries in the region.

### 3.5. Knowledge

This project put a strong emphasis on knowledge generation, leaning, and dissemination as outlined in the activities under Outcome 2. As such, it will develop learning and knowledge management mechanisms,



## UNITED NATIONS DEVELOPMENT PROGRAMME

including documentation of all aspects that may be instrumental in knowledge dissemination during and even beyond the project period to enable various stakeholders/ actors in the ecosystem to replicate the project template, both within and outside the project area. Best practices will be documented and published as lessons learned over the project period.

The standard operating guidelines developed on process steps for the development of the Material Recovery Facility and waste management in the fishery sector will be made available. In addition, videos, infographics and briefs will be developed, reflecting the best practices on plastic and waste management, adopted through project initiatives. The knowledge material will be available in both English and Vietnamese to ensure the uptake by the local CSOs/NGOs and municipalities. The project will also continue engaging with UNDP Accelerator Lab, which promotes a 'working out loud' approach, ensuring that success, challenges and learnings are communicated widely.

Outcome 2 will utilize human-centered innovation and portfolio design as critical tools to achieve the desired outcome of building the capacity of different stakeholders operating in the waste management systems. This approach is gaining traction in Viet Nam among our government partners as well as internationally with donors and development partners; therefore, we expect that the learning generated throughout the process will generate considerable interest and traction.

In addition, the project will utilize established networks such as the National Plastic Action Partnership and the Development Partner Working Group on Plastic led by the World Bank and the upcoming ASEAN Center on Combating Marine Debris to share such results. Finally, the project will build on the already established strong bilateral collaboration and communication channels with VASI (under MONRE) to maximize the uptake of the results of the pilot into the national policy frameworks and at the ASEAN level.

### 3.6. Sustainability and Scaling-Up

The project activities have been designed with sustainability at the core, as they are mainstreamed into the programs of mass organizations and local governments. The project aims to build the capacity and capabilities of mass organizations, as well as local and national government partners, in the fields of integrated waste management and circular economy. In order to ensure the sustainability of the project after the end of Phase 1 and 2, UNDP will deploy a set of mechanisms.

The regular consultations with stakeholders, including local PPCs and DONREs, informal waste workers, CSOs, businesses, industry representatives, etc., will work towards the increased collaboration of local actors around the topic. The revolving funds established under Phase 1 and expanded under Phase 2 will ensure long-term access to equipment for informal waste workers. The mapping and studies of informal waste workers' contributions to urban systems and value chain assessments will provide useful learnings for the local government and partners alike to develop projects that yield high levels of social acceptance and ownership from the communities. In parallel to this project, UNDP will deploy technical advisories to the central and local government aimed at fostering an enabling environment for the development and uptake of circular solutions. Given that the incentives for plastic recycling facilities and alternative materials are mainly driven by market forces, they would likely receive long-term funding sources as consumer-good brands are increasing the quantity of recycled plastic in their products. A further source of sustainable impact will be the significant learning and knowledge creation program, which is designed to provide a suite of ready-



## **UNITED NATIONS DEVELOPMENT PROGRAMME**

2-go guidance manuals and replication toolkits for key stakeholders and is also set up to be largely COVID-19-resilient.

Overall, the project has a significant focus on all four core parameters of sustainability – institutional sustainability, policy sustainability, and environmental and financial sustainability.



## UNITED NATIONS DEVELOPMENT PROGRAMME

### IV. RESULT FRAMEWORK

OUTPUTS	OUTPUT INDICATORS	DATA SOURCE	BASELINE		TARGETS (by frequency of data collection)		
			Value	Year	2021	2022	2023 (FINAL)
<b>IMPACT: PLASTIC WASTE FROM VIET NAM ENTERING THE OCEAN IS PREVENTED AND REDUCED, AND LIVELIHOODS OF WASTE WORKERS IMPROVED, (CONTRIBUTING TO THE ACHIEVEMENT OF SDG 14.1)</b>							
<p><b>OUTCOME 1: SUSTAINABLE PILOT MODELS OF WASTE MANAGEMENT THAT IMPROVE LIVELIHOODS OF WASTE WORKERS (WITH A FOCUS ON WOMEN INFORMAL WORKERS), IMPLEMENTED</b></p> <p>Total volume of domestic waste collected and recycled across Outcome 1 activities (Source: project reports) - <b>Target TBD</b></p> <p>% increase in income of the waste workers directly benefiting from the project (Source: project survey) <b>Target: +15-20% by the end of the project</b></p> <p># of women waste workers who participated/ benefited from the support delivered (Source: project report - revolving funds, PPE, innovative interventions, MRF and fishery pilot) <b>Target: 2,000</b></p>							
<b>Output 1.1</b> Series of Interventions to empower IWWS, who are mainly women, and strengthen their resilience to withstand shocks, including the impacts of COVID-19, implemented	# of waste workers who received safety materials (including at least 60% of women)	Project survey	600	2020	800	1,200	/
	# of local IWWS benefiting from effective management and expansion of revolving funds		0	2020	TDB	TBD	TBD
	# of beneficiaries who receive cash for work (including at least 60% of women)		0	2020	/	600	800
	# of local level innovative interventions to support inclusion/livelihoods of women waste workers selected and implemented (incl. with EPPIC Finalists)		0	2020	/	1	3
<b>Output 1.2</b>	# of actors (boats, fish farms, traders etc.) signing up to the integrated waste management model in the fishery sector	Baseline data, Project Monitoring	0	2020	0	50	80



### UNITED NATIONS DEVELOPMENT PROGRAMME

Integrated waste management model in the Fishery sector established, which will engage both fishermen and women-led cooperatives.	Tons of waste brought back from the boats and transported to the collection points and/or recycling facilities	<i>and Reporting</i>	0	2020	TBD	TBD	TBD
<b>Output 1.3</b>  An inclusive Material Recovery Facility (MRF) for Improved Local Material Value Chain, piloted and established	Tons of waste collected and recycled at the MRF facility	<i>Baseline data, Project Monitoring and Reporting</i>	0	2020	TBD	TBD	TBD
	# of women WW collaborating with the MRF		0	2020	10	50	100
	# of Standard Operating Guidelines of the MRF designed and adopted (including gender-responsive measures to optimize involvement in, and impact on, women)		0	2020	2	3	3
<b>OUTCOME 2: SCALING AND TAKE-UP OF SUSTAINABLE AND INCLUSIVE WASTE MANAGEMENT MODELS AND INTERVENTIONS THROUGH REPLICATION SUPPORT, CAPACITY DEVELOPMENT AND KNOWLEDGE-SHARING</b>							
# of regulations/ action plans and other measures on waste management promulgated (Source: project survey/ reports from MONRE/DONRE) <b>Target: 3 by the end of the project</b>							
# of WM actors (incl. municipalities) interested in and/or committed to replicating and scaling models or taking new actions to strengthen WM systems (Source: project survey) <b>Target: 5 by the end of the project</b>							
<b>Output 2.1</b>  Replication, Scaling, Sustainability and Take-up of Outcome 1 assets developed and implemented	# of technical and access to finance Guidance Materials for the implementation of the pilot models, documenting modus operandi, produced	Baseline data, Project Monitoring and Reporting	0	2020	0	2	5
	# of Policy Discussion Papers prepared and published		0	2020	0	1	2
	# of workshops to raise awareness on the interventions/pilots under Outcome 1 to solicit interest from municipalities and actors willing to deploy one or more of the models		0	2020	/	3	5
<b>Output 2.2</b>  Knowledge and Intelligence Generated are systematically Collected and Disseminated, to catalyse online,	# of Policy Discussion and Workshops organised	<i>Baseline data, Project Monitoring</i>	-	2020	0	1	4
	# of lessons learned/best practices on the 4-5 models designed/developed/piloted/implemented shared in Viet Nam and ASEAN		0	2020	/	2	10



### UNITED NATIONS DEVELOPMENT PROGRAMME

national and regional-level learning and support replication	# of stakeholders (including GoVN officials/authorities, etc) and WM actors reached through communication and dissemination at regional/national/ ASEAN forums/ CE Platform (gender-disaggregated)	<i>and Reporting</i>	0	2020	0	5	20
	# of targeted awareness/ communication campaigns developed in Viet Nam		0	2020	0	2	3



## UNITED NATIONS DEVELOPMENT PROGRAMME

### V. MONITORING AND EVALUATION

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

#### Monitoring Plan

Monitoring Activity	Purpose	Frequency	Expected Action	Partners (if joint)	Cost (if any)
<b>Track results progress</b>	Progress data against the results indicators in the RRF will be collected and analysed to assess the progress of the project in achieving the agreed outputs.	Quarterly, or in the frequency required for each indicator.	Slower than expected progress will be addressed by project management.	Binh Dinh PPC	
<b>Monitor and Manage Risk</b>	Identify specific risks that may threaten achievement of intended results. Identify and monitor risk management actions using a risk log. This includes monitoring measures and plans that may have been required as per UNDP's Social and Environmental Standards. Audits will be conducted in accordance with UNDP's audit policy to manage financial risk.	Quarterly	Risks are identified by project management and actions are taken to manage risk. The risk log is actively maintained to keep track of identified risks and actions taken.	Binh Dinh PPC	
<b>Learn</b>	Knowledge, good practices and lessons will be captured regularly, as well as actively sourced from other projects and partners and integrated back into the project.	At least annually	Relevant lessons are captured by the project team and used to inform management decisions.		
<b>Annual Project</b>	The quality of the project will be assessed against UNDP's quality standards	Annually	Areas of strength and weakness will be reviewed by		




**UNITED NATIONS DEVELOPMENT PROGRAMME**

<b>Monitoring Activity</b>	<b>Purpose</b>	<b>Frequency</b>	<b>Expected Action</b>	<b>Partners (if joint)</b>	<b>Cost (if any)</b>
<b>Quality Assurance</b>	to identify project strengths and weaknesses and to inform management decision making to improve the project.		project management and used to inform decisions to improve project performance.		
<b>Review and Make Course Corrections</b>	Internal review of data and evidence from all monitoring actions to inform decision making.	At least annually	Performance data, risks, lessons and quality will be discussed by the project board and used to make course corrections.		
<b>Project Report</b>	A progress report will be presented to the Project Board and key stakeholders, consisting of progress data showing the results achieved against pre-defined annual targets at the output level, the annual project quality rating summary, an updated risk log with mitigation measures, and any evaluation or review reports prepared over the period.	Annually, and at the end of the project (final report)			
<b>Project Review (Project Board)</b>	The project's governance mechanism (i.e., project board) will hold regular project reviews to assess the performance of the project and review the Multi-Year Work Plan to ensure realistic budgeting over the life of the project. In the project's final year, the Project Board shall hold an end-of project	Annually	Any quality concerns or slower than expected progress should be discussed by the project board and management actions agreed to address the issues identified.	Binh Dinh PPC	



## UNITED NATIONS DEVELOPMENT PROGRAMME

Monitoring Activity	Purpose	Frequency	Expected Action	Partners (if joint)	Cost (if any)
	review to capture lessons learned and discuss opportunities for scaling up and to socialize project results and lessons learned with relevant audiences.				

## VI. PROJECT MANAGEMENT

### *Cost Efficiency and Effectiveness*

The project is cost-effective for a number of reasons. Firstly, it builds on the strong institutional and knowledge framework established by a total of 4 UNDP project in the waste/plastic management sector ( 2 pilot projects conducted by UNDP/GEF funded SGP program since 2015 in Quy Nhon, Norway-funded Phase 1, and EPPIC). It is also designed to deliver maximum outputs with available resources through several mechanisms: (i) Joint activities with the above mentioned projects on waste /plastic management (baseline studies, communication campaigns); (ii) some of the outputs planned for this project will utilize and capacitate existing partners who have relevant expertise in specific areas; and (iii) use of a portfolio approach whereby multiples activities are taking place simultaneously from the national policy level to provincial, to enabling environments for innovators, synergies with national and international development partners etc.

### *Project Management*

UNDP Viet Nam is directly implementing the project, together with the PMU in Binh Dinh. UNDP Viet Nam is the Responsible Party under the Multi-Year Work Plan January 2022 to June 2024.

The project will be managed and implemented by the local PMU and the Project Team pertaining to the Climate Change and Environment Unit at UNDP Viet Nam. The Project Steering Committee will be established to provide overall guidance and provide objective and independent project oversight and monitoring functions. Government representatives will participate in the Project Board, and as such, they will share the responsibility of monitoring the project against the set indicators to ensure its success and promptly undertake any actions necessary to keep project implementation on track. The Project Steering Committee will be chaired by a senior representative of UNDP Viet Nam, and will comprise the representatives of Norwegian Embassy and the People's Committee of Binh Dinh province. The project will ensure government inclusion, engagement, and interest in creating and facilitating the deployment and scale-up of the MRF.

At local, Binh Dinh Provincial People's Committee has assigned Quy Nhon City People's Committee to be the



## UNITED NATIONS DEVELOPMENT PROGRAMME

implementing agency of the project. The project will establish a local PMU, in which the leader of Quy Nhon City People's Committee will be the Director of the PMU, state management agencies including Department of Natural Resources and Environment, Department of Agriculture and Rural Development and Quy Nhon Fishing Port Management Board will be members of the PMU. Units under the People's Committee of Quy Nhon City including the Department of Natural Resources and Environment, the Economic Department, the City Public Service Management Board and the city Women's Union, the Department of Protection of Aquatic Resources under DARD will take the main responsibility to implement the Project.

The UNDP project team consists of:

- **The Project Manager** is responsible to review and approve the project work plan and disbursement plan; take lead in decision-making for all project's activities. The Project Manager will be responsible for overseeing the implementation of the annual work plans as well as the yearly progress and final reports. The Project Manager will review the TORs for studies, surveys, consultancies, equipment procurement, etc.; review outputs produced by project consultants and subcontractors and approve for payment; maintain regular contact with local stakeholders including Binh Dinh PC, Quy Nhon PC, DONRE, DARD and other project's stakeholders;
- **The Project Officer** will be responsible for the day-to-day management and all aspects of quality management oversight of the project, including activities carried out by the PMU of Quy Nhon city. The Project Officer will draw up and update project work plan, propose adjustments as needed and submit them to the Project Manager; coordinate with the technical officer in local and international consultants to prepare TORs for studies, surveys, consultancies, procurement of equipment etc.; review outputs produced by project consultants and subcontractors and according to the quality and relevance of these outputs in accordance with agreed terms of reference and the project objectives; support to implement all administrative procedure and support services related to the preparation of the project's activities;
- **Local Technical Officer based in Quy Nhon** will provide technical and administrative supports to the local PMU, the Project Manager and the Project Officer, regarding development of work plans, progress reports of local PMU, TORs for studies, surveys, consultancies, procurement of equipment etc. The Technical Officer also provide supports in the work on baseline study of waste value chain in Quy Nhon City, design and operation of the MRFs, and development of provincial regulation/policy/strategy on waste management and circular economy. He/she will review outputs of all activities, events, workshops implemented by the local PMU, and report to the Project Manager.
- **The Programme Associate** will undertake project management support, predominantly on a part-time basis, including financial, administrative, procurement, monitoring and evaluation tasks, and communication activities.
- **International Consultants/ STA (Climate Change and Environment)** will assist and report to the Project Manager in project management, implementation and quality assurance, coordination with partners ensuring reporting and monitoring of the Project in compliance with UNDP rules, regulations and mandates. International Consultants will coordinate with the Project Officer and local Technical Officer to develop the TORs on baseline study of waste value chain in Quy Nhon City, design and operation of the MRFs, and development of provincial regulation/policy/strategy on waste management and circular economy. When needed, International Consultants will provide technical inputs to improve the outputs delivered by consultants and contractors of the project. International Consultants also provide technical

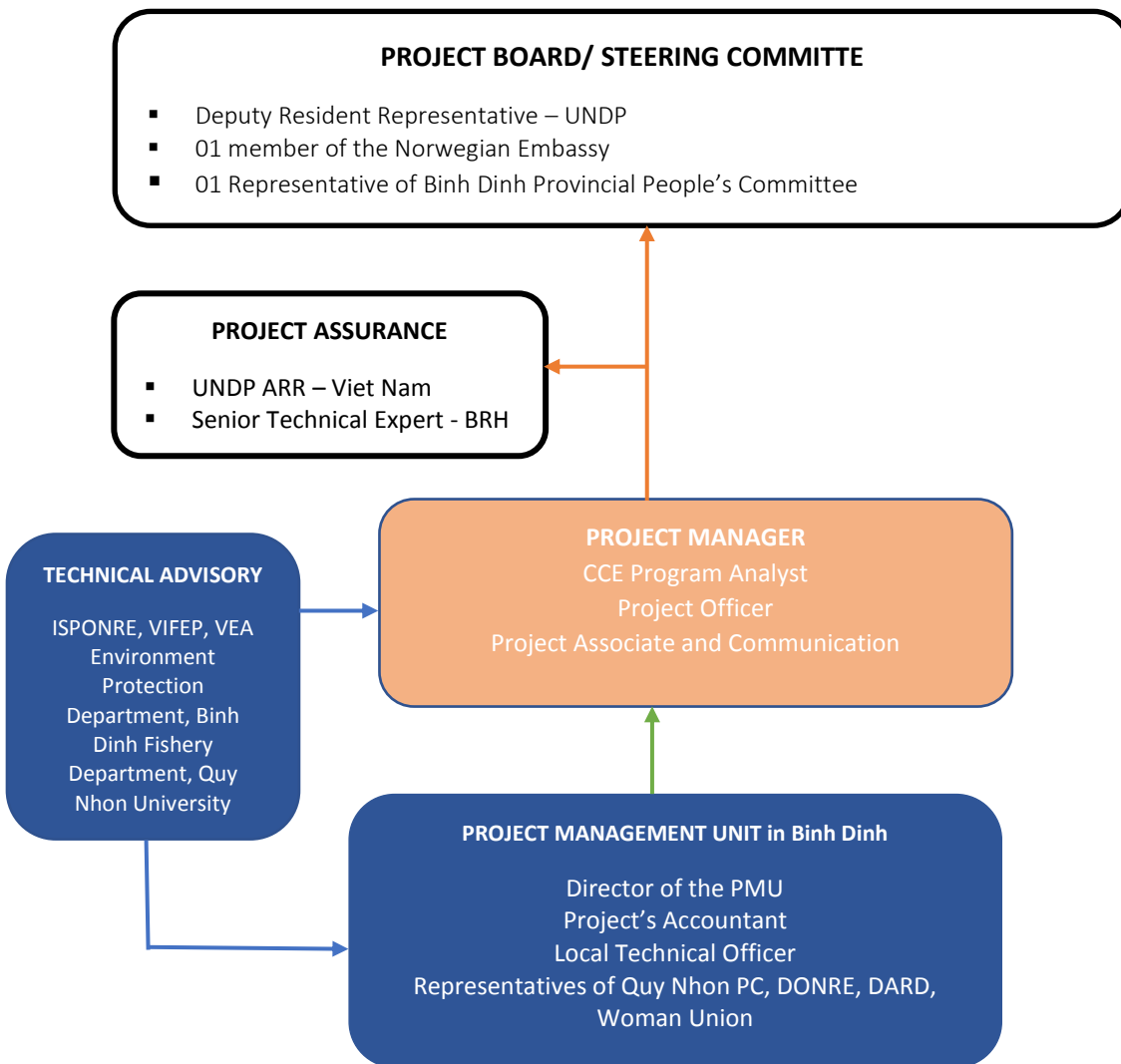


**UNITED NATIONS DEVELOPMENT PROGRAMME**

supports to implement the activities in Outcome 2 of the project, including communication, sharing knowledge and experience of the integrated waste management models at national and regional levels.

The project has a clearly defined governance and project management structure, as shown below.

**Figure 4. Project management structure**





## UNITED NATIONS DEVELOPMENT PROGRAMME

**Table 1. Indicative roles of stakeholders in project management**

Project Steering Committee	<ul style="list-style-type: none"> <li>▪ Provide direction and orientation to the Project implementation, to be in line with legal context of the country, in the region and donor's perspective.</li> <li>▪ Review the project progress and approve overall planning.</li> <li>▪ Approve substantial changes regarding objectives and outcomes of the project</li> <li>▪ Project Board to meet annually and meet upon request.</li> </ul>
Project Manager	<ul style="list-style-type: none"> <li>▪ Implement project activities according to the Annual Work Plan, ensure human resources and implementation progress</li> <li>▪ Coordinate with PMU in Binh Dinh to conduct database survey activities, MRF development and pilot implementation, monitoring and operation, and other activities related to communication and experience sharing, and raising awareness</li> <li>▪ Coordinate with international and domestic experts, PMU in Quy Nhon, and local partners to implement pilot activities in Quy Nhon</li> <li>▪ Support administrative and financial procedures in bidding and disbursement</li> <li>▪ Prepare progress reports to submit to the Project Steering Committee through annual meetings</li> </ul>
PMU in Binh Dinh	<ul style="list-style-type: none"> <li>▪ Implement project activities in Quy Nhon according to the annual work plan, ensure human resources and implementation progress</li> <li>▪ Coordinate with UNDP and expert to conduct database survey activities, MRF development and pilot implementation, monitoring and operation, and other activities related to communication and experience sharing, and raising awareness</li> <li>▪ Facilitating the connection of experts, UNDP with local partners such as recyclable material collection and recycling facilities, waste collection, treatment and management units, the Management Unit of Quy Nhon Fishing Port and other agencies participating in the project's pilot activities</li> <li>▪ Ensure connection of the project activities such as waste separation at source, development of regulations and policies on waste classification at source, will be integrated with relevant local programs and projects.</li> <li>▪ Prepare progress reports to UNDP</li> <li>▪ Ensure co-financing funds to implement the Project and enable a favorable environment in the locality to deploy pilot activities</li> </ul>
Technical Advisory (advice, review, comment)	<ul style="list-style-type: none"> <li>▪ Advise the study on baseline of waste value chain in Quy Nhon City</li> <li>▪ Participate in the design and development of operating instructions for MRFs</li> <li>▪ Advise to the development of provincial regulations/policies/strategies on waste management and circular economy.</li> </ul>



## UNITED NATIONS DEVELOPMENT PROGRAMME

	<ul style="list-style-type: none"> <li>▪ Review reports to improve the product quality of project consultants and contractors, as required</li> <li>▪ Provide technical comments to carry out communication activities, sharing knowledge and experiences on integrated waste management models at national and regional levels, and connect with other related projects</li> </ul>
--	---

## VII. Legal Context

This project document shall be the instrument referred to as such in Article 1 of the Standard Basic Assistance Agreement between the Government of (country) and UNDP, signed on (date). All references in the SBAA to “Executing Agency” shall be deemed to refer to “Implementing Partner.”

This project will be implemented by UNDP ("Implementing Partner") in accordance with its financial regulations, rules, practices and procedures, in full consultation with the donors.

This Project Document is followed Harmonised Programme and Project Management Guidelines (HPPMG) approved by Prime Minister according to the Document No. 443/TTg-QHQT dated 16 March 2010 and signed by Minister of Planning and Investment and United Nations Resident Coordinator on 6 May 2010.

## VIII. Risk Management

UNDP (DIM)

1. UNDP as the Implementing Partner will comply with the policies, procedures and practices of the United Nations Security Management System (UNSMS.)
2. UNDP as the Implementing Partner will undertake all reasonable efforts to ensure that none of the project funds are used to provide support to individuals or entities associated with terrorism, proliferation of weapons of mass destruction, and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999) and relevant subsequent resolutions. The list can be accessed via [http://www.un.org/sc/committees/1267/aq\\_sanctions\\_list.shtml](http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml). This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.
3. Social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (<http://www.undp.org/ses>) and related Accountability Mechanism (<http://www.undp.org/secu-srm>).
4. UNDP as the Implementing Partner will: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation



## UNITED NATIONS DEVELOPMENT PROGRAMME

plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.

5. All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to project sites, relevant personnel, information, and documentation.
6. UNDP as the Implementing Partner will ensure that the following obligations are binding on each responsible party, subcontractor and sub-recipient:
  - a. Consistent with the Article III of the SBAA *[or the Supplemental Provisions to the Project Document]*, the responsibility for the safety and security of each responsible party, subcontractor and sub-recipient and its personnel and property, and of UNDP's property in such responsible party's, subcontractor's and sub-recipient's custody, rests with such responsible party, subcontractor and sub-recipient. To this end, each responsible party, subcontractor and sub-recipient shall:
    - i. put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
    - ii. assume all risks and liabilities related to such responsible party's, subcontractor's and sub-recipient's security, and the full implementation of the security plan.
  - b. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of the responsible party's, subcontractor's and sub-recipient's obligations under this Project Document.
  - c. Each responsible party, subcontractor and sub-recipient will take appropriate steps to prevent misuse of funds, fraud or corruption, by its officials, consultants, subcontractors and sub-recipients in implementing the project or programme or using the UNDP funds. It will ensure that its financial management, anti-corruption and anti-fraud policies are in place and enforced for all funding received from or through UNDP.
  - d. The requirements of the following documents, then in force at the time of signature of the Project Document, apply to each responsible party, subcontractor and sub-recipient: (a) UNDP Policy on Fraud and other Corrupt Practices and (b) UNDP Office of Audit and Investigations Investigation Guidelines. Each responsible party, subcontractor and sub-recipient agrees to the requirements of the above documents, which are an integral part of this Project Document and are available online at [www.undp.org](http://www.undp.org).
  - e. In the event that an investigation is required, UNDP will conduct investigations relating to any aspect of UNDP programmes and projects. Each responsible party, subcontractor and sub-recipient will provide its full cooperation, including making available personnel, relevant documentation, and granting access to its (and its consultants', subcontractors' and sub-recipients') premises, for such purposes at reasonable times and on reasonable conditions as may be required for the purpose of an investigation. Should there be a limitation in meeting this obligation, UNDP shall consult with it to find a solution.



## UNITED NATIONS DEVELOPMENT PROGRAMME

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

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

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

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

Note: The term "Project Document" as used in this clause shall be deemed to include any relevant subsidiary agreement further to the Project Document, including those with responsible parties, subcontractors and sub-recipients.

- h. Each contract issued by the responsible party, subcontractor or sub-recipient in connection with this Project Document shall include a provision representing that no fees, gratuities, rebates, gifts, commissions or other payments, other than those shown in the proposal, have been given, received, or promised in connection with the selection process or in contract execution, and that the recipient of funds from it shall cooperate with any and all investigations and post-payment audits.
- i. Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the project or programme, the Government will ensure that the relevant national authorities shall actively investigate the same and take appropriate legal action against all individuals found to have participated in the wrongdoing, recover and return any recovered funds to UNDP.
- j. Each responsible party, subcontractor and sub-recipient shall ensure that all of its obligations set forth under this section entitled "Risk Management" are passed on to its subcontractors and sub-recipients and that all the clauses under this section entitled "Risk Management Standard Clauses" are adequately reflected, *mutatis mutandis*, in all its sub-contracts or sub-agreements entered into further to this Project Document.





## UNITED NATIONS DEVELOPMENT PROGRAMME

### IX. ANNEXES

Annex 1: Multi – year Work Plan (2021-2023)

Annex 2: Risk Log

Annex 3: Programme Quality Assurance

Annex 4: Gender checklist

Annex 5: SESP

Annex 6: Case Study UNDP India - Swacchta Kendra

Activities under Output 1.3 will utilize the lessons learned and the technical guidance from UNDP India, which successfully scaled-up in 25 cities a Material Recovery Facility model called *Swacchta Kendra*.

In this project the waste pickers (Safaii Mitras) are institutionalized with respective governance mechanisms and attained improved social conditions. Project's targets at the end of the period are, to better manage an amount more than 85,000 MT/year of plastic waste and to improve socio-economic conditions of 37,500 Safaii Mitras. The size of an MRF (Swachhta Kendra) is generally 10,000 – 15,000 sq. ft. (In cities like Mumbai where space is a major issue, the size is typically 5,000-6,000 sq. ft.). In this space, various machines are installed for segregation, processing and dispatch of plastic waste collected in the city. All the material recovery facilities across locations, under HCCB, have been equipped with robust machinery.

One of the key features is the institutionalization aspect for the Swachhta Kendras with Safaii Mitras activities which is critical to the success and long-term sustainability of the model. The responsibility of waste management overall lies with urban local bodies (ULBs) at city levels, but no uniform mechanisms across cities exist. The mainstreaming for waste-pickers (Safaii Mitras) meant recognition of socio-economic security and dignity of labor. Hence, the model has been institutionalized them through the project with urban local bodies to be able to function in a sustainable manner.

UNITED NATIONS DEVELOPMENT PROGRAMME

Figure 5: Systemic Approach for Plastic Waste Collection, Segregation and Recycling

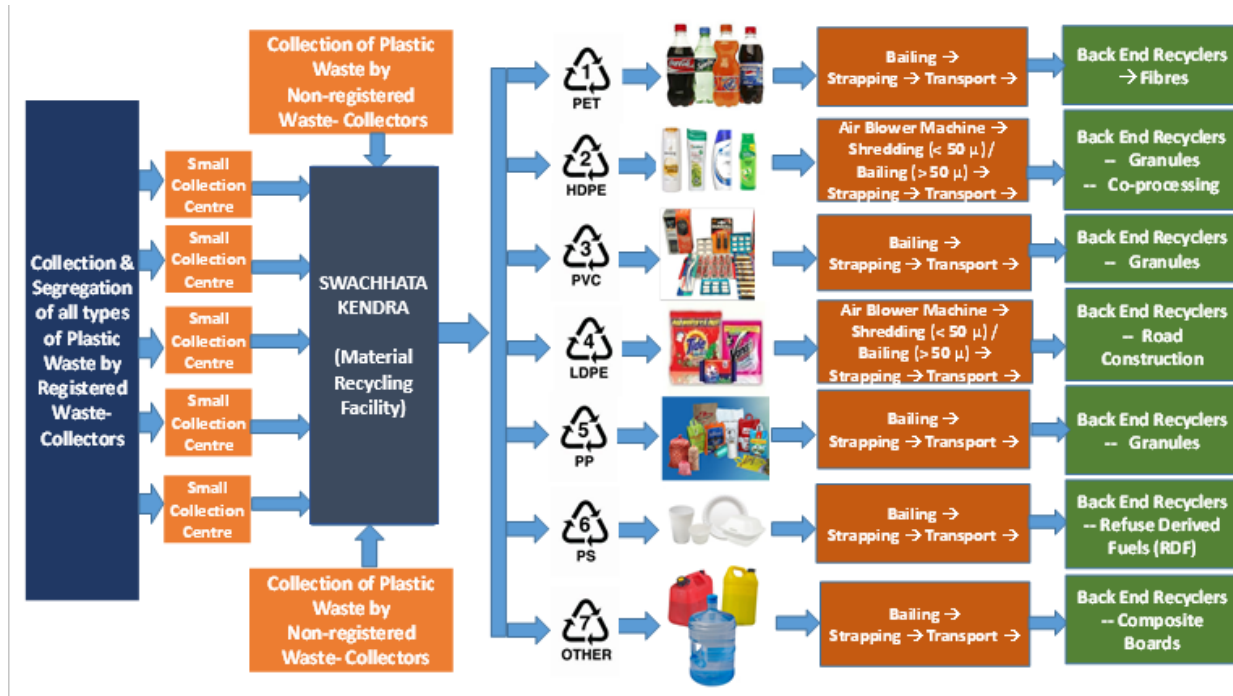


Figure 6: Operations at the MRF





## UNITED NATIONS DEVELOPMENT PROGRAMME

### Annex 7: Synergies and enhancement between Phase 1 and Phase 2

#### Objectives and Expected Impacts

The combined Phase 1 and Phase 2 of this Project will contribute to the achievement of the following impacts:

- Contribution to poverty reduction, through increased income and livelihood opportunities for the waste workers and in particular women and the informal sector, directly contributing to SDG1' Poverty Reduction'.
- Promotion of women empowerment, through training and access to revolving funds, that will help in building the social and financial capital of waste workers, and in this process contributing to SDG5' Gender Equality'.
- Contribution to environment protection, through the implementation of sustainable value chains that reduce the amount of waste burned or landfilled, while encouraging the collecting and reuse of recyclable materials, thereby contributing to SDG9' Sustainable Consumption and Production' and SDG11' Sustainable Cities and Communities'.
- Prevention of marine plastic pollution, through increased engagement of the fishery, contributing to SDG14' Life Below Water'.

#### Enhancement of DWP5C Phase 2, building on Phase 1

Phase 2 builds on, deepens, and scales up the intervention's achievements, lessons and good practices obtained over the course of the implementation of Phase 1. It also utilizes the results of the UNDP RIM-2020 survey, the rapid impact assessment conducted with Women's Unions during COVID-19, and the research on the informal waste sector conducted in Da Nang.

Table 2 summarizes the key activities and results expected to be delivered under Phase 1 and Phase 2 and how these will complement each other to achieve maximum impact.

**Table 2: Comparison of activities between Phase 1 and Phase 2**

Areas of work	Phase 1 – Replication of the Hoi An model (2019-2021)	Phase 2 – Expand Support and Scale-up models (2021-2023)
<b>Component 1: SCALING-UP SOCIALISED MODELS OF WASTE MANAGEMENT WHICH INCREASE LIVELIHOODS OF INFORMAL WASTE WORKERS</b>		<b>OUTCOME 1: SUSTAINABLE MODELS OF WASTE MANAGEMENT THAT INCREASE LIVELIHOODS OF WASTE WORKERS (WITH A FOCUS ON WOMEN INFORMAL WORKERS), IMPLEMENTED</b>
<b>Partnerships (and scaling-up)</b>	<ul style="list-style-type: none"> <li>• Selection of local partners to implement the sub-projects through the UNDP/GEF Small Grant Programme in 5 sites</li> </ul>	<ul style="list-style-type: none"> <li>• Expand beneficiaries in Quy Nhon, Ha Long Bay, and/or Da Nang/ Hoi An</li> </ul>
<b>Integrated models of waste management</b>	<ul style="list-style-type: none"> <li>• Small scale (18 wards and households) with limited interventions</li> </ul>	<ul style="list-style-type: none"> <li>• Scale up 2 models (fishery sector and Material Recovery Facility)</li> </ul>



## UNITED NATIONS DEVELOPMENT PROGRAMME

	<ul style="list-style-type: none"> <li>Relationships developed with core groups of informal waste workers</li> <li>General training on waste segregation with pilot of two categories: organic and recyclable waste.</li> </ul>	<ul style="list-style-type: none"> <li>Extensive training on waste segregation, with pilots on three categories: inorganic, recyclable and other waste.</li> </ul>
<b>Support to informal waste workers</b>	<ul style="list-style-type: none"> <li>PPE provided to 600 informal waste workers (120 for each of the 5 sites)</li> <li>Basic training on health and safety</li> <li>Revolving funds serving 60 waste workers per site</li> </ul>	<ul style="list-style-type: none"> <li>PPEs provided to another 600 informal waste workers</li> <li>Social inclusion and acceptance of informal waste workers with the establishment or support of cooperatives/sub-unions</li> <li>Training of women waste workers on cooperative management, financial literacy, self-development, leadership and communication skills</li> <li>Training on simple recycling technologies (plastic cleaning and shredding, composting, fishing gears and equipment etc)</li> <li>Expanded Revolving funds serving up to 300 IWWs to secure safe and modern equipment</li> <li>Cash for work activities targeting 800 IWW</li> </ul>
<b>Linkages between formal and informal waste management</b>	<ul style="list-style-type: none"> <li>Mapping and promoting information sharing between different stakeholders on solid waste</li> <li>Multi-stakeholder consultations in each site, including local government, waste workers, CSOs etc.</li> </ul>	<ul style="list-style-type: none"> <li>Enhance collaboration between the formal waste management system and IWWs through joint waste segregation campaigns</li> <li>Develop partnerships between waste workers group (under Women's Union), with scrap traders and the material recycling facility and the fishery pilots</li> </ul>
<b>Acceleration of innovation</b>		<ul style="list-style-type: none"> <li>Series of bottom-up innovative interventions to empower IWWs and increase the livelihoods of IWWs</li> </ul>
<b>Component 2: FAST TRACK THE INTRODUCTION OF CIRCULAR ECONOMY PRINCIPLES</b>		<b>OUTCOME 2: SCALING AND TAKE-UP OF SUSTAINABLE AND INCLUSIVE WASTE MANAGEMENT MODELS AND INTERVENTIONS THROUGH REPLICATION SUPPORT, CAPACITY DEVELOPMENT AND KNOWLEDGE-SHARING</b>
<b>Communication &amp; awareness</b>	<ul style="list-style-type: none"> <li>Baseline study of KAPs of citizens on plastic</li> <li>2 Local events in each project site</li> <li>Communication campaigns in 5 provinces</li> <li>Mobile app to map trash hotspot developed and</li> </ul>	<ul style="list-style-type: none"> <li>Media campaign to raise awareness on reduction of plastic pollution/ and circular economy for waste</li> <li>Collaboration with youth union on beach clean-up campaigns /waste audit and innovations to beat plastic pollution</li> <li>Awareness raising /campaign among young fishermen groups "bring home plastic waste, fishing gears, nylons"</li> </ul>



## UNITED NATIONS DEVELOPMENT PROGRAMME

	<p>linked with MONRE/VASI policies</p> <ul style="list-style-type: none"> <li>Lessons learned shared among the five cities and at national level</li> </ul>	<ul style="list-style-type: none"> <li>Full rolling out of a mobile app to map plastic hotspots in Binh Dinh</li> </ul>
<b>Engagement and training of business</b>	<ul style="list-style-type: none"> <li>10 business trained on the adoption of Circular Economy principles in 1 province</li> </ul>	<ul style="list-style-type: none"> <li>Capacity building, technical support and engagement of the waste management ecosystem (recycling business, MRF, MSMEs operating in the sector)</li> <li>Enhancement of the relationships with the IWWs to increase their livelihoods</li> </ul>
<b>Policy institutions and</b>	<ul style="list-style-type: none"> <li>Local regulations adopted/strengthen on waste management</li> <li>1 pilot experimentation in Da Nang on waste segregation</li> <li>1 network and a Circular Economy platform is proposed and approved</li> </ul>	<ul style="list-style-type: none"> <li>Collect and update all learnings on the Circular Economy platform led by ISPONRE</li> <li>Policy advisory to MONRE and MARD and PPCs related to Directive 33, especially policy and local regulation for implementation and replication of models from Outcome 1.</li> <li>Learning and advocacy for a better inclusion of IWW in the municipal waste management system</li> </ul>
<b>Knowledge/collective intelligence</b>	<ul style="list-style-type: none"> <li>5 waste profiles developed for each site</li> <li>Mapping of the full lifecycle of plastic in one site</li> <li>1 Comprehensive research on the informal waste workers in Da Nang</li> </ul>	<ul style="list-style-type: none"> <li>Mapping of waste value chains for 3 streams of waste in 1-2 sites</li> <li>Gender perspectives across the integrated system of waste management and entry points for gender empowerment</li> <li>Establish community learning hub on waste management operated by Women's Union (waste tour) (key facilitators: IWW/traders/restaurant owners)</li> <li>A suite of attractive <i>deployment, scaling and replication guidance manuals and toolkits</i> for key 'waste movers', in particular national government and municipal policy setters and implementers; based on the learnings under Outcome 1.</li> </ul>