



# INITIATION PLAN

**Project Title:** *Integrated Island Waste Management in Malaysia*

**Country:** *Malaysia*

**UNSDCF<sup>1</sup> Outcome (indicative):** *By 2021, environmental sustainability and resilience are mainstreamed as a priority within the national development agenda, across all sectors and all levels of society.*

**Country Programme Output:**

*2.1 Transitioning national development towards a decarbonised pathway and a resource efficient economy through the adoption of green growth strategies and practices across all sectors.*

*2.2 Natural resources, biodiversity and ecosystems are sustainably managed, adequately protected and conserved for long term economic and environmental sustainability.*

**Gender Marker rating:** *GEN2*

**SESP<sup>2</sup> Pre-Screening Categorization:** *Moderate*

**Project Start Date:** *6 September 2021  
December 2022*

**Project End Date:** *31*

<b>ATLAS Award ID/Project ID:</b> 00136286	<b>Total budget:</b>	<b>MYR 10,000,000.00</b>
<b>ATLAS Project/Output ID:</b> 00127243		<b>(~USD 2,407,897.94)<sup>4</sup></b>
<b>Management Arrangement:</b> DIM <sup>3</sup>	Allocated resources:	
	• Government via MOF	MYR 10,000,000.00 (~USD 2,407,897.94)

AGREED BY

Niloy Banerjee  
Resident Representative  
UNDP Malaysia Country Office

Signature

8-Oct-2021  
(Day/Month/Year)

<sup>1</sup> United Nations Sustainable Development Cooperation Framework Malaysia 2021 – 2025

<sup>2</sup> UNDP Social and Environmental Screening Policy and Procedures

<sup>3</sup> Direct Implementation Modality

<sup>4</sup> According to UN foreign exchange rate for USD to Malaysian Ringgit in September 2021 which is USD 1.00 = MYR 4.153. The total amount in USD may change based on the month the funds are received from the Ministry of Finance Malaysia. First tranche of funds amount to MYR 5 million was received on 3 September 2021.

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## ABBREVIATIONS

12MP	12 <sup>th</sup> Malaysia Plan
AWP	Annual Work Plan
CDR	Combined Delivery Report
CSO	Civil Society Organization
DoF	Department of Fisheries Malaysia
ESIA	Environmental and Social Impact Assessment
ESMF	Environmental and Social Impact Framework
ESMP	Environmental and Social Management Plan
GMS	General Management Services
HACT	Harmonised Approach to Cash Transfer
IP	Initiation Plan
kg	kilogram
KPKT	Ministry of Housing and Local Government Malaysia
M&E	Monitoring and Evaluation
MOF	Ministry of Finance Malaysia
MOTAC	Ministry of Tourism and Culture Malaysia
PCAT	Partner Capacity Assessment Tool
PEDAS	Pasukan Pendidik Ekologi dan Alam Sekitar
POPP	Programme and Operations Policy and Procedures
PSC	Project Steering Committee
SEATRU	Sea Turtle Research Unit
SES	Social and Environmental Standards
SESA	Strategic Environmental and Social Assessment
SESP	Social and Environmental Screening Policy and Procedures
SRD	Sustainable and Resilient Development
STM	Sustainable Travel Mersing
TIC	Tengah Island Conservation
TOR	Terms of Reference
TWC	Technical Working Committee
UNDP	United Nations Development Programme

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## I. PURPOSE AND EXPECTED OUTPUT

### Development Challenge

The issue of excessive waste generation – a by-product of urbanization and economic development – has historically posed major challenges to countries and communities worldwide. Despite the advancement of various innovations in solid waste management globally, the world finds itself on a concerning trajectory with regards to waste, where the World Bank projects the total global waste generation in 2030 to increase to 2.59 billion tonnes and to 3.4 billion tonnes in 2050, corresponding to a 28.8% and 69.2% increase respectively from 2016 data<sup>5</sup>. Rising waste generation rates, coupled with poor waste management systems and practices, often lead to massive financial, environmental, and societal repercussions that eventually affect individual lives, especially vulnerable communities such as the urban and rural poor.

A similar trend can be observed in Malaysia, where solid waste generation rates have doubled from 19,000 tonnes/day in 2005 to 38,000 tonnes/day in 2018 according to estimates by SWCorp Malaysia<sup>6</sup>. And one area of concern is the islands, where an influx of human activity and population mainly driven by tourism has further complicated an already complex problem of waste treatment and disposal as islands often lack the proper infrastructure to establish and maintain holistic waste management systems. This issue is particularly significant to Malaysia as, being a coastal nation within the Coral Triangle, the islands, coastal areas and oceans play a crucial role in the country's socioeconomic development and preservation of biodiversity and natural ecosystems. Waste management has been a constant struggle even for the larger and more developed islands such as Langkawi, Tioman, Pangkor and Redang, where approximately 60% of collected waste are disposed in non-sanitary landfills, 35% illegally burned and disposed, and 5% being dumped directly into the ocean<sup>7</sup>, despite the installation and use of mini incinerators on Langkawi, Pangkor and Tioman which in recent years have come under scrutiny due to their below-par performance and questions on suitability<sup>3,8</sup>. Based on recent data provided by the Terengganu State Government, Pulau Redang and Pulau Perhentian generates a total of 4 tons of waste per day during peak season, with approximately 70% - 80% comprising of food and organic waste alone. On average, Pulau Redang spends MYR400,000 per year on municipal solid waste (MSW) management fees, while Pulau Perhentian spends approximately MYR870,000 per annum, where all MSW is transported to mainland by an external contractor and managed accordingly.

For the smaller and more rural islands where there is limited space for open landfills and dumpsites, waste is either transported to the mainland for disposal by designated boats and/or managed on-island through various methods. According to Tengah Island Conservation (TIC), a non-profit biodiversity conservation organisation based on Pulau Tengah, the Batu Batu resort (sole resort on Pulau Tengah) currently has in place several measures for waste and wastewater management including food composters, wastewater filtration system and on-site segregation of recyclables, in addition to cargo boats to transport recyclable and non-recyclable waste to Mersing for collection.

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<sup>5</sup> Kaza, Silpa; Yao, Lisa C.; Bhada-Tata, Perinaz; Van Woerden, Frank. 2018. *What a Waste 2.0: A Global Snapshot of Solid Waste Management to 2050*. Urban Development; Washington, DC: World Bank. © World Bank. <https://openknowledge.worldbank.org/handle/10986/30317> License: CC BY 3.0 IGO."

<sup>6</sup> *Kompendium Pengurusan Sisa Pepejal Malaysia 2019*. Perbadanan Pengurusan Sisa Pepejal dan Pembersihan Awam (SWCorp) Malaysia.

<sup>7</sup> Pariathamby, A. & Periaiah, N. (2007). *Waste Management Challenges in Sustainable Development of Islands*. Faculty of Science, University of Malaya.

<sup>8</sup> <https://www.thestar.com.my/metro/metro-news/2018/07/03/minister-wants-incinerator-proposal-studied-further-zuraida-says-she-will-meet-groups-that-oppose-pr/>

In total, Batu Batu sends out approximately 2 tonnes of general waste per week (excluding recyclables) to Mersing, which on average comes up to 1.68 kg/capita/day (based on their maximum pax capacity of 100 guests + 70 staff) – more than the estimated average of solid waste generation rate for Peninsular Malaysia of 1.23 kg/capita/day<sup>2</sup> (including recyclables).

As for neighbouring island Pulau Besar, there are currently 5 tourist resorts (plus 1-2 small homestay-style huts) and one *kampung* (village) with about 7 – 10 permanent residents, making up a total population of about 560 people when the resorts are at maximum capacity. However, based on on-the-ground research by TIC, waste management practices on Pulau Besar are at a bare minimum or non-existent, where most waste is either buried or burned on the island and recycling is only done on an ad-hoc basis by individual resort staff. Not much information on wastewater management systems is available yet; however, nutrient indicator algae levels recorded by TIC off the front of Pulau Besar suggests that there is some direct wastewater run-off into the sea.

Improper waste and wastewater management practices often result in serious environmental pollution impacts such as groundwater contamination and degradation of biodiversity and ecosystems<sup>9</sup>, where the effects are far more significant for island communities due to their proximity to the pollution sources and reliance on surrounding natural resources for revenue and general well-being. It is estimated that more than 80% of marine pollution originates from land-based wastewater, sediments and nutrients delivered via waterways<sup>10</sup> which have greatly affected the health of coral reefs and marine biodiversity globally. Therefore, there is a critical need to implement an integrated approach to island waste management to ensure improvements are introduced at all levels of the waste hierarchy, from prevention and minimization to proper segregation, treatment and disposal. This in turn can lead to significant reduction in pollution to the marine biodiversity and ecosystems, which provides the ecosystem services for economic activities such as eco-tourism, fisheries, etc. and community livelihood.

In Budget 2021, the Ministry of Finance (MOF) allocated a total of MYR 10 million to implement an Integrated Island Waste Management in Malaysia project targeting islands in the States of Johor and Terengganu in an effort to improve waste management practices towards preservation and protection of environment and biodiversity such as coral reefs and marine life. Based on initial discussions with MOF, Terengganu State Government, Mersing District and Tengah Island Conservation in early 2021, Pulau Redang, Pulau Perhentian (Terengganu) and Pulau Besar (Johor) have been selected as project sites.

## Objective and Expected Outputs

The objective of this Initiation Plan (IP) is to develop the project concept into a full project titled “***Integrated island waste management in Malaysia towards environmental protection and improved community livelihoods***”, and aims to achieve this by:

- **Implementing pilot demonstrations of integrated waste management systems for Pulau Redang and Pulau Perhentian in Terengganu, and Pulau Besar in Johor, to**

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<sup>9</sup> UNEP (2003). *A manual for water and waste management: What the tourism industry can do to improve its performance*. <http://www.unep.fr/shared/publications/pdf/WEBx0015xPA-WaterWaste.pdf>

<sup>10</sup> United Nations Environment Programme (2017). *Wastewater Pollution and Coral Reefs: Science-to-Policy Brief*. Johnson, J.E., Brodie, J. and Waterhouse, J.

assess and enhance existing waste management practices and provide a reference model for potential replicability and scale-up in other islands within Malaysia; and

- **Building capacity for local communities and service providers within Pulau Redang, Pulau Perhentian and Pulau Besar on responsible waste management and tourism practices**, to ensure sustainability and continued uptake of the results from the pilot demonstrations and to increase the level of environmental awareness among the local communities.

This Initiation Plan comprises of three technical components:

Component 1: Implement pilot demonstration of an integrated waste management system for Pulau Redang and Pulau Perhentian in Terengganu;

Component 2: Implement pilot demonstration of an integrated waste management system for Pulau Besar in Johor;

Component 3: Build capacities of local communities and service providers in responsible waste management and tourism practices.

This Initiation Plan (IP) describes how the funds allocated under Malaysia’s Budget 2021 of MYR 10,000,000 (approximately USD 2,407,897.94) from the Ministry of Finance will be programmed during the Initiation Plan phase to ensure the consultative development of the complete project documentation for the full project for consideration and possible implementation in future budget cycles.

The final outputs of the Initiation Plan phase are:

- Full project document for the project titled “Integrated Island Waste Management in Malaysia” for consideration and possible implementation in future budget cycles
- Initiation Phase report summarising the results, best practices and lessons learned from the implementation of Initiation Plan.
- Knowledge products featuring the success stories and lessons from the pilot demonstrations.
- Any additional studies, reports and knowledge products produced by project partners under this Initiation Plan for future references for MOF and UNDP.

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## **II. MANAGEMENT ARRANGEMENTS**

UNDP Malaysia, in collaboration with relevant government agencies and project partners, will manage the project and lead the project implementation including project financial management. UNDP is responsible for ensuring that the outputs and deliverables outlined in this IP are completed on time, within budget and in line with UNDP and MOF requirements.

UNDP will draw from international/regional exchange of best practices and on procurement expertise from UNDP Bangkok Regional Centre where applicable to facilitate project implementation.

### **Project Steering Committee (PSC)**

Project Steering Committee (PSC) will provide policy guidance to the implementation of this IP, and review and endorse the project’s deliverables. The PSC is responsible for ensuring that the outputs

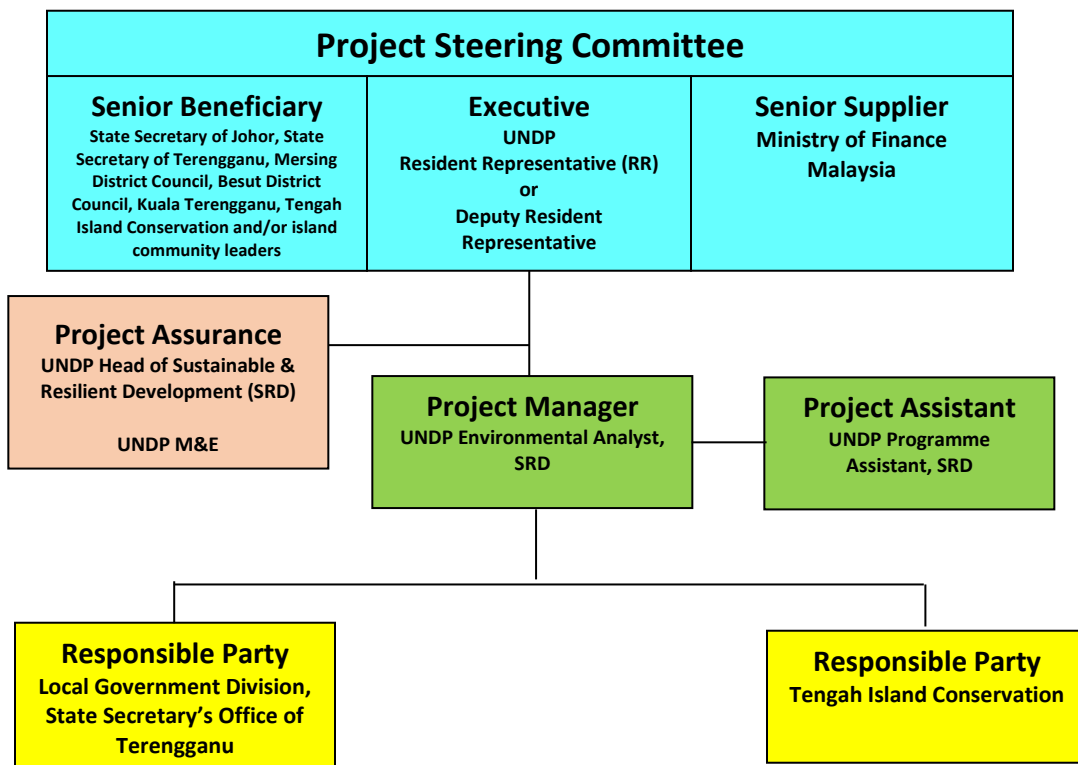
and deliverables outlined in this project are completed on time and in line with UNDP and Government of Malaysia's requirements. The Resident Representative of UNDP Malaysia, Singapore and Brunei Darussalam or his/her alternate will chair the PSC and co-chaired by MOF. The PSC may be supported by a Technical Working Committee (TWC), to guide the project on technical matters, where applicable. The Terms of Reference (TOR) of the PSC can be found in Annex I.

## Responsible Parties/Partners

The two Responsible Parties for the pilot demonstrations in this Initiation Plan include the Local Government Division, State Secretary’s Office (SUK) of Terengganu and Tengah Island Conservation. Specific tasks include:

- Pilot demonstration activities planning, coordination, management, monitoring, evaluation and reporting. This includes providing all required information and data necessary for timely, comprehensive and evidence-based project reporting, including results and financial data, as necessary. The Responsible Parties will strive to ensure project-level M&E is undertaken by local institutes and is aligned with state and federal systems so that the data used and generated by the project supports state and federal systems.
- Risk management as outlined in this Initiation Plan.
- Procurement of low and medium value goods and services, including human resources.
- Financial management, including overseeing financial expenditures against budgets and work plan.
- Preparing and signing relevant financial reports.

## Project organisation structure





## **| Financial Management**

Based on the approved Annual Work Plan (AWP), UNDP will manage the project funds to carry out project activities during the annual cycle.

UNDP will monitor the use of financial resources and are accountable for:

- Managing project resources to achieve the expected results
- Maintaining an up-to-date accounting system that contains records and controls to ensure the accuracy and reliability of financial information and reporting. Expenditures made should be in accordance with the AWP.

A project revision shall be made when appropriate; to respond to changes in the development context or to adjust the design and resources allocation to ensure the effectiveness of the project. A project revision shall be supported by the record of an approval decision made by the PSC, and an updated and signed Annual Work Plan.

UNDP will prepare and submit project progress and project expenditures in a quarterly basis and at the end of each year to MOF for verification.

UNDP will also recover fees for its technical advisory and support services in project management and implementation:

- 6% cost recovery for the provision of General Management Support (GMS) to the funds received from MOF;
- Direct Project Cost associated with staff time and transaction-based services to the project cycle management and implementation.

## **| Project Closure: Final Project Review Meeting**

A final Project Review meeting will be chaired by UNDP within six months after the operational closure of the Initiation Plan. Its purpose is to assess the performance and success of the IP. It will look at sustainability of the results, including the contribution to related outcomes (and the status of these outcomes) under Country Programme and Budget 2021, and capacity development. It will also review lessons learned and recommendations that might improve design and implementation of other UNDP-supported projects. The meeting will discuss the final Initiation Phase Report that should be submitted two weeks prior to the final PSC meeting.

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### **III. STAKEHOLDER ENGAGEMENT, PUBLIC DISCLOSURE AND OTHER REQUIREMENTS**

To ensure strong ownership, and in line with the stakeholder engagement requirements outlined in UNDP's [Social and Environmental Standards](#) (SES), the [SES Guidance Note of Stakeholder Engagement](#), the project will be done in full consultation and close engagement with government, civil society organisations (CSO) and other relevant stakeholders – in particular those who will benefit from and be directly involved in the implementation of the project (i.e. direct project beneficiaries) and those who may be impacted (positively or negatively) by the project. Stakeholder engagement and analysis will be conducted in an inclusive and gender-responsive manner, so that the rights of

women and men and the different structural barriers, knowledge, needs, roles and interests of women and men are recognized and addressed.

The project will engage with a broad spectrum of stakeholders (listed in table below), utilizing existing structures as much as practicable.

**Table 1: List of stakeholders to be engaged during the implementation of integrated waste management systems in Johor and Terengganu islands**

Stakeholders
<b>Federal/State government ministries, agencies, associations:</b>
Ministry of Finance (MOF)
Terengganu State Government
Johor State Government
Mersing District Office and/or Mersing Local Council
Department of Fisheries Malaysia
<b>Civil Society/Academia/Potential Project Partner</b>
Sustainable Travel Mersing (STM) Steering Committee
Tengah Island Conservation (TIC)
Reef Check Foundation
Pasukan Pendidik Ekologi dan Alam Sekitar (PEDAS Schools Initiative)
Fuze Ecoteer Outdoor
<b>Local communities within the project landscape</b>
Local communities living on Besar, Perhentian and Redang islands.
<b>Private sector:</b>
Current waste management services company engaged by Terengganu state government
Potential local waste management service providers

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#### **IV. INITIATION PLAN OUTPUTS AND ACTIVITIES**

##### **Component 1: Implement pilot demonstration of an integrated waste management system for Pulau Redang and Pulau Perhentian in Terengganu**

Key activities are:

- Baseline assessment of current waste generation and management practices
- Construction of composting facilities on Pulau Perhentian Kecil and Pulau Redang
- Installation and operating of composting machines on Pulau Perhentian Kecil and Pulau Redang

##### **Component 2: Implement pilot demonstration of an integrated waste management system for Pulau Besar in Johor**

Key activities are:

- Baseline assessment of current waste generation and management practices, and an analysis on the impacts of waste on environmental health and social well-being for Pulau Besar
- Implementation of an effective waste management system for Pulau Besar through the application of suitable technology, infrastructure and methodologies

### **Component 3: Build capacities of local communities and service providers in responsible waste management and tourism practices**

Key activities are:

- Capacity development and awareness programme on waste management for local communities and services providers on Pulau Perhentian Kecil and Pulau Redang
- Upskilling programmes on waste management, and sustainable and community-led tourism practices for local communities and service providers on Pulau Besar

#### **| Gender Analysis**

A gender analysis will be conducted as part of the baseline assessments for all selected islands to assess potential gender-related impacts the project may have on local communities/stakeholders/beneficiaries. Identified issues arising from the gender analysis will aim to be addressed in future interventions.

#### **| Social and Environmental Standards: Screening and Assessments**

An Environmental and Social Impact Framework (ESMF) will be prepared, to ensure that the required assessments are carried out during the first phase of project implementation (i.e. Environmental and Social Management Plan (ESMP), Environmental and Social Impact Assessment (ESIA) and Strategic Environmental and Social Assessment (SESA)). A standard template for an environmental and social management framework is available here: [ESMF outline](#). The ESMF and the subsequent Project Document must clearly state that none of the associated project activities will commence until the assessment(s) have been completed, the required management plan(s) have been prepared and the plan(s) have been disclosed and approved by the PSC.

#### **| Appraise and Formulate the Most Appropriate Project Implementation and Execution Modality**

The design of the project complies with the UNDP's Programme and Operations Policy and Procedures (POPP), Financial Regulations, and Programme and Project Management and Quality Standards. A full assessment of the most appropriate project implementation and management arrangements will be carried out in full consultation with the MOF, UNDP Malaysia, Resident Representative (or their Deputy) and the relevant government coordinating agency.

For all potential Project Partners, capacity assessments to assess their capacity to implement the project and assess all related risks will be carried out which includes Partner Capacity Assess Tool (PCAT) and Harmonized Approach to Cash Transfer (HACT) assessments. Based on these assessments, selection and confirmation of the Project Partner for the project in consultation with all relevant stakeholders will be undertaken.

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## **V. MONITORING AND EVALUATION (M&E)**

In accordance with UNDP's programming policies and procedures, the Initiation Plan will be monitored through the following monitoring and evaluation activities outlined in Table 2:

Table 2: Monitoring and Evaluation Activities

<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>Track results progress</b>	Progress data against the outputs in the Work Plan will be collected and analysed to assess the progress of the project in achieving the agreed outputs.	Half-yearly	Slower than expected progress will be addressed by UNDP and Project Steering Committee.	MOF, UNDP	Refer to IV. Work Plan
<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.	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.	MOF, UNDP	Refer to IV. Work Plan
<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.	Annually	Relevant lessons are captured by the project team and used to inform management decisions.	MOF, UNDP	Refer to IV. Work Plan
<b>Annual Project Quality Assurance</b>	The quality of the project will be assessed against UNDP's quality standards to identify project strengths and weaknesses and to inform management decision making to improve the project.	Annually	Areas of strength and weakness will be reviewed by project management and used to inform decisions to improve project performance.	UNDP	Refer to IV. Work Plan
<b>Review and Make Course Corrections</b>	Internal review of data and evidence from all monitoring actions to inform decision making.	Half-yearly	Performance data, risks, lessons and quality will be discussed by the project board and	MOF, UNDP	Refer to IV. Work Plan

Monitoring Activity	Purpose	Frequency	Expected Action	Partners (if joint)	Cost (if any)
			used to make course corrections.		
<b>Project Review (PSC)</b>	The project's governance mechanism (i.e., Project Steering Committee) 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, PSC shall hold an end-of project review to capture lessons learned and discuss opportunities for scaling up and to socialize project results and lessons learned with relevant audiences.	Half-yearly	Any quality concerns or slower than expected progress should be discussed by the project board and management actions agreed to address the issues identified.	MOF, UNDP	Refer to IV. Work Plan

The specific project progress reporting documents are as follows:

- i. Mid-Year and Annual Progress Report (MYPR and APR)  
A Mid-Year and Annual Progress Report shall be prepared by the Project Manager in UNDP to report the status and progress of project implementation to the PSC.
- ii. Final Initiation Phase Report  
This report will be prepared at the end of Initiation Plan, which is a structured assessment of progress based on the chain of results initially defined in the IP and AWP, and will include information on financial allocations of expenditure. The following should be incorporated into the report:
  - Project results
  - Lessons learnt log - summarizing the information captured throughout the implementation of the project
  - Minutes of PSC meetings
  - Project financial report



#### IV. WORK PLAN 2021 – 2022

Note: USD 1.00 = MYR 4.153 based on UN foreign exchange rate for the month of September 2021.

Project Output / ATLAS Activity	Planned Activity	Responsible Party	Fund Code	Donor	ATLAS Budgetary Account Code	ATLAS Budget Description	Amount (USD)	Amount (MYR)	Amount (USD)	Amount (MYR)	TOTAL (USD)	TOTAL (MYR)
							2021		2022			
<b>Component 1 Pilot demonstration of an integrated waste management system for Pulau Redang and Pulau Perhentian in Terengganu</b>	1.1. Conduct a baseline assessment of current waste management practices and analysis of waste generation for Pulau Redang and Pulau Perhentian.	UNDP 001981	MOF 30072	00157	72600 (72605)	Grants to institutions and other beneficiaries SUK Terengganu	25,000.00	103,825.00	25,000.00	103,825.00	50,000.00	207,650.00
	1.2. Implement an effective waste management system for Pulau Redang and Perhentian through the application of suitable technology, infrastructure and methodologies.	001981	30072	00157	72600 (72605)	Grants to institutions and other beneficiaries SUK Terengganu	-	-	550,000.00	2,284,150.00	550,000.00	2,284,150.00
		001981	30072	00157	72100 (72105)	Contractual Services Companies – Construction & Engineer  Technical assessment and purchase of two (2) composting equipment	50,000.00	207,650.00	425,000.00	1,765,025.00	475,000.00	1,972,675.00
	General Management Support 6%	001981	30072	00157	75100	Facilities & administration	4,500.00	18,688.50	60,000.00	249,180.00	64,500.00	267,868.50
	<b>Component 1 Sub-total</b>							<b>79,500.00</b>	<b>330,163.50</b>	<b>1,060,000.00</b>	<b>4,402,180.00</b>	<b>1,139,500.00</b>
<b>Component 2 Pilot demonstration of an integrated waste management</b>	2.1. Conduct a baseline assessment of current waste management practices and analysis of waste	001981	30072	00157	72600 (72605)	Grants to institutions and other beneficiaries Tengah Island Conservation	30,166.15	125,280.02	35,250.00	146,393.25	65,416.15	271,673.27



Project Output / ATLAS Activity	Planned Activity	Responsible Party	Fund Code	Donor	ATLAS Budgetary Account Code	ATLAS Budget Description	Amount (USD)	Amount (MYR)	Amount (USD)	Amount (MYR)	TOTAL (USD)	TOTAL (MYR)
							2021		2022			
system for Pulau Besar in Johor	generation for Pulau Besar.											
	2.2. Implement an effective waste management system for Pulau Besar through the application of suitable technology, infrastructure and methodologies.	001981	30072	00157	72600 (72605)	Tengah Island Conservation	50,028.90	207,770.02	125,000.00	519,125.00	175,028.90	726,895.02
		001981	30072	00157	72100 (72105)	Contractual Services Companies – Construction & Engineer  Technical feasibility assessment and purchase of large composters and waste-water recovery system	47,500.00	197,267.50	445,715.00	1,851,054.40	493,215.00	2,048,321.90
	General Management Support 6%	001981	30072	00157	75100	Facilities & administration	7,661.70	31,819.05	36,357.90	150,994.36	44,019.60	182,813.41
	<b>Component 2 Sub-total</b>							<b>135,356.75</b>	<b>562,136.60</b>	<b>642,322.90</b>	<b>2,667,567.00</b>	<b>777,679.65</b>
<b>Component 3: Capacity building of local communities and service providers in responsible waste management and tourism practices</b>	3.1 Develop and conduct upskilling programmes on waste management, and sustainable and community-led tourism practices for local communities and service providers on Pulau Redang & Pulau Perhentian.	001981	30072	00157	72600 (72605)	Grants to institutions and other beneficiaries SUK Terengganu	20,000.00	83,060.00	115,000.00	477,595.00	135,000.00	560,655.00

Project Output / ATLAS Activity	Planned Activity	Responsible Party	Fund Code	Donor	ATLAS Budgetary Account Code	ATLAS Budget Description	Amount (USD)	Amount (MYR)	Amount (USD)	Amount (MYR)	TOTAL (USD)	TOTAL (MYR)
							2021		2022			
	3.2 Develop and conduct upskilling programmes on waste management, and sustainable and community-led tourism practices for local communities and service providers on Pulau Besar.	001981	30072	00157	72600 (72605)	Grants to institutions and other beneficiaries Tengah Island Conservation	16,703.74	69,370.63	85,766.53	356,188.40	102,470.27	425,559.03
	3.3 Conduct gender analysis and develop gender action plan.	001981	30072	00157	71300	Individual Contract – Gender and Safeguards Expert (USD500 x 45 days)	2,250.00	9,344.25	20,250.00	84,098.25	22,500.00	93,442.50
	3.4 Produce knowledge products and communication materials, conduct awareness and outreach workshops/events	001981	30072	00157	71400 (71405)	Service contracts individual – a. Communication and Knowledge Management Associate b. Project Assistant	15,500.00	64,371.50	25,000.00	103,825.00	40,500.00	168,196.50
	3.5 Conduct quarterly technical and media visits to Pulau Besar, Pulau Perhentian and Pulau Redang	001981	30072	00157	71600	Travel for quarterly technical and/or media visits to Pulau Besar, Pulau Perhentian and Pulau Redang	-	-	10,000.00	41,530.00	10,000.00	41,530.00
	3.6 Design and publish knowledge products and communications materials	001981	30072	00157	74200	Audio Visual & Printing Production Costs	3,000.00	12,459.00	5,000.00	20,765.00	8,000.00	33,224.00

Project Output / ATLAS Activity	Planned Activity	Responsible Party	Fund Code	Donor	ATLAS Budgetary Account Code	ATLAS Budget Description	Amount (USD)	Amount (MYR)	Amount (USD)	Amount (MYR)	TOTAL (USD)	TOTAL (MYR)
							2021		2022			
	3.7 Conduct knowledge exchange and learning sessions 1x per 4 months = 3x	001981	30072	00157	75700	Training, workshop and conference	640.83	2,661.37	13,000.00	53,989.00	13,640.83	56,650.37
	General Management Support 6%	001981	30072	00157	75100	Facilities & administration	3,485.67	14,476.00	16,440.99	68,279.44	19,926.67	82,755.44
	<b>Component 3 Sub-total</b>						<b>61,580.24</b>	<b>255,742.75</b>	<b>290,457.52</b>	<b>1,206,270.09</b>	<b>352,037.77</b>	<b>1,462,012.84</b>
<b>Project &amp; Knowledge Management including monitoring, evaluation and reporting</b>	Technical advisory and support services to project management and implementation including quality assurance, monitoring, evaluation and reporting					Direct Project Cost for staff time in project QA, technical oversight & advisory services, project cycle management and implementation, procurement planning and multi-year budgeting						
		001981	30072	00157	64300 (64397)		18,859.95	78,325.37	46,942.95	194,954.07	65,802.90	273,279.44
		001981	30072	00157	71400 (71405)	Project Assistant	-	-	15,420.00	64,039.26	15,420.00	64,039.26
		001981	30072	00157	71600	Travel - 3x per island = 9x monitoring visits to Pulau Redang, Perhentian and Besar	1,500.00	6,229.50	12,500.00	51,912.50	14,000.00	58,142.00
						Direct Project Cost for transaction-based services based on UPL/LPL						
		001981	30072	00157	74500 (74596)		4,764.91	19,788.67	25,842.84	6,222.69	30,607.75	26,011.36

Project Output / ATLAS Activity	Planned Activity	Responsible Party	Fund Code	Donor	ATLAS Budgetary Account Code	ATLAS Budget Description	Amount (USD)	Amount (MYR)	Amount (USD)	Amount (MYR)	TOTAL (USD)	TOTAL (MYR)
							2021		2022			
		001981	30072	00157	75700	Project Steering Committee meeting@4x - food voucher and 2 meeting packages	-	-	5,000.00	20,765.00	5,000.00	20,765.00
	General Management Support 6%	001981	30072	00157	75100	Facilities & administration	1,507.49	6,260.61	6,342.35	26,339.76	7,849.84	32,600.37
<b>Project &amp; Knowledge Management Sub-total</b>							<b>26,632.35</b>	<b>110,604.16</b>	<b>112,048.14</b>	<b>465,335.91</b>	<b>138,680.49</b>	<b>575,940.06</b>
<b>TOTAL</b>							<b>303,069.35</b>	<b>1,258,647.01</b>	<b>2,104,828.56</b>	<b>8,741,353.01</b>	<b>2,407,897.91</b>	<b>10,000,000.00</b>

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## VI.ANNEXES

### Annex 1. Terms of Reference of Project Steering Committee

- A. The Project Steering Committee (PSC) is responsible for setting policy direction and taking corrective action as needed to ensure the project achieves the desired results. In order to ensure UNDP's ultimate accountability, PSC's decisions should be made in accordance with standards that shall ensure management for development results, best value money, fairness, integrity, transparency and effective international competition.
- B. In case consensus cannot be reached within PSC, the UNDP Resident Representative (or designate) will mediate to find consensus and, if this cannot be found, will take the final decision to ensure project implementation is not unduly delayed.
- C. Specific responsibilities of the PSC include:
- Provide overall guidance and direction to the project, ensuring it remains within any specified constraints.
  - Address project issues as raised by the Project Manager and approve corrective and/or adaptive actions where applicable.
  - Provide guidance on new project risks and agree on possible mitigation and management actions to address specific risks.
  - Advise on major and minor amendments to the project within the parameters set by MOF and UNDP.
  - Ensure coordination between various donor and government-funded projects and programmes.
  - Ensure coordination with various government agencies and their participation in project activities.
  - Review and verify co-financing for this project.
  - Review the project progress, assess performance, and appraise the Annual Work Plan for the following year.
  - Appraise the mid-year and annual project implementation report, including the quality assessment rating report.
  - Ensure commitment of human resources to support project implementation, arbitrating any issues within the project.
  - Review financial reports prior to certification by MOF and responsible parties.
  - Provide direction and recommendations to ensure that the agreed deliverables are produced satisfactorily according to plans.
  - Address project-level grievances.
  - Approve the project's mid-year progress, annual progress reports and corresponding management responses.
  - Review the final Initiation Phase report package during an end-of-project review meeting to discuss lessons learned and opportunities for scaling up.
- D. The composition of the PSC must include the following roles:
- a. **Beneficiary Representatives:** Individuals or groups representing the interests of those who will ultimately benefit from the project. Their primary function within the board

is to ensure the realization of project results from the perspective of project beneficiaries. The Beneficiary representatives are:

- i. State Secretary's Office of Johor
- ii. State Secretary's Office of Terengganu
- iii. Local CSO/NGO who are active in Johor and Terengganu islands
- iv. Any other relevant stakeholders.

b. **Development Partners:** Individuals or groups representing the interests of the parties concerned that provide funding and/or technical expertise to the project. The Development Partner is:

- i. Ministry of Finance Malaysia

c. **Project Assurance:** UNDP performs the quality assurance role and supports the PSC by carrying out objective and independent project oversight and monitoring functions. This role ensures appropriate project management milestones are managed and completed. The PSC cannot delegate any of its quality assurance responsibilities to the Project Team. Project assurance is totally independent of the Project Management function.

## Annex 2. UNDP Pre-SESP

### SOCIAL AND ENVIRONMENTAL SCREENING TEMPLATE (2021 SESP TEMPLATE, VERSION 1)

#### Project Information

<b>Project Information</b>	
1. Project Title	Integrated Island Waste Management in Malaysia
2. Project Number (i.e. Atlas project ID, PIMS+)	00136286
3. Location (Global/Region/Country)	Malaysia
4. Project stage (Design or Implementation)	Design
5. Date	27 September 2021

#### Part A. Integrating Programming Principles to Strengthen Social and Environmental Sustainability

##### **QUESTION 1: How Does the Project Integrate the Programming Principles in Order to Strengthen Social and Environmental Sustainability?**

##### **Briefly describe in the space below how the project mainstreams the human rights-based approach**

The application of a Human Rights based approach to waste management including solid waste and waste-water is central to the very objective of the project which is focused to ensure sustainable and integrated waste management solutions for islands in Malaysia towards environmental preservation and improved community livelihoods.

To ensure that the project targets appropriate beneficiaries within the specified islands, it will facilitate dialogue with target communities, identify areas where their rights are threatened (if any), and respect existing legislation related to socio-cultural rights, and support and monitor adherence to that legislation. For example, when assessing and conducting baseline study on current waste management practices, project partner will conduct consultations to obtain inputs from local stakeholders, including local and customary communities, to ensure that the proposed waste management pilot does not violate the rights and livelihood of local communities.

Within the specific approaches of the project, the principles of human rights are also fully integrated including through:

- Supporting meaningful stakeholder participation and inclusion (including local communities, marginalized/vulnerable groups, women, migrants, disabled persons, and youth) in the implementation of the project activities. Multi-stakeholder dialogue and participation is a prerequisite throughout the project. Some of the following activities mention this process as part of:
- Engagement of local communities (including vulnerable/marginalized groups and women) as part of environmental management and governance activities is also provided.
- Consultations occur at state and district levels through regular meetings, involving the relevant sector agencies (government institutions), private sector and civil society.

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

The project is tagged as GEN2 and will incorporate gender transformative actions in accordance with UNDP policy and procedure. A gender analysis will be conducted to identify and assess the differences, needs, roles and priorities of women and men within the project’s scope. A Gender Action Plan (at the on-set of implementation) will be developed and incorporated into Strategic Results Framework to ensure that project interventions are gender responsive, improve gender equality and promote women’s empowerment. Throughout the project lifetime, consultations with local communities in the target islands will continue, ensuring that project interventions are gender-responsive, that they improve gender equality and make positive contributions to women’s empowerment. Under all components, participation of women on an equal footing will be promoted in terms of both numbers involved and degree of participation in decision-making. Equal participation of men and women in decision-making forums and in capacity building activities will be encouraged.

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

The objective of this project is to develop and implement *sustainable and integrated waste management solutions for islands in Malaysia towards environmental preservation and improved community livelihoods*, and aims to achieve this by:

- **Implementing pilot demonstrations of integrated waste management systems for Pulau Redang, Pulau Perhentian and Pulau Besar**, to assess and enhance existing waste management practices and provide a reference model for potential replicability on other islands within Malaysia; and
- **Building capacity for local communities and service providers within Pulau Redang, Pulau Perhentian and Pulau Besar on responsible waste management and tourism practices**, to ensure sustainability of the pilot demonstrations and to increase the level of environmental awareness within communities.

Through this, responsible consumption practices and greater stewardship of the natural environment are expected to be promoted among local communities, industry stakeholders and government agencies.

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

The project strengthens accountability to stakeholders through capacity building activities such as training sessions and workshops on sustainable waste management for tourism industry service providers and local communities (will be provided to local authorities), ensuring access to information to school students via PEDAS environmental education programme. In addition, the project is governed by a steering committee (through establishment of Stakeholder Response Mechanism) which provides an avenue/platform for any affected communities to raise concerns/grievances if any of the activities may adversely impact them to ensure the sustainability of the project.

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

<p><b>QUESTION 2: What are the Potential Social and Environmental Risks?</b>  <i>Note: Complete SESP Attachment 1 before responding to Question 2.</i></p>	<p><b>QUESTION 3: What is the level of significance of the potential social and environmental risks?</b>  <i>Note: Respond to Questions 4 and 5 below before proceeding to Question 5</i></p>	<p><b>QUESTION 6: Describe the assessment and management measures for each risk rated Moderate, Substantial or High</b></p>
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<b>Risk Description (broken down by event, cause, impact)</b>	<b>Impact and Likelihood (1-5)</b>	<b>Significance (Low, Moderate Substantial, High)</b>	<b>Comments (optional)</b>	<b>Description of assessment and management measures for risks rated as Moderate, Substantial or High</b>												
Risk 1: Activities will be conducted within marine protected areas which are environmentally sensitive and may impact the ecosystems.	I = 2 L = 5	Moderate	As part of marine health monitoring ecosystems assessment, marine life baseline study will be conducted within marine protected areas surrounding the targeted islands	Marine baseline studies will be conducted in accordance with international marine survey and monitoring guidelines to minimize adverse impacts on coral reef and other marine life.												
Risk 2: The project will involve some light construction activity (building of a basic structure/shed as a central waste facility and/or storage area); therefore, there is a risk of air, noise and water runoff pollution, as well as an influx of a small group of workers.	I = 2 L = 2	Low		UNDP's standard procurement process will be used to ensure the quality and reliability of the selected service provider. In addition, a HACT micro-assessment will be conducted on project partners to ensure their capacity to oversee and manage the overall quality and safety of the construction activities.												
<b>QUESTION 4: What is the overall project risk categorization?</b>																
<table border="1"> <tr> <td><b>Low Risk</b></td> <td><input type="checkbox"/></td> <td></td> </tr> <tr> <td><b>Moderate Risk</b></td> <td><input checked="" type="checkbox"/></td> <td>The overall risk-rating for the project is 'Moderate. The identified risks will be revised based on further assessment and information during the project implementation. To meet the SES requirements the following has been planned and will be commissioned: (i) gender analysis and Gender Action Plan and (ii) waste management assessment and management plan.</td> </tr> <tr> <td><b>Substantial Risk</b></td> <td><input type="checkbox"/></td> <td></td> </tr> <tr> <td><b>High Risk</b></td> <td><input type="checkbox"/></td> <td></td> </tr> </table>					<b>Low Risk</b>	<input type="checkbox"/>		<b>Moderate Risk</b>	<input checked="" type="checkbox"/>	The overall risk-rating for the project is 'Moderate. The identified risks will be revised based on further assessment and information during the project implementation. To meet the SES requirements the following has been planned and will be commissioned: (i) gender analysis and Gender Action Plan and (ii) waste management assessment and management plan.	<b>Substantial Risk</b>	<input type="checkbox"/>		<b>High Risk</b>	<input type="checkbox"/>	
<b>Low Risk</b>	<input type="checkbox"/>															
<b>Moderate Risk</b>	<input checked="" type="checkbox"/>	The overall risk-rating for the project is 'Moderate. The identified risks will be revised based on further assessment and information during the project implementation. To meet the SES requirements the following has been planned and will be commissioned: (i) gender analysis and Gender Action Plan and (ii) waste management assessment and management plan.														
<b>Substantial Risk</b>	<input type="checkbox"/>															
<b>High Risk</b>	<input type="checkbox"/>															
<b>QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are triggered? (check all that apply)</b>																

Question only required for Moderate, Substantial and High Risk projects				
<b><i>Is assessment required? (check if “yes”)</i></b>	<input type="checkbox"/>			<b><i>Status? (completed, planned)</i></b>
<i>if yes, indicate overall type and status</i>		X	Targeted assessment(s)- Gender analysis, waste water and food management assessment and marine health ecosystem assessment	Planned
		<input type="checkbox"/>	ESIA (Environmental and Social Impact Assessment)	
		<input type="checkbox"/>	SESA (Strategic Environmental and Social Assessment)	
<b><i>Are management plans required? (check if “yes”)</i></b>	<input type="checkbox"/>			
<i>if yes, indicate overall type</i>		X	Targeted management plans - Gender Action Plan, Waste Management Plan	Planned
		<input type="checkbox"/>	ESMP (Environmental and Social Management Plan which may include range of targeted plans)	
		<input type="checkbox"/>	ESMF (Environmental and Social Management Framework)	
<b><i>Based on identified risks, which Principles/Project-level Standards triggered?</i></b>			<b>Comments (not required)</b>	
<b><i>Overarching Principle: Leave No One Behind</i></b>				
<b><i>Human Rights</i></b>	X			
<b><i>Gender Equality and Women’s Empowerment</i></b>	<input type="checkbox"/>			
<b><i>Accountability</i></b>	<input type="checkbox"/>			
<b><i>1. Biodiversity Conservation and Sustainable Natural Resource Management</i></b>	X			
<b><i>2. Climate Change and Disaster Risks</i></b>	<input type="checkbox"/>			
<b><i>3. Community Health, Safety and Security</i></b>	X			
<b><i>4. Cultural Heritage</i></b>	<input type="checkbox"/>			
<b><i>5. Displacement and Resettlement</i></b>	<input type="checkbox"/>			
<b><i>6. Indigenous Peoples</i></b>	<input type="checkbox"/>			

	<b>7. Labour and Working Conditions</b>	<input type="checkbox"/>	
	<b>8. Pollution Prevention and Resource Efficiency</b>	<input type="checkbox"/>	

## Final Sign Off

Final Screening at the design-stage is not complete until the following signatures are included

Signature	Date	Description
QA Assessor GAN Pek Chuan 	28 Sep 2021	UNDP staff member responsible for the project, typically a UNDP Programme Officer. Final signature confirms they have "checked" to ensure that the SESP is adequately conducted.
QA Approver Manon BERNIER 	28 Sep 2021	UNDP senior manager, typically the UNDP Deputy Country Director (DCD), Country Director (CD), Deputy Resident Representative (DRR), or Resident Representative (RR). The QA Approver cannot also be the QA Assessor. Final signature confirms they have "cleared" the SESP prior to submittal to the PAC.
PAC Chair (Not applicable)		UNDP chair of the PAC. In some cases PAC Chair may also be the QA Approver. Final signature confirms that the SESP was considered as part of the project appraisal and considered in recommendations of the PAC.

## SESP Attachment 1. Social and Environmental Risk Screening Checklist

Checklist Potential Social and Environmental Risks		
INSTRUCTIONS: The risk screening checklist will assist in answering Questions 2-6 of the Screening Template. Answers to the checklist questions help to (1) identify potential risks, (2) determine the overall risk categorization of the project, and (3) determine required level of assessment and management measures. Refer to the <a href="#">SES toolkit</a> for further guidance on addressing screening questions.		
<b>Overarching Principle: Leave No One Behind</b>		<b>Answer (Yes/No)</b>
<b>Human Rights</b>		
P.1	Have local communities or individuals raised human rights concerns regarding the project (e.g. during the stakeholder engagement process, grievance processes, public statements)?	No
P.2	Is there a risk that duty-bearers (e.g. government agencies) do not have the capacity to meet their obligations in the project?	Yes
P.3	Is there a risk that rights-holders (e.g. project-affected persons) do not have the capacity to claim their rights?	No
<i>Would the project potentially involve or lead to:</i>		
P.4	adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	No

P.5	inequitable or discriminatory impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups, including persons with disabilities? <sup>11</sup>	No
P.6	restrictions in availability, quality of and/or access to resources or basic services, in particular to marginalized individuals or groups, including persons with disabilities?	No
P.7	exacerbation of conflicts among and/or the risk of violence to project-affected communities and individuals?	No
<b>Gender Equality and Women's Empowerment</b>		
P.8	Have women's groups/leaders raised gender equality concerns regarding the project, (e.g. during the stakeholder engagement process, grievance processes, public statements)?	No
<i>Would the project potentially involve or lead to:</i>		
P.9	adverse impacts on gender equality and/or the situation of women and girls?	No
P.10	reproducing discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	No
P.11	limitations on women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services? <i>For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being</i>	No
P.12	exacerbation of risks of gender-based violence? <i>For example, through the influx of workers to a community, changes in community and household power dynamics, increased exposure to unsafe public places and/or transport, etc.</i>	No
<b>Sustainability and Resilience:</b> Screening questions regarding risks associated with sustainability and resilience are encompassed by the Standard-specific questions below		
<b>Accountability</b>		
<i>Would the project potentially involve or lead to:</i>		
P.13	exclusion of any potentially affected stakeholders, in particular marginalized groups and excluded individuals (including persons with disabilities), from fully participating in decisions that may affect them?	No
P.14	grievances or objections from potentially affected stakeholders?	No
P.15	risks of retaliation or reprisals against stakeholders who express concerns or grievances, or who seek to participate in or to obtain information on the project?	No
<b>Project-Level Standards</b>		
<b>Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management</b>		
<i>Would the project potentially involve or lead to:</i>		
1.1	adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services? <i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i>	No

<sup>11</sup> Prohibited grounds of discrimination include race, ethnicity, sex, age, language, disability, sexual orientation, gender identity, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to "women and men" or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender and transsexual people.

1.2	activities within or adjacent to critical habitats and/or environmentally sensitive areas, including (but not limited to) legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?	Yes
1.3	changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5)	No
1.4	risks to endangered species (e.g. reduction, encroachment on habitat)?	No
1.5	exacerbation of illegal wildlife trade?	No
1.6	introduction of invasive alien species?	No
1.7	adverse impacts on soils?	No
1.8	harvesting of natural forests, plantation development, or reforestation?	No
1.9	significant agricultural production?	No
1.10	animal husbandry or harvesting of fish populations or other aquatic species?	No
1.11	significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i>	No
1.12	handling or utilization of genetically modified organisms/living modified organisms? <sup>12</sup>	No
1.13	utilization of genetic resources? (e.g. collection and/or harvesting, commercial development) <sup>13</sup>	No
1.14	adverse transboundary or global environmental concerns?	No
<b>Standard 2: Climate Change and Disaster Risks</b>		
<i>Would the project potentially involve or lead to:</i>		
2.1	areas subject to hazards such as earthquakes, floods, landslides, severe winds, storm surges, tsunami or volcanic eruptions?	No
2.2	outputs and outcomes sensitive or vulnerable to potential impacts of climate change or disasters? <i>For example, through increased precipitation, drought, temperature, salinity, extreme events, earthquakes</i>	No
2.3	increases in vulnerability to climate change impacts or disaster risks now or in the future (also known as maladaptive or negative coping practices)? <i>For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding</i>	No
2.4	increases of greenhouse gas emissions, black carbon emissions or other drivers of climate change?	No
<b>Standard 3: Community Health, Safety and Security</b>		
<i>Would the project potentially involve or lead to:</i>		
3.1	construction and/or infrastructure development (e.g. roads, buildings, dams)? (Note: the GEF does not finance projects that would involve the construction or rehabilitation of large or complex dams)	Yes
3.2	air pollution, noise, vibration, traffic, injuries, physical hazards, poor surface water quality due to runoff, erosion, sanitation?	Yes

<sup>12</sup> See the [Convention on Biological Diversity](#) and its [Cartagena Protocol on Biosafety](#).

<sup>13</sup> See the [Convention on Biological Diversity](#) and its [Nagoya Protocol](#) on access and benefit sharing from use of genetic resources.

3.3	harm or losses due to failure of structural elements of the project (e.g. collapse of buildings or infrastructure)?	No
3.4	risks of water-borne or other vector-borne diseases (e.g. temporary breeding habitats), communicable and noncommunicable diseases, nutritional disorders, mental health?	No
3.5	transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	No
3.6	adverse impacts on ecosystems and ecosystem services relevant to communities' health (e.g. food, surface water purification, natural buffers from flooding)?	No
3.7	influx of project workers to project areas?	Yes
3.8	engagement of security personnel to protect facilities and property or to support project activities?	No
<b>Standard 4: Cultural Heritage</b>		
<i>Would the project potentially involve or lead to:</i>		
4.1	activities adjacent to or within a Cultural Heritage site?	No
4.2	significant excavations, demolitions, movement of earth, flooding or other environmental changes?	No
4.3	adverse impacts to sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	No
4.4	alterations to landscapes and natural features with cultural significance?	No
4.5	utilization of tangible and/or intangible forms (e.g. practices, traditional knowledge) of Cultural Heritage for commercial or other purposes?	No
<b>Standard 5: Displacement and Resettlement</b>		
<i>Would the project potentially involve or lead to:</i>		
5.1	temporary or permanent and full or partial physical displacement (including people without legally recognizable claims to land)?	No
5.2	economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?	No
5.3	risk of forced evictions? <sup>14</sup>	No
5.4	impacts on or changes to land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	No
<b>Standard 6: Indigenous Peoples</b>		
<i>Would the project potentially involve or lead to:</i>		
6.1	areas where indigenous peoples are present (including project area of influence)?	No

<sup>14</sup> Forced eviction is defined here as the permanent or temporary removal against their will of individuals, families or communities from the homes and/or land which they occupy, without the provision of, and access to, appropriate forms of legal or other protection. Forced evictions constitute gross violations of a range of internationally recognized human rights.

6.2	activities located on lands and territories claimed by indigenous peoples?	No
6.3	impacts (positive or negative) to the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)? <i>If the answer to screening question 6.3 is “yes”, then the potential risk impacts are considered significant and the project would be categorized as either Substantial Risk or High Risk</i>	No
6.4	the absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	No
6.5	the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	No
6.6	forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources? <i>Consider, and where appropriate ensure, consistency with the answers under Standard 5 above</i>	No
6.7	adverse impacts on the development priorities of indigenous peoples as defined by them?	No
6.8	risks to the physical and cultural survival of indigenous peoples?	No
6.9	impacts on the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices? <i>Consider, and where appropriate ensure, consistency with the answers under Standard 4 above.</i>	No
<b>Standard 7: Labour and Working Conditions</b>		
<i>Would the project potentially involve or lead to: (note: applies to project and contractor workers)</i>		
7.1	working conditions that do not meet national labour laws and international commitments?	No
7.2	working conditions that may deny freedom of association and collective bargaining?	No
7.3	use of child labour?	No
7.4	use of forced labour?	No
7.5	discriminatory working conditions and/or lack of equal opportunity?	No
7.6	occupational health and safety risks due to physical, chemical, biological and psychosocial hazards (including violence and harassment) throughout the project life-cycle?	No
<b>Standard 8: Pollution Prevention and Resource Efficiency</b>		
<i>Would the project potentially involve or lead to:</i>		
8.1	the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	No
8.2	the generation of waste (both hazardous and non-hazardous)?	No
8.3	the manufacture, trade, release, and/or use of hazardous materials and/or chemicals?	No
8.4	the use of chemicals or materials subject to international bans or phase-outs?	No

	<i>For example, DDT, PCBs and other chemicals listed in international conventions such as the <a href="#">Montreal Protocol</a>, <a href="#">Minamata Convention</a>, <a href="#">Basel Convention</a>, <a href="#">Rotterdam Convention</a>, <a href="#">Stockholm Convention</a></i>	
8.5	the application of pesticides that may have a negative effect on the environment or human health?	No
8.6	significant consumption of raw materials, energy, and/or water?	No



## Annex 3: UNDP Risk Register

#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Management response	Owner																																																				
		<p>Enter a brief description of the risk. Risk description should include future event and cause.</p> <p>Risks identified through HACT, PCAT, SES, Private Sector Due Diligence, and other assessments should be included.</p>	<p>Social and Environmental Financial Operational Organizational Political Regulatory Strategic Other</p> <p>Subcategories for each risk type should be consulted to understand each risk type (see UNDP Enterprise Risk Management Policy)</p>	<p>Describe the potential <b>effect</b> on the project if the future event were to occur.</p> <p>Enter <b>likelihood</b> based on 1-5 scale (1 = Not likely; 5 = Expected)</p> <p>Enter <b>impact</b> based on 1-5 scale (1 = Negligible 5 = Extreme)</p> <p><i>Based on Likelihood and Impact, use the Risk Matrix to identify the Risk Level (high, Substantial, Moderate or Low)</i></p> <table border="1"> <caption>UNDP ERM - Risk Matrix</caption> <tr> <td rowspan="5">Impact</td> <td>5</td> <td style="background-color: #d9ead3;"></td> <td style="background-color: #d9ead3;"></td> <td style="background-color: #d9ead3;"></td> <td style="background-color: #d9ead3;"></td> <td style="background-color: #d9ead3;"></td> </tr> <tr> <td>4</td> <td style="background-color: #d9ead3;"></td> <td style="background-color: #d9ead3;"></td> <td style="background-color: #d9ead3;"></td> <td style="background-color: #d9ead3;"></td> <td style="background-color: #d9ead3;"></td> </tr> <tr> <td>3</td> <td style="background-color: #d9ead3;"></td> <td style="background-color: #d9ead3;"></td> <td style="background-color: #d9ead3;"></td> <td style="background-color: #d9ead3;"></td> <td style="background-color: #d9ead3;"></td> </tr> <tr> <td>2</td> <td style="background-color: #d9ead3;"></td> <td style="background-color: #d9ead3;"></td> <td style="background-color: #d9ead3;"></td> <td style="background-color: #d9ead3;"></td> <td style="background-color: #d9ead3;"></td> </tr> <tr> <td>1</td> <td style="background-color: #d9ead3;"></td> <td style="background-color: #d9ead3;"></td> <td style="background-color: #d9ead3;"></td> <td style="background-color: #d9ead3;"></td> <td style="background-color: #d9ead3;"></td> </tr> <tr> <td></td> <td>1</td> <td>2</td> <td>3</td> <td>4</td> <td>5</td> <td></td> </tr> <tr> <td colspan="7">Likelihood</td> </tr> <tr> <td colspan="7"> <div style="display: flex; justify-content: space-between; width: 100%;"> <span style="background-color: #d9ead3; width: 10px; height: 10px; display: inline-block;"></span> SUBSTANTIAL           <span style="background-color: #d9ead3; width: 10px; height: 10px; display: inline-block;"></span> MODERATE           <span style="background-color: #d9ead3; width: 10px; height: 10px; display: inline-block;"></span> LOW         </div> </td> </tr> </table>	Impact	5						4						3						2						1							1	2	3	4	5		Likelihood							<div style="display: flex; justify-content: space-between; width: 100%;"> <span style="background-color: #d9ead3; width: 10px; height: 10px; display: inline-block;"></span> SUBSTANTIAL           <span style="background-color: #d9ead3; width: 10px; height: 10px; display: inline-block;"></span> MODERATE           <span style="background-color: #d9ead3; width: 10px; height: 10px; display: inline-block;"></span> LOW         </div>							<p>What actions have been taken/will be taken to manage this risk.</p>	<p>The person or entity with the responsibility to manage the risk.</p>
Impact	5																																																									
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1	The severity and intensity of Northeast monsoon in October to March could be exacerbated by climate change, which in turn can jeopardize the project partners' ability to implement and complete the construction and installation of waste management systems in Redang,	27 September 2021	Environmental	<p>L = 4</p> <p>I = 4</p> <p>Risk rating = <b>SUBSTANTIAL</b></p>	<p>Adjust the project timeline in the detailed project implementation/work plan to allow baseline assessment and initial procurement to be conducted prior to the execution of project activities that will be affected by monsoon season such as construction and installation to be carried out after monsoon.</p> <p>By 31 October 2021.</p>	Project Manager, Project Steering Committee, Terengganu State Secretary's Office and Tengah Island Conservation																																																				

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	Perhentian and Besar Islands within the timeframe.					
2	Lockdown or travel restriction due to potential COVID worsening trends in Malaysia could affect the ability of project partners to meet the project timeline.	27 September 2021	Operational	L = 4 I = 3 Risk rating = <b>MODERATE</b>	Each agreement with responsible partners will include a contingency plan for adjusting to possible suspension or delays as a result of a public health or similar crisis. Agreements will have a force majeure clause to cover possible delays or shortcomings in delivery based on such unforeseen circumstances. The project is designed around integrated waste management systems with participatory and multi-stakeholder approach, in full compliance of any SOPs for public health, ensuring the risks imposed by COVID are minimal.  Throughout the project until 31 December 2022.	UNDP
3	Local communities and tour operators / service providers may be resistant to changing their waste management practices, not seeing the value in engaging with the approaches and technology promoted by the project.	27 September 2021	Strategic	The primary beneficiaries of the project are local communities and tour operator / service providers in the target islands. Lack of genuine participation could impact the effectiveness and sustainability of the project.  L = 3 I = 3 Risk rating = <b>MODERATE</b>	Through participatory, multi-stakeholder approaches, the project will implement a range of mechanisms to generate local communities and operators' interest and awareness. The project design is predicated on strengthening the enabling environment for achieving integrated island waste management practices across the target islands. For the community level activities, district forums are planned with equitable stakeholder	Project Manager, Terengganu State Secretary's Office and Tengah Island Conservation

#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Management response	Owner
					<p>representation, including local communities.</p> <p>The project will adopt a multi-pronged approach to ensure that local communities and operators' awareness and understanding are built and enhanced to motivate adoption; that they have the capacities required for sustained adoption; and that there are governance conditions that will bring social and institutional pressures on them to adopt and sustain. Moreover, the project strategy focuses on improving livelihood resilience. This will be facilitated through participatory approaches that encourage co-identification and co-formulation of waste management practices where local communities and operators analyse the situations and come up with the solutions themselves.</p> <p>Throughout the project until 31 December 2022.</p>	
4	Inadequate participation and buy-in of local governments in Johor and Terengganu.	27 September 2021	Organizational, Operational	An important part of the project strategy is the integrated island waste management system, which is envisaged to be institutionalized and operationalized by local governments. If local governments are not	State and local government departments and agencies were consulted prior to the Initiation Plan phase, and the project strategy was developed to complement existing structures and procedures. Moreover, a wide range of stakeholders will be	Project Manager, Kuala Terengganu City Council, Besut District Council and Mersing District Council

#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Management response	Owner
				adequately engaged, then it could be difficult to achieve the objectives that stem from the installed waste management systems.  L = 3  I = 4  Risk rating: <b>SUBSTANTIAL</b>	represented on the multi-stakeholder collaboration platforms, thus enabling direct involvement in project decision-making processes during implementation. As part of the capacity building efforts, a cohort of sustainability champions from across governmental sectors will help ensure the durability of the results achieved on the project.  Throughout the project until 31 December 2022.	
<b>Risk identified through HACT Micro Assessment</b>						
5	HACT micro assessment on Tengah Island Conservation – local NGO in Mersing Islands, Johor indicates a potential risk in their capacity to manage high value procurement of goods and services as their highest procurement managed in the past two years (2019 – 2020) is not more than MYR 5,000 (~USD 1,250).	27 September 2021	Strategic	L = 4  I = 4  Risk rating: <b>SUBSTANTIAL</b>	Two responsible party agreements with Tengah Island Conservation will be signed for phase 1 baseline assessment and phase 2 waste management system implementation to address this risk and all high value procurement of equipment will be carried out by UNDP directory. Agreements will have a force majeure clause to cover possible delays or shortcomings in delivery based on such unforeseen circumstances and refund clause in the event of failure in completing deliverables or incur of expenses in violation of the agreed work plan.  By 31 October 2021.	UNDP and Tengah Island Conservation
<b>Risk identified through UNDP Social and Environmental Screening Procedures</b>						

#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Management response	Owner
6	Risk 1: Activities will be conducted within marine protected areas which are environmentally sensitive and may impact the ecosystems.	27 September 2021	Social Environmental	L = 5  I = 2  Risk rating: <b>MODERATE</b>	Marine baseline studies will be conducted in accordance with international marine survey and monitoring guidelines to minimize adverse impacts on coral reef and other marine life.  Throughout the project until 31 December 2022.	UNDP, Tengah Island Conservation and Local Government Division, Terengganu State Secretary's Office
7	Risk 2: The project will involve some light construction activity (building of a basic structure/shed as a central waste facility and/or storage area); therefore, there is a risk of air, noise and water runoff pollution, as well as an influx of a small group of workers.	27 September 2021	Social Environmental	L = 2  I = 2  Risk rating: <b>LOW</b>	UNDP's standard procurement process will be used to ensure the quality and reliability of the selected service provider. In addition, a HACT micro-assessment will be conducted on project partners to ensure their capacity to oversee and manage the overall quality and safety of the construction activities.  By 31 March 2022.	UNDP