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UNDP Initiation Plan to programme the project preparation grant received from the GEF

A. Background:

The purpose of this GEF PPG template is to describe how the project preparation grant from the GEF will be programmed to develop a full project document, including the required supporting documentation, that is fully compliant with UNDP and GEF policies and ready for submission to the GEF for CEO endorsement. **See Section C below on new deadlines for submission for GEF-7.**

When a project preparation grant has been requested from the GEF, these resources are confirmed and can be programmed upon receipt of the GEF CEO letter entitled “PIF Clearance for WP Inclusion and PPG Approval”. In general, for medium-sized projects (MSPs) using the one-step approval process, the costs of project preparation can be reimbursed by completing the relevant section of the one-step MSP CEO approval template. For child projects under a program, a project preparation grant can be requested at the same time as the PFD is submitted to Council or after Council approves the PFD. See GEF’s 2017 [Guidelines on the Project and Program Cycle Policy](#) for additional details.

The standard template for the GEF PPG, included in this file, lists some of the key activities that are necessary to complete mandatory sections of the UNDP-GEF Project Document and supporting documentation. Supplementary guidance is indicated in *italicized and blue-highlighted text* that must be completed and/or deleted from this template before submitting the GEF PPG for clearance. Additional eligible project development activities can be added as necessary.

The UNDP-GEF Project Document template can be found [here](#) and the GEF CEO Endorsement Request template can be found [here](#).

B. Eligible activities:

The GEF project preparation grant is not an advance on the project grant and can therefore not be used to finance implementation activities.

Please refer to the GEF’s 2017 [Guidelines on the Project and Program Cycle Policy](#) for a list of eligible project preparation activities, and take note of the following ineligible expenditures:

- Costs associated with the work of government staff or regular project/program activities of a GEF Agency or a Project Executing Entity (EA).
- Non-project preparation costs including: project start-up costs (i.e. Inception Workshop, travel to Convention Meetings, study tours and exchanges are not eligible); demonstration and pilot projects; implementation of large-scale enabling activities, including detailed country-wide inventories and country studies, training activities other than where they are directly related to project and/or country preparation and major research.

- Capital goods other than those directly required for project preparation, such as computers and engineering equipment. (i.e. purchase of vehicles is not eligible)
- Goods and services that can be procured through funding channels other than the GEF. (i.e. Co-financing should be used to cover costs associated with purchase of a vehicle if needed, etc.)

C. GEF automatic cancellation if project does not meet the following deadlines:

The project document and other mandatory documentation for this project **must be submitted to the UNDP-GEF Unit for clearance** within 10 months of PIF approval by the GEF Council (for full-size projects) or 6 months of PIF approval (for medium-sized projects) or for child projects 8 months prior to the commitment deadline specified in the endorsed Program Framework Document (PFD).¹

This deadline must be met to meet the **first GEF cancellation submission deadline** of 12 months of PIF approval by GEF Council for full-size projects) or 8 months of PIF approval (for medium-sized projects) or 6 months before commitment deadline for child projects as specified in the endorsed Program Framework Document (PFD).²

The **second GEF deadline is the actual CEO endorsement of the submitted package**. The submission package must be fully prepared and detailed enough for endorsement by the GEF CEO within 18 months of PIF approval by the GEF Council (full-size project); or 12 months of PIF approval (medium-sized project); or by the Program Commitment Deadline for child projects under a Program.

See the 2018 [GEF Project Cancellation Policy](#) for additional details.

The UNDP-GEF Project Document must be finalized in English.

D. UNDP Procedures for GEF PPG:

Implementation modality: Preferred Direct Implementation Modality (DIM). Other modalities possible if government requests.

Government agreement: There must be evidence that the Government agrees to the Initiation Plan/GEF PPG, through meeting minutes, an exchange of letters or e-mails, or signing the Initiation Plan document.

GEF PPG signatures:

- Direct Implementation Modality (DIM) managed by Country Office: signed by Resident Representative.
- Direct Implementation Modality (DIM) managed by BPPS/GEF Unit: signed by BPPS/GEF Executive Coordinator.
- Agency Implementation Modality if government requests, managed by UN Agency (e.g. UNOPS): signed by Resident Representative and UN Agency (i.e. UNOPS)

Atlas requirements: A separate Award should be created in ATLAS. The following ATLAS set up is required: one project ID = one output ID.

Gender marker: As all GEF PPGs are required to prepare a gender analysis and action plan, the gender marker rating should be GEN 2 or GEN 3 for this GEF PPG.

¹ For programs, the reference to "PIF" in this template should be understood as the Child Project Concept Note; the PFD would be the document on which submission deadlines are based and for which GEF Council / STAP comments need to be addressed during the PPG. Please revise text in the template as needed for programs.

² For programs, the reference to "PIF" in this template should be understood as the Child Project Concept Note; the PFD would be the document on which submission deadlines are based and for which GEF Council / STAP comments need to be addressed during the PPG. Please revise text in the template as needed for programs.

UNDP Quality Assurance: The UNDP quality assurance report (design, implementation and closure) is not required for the GEF PPG and should be marked as “exempt” from QA in the Corporate Planning System, and the drop down “GEF PPG” selected for the reason for exemption.

UNDP SESP: A social and environmental screening (SESP) of the GEF PPG is not required. However, all GEF PPGs are required to prepare the SESP as an Annex to the UNDP-GEF Project Document.

GEF PPG closure: Within 18 months of PIF or PFD approval, the GEF PPG must be financially closed in Atlas. Annex C of the GEF CEO Endorsement Template must be completed to report to the GEF on the use of the PPG resources. If, by exception, the activities and resources have not been fully completed by CEO endorsement, the table in Annex C of the CEO Endorsement Template must be completed within one year of CEO endorsement and be submitted to the GEF with the first Project Implementation Report (PIR). Any unspent PPG resources must be returned to the GEF (handled by UNDP-GEF HQ in New York).

E. UNDP and GEF policies:

All the GEF PPG deliverables must be fully aligned with UNDP policies – [see POPP](#) – and [GEF policies](#).



Initiation Plan / GEF PPG

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Project Title: Reduce the Impact and Release of Mercury and POPs in Vietnam through Lifecycle Approach and Ecolabel

Country: Viet Nam

Country Programme Outcome:

Country Programme Document for Viet Nam 2017-2021

Outcome 2: *Low-carbon, resilient, and environmentally sustainable development*

Gender Marker rating: GEN 2

SESP Pre-Screening Categorization: *High*

<p>ATLAS Award ID: 00126333</p> <p>ATLAS Project/Output ID: 00120423</p> <p>PIMS number: 6491</p> <p>Management Arrangement: DIM</p>	<p>Total budget: US\$150,000</p> <p>Allocated resources:</p> <ul style="list-style-type: none"> • GEF US\$150,000
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AGREED BY

UNDP Resident Representative ³	Signature	<i>Day/Month/Year</i> Date
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³ Edit as necessary. Include other Agency as necessary.

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I. BRIEF DESCRIPTION OF THE INITIATION PLAN/GEF PPG

Objective & Final Outputs

The objective of the GEF PPG is to develop the project concept into a full project: ***Reduce the impact and release of mercury and POPs in Vietnam through lifecycle approach and ecolabel.*** As described in the project concept PIF, this project aims to protect human health and the environment as well as promote sustainable production and consumption through the reduction of the use of POPs, new POPs, and mercury and the release of POPs, U-POPs, and mercury throughout the entire lifecycle in key industrial sectors, supported by an ecolabel system, green financing, and procurement mechanisms. This project will be implemented using the DIM modality.

The following information is to be consulted as background for the GEF PPG phase:

- PIF cleared for WP inclusion or GEF Council approved PIF (PFD and child project concept note for projects that are part of a program)
- SESP pre-screening (of PIF)
- Comments from GEF Secretariat, Council, STAP
- [Annotated UNDP-GEF Project Document Template](#) and associated guidance included therein
- [UNDP policies and procedures](#)
- UNDP-GEF guidance notes on GEF project development (which will be provided by the RTA) and
- GEF policies, in particular GEF policies on: Project Cancellation; Fee Policy for GEF Partner Agencies; Project and Program Cycle; and Minimum Fiduciary Standards for GEF Partner Agency (in particular sections dealing with the required separation of oversight and execution support services). All GEF policies are available [here](#).

The final outputs of the GEF PPG are:

1. UNDP-GEF Project Document (ProDoc).
2. Mandatory annexes to the ProDoc listed in the [Annotated UNDP-GEF Project Document Template](#).
3. [GEF CEO Endorsement Request](#) and all mandatory annexes; and
4. Validation Workshop report (required for projects with a high SESP categorization; as appropriate for all others).

Any additional studies and other reports produced under the GEF PPG and not included in Annex to the project document will be submitted to UNDP and saved for future reference.

Key Dates for the GEF PPG

Milestone	Date	Notes
Internal submission date for UNDP-GEF review and clearance	<i>3 April 2021</i>	10 months of PIF approval for FSPs and 6 months for MSPs.
First GEF Submission Deadline for CEO Endorsement	<i>3 June 2021</i>	First submission must be within 12 months of PIF approval for FSPs and 8 months for MSPs. Failure to submit a ProDoc and CEO ER to the GEF Sec by this date will lead to the automatic cancellation of the project by the GEF Sec.

CEO Endorsement Deadline after which the project will be cancelled if not endorsed	3 <i>December</i> 2021	Endorsement must be within 18 months of PIF approval for FSPs and 12 months for MSPs. If the project has not been CEO endorsed by this date, then it will be automatically cancelled by the GEF Sec.
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Management Arrangements

The UNDP Viet Nam Country Office will lead the project development process and manage the GEF PPG budget in full consultation with the BPPS/GEF Technical Adviser. The GEF PPG Atlas budget is presented in *Section IV: Total Budget and Work Plan*.

As appropriate, a Working Group will guide the GEF PPG team, and review and endorse the GEF PPG deliverables. The Working Group is responsible for ensuring that the deliverables outlined in this GEF PPG are completed on time and in line with UNDP and GEF requirements. The UNDP Viet Nam Country Office will chair the Working Group. Working Group members will include: UNDP Viet Nam, Ministry of Natural Resources and Environment (MONRE) and selected Departments of Ministry of Natural Resources and Environment (DONREs), Vietnam Environment Administration (VEA), Vietnam Environment Protection Fund (VEPF), Ministry of Industry and Trade (MOIT), Ministry of Health (MOH) and selected Departments of Health (DOHs), Ministry of Science and Technology (MOST). During the PPG, UNDP Viet Nam and the Working Group will conduct further consultation with Ministry of Labour - Invalids and Social Affairs (MOLISA) and selected Departments of Labour - Invalids and Social Affairs (DOLISAs), National Foundation for Science and Technology Development (NAFOSTED), Vietnam Institute of Industrial Chemistry (VIIC), Chemical Society of Vietnam (CSV), sector associations, Asian Institute of Technology in Vietnam / Learning Centre(AIT VN/LC) , Vietnam Cleaner Production Centre (VN CPC), Plant & Food Research (PFR), steel plating enterprise associations, Hoa Phat Group (HPG), and plastic, foam, and polymer manufacturing industries.

The GEF PPG team will be composed of the consultancies described in the draft Terms of Reference (TORs) in Annex 2.

II. STAKEHOLDER ENGAGEMENT, PUBLIC DISCLOSURE AND OTHER REQUIREMENTS

To ensure strong country 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 GEF’s [Guidelines on the Implementation of the Policy on Stakeholder Engagement and the GEF Policy on Gender Equality](#), the development of the project to be undertaken during this GEF PPG phase will be done in full consultation and close engagement with government, 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 must 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.

Careful and complete documentation of stakeholder engagement is vital. Detailed evidence of all consultations will be prepared and submitted to UNDP. A list of the consulted stakeholders and details of the associated meetings will be included in the Stakeholder Engagement Plan (see section B-d below).

If the fully designed project has an overall Social and Environment Screening Procedure (SESP) categorization of moderate or high, then the following disclosure requirements apply:

1. An inception workshop of the PPG activities will be held. This workshop will have the objective to establish the working group, introduce to all the project partners and the relevant stakeholders the project being developed (based on the PIF) and activities envisaged under the PPG stage, ensure the involvement of the stakeholders since the beginning of the PPG activities, and describe project preparation cycle. Potential donors will be also invited to the inception workshop.
2. During the implementation of the PPG, consultation meetings will be held with key stakeholders not already included in the Working Group, as described under *Management Arrangements* above.
3. A final validation workshop report will be prepared summarizing the outcomes of the validation workshop and other consultations undertaken during the PPG phase. This report will become a key reference document should an environmental and social complaint/grievance be filed during project implementation. This is mandatory for high risk projects and recommended for moderate risk projects.
4. The UNDP-GEF project document, SESP and related draft management plans, and other relevant information/documents, will be made available to the public on the UNDP Country Office website or open.undp.org. It is recommended to make these documents available for 30 days in advance of the LPAC meeting for moderate risk projects, and 120 days in advance for high risk projects.

See the [SES Supplemental Guidance on Disclosure](#) for more information.

III. GEF PPG ACTIVITIES

Component A: Preparatory Technical Studies & Reviews

The following technical studies and reviews will be conducted.

a. Desktop and field-based studies and data collection

This research should produce the background information required to prepare the ProDoc (including its Annexes) and CEO Endorsement Request, including but not limited to:

- Development challenge and strategy (including threats, problems and barrier assessment);
- Review of national policy and legislative frameworks;
- Problem and solution trees, assumptions and risks, developed in consultation with project stakeholders, for a robust Theory of Change, Results Framework and solid M&E plan;
- Review of relevant past and ongoing projects for lessons, including [project evaluations](#); and
- Any other analyses required to address all comments on the PIF received from GEF Secretariat, GEF Council members and STAP

b. Gender Analysis

A gender analysis will be prepared to fully consider the different needs, roles, benefits, impacts, risks, differential access to and control over resources of women and men (including considerations of intersecting categories of identity such as age, social status, ethnicity, marital status, etc.) and to identify

appropriate measures to address these and promote gender equality and women's empowerment. See guidance available [here](#).

c. Social and Environmental Standards: Screening and Assessments

The social and environmental safeguards pre-screening (pre-SESP) prepared during the PIF design phase has initially determined the overall risk categorization of this project as **High** and highlighted potential safeguard risks to be further assessed during the PPG phase.

As specified in the SESP, as the project has been rated as a High-Risk project, an Environmental and Social Impact Assessment (ESIA) with an Environmental and Social Management Plan (ESMP) will be carried out in the PPG. If this is not possible, then an Environmental and Social Management Framework (ESMF) will be put together in the PPG, so that immediately at the start of Project Inception, the ESIA/ESMP process can take place ahead of the start of any other project execution.

A comprehensive Stakeholder Engagement Plan will be prepared during the PPG. In addition, a Grievance Redress Mechanism will be prepared for the project and disseminated to all stakeholders during implementation.

The assessment will identify ways to avoid negative environmental and social impacts where possible, and if risk avoidance is not possible, then mitigation and management measures must be identified.

d. Identification of project sites

Based on the above reviews, and through consultation with stakeholders, the targeted project pilot sites will be tentatively identified at PPG. As the project indeed does not envisage specific demonstration sites, but indeed demonstration sectors, consultation with potential partners (for instance, industries applying for a Green Financing Loan under the green financing mechanism envisaged by the project will also aim at identifying a number of potential demonstration site pertaining to each sector, to be listed in the project document. The final selection of the industries to be granted with the green financing loan will, however, be decided only as a result of project activity, in compliance with the eligibility criteria developed under the green financing mechanism. Demonstration sites for the replacement of mercury thermometers and mercury lamps, as well as the demonstration site of a mercury waste management technology, will be decided during the PPG stage.

e. Financial planning, co-financing and investment mobilized

Co-financing and investment mobilized – as defined in the GEF Policy and Guidelines on co-financing - will be confirmed, and additional sources identified through a series of consultations with partners to ensure a coherent and sustainable financing package for the project, including post-GEF grant phase to the extent possible. The GEF is seeking high co-financing/investment mobilized to GEF grant ratios with a preference for grants, loans and other public investments over in-kind co-financing. The GEF also expects the Government to significantly support the costs associated with project execution (i.e. PMC).

f. Stakeholder analysis

Building on the initial identification of stakeholders in the PIF, an appropriately-scaled analysis of project stakeholders will be undertaken. This stakeholder analysis will provide the foundation for development of the project's Stakeholder Engagement Plan and will facilitate prioritization of engagement activities with particular stakeholder groups and individuals. See the [UNDP SES Guidance Note on Stakeholder Engagement](#).

g. Appraise and formulate the most appropriate project implementation and execution modality

The design of the project will comply with the UNDP's Program and Operations Policy and Procedures (POPP), Financial Regulations, and Programme and Project Management and Quality Standards, and UNDP-GEF guidance (which will be provided by the RTA). A full assessment of the most appropriate project implementation and management arrangements will be carried out in full consultation with the RTA, UNDP Country Office, Resident Representative (or their Deputy), the relevant government coordinating agency, and the GEF OFF.

UNDP should in general not have a role in project execution as project execution is the primary responsibility of the selected Implementing Partner (see UNDP-GEF Guidance Note for further information). Therefore, an assessment and the selection of the most appropriate Implementing Partner and/or third parties (Responsible Parties) with full capacity to execute the project must be carried out.

Project management arrangements need to be discussed and agreed early in the PPG phase. During the first two months of the PPG phase:

- For all potential Implementing Partners, carry out capacity assessments to assess their capacity to implement the project and assess all related risks. This must include HACT and PCAT assessments.
- Discuss the level of co-financing the Government and Implementing Partner are able to commit to this project. As per GEF Policy, the GEF is seeking high co-financing to GEF grant ratios and expects the Government to significantly support the costs associated with project execution (i.e. PMC) for this project.
- Based on these assessments, select and confirm the Implementing Partner for the project in consultations with all relevant stakeholders. The selected Implementing Partner must express willingness to serve as the Implementing Partner for the Project and the concerned government must agree to use the selected Implementing Partner for the Project. (Please see [UNDP's Policy on Selecting Implementing Partners](#)).
- If the Implementing Partner does not have full capacity to execute the project, and execution support is likely to be needed, discuss with the UNDP Resident Representative whether the choice of Implementing Partner is the correct choice. If not, select another Implementing Partner, if possible. If that is not an option, explore alternative options for the provision of execution support *via* Responsible Parties ([see UNDP Policy on Selecting Responsible Parties](#)). Discuss with the Implementing Partner the role of the responsible parties in project execution, and the execution support these parties could provide.
- Consult with the RTA on the latest guidance regarding UNDP providing support services to the Implementing Partner. If the costs for UNDP to provide support services is to be charged to the GEF project budget, the UNDP support services must be approved by the GEF Secretariat before CEO endorsement.

h. Other required studies

- In the course of project preparation activities, a preliminary update of the inventory of some POPs substances not completely covered under the NIP update will be carried out. The NIP did not include a detailed inventory of SCCP, decaBDE, HBCDD, and PFOAs, as guidelines for such inventories were not available during the NIP update process and indeed are not available yet. As evidenced from ongoing UNDP/GEF projects in Viet Nam, however, it has been demonstrated that

some of these substances are used in Viet Nam. Further consultation with the Ministry of Industry and Trade (MOIT)/Vinachemia, potential industrial users, and the Custom administration will be carried out to gain a preliminary understanding of the extent of usage of these substances. National and international experts with specific knowledge on POPs will work on this task as part of their assignment. A more structured inventory for these POPs will be established as one of the project activities.

Component B: Formulation of the UNDP-GEF Project Document, CEO Endorsement Request, and Mandatory and Project Specific Annexes

Based on the technical studies and reviews undertaken under **Component A**, the UNDP-GEF Project Document will be developed (following the annotated UNDP-GEF Project Document available [here](#)), and the GEF CEO Endorsement Request (available [here](#)) will be prepared. See additional guidance notes below.

The GEF PPG Team Leader will be responsible for the consolidation and finalization of all required materials.

a. Stakeholder Engagement Plan:

At a minimum, the Plan must include the following elements:

- Stakeholders who have been and will be engaged (based on stakeholder analysis), including potentially marginalized or disadvantaged groups/individuals (the ‘who’);
- Key stakeholder objectives and interests (the ‘why’);
- Steps and actions to achieve meaningful consultation and inclusive participation, including information dissemination and any special measures required to ensure inclusive participation of marginalized disadvantaged groups/individuals the dissemination of information (the ‘how’);
- Breadth and depth of stakeholder engagement throughout the project cycle, and decisions that need to be made through stakeholder engagement (the ‘what’);
- Timeline for engagement activities and how they will be sequenced, including information disclosure (the ‘when’);
- Indicators of stakeholder engagement and monitoring plan;
- Roles and responsibilities for ensuring effective stakeholder engagement through implementation of the Plan; and Resource requirements and associated budget.

As the pre-SESP ranked the project as a **High-Risk**:

- A project-level Grievance Redress Mechanism (GRM) will be described in the Stakeholder Engagement Plan and established in the first year of project implementation. See the UNDP [guidance on GRM](#) and [sample TOR](#).
- A comprehensive Stakeholder Engagement Plan will be developed.

See the [UNDP SES guidance on Stakeholder Engagement](#), the [standard SEP template](#), and the [GEF guidelines on stakeholder engagement](#).

b. Gender Action Plan and Budget

The gender analysis conducted in **Component A** along with relevant findings from the stakeholder analysis and background studies, will form the basis of a Gender Action Plan to guide gender mainstreaming during project implementation. The Gender Action Plan must include indicators, targets, timeframe, responsible party and budget which are linked to the project’s components/outputs, outcomes and activities. As part

of the work of preparing the Gender Action Plan, indicators should be proposed for inclusion in the Results Framework to facilitate the monitoring of the proposed gender mainstreaming actions.

See guidance available [here](#).

c. Social and Environmental Standards: Screening and Management Measures

In line with the assessments conducted during **Component A** (above) and [UNDP's Social and Environmental Standards \(SES\) policy and all associated SES Guidance Notes](#), the SESP will be updated and all risks identified in the SESP will be reflected in the risk table and risk section of the ProDoc.

As a first line of action, an Environmental and Social Impact Assessment (ESIA) with an Environmental and Social Management Plan (ESMP) will be carried out in the PPG. If this is not possible, then an Environmental and Social Management Framework (ESMF) will be put together in the PPG, so that immediately at the start of Project Inception, the ESIA/ESMP process can take place ahead of the start of any other project execution.

In this case, the ESMF will identify the required management plans that will be prepared during project implementation.

See the [SES Guidance Note on Assessment and Management](#) for further guidance. Please contact UNDP for additional information as needed.

d. GEF and LDCF/SCCF Core Indicators

The CEO endorsement-stage data for the relevant Core Indicators and sub-indicators will be prepared. The completed [Core Indicators worksheet](#)—with both the original PIF-stage data and the CEO endorsement-stage data—will be annexed to the ProDoc.

The Core Indicators will be used in the project's Results Framework, at the Objective level, where appropriate. See the [GEF policy and guidance](#).

e. Completion of the required official endorsement letters

These letters include the official letters on co-financing guarantee(s) from participating government institutions, bilateral development partners, multilateral development partners, NGOs, private sector, or others who wish to provide cash or in-kind contributions to the project.

A GEF OFP endorsement letter will also be required for any new participating countries to a global or regional program/project that was not included with the PIF/PFD submission.

Updated GEF OFP endorsements letters are also required if the requested GEF grant amount has changed since PIF/PFD approval.

f. Mandatory Annexes

In addition to the documents listed above, the following Annexes should be prepared by the GEF PPG team:

- Project map and Geospatial Coordinates of project sites
- Multi Year Work Plan
- Monitoring Plan

- UNDP Risk Register
- Overview of Technical Consultancies
- GEF 7 Taxonomy
- Initial Project Team Procurement Plan and TORs for key Project Team staff

Upon a request from the UNDP Regional Technical Adviser during the PPG implementation, the PPG team may be required to prepare additional annexes.

g. Project Management Arrangements

Based on the stakeholder analysis and consultations undertaken in **Component A** above, agreement(s) on project management and governance arrangements—including roles, responsibilities and accountabilities of lead and partner Agencies—will be secured early in the project development phase and will be fully detailed in the ProDoc. Standard text from the governance and management arrangement from the GEF-7 template should never be removed.

Component C: Validation Workshop and Report

A validation workshop will be held with relevant stakeholders to present, discuss and validate the project activities, and the final draft of the UNDP-GEF project document if possible. A validation workshop report will be prepared for projects with an overall safeguards risk rating of moderate or high.

IV. TOTAL BUDGET AND WORK PLAN FOR GEF PPG

Atlas Award ID:	00126333
Atlas Project/Output ID:	00120423
Award Title:	Reduce the impact and release of mercury and POPs in Vietnam through lifecycle approach and ecolabel
Project ID	00120423
Business Unit:	VNM10
Project Title:	Reduce the impact and release of mercury and POPs in Vietnam through lifecycle approach and ecolabel
PIMS number:	6491
Implementing Partner:	UNDP

GEF Outcome/Atlas Activity	Responsible Party	Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Description	Amount US\$	Budget Notes
Project preparation grant to finalize the UNDP-GEF project document for the project <i>Reduce the impact and release of mercury and POPs in Vietnam through</i>	UNDP	62000	GEF TRUSTEE	71200	International Consultants	34,000	A
				71300	Local Consultants	43,000	B
				72100	National Consulting Firm	29,000	C
				71600	Travel	18,000	D
				72500	Supplies	2,000	E

<i>lifecycle approach and ecolabel</i>				74500	Miscellaneous Expenses	4,000	F	
				75700	Trainings, workshops	20,000	G	
						PROJECT TOTAL	150,000	

Budget Note	Items	Total estimated person weeks	Budget US\$	Budget Note
A1	International Project Development Specialist (GEF PPG Team Leader)	8	24,000	Please see Annex 2 for key responsibilities.
A2	International Expert on Mercury Management and Industrial Emissions	4	10,000	
B1	National Technical Specialist	12	15,000	
B2	National Technical Expert on POPs	8	8,000	
B3	National Technical Expert on Mercury	8	8,000	
B4	National Expert on Gender and Stakeholders	8	8,000	
B5	National Expert on Environmental and Social Management Framework	4	4,000	
C	National Consulting Firm	--	29,000	
D	Travel	--	18,000	International consultant missions to Viet Nam plus domestic travel; national consultant travels to pilot sites.
E	Supplies	--	2,000	Supplies for PPG.
F	Miscellaneous Expenses	--	4,000	Expenses such as translation costs, etc.
G	Trainings, workshops	--	20,000	PPG inception and validation workshops in Hanoi; consultation workshops at provincial pilot sites.

V. GEF PPG ACTIVITIES TIMEFRAME AND BUDGET

PPG Activity	Month 1	Month 2	Month 3	Month 4	Month 5	Month 6	Month 7	Month 8	Month 9	Month 10	Budget (US\$)
Component A: Technical studies, etc., including inception workshop											120,000
Component B: Formulation of ProDoc, etc.											25,000
Component C: Validation Workshop											5,000
Delivery of final outputs											150,000

VI. MANDATORY ANNEXES

Annex 1: GEF CEO PIF/PPG Approval Letter



Naoko Ishii
CEO and Chairperson

May 4, 2020

Mr. Pradeep Kurukulasuriya
GEF Executive Coordinator
United Nations Development Programme
One United Nations Plaza
New York, NY 10017

Dear Mr. Kurukulasuriya:

I am pleased to inform you that I have cleared the project concept detailed below for inclusion in the upcoming work program. I have also approved your request for Project Preparation Grant.

Decision Sought:	Project Identification Form (PIF) Clearance for Work Program Inclusion and Project Preparation Grant Approval
GEFSEC ID:	10519
Agency(ies):	UNDP
Agency(ies) ID:	6491
Focal Area:	Chemicals and Waste
Project Type:	Full-sized Project
Country(ies):	Viet Nam
Name of Project:	Reduce the impact and release of mercury and POPs in Viet Nam through lifecycle approach and Ecolabel
Indicative GEF Project Financing:	\$4,600,050
Indicative Agency Fee:	\$437,005
PPG:	\$150,000
PPG Fee:	\$14,250
Funding Source:	GEF Trust Fund

Indicative Agency Fee Commitment:					
Agency	Trust Fund	20% to be committed at Council approval (US\$)	50% to be committed at first disbursement (US\$)	30% to be committed at mid-term review (US\$)	Total (US\$)
UNDP	GEFTF	87,401	218,502	131,102	437,005
Total		87,401	218,502	131,102	437,005

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This PIF clearance and PPG approval are based on the understanding that the project is in conformity with GEF Trust Fund focal area strategies and with GEF policies and procedures. Please ensure that your final project document, having fully addressed all Secretariat, STAP, Convention Secretariats and Council comments, will be endorsed within 18 months of Council approval of the work program.

Sincerely,



Naoko Ishii
Chief Executive Officer and Chairperson
Global Environment Facility

Copy to: Country Operational Focal Point, GEF Agencies, STAP, Trustee

Annex 2: Draft Terms of Reference (TORs) of Consultants Financed by the Project Preparatory Grant (GEF PPG)

Position, Type and Cost	Role, Deliverables and Qualifications
<p>Consultant 1: International Project Development Specialist (GEF PPG Team Leader)</p> <p>Type: IC</p> <p>Cost per person week: USD\$3,000 (600/day)</p> <p>Number of person weeks needed: 8 weeks (40 days)</p>	<p>Role The <u>International Project Development Specialist</u> will be the GEF PPG Expert Team Leader and will be responsible for quality assurance and timely preparation of all reports and documentation, including the finalized UNDP Project Document (ProDoc) and CEO Endorsement Request, with all mandatory and project specific Annexes and supporting documentation. The consultant is expected to lead and coordinate the project formulation team and draft and finalize the documents including: i) a full-sized UNDP project document; ii) a GEF CEO Endorsement Request (CER)/Template with completed relevant GEF tracking tool; (iii) respond matrix for comments from GEF and GEF council members.</p> <p>Responsibilities and deliverables Under the overall guidance of the Head of the Sustainable Development Unit, UNDP Viet Nam and the Vietnam Environment Administration (VEA, MONRE) and in close cooperation with other recruited national consultants, the International Consultant will be responsible for following duties and tasks:</p> <ol style="list-style-type: none"> 1) <u>Leading, guiding, and coordinating the inputs from other consultants and relevant stakeholders</u> <ol style="list-style-type: none"> a. Work with national and international consultants to draw up a detailed work plan, including defining scope, specific tasks and expected outputs by national consultants and their inputs to the preparation of the Project Document (ProDoc) and the GEF CEO Endorsement Request; b. List the necessary information/inputs to be provided by national and international consultants to formulate the full Project Document; c. Provide advice and guidance to national and international consultants to perform their tasks in the start-up/inception phase and during the process; d. Coordinate inputs and provide advice to improve quality of their inputs as needed; e. Conduct field surveys with national consultants if needed; f. Facilitate and coordinate with national and international consultants in terms of technical issues to hold necessary workshops (inception workshop and consultation workshops). 2) <u>Preparatory Technical Studies and Reviews (Component A):</u> With inputs from the national consultants, as detailed in their respective TORs: <ol style="list-style-type: none"> a. Compile a baseline/situational analysis for the full-size project (FSP). This will include a precise definition of baseline projects, activities, budgets, goals, and co-financial links to GEF outcomes; definition of GEF incremental value per outcome and output; and presentation of results of the incremental cost-analysis in matrices as appropriate; b. Lead and oversee the stakeholder analysis and consultations, with support from national consultants, and ensure that they are complete and comprehensive including consultations with the private sector and tourism associations and bodies; c. Ensure the preparation of the gender analysis and ensure its findings are meaningfully integrated into the project’s strategy, theory of change, and results framework;

	<p>d. Ensure action points, including risk assessments, from the UNDP Social and Environmental Management Framework (SEMF) at the PIF stage (“pre-screening”) are fully implemented during the PPG, and update that screening in an iterative process throughout the PPG, and as appropriate;</p> <p>e. Oversee the identification of the project sites, with documentation of selection criteria and making sure that geo-referenced data and maps are clearly presented both for targeted protected areas and broader landscapes, as applicable;</p> <p>f. Ensure the design of appropriate project knowledge management processes and platforms, ensuring appropriate linkages to existing mechanisms and knowledge sharing in project landscapes;</p> <p>g. Lead and oversee the identification of opportunities for private sector engagement and co-financing;</p> <p>h. Ensure the preparation of partner capacity assessments and discussions on management arrangements early in the PPG process;</p> <p>i. Oversee the consultations with partners regarding financial planning; and</p> <p>j. Ensure completion of any additional studies that are determined to be needed for the preparation of the ProDoc and all other final outputs.</p> <p>3) <u>Provide specific technical advice in the field of POPs-related legislation on the use of POPs by industrial sector</u> The consultant will carry out analysis to define in detail the project activities to be undertaken under Component 1 (Promote sustainable production - consumption in key sectors through Ecolabeling, Green Financing and Procurement, and other elements to support a long-term Innovation Ecosystem for greening the value and supply chain across sectors) and Component 2 (Life cycle management of POPs and PTS containing products) of the PIF.</p> <p>The analysis will result in a list of activities to be undertaken under the relevant outputs to ensure the improvement of the legislation, identify with more detail the industrial processes and products technologies which are more likely to use POPs, and identify the chemical and non-chemical alternatives, including design, for these sectors.</p> <p>4) <u>Draft and finalize a full project document (full ProDoc), GEF CEO Endorsement Request, and completed relevant GEF and MONRE tracking tools, formats and questions as requested.</u></p> <p>a. <u>Formulation of the ProDoc, CEO Endorsement Request and Mandatory and Project Specific Annexes (Component B):</u> With inputs from the national consultants, as detailed in their respective TORs, and based on international best practice:</p> <ul style="list-style-type: none"> • Develop, present and articulate the project’s theory of change; • Develop the Results Framework in line with UNDP-GEF policy; • Develop a detailed Monitoring and Evaluation Plan and Budget; • Oversee and ensure the preparation of a comprehensive Stakeholder Engagement Plan; • Oversee and ensure the preparation of a Gender Action Plan and Budget; • Oversee and ensure the updating of the SESP based on assessments undertaken during Component A, and ensure the development of required environmental and/or social management Framework (ESMF) as required; • Oversee the preparation of the required project Monitoring and Evaluation Framework and development of project level indicators to feed into the GEF Core Indicators, and ensure these are supported by robust and validated data; • Secure all co-financing letters;
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	<ul style="list-style-type: none"> • Prepare the indicative procurement plan (with UNDP Thailand support); • Secure and present agreements on project execution and management arrangements and ensure that the project aligns to UNDP-GEF guidance on UNDP execution support; • Ensure the completion of the required official endorsement letters; and • Synthesize all analyses, studies, etc. that are prepared under Components A and B to produce the draft UNDP-GEF ProDoc, GEF CEO Endorsement, and all mandatory and project specific Annexes, using the templates.⁴ <p>DURATION OF ASSIGNMENT, DUTY STATION AND EXPECTED PLACES OF TRAVEL</p> <p>Duty station: Home- based and Hanoi. The international consultant will be expected to have a maximum of 15 working days for two missions to Hanoi. Exact dates and timing will be discussed and agreed prior to each visit. During the missions, travel to the field maybe required. Upon prior written agreement between UNDP and the selected consultant, additional cost of local travel will be covered by UNDP. With the exception of two missions to Hanoi, the international consultant is expected to work mostly from their home-based office and communicate with national consultants and with UNDP electronically.</p> <p>Final deliverables:</p> <ol style="list-style-type: none"> a. Consolidation of all technical and consultation inputs and comments including from national stakeholders, UNDP, GEF Secretariat, STAP and GEF Council, into a well written and concise UNDP ProDoc with all required sections and Annexes, in line with the standard UNDP-GEF ProDoc template and annotated guidance; b. Completion of the GEF CEO Endorsement Request; c. Finalized SESP (and stand-alone management plans as required); d. All documentation from GEF PPG (including technical reports, meeting minutes, etc.); and e. Validation Workshop Report. <p>Qualifications:</p> <ul style="list-style-type: none"> • Minimum 10 years’ working experience in the area of POPs and the Stockholm Convention on POPs; • Minimum 5 years’ working experience on the preparation of GEF full-size projects; • At least MD degree in environmental protection, economics, or related area; • Advanced knowledge and demonstrated experience in environmental protection, POPs and mercury management, and other relevant fields; • Understanding of GEF’s strategic plan and priority areas in GEF VII; • Experience with UNDP procedures is highly desirable; • Previous experience with donor-funded development projects in Viet Nam is highly desirable; • Good team-work spirit.
<p>Consultant 2: International Expert on Mercury Management and Industrial Emissions</p> <p>Type: IC</p>	<p>Role</p> <p>The <u>International Expert on Mercury Management and Industrial Emissions</u> will be the GEF PPG Expert in charge of developing specific actions related to Component 3 (Mercury lifecycle management of mercury-containing products) and Output 2.1.3 (Design and implementation of modern Air Pollution Control Systems).</p> <p>Responsibilities and deliverables</p> <p>Under the overall guidance of the Head of the Sustainable Development Unit, UNDP Viet Nam, and the Vietnam Environment Administration (VEA, MONRE), and in close</p>

⁴ Please verify with the UNDP-GEF team that the correct templates are being used.

<p>Cost per person-week: USD\$2,500 (500/day)</p> <p>Number of person-weeks needed: 4 (20 days)</p>	<p>cooperation with other recruited national consultants, the International Consultant will be responsible for following duties and tasks:</p> <ol style="list-style-type: none"> 1) <u>Assessing the baseline situation related to the import, production, use, and disposal of mercury products in Viet Nam</u> Based on the available reports from ongoing and previous projects in Viet Nam, and his/her scientific knowledge related to mercury, the consultant will: <ol style="list-style-type: none"> a. Analyze the ground on which the PIF has been drafted, and check whether more updated data is available in order to upgrade the baseline scenario and the baseline projects; b. Summarize the existing information related to the manufacturing, use and disposal of mercury-containing products (mercury lamps and mercury-containing medical devices) in Viet Nam; c. Confirm / upgrade the needs envisaged under the PIF for the development of an alternative scenario related to the reduction of mercury and U-POPs from industrial facilities in Viet Nam. 2) <u>Assessing the baseline situation related to technologies for air pollution control from industrial facilities in Viet Nam</u> Based on the available reports from ongoing and previous projects in Viet Nam, and his/her scientific knowledge related to industrial emission of mercury and U-POPs from industrial facilities, the consultant will: <ol style="list-style-type: none"> a. Analyze the ground on which the PIF has been drafted, and check whether more updated data is available in order to upgrade the baseline scenario and the baseline projects; b. Summarize the existing information related to the analysis or estimation of emission of Hg and PCDD/F from industrial facilities; c. Confirm / upgrade the needs envisaged under the PIF for the development of an alternative scenario related to the reduction of mercury and U-POPs from industrial facilities in Viet Nam. 3) <u>Provide detailed inputs for the development of an alternative scenario relevant to Component 2 and Output 2.1.3</u> Based on his/her technical knowledge, and information exchanged with Vietnamese experts and stakeholders, the consultant will provide specific knowledge and a list of activities to implement the following project outputs: <ol style="list-style-type: none"> a. 2.1.3 Design and implementation of modern Air Pollution Control Systems to prevent the release of mercury and U-POPs suitable also for small enterprises carried out (tentatively in the sectors of waste incineration and ferrous and non-ferrous metal recycling). b. The consultant will identify which are the potential technologies which could be used by the project to reduce the release of Hg and U-POPs in the sectors of waste incineration and ferrous and non-ferrous metal, taking into consideration budget constraints and the fact that the average size of these industrial facilities in Viet Nam are of smaller scale compared to the same facilities in western countries. c. The consultant will develop a detailed budget for the activities to be implemented under this output. 4) <u>Provide detailed inputs for the development of alternative scenario relevant to component 3.</u> <ol style="list-style-type: none"> a. Propose a detail list of project activities, to be carried out in order to achieve the outputs envisaged by the PIF under component 3, namely:
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- Output 3.1.1. Risk Management Strategy, technical guidance and training materials developed for the sound management of mercury stockpiles and obsolete mercury-containing equipment, with specific reference to mercury lamps and medical devices. With specific relevance to this output, the consultant will develop a tentative summary of content of the technical guidance and technical material to be developed for the management of mercury, and provide a list of sources and examples related to the trainings already carried out worldwide on the matter.
 - Output 3.1.2. Capacity and institutions are strengthened to eliminate use of mercury-containing products (e.g. mercury lamps, thermometers, and cosmetics) in medical facilities; road map and plan for using of mercury-free devices developed and implemented (20,000 mercury thermometers replaced). In strict coordination with the Vietnamese relevant stakeholders, the consultant will identify priorities and draft procedures for the replacement of mercury-containing lamps and thermometers.
 - Output 3.1.3. Technologies for the recycling of mercury-containing equipment (fluorescent lamps, medical devices) with segregation and storage of mercury established. The consultant will provide information and knowledge related to best available technologies for the safe disposal / recycling of mercury-containing devices (mercury lamps and thermometers).
- b. Develop a detailed budget for the proposed activities taking into account the budget allocated under the PIF;

5) Coordinating the inputs from other consultants and relevant stakeholders

- a. Work with national and international consultants to draw up a detailed work plan related to his/her activities and expected outputs;
- b. List the necessary information/inputs to be provided by national and international consultants related to the Vietnamese situation on U-POPs and mercury;
- c. Coordinate inputs and provide advice to improve quality of their inputs as needed;
- d. Field surveys with national consultants if needed;
- e. Facilitate and coordination with national and international consultants in term of technical issues to hold necessary workshops (inception workshop and consultation workshops).

Duration Of Assignment, Duty Station And Expected Places Of Travel

Duty station: Home-based and Hanoi. The international consultant will be expected to have a maximum of 5 working days for one mission to Hanoi. Exact dates and timing will be discussed and agreed prior to each visit. During the missions, travel to the field maybe required. Upon prior written agreement between UNDP and the selected consultant, additional cost of local travel will be covered by UNDP. With the exception of the mission to Hanoi, the international consultant is expected to work mostly from their home-based office and communicate with national consultants and with UNDP electronically.

Final deliverables:

- a. Report on training needs and tentative content of trainings related to U-POPs and mercury reduction from industrial emissions, replacement of mercury products, and management of mercury-containing waste;
- b. Report on the technologies for the replacement of mercury-containing products (mercury lamps, mercury medical devices) with non-mercury alternatives;
- c. Report on the technologies for the safe recycling / disposal of mercury lamps and mercury-containing products;

	<p>d. Contribution to the section of the project document related to baseline, baseline scenario and alternative scenario related to U-POPs and mercury management;</p> <p>e. Contribution to the project result framework, including targets and indicators, related to U-POPs and mercury management;</p> <p>f. Contribution to the project budget components related to U-POPs and mercury management.</p> <p>Qualifications:</p> <ul style="list-style-type: none"> • Minimum 5 years’ working experience in the area of U-POPs and mercury reduction from industrial facilities • Minimum 5 years’ working experience related to the aspects associated with the replacement of mercury products with non-mercury products. • At least MD degree in environmental protection, economics, or related area. • Advanced knowledge and demonstrated experience in environmental protection, POPs and mercury management, and other relevant fields; • Understanding of GEF’s strategic plan and priority areas in GEF VII; • Experience with UNDP procedures is highly desirable; • Previous experience with donor-funded development projects in Viet Nam is highly desirable; • Good team-work spirit.
<p>Consultant 3: National Technical Specialist</p> <p>Type: NC</p> <p>Cost per person-week: USD\$1,250 (250/day)</p> <p>Number of person-weeks needed: 12 (60 days)</p>	<p>Role</p> <p>The <u>National Technical Specialist</u> will be the leader of the national GEF PPG Expert Team and will work in strict coordination with the International Project Development Specialist and the International Consultant on U-POPs and mercury, to ensure quality assurance and timely preparation of all reports and documentation, including the finalized UNDP Project Document (ProDoc) and CEO Endorsement Request, with all mandatory and project specific Annexes and supporting documentation.</p> <p>The National Technical Specialist will be responsible for coordinating other consultants and compiling inputs from them to support the development of the UNDP Project Document (ProDoc) and draft CEO Endorsement Request, with all mandatory and project specific Annexes and supporting documentation. This consultant will be critical to validate the indicators of stakeholder engagement, monitoring and evaluation of the project.</p> <p>The consultant is expected to support the IC 1 in the coordination of the national team to draft and finalize the relevant project documents including: i) a full-sized UNDP project document; ii) a GEF CEO Endorsement Request (CER)/Template with completed relevant GEF tracking tool; (iii) respond matrix for comments from GEF and GEF council member.</p> <p>Responsibilities and deliverables</p> <p>Deliverables</p> <ol style="list-style-type: none"> 1) <u>Support the Management of the PPG Expert team:</u> <ol style="list-style-type: none"> a. Support the GEF PPG Expert Team Leader with Technical Support for the management of the GEF PPG Expert Team; b. Ensuring coordination between individual national consultants and stakeholder groups to facilitate analysis and other stakeholder inputs; 2) <u>Preparatory Technical Studies and Reviews (Component A):</u> Prepare inputs and support the required analyses/studies, as agreed with the GEF PPG Expert Team Leader, including: <ol style="list-style-type: none"> a. Prepare draft CEO Endorsement Request with all mandatory and project specific Annexes and supporting documentation with the inputs from ICs and NCs;

	<ul style="list-style-type: none"> b. Information related to baseline analysis related to the legislation relevant to POPs, U-POPs and mercury in Viet Nam; c. Prepare an analysis of the current status in Viet Nam related to financial mechanism for environmental protection, including the update regulation of the Vietnam Environmental Protection Fund as well as private or bilateral funds that may exist; d. Inputs and information for the international consultants on aspects related to the alternative scenarios for all the components so that the detailed activities timeframe and budget can be identified in detail; e. Assist the international consultants in the assessment of training needs and the preliminary design of training modules; f. Prepare monitoring plans on mercury status in medical institutions and manufacture enterprises to promote the application of mercury-free medical devices in medical institutions; and g. Support the completion of any additional studies that are determined to be needed for the preparation of the ProDoc and all other final outputs as guided by the PPG Team Leader. <p>3) <u>Formulation of the ProDoc, CEO Endorsement Request and Mandatory and Project Specific Annexes</u></p> <ul style="list-style-type: none"> a. Provide relevant quality text sections for the ProDoc package on the aspects mentioned above; b. Act as lead coordinator, working with other areas of the International Lead Consultant and the other PPG team specialists, ensuring overall consolidation of efforts by PPG team towards, inter alia; c. Analyze the baseline for the sectors and sub sectors, and collect the data with environmental regulation, POPs and mercury baseline; d. Identify and establish relationships with potential industrial partners; e. Identify barriers, risks, and solutions for the projects; f. Contribute to indicator development and the M&E framework, especially the indicators of stakeholder engagement, monitoring and evaluation of the project; g. Support and validate the theory of change of the project; h. Support to put forward the duplication and scale up plans for non-mercury alternatives; i. Identify stakeholders who have been and will be engaged (based on stakeholder analysis by National Gender and Stakeholder Specialist), including potentially marginalized or disadvantaged groups/individuals, and discern key stakeholder objectives and interests; j. Define the breadth and depth of stakeholder engagement throughout the project cycle; k. Validate the timeline for engagement activities and how they will be sequenced (based on the inputs of ICs and other NCs), including information disclosure; l. Validate resource requirements and associated budget; <p>4) <u>Validation Workshop (Component C):</u></p> <ul style="list-style-type: none"> a. Contribute to the validation workshop; and b. Support all necessary revisions that arise during the workshop, as appropriate. <p>5) <u>Final Deliverables:</u></p> <ul style="list-style-type: none"> a. A draft CEO Endorsement Request, with all mandatory and project specific Annexes and supporting documentation with the inputs from ICs and NCs; b. Monitoring plans on mercury status in medical institutions and manufacture enterprises; and
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	<p>c. Appropriate inputs provided to the Project Document and Annexes, as agreed with PPG Team Leader.</p> <p>Qualifications</p> <ul style="list-style-type: none"> • Master’s degree in a relevant field, such as environmental science, chemistry and environmental chemistry, environmental policy and management, or related field; • Demonstrated understanding of the Stockholm and Minamata Conventions and other relevant knowledge; • Minimum 5 years of demonstrable experience in the technical area of mercury and POPs; • Experience working on GEF and other international projects, including project development and execution; • Excellent written and oral communication skills in English and fluency in Vietnamese <p>Duration of assignment, duty station and expected places of travel Duty station: Hanoi. The consultant will be expected to work mostly from their home-based office, participate and arrange meeting in Hanoi and communicate with national and international consultants and with UNDP electronically. Travel to the field outside Hanoi maybe required. Upon prior written agreement between UNDP and the selected consultant, additional cost of local travel will be covered by UNDP.</p>
<p>Consultant 4: National Technical Expert on POPs</p> <p>Type: NC</p> <p>Cost per person-week: USD\$1,000 (200/day)</p> <p>Number of person-weeks needed: 8 (40 days)</p>	<p>Role</p> <p>The <u>National Technical Expert on POPs</u> will have the general role to provide updated knowledge to the team of consultant on the situation of POPs and U-POPs in Viet Nam, from the regulatory and technical standpoint. He will support the International Project development specialist, the International Expert on mercury management and industrial emissions, and the National Technical Specialist with all the update information related to the upgrade and refinement of the baseline, baseline scenario and alternative scenario with specific reference to the situation of POPs in Viet Nam.</p> <p>The national POPs expert will work in strict coordination with the PPG development team, to ensure quality assurance and timely preparation of all technical and regulatory aspects related to POPs, so that the finalized UNDP Project Document (ProDoc), the CEO Endorsement Request, and the Core Indicator worksheet will be based on the most updated and scientifically validated information about OPs in Viet Nam.</p> <p>Responsibilities and deliverables Deliverables</p> <p>1) <u>Preparatory Technical Studies and Reviews (Component A)</u>: Prepare inputs and support the required analyses/studies, as agreed with the GEF PPG Expert Team Leader, including:</p> <ol style="list-style-type: none"> a. Information related to baseline analysis related to the legislation relevant to POPs and U-POPs; b. Inputs and information for the international consultants on aspects related to the alternative scenarios for all the components associated to POPs so that the detailed activities timeframe and budget can be identified in detail; c. Assist the international consultants in the assessment of training needs and the preliminary design of training modules relevant to POPs; d. Provide the International Project Development Specialist with updated information on potential industrial use of POPs, with specific reference to POP

	<p>brominated flame retardants, Short Chain Chlorinated Paraffins, PFOS, and PFOAs in Vietnamese industries;</p> <p>e. Assist the International Project Development Specialist in the drafting of all the technical part of Project Document and annexes.</p> <p>2) <u>Formulation of the ProDoc, CEO Endorsement Request and Mandatory and Project Specific Annexes</u></p> <p>a. Provide relevant quality text sections for the ProDoc package on the aspects mentioned above;</p> <p>b. Contribute to indicator development and the M&E framework, especially the indicators relevant to the reduction of POPs and U-POPs;</p> <p>c. Validating the timeline for engagement activities and how they will be sequenced (based on the inputs of ICs and other NCs), including information disclosure;</p> <p>d. validating resource requirements and associated budget;</p> <p>3) <u>Validation Workshop (Component C):</u></p> <p>a. Contribute to the validation workshop; and</p> <p>b. Support all necessary revisions that arise during the workshop, as appropriate.</p> <p>4) <u>Final Deliverables:</u></p> <p>a. Appropriate inputs provided to the Project Document and Annexes, as agreed with the PPG Team Leader.</p> <p>Qualifications</p> <ul style="list-style-type: none"> • Master’s degree in a relevant field, such as environmental science, chemistry and environmental chemistry, environmental policy and management, or related field; • Demonstrated understanding of the Stockholm Convention and other relevant knowledge; • Minimum 5 years of demonstrable experience in the technical area of POPs; • Demonstrable knowledge of the environmental issues of Vietnamese industry, with specific reference to the use of hazardous chemicals in their process and the industrial emissions; • Experience working on GEF and other international projects including project development and execution; • Excellent written and oral communication skills in English and fluency in Vietnamese. <p>Duration of assignment, duty station and expected places of travel</p> <p>Duty station: Hanoi. The consultant will be expected to work mostly from their home-based office, participate and arrange meeting in Hanoi and communicate with national and international consultants and with UNDP electronically. Travel to the field outside Hanoi maybe required. Upon prior written agreement between UNDP and the selected consultant, additional cost of local travel will be covered by UNDP.</p>
<p>Consultant 5: National Technical Expert on Mercury</p> <p>Type: NC</p>	<p>Role</p> <p>The <u>National Technical Expert on Mercury</u> will have the general role to provide updated knowledge to the team of consultant on the situation of the use of mercury in products in Viet Nam, the management of mercury waste, and the technical and economic constraints related to the replacement of medical mercury devices and mercury lamps with their non-mercury alternatives. He will also provide updated information on the current regulatory framework for mercury in Viet Nam. He will support the International Project development specialist, the International Expert on mercury management and industrial emissions, and</p>

<p>Cost per person-week: USD\$1,000 (200/day)</p> <p>Number of person-weeks needed: 8 (40 days)</p>	<p>the National Technical Specialist with all the updated information related to the upgrade and refinement of the baseline, baseline scenario and alternative scenario with specific reference to the situation of mercury in Viet Nam.</p> <p>The national mercury expert will work in strict coordination with the PPG development team, to ensure quality assurance and timely preparation of all technical and regulatory aspects related to mercury (Component 3 and part of Component 2) , so that the finalized UNDP Project Document (ProDoc), the CEO Endorsement Request, and the Core Indicator worksheet will be based on the most updated and scientifically validated information about mercury in Viet Nam.</p> <p>Responsibilities and deliverables</p> <p>Deliverables</p> <ol style="list-style-type: none"> 1) <u>Preparatory Technical Studies and Reviews (Component A):</u> Prepare inputs and support the required analyses/studies, as agreed with the GEF PPG Expert Team Leader, including: <ol style="list-style-type: none"> a. Information related to baseline analysis related to the legislation relevant to mercury, both as use in article (medical devices and mercury lamps) and industrial emissions; b. Inputs and information for the international consultants on aspects related to the alternative scenarios for all the components associated to mercury so that the detailed activities timeframe and budget can be identified in detail; c. Assist the international consultants in the assessment of training needs and the preliminary design of training modules relevant to mercury; d. Provide the International Project Development Specialist with updated information on the use of mercury-containing devices in Viet Nam, with specific reference to medical devices and lighting systems. e. Assist the International Project Development Specialist in the drafting of all the technical part of Project Document and annexes. 2) <u>Formulation of the ProDoc, CEO Endorsement Request and Mandatory and Project Specific Annexes</u> <ol style="list-style-type: none"> a. Provide relevant quality text sections for the ProDoc package on the aspects mentioned above; b. Contribute to indicator development and the M&E framework, especially the indicators relevant to the reduction of mercury emissions and the replacement of mercury products with mercury-free products; c. Validating the timeline for engagement activities and how they will be sequenced (based on the inputs of ICs and other NCs), including information disclosure; d. validating resource requirements and associated budget; 3) <u>Validation Workshop (Component C):</u> <ol style="list-style-type: none"> a. Contribute to the validation workshop; and b. Support all necessary revisions that arise during the workshop, as appropriate. 4) <u>Final Deliverables:</u> <ol style="list-style-type: none"> a. Appropriate inputs provided to the Project Document and Annexes, as agreed with PPG Team Leader. <p>Qualifications</p>
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	<ul style="list-style-type: none"> • Master’s degree in a relevant field, such as environmental science, chemistry and environmental chemistry, environmental policy and management, or related field; • Demonstrated understanding of the Minamata Convention and other relevant knowledge; • Minimum 5 years of demonstrable experience in the technical area of mercury; • Demonstrable knowledge of the environmental issues of Vietnamese industry, with specific reference to the industrial emissions of mercury; • Demonstrable knowledge of aspects related to the use and management of mercury devices in the Vietnamese health sector, and the issues associated with the replacement with non-mercury devices; • Demonstrable knowledge of aspects related to the use and management of mercury lamps and the technical and economic issues associated with their replacement with mercury-free lamps; • of Vietnamese industry, with specific reference to the industrial emissions of mercury; • Experience working on GEF and other international projects including project development and execution; • Excellent written and oral communication skills in English and fluency in Vietnamese. <p>Duration of assignment, duty station and expected places of travel Duty station: Hanoi. The consultant will be expected to work mostly from their home-based office, participate and arrange meeting in Hanoi and communicate with national and international consultants and with UNDP electronically. Travel to the field outside Hanoi may be required. Upon prior written agreement between UNDP and the selected consultant, additional cost of local travel will be covered by UNDP.</p>
<p>Consultant 6: National Technical Expert on Gender and Stakeholders</p> <p>Type: NC</p> <p>Cost per person-week: USD\$1,000 (200/day)</p> <p>Number of person-weeks needed: 8 (40 days)</p>	<p>Role The <u>National Technical Expert on Gender and Stakeholders</u> will be responsible for the analysis and development of the gender mainstreaming and stakeholder engagement section of the Prodoc. In this capacity, s/he will work in close coordination with the International Project Development Specialist (IPDS) and the National Technical Specialist (NTS) to ensure that all the sections of the Project document and the relevant annexes comply with the GEF and UNDP requirements related to Gender Mainstreaming and Stakeholder Engagement.</p> <p>Responsibilities and deliverables Under the overall guidance of the IPDS and NTS, and in close cooperation with other recruited national consultants, the National Expert on Gender and Stakeholders will be responsible for following duties and tasks:</p> <ol style="list-style-type: none"> 1) <u>Contribute to the Draft Gender Analysis and a Gender Mainstreaming Plan of the project, as envisaged:</u> <ol style="list-style-type: none"> a. The expert will be in charge of providing the necessary input and text, as required by the IPDS, for the preparation of a gender analysis to fully consider the different needs, roles, benefits, impacts, risks, differential access to and control over resources of women and men (including considerations of intersecting categories of identity such as age, social status, ethnicity, marital status, etc.) and to identify appropriate measures to address these and promote gender equality and women’s empowerment. b. Based on the gender analysis above, along with relevant findings from the stakeholder analysis and background studies, the expert will provide the

necessary input for the development of a Gender Action Plan to guide gender mainstreaming during project implementation. The Gender Action Plan must include indicators, targets, timeframe, responsible party and budget which are linked to the project's components/outputs, outcomes and activities. As part of the work of preparing the Gender Action Plan, indicators should be proposed for inclusion in the Results Framework to facilitate the monitoring of the proposed gender mainstreaming actions.

2) Draft a Stakeholder Analysis and a Stakeholder Engagement Plan:

- a. Building on the initial identification of stakeholders in the PIF, as indicated by the IPDS, the expert will provide the necessary information and text for an appropriately-scaled analysis of project stakeholders. This stakeholder analysis will provide the foundation for development of the project's Stakeholder Engagement Plan and will facilitate prioritization of engagement activities with particular stakeholder groups and individuals. See the [UNDP SES Guidance Note on Stakeholder Engagement](#).
- b. The expert will provide input, information and test, as from the indication received by the IPDS, to develop a Stakeholder Engagement Plan which must include the following elements:
 - Stakeholders who have been and will be engaged (based on stakeholder analysis), including potentially marginalized or disadvantaged groups / individuals;
 - Key stakeholder objectives and interests;
 - Steps and actions to achieve meaningful consultation and inclusive participation, including information dissemination and any special measures required to ensure inclusive participation of marginalized disadvantaged groups/individuals the dissemination of information;
 - Breadth and depth of stakeholder engagement throughout the project cycle, and decisions that need to be made through stakeholder engagement;
 - Timeline for engagement activities and how they will be sequenced, including information disclosure (the 'when');
 - Indicators of stakeholder engagement and monitoring plan;
 - Roles and responsibilities for ensuring effective stakeholder engagement through implementation of the Plan; and
 - Resource requirements and associated budget.
 - A project-level Grievance Redress Mechanism (GRM) will be described in the Stakeholder Engagement Plan and established in the first year of project implementation. See the UNDP guidance on GRM and sample TOR.

Deliverables:

Validation Workshop (Component C):

- a. Contribute to the preparation and conduction of the project validation workshop; and
- b. Support all necessary revisions that arise during the workshop, as appropriate.

Final Deliverables:

- a. Stakeholder analysis and Stakeholder Engagement Plan
- b. Gender analysis and Gender Mainstreaming Plan
- c. Appropriate inputs provided to the Project Document and Annexes, as agreed with IPDS Team Leader.

Qualifications:

	<ul style="list-style-type: none"> • Master’s degree in social science such as anthropology, sociology, psychology, political science, or other relevant field; • Demonstrated understanding of the UNDP policies on gender mainstreaming, stakeholder engagement, social safeguarding; • Minimum 3 years of demonstrable experience in the area of gender mainstreaming; • Experience working on GEF and other international projects including project development and execution; • Excellent written and oral communication skills in English and fluency in Vietnamese. <p>Duration of assignment, duty station and expected places of travel Duty station: Hanoi. The consultant will be expected to work mostly from their home-based office, participate and arrange meeting in Hanoi and communicate with national and international consultants and with UNDP electronically. Travel to the field outside Hanoi maybe required. Upon prior written agreement between UNDP and the selected consultant, additional cost of local travel will be covered by UNDP.</p>
<p>Consultant 7: National Technical Expert on Environmental and Social Management Framework</p> <p>Type: NC</p> <p>Cost per person-week: USD\$1,000 (200/day)</p> <p>Number of person-weeks needed: 4 (20 days)</p>	<p>Role The National Technical Expert will develop mandatory project Annexes related to application of Environmental and Social Management Framework (ESMF) and support adherence of project development to UNDP’s SES and specific requirements, as appropriate.</p> <p>Deliverables</p> <ol style="list-style-type: none"> 1) <u>Contributions to the Formulation of the ProDoc, CEO Endorsement Request and Mandatory and Project Specific Annexes (Component B): Prepare inputs and support the required analyses/studies, as agreed with the PPG Team Leader, including:</u> <ol style="list-style-type: none"> a. Review the pre-screening (SESP) of the PIF, workplan and mission schedule (as needed) with the UNDP Country Office,; Support the application of Free, Prior and Informed Consent (FPIC) for the PPGs with that requirement; Familiarize other PPG team members with UNDP’s ESMF and specific requirements, as appropriate. b. Update the pre-SESP and prepare an Environmental and Social Management Framework (ESMF) or stand-alone management plan for the project; conduct initial assessments of all Moderate and High risks, including one field mission within Vietnam; develop the draft ESMF (or stand-alone management plan), with support from the international consultants and national consultants, in line with UNDP’s Guidance Note on Assessment and Management; finalize the ESMF (or stand-alone management plan) in coordination with the PPG Team Leader, based on stakeholder consultations and close engagement. 2) <u>Validation Workshop (Component C):</u> <ol style="list-style-type: none"> a. Contribute to the validation workshop (remote inputs); and b. Support all necessary revisions that arise during the workshop, as appropriate. 3) <u>Final Deliverables:</u> <ol style="list-style-type: none"> a. Review the pre-screening (SESP) of the PIF b. Draft ESMF (or stand-alone management plan) c. Appropriate inputs to the final UNDP-GEF project document and GEF CEO ER based on guidance from the PPG Team Leader. <p>Qualifications</p>

	<ul style="list-style-type: none"> • Master’s degree in field related to international development, with specific academic background related to social and environmental sustainability. • At least 8 years of experience related to social and environmental standards and impact assessment in an international development context. • Fluency in English. • Familiarity with the UN System, in particular UNDP. • Experience in the SES thematic area of Social and Environmental Screening and Assessment.
<p><u>Consultant 8:</u> National Consulting Firm for Baseline Survey and Data Collection</p> <p>Type: Firm</p> <p>Cost per person-week: N/A</p> <p>Number of person-weeks needed: N/A</p>	<p>Role</p> <p>The <u>National Consulting Firm for Baseline Survey and Data Collection</u> will be responsible for survey and data collection to obtain information on industrial baselines, conduct a policy gap analysis, and develop a demonstration plan for alternative product design to prevent the use of hazardous chemicals additives and POPs and phasing out of mercury-containing medical devices in Viet Nam to support the development of the Project Document.</p> <p>The National Consulting Firm will work in strict coordination with the PPG development team, under request for data collection and information gathering from different ICs and NCs. The National Consulting Firm will need to liaise with Ministry of Natural Resources and Environment, selected DONREs, the Ministry of Health, and selected DOHs as suggested by ICs and NCs to obtain information.</p> <p>Responsibilities and deliverables</p> <p>Under the overall guidance of the IPDS and NTS, and in close cooperation with other recruited national consultants, the National Consulting Firm will be responsible for the following duties and tasks:</p> <ol style="list-style-type: none"> 1) <u>Preparatory technical studies, reviews and contributions to the formulation of the ProDoc, as agreed with the GEF PPG Team Leader, including:</u> <ol style="list-style-type: none"> a. Analysis on policy, regulatory framework, operating guidance, and technical regulations on POPs and new POPs and mercury in products; b. Prepare inputs for the baseline/situational analysis on information to be able to identify at least two key sectors for demonstration; c. Develop an identification plan and criteria for the selection of demonstration enterprises for technology transfer and investment; d. Prepare inputs for the baseline/situational analysis on information on medical facilities using thermometers for demonstration plan; e. Develop an identification plan and criteria for the selection of demonstration medical facilities for prevention of mercury release and replacement of 20,000 thermometers; f. Develop an identification plan and criteria for the selection of target waste treatment facilities for recycling technology; g. Prepare a promotion and scale-up plans for enterprises after demonstration in dedicated enterprises. 2) <u>Validation Workshop</u> <ol style="list-style-type: none"> a. Contribute to the preparation and conducting of the project validation workshop; b. Support all necessary revisions that arise during the workshop, as appropriate. 3) <u>Final Deliverables:</u>

- a. Demonstration plan for alternative product design to prevent the use of hazardous chemical additives and POPs and phasing out of mercury-containing medical devices in Viet Nam.
- b. Appropriate inputs provided to the Project Document and Annexes, as agreed with the IPDS Team Leader.

Qualifications:

- At least 5 years' experience in environmental science, chemistry and environmental chemistry, environmental policy and management, or a related field;
- Excellent knowledge and experience in implementation of surveys and other assessment methodologies;
- Demonstrable knowledge of the environmental issues of Vietnamese industry, with specific reference to the industrial emissions of mercury and POPs;
- Employees' demonstrable knowledge of aspects related to the use and management of mercury devices in the Vietnamese health sector, and the issues associated with the replacement with non-mercury devices;
- Experience working in collaboration with international, regional, and domestic research organizations, industrial associations, educational institutions, or development agencies;
- Experience working on GEF and other international projects including project development and execution.

Duration of assignment, duty station and expected places of travel

Duty station: Hanoi and different provinces in Viet Nam.