Initiation Plan / GEF PPG

|  |  |  |
| --- | --- | --- |
| **Project Title: Supporting the Implementation of the National Action Plan on Marine Plastic Litter in the context of Green Recovery post-COVID 19 in Viet Nam**  **Country: Viet Nam**  **Country Programme Outcome:** (i) Shared prosperity through sustainable economic transformation; (ii) Climate change, disaster resilience and environmental sustainability; (iii) Governance and access to justice.  Country Programme Document for Viet Nam 2022-2026  Outcome 2: Low-carbon, resilient, and environmentally sustainable development  **Gender Marker rating:** *GEN 2*  **SESP Pre-Screening Categorization:** *Moderate* | | |
| ATLAS Award ID: 00121201  ATLAS Project/Output ID: 00117046  PIMS number: 6695  Management Arrangement: Direct Implementation Modality (DIM) | **Total budget:**  Allocated resources:   * GEF | **US$ 50,000.00**  US$ 50,000.00 |

Agreed by

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| --- | --- | --- |
|  |  |  |
| UNDP Resident Representative | Signature | Date |

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# 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: **Supporting the Implementation of the National Action Plan on Marine Plastic Litter in the context of Green Recovery post-COVID 19 in Viet Nam**. As described in the PIF, this project aims to strengthen the implementation of the National Action Plan (NAP) on Marine Plastic Litter through (i) development of monitoring and evaluation framework and unlocking of funding mechanism and (ii) deploy specific waste management interventions such as replicating MRF waste banks, deposit-return scheme targeting food and beverage sector in Binh Dinh Province as the main project site.

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](https://intranet.undp.org/unit/bpps/sdev/gef/Templates1/Annotated%20UNDP%20GEF%20Project%20Document%20Template%2011%20July%202017.doc) and associated guidance included therein
* [UNDP policies and procedures](https://popp.undp.org/SitePages/POPPRoot.aspx)
* UNDP-GEF guidance notes on GEF project development (which will be provided by the RTA) and
* GEF policies, in particular GEF polices 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.](https://www.thegef.org/documents/policies-guidelines)

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](https://intranet.undp.org/unit/bpps/sdev/gef/Templates1/Annotated%20UNDP%20GEF%20Project%20Document%20Template%2011%20July%202017.doc).
3. [GEF CEO Endorsement Request and all mandatory annexes; and](https://www.thegef.org/documents/templates)
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 | ***Nov 12, 2022*** | 10 months of PIF approval for FSPs and 6 months for MSPs. |
| **First GEF Submission Deadline** for CEO Endorsement | ***Jan 12, 2023*** | 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 | ***May 12, 2023*** | 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. |

**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), Vietnam Administration of Seas and Islands (VASI), Binh Dinh People’s Committee (PPC), Departments of Ministry of Natural Resources and Environment (DONREs) in Binh Dinh, Viet Nam Circular Economy Hub, Private Sector Industries (Food and beverage companies, hotels, restaurant in Binh Dinh; plastic recycling industries), local governments and NGOs.

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

# 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](http://www.undp.org/content/undp/en/home/librarypage/operations1/undp-social-and-environmental-standards.html) (SES), the [SES Guidance Note of Stakeholder Engagement](https://info.undp.org/sites/bpps/SES_Toolkit/SES%20Document%20Library/Uploaded%20October%202016/Final%20UNDP%20SES%20Stakeholder%20Engagement%20GN_Oct2017.pdf), the GEF’s [Guidelines on the Implementation of the Policy on Stakeholder Engagement](https://www.thegef.org/sites/default/files/documents/Stakeholder_Engagement_Guidelines.pdf) 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, substantial 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](http://open.undp.org/#2017). 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](https://info.undp.org/sites/bpps/SES_Toolkit/SES%20Document%20Library/Uploaded%20October%202016/Supplemental%20Guidance_Disclosure%20of%20Project-related%20Social%20and%20Environmental%20Screening,%20Assessment,%20and%20Management%20Plans.pdf) for more information.

# GEF PPG Activities

## Component A: Preparatory Technical Studies & Reviews

The following technical studies and reviews will be conducted.

### 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](https://erc.undp.org/); and
* Any other analyses required to address all comments on the PIF received from GEF Secretariat, GEF Council members and STAP

### 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](https://intranet.undp.org/unit/bpps/sdev/gef/SitePages/Gender.aspx).

### 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 **Moderate** and highlighted some risks to be further assessed during the PPG phase.

As specified in the SESP procedure, if the project is rated as a substantial or high Risk, 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.

### Identification of project sites

As stated in the PIF, the project has identified Binh Dinh province as the main project site. Through consultation with stakeholders, the targeted project demonstration sites in Binh Dinh will be identified and detailed, ensuring that geo-referencing is clearly presented for all targeted protected areas and surrounding landscapes. This should include providing geographic coordinates and maps for inclusion in ProDoc and GEF CEO Endorsement Request, as appropriate. The choses project site is Binh Dinh province where the pilot plant will be located.

### 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).

### 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](https://info.undp.org/sites/bpps/SES_Toolkit/SES%20Document%20Library/Uploaded%20October%202016/Final%20UNDP%20SES%20Stakeholder%20Engagement%20GN_Oct2017.pdf).

### 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 OFP.

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](https://popp.undp.org/_layouts/15/WopiFrame.aspx?sourcedoc=/UNDP_POPP_DOCUMENT_LIBRARY/Public/PPM_Design_Select%20Implementation%20Partner%20.docx&action=default)).
* 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](https://popp.undp.org/_layouts/15/WopiFrame.aspx?sourcedoc=%2FUNDP%5FPOPP%5FDOCUMENT%5FLIBRARY%2FPublic%2FPPM%5FDesign%5FSelect%20Responsible%20Party%20and%20Grantees%2Edocx&action=view&wdparaid=7F408ACC)). 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.

### Other required studies

Other required studies will focus on updating and confirming the detailed baseline information, needs and feasibility assessments to inform detailed design of project interventions and approaches. There are ongoing initiatives with potential synergies with the project, and the PPG will build on these.

## 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](https://intranet.undp.org/unit/bpps/sdev/gef/Templates1/Annotated%20UNDP%20GEF%20Project%20Document%20Template%2011%20July%202017.doc)), and the GEF CEO Endorsement Request (available [here](https://www.thegef.org/gef/guidelines_templates)) 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.

### 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 Medium-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](http://www.undp.org/content/dam/undp/library/corporate/Social-and-Environmental-Policies-and-Procedures/Stakeholder%20Response%20Mechanism%20-%20Overview%20and%20Guidance%20%28Rev%209%20June%29.pdf) and [sample TOR](https://info.undp.org/sites/bpps/SES_Toolkit/_layouts/15/WopiFrame.aspx?sourcedoc=/sites/bpps/SES_Toolkit/SES%20Document%20Library/Uploaded%20October%202016/Sample%20Terms%20of%20Reference%20-%20Project-level%20Grievance%20Redress%20Mechanism.docx&action=default).
* A comprehensive Stakeholder Engagement Plan is required.

See the [UNDP SES guidance on Stakeholder Engagement](https://info.undp.org/sites/bpps/SES_Toolkit/SitePages/Stakeholder%20Engagement.aspx), the [standard SEP template](https://info.undp.org/sites/bpps/SES_Toolkit/SES%20Document%20Library/Uploaded%20October%202016/Stakeholder%20Engagement%20Plan.docx?Web=1), and the [GEF guidelines on stakeholder engagement](https://www.thegef.org/sites/default/files/documents/Stakeholder_Engagement_Guidelines.pdf).

### 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](https://intranet.undp.org/unit/bpps/sdev/gef/SitePages/Gender.aspx).

### 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](https://info.undp.org/sites/bpps/SES_Toolkit/SitePages/Guidance%20and%20Templates.aspx), 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](https://info.undp.org/sites/bpps/SES_Toolkit/SES%20Document%20Library/Uploaded%20October%202016/Final%20UNDP%20SES%20Assessment%20and%20Management%20GN%20-%20Dec2016.pdf) for further guidance. Please contact UNDP for additional information as needed.

### 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](https://www.thegef.org/documents/3-core-indicators-worksheet-march-2019)—with both the original PIF-stage data and the CEO endorsement-stage data—will be annexed to the ProDoc. See the [GEF’s website](http://www.thegef.org/documents/tracking_tools) for the most up-to-date templates as these may change.

The Core Indicators will be used in the project’s Results Framework, at the Objective level, where appropriate. See the [GEF policy and guidance](https://www.thegef.org/sites/default/files/documents/Results_Guidelines.pdf).

### 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.

### 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](#_Toc13821498)
* [Multi Year Work Plan](#_Toc13821499) and Budget
* [Monitoring Plan](#_Toc13821500)
* [UNDP Risk Register](#_Toc13821502)
* [Overview of Technical Consultancies](#_Toc13821503)
* [GEF 7 Taxonomy](#_Toc13821506)
* 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.

### 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.

### 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.

## 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.

# Total Budget and Work Plan for GEF PPG

|  |  |
| --- | --- |
| **Atlas Award ID:** | 00121201 |
| **Atlas Project/Output ID:** | 00117046 |
| **Award Title:** | Supporting the Implementation of the National Action Plan on Marine Plastic Litter in the context of Green Recovery post-COVID 19 in Viet Nam |
| **Project ID** | 00121201 |
| **Business Unit:** | VNM10 |
| **Project Title:** | Supporting the Implementation of the National Action Plan on Marine Plastic Litter in the context of Green Recovery post-COVID 19 in Viet Nam |
| **PIMS number:** | 6695 |
| **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 project: Supporting the Implementation of the National Action Plan on Marine Plastic Litter in the context of Green Recovery post-COVID 19 in Viet Nam** | **UNDP** | **62000** | **GEF TRUSTEE** | 71200 | International Consultant | **24,800** | **A** |
| 71300 | Local Consultants | **9,600** | **B** |
| 72100 | Contractual Services Companies | **5,000** | **C** |
| 75700 | Inception Workshop | **4,000** | **D** |
| 75700 | Validation Workshop | **4,000** | **E** |
| 71600 | Travel | **2,600** | **F** |
|  |  |  |  |  | **PROJECT TOTAL** | **50,000** |  |

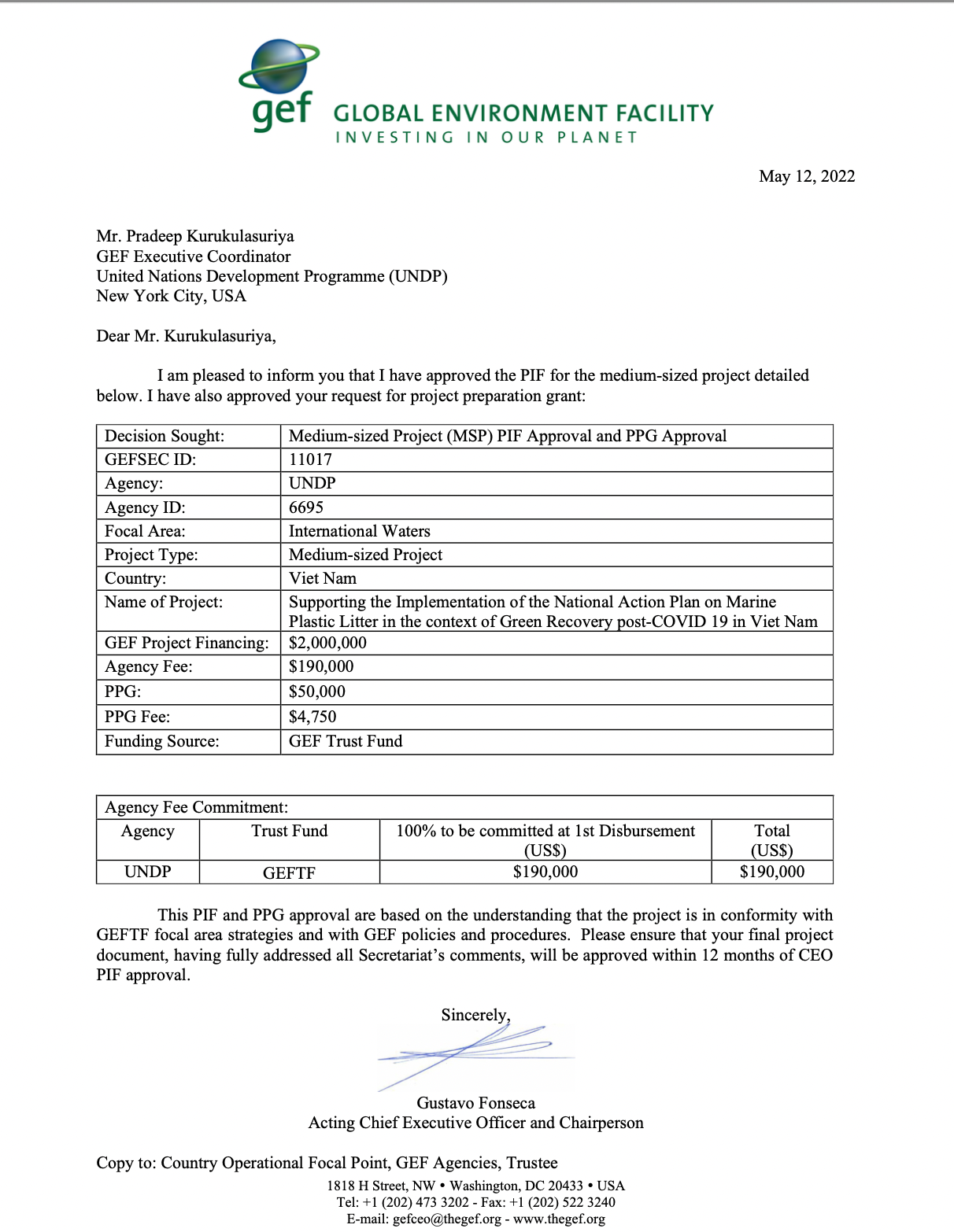
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| --- | --- | --- | --- | --- |
| **Budget Note** | **Items** | **Total estimated person days** | **Budget**  **US$** | **Budget Note** |
| A | International Project Development Specialist (GEF PPG Team Leader) | 40 | 24,800 | Key responsibilities found in Annex 2. |
| B1 | National Consultant for Policy | 25 | 3,750 |
| B2 | National Consultant for Design of Pilot Plant in Binh Dinh | 25 | 2,925 |
| B4 | National Consultant for Safeguarding & Budgeting | 25 | 2,925 |
| C | IP Capacity Assessment | -- | 5,000 |
| D | Inception Workshop | -- | 4,000 |  |
| E | Validation Workshop | -- | 4,000 | Validate the project activities and the final draft of the UNDP-GEF project document. |
| F | Travel | -- | 2,600 | International consultant missions to Viet Nam plus domestic travel; national consultant travels to pilot sites. |

# GEF PPG Activities timeframe and budget

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **PPG Activity** | **Month**  **1** | **Month**  **2** | **Month**  **3** | **Month**  **4** | **Month**  **5** | **Month**  **6** | **Budget (US$)** |
| **Component A:** Technical studies, etc., including inception workshop |  |  |  |  |  |  | 30,000 |
| **Component B:** Formulation of ProDoc, etc. |  |  |  |  |  |  | 15,000 |
| **Component C:** Validation Workshop[[1]](#footnote-1) |  |  |  |  |  |  | 5,000 |
| **Delivery of final outputs** |  |  |  |  |  |  | 50,000 |

# Mandatory Annexes

**Annex 1: GEF CEO PIF/PPG Approval Letter**



## 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** |
| **Consultant 1:** International Project Development Specialist (GEF PPG Team Leader)  **Type:** IC  **Cost per person:** USD$24,800 (620/day)  **Number of days:** 40 days | **Role**  The International Project Development Specialist 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.  **Responsibilities and deliverables**  Under the overall guidance of the Head of the Sustainable Development Unit, UNDP Viet Nam and in close cooperation with other recruited national consultants, the International Consultant and other working groups will be responsible for following duties and tasks:   1. Leading, guiding, and coordinating the inputs from other consultants and relevant stakeholders 2. 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; 3. List the necessary information/inputs to be provided by national and international consultants to formulate the full Project Document; 4. Provide advice and guidance to national and international consultants to perform their tasks in the start-up/inception phase and during the process; 5. Coordinate inputs and provide advice to improve quality of their inputs as needed; 6. Conduct field surveys with national consultants if needed; and 7. Facilitate and coordinate with national and international consultants in terms of technical issues to hold necessary workshops (inception workshop and consultation workshops). 8. Preparatory Technical Studies and Reviews (Component A):   With inputs from the national consultants, as detailed in their respective TORs:   1. Compile a baseline/situational analysis for the medium-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; 2. 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; 3. 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; 4. 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; 5. 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; 6. Ensure the design of appropriate project knowledge management processes and platforms, ensuring appropriate linkages to existing mechanisms and knowledge sharing in project landscapes; 7. Lead and oversee the identification of opportunities for private sector engagement and co-financing; 8. Ensure the preparation of partner capacity assessments and discussions on management arrangements early in the PPG process; and 9. Oversee the consultations with partners regarding financial planning; and 10. Ensure completion of any additional studies that are determined to be needed for the preparation of the ProDoc and all other final outputs. 11. 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. 12. Formulation of the ProDoc, CEO Endorsement Request and Mandatory and Project Specific Annexes (Component B): With inputs from the national consultants, as detailed in their respective TORs, and based on international best practice:  * 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; * Provide technical support in securing all co-financing letters; * Prepare the indicative procurement plan (with UNDP Viet Nam 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; 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.[[2]](#footnote-2)  1. Provide inputs in responding to comments from the GEF Secretariat and other reviewers.   **Final deliverables:**   * 1. 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;   2. Completion of the GEF CEO Endorsement Request;   3. Finalized SESP (and stand-alone management plans as required);   4. All documentation from GEF PPG (including technical reports, meeting minutes, etc.);   5. Validation Workshop Report; and   6. Final GEF ProDoc and CEO Endorsement Request incorporating comments from UNDP and GEF Secretariat.   **Qualifications:**   * Minimum 15 years of working experience in the area of waste and chemicals; * Minimum 5 years of 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, 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; and * Good team-work spirit.   **Duration of assignment, duty Station and expected places of travel**  ***Duty station*:** Home- based with possibility of travel to 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 and arranged by UNDP. 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. |
| **Consultant 2:** National Consultant on Policy on Plastic Lifecycle (with focus in packaging in the food and beverage sector)  **Type:** NC  **Cost per person:** USD$3,750 (150/day)  **Number of days needed:** 25 days | **Role**  The National Consultant on Policy on Plastic Lifecycle with focus in packaging in the food and beverage sector will be responsible for coordinating other National Consultants and compiling inputs 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 to ensure quality and timely preparation. This consultant will be critical to validate the indicators of stakeholder engagement, monitoring and evaluation of the project.  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:   1. a full-sized UNDP project document; 2. a GEF CEO Endorsement Request (CER)/Template with completed relevant GEF tracking tool; and 3. respond matrix for comments from GEF and GEF council member.   **Responsibilities and deliverables**   1. Preparatory Technical Studies and Reviews (Component A): Prepare inputs and support the required analyses/studies, as agreed with the GEF PPG Expert Team Leader, including: 2. Updating the baseline information provided in the Part II of the PIF – project justification – with specific reference to effect of COVID-19 pandemic on the use of plastic, the status of the implementation of the National Action Plan on marine plastic, the country policy related to lifecycle of plastic in the food and beverage sectors, and additional topic that may be relevant as EPR and solid waste management; 3. Verify, together with NC2, whether the outputs proposed under the PIF are still relevant and propose amendments to the wording of the outputs if needed; 4. Identify, together with the IC and the NC2, the activities which will lead to the achievement of each output and assist in the development of resources (time, equipment, personnel, travel, meetings) needed by each activity; 5. Information related to baseline analysis related to the policy, NAP marine plastic, EPR, solid waste management in Viet Nam, and the situation related to the plastic packaging in the food and beverage sector; and 6. Assist the international consultants in the assessment of training needs and the preliminary design of training modules. 7. Formulation of the ProDoc, CEO Endorsement Request and Mandatory and Project Specific Annexes 8. Contribute to indicator development and the M&E framework, including the indicators of stakeholder engagement, monitoring and evaluation of the project; 9. Contribute to the development of the theory of change of the project; 10. Contribute to the development of the Result Framework of the project; 11. Contribute to review the GEF Grant and CO-financing budget of the project; 12. Identify and establish relationships with potential private and institutional partners, and contribute to the identification of co-financing partners; assist such partners in the drafting of letter of co-financing commitments as requested by the GEF; and 13. Identify barriers, risks, and solutions for the projects, and coordinate with NC3 on the project safeguarding issues. 14. Validation Workshop (Component C): 15. Contribute to the validation workshop; and 16. Support all necessary revisions that arise during the workshop, as appropriate. 17. Final Deliverables:     1. A draft Project Document and CEO Endorsement Request, with all mandatory and project specific Annexes and supporting documentation with the inputs from ICs and NCs;     2. Workshop report including: outline of the ProDoc to be presented at the inception workshop; comments from different stakeholder; and review and recommendation for the team’s next steps;     3. Appropriate inputs provided to the Project Document and Annexes, as agreed with PPG Team Leader;     4. Presentation at Validation Workshop; and     5. All documentation from GEF PPG (including technical reports, Field survey/interview reports; meeting minutes, etc.) in English and Vietnamese.   **Qualifications**   * PhD’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 integrated marine management and other relevant knowledge; * Minimum 10 years of demonstrable experience in the technical area of coastal and marine management; * Experience working on GEF and other international projects, including project development and execution; and * Excellent written and oral communication skills in English and fluency in Vietnamese   **Duration of assignment, duty station and expected places of travel**  ***Duty station*:** Hanoi. The consultant will be expected to work mostly from his/her 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. |
| **Consultant 3:**  National Consultant for Design of Interventions in Binh Dinh  **Type:** NC  **Cost per person:** USD$2,925 (117/day)  **Number of days:** 25 days | **Role**  The National Consultant for Design of Interventions in Binh Dinh will have the general role to provide updated knowledge to the team and information to the team on the situation of Binh Dinh concerning the lifecycle of plastic items, from manufacturing, usage and waste, with specific reference to the food and beverage sector, and considering both the regulatory and technical standpoints. Such information will be used to upgrade and refine the baseline, baseline scenario and alternative scenario making them more specific to the situation of waste management in Binh Dinh province.  NC2 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 activities in Binh Dinh so that the finalized UNDP Project Document (ProDoc), the CEO Endorsement Request, and all the related annexes including the Result Framework, the GEF grant and co-financing budget and the Core Indicator worksheet will be based on the most updated and scientifically validated information.  **Responsibilities and deliverables**   1. Preparatory Technical Studies and Reviews (Component A): The consultant is required to work closely with Binh Dinh relevant stakeholders to prepare inputs and support the required analyses/studies, as agreed with the GEF PPG Expert Team Leader, including: 2. Provide information related to baseline analysis and legislation relevant to Binh Dinh waste stream and waste management status, with the main focus on plastic and plastic released from food and beverage sector; 3. Provide inputs and information on aspects related to the alternative scenarios for all the components associated to waste and plastic so that the detailed activities timeframe and budget can be identified in detail; 4. Propose a comprehensive range of interventions in Binh Dinh as the project pilot site to achieve behavior change in relevant sectors (e.g. food and beverage) to accelerate the transition towards a Circular Economy in Binh Dinh Province (as specified in the Component 2 of the Project); 5. Assist the international consultants in the assessment of training needs and the preliminary design of training modules relevant to waste and plastic management; 6. Conduct analysis of stakeholders review in Binh Dinh to support NC3 on the development of the project’s Stakeholder Engagement Plan; and 7. Coordinate with ICs and other NCs to implement field surveys/interviews. 8. Formulation of the ProDoc, CEO Endorsement Request and Mandatory and Project Specific Annexes 9. In coordination with IC, NC1 and NC3, provide relevant sections for the ProDoc package on the aspects mentioned above; 10. Estimate resource requirements for the identified interventions, and the associated budget; 11. Assist in drafting the budgeted workplan for the interventions in Binh Dinh, as a part of the whole project budget; 12. Contribute to development of indicators and the M&E framework, especially the indicators relevant to the reduction of waste and plastics; and 13. Validate the timeline for engagement activities and how they will be sequenced (based on the inputs of ICs and other NCs), including information disclosure. 14. Validation Workshop (Component C): 15. Contribute to the validation workshop; and 16. Support all necessary revisions that arise during the workshop, as appropriate. 17. Final Deliverables:     1. Appropriate inputs provided to the Project Document and Annexes, as agreed with the PPG Team Leader.   **Qualifications**   * 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 Environmental Convention and other relevant knowledge; * Minimum 5 years of demonstrable experience in the technical area of waste management; * Demonstrable knowledge of the environmental issues of Vietnamese industry, with specific reference to the local context in provinces in Vietnam; * Experience working on GEF and other international projects including project development and execution; and * Excellent written and oral communication skills in English and fluency in Vietnamese.   **Duration of assignment, duty station and expected places of travel**  ***Duty station*:** Binh Dinh. The consultant will be expected to work mostly from his/her 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. |
| **Consultant 4:**  National Consultant for Safeguarding, Gender Mainstreaming & Stakeholder Engagement  **Type:** NC  **Cost:** USD$2,925 (117/day)  **Number of days needed:** 25 days | **Role**  The National Consultant on Safeguarding, Gender Mainstreaming & Stakeholder Engagement will have the role to develop 3 key annexes to the project document:   1. The Stakeholder Engagement Plan 2. The Gender Mainstreaming Plan 3. The SESP (Screening Environmental and Social Procedure) Document   To this end, the NC3 will interact continuously with the IC, NC1 and NC2 to understand and categorize the main risks associated to the project implementation and the associated countermeasures; the entry point and the opportunities to ensure that the project is compliant with the UN requirements on Gender Mainstreaming, the interests, needs and viewpoints of the key project stakeholders and the way to ensure their engagement in the project.  **Responsibilities and deliverables**   1. Stakeholder Engagement Plan    1. The expert, based also on the information provided by the IC, NC1 and NC2, and the stakeholder analysis already carried out for other recent projects in Vietnam, will conduct an appropriately-scaled analysis of project stakeholders, building on the initial identification of stakeholders in the PIF as indicated by the GEF PPG Expert Team Leader. 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](https://info.undp.org/sites/bpps/SES_Toolkit/SES%20Document%20Library/Uploaded%20October%202016/Final%20UNDP%20SES%20Stakeholder%20Engagement%20GN_Oct2017.pdf).    2. The Stakeholder Engagement Plan will include the following elements:       1. Stakeholders who have been and will be engaged (based on stakeholder analysis), including potentially marginalized or disadvantaged groups / individuals;       2. Key stakeholder objectives and interests;       3. 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;       4. Breadth and depth of stakeholder engagement throughout the project cycle, and decisions that need to be made through stakeholder engagement;       5. Timeline for engagement activities and how they will be sequenced, including information disclosure (the ‘when’);       6. Indicators of stakeholder engagement and monitoring plan;       7. Roles and responsibilities for ensuring effective stakeholder engagement through implementation of the Plan;       8. Resource requirements and associated budget; and       9. Coordination with ICs and other NCs to implement field survey/interview on Stakeholders issues.   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 SES Guidance Note on Stakeholder Engagement](https://info.undp.org/sites/bpps/SES_Toolkit/SES%20Document%20Library/Uploaded%20October%202016/Final%20UNDP%20SES%20Stakeholder%20Engagement%20GN_Oct2017.pdf)   1. Gender Action Plan   The expert, based also on the information provided by the IC, NC1 and NC2, and the Gender Mainstreaming analysis already carried out for other recent GEF projects in Vietnam will prepare a gender analysis to fully consider the different needs, roles, benefits, impacts, risks, differential access to and control over resources of women and men relating to the management of plastic waste, with specific reference to the food and beverage sector and the impact of COVID-19 (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, gender awareness raising initiatives; assessment of women’s meaningful participation.  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.   1. Social and Environmental Screening Procedure (SESP)   The 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 (Social and Environmental Standards) and specific requirements, as appropriate. This will include:   * 1. Review the pre-screening (SESP - social and environmental safeguards pre-screening) 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.   2. 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, 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 GEF PPG Expert Team Leader, based on stakeholder consultations and close engagement.  1. Inception and Validation Workshops: 2. Contribute to the inception and validation workshops; and 3. Support all necessary revisions that arise during the workshops, as appropriate. 4. Final Deliverables: 5. Stakeholder Engagement Plan 6. Gender Action Plan 7. Social and Environmental Screening Procedure   **Qualifications**   * Master’s degree in social science, project management or related field. * Minimum 5 years of experience related to social and environmental safeguarding, project management and M&E in an international development context; * Experience working in international projects including project development and execution; * Familiarity with the UN System, in particular UNDP; * Have engaged in safeguard work before. * Excellent written and oral communication skills in English and fluency in Vietnamese; * Demonstrated understanding of the UNDP policies on gender mainstreaming, stakeholder engagement, social safeguarding.   **Duration of assignment, duty station and expected places of travel**  ***Duty station*:** Hanoi. The consultant will be expected to work mostly from his/her 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. |

1. Including travel cost [↑](#footnote-ref-1)
2. Please verify with the UNDP-GEF team that the correct templates are being used. [↑](#footnote-ref-2)