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***Mid-term evaluation of PI/2019/405-400
Reducing plastic waste and marine litter in
East and South-East Asia: Supporting a
transition to a circular economy in the
region***

Contract N° 300016566

Evaluation Report

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Disclaimer:

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List of Acronyms and Abbreviations

ADB	Asian Development Bank
AFD	Agence Francaise de Développement /French Development Agency
ASEAN	Association of South East Asian Nations
ASEC	ASEAN Secretariat
BAPPENAS	National Development Planning Agency, Indonesia
BMU	German Federal Ministry for the Environment, Nature Conservation and Nuclear Safety
BMZ	German Federal Ministry for Economic Cooperation and Development
CACE	China Association for Circular Economy
CH	China
COBSEA	Coordinating Body on the Seas of East Asia
COP	Conference of the Parties
DAC	Development Assistance Committee
DENR	Department of Environment and Natural Resources, Philippines
DG	Directorate General (of the European Commission)
DG ENV	Directorate-General for Environment
DMCR	Department of Marine and Coastal Resources, Thailand
DoA	Description of Action
DRS	Deposit Return Schemes
EC	European Commission
EEAS	European External Action Service
EF	Expertise France
EMB	Environmental Management Bureau, of the DENR, Philippines
EMF	Ellen MacArthur Foundation
EPR	Extended Producer Responsibility
EQs	Evaluation Questions
E-READI	Enhanced Regional EU-ASEAN Dialogue Instrument
ERG	Evaluation Reference Group
ESM	Environmentally Sound Management
ET	Evaluation Team
EU	European Union
EU MS	European Union Member States
EUD	European Union Delegation
Eurochams	European Chambers
EU-POP	EU Policy and Outreach Partnerships
FGD	Focus Group Discussions
FPI	Foreign Policy Instrument

GACERE	Global Alliance on Circular Economy and Resources Efficiency
GEF	Global Environment Facility
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit GmbH (German Agency for International Cooperation)
GPML	Global Partnership on Marine Litter
ICEF	Indonesia Circular Economy Forum
ID	Indonesia
IMO	Philippine International Maritime Organisation
IPRO	Indonesia Packaging Recovery Organisation
IUCN	International Union for Conservation of Nature
JP	Japan
KE	Key Expert
KEMENKOMARVEST	Indonesian Ministry of Maritime Affairs and Investment
KIIs	Key Informant Interviews
KLHK	Ministry of Environment and Forestry of Indonesia
LFM	Logical Framework Matrix
MARPOL	International Convention for the Prevention of Pollution from Ships
M&E	Monitoring & Evaluation
MNRE	Ministry of Natural Resources and Environment, Thailand
MOE	Ministry of Environment
MOIT	Ministry of Industry and Trade of Vietnam
MONRE	Ministry of Natural Resources and Environment of Vietnam
MTE	Mid-term evaluation
NAMA	Nationally Appropriate Mitigation Actions
NDRC	National Development and Reform Commission
NPOAML	National Plan of Action on Marine Litter
NSA	National Senior Advisers
OECD	Organisation for Economic Co-operation and Development
OO	Overall Objective
PCD	Pollution Control Department, Thailand
PH	Philippines
PI	Partnership Instrument
PIMS	Partnership Instrument Monitoring System
PRAISE	Packaging and Recycling Association of Indonesia’s Sustainable Environment
PRO	Packaging Recovery Organisation
PROBLUE	World Bank Trust fund
R	Result
SDGs	Sustainable Development Goals

SG	Singapore
SIDA	Swedish International Development Agency
SO	Specific Objective
TH	Thailand
TL	Team Leader
ToR	Terms of Reference
UNEA	United Nations Environmental Assembly
UNEP	United Nations Environment Programme
UNDP	United Nations Development Programme
UNESCAP	United Nations Economic and Social Commission for Asia and the Pacific
USAID	United States Agency for International Development
VN	Viet Nam
WB	World Bank
WWF	World Wildlife Fund

Preamble

This document, the (Draft) Final Report, is structured in line with Annex III of the Terms of Reference of the MTE as follows:

- ⇒ **Executive Summary:** focusing on the key purpose and issues of the evaluation, outlining the main analytical points, conclusions, lessons to be learned and recommendations.
- ⇒ **Section 1 - Introduction:** outlines the background of the Project and the scope of the Mid-Term Evaluation.
- ⇒ **Section 2 - Evaluation findings:** provides analyses of the findings and answers to each of the evaluation questions.
- ⇒ **Section 3 - Conclusions, Lessons Learned and Recommendations:** presents the overall and specific conclusions, a set of lessons learned and proposes a number of recommendations for the EC as well as future related actions.
- ⇒ **Annexes:** provide further details on the evaluation methodology, together with:
 - Annex 1: Mid-term Evaluation Terms of Reference
 - Annex 2: Evaluation Timeline
 - Annex 3: Profile of Evaluators
 - Annex 4: Evaluation Methodology details including Assumptions, Risks
 - Annex 5: Evaluation Matrix
 - Annex 6: Logical Framework Matrix (planned/real and improved/updated)
 - Annex 7: Evaluation Tools (KII/FGD)
 - Annex 8: Literature and documentation consulted
 - Annex 9: List of persons/organisations consulted and interviewed
 - Annex 10: Analysis Table for 19 Interim Pilot Project Reports
 - Annex 11: Country Specific Analysis
 - Annex 12: Activities to create awareness and transfer knowledge across result areas

1. Introduction

Brief introduction to the assignment

The Service for Foreign Policy Instruments (FPI) of the European Commission (EC) has awarded a contract under the Multi-annual Financial Framework 2014-2020 package of instruments for financing EU external Action to the consortium led by Particip GmbH to conduct the Mid-Term Evaluation (MTE) of the “*PI/2019/405-400 reducing plastic waste and marine litter in East and South-East Asia: Supporting a transition to a circular economy in the region*” project (hereinafter as the “PI/2019/405-400 Project”, the “Project” or the “Action”). This report develops on the findings provided in the Desk and Interview notes.

Evaluation objectives and scope

The **main objective of this evaluation** is to provide the users of the evaluation with:

- an overall independent assessment of the past performance of the said Action paying particular attention to its intermediate results measured against its expected objectives; and the reasons underpinning such results; and
- key lessons learned, conclusions and related recommendations in order to improve current and future Actions.

The main users of the evaluation include the European Commission in particular Foreign Policy Instrument (FPI), DG Environment, European External Action Service (EEAS), EU Delegations (EUDs), co-financer German Ministry of Cooperation (BMZ), EU member states (EUMS), stakeholders in partner countries and implementing partners (IPs) including the German International Cooperation Agency (GIZ) and the French Technical Assistance Agency (Expertise France).

Evaluation Methodology

The evaluation was driven by the following guiding principles:

- Focused approach to data collection from most relevant documents and informants;
- Ensuring the externality and independence of the Evaluation Team;
- Ensuring informants who provide feedback remain anonymous and the respect for privacy;
- Integration of gender considerations in the evaluation process including gathering disaggregated data on male and female informants and a specific question;
- A structured approach to the collection and analysis of data to ensure rigor and comparability of findings and consistency in approach;
- A robust, evidence-based approach using mixed-methods to answer the Evaluation Questions (EQ).

The evaluation used a mixed methods approach. This provided a richer set of answers to the EQs. Both primary and secondary data was collected to answer the evaluation questions. Primary data focussed on key informant interviews (KII) and focus group discussions (FGD). Secondary data included project and other documentation. Findings were developed through a 2-stage analysis process and triangulation to ensure they are evidence based. Further methodological details are provided in *Annex 3*.

Data collection overview

Primary data collection, via KIIs and FGDs was undertaken via two phases. Phase 1 was carried out from 14th to 23rd July and phase 2 from 26th July to 20th August. *Table 1* provides an overview of the number of interviews carried out and number of informants.

Table 1: Number of interviews carried out and number of informants

Phases	No. of completed interviews	No. of FGDs	No. of KIs	Gender Male	Gender Female	Total informants
Phase 1	21	2	19	17	18	35
Phase 2	40	14	26	35	38	73
Total	61	16	45	52	56	108

A total of 61 interviews were carried out, including 45 KIs and 16 FGDs and involving a total 108 informants. This compares very favourably to the target of 35 to 40 interviews and 60 informants set in the Inception Report. The success in conducting a larger than expected number of interviews was due to the strong support provided by the EU Delegations and the implementation partners, from GIZ and Expertise France, including the National Senior Advisors (NSAs), in introducing the Evaluation Team to informants and stakeholder organisations. *Table 2* provides an overview of interviews and informants by type of organisation. *Table 3* provides an overview on the number of interviews and informants conducted according to Country.

Table 2: Number of interviews and informants by type of organisation

	EUDs/EC	EUMS	INT	GOVT	PVT	CSO, NGO, Academia, Business Assoc.	GIZ/EF	Total
No. of interviews	12	7	3	9	5	19	6	61
No. of informants	17	7	3	16	7	42	16	108

Table 3: Number of interviews and informants by Country

	China	Indonesia	Japan	Philippines	Singapore	Thailand	Vietnam	EUMS	INT	Total
No. of interviews	8	12	3	7	2	8	8	10	3	61
No. of informants	13	19	6	18	2	24	10	13	3	108

In terms of secondary data, *Table 4* provides an overview of the number of documents reviewed.

Table 4: Number of documents reviewed by type

	Progress reports & annexes	Pilot docs	EC policies	EC docs	National policy docs	others (incl. C&V)	Total Docs
Desk review	78	73	18	2	57	56	284

Limitations

The evaluation faced some limitations which are summarised below.

1. Halo Bias: There is a known tendency among informants to under-report socially undesirable answers, such as negative feedback and alter their responses to approximate what they perceive as the social norm (halo bias). To mitigate this potential limitation, the Evaluation Team provided the informants with confidentiality and anonymity guarantees and established rapport with the informant.

2. Limited Data Sources: Despite staff changes at the European Commission, and EUDs over the years, current and relevant former officers were identified and interviewed. Former officers for EUD Indonesia and Singapore were contacted but they were not available to be interviewed as they were on annual leave. The ET feels this had very limited effect on the data collection, as the existing officers provided information on the current status of the project across the relevant evaluation questions. The ET was unable to secure interviews with government officials from Japan and Singapore, despite efforts by EF to secure these interviews. This resulted in limited data regarding the relevance of the Action to political and policy priorities in Japan and Singapore and coherence with existing initiatives in these countries. This also resulted in less data regarding possible recommendations on how the Action could better frame itself in the subsequent phase to match the priorities and needs in both countries.

3. Delays in documentation and data: There were delays of about 2 weeks in obtaining the final interviews and receiving the final documentation. This included financial information and progress reports from pilots due to the reporting cycle of the pilots. An extension of 8 days was provided for the submission of the draft final report.

2. Evaluation findings

The evaluation assessed the Action using 7 assessment criteria. These include the following Organisation for Economic Cooperation and Development (OECD) Development Assistance Committee (DAC) evaluation criteria: relevance, coherence, effectiveness, efficiency and sustainability; and 2 EU evaluation criteria: EU added value and cross-cutting elements. A total of 21 evaluation questions (EQs) were used for the evaluation. Most of the questions were qualitative in nature, to maximise the depth of data gathering. This minimised the need for subjective judgement criteria so that questions could be answered using an evidence-based approach, which underpins the design of this evaluation. The main findings are presented below for each of the EQs.

Relevance

Relevance focusses on whether the Action design and planning respond to the priority needs of its beneficiaries and key stakeholders.

1. How are the Action design and outputs relevant to EU Foreign Policy, PI objectives, and priorities of relevant EU sectoral strategies?

The Action is relevant in design to the following Partnership Instrument (PI) objectives¹ of: i). Supporting the EU's bilateral and regional cooperation partnership strategies by promoting policy dialogue through result area R1 with support of outputs from result area R2 until R5; ii) Enhancing widespread understanding and visibility of the EU and of its role on the world scene through result area R6.

The Action is relevant in design to the **EU Foreign Policy**² priority of Global Governance for the 21st Century, particularly the EU will lead by example implementing its commitments on sustainable development and climate change. The SDGs plays a vital role in driving reform in development policy, including the EU Consensus on Development.

National level outputs generated by the Action in Indonesia, Philippines, Thailand and Vietnam have been relevant to these PI and Foreign Policy objectives. The action outputs have supported progress made by China, Indonesia, Philippines, Thailand and Vietnam by promoting the EU environmental standards and approaches related to the management of plastic waste, plastic circularity and strengthening the value chain as per the sectoral strategies mentioned below. Outputs from 16³ out

¹ Regulation (EU) No. 234/2014 of the European Parliament and of the Council of 11 March 2014 establishing a Partnership Instrument for Cooperation with Third Countries (See Item 1, Part 4: EC Documents, Annex 8 Literature and document consulted).

² Please refer to [A Global Strategy for the European Union's Foreign and Security Policy](#)

³ These are seven under **Result 2**: 2 China (Inner Mongolia, Hainan), 1 Indonesia (Semarang), 1 Philippines (Iloilo city), 2 Thailand (Rayong, Trang provinces), 1 Vietnam (HCMC), five under **Result 3**: 1 China (Hainan), 2 Philippines (Iloilo city, Bicolod & Talisay city), 1 Thailand (Phuket), 1 Vietnam (Hanoi), four under **Result 4**: 2 China (Shanghai & Tianjin port, Hainan), 1 Philippines (Batangas port), 1

of 24 pilot projects build on EU experience and standards and 17⁴ out of 24 pilots are actively promoting and enhancing the EU’s visibility amongst local stakeholders according to evidence from pilot report documentation, interim pilot project reports (Annex 8 and 10) and interviews with pilot implementers.

The Action was designed during the Juncker Commission and is relevant to political priorities for a forward-looking climate change policy with Europe as the first climate neutral continent by becoming a modern, resource-efficient economy including the European Strategy for Plastics in a Circular Economy⁵; and Europe as a stronger global actor. Following commencement, the Action outputs remain relevant to the **von der Leyen Commission’s political priorities** for 2019-2024⁶, of the European Green Deal, focussing on zero pollution, new circular economy action plan, fight against plastics in protecting the environment and oceans. The Action outputs are also relevant to the EU Strategy for Cooperation in the Indo-Pacific, particular the priority areas of tackling global priorities such as biodiversity loss and pollution.

In terms of **EU sectoral strategies**, the Action design is highly relevant to the EU Circular Economy Action Plan and the EU Plastics Strategy. These are stated as priorities in the Action Fiche and Description of Action (DoA). Within the EU Circular Economy Action Plan the Action seeks to address the priority of plastics, particularly increasing its circularity to provide opportunities for innovation, job creation and competitiveness whilst addressing the significant environmental concerns focussing on the substantial amount of plastic litter ending up in the oceans. The latest EU Action Plan: Towards a Zero Pollution for Air, Water and Soil (and annexes), adopted mid-May 2021 as part of the European Green Deal⁷ are also important references for the Action under EU sectoral priorities. The Action also seeks to address the priority of international engagement in the EU Plastics Strategy focussing on addressing change outside the EU. The Action implementation and outputs, have been closely aligned and are highly relevant to the stated priorities of these major EU sectoral strategies and instruments in the five main partner countries. Although partner countries have not yet joined the EU Global Alliance on Circular Economy and Resource Efficiency (GACERE), the Action may support their integration into this EU global initiative. The Action implementation has also generated outputs that are relevant to different EU commitments. Result (R) 3 is contributing to the international dimension of the EU Green Deal, to the Sustainable Consumption and Production (SCP), Single Use Plastic Directive⁸ and Sustainable Industrial Policy (SIP) Action Plan. R2 is addressing the Single Use Plastic Directive, Waste Framework Directive⁹, and the Packaging & Packaging Waste Directive. This includes Extended Producer Responsibility (EPR) schemes, the EU’s Packaging Recovery Organisations (PRO) models. The Action outputs are relevant to the EU Ports Reception Facilities (PRF) directive in some pilots,

Thailand (Bangkok Port). See Annex 10. There was no evidence that the remaining 8 pilots were actively building upon and promoting EU standards, approaches and experiences. Four of the pilots in Indonesia, when interviewed, plus one interim pilot project report mentioned that EU approaches and experiences were less relevant to the needs of their target groups as they required simple localised solutions. One pilot from China (Qingdao) did not file their interim pilot project report. According to evidence received during follow-up of documentation, there was an institutional reform with Zhongke Yinghua Technical Research Institute and they were revoked in April 2021, due to inability to continue aligning with pilot contract. The contract awarding procedure to Qingdao Junshengmingshi is still ongoing, which also indicated no reporting requirement. Two pilots under Result 4 in Vietnam (Cat Lai port and Phú Yên) did not submit their interim pilot project reports for verification as well.

⁴ These are six under **Result 2**: 1 China (Inner Mongolia), 1 Indonesia (Semarang), 1 Philippines (Iloilo city), 2 Thailand (Rayong, Trang provinces), 1 Vietnam (HCMC), five under **Result 3**: 1 China (Hainan), 1 Indonesia (Bandung and Banjarmasin), 2 Philippines (Iloilo city, Bocolod & Talisay city), 1 Thailand (Phuket), six under **Result 4**: 2 China (Shanghai & Tianjin port, Hainan), 2 Indonesia (Tegal and Banyuwangi) 1 Philippines (Batangas port), 1 Thailand (Bangkok Port). See Annex 10. There was no evidence from reports and interviews that the remaining 7 pilots were promoting and enhancing the EU’s visibility amongst local stakeholders. There are two pilots under **Result 2**: 1 China (Hainan) had not commenced communication and visibility activities and 1 Indonesia (Malang city) did not file their report. The remaining five were three under **Result 3** 1 China (Qingdao) no interim report submitted, 1 Indonesia (Java and Lombok) and 1 Vietnam (Hanoi) who did not disclose in the interim reports and two under **Result 4** were Vietnam (Cat Lai Port and Phú Yên province) who did not file their interim reports.

⁵ See https://ec.europa.eu/info/sites/default/files/plastics-factsheet-global-action_en.pdf and

<https://www.europeanfiles.eu/environment/europes-new-plastics-strategy-building-legacy-juncker-commission-plastics-bright-future-ahead>

⁶ See https://ec.europa.eu/info/sites/default/files/political-guidelines-next-commission_en_0.pdf

⁷ Please refer to https://ec.europa.eu/environment/strategy/zero-pollution-action-plan_en. This is also listed under Item 16, Part 3 of Annex 8

⁸ This has been listed as Item 12, Part 3 of Annex 8

⁹ This has been listed as Item 7, Part 3 of Annex 8

The Action outputs are also relevant to the EU Strategy for Cooperation in the Indo-Pacific, in tackling global priorities such as green transition.

2. How are the Action design and outputs relevant to the partner country policy dialogues with the EU and EU MS?

According to the Action Fiche and interviews, the Action design seeks to broaden and deepen the EU's policy dialogues with the partner countries in environment, focusing on plastic management and circular economy. The Action outputs have helped to operationalise and scale-up existing policy dialogues of the EU¹⁰ and some EUMS with the partner countries. It has supported deeper engagement between the EUD, and partners in each country. This has been at national and local level in Indonesia, Thailand and Vietnam, and at local level in China and Philippines. According to most EUD stakeholders in these countries, the Action has enabled the EU to implement concrete actions on the ground such as supporting policy reform and implementation of pilot projects, to operationalise the dialogue process that takes place. The Action has also widened EUD collaboration with a range of actors such as ministries, public-private partnerships, private sector including Micro, Small and Medium Enterprises (MSME) and large companies, business associations, Civil Society Organisations (CSO), local government, community organisations. The project is viewed as not been fully in tune with the dynamics of the EU-Japan policy dialogues, as the project lacks a local presence in Japan. According to the main EU stakeholder in Japan, the project is not sufficiently nimble and not anchored to the realities of the EU dialogue in Japan. The lack of a presence in Japan, with most inputs provided from Paris have contributed to this valid perception.

The action outputs have been relevant to the partner country policy dialogues with certain EUMS such as Germany (China, Indonesia, Philippines, Thailand, Vietnam), Netherlands and Denmark (Indonesia), Sweden and Spain (Philippines) and France (Philippines and Vietnam). In Indonesia, the Action made notable contributions to advance the policy dialogue of the Netherlands and Denmark through its efforts with ICEF, according to these stakeholders. Further details on the relevance of the Action design and its outputs in each of the partner countries are provided in Annex 11: Country Findings.

At a regional level, the Action Fiche indicates the Action should be relevant to the EU's policy dialogue with the Association of South East Asian Nations (ASEAN) including priorities from the ASEAN-EU Plan of Action 2018 – 2022 in the area of marine litter, circular economy and plastics. However, there has been very limited activities targeting ASEAN and the outputs are currently not relevant.

3. How are the Action design and outputs relevant to the global and regional priorities in plastic waste, marine litter and circular economy (the area of concern)?

In relation to global priorities, the Action design is relevant to initiatives from G7 and G20 including the G7 Alliance on Resource Efficiency, the G7 Action Plan to Combat Marine Litter, the G7 Plastics Charter, the G20 Resource Efficiency Dialogue and the G20 Action Plan on Marine Litter, according to assessment of the ET based on evidence from interviews and the Action Fiche. In relation to G20, the Action outputs are relevant to support Indonesia as the next chair of the G20 summit.

According to the evidence, the Action design and outputs are also relevant to: i). the third session and fourth session of the United Nations Environmental Assembly (UNEA-3 and UNEA-4) including the resolution on marine litter; ii). the Basel Convention on Hazardous Waste in particular its Environmentally Sound Management (ESM) toolkit and practical manual on EPR resulting from Conference of the Parties (COP)13 to the Basel Convention; iii). the International Convention for the Prevention of Pollution from ships (MARPOL Annex V) which prohibits the discharge of waste from ships. The Action outputs are also relevant to the upcoming UNEA-5, in February 2022 including a global agreement or treaty on plastics.

¹⁰ This refers to Indonesia, Thailand, Vietnam (national and local levels), and China and Philippines (local level).
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4. How are the Action design and outputs relevant to the partner country priorities and political contexts in the area of concern? How has the Action adapted to evolving political contexts or changing priorities in the partner countries?

The action design is relevant to the political context and several national priorities including policy instruments, across the partner countries. These are further detailed below in *Figure 1* and *Part 3 of Annex 8*

Figure 1: Overview of relevance to partner country political and policy priorities



According to the evidence, the action adapted to the evolving political contexts and priorities in five partner countries. It has supported emerging policy priorities such as the Regulation for Household Waste and Roadmap for Waste Reduction by Producers in Indonesia, SUP legislation in Philippines, EPR decree in Vietnam and SUP draft guidelines for food deliver and takeaway in Thailand. In China, CACE plans to scale the national dialogues from the pilot project in Xiamen by organising events and continue to provide the platform to encourage bilateral dialogues between EU and China on the 14th Five-Year Plan (2021-2025) for circular economy development.

Coherence

Coherence focusses on how well the Action fits with and complements existing initiatives.

1. How has the Action ensured coherence and complemented other EU and EUMS interventions in the region and in the partner countries?

EU Interventions

Based on the evidence, the Action has tried to complement some EU interventions in the region and in the partner countries. There is room for the Action to be more proactive and increase complementarity and coherence with EU initiatives where relevant and beneficial for the Action. There has been collaboration between the Action and the SWITCH-Asia) programme, through participation in workshops, training events, meetings and exchange of practices. According to the evidence, there has been collaboration with the SWITCH-Asia programme in Vietnam supporting the Ministry of Industry and Trade and the National Action Plan for Sustainable Consumption and Production 2021 – 2030. The collaboration included exchanges between the key experts of the respective interventions, sharing lessons learnt on institutional engagement and challenges.

At the regional level there has been some collaboration with E-READI in terms of coordination meetings, invitations to kick-off events and presentation of the results of a study on ASEAN by E-

READI. For examples, on invitation from E-READI the Action provided a presentation during the Series 5 of the EU-ASEAN Dialogue on GreenTech and Innovation Mapping; Series 5 covered ‘Innovative Approaches in Managing Plastic Wastes in the Marine Environment on 24 June 2021¹¹. The Action participated at the EU-ASEAN Regional Workshop on Circular Economy (June 2019 in Kuala Lumpur) and provided comments to the Circular Economy and Plastics Gap Analysis Study in ASEAN conducted by E-READI. With the EU Policy and Outreach Partnerships (POP) for ASEAN there was collaboration in promotion and communications during the early phases of the Action and specific activities like beach clean-up organised with the European Union Delegation (EUD). During initial stages the Action aligned its communication efforts, with the approach of the EU POP project particularly on the project website. The Action has participated at SWITCH-Asia programme events at regional and national level including its annual conference and webinars. SWITCH-Asia has also supported the dissemination of event material from the Action such as webinars held on single use plastic and food delivery materials. With the EU Indonesia Partnership Facility there has been some initial communication and exchange of information between the project teams. Apart from preliminary exchanges, no further details were shared. The Action organized a one-day outreach event on plastics / marine litter, back-to-back with the EU-ASEAN High-Level Dialogue on Environment and Climate on 27 November 2020 in response to an invitation¹².

EU MS

The Action has complemented EUMS interventions in the region and across partner countries at a varying extent. In **China**, the project has had discussions with the German Cooperation Agency (GIZ) initiatives on public waste and public private partnerships. The project was also considering building on an initiative from Sweden who developed a new signalling system for waste, which was colour coded, but a respondent shared that there was a lack of alignment between the initiative and the Action. Additional follow-up is required to explore collaboration. In **Indonesia** the Action collaborated with embassies from the Netherlands and Denmark and other German initiatives from GIZ through the [Indonesia Circular Economy Forum \(ICEF\) and one EPR webinar on 21 October 2020](#). This included a dedicated side event where the EUMS were invited to speak on EPR and which serves, as an outlook towards the G20 Bali Summit 2022. The collaboration through ICEF and EUMS was also used to share best practices to help strengthen the Packaging and Recycling Association of Indonesia’s Sustainable Environment (PRAISE) and the Indonesia Packaging Recovering Organisation (IPRO) alliances. EUMS stakeholders from Netherlands and Denmark shared that the Action has taken steps in coordinating EU and EUMS initiatives and in the spirit of Team Europe is striving to present a holistic package of EU solutions to the national government.

In **Japan** there were initial discussions leading to the EU-Japan working meeting on 26 November 2020 with the French and Dutch embassies who have bilateral initiatives in the country on green public procurement, circular economy and plastic waste¹³. In the **Philippines**, there has been information exchanges with another GIZ project. In **Singapore** the Action had preliminary collaboration with the Dutch Embassy in Singapore and Rijkswaterstaat (Directorate-General for Public Works and Water Management) of the Netherlands Ministry of Infrastructure and Water Management in the area of green procurement. In **Thailand** the Action has collaborated with other GIZ projects. Additional collaboration with the Ministry of the Environment, Nature Conservation and Nuclear Safety (BMU) of Germany has taken place.

In **Vietnam** the Action took part in a collaboration involving the BMU, the Governments of Ecuador, Ghana, the Vietnam Administration of Seas and Islands and the Ministry of Natural Resources and Environment (MONRE). This was part of a high-level panel discussion facilitated by the United Nations Environment Programme (UNEP) for the second part of the UNEA-5. The Action had discussions with other GIZ initiatives on a train the trainers programme for EPR and with the French Development Agency (AFD). Further details on country level initiatives are provided in [Annex 11](#).

¹¹ Quarterly Report No. 6 from Thailand April to June 2021

¹² Quarterly Report No. 1, 3 and 4 from Vietnam Oct to Dec 2020

¹³ This working meeting brought together EU DG ENV/DG GROW, Japan MOE, IGES, Expertise France, GIZ, University of Tokyo, Eco Mark and Japan Productivity Centre, and the Dutch Ministry of Infrastructure.

At a regional level, the project collaborated with the Sea of Solutions 2019¹⁴ and in its virtual format in 2020¹⁵ event, organised by the Coordinating Body on the Seas of South East Asia (COBSEA), the Swedish International Development Agency (SIDA) and the United Nations Environment Programme (UNEP). This included engagement with the organising committee¹⁶ and outreach to stakeholders outside the project’s network through a project booth.

Overall, those EUMS that engaged with the Action feel it provides value through its policy and pilot approach and could yield useful strategy and practical insights. Positive feedback was shared during interviews from EUMS representatives from Denmark, France, Germany, Luxembourg, Netherlands, Spain and Sweden. However, based on the evidence, there is still room for the Action to be more proactive and increase complementarity and coherence with EUMS initiatives in the partner countries and at a regional level. This can include efforts to replicate, and sustain the pilot projects in the five main partner countries.

2. How has the Action ensured coherence and complemented programmes by regional bodies and national governments in the partner countries including those funded by other development partners?

In **China** the Action has engaged the China Association for Circular Economy (CACE) as the implementing partner. This provides opportunities for coherence and complementarity at national and local level. It has enabled the Action to link its pilots with local government, business associations, research institutes and research companies and to also test policies at a local level. Through pilot projects, the Action is complementing local government initiatives. There has also been some early-stage discussions with the Nationally Appropriate Mitigation Actions (NAMA) Facility for China where the Action has shared their outputs with BMU representatives. The Action has also commenced discussions on exploring collaborations with three pilot projects supported by BMU under a public-private partnership model. However, no further evidence was available regarding the progress or outcomes of such discussions to date.

In **Indonesia**, the Action has complemented and supported the ICEF which is viewed as the main Indonesian multi-stakeholder platform in circular economy. It has engaged the National Development Planning Agency (BAPPENAS) as the main political partner. It is also collaborating on specific activities with the Directorate of Solid Waste Management, Ministry of Environment and Forestry (KLHK) and the Ministry for Maritime Affairs and Investment (KEMENKOMARVEST). In addition to EUMS, other development partners involved were governments from Norway and Japan and Global Compact Network of the UN. In **Philippines**, the action has engaged with the United Nations Development Programme (UNDP), UNEP and UN Habitat with the facilitation of the Department of Environment and Natural Resource (DENR). At local level, pilots are collaborating with a range of development partner initiatives supported by International Maritime Organisation (IMO), UNEP, the United States Agency for International Development (USAID), UN Habitat, Nestle and Coca-Cola.

In **Thailand**, work with the Pollution Control Department (PCD) on EPR and Deposit Return Schemes (DRS) involves Germany. The Action engaged with the International Union for Conservation of Nature (IUCN), the World Wide Fund (WWF), UNEP, **the Global Environment Facility (GEF)** and the Asian Development Bank (ADB) and World Bank (WB) in policy dialogues for Thailand’s Draft Action Plan on Marine Debris. In **Vietnam**¹⁷, the Action has engaged with the **Development Partners’ Working Group on Plastic**, coordinated by the World Bank-implemented global multi-donor trust fund PROBLUE. This involved the Canadian Government, IUCN, WWF, embassies of France, Belgium, the Netherlands, Germany and other partners. In relation to the national governments, the Action worked closely with Ministry of Natural Resources and Environment (MONRE), Ministry of Industry and Trade (MOIT), Ministry of Agriculture and Rural Development, and VINNAMARINE. In **Japan**

¹⁴ The Action leveraged on the SEA of Solutions 2019 platform to organize a side event for the Action’s kick-off and launch.

¹⁵ Please refer to Item 56, Part 5 of Annex 8 where documents have been reviewed in relation to SEA of Solutions 2019 and 2020.

¹⁶ SEA of Solutions is a regional networking platform for the exchanges of best practices and lessons learned from all COBSEA member countries at a regional and other countries at a global level. The team leader joined the panel session on ‘*Taking responsibility: Business models and incentives for plastic neutrality*’ to present and actively discuss EPR mechanisms with 91 live participants in the virtual 2020 format.

¹⁷ EU Quarterly Report No.2 (April 2020 to June 2020) and 3 (July 2020 to September 2020) of Vietnam

and Singapore, the project has so far undertaken some studies and there is very limited engagement with national initiatives. According to the evidence, after the scoping mission in February 2020, only one working meeting took place on 26 November 2020 under the Action in relation to Japan. The other ongoing dialogues like the 23 March 2021 were initiated by DG Env directly with the Japanese governments. In Singapore, following the publication of the EU-Singapore Circular Economy Comparative Policy Study report in September 2020, it took nearly a year for the Action to implement the dialogue on circular economy and EPR in 30 September 2021. Further details on the Action’s coherence with programmes in the partner countries is provided in *Annex 11*.

At a regional level the Action has explored initial collaboration with an ASEAN level project, funded by BMZ, on Reduce, Reuse and Recycle to Protect the Marine Environment and Coral Reef. The Action participated in events and exchanged information. The Action exchanged information with the World Bank who supported the development of the ASEAN Regional Action Plan for Combatting Marine Debris (2021-2025) through PROBLUE. Broad discussions have been undertaken by the project, European Investment Bank’s (EIB) Clean Ocean’s Initiative, which is supported by four EUMS and the Clean Ocean Partnerships initiative supported by EIB and ADB. Based on interviews, there is potential and interest by EIB to scale up some of the successful pilots through its two initiatives in the region. Other regional engagement includes discussions with the United Nations Economic and Social Commission for Asia and the Pacific (UNESCAP). There has been collaboration between the implementer of the Ship Waste Management in Philippine ports’ pilot project and an ASEAN-Norway project on reducing plastics in Indonesia, Philippines and Vietnam. Beside preliminary engagement with the aforementioned projects which have an ASEAN dimension, the project has not directly engaged with the ASEAN Secretariat or implemented ASEAN level initiatives. Based on the evidence, the Action has not explored complementarities with ASEAN stakeholders, such as the ASEAN Secretariat and relevant ASEAN Working Groups sufficiently.

3. How has the Action ensured coherence across its different partner countries, including the use of lessons learnt?

According to evidence from interviews and documents, the Action has tried to ensure coherence of its activities across its different partner countries through a mixture of both regular and ad-hoc processes.

Regular processes to ensure coherence include monthly meetings on result area R2 and communications activities under result area R6 which are led by the key experts for these respective areas and involve sharing of technical guidance by the key experts and exchange of information with NSAs and relevant pilot projects. However, there was no evidence that lessons were being shared in this process.

For result area R4, on reduction of litter from sea-based sources, regular discussions took place between the key expert and the R4 pilots from Philippines, Thailand and Vietnam. These discussions include the sharing of lessons learnt.

For result areas R3 and R5 the sharing of lessons learned is limited and in some cases ad-hoc. For Result area R1, there was no evidence on the sharing of lessons learned across countries.

National Senior Advisers (NSA) share information with each other via emails on the pilot project methodologies used across result areas R2, R3 and R4 and also during online progress calls hosted by the project team in Bangkok. This led to the use of some lessons learnt across partner countries. Some examples included lessons from Thailand on single use plastic carrier bags were shared with implementers of the Vietnam pilot “Alliance of Retailers to reduce the consumption of single-use plastic bags among supermarkets” under R2. There were monthly meetings on EPR and public awareness under R3. The pilot in Vietnam “Fishing for litter scheme” from Phú Yên province has drawn on lessons and practices from China on how they conducted awareness raising with fishermen on the risk of plastic pollution under R4. There has been the identification of speakers from Vietnam for an event organized by ICEF in Indonesia. The Action is planning to co-organise a webinar in Vietnam with UNDP to share lessons learned from UNDP’s pilot projects and the Action’s pilot projects’ implementers in Hanoi, Ho Chi Minh City and Phú Yên. There was no evidence on efforts to share lessons learnt on policy development between partner countries. Based on the

evidence, the efforts of the Action to ensure coherence in its activities across result areas R1, R3 and R5 are insufficient. The efforts of the Action to share challenges, lessons learned and solutions that have been applied successfully across stakeholders from the partner countries is also insufficient. Specific recommendations are provided in Chapter 3.

Effectiveness

Effectiveness focusses on whether and how the Action is achieving its expected outputs, results and outcomes and in turn achieving its expected objectives.

1. Is the Action likely to deliver its expected results (outputs)?

The Action has faced a number of delays since its commencement. Some delays were due to formalising government engagement in the form of MoUs, as the implementing partners preferred this mode to formally engage political partners in each country. This has led to significant delays particularly in the Philippines and to a certain extent in China where the MoUs are pending signature. Workable alternatives were to implement activities with non-political partners and stakeholders on the ground while waiting for the MoUs to be inked. This parallel approach would reduce delays in implementation of activities under R1 (policy engagements with local government level/municipalities) R2, R3 (pilots), R6 (communication and visibility efforts with pilots). Alternative approaches to MOUs are reflected upon under the first Lessons Learnt in Chapter 3. Other delays cited by stakeholders included staff turnover amongst NSAs in the Philippines and China, which led to delays in the implementation of activities in these countries. The Covid-19 pandemic commenced during year 1 of the project and resulted in delays in certain events, shifting towards online events as well as with contracting and mobilising the pilot projects. Two study tours focussing on increasing knowledge exchange were cancelled. These are not expected to have a profound effect on the effectiveness of the Action, as other approaches for knowledge exchange and experience sharing are being adopted by the Action. Alternative activities have been also planned in the second Annual Report Work Plan¹⁸ which are feasible despite the pandemic. The major outputs delivered and pending can be summarised from *Table 5* below.

Table 5: Number of completed outputs under the Action

Events related to policy, pilots & others	Knowledge Products/ Reports & Publications	Communication & Visibility	Pilot projects completion
<ul style="list-style-type: none"> • 10 events (Result 1) • 8 events (Result 2) • 3 events (Result 3) • 2 events (Result 4) • 1 event (Result 5) • 2 events (Result 6) <p>Events: 26/41 completed Participants: 10.954 to date</p>	<ul style="list-style-type: none"> • 4 (Result 1) • 5 (Result 2) • 1 (Result 3) • 1 legal review (Result 4) • 1 (Result 5) <p>Total: 12/20 completed</p>	<ul style="list-style-type: none"> • 100 articles published in print or digital media (e.g. on workshops, launch events, pilot outreach) • 1 comms toolkit • 2/5 campaigns completed (in China)¹⁹ 	<ul style="list-style-type: none"> 6 China 6 Indonesia 4 Philippines 4 Thailand 4 Vietnam <p>Total: 24 in progress</p>

Despite the delays the Action has made good progress in the delivery of the majority of its outputs according to its stated targets. The project has adapted well to Covid-19 and shifted events to online modes. In its first two years of implementation, progress has been made across events with 26 major events out of 41 (63%) completed under all result areas. These have involved over 10,900

¹⁸ The proposed three new activities replacing the 2 study tours in the latest work plan are:

Line 58: Increase EPR training in partner countries under R2

Line 67 increase webinars to facilitate exchanges between pilot projects under R2

Line 82: Compile a collection of policy and practice examples to demonstrate the implementation of EU Directive on Single-Use Plastics in EUMS and the phasing out of certain single-use plastic products from July 2021 as well as examples from partner countries in East- and Southeast Asia under R3

¹⁹ Photo gallery contest and student quiz activities in China

participants, the majority of whom were views at online events, in comparison to an initial target of 1130. These events have helped to establish strong dialogues with governments and stakeholders of partner countries. According to the evidence, there has been an increase in the number of participants at events with the shift from in-person to online events. However, despite the shift to online events the ET saw no evidence on the gathering of feedback from participants to assess their sentiments and adoption of EU practices. This is a drawback of the Action, as valuable monitoring data is not being captured on the effectiveness of events. Recommendations have been provided in Chapter 3.

12 knowledge products have been completed out of 30 (40%). Significant ones include: the Legal Review Ship Waste Management in Vietnam; a Handbook for Sustainable Production for Recycling Enterprise in Vietnam, EPR Policy Brief Vietnam; A Regional report on Plastic Waste Recycling Standards: Experiences from Europe and East and South-East Asia; Reducing Single Use Plastics in Food Delivery and Take-aways: Experiences from Europe and East.

In terms of communication and visibility, three levels of outputs were generated as per Table 5 above. These were materials disseminated by the Action, EU, and EUMS communication channels including web articles, publications, TV, news clippings; social media channels and campaigns by pilot projects; and collaboration with media to reach the wider public which included articles for newspaper, magazines, and radio and TV coverage for key events where EU officials were present with partner country officials. An example is the pilot project kick-offs in Thailand and Vietnam).

19 out of 24 interim pilot project reports were shared with the ET²⁰, indicating progress and delays faced as a result of national and local level lockdowns in many of the pilot locations. These reports did provide a contingency plan to address project risks due to the pandemic.

According to the evidence, the main outputs can be delivered by the Action within its current timeframe. However, according to evidence from interviews the major delays due to the Covid-19 and ongoing lockdowns in the partner countries, necessitate additional implementation time. A project completion in April 2022 is likely to substantially diminish tangible outcomes, sustainability prospects and broader impact. A minimum nine-months no-cost extension to the Action is recommended by the ET based on an assessment of documents and interviews with stakeholders and pilot implementers. This is based on an estimate by the ET that the pilots would need at least six additional months to implement core activities and for the Action to implement more regional activities. The pilots and the Action would need another three months to implement sustainability mechanisms, undertake proper handover and for wrap-up. If the budget allows it, a 12 months extension would further improve outcomes, sustainability and impact prospects.

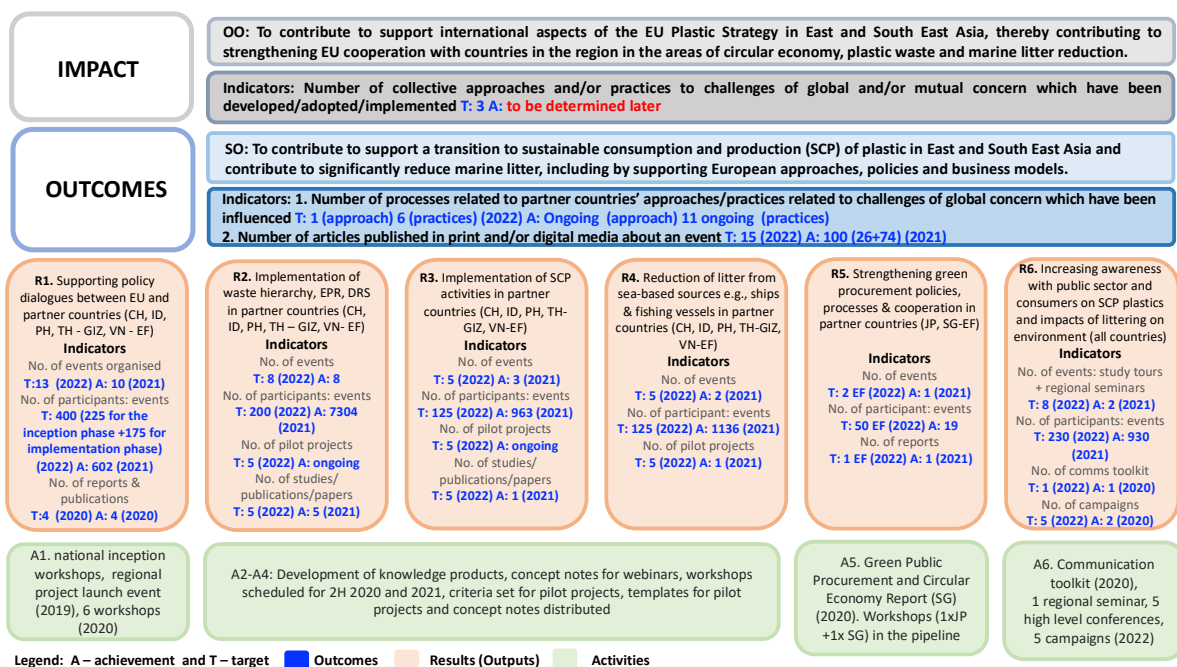
2. Are the Action results of good quality and likely to contribute to the achievement of the expected outcomes? What areas, if any, is impact likely to materialise in (e.g. policy or institutional changes or improved partnerships)?

Intervention logic

An overview of the Action intervention logic, together with targets and achievements at the outcome and output levels is summarised below in *Figure 2*.

²⁰ The ET did not receive five interim pilot project reports for this evaluation for 5 pilot projects despite two extended deadlines after 30 July. This was 1 pilot under Result 2 from Indonesia (Malang city, East Java), 1 pilot under Result 3 from China (Qingdao city, Shandong province) and 3 pilots under Result 4 namely 1 from Indonesia (Tegal City, Central Java) and 2 from Vietnam (Cat Lai Port and Phú Yên Province).

Figure 2: Action intervention logic including targets and achievements



The intervention logic contains some structural weaknesses in terms of mixing up purposes between the impact, outcome and output levels. The Overall Objective (OO) at the impact level overlaps with some elements at the outcome and output levels. The Specific Objective (SO) at the outcome level is appropriate as far as it refers to change in practices which are outcomes. However, “contribute to significantly reducing marine litter” belongs to the impact level. Furthermore, “supporting European approaches, policies and business models” belongs to the level of outputs, while the focus should be on “reinforcing or building-upon EU approaches”. Recommendations to reformulate the SO and OO are provided in *Chapter 3*. However, the ET understands that the terminology for the OO and SO relate to the financing decision which provides the legal basis for this Action.

Quality of outputs and achievement of expected outcomes

The project outputs including reports, knowledge products, event outputs and material for events are of good quality according to feedback from stakeholders including EUDs, Directorate General (DG) Environment and government partners and based on a review of outputs by the Evaluation Team. The outputs are likely to contribute to the expected outcomes in the intervention logic.

For the outcome indicator ‘number of processes related to partner countries approaches on challenges of global concern which have been influenced’, the Action is influencing one approach in Thailand through a multi-stakeholder process. This is supporting the implementation of Thailand’s Roadmap for Plastic Waste Management 2018-2030, particularly on elaborating a strategy on EPR for packaging, with positive feedback on the potential for outcomes from the Thai PCD.

For the outcome indicator ‘number of processes related to partner countries practices on challenges of global concern which have been influenced’, the Action outputs are influencing nine processes related to partner countries practices in comparison to an initial target of six. These include supporting the implementation of the NDRC’ and MEE’s Opinion on ‘Further Strengthening Control of Plastic Pollution in China focussing on reduction of single use of plastic and enhancing plastic segregation, collection and recycling through outputs from three pilots. In Indonesia the Action has supported implementation of MoEF’s ‘Roadmap for Waste Reduction by Producers’, particularly on EPR for packaging and phasing out certain single-use plastics. In Philippines, the action has provided input and facilitated consultations for the development of the National Plan of Action on Marine Litter (NPOA) with ongoing support for implementation. In Thailand, the Action is supporting the implementation of the Thailand’s Roadmap for Plastic Waste Management 2018-2030 and the Action Plan on Plastic Waste Management through reduction of single use plastic. This has focussed

on plastic waste management including EPR for packaging schemes in collaboration with stakeholders.

In Vietnam the Action is supporting development of an EPR system for managing packaging waste through an EPR policy brief, outputs to influence the EPR decree and other outputs. Its outputs are also supporting a process for reducing SUP bags with local government and a number of supermarkets in Hanoi. The Action outputs are also contributing to the implementation of the MARPOL Convention in China, Philippines, Thailand and Vietnam through its Result 4 pilots. Outputs from these pilots are also influencing the implementation of cost recovery systems for waste, building upon the EU Port Reception Facilities Directive Annex 4. Translation of the EPR toolbox to the languages of the five main partner countries has commenced, with the translations for China and Vietnam completed. This has the potential to lead to outcomes on the adoption of EPR models and practices by local government. In Japan and Singapore there is limited evidence on the realisation of tangible outcomes at this moment in time, such as policy reforms or revised practices in the areas of circular economy, EPR of plastics and incorporating such criteria into green public procurement. Priority areas are still being identified in these countries that have the buy-in from government stakeholders. Further details on how the pilot projects are contributing to these outcomes are detailed in *Annex 11*.

Impact

There is evidence the Action is supporting the international aspects of the EU Plastic strategy in the five main partner countries. This is taking place by embedding EU experience and knowledge in strengthening of policy instruments and partnerships at local government level in China and at national and local government level in Indonesia, Philippines, Thailand and Vietnam. According to the evidence, the Action's outcomes are likely to materialise in improved government policy frameworks. However, in Philippines and Indonesia stronger coordination and progress reporting with key government stakeholders is required in order to fulfil these potential outcomes. It is also increasing awareness amongst wider communities. These are expected to lead to behavioural change amongst stakeholders towards circular economy models, circularity of plastics management including EPR, SCP of plastics and phasing out of single use plastics building on EU experience. Support to strengthen legal instruments in particular is expected to lead to tangible impact such as in China, Philippines and Vietnam.

In **China**, five pilot projects involve strong collaboration with local and provincial governments and there is evidence that results and achievements at the community level are being submitted to influence policymakers. The resulting policy reform is likely to have impact in terms of better plastic waste management. In **Indonesia**, strengthening of multi-stakeholder platforms at national and local level and EPR policy instruments have the potential to reduce the volume of plastic waste and marine litter through localised actions. Education and awareness targeting behavioural change will also contribute to this impact. In **Philippines**, the Action provided preparatory support, for the formulation of the NPOAML, which will drive marine litter reduction efforts in the country. Evidence indicates that four of the pilots are working to strengthen partnerships involving actors across the plastics value chain. One pilot has the potential to reduce plastic waste through awareness programmes, whilst another pilot is seeking to achieve the same by introducing voluntary guidelines on sustainable packaging and alternative materials. The latter has strong impact potential as it involves a market based approach with the largest mall operator in the country: SM Malls. The pilot under Result 4 has potential to minimise the amount of illegal dumping by ships via the online waste notification system. In **Thailand**, the Action has helped the Thai government to improve guidelines for single use plastic waste in food delivery and takeaways and strengthened a PPP on plastic waste management. These are likely to lead to reduced SUP consumption and their phasing out once legal policy instruments are introduced. The proposed changes in the PAT's policies with the online waste management system is aimed at improving waste recovery systems with incentivising mechanisms to reduce the illegal waste dumping at seas. In **Vietnam**, policy instruments on EPR including ongoing revisions to the EPR decree and strengthening of partnerships is likely to contribute to impact. Policy reform in the form of regulatory instruments will improve the circularity of plastics leading to reduced marine litter. One of the pilots targets a shift of consumer behaviour to reduce SUP bags and increase the

use of reusable eco-friendly bags at supermarkets. Additionally, the pilot under Result 2²¹ have been working closely with PRO Vietnam on digital solutions to scale recycling activities. In **Japan**, and Singapore there is limited evidence on the potential impact of the Action in relation to its events²². According to respondents it might require a longer-term approach focusing on building a stronger foundation. This can include increasing the frequency of policy engagements under result areas R1 and R5. According to the evidence from interviews, efforts should be channelled towards re-evaluation on how the Action can better frame itself to meet the national priorities and needs of Japan. This would require a different strategy to build a stronger foundation from scratch, to increase the frequency of policy engagements with targeted key government partners under result areas R1 and R5 respectively.

3. How has the Action supported the partner countries in awareness, knowledge transfer and take-up of EU policies, approaches and experience?

According to the evidence, the Action has supported partner countries in awareness, knowledge transfer and take-up of EU policies, approaches, and experience. This has been done through:

- i. provision of resource persons and experts with EU experience who engage with national stakeholders in the development of policy instruments, knowledge products to support policy reform and practical means to implement policy
- ii. facilitation of events such as workshops, fora and training involving national stakeholders and experts with EU experience, EU and EUMS officials and EU and EUMS expert organisations including PROs;
- iii. on-site pilot project briefings and demonstrations which bring together local governments, private sector players, community actors, academia and experts from the Action and some cases experts from other EUMS.

According to the interviews, when the Action conducts a workshop, prepares factsheets or knowledge products, their starting point is usually the EU Plastic Strategy, or the EU Green Deal and linkages are made to the relevant partner context. Further details on the take-up of EU experience at country level is provided below.

Based on the evidence analysed from interviews and pilot project reports, 16 out of 24 pilot projects (66% in total) are actively applying EU experiences to address specific issues in the partner countries. These included seven pilots under result area R2, five under R3 and four under R4. In **China**, there is evidence that five out of six pilot projects different circular economy models from the EU such as single use plastic. Comparison studies between EU and China policies were shared with the Chinese government. In **Indonesia**, EU experience supported the development of operation guidelines for EPR and strengthened engagement of IPRO with ICEF. There was evidence that EU best practices are used in one out of six pilot projects. According to evidence, the other pilots in Indonesia are developing local solutions to fit the Indonesian context, without incorporating EU practices. Intervention from the Action is needed to ensure the remaining five pilot build on EU experiences and maintain relevance to PI objectives and the overall objective of the Action. In **Philippines**, EU practices were shared during the formulation of the NPOAML. There was evidence that all four pilots were building on EU experiences through awareness creation and capacity building. In **Thailand**, EU experience has contributed to Draft Guidelines for Reducing Single Use Plastic in Food Delivery and Takeaways and strengthened a PPP on plastic waste management. There was evidence that all four of the pilots are building on EU experience in areas such as EPR and circular economy models, and best practices from the EU Ports Reception Facilities (PRF) directive. EU start-ups were invited as speakers at webinar sessions to share best practices with

²¹ This refers to Enhancing the Plastic Packaging Collection, Sorting, Recycling by both Formal and Informal Sector: An Evidence-based Approach in Dense to Rural Areas in Ho Chi Minh City.

²² A webinar on “Dialogue on Circular Economy: EPR and Beyond” was held on 30 September 2021 with participation from EUD Singapore, DG Environment, Ministry of Sustainability and the Environment, Singapore, National Environment Agency, Singapore, Singapore and EU experts from the private sector and Rijkswaterstaat (executive agency) of the Netherlands Ministry of Infrastructure and Water Management under the Action. Tangible follow up action remains to be seen.

attendees²³ on innovative approaches to reusable containers. In **Vietnam**, EU best practices are shared by the Action via webinars and reports with stakeholders. EU experience was incorporated into the policy brief on EPR, the revisions to the EPR decree and the EPR multi-stakeholder platform. There was evidence that EU experience was supporting two out of four pilots in Vietnam. These built on EU approaches to EPR, the Single Use Plastic Directive and 3R. Further details are provided in **Annex 10**. It is essential that the remaining eight pilots build upon and adapt EU experiences, approaches and policies so that these pilots remain relevant to PI objectives. Recommendations are provided in Chapter 3 for the Action to increase effectiveness of the pilot projects through enhancements in its management, monitoring and reporting processes. In **Singapore**, the recent webinar included a panel discussion on EPR for e-waste, which included presentations from EUMS, which would have created some awareness of EU experiences.

4. Does the Action receive sufficient policy and other guidance from the relevant EU services?

According to evidence from interviews, the Action receives sufficient policy and other guidance from the EU services including FPI Regional Team, DG Environment, EUDs and in one instance DG MOVE. These cover on updates to policies, regulations, standards and processes which can support policy dialogues with the partner countries. Guidance and feedback on pilot project concept notes were also provided, and on Work Plans. One respondent shared: *“support for Japan and Singapore from EU delegations, DG Environment’s and other DGs’ technical staff on political and diplomatic work has also been consistent and EUD in Bangkok has played the useful role of a facilitator”*. DG MOVE who is responsible for EU directives in transport including shipping, was willing to participate in a webinar and as part of a panel discussion. Many action events at both national level, such as major workshops, and local level, such as the launching of pilots, involved support and the presence of representatives from the EUD and where feasible DG Environment.

Efficiency

Efficiency focusses on how well the Action will deliver its results in an economic and timely manner.

1. Are the outputs and outcomes delivered cost effectively?

This is a multi-donor Action that is being implemented in indirect management with GIZ and Expertise France, with the EU FPI Regional Team in Bangkok, as the contracting authority.

According to the evidence from interviews, financial report and PSC minutes the Action has delivered outputs and outcomes cost effectively. Interviews with stakeholders from the EU services revealed satisfaction with the cost-effective use of resources. Analysis of steering committee meeting minutes revealed that no concerns regarding costs incurred had been raised. The pilot actions are being financed as non-profit grants and are being implemented by universities, foundations, national and international CSOs and NGOs. The pilots’ range in size from EUR 40,000 to EUR 176,000 based on the project documents. These appear justified and cost effective at the outset, based on the range of outputs involved and potential outputs. However, it would require assessment of the end outputs delivered. Analysis of costs for in-person events, provided by the action, revealed an average cost of approximately EUR 92.93 per participant which is reasonable and in-line with similar in-person events by other EU projects in the region. The training on the Chinese version of the EPR toolbox cost approximately EUR 315 per participant for a 3-day training event. The shift to online or hybrid events as a result of the Covid-19 pandemic have greatly reduced event costs. Certain activities such as study tours are not expected to take place due to the pandemic. The Action has proposed three alternative activities focusing on webinars, EPR training and collection of policy and practice examples to demonstrate EU experiences. These activities are expected to be more efficient at facilitating knowledge transfer.

The Financial reports revealed that out of a total budget EUR 9,962,550, EUR 2,892,663.97 has been spent during the first two years of implementation and EUR 7,069,886.03 remain, which represents 70.9% of the total budget. The Action has delivered 63% of events and 40% of knowledge

²³ One example is the webinar on Reducing Single Use Plastics in Food Delivery and Takeaway on 30 July 2020.
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products against its targets with 29.1% of the total budget, which indicates a good level of efficiency. This has been aided by the shift to online events due to the pandemic which has greatly reduced event costs and increased opportunities for participation by stakeholders from the partner countries. A further EUR 2,572,185 Euro has been allocated for 24 pilots which are ongoing and are expected to utilize this budget. The Evaluation Team is unable to provide further assessment on the cost effectiveness of specific outputs or outcomes, due to the lack of data on costs for outputs, such as cost of expertise for events and knowledge products.

2. How adequate are the project steering, project management and implementation mechanisms given the multi-country nature of the Action?

To cater to the multi-country nature of the Action, the main office was established in Bangkok, Thailand manned by the key experts and office admin staff. Additional national level operations were established in existing GIZ offices in Philippines, Indonesia and China, as well as in the Expertise France (EF) office in Vietnam, manned by a National Senior Adviser (NSA) and a part-time office administrative staff. Activities in the Philippines, Indonesia, China and Vietnam are largely devolved and implemented by NSA staff with technical direction from the key expert team from Bangkok. A global coordinator / backstopper from GIZ Head Quarter (HQ) in Germany undertakes overall backstopping while a backstopper from EF, based in France undertakes backstopping for activities under result areas R1 until R6 for Vietnam, R4 (China, Indonesia, Philippines and Thailand), and also provides the lead inputs for the Action’s activities in Japan and Singapore under R5. A project steering committee (PSC) undertakes oversight, reviews progress, approves workplans and undertakes strategic decision making as required. The PSC consists of the contracting authority (EU FPI Regional Team, Bangkok) co-chair, representatives from the DG Environment in Brussels, invited representatives from EUDs in each of the seven partner countries, a representative of BMZ the co-financer and the implementing partners from GIZ and EF. The FPI Regional Team and DG Environment are the co-chairs of the PSC.

The Action is implemented across a very diverse range of countries, in terms of marine litter issues, political governance, operating culture and socio-economic context. According to the evidence, the PSC is largely adequate in terms of its expected functions. All members felt the meetings were well operated, identified issues and provided strategic decision making as required and approvals done in a timely manner. Progress reports are shared across the PSC members who provide feedback and endorse workplans. Several members felt PSC meetings can be improved by involving the NSAs in the meetings, as they lead country level implementation and can share insights on challenges and progress. They can also provide EU counterparts with additional insights on policy developments, political updates, institutional dynamics as part of the advisory services expected from a PI project. Some members felt more regular working group meetings at the country level, involving the respective EUD, DG Environment, FPI Regional Team and the expert team would strengthen coordination and dialogue efforts and possibly lead to the identification of advisory services needed from the Action to support the EU better.

In terms of broader project management, the evidence indicates that the management and backstopping provided by GIZ, and EF is of high quality. Progress reports and other key processes involving the implementing team and the contracting authority and its representatives in the EUDs are closely monitored. A set of robust procedures are in place for administrative and logistical processes including procurement, subcontracting, financial management, accounting and time management. Administrative and logistical support is provided by GIZ staff in each of the four main partner countries (China, Indonesia, Philippines, Thailand) and EF in Vietnam²⁴, enabling the key expert team and NSAs to focus on technical and implementation matters. Initial engagement with the political partners in each of the five main partner countries, built on the longstanding presence, connections and track-record of GIZ and EF in the respective countries.

In terms of project management by the expert team, many stakeholders felt it was adequate particularly in China, Thailand and Vietnam. EU stakeholders in these countries felt the management and implementation mechanisms had a good balance between a structured approach to ensure

²⁴ Please refer to the documents in Item 2 and 24 of Part 1 Annex 8

quality and flexible to adapt to demand driven needs from the EU services. Government stakeholders from these countries also expressed strong satisfaction with the management and implementation mechanisms which were efficient. In Indonesia and Philippines EU and government stakeholders felt improvements to project management are needed and further details are provided below.

Four EU stakeholders felt the Action performed well in terms of facilitation, but was lacking in terms of advisory services and policy support to the EU, in accordance with expectations for a PI project. According to these EU stakeholders, the Action did not meet their expectations to provide technical guidance and there was an overreliance on the EU services. These four EU stakeholders also felt the multi-country dimension has not been adequately leveraged upon. The connecting of national efforts with a regional approach and providing potential regional advisory services to the EU was absent according to these stakeholders as well as according to an analysis by the ET of the project documents. Besides engagement with a few regional programmes, the Action is lacking a strong regional approach and is largely absent in terms of ASEAN interventions. Recommendations to address these inefficiencies are provided in Chapter 3 and are likely to improve the quality of outcomes from result area R1.

In Indonesia and Philippines all government stakeholders felt management and implementation by the Action needs to be improved. Sharing of progress reports on the Action’s activities in each country, were felt to be weak. The initial pre-selection of pilots was to be undertaken by the key experts and these lists were then to be submitted to the EUD and the political partners in each country. The latter did not take place in Indonesia and Philippines. According to all four government stakeholders from Indonesia and Philippines, insufficient updates on pilot progress have been provided by the Action. As a result, government stakeholders feel they have limited ownership in the pilot projects. They feel this would diminish the sustainability prospects of the pilots in terms of support from the central government. Two government stakeholders in Indonesia and Philippines felt the Action mechanisms were not adequate in terms of their participatory approaches. Such sentiments would diminish the ability of the Action to support dialogue and partnership building between the partner country and the EU. These stakeholders felt regular coordination meetings between the government partners, pilot implementers and the project team would address some of the Action weaknesses. Additional oversight and management by the team leader and key experts is important to avoid situations that can lead to the fracturing of partnerships with government agencies. Specific recommendations are provided in *Chapter 3*.

Activities in Japan and Singapore are implemented remotely by EF from Paris, with support from subcontractors to conduct stakeholder surveys and literature review. EF engaged the Institute for Global Environmental Strategies (IGES) in Japan to undertake activities such as gathering of feedback from stakeholders through questionnaires, literature review and inputs to the study. Despite these arrangements, management and implementation mechanisms in Japan are felt to be inadequate as the Action lacks a permanent presence in Japan, which has resulted in the Action operating on the fringes of EU-Japan policy dialogue. In Singapore, EF engaged a consultancy company to gather feedback from government stakeholders, provide input to the study and facilitate meetings and the recent webinar.

3. How satisfactory are the monitoring and reporting of the Action?

Reporting consists of quarterly reports for each of the partner countries and an Annual Progress report for the overall Action which includes annexes such as logframe updates and the Partnership Instrument Monitoring System (PIMS) indicator report. The Action also provides weekly updates on upcoming events and monthly updates with regards to its Covid-19 mitigation plan. The Covid-19 mitigation plan at the Action level appears to be adequate. However, Covid-19 contingency plans for 18 out of 19 pilot projects can be improved as part the evaluation team’s assessment in Annex 10. According to the evidence the monitoring and progress reporting by the Action is generally satisfactory. Most EU stakeholders felt the quality of the quarterly and annual progress reports were adequate. The EU stakeholders also felt that the Action was responsive with regards to addressing comments from the EU services in the reports.

Several EU stakeholders feel the Action can be more proactive in sharing information and “sectoral intelligence” from the partner countries including updates on political developments, policy reforms, important localised issues and information on other development partner initiatives.

The Action lacks a consistent approach to monitor its communication and visibility activities across the partner countries covering the communication channels of the Action, EUDs, EUMS, government partners, pilot implementors and media. The PIMS reporting currently does not reflect these findings with the emphasis on media articles in Thailand and Vietnam. This is further discussed under question 1 of the EU added value section. Based on our assessment, media monitoring efforts should be standardised across partner countries with the use of back-end analytical tools to monitor data on the success of communication campaigns to gauge the public relations value. Additionally, media coverage should be balanced across all partner countries.

The Evaluation Team were provided with interim progress reports for 19 out of 24 pilots. According to information from the Action, the production of progress reports by the pilots is voluntary. Furthermore, the pilot project reports reviewed do not have an official sign off process by the key experts or NSAs. This poses potential risks with regards to the monitoring, reporting and accountability process of pilots. Another issue identified is the complexity of the interim reports, which mirror the annual reporting structure of the Action and are overly complex for small grant projects.

4. How satisfactory is the pace of implementation given the budget and timeframe available?

A number of EU and government stakeholders felt there were delays due to staff turnover at the national project offices particularly in China and Philippines. According, to the stakeholders the present NSA staff are adopting an appropriate pace of implementation.

Several EU stakeholders felt the decision by the implementing partners (GIZ and EF) to adopt MoUs as a mechanism to engage and formalise relations with a political partner in each country led to significant delays during the inception phase of the activities particularly in China, Philippines, Thailand and Vietnam. Delays have continued in the Philippines and China. These stakeholders felt a formal agreement is less relevant for a PI project. According to an EU stakeholder: *“MoUs and agreements that you need to sign are something you do at a development cooperation agreement setting while in Partnership Instrument projects, you don’t need that. This slowed down the process a lot and then Covid kicked in”*. Another EU stakeholder felt: *“The delay is partly due to the nature of the arrangements as they wanted MoUs signed with the political partners. So far only Indonesia and Vietnam have signed MoUs. There has been issues in China and Philippines”*. Indeed, the establishment of MoUs in PI projects with partner countries is rare as the beneficiaries of PI contracts are the EU services. In Chapter 3, under lessons learned, the ET provides examples of multi-country PI projects that have been successfully implemented without MoUs. On the other hand, having an MOU in place can increase political and organisational ownership and sustainability prospects and thus in the case of this Action has merits. This requires flexibility by the implementing partners to adapt to the political process in each country to ensure implementation continues with good momentum if MoUs are not in place. The evaluation team does not consider it detrimental to the Action’s success if the MoUs for China and Philippines are not signed prior to the end of the Action.

Many acknowledged the delays caused by the Covid-19 pandemic which were outside the control of the Action. A number of activities were cancelled such as the two study tour visits to Europe, the pilot content design workshop in China, support for the Indonesia Upcycle forum. Many activities planned between February and May 2020 experienced delays with the onset of the pandemic. Following initial delays due to the pandemic, the Action implemented an open door webinar on 30th September 2021 “Dialogue on Circular Economy: EPR and beyond”, followed by closed-door activities on 01st October. The evidence from interviews, progress reports and work plans demonstrate that the Action implemented several measures to adapt to the operational realities of the pandemic such as restrictions in international travel, lockdowns, social distancing requirements and health risks. The Action prepared a detailed contingency plan covering all activities at regional and national level with corrective measures. The Action adapted well to new working methods such as remote work and online events with positive sentiments from both EU and government stakeholders on how these were implemented. The shift towards online events and reduction in international and regional travel has led to substantial reduction in expenditure.

The evidence indicates delays in the mobilisation of the pilot projects. The call for pilots was released on 15 December 2019, and concept notes submitted by pilots in January 2020. The provisional timeline envisaged the conclusion of pilot contracts by middle of May 2020. However, only one pilot was contracted in September 2020 and a further seven in November-December 2020. Nine pilots were contracted between January – February 2021 and others between March and May 2021. Stakeholders felt that some delays for the pilot mobilisation process could be attributed to the onset of the pandemic between March and June 2020. However, most stakeholders felt the pace of pilot contracting and mobilization implementation was below optimal, even after accounting for 2-3 months delay as a result of Covid-19 given that the majority of pilots were mobilised nearly 12 months after the receipt of the concept note. Most stakeholders felt that September 2020 would have been a reasonable timeline to contract the pilots. As a result of the delays to the pilot contracting and mobilisation process, most pilots have between 12 to 13 months for implementation. This limited timeframe will compromise the quality of pilot outputs, the realisation of tangible outcomes and sustainability prospects according to evidence from interviews. Many pilots are facing delays in engaging with their local partners due to lockdowns at either national or local level.

EU-added value

This criteria focussed on how the Action added benefits towards its results in comparison to EU MS and other development partner initiatives. For this criterion, the ET assessed the EU-added value during a) communication of learning and experience-sharing between Action partners and stakeholders b) public awareness activities that were undertaken during the Action to influence attitudes or shape behaviour among wider communities and civil society at large while simultaneously improving the image and visibility of the EU in line with PI objectives and in accordance with the requirements stated in the DoA and supporting project documentation²⁵.

1. How has the Action contributed to the improved image and visibility of the EU in the partner countries including the role of the EU as a global player? Has the Action scaled up the level of environmental dialogue between EU and partner country?

Visibility – Efforts, Issues and Gains

According to the DoA the Action seeks to improve the image and visibility of the EU with (1) political visibility of the programme activities addressed to political decision-makers and the media (2) awareness raising activities aiming at a wider public awareness for circular economy and sustainable management of plastics/ marine litter prevention.

The Action refers to the Communication and Visibility Manual 2018 for EU External Actions in its communication and visibility plan which guides implementation of communication and awareness raising activities under Result 6. The Action has implemented a range of communication activities targeting different audiences including relevant participants and stakeholders in activities and a few public diplomacy efforts. The evidence revealed that thematically, the communication and visibility strategy focussed on creating awareness on the EU's policies and experiences from the Green Deal, the EU Plastics Strategy, the Single Use Plastic Directive, Circular Economy Action Plan, EPR and other initiatives in the partner countries. All Action material including that from pilots would include the EU, BMZ, Action and implementing partner logos in their communication and visibility activities and materials.

According to evidence from interviews, the EU image has increased, in the five main partner countries and to a certain extent in Singapore. This was accomplished by strengthening partnerships involving the EU, EUMS, EU experts, other development partners, NGOs, business associations, national government and local government in addressing a major concern of plastic waste and marine litter. This is further elaborated in Annex 10. A respondent shared; *“this project has a lot of potential to raise the visibility of the EU leadership in a sector that is quite strategic for us”*. The COBSEA Secretariat invited the Action to the Working Group on Marine Litter (WGML) and this

²⁵ DOA, Communication and Visibility tools such as brochures, factsheets, slides, translated documents, policy briefs, legal reviews, knowledge products, PIMS report and agendas for upcoming dialogues. Public Awareness was assessed under the stakeholder participation criterion i.e., attendance, social media channel screenshots, photos from meetings, campaign and on-site activities captured in the nineteen interim pilot project reports and the hundred listed publications in the PIMS reporting table.

generated awareness of the EU’s Action amongst COBSEA member countries including country focal points.

According to the evidence from the 19 interim pilot project reports and Annex 10, 17²⁶ out of 24 pilot projects, are proactively enhancing the EU image and visibility amongst local stakeholders by adhering to EU visibility guidelines, provided by the communications and monitoring Key Expert, in communication activities. 2 reports did not disclose information and supporting information such as photos and screenshots of communication activities²⁷. 16 of these pilots²⁸ are also promoting EU experience and best practices, as described under question in the effectiveness section, which provides a stronger approach to enhance the EUs image and visibility. Progress reports were not available for five of the pilot projects. Thus, the ET lacked adequate evidence to assess these pilots. Some stakeholders feel the identity of the Action is diluted and at times confusing due to the number of logos used in materials which include the EU flag, BMZ logo and GIZ and EF. These stakeholders felt the EU Flag and BMZ logo are sufficient for materials targeting the wider public including local communities. GIZ and EF logos can be included in more formal publications which involve participants from the government, donors and CSOs. Specific details regarding visibility efforts and gains for the partner countries are summarised below, with further details provided in Annex 11.

In **China**, respondents shared that the Action raised the positive image of the EU. Media monitoring reported 1,936 followers and a total viewership of 6,558 by end of 2020²⁹ in Action social media channels. In addition, three out of six pilots in China are implementing communication activities which are improving the EU’s visibility at local level through social media. The Fishing-for-litter pilot in Hainan resulted in over 3,000 views. The ship waste management pilot in Shanghai and Tianjin has an upcoming exhibition and online quiz with the potential to create EU visibility across a broad audience. In **Indonesia**, the EU’s image and visibility was strengthened during ICEF sessions by sharing of EU experiences. There was evidence that two out of six pilots have made progress in enhancing the EU’s visibility amongst local communities with one pilot experiencing 1,552 social media interactions. In **Japan**, the EUD has a strong existing policy dialogue with the Japanese government and the contribution from the Action towards the image and visibility of the EU was felt by stakeholders to be limited. In **Philippines**, respondents shared that the EU is a champion in the fight against plastic litter and marine pollution; a global problem. There was evidence that all four pilots are improving the visibility and image of the EU. In the Voluntary Guidelines on Sustainable Packaging pilot, the Mayor of Iloilo city supported the engagement process improving visibility local stakeholders. The social media efforts of the Wala Usik pilot have reached over 20,000 views through a call for action amongst youth. For **Singapore**, the Action has created some EU visibility amongst participants through the organisation of two EU-Singapore policy events covering circular economy and green public procurement³⁰. The presence of the Action has improved the image and visibility of the EU at high-level dialogues between the EUD and government officials and the Action is referred in such discussions. In **Thailand**, where the main Action office is located, there has been significant media coverage totalling 79 articles in a range of news outlets including prominent media such as the Bangkok Post and channels of EUMS. In **Vietnam**, awareness on the EU experience was created amongst national government, local government, development partners, CSOs, communities and private sector. A total of 25 articles were released by online newspapers such as the Vietnamese Investment Review. There was media article each in Indonesia, Philippines and Singapore. There was evidence that one of the pilots was following the EU visibility guidelines in its materials. Some stakeholders felt the EU-Vietnam Trade Agreement, can be leveraged by the Action to further enhance image and visibility, and bring together relevant EU and Vietnamese private sector.

²⁶ See footnote 4 above.

²⁷ This was under Result 3 for 1 pilot in Indonesia (East Java and Lombok) and 1 pilot Vietnam (Hanoi)

²⁸ These are 7 under **Result 2**: 2 China (Inner Mongolia, Hainan), 1 Indonesia (Semarang), 1 Philippines (Iloilo city), 2 Thailand (Rayong, Trang provinces), 1 Vietnam (HCMC) 5 under **Result 3**: 1 China (Hainan), 2 Philippines (Iloilo city, Bocolod & Talisay city), 1 Thailand (Phuket), 1 Vietnam (Hanoi) 4 under **Result 4**: 2 China (Shanghai & Tianjin port, Hainan), 1 Philippines (Batangas port), 1 Thailand (Bangkok port). See Annex 10

²⁹ EU Quarterly Report No. 4 China from October to December 2020

³⁰ These are the events on 7 December 2020 and 30 September 2021 as well as close door activities on 1 October 2021.

Media engagement focused largely on Thailand and Vietnam and was not balanced across the other partner countries. The Action lacks a consistent approach to undertake media monitoring across its partner countries including pilot projects, to adequately monitor the visibility and outreach amongst a wider audience including views, hits, likes and other interactions with articles. In Thailand, where the Key Expert dealing with Communications is based, a media monitoring service is used including a star rating to gauge return of investment on media publicity efforts. In the other partner countries, media monitoring is devolved and is the responsibility of each NSA. Besides Thailand and Vietnam, media monitoring and communication efforts in the other partner countries is not sufficiently described in the PIMS reports.

EU as a Global Player

The Action has contributed to enhancing the image and highlighting the EU as a global player in the area of marine litter and plastics management. This has been done by supporting EU policy dialogue efforts with governments in the five main partner countries, implementing localised pilot projects and through the facilitation and participation in several major events at national and regional level. Some examples are provided below.

In **China**, EU practices and experiences are being shared by pilot projects and training on the EPR toolbox delivered. These are expected to influence policy at provincial and local government level as well as the adoption of practices and business models amongst companies. In **Indonesia**, the Action has showcased the EU as a global player in the area of EPR, sharing best practices, establishment of PROs and partnerships between IPRO and PRO offices in Europe. The Action has facilitated an approach involving the EU and EUMS such as the Netherlands, Denmark and Germany. In the **Philippines**, despite the broader political friction from the Philippines leadership, the Action supported the DENR in the preparatory steps of the NPOAML. It is seeking to contribute towards the implementation of the NPOAML and Single Use Plastics Product Regulation. Pilot projects are promoting EU best practices. In **Thailand**, the Action provided guidelines for single use plastic waste in food delivery and takeaways and resulting in feedback to the Cabinet that was valued by government stakeholders. EU best practices³¹ were featured prominently when it came to imposing fees for waste at ports where EU experts also shared experiences from Vietnam and ASEAN and helped reinforce the notion that the EU is globally advanced in policy and enforcement. According to a government stakeholder: “*Obviously, EU is a leader in plastic waste management, it is clear and their support to Thailand is to help us learn operation, issue new instruments in line with Thailand’s context*”. In **Vietnam**, the EU is seen by key Ministries as a global player in circular economy, plastic management and SCP best practices. The main achievements were enhancement of the EPR Decree and an EPR that was tabled in parliament.

The unique attributes of the EU approach including its focus on multilateralism, a rules-based-order and being people-centric were factors that enhanced the EUs role as a global player. Some officials associated the EU flag with a reputation of accountability and transparency. Efforts bringing together EU and EUMS efforts further enhanced credibility and added value.

Environmental Dialogues

According to the evidence by national government stakeholders, the action has supported more in-depth environmental dialogues in several partner countries. In **Indonesia**, **Thailand** and **Vietnam**, the Action has contributed to enhanced dialogues on circular economy and EPR through workshops, multi-stakeholder platforms and direct dialogue between the EUD and government. In **Vietnam**, pilot projects activities and outputs are being linked to eleven policy instruments to further strengthen policy dialogue. In Philippines, the Action has provided an entry point to the discussion on plastic waste management and has contributed some inputs to the National Plan of Action on Marine Litter. In **China** some EU stakeholders feel there is sufficient environmental dialogue between the EUD and central government, commensurate with the resources available at the EUD to follow-up at policy and political level. However, the Action is supporting policy reform at provincial and local government

³¹ Please refer to [EU Port Reception Facilities \(PRF\) Directive Annex 4](#) for Thailand’s pilot project on Ship Waste Management Online Platform Development at Bangkok Port under Result 4 and the [EU’s Study on differentiated port infrastructure charges to promote environmentally friendly maritime transport activities and sustainable transportation](#).

level including contributions to targets in the 14th Five Year Plan 2021-2025 on plastic pollution. This is likely to feed into the EUDs broader dialogue with central government. In **Singapore**, preliminary efforts to engage with the Singapore government on plastics and on the Green Deal has occurred but there has been no evidence on tangible policy recommendations, policy reforms or revised practices in the areas of circular economy, EPR of plastics and green public procurement. Follow-up activity from the webinar held on 30th September 2021 “Dialogue on Circular Economy: EPR and beyond” and closed door activities on 1 October 2021 will determine if the Action contributes to enhancing EU environmental dialogues with the Singapore government. Some respondents from **Japan** felt the Action was supporting the policy efforts on the fringe instead of being involved in facilitating it at the forefront. The upcoming workshops will determine if a notable contribution from the Action to the EUD dialogues can take place.

2. What is the strategic significance of this Action in the partner countries, in comparison to other relevant development partner interventions? Has the EU experience led to identification of improvements to policy and legislative frameworks?

The combination of national level policy and institutional support and tangible community led localised actions in the form of the 24 projects is viewed as innovative and strategically significant, by stakeholders from government, EU institutions including EIB and EUMS. Many respondents felt the Action came at the right moment to support the implementation of action plans, further policy reforms and strengthen PPPs. The Action has added value to a number of programmes supported by other development partners, described in the coherence section. The strategic significance of the action and the identification of improvements to policy and legislative frameworks as a result of EU experience is summarised below for each partner country, with further details provided in Annex 11.

In **China**, the pilots are influencing policy makers at provincial and regional level. They are encouraging establishment of new circular economy business models. One respondent shared “*well, it has a strategy of combination of political and community will power. Both a top-down and bottom-up approach combined. Strategy includes the top-down senior level policy makers - they want to introduce this to China and Hainan*”. In **Indonesia**, the collaboration between the Action and ICEF has strengthened partnerships and brought key actors together including other EUMS, government, large industry players like Unilever, Nestle, and Indofood, SMEs, the plastics industry, CSOs and communities and is viewed as strategically significant in comparison to other development partner initiatives. The Action³² is supporting the implementation of the Roadmap for Waste Reduction by Producers by strengthening policy instruments to support a transition towards EPR in Plastic Packaging. In **Philippines**, the Action provided preparatory support, including EU experience for the formulation of the NPOAML to complement the efforts of UNDP. The Action has developed a comparative study on single use plastics legislation. This will serve as input for further exchanges between the project, the EUD Philippines, DENR, and the Climate Change Commission. In **Thailand**³³, the Action has been part of the World Bank coordinated efforts in the area and has contributed towards policy dialogues on the Action Plan on Plastic Waste Management Phase I (2020 – 2022) approved by the Thai Cabinet in February 2021. Additionally, EU’s policies and best practices on single use plastics has been incorporated in the draft guidelines for reducing single use plastics in food delivery and takeaway, which are of strategic significance, One respondent mentioned; “*Before the project, Thailand plastic waste management was on a voluntary basis. Now it is the time for Thailand to do a mandatory basis and to learn from EU policy frameworks, advocate and set up directions on policy and adjust to the Thai context*. The pilot project under Result 4 is viewed as strategic by supporting the establishment of a green port, one respondent mentioned; “*it is an inclusive project. There is an online waste management system to help them achieve a green port. They are now doing everything manually. This pilot project helps them to achieve their green port status including better waste management. It’s not only inclusive but sustainable in the long term to achieve green port*”. In **Vietnam**, the Action is part of World Bank and MONRE coordinated working groups. The Action’s collaboration with the government to strengthen certain Articles of the Law of Environmental Protection to include EPR, are strategically significant in adopting circular

³² EU Quarterly Report No. 4 and 6 Indonesia from October to December 2020 and from April to June 2021.

³³ EU Quarterly Report No. 5 Thailand from January to March 2021.

economy approaches in plastic management. The pilot projects are providing opportunities to expand partnerships in the SCP and circular economy fields. There is limited evidence about the strategic significance of the Action in **Japan** and **Singapore** following the publication of the respective comparative studies on green procurement and circular economy.

Overall EU experiences in relation to EPR schemes, EPR toolbox, recycling platforms, PROs were integrated in 16 out of 24 pilot projects. The EU EPR toolbox was translated and shared with pilot projects’ implementers and national stakeholders in **China, Indonesia, Philippines, Thailand and Vietnam**. The EU’s circular economy practices are being localised to fit the context in partner countries by connecting the key actors along the plastic value chain in 7 pilot project activities using a people centric approach. The EU best practices from the EU Port Reception Facilities Directive Annex 4 and some practical examples in implementing costs recovery systems have also been shared with ports operators via the pilot projects in Result 4.

Sustainability

Sustainability focusses on whether the benefits delivered by the Action, will continue after the Action ends. The Evaluation Team assessed the probability of direct outcomes being maintained after the completion of the Action, as well as the key factors that are likely to undermine or contribute to the presence or enhancement of these outcomes over time. This involved the assessment of quality and degree of engagement of government or public sector agencies in the intervention. The evaluation also considered the involvement not only of those directly involved in the Action’s execution and those participating in technical or leadership groups, but also those official representatives whose cooperation is needed for change to be embedded in their respective institutions and offices.

1. What are the key factors that will support the sustainability of the project, such as the continued use of project outputs (e.g. knowledge products) or outcomes (e.g. increased capacities, pilot initiatives) in the partner countries, once the project has ended?

The Action design envisages activities that aim to support the international aspects of the EU Plastic Strategy in East and Southeast Asia to address issues related to marine litter prevention. The Action supports processes at various intervention levels in partner countries, including national government, local government, large industries, SMEs, informal sector operators, households, communities, CSOs and academia. Key dimensions that will support the sustainability of Action outputs and outcomes can be grouped in terms of **policy, organisational and financial** sustainability factors.

Policy sustainability factors

The Action seeks to promote behavioural change amongst stakeholders towards circular economy models, better plastics management including EPR and phasing out of single use plastics and thus contribute to the international aspects of the EU Plastics strategy. Thus alignment with national and local legislation and policies serve as an entry point to sustain outputs and outcomes. Initiatives which contribute to national and local policy frameworks including their implementation will ensure stronger buy-in from private sector, community and other operators as they seek to meet legal and other obligations. This is likely to result in organisational and financial support from government actors either at national or local level.

Strengthening of legislation through reform or additional policy instruments is expected to further increase the prospects of sustainability. Policy briefs, comparative studies with best practices and new business models from pilots are examples of outputs that can strengthen legislation and reform. Guidelines, toolkits, capacity building resources, standards, systems, outreach mechanisms and partnerships are examples of additional policy instruments that enhance the effect of legislation and policies. Such outputs are highly likely to be sustained through organisational and financial support from government. These outputs are also likely to have a multiplier effect and increase sustainability prospects for other outputs and outcomes that seek to promote relevant behavioural change.

Organizational sustainability factors

Key factors likely to support organisational sustainability are buy-in from stakeholder organisations and operational capacities and procedures. Buy-in and ownership are crucial elements to ensure

that partner organisations can continue to use the outputs achieving outcomes initiated by the Action. Ensuring relevant capacities and processes are in place to sustain outputs and outcomes was cited by stakeholders as important. In Indonesia, the national government proposed that local government officers should receive capacity building so they can continue to implement the pilot activities once the Action ends. Strengthening of partnerships amongst government, private sector, academic and community actors and systemic linkages with international networks was also viewed as important.

Financial sustainability factors

Financial sustainability would ensure that any costs required to sustain the use of outputs or achievement of outcomes can be sourced. A major source of financial sustainability is expected to come from national and local government budgets in the case of activities that support the implementation or enhancement of legislation and other policy instruments. Another source of financial sustainability is private sector including major industry. Market driven approaches are also likely to affect financial sustainability of the Action. For example, in Indonesia stakeholders felt the business models from the EPR pilots need to be smart and aligned to business appetite to increase adoption, upscaling of efforts and continuity of activities. This could also lead to a pipeline of bankable projects in the area of circular economy and marine litter pollution reduction. Sustainability can be enhanced via municipal waste management, EPR and integration of circular economy approaches which can significantly increase economic viability of operations and it will be a key criterion to involve potential start-ups and to support their innovative approaches. Such action is expected to ensure that business decisions taken by pilot projects or start-ups involved in selected result areas will be based on well-calculated business planning and risk assessments. Other sources of financial sustainability include development partners, including EUMS, through complementary or new initiatives.

2. Are adequate measures in place, including ownership, integration in national programmes and financial support, to ensure the sustainability of results?

Policy sustainability measures

EU and government stakeholders felt the policy dialogues in the five main partner countries will be sustained based on the political will from both sides, which currently looks positive.

Action outputs that contributed to policy reform are likely to be sustained beyond the Action. This is particularly the case for the five main countries due to close alignment with the existing policy frameworks, strong participatory approaches and design of outputs that meet national needs and context. The EPR toolbox has been translated to national languages of China, Indonesia, Philippines, Thailand and Vietnam. This, together with training that is being provided, will greatly increase the prospects of the tool box being used beyond the Action period. There are a total of 16 pilots³⁴ who were aligning, with national policies and contributing towards policy recommendations or reforms and these have strong potential for policy sustainability. Specific policy sustainability measures in each partner country are summarised below.

In China, outputs from some pilot projects, with private sector players, will conclude with testing of circular economy models which will be shared with policy makers. This will lead to both policy, organisational and financial sustainability to continue and replicate the efforts, according to stakeholders. Those pilots which contribute to local government targets in the Development Plan for the Circular Economy: 14th Five Year Plan 2021-2025 on plastic pollution are expected to receive organisational and other support from local government.

In Indonesia, the outputs covering 12 operation guidelines for EPR on materials, and the operating guideline for plastics, are likely to be used and lead to the continuation of outcomes. This is due to

³⁴ These are under **Result 2**: 2 China (Inner Mongolia, Hainan), 1 Indonesia (Semarang), 1 Philippines (Iloilo city) 2 Thailand (Rayong, Trang provinces) 1 Vietnam (HCMC) **Result 3**: 1 Indonesia (Bandung & Banjarmasin), 1 Philippines (Iloilo city), 1 Thailand (Phuket), 1 Vietnam (Hanoi) **Result 4**: 2 China (Shanghai & Tianjin port, Hainan), 1 Indonesia (Banyuwangi), 1 Philippines (Batangas port), 1 Thailand (Bangkok port).

strong alignment and contributions to the Indonesian NPOA to Combat Marine Debris and their contributions to the policy development process for EPR packaging.

In Philippines outputs provided to the NPOAML will be sustained as they have been incorporated into the NPOAML which will drive efforts on marine litter. Support and instruments to support the implementation of the Single Use Plastic legislation have strong prospects for sustainability as they are early movers and will contribute to the enforcement of mandatory legislation for the packaging industry and at local government level.

In Thailand, the contributions to the Draft Guidelines for Reducing Single Use Plastic in Food Delivery and Takeaways are likely to be sustained and lead to the generation of further outcomes once the guidelines are finalised.

In Vietnam, the EPR contributions from the Action for the revised law to protect the environment is a key process that will ensure policy sustainability. These outputs along with those for the Draft EPR Decree are likely to allow achieving outcomes beyond the Action, once the Decree and revised law have been enacted. Outputs for national and local government to enforce legislation will also be sustained. These include guidelines and capacity to develop policy instruments such as tax incentives, tax mechanisms to improve their waste management process.

For the pilots under Result 4 that are implemented at ports, the overall integration strategy was to design the pilot project and to communicate to government agencies that adopting international standards improves the competitiveness of the ports' operations and can attract more ships to the port to dispose their waste in a transparent manner. This strategy coupled with digital solutions to modernise ports, and increased capacity building of staff at site resulted in support from the port authorities, as the pilot projects were combining both the commercial and port sustainability elements strategically. For the pilot in Hainan³⁵, there have been integration plans with local programmes to support the Hainan government to improve the proposed low costs model of waste management in collaboration with the fishing community and to provide inputs for the upcoming zero waste policies.

Organizational sustainability measures

The organisational capacities to continue the EU policy dialogues are expected to be provided by the EUD, other EU services and government counterparts from the respective partner countries.

Organisational sustainability for outputs targeting policy support in the five main partner countries is expected to come from the main government partners. These include CACE in China, DENR in the Philippines, PCD in Thailand. In Indonesia, BAPPENAS as the national planning and development agency, managing development budgets, has the potential to provide strong organisational sustainability measures including replication across other sectors and regions. This requires closer coordination by the Action to ensure the buy-in of BAPPENAS in outputs and outcomes. Other Indonesian agencies that will provide organisational sustainability include KLHK for the EPR and solid waste management outputs and KEMENKOMARVEST for the outputs related to ports. In Vietnam it includes MONRE, the Ministry of Industry and Trade and VINAMARINE.

The Action's overall strategy for the pilots was to build on existing on the ground resources and networks of the pilot implementors to ensure sustainability. The locations were selected by pilots based on efforts of local governments to address plastics reduction. 15 pilots³⁶ are adopting top-down and bottom-up approaches to strengthen multi-stakeholder engagements along the plastic value chain. For example in China, collaboration with some major industry like Coca-Cola and Pepsi is being explored. These players have expressed interest to continue the pilot under Result 2³⁷ in establishing the EPR platform with other Working Group members to enlarge the impact, apply feasible and practical models to replicate in other cities. In Indonesia, the ongoing engagement with ICEF provides a strong multi-stakeholder platform to sustain and replicate initiatives, bringing

³⁵ This refers to Reduce Marine Plastic Litter by Establishing Fishing-for-Litter (FfL) Scheme in Hainan province.

³⁶ These are under **Result 2**: 2 China (Inner Mongolia, Hainan), 1 Philippines (Iloilo city) 2 Thailand (Rayong, Trang provinces) 1 Vietnam (HCMC) **Result 3**: 1 Indonesia (Bandung & Banjarmasin), 1 Philippines (Iloilo city), 1 Thailand (Phuket), 1 Vietnam (Hanoi) **Result 4**: 2 China (Shanghai & Tianjin port, Hainan), 1 Indonesia (Banyuwangi), 1 Philippines (Batangas port), 1 Thailand (Bangkok port).

³⁷ This refers to the Pilot Study on the Establishment of a Waste Collection System Focusing on Plastic Drinking Bottles in Hainan Province.

together EUMS like Netherlands, Denmark and Germany. It includes the private sector via IPRO and PRAISE and engagement with large companies like Nestlé, Unilever and Indofood with potential to sustain the pilots under Result 2³⁸. In Philippines, the strategy has been to procure letters of support from the local governments expressing buy-in or ownership to jointly implement the pilots and ensure organisational sustainability. In Thailand, the Rayong pilot has integrated the community leaders with the key actors of the PPP plastic network to strengthen networks on the ground with private sector players involved in other projects in Rayong. In Vietnam, the strategy has been to collaborate closely four key Ministries³⁹. It has engaged with MONRE to conduct train the trainers’ programmes, development and use of handbooks by organising various capacity building workshops. The Action has also facilitated provincial government to collaborate with supermarket chains. These provide organisational sustainability measures.

The Action’s policy instruments on EPR and the EPR toolbox can also be integrated and linked to the East Asian Seas Regional Node of the Global Partnership on Marine Litter (GPML) that COBSEA countries⁴⁰ are developing to provide regional access to the EPR toolbox translated into four languages.

Feedback was received that improvements in coordination with key political partners and line ministries are required in **Philippines** and **Indonesia** to engage them in a participatory manner regarding implementation, coordination with various stakeholders, sharing of progress reports and monitoring. This is likely to increase political ownership of the Action and sustainability prospects. Similar feedback was not received from China, Thailand and Vietnam as there was positive feedback from various national stakeholders as illustrated in page 16 above under Efficiency.

Financial sustainability measures

Financial sustainability to continue the policy dialogue between the EU and five main countries is expected to come from EUD and partner country sources for hosting of virtual or physical meetings.

Although no evidence was provided to confirm that sufficient efforts or resources have already been invested in advance to upscale the pilot projects in the five target countries, financial sustainability measures have been incorporated and shared as follows. 12 pilots⁴¹ have shared plans to handover the pilot project to the local governments, to integrate them into funding from national programmes. For the China pilot on collection of mulch films⁴² has qualified for the local government subsidies programme for farmers. One pilot involves Coca-Cola and Pepsi. In Indonesia the pilot under Result 4⁴³, a business model for waste management service is in place where income is generated from the collection and separation of waste. Several pilots are engaging with PRAISE and IPRO which involve major companies like Nestle, Indofood and Unilever and potential sources of financial sustainability. An upcoming national programme involving EUMS and international financial institutions, in the Philippines will provide strong means of financial sustainability and replication to outputs from the Action that show tangible results. This is likely to lead to enhanced outcomes. This would be in addition to financial sustainability from DENR budget, budget from local government and support from major companies such as SM Malls in the pilot on sustainable packaging. In Thailand, PCD is expected to provide the financial sustainability for policy instruments developed and strengthened by the Action. It is also expected to facilitate the continued operation of some of the pilots working with plastic packaging. The pilot in Rayong is engaging a number of recycling companies such as TPBI Public and Double N Plastic company which would potential contribution financial sources of sustainability. The PAT is expected to provide financial sustainability for the ports pilot. The BMU of Germany aims to implement a follow-up project to the Rethinking Plastics Project.

³⁸ This refers to Inclusive Partnership for Plastic Waste Reduction & Recycling in Semarang and Local Capacity Building on Sustainable Waste Management and Extended Producer Responsibility (EPR) Malang City, East Java.

³⁹ The four ministries are Ministry of Natural Resources and Environment, Ministry of Industry and Trade, Ministry of Agriculture and Rural Development, and VINNAMARINE.

⁴⁰ The COBSEA countries are Cambodia, China, Indonesia, Japan, Malaysia, Philippines, Singapore, Thailand, and Vietnam.

⁴¹ These are under **Result 2**: 1 China (Inner Mongolia), 1 Indonesia (Semarang), 1 Philippines (Iloilo city) 1 Thailand (Rayong) 1 Vietnam (HCMC) **Result 3**: 1 China (Hainan) 1 Indonesia (Bandung & Banjarmasin), 2 Philippines (Iloilo city, Bacolod and Talisay city), 1 Vietnam (Hanoi) **Result 4**: 1 China (Hainan) 1 Thailand (Bangkok port).

⁴² This refers to Innovative Plastic Mulch Film Collection Mechanism in Kailu County, Inner Mongolia Autonomous Region.

⁴³ This refers to the Ecoranger’s Fishing for Litter Programme in Banyuwangi, East Java.

In Vietnam, preliminary discussions about a Rethinking Plastic Phase 2 have started between the EUD, AFD and international banks like EIB and ADB according to stakeholders. Key areas of focus are technical assistance and infrastructure investments. One of the pilots involves a chain of supermarkets to phase out SUP bags and this provides a strong avenue for sustainability. For further details on country level sustainability measures please refer to *Annex 11*.

The COBSEA Secretariat proposed that the Action may want to explore synergies on complementary activities on EPR, circular economy, waste management at ports and the marine litter agenda under the SEA circular project and the COBSEA Regional Action Plan on Marine Litter. The SEA circular project will be launching pilot projects too. The Action should explore synergies, sharing lessons learned and potential sustainability options. At a regional level, a Team Europe Initiative to promote circular economy and the Green Deal is expected to involve Denmark, France, Italy and Germany. So far, the Action has not engaged with this process.

The sustainability measures in Japan and Singapore are limited at this stage given the lack of buy-in and limited prospects for tangible outcomes such as specific policy reform or revised practices focussing on circular economy, EPR of plastics and incorporating such criteria into green public procurement. Further sustainability prospects would be dependent on how the outcomes from the e-dialogues may take place in 2021.

Private sector support is also a potential source of sustainability. In Actions where financial resources are critical to applying the developed capacities and models, financial constraints may threaten the onward progress of such outcomes towards impact. Those pilots that are able to deliver on tangible outcomes, feasible business models and establish credible partnerships are likely to attract the attention and support of private sector and development partners including EUMS to continue and replicate the initiatives. However, such outcomes and partnerships require time to evolve through an organic and trust-building process that cannot be artificially rushed. This is particularly so given the restrictions from COVID-19 including local lockdowns and movement control. Given these considerations, an extension to the Action has strong merits and this is provided as a recommendation in *Chapter 3*.

Cross-cutting elements

The evaluation assessed if and how these cross-cutting elements were integrated in policy recommendations or mainstreamed in the pilot projects.

1. How has the Action incorporated the attainment of SDGs and its interlinkages across its activities?

The Action design makes reference to the relevance of the Action to SDG 6 (clean water and sanitation), SDG 8 (decent work and economic growth, particularly in the context of the plastics and waste value chain), SDG 12 (responsible consumption and production), SDG 14 (life below water). Of particular importance cited in the Action Fiche and DoA are efforts to support targets for 14.1 to prevent and significantly reduce marine pollution of all kinds, including marine debris and nutrient pollution. In terms of implementation, according to the respondents, the Action focusses on targets *14.1 marine litter, 11.6 collection of solid waste, 12.4 life cycle waste management, 12.5 on reductions* and material efficiency in other SDGs. According to the project team, these SDGs are being used as a framework to make development efforts more comprehensive. However, there is no evidence, that a deliberate and effective approach is in place to address the attainment of these SDGs, focussing on specific SDG targets in the partner countries.

The concept notes, call for proposals, and progress report templates for pilot projects do not refer to the SDGs. Some pilots reported on the relevance to the SDGs by providing a list of relevant pilot activities. 16 out of 19 interim pilot project reports reported incorporating the SDGs in terms of relevance. Ten pilots referred to SDG 5 (gender equality) where awareness and capacity building activities were provided to women involved in waste segregation. Other pilot projects also mentioned SDG12 (responsible consumption and production). SDG 11 (sustainable cities), SDG14 (Life below Water) and SDG6 (Water) were also mentioned as relevant in annual reports. Four interim pilot project reports referred to SDG 17 where inclusivity with partners, stakeholders and community

members were practiced during stakeholder engagements/meetings (online and in-person). In the Philippines, hackathons were organised to target SDG goals including SDG 14 and SDG 12 as part of circular economy education. These have the potential to contribute towards specific SDG targets in the Philippines. However, stronger guidance from the Action is required so that pilots move beyond being merely relevant to SDGs at a broad level. It requires pilots to identify and contribute to specific SDG targets in their respective countries and report on their progress towards these targets.

2. How have gender equality, human rights-based approaches and good governance been incorporated by the Action?

The action design refers to the importance of adopting gender-sensitive approaches, gender mainstreaming, youth inclusion and suitable governance. Gender and HRBA were reflected as elements in the call for proposals including the provision of broad guidelines for pilot projects.

Gender

According to the evidence, the Action contributed to gender equality through awareness activities, gender balance at events and pilot project activities. It undertook a study in Vietnam on informal waste pickers to promote advocacy related to their needs. Equal representation of women in the waste collection sector were included in focus group discussions for six pilots and targeted events involved mothers and wives at such meetings. Other efforts included participation of women NGOs including the Callicoon association, through two pilot projects in the Philippines, in waste segregation awareness activities. In the fishing for litter scheme pilots, awareness amongst families of the fishermen was undertaken on classification and recording of waste which is largely undertaken by women. The pilot project with the Port Authority of Thailand applies gender balance in their Working Groups. Three pilots in China and two in Indonesia included a female percentage of representation amongst the project team involvement, yet the small size of the project team makes this not very meaningful. One pilot in Thailand reported event attendance rates by gender. One pilot in Philippines conducted training on gender equality including training with sea farmers and reported plans to work with Women in Maritime, which is the International Maritime Organisation’s (IMO) gender programme. In Indonesia, two pilot projects reported practices focussing on creating more stable incomes for the informal waste pickers, who are mainly women, by promoting social healthcare (BPJS) and other employee benefits. They are also engaged and included in community empowerment efforts like ‘SEKOLA SAMPAH’. This initiative seeks to ensure that women are not made more vulnerable when sorting waste as collectors. The word cloud below provides key words provided by interview participants in response to this question on gender.



HRBA

For HRBA, some pilots are implementing activities to improve conditions for vulnerable groups such as women and poor communities involved in waste collection. Two pilots implemented activities targeting youth engagement and inclusion through outreach and education activities. The community-based pilot projects in Thailand engaged both women and male residential leaders and marginalised groups in their awareness raising activities.

Good governance

Policy dialogues in China, Indonesia, Thailand and Vietnam incorporated good governance by involving a range of stakeholders including government, businesses, associations, consumer associations, CSOs and academia. In the Comparative Studies for Japan and Singapore, governance was included as a topic in the reports. Governance was incorporated as part of the pilot project reporting templates. Eleven pilot projects reported on good governance measures. These included three from China, Indonesia, and Thailand and one each from Philippines, and Vietnam.

They described good governance practices during stakeholder engagements in their progress reports. For example, in China the focus was on improvements towards integrated waste management, reducing communication gaps between farmers and government officials and strengthening the governance towards sustainable development practices. In Indonesia improved governance was promoted by focussing on integrated waste management practices. Filipino pilot respondents shared examples of building partnerships and integrating these elements when engaging with stakeholders. In Vietnam a pilot engaged with the informal waste sector as part of addressing the roles of EPR actors.

A number of efforts have been implemented to incorporate these cross-cutting elements in the Action. However, gender efforts appear ad-hoc and lack a strong mainstreaming approach. Gender and HRBA are not mandatory elements in pilot project report along with the submission of gender disaggregated data. As pilot progress reports are voluntary by nature, monitoring of these efforts might be challenging.

3. Conclusions and recommendations

Lessons learnt

1. The establishment of MoUs with government agencies in partner countries is not a common practice in PI projects, as the prime stakeholders are the EU services⁴⁴. On the other hand, having an MoU in place could increase political and organisational ownership and sustainability prospects and thus in the case of this Action has merits. A lesson learned is to have flexibility with regards to such implementing arrangements in the partner countries. An Action can secure a MoU with the political partner if they are willing to proceed. However, if there are delays to the formalisation of an MoU, alternative approaches should be explored early on, to avoid substantive delays. This can include, establishing multi-stakeholder partnerships such as how the Action engaged with ICEF (Indonesia), PPP in Thailand and the PRO in Vietnam in addition to the local government partnerships with pilots. Such approaches can be adequate alternatives to an MoU or they can be supplementary if an MoU is already in place.
2. The adoption of strong participatory approaches involving multiple stakeholders in the partner country, from the outset are an important success factor in PI projects that seek to influence national processes. Regular coordination meetings involving the Team Leader, national level experts like NSAs, government agencies, pilot implementors, EUDs and EUMS are an important step in strengthening partnerships, enhancing dialogue, improving coherence, creating ownership and increasing sustainability prospects.
3. A lesson learned in relation to Japan, and Singapore is the importance of adopting a more targeted approach at the outset with the support of having a local presence by the Action. This would have provided stronger support for coordination and follow-ups for relevant policy dialogues as stipulated by the design of the Action. Adopting a broad approach did not allow the Action to match the national priorities and needs of the countries.
4. The project leveraged on multi-stakeholder platforms like the SEA of Solutions, Working Group on Marine Litter, ICEF and donor working groups in the partner countries to ensure coherence, relevance with regional and national initiatives and deepen EU dialogue with a range of stakeholders. This enabled stronger collaboration between EU and EUMS. The approach enhanced the strategic relevance and the EU added value. This contributed to enhancing the EU's visibility amongst national governments and the EU's role as a global leader in marine litter, circular economy and plastics management.
5. The ability of the Action to connect and integrate key actors across the plastic value chain as reported by 19 pilot projects in the five main countries using a people centric approach is a

⁴⁴ There are several regional PI projects in Asia, that operated successfully without MOUs at partner country level. Non-exhaustive examples include the EU Gateway | Business Avenues programme and the Advancing EU's Role in Multilateral Fora in Asia project.

positive lesson learned. Establishing such value chain collaborations provide a basis for tangible outcomes including the transition to a circular approach for plastic management and new circular economy business models.

6. National policy alignment is an important entry-point for pilot projects to receive buy-in from the local government. Pilot projects also provide opportunities to test models and approaches which feeds back into the policy making process and enriches the policy framework. Pilots who adopted this approach were able to engage more actors including large companies, associations and national government and strengthen partnerships. This provides a foundation for stronger sustainability measures.
7. The Wala Usik pilot project in the Philippines was able to hit 20,000+ views on social media channels by applying best practices with clear conversion goals targeting population with lower-income and located in areas less connected to the public waste collection thus helping bridge the cultural gap in individual responsibility and perception towards plastic waste. This involved hashtags or metadata tagging, livestreaming videos, hackathons with engaging content on innovation and entrepreneurship as well as activating a youth ambassador programme. The approach provided a call to action that incentivised the wider public, in particular youth, to react and engage online on circular economy topics. Lessons learned for communication and wider public diplomacy efforts should be drawn from this experience.

Conclusions

Relevance

The Action design is highly relevant to the EU Foreign Policy priority of leading by example in implementing its commitments on sustainable development. It is also relevant to the PI objectives of supporting the EUs bilateral and regional cooperation partnership strategies to address the major global concern of marine litter; and to enhance widespread understanding and visibility of the EU. The Action outputs are relevant to the EC political priority of the European Green Deal, EU Circular Economy Action Plan, EU Plastics Strategy, the latest EU Action Plan “Towards a Zero Pollution for Air, Water and Soil (and annexes) adopted mid-May 2021 and to the EU Strategy for Cooperation in the Indo-Pacific. The Action design and outputs are highly relevant to promoting the circularity of plastics priority of the EU Circular Economy Action Plan and the international engagement priority of the EU Plastics Strategy particularly in the five main partner countries. The Action Outputs might contribute to some partner countries joining the EU’s GACERE.

The Action design is highly relevant to the broadening and deepening the EU’s environmental policy dialogues with the partner countries particularly in plastic management and circular economy. The Action outputs have helped to operationalise this by supporting deeper engagement between the EUD and partners in each country, such as ministries, public-private partnerships, private sector (MSMEs and large companies), business associations, CSOs, local government, community organisations. This has been at national and local level in Indonesia, Thailand and Vietnam, and at local level in China and Philippines. According to most EUD stakeholders in these countries, the Action enabled the EU to implement concrete actions on the ground such as supporting policy reform and implementation of pilot projects to operationalise the dialogue process that takes place. The action outputs have been relevant to the partner country policy dialogues with certain EUMS such as Germany (China, Indonesia, Philippines, Thailand, Vietnam), Netherlands and Denmark (Indonesia), Sweden and Spain (Philippines) and France (Philippines and Vietnam). In Indonesia, the Action made notable contributions to advance the policy dialogue of the Netherlands and Denmark through its efforts with ICEF.

At a global level the Action design is relevant to dialogues from G7 and G20 in addressing marine litter and resource efficiency. Outputs are supporting Indonesia as the next Chair of the G20 summit. The action design and outputs are relevant to UNEA-3, UNEA-4, the Basel Convention on Hazardous Waste ESM toolkit, MARPOL and its Annex V, and the upcoming UNEA-5 including a possible global agreement on plastics. At a regional level the action design was expected to be relevant to key ASEAN stakeholders. However, the Action has not engaged directly with ASEAN stakeholders, despite including action lines in its workplan for engaging with ASEC and Working Groups. The action design and outputs have been highly relevant to the partner country priorities

and political contexts in the five main countries. These include national plans of action to address marine litter (in Philippines, Indonesia, Thailand, Vietnam), legislation and other policy instruments to control plastics (China, Indonesia, Philippines, Thailand, Vietnam) and instruments to introduce EPR (China, Indonesia, Vietnam).

Coherence

The Action has complemented the SWITCH Asia programme through collaborations with events and dissemination. There has been limited collaboration with the EU POP project for ASEAN, EU Indonesia Partnership Facility and E-READI. There has been engagement with EUMS. These include Germany (China, Indonesia, Philippines, Thailand, Vietnam), Netherlands (Indonesia, Singapore, Japan), Denmark (Indonesia), Sweden and Spain (Philippines) and France (Philippines, Vietnam and Japan). Efforts in Indonesia to engage EUMS have led to tangible results, such as a more holistic approach between the EU, EUMS and their dialogue with Indonesian stakeholders. There is room for the Action to be more proactive and increase complementarity and coherence with EU initiatives where relevant and beneficial for the Action.

The Action efforts to ensure coherence and complement national programmes and development partner initiatives vary across its partner countries. The project has leveraged on multi-stakeholder platforms in Thailand, through the World Bank coordinated dialogues on Thailand’s Draft Action Plan on Marine Debris. In Indonesia multi-stakeholder engagement took place through ICEF; and in Vietnam through the EPR platform of MONRE and the World Bank coordinated Development Partners’ Working Group on Plastic. These multi-stakeholder engagements have enabled a high degree of coherence, complementarity and information exchange with a range of stakeholders, including development partners and EUMS. In the Philippines, there is coherence with initiatives of development partners supporting the National Plan of Action on Marine Litter. In China, complementarity is focussed on local initiatives involving pilot projects in coordination with local government priorities and those of CACE. In Japan and Singapore coherence with other initiatives is limited as priority areas are being finalised. At a regional level, the Action has not explored complementarities with ASEAN stakeholders, such as the ASEAN Secretariat and relevant ASEAN Working Groups sufficiently.

The Action has tried to ensure coherence of its activities across different partner countries through a mixture of both regular and ad-hoc processes. However, there are limited activities to promote coherence and the use of lessons learned across the various partner country initiatives for result areas R1, R3 and R5. Regular meetings between, key experts and NSAs, take place to share technical guidance amongst pilot projects on communications. Similarly regular meetings take place for Result 2 on EPR. NSAs share information on pilot project methodologies via email. Regular activities and sharing of lessons learned have taken place for R4 on reduction of litter from sea-based sources amongst relevant pilot projects. There have been efforts by the Vietnam NSA to build on lessons from pilot projects in other partner countries and from UNDP initiatives in Vietnam. There is no evidence of efforts to share lessons learnt with national government stakeholders across the partner countries, nor to bring together the pilot projects to share their challenges, best practices and lessons learnt.

Effectiveness

Despite facing several internal and external delays, the Action in its first two years of implementation has made good progress in most of its outputs. 12 out of a target of 30 knowledge products have been completed (40%) along with 26 out of 41 planned events (63%). There is an increase in the number of participants at events following the shift to online events. The cancellation of two study tours have not had a major detrimental effect on the effectiveness of the Action as alternative activities have been planned in the second Annual Report Work Plan. Several communication products have been developed leading to over 100 news articles in media, government communications channels, EUD and EUMS communication channels. 24 pilot projects have commenced. The main outputs are expected to be delivered within the current timeframe of the Action. However, the substantial delays faced by the pilot projects is expected to reduce the quality of outputs, outcomes, sustainability measures and impact prospects, if the Action finishes as

scheduled. A minimum nine-months no-cost extension to the Action is proposed under recommendations.

The intervention logic contains some formulation weaknesses at overall objective and specific objective level. These mix up purposes between impact, outcomes and output levels. Suggested reformulations are provided in the recommendations section of Chapter 3. However, the ET understands the terminology for the OO and SO is derived from the financing decision which provides the legal basis for this Action. The project outputs such as events, reports, knowledge products and advisory service packages are of good quality. They are likely to contribute to the expected outcomes in the intervention logic. For the outcome indicator ‘number of processes related to partner countries approaches on challenges of global concern which have been influenced’, the Action is influencing one approach in Thailand through a multi-stakeholder process, embedding a strategy on EPR for packaging. For the outcome indicator ‘number of processes related to partner countries practices on challenges of global concern which have been influenced’, the Action outputs are influencing nine processes in comparison to an initial target of six. These include two each in China (reducing single use plastic and enhancing circularity of plastic management), Indonesia (phasing out of SUP and strengthening EPR processes for packaging) and Vietnam (reducing SUP bags and developing an EPR system). It includes one each in Thailand (reduction of SUP plastic) and Philippines (EPR of plastics and sustainable packing). The Action outputs are contributing to the implementation of the MARPOL Convention in China, Philippines, Thailand and Vietnam through pilots. In Japan and Singapore there is limited evidence on the realisation of tangible outcomes at this moment in time, such as policy reforms or revised practices in the areas of circular economy, EPR of plastics and incorporating such criteria into green public procurement.

In terms of impact, there is evidence the Action is supporting the international aspects of the EU Plastic strategy in the five main partner countries. This is taking place by embedding EU experience and knowledge when strengthening policy instruments at local government level in China and at national and local government level in Indonesia, Philippines, Thailand and Vietnam. EU experience has also been integrated when strengthening partnerships at local level in China and Philippines and at national level in Indonesia, Vietnam and China. The Action’s outcomes are likely to materialise in improved government policy frameworks. It is also increasing awareness amongst wider communities. These are expected to lead to behavioural change amongst stakeholders such as industry, MSMEs and wider public. The behavioural change is towards circular economy models, improved plastics management including EPR, SCP of plastics and phasing out of single use plastics. Support to strengthen legal policy instruments, in particular, is expected to lead to tangible impact. In Japan and Singapore, there is limited evidence on potential impact of the Action in relation to the events it has implemented to-date.

According to the evidence, the Action has supported partner countries in awareness, knowledge transfer and take-up of EU policies, approaches, and experience at national and local government level in Indonesia, Philippines, Thailand and Vietnam and at local level in China. 66% or 16 out of 24 of pilot projects are applying EU experiences to address local issues. These have been done through the provision of resource persons and experts with EU experience; implementation of events such as webinars with EC officials, EU and EUMS PROs; and on-site pilot project briefings which brought together local governments, private sector players, experts from the Action and some cases experts from other EUMS facilitated by the Action. The other eight pilots should build upon and adapt EU experiences to remain relevant to PI objectives. In Singapore, the recent webinar on 30 September 2021, is a step in the right direction and would have created some awareness of EU experiences.

The Action receives sufficient policy guidance from the EU services including FPI, DG Environment, EUDs and in one instance DG MOVE. Guidance and feedback on knowledge products and pilot concept notes are provided. Events are well supported by officials from the EUDs and DGs.

Efficiency

The Action has delivered outputs and preliminary outcomes cost effectively according to evidence from interviews, financial report and PSC minutes. A range of project management and backstopping processes are in place to monitor expenditure and ensure it is in line with the contract’s provisions.

Approximately 70.9% of the total budget remains unspent following the completion of two years of implementation. The Action has delivered 63% of events and 40% of knowledge products against its targets with 29.1% of the total budget. This indicates a good level of efficiency. This has been aided by the shift to online events which has greatly reduced event costs.

Project steering mechanisms are largely adequate and provide strategic decision making, oversight and approvals as required through the PSC. EU stakeholders felt PSC meetings can be improved by involving NSAs in the meetings to share insights on developments and challenges at national level. Some EU stakeholders felt regular national working group meetings would improve efficiency.

The management and backstopping provided by GIZ and EF is of high quality with robust procedures in place for administrative and logistical processes. This enables the key expert team to focus on technical and implementation matters. Project management by the expert team, is adequate in China, Thailand and Vietnam. National government stakeholders in Indonesia and Philippines feel management and implementation needs better coordination. These include the sharing of national and pilot level progress reports. Regular national coordination meetings between national government, pilot implementers, local government and other relevant stakeholders was felt to be lacking. Government stakeholders felt they have not been sufficiently involved in the selection and implementation of pilot projects which could lead to reduced ownership and sustainability prospects. Engagement and oversight by the team leader and regional team was felt to be lacking in these countries.

In some cases the Action was unable to meet requests for advice from the EU services. This is partly a design weakness, with demand driven elements not specified. The Action is currently not fully supporting the EU services and contributing to its objectives. EU stakeholders felt it is too reliant on the EU services for information and guidance. Some of these issues are perhaps due to the hybrid nature of the Action, whereby it supports the EU services, as a PI project, and provides technical assistance and policy support to the partner countries as part of internationalising EU strategies. This requires the Action to be more strategic and proactive in considering and meeting EU interests. The multi-country dimension has not been adequately leveraged upon, in terms of connecting national efforts with a regional approach and providing regional advice to the EU.

Monitoring and progress reporting by the Action is satisfactory. The Action can be more proactive in sharing information and “sectoral intelligence” with the EU services, from the partner countries. This includes updates on political developments, policy reforms, important localised issues and other development partner initiatives. The Action lacks a consistent approach to monitor its communication and visibility activities across its multitude of communication channels. The PIMS reporting on communications is provides emphasis on media articles in Thailand and Vietnam only. Submission of progress reports by the pilots is voluntary and they lack an approval process. This poses risks with regards to the monitoring, reporting and accountability process of pilots. The pilot progress reports are too complex given the size of pilots as small grants.

The Action has faced a range of delays caused by internal and external factors. The approach formalising MoUs with political partners in the five main countries led to delays particularly in the Philippines and China. Some delays were due to staff changes in the China and Philippines country offices. Major delays have resulted from Covid-19. These include cancellation of certain activities such as study tours and postponement of events. All pilots experienced delays in commencement due to in the pilot selection and contracting process. Many pilots are facing delays due to Covid-19 restrictions such as lockdowns, movement control measures and protocols. The Covid-19 contingency plans for 18 out of 19 pilot projects should be improved as per the assessment in Annex 10 and detailed further in the recommendations section. On a positive front, although the study tours have been cancelled due to the pandemic, alternative activities proposed such as webinars, training and compilation of policy practice examples are expected to facilitate knowledge transfer to a larger number of stakeholders.

EU-added value

The EU image has been increased, in the five main partner and to a certain extent in Singapore, by strengthening partnerships involving the EU, EUMS, EU experts, other development partners,

NGOs, business associations, national government and local government in addressing a major concern of plastic waste and marine litter. Awareness of the EU's efforts have been increased amongst COBSEA member countries. There has been good media coverage in Thailand (79 articles) and Vietnam (25 articles) in prominent media publications and communication channels of the Government, EUD and EUMS ambassadors. However, media coverage in the other countries was not consistent and relied mainly on social media. In China, social media have led to over 6,500 views and three out of six pilots are enhancing the EU's visibility through communication activities. In Indonesia four pilots are proactively increasing awareness on the EU amongst local communities. In the Philippines all four pilots are enhancing the visibility of the EU. One pilot demonstrated impressive results of 20,000 social media views, covering EU experiences, through a call-to-action targeting youth. In Singapore, the presence of the Action has created some EU visibility amongst participants through two events covering circular economy and green public procurement at high level dialogues of the EUD.

The Action has contributed to enhancing the image and highlighting the EU as a global player in the area of marine litter and plastics management. This has been done by supporting EU policy dialogue efforts with governments in the five main partner countries, sharing substantial EU experience in the areas of concern, implementing localised pilot projects and through the facilitation and participation in several major events at national and regional level. The unique attributes of the EU approach including its focus on multilateralism, a rules-based-order and being people-centric were factors that also enhanced the EUs role as a global player. Some officials associated the EU flag with a reputation of accountability and transparency. Efforts bringing together EU and EUMS further enhanced credibility and added value.

The action increased the depth of environmental dialogues in some partner countries. In Indonesia, Thailand and Vietnam, the Action has contributed to enhanced dialogues on circular economy and EPR through workshops, multi-stakeholder platforms and direct dialogue between the EUD and government. In Vietnam, pilot projects' activities and outputs are being linked to eleven policy instruments to further strengthen policy dialogue. In China the Action is supporting policy reform at provincial and local government level which is likely to feed into the EUDs broader dialogue with central government on environment, climate change and biodiversity. In Philippines, the Action has provided inputs to the National Plan of Action on Marine Litter and will support the implementation of the Single Use Plastic Products Act. In Singapore, preliminary efforts to engage with the Singapore government on circular economy, EPR of plastics and green public procurement have occurred, but tangible outcomes such as policy reform or revised practices are to materialise in relation to the outcome indicators. In Japan, the Action is supporting policy dialogue in the fringe instead of facilitating it at the forefront and the upcoming workshops will determine if a notable contribution from the Action to the EUD dialogues take place.

In terms of its strategic significance, many respondents feel the timing of the Action was ideal to support the implementation of action plans, further policy reforms and strengthen PPPs in the five main partner countries. The combination of national level policy support, partnership building, and tangible community led localised actions in the form of 24 pilot projects, which test models and feed into policy, is viewed as unique and strategically significant by government, EU institutions including EIB and EUMS.

The EU experience in terms of EPR schemes, EPR toolbox, recycling platforms, PROs have been are being integrated in 16 out of 24 pilot projects. EU best practices from the EPR toolbox were translated and shared with pilot projects' implementers and national stakeholders in China, Indonesia, Philippines, Thailand and Vietnam. The EU's circular economy practices are being localised to fit the context in partner countries connecting the key actors along the plastic value chain in 7 pilot project activities. Best practices from the EU Port Reception Facilities Directive Annex 4 have been shared with pilots in China, Thailand, Vietnam and Philippines.

Sustainability

The sustainability of Action outputs and outcomes are expected to be driven by policy, organisational and financial factors.

Alignment with national and local legislation and policies serve as an entry point to sustain outputs and outcomes. Initiatives which contribute to national and local policy frameworks including their implementation will ensure stronger buy-in from private sector, community and other operators as they seek to meet legal and other obligations. Strengthening of legislation in particular is expected to lead to strong sustainability due to its effectiveness as a policy instrument. In terms of organisational sustainability strengthening of partnerships amongst government, private sector, academic and community actors and linkages with international networks was viewed as important. Ensuring relevant capacities and processes are in place is also important. In terms of financial sustainability, major sources include national and local government budgets, development partners including EUMS and market driven approaches and business models.

EU and government stakeholders felt the policy dialogues in the five main partner countries will be sustained based on the political will from both sides, which currently looks positive. Outputs that contributed to policy reform are likely to be sustained beyond the Action. This is particularly the case for the five main countries due to close alignment with the existing policy frameworks, strong participatory approaches and design of outputs that meet national needs and context. The resulting policy improvements will continue to deliver outcomes, particularly if they involve legal instruments. 16 pilots are contributing towards policy recommendations or reforms, by testing new models, standards and systems. These have strong potential for policy sustainability in China, Thailand and Vietnam. Close coordination with key political partners from Indonesia and Philippines is important to increase political ownership of the action outputs and outcomes.

Organisational sustainability for outputs targeting policy support in the five main partner countries is expected from the political partners in Indonesia, Philippines, Thailand and Vietnam and to a certain extent from the implementing partner in China⁴⁵. As a result of NDRC not engaging as the political partner in China, the potential for replication and sustainability through political structures of the government is greatly diminished. Much of the organisational sustainability prospects reside with the structures of the local governments implementing the pilot projects and to an extent with the CACE which has the potential to replicate some of the best practices and models with other local government. In Indonesia, BAPPENAS as the national planning and development agency has the potential to provide strong organisational sustainability measures including replication across other sectors and regions. This requires closer coordination by the Action to ensure the buy-in of BAPPENAS in outputs and outcomes. Other Indonesian agencies that will provide organisational sustainability include KLHK for the EPR and solid waste management outputs and KEMENKOMARVEST for the outputs related to ports. The engagement with ICEF provides a strong multi-stakeholder platform to sustain and replicate initiatives, bringing together EUMS like Netherlands, Denmark and Germany; engagement with large companies like Nestlé, Unilever and Indofood. In Philippines organisational sustainability will reside with the DENR, with whom an MOU is still being finalised and with the local governments, and industry partners of the pilot projects. In Thailand, strong organisational sustainability is expected from the PCD and local stakeholders involved in the pilot projects. In Vietnam the ownership resides with MONRE, the Ministry of Industry and Trade and VINAMARINE. The pilots build on existing on the ground resources and networks of the pilot implementers to ensure sustainability. 15 pilots are adopting top-down and bottom-up approaches to strengthen multi-stakeholder engagements along the plastic value chain.

In terms of financial sustainability, twelve pilots have shared plans to handover the pilot project to the local governments, to integrate them into funding from national programmes and in some cases support from private sector. Pilot project in all five main partner countries involve partnerships and collaborations with local government. Some pilots involve major industry players such as Coca-Cola and Pepsi in China; Nestle, Indofood and Unilever; SM Malls in the Philippines; TPBI in Thailand and supermarkets in Vietnam. Those pilots that are able to deliver on tangible outcomes, feasible business models and establish credible partnerships are likely to attract the attention and support of private sector and development partners to sustain initiatives. However, sufficient time for such

⁴⁵ CACE is under the administration of the State-owned Assets Supervision and Administration Commission of the State Council and is guided by National Development and Reform Commission and other governmental departments. See <https://en.chinacace.org/about>

outcomes and partnerships to evolve is required. This provides a strong justification for a no-cost extension to the Action. In the Philippines, Indonesia, Thailand and Vietnam some EUMS are interested in implementing follow-up programmes based on successful outcomes from the Action. The sustainability measures in Japan and Singapore are limited at this stage given the limited progress made by the action towards tangible outcomes such as specific policy reforms or revised practices focussing on circular economy, EPR of plastics and incorporating such criteria into green public procurement.

Cross-cutting elements

The Action has incorporated crosscutting elements to different degrees. The Action is seen as relevant to SDG 5 “Gender Equality”, SDG 11 “Sustainable Cities and Communities”, SDG 12 “Responsible Consumption and Production”, SDG 14 “Life Below Water” and SDG 17 “Partnerships”. 16 pilot projects reported on the relevance of their activities to the SDGs. The majority focussed on SDG 5 and 12 and some on SDG 6, 11, 14 and 17. However, beyond the Action’s relevance to SDGs there is limited evidence to indicate it is supporting the attainment of the SDGs and contributing to specific SDG targets at national or regional level.

There were a number of gender and HRBA/inclusion elements included in the design of the Action. However, the evidence indicates the lack of a gender and HRBA mainstreaming approach or a coherent gender and inclusivity strategy. Gender is addressed by involving female speakers at events, gender balance at meetings and as elements in certain studies. Gender equality was a criterion in the call for proposals and guidelines for pilot projects. However, progress reporting by pilot projects is not mandatory along with the provision of gender disaggregated data. Several pilot projects have implemented gender equality measures, by involving women in discussions on the waste collection sector including informal waste pickers. Awareness activities were implemented by some pilots targeting women including families of fishermen in the Ffl pilots. One pilot conducted training on gender equality.

For HRBA, some pilots are implementing activities to improve conditions for vulnerable groups such as women and poor communities involved in waste collection. Two pilots implemented activities targeting youth engagement and inclusion. The Action has adopted a number of good governance measures by engaging with multi-stakeholder platforms in Indonesia, Vietnam and Thailand. The evidence indicates that eleven pilots are implementing good governance measures at local level. These are done by strengthening partnerships involving cross-sectoral stakeholders, improving governance in waste management and integrated waste management approaches.

Recommendations

No.	Issue	Recommendation
Short-term (1 to 2 months)		
1.	Formulation inconsistencies in intervention logic at impact and outcome levels	The overall objective (OO) and specific objective (SO) can be reformulated to reduce inconsistencies and potential confusion, if contracting modalities allow. A suggested OO reformulation is ‘Reduced marine litter in the East and South-East Asia achieved, promoting the role of the EU as a global player in the field’. The SO can be reformulated as “Priorities of the EU Plastics Strategy and other EU instruments internationalised, enabling partner countries in East and South-East Asia to reform their policy frameworks towards circular and SCP management of plastic”. However, the evaluation team understands that the formulation is based on the Financing Decision which needs to be followed at this stage to avoid a long addendum process. Implementer: The Action, FPI-RT, PSC
2.	Limited use of lessons learned across the partner countries at both	As a multi-country Action greater coherence and coordination is required of its interventions across its partner countries. The project can address this issue by organising a regional level forum on an annual basis to share lessons from implementation at national level and from its pilots. This

	national level and pilot level diminishing the value of a multi-country Action.	should be participatory in nature, involving presentations from the respective political and national government partners and thematic sessions covering the pilots. The fora can also involve other EU, EUMS projects. Implementer: The Action
3.	Sub-optimal coordination, information sharing and advisory services for EU stakeholders	PSC meetings could involve the NSAs to share insights on challenges faced and progress. They should provide updates on policy developments, political priorities, institutional dynamics as part of the advisory services expected from a PI project. Working group meetings at the country level, involving the respective EUD, DG Environment, FPI Regional Team and the expert team can be held where needed to strengthen coordination efforts. These could allow the identification of advisory services to be provided by the Action to better support the EU. Such efforts would contribute to improving the quality of outputs from the policy dialogue activities and their sustainability, Implementer: The Action, FPI-RT, EUDs
4.	Sub-optimal advisory services for EU stakeholders in line with PI objectives	The Action should consider engaging expertise beyond the key expert team to provide high quality advisory inputs for EU stakeholders when required on demand. These can include studies on policy gap analysis at national or local level and identification of area where supporting policy instruments would lead to greater effectiveness of policy frameworks. Experts can include EU and Asian Think-tanks and renowned international experts. Implementer: The Action
5.	Limited and fragmented involvement of national stakeholders	National Coordination meetings on a six-monthly or annual basis should be undertaken particularly in the Philippines and Indonesia in addition to the working group meetings mentioned above. These should involve government agencies partnering in the action, pilot implementers, key pilot stakeholders such as local government and private sector, the NSAs, Team Leader, relevant key experts, EUD and relevant EUMS. Quarterly national progress reports and interim pilot progress reports should be shared with government stakeholders. Similar national coordination meetings should also be explored for Japan and Singapore. Implementer: The Action (Team leader, NSAs)
6.	Communication efforts are fragmented and show varying results in reaching wider audiences across partner countries	A strategic communications effort to strengthen communications should be implemented with stronger public diplomacy elements across all partner countries. This should focus on humanising efforts through messages and content that relates to people. The approach can include relevant and inspiring content such as case studies, stories and videos featuring stakeholders in pilots. The use of role models, influencers and multi-country events should also be explored. A relevant call to action should be featured building on the experience of the Wala Usik pilot. Efforts should increase outreach to youth. Efforts should focus on lead generation and attracting followers. Media monitoring efforts should be standardised across partner countries. This should include use of back-end analytical tools to monitor data on the success of communication campaigns and to gauge the public relations value. Media coverage should change from focussing on solely on Thailand and Vietnam to being balanced across all partner countries. Implementer: The Action (Communications KE, pilots)
7.	Limited involvement of EU private sector based in the region across partner countries.	Greater involvement of EU Chambers of Commerce (Eurochams) based in all partner countries should be undertaken to further EU interests in line with PI objectives. The EU is a major trade and investment partner across the seven partner countries. Many of the EUROCHAMS in the partner countries have committees which undertake policy advocacy efforts with national governments on environmental considerations such as resource efficiency, packaging and circular economy approaches. The Action should

		engage with the national EUROCHAMs and the EU-ASEAN Business Council to explore collaborations on policy advocacy and pilot implementation. Implementer: The Action
8.	Ad-hoc pilot reporting, monitoring and oversight procedures by the Action team.	<p>A simplified reporting structure matching standard EU progress reporting templates by grant recipients should be considered for the pilot projects. Reporting should be made mandatory and include disaggregated data on gender, youth inclusion and vulnerable communities. A policy tracking table to reveal how the pilot projects are contributing towards policy should be adopted. Efforts to legalise the informal waste sector could be covered where relevant, as it is an important part of inclusion.</p> <p>Stronger monitoring of pilots should be undertaken by the key expert team and NSAs. The Action should provide regular support and mentoring to the pilot implementers. These should aim to strengthen the pilots in terms of gender mainstreaming, inclusion, SDG targets, EU visibility measures, adoption of EU experience and sustainability measures. Implementation constraints of pilot projects, due to the pandemic, should be assessed by the Action and pilot implementers and suitable contingency measures implemented.</p> <p>Simple feedback mechanisms should be developed, using online tools, to capture feedback from participants of events. Where relevant, lessons learned should be captured from this feedback and used to support Action decision making. Training events should implement mechanisms to capture knowledge of participants before and after events, with follow-up undertaken five to six months later to assess any tangible outcomes including the adoption of knowledge gained and its use.</p> <p>Implementer: Action and pilot team leads</p>
9.	Covid-19 travel restrictions	<p>NSAs and pilots should develop contingency plans given Covid-19 travel restrictions for the key experts. NSAs and national experts should provide trouble shooting and expertise to facilitate implementation of pilots. Key experts should provide continued remote assistance to pilots in coordination with NSAs and national consultants to facilitate the delivery of high-quality outputs.</p> <p>Implementer: Action and pilot team leads</p>
Medium-term (2 to 6 months)		
10.	Delays due to Covid-19 and operational issues could result in outputs that are below-par, reduced outcomes and diminished sustainability measures	<p>Given the delays and extenuating circumstances resulting from the Covid-19 pandemic, a no-cost extension to the Action of a minimum nine months and up to 12 months is recommended. This would allow for an additional six months of implementation time by the pilots and an additional three months for handover to stakeholders and wrap-up. This would ensure both policy and pilot level outputs in the partner countries are of good quality which would lead to the realisation of tangible outcomes and greatly improve sustainability measures. The additional time would allow for stronger regional or multi-country activities to be implemented and for the Action to leverage on and accrue the benefits from its multi-country approach.</p> <p>Implementer: FPI-RT and PSC</p>
11.	Limited leveraging on EU FTAs with the partner countries	<p>The Action should try to leverage on the EU-Vietnam Trade Agreement (EVTA) and EU-Singapore Free Trade Agreement (ESFTA). Targeted studies and follow up interventions should be identified to further EU interests. These can include eco-design and upstream innovation of plastics from the EVTA and harmonisation of sustainability assurance schemes for EU and Singapore businesses in areas such as packaging and single use plastic. Such activities can be undertaken in partnership with</p>

		relevant EUROCHAMs and increasing coherence and complementarity with their existing policy advocacy efforts (refer recommendation 7). Implementer: The Action
Long-term		
12.	Fringe efforts in Japan	An objective assessment of the interests of the Japanese counterparts following the upcoming dialogues should be conducted to determine if the Action continues to operate in Japan. With domestic policy progress being made in circular economy and plastics, the Action should seek to leverage on the EU-Japan Green Alliance partnership as a platform to engage with the most relevant Japanese stakeholders. The latter includes environmental protection through circular practices in consumption and production for conservation of biodiversity as one of its five priority areas. The starting point could be to implement high quality communication campaigns showcasing efforts of the EU and Japan to combat marine litter, developing suitable partnerships with Japanese organisations and highlighting the role of Japan as the EU’s first global green alliance partner ⁴⁶ . In the event the interest of the Japanese government remains low, the resources for Japan could be focussed to strengthen regional efforts including sharing of lessons with ASEAN stakeholders and targeted support for EU-ASEAN policy dialogues. Implementer: The Action, PSC
13.	Piecemeal approach in Singapore	Following the conduct of the two e-workshops, a focussed approach should be adopted covering one or two main areas with pragmatic follow-up steps. If buy-in remains low, the status of Singapore as a regional hub can be leveraged upon to host a multi-country event, such as the annual forum, with Singapore government organisations as partners. In addition the Action should seek to actively involve EuroCham Singapore in national activities. Implementer: The Action, PSC
14.	Weak engagement with ASEAN and regional dissemination of knowledge products	The Action should strengthen ASEAN efforts including engagement of ASEAN stakeholders in national and regional Action events and sharing of lessons with ASEAN stakeholders. The Action should implement targeted support for EU-ASEAN policy dialogues in marine litter and plastics drawing upon its specialist focus. The Action should explore partnership with East Asian Seas Regional Node of the Global Partnership on Marine Litter (GPML), involving COBSEA countries ⁴⁷ , to disseminate knowledge products developed by the Action. These include guidelines on EPR, translated EPR toolbox and pilot project case studies. Implementer: The Action
15.	Weak demand driven elements in design and in turn in implementation	The importance of being demand driven is implied in the Action design, but not explicit. A more explicit demand driven approach is an important component for the design of such PI projects. This would include provision for demand driven activities that would support evolving EU needs such as sectoral information on the partner countries, conduct of policy gap analysis and benchmarking studies. This would ensure the management and implementation mechanisms of the Action are agile, demand driven and able to proactively meet the needs of the EU services for advisory input. Implementer: FPI and formulation missions

⁴⁶ https://ec.europa.eu/clima/news/eu-japan-green-alliance_en

⁴⁷ The COBSEA countries are Cambodia, China, Indonesia, Japan, Malaysia, Philippines, Singapore, Thailand, and Vietnam.

4 Annexes

Annex 1: Mid-term Evaluation Terms of Reference

Annex 2: Evaluation Timeline

Annex 3: Profile of Evaluators

Annex 4: Evaluation Methodology details including Assumptions, Risks

Annex 5: Evaluation Matrix

Annex 6: Logical Framework Matrix (planned/real and improved/updated)

Annex 7: Evaluation Tools (KII/FGD)

Annex 8: Literature and documentation consulted

Annex 9: List of persons/organisations consulted and interviewed

Annex 10: Analysis Table for 19 Interim Pilot Project Reports

Annex 11: Country Specific Analysis

Annex 12: Activities to create awareness and transfer knowledge across result areas

Annex 1: Mid-term Evaluation Terms of Reference



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Annex 2: Evaluation Timeline

Activity	Indicative timing
Phase 1 - Inception phase	
Prepare Draft Inception Report	23-28 June 2021
Present Draft Inception Report to Reference Group	29 June 2021, 2.30 pm Bangkok
Finalise & submit Inception Report	09 July 2021
Approval of Inception Report by Reference Group	13 July 2021
Phase 2 - Data collection (Desk Phase + Interview Phase)	
Detailed desk review – phase 1	14-21 July 2021
Organising of appointments	14 July 2021 onwards
Interviews phase 1 (EC, EUDs, EU MS)	14-21 July 2021
Draft Desk / Interview Presentation – phase 1	22-23 July 2021
Present Desk / Interview findings - phase 1 to Reference Group	23 July 2021, 2.30 pm Bangkok
Desk review – phase 2	26-30 July 2021
Interviews phase 2	27 July – 17 August 2021
Formatting of data	18-20 August 2021
Draft Desk / Interview Presentation – phase 2	18-20 August 2021
Present Desk / interview findings - phase 2 to Reference Group	23 August 2021, 2.30 pm Bangkok
Phase 3 - Synthesis phase	
Receipt of final batch of documents from Project Team	24 August – 1 September 2021
Analysis	28 August – 13 September 2021
Prepare Draft Evaluation Report	06 – 21 September 2021
Present Draft Evaluation Report to Reference Group	21 September 2021, 2.30 pm Bangkok
Feedback from Reference Group on Draft Evaluation Report	27 or 28 September, 2021
Prepare Final Evaluation Report	27 September – 04 October 2021
Submit Final Evaluation Report	05 October 2021

Annex 5: Evaluation Matrix

Evaluation questions	Data collection method & source	Data analysis approach	Judgement criteria
Relevance			
1. How are the Action design and outputs relevant to EU foreign policy, PI objectives and relevant EU sectoral strategies? 2. How are the Action design and outputs relevant to the partner country policy dialogues with the EU and EU MS?	Desk review: project documentation including progress reports and Action Document KIIs and FGDs with: European Commission, EUDs, IPs and EU MS	Structured desk analysis Structured qualitative analysis Triangulation	<ul style="list-style-type: none"> Evidence on priorities of EU foreign policy, PI objectives and relevant sectoral strategies embedded in Action design and outputs Evidence on priorities and activities from country policy dialogues with the EU and EU MS which have been embedded in Action design and outputs
3. How are the Action design and outputs relevant to the global and regional priorities in plastic waste, marine litter and circular economy (the area of concern)?	Desk review: project documentation including progress reports and external documentation KIIs and FGDs: European Commission, Regional and international organisations, IPs	Structured desk analysis Structured qualitative analysis Triangulation	<ul style="list-style-type: none"> Evidence on priorities and activities from global and regional priorities embedded in Action design and outputs
4. How are the Action design and outputs relevant to the partner country priorities and political contexts in the area of concern? How has the Action adapted to evolving political contexts or changing priorities in the partner countries?	Desk review: project documentation including progress reports and national documents KIIs and FGDs: IPs, national stakeholders	Structured desk analysis Structured qualitative analysis Triangulation	<ul style="list-style-type: none"> Evidence on partner priorities and political contexts embedded in Action design and outputs. Evidence on the Action adapting to evolving political contexts or changing priorities in the partner countries
Coherence			
1. How has the Action ensured coherence and complemented other EU and EU MS interventions in the region and in the partner countries?	Desk review: project documentation including progress reports and documents of other projects KIIs and FGDs with: European Commission, EUDs, IPs and EU MS	Structured desk analysis Structured qualitative analysis	<ul style="list-style-type: none"> Mapping of other EU and EU MS projects undertaken by the Action Evidence on joint planning, events, publications and other activities

Evaluation questions	Data collection method & source	Data analysis approach	Judgement criteria
		Triangulation	conducted with other EU and EU MS projects
2. How has the Action ensured coherence and complemented programmes by regional bodies and national governments in the partner countries including those funded by other development partners?	<p>Desk review: project documentation including progress reports, national and regional documents</p> <p>KIIs and FGDs: IPs, national stakeholders, pilot implementors, regional and international organisations</p>	<p>Structured desk analysis</p> <p>Structured qualitative analysis</p> <p>Triangulation</p>	<ul style="list-style-type: none"> • Mapping of regional and national programmes undertaken by the Action • Evidence on joint events, publications and other activities conducted with regional and national programmes including those of other development partners
3. How has the Action ensured coherence across its different partner countries, including the use of lessons learnt?	<p>Desk review: project documentation including progress reports</p> <p>KIIs and FGDs with: EUDs and IPs</p>	<p>Structured desk analysis</p> <p>Structured qualitative analysis</p> <p>Triangulation</p>	<ul style="list-style-type: none"> • Evidence on the capturing of lessons, sharing across countries and incorporation across activities in countries
Efficiency			
1. Are the outputs and outcomes delivered cost effectively?	<p>Desk review: project documentation including progress reports, work plans, financial reports</p> <p>KIIs and FGDs: EUDs, implementing partners</p>	<p>Structured desk analysis</p> <p>Structured qualitative analysis</p> <p>Triangulation</p>	<ul style="list-style-type: none"> • Cost per major output • Implementation of value for money considerations in the design of activities • Cost sharing efforts
2. How adequate are the project steering, project management and implementation mechanisms given the multi-country nature of the Action?	<p>Desk review: project documentation including progress reports and steering committee minutes</p> <p>KIIs: European Commission, EUDs, implementing partners, pilot implementors, national stakeholders</p>	<p>Structured desk analysis</p> <p>Structured qualitative analysis</p> <p>Triangulation</p>	<ul style="list-style-type: none"> • Extent that project steering, project management and implementation mechanisms contribute to delivery of outputs • Evidence on adaptive management
3. How satisfactory are the monitoring and reporting of the Action?	<p>Desk review: project documentation including progress reports and monitoring system and monitoring data</p>	<p>Structured desk analysis</p> <p>Structured qualitative analysis</p>	<ul style="list-style-type: none"> • Assessment of monitoring system • Evidence on the extent of analysis and lessons learnt generated by monitoring system

Evaluation questions	Data collection method & source	Data analysis approach	Judgement criteria
	KIIs: EUDs, implementing partners, pilot implementers, national stakeholders	Triangulation	<ul style="list-style-type: none"> Assessment on the quality of reporting by report end-users Evidence on the use of monitoring outputs for decision making
4. How satisfactory is the pace of implementation given the budget and timeframe available?	Desk review: project documentation including progress reports. KIIs and FGDs: implementing partners, EUDs, national stakeholders	Structured desk analysis Structured qualitative analysis Triangulation	<ul style="list-style-type: none"> Proportion of outputs delivered Identification of any sub-activities or outputs which are significantly delayed or on-hold
Effectiveness			
1. Is the Action likely to deliver its expected results (outputs)?	Desk review: project documentation including progress reports and workplans KIIs and FGDs: implementing partners, EUDs, national stakeholders, pilot implementors	Structured qualitative analysis Triangulation	<ul style="list-style-type: none"> Evidence on proportion of outputs delivered Assessment on implementation gaps Evidence on strength of partnerships Impact of COVID-19 on delivery of outputs
2. Are the Action results of good quality and likely to contribute to the achievement of the expected outcomes? What areas, if any, is impact likely to materialise in (e.g policy or institutional changes or improved partnerships)?	Desk review: project documentation including progress reports and workplans KIIs and FGDs: implementing partners, EUDs, national stakeholders, pilot implementors	Structured desk analysis Structured qualitative analysis Triangulation	<ul style="list-style-type: none"> Evidence on quality of outputs including dissemination, ownership, capacity building Evidence on emerging impact such improved policy or institutional changes or strengthened partnerships involving business associations, business, consumer and environmental NGOs/CSOs and local government which continue the debate
3. How has the Action supported the partner countries in awareness, knowledge transfer and take-up of EU policies, approaches and experience?	Desk review: project documentation including progress reports and monitoring system data KIIs and FGDs: implementing partners, EUDs, national stakeholders, pilot implementors	Structured desk analysis Structured qualitative analysis Triangulation	<ul style="list-style-type: none"> Evidence on the integration of EU policies, approaches and experience in awareness, knowledge transfer and capacity building activities Evidence of evolving agendas and emerging EU policy priorities reflected in

Evaluation questions	Data collection method & source	Data analysis approach	Judgement criteria
			project events, studies, activities and planning
4. Does the Action receive sufficient policy and other guidance from the relevant EU services?	Desk review: steering committee minutes and presentations KIIs: European Commission, EUDs, implementing partners	Structured desk analysis Structured qualitative analysis Triangulation	<ul style="list-style-type: none"> Evidence on policy and guidance provided by EU services to resolve implementation gaps
EU-added value			
1. How has the Action contributed to the improved image and visibility of the EU in the partner countries including the role of the EU as a global player? Has the Action scaled up the level of environmental dialogue between the EU and Partner country?	Desk review: project documentation including progress reports, communication materials and campaigns, press articles KIIs and FGDs: implementing partners, EUDs, EU MS national stakeholders, pilot implementors	Structured desk analysis Structured qualitative analysis Triangulation	<ul style="list-style-type: none"> Assessment on the quality of communication and visibility efforts Evidence on the contributions made by the project and perceptions of key stakeholders on the EU including to scaling up the environmental dialogue between the EU and the respective partner countries
2. What is the strategic significance of this Action in the partner countries, in comparison to other relevant development partner interventions? Has the EU experience led to the identification of improvements to policy and legislative frameworks?	Desk review: project documentation including progress reports KIIs and FGDs: implementing partners, EUDs, EU MS national stakeholders, pilot implementors	Structured desk analysis Structured qualitative analysis Triangulation	<ul style="list-style-type: none"> Evidence on the additional value and benefits from this Action compared to other development partner interventions Evidence on whether the EU experience has led to the identification of improvements to policy and legislative frameworks in the partner countries to address key issues or blockages
Sustainability			
1. What are the key factors that will support the sustainability of the project, such as the continued use of project outputs (e.g. knowledge products) or outcomes (e.g.	Desk review: project documentation including progress reports and national documents including development plans and programmes	Structured desk analysis Structured qualitative analysis	<ul style="list-style-type: none"> Evidence on factors which contribute to sustainability of projects in the area of concern across the partner countries. Example of factors include political will,

Evaluation questions	Data collection method & source	Data analysis approach	Judgement criteria
increased capacities, pilot initiatives) in the partner countries once the project has ended?	KIIs and FGDs: implementing partners, EUDs, national stakeholders, pilot implementors	Triangulation	options for financial sustainability and ownership.
2. Are adequate measures in place, including ownership, integration in national programmes and financial support, to ensure the sustainability of results?	Desk review: project documentation including progress reports and national documents including development plans and programmes KIIs and FGDs: implementing partners, EUDs, national stakeholders, pilot implementors	Structured desk analysis Structured qualitative analysis Triangulation	<ul style="list-style-type: none"> • Strength of ownership structures • Availability of dialogue, policy and other processes that will continue to use project outputs and outcomes • Availability of financial mechanisms that will fund the continued use of project results
Cross-cutting elements			
1. How has the Action incorporated the attainment of SDGs and its interlinkages across its activities?	Desk review: project documentation including progress reports and national documents including development plans and programmes KIIs and FGDs: implementing partners, EUDs, national stakeholders, pilot implementors, international organisations	Structured desk analysis Structured qualitative analysis Triangulation	<ul style="list-style-type: none"> • Quality of interlinkages with the SDGs implemented by project • Evidence on involvement with SDG activities
2. How has gender equality, human rights-based approaches and good governance been incorporated by the Action?	Desk review: project documentation including progress reports KIIs: all	Structured desk analysis Structured qualitative analysis Triangulation	<ul style="list-style-type: none"> • Availability and quality of project strategy for mainstreaming gender and human rights-based approaches (HRBA); and good governance • Number of events, knowledge products, communication products, training materials that incorporate gender, human rights-based approaches (HRBA), good governance • Quality of gender, HRBA, good governance measures implemented by project, including interlinkages with SDGs

Annex 6: Logical Framework Matrix (planned/real and improved/updated)

	Indicator	Logframe 1 Inception Report	Logframe 2 1 st Annual Report	Logframe 3 2 nd Annual Report
Impact	<ul style="list-style-type: none"> Number of collective approaches and/or practices in the areas of circular economy, plastic waste and marine litter reduction which have been developed/implemented 	<ul style="list-style-type: none"> TBD 	<ul style="list-style-type: none"> TBD 	<ul style="list-style-type: none"> Deleted
	<ul style="list-style-type: none"> Number of collective approaches and/or practices to challenges of global and/or mutual concern which have been developed/adopted/implemented 	<ul style="list-style-type: none"> Not listed 	<ul style="list-style-type: none"> Not listed 	<ul style="list-style-type: none"> 3
Outcomes	<ul style="list-style-type: none"> Number of processes related to partner countries programmes to address approaches to challenges of global concern in the field of plastic and circular economy which have been influenced 	<ul style="list-style-type: none"> 4 GIZ, 1 EF (2022) 	<ul style="list-style-type: none"> 4 GIZ, 3 EF (2022) 	<ul style="list-style-type: none"> 1 (2022)
	<ul style="list-style-type: none"> Number of processes related to partner countries practices on trade, investment and management related to plastic and circular economy challenges of global concern which have been influenced 	<ul style="list-style-type: none"> 4 GIZ, 1 EF (2022) 	<ul style="list-style-type: none"> This was deleted 	<ul style="list-style-type: none"> 6 (2022) 11 processes ongoing
	<ul style="list-style-type: none"> Number of articles published in print and/or digital media about an event 	<ul style="list-style-type: none"> Not listed 	<ul style="list-style-type: none"> 15 (2022) potentially to be updated Milestone: 24 	<ul style="list-style-type: none"> 15 (2022) Current value: 100 (2021) (26 in 1st reporting period, 74 in 2nd reporting period)
Result 1	<ul style="list-style-type: none"> Number of events organised or supported 	<ul style="list-style-type: none"> Was not listed 	<ul style="list-style-type: none"> Was not listed 	<ul style="list-style-type: none"> 13 events (2022) [9GIZ, 4 EF] Current value: 10 (2021)
	<ul style="list-style-type: none"> Number of participants from workshops and trainings 	<ul style="list-style-type: none"> 100 GIZ, 75 EF (2022) 	<ul style="list-style-type: none"> 100 GIZ, 75 EF (2022) 	<ul style="list-style-type: none"> 400 (2022) Current value 602 (2021) 100 GIZ, 75 EF (2022) i.e. 175 for implementation phase

	Indicator	Logframe 1 Inception Report	Logframe 2 1 st Annual Report	Logframe 3 2 nd Annual Report
	• Number of reports and project related publications	• 2 (2022) [1GIZ 1EF]	• 4 (2020) [3 GIZ, 1 EF] Milestone:4	• 4 (2020) [3 GIZ, 1 EF] Current value 4 (2020)
Result 2	• Number of advisory service packages	• 5 (2022) [4 GIZ, 1GIZ/EF]	• 5(2022) [4 GIZ, 1GIZ/EF]	• Not listed
	• Number of events organised or supported	• Not listed	• Not listed	• 8 events (2022) [7 GIZ, 1 EF] Current value 8 (2021)
	• Number of participants from workshops, webinars and trainings	• 100 GIZ, 25 EF (2022)	• 175 GIZ, 25 EF (2022)	• 200 participants 175 GIZ, 25 EF (2022) Current value: 7304 (2021)
	• Number of pilot projects Number of knowledge - based products developed (pilot projects)	• 5 (2022) [4GIZ, 1EF]	• 5 (2022) [4GIZ, 1EF]	• 5 (2022) [4GIZ, 1EF] Current value: 0 (2021) finalised 8 pilot projects are contracted and in implementation
	• Number of knowledge - based products developed (studies/publications/recommendation papers)	• Not listed	• 5 (2022) [4GIZ, 1EF]	• 5 (2022) [4GIZ, 1EF Current value: 5 knowledge products developed (2021) 2 – Vietnam, 1- China, 2- Regional webinars exchange experiences and best practices
Result 3	• Number of advisory service packages	• 5 (2022) [4 GIZ, 1GIZ/EF]	• 5 (2022) [4 GIZ, 1GIZ/EF]	• Not listed
	• Number of events organised or supported	• Not listed	• Not listed	• 5 events (2022) [4 GIZ, 1 EF] Current value 3 (2021)
	• Number of participants from workshops and trainings	• 100 GIZ, 25 EF (2022)	• 100 GIZ, 25 EF (2022)	• 125 participants 100 GIZ, 25 EF (2022) Current value 963 (2021)
	• Number of pilot projects Number of knowledge - based products developed (pilot projects)	• 5 (2022) [4GIZ, 1EF]	• 5 (2022) [4GIZ, 1EF]	• 5 (2022) [4GIZ, 1EF] Current value: 0 (2021) finalised 8 pilot projects are contracted and in implementation

	Indicator	Logframe 1 Inception Report	Logframe 2 1 st Annual Report	Logframe 3 2 nd Annual Report
	<ul style="list-style-type: none"> Number of knowledge -based products developed (studies/publications/recommendation papers) 	<ul style="list-style-type: none"> Not listed 	<ul style="list-style-type: none"> 5 (2022) [4GIZ, 1EF] 	<ul style="list-style-type: none"> 5 (2022) [4GIZ, 1EF] Current value 1 (2021)
Result 4	<ul style="list-style-type: none"> Number of advisory service packages 	<ul style="list-style-type: none"> 5 (2022) [4 GIZ, 1GIZ/EF] 	<ul style="list-style-type: none"> 5 (2022) [4EF/GIZ, 1 EF] 	<ul style="list-style-type: none"> Not listed
	<ul style="list-style-type: none"> Number of events organised or supported 	<ul style="list-style-type: none"> Not listed 	<ul style="list-style-type: none"> Not listed 	<ul style="list-style-type: none"> 5 events (2022) [4 GIZ, 1 EF] Current value 2 (2021)
	<ul style="list-style-type: none"> Number of participants from workshops and trainings 	<ul style="list-style-type: none"> 100 GIZ, 25 EF (2022) 	<ul style="list-style-type: none"> 100 GIZ, 25 EF (2022) 	<ul style="list-style-type: none"> 125 participants 100 GIZ, 25 EF (2022) Current value: 1136 (2021)
	<ul style="list-style-type: none"> Number of pilot projects Number of knowledge -based products developed (pilot projects and documents) 	<ul style="list-style-type: none"> 5 (2022) [4GIZ, 1EF] 	<ul style="list-style-type: none"> 5 (2022) [4GIZ, 1EF] 	<ul style="list-style-type: none"> 5 (2022) [4GIZ, 1EF] Current value 1 (2021) legal review finalised (2020); 8 pilot projects are contracted and in implementation
Result 5	<ul style="list-style-type: none"> Number of events organised or supported 	<ul style="list-style-type: none"> Not listed 	<ul style="list-style-type: none"> Not listed 	<ul style="list-style-type: none"> 2 events (2022) EF Current value 1 (2021)
	<ul style="list-style-type: none"> Number of participants from workshops 	<ul style="list-style-type: none"> 50 (2022) – EF 	<ul style="list-style-type: none"> 50 (2022) – EF 	<ul style="list-style-type: none"> 50 (2022) – EF Current value 19 (2021)
	<ul style="list-style-type: none"> Number of reports knowledge - based products developed 	<ul style="list-style-type: none"> 2 (2022) - EF 	<ul style="list-style-type: none"> 1 (2020) – EF 	<ul style="list-style-type: none"> 1 (2020) – EF Current value 1 (2021)
Result 6	<ul style="list-style-type: none"> Number of events organised or supported 	<ul style="list-style-type: none"> Not listed 	<ul style="list-style-type: none"> Not listed 	<ul style="list-style-type: none"> 8 events (5 high-level conferences, 1 regional seminar in 2022, 1 study tour EF, 1 study tour GIZ (2022) Current value 2 (2021) ICEF 2019 and ICEF 2020
	<ul style="list-style-type: none"> Number of communication products developed (toolkits) 	<ul style="list-style-type: none"> 1 (2022) – GIZ 	<ul style="list-style-type: none"> 1 (2022) – GIZ 	<ul style="list-style-type: none"> 1 (2022) – GIZ Current value 1 (2020)
	<ul style="list-style-type: none"> Number of participants in high-level events/conferences 	<ul style="list-style-type: none"> 160 GIZ, 40 EF (2022) 	<ul style="list-style-type: none"> 160 GIZ, 40 EF (2022) 	<ul style="list-style-type: none"> 230 (200 in high-level events/conferences in 2022)160

	Indicator	Logframe 1 Inception Report	Logframe 2 1 st Annual Report	Logframe 3 2 nd Annual Report
				GIZ, 40 EF (2022) Current value 930 (2021)
	<ul style="list-style-type: none"> Number of participants in study tours and regional seminars 	<ul style="list-style-type: none"> 30 (2022) EF & GIZ 	<ul style="list-style-type: none"> 30 (2022) EF & GIZ 	<ul style="list-style-type: none"> Study tours are suggested to be cancelled due to Covid-19 and will be replaced by other relevant activities
	<ul style="list-style-type: none"> Number of public/media/communication campaigns designed and implemented 	<ul style="list-style-type: none"> Not listed 	<ul style="list-style-type: none"> Not listed 	<ul style="list-style-type: none"> 5 public/ media/ communication campaigns designed and implemented (2022) [4 GIZ, 1 EF]. Current value is 2 (2020)
Activity 1	<ul style="list-style-type: none"> Number of events organized or supported 	<ul style="list-style-type: none"> 4 GIZ, 3 EF (2022) 	<ul style="list-style-type: none"> 9 GIZ, 4 EF (2022) 	<ul style="list-style-type: none"> Not listed
Activities 2-4	<ul style="list-style-type: none"> Number of events organized or supported 	<ul style="list-style-type: none"> A2: 4 GIZ, 1 EF (2022) A3: 4 GIZ, 1 EF (2022) A4: 4 GIZ, 1 EF (2022) 	<ul style="list-style-type: none"> A2: 7 GIZ, 1 EF (2022) A3: 4 GIZ, 1 EF (2022) A4: 4 GIZ, 1 EF (2022) 	<ul style="list-style-type: none"> Not listed
Activity 5	<ul style="list-style-type: none"> Number of events organized or supported 	<ul style="list-style-type: none"> 2 EF (2022) 	<ul style="list-style-type: none"> 2 EF (2022) 	<ul style="list-style-type: none"> Not listed
Activity 6	<ul style="list-style-type: none"> Number of events (includes 2 study tours, 1 regional seminar and 5 high level conferences) organized and supported 	<ul style="list-style-type: none"> 4 events GIZ, 1 event EF, 1 study tour GIZ, 1 regional seminar GIZ, 1 study tour EF (2022) 	<ul style="list-style-type: none"> 4 events GIZ, 1 event EF, 1 study tour GIZ, 1 regional seminar GIZ, 1 study tour EF (2022) 	<ul style="list-style-type: none"> Not listed
	<ul style="list-style-type: none"> Number of public/media/ communication campaigns designed & implemented 	<ul style="list-style-type: none"> 4 GIZ, 1 EF 	<ul style="list-style-type: none"> 4 GIZ, 1 EF 	<ul style="list-style-type: none"> Not listed

Legend

Words: words used in the Inception Report version

Words: evolution of changes in 1st Annual Report version

Words: evolution of changes in 2nd Annual Report version

Annex 7: Evaluation Tools (KII/FGD)

Mid-Term Evaluation

Rethinking Plastic: Circular Economy Solutions for Marine Litter

(reducing plastic waste and marine litter in East and South-East Asia: Supporting a transition to a circular economy in the region)

Meta Data

Reference :

Stakeholder Type :

Gender :

Date of Interview :

Start – End Time :

QUESTIONS FOR KII

1. Relevance

- 1.1 How are the action design and outputs relevant to EU foreign policy, PI objectives, and priorities of relevant EU sectoral strategies?
- 1.2 How are the action design and outputs relevant to the partner country policy dialogues with the EU and EU MS?
- 1.3 How are the action design and outputs relevant to the global and regional priorities in plastic waste, marine litter and circular economy (the area of concern)?
- 1.4 How are the action design and outputs relevant to the partner country priorities and political contexts in the area of concern? How has the action adapted to evolving political contexts or changing priorities in the partner countries?

2. Coherence

- 2.1 How has the action ensured coherence and complemented other EU and EU MS interventions in the region and in the partner countries?
- 2.2 How has the action ensured coherence and complemented programmes by regional bodies and national governments in the partner countries including those funded by other development partners?
- 2.3 How has the action ensured coherence across its different partner countries, including the use of lessons learnt?

3. Effectiveness (Covid-19)

- 3.1 Is the action likely to deliver its expected results (outputs)?
- 3.2 Are the action results of good quality and likely to contribute to the achievement of the expected outcomes? What areas, if any, is impact likely to materialise in (e.g. policy or institutional changes or new partnerships)?

3.3 How has the action supported the partner countries in awareness, knowledge transfer and take-up of EU policies, approaches and experience?

3.4 Does the action receive sufficient policy and other guidance from the relevant EU services?

4. Efficiency

4.1 Are the outputs and outcomes delivered cost effectively?

4.2 How adequate are the project steering, project management and implementation mechanisms given the multi-country nature of the action?

4.3 How satisfactory are the monitoring and reporting of the action?

4.4 How satisfactory is the pace of implementation given the budget and timeframe available?

5. EU-added value

5.1 How has the action contributed to the improved image and visibility of the EU in the partner countries including the role of the EU as a global player? Has the action scaled up the level of environmental dialogue between EU and partner country?

5.2 What is the strategic significance of this action in the partner countries, in comparison to other relevant development partner interventions? Has the EU experience led to identification of improvements to policy and legislative frameworks?

6. Sustainability

6.1 What are the conditions that can support the continued use of action outputs or outcomes across the partner countries and at a regional level, once the project has ended (the sustainability of the project)?

6.2 Are adequate measures in place, including ownership, integration in national programmes and financial support, to ensure the sustainability of results?

7. Cross-cutting elements

7.1 How has the action incorporated the attainment of SDGs and its interlinkages across its activities?

7.2 How have gender equality, human rights-based approaches and good governance been incorporated by the action?

Mid-Term Evaluation Rethinking Plastic: Circular Economy Solutions for Marine Litter (reducing plastic waste and marine litter in East and South-East Asia: Supporting a transition to a circular economy in the region)

Meta Data

Reference :
Stakeholder Type :
Gender :
Date of Interview :
Start – End Time :

QUESTIONS FOR FGD

1. Relevance

- 1.1 How are the action design and outputs relevant to the partner country priorities and political contexts in the area of concern? How has the action adapted to evolving political contexts or changing priorities in the partner countries?

2. Coherence

- 2.1 How has the action ensured coherence and complemented programmes by regional bodies and national governments in the partner countries including those funded by other development partners?

3. Effectiveness (Covid-19)

- 3.1 Are the action results of good quality and likely to contribute to the achievement of the expected outcomes? What areas, if any, is impact likely to materialise in (e.g. policy or institutional changes or new partnerships)?
- 3.2 How has the action supported the partner countries in awareness, knowledge transfer and take-up of EU policies, approaches and experience?

4. Efficiency

- 4.1 How adequate are the project steering, project management and implementation mechanisms given the multi-country nature of the action?
- 4.2 How satisfactory is the pace of implementation given the budget and timeframe available?

5. EU-added value

- 5.1 How has the action contributed to the improved image and visibility of the EU in the partner countries including the role of the EU as a global player? Has the action scaled up the level of environmental dialogue between EU and partner country?
- 5.2 What is the strategic significance of this action in the partner countries, in comparison to other relevant development partner interventions? Has the EU experience led to identification of improvements to policy and legislative frameworks?

6. Sustainability

- 6.1 What are the conditions that can support the continued use of action outputs or outcomes across the partner countries and at a regional level, once the project has ended (the sustainability of the project)?
- 6.2 Are adequate measures in place, including ownership, integration in national programmes and financial support, to ensure the sustainability of results?

7. Cross-cutting elements

- 7.1 How has the action incorporated the attainment of SDGs and its interlinkages across its activities?
- 7.2 How have gender equality, human rights-based approaches and good governance been incorporated by the action?

Annex 8: Literature and documentation consulted

Below is a list of the 284 documents that were provided to the ET. Two extended deadlines from Friday, 30th July to Friday, 27 August and later to Wednesday, 1 September 2021 were approved by the Reference Group for requested documents to be given to ET by the project team. The table below provide a not complete list of all documents requested to date.

No	Type of Documents
Part 1: Progress Reports and Annexes (78)	
1	Inception Report from May to November 2019
2	Annex 8.1 Structure and Responsibilities Project Team
3	Annex 8.2 Project Steering Committee Structure
4	Annex 8.3 Criteria for pilot projects and selection process
5	Annex 8.4 Stakeholder Mapping per Country and Regional
6	Annex 8.5 Detailed country overview
7	Annex 8.6 List of Meetings with Stakeholders during the Inception Phase
8	Annex 8.7 List of Potential Experts
9	Annex 8.8 Draft Work Plans (Regional and Country Level)
10	Annex 8.9a Modification of Budget Annex III Marine Litter-SEA-PAGODA
11	Annex 8.9b Estimated Allocation of Budget for 2020 and Overall
12	Annex 8.10 Updated Draft C&V Plan
13	Annex 8.11 Updated Logframe matrix
14	Annex 8.12 Project Launch Media Coverage and Attendance
15	First Annual Report from May 2019 to April 2020
16	Annex 8.1 Updated Workplan
17	Annex 8.2 PIMS Indicator Reporting Template
18	Annex 8.3 Updated Logframe Matrix
19	Second Annual Report from May 2020 to April 2021
20	Annex 8.1 Workplans 2021-2022
21	Annex 8.2 Updated Logframe Matrix
22	Annex 8.3 PIMS Indicator Reporting 2020-2021
23	Annex 8.4 Overview of Pilot Projects
24	Annex 8.5 Organisational Chart
25	Annex 8.6 Knowledge Products Developed and Finalised (14 documents)
26	Annex 8.7 Further Materials <ul style="list-style-type: none"> • Contingency Planning April 2020 (2 documents)

	• List of Events for 2021
27	Internal document: Vietnam Needs Assessment for a Sustainable Plastic Recycling Guide - Revised report 121720
28	Vietnam’s Legal Review Report Draft 4
29	Webinar Report on Reducing Single-Use Plastics in Food Delivery and Takeaway dated 30 July 2020
30	Webinar Report on Plastic Waste Recycling Standards dated 10 September 2020
31	Vietnam’s Project Approval signed 7 December 2020
32	7 Quarterly Reports from December 2019 to March 2020
33	7 Quarterly Reports from April 2020 to June 2020
34	7 Quarterly Reports from July 2020 to September 2020
35	7 Quarterly Reports from October 2020 to December 2020
36	7 Quarterly Reports from January 2021 to March 2021
37	7 Quarterly Reports from April 2021 to June 2021
38	First Financial Summary Report from 1 st May 2019 to 30 April 2020
39	Second Financial Summary Report from 1 st May 2020 to 30 April 2021
40	Financial Breakdown for workshops and number of participants from 2019 to 2021
Part 2: Pilot Project Documents (73)	
1	Table of 24 pilot projects (Duration, Location and Budget)
2	China Pilot Introduction Factsheet
3	China R2: Pilot Study on Establishment of Waste Collection System Favouring Single-use Plastic Drinking Bottles in Hainan Province Concept Note
4	China R2: Innovative Plastic Mulch Film Collection Mechanism in Kailu County, Inner Mongolia Autonomous Region Concept Note
5	China R3: Source Reduction and Reusables of Plastic Packaging in Online Express Delivery Industry Pilot (Haikou City) Concept Note
6	China R3: Source Reduction of Plastic Packaging in Online Express Delivery Industry (Haikou City) Concept Note
7	China R3: Application and promotion of reusable and shareable Standardized Integration Containers (SIC) in Logistics Industry (West Coast New District, Qingdao, Shandong Province) Concept Note
8	China R4: Ship waste management in Chinese Commercial Port (Binhai New District, Tianjin) Concept Note
9	China R4: Reduce Marine Plastic Litter by Establishing Fishing-for-Litter (FfL) Scheme (Hainan) Concept Note
10	China R4: Ship waste management in Chinese Commercial Ports (Shanghai Port) Concept Note
11	Indonesia: Local Capacity Building on Sustainable Waste Management & EPR for Plastic Packaging Factsheet
12	Indonesia R2: Local Capacity Building on Sustainable Waste Management & EPR for Plastic Packaging (EPR) (Malang Regency, East Java) Concept Note

13	Indonesia: Increasing the Readiness of Community Recycling Groups in Supporting EPR Implementation Program (Semarang) Factsheet
14	Indonesia R2: Inclusive Partnership for Plastic Waste Recycling: Increasing the Readiness of Community Recycling Groups in Supporting EPR Implementation (Semarang) Concept Note
15	Indonesia: Plastic Free Market in Bandung City Factsheet
16	Indonesia R3: Reducing Plastic Waste in Traditional Market in Bandung and Banjarmasin – Less Plastic, More Tradition (Bandung City, Banjarmasin City) Concept Note
17	Indonesia: Single Use Plastic Free Schools Program Factsheet
18	Indonesia R3: Single Use Plastic Free School Program (SUP Free School) (East Java and Lombok) Concept Note
19	Indonesia: Clean Fishing Port Program on PPP Tegalsari, Tegal, Central Java Province Factsheet
20	Indonesia R4: Clean Fishing Port Program on PPP Tegalsari (Tegalsari Fishing Port, Tegal, Central Java Province) Concept Note
21	Indonesia: Fishing for Litter, the Action for the Oceans (EcoRanger) Factsheet
22	Indonesia R4: EcoRanger’s Fishing for Litter Program (Dusun Pancer, Banyuwangi, East Java) Concept Note
23	Pilot Projects in the Philippines Factsheet
24	Philippines R2: Reducing of Plastic Waste in Iloilo City through Sustainable Consumption Production and Waste Management of Plastic and Its Alternatives (Iloilo City) Concept Note
25	Philippines R3: Sustainable Packaging Towards Marine Litter Reduction (Development of Voluntary Guidelines on Sustainable Packaging towards Reduction of Marine Litter and Promoting Packaging from Alternative Materials through Market-based Approach) (Iloilo City, Bacolod City) Concept Note
26	Philippines R3: Wala Usik: Local Circular Economy Innovations to Reduce Waste (Bacolod City and Talisay City, Negros Occidental) Concept Note
27	Philippines R4: Ship Waste Management in Philippine Ports (Batangas Port) Concept Note
28	Thailand Project Brochure
29	Thailand Pilot Projects Result 2 and Result 3 Slide Deck
30	Thailand CU Rayong R2: An enhancement of plastic waste separation performance from households for closed-loop recycling (Rayong Province) Concept Note
31	Thailand IUCN R2: Enhancing circular economy model at local level and improving municipal plastic waste management practices and policies (Koh Libong sub-district, Kantang district, Trang province) Concept Note
32	Thailand PEF R3: Less plastic in Phuket – Reduction and better plastic waste management in households and businesses Phase 1 (Phuket City, Wichit, Ratsada, Chalong, Patong, Rawai) Concept Note
33	Thailand PEF R3: Less plastic in Phuket – Reduction and better plastic waste management in households and businesses Phase 2 (Phuket City, Wichit, Ratsada, Chalong, Patong, Rawai) Concept Note
34	Thailand R3: Technical Offer SUP (Knowledge Product)
35	Thailand CU PAT R4: Ship waste management online platform development (Bangkok) Concept Note
36	Vietnam: Enhancing the plastic packaging Factsheet

37	Vietnam R2: Enhancing the plastic packaging collection, sorting, recycling by both formal and informal sector: an evidence-based approach in dense to rural area (Ho Chi Minh City) Concept Note
38	Vietnam: Plastic Alliance Project Hanoi Factsheet
39	Vietnam R3: An innovative initiative to establish the Alliance of Supermarkets to reduce the consumption of single-use plastic bags in Viet Nam (PLASTIC ALLIANCE PROJECT) (Ha Noi) Concept Note
40	Vietnam: Ship waste management Factsheet
41	Vietnam R4: Ship waste Management in Vietnamese ports (Cat Lai port – Part of New Saigon port), Ho Chi Minh City Concept Note
42	Vietnam: Fishing for Litter Phú Yên Factsheet
43	Vietnam R4: Fishing for Litter Scheme – Promote a scheme for the voluntary collection of plastics marine litter by fishermen community (Phú Yên) Concept Note
44	Criteria and Call for Pilot Project Ideas for Grant in Indonesia
45	Call for Pilot Project Ideas Philippines
46	Call for Pilot Project Ideas for Vietnam (Collection and Recycling fo5 Plastic Waste Result 2)
47	Call for Pilot Project Ideas for Vietnam (SCP for Plastic Products and Alternatives Result 3)
48	Final Call for Ideas in Thailand
49	Concept Note Draft Template
50	Concept Note Final Template
51	Interim Report for Pilot Projects Template
52	Final Report for Pilot Projects Template
53	FAQs for Communication and Visibility for pilot projects
54	20 Interim Reports for 19 Pilot Projects

Part 3: EC Policies (17)

1	EU Strategy for Cooperation in the Indo-Pacific September 2021
2	International Convention for the Prevention of Pollution from Ships (MARPOL 73/78)
3	EU Port Reception Facilities Directive - Annex 4 April 2019 and supporting documents
4	EU's Packaging and Packaging Waste Directive 1994
5	The Marine Strategy Framework Directive June 2008
6	EU's Sustainable Consumption and Production and Sustainable Industrial Policy (SCP/SIP) Action Plan July 2008
7	EU's Waste Framework Directive November 2008
8	Institute for European Environmental Policy – Reducing Ship Generated Marine Litter: Recommendations to Improve the EU Port Reception Facilities Directive March 2013
9	Study on differentiated port infrastructure charges to promote environmentally friendly maritime transport activities and sustainable transportation June 2017
10	The EU Plastic Strategy January 2018 and supporting documents
11	The Basel Convention Plastic Waste Amendments 2019

12	EU's Directive on Single Use Plastic July 2019
13	The European Green Deal December 2019
14	EU's Green Public Procurement
15	The Circular Economy Action Plan: For a cleaner and more competitive Europe March 2020
16	EU Action Plan: “Towards a Zero Pollution for Air, Water and Soil” (and annexes)
17	Position Papers from European Recycling Industries' Confederation (EuRIC) and European Association of Plastics Recycling and Recovery Organisations
18	EPR Toolbox by PREVENT Waste Alliance and other project partners
Part 4: EC Documents (2)	
1	Regulation (EU) No. 234/2014 of the European Parliament and of the Council of 11 March 2014 establishing a Partnership Instrument for Cooperation with Third Countries
2	Team Europe Initiative Paper (Philippines)
Part 5: National Policy Documents (57)	
China (3)	
1	Opinion on Further Strengthening the Control of Plastic Pollution January 2020
2	Notice on Solidly Promoting the Plastic Pollution Control
3	China's Development Plan of Circular Economy in the 14 th Five-Year Period 2021-2025
China's Studies Prepared by Pilot Projects' Implementing Partners & Stakeholders (4)	
1	EPR Toolbox in Chinese
2	Identifying Pathways for Sustainable Use of PET Bottles in China by Material Flow Analysis and EPR Mechanism
3	Status, Prevention and Control Strategy of Marine Fishery Waste Discharge in China
4	Review and Baseline Report of Regional Status in China: Focusing on single-use plastics
Japan (1)	
1	Comparative Analysis EU-Japan: Circular Economy and Green Public Procurement Policies for preventing plastic pollution in Japan and the European Union March 2021
Indonesia (8)	
1	President Regulation No 83 -2018 on Marine Litter
2	Act of The Republic of Indonesia Number 18 Year 2008 regarding Waste Management
3	Executive Summary of Indonesia's Plan of Action on Marine Plastic Debris
4	National Plan of Action on Marine Litter 2018-2025
5	Circular Letter Number: Se 26 Year 2020 Concerning Provision Of Waste Storage In Ports
6	Full Report – The Economic, Social, and Environmental Benefits of a Circular Economy in Indonesia January 2021
7	Government Regulation No 81-2012 on Household Waste Management

8	Minister Ministry of Environment and Forestry Regulation_75_2019_Roadmap towards Waste Reduction by Producers
Philippines (4)	
1	National Action Plan for Sustainable Consumption and Production
2	National Action Plan for Marine Litter (Second Draft)
3	Development Plan – Chapter 20 Ensuring Ecological Integrity, Clean and Healthy Environment
4	House Bill 9147
Singapore (2)	
1	Circular Economy in Singapore – A Comparative Policy Study for EU-Singapore September 2020
2	Executive Summary of Circular Economy in Singapore Policy Brief September 2020
Thailand (12)	
1	Act on the Maintenance of the Cleanliness and Orderliness of the Country 1992
2	Extended Producer Responsibility in a Non-OECD Context: The management of waste electrical and electronic equipment in Thailand (Lund University)
3	Act on Marine and Coastal Resources Management Promotion 2015
4	Solid Waste Management Master Plan 2016-2021
5	The Twelfth National Economic and Social Development Plan (2017-2021)
6	Booklet on Thailand State of Pollution 2018
7	Roadmap on Plastic Waste Management (2018 – 2030) with Action Plan on Plastic Waste Management
8	Policy Statement 2019
9	Action Plan on Plastic Waste Management Phase I (2020-2022)
10	ASEAN Regional Action Plan for Combating Marine Debris in the ASEAN Member States (2021-2025)
11	Draft Final Report on Support Development of Thailand’s Action Plan on Marine Plastic Debris 11 June 2021
12	Draft Guideline for reducing single use plastic in food delivery and takeaway 30 June 2021
Viet Nam (8)	
1	Decision No. 1855/QD-BTNMT (August 21, 2020) plan for implementation of decision no. 1746/QD-TTG dated December 4, 2019 – Prime Minister on national action plan regarding management of ocean plastic waste until 2030
2	Decision No. 1746/QD-TTG dated December 04, 2019, of the Prime Minister on introducing national action plan for management of marine plastic litter by 2030
3	Law No. 72/2020/QH14(November 17, 2020) Law on environmental protection
4	Decision No.: 889/QD-TTG (June 24 th , 2020) Approving the National Action Plan on Sustainable Consumption and Production for the period of 2021-2030
5	Decision No.: 687/QD-BNN-TCTS (February 05 th 2021) Approval of the action plan on marine plastic waste management for the fisheries sector, 2020-2030 period
6	Directive no. 33/CT-TTG (August 20, 2020) regarding strengthening of management, reuse, recycling, disposal and reduction of plastic waste

7	People’s Committee of Phú Yên Province No: 2179/QĐ-UBND Decision on Promulgating the Action Plan on Plastic and Marine Plastic Waste Management up to 2030 in Phú Yên Province
8	Extended Producer Responsibility Policy Brief for Packaging Waste in Vietnam
Viet Nam Linking Policies/guidelines with Pilot Projects (15)	
1	Report- On an Overview of Solid Waste Treatment Situation in the City and Determination of Demand for Calling for Investment in the Form of Public-Private Partnership; Some City’s Preferential Policies to Investors
2	Ho Chi Minh City Department of Natural Resources and Environment HCMC Waste Recycling Fund: Current Situation of Solid Waste Generation and Recycling Potential
3	Regulations on Management of Domestic Solid Waste in Ho Chi Minh City issued in conjunction with Decision No. 12/2019/QĐ-UBND dated May 17, 2019, by People’s Committee of Ho Chi Minh City
4	Decision No. 12/2019/QĐ-UBND Promulgating Regulations on Management of Domestic Solid Waste in Ho Chi Minh City
5	Decision No. 38/2018/QĐ-UBND On Promulgating Regulations on Maximum Price for Domestic Waste Collection and Transportation Services Funded by the State Budget and Maximum Price for Domestic Solid Waste Treatment Services Funded by the State Budget
6	Decision No.: 129/UBND-DT On organizing and arranging private garbage collection the districts in 2018
7	Decision No.: 1545/QĐ-UBND On decentralization to the People’s Committees of 24 districts for managing and carrying out the collection and transportation of domestic solid waste in the district.
8	New Decision No.: 4712/QĐ-UBND replacing Decision No.: 1545/QĐ-UBND above
9	Decision No.:6396/QĐ-UBND On Promulgating Principles of Bidding or Basis for Inclusion in Bidding Documents and Bid Evaluation with regards to Domestic Solid Waste Cleaning, Collection and Transportation in the City
10	New Decision – On Amending and Supplementing Certain Contents of the Appendix to Decision No. 6396QĐ-UBND above
11	Guidance from The Department’s Board Of Management June 2021
12	Decision No.:1832/QĐ-UBND Promulgating the Plan for At-source Domestic Solid Waste Sorting in Ho Chi Minh City for the period 2017-2020
13	Decision No.: 716/TB-VP meeting reporting on the shortcomings in the classification of waste at source; collection and transportation of waste and transformation of the operation model of independent garbage collectors
14	Price List on Waste Collection Treatment
15	EPR Toolbox in Vietnamese
Part 5: Others including Communication & Visibility Documents (56)	
1	Description of the Action
2	Action Fiche
3	E-READI Policy Brief
4	Annex VI to the PAGODA Co Delegation Agreement CRIS No. PI/2019/405-400 Communication & Visibility Plan
5	First Meeting of the Project Steering Committee Minutes dated 4 December 2019

6	Presentation slides of the first Meeting of the Project Steering Committee Minutes dated 4 December 2019
7	Second Meeting of the Project Steering Committee Minutes dated 18 June 2020
8	Presentation slides of the second Meeting of the Project Steering Committee Minutes dated 18 June 2020
9	Third Meeting of the Project Steering Committee Minutes dated 18 June 2021
10	Presentation slides of the third Meeting of the Project Steering Committee Minutes dated 18 June 2021
11	List of stakeholders Batch 1
12	List of stakeholders Batch 2
13	List of stakeholders Batch 3
14	China: List of Informants during Coordination Meetings
15	Indonesia: List of Potential Informants during Coordination Meetings
16	Japan: List of Potential Informants upon Request
17	Philippines: List of Potential Informants during Coordination Meetings
18	Singapore: List of Potential Informants upon Request
19	Thailand: List of Potential Informants during Coordination Meetings
20	Vietnam: List of Potential Informants during Coordination Meetings
21	Project Management and Steering Structure of Implementers
22	List of Events
23	TOR Launching Pilot Marine Litter in Indonesia dated 30 June 2021
24	INTPA Privacy Regulations
25	Rethinking Plastic Organisation Structure
26	Japan: Agenda for GPP event on 26 November 2020
27	Japan: Rethinking Plastic Presentation on 26 November 2020
28	Japan: Summary Report of GPP event on 26 November 2020
29	Japan: Upcoming EU-Japan Webinar on Financing the emergence of a circular economy and carbon neutral market for plastics through private and public sources of funding
30	Japan: Concept Note on EU-Japan Collaboration
31	Japan: EU-Japan Policy Dialogue on Plastics Agenda 23 March 2021
32	China: Collection of articles/new clippings
33	Indonesia: Collection of articles/new clippings
34	Philippines: Collection of articles/new clippings
35	Thailand: Collection of articles/new clippings
36	Vietnam: Calendar of Events

37	Vietnam: Collection of articles from Kick-Off event
38	Vietnam: Collection of articles on EPR with media in 2021
39	Vietnam: Collection of articles from Vinnamarine with media in 2021
40	Rethinking Plastic Project Factsheet
41	Marine Litter Paper Folder
42	Overview of EU Strategies
43	Overview of Pilot Projects Web Version
44	Vietnam: Rethinking Plastic Project Factsheet in English and Vietnamese
45	PowerPoint templates in German
46	PowerPoint templates in English
47	Rethinking Plastic Backdrop
48	Rethinking Plastic Key Visuals
49	Rethinking Plastic Guidelines on Communication and Visibility
50	Rethinking Plastic Roll-Up in English
51	Rethinking Plastic Roll-Up in Thailand
52	Thailand's Pilot Project Brochure
53	Rethinking Plastic Backdrop for MS Teams Meeting
54	Rethinking Plastic Backdrop for Zoom Meeting
55	Rethinking Plastic Selected Social Media Post
56	SEA of Solutions 2019 Event Report and speakers' list for SEA of Solutions 2020

Annex 9: List of persons/organisations consulted and interviewed

The ET completed a total of 61 interviews (45 KIIs and 16 FGDs) with 108 informants. This was above the target that was reported in the Inception Report which was initially aimed at 35 to 40 interviews. As depicted in Tables 1 to 4 above at page 2, it covered all categories of stakeholders in five main partner countries, helped deepen discussions with a variety of participants and was feasible in assisting the ET with the triangulation of data. It was not as comprehensive in Japan and Singapore as explained under limitations in page 3 above as no government officials responded to the invitations to be interviewed. However, the ET tried to overcome the limited data sources by interviewing other stakeholders in both countries. Additionally, despite staff changes at the European Commission and EUDs over the years, all current key informants in office were identified and interviewed when previous staff were not able to participate due to being on annual leave.

	Organisation	Name
CHINA		
1.	EU Delegation, Beijing	
2.	EU Delegation, Beijing	
3.	EU Delegation, Beijing	
4.	Research Centre for Rural Economy	
5.	Shenzhen University	
6.	China Association of Circular Economy	
7.	Tomra	
8.	Ellen MacArthur Foundation	
9.	China Blue Sustainability Institute	
10.	Institute of Urban Environment, Chinese Academy of Sciences	
11.	Chinese Research Academy of Environmental Sciences	
INDONESIA		
12.	EU Delegation, Jakarta	
13.	EU Delegation, Jakarta	
14.	Embassy of Kingdom of Denmark to Indonesia	
15.	Netherlands Ministry of Infrastructure and Water Management	
16.	Directorate for Environment, National Development Planning Agency (BAPPENAS)	
17.	Directorate Solid Waste Management, Ministry of Environment and Forestry (KLHK)	
18.	Directorate Waste and Wastewater Management, Coordinating Ministry for Maritime Affairs and Investment (KEMENKOMARVEST)	
19.	Directorate Waste and Wastewater Management, Coordinating Ministry for Maritime Affairs and Investment (KEMENKOMARVEST)	
20.	Centre for Southeast Asian Studies (CSEAS)	
21.	Gerakan Indonesia Diet Kantong Plastik	
22.		
23.	Destructive Fishing Watch Indonesia	
24.		
25.		
26.	Greeneration Foundation Indonesia	
27.		

	Organisation	Name
28.	Yayasan Bina Karta Lestari	
29.		
JAPAN		
30.	EU Delegation, Tokyo	
31.	Institute for Global Environmental Studies (IGES)	
32.		
33.		
34.	Eco Mark Office, Japan Environment Association (JEA)	
35.		
PHILIPPINES		
36.	EU Delegation, Manila	
37.	Spanish Cooperation (AECID)	
38.	Environmental Management Bureau (EMB) - Department of Environment and Natural Resources (DENR)	
39.		
40.		
41.		
42.		
43.		
44.	Partnerships in Environmental Management for Seas of East Asia (PEMSEA)	
45.		
46.	Philippine Reef and Rainforest Conservation Foundation, Inc. (PRRCFI)	
47.		
48.	Philippine Centre for Environmental Protection and Sustainable Development, Inc. (PCEPSDI)	
49.		
50.		
51.	Central Philippine University (CPU)	
SINGAPORE		
52.	EU Delegation, Singapore	
53.	Rijkswaterstaat, Netherlands Ministry of Infrastructure and Water Management	
54.	GA Circular	
THAILAND		
55.	EU Delegation, Bangkok	
56.	EU Delegation, Bangkok	
57.	Pollution Control Department (PCD)	
58.	PPP Plastic	
59.	Faculty of Engineering, Chulalongkorn University	
60.	King Mongkut’s University of Technology Thonburi (KMUTT)	
61.	Research unit of environmental management and sustainable industry (EMSI) Faculty of Engineering, Chulalongkorn University	
62.	Energy Research Institute, Chulalongkorn University	
63.	Energy Research Institute, Chulalongkorn University	

	Organisation	Name	
64.	Waste Management, Chulalongkorn University		
65.	Chulalongkorn University		
66.	1st Biz		
67.	Thailand Development Research Institute Foundation (TDRI)		
68.	Thailand Development Research Institute Foundation (TDRI)		
69.	Phuket Environmental Foundation (PEF)		
70.			
71.			
72.	Faculty of Technology and Environment Prince of Songkla University Phuket Campus		
73.	Advantage Consulting Co., Ltd.		
VIETNAM			
74.	EU Delegation, Hanoi		
75.	EU Delegation, Hanoi		
76.	UNDP Vietnam		
77.	French Embassy in Vietnam		
78.	Institute of Strategy and Policy on Natural Resources and Environment (ISPONRE) - Ministry of Natural Resources and Environment (MONRE)		
79.	Legal Affairs Dept./MONRE		
80.	Energy efficiency and sustainable development/Ministry of Industry and Trade		
81.	Energy efficiency and sustainable development/Ministry of Industry and Trade		
82.	International Cooperation Department - VINAMARINE		
83.	French Research Institute for Sustainable Development IRD Marseille France		
IMPLEMENTING PARTNERS			
84.			
85.			
86.			
87.			
88.			
89.		Deutsche Gesellschaft für Internationale Zusammenarbeit GmbH (GIZ)	
90.			
91.			
92.			
93.			
94.			
95.			
96.			

	Organisation	Name
97.	Expertise France	
98.		
99.		
EU INSTITUTIONS AND CO-DONORS		
100.	European Parliament	
101.	DG Environment	
102.	DG Environment	
103.	DG Move	
104.	EEAS Global	
105.	European Investment Bank (EIB)	
106.	Ministry of Economic Cooperation & Development (BMZ)	
INTERNATIONAL-REGIONAL		
107.	Ellen MacArthur Foundation	
108.	COBSEA Secretariat	

Annex 10: Analysis Table for 19 Interim Pilot Project Reports

Red: Evolution of changes (previous pilot project documents to interim pilot project reports). Blue: EOT to produce high quality outputs. Green: highlights number of days/months covered in the interim pilot project reports

Title of the project ⁴⁸	Category of Activities (6 categories) ⁴⁹	Policy recommendations or linked to a policy framework	Best practice from EU	Mainstreaming gender, HRBA, good governance	Covid-19 Mitigation Strategy or Plan ⁵⁰	EU Visibility	Sustainability Measures ⁵¹	Duration and Extension of Time ⁵²	Accountability ⁵³
Result 2: China Innovative plastic mulch film collection mechanism, Inner Mongolia	1. studies 6. key actors across value chain integrated	Completed 1 draft policy recommendation, 1 policy proposal pending	Some CE best practices but mainly local approaches with farmers	40% of women participation. The rest not mainstreamed in the design of the pilot	x Gantt chart Overall, not comprehensive enough	No reference to Action's guidelines in the report	Local government subsidies ongoing. Kailu County Government very supportive of implementation plan	Jan 2021 – February March 2022 EOT: Yes	90,000 € Reporting for Jan 2021 to August 2021 (8 months) No sign offs and no financial disclosures
Result 2: China Waste Collection System Focusing on Plastic Drinking Bottles, Xiamen, City, Hainan Province	1. studies 6. key actors across value chain integrated	4 local policy frameworks. To deliver 2 policy recommendations reports. Key for 14 th Five Year Plan and CE Promotion Law	Some CE, EPR, Deposit Refund Schemes	Listed activities	✓ Gantt chart in Annex 3. Overall, not comprehensive enough	Pilot project is still at the early stage, there are no activities in communication and awareness raising	The local government may continue with support depending on the working group members	Jan 2021 – February 2022 EOT: Yes	90,000 € Reporting for Jan 2021 to August 2021 (8 months) No sign offs and no financial disclosures.
Result 2: Indonesia Inclusive Partnership for Plastic Waste Reduction & Recycling, Semarang	1. studies 2. education 6. key actors across	Waste Reduction Roadmap for Producers. EPR policy dialogues between govt and producers	EPR	Women, vulnerable groups, informal waste pickers mainstreamed	✓ Gantt chart. Overall, not comprehensive enough	Bintari's social media across all channels with EU tagging, stats of likes, views etc.	Mobile app material trading marketplace requires more budget and applied to GIZ, and two donors to scale the pilot.	Nov/Dec 2020 – Feb 2022 EOT: Yes	97,350.30€ Reporting for Dec 2020 to April 2021 (5 months) No sign offs and no financial disclosures

⁴⁸ Five interim pilot project reports were not submitted to ET. They are **Result 2: Indonesia** Local Capacity Building on Sustainable Waste Management and EPR, **Result 3: China** Shareable Standardized Integration Containers (SIC). Due to the institutional reform, Zhongke Yinghua Technical Research Institute was revoked in April 2021 due to inability to continue aligning with the pilot contract. As a result, there is no report from Zhongke Yinghua. The contract awarding procedure to new implementer Qingdao Junshengmingshi is still ongoing, which also indicated no reporting requirement is needed. **Result 4: Indonesia** Clean Fishing Port Program on PPP Tegalsari. **Result 4: Vietnam (2 pilots)** Ship Waste Management in Vietnamese ports (Cat Lai) and Fishing for litter scheme, Phu Yen province. No pilot project contracts shared to date.

⁴⁹ The 6 categories refer to (1) studies (baseline/metric/data collection) (2) education/capacity building activities (3) behavioral change (4) tools/systems (5) standards (guidelines) (6) key actors across value chain integrated.

⁵⁰ Covid-19 Mitigation Strategy/Plan refers to whether a Gantt chart was produced, whether there was a comprehensive mitigation strategy with a contingency plan disclosing Covid-19 back-up plans.

⁵¹ Sustainability refers to the design of the pilot project, it was created as a model to be replicated and to list the steps taken to continue the activities after the funding ends.

⁵² The extension of time is proposed for minimum 9 months to produce quality outputs, to address current delays mentioned in reports and to organize a final stakeholders' consultation after a project summary evaluation is completed at the end of the pilot project.

⁵³ Accountability here means if the interim pilot project report was signed off by the pilot project team lead, reviewed and signed off by NSA (first approval level) after submission of report, disclosure of financial disbursements to pilot project team, tracking of the expenditure against the budget, for implementing the pilot projects and managing whether the pilot teams are monitoring the project timeline, milestones & managing the risks effectively.

Title of the project ⁴⁸	Category of Activities (6 categories) ⁴⁹	Policy recommendations or linked to a policy framework	Best practice from EU	Mainstreaming gender, HRBA, good governance	Covid-19 Mitigation Strategy or Plan ⁵⁰	EU Visibility	Sustainability Measures ⁵¹	Duration and Extension of Time ⁵²	Accountability ⁵³
	value chain integrated					Outreach to youths included			
Result 2: Philippines Reduction of Plastic Wastes (SCP, Waste Management of Plastics, and its Alternative) in Iloilo City	1. studies 2. education 6. key actors across value chain integrated	Republic Act 9003, public policies on SWM, linked to national EPR system via PRO and PARMS	EPR	Inclusivity of informal waste sector in activities, gender equality (field researchers)	A Work Plan disclosed. Overall, not comprehensive enough	Letters sent to national stakeholders using project official headings. Campaigns are part of the pilot	Central Philippine University and project partners will continue with city government.	1 Feb 2021 – 28.Feb 2022 EOT: Yes	132,009.12 € Reporting for Feb 2021 to July 2021 (6 months) No sign offs and no financial disclosures
Result 2: Thailand Plastic waste separation performance from households for closed-loop recycling. Rayong province	1. studies 2. education 3. behavioral change 6. key actors across value chain integrated	Green city and Rungrueang policy, Plastic Waste Mgt Roadmap. Policy recommendations for Covid-19 is planned	3Rs, EPR and CE. Reported assistance received from GIZ	PPP Plastic + policy networks. Community, vulnerable groups incl. SDG 11, 12, 13, 14 listed	✓ Gantt chart but simplistic. Overall, not comprehensive enough	Door to door hardcopy materials and social media on closed loop plastic recycling. Network comms	Chulalongkorn University has conducted a gap analysis and for the communities to sustain practices.	Jan 2021 – Feb 2022 EOT: Yes	130,000 € Reporting for Jan to June 2021 (6 months) No sign offs and no financial disclosures
Result 2: Thailand CE model improving municipal plastic waste management practices and policies, Koh Libong sub district Trang province	1. studies 2. education 3. behavioral change 6. key actors across value chain integrated	Policy and sub-district admin's regulation, contributes to improvements (feedback from the ground-up)	CE	Gender balance practices. Villages WGs set-up. Participants recorded by gender	x Gantt chart. Overall, not comprehensive enough	Facebook fan page, IUCN website	IUCN reported several consecutive years needed to strengthen capacity of local authorities, adoption of CE and improvements to recycling rates	Dec 2020 Feb 2021 – Feb 2022 EOT: Yes	129,057.23€ Reporting for Feb to April 2021 (3 months) No sign offs and no financial disclosures

Title of the project ⁴⁸	Category of Activities (6 categories) ⁴⁹	Policy recommendations or linked to a policy framework	Best practice from EU	Mainstreaming gender, HRBA, good governance	Covid-19 Mitigation Strategy or Plan ⁵⁰	EU Visibility	Sustainability Measures ⁵¹	Duration and Extension of Time ⁵²	Accountability ⁵³
Result 2: Vietnam Enhancing the plastic packaging collection, sorting, recycling by both formal and informal sector: an evidence-based approach in dense to rural areas, Ho Chi Minh City	1. studies 2. education 5. standards 6. key actors across value chain integrated	The guideline for international and local policymakers, PRO Vietnam (EPR). Target DONRE and MONRE	EPR	Report template does not require disclosure.	✓ Gantt chart. Report template does not require disclosure.	All the materials, have EU logo and follows communication guidelines provided by GIZ (reported by no photos/screenshots)	IRD and Hanoi University of Architecture has not disclosed or reported who will continue the efforts. Designed as a model to create or replicate	26 Sept 2020 – Feb 2022-26 March 2022 EOT: Yes	164,923 € Signed. Reporting for Sept 2020 to March 2021 (7 months) Budget under Activity Matrix disclosed. Different reporting template from GIZ.
Result 3: China Source reduction and reusables of plastic packaging, online express delivery industry, Hainan province	1. studies 5. standards	Industry standards for reuse and share for packaging	CE and localized to fit local context	50% women participation in activities. 50 brand networks	x Gantt chart. Project schedule too simplistic. Overall, not comprehensive enough	News clippings. Indicated more awareness needed (marine litter)	JD largest player in China to set the standards for others to follow and to continue efforts.	Jan 2021 – February 2022 EOT: Yes	60,000 € Reporting for Jan 2021 to August 2021 (8 months) No sign offs and no financial disclosures
Result 3: Indonesia Single-Use Plastic Free School Program (SUP Free School), East Java and Lombok	2. education 3. behaviorial change ⁵⁴	None reported. To develop educational handbooks.	None reported	50% of women teachers are roped in	✓ Gantt chart. Overall, not comprehensive enough	None reported	Needs to state clearly who are the other schools adopting best practice handbooks as it seems to be a best practice call for now	Jan 2021 – Feb 2022 April 2021 – March 2022 EOT: YES	89.987,00€ Reporting for April 2021 ⁵⁵ (1 month). No sign offs and no financial disclosures

⁵⁴ Assessment metrics for behaviour change in plastic habits not revealed.

⁵⁵ This pilot project started in April 2021 and only provided 1 month reporting so far. Would have been more insightful if the reporting period was from April to August 2021.

Title of the project ⁴⁸	Category of Activities (6 categories) ⁴⁹	Policy recommendations or linked to a policy framework	Best practice from EU	Mainstreaming gender, HRBA, good governance	Covid-19 Mitigation Strategy or Plan ⁵⁰	EU Visibility	Sustainability Measures ⁵¹	Duration and Extension of Time ⁵²	Accountability ⁵³
Result 3: Indonesia Reducing Plastic Waste in Traditional Market in Bandung and Banjarmasin	1.studies 2. education 3.behaviorial change 6. key actors across value chain integrated	Mayor's regulations for traditional markets. Paid plastic policy Bandung + SUP restrictive prog alternatives to SUP	Localised approaches with local communities in traditional markets	Gender based analysis and inclusivity, adopted in all consultations	x Gantt chart. Project schedule too simplistic. Overall, not comprehensive enough	Mainly promoting local approaches. Awareness and participation rates recorded, shared via hyperlinks.	GIDKP will continue replication in other traditional markets and best practice modules are available for download.	Nov/Dec 2020 – Jan Feb 2022 EOT: Yes	86,127.78 € Reporting for Nov 2020 to May 2021 (7 months) No sign offs and no financial disclosures
Result 3: Philippines Voluntary Guidelines on Sustainable Packaging towards Reduction of Marine Litter (Alternative Materials via Market-based Approach, Iloilo City)	1.studies 5. standards 6. key actors across value chain integrated	National Ecolabelling Prog – Green Choice Philippines. Private sector roadmap. Policy recommendation for LGU	Eco-design, eco-labelling	Inclusivity with stakeholders practiced for online engagements	x Gantt chart. Project schedule too simplistic. Overall, not comprehensive enough	Materials and campaigns adopted. Facebook post outreach stats recorded	PCEPSDI managed to rope in DTI-DOG and SM Supermalls to continue efforts to continue improving NELP-GCP criteria	6 Dec 2020 – 28 Feb 2022 EOT: Yes	124,881.94 € Reporting for Dec 2020 to April 2021 (5 months) No sign offs and no financial disclosures
Result 3: Philippines Wala Usik: Local Circular Economy to Reduce Waste, Bacolod, and Talisay City	3.behaviorial change 6. key actors across value chain integrated	Guide/handbook for MSMEs to use (Wala Usik / zero-waste /CE)	Some CE, Deposit Refund Schemes	SDG 11, 12, 14, 17 listed. 9/11 MSMEs women-led businesses. Social media outreach and inclusivity approach is highest vs other pilots	✓ Gantt chart. Simple one. Overall, not comprehensive enough	Social media outreach 20,000 views. Refers to EU's solutions on DRS schemes and other mechanism. Youth inclusion.	Has yet to firm up who the 11MSMEs will partner (economic players and transnational companies). Designed as a model to create or replicate using Wala Usik Technical Implementing Framework	6 Dec 2020 – 5 Feb 2022 EOT: Yes	101,055.68 € Reporting for Dec 2020 to April 2021 (5 months) No sign offs and no financial disclosures

Title of the project ⁴⁸	Category of Activities (6 categories) ⁴⁹	Policy recommendations or linked to a policy framework	Best practice from EU	Mainstreaming gender, HRBA, good governance	Covid-19 Mitigation Strategy or Plan ⁵⁰	EU Visibility	Sustainability Measures ⁵¹	Duration and Extension of Time ⁵²	Accountability ⁵³
Result 3: Thailand Reduction and better plastic waste management in households and businesses, Phuket	3.behaviorial change 5. standards 6. key actors across value chain integrated	Municipalities policies, foam-free policies. Reusable container (alternative to plastic free packaging)	Some CE	Attendance rate recorded by gender.	x Gantt chart for Phase 1. Overall, not comprehensive enough for Phase 2	EU funding mentioned during meetings. Schools are targeted in Phase 2.	Reported Phase 2: need deeper engagement with current networks & agencies in waste management and to strengthen PR. Phase 1 report: no sustainability strategy disclosed for Phase 2:	Nov 2020 – Feb 2022 Phase 2; EOT: Yes	Phase 1 30,000 € Phase 2 70,000 € Reporting 9 Nov until 15 June (7 months) Phase 1 done. No sign offs and no financial disclosures for Phase 1
Result 3: Vietnam Alliance of Retailers to reduce the consumption of single-use plastic bags among supermarkets, Hanoi	2. education 3.behaviorial change 6. key actors across value chain integrated	Policy dialogues, drafting a policy brief based on projects key findings is part of the deliverables	SUP Directive and 3R	Report template does not require disclosure.	✓ Gantt chart Report template does not require disclosure.	Not disclosed in report. No photos	ISPONRE indicated supermarket chains are to replicate nationwide.	27 Oct 2020 – 28 Feb 2022 EOT: Yes	176,000 € Reporting for Oct 2020 to April 2021 (7 months) The signature section has no signature. Budget under Activity Matrix disclosed. Different reporting template
Result 4: China Ship Waste Management in Chinese commercial ports, Shanghai, and Tianjin	1.studies 5. standards 6. key actors across value chain integrated	Tianjin Ship Waste Manual best practices, 1 policy recommendation Shanghai Implementation plans (new reception facility notification system)	EU Directive Annex 4. Shanghai team mentioned visiting European countries to witness best practices	50% (Tianjin) 60% (Shanghai) of the project execution team are female members.	Tianjin x Gantt chart. Project schedule. Shanghai ✓ Gantt chart. Overall, some disclosed	EU op details- ship waste management shared with team. Upcoming exhibition and online quiz	Not reported if TPRI, MOT, NMIS will continue using best practices and standards generated from pilot and share with other ports yet	Jan 2021 – Feb 2022 EOT: Yes	70,000 € per port x 2 Tianjin and Shanghai. Reporting for Jan 2021 to August 2021 (8 months) No sign offs and no financial disclosure

Title of the project ⁴⁸	Category of Activities (6 categories) ⁴⁹	Policy recommendations or linked to a policy framework	Best practice from EU	Mainstreaming gender, HRBA, good governance	Covid-19 Mitigation Strategy or Plan ⁵⁰	EU Visibility	Sustainability Measures ⁵¹	Duration and Extension of Time ⁵²	Accountability ⁵³
Result 4: China Reduce Marine Plastic litter by Establishing Fishing-for-Litter (FfL) Scheme, express delivery industry in Hainan province	1.studies 3.behaviorial change 5. standards 6. key actors across value chain integrated	Chinese and English Ffl policy recommendation report submitted to at least 2 departments	Active guidance of local port managers to attract fishermen's buy in – local approach	Not reported	x Gantt chart. Overall, can be strengthened. Optimization mentioned for next phase	7 WeChat, 7 news/media revealed (>3000 views). 2 awareness raising activities (500 people). Policy makers included. 3 videos reported	Local government admitted it is a low costs waste management model. Need confirmation of continuation.	Jan 2021 – Feb 2022 EOT: Yes	40,000 € Reporting for Jan 2021 to August 2021 (8 months) No sign offs and no financial disclosures
Result 4: Indonesia Ecoranger's Fishing for Litter Programme, Banyuwangi, East Java	1.studies 3.behaviorial change 6. key actors across value chain integrated	Dusun Pancer, Sumberagung Village Regulation No. 08/2019. Introducing ML mgt policy	Local approaches adopted to fit the local context	Inclusivity mentioned but no evidence of mainstreaming.	✓ Gantt chart but too simplistic. Overall, not comprehensive enough.	European literature referred and listed for project reference	Although it's a continuation of 2018 efforts, no evidence inside report on how sustainability is being pursued apart from strengthening waste management governance.	Jan 2021– Feb 2022 15 April 2021 to 15 March 2022 EOT: Yes	72,877 € Reporting for 15 April 2021 to 30 April 2021 (15 days) No sign offs and no financial disclosures
Result 4: Philippines Ship Waste Management in Philippine ports, Batangas	1.studies 5. standards 6. key actors across value chain integrated	PPA policy manual, Env Occupational Safety, Health, Quality. Ongoing review of PPA's policy on waste	This is a pilot based on replication model from previous iPORTS 2019	Cross-cutting elements not reported, more details needed on how it contributes to SDG 14 targets	x Gantt chart Project schedule too simplistic. Overall, not comprehensive enough.	Recommendation for detailed waste classification see EU Directive to PPA (May 2021) for PPA policy	PEMSEA reported key actors in various stages of project promoted buy-in and ownership to continue but did not list who exactly they are	1 Dec 2020- 28 February 2022 EOT: Yes	120,125.50€ Reporting for Dec 2020 to May 2021 (6 months) No sign offs and no financial disclosures

Title of the project ⁴⁸	Category of Activities (6 categories) ⁴⁹	Policy recommendations or linked to a policy framework	Best practice from EU	Mainstreaming gender, HRBA, good governance	Covid-19 Mitigation Strategy or Plan ⁵⁰	EU Visibility	Sustainability Measures ⁵¹	Duration and Extension of Time ⁵²	Accountability ⁵³
		reception fee, policy reforms				and the waste on board information form			
Result 4:Thailand Ship waste management online platform development, Bangkok	1. studies 5. standards 6. key actors across value chain integrated	Recommendation to port authority for online waste management system and costs recovery system (digital solutions)	Annex 4 of the EU Port Reception Facilities (PRF) Directive and best practices	Closed loop recycling practices involved men and women. Vulnerable groups in consultation meetings	✓ Gantt chart & implementation chart disclosed A digital solution focused pilot.	No communications and awareness activities via social media reported	Chulalongkorn University did not report who will take over the pilot but planning steps taken	Dec 2020 — Dec 2021 Jan 2021 to Feb 2021 EOT: Yes	119,963.25 € Reporting for Jan to June 2021 (6 months) No sign offs and no financial disclosures

Red: Evolution of changes (previous pilot project documents to interim pilot project reports). Blue: EOT to produce high quality outputs. Green: highlights number of days/months covered in the interim pilot project reports

Annex 11: Country Specific Annexes

This annex provides a compilation of country specific findings from *Chapter 2*. Please refer to *Annex 10* for additional information and assessment of the pilot projects.

Country Annex: China

Relevance

2/ How are the Action design and outputs relevant to the partner country policy dialogues with the EU and EU MS?

In China, the Action design aims to build on and contribute to the EU’s policy dialogue on circular economy. The Action focusses on policy and pilot interventions at local government level. The expectations from the EU stakeholders are that the results of the Action and local level partnerships would feed into the EU’s policy dialogue with China on circular economy and accelerate the process which has slowed down following the Covid-19 pandemic. There is some potential of support from EUMS like the dialogue initiated by Germany and Sweden in the area of waste management.

4/ How are the Action design and outputs relevant to the partner country priorities and political contexts in the area of concern?

The Action design and outputs are relevant to the Development Plan of Circular Economy in the 14th-Five-Year Plan. This is particularly the case at local government level in pilot locations such as Xiamen and Hainan. The Action outputs are also relevant to the Potential Control of Plastic Pollution regulation. The main implementing partner of the Action in China is the China Association for Circular Economy (CACE). Although the Implementing Partners (IP) of the Action have preferred to establish Memorandum of Understanding (MoU) with the main political partner in each country, a MoU with CACE has not been signed by August 2021.

Coherence

1/ How has the Action ensured coherence and complemented other EU and EUMS interventions in the partner country?

The Action has had discussions with the German Cooperation Agency (GIZ) initiatives on public waste and public private partnerships. The project was also considering building on an initiative from Sweden which involved the development of a new signalling system for waste which was colour coded.

2/ How has the Action ensured coherence and complemented programmes by national governments in the partner country including those funded by other development partners?

According to interviews, the Action has been sharing information with Chinese science and technology (S&T) institutes. The intention from the Action is to use its pilot projects to link various actors such as local government, business associations, research institutes and research companies and to also test policies at a local level and advanced technology from the S&T institutes. Through its pilot projects, the Action is complementing local government initiatives. These included Xiamen which is viewed as a pioneer city in China on household waste separation and collection. Stakeholders have expectations that the pilot project will provide policy recommendations, best practices, preferred business models and management mechanisms on collection of plastic waste. The pilot projects in Qingdao and Hainan aim to achieve similar objectives as well. There have also been some early-stage discussions with the Nationally Appropriate Mitigation Actions (NAMA) Facility for China with whom the Action has shared its knowledge.

Effectiveness

2/ Are the Action results of good quality and likely to contribute to the achievement of the expected outcomes? What areas, if any, is impact likely to materialise in (e.g. policy or institutional changes or improved partnerships)?

The evidence revealed the design of the pilot projects will conclude with some circular economy models which will be shared with policy makers in particular the pilots whose Working Groups have private sector players contributing inputs. Other key policy contributions would be on deposit refund schemes (DRS) to be applied to industries and the continuation of subsidy policies to farmers in reuse of mulch films in the agriculture sector.

In terms of impact EU practices and experiences were shared for the pilots across Results 2 to 4 and training on the EPR toolbox for the Chinese audience was completed. Five pilot projects involve strong collaboration with local and provincial governments and there is evidence that results and achievements at the community level are being submitted to influence policymakers. This is likely to have impact in terms of policy changes, in the areas of circular economy models, DRS and continuation of subsidy policies for farmers reusing mulch films.

3/ How has the Action supported the partner country in awareness, knowledge transfer and take-up of EU policies, approaches and experience?

There is evidence that five out of six pilot projects had exposure to different circular economy models from the EU such as single use plastic (please refer to Annex 10). This enabled stakeholders to have a better understanding. Comparison studies between EU and China policies were shared with the Chinese government.

Efficiency

2/ How adequate is the project management and implementation mechanisms in the partner country?

In terms of project management by the expert team, many stakeholders felt it was adequate in China. EU stakeholders felt the management and implementation mechanisms had a good balance between a structured approach to ensure quality and flexible to adapt to demand driven needs from the EU services. Government stakeholders from these countries also expressed strong satisfaction with the management and implementation mechanisms which were efficient.

A number of EU and government stakeholders felt there were delays due to staff turnover at the national project office in China. A number of EU stakeholders felt the decision by the implementing partners (GIZ and EF) to adopt MOUs as a mechanism to engage and formalise relations with a political partner in each country led to significant delays during the inception phase. Delays in finalising the MOU have continued in China and the NSAs have attempted to mitigate these effects by establishing strong partnerships with the pilot implementors and associated stakeholders.

EU-added value

1/ How has the Action contributed to the improved image and visibility of the EU in the partner country including the role of the EU as a global player? Has the Action scaled up the level of environmental dialogue between EU and the partner country?

In China, respondents shared that the Action raised the positive image of the EU and the collaboration helped provincial and local government to engage with experts from the Action and pilot implementors in translating lessons learned and creating replicable models from five pilots. In China, media monitoring focused on the Action’s Weibo and WeChat social media channels, which reported 1,936 followers and a total viewership of 6,558 by end of 2020⁵⁶. Three out of six pilots in

⁵⁶ EU Quarterly Report No. 4 China from October to December 2020

China are implementing communication activities which are improving the EU’s visibility at local level through social media. The Fishing-for-litter (Ffl) pilot in Hainan has resulted in over 3,000 views across seven WeChat news items, awareness raising activities targeting 500 people and the development of three videos. The ship waste management pilot in Shanghai and Tianjin has an upcoming exhibition and online quiz which has the potential to create EU visibility across a broad audience.

EU practices and experiences are being shared by pilot projects and training on the EPR toolbox delivered. These are expected to influence policy at provincial and local government level and as well as the adoption of practices and business models amongst companies and promote the role of the EU as a global player.

Some EU stakeholders feel there is sufficient **environmental dialogue** between the EUD and central government, which is commensurate with the resources available at the EUD to follow-up at policy and political level. However, the Action is supporting policy reform at provincial and local government level including contributions to targets in the Development Plan for the Circular Economy: 14th Five Year Plan 2021-2025 on plastic pollution. This is likely to feed into the EUDs broader dialogue with central government on environment, climate change and biodiversity.

2/ What is the strategic significance of this Action in the partner country, in comparison to other relevant development partner interventions? Has the EU experience led to identification of improvements to policy and legislative frameworks?

The pilots are influencing policy makers at provincial and regional level according to evidence. They are creating a pathway to encourage strategic thinking to establish new circular economy business models and a circular system for the plastic industry. One respondent shared *“well, it has a strategy of combination of political and community will power. Both a top-down and bottom-up approach combined. Strategy includes the top-down senior level policy makers - they want to introduce this to China and Hainan. They need someone like us a local partner at local level to know how to engage with the local fishermen community to work on the ground. A very natural mix or smooth integration from both ends”*.

The EU best practices from the EPR toolbox were translated and shared with pilot projects’ implementers and national stakeholders in China under Result 2.

The EU best practices from MARPOL, EU Port Reception Facilities Directive Annex 4 and some practical examples in implementing costs recovery systems have also been shared via the pilot projects under Result 4 to facilitate dialogues and policy recommendations with the local port authorities.

Sustainability

2/ Are adequate measures in place, including ownership, integration in national programmes and financial support, to ensure the sustainability of results?

In China, outputs from some pilot projects, with private sector players, will conclude with testing of circular economy models which will be shared with policy makers. The models include DRS approaches for plastic bottles and other EPR models for eCommerce, express delivery and plastic packaging. These models or local level policy instruments are like to be adopted by local government, if they demonstrate tangible results. This will lead to both policy, organisational and financial sustainability to continue and replicate the efforts, according to stakeholders. Some producers like Coca-Cola and Pepsi have discussed and expressed interest to continue the pilot under Result 2⁵⁷ in establishing the EPR platform with other Working Group members to enlarge the impact, apply feasible and practical models to replicate in other cities. One respondent shared; *“CACE is also working to provide the platforms for businesses and policy makers to accelerate*

⁵⁷ This refers to the Pilot Study on the Establishment of a Waste Collection System Focusing on Plastic Drinking Bottles in Hainan Province.

industries towards a blue economy”. At a policy level, the supporting of policy reforms at provincial and local government levels including contributions to targets in the Development Plan for the Circular Economy: 14th Five Year Plan 2021-2025 on plastic pollution is important for sustainability.

In terms of integration in national programmes, the pilot under Result 2, the pilot’s design and activities⁵⁸ in relation to collection of mulch films have qualified for the local government subsidies programme for farmers. A draft policy paper has documented the outcomes captured under the pilot to justify the continuation of the subsidy policy for farmers. Additionally, the proposed implementation plan to continue the pilot to enhance benefits for farmers in the Kailu County has received positive feedback from the local government. According to government stakeholders, financial sustainability for the pilots should not be challenging if the pilots are able to demonstrate tangible benefits.

The pilots also need to generate some tangible outcomes which will enable the provincial government to reap the benefits. One example is for all the pilots to identify the practical methods or techniques that already have obtained support from the local governments or local industries e.g., pilot under Result 4⁵⁹. Such pilot outputs contribute to policy recommendations and assist the port authorities’ policy reform process on the treatment of plastic waste. Such alignment with national and local governments is critical for the continuation of all pilot activities.

Cross-cutting elements

2/ How have gender equality, human rights-based approaches and good governance been incorporated by the Action?

Three pilot projects in China included a female percentage of representation amongst the project team involvement, yet the small size of the project team makes this not very meaningful. Three pilots from China good governance practices during stakeholder engagements. One example were improvements towards integrated waste management by closing the communication gaps between farmers and the government officials of Kailu county and strengthening the governance of local community and fishing community towards sustainable development practices.

⁵⁸ This refers to Innovative Plastic Mulch Film Collection Mechanism in Kailu County, Inner Mongolia Autonomous Region.

⁵⁹ This refers to Reduce Marine Plastic Litter by Establishing Fishing-for-Litter (Ffl) Scheme in Hainan province.

Country Annex: Indonesia

Relevance

2/ How are the Action design and outputs relevant to the partner country policy dialogues with the EU and EU MS?

In Indonesia, the Action design was relevant to the existing high-level dialogues under the Partnership Cooperation Agreement (PCA) focussing on environment and marine security. The high-level dialogues are implemented through an EU-Indonesia working group on environment and climate change, which meets annually. The Activity implementation and outputs have helped to operationalise the EUs policy dialogue through activities with the [Indonesia Circular Economy Forum \(ICEF\)](#), and facilitated a collaboration between the EU and EUMS, towards policy dialogues with Indonesia in the spirit of a Team Europe approach on circular economy and resource efficiency, which serves, as an outlook towards the G20 Bali Summit 2022 to be hosted by Indonesia. Pilot projects are expected to provide tangible results at local level and enhance partnerships with local government and other actors. According to an EU stakeholder: *“in terms of where we are now, we are trying to develop an EU-Indonesia green agenda covering this project and other projects. We want to move beyond a policy dialogue and have concrete activities on the ground like the pilot projects, bring EU businesses. The project provides a base to widen and expand our cooperation”*.

4/ How are the Action design and outputs relevant to the partner country priorities and political contexts in the area of concern?

The action design and outputs are seen as highly relevant to the National Plan of Action to Combat Marine Debris 2018-2025; the National Waste Management Policy and Strategy; and the Regulation for Household Waste and the Roadmap for Waste Reduction by Producers.

The Action outputs are relevant to local government regulations in the case of the pilot projects. The Action outputs have closely supported and have been highly relevant to major multi-stakeholder platforms including the Indonesia Circular Economy Forum (ICEF) and Indonesia Packaging Recovery Organisation (IPRO) alliance. The project is collaborating with the Directorate of Environment under the National Planning Agency (BAPPENAS) who is the main political partner and signatory of a MoU with the Action, the Directorate of Solid Waste Management, Ministry of Environment and Forestry (KLHK) and the Directorate of Waste and Waste-Water Management, Ministry of Maritime Affairs and Investment.

Coherence

1/ How has the Action ensured coherence and complemented other EU and EUMS interventions in the partner country?

According to evidence from the documentation⁶⁰ and interviews the Action collaborated with embassies from the Netherlands and Denmark and other German initiatives from GIZ through activities with [Indonesia Circular Economy Forum \(ICEF\)](#) which included a dedicated side event where the EUMS were invited to speak on EPR. The collaboration facilitated a holistic approach, between the EU and EU MS, towards policy dialogues with Indonesia in the spirit of a Team Europe approach.

The focus was on circular economy and resource efficiency, which serves, as an outlook towards the G20 Bali Summit 2022. The collaboration through ICEF and EUMS was also used to share best practices to help strengthen the Packaging and Recycling Association of Indonesia’s Sustainable Environment (PRAISE) and the Indonesia Packaging Recovering Organisation (IPRO) alliances. According to a stakeholder: *“The project has tried to act as a coordinator for these EU initiatives and to feed into the government holistically. We are trying to programme all our support in the spirit of*

⁶⁰ EU Quarterly Report No. 4 (October 2020 to December 2020) and No. 5 (January 2021 to March 2021) on Indonesia

Team Europe. We are trying to bring it all together. We try to present it as a holistic package to the government”.

2/ How has the Action ensured coherence and complemented programmes by national governments in the partner country including those funded by other development partners?

The Action has complemented and supported the ICEF which is driven by the priorities of the National Plan of Action to Combat Marine Debris. The ICEF is viewed as the main platform that brings together key stakeholders such as line Ministries, think-tanks, institutes, expert organisations, business associations, Civil Society Organisations (CSO) and IPRO. In addition to EUMS engaging with ICEF, other development partners involved include the Royal Norwegian Embassy, Ministry of Economy, Trade and Industry (METI) of Japan and the Global Compact Network Indonesia, part of the UN Global Compact. According to stakeholders the project uses the ICEF as a multi-stakeholder platform to engage on circular economy issues. According to a government stakeholder: *“In the context of the Rethinking Plastic project, they will tackle a certain topic and the platform helps us to engage. For certain Action Plans, it is very complementary even though we haven’t seen the outcome clearly”.*

Effectiveness

2/ Are the Action results of good quality and likely to contribute to the achievement of the expected outcomes? What areas, if any, is impact likely to materialise in (e.g. policy or institutional changes or improved partnerships)?

The evidence revealed the action has assisted the government to better coordinate the 12 different operation guidelines for EPR covering various materials and as well as to develop the operating guideline for plastics. The Action through its pilots was able to coordinate and “connect the dots” to enable some initiatives to operate collectively to reach common goals rather than working in silos, through its pilots. Examples include the Ecoranger’s upgrading of SEKOLA (Sentra Kelola Sampah) in Pulau Merah, working closely with stakeholders including BCA Digital (BCAD), and the project on window composting. The collaboration with BAPPENAS in the ICEF opened pathways for environmental dialogues and enabled multi-stakeholder input to dialogues to support the Indonesia PRO (IPRO) in various sectors. According to an EU stakeholder, *“the supportive elements towards circular economy put the EU on the map in Indonesia in that sense”.*

In terms of likely impact, the collaboration between the Action and ICEF is key in strengthening partnerships and bringing key actors together. This platform has also helped to share EU and EUMS best practices, policy approaches and operational guidelines for EPR covering materials and plastics. Webinars also addressed lessons learnt from the EU on marine debris from sea-based activities. With regards to the pilots, all three Indonesian pilots that submitted interim reports have the potential to strengthen partnerships across the value chain, as evidenced from the analysis of the interim reports (refer to Annex 10 for further details). They also have the potential to reduce the volume of plastic waste and marine litter through localised actions through education and awareness targeting behavioural change.

3/ How has the Action supported the partner country in awareness, knowledge transfer and take-up of EU policies, approaches and experience?

EU experience also supported the development of operation guidelines for EPR and strengthened engagement of IPRO with ICEF. There was evidence that EU best practices are used in one out of six pilot projects. According to evidence, the other pilots in Indonesia are building localised solutions to fit the Indonesian context. This will necessitate additional interventions from the Action in order to ensure the remaining five pilot projects build on some EU experiences to ensure they remain relevant to PI and FPI objectives.

Efficiency

2/ How adequate is the project management and implementation mechanisms in the partner

country?

The Action has established good working relationships and multi-stakeholder collaborations with stakeholders through ICEF. However, the main national government stakeholders in Indonesia feel management and implementation needs to be improved. Sharing of progress reports on the Action’s activities in each country, including pilot projects should be improved. According to a stakeholder: *“For the coordination with the pilot projects, they can greatly improve the communication with us. Sometimes, we lose track of the progress and what is happening”*.

These government stakeholders felt they had very little involvement in the selection of the pilot projects and their progress. They feel this would diminish the sustainability prospects of the pilot projects in terms of support from the central government. According to a stakeholder: *“We asked them to undertake a ranking of the pilot proposals and involve us in the whole process. But since then, we have not heard much from them in terms of the pilot project information. We should also know about the progress and the internal monitoring. We have not got updates on the pilot project implementation. This is too bad as we are supposed to be the implementing agency. If it is not in our radar, then it is hard for us to replicate or sustain”*.

Some of the government stakeholders felt the Action management and implementation mechanisms were not adequate in terms of their participatory approaches and this would diminish its credibility to promote good governance. Such sentiments would also diminish the ability of the Action to support dialogue and partnership building between the partner country and the EU. These stakeholders felt regular coordination meetings between the government partners, pilot implementors and the project team would address some of the Action weaknesses. Additional oversight and management by the team leader and key experts is important to avoid situations that can lead to the fracturing of partnerships with government agencies. Specific recommendations are provided in Chapter 3.

EU-added value

1/ How has the Action contributed to the improved image and visibility of the EU in the partner country including the role of the EU as a global player? Has the Action scaled up the level of environmental dialogue between EU and the partner country?

The **EU’s image and visibility** were strengthened during ICEF sessions, involving sharing of EU experiences, resulting in improved awareness of the EU amongst local governments, IPRO partnerships and pilot community efforts. One stakeholder shared; *“the ICEF in Indonesia which I mentioned earlier played a big role in the image and visibility of the EU in Indonesia. This project can create an entry point for the EU to do more in Indonesia. It has created some improved awareness of the EUs cooperation in plastic, solid waste and marine litter. Prior to this project, there was no EU project addressing this”*. One article was featured in the Jakarta Post newspaper from the EPR webinar. There was evidence that two out of six pilots have made progress in enhancing the EU’s visibility amongst local communities. The Inclusive Partnership for Plastic Waste Reduction and Recycling in Semarang has uploaded over 50 social media posts which include EU hashtags. These have received 1,552 engagements including likes, views, comments and shares between January and April 2021. The Ecoranger’s Ffl pilot in Banyuwangi has incorporated EU experiences in its awareness actors. Improvements need to be done to ensure the other four pilots also contribute to EU visibility measures amongst their local communities.

The Action has showcased the **EU as a global player** in the area of EPR, sharing best practices on EPR schemes, establishment of PROs and leading to partnerships between IPRO and PRO offices in Europe. The Action has supported ICEF in its multistakeholder efforts on circular economy and has helped to coordinate an EU approach involving the Action and EUMS such as the Netherlands, Denmark and Germany. The Action was felt to have contributed to enhanced **dialogues** on circular economy and EPR through workshops, multi-stakeholder platforms and direct dialogue between the EUD and government.

2/ What is the strategic significance of this Action in the partner country, in comparison to other relevant development partner interventions? Has the EU experience led to identification

of improvements to policy and legislative frameworks?

The collaboration between the Action and ICEF has strengthened partnerships and brought key actors together including other EUMS, government, large industry players like Ikea and Indofood, SMEs, the plastics industry, CSOs and communities. The Action⁶¹ is supporting the implementation of the Roadmap for Waste Reduction by Producers and enhanced the policy readiness for a transition towards EPR for Plastic Packaging in Indonesia. A study to elaborate policy recommendations and an assessment of potential approaches for phasing-out certain single-use plastic packaging such as multi-layered sachets is also underway.

The EU best practices from the EPR toolbox were translated and shared with pilot projects' implementers and national stakeholders in Indonesia, under Result 2. The EU's CE practices are being localised to fit the context in partner countries by connecting the key actors along the plastic value chain in pilot project activities using a people centric approach.

Sustainability

2/ Are adequate measures in place, including ownership, integration in national programmes and financial support, to ensure the sustainability of results?

The synergies created by the EUMS have attracted more stakeholders to keep the momentum going for the Indonesian government to make the PRO Indonesia successful and sustainable. Suggestions have been shared by the Action with national stakeholders on making EPR, a collective industry set-up by focusing on feedstock, right technologies, creating a market demand for sustainable recycling and creating bankable projects in the process. This would also be relevant for two pilot models⁶² to be replicated in other parts of the country. The national government also proposed that local government officers should receive capacity building so they can continue to implement the pilot activities once the Action ends. It is also important to engage with the local government units to start allocating a budget to continue the pilot activities by providing them the flexibility to modify or add programmes later. It was also shared that it was key to rope in all levels of village leaders early so they could assist in getting the support of the local governments. This would require sharing examples where local communities were the direct beneficiaries of pilot outcomes⁶³.

In terms of pilots, stakeholders felt the business models from the EPR pilots need to be smart and aligned to business appetite to increase adoption, upscaling of efforts and continuity of activities. This could also lead to a pipeline of bankable projects in the area of circular economy and marine litter pollution reduction. The ongoing engagement with ICEF provides a strong multi-stakeholder platform to sustain and replicate initiatives, bring together EUMS like Netherlands, Denmark and Germany and the private sector via PRO and PRAISE. Engagement with some producers like Nestlé Indofood and Unilever have commenced to sustain the pilots under Result 2⁶⁴. These pilots are working on feasible business models, establishing credible partnerships to attract attention and support from private sector and development partners to sustain initiatives.

The pilot under Result 4⁶⁵, has shared that an existing business model for their waste management service has been operating where income has been generated from the collection and separation of waste. To ensure the pilot's continued financial independence, they are focusing on continued capacity building, opening networks for the locals and connecting them with key actors along the value chain to allow the pilot activities to continue to run independently.

⁶¹ EU Quarterly Report No. 4 and 6 Indonesia from October to December 2020 and from April to June 2021.

⁶² This refers to Local Capacity Building on Sustainable Waste Management and Extended Producer Responsibility (EPR) in Malang City, East Java, and Inclusive Partnership for Plastic Waste Reduction & Recycling under Result 2.

⁶³ This refers to Ecoranger's Fishing for Litter Programme at Banyuwangi, East Java.

⁶⁴ This refers to Inclusive Partnership for Plastic Waste Reduction & Recycling in Semarang and Local Capacity Building on Sustainable Waste Management and Extended Producer Responsibility (EPR) Malang City, East Java.

⁶⁵ This refers to the Ecoranger's Fishing for Litter Programme in Banyuwangi, East Java.

Cross-cutting elements

2/ How have gender equality, human rights-based approaches and good governance been incorporated by the Action?

Two pilot projects reported on HRBA practices focussing on creating more stable incomes for the informal waste pickers by promoting social healthcare (BPJS) and other employee benefits. They are also engaged and included in community empowerment efforts like SEKOLA SAMPAH. This initiative seeks to ensure that women are not made more vulnerable when sorting waste as collectors. An incentive scheme has been developed from waste sorting activities within the poor communities and it also aims to strengthen the waste services in these poor areas.

Three pilots from Indonesia, incorporated good governance practices during stakeholder engagements. Examples included enhancing waste management governance by focussing on improving integrated waste management practices and health and safety awareness for waste pickers.

Country Annex: Japan

Relevance

2/ How are the Action design and outputs relevant to the partner country policy dialogues with the EU and EU MS?

In Japan, policy dialogue is driven by an Economic Partnership Agreement and a Strategic Partnership Agreement. Environmental dialogue is conducted through an EU-Japan High-level Dialogue (HLD) on Environment which includes circular economy and marine litter as priority topics. The Action design is also thematically relevant to the dialogues on the G20 Framework for Actions on Marine Plastic Litter. However, according to interviewed stakeholders, the EU-Japan policy dialogues could be facilitated directly through discussions between the EU Delegation (EUD) and the Japanese government. The current lack of political appetite by Japan to expand its policy dialogue with the EU in the area of circular economy and marine litter suggests that the project design and its outputs have so far had limited relevance for Japan in particular the thematic focus on green public procurement which is not a top priority of focus for the Japanese government. The project is viewed as not been fully in tune with the dynamics of the EU-Japan policy dialogues, as the project lacks a local presence in Japan. According to a stakeholder: *“A large programme in the form of a cumbersome machine entering Japan from Paris with implementation mechanisms and implemented from Paris is a very artificial contract. It is completely not nimble and not really delivering as it does not fit”*.

4/ How are the Action design and outputs relevant to the partner country priorities and political contexts in the area of concern? How has the Action adapted to evolving political contexts or changing priorities in the partner country?

Due to the status of the Action, the lack of buy-in has meant the policy relevance is yet to be identified. The policy priorities might become clearer after close door e-dialogues take place and an evaluation study is carried out in the latter part of 2021.

Coherence

1/ How has the Action ensured coherence and complemented other EU and EUMS interventions in the partner country?

In Japan there were initial discussions with the French and Dutch embassies who have bilateral initiatives.

2/ How has the Action ensured coherence and complemented programmes by national governments in the partner country including those funded by other development partners?

The project has so far undertaken some studies after the scoping mission in February 2020 such as the Comparative Analysis on Circular Economy and Green Public Procurement Policies for Preventing Plastic Pollution in Japan and the European Union March 2021 and there is very limited engagement with national initiatives. This situation might change after the closed-door dialogues expected in the latter part of 2021.

Effectiveness

2/ Are the Action results of good quality and likely to contribute to the achievement of the expected outcomes? What areas, if any, is impact likely to materialise in (e.g. policy or institutional changes or improved partnerships)?

The evidence revealed DG Environment's accomplishments were achieved without the Action's support with organising dialogues on G20's Resource Efficiency. Japan was also one of the first

countries, in the Green Alliance⁶⁶ to alleviate the green partnership with EU, raising awareness at a political level and reinforced relationships (multi-levels and bilateral). Contributions from the Action are yet to materialise.

In **relation to impact**, there is limited evidence on the potential impact of the action to the lack of buy-in from government stakeholders. According to respondents it might require a longer-term effort, led by the dialogue efforts of the EUD, beyond the ability of the Action. According to respondents it might require a longer-term approach focusing on building a stronger foundation. This can include increasing the frequency of policy engagements under result areas R1 and R5.

EU-added value

1/ How has the Action contributed to the improved image and visibility of the EU in the partner country including the role of the EU as a global player? Has the Action scaled up the level of environmental dialogue between EU and the partner country?

The EUD has a strong policy dialogue with the Japanese government and the contribution from the Action to improve the image and visibility of the EU was felt by stakeholders to be limited, thus far. The upcoming e-dialogues from September onwards would be critical to identify areas where the Action can add value in Japan.

Some respondents felt the Action has ended up “*supporting policy dialogue on the fringe*” and the upcoming workshops will determine if a notable contribution from the Action to the EUD dialogues will take place. Further, the Action was not able to be more proactive in overcoming the shortcomings above not only due to a lack of physical presence in Japan but Covid-19 restrictions did not allow face-to-face meetings to take place with major partners to facilitate an honest exchange of views and opinions on key target areas in the subsequent phase of the Action.

2/ What is the strategic significance of this Action in the partner country, in comparison to other relevant development partner interventions? Has the EU experience led to identification of improvements to policy and legislative frameworks?

There is limited evidence about the strategic significance of the Action in **Japan** following the publication of the respective comparative studies on green procurement and circular economy⁶⁷. There have been discussions and plans between EF and IGES for an upcoming e-dialogue from September onwards to explore topics on carbon-neutral circular economy market for plastics which are thematic areas that require significant policy support and financing. The e-dialogue will allow EU-Japan to have exchanges and to identify opportunities to align priorities. It will also give an opportunity for the Action to identify gaps and how it can facilitate policy efforts in improving regulations and investments for alternatives to plastics to emerge and how EU-Japan can work together to drive forward a carbon-neutral economy.

Sustainability

2/ Are adequate measures in place, including ownership, integration in national programmes and financial support, to ensure the sustainability of results?

The policy dialogues between DG Environment and Japanese counterparts will continue. The sustainability measures for outputs generated by the Action, in Japan are limited at this stage given

⁶⁶ DG Environment also has a good relationship with Japan and the Green Alliance was launched at the 27th EU-Japan Summit. Please visit <https://www.consilium.europa.eu/en/press/press-releases/2021/05/27/eu-japan-green-alliance/> and https://ec.europa.eu/clima/news/eu-japan-green-alliance_en

⁶⁷ Comparative Analysis on Circular Economy and Green Public Procurement Policies for preventing plastic pollution in Japan.

the lack of buy-in and limited prospects for tangible outcomes. Further sustainability prospects would be dependent on how the outcomes from the e-dialogues to take place in 2021.

Based on our assessment and evidence from respondents, continued dialogues could not be organised after publication of the comparative study in March 2021 under the Action due to Covid-19 restrictions and major partners at Japanese Ministries were undergoing changes and rotations until August 2021. Such rotations take place every two to three years. Hence the e-dialogue was planned from September onwards after the rotation of key officers have been finalised to enable introductions with the new incumbents to take place. Respondents also shared that it was important for the Action to include and engage other organisations with less rotation of staff to keep the communication channels open between EU and Japan.

Country Annex: Philippines

Relevance

2/ How are the Action design and outputs relevant to the partner country policy dialogues with the EU and EU MS?

In the Philippines, the EU's policy dialogue is driven by a PCA which includes environmental priorities and those for a green and resilient economy. The Action design, at national level, was viewed by EU stakeholders as too ambitious given the level of resources mobilised through the Action. However, the implementation and outputs of the Action, including the pilot projects are relevant to providing lessons learnt, including partnerships. It also provides a foundation for a larger Team Europe Initiative on circular economy and plastics potentially involving a number of EU MS including France, Germany, Sweden and Spain plus the EIB.

4/ How are the Action design and outputs relevant to the partner country priorities and political contexts in the area of concern? How has the Action adapted to evolving political contexts or changing priorities in the partner country?

The action design is relevant to the National Plan of Action on Sustainable Consumption and Production (SCP) and the Ecological Solid Waste Action of 2000. Following commencement, some project outputs have been very relevant to the National Plan of Action on Marine Litter including facilitation of a multistakeholder consultation and sharing of international experiences. The Action outputs at national and pilot level are adapting to be relevant and contribute to implementation of the Single-use Plastic Products Regulation Act which was recently enacted and to local government regulations on solid waste including the development of supporting policy instruments such as ecolabel criteria and guidelines. The political partner of the Action in Philippines is the Department of Environment and Natural Resources (DENR), who is in the midst of finalise an MoU with the action.

Coherence

1/ How has the Action ensured coherence and complemented other EU and EUMS interventions in the partner country?

There have been information exchanges with another GIZ project. Results and lessons learnt from the project are expected to feed into a proposed Team Europe Initiative on Circular Economy and Plastic Waste Management, potentially involving collaboration with France (AFD), Germany (GIZ), Sweden (SIDA), Spain (AECID) and the EIB.

2/ How has the Action ensured coherence and complemented programmes by national governments in the partner country including those funded by other development partners?

Discussions were held with UNEP and UN Habitat to explore synergies, with the facilitation of DENR. The project also joined a UNEP dialogue on SCP Policies and legislation and has collaborated with UNDP on the National Plan of Action on Marine Litter. At local level pilots are collaborating with a range of development partner initiatives. These include the International Maritime Organisation through their Glow Litter Project (Ship Waste Management in Philippine ports), a UNEP project on reducing GHG emissions and supporting the reduction of single use plastic in hotels in Iloilo city (Reduction of Plastic Wastes in Iloilo City Pilot). There has also been collaboration with the United States Agency for International Development (USAID) through their Clean Cities Blue Ocean project, and with UN Habitat, the United Nations Development Programme (UNDP), Nestle and Coca-Cola on plastic hacks under the Wala Usik: Local Circular Economy to Reduce Waste pilot.

Effectiveness

2/ Are the Action results of good quality and likely to contribute to the achievement of the

expected outcomes? What areas, if any, is impact likely to materialise in (e.g. policy or institutional changes or improved partnerships)?

In terms of outcomes, the project has added value, good lessons learned and provided a foundation for a larger Team Europe initiative. The Action facilitated stakeholder consultations and shared international practices to support DENR with the formulation of the National Plan of Action on Marine Litter (NPOAML). These included coordination with UNDP. Plans are underway for the Action to offer an orientation series on marine litter once the National Plan of Action on Marine Litter (NPOAML) is finalised. The Batangas port pilot have developed an annotated outline for a policy/ legal assessment of ship waste management in the Philippines targeted for completion by September. As for the pilots under Result 3, a pilot⁶⁸ is engaging with a chain of 48 SM Malls to extend activities across their supplier network to green supply chains with regards to packaging and to replicate the pilot in other mall areas in Manila. The Wala Usik pilot project is contributing a toolkit for Micro, Small and Medium Enterprises (MSMEs) where business can adopt and replicate circular economy community of practices. Eleven Small and Medium Enterprises (SMEs) have also benefited from technical assistance from this pilot, covering design thinking, sourcing of prototypes, materials using different reuse models like rental, refilling and subscription. The progress of these SMEs is being monitored by the pilot against their performance in terms of plastic usage. The pilot under Result 2 in Iloilo City is doing an in-depth study on consumer behaviours and the outcome of findings have yet to materialise.

In terms of impact, the Action provided preparatory support, together with UNDP for the formulation of the NPOAML, which will drive marine litter efforts in the country. According to government stakeholders: *“the Rethinking plastics project provided a local consultant. This consultant was facilitative in his approach. The expert contributed inputs including some international experience, developed a presentation and also designed a consultation kick-off workshop with stakeholders. It helped during the start of the NPOAML. Every idea was considered and weighed which led us to make the final decision later on”*. Evidence indicates that four of the pilots have the potential to strengthen partnerships involving actors across the plastics value chain. One pilot has the potential to reduce plastic waste through awareness programmes, whilst another pilot is seeking to achieve the same by introducing voluntary guidelines on sustainable packaging and alternative materials. The latter has strong impact potential as it involves a market-based approach with the largest mall operator in the country, SM Malls. The pilot under Result 4 has potential to minimise the amount of illegal dumping via the online waste notification system. Early impact needs to be assessed when supporting data is available.

3/ How has the Action supported the partner country in awareness, knowledge transfer and take-up of EU policies, approaches and experience?

EU practices were shared during the formulation of the NPOAML. Awareness, capacity building and knowledge transfer on EU approaches were executed in a practical way to reach actors who are implementing the pilots on the ground. There was evidence that all four pilots were building on EU experiences such in EPR, eco-design and eco-labelling, DRS and expanding the waste classification system to follow IMO and EU guidelines (please refer to Annex 10). The approach has been to address the priorities of the country with EU experiences and in some cases provide guidelines through benchmarking.

Efficiency

2/ How adequate is the project management and implementation mechanisms in the partner country?

A number of EU and government stakeholders felt there were delays due to staff turnover at the national project office in Philippines. The main political partner in the Philippines feels management

⁶⁸ This is the pilot project in Metro Manila and Western Visayas (Iloilo City) on Development of Voluntary Guidelines on Sustainable Packaging towards Reduction of Marine Litter and Promoting Packaging from Alternative Materials through Market-based Approach.

and implementation needs to be improved particularly in terms of coordination and keeping stakeholders informed. Sharing of progress reports on the Action’s activities in each country, including pilot projects were felt to be weak. According to a stakeholder: *“For the coordination with the pilot projects, they can greatly improve the communication with us. Sometimes, we lose track of the progress and what is happening”*.

The pilot projects are implemented by their respective project managers with technical guidance and oversight provided by the key experts. Pilot projects were selected across Result 2, 3 and 4 based on a call for proposals, selection criteria and guidelines. The initial pre-selection of pilots was to be undertaken by the key experts and these lists were then submitted to the EUD and the political partners in each country. However, according to the evidence from interviews, in some countries the latter did not take place. These government stakeholders felt they had very little involvement in the selection of the pilot projects and their progress. They feel this would diminish the sustainability prospects of the pilot projects in terms of support from the central government. According to a stakeholder: *“We asked them to undertake a ranking of the pilot proposals and involve us in the whole process. But since then, we have not heard much from them in terms of the pilot project information. We should also know about the progress and the internal monitoring. We have not got updates on the pilot project implementation. This is too bad as we are supposed to be the implementing agency. If it is not in our radar, then it is hard for us to replicate or sustain”*.

Some of the government stakeholders felt the Action management and implementation mechanisms were not adequate in terms of their participatory approaches and this would diminish its credibility to promote good governance. Such sentiments would also diminish the ability of the Action to support dialogue and partnership building between the partner country and the EU. According to a stakeholder: *“The second NSA was very imposing. He wanted us to agree without thinking. We felt he had no intention to consult with us. The consultant was even disrespectful to the Director. The project is useful, but consultations should have been done in the outset not in the middle of the game specially when they are eyeing the government as political partner. If the CSOs implementing the pilots do not collaborate with us and our agencies, then it will be a failure”*. These stakeholders felt regular coordination meetings between the government partners, pilot implementors and the project team would address some of the Action weaknesses. Additional oversight and management by the team leader and key experts is important to avoid situations that can lead to the fracturing of partnerships with government agencies. Specific recommendations are provided in Chapter 3.

A number of EU stakeholders felt the decision by the implementing partners (GIZ and EF) to adopt MOUs as a mechanism to engage and formalise relations with a political partner in each country led to significant delays during the inception phase of the activities. Delays have continued in the Philippines. These stakeholders felt a formal agreement is less relevant for a PI project. According to an EU stakeholder: *“MOUs and agreements that you need to sign are something you do at a development cooperation agreement setting while in Partnership Instrument projects, you don’t need that. This slowed down the process a lot and then Covid kicked in”*. Another EU stakeholder felt: *“The delay is partly due to the nature of the arrangements as they wanted MOUs signed with the political partners. So far only Indonesia and Vietnam have signed MOUs. There have been issues in China and Philippines”*. Indeed, the establishment of MOUs in PI projects with partner countries is rare as the beneficiaries of PI contracts are the EU services. On the other hand, having an MOU in place can increase political and organisational ownership and sustainability prospects and thus in the case of this Action has merits. This requires more flexibility for the implementing partners to adapt to the political process in each country to ensure implementation continues with good momentum if MOUs are not in place.

EU-added value

1/ How has the Action contributed to the improved image and visibility of the EU in the partner country including the role of the EU as a global player? Has the Action scaled up the level of environmental dialogue between EU and the partner country?

In Philippines, there was evidence to indicate that all four pilots are improving the visibility and image of the EU. In the pilot on Voluntary Guidelines on Sustainable Packaging towards Reduction of

Marine Litter implemented by PCEPSDI, the Mayor of Iloilo city supported the engagement process improving visibility amongst a range of local stakeholders. It has also released seven Facebook posts involving government stakeholders, SM Malls and project staff which have reached a total of 1,461 people. The Wala Usik pilot in Bacolod and Talisay City, social media outreach efforts have reached over 20,000 views and awareness is being created on EU experiences in DRS and other circular economy models amongst SMEs and start-up hubs.

Despite the broader political friction from the Philippines leadership, the Action supported the DENR in the preparatory steps of the NPOAML and is seeking to contribute towards its implementation and implementation of the Single Use Plastics Product Regulation. Respondents shared that the EU is seen as a champion in the fight against plastic litter and marine pollution; a global problem.

2/ What is the strategic significance of this Action in the partner country, in comparison to other relevant development partner interventions? Has the EU experience led to identification of improvements to policy and legislative frameworks?

The Action provided preparatory support, including EU experience for the formulation of the NPOAML which will coordinate efforts to address marine litter in the country. The project team reported developing a briefing note on the governmental and legislative process on reducing certain single-use plastics and establishing EPR for packaging in the Philippines. It covers a short review of the draft bills in the House of Representatives and Senate, initial insights on possible policy instruments based on comparisons from existing EU legislation and policies from other Southeast Asian countries. This will serve as input for further exchanges between the project, the EUD Philippines, DENR, and the Climate Change Commission. The pilot project⁶⁹ adopts an inclusive approach with the informal waste sector participating in the activities. The pilot has a strong emphasis of embedding CE solutions in tackling plastic waste and are also testing EU best practices so to be replicated with other parts of the city and provinces too. The Wala Usik⁷⁰ pilot targets millennials and the Gen Z through posters and social media posts⁷¹ to have a better youth outreach.

The EU best practices from MARPOL, EU Port Reception Facilities Directive Annex 4 and some practical examples in implementing costs recovery systems have also been shared with Philippines via the pilot projects under Result 4 to facilitate dialogues and policy recommendations with the local port authorities.

Sustainability

2/ Are adequate measures in place, including ownership, integration in national programmes and financial support, to ensure the sustainability of results?

The strategy has been to procure letters of support from the local governments expressing buy-in or ownership to jointly implement the pilots and to align them with the national policy frameworks and initiatives executed by other stakeholders. An upcoming EU-funded national programme on Circular economy and Plastic Waste Management involving EUMS, and international financial institutions will also provide another means of sustainability of the Action and help consolidate preliminary results of the Action to feed into the other national programmes.

The EU best practices from the EPR toolbox were translated and shared with pilot projects' implementers and national stakeholders Philippines under Result 2. Engagement with SM Malls have commenced to sustain the pilots under Result 3.

The Action has strong synergies with the Nation Plan of Action on Marine Litter (NPOAML) where the Action's outputs under Result 2, 3, 4 and 6 complemented the strategy and result areas stipulated

⁶⁹ This refers to the Reduction of Plastic Wastes (SCP, Waste Management of Plastics, and its Alternative) in Iloilo City under Result 2.

⁷⁰ This refers to Wala Usik: Local Circular Economy to Reduce Waste at Bacolod and Talisay City under Result 3 in the Philippines.

⁷¹ The principle adopted was to inculcate understanding (we are blessed with our resources), awareness on what is happening underwater (single use plastic ending up in the eco-system), action (green choice Philippines and industry). The pilot implementers are also planning some social media contests and also hashtags like #stopmarinelitter.

inside the NPOAML and policy support is being explored for the implementation of the Single Use Plastic Legislation.

Some feedback was received that improvements in coordination with key political partners and line ministries are required in Philippines to engage them in a participatory manner regarding implementation, coordination with various stakeholders, sharing of progress reports and monitoring. This is likely to increase the ownership of the Action in those countries and increase the sustainability potential.

Cross-cutting elements

2/ How have gender equality, human rights-based approaches and good governance been incorporated by the Action?

Efforts included participation of women NGOs and the Callicoon association, through two pilot projects in the Philippines, in the areas of waste segregation awareness activities. One pilot in Philippines conducted training on gender equality including training with sea farers and reported plans to work with Women in Maritime, which is the International Maritime Organisation’s (IMO) gender programme.

In terms of **good governance**, one pilot from Philippines incorporated good governance practices during stakeholder engagements. Filipino pilot respondents shared examples of building partnerships and integrating these elements when engaging with stakeholders.

Country Annex: Singapore

Relevance

2/ How are the Action design and outputs relevant to the partner country policy dialogues with the EU and EU MS?

In Singapore the Action design is relevant to policy dialogues under the PCA, the EU-Singapore Free Trade Agreement (EUSFTA) and the EU Singapore Investment Protection Agreement (EUSIPA). The Action design is particularly relevant to the EUSFTA provisions for government procurement, green growth and sustainable development. Existing and prospective outputs of the Action are seen as very relevant to the EU’s policy dialogue with Singapore including references during high level meetings with Ministers as demonstrating the EU’s commitment to its relations and dialogue with Singapore. However, the Action has not been fully operationalised in Singapore, partly due to delays in the background of Covid-19, including the inability to conduct follow-up missions, as well as to the limited buy-in from key government stakeholders such as the National Environment Authority (NEA). There was also a lack of engagement and collaboration with Eurocham Singapore who were already organising policy dialogues at a national level with the key government stakeholders. There is some relevance to the dialogue of the Netherlands, though it is still not tangible as such policy reforms or revised practices in the areas of circular economy, EPR of plastics and incorporating such criteria in green public procurement have not yet materialized.

4/ How are the Action design and outputs relevant to the partner country priorities and political contexts in the area of concern? How has the Action adapted to evolving political contexts or changing priorities in the partner country?

Due to the status of the Action, the policy relevance is yet to be identified. The policy priorities might become clearer after two e-workshops are held and an evaluation study carried out later in 2021.

Coherence

1/ How has the Action ensured coherence and complemented other EU and EUMS interventions in the partner country?

According to interviews and documentation⁷², the Action had preliminary collaboration with the Dutch Embassy in Singapore and Rijkswaterstaat (Directorate-General for Public Works and Water Management) of the Netherlands Ministry of Infrastructure and Water Management in the area of green procurement. The collaboration focused on plans for a joint webinar with the National Environment Authority (NEA) of the Singapore government and a subsequent study tour by the NEA to the Netherlands on circular economy, tentatively scheduled for autumn 2020. However, at the time of writing the present report, in September 2021, the joint events have not taken place.

2/ How has the Action ensured coherence and complemented programmes by national governments in the partner country including those funded by other development partners?

The project has so far undertaken some studies such as the EU-Singapore Circular Economy in Singapore: Comparative Policy Study in September 2020 and there is very limited engagement with national initiatives. According to respondents, there was also a lack of access to all the national dialogues as most were driven and organised by the Eurocham Singapore who were protective of key contacts and progress made with policy dialogues. Other challenges were attributed to Covid-19. This situation might change after the closed-door dialogues expected in the latter part of 2021.

⁷² EU Quarterly Report No. 1 (December 2019 to March 2020) and No. 2 (April 2020 to June 2020) on Singapore

Effectiveness

2/ Are the Action results of good quality and likely to contribute to the achievement of the expected outcomes? What areas, if any, is impact likely to materialise in (e.g. policy or institutional changes or improved partnerships)?

The respondents shared that work is underway for the two e-workshops in September with one held on 30 September 2021, closed-door activities on 1 October 2021 and plans are being made with Netherlands on how to scale efforts on EPR and share EU best practices. Tangible outcomes such as policy reforms or revised practices in the areas of circular economy, EPR of plastics and incorporating such criteria into green public procurement have yet to materialise.

EU-added value

1/ How has the Action contributed to the improved image and visibility of the EU in the partner country including the role of the EU as a global player? Has the Action scaled up the level of environmental dialogue between EU and the partner country?

Although progress to-date has been limited to a comparative study, the presence of such an Action has improved the image and visibility of the EU at high-level dialogues between the EUD and government officials and the Action is often referred to in such discussions.

In relation to **environmental dialogues**, there were preliminary efforts to engage with the Singapore government on plastics and on the Green Deal has occurred but whether this will lead to strengthening of dialogues remains to be seen after the 30 September webinar and 1 October closed-door activities.

2/ What is the strategic significance of this Action in the partner country, in comparison to other relevant development partner interventions? Has the EU experience led to identification of improvements to policy and legislative frameworks?

There is limited evidence about the strategic significance of the Action in Singapore following the publication of the respective comparative studies on green procurement and circular economy.

Sustainability

2/ Are adequate measures in place, including ownership, integration in national programmes and financial support, to ensure the sustainability of results?

The policy dialogues between the EUD and national counterparts are expected to continue. The sustainability measures for outputs generated by the Action, in Singapore are limited at this stage given the lack of buy-in and limited prospects for tangible outcomes, such as policy reforms or revised practices in the areas of circular economy, EPR of plastics and incorporating such criteria into green public procurement. Further sustainability prospects would be dependent on the outcomes from the consultations to take place in 2021.

Country Annex: Thailand

Relevance

2/ How are the Action design and outputs relevant to the partner country policy dialogues with the EU and EU MS?

In Thailand, the Action design is relevant to ongoing policy dialogues which are part of a wider upcoming PCA. The Action outputs, including pilots and whole of economy approach to stakeholders and partnerships are relevant to increasing the EU collaboration with Thailand. and also involve supporting EU MS such as Germany

4/ How are the Action design and outputs relevant to the partner country priorities and political contexts in the area of concern? How has the Action adapted to evolving political contexts or changing priorities in the partner country?

The Action's outputs have been highly relevant at supporting the Draft Action Plan on Marine Plastic Debris and the Draft Guideline for Reducing Single Use Plastics in Food Delivery and Takeaway as part of the draft Action Plan on Plastic Waste Management. Pilot projects are also complementing Thailand's Public-Private Partnership (PPP) Plastics Strategy and the Bio, Circular and Green economy (BCG) model focussing on tourism. The Political Partner is the Pollution Control Department (PCD) of the Ministry of Natural Resources and Environment.

Coherence

1/ How has the Action ensured coherence and complemented other EU and EUMS interventions in the partner country?

There was collaboration between the Action and the EU SCP in Southeast Asia (SWITCH-Asia) programme with participation in workshops, training events, meetings and exchange of practices.

The project has also collaborated with other GIZ projects which are being implemented. Additional collaboration with the Ministry of the Environment, Nature Conservation and Nuclear Safety (BMU) of Germany has taken place. The BMU aims to implement a follow-up project to its Rethinking Plastics Project.

2/ How has the Action ensured coherence and complemented programmes by national governments in the partner country including those funded by other development partners?

At a national level, much of the Action's work with the Pollution Control Department (PCD) on EPR and deposit return schemes (DRS) involves Germany. Based on evidence from interviews, efforts were coordinated through policy dialogues organised by the World Bank for the Thailand's Draft Action Plan on Marine Debris which involved the International Union for Conservation of Nature (IUCN), the World Wide Fund (WWF), UNEP, the Global Environment Facility (GEF) and the Asian Development Bank (ADB) on reduction of plastic waste and single use plastic from wet markets and retail shops and World Bank (WB) in policy dialogues for Thailand's Draft Action Plan on Marine Debris. According to reports,⁷³ and interviews, Thailand's project team has connected the Rayong Pilot Project stakeholders with the Public-Private Partnership (PPP) for Plastics network to engage with key actors along the plastic value chain.

For result area R4, on reduction of litter from sea-based sources, regular discussions took place between the key expert and the R4 pilots from Thailand. These discussions include the sharing of lessons learnt. NSAs share information with each other on the pilot project methodologies used. This led to the use of some lessons learnt across partner countries. Lessons from Thailand on food

⁷³ EU Quarterly Report No. 6 of Thailand from April 2021 to June 2021

packaging were shared with implementors of the Vietnam pilot “Alliance of Retailers to reduce the consumption of single-use plastic bags among supermarkets”.

Effectiveness

2/ Are the Action results of good quality and likely to contribute to the achievement of the expected outcomes? What areas, if any, is impact likely to materialise in (e.g., policy or institutional changes or improved partnerships)?

The Action has contributed to Draft Guidelines for Reducing Single Use Plastic in Food Delivery and Takeaways and strengthened a PPP on plastic waste management. According to a government stakeholder: *“the Project has helped identify the policy especially management of single use plastic waste. Information from project is very useful to feedback to the Cabinet when they are asking about policy about plastic waste management. Clear information was received for all our questions. Partnership wise – the plastic waste management, is quite a new policy, involve engaging with all stakeholders including private sector. It helped to build an alliance both domestically and internationally in the same area of plastic waste in Thailand”*. The Pilot project in Rayong province focused on connecting the local plastic packaging producers into the potential national EPR system with the aim of collecting inputs (local solutions, implementation protocols and lessons learned) for policy contributions. They are working closely with the PPP Plastic and PCD’s committees. There are plans underway in creating a trading network to recover and sell plastic for community members. For the Port of Authority of Thailand’s (PAT) pilot project, the online waste management system is designed to contribute to changes in the policies and positive feedback was received on the digital solution which includes management of manuals, costs recovery system, use of IT systems deployed to streamline waste notification systems. This was aimed at increasing efficiency and recovery systems as well as providing incentivising mechanisms to reduce the illegal waste dumping in the seas. These were some tangible outputs to help PAT meet their targets for the green port policies as well.

The Action has helped the Thai government to improve guidelines for single use plastic waste in food delivery and takeaways and have provided useful feedback to the Cabinet, according to government stakeholders. A PPP on plastic waste management has also been strengthened. The proposed changes in the PAT’s policies with the online waste management system is aimed at improving efficiency of recovery systems with incentivising mechanisms to reduce the illegal waste dumping at seas. Data captured by the online system can be used to measure impact.

3/ How has the Action supported the partner country in awareness, knowledge transfer and take-up of EU policies, approaches and experience?

EU experience has contributed to Draft Guidelines for Reducing Single Use Plastic in Food Delivery and Takeaways and strengthened a PPP on plastic waste management. Studies on plastic have been conducted through fora and focus group discussions to exchange knowledge amongst Thai agencies on EU best practices. As a result, Thai counterparts were able to develop plastic waste management manuals on how to deal with plastic waste management locally. There was evidence that all four of the pilots are building on EU experience in areas such as EPR and circular economy models, and best practices from the EU Ports Reception Facilities (PRF) directive.

Efficiency

2/ How adequate is the project management and implementation mechanisms in the partner country?

In terms of project management by the expert team, many stakeholders felt it was adequate particularly in Thailand. EU stakeholders in these countries felt the management and implementation mechanisms had a good balance between a structured approach to ensure quality and flexible to adapt to demand driven needs from the EU services. Government stakeholders from these countries also expressed strong satisfaction with the management and implementation mechanisms which were efficient. According to a stakeholder: *“I am very satisfied with this project. It met with the*

objective that were set. We received the recommendations for policy that is useful for our work. It is very efficient in terms of operation like the way of having a workshop”.

EU-added value

1/ How has the Action contributed to the improved image and visibility of the EU in the partner country including the role of the EU as a global player? Has the Action scaled up the level of environmental dialogue between EU and the partner country?

Where the main Action office is located, there has been significant media coverage including totalling 79 articles featured in a range of news outlets including prominent media such as the Bangkok Post, Thai Post, posts in the German and EU Ambassador communication channels. These articles were associated with the official launch of the Action in November 2019 and pilot project kick-off events.

The Action provided guidelines for single use plastic waste in food delivery and takeaways and resulting in feedback to the Cabinet that was valued by government stakeholders. EU best practices⁷⁴ were featured prominently when it came to imposing fees for waste at ports where EU experts also shared experiences from Vietnam and ASEAN and helped reinforce the notion that the EU is globally advanced in policy and enforcement. According to a government stakeholder: *“Obviously, EU is a leader in plastic waste management, it is clear and their support to Thailand is to help us learn operation, issue new instruments in line with Thailand’s context”.*

In relation to environmental dialogues, the Action has contributed to enhanced dialogues on circular economy and EPR through workshops, multi-stakeholder platforms and direct dialogue between the EUD and government.

2/ What is the strategic significance of this Action in the partner country, in comparison to other relevant development partner interventions? Has the EU experience led to identification of improvements to policy and legislative frameworks?

The project team⁷⁵ contributed towards policy dialogues on the Action Plan on Plastic Waste Management Phase I (2020 - 2022) approved by the Thai Cabinet in February 2021. It was part of the implementation of Thailand’s Roadmap on Plastic Waste Management 2018-2030 and is now used as a reference for the project’s activities. Additionally, EU’s policies and best practices on single use plastics has been incorporated in the draft guidelines for reducing single use plastics in food delivery and takeaway dated 30 June 2021 under Result 3. One respondent mentioned; *“Before the project, Thailand plastic waste management was on a voluntary basis. Now it is the time for Thailand to do a mandatory basis and to learn from EU policy frameworks, advocate and set up directions on policy and adjust to the Thai context”.* The Rayong pilot⁷⁶ which has been selected as the model province for implementation and replication focused on inclusive ecology of plastic waste management and integrated all key actors across the plastic value chain to encourage close loop recycling practices. The pilot project under Result 4⁷⁷ is viewed as strategic by supporting the establishment of a green port, one respondent mentioned; *“it is an inclusive project. There is an online waste management system to help them achieve a green port. They are now doing everything manually. This pilot project helps them to achieve their green port status including better waste management. It’s not only inclusive but sustainable in the long term to achieve green port”.*

Sustainability

2/ Are adequate measures in place, including ownership, integration in national programmes

⁷⁴ Please refer to [EU Port Reception Facilities \(PRF\) Directive Annex 4](#) for Thailand’s pilot project on Ship Waste Management Online Platform Development at Bangkok Port under Result 4 and the [EU’s Study on differentiated port infrastructure charges to promote environmentally friendly maritime transport activities and sustainable transportation](#).

⁷⁵ EU Quarterly Report No. 5 Thailand from January to March 2021.

⁷⁶ This refers to the Plastic Waste Separation Performance from Households for Closed-Loop Recycling at Rayong Province, Result 2.

⁷⁷ Please refer to footnote 10 previously.

and financial support, to ensure the sustainability of results?

The continuous buy-ins from the national government, regional organisations and relevant sectoral bodies in charge of marine plastics, circular economy for the remaining period of the Action is key to sustain all policy and pilot initiatives.

The pilot project in Rayong focusing on closed loop recycling, has integrated their guidelines with PPP Plastic’s guidelines to scale collaborative efforts with the communities and the recyclers to practice closed loop recycling effectively. The pilot has also integrated the community leaders with the key actors of the PPP plastic network to strengthen networks on the ground with private sector players involved in other projects in Rayong. Some of these private sector players are recycling companies such as TPBI Public Co., Ltd, Double N Plastic Co., Ltd, and Paentumdee Recycle Co., Ltd

The endgame is to collectively improve the Rayong clean province model for easy replication by other provinces. Additionally, the education to Rayong community members in understanding the economic value from plastic waste management i.e., ‘trash to cash’ is key to stimulate and activate the other communities to follow and replicate the model. Key actors along the value chain from other projects located at Rayong province are also sharing the same goals with the Action’s pilot project under Result 2. It was proposed that these projects should increase collaboration and share lessons learned, to ensure a robust clean province model for Rayong would be developed and replicated by other provinces.

The pilot project under Result 3⁷⁸ is increasing its efforts under Result 6 by building a database of shops with eco-friendly practices and involving the students to participate in the Take Pinto campaign to increase outreach and adoption efforts for reusable containers amongst the local communities and in schools.

Cross-cutting elements

2/ How have gender equality, human rights-based approaches and good governance been incorporated by the Action?

The pilot with the Port Authority of Thailand practices gender balance in their Working Groups and transparency in all discussions. The community-based pilot projects in Thailand engaged both women and male residential leaders as well as students from privilege schools and marginalised groups in their awareness raising activities. The word cloud below highlights key words from the structured analysis of interview data for this question, particularly relating to gender-equality efforts by the Action.

In **gender**, there were a number of ad-hoc initiatives. One pilot in Thailand reported event attendance rates by gender.

In terms of **good governance**, according to evidence from interviews, three from Thailand under Result 2, 3 and 4, incorporating good governance practices during stakeholder engagements.

⁷⁸ This refers to the Less Plastics in Phuket: Reduction and Better Plastic Waste Management in Households and Businesses in Phuket.

Country Annex: Vietnam

Relevance

2/ How are the Action design and outputs relevant to the partner country policy dialogues with the EU and EU MS?

The EU's policy dialogue is driven by an EU-Vietnam Framework Agreement based on the PCA. The Action outputs including pilots are viewed as highly relevant to enhancing the existing policy dialogues between the EU and Vietnam on circular economy, deepening collaboration between the EUD and various sectoral ministries, local government and other organisations in Vietnam. According to an EU stakeholder: *“Yes, with different stakeholders we have had different policy dialogues with MONRE (Ministry of Natural Resources and Environment), Ministry of Transport, Vietnamese Maritime Administration (VINAMARINE), the cities and companies dealing with such issues like the supermarkets. It is very important to improve the policy dialogues between EU and Vietnam. It allows us to engage with various line ministries and organisations in Vietnam”*. The outputs have been relevant to the policy dialogues of France and Germany in the area of EPR.

4/ How are the Action design and outputs relevant to the partner country priorities and political contexts in the area of concern? How has the Action adapted to evolving political contexts or changing priorities in the partner country?

The Action outputs are highly relevant to Articles 47 - 49 of the Environmental Protection Law on EPR and have contributed to the drafting of an EPR decree and an EPR Policy Brief. Pilot projects in Ho Chi Minh City, Hanoi and Phú Yên have been designed to be aligned with eight policy frameworks, including a national action plan for reducing plastic waste for the fisheries sector (2020-2030 including the development of approaches to accelerate implementation which will be shared amongst provincial governments. The main political partner in Vietnam is the Ministry of Natural Resources and Environment (MONRE), followed by Ministry of Transport, Vietnamese Maritime Administration (VINA MARINE) and provincial level government for the pilot projects.

Coherence

1/ How has the Action ensured coherence and complemented other EU and EUMS interventions in the partner country?

According to the evidence from interviews and reports, there has been collaboration with the SWITCH-Asia programme in Vietnam supporting the Ministry of Industry and Trade and the National Action Plan for Sustainable Consumption and Production 2021 – 2030. This has focussed on avoiding duplication and ensuring complementary efforts. The collaboration included exchanges between the key experts of the respective interventions, sharing insights and lessons learnt on institutional engagement and identifying of challenges.

At the regional level there has been some collaboration with E-READI in terms of coordination meetings, invitations to kick-off events and presentation of the results of a study on ASEAN by E-READI. With the EU Policy and Outreach Partnerships (POP) for ASEAN there was collaboration in promotion and communications during the early phases of the Action and specific activities like beach clean-up organised with the European Union Delegations (EUD). During initial stages the Action aligned its communication efforts, with the approach of the EU POP project particularly the project website. With the SWITCH-Asia programme at a regional level, the Action has participated at SWITCH-Asia events including conferences and webinars. SWITCH-Asia has also supported the dissemination of event material from the Action such as webinars held on single use plastic and food delivery materials. With the EU Indonesia-Vietnam Partnership Facility there has been some initial communication and exchange of information.

According to evidence from documents⁷⁹ and interviews, the project took part in a collaboration involving the Federal Ministry for the Environment, Nature Conservation and Nuclear Safety of Germany (BMU), the Governments of Ecuador, Ghana, the Vietnam Administration of Seas and Islands. with MONRE took part in a high-level panel discussion facilitated by the United Nations Environment Programme (UNEP) on 31 March 2021. The four countries are jointly organising the Ministerial Conference on Marine Litter and Plastic Pollution in September 2021 as a platform for informal consultations for the second part of the UNEA-5 as announced during the proceedings of UNEA 5.1. The project also had discussions with other initiatives of GIZ on a train the trainers programme for EPR and also with the French Development Agency (AFD).

2/ How has the Action ensured coherence and complemented programmes by national governments in the partner country including those funded by other development partners?

In Vietnam⁸⁰, the project team has made a concerted effort to participate in virtual meetings of the **Development Partners’ Working Group on Plastic**, which is coordinated by the World Bank-implemented global multi-donor trust fund aimed at sustainable and integrated development of marine and coastal resources in healthy oceans (PROBLUE). PROBLUE involves the Canadian Government, IUCN, WWF, embassies of France, Belgium, the Netherlands, Germany and other partners. This working group supports and enhances the coordination, complementarity and coherence of the efforts by Development Partners in support of Vietnam’s efforts on single use plastics reduction, plastic pollution prevention, and sustainable plastics management. The project also collaborated with an EPR platform of the MONRE. Pilot projects has also collaborated with PRO Vietnam on recycling and with WWF and the Packaging and Recycling Alliance to reduce plastic use. These stakeholder platforms enabled the Action to ensure synergies such as with WWF in the Phú Yên pilot on fishing for litter and to avoid duplication with UNDP who is also implementing similar initiatives in five cities including in the fisheries sector.

For result area R4, on reduction of litter from sea-based sources, regular discussions took place between the key expert and the R4 pilots from Vietnam. These discussions include the sharing of lessons learnt. NSAs share information with each other on the pilot project methodologies used. This led to the use of some lessons learnt across partner countries. Lessons from Thailand on food packaging were shared with implementors of the Vietnam pilot “Alliance of Retailers to reduce the consumption of single-use plastic bags among supermarkets”. The pilot in Vietnam “Fishing for litter scheme” from Phú Yên province has drawn on lessons and practices from China. There has been the identification of speakers from Vietnam for an ICEF event in Indonesia. The Action is planning to co-organise a webinar in Vietnam with UNDP to share lessons learned from UNDP’s pilot projects and the Action’s pilot projects’ implementers in Hanoi, Ho Chi Minh City and Phú Yên. There was no evidence on efforts to share lessons learnt on policy development between partner countries.

Effectiveness

2/ Are the Action results of good quality and likely to contribute to the achievement of the expected outcomes? What areas, if any, is impact likely to materialise in (e.g. policy or institutional changes or improved partnerships)?

The various Ministries were keen to incorporate policy proposals by the Action into their revised EPR decree. A policy brief on EPR was also developed which facilitated high-level discussion. Additionally, the Action is part of the EPR platform bringing together stakeholders for EPR including the private sector via the PRO Vietnam, built new partnerships and worked with core organisations focusing on waste management with assistance from PRO Vietnam, Packaging and Recycling Alliance in Vietnam and various big companies responsible for packaging and main recycling players in the country. A respondent shared; *“There has been concrete results and inputs given towards Extended Producer Responsibility in the revised law to protect the environment better. So, this is*

⁷⁹ EU Quarterly Report No. 5 (January 2021 to March 2021) and 6 (April to June 2021) of Vietnam

⁸⁰ EU Quarterly Report No.2 (April 2020 to June 2020) and 3 (July 2020 to September 2020) of Vietnam

something very tangible”. One government stakeholder shared additional tangible outcomes; *“The Rethinking Plastics project has actively contributed to supporting the Ministry of Natural Resources and Environment to develop the draft regulations on EPR in the Law on Environmental Protection and the Decree for detailing the Law on Environmental Protection”*.

Translation of the EPR toolbox to the languages of the five main partner countries has commenced, with the translations for Vietnam completed and this has the potential to lead to additional outcomes such as capacity building and the use of the toolbox as a sustainable tool beyond the period of the project

In relation to the efforts towards sharing practices about policies on plastic waste and EPR mechanisms, have been reflected in the policy instruments on EPR including ongoing revisions to the revised EP decree. A policy brief on EPR was presented to the Vietnam parliament last year during an official hearing with broader discussions on Environmental Protection Law which includes dedicated articles on EPR. The Action has also resulted in positive buy-in from businesses in building alliances with PRO Vietnam and working with government officials.

3/ How has the Action supported the partner country in awareness, knowledge transfer and take-up of EU policies, approaches and experience?

The common approach is to share EU best practices via webinars and reports with stakeholders. EU experience was incorporated into the policy brief on EPR, the revisions to the EPR decree and the EPR multi-stakeholder platform. There was evidence that EU experience was supporting two out of four pilots in Vietnam (please refer to Annex 10). In relation to efforts on reducing single use plastic bags at supermarkets, the Action facilitated engagements with resource people with EU experiences and also Thai counterparts who were implementing similar pilots. In relation to the pilots at ports, feedback was received that stakeholders are learning feasible EU practices and methodologies on charging fees to better manage the waste at ports. One respondent shared; *“it has opened many doors with the various line ministries. So, it has delivered a lot on this aspect. It is early days, but we see there is already some awareness and take-up of EU policies particularly by the Ministry of Natural Resources and Environment. This will increase over time”*.

Efficiency

2/ How adequate is the project management and implementation mechanisms in the partner country?

In terms of project management by the expert team, many stakeholders felt it was adequate in Vietnam. EU stakeholders in these countries felt the management and implementation mechanisms had a good balance between a structured approach to ensure quality and flexible to adapt to demand driven needs from the EU services. Government stakeholders from these countries also expressed strong satisfaction with the management and implementation mechanisms which were efficient. According to a stakeholder: *“I am very satisfied with this project. It met with the objective that were set. We received the recommendations for policy that is useful for our work. It is very efficient in terms of operation like the way of having a workshop”*.

EU-added value

1/ How has the Action contributed to the improved image and visibility of the EU in the partner country including the role of the EU as a global player? Has the Action scaled up the level of environmental dialogue between EU and the partner country?

The awareness on the EU policies and experience was created amongst national government, local government, development partners, CSOs, communities and private sector through donor and Working Groups' meetings. A standard sentence about EU funding was used across media articles which number 25 articles across online newspapers such as the Vietnamese Investment Review, the Vietnamese Economic Review and communication channels of the government. The Action is sharing information on pilot project outputs linked to eleven policy instruments to further strengthen

policy dialogues. There was evidence that one of the pilots was following the EU visibility guidelines in its materials, and no evidence was available to assess the communication efforts of the other three pilots. Some stakeholders felt the EU-Vietnam Trade Agreement, can be leveraged by the Action to further enhance image and visibility bringing together relevant EU and Vietnamese private sector to support the implementation of the pilot projects under the Action. They shared views on how joint partnerships, commitments and efforts could be fostered to strengthen maritime protection initiatives with national stakeholders.

The EU is seen by key partner Ministries as a global player in plastic waste, marine litter, circular economy and promoting SCP best practices. The main achievements were enhancement of the EPR Decree and an EPR that was tabled in parliament. Economic tools to generate incentives have been adopted by the pilot project under Result 3⁸¹. The strengthening of partnerships with private sector and the participation in the Working Group has also raised the profile of EU as a global player.

According to the evidence, the action has supported more in-depth environmental dialogues in several partner countries. The Action has also contributed to enhanced dialogues on circular economy and EPR through workshops, multi-stakeholder platforms and direct dialogue between the EUD and government. The pilot projects’ activities and outputs are being linked to eleven policy instruments to further strengthen policy dialogue.

2/ What is the strategic significance of this Action in the partner country, in comparison to other relevant development partner interventions? Has the EU experience led to identification of improvements to policy and legislative frameworks?

The project has a strong working relationship with four main Ministries⁸². The Action is currently in the process of assisting the local government in drafting certain Articles of the Law of Environmental Protection⁸³ to include EPR. The project team also prepared a policy note, which includes comments on the draft EPR Decree and suggestions for revising the list of packaging covered by the EPR Decree. The policy note was submitted to the Legal Affairs Department of MONRE on 20 May⁸⁴. The pilot projects also provided opportunities to expand connections and networks in the SCP and circular economy fields. The feedback from a government stakeholder was that it was a broad range project that looked at marine litter issues from both land-based and sea-based. It has both strategic policy and pilot elements and is a comprehensive project targeting the maritime sector in relation to waste disposal from vessels and from marine litter collection from fishing boats. It also targeted end users of supermarkets and different stakeholders along the whole value chain. According to a government stakeholder: *“The experience of the EU in dealing with plastic waste and the development and implementation of an EPR policy has had a positive impact on the development of a plastic waste policy and an EPR policy in Vietnam, whereby the Project provided European experience and European problem-solving methods as lessons for Vietnam”*.

The EU best practices from the EPR toolbox were translated and shared with pilot projects’ implementers and national stakeholders in Vietnam under Result 2. The EU’s CE practices are being localised to fit the context in partner countries by connecting the key actors along the plastic value chain in 7 pilot project activities using a people centric approach. The EU best practices from MARPOL, EU Port Reception Facilities Directive Annex 4 and some practical examples in implementing costs recovery systems have also been shared with Vietnam via the pilot projects under Result 4 to facilitate dialogues and policy recommendations with the local port authorities. Overall, the Action is moving towards the right direction with significant EU contributions. It has tackled issues on the ground from political and strategic angles by linking SCP and circular economy

⁸¹ This refers to Alliance of Retailers to Reduce the Consumption of Single Use Plastic Bags Among Supermarkets in Hanoi, Result 3.

⁸² The four ministries are Ministry of Natural Resources and Environment, Ministry of Industry and Trade, Ministry of Agriculture and Rural Development, and VINNAMARINE.

⁸³ See the Figure on overview of main policies that the Action’s design and outputs is relevant to in the partner countries in Chapter 3 conclusion.

⁸⁴ EU Quarterly Report No. 6 Vietnam from April to June 2021.

approaches in policy discussions. Also, a more holistic approach was being explored covering multiple sectors and ministries under Result 3.

Sustainability

2/ Are adequate measures in place, including ownership, integration in national programmes and financial support, to ensure the sustainability of results?

The sustainability strategy is tying the Action’s policy efforts and pilot activities with their circular economy and waste management 2021 to 2027 programme.

In Vietnam, the EU-ASEAN dialogues in 2020 have been very good entry points at national and regional levels to sustain dialogues. As the Action has been contributing towards EPR policies, this has been a strategic move with the national government and local authorities to craft enforcement methods such as tax incentives, tax mechanisms, and other policy mechanisms to improve their waste management process. Methodologies generated from pilots under Result 2⁸⁵ in collaboration with local authorities are also a strong component for sustainability efforts as they have provided feedback that such methodologies and guidelines are helpful to assist them in monitoring their waste management efforts. Aligning the Actions’ outputs with the government agencies needs at all levels also increases buy-in to allocate more resources to implement action plans and develop legislation.

The pilot under Result 3 which is promoting SCP practices and linked to the national policy frameworks⁸⁶ was quoted as an example. The national government is also working with the private sector i.e., supermarket chains and other main actors involved in the pilot project to contribute towards certain elements of sustainability. This is mainly aimed at continued activities under Result 6 to inculcate a shift of consumer behaviours i.e., reduce single use plastic bags and increase the use of reusable eco-friendly bags at supermarkets.

There have been EPR elements integrated in the revised law to protect the environment, and this is a key process that the Action has contributed. The policy and EPR developments are also seen as very important and valued by the Ministries who have been engaged in the process. There were also talks about a Rethinking Plastic Phase 2 has started with EU, AFD and international banks like EIB and ADB. Key areas of focus are technical assistance and infrastructure investments. Additionally, the pilot under Result 2⁸⁷ have been working closely with PRO Vietnam on digital solutions to scale recycling activities. One example is leasing the handheld infra-red light and sensor equipment shaped like a temperature gun by PRO Vietnam to local authorities to train the informal waste pickers to shift from manual sorting by hand to increasing the speed of detection of Type 1 to Type 7 plastics with such equipment. This measure will also be enhanced with a smart phone application to scale recycling activities in the city.

There has also been evidence from interviews that some EUMS have plans in the pipeline to scale-up the current Action’s initiatives and that discussions are ongoing with relevant national stakeholders.

The strategy has been to collaborate closely with MONRE to conduct train the trainers’ programmes, development and use of handbooks by organising various capacity building workshops.

⁸⁵ This refers to Enhancing the Plastic Packaging Collection, Sorting, Recycling, by Both Formal and Informal Sector: an evidence-based approach in dense to rural areas in Ho Chi Minh City.

⁸⁶ This refers to Decision No. 889/QĐ-TTg National Action Plan on SCP 2021-2030 where the responsibility of ministries and associations and the other stakeholders are addressed when implementing the activities in accordance with Decision 889 National Action Plan on SCP 2021-2030.

⁸⁷ This refers to Enhancing the Plastic Packaging Collection, Sorting, Recycling by both Formal and Informal Sector: An Evidence-based Approach in Dense to Rural Areas in Ho Chi Minh City.

Cross-cutting elements

2/ How have gender equality, human rights-based approaches and good governance been incorporated by the Action?

According to the evidence, the project contributed to gender equality through awareness activities, a study and gender balance at meetings and events. Efforts included a study in Vietnam on informal waste pickers where plans were to promote advocacy and roundtables soon on the vulnerable population.

In terms of **good governance**, one pilot project from Vietnam, incorporated good governance practices during stakeholder engagements. In Vietnam the pilot focused on engagement with the informal waste sector via EPR governance in addressing the role of the EPR actors. A Vietnamese donor revealed that the same focus areas of pilots are on city-wide waste sorting and the fisheries sector. Both implementing parties have shared plans to continue exchanges during joint stakeholder engagements with fishermen communities and document what incentives would encourage fishermen’s buy-in to bring their waste back to the shore.

Annex 12: Activities to Create Awareness and Transfer Knowledge Across Result Areas

The table below provides the different activities executed in the different partner countries by the Action to support the awareness, knowledge transfer and take-up of EU policies, approaches and experiences according to the different result areas.

<p>Result 1</p>	<p>Indonesia: Coordinating EUMS efforts with multi-stakeholder platforms through side events such as ICEF;</p> <p>Vietnam: legal reviews by EU experts,</p> <p>Thailand and Vietnam: thematic workshop sessions on policies with pilot kick-off events</p> <p>China, Indonesia, Philippines, Thailand and Vietnam: local officials invited to pilot project sites to witness activities and briefings, stakeholder meetings, webinars, connecting experts from Action with local groups (practitioners, government officials, researchers and universities);</p> <p>Thailand: SEA of Solutions 2020 EPR mechanisms with policy sector</p> <p>China, Indonesia, Philippines, Thailand and Vietnam: online surveys to gather inputs from the ground</p>
<p>Result 2</p>	<p>China, Indonesia, Thailand, Vietnam: training on EPR toolbox,</p> <p>China and Vietnam: translated EPR toolbox to local languages (others pending finalisation/approval);</p> <p>Vietnam: EPR Policy brief (approved by MONRE and EUD) – knowledge product</p> <p>China, Indonesia, Thailand and Vietnam: EPR workshops</p> <p>China: one-page instructions in layman local languages in Inner Mongolia pilot project; working group meetings in Hainan held after kick-off events on sharing plastic collection and recycling activities</p> <p>China, Indonesia, Philippines, Thailand and Vietnam: meetings, conference exchanges with EU experts and industry players; sharing training materials, webinars on CE models and EPR; reward and incentive programmes for reuse models.</p>
<p>Result 3</p>	<p>Indonesia: Formation of tasks forces in developing best practices for LGUs and publication of baseline data to create awareness; consumer behaviour training in traditional markets; supporting the ban of single use plastic bags;</p> <p>China, Thailand: webinar on adoption of reuse containers (recircle model and leaf innovation both from Sweden and Germany: inspired by solution from India);</p> <p>China: Workshop on ‘Plastic Pollution Control in the E-Commerce and Delivery Industry’</p> <p>Indonesia: Online dialogue event on ‘Policies and Initiatives for Reducing Single-Use Plastics in Indonesia and Europe’</p> <p>Thailand: pinto flyers, banners with EU and Action logos; local community engagements with resident leaders assistance;</p> <p>Indonesia, Thailand: segregating waste and upcycling activities at waste banks;</p> <p>Philippines: geotagging the junk shops with waste collectors, repairing and upcycling best practices from Sweden with pilot stakeholders</p> <p>Vietnam: knowledge products such as needs assessment on a guide for sustainable production of plastic recycling companies</p>
<p>Result 4</p>	<p>China, Indonesia, Philippines, Thailand and Vietnam: webinars on lessons learned by pilots at local levels,</p>

	<p>Indonesia and Vietnam: webinars to explain how EU implemented reduction of waste on board from the vessels;</p> <p>China, Indonesia and Vietnam: a network of NGOs and practitioners at country level with fishing community to share best practices;</p> <p>China: an advisory report on European experience of ship waste management is ongoing</p> <p>Vietnam: a national legal review has been finalised as part of the pilot project. It focusses on all relevant regulations/circulars in relations to ship waste management in ports to identify any legal constraints and provide recommendations for revisions</p>
<p>Result 5</p>	<p>Japan: DG Environment plays a key role in relation to Japan in organising policy meetings and dialogues. The Action published the Comparative Analysis on Circular Economy and Green Public Procurement Policies for preventing plastic pollution in Japan and the European Union in March 2021</p> <p>Singapore: The comparative study on Circular Economy and GPP in Singapore was published in September 2020; some engagements with presentations have been utilised in Singapore end 2020 and webinar on 30 September 2021 on Dialogue on Circular Economy: EPR and Beyond;</p>
<p>Result 6</p>	<p>All countries: Social media channels of EUDs and Action, online webinar platforms for focus group discussions and meetings.</p> <p>China, Indonesia, Philippines, Thailand and Vietnam: social media channels of pilots implementers with links to download documents</p> <p>Vietnam: two communications activities such as media corporations with Vietnamese Investment Review targeting local audiences featuring the Action’s activities and dissemination of knowledge products; communication and awareness raising campaigns on sustainable consumption of plastics and impacts of littering on the environment, targeting schools in Hanoi and Ho Chi Minh City</p> <p>China: picture contests like annual ‘Green Development and Circular Economy Photo Contest’ of CACE in 2020, exhibition at the China Circular Economy Development Forum, Marine Litter Knowledge Quiz Campaign’ for students in cooperation with the National Marine Data and Information Service (NMDIS)</p> <p>Philippines: hackathons</p> <p>Indonesia and Philippines: youth focus activities and campaigns, Wala Usik Youth Ambassador Programme</p>

the 1990s, the number of people in the UK who are aged 65 and over has increased from 10.5 million to 13.5 million, and the number of people aged 75 and over has increased from 4.5 million to 6.5 million (Office for National Statistics 2000).

There is a growing awareness of the need to address the needs of older people, and the need to ensure that the health care system is able to meet the needs of older people. The Department of Health (2000) has published a strategy for older people, which sets out the government's commitment to improve the health and well-being of older people, and to ensure that the health care system is able to meet the needs of older people.

The strategy for older people is based on three main principles: (1) to improve the health and well-being of older people; (2) to ensure that the health care system is able to meet the needs of older people; and (3) to ensure that older people are able to live independently and actively in their communities. The strategy sets out a range of measures to be taken to achieve these aims, including: (1) to improve the health and well-being of older people; (2) to ensure that the health care system is able to meet the needs of older people; and (3) to ensure that older people are able to live independently and actively in their communities.

The strategy for older people is a key document for the health care system, and it sets out the government's commitment to improve the health and well-being of older people, and to ensure that the health care system is able to meet the needs of older people. The strategy sets out a range of measures to be taken to achieve these aims, including: (1) to improve the health and well-being of older people; (2) to ensure that the health care system is able to meet the needs of older people; and (3) to ensure that older people are able to live independently and actively in their communities.

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