



Green U
KHOA HỌC CÔNG NGHỆ MÔI TRƯỜNG

PLANNING FRAMEWORK

Joint Action Plan (JAP)

2024



3.1.1. Introduction

3.1.1.1. Purpose and objectives of the Joint Action Plan (JAP)

Most development projects focus on solving complex problems that have persisted for many years and require the combined efforts of multiple stakeholders to resolve. However, projects involving many parties often face problems of insufficient resources, a lack of coordination, or ineffective coordination among the resources of the stakeholders. To address this, a joint action plan built and implemented by all parties together, on the basis of close coordination and a clear division of roles among stakeholders, helps solve specific problems with specific resources.

a. Purpose. The Joint Action Plan aims at a common goal and harmonizes the interests of the parties. The project supports the local focal point in bringing together resources from the project's areas of work so that they can manage and coordinate programs and projects in harmony with one another, concentrating resources on a shared project objective.

b. Specific objectives.

- Develop a JAP that meets local conditions and priorities as well as the expectations of stakeholders and the local government in reducing plastic waste, and that is proactively implemented by the locality.
- Define a shared vision, perspective, and objectives in order to mobilize joint action by local organizations and individuals across sectors and communities in reducing plastic waste.



3.1.1.2. Methodology / Approach

The approaches used to develop the JAP are based on the project problem to be solved, the current status of the problem in the area, and the capacity of the local organizations and in-

dividuals involved in that management process. The project will not develop entirely new action plans but will build on the priorities, resources, and the policies, regulations, or action frameworks that the locality has already developed to address the problem.

The inputs for designing and developing the JAP differ from one city and project to another. Therefore, the development of the JAP may begin in a selected administrative geographic area or within a given sector and gradually expand to other sectors and localities. It is expected that the locality will organize at least two rounds of stakeholder consultation during the JAP development process before finalization. The completed JAP will then be submitted to the competent authority for approval or implementation. The JAP is a medium-term plan (three years) and will be revised annually for the following year based on the activities and results of the previous year.

a. Geographic-area-based approach. Under this approach, interventions are designed to suit the previously selected administrative geographic area. To develop the JAP under this approach, project staff work with the local partner to identify the area in which activities will be implemented; the selected area may be a district or a number of wards within a district. In all cases, the JAP framework is first developed for the whole district and then passed down to the wards to develop specific activity plans.

The criteria for selecting a location to develop the JAP include, but are not limited to, the following:

- Areas that generate large amounts of plastic waste.
- Localities where many agencies, units, and communities are already performing waste separation at source well.
- Areas with a complete, well-developed waste collection and transport system.
- Localities with a dynamic, active local government that is willing to participate in the project.
- Areas that the city government has prioritized for concentrating resources and wishes the project to support in developing into a standard model that can be replicated later.

b. Participating-partner-based approach. The project works directly with the key organizations and individuals concerned with the problem to be solved. These partners may be state agencies or socio-political organizations related to the project problem. The focal point for developing the JAP is usually the city/district office in charge of the field related to the project problem.

In some cases, this focal point may also be another socio-political organization such as the Hội Liên hiệp Phụ nữ (Women's Union) or the Đoàn Thanh niên (Youth Union). The criteria for selecting the parties to participate in developing the JAP may include, but are not limited to, the following:

- Individuals who are concerned about, and have significant influence over, the reduction of plastic waste in the locality.

- Participants that are organizations belonging to the local government or organizations representing a particular economic sector of the locality (professional associations).
- Participants who are willing to cooperate and to co-design and co-implement the JAP with the project and other stakeholders.
- Participants who are able to carry out the JAP intervention activities.
- Participants who can mobilize and contribute part of the resources and cooperate with the project and other partners to implement the JAP interventions.

c. Economic-sector-based approach. A JAP developed under this approach will provide solutions focused on a specific economic sector. The project works with local partners to select an economic sector. The selected sector is usually the locality's leading economic sector, or a sector that is directly affected by and/or a principal cause of the problem.

The general criteria for selecting a sector to develop the JAP may include, but are not limited to, the following:

- A leading economic sector chosen by the locality for JAP development.
- An economic sector that may cause the problem the project is designed to address.
- An economic sector whose contribution to solving the project problem can generate positive effects on other sectors and on the consumer community.
- A sector whose leadership or industry association shows dynamism, engagement, and willingness to take part in the project.
- A sector that has begun, or already has, good practices or good models for addressing the project problem.
- An economic sector well positioned to apply the circular economy model to address the project problem.

d. Mixed approach. In addition to the three approaches above, the JAP may also be developed using a mixed approach, comprising: (i) an approach based on geographic area and economic sector; (ii) an approach based on geographic area and participating partners; or (iii) an approach based on participating partners and economic sector.

With the two mixed approaches (i) and (ii), the project must take two steps to develop the JAP. The first step is to consult stakeholders to select the area in which the project will be implemented locally. In the second step, for the approach based on geographic area and economic sector, once the implementation area has been selected, the project discusses with the local government to identify the economic sector on which the locality wants the project to focus and to design the intervention. For the approach based on geographic area and participating partners, the project reviews suitable relevant partners to cooperate with in developing the JAP.

Mixed approaches (i) and (ii) are used during the design of the JAP, whereas approach (iii) is typically applied during JAP implementation. Specifically, after a mixed location- and sector-

based approach has been chosen to develop the JAP, during implementation the project reviews and identifies the key participating partners in order to mobilize and pool resources for more effective interventions, thereby also strengthening these partners' capacity for action.

3.1.2. Developing the Joint Action Plan

3.1.2.1. Structure of the Joint Action Plan

Initially, the JAP was designed based on a logical framework and theory of change principles. However, to make the JAP consistent with the government's system of administrative documents so that it would be easy to understand and easy to approve, the JAP was restructured into the eight parts described below. The detailed JAPs are translated and included in the appendix.

The components of the JAP are:

- **1. Legal basis:** This part sets out the legal basis relating to the management and reduction of municipal solid waste and plastic waste, which may be at the national, provincial/city, and district levels. Provincial/city and district legal normative documents are analyzed to provide the legal basis as well as the perspective and objectives for the JAP.
- **2. JAP context and the need to develop the JAP:** This part provides the context of the JAP and the current status of municipal solid waste and plastic waste management and treatment in the locality, in order to establish a basis for the JAP's perspective and objectives.
- **3. Perspective and objectives of the JAP:** This is an important part in orienting the JAP, setting out the perspective on the strategic interventions the JAP should pursue.
- **4. Key tasks or work packages of the JAP:** This part covers the main activity themes on which the JAP will intervene, based on the action perspective and aimed at achieving the objectives.
- **5. Financial resources:** This part briefly describes the financial resources that need to be mobilized to implement the JAP. It specifies the units from which financial resources will be mobilized and the form of financial mobilization.
- **6. Implementation:** This part outlines the roles and responsibilities and the ways in which stakeholders can participate in the JAP implementation process.
- **7. Monitoring, evaluation, and feedback:** This part specifies which unit/organization leads the monitoring of JAP implementation and of the results achieved; the frequency of monitoring and the mechanism for evaluating results; and reporting and feedback.
- **8. Appendix:** This appendix contains a detailed overall activity plan covering the three years of JAP implementation. The lead and coordinating unit/organization is also listed,

together with a summary of the resources mobilized and contributed by each unit/organization to the JAP. Performance indicators are also developed and integrated, and this table serves to monitor and evaluate JAP implementation results. In many cases, a priority action plan for the first year of the JAP is also developed and included in this appendix.



3.1.2.2. Tools for developing the Joint Action Plan

The main tools applied to develop the JAP are:

- a. On-site assessment.** Field research is conducted to extract data and results from reports in order to analyze the context and the JAP context.
- b. Policy review.** A policy review checklist is used to review and analyze legal documents and policies relating to the project problem in each project city or province.
- c. Stakeholder mapping and analysis.** Many different organizations and individuals are involved in addressing this problem, and it is necessary to identify who is participating in the process and what their influence is. This is why the stakeholder mapping and analysis method is used to complement the initial JAP design. This approach is also used during the later development and implementation of the JAP to clarify the interests, level of influence, and roles of stakeholders in the co-development and co-implementation of the JAP. Applying it provides a basis of input data for selecting the JAP intervention method — whether an on-site, actor-based, or mixed intervention (combining the geographic-area-

based and participating-actor-based approaches). The stakeholder mapping and analysis method comprises the following main steps:

- Step 1: Identify stakeholders
- Step 2: Analyze stakeholders
- Step 3: Map stakeholders
- Step 4: Prioritize stakeholders and identify the problem

This stakeholder mapping and analysis method was applied appropriately, so that the key stakeholders and their interests and influence on the JAP were clearly identified.

Influence–interest matrix of stakeholders (Source: Edraw, 2021):

	Low interest	High interest
High influence	Meet their needs - Engage and consult on their interest - Try to increase their level of interest - Aim to move them into the right-hand box	Key players - Concentrate main efforts on this group - Involve governance / decision-making bodies - Engage and consult
Low influence	Least important - Inform through general communications: newsletters, website, mailers - Aim to move them into the right-hand box	Show consideration - Leverage their interest through involvement in low-risk areas - Keep them comfortable and consult on their area of interest - Potential supporters / goodwill ambassadors

d. Focus group discussion with color cards. This tool is used to identify the roles and responsibilities of stakeholders in implementing the JAP; the cooperation mechanism for implementing the JAP; the resources that can be mobilized to implement the JAP and how to mobilize them; and the MEL (Monitoring, Evaluation, and Learning) mechanism.

e. Theory of change and/or logical framework. The theory of change and/or logical framework is also applied to develop the goals, objectives, expected results, and work packages for the JAP.

f. Consultation meetings. Several consultation meetings are held with key stakeholders to clarify their roles and responsibilities when participating in JAP implementation.

3.1.2.3. Process

The JAP is developed in three main phases comprising nine steps. The preparation phase consists of two steps, the JAP development phase consists of three steps, and the finalization

and approval phase consists of four steps:

- **Phase 1: Preparation**

- Step 1: Analyze the context before developing the JAP
- Step 2: Assess the current status of plastic waste at the site

- **Phase 2: Development**

- Step 3: Discuss and agree on the approach to developing and implementing the JAP
- Step 4: Develop the general and specific objectives of the JAP
- Step 5: Develop the JAP themes and work packages

- **Phase 3: Finalization and submission**

- Step 6: Develop monitoring, reporting, and feedback
- Step 7: Develop a master work plan with the time and resources for JAP implementation
- Step 8: Consult and define the roles and responsibilities of key stakeholders for the JAP implementation arrangements
- Step 9: Consult with key stakeholders to finalize the JAP and submit it to the competent authorities for approval

Step 1: Analyze the context before developing the JAP. First, the context and current status of the locality's environmental problems (province/city) are analyzed based on three general assessments carried out at the central level and in the four participating provinces and cities. The main tasks in this step are:

- Review and analyze the report on the current status of the project problem.
- Review and analyze the assessment report on the awareness, attitudes, and behavior of stakeholders regarding the project problem.
- Review and analyze reports on the policy system and legal normative documents relating to the project problem at the central and local levels.
- Review and analyze secondary data and policies relating to the project problem in the locality.

Step 2: Assess the current status of plastic waste and the local priority areas. In this step, the situation regarding project deployment in the locality is assessed. The key problems, concerns, and priority areas of stakeholders are identified and analyzed. This step is carried out as follows:

- Assess the current status of plastic waste, the reduction actions taken, and the locality's needs/expectations for addressing this problem, based on secondary information (context analysis) and primary information (direct interviews with the local government).

- Review and synthesize local concerns/needs and priorities and compare them with the project's objectives and results.
- Develop a summary of the local concerns and priorities and the project's points in common for a medium-term vision.

Step 3: Discuss and agree on the approach to developing and implementing the JAP.

The approaches for developing and implementing the JAP are:

- An approach based on key stakeholders/actors (for example, the Women's Union may be chosen as the lead unit to implement and disseminate the project's activities).
- An approach based on a geographic area or a key area where interventions can be piloted and then scaled up to other areas (for example, the project may choose one ward/commune to pilot, then draw lessons before replicating across all other wards and communes).
- An approach targeting a particular sector to pilot and then scale up (for example, tourism may be chosen as the pilot and then replicated to other sectors and services).
- A combination of one of the three approaches above to carry out interventions (for example, using the Women's Union of several wards/communes as the core actor; forming action groups and training them on how to carry out activities through Training of Trainers (TOT) courses, after which the TOT participants train others and form small groups in other wards/communes; the lessons learned are documented and replicated).

Step 4: Develop the general and specific objectives of the JAP. Consultation meetings with key stakeholders are held to identify and agree on the goals and objectives of the JAP. These goals and objectives must meet the city's and district's priorities regarding the project problem. They must also reflect the objectives and results the project seeks to achieve. The goals and objectives of the JAP are developed based on the logical framework and theory of change.

Step 5: Develop the JAP themes and work packages. A logical framework for the JAP is developed to consult local partners and key stakeholders. A theory of change is applied to establish the expected results and intervention activities in the JAP, based on the overall goal and the objectives identified in the previous step. The resulting structure follows a hierarchy of:

- General objective
- Objectives (e.g., Objective 1, Objective 2, Objective 3)
- Expected results under each objective (e.g., Expected result 1.1, 1.2)
- Activities under each expected result (e.g., Activity 1.1.1, 1.1.2)

Step 6: Develop monitoring, reporting, and feedback. This step establishes the monitoring mechanism, comprising:

- Develop and agree on indicators to measure the expected results.

- Develop a mechanism for coordinating and monitoring interventions between the project and the local agency/unit implementing the JAP.

Reporting system and mechanism:

- Develop the system and mechanism in line with the reporting system designed by the project.
- Establish the frequency for reporting JAP progress and results (quarterly or semi-annually) to the project and to the state management agency.

Feedback and information-sharing mechanism:

- Establish two-way information and feedback (bottom-up and top-down): implementing unit → project coordinator in charge of the province/city → project.
- Review and select information that can be supported as a data feed and shared on the project's digital platform.

Step 7: Develop a master work plan with the time and resources for JAP implementation. A detailed master activity plan is developed, structured as a table with the following columns: general objective; objective; expected result; performance indicator; detailed activity; Year 1; Year 2; Year 3; lead unit/organization (implementing partner); resources (human, material, financial, and other resources) mobilized and contributed; coordinating unit/organization (coordinating partner); and resources (human, material, financial, and other resources) mobilized and contributed.

Step 8: Consult and define the roles and responsibilities of stakeholders for implementing the JAP. The roles and responsibilities of stakeholders are defined:

- Local government agency (state management).
- Focal-point agency or organization (focal partner leading JAP implementation).
- Coordinating agency or organization (partner/stakeholder coordinating/cooperating in JAP implementation).
- The project (responsible for support from JAP design through to implementation).

Furthermore, the activities in the JAP are identified and discussed for integration into the locality's existing programs/projects — specifically, which activities to integrate, how to integrate them, and who will implement/manage/monitor those integrated activities, and so on.

Step 9: Consult on the JAP with key stakeholders to finalize it and submit it to the competent authority (People's Committee) for approval. In this step, the project and the main implementing partner organize an official JAP consultation workshop to gather comments on the final draft of the JAP. Stakeholders are invited to contribute comments to improve the JAP. The key aim of this workshop is to reach consensus among stakeholders on the following items:

- The agency/organization responsible for state management of the JAP.
- The agency/organization leading the implementation of the JAP (main implementing partner).
- The agency or organization that will coordinate/cooperate with the main implementing partner to implement the JAP (coordinating/cooperating partner).
- The roles and responsibilities of each of the above agencies and organizations.
- The coordination mechanism among the agencies/organizations participating in JAP implementation.
- The resources that can be mobilized from the above units.
- How to mobilize the resources to implement the JAP, and how to confirm, track, and record the contributions of each agency and organization.



3.1.2.4. Strategy for engaging local stakeholders in the development and implementation of the Joint Action Plan

This is the foundation and strategic orientation for the engagement of local stakeholders in the process of developing and implementing the JAP.

1. Strategy for engaging stakeholders during JAP design. From the very first steps of initiating and designing the JAP, key stakeholders were identified and invited to take part in generating ideas and co-designing the outline of the JAP components. During JAP development, key stakeholders — especially the lead units/organizations — were always empowered to proactively lead the JAP development process. The project always accompanied them as an advisor, offering suggestions or technical support when needed.

2. Strategy for encouraging stakeholders to implement activities together. Once the JAP had been developed, many stakeholders were encouraged to work together, as well as to identify and mobilize resources to implement an activity defined in the JAP.

3. Strategy for strengthening the implementation capacity of local partners and key stakeholders. By engaging stakeholders from the design, development, and implementation of the JAP steps through on-the-job training, the project gradually strengthened the capacity of local partners to carry out activities related to plastic waste management and plastic waste reduction.

3.1.3. Case study: Project "Reducing plastic waste pollution with local solutions" (LSPP) — Developing the Joint Action Plan of the city of Hà Nội

For detailed information, see the QR code.