Project Document[1]

Project Title: Global: Identifying and quantifying plastic contaminant sources and leakages into the aquatic environment (A part of ONE UNEP Plastic Project on Accelerating a Global Circular Plastic Economy to Reduce Plastic Pollution and its Impacts)

Project objective

The objective of this project is to establish a practical methodology to identify and quantify sources of plastic pollution in the aquatic environment.

Executive Summary *(10,000 characters max.)*

In addressing the needs of the countries, river basin organisations and coastal management authorities to develop science-based action programmes to reduce plastic pollution from all major sources, the project will develop a practically useful toolkit to identify and quantify the sources of plastic pollutants entering into the aquatic environment. By applying the toolkit, the countries/river basin organisations and coastal management authorities can develop source-inventories and list of source hot spots, based on which these water pollution control bodies can develop strategies to address water plastic pollution and prioritise necessary action. The project is aimed at producing three outputs: (i) a practical toolkit to identify and quantify sources/leakages of plastic waste entering the aquatic environment; (ii) source/leakage inventory of plastics entering aquatic environments in Kenya applying the toolkit developed; and (iii) outreach and advocacy of the project results through the existing water agreements and a future plastic pollution convention. These three outputs will contribute to the expected outcome of the project: Information on the sources/leakages of plastics entering the aquatic environments is available and used to establish baselines/targets/objectives within land-based plastic pollution management programmes. Under this project, all sources of water plastic pollution (both land-based and water-based) will be considered. Many of the programmes are already existing such as national plans of action to address land-based sources of marine pollution, river basin pollution abatement programmes and coastal management programmes. Data are collected under these programmes, which should be made available to this project. Data collection and assessment of water-based sources are undertaken through the other mechanisms such as MARPOL Convention and regional fisheries bodies.

The project will be closely tied with the UNEP's Medium-term strategy (MTS) 2022-2025, particularly the Pollution and Chemicals Action Sub-Programme. The project will contribute to Outcome 3B: Waste management is improved, including through circular processes, safe recovery of secondary raw materials and progressive reduction of open burning and dump sites; and Outcome 3C: Releases of pollutants to air, water, soil and the ocean are reduced. The project will contribute to achieving the Direct Outcomes 3.2. Land-based sources of pollution in fresh water and oceans, including marine litter and nutrients, are reduced; and 3.3. Global plastic pollution is reduced.

PPD Director: Tim Kasten Signature: Date: ____/____/20___	Name of Director of Division: Sheila Aggarwal-Khan Signature: Date: ____/____/20___
Date of Project Review Committee (PRC): ____/____/20___ Date of PRC report issuance: ____/____/20___	

1 Project Document Template Version February 2023

Acronyms and Abbreviations

AI	Artificial Intelligence
DG	Directorate-General (of EC)
EC	European Commission
EF	Environment Fund (of UNEP)
EU	European Union
GEF	Global Environment Facility
GEMS	Global Environment Monitoring System
GEMS-Ocean	Global Environment Monitoring System – Ocean
GEMS-Water	Global Environment Monitoring System – Water
GEO	Global Environment Outlook
IDP	Informal Dialogue on Plastics Pollution and Environmentally Sustainable Plastics Trade (under WTO)
IMO	International Maritime Organization
INC	Intergovernmental Negotiating Committee
IUCN	International Union for the Conservation of Nature
ISWM	Integrated Solid Waste Management
JRC	Joint Research Commission (of EC)
LGBTQA	Lesbian, Gay, Bisexual, transgender, Queer and Asexual
MARPOL	International Convention for the Prevention of Pollution from Ships of 1973 (under IMO)
MEA	Multilateral Environment Agreement
MTS	Medium Term Strategy (of UNEP)
PIMS	Project Information Management System (of UNEP)
PoW	Programme of Work (of UNEP)
PSC	Project Steering Committee
SCP	Sustainable Consumption and Production
SDG	Sustainable Development Goal
SP	Sub-Programme (of UNEP)
UNCLOS	UN Convention on Law of the Seas
UNCT	United Nations Country Team
UNEA	United Nations Environment Assembly
UNEP	United Nations Environment Programme
UN-Habitat	United Nations Human Settlement Programme
WESR	World Environment Situation Room
WG	Working Group
WTO	World Trade Organization
XB	Extra-budgetary funding

Table of Contents

Executive Summary ..... Error! Bookmark not defined.
Approvals ..... Error! Bookmark not defined.

ACRONYMS AND ABBREVIATIONS 2

PROJECT SUMMARY 4

1. PROJECT JUSTIFICATION 7
1.1 Problem and Situation Analysis 7

2. INTERVENTION STRATEGY 8
2.1 Project Description 8
2.2 Theory of change 8
2.3 Stakeholders 9
2.4 Project Management Risks 11
2.5 Environmental and Social Safeguard Risks 11

3. RESULTS TARGETED 25
3.1 Logical Framework 25

4. RELEVANCE 27
4.1. Relevance to the UNEP Programme of Work 27
4.2. Relevance to Regional, National or Subnational Priorities 27
4.3. South-South and Triangular Cooperation 27

5. IMPLEMENTATION ARRANGEMENTS 30
5.1 Project management and governance 30
5.2 Partners 31
5.3 Resource Mobilization 32
5.4 Cost-effectiveness 32
5.5 Budget and Staff Alignment 33
5.6 Monitoring Plan and Reporting 33

6. DIGITAL TRANSFORMATION, COMMUNICATION AND LEARNING 36
6.1. Communication strategy 36
6.2. Information and Knowledge Management ..... Error! Bookmark not defined.
6.3. Evaluation Plans 37

7. PROJECT SUSTAINABILITY 38
7.1. Sustainability 38
7.2. Uptake 38
7.3. Replicability 38

ADDITIONAL INFORMATION 39
Annex A. Completed ProDoc Checklist 39
Annex B. Budget /Proof of Secured Funds 40
Annex C. Detailed Project Workplan 41
Annex D. Safeguard Risk identification form 43
Annex E. Design Process 51
Annex F. Draft Donor Agreements 51
Annex G. Gender Marker Self-Assessment 51
Annex H. Data and Digital Transformation Checklist 52
Annex I. Terms of Reference 54
Annex J. Stakeholder Response Mechanism 39
Annex K. Stakeholder Engagement Plan 40
Annex L. Project Beneficiaries 41
Annex M. South-South and Triangular Cooperation 42
Annex N. Relevance to National and Regional UN Common Programming Processes (UNDS Reforms) 45

Project Summary

Table 1: Project Information

1. Identification[2]	**Insert PIMS no.:**		**Insert Umoja no.:**			
2. Medium-Term Strategy	*Check all that apply: 2018-2021 ☐ 2022-2025 ☒*					
3. Project Number	*Insert Project Number (40 characters max.)* UNEP Project Identification Numb					
4. Project Title	Identifying and quantifying generation of plastic waste and leakages into the aquatic environment					
5. Division or Regional Office managing project	Industry and Economy Division					
6. Project Manager	*Under recruitment*	*P-4*	*Project Manager*	*IETC*	*XB - CPL*	*11 % of staff time on project[3]*
7. Other members of project team[4]	*Feng Wang*	*P-3*	*One Plastic project manager*	*SCP Unit*	*EF*	*10%*
	Shunichi Honda	*P-3*	*ISWM project manager*	*IETC*	*XB JCL*	*10%*
	Heidi Savelli	*P-4*	*Marine litter expert*	*Source-to-Sea Pollution Unit*	*EF*	*10%*
8. Supervisor of Project Manager[5]	*Takehiro Nakamura*	*P-5*	*Supervisor*	*CHB*	*EF*	*5%*
9. Person(s) who formulated the ProDoc	*Takehiro Nakamura*	*P-5*	*Project proponent*	*IETC*	*XB - JCL*	*10%*
10. Person(s) responsible for reporting in PIMS[6]	*Feng Wang*	*P-3*	*One Plastic Project Manager*	*SCP Unit*	*EF*	*10%*
11. Fund Manager	*Lucy Halogo*	*P-3*	*Fund Management Officer*	*Industry and Economy Division*	*OTA*	*5%*
12. Type/Location	*Global (if no involvement of specific countries or regions) ☒ Regional ☐ National ☐*					
13. Region(s)	*Check all that apply: Africa ☒ Asia and the Pacific ☒ Europe ☒ Latin America and the Caribbean ☒ North America ☒ West Asia ☒*					
14. Country(ies)[7]	*Kenya (pilot country)*					
15. UNSDCF alignment	*The project is aligned with the Kenya UNSDCF which gives a priority to circular economy.*					
16. Programme(s) of Work	*PoW 2022-2023 and PoW 2024-2025*					
17. Subprogramme(s)	*Please select the primary Subprogramme(s) the project contributes to: Climate Action ☐ Nature Action ☐ Chemicals and Pollution Action ☒ Science-Policy ☐ Environmental Governance ☐ Finance and Economic Transformations ☐ Digital Transformations ☐*					
18. PoW Outcome(s)	*Select the PoW Outcome(s) to which the project contributes (for each of the PoW biennia specified above):* *☐ Outcome 1A: Decision-makers at all levels adopt decarbonization, dematerialization and resilience pathways.* *☐ Outcome 2A: An economically and socially sustainable pathway for halting and reversing the loss of biodiversity and ecosystem integrity is established.* *☐ Outcome 3A: Human health and environmental outcomes are optimized through enhanced capacity and leadership in the sound management of chemicals and waste.* *☐ Outcome 1B: Countries and stakeholders have increased capacity, finance and access to technologies to deliver on the adaptation and mitigation goals of the Paris Agreement.* *☐ Outcome 2B: Sustainable management of nature is adopted and implemented in development frameworks.* *☒ Outcome 3B: Waste management is improved, including through circular processes, safe recovery of secondary raw materials and progressive reduction of open burning and dump sites.* *☐ Outcome 1C: State and non-State actors adopt the enhanced transparency framework arrangements under the Paris Agreement.*					

2 These fields are to be filled by hand following project approval and signature by the relevant Division or Regional Office director.
3 Minimum 33% of his/her time for managing project, unless otherwise justified.
4 Project team members include staff and not consultants.
5 Supervisor must be a UNEP staff member, not a consultant.
6 The Programme Information Management System (PIMS) is a programme and project management tool that supports, among other things, project monitoring, independent project reviews, implementation progress, and project quality supervision.
7 Countries must be identified when submitting the Project Document to PRC.

	☐ *Outcome 2C: Nature conservation and restoration are enhanced.* ☒ *Outcome 3C: Releases of pollutants to air, water, soil and the ocean are reduced.*	
19. Outcome indicator(s)	*Pollution and Chemicals Action indicator (ii): Number of Governments developing or implementing policies, strategies and mechanisms to prevent or reduce waste and ensure environmentally sound waste treatment or disposal, including in the context of disaster or conflict-related environmental emergencies, with UNEP support; and* *(iii) Number of policy, regulatory, financial and technical measures developed with UNEP support to reduce pollution in air, water, soil and the ocean*	
20. PoW Direct Outcome(s)[8]	*3.2. Land-based sources of pollution in fresh water and oceans, including marine litter and nutrients, are reduced* *3.3. Global plastic pollution is reduced*	
21. Most relevant SDG target(s)[9]	*SDG6.3 By 2030, improve water quality by reducing pollution, eliminating dumping and minimizing release of hazardous chemicals and materials, halving the proportion of untreated wastewater and substantially increasing recycling and safe reuse globally.* *SDG12.4: By 2020, achieve the environmentally sound management of chemicals and all wastes throughout their life cycle, in accordance with agreed international frameworks, and significantly reduce their release to air, water and soil in order to minimize their adverse impacts on human health and the environment* *SDG14.1 By 2025, prevent and significantly reduce marine pollution of all kinds, in particular from land-based activities, including marine debris and nutrient pollution* *6.3.1 Proportion of domestic and industrial wastewater flows safely treated* *6.3.2 Proportion of bodies of water with good ambient water quality* *12.4.2 (a) Hazardous waste generated per capita* *14.1.1 (b) plastic debris density*	
22. Other Divisions/Regional Offices involved[10]	*Ecosystems Division*	
23. Project Executing Partner(s)[11]	*UNEP direct implementation and national partner institution to be identified for the pilot application of the tool*	*National government institution does need Partnership Committee approval*
24. XB Sponsors (cash and in-kind)	*Check all that apply: Government ☒ Strategic Corporate Partners (EU, GEF) ☒ Private sector ☐ NGO ☐ Other UN entities ☐*	
25. Project alignment with UNEP's COVID-19 strategic response	*This project is aligned with Building Block 1: Contribution to the medical and humanitarian emergency phase as the plastic waste in the project also include emergency phase medical plastic wastes.* COVID-19_Building Blocks_20200415-F.c	
26. Publications and communication products	*Will the project produce publications and/or communication products? Yes x No ☐* *If yes, please indicate the typology:* *☐ Flagship and Spotlight/Series* *☐ Technical Reports* *☐ Technical Guideline or manual* *☐x Guideline, handbook, manual, toolkits* *☐ Educational materials* *☐ Project Report and host country agreements etc* *☐ Working Paper and Policy Briefs* *☐ Serial publications such as yearbooks, annual and biennial reports* *Has the concept been submitted to the Publications dashboard? Yes ☐ No x* UNEP Publications Workflows and App	

8 Must be consistent with the Logical Framework.
9 See The United Nations Environment Programme and the 2030 Agenda.
10 Any Division/Regional Office named here must also be reflected in the project workplan and budget
11 A legally recognized non-profit, third-party entity (e.g. national government entities, NGOs, INGOs, United Nations agencies, non-United Nations multi-lateral and inter-governmental entities, academia and research institutions) to which UNEP transfers funds to implement an entire project or significant component thereof, and which is accountable for the achievement of agreed results.

Table 2: Project Duration

Total duration in months (number): 36	Expected start date[12]: (01/09/2023)	Expected end date: (31/08/2026)
Expected Mid-Term Review or Evaluation date (if project is of 4 years or more duration): N/A	**Expected Terminal Evaluation date:** Terminal evaluation is expected as part of the terminal evaluation of One Plastic project (end of 2027)	

Table 3: Budget Summary[13]

Type of funding	Source of funding	Details	Year 2023	Year 2024	Year 2025	Year 2026	Total
Cash	Environment Fund (EF) activity budget		0	0	0	0	0
	Regular Budget (RB) activity budget		0	0	0	0	0
	TOTAL EF/RB BUDGET						
	Extra Budgetary Funding (XB) (posts + non-post + Programme Support Cost (PSC))	Secured (EC)[14]	65000	230000	152290	20000	467290
		Secured (Sponsor 2)					
		PSC Sponsor 1 (7 %)	4550	16100	10660	1400	32710
		PSC Sponsor 2 (%)					
		Unsecured XB funding					
	TOTAL XB BUDGET		**69550**	**246100**	**162950**	**21400**	**500000**
In Kind	Environment Fund post costs						
	Regular Budget post costs						
	Other (include name of donor)	Japanese Government	6520	26070	26070	19550	78210
	TOTAL IN-KIND BUDGET		6520	26070	26070	19550	78210
TOTAL SECURED BUDGET[15]			76070	272170	189020	40950	578210
TOTAL PLANNED BUDGET (secured + unsecured)							578210
Allocation to Regional Offices							

Table 4: Division and Regional Office budget

Regional budget	Office/ Division	Year 2023	Year 2024	Year 2025	Year 2026	Total
	Africa					
	Europe					
	Asia and the Pacific					
	West Asia					
	Latin America and the Caribbean					
	North America					
Divisional budget	Science					
	Economy	69550	246100	162950	21400	500,000
	Ecosystems					

12 The project start date represents the date when the approved project is uploaded in IPMR and project expenditures can start.

13 The summary table can be extracted directly from the Umoja Excel budget template accessible on WeCollaborate. The detailed project budget is to be presented as Annex B and must be consistent with the information in Table 3. The number of years/columns will be defined by the project duration.

14 Rows to be added to include more sponsors and reflect different PSCs as funding is secured.

15 This should exclude any unsecured funding sources and be linked to the results presented in the project logframe.

	Law					
	Communication					

Table 5: Budget for monitoring, reporting and evaluation

		Year 1	Year 2	Year 3	Year 4	Total
Performance Assessment	Mid-term evaluation or review					0
	Terminal evaluation or review					0
Monitoring and reporting		5350	10700	37225	5350	58625

Table 6: Typology of project interventions[16]:

Indicate the typology of project interventions and their levels.

Type	Sub-type	Direct	Enabling	Influencing
A. Intergovernmental process	Conference and secretariat services			
	MEAs			
B. Generation and transfer of knowledge	Scientific networks and publications /Strategic and Science-based policy analysis			
	Coalitions and platforms			
	Seminars, workshops, webinars and training events			
	Technical materials (guidelines, tools, methodologies, standards)	X		
	Databases and substantive digital materials			
C. Technical support, capacity building and advisory services	Policy and regulatory development to mainstream environmental sustainability in decision-making			
	Demonstration and pilot testing innovative solutions and technologies (includes support to Parties of MEAs)	X		
	Scaling up activities with partners such as international organizations, UNCTs, think tanks.			
D. Advocacy and Outreach	Outreach programmes and special events			
	Information materials (press briefs, paper, audio-visual, web, social media)	x		

16 The efficiency and effectiveness of UNEP's interventions will determine the scale and pace of attainment of its strategic objectives. UNEP's interventions take place at three levels (MTS 2022-2025, para. 16):
Direct: UNEP plays a direct role, setting the scene for transformational change through science-driven global advocacy, capacity development and stakeholder mobilization, to upscale innovative solutions through partnerships and networks.
Enabling: UNEP enables others to initiate systemic change by supporting policymaking, changes in behaviours and attitudes, development of norms and standards, and institutional strengthening.
Influencing: UNEP influences others to achieve social, economic and political transformational change through strengthened global norms and standards

1. Project Justification

1.1 Problem and Situation Analysis[17] *(10,000 characters max)*

As UNEP report "From Pollution to Solution: A global assessment of marine litter and plastic pollution" reveals[18], plastic pollution poses threats to human well-being and healthy functioning of terrestrial, freshwater and marine ecosystems. The mismanaged plastic waste has led to the contamination of the entire marine environment, from shores to the deepest ocean sediments.[19] Plastics account for at least 85 % of the total marine waste. When microplastics are ingested by marine life, they can alter the reproductive success and survival of marine organisms and compromise the ability of keystone species and ecological "engineers" to build reefs or bioturbated sediments.[20] As a consequence of population growth, overconsumption and tourism, the generation of plastic waste is also surging across mountains, endangering freshwater resources and other ecosystem services, therefore posing serious risks for downstream regions. Microplastics can travel long distances and have been detected in mountain regions across the world, for instance at 8,400 metres above sea level on Mount Everest, in snow, soils, freshwater lakes and glaciers in the Alps and Pyrenees and in rain in the Rocky Mountains.[21] The impacts of plastic pollution disproportionately affect the most vulnerable populations and are gender dependent, especially people whose livelihoods rely on coastal and marine ecosystems. The economic and social costs of marine litter and in-land plastic pollution also include indirect costs, such as making coastal cities less attractive, disrupting tourism and causing the decline of coastal fisheries and aquaculture[22].

The marine environment is considered to be a major depository of plastic pollutants. Plastic pollutants are transferred through river systems and atmospheric movements before reaching the marine environment. Of particular importance is transfer of plastic pollutants through the hydrological cycles, meaning plastic pollutants originating from land-based human activities in inland water catchments, being transported through rivers and other inland systems and reaching the marine environment.

Along the plastic life cycle, plastics leak to the environment from different sources including production, manufacturing, transport, distribution, consumption and improper and unsustainable solid waste and wastewater management and treatment practices. A lack of environmentally-sound solid waste and wastewater management systems is linked with regulatory frameworks, deployment of appropriate technologies, waste recycle system, and institutional and human capacity. In order to address these solid waste and wastewater management issues, the starting point should be to identify, quantify sources and forms of plastic waste that enter the environment so that action can be designed and taken to address priority sources and leakages of plastic pollution.

As per the above-mentioned UNEP report, much of marine plastic pollution originates from land-based human activities, although there are regional differences in the percentage of land-based source of plastic pollution

---

17 In this section, you are expected to explain the situation analysis for all those who could be affected, positively and or negatively. Ideally, such problem analysis should be the product of a participatory process involving all project stakeholders. As you progress, you will need to check that these stakeholders remain relevant depending on the chosen intervention strategy. The full analysis in terms of their involvement is to be discussed in the following sections. For further guidance, refer to the UNEP Programme Manual.

18 https://wedocs.unep.org/bitstream/handle/20.500.11822/36963/POLSOL.pdf

19 United Nations Environment Programme (2021). Drowning in Plastics – Marine Litter and Plastic Waste Vital Graphics. At https://www.unep.org/resources/report/drowning-plastics-marine-litter-and-plastic-waste-vital-graphics

20 United Nations Environment Programme (2021). From Pollution to Solution. A global assessment of marine litter and plastic pollution. Nairobi. At https://www.gdr-po.cnrs.fr/docs/UNEP_2021.pdf

21 Basel Convention Secretariat, GRID-Arendal, UNEP & UIAA (2022). Policy brief – Keeping our mountains plastic waste free. September 2022. https://url.grida.no/3CjQ2mF

22 United Nations Environment Programme, & United Nations Human Settlement Programme (2021). *Global Environment Outlook for Cities – GEO for Cities: Towards Green and Just Cities*. https://wedocs.unep.org/20.500.11822/37413.

against the total plastic pollution in the marine environment. Much of the land-based plastic pollution has been channeled through rivers and wastewater systems to reach the marine environment[23].

Based on the alarming current and future potential impacts of plastic pollution on aquatic ecosystems and human health, many of the governments and other stakeholders started paying attention to plastic pollution and designing programmes to address major land-based and water-based sources of plastic pollution in the aquatic environment. In order to set priorities in addressing major sources, it is crucial to identify locations and human activities that discharge plastic contaminants into the aquatic systems. Based on the identified major sources, priority action can be designed to address these sources.

River basin and coastal management organisations developed and adopted a strategic approach to address major sources of pollution. The Global Programme of Action for the Protection of the Marine Environment from Land-based Activities advocates such an approach, through development and implementation of the National Action Plans. In establishing national plans/programmes, freshwater/marine pollution source inventories or hotspot lists are produced to guide necessary interventions to identified major sources/hotspots as well as human activities in these sources. Concerning nutrients – priority aquatic environment contaminant, there are already programmes developed to address major sources of nutrient pollution and differentiated approaches to types of sources (mainly agricultural activities and wastewater management).

Plastics is used for many products necessary for human daily life as well as human productive activities. Given plastics is used in wide range of human activities as well as almost all aspects of human life, the sources of plastics entering into the environment are wide ranged. Plastics leak to environmental media from a variety of sources with some sources not clearly recognized or not being quantified. The nature of the plastic use and wide range of plastic leakage to the environment poses challenges to identify and quantity sources of plastic pollution and to set up prioritized and differentiated action to address a range of human activities or sector activities associated with these sources.

The underlining problem is that given the complexity of plastic pollution with diverse sources, multiple pathways as well as a variety of plastic polymer types, **there has not been a tool to identify and quantify sources and leakages to the aquatic environment**, which can be practically applied without relying on physical models and complex algorithm and which can be used to assess plastic pollution sources in a comprehensive manner. The marine environment is a major depository of plastic contaminants and inland water systems are a major contaminant transfer pathway[24]. Without a tool to identify and quantify land-based and water-based sources of plastic pollution, comprehensive programmes to address and combat aquatic plastic pollution with timebound targets, baseline situation and costed and prioritized source-based action cannot be established.

The impacts of plastic contaminants on aquatic biota, aquatic foods and ecosystem functions are documented[25]. The international community started monitoring the concentration, size and polymer types of plastic contaminants in the aquatic media, including their movement in the aquatic environment. These monitoring systems include: Global Environment Monitoring System-Water (GEMS-Water), Global Environment Monitoring System – Ocean (GEMS-Ocean), river basin organization pollution monitoring programmes, as well as regional seas monitoring programmes[26]. However, without comprehensive source inventories and

---

[23] From Pollution to Solution: A global assessment of marine litter and plastic pollution https://www.unep.org/resources/pollution-solution-global-assessment-marine-litter-and-plastic-pollution

[24] From Pollution to Solution: A global assessment of marine litter and plastic pollution https://www.unep.org/resources/pollution-solution-global-assessment-marine-litter-and-plastic-pollution

[25] Impacts of Marine Debris on Biodiversity: Current Status and Potential Solutions. CBD Technical Series No. 67 https://wedocs.unep.org/handle/20.500.11822/32622;jsessionid=A818AB178128446858286CCA57AA064E

[26] GEMS-Water https://communities.unep.org/display/gemswater

GEMS-Ocean https://www.unep.org/explore-topics/oceans-seas/what-we-do/ocean-and-coastal-observations

quantified sources of plastic contaminants, comparison between the source data and in-water monitoring data is difficult.

There are many existing assessment tools already developed under the UNEP framework. UNEP International Environmental Technology Centre (IETC) published "Converting Waste Plastics into a resource – assessment guidelines[27]" which shows the way plastic waste assessment should be carried out. UNEP, IUCN and Life Cycle Initiatives developed the National Guidance for Plastic Pollution Hotspotting and Shaping Action[28] and associated models to be applied to the whole lifecycle of plastics. This document provides a methodology for countries to identify plastic leakage 'hotspots', find their impacts along the entire plastic value chain, and then prioritise effective actions to stop the leakage at each hotspot[29]. The Guidance takes a holistic approach, covering major types of plastic polymers and products, as well as their leakages and impacts along the full value chain. It has been tested in more than eight countries (Kenya, Mozambique, South Africa, Thailand, Viet Nam, Cyprus, Menorca (Spain) and Tanzania). The proposed guidelines are emanating from this guidance document and will focus on downstream in the plastic life cycle where much of plastic waste enters the environment[30].

UNEP-implemented CounterMEASURE I and II projects developed a framework for plastic leakage detection along rivers to identify high risk products and locations using microplastic sampling, geospatial information analysis, and Artificial Intelligence-based image recognition. Under the Basel Convention, Practical Guidance on the Development of Plastic Waste Inventories was developed[31].

UNEP already developed "Monitoring Plastics in Rivers and Lakes: Guidelines for the Harmonization of Methodologies[32]". The monitoring of plastics in freshwater environment needs to be clearly linked with the source/leakage information/data to increase the accuracy of such information. European Commission Joint Research Center (JRC) and University of Cadiz developed a tool to track the movement of marine litter in the Mediterranean[33].

As decided by the fifth session of the United Nations Environment Assembly (UNEA-5, Resolution 5/14[34]), the process to negotiate an international legally binding instrument to end plastic pollution, including in the marine environment, was launched by establishing an International Negotiating Committee (INC) which started its work in November 2022. In the meetings of the INC, the Member States will discuss objectives and scope of the new instrument, as well as legally binding and voluntary obligations that address plastic pollution, based on the scientific data and information available. Currently at the national level, particularly in developing countries, there is still limited data and information on how much of plastics enter the environmental media as pollutants and how much of it can be addressed in which future timeline through which measures. This is caused by lack of coordinated data collection, lack of established methodologies to assess sources and quantify pollution loads, lack of capacity and resources to collect and analyse data and information.

An example of a river basin monitoring programme is presented: https://www.mrcmekong.org/our-work/functions/basin-monitoring/water-quality-monitoring/ for the Mekong River Commission

Another example for the Danube transboundary water quality monitoring network is presented: https://wq-db.icpdr.org/

An example of the regional seas monitoring programme is the Mediterranean Integrated Monitoring and Assessment Programme: https://www.unep.org/unepmap/what-we-do/monitoring-and-assessments

Another example is the Northwest Pacific Action Plan Pollution Monitoring Programme: https://www.unep.org/nowpap/news-and-stories/story/advancing-regional-cooperation-pollution-monitoring

27 https://www.unep.org/resources/report/converting-waste-plastics-resource-assessment-guidelines

28 https://wedocs.unep.org/bitstream/handle/20.500.11822/33166/NGP.pdf?sequence=1&isAllowed=y

29 https://plastichotspotting.lifecycleinitiative.org/

30 https://countermeasure.asia/

31 https://

32 https://wedocs.unep.org/bitstream/handle/20.500.11822/35405/MPRL.pdf

33 https://joint-research-centre.ec.europa.eu/jrc-news/new-tool-track-plastic-pollution-mediterranean-sea-2019-10-22_en

34 https://wedocs.unep.org/bitstream/handle/20.500.11822/39812/OEWG_PP_1_INF_1_UNEA%20resolution.pdf

The problem tree analysis is presented below.

In the pilot country, Kenya, plastic pollution remains a critical environmental issue despite the plastic bag ban, ban of certain types of single use plastics in national parks and any other relevant measures. Kenya has long struggled with plastic waste, which dots its Indian Ocean coast and often abounds in its lakes. In Mombasa, the country's second-largest city with around 2 million residents, it is estimated that 3.7 kilos of plastic per capita leach into bodies of water annually[35]. Plastic pollution sources from production, product manufacturing, and transport are not accounted for in this estimate.

The production of plastic products has increased over the past decade. Nairobi with a population of approximately 4.4 million generates more than 3,085 tonnes of solid waste every day, 8% of which is plastic[36].

Despite the effort to collect plastic waste data at the city levels, data on non-waste sources have not been compiled and not all the plastic pollution sources have been identified.

In Kenya, the Kenya Plastic Action Plan of which development was led by the Kenya Association of Manufacturers was published. This Action Plan is based on the lifecycle assessment methodology, focusing on the production sector. The Kenya National Action Plan on Sea-based Sources of Plastic Pollution covers the sea-based sources of plastic pollution, although UNEP assesses most of the plastic pollution comes from land-based sources in Kenya. The application of the toolkit to be developed under the project would comprehensively gather all sources of plastic pollution in the aquatic environment based on these action plans.

UNEP-UN-Habitat conducted the county-based source inventory work (in four counties in Kenya), which focused on waste sources. It was clearly recognized that a comprehensive source inventory tool would be needed and Kenya would benefit its application to develop a comprehensive plastic pollution source inventory.

The Kenya Plastics Pact aims to further eliminate unnecessary or problematic single-use plastic packaging items through redesign, innovation, and reuse delivery models, ensure that at least 40 percent of plastic packaging is recycled and have at least 15 percent average recycled content across all plastic packaging by 2030.

[35] Data by the UN Human Settlement Programme.

[36] Data by the UN Human Settlement Programme.

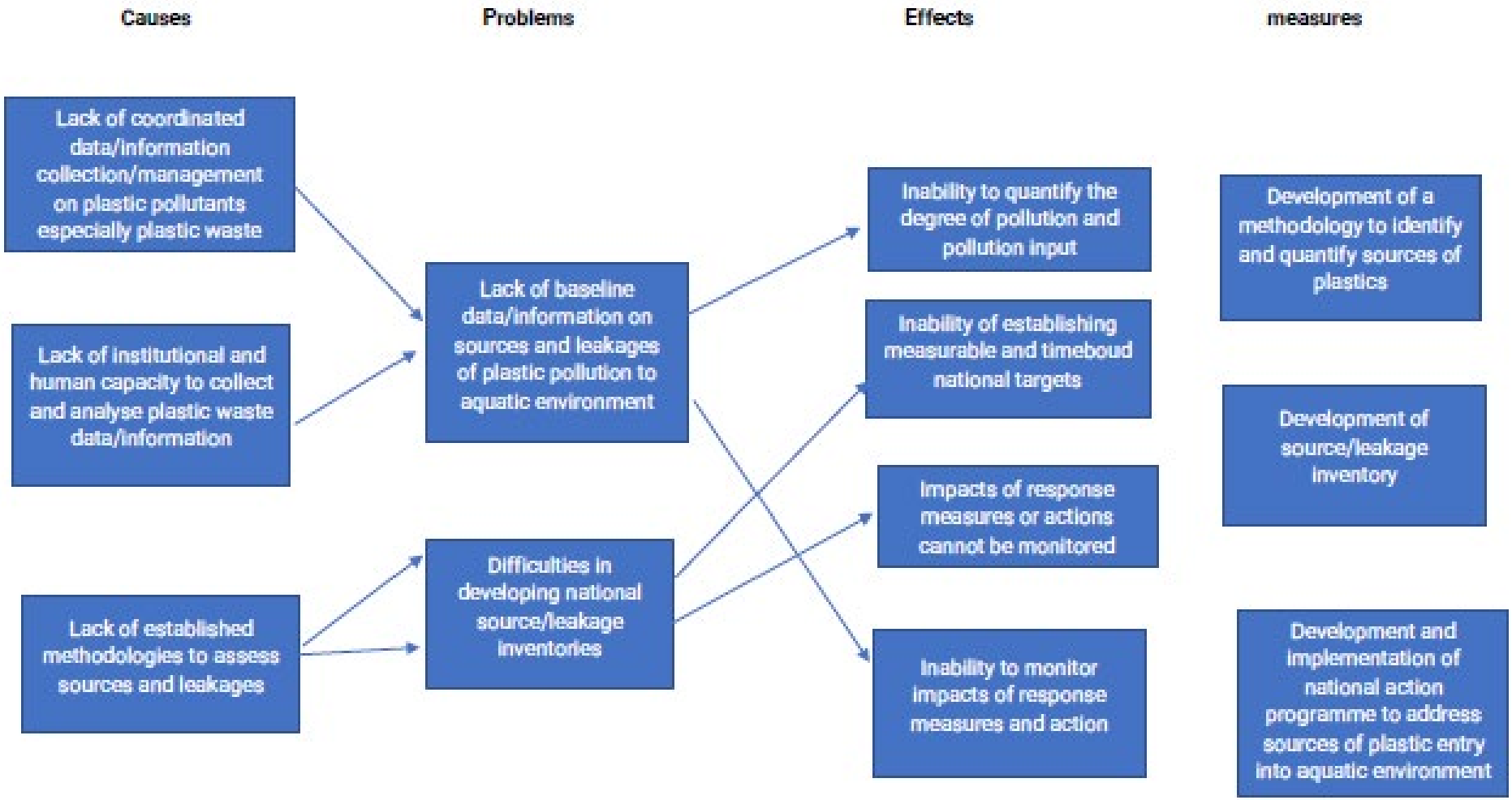


Diagram 1: Problem Tree Analysis

2. Intervention Strategy

2.1 Project Description

Under this project, all sources of plastic pollution in aquatic environment (both land-based and water-based) will be targeted. Information on water-based sources assessment will be sought from mechanisms such as MARPOL Convention, lake basin organisations and regional fisheries bodies.

The project will be linked with the other ongoing projects in UNEP. The above-mentioned life cycle hot spot analysis guidance will lay a basis to connect the proposed plastic waste focused methodology with the wide lifecycle analysis. The digital platform of the Global Partnership on Marine Litter contains data on major pollution sources as well as available methodology for assessment of pollution sources.

Based on the UNEA Resolution 5/14 End Plastic Pollution: towards an international legally binding instrument whereby the Member States agreed to start a process of an international negotiating committee, it is expected that Member States will, among other things, consider national action plans to address plastic pollution. They clearly identified that science-to-policy interface is an important element and science-based action programmes will be highly encouraged. **This project is to address such needs and priorities of Member States.**

In the project implementation, scientists, waste management experts/practitioners, data management experts will be the stakeholders for the toolkit development. During the application of the methodology in the selected pilot country, a wide range of stakeholders will be engaged, including but not limited to: government officials, water managers, universities and academia, women and youth, waste managers, waste recycling industry, and informal sector.

The toolkit to be developed will include how to collect data and information associated with the engagement of the informal sector (waste pickers), especially women, as they are involved in specific waste management activities. These activities should be clearly identified in the methodology application process.

The project takes a broad approach of human rights to healthy environment. For example the areas such as those whose health and livelihoods are negatively affected by plastic waste management, work conditions of informal waste pickers and recyclers, may be included in this consideration.

The project adopts the following approaches:

1. A science -based approach to develop a practical toolkit for identifying and quantifying generation of all plastic pollution sources in the aquatic environment. Based on the previous research results and modelling analyses to develop a toolkit.

2. A source-to-sea approach to assess the movement of plastics from land-based and water-based sources through water systems to the marine environment The marine environment is a major depository of plastic contaminants and by taking the source-to-sea approach the project will address plastic pollution sources in the inland water catchment, pollution in inland water bodies and in coastal and marine systems.

3. A toolkit will be developed to allow use by wider stakeholders and inclusive participation in its application.

The project will address the lack of baseline data and information on plastic pollution entering into the aquatic environment to develop comprehensive aquatic plastic pollution abatement programmes. **The objective of this project is to establish a practical methodology to identify and quantify sources of plastic pollution in the aquatic environment.**

The project will develop a practical toolkit to identify and quantify sources of plastic in aquatic environment from all sources (both land-based and water-based). There are several physical models and methodologies (some of them mentioned in the preceding section), but **there is no standardised tool to use for the countries and other stakeholders to develop an appropriate inventory of sources of plastics entering the aquatic environment**. The

project will test the application of such a toolkit in the selected pilot countries - Kenya to establish a national level source inventory of aquatic plastic pollution, which would potentially be used to set national targets for addressing plastic pollution. The project will take a strategy to test apply a developed toolkit to the situation of Kenya. The application results and experiences will be fed back to the modification and reinforcement of the toolkit.

This project is based on the expertise developed by the UNEP International Environment Technology Centre where waste assessment methodologies have been developed. Further it also relates to the work of UNEP Marine Litter programme in the Ecosystems Division, as well as the Global Environment Monitoring System (GEMS) in the Science Division. Furthermore, the project is based on the expertise and experiences of the water and marine programmes of the European Commission Directorate-General for the Environment (DG-Environment F1, C1, C2 and C3 Units).

2.2 Theory of change

The Theory of Change diagram is presented below. This project outcome will contribute to Output 3 of the Mother umbrella project: One UNEP Plastic project on Accelerating a Global Circular Plastic Economy to Reduce Plastic Pollution and its Impacts. **The project is aimed at producing three outputs**:

(i) a toolkit to identify and quantify sources/leakages of plastic waste entering aquatic environment;

(ii) source/leakage inventory of plastics entering the aquatic environment in Kanya applying the toolkit, and

(iii) communication and visibility of the project results through the existing water agreements and a future legally binding agreement on plastic pollution.

These three outputs will contribute to the expected outcome of the project: information on sources/leakages of plastics entering aquatic environment is available and used to establish baselines/targets/objectives within aquatic plastic pollution management programmes. The underlying assumption to produce the Outcome is that: (i) there is a sufficient scientific basis to develop a practical toolkit; and that (ii) interests of Member States and communities to use the toolkit are well expressed and linked. The drivers that are external factors influencing achieving the outcome are two-fold: Increasing plastic waste; and Increased use of plastics for human lives.

The project will start with the existing methodologies and tools. There is a planned initiative in UNEP to clarify and compare their scope and applicability. The developers and users of these methodologies and tools will be involved in this project. Further interested member States, private sector and NGOs will also be invited to join this project. It is suggested to form a working group to develop a toolkit with the participation of these stakeholders.

The project's expected outcomes are: (i) member states establish national measures to control input of plastics entering the aquatic environment; (ii) member states compare source information with monitored plastic data in aquatic environments; and (iii) member states consider the toolkit for future plastic pollution assessment.

<u>Output 1: A toolkit is developed to identify and quantify sources/leakages of plastics entering the aquatic environment</u>

Under this Output, a mechanism will be established to develop a toolkit to identify and quantify sources and leakages of plastics. The toolkit will target all sources such as plastic production processes, product manufacturing processes, transportation of plastics and associated products, household, plastic waste littering, plastic waste collection and transport, plastic waste dumping or landfilling, plastic and associated product recycling, ship based plastic waste dumping, other plastic from ships or sea-based platforms. **The toolkit aims at developing guidelines to assess the land-based sources/leakages within river/lake basins and/or defined coastal areas** (direct discharge of plastics into the coastal waters) or sea/water-based sources. The toolkit is for rapid assessment of the sources and quantity of plastics input into the aquatic systems.

Amounts of plastics entering the aquatic environment may be relevant to the level of vicinity of the sources from the aquatic environment. Some of the plastics, such as microfibre, would be transported through atmosphere and deposited upon the surfaces of the aquatic bodies.

There are several modelling-based assessment methodologies developed and applied to a number of river basins. Under this project the toolkit to be developed would be based on the results of the previous modelling-based assessment in a number of river basins to identify and estimate the amount from land-based sources.

UNEP will recruit a consultant to coordinate the development of the toolkit as well as actually develop and write guiding document for the toolkit.

Activity 1.1 Organisation of working group meetings

A working group, comprised of assessment experts, modellers and pollution control experts will be formulated. Members will include assessment experts from the river basin organisations/regional seas programmes, which have experiences in identifying and quantifying plastic pollutants entering the freshwater/marine environments. The meetings of the working group will be organised three time during the tool development through either physical or online meetings, but some work will also be conducted between the meetings. One more meeting will be organised during the application of the developed tools to get feedback from the application process to improve the toolkit. Members of the working group will be selected taking into consideration the areas of their expertise, regional balance and gender balance and ensuring that developing country situations are fully considered. The Joint Research Centre of EC and European Investment Bank will also be invited to participate in the Working Group.

Activity 1.2 Compilation of existing methodologies and models

The initial activity is to collect information on the existing methodologies and models and their application results. The consultant through the working group will be tasked to do so. In 2022, UNEP organised a workshop on harmonising models to assess the sources for developing source inventory, and the results of the workshop will be used for the benefit of this project. Further there is research which analyses the amount of plastic entering into the aquatic environment. Compiled information will be summarised in a publicly available report.

Activity 1.3 Development and finalisation of a target toolkit

The toolkit will be developed through the working group deliberations. The consultant recruited will be tasked to coordinate input from the working group and prepare a draft of the toolkit for working group discussion. The draft will be developed based on the existing methodologies and their application results as well as the results of independent research. The aim of the toolkit is to identify geographical locations of plastic pollution sources/leakages and types of human and industry activities in those locations (both point and non-point sources). Furthermore, the toolkit will estimate quantity or concentration of plastics coming from the identified sources. Major sources may include but not limited to: plastic production, plastic product production, urban areas where waste collection systems exist, residential areas where no waste collection is practiced, waste dumpsite, waste sanitary landfill, ships, water-based platforms, plastic or plastic waste transportation, and plastic recycling.

The toolkit will be web-based for the ease of toolkit use and transparency so that data input and result extraction can be done easily. The online-based tool can easily be used for capacity building purposes.

Output 2: Source/leakage inventory of plastics entering the aquatic environment prepared in Kenya by applying the toolkit developed

The developed toolkit will be test-applied in Kenya. As a result of application of the toolkit, an inventory of plastic pollution sources with estimated quantity/concentration of plastics entering the aquatic environment from each source. Further analysis will also be carried out to identify pollution source hotspots (major sources), possible measures to reduce pollution from sources, and possible pollution abatement strategies.

Activity 2.1 Identification of a pilot country

Kenya has been identified as the pilot country to apply the toolkit to be developed under this project. Kenya meets the above criteria as follows:

1. Kenya already showed willingness to develop a comprehensive national action plan on plastic pollution further to the industry based plastic action plan. Kenya also expressed its intention to develop a national action plan on marine litter, also based on the action plan to address sea-based source of marine litter.

Please see more detailed description under section 1.1. Kenya is a strong contributor to the INC process, including hosting of the third meeting of the INC.

2. Kenya is one of the priority countries under the UNEP Plastic Initiative and is expected to implement UNEP-supported activity to develop a national action plan on plastic pollution. Kenya is also a priority country for EU to implement circular economy activities. In Kenya, the EU-funded project, GO Blue is under implementation, a component of which is implemented jointly by UN-Habitat and UNEP. Within this component, both UNEP and UN-Habitat are implementing solid waste management activities in Taita Taveta County.
3. Circular Economy has been identified as one of the priority areas by the UN Country Team. Resident agencies are moving towards joint programming to work in this priority areas and plastic will be possibly included in such a joint programme.
4. UNEP Headquarters is based in Nairobi, Kenya and UNEP can use its capacity to monitor the progress in the implementation of the pilot application easily.

Activity 2.2 Participatory data collection

In order to apply the toolkit, data and information will be necessary. Since the toolkit will be a rapid assessment tool, principal information on the locations of plastic/plastic product factories and production level, plastic waste collection level in the municipalities, areas of plastic waste littering, open dumpsites (structure and amount/types of plastic waste dumped), landfill sites (structure and plastic waste amount and types), plastic recycling and re-processing factories and sizes of operation and technologies used). These data will be collected by the national project team with the participation of students, youth and other stakeholders. Remote sensing data may be used to support the data collection activities.

Activity 2.3 Application of the toolkit

Based on the data collected, the toolkit would be applied with resulting quantities of plastic entering the aquatic environment, so that an inventory of the sources of plastic pollution would be prepared. In preparing the source inventory, recommendations will be prepared on necessary measures to address each of the major sources and necessary strategies to address pollution sources. If possible, the source inventory data will be compared with actual plastic monitoring data in the water bodies. The results of the application of the toolkit would be included in the GIS system. The UNEP MapX system may be used for this purpose[37].

Output 3: Outreach and advocacy of the project results through the existing water agreements and ongoing process of negotiating a legally binding instrument to end plastic pollution.

The toolkit to be developed should be a useful tool to set up a national-level source inventory and further national level strategy/action plan to protect the aquatic environment from plastic pollution under the existing river basin organisations, the existing transboundary river/lake basin organisations, regional seas programme, national marine offices, regional fisheries bodies. The objective of this Output is to advocate the usefulness of the toolkit under the national pollution control programmes, national river basin programmes, transboundary river/lake basin organisations, national marine pollution programmes, regional seas/regional fisheries bodies.

Further outreach would be carried out to the meetings of the contracting parties to: (i) the international transboundary water course conventions, such as the 1997 UN Convention on the Law of the Non-Navigational Uses of International Watercourses and Helsinki Convention on the Protection and Use of Transboundary Watercourses and International Lakes; (ii) transboundary river/lake basin conventions/agreements, such as the Convention on Co-operation for the Protection and Sustainable Use of the River Danube and the Convention and Statutes relating to the Development of Chad Basin (Fort Lamy Convention); (iii) regional seas conventions, such as the Nairobi Convention for the Protection, Management and Development of Coastal and Marine Environment of the Western Indian Ocean region and the Cartagena Convention for the Protection and Development of the Marine Environment of the Wider Caribbean Region; and (iv) regional fisheries management agreements, such as Nauru Agreement Concerning Cooperation in the Management of fisheries of Common Interest and the General Fisheries Commission for the Mediterranean.

Of importance is outreach to the UN Member States participating in the International Negotiating Committee (INC) of a legal instrument to end plastic pollution.

Activity 3.1 Development of information materials

[37] https://unepgrid.ch/en/mapx

Communications materials will be developed. These include but not limited to introductory leaflet of the toolkit, dedicated website of the toolkit, materials on the pilot application results.

Activity 3.2 Organisation of events on key occasions

Using the outreach/advocacy materials, UNEP and EC will proactively organise events on the occasion of the UN meetings, water convention meetings of contracting parties, regional seas convention conference of the parties, etc.

Activity 3.3 Dissemination of outreach/advocacy materials

A dedicated website will be developed to disseminate information on the project, toolkit and toolkit application. Furthermore, these materials will be disseminated through UNEP's and EC channels.

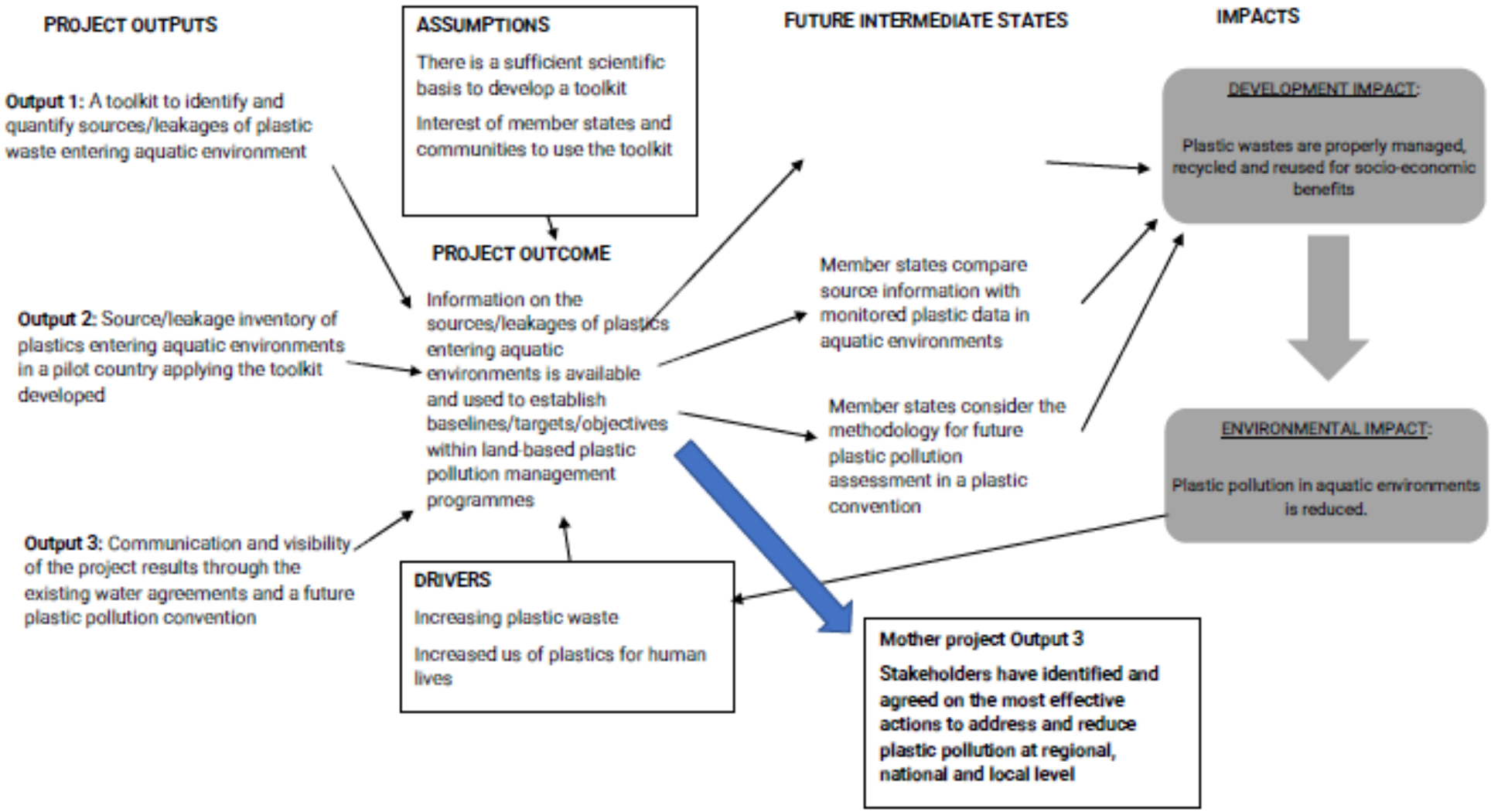


Diagram 2: Project Theory of Change and linkage with the Mother project

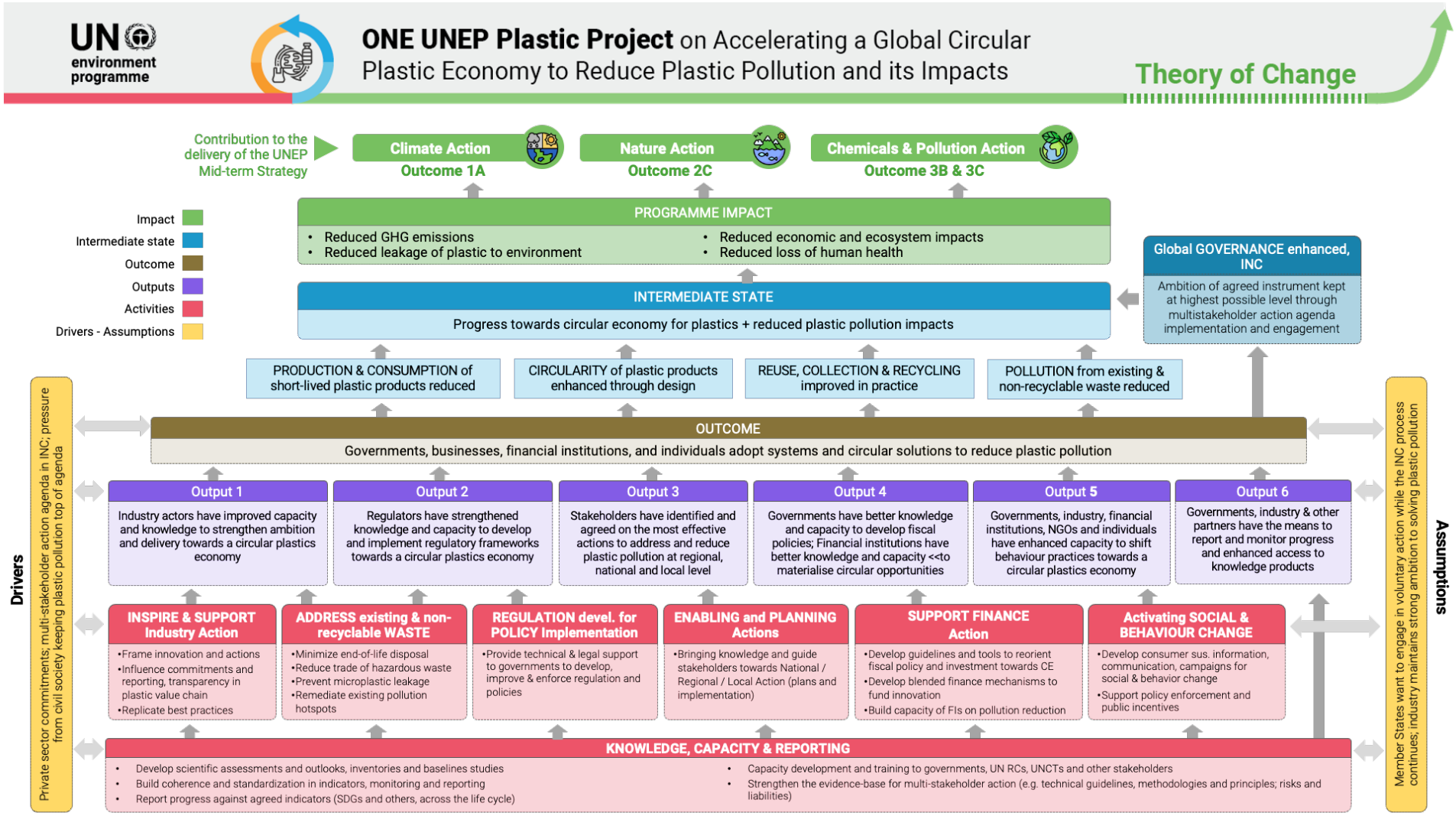
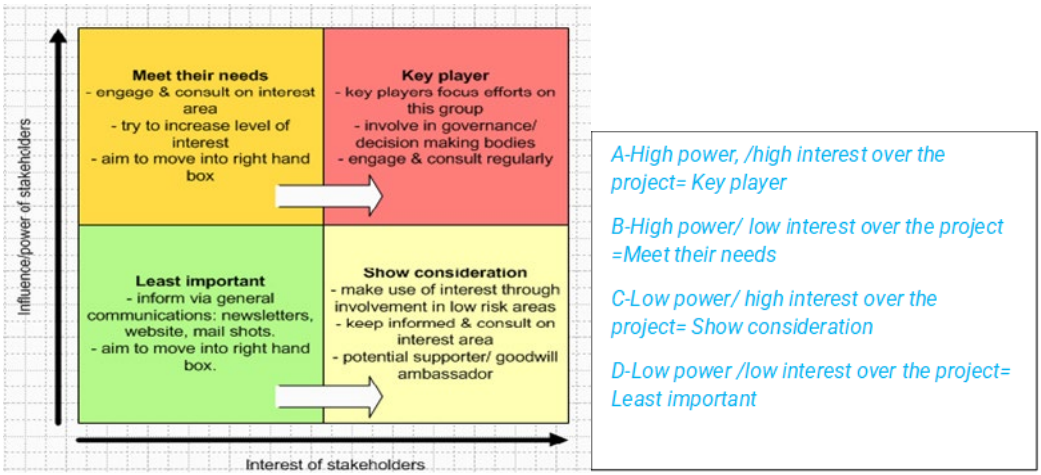


Diagram 3: Mother Project Theory of Chane

2.3 Stakeholders (10,000 characters max)



The project stakeholder analysis is presented below.

Under the component of the project on pilot application of the toolkit, data and information would be collected from the Kenya Plastic Action Plan and National Action Plan on Sea-based sources of Plastic Pollution. Further, UNEP will work with the Kenya-based organisations, such as the Kenya Association of Manufacturers, Kenya Private Sector Association, WWF-Kenya, National Environment Management Authority, University of Nairobi, Kenya Resource Efficiency and Circular Economy Group, and Nairobi Convention secretariat.

Stakeholders[38]	Explain the power they hold over the project results or implementation and their level of interest in the project	Explain their participation in project design and how their concerns are addressed by the project[39]	Explain the potential roles & responsibilities in project implementation	Explain how they will be engaged	Explain the changes in behaviour or condition expected through implementation of the project[40]
Type A: High power / high interest = Key player					
Governments (in Kenya, National Environment Management Agency)	They are the key stakeholders to use the toolkits eventually, and they will express their needs to develop a toolkit and how they would like to use.	During the INC process, they will express their need to have guidance document to develop the plastic pollution source inventory within the framework of a future legal instrument. The expressed needs will be reflected in the toolkit design. A national government will participate in the pilot application of the toolkit.	Their roles will be to review the toolkit and test apply the toolkit. In the application of the toolkit, their will be responsible for collecting data and information necessary to apply the toolkit.	They will be involved in the review mechanism. A pilot country government will directly apply the toolkit.	The way the government assess the sources of plastic pollution possibly leading to an improved way of setting up sector based strategies to address sector-based pollution sources.
Research institutions (in Kenya, Kenya Marine Fisheries Research Institute, University of Nairobi)	A toolkit will be developed based on the science and on the previous research results. Research institutions can influence the methodology to be developed for the toolkit.	They will be part of the design of the process of developing the toolkit.	Their role will be to bring the research results of quantity of plastic entering the aquatic environment, and verify scientific vigorousness of the toolkit	They will participate in the working group.	The approaches to assess sources of plastic pollution in aquatic media.
Type B: High power / low interest over the project = Meet their needs					
Donors	The assessment results of the plastic pollution sources will direct donors to address major sources of plastic pollution and they could influence how the	Donors participated in the design from the perspective of their future use of the toolkit.	They provide financial or in-kind contributions to project activities	They participate in the working group.	The toolkit is expected to change the way to set direction for them to allocate future investment and financial support to address

38 Where possible include names, position and contact information.
39 The full project design process needs to be explained in Annex E.
40 Project outcome(s) presented in the Logframe should capture the expected change in behaviour or condition illustrated here.

	toolkit could be designed in the manner the toolkit application results could guide donors to invest in where and for which human activities.				major sources of plastic pollution.
Type C: Low power / high interest over the project = Show consideration					
River basin organisations and coastal management organisations (in Kenya Athi River Development Authority, Nairobi River Commission)	They can show interest in future use of the toolkit and what toolkit could be useful to set up their pollution programmes or action plans.	They provide input on their current practice to assess sources of plastic pollution.	Their role will be to share their existing methodologies and practices to develop plastic pollution assessment protocols (land-based and water-based sources).	They will participate in the working group.	Their way of assessing the sources of plastic pollution will be changed.
Plastic product production companies and waste management companies (plastic producers, Taka Taka Solutions, Mr. Green, etc.)	They can control leakage of plastic throughout their production cycle and waste management cycle. They also possess data on plastic product production, recycling and plastic waste.	They provide data and information on plastic production, product production, and plastic waste and recycling.	Their roles will be to verify the methodology to quantify actual sources of plastic pollution through the production processes and plastic waste sector.	They may be invited by the working group to provide data. They will also be invited to participate in the pilot application in the pilot country.	Based on the data on plastic leakage from the production process, they may introduce less leakage production processes.
Type D: Low power / low interest over the project = Least important					
Non-governmental organisations (community based organisations in Kenya)	They may be assisting the application of the toolkit in the future and they may express how best a toolkit to be developed would be applied in the actual field.	They participate in the design of the process to develop a toolkit.	Their role will be to review the draft toolkit from the perspective of the ease of future application.	They will participate as peer-reviewers.	Their way to assess community-based action needed to address plastic pollution will be changed.

2.4 Project Management Risks[41]

Using the problem and situation analysis and assumptions in the Theory of Change (ToC) as a starting point, the potential management risks of the project are identified and described in Table 8 below. The identified risks have corresponding mitigation or management actions to avoid or minimize them. Risk management activities and related resource requirements are considered in the project workplan and budget.

2.5 Environmental and Social Safeguard Risks

This project is an global normative project in which a toolkit is developed. The environmental and social safeguard risks related to this project mainly are related to the application of the toolkit in a pilot country. In a pilot country where the toolkit will be applied, there will be stakeholder involving data collection and source inventory making, no specific environmental, social or economic impacts (negative or positive) are envisaged. Annex D presents the safeguard analysis.

41 Please refer to the Project Risk Management section of the Programme Manual

Table 8: Project Management Risks

	Risk Description/ Analysis	Category	(I) Impact Severity (1-5)	(L) Likelihood (1-5)	(I x L) Overall Risk rating	Risk Management Strategy & Actions[42]	By When/ Whom?
1	*Scientific evidence does not provide enough basis to establish an assessment methodology*	*Scientific*	*3*	*2*	*6*	*Enough scientific and research results will be collected at the onset of the project through the scientific network.*	Within six months of the project implementation by Project Manager
2	A pilot country Government's willingness and commitment to apply the toolkit will not be maintained.	Political	4	2	8	A pilot country will be selected based on some criteria, including political commitment and stability to continuously apply the toolkit.	Before starting the Output 2 activities by project manager.
3	*Financial resources for the project may not be sufficient*	Financial	*2*	*1*	*2*	Careful budget planning at the onset of the project.	Inception phase of the project by roject manager.
4	Lack of efficient fund management at UNEP causing delays (e.g. when receiving funds, doing payments and budget revisions) and interruptions (e.g. end of year breaks) during the project implementation	Organizational	*3*	2	*6*	Through monthly monitoring, prevent the risks of delays and address well in advance the administrative requirements such as budget revisions, donor agreements, internal reporting and reporting to donors, post creations, and financial statements from partners. Prioritize the finance and administrative management aspects.	Throughout/ Project manager
5	*The Plastic INC processes decide on the scope of a new legal instrument which may not be relevant to the toolkit*	*political*	*3*	*1*	*3*	*Information from the INC processes should fed into the project implementation.*	*Throughout/Project manager and supervisor*
6	*A pilot country is unable to provide/collect data and information to be used for the application of the toolkit.*	*Data and information*	*3*	*2*	*6*	*There should be stakeholder workshop designed and organised to collect necessary information.*	*Output 2 implementation/ project manager*

42 Risk management strategies need to be reflected as activities in the workplan and related budget, and when necessary through specific outputs in the logframe.

2. Results Targeted

2.1 Logical Framework

Table 9: UN Environment Programme Logical Framework

Project Objective[43]**:**		**Relevant Programme of Work Outcomes:** *Insert the Outcome(s) and indicator(s) from the Programme of Work to which this project directly contributes*[44]		**Subprogramme**: *Check all that apply:* *Climate Action* ☐ *Nature Action* ☐ *Chemicals and Pollution Action* ☐ *Science-Policy* ☐ *Environmental Governance* ☐ *Finance and Economic Transformations* ☐ *Digital Transformations* ☐
1. Project Outcome	**Indicators**[45]	**Relevant PoW Outcome(s) and indicator(s)**[46]	**Relevant SDG target(s) and indicators**	**Outcome risks**
information on sources/leakages of plastics entering aquatic environments is available and used to establish baselines/targets/objectives within aquatic plastic pollution management programmes.	*The number of cases where the toolkit is used to generate baseline information on the sources of plastic pollution in the aquatic environment as a basis to develop pollution abatement programme (Baseline: 0; 2026 Target: 1)*	*PoW Outcomes 3B and 3C and Pollution and Chemicals Action indicators (ii) and (iii) (please see Table 1 on the cover page)*	*SDG6.3, SDG12.4 and SDG14.1* *SDG indicators 6.3.1, 6.3.2, 12.4.2 (a), and 14.1.1 (b) (Please see Table 1 on the cover page)*	*The toolkit can be a complex tool that may not be easily deployed by stakeholders.*
Project outcome milestones ***(specify which indicator each milestone refers to)***			**Milestone attainment date**[47]	
M1: The information on existing methodologies and tools are collected and analysed			*December 2023*	

43 The project objective is the intended physical, financial, institutional, social, environmental, or other development result to which the project is expected to contribute. The project objective should be obtained from either: the Intermediate state of the project's ToC; the 2025 PoW Outcome to which it best contributes to, or alternatively, the Direct Outcome of the PoW, if pertinent.

44 For projects with more than one relevant PoW outcome indicator, there should be at least one outcome indicator for each of the relevant PoW outcome indicators.

45 Relevant projects that have a spatial information management plan need to include at least one spatial indicator per outcome.

46 When a project is relevant to more than one PoW outcome indicator, provide outcomes and outputs for each indicator in order to enable budget details per output and PoW Outcome.

47 1 per reporting period: June and December of each year

M2: The structure of the toolkit is decided through the Working Group deliberations, with identified source categories, possible approaches to each of the source category			*December 2023*	
M3: a project website is established			*March 2024*	
M4: A first draft toolkit is prepared			*June 2024*	
M5: The toolkit is finalized for pilot application			*December 2024*	
M6: Toolkit communication materials are developed			*December 2024*	
M7: Data and Information collected in a pilot country			*June 2025*	
M8: A source inventory draft is ready for national level review			*December 2025*	
M9: The toolkit is revised based on the feedback from the pilot application			*December 2025*	
M10: The toolkit launching event is organised			*June 2026*	
2. Project Outputs	**Indicators**	**Relevant PoW Direct Outcome(s)**	**Relevant SDG target(s) and indicators**	**Output risks**
OUTPUT 1: a toolkit is developed to identify and quantify sources/leakages of plastics entering the aquatic environment	*The number of toolkits to identify and quantify sources of plastic pollution in the aquatic environment (Baseline: 0; 2026 Target: 1)*	*PoW Outcomes 3B and 3C and Pollution and Chemicals Action indicators (ii) and (iii) (please see Table 1 on the cover page)*	*SDG6.3, SDG12.4 and SDG14.1 SDG indicators 6.3.1, 6.3.2, 12.4.2 (a), and 14.1.1 (b) (Please see Table 1 on the cover page)*	*There is no rigorous evidence of source assessment method for some sources.*
OUTPUT 2: source/leakage inventory of plastics entering aquatic environments prepared in a pilot country by applying the toolkit developed	*The number of cases of plastics entering the aquatic environment detected through the application of the toolkit which proves that the toolkit is applicable (Baseline: 0; 2026 Target: 1)*	*PoW Outcomes 3B and 3C and Pollution and Chemicals Action indicators (ii) and (iii) (please see Table 1 on the cover page)*	*SDG6.3, SDG12.4 and SDG14.1 SDG indicators 6.3.1, 6.3.2, 12.4.2 (a), and 14.1.1 (b) (Please see Table 1 on the cover page)*	*There may not be institutional capacity to apply the toolkit.*
OUTPUT 3: communication and visibility of the project results through the existing water agreements and a future plastic pollution convention.	*Tracking the number of* visits *to the project website (Baseline 0; 2026 Target: 5000) Tracking the number of downloads of the toolkit (Baseline 0; 2026 Target: 200)*	*PoW Outcomes 3B and 3C and Pollution and Chemicals Action indicators (ii) and (iii) (please see Table 1 on the cover page)*	*SDG6.3, SDG12.4 and SDG14.1 SDG indicators 6.3.1, 6.3.2, 12.4.2 (a), and 14.1.1 (b) (Please see Table 1 on the cover page)*	*The toolkit to be developed may not be considered a global priority.*

4. Relevance

4.1. Relevance to the UNEP Programme of Work

The project contributes to achieving two Outcomes of the UNEP MTS 2022-2025 in the Pollution and Chemicals Action:

- **Outcome 3B**: Waste management is improved, including through circular processes, safe recovery of secondary raw materials and progressive reduction of open burning and dump sites; and
- **Outcome 3C**: Releases of pollutants to air, water, soil and the ocean are reduced.

Achievements of the above outcomes will be measures by the two indicators:

- **Pollution and Chemicals Action indicator (ii):** Number of Governments developing or implementing policies, strategies and mechanisms to prevent or reduce waste and ensure environmentally sound waste treatment or disposal, including in the context of disaster or conflict-related environmental emergencies, with UNEP support; and
- **Pollution and Chemicals Action indicator (iii)**: Number of policy, regulatory, financial and technical measures developed with UNEP support to reduce pollution in air, water, soil and the ocean.

The project contributes to achieving the following two Direct Outcomes:

  - **3.2:** Land-based sources of pollution in fresh water and oceans, including marine litter and nutrients, are reduced; and
  - **3.3:** Global plastic pollution is reduced.

Further the project is linked with the following SDG targets and indicators:

- **SDG6.3:** By 2030, improve water quality by reducing pollution, eliminating dumping and minimizing release of hazardous chemicals and materials, halving the proportion of untreated wastewater and substantially increasing recycling and safe reuse globally;
- **SDG12.4**: By 2020, achieve the environmentally sound management of chemicals and all wastes throughout their life cycle, in accordance with agreed international frameworks, and significantly reduce their release to air, water and soil in order to minimize their adverse impacts on human health and the environment; and
- **SDG14.1:** By 2025, prevent and significantly reduce marine pollution of all kinds, in particular from land-based activities, including marine debris and nutrient pollution.

- **6.3.1** Proportion of domestic and industrial wastewater flows safely treated
- **6.3.2** Proportion of bodies of water with good ambient water quality
- **12.4.2 (a)** Hazardous waste generated per capita
- **14.1.1 (b)** plastic debris density

UNEP has been addressing marine litter under the Global Programme of Action for the Protection of the Marine Environment from Land-based Activities for which UNEP functions as the secretariat. Under this Global Programme national programmes/plans of action on land-based sources of pollution and land-based activities were developed. These global and national programmes included marine plastic pollution and action to address human activities that emit/discharge plastic contaminants. UNEP also administers six regional seas conventions and action plans and is mandated to coordinate UNEP-administered and other regional seas conventions and action plans. Further at the United Nations Environment Assembly, UNEP is requested to organize an intergovernmental negotiating committee on an internal legally binding instrument to end plastic pollution.

4.2. Relevance to Regional, National or Subnational Priorities

Several international legally binding instruments, in particular multilateral environmental agreements, are relevant to the issue of plastic pollution (including in the marine environment and microplastics). They vary in scope, objectives, applicable approaches, and principles, and they include:

Pollution and climate-oriented agreements

- United Nations Convention on the Law of the Sea (UNCLOS);
- United Nations Fish Stocks Agreement;
- The Convention on the Prevention of Marine Pollution by Dumping of Wastes and Other Matter 1972 (London Convention) and its 1996 Protocol (the London Protocol);
- Annex V of the International Convention for the Prevention of Pollution from Ships of 1973 (MARPOL) as modified by its 1978 Protocol;
- UN Framework Convention on Climate Change; and
- 1997 UN Convention on the Non-Navigational Use of international Water Courses.

Biodiversity and species-oriented agreements

- The Convention on Biological Diversity (CBD); and
- The Convention on the Conservation of Migratory Species of Wild Animals (CMS).

Chemicals and waste-oriented agreements

- The Stockholm Convention on Persistent Organic Pollutants; and
- The Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal, in particular, the Basel Convention Plastic Waste Amendments.

In the international multilateral trade setting, since November 2020, a group of Members of the World Trade Organization (WTO) launched the Informal Dialogue on Plastics Pollution and Environmentally Sustainable Plastics Trade (IDP). The IDP initiative aims to explore how the WTO could contribute to efforts to reduce plastics pollution and promote the transition to more environmentally sustainable trade in plastics. It is open to all WTO members and seeks to complement discussions in the Committee on Trade and Environment (CTE) and other fora. In March 2022, the WTO IDP initiative started three workstreams to advance work on reducing plastics waste, a step forward in the implementation of its Ministerial Statement on Plastic Pollution and Environmentally Sustainable Plastics Trade.

At the regional levels, most of the regional seas conventions and action plans already developed the regional marine litter action plans in which action to address marine plastic pollution is strategically presented. Many of the transboundary river/lake basins organisations addressed land-based sources of plastic pollution within the transboundary river/lake basins.

At the national level, most of the countries already established national plans/programmes of action to address land-based sources of pollution and land-based activities affecting the marine environment quality under the Global Programme of Action for the Protection of the Marine Environment from Land-based Activities. Based on the emerging scientific evidence on the impacts of plastic contaminants on the marine and aquatic ecosystems and water quality, some of them already moved to developing national action plans/programmes on aquatic plastic pollution.

In the pilot country, Kenya, the Kenya Plastic Action Plan of which development was led by the Kenya Association of Manufacturers was published. This Action Plan is based on the lifecycle assessment methodology, focusing on the production sector. The Kenya National Action Plan on Sea-based Sources of Plastic Pollution covers the sea-based sources of plastic pollution, although UNEP assesses most of the plastic pollution comes from land-based sources in Kenya. The application of the toolkit to be developed under the project would comprehensively gather all sources of plastic pollution in the aquatic environment based on these action plans.

UNEP-UN-Habitat conducted the county-based source inventory work (in four counties in Kenya), which focused on waste sources. It was clearly recognized that a comprehensive source inventory tool would be needed and Kenya would benefit its application to develop a comprehensive plastic pollution source inventory.

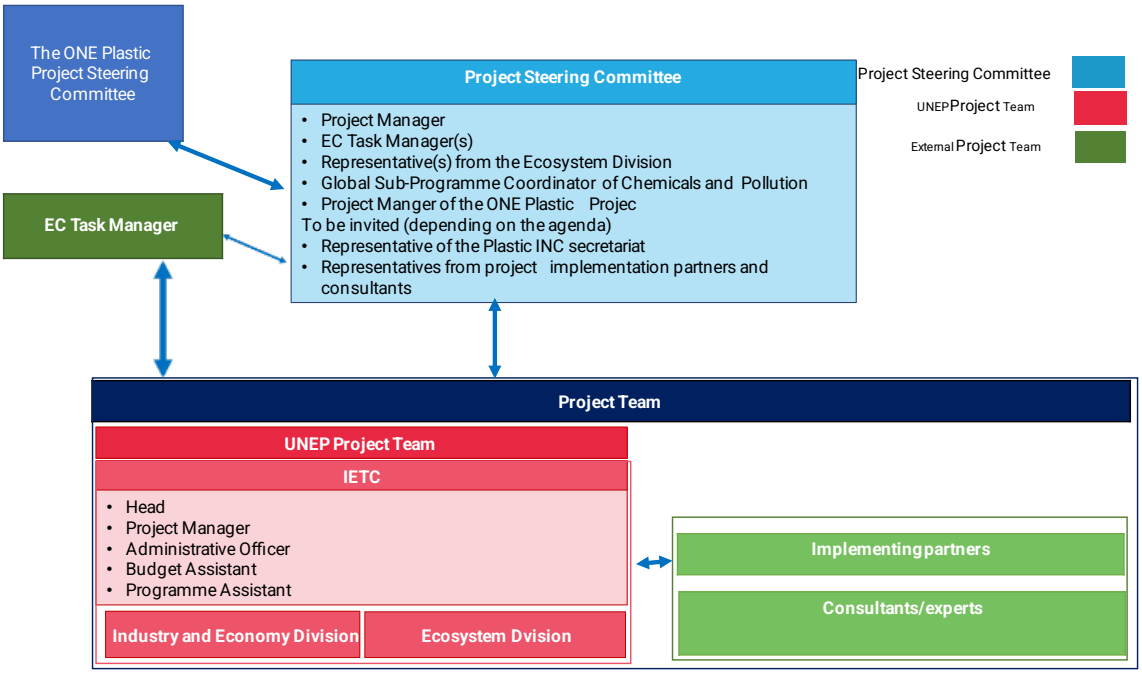
4.3. South-South and Triangular Cooperation

This project does not specifically involve South-South or Triangular Cooperation.

5. Implementation Arrangements

5.1 Project management and governance *(10,000 characters max)*

This project constitutes a sub-project of the ONE Plastic Project under the Circularity in Sectors Programme Coordination Project of the Chemicals and Pollution Action sub-programme. The project will be implemented by UNEP under the overall guidance of the European Commission Task Manager(s). The overall project governance framework is presented below.



Project manager (programme Officer responsible for plastic waste management in IETC) will be responsible for the day-to-day operation of the project. He/she will be supervised by Head, IETC and will be supported by the other members of the Project Team. UNEP takes the accountability for the project achievement, deliverables and expenditures.

Project Manager will prepare progress reports to be submitted to the ONE Plastic project steering committee as well as to the ONE Plastic project manager. He/she will also participate in the ONE Plastic project steering committee.

Given the engagement of plastic pollution in aquatic environment, Project Manager will work closely with the Source-to-Sea Pollution Unit of the Ecosystem Division.

EC Task Manger(s) will be responsible for overseeing the project implementation, achievement of the project objective and expenditure.

The project steering committee will be formulated and will meet twice a year or more frequently as deemed necessary. The terms of reference of the steering committee are provided in Annex I. The memberships of the steering committee will be:

- Project Manager
- EC Task Manager(s)

- Representative of the UNEP Ecosystem Division
- ONE Plastic project manager
- Global Sub-Programme Coordinator – Pollution and Chemicals Action

As deemed necessary, the steering committee will invite Administrative Officer, consultants and/or Plastic INC secretariat.

5.2 Partners *(10,000 characters max)*

The project takes a partnership approach. Global and regional partner organisations are preliminarily selected based on the expertise they have and potential input they can provide to the development of the toolkit, particularly the organisations involved in establishing water pollution control programmes, such as International Water Association, river basin organisations and regional seas programme.

For the pilot application of the toolkit, a designated government institutions will take a lead in the coordination of the toolkit application, including data gathering and calculation. The lea government institution will develop national level group involving sector based bodies in the application of the toolkit (covering all human activities included in the toolkit).

Table 10: Partners' information

Partner	Expertise/ strength	Agreed roles / responsibilities in project implementation	Date of UNEP Partnership Committee approval/ Due diligence process
European Commission	Solid waste management	Task management	*N/A*
International Solid Waste Association	Waste and pollution	Participation in the working group	
International Water Association	Water pollution control	Participation in the working group	
River basin organisations	Pollution control in river basins	Participation in the working group	
Coastal management agencies/regional seas	Catchment based pollution control	Participation in the working group	*Six regional seas programmes are under UNEP's administration*
Pilot country government (Kenya)	Pollution control	Coordination of the pilot toolkit application	*N/A*

5.3 Resource Mobilization *(10,000 characters max)*

Necessary financial resources for the implementation of this project is already secured with the EC fund and the contribution of the Government of Japan on plastic waste. When additional funding is necessary, further fund raising will be carried out.

Table 11: Donor Action Plan by partner/donor[48]

Partner/Donor	Project(s)/Funds	Funding target	Action	Responsible	Timeline/Deadline	Status
Bilateral donor(s)	Grant	US$100,000 (if necessary)		Project Manager	During the project implementation	As deemed necessary

5.4 Cost-effectiveness

The project will be of the global norm setting nature. The project is taking an approach of developing the toolkit through working groups with experts from various parts of the world. Compared to each government or regional organization developing such a toolkit, developing a global toolkit initially and adapting it to local situation would be more cost effective.

The toolkit to be developed will be test applied to specific conditions of a pilot country. This would cost some funds but by getting feedbacks from the pilot application of the toolkit, the toolkit would be more practically applicable to the situations in the developing countries and countries in economy in transition.

48 Plan can be adjusted or expanded: by source of funding, category or sector, etc.

5.5 Budget and Staff Alignment

The full budget is presented in a separate spreadsheet (Annex B).

Budget Summary

Type of funding	Source of funding	Details	Year 2023	Year 2024	Year 2025	Year 2026	TOTAL
Cash	Environment Fund (EF) activity budget						0
	Regular Budget (RB) activity budget						0
	TOTAL EF/RB BUDGET						0
	Extra Budgetary Funding (XB) (posts + non-post + Programme Support Cost (PSC))	Secured (Sponsor 1)[1]	65000	230000	152290	20000	467290
		Secured (Sponsor 2)					0
		PSC Sponsor 1 (7 %)	4550	16100	10660	1400	32710
		PSC Sponsor 2 (%)					0
		Unsecured XB funding					0
	TOTAL XB BUDGET		69550	246100	162950	**21400**	500000
In Kind	Environment Fund post costs						0
	Regular Budget post costs						0
	Other (include name of donor)						0
	TOTAL IN-KIND BUDGET						0
TOTAL SECURED BUDGET[2]							0
TOTAL PLANNED BUDGET (secured + unsecured)							0
Allocation to Regional Offices							0

Type of funding	Source of funding	Details	Year 2023	Year 2024	Year 2025	Year 2026	TOTAL
Cash	Environment Fund (EF) activity budget						0
	Regular Budget (RB) activity budget						0
	TOTAL EF/RB BUDGET						0
	Extra Budgetary Funding (XB) (posts + non-post + Programme Support Cost (PSC))	Secured (Sponsor 1)[1]	65000	230000	152290	20000	467290
		Secured (Sponsor 2)					0
		PSC Sponsor 1 (7 %)	4550	16100	10660	1400	32710
		PSC Sponsor 2 (%)					0
		Unsecured XB funding					0
	TOTAL XB BUDGET		69550	246100	162950	**21400**	500000

In Kind	Environment Fund post costs						0
	Regular Budget post costs						0
	Other (include name of donor)						0
	TOTAL IN-KIND BUDGET						0
TOTAL SECURED BUDGET[2]							0
TOTAL PLANNED BUDGET (secured + unsecured)							0
Allocation to Regional Offices							0

5.6 Monitoring Plan and Reporting *(10,000 characters max)*

The project implementation will be monitored throughout the project cycle. The project manager directly monitors the project implementation process, project objective achievement and the project expenditure. The project outcome and outputs are tracked down using the indicators listed below. The project progress will be discussed at the project steering committee meetings.

The project manager will prepare reports to be submitted to the ONE Project manager and the ONE Project Steering Committee on a quarterly basis. The ONE Plastic project manager will report the overall implementation of the ONE Plastic project to the Global Sub-Programme Coordinator. The ONE Plastic project manager will be responsible to make input to the UNEP's Project Information Management System (PIMS) and UMOJA IPMR system.

The project manager will report the project implementation through the EC Task Manager to the UNEP-EC Programme cooperation partnership steering committee three times a year as well as the end of the year report. Financial expenditure reports will also be prepared by the Administrative Officer to be attached to the reports to the EC.

Table 12. Indicator Tracking Tool

Indicators and assumptions	**Indicator definition and unit of measurement** *(1000 characters max. each indicator)*	**Data collection methods and sources** *(1000 characters max. each indicator)*	**Frequency and schedule**	**Person(s) responsible**	**Information use and audience**
Outcome: information on sources/leakages of plastics entering aquatic environments is available and used to establish baselines/targets/objectives within aquatic plastic pollution management programmes					
The number of cases where the toolkit is used to generate baseline information on the sources of plastic pollution in the aquatic environment as a basis to develop	*The case in the indicator should include inclusive data gathering, inter-ministry coordination, coordinated calculation ans should result in the*	*The information on the toolkit application should be reported in the knowledge management systems (possibly online platform of the global partnership on*	*Information should be collected frequently through the knowledge management systems after the finalization of the toolkit.*	*Project manager*	The information should be used for SDG reporting and reporting to the Plastic INC.

pollution abatement programme (Baseline: 0; 2026 Target: 1)	*production of inventories of plastic pollution sources.*	*marine litter) of the ONE Plastic project.*			
Output 1: : a toolkit is developed to identify and quantify sources/leakages of plastics entering the aquatic environment					
The number of practical and easy-to-apply toolkit to identify and quantify sources of plastic pollution in the aquatic environment (Baseline: 0; 2026 Target: 1)	The toolkit should be easily-applied, practical and science-based, not dependent on a complicated physical models.	The information will be collected through the reports of the Working Group.	The information should be corrected by the Working Group.	Project Manager	The information should be used for the plastic INC processes.
Output 2: source/leakage inventory of plastics entering aquatic environments prepared in a pilot country by applying the toolkit developed					
The number of cases of application of the toolkit which proves that the toolkit is applicable (Baseline: 0; 2026 Target: 1)	The application means that the toolkit is used to defined the scope of the source inventory development, scope of data collection, and how collected data should be analysed.	The information is collected through the project steering committee.	The information should be collected by the Project Steering Committee.	Project Manager	The information should be used for the plastic INC processes.
Output 3: communication and visibility of the project results through the existing water agreements and a future plastic pollution convention					
The number of downloads of the toolkit (Baseline 0; 2026 Target: 200)	The toolkit will be uploaded in the project website, which can be downloaded from the site.	Download statistics should be monitored by the web page manager.	The information should be collected every six months.	Project website manager	The collected information should be used to improve the effectiveness of the communication plan
The number of access to the project website (Baseline 0; 2026 Target: 5000)	*The project websit will be established and the number of access to the site depending on from which regions/countries and to get what information.*	Download statistics should be monitored by the web page manager.	The information should be collected every six months.	Project website manager	The collected information should be used to improve the effectiveness of the communication plan

6. Digital Transformation, Communication, and Learning

6.1. Digital Transformation *(10,000 characters max)*

As listed in Annex H, the project will use a series of digital transformation pathways to deliver its outcome. The pathways that will be adopted by the project include [pathway numbering aligned with Annex H]: (a) Data, analytics to track traded plastic contaminant flows, identify relevant plastic sources, (i) awareness raising on the need for source information through social media and (j) dedicated websites and platforms will be updated with the toolkit and its application.

Through digital transformation, the project will be able to disseminate the toolkit and its application results to a wider audience and future user of the toolkit. The project will host Working Groups, national-level stakeholder consultations and evens to showcase the usefulness and applicability of the toolkit. The project will adapt and move to the extent possible to an online and increasingly digitalized delivery model, ensuring maximum participation of relevant stakeholders and targeted audience. In addition, to promote the sharing of knowledge and lessons learnt generated by the project, knowledge dissemination will be conducted through various knowledge platforms, including World Environment Situation Room (WESR), Digital Platform on Marine Litter, Integrated Solid Waste Management knowledge management platforms, etc..

6.2. Communication strategy *(10,000 characters max)*

The overall objective of the project's outreach and advocacy activities is to disseminate the usefulness and applicability of the toolkit to the government pollution control policy makers, scientific and research groups, non-governmental and community-based organisations that would be involved in source inventory making, and the sector bodies that are discharging/emitting plastic contaminants.

Further the project will communicate the toolkit to the Multilateral Environment Agreement processes (such as the Conference of the Parties, Scientific bodies) so that the Parties to these MEAs may use the toolkit to their Convention processes. Of particular importance is the communication at the Plastic INC processes. Further the toolkit will be communicated to the meetings of river/lake basin organisations and regional seas conventions and action plans.

Deliverables and information emanating from the project will be delivered electronically and hosted on the project website. The project website will act as information and referral portal and project progress will be regularly updated on the website. The project will develop and communicate best practices and lessons learned from project activities with stakeholders as well as internally within UNEP through the UNEP's knowledge management platforms.

The project communication strategy also includes in person events and meetings at meetings of the Committee of the Permanent Representatives, UNEA and other UNEP-organised meetings. Updates on activities under this project will also be made across relevant UN agencies through UN-wide platforms/networks. As in Output 3, specific communication materials will be developed to visualise and disseminate the main findings and learnings from the project activities.

The project will actively engage with the UNEP Communication Division to broaden its own activities. Budget is allocated for advocacy and outreach products.

A gender sensitive approach will be applied to communications under the project. Examples of gender mainstreaming approaches that will be used are listed below.

a. Tracking of male vs female vs LGBTQA participation of key consultations, trainings and events;
b. Use of male and female knowledge product, communication, and public education material developers for the diversity of perspectives and approaches, as well as male and female reviewers of these products;
c. Use of gender-sensitive language and gender-balanced images (women not presented as victims but as agents of change); and
d. Referring to (inter-)national policy framework, policies, strategies, and plans, as applicable and appropriate.

The communication and visibility strategy of this EC-funded project is provided in Annex O.

6.3. Data, Information and Knowledge Management *(10,000 characters max)*

Data management for the application of the toolkit: the proposed toolkit when applied, requires a range of data. Data systems for the application of the toolkit will be part of the toolkit and should be developed online.

Information and Knowledge sharing: The project will work closely with UNEP internal and external partners in sharing the lessons learnt and good practices of developing source inventories. Results and lessons learnt from the application of the toolkit would be crucial input to modifying and improving the toolkit, and such results and lessons learnt will be captured and included in the relevant UNEP's knowledge management systems, such as the online platform of the Global Marine Litter Partnership, the Integrated Solid Waste Management knowledge management platform (under development) and the World Environment Situation Room (WESR).

6.4. Evaluation Plans *(5,000 characters max)*

This project will be part of the larger project: ONE UNEP Plastic Project on Accelerating a Global Circular Plastic Economy to Reduce Plastic Pollution and its Impacts. This project will be therefore subject to the evaluation of the ONE Plastic project and does not go through its own evaluation processes. There is no budget allocated from the current project to the two evaluations envisaged (mid-term and terminal) under the ONE Plastic project.

7. Project Sustainability

7.1. Sustainability

The project will contribute to a longer-term vision to reduce and eventually end plastic pollution by 2040. For this purpose, the project will develop a toolkit to identify and quantify sources of water plastic pollution by which the stakeholders are able to establish strategic programmes/plans to address water plastic pollution through a source-reduction approach.

The project will actively assist national and sub-national governments, cities/municipal authorities to develop strategic and prioritized action programmes/plans by establishing baselines. In this process, it will cater sustainable partnerships with private sector or community-based organisations while they are clear about their emission/discharge of plastic contaminants into the aquatic environment. Such action programmes/plans would be sustainably implemented in the future and strategic partnerships will sustainably support their implementation.

The project will also support the sharing of lessons, experiences, and benefits from actual application of the toolkit and lessons learnt and good practice information will be shared widely with stakeholders involved in addressing water plastic pollution.

7.2. Uptake[49]

The project aims to develop a toolkit that can be used to meet the objectives and targets of the relevant MEAs. The project will promote the toolkit as an important tool to develop pollution source baseline and pollution source hotspots. Once well developed, the toolkit should be taken up by the water pollution related conventions (such as river basin management agreements, regional seas conventions, 1997 UN Convention) and global chemicals and pollution conventions. The project aims at the toolkit being adopted as one of tools to assist the member States in developing the national action plans for a future legally binding instrument to end plastic pollution. By being recognized by the MEAs and other water conventions, uptake of the toolkit would be facilitated.

7.3. Replicability

The project is taking an approach to pilot apply the toolkit to be developed in one pilot country. Once its applicability, especially in developing countries and countries in transition, are proved, the replication of the toolkit application would be facilitated. The project aims at developing the toolkit as practically applicable as possible so that the replicability of its application would be maximized.

49 The terms catalytic effect, scaling up and replication are inter-related and generally refer to extending the coverage or magnitude of the effects of a project. Catalytic effect is associated with triggering additional actions that are not directly funded by the project – these effects can be both concrete or less tangible, can be intentionally caused by the project or implied in the design and reflected in the TOC drivers, or can be unintentional and can rely on funding from another source or have no financial requirements. Scaling up and Replication require more intentionality for projects, or individual components and approaches, to be reproduced in other similar contexts. Scaling up suggests a substantive increase in the number of new beneficiaries reached/involved and may require adapted delivery mechanisms while Replication suggests the repetition of an approach or component at a similar scale but among different beneficiaries. Even with highly technical work, where scaling up or replication involves working with a new community, some consideration of the new context should take place and adjustments made as necessary.

Additional Information

Annex A. Completed ProDoc Checklist

ProDoc Section	Project Manager	Head of Branch	PRC
Project Summary Table 1: Project Information Table 2: Project Duration Table 3: Budget Summary Table 4: Division and regional office budget Table 5: Budget for monitoring, reporting and evaluation Table 6: Typology of project interventions	Done Done Done Done Done Done Done		
1. Project Justification 1.1 Problem and Situation analysis	Done Done		
2. Intervention Strategy 2.1 Project Description	Done Done		
2.2 Theory of Change	Done		
2.3 Stakeholders	Done		
2.4 Project Management Risks	Done		
2.5 Environmental and Social Safeguard Risks	Done		
3. Results Targeted 3.1 Logical Framework	Done Done		
3.2 Activities and Workplan Summary	Done		
4. Relevance 4.1 Relevance to the UN Environment Programme	Done Done		
4.2 Relevance to Regional, National or Subnational Priorities	Done		
4.3 South-South and Triangular Cooperation	Done		
5. Implementation Arrangements 5.1 Governance	Done Done		
5.2 Partners	Done		
5.3 Resource Mobilization	Done		
5.4 Cost-effectiveness	Done		
5.5 Budget and Staff Alignment	Done		
5.6 Monitoring Plan and Reporting	Done		
6. Communication and Learning 6.1 Communication strategy	Done Done		
6.2 Information and Knowledge Management	Done		
6.3 Evaluation Plans (including confirmation of the evaluation budget from the Evaluation Office)	Done		
7. Project Sustainability 7.1 Sustainability (Exit strategy)	Done Done		
7.2 Uptake	Done		
7.3 Replicability	Done		
Additional Information Annex A ProDoc Checklist	Done Done		
Annex B Budget/ Proof of Secured Funds	Done		
Annex C Detailed Project Workplan	Done		
Annex D Environmental Social and Economic Review Note	Done		
Annex E Design Process	Done		
Annex F. Draft Donor Agreements	Done		
Annex G. Gender Marker Self-Assessment	Done		
Annex H Spatial Data Management Checklist	Done		
Annex I Terms of Reference	Done		
Annex J Stakeholder Response Mechanism	Done		
Annex K Stakeholder Engagement Plan	Done		
Annex L Project Beneficiaries	Done		
Annex M South-South and Triangular Cooperation	Done		

Annex B. Budget /Proof of Secured Funds

The budget annex is presented in a separate spreadsheet.

The 10th meeting of the Steering Committee on UNEP-EC Programme Cooperation approved the project concept. The minutes of the Committee will be included once it is ready.

Annex C. Detailed Project Workplan

Describe the activities that will deliver your outputs and outcomes. Include gender activities or specify gender-sensitive arrangements[50]. The workplan should also include any risk management and mitigation activities identified in the risk analysis section and SRIF.

Table 12: Project Workplan[51]

ID	Project Outputs & Activities	Responsible Division/ Regional Office	Partner(s)	Year 2023				Year 2024				Year 2025				Year 2026			
				Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
	***Project Outcome**: information on sources/leakages of plastics entering aquatic environments is available and used to establish baselines/targets/objectives within aquatic plastic pollution management programmes.*	*Industry and Economy Division*	*EC, ISWA, IWA, UNEP Ecosystems Division*																
1			*Name Partner*																
2			*Name Partner*																
	***Project Output 1**: a toolkit is developed to identify and quantify sources/leakages of plastics entering the aquatic environment*	*Industry and Economy Division*	*EC, Ecosystems Dvision*																
1	***Activity 1.1**: Organisation of working group meetings*	*Industry and Economy Division*	*EC*																
2	***Activity 1.2**: Compilation of existing methodologies and models*	*Industry and Economy Division*	*EC, ISWA, IWA*																
3	***Activity 1.3**: Development and finalisation of a target toolkit*	*Industry and Economy Division*	*EC, Regional Seas, river basin organisations*																
	***Project Output 2**: source/leakage inventory of plastics entering aquatic environments prepared in a pilot country by applying the toolkit developed*	*Industry and Economy Division*	*EC, pilot country government*																
1	***Activity 2.1**: Identification of a pilot country*	*Industry and Economy Division*	*EC*																
2	***Activity 2.2**: Participatory data collection*	*Industry and Economy Division*	*Pilot country Governments and other stakeholders*																

50 An example of a gender activity is a gender workshop or a workshop that includes a gender session, while a gender-sensitive arrangement might mean that a workshop seeks to increase the number of female participants. Both are needed unless not feasible or not applicable.

51 It is possible to provide this as a separate file in Excel if preferred.

3	***Activity 2.3**: Application of the toolkit*	*Industry and Economy Division*	*Pilot country governments and other stakeholders*																		
	C) Project Output 3: communication and visibility of the project results through the existing water agreements and a future plastic pollution convention.	*Industry and Economy Division*	*UNEP Communications Division*																		
1	*Development of communication materials*	*Industry and Economy Division*	*Communications Division*																		
2	*Organisation of events on key occasions*	*Industry and Economy Division*	*Communications Division*																		
3	*Dissemination of the communication materials*	*Industry and Economy Division*	*Communications Division*																		
Other activities (e.g. risk management)																					
1	*Project steering committee*	*Industry and Economy Division*	*EC*																		
2	*State the activity*																				

Annex D. Safeguard Risk Identification Form (SRIF)

Section 1: Project Overview

Identification	*Insert Project ID# from Programme Framework Table*
Project Title	*Identifying and quantifying plastic contaminant sources and leakages into the aquatic environment*
Managing Division	*Industry and Economy Division*
Type/Location	*Global*
Region	*Global*
List Countries	*A pilot country will be identified during the project implementation*
Project Description	*In addressing the needs of the countries, river basin organisations and coastal management authorities to develop science-based action programmes to reduce plastic pollution from all major sources, the project will develop a practically useful toolkit to identify and quantify the sources of plastic pollutants entering into the aquatic environment. By applying the toolkit, the countries/river basin organisations and coastal management authorities can develop source-inventories and list of source hot spots, based on which these water pollution control bodies can develop strategies to address water plastic pollution and prioritise necessary action. The project is aimed at producing three outputs: (i) a practical toolkit to identify and quantify sources/leakages of plastic waste entering the aquatic environment; (ii) source/leakage inventory of plastics entering aquatic environments in a pilot country applying the toolkit developed; and (iii) communication and visibility of the project results through the existing water agreements and a future plastic pollution convention. These three outputs will contribute to the expected outcome of the project: Information on the sources/leakages of plastics entering aquatic environments is available and used to establish baselines/targets/objectives within land-based plastic pollution management programmes. Under this project, all sources of water plastic pollution (both land-based and water-based) will be considered. Many of the programmes are already existing such as national plans of action to address land-based sources of marine pollution, river basin pollution abatement programmes and coastal management programmes. Data are collected under these programmes, which should be made available to this project. Data collection and assessment of water-based sources are undertaken through the other mechanisms such as MARPOL Convention and regional fisheries bodies.*
Relevant Subprogramme	*Chemicals and Pollution Action*
Estimated duration of project	*3 years*
Estimated cost of the project	*US$500,000*
Name of the UNEP project manager responsible	Takehiro Nakamura
Funding Source(s)	European Commission
Executing/Implementing partner(s)	International Solid Waste Association, International Water Association, river basin organisations and coastal management agencies/regional seas programmes
SRIF submission version	*If it is not the first time, mark the time of your previous submission* *Concept Review [ ] During Project development [x] PRC [ ]* *Other _____*

Safeguard-related reports prepared so far *(Please attach the documents or provide the hyperlinks)*	• *Feasibility report [ ]* • *Gender Action Plan [ ]* • *Stakeholder Engagement Plan [ ]* • *Safeguard risk assessment or impact assessment [ ]* • *ES Management Plan or Framework [ ]* • *Indigenous Peoples Plan [ ]* • *Cultural Heritage Plan [ ]* • *Others _____*

Section 2: Safeguards Risk Summary

A. Summary of the Safeguards Risk Triggered

Safeguard Standards Triggered by the Project	Impact of Risk[52] (1-5)	Probability of Risk (1-5)	Significance of Risk (L, M, H) *Please refer to the matrix below*
SS 1: Biodiversity, Ecosystems and Sustainable Natural Resource Management	1	1	L
SS 2: Climate Change and Disaster Risks	1	1	L
SS 3: Pollution Prevention and Resource Efficiency	2	2	L
SS 4: Community Health, Safety and Security	2	2	L
SS 5: Cultural Heritage	1	1	L
SS 6: Displacement and Involuntary Resettlement	1	1	L
SS 7: Indigenous Peoples	1	1	L
SS 8: Labor and working conditions	1	1	L

B. ESS Risk Level[53] -

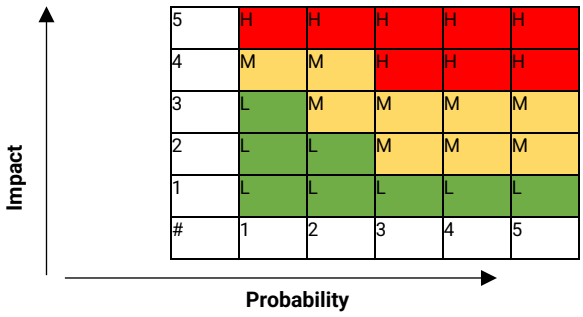
Refer to the UNEP ESSF (Chapter IV) and the UNEP's ESSF Guidelines.

Low risk ■

Moderate risk ☐

High risk ☐

Additional information required ☐



C. Development of SRIF and Screening Decision

Prepared by

Name: ____Takehiro Nakamura____ Date: _18/04/23__

Screening review by

Name: Alexandra Mutungi Date: 20/07/23

52 Refer to UNEP Environmental and Social Sustainability Framework (ESSF): Implementation Guidance Note to assign values to the Impact of Risk and the Probability of Risk to determine the overall significance of Risk (Low, Moderate or High).

53 Low risk: Negative impacts minimal or negligible: no further study or impact management required.
Moderate risk: Potential negative impacts, but limited in scale, not unprecedented or irreversible and generally limited to programme/project area; impacts amenable to management using standard mitigation measures; limited environmental or social analysis may be required to develop a Environmental and Social Management Plan (ESMP). Straightforward application of good practice may be sufficient without additional study.
High risk: Potential for significant negative impacts (e.g. irreversible, unprecedented, cumulative, significant stakeholder concerns); Environmental and Social Impact Assessment (ESIA) (or Strategic Environmental and Social Assessment (SESA)) including a full impact assessment may be required, followed by an effective comprehensive safeguard management plan.

Cleared[54]

Signature

D. Safeguard Review Summary (by the safeguard team)

This is a low-risk project. However, UNEP ESSF guiding principles - resilience and sustainability; human rights, gender equality and women empowerment, accountability and leave no one behind - are still applicable for low-risk projects.

E. Safeguard Recommendations (by the safeguard team)

- ■ No specific safeguard action required
- □ Take Good Practice approach[55]
- □ Carry out further assessments (e.g., site visits, experts' inputs, consult affected communities, etc.)
- □ Carry out impact assessments (by relevant experts) in the risk areas and develop management framework/plan
- □ Consult Safeguards Advisor early during the full project development phase
- □ Other _____

Section 3: Safeguard Risk Checklist

Screening checklist		**Y/N/ Maybe**	**Justification for the response** (please provide answers to each question)
Guiding Principles (these questions should be considered during the project development phase)			
GP1	Has the project analyzed and stated those who are interested and may be affected positively or negatively around the project activities, approaches or results?	Y	The 2.3 stakeholders section clarifies those interested and affected by this project.
GP2	Has the project identified and engaged vulnerable, marginalized people, including disabled people, through the informed, inclusive, transparent and equal manner on potential positive or negative implication of the proposed approach and their roles in the project implementation?	Y	The stakeholder analysis identified no vulnerable, marginalized people for Output 1. Under Output 2, vulnerable and/or marginalised people, mainly informal waste pickers will participate in the output 2 activities..
GP3	Have local communities or individuals raised human rights or gender equality concerns regarding the project (e.g. during the stakeholder engagement process, grievance processes, public statements)?	*N*	*No concern has been raised.*
GP4	Does the proposed project consider gender-balanced representation in the design and implementation?	*Y*	*The working group under Output 1 would consider gender balance.*
GP5	Did the proposed project analyze relevant gender issues and develop a gender responsive project approach?	Y	No major gender responsive issue has been identified as a result of the analysis..

54 This is signed only for the full projects latest by the PRC time.
55 Good practice approach: For most low-moderate risk projects, good practice approach may be sufficient. In that case, no separate management plan is necessary. Instead, the project document demonstrates safeguard management approach in the project activities, budget, risks management, stakeholder engagement or/and monitoring segments of the project document to avoid or minimize the identified potential risks without preparing a separate safeguard management plan.

GP6	Does the project include a project-specific grievance redress mechanism? If yes, state the specific location of such information.	Y	It is part of the Annex J.
GP7	Will or did the project disclose project information, including the safeguard documents? If yes, please list all the webpages where the information is (or will be) disclosed.	Y	Will do so at the inception phase of the project.
GP8	Were the stakeholders (including affected communities) informed of the projects and grievance redress mechanism? If yes, describe how they were informed.	Y	Relevant stakeholders were informed through the project development discussion. Further stakeholder discussion will be expected for Output 2 activities.
GP9	Does the project consider potential negative impacts from short-term net gain to the local communities or countries at the risk of generating long-term social or economic burden?*56*	Y	The project analysis revealed that the negative impacts f this project on local communities are minimum or none..
GP10	Does the project consider potential partial economic benefits while excluding marginalized or vulnerable groups, including women in poverty?	Y	The project does not provide economic benefits to any stakeholders.
Safeguard Standard 1: Biodiversity, Ecosystems and Sustainable Natural Resource Management			
Would the project potentially involve or lead to:			
1.1	conversion or degradation of habitats (including modified habitat, natural habitat and critical natural habitat), or losses and threats to biodiversity and/or ecosystems and ecosystem services?	N	This is not an on-the-ground project and does not involve the risks described.
1.2	adverse impacts specifically to habitats that are legally protected, officially proposed for protection, or recognized as protected by traditional local communities and/or authoritative sources (e.g. National Park, Nature Conservancy, Indigenous Community Conserved Area, (ICCA); etc.)?	N	This is not an on-the-ground project and does not involve the risks described.
1.3	conversion or degradation of habitats that are identified by authoritative sources for their high conservation and biodiversity value?	N	This is not an on-the-ground project and does not involve the risks described.
1.4	activities that are not legally permitted or are inconsistent with any officially recognized management plans for the area?	N	This is not an on-the-ground project and does not involve the risks described.
1.5	risks to endangered species (e.g. reduction, encroachment on habitat)?	N	This is not an on-the-ground project and does not involve the risks described.
1.6	activities that may result in soil erosion, deterioration and/or land degradation?	N	This is not an on-the-ground project and does not involve the risks described.
1.7	reduced quality or quantity of ground water or water in rivers, ponds, lakes, other wetlands?	N	This is not an on-the-ground project and does not involve the risks described.
1.8	reforestation, plantation development and/or forest harvesting?	N	This is not an on-the-ground project and does not involve the risks described.
1.9	support for agricultural production, animal/fish production and harvesting	N	This is not an on-the-ground project and does not involve the risks described.

56For example, a project may consider investing in a commercial shrimp farm by clearing the nearby mangrove forest to improve the livelihood of the coastal community. However, long term economic benefit from the shrimp farm may be significantly lower than the mangroves if we consider full costs factoring safety from storms, soil protection, water quality, biodiversity and so on.

1.10	introduction or utilization of any invasive alien species of flora and fauna, whether accidental or intentional?	N	This is not an on-the-ground project and does not involve the risks described.
1.11	handling or utilization of genetically modified organisms?	N	This is not an on-the-ground project and does not involve the risks described.
1.12	collection and utilization of genetic resources?	N	This is not an on-the-ground project and does not involve the risks described.
Safeguard Standard 2: Climate Change and Disaster Risks			
Would the project potentially involve or lead to:			
2.1	improving resilience against potential climate change impact beyond the project intervention period?	N	This is not an on-the-ground project and does not involve the risks described.
2.2	areas that are now or are projected to be subject to natural hazards such as extreme temperatures, earthquakes, extreme precipitation and flooding, landslides, droughts, severe winds, sea level rise, storm surges, tsunami or volcanic eruptions in the next 30 years?	N	This is not an on-the-ground project and does not involve the risks described.
2.3	outputs and outcomes sensitive or vulnerable to potential impacts of climate change (e.g. changes in precipitation, temperature, salinity, extreme events)?	N	This is not an on-the-ground project and does not involve the risks described.
2.4	local communities vulnerable to the impacts of climate change and disaster risks (e.g. considering level of exposure and adaptive capacity)?	N	This is not an on-the-ground project and does not involve the risks described.
2.5	increases of greenhouse gas emissions, black carbon emissions or other drivers of climate change?	N	This is not an on-the-ground project and does not involve the risks described.
2.6	Carbon sequestration and reduction of greenhouse emissions, resource-efficient and low carbon development, other measures for mitigating climate change	N	This is not an on-the-ground project and does not involve the risks described.
Safeguard Standard 3: Pollution Prevention and Resource Efficiency			
Would the project potentially involve or lead to:			
3.1	the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	N	This is not an on-the-ground project and does not involve the risks described.
3.2	the generation of waste (both hazardous and non-hazardous)?	N	This is not an on-the-ground project and does not involve the risks described.
3.3	the manufacture, trade, release, and/or use of hazardous materials and/or chemicals?	N	This is not an on-the-ground project and does not involve the risks described.
3.4	the use of chemicals or materials subject to international bans or phase-outs? (e.g. DDT, PCBs and other chemicals listed in international conventions such as the Montreal Protocol, Minamata Convention, Basel Convention, Rotterdam Convention, Stockholm Convention)	N	This is not an on-the-ground project and does not involve the risks described.

3.5	the application of pesticides or fertilizers that may have a negative effect on the environment (including non-target species) or human health?	N	This is not an on-the-ground project and does not involve the risks described.
3.6	significant consumption of energy, water, or other material inputs?	N	This is not an on-the-ground project and does not involve the risks described.
Safeguard Standard 4: Community Health, Safety and Security			
Would the project potentially involve or lead to:			
4.1	the design, construction, operation and/or decommissioning of structural elements such as new buildings or structures (including those accessed by the public)?	N	This is not an on-the-ground project and does not involve the risks described.
4.2	air pollution, noise, vibration, traffic, physical hazards, water runoff?	N	This is not an on-the-ground project and does not involve the risks described.
4.3	exposure to water-borne or other vector-borne diseases (e.g. temporary breeding habitats), communicable or noncommunicable diseases?	N	This is not an on-the-ground project and does not involve the risks described.
4.4	adverse impacts on natural resources and/or ecosystem services relevant to the communities' health and safety (e.g. food, surface water purification, natural buffers from flooding)?	N	This is not an on-the-ground project and does not involve the risks described.
4.5	transport, storage use and/or disposal of hazardous or dangerous materials (e.g. fuel, explosives, other chemicals that may cause an emergency event)?	N	This is not an on-the-ground project and does not involve the risks described.
4.6	engagement of security personnel to support project activities (e.g. protection of property or personnel, patrolling of protected areas)?	N	This is not an on-the-ground project and does not involve the risks described.
4.7	an influx of workers to the project area or security personnel (e.g. police, military, other)?	N	This is not an on-the-ground project and does not involve the risks described.
Safeguard Standard 5: Cultural Heritage			
Would the project potentially involve or lead to:			
5.1	activities adjacent to or within a Cultural Heritage site?	N	This is not an on-the-ground project and does not involve the risks described.
5.2	adverse impacts to sites, structures or objects with historical, cultural, artistic, traditional or religious values or to intangible forms of cultural heritage (e.g. knowledge, innovations, practices)?	N	This is not an on-the-ground project and does not involve the risks described.
5.3	utilization of Cultural Heritage for commercial or other purposes (e.g. use of objects, practices, traditional knowledge, tourism)?	N	This is not an on-the-ground project and does not involve the risks described.
5.4	alterations to landscapes and natural features with cultural significance?	N	This is not an on-the-ground project and does not involve the risks described.
5.5	significant land clearing, demolitions, excavations, flooding?	N	This is not an on-the-ground project and does not involve the risks described.
5.6	identification and protection of cultural heritage sites or intangible forms of cultural heritage	N	This is not an on-the-ground project and does not involve the risks described.

Safeguard Standard 6: Displacement and Involuntary Resettlement			
Would the project potentially involve or lead to:			
6.1	full or partial physical displacement or relocation of people (whether temporary or permanent)?	N	This is not an on-the-ground project and does not involve the risks described.
6.2	economic displacement (e.g. loss of assets or access to assets affecting for example crops, businesses, income generation sources)?	N	This is not an on-the-ground project and does not involve the risks described.
6.2	involuntary restrictions on land/water use that deny a community the use of resources to which they have traditional or recognizable use rights?	N	This is not an on-the-ground project and does not involve the risks described.
6.3	risk of forced evictions?	N	This is not an on-the-ground project and does not involve the risks described.
6.4	changes in land tenure arrangements, including communal and/or customary/traditional land tenure patterns (including temporary/permanent loss of land)?	N	This is not an on-the-ground project and does not involve the risks described.
Safeguard Standard 7: Indigenous Peoples			
Would the project potentially involve or lead to:			
7.1	areas where indigenous peoples are present or uncontacted or isolated indigenous peoples inhabit or where it is believed these peoples may inhabit?	N	This is not an on-the-ground project and does not involve the risks described.
7.2	activities located on lands and territories claimed by indigenous peoples?	N	This is not an on-the-ground project and does not involve the risks described.
7.3	impacts to the human rights of indigenous peoples or to the lands, territories and resources claimed by them?	N	This is not an on-the-ground project and does not involve the risks described.
7.4	the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	N	This is not an on-the-ground project and does not involve the risks described.
7.5	adverse effects on the development priorities, decision making mechanisms, and forms of self-government of indigenous peoples as defined by them?	N	This is not an on-the-ground project and does not involve the risks described.
7.6	risks to the traditional livelihoods, physical and cultural survival of indigenous peoples?	N	This is not an on-the-ground project and does not involve the risks described.
7.7	impacts on the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	N	This is not an on-the-ground project and does not involve the risks described.
Safeguard Standard 8:Labor and working conditions			
8.1	Will the proposed project involve hiring or contracting project staff ?	N	This is not an on-the-ground project and does not involve the risks described.
If the answer to 8.1 is yes, would the project potentially involve or lead to:			
8.2	working conditions that do not meet national labour laws or international commitments (e.g. ILO conventions)?		

8.3	the use of forced labor and child labor?		
8.4	occupational health and safety risks (including violence and harassment)?		
8.5	the increase of local or regional unemployment?		
8.6	suppliers of goods and services who may have high risk of significant safety issues related to their own workers?		
8.7	unequal working opportunities and conditions for women and men		

Annex E. Design Process

The project concept was developed in consultation with the then designated EC Task Manager (she moved to another post, and a new task manager has been designated since then). The project concept went through UNEP international review process, including the UNEP Plastic team, the Source-to-Sea Pollution Unit, Chief, Chemicals and Health Branch, Global Sub-Programme Coordinator for Pollution and Chemicals Action, and Deputy Director of the Industry and Economy Division. The EC Tsk Manager also contacted relevant EC services for comments. The concept was approved by Director of the Industry and Economy Division and was submitted to the 10th Steering Committee of the UNEP-EC Programme Cooperation in March 2023.

Through on-line and face-to-face meeting during April-June 2023, UNEP project manager and EC Task Manager discussed the development of the present project document and all comments were addressed in the document. Through these meetings, it was decided that Kenya is proposed to be the pilot country and detailed justification was included in Activity 2.1 description.

On 18 July 2023, UNEP, EU delegation in Kenya and European Investment Bank met and agreed that Kenya is the pilot countries to apply the toolkit to be developed under this project based on the completed and existing activities such ads UNEP/UN-Habitat plastic waste assessment in five Counties.

Annex F. Draft Donor Agreements

[The minutes of the 10th steering committee of the UNEP-EC partnership programme will be included here once it is obtained.]

Annex G. Gender Marker Self-Assessment

Code	Meaning	Criteria
0	Gender-blind	*Gender relevance is evident but not at all reflected in the project document.*
1	Gender partially mainstreamed	*Gender is reflected in the context, implementation, logframe, **OR** the budget*
2a	Gender well mainstreamed	*Gender is reflected in the context, implementation, logframe, **AND** the budget*
2b	Targeted action on gender	*The main purpose of the project is to advance gender equality.*
N/A	Not applicable	*A gender analysis reveals that the project does not have direct interactions with and/or impacts on people, therefore, gender is considered not applicable.*

It is assessed to be 2a. In terms of the Toolkit development part, a gender will be taken into consideration when the working group is established to maintain a balance among the categories of gender. At the time of application of the toolkit in a pilot country, all gender categories will be involved in the data collection and actual source identification and calculation of the quantity/concentration of plastic contaminants.

Annex H. Data and Digital Transformation Checklist

Self-screening checklist[57]	Y/N or #	Comment / Explanation
1. Digital Transformation		
Check all of the digital transformation pathways used by the project to deliver outcomes: a) Data, analytics, or digital twins b) Cloud or edge computing c) Artificial intelligence / machine learning d) Earth observation, drones or sensors e) Blockchain or distributed ledgers f) Internet of Things g) Virtual reality / extended reality h) Behavioral incentives including nudging, gamification, leaderboards, feedback loops, etc i) Awareness raising through social media j) Mobile applications / and dedicated websites k) Other: _____	 Y Y Y Y	The project will be built on the actual data and research results to develop the toolkit. In its application data should be collected. Some of the data may be from remonte sensing. Awareness raising on the toolkit will be carried out through SNS and other online platforms. A dedicated website will be developed for this project.
How many of the core project outputs are digital in nature (e.g. data, analytics, software, algorithms, platforms, applications)?	2	Toolkit and communication materials
Does the project respect the principles for digital development? If not, explain why.	Y	
Will a human-centered design approach be used to design the digital outputs? If not, explain why.	Y	
Are the digital outputs being released with open licenses that are compliant with the digital public goods standard? If not, explain why.	Y	
2. Environmental Data Management		
What kind of data will the project produce? (survey, behavioral insights, environmental quality data statistics, maps, multi-media) ?		Pollution source data
All maps, web maps and geospatial data portals resulting from the project adhere to UN Map Rules. For more info please see: (https://wecollaborate.unep.org/display/WESR/UN+Basemap+files)	Y	Source inventory will be based on the mapping information.
All maps, web maps and geospatial data portals resulting from the project are reviewed and approved by WESR Unit (Science Division).	Y	
Will project data be managed in machine-readable format (CSV, JSON, XML, etc.)?	Y	
Will the data have an adequate set of metadata including the method, data source, description, data license, reference system, etc.?	Y	
Which UN official languages will the metadata be provided in?		English.
Will public data produced by the project comply with the 'FAIR Guiding Principles for scientific data management and stewardship' ?	Y	
Will the project collect gender-disaggregated data or conduct gender-disaggregated analysis ? Can this be used to measure how gender equality can be successfully integrated in an environmental project to generate improved outcomes?	Y	
Will the project utilize SDG data, indicators and targets to help track, predict and accelerate SDG progress?	Y	
Will a database be prepared to manage the data generated/collected in the project?	Y	
How much of the project data will be accessible to relevant stakeholders (all, subset or none)? Explain	Y	
Will the data produced by the project be relevant to UN country teams and Common Country Assessment processes ?	Y	
How will the public data be licensed?	Y	
Will the data be backed up?	Y	
Will the project use a corporate ICT service solution or an external provider?	Y	

Self-screening checklist[57]	Y/N or #	Comment / Explanation
Will the data produced by the project be made available on the World Environment Situation Room?	Y	
Can the data produced by the project be easily visualized and integrated into social media communications and public outreach ?	Y	
Will the data produced by the project be made available on an Application Programming Interface?	Y	
Will the data produced by the project be showcased or made available on another data platform?	Y	INC data system
Can the data produced by the project be used to measure how gender equality can be successfully integrated in an environmental project to generate improved outcomes?	Y	
Have sufficient HR and financial resources been allocated for data management and archiving in the project budget?	Y	
3. Data Privacy and Security Risks		
Will the data collection process pose substantial risk (privacy reasons, sensitive data, difficult environments, political implications, etc.)?	N	
Does any data collected by the project contain personally identifiable information (PII) – if so, explain how will this be managed ?	N	
Do any of the project partners need to comply with the EU General Data Protection Regulation (EU GDPR)? Has a GDPR-compliant strategy been adopted ?	Y	EC
Will storing of the project data by private companies, UNEP, or other project partners pose substantial risk?	N	
Will the data and associated database have sufficient information security measures and be regularly backed up?	Y	
If yes for the questions above, has the risk information been shared among stakeholders and has the mitigation measure been discussed and agreed?	Y	

Annex I. Terms of Reference

Terms of Reference of the Project Steering Committee

A project steering committee (PSC) will be established. The Project Manager will function as the secretary for the Committee. All project contributors from the relevant divisions, Global Sub-Programme Coordinator, ONE Plastic project manager as well as EC Task Manager(s) will be the members of the Committee. The UNEP project Manager and EC Task Manager will alternately chair the Committee meetings. As deemed necessary and important by the steering committee, other UNEP or EC staff members, partner organisations and/or consultants may be invited. The committee meetings will be organised online every six months.

The tasks of the Steering Committee are as follows:

i. Review project progress in achieving the project objectives, expected outcomes and outputs;
ii. Develop and agree on the annual workplans and annual budgets, leading to project revisions;
iii. Review the budget execution and expenditure and as necessary re-shuffle budget items;
iv. Prepare reports to be sent to the ONE Plastic Project Steering Committee and to the European Commission;
v. Review the draft deliverables for comments; and
vi. Contribute to the mid-term review and terminal evaluation of the ONE Plastic Project.

Terms of reference of the Working Group to develop a toolkit

A Working Group to develop a toolkit to identify and quantify plastic pollution sources (WG) will be established. The Project Manager will function as the secretary for the Committee. Experts from different areas of expertise needed for the development of the toolkit will be invited to be members of the Working Group. The membership of the Working Group will be decided upon by the PSC. Among the members. Chair of the Working Group will be selected. As deemed necessary and important by the Working Group, other experts may be invited on a case-by-case basis to specific discussion of the WG. The WG meetings will be organised online or face-to-face as per the workplan of this project.

The tasks of WG are as follows:

i. Collect information on the existing tools/methodologies as well as on the research results related to the plastic pollution sources, including plastic leakage from human activities and sector activities;
ii. Identify major human activities and sector activities that are associated with plastic discharge or emission;
iii. Develop specific methodologies to estimate the amount of plastic pollution or leakage from identified sources;
iv. Develop data category and quality standards to apply the toolkit and suggest data systems to be developed during the toolkit application;
v. Review a draft toolkit from technical and scientific perspectives;
vi. Prepare toolkit application modality;
vii. Advise on the pilot application of the toolkit to a pilot country;
viii. Advise data collection in the pilot country
ix. Revise the toolkit based on the feedback from the pilot application of the toolkit; and
x. Finalise a practical toolkit for online publication.

Terms of reference of a consultant to coordinate the toolkit development

The objective of this consultancy in this project is to develop a draft toolkit to identify and quantify source of plastic pollution in the aquatic environment.

A consultant will be recruited to draft the document based on the input from the Working Group. The draft will be reviewed by the Working Group members. It will also be reviewed by UNEP as well as European Commission.

The consultancy will work directly with and receive direct supervision from Programme Officer in charge of plastic waste in the International Environmental Technology Centre and will be guided generally by Head of IETC. The tasks of the consultant are:

1. Collect information on the existing models, methodologies and tools that identify, assess and quantify sources of plastic pollution for the aquatic environment, as well as research results on the estimating the amount/concentration of plastic pollutants associated with specific human and sector activities on lands and on water. The Working Group and another consultant in this project will be assisting the information sources;
2. Analyse existing tools/methodologies/models to see how these tools can actually be applied for which results. Working Group will help analyse these tools;
3. Develop methodologies for assessment of plastic pollution discharge or emission from specific human or sector activities. The Working Group would assist in writing these methodologies; Working Group will also assist in developing methodologies;
4. Draft a toolkit based on the agreed methodology to assess the specific sources of plastic pollution;
5. Have a draft reviewed by the Working Group and other reviewers and incorporate comments;
6. Develop a final draft toolkit for actual application; and
7. Assist the application of the toolkit and introduce the toolkit to the stakeholders in a pilot country.

Qualification:

Graduate degree in the field of pollution control, pollution assessment, water/ocean pollution policy development, physical, geo-chemical or biological oceanography/hydrology. At least 10 years of professional experiences in marine/water pollution. At least three years of experiences in plastic pollution assessment and control. Demonstrated capacity to write UN documents in English.

Terms of reference of a consultant to collect information

The objective of this consultancy in this project is to collect information on the existing tools/methodologies/models to assess the plastic pollution discharge/emission

The consultancy will work directly with and receive supervision from Programme Officer responsible for Plastic waste in IETC, and receive general guidance of Head IETC. The tasks of the consultant are:

1. Collect information on the existing models, methodologies and tools that identify, assess and quantify sources of plastic pollution for the aquatic environment, as well as research results on the estimating the amount/concentration of plastic pollutants associated with specific human and sector activities on lands and on water. The Working Group and another consultant in this project will be assisting the information sources;
2. Compile collected information and categorise it according the human and sector activities associated the plastic pollution. Further list up possible plastic pollution sources that affect marine and water quality;
3. Carry out initial assessment of these tools and models on their applicability, use of results, and application frameworks;
4. Draft a report on the existing models, methodologies and models that can be used to identify and quantify the sources of plastic pollution in the aquatic environment; and
5. Have a draft report reviewed by reviewers and Working Group members and address comments provided;
6. Finalise the report and prepare a copy-edited and formatted draft for online publication.

Qualification:
Graduate degree in the field of pollution control, pollution assessment, water/ocean pollution policy development, physical, geo-chemical or biological oceanography/hydrology. At least 7 years of professional experiences in marine/water pollution, particularly plastic pollution in the aquatic media. Demonstrated capacity to write documents in English.

Annex J. Stakeholder Response Mechanism

UNEP projects should disclose project information, safeguard risks and risk levels to stakeholders through their own information disclosure system or that of implementing partners. The Stakeholder Response Mechanism (SRM) must be communicated to all stakeholders, especially those that are likely to be affected by the project. This should be done as early as possible in the project development stage and the information should remain available throughout project implementation.

Provide the contact information of the implementing or executing partners and the UNEP project manager for any project-related suggestions, concerns or grievance issues of the stakeholders. Alternatively, provide the link to the SRM form if it is available on the project webpage.

Use this space to provide further information on the project SRM, e.g. via the standard text below:

Contact information (expand as necessary):	
UNEP Project Manager	
Name: Takehiro Nakamura	*Takehiro Nakamura*
Tel. number:	*+254-702-116181*
Email address:	*Takehiro.nakamura@un.org*
Partner 1	
Partner name:	*European Commission*
Contact person name:	*Dagmar Kaljarikova*
Tel. number:	
Email address:	*Dagmar.Kaljarikova@ec.europa.eu*
Partner 2	
Partner name:	
Contact person name:	
Tel. number:	
Email address:	
Location(s) where stakeholders can get project and/or grievance information	

Upon receiving any complaints via the Stakeholder Response Mechanism, the UNEP project team will make efforts to respond to them promptly.

Issues that have failed to be resolved at the project level can be elevated to UNEP Stakeholder Response Office via email (unenvironment-iossr@un.org)), or web-based request known as the "Project Concern Form" (https://www.unenvironment.org/about-un-environment/why-does-un-environment-matter/un-environment-project-concern) which is available in all 6 UN official languages.

Annex K. Stakeholder Engagement Plan

Please refer to Section 2.3: Stakeholder analysis, in which details are provided for each stakeholder group that will be involved and will benefit from the project. The table in the section explains the power they hold over the project results or implementation and their level of interest in the project. It further details their participation in project design and how their concerns are addressed by the project. The table finally explains the potential roles & responsibilities in project implementation, how they will be engaged and what are the changes in behavior or condition expected through implementation of the project.

Annex L. Project Beneficiaries

The project beneficiary is the national government which applies the toolkit.

Annex M. South-South and Triangular Cooperation

This project does not incuse south-south or triangular cooperation.

Annex N: Relevance to National and Regional UN Common Programming Processes (UNDS Reforms)

United Nations Sustainable Development Cooperation Framework guidance
The new United Nations Sustainable Development Cooperation Framework ("Cooperation Framework" or UNSDCF)[58] guidelines emphasize the primacy of the Cooperation Framework in articulating government expectations of the UN development system and in driving major UN development system contributions at the country level. United Nations entity-specific country programmes are derived from the Cooperation Framework, not vice versa.
Guiding Principles
UNEP projects should adopt an integrated and multidimensional programming approach in line with the "five P's" of the 2030 Agenda — people, prosperity, planet, peace and partnerships.
UNEP projects should, as their primary goal, promote environmental sustainability as a means of ensuring the lasting protection of the planet and its natural and cultural resources, supporting inclusive and sustained economic growth, ending poverty in all its dimensions and enhancing human well-being.
UNEP, like all UN entities, is expected to apply the guiding principles — Leaving no one behind[59], Human Rights-Based Approach to Development, Gender equality and women's empowerment, resilience, Sustainability and Accountability — in the design and implementation of their interventions at country and regional levels.

Screening checklist	**Y/N/Maybe**	**Comment and or justification for the response (please provide answers to each question)**
Relevance to UN Sustainable Development Cooperation Framework or Opportunity/ Issue based Coalitions and or Priorities of the Regional Collaborative Platforms (RCPs)		
Has UNEP regional, subregional and/or country office covering the countries involved being consulted and part of the formulation process? Have they provided substantive comments to the proposed project document and its implementation strategy?	**N**	This has not been done yet and once a pilot country is selected this consultation will be organized.
Has the Resident Coordinator of the countries involved being informed about the proposed project?	**N**	This has not been done yet and once a pilot country is selected this consultation will be organized.
Does the proposed project support the UN vision in alignment with the national vision?	**N**	This has not been done yet and once a pilot country is selected this consultation will be organized.

58 https://unsdg.un.org/resources/united-nations-sustainable-development-cooperation-framework-guidance

59 The UNSDG Operational Guide for UNCTs on Leaving No One Behind supports RCs and the UN development system in integrating this principle

Is the proposed project contributing to the challenge(s) and gap(s) identified in the Common Country Analysis (CCA)?	**N**	This has not been done yet and once a pilot country is selected this consultation will be organized.
Is the proposed project in full alignment with and supports the delivery of the Results/Outcome Areas of the Cooperation Framework?	**N**	This has not been done yet and once a pilot country is selected this consultation will be organized.
What is/are the Cooperation Framework indicators that the proposed project will contribute to?	**N**	This has not been done yet and once a pilot country is selected this consultation will be organized.
Are the proposed project SDGs indicators aligned/linked to those in the Cooperation Framework that supports and enables to the country(ies) to address SDG priorities and gaps? Or for regional approach, Opportunity/ Issue based Coalitions and or Priorities of the Regional Collaborative Platforms (RCPs).	**N**	This has not been done yet and once a pilot country is selected this consultation will be organized.
What environmental topic, theme or area is the proposed project covering and or focusing on?	**N**	This has not been done yet and once a pilot country is selected this consultation will be organized.
Will the proposed project be implemented in partnership, coordination or jointly with another UN agency(ies)?	**N**	
Does the proposed project position its budget in the larger context of SDG financing?	**N**	
Is the proposed project part the work of the results groups at country level? (for projects with regional approach, is the proposed project part of regional priorities defined by the Opportunity/ Issue based Coalition)?	**N**	This has not been done yet and once a pilot country is firmly confirmed this consultation will be organized.
Has the proposed project considered the Human Based Approach and will it promote and protect human rights and environmental rights?	**Y**	
Will the proposed project be in full alignment with and directly support the delivery of the Results/Outcome/Priority Areas of a regional Opportunity/ Issue based Coalition?	**N**	

ANNEX O

PROJECT COMMUNICATION AND VISIBILITY PLANS

1. Target groups

The target groups for the communication are as follows:

- River basin managers and coastal zone managers – to highlight the usefulness and applicability of the toolkit to be developed;
- Delegates and observers to the conference of the parties and meetings of the contracting parties of the regional river basin agreements and regional seas conventions and action plans – possible use of the toolkit to comply with the obligations of the legal instruments and to develop national action plans/programmes to address plastic pollution; and
- Delegates and observers to the Intergovernmental Negotiating Committee on legally binding instruments

2. Expected results & related indicators

The expected results are inclusion and uptake of the toolkit under the global and regional convention processes.

The following indicator is set to monitor the level of actual achievement: number statements at the regional and global convention related meetings to support the toolkit (baseline 2023: 0; 2026 target: 10)

3. Main activities & related indicators

The whole Output 3 is dedicated to the communication and visibility activities, namely:

Output 3: communication and visibility of the project results through the existing water agreements and a future plastic pollution convention.

The toolkit to be developed should be a useful tool to set up a national-level source inventory and further national level strategy/action plan to protect the aquatic environment from plastic pollution under the existing river basin organisations, the existing transboundary river/lake basin organisations, regional seas programme, national marine offices, regional fisheries bodies. The objective of this Output is to communicate the usefulness of the toolkit under the national pollution control programmes, national river basin programmes, transboundary river/lake basin organisations, national marine pollution programmes, regional seas/regional fisheries bodies.

Further communication would be carried out to the meetings of the contracting parties to the global transboundary water course conventions (1997 convention and Helsinki Convention), transboundary river/lake basin conventions/agreements, regional seas conventions, and regional fisheries management agreements.

Of importance is communication to the UN member States participating in the International Negotiating Committee (INC) of a legal instrument to end plastic pollution. The toolkit may be useful to the INC processes as well as further implementation of an international legal instrument.

Activity 3.1 Development of communication materials

Communications materials will be developed. These include but not limited to introductory leaflet of the toolkit, dedicated website of the toolkit, materials on the pilot application results.

Activity 3.2 Organisation of events on key occasions

Using the communications materials, UNEP and EC will proactively organise events on the occasion of the UN meetings, water convention meetings of contracting parties, regional seas convention conference of the parties, etc.

Activity 3.3 Dissemination of communication materials

A dedicate website will be developed to disseminate information on the project, toolkit and toolkit application. Further the communication materials will be disseminated through UNEP's and EC channels.

4. Partners & responsibilities

UNEP will be responsible for implementing the Output 3 related activities and will request events/side events at the various convention related meetings.

EC functioning as EU delegation to these meeting will participate in the events jointly orgasnised with UNEP. EC will review communication materials, website and oth4r communication resources.

Other partners (ISWA and IWA) may organize events and meetings within their conferences and general meetings.

5. Human and financial resources

The Project manager will be mainly involved in the implementation of Output 3 Activities. In the case, other UNEP offices will be involved in the above-mentioned convention processes, they will be requested to function as communication office in these meetings. The IETC communication consultant as well as the UNEP Communication Division will be engaged in the communication related activities.

			2023	2024	2025	2026	total
Output 3	Activity 1	Development of communication materials	0	0	24,075	0	24,075
Output 3	Activity 2	Organisation of events	0	0	16,050	16,050	32,100
Output 3	Activity 3	Dissemination of communication materials	0	0	21,400	0	21,400

6. Work plan and timeline

ID	Project Outputs & Activities	Responsible Division/ Regional Office	Partner(s)	Year 2023				Year 2024				Year 2025				Year 2026			
				Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
	Project Output 3: communication and visibility of the project results through the existing water agreements and a future plastic pollution convention.	*Industry and Economy Division*	*UNEP Communications Division*																
1	*Development of communication materials*	*Industry and Economy Division*	*Communications Division*																

2	*Organisation of events on key occasions*	*Industry and Economy Division*	*Communications Division*																	
3	*Dissemination of the communication materials*	*Industry and Economy Division*	*Communications Division*																	

7. Reporting

Effectiveness and results of the communication and visibility activities will be reported in the reports of the ONE Plastic project reporting within UNEP and reports to the UNEP and EC three times a year.

8. Acknowledgment

All project deliverables and communication materials and website carry the following acknowledgement:

> "[product] has been funded by the European Commission-UN Environment Programme Cooperation Agreement. The views expressed in [product] are those pf the author(s) only and do not necessarily reflect UN Environment Programme's or European Union's positions."

Further a programme cooperation logo, comprising the UNEP and EU logos will be used for deliverables or communication contents.