

Global Plastic Action Partnership (GPAP): Annual Review, FY 2022/2023

<b>Title:</b> Global Plastic Action Partnership (GPAP)		
Programme Value £ (full life): £20.5 Million.  This is made up of £12.5 million initial funding then a further £1.5m additional granted and then an uplift of £6.5 million	Review date: July 2024 (delayed)	
Programme Code: BPFGPAP	Start date: April 2021	End date: March 2026

Summary of Programme Performance

Year	FY 21/22	FY 22/23	FY 23/24	FY 24/25	FY 25/26
Overall Output Score	A	B			
Risk Rating	Med	Med			

DevTracker Link to Business Case:	<a href="https://devflow.northeurope.cloudapp.azure.com/files/documents/GPAP_businesscase_redacted-20221125101140.pdf">https://devflow.northeurope.cloudapp.azure.com/files/documents/GPAP_businesscase_redacted-20221125101140.pdf</a>
DevTracker Link to results framework:	TBC

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## Abbreviations

Acronym	Spelled Out
BC	Business Case
BPF	Blue Planet Fund
Defra	Department for Environment, Food and Rural Affairs
EMF	Ellen MacArthur Foundation
FY	Financial Year
GPAP	Global Plastic Action Partnership
Logframe	Logical Framework
NAM	National Assessment and Monitoring
NPAP	National Plastic Action Partnership
OCPP	Ocean Country Partnership Programme
ODA	Official Development Assistance
PMO	Project Management Office
STEP	Systems Toolkit to End Plastic Pollution
ToC	Theory of Change
UK	United Kingdom
UNEP	United Nations Environment Programme
VfM	Value for Money
WEF	World Economic Forum
WRAP	Waste and Resources Action Programme
WWF	World Wide Fund for Nature

## Section A: Programme Summary/Overview

### **A1. Programme Description**

The Global Plastic Action Partnership (GPAP) brings together governments, businesses, and civil society to tackle plastic pollution and increase investment in circular economy approaches in ODA-eligible countries. GPAP's intended impact is to improve the environment in partner countries by reducing municipal waste while improving the livelihoods of people involved in the waste sector or impacted by plastic pollution. This is achieved principally through (1) the creation of public-private stakeholder collaboration platforms called National Plastic Action Partnerships (NPAPs) and (2) targeted training and assistance for informal waste sector workers.

NPAPs are impartial and inclusive stakeholder coordination groups that bring together influential stakeholders across the plastics value chain, including policymakers, consumer goods businesses, non-governmental organisations and waste sector representatives. The partnerships' work in each country focuses on establishing baselines for pollution, standardising metrics and creating national action plans and roadmaps, all of which inform national waste management policy. GPAP prioritise the inclusivity and impartiality of the partnerships to encourage increased private investment into the solutions created by the partnerships and their members. Each partnership progresses through four stages:

1. **PREPARE (6-12 months):** GPAP scope and design the partnerships in close collaboration with partner governments, and sub-grant an organisation (usually NGO or UN organisation) to lead management of the partnership. This culminates in GPAP signing an MOU with the partner government.
2. **BUILD (12-24 months):** the partnership conducts baseline analysis using GPAP's National Analysis and Modelling (NAM) tool to inform a policy roadmap and other products. Connects between members are strengthened and the partnership produces a social context assessment. The partnerships are bespoke, and the products and priorities vary depending on the context.
3. **TRANSITION (24+ months):** the partnership prepares for GPAP to step back.
4. **SUSTAIN:** the partnerships 'graduate' from GPAP support and become independent, with GPAP providing ongoing strategic advice.

Defra has co-funded GPAP since its inception in 2018, alongside the Government of Canada and private sector partners Coca Cola and Nestlé. UK funding from 2018 to 2021 GPAP supported Indonesia, Ghana and Vietnam as pilot partnerships. Starting in Financial Year (FY) 2021/2022, UK approved £12.5 funding, plus a further £1.5m uplift, for GPAP under the Blue Planet Fund (BPF). A further £6.5m financial uplift was approved in 2022, focused on targeted support to the informal waste sector as part of the transition to a circular economy. Due to delays in disbursement of funding, informal economy sub-grants were not delivered until the end of March 2023, the very end of this reporting period.

### **A2. Supporting Narrative**

In the financial year of 2022/2023 GPAP the GPAP budget was £4 million. The programme score for FY 2022/2023 is B – ***moderately not meeting expectations***. This score reflects the extent to which the programme has achieved target outputs within this reporting period; adjusted for output weightings, 60% of results scored a B and 40% scored an A. Although the programme has not

met expectations on Output 3.1 for the second successive year, this is due to the same underlying issue which was initially addressed by granting the 6.5 million uplift for the informal sector. This is due to funding delays and is not a failure of the delivery partner, rather due to delays in Defra to agree revised targets. While programme outcomes have not been included in this score, it is worth noting that all three outcome targets were exceeded and have been examined within this review. Furthermore, for all outputs which were not impacted by the funding delays they either met or exceeded their target. Theories of Change for both the UK input into GPAP and the GPAP programme itself are set out in section B2.1. Following these findings, we recommend that this programme continues to be funded as proposed in the 5-year business case.

Key highlights include:

- GPAP now supports eleven national partnerships, four of which were established in this reporting period (Maharashtra, Ecuador, Cambodia and Panama). The seven existing partnerships are in Indonesia, Ghana, Vietnam, Nigeria, Pakistan, South Africa and Mexico City.
- Across all GPAP partnerships, women now make up 46% of steering board and expert committee members. Four partnerships ([Indonesia](#), [Viet Nam](#), [Nigeria](#) and [Pakistan](#)) published social context assessments that use a mixture of qualitative and quantitative data to analyse the needs, priorities, roles, discrimination and experiences of marginalized communities across the plastics value chain, including people with disabilities, those living in poverty, experiencing homelessness or informal housing and work, and indigenous communities. The assessments provide evidence and recommendations that feed into policies, planning and actions of the NPAPs and their members to ensure inclusive and gender-responsive outcomes. All partnerships have appointed Gender Equality and Social Inclusion (GESI) advisors.
- GPAP launched a [National Analysis and Modelling tool](#) (NAM) that enables partner countries to conduct consistent baseline analyses covering waste generation and collection, exports and imports, recycling and disposal rates, costs, emissions, jobs and revenue. The tool has been deployed in Indonesia, Ghana and Viet Nam.
- Roadmaps are currently being developed in Nigeria, Pakistan, Maharashtra, Mexico City, and Ecuador. The Viet Nam Roadmap has been completed and disseminated among NPAP partners and is being used to inform extended producer responsibility legislation.
- GPAP members have now committed or invested more than \$1.9bn in efforts to reduce plastic waste and pollution.

Key challenges include:

- Strong performance in the project outcomes is not matched by mixed performance in outputs. This suggests the causal links in the theory of change, and how these translate to the logframe indicators, may need to be reviewed.
- Due to delays disbursing funding, the workstream supporting informal sector workers is off-track.
- There is limited evidence of how GPAP's model results in its intended impact, particularly given the lack of data on tonnes of waste removed and livelihoods improved.

### **A3. Lessons and Recommendations**

Progress related to recommendations from the FY 2021-2022 Annual Review are outlined in the table below.

Table 1: Progress against recommendations from the Annual Review FY 2021-2022

Recommendation	Progress
<p><b>Further develop the informal sector component of the programme.</b> Take steps to consider the informal sector at each state of the GPAP approach so they are included in decisions that will impact them.</p>	<ul style="list-style-type: none"> <li>• UK provided £6.5 million financial uplift to support informal sector work. Due to delays in disbursement of funding, informal economy sub-grants were not delivered until the end of March 2023, the very end of this reporting period.</li> <li>• GPAP established six new informal economy partnerships and continued implementation and development of Social Context Assessments.</li> </ul>
<p><b>Measurement of more tangible downstream outcomes.</b> Current outcome targets are limited to assessing GPAP role as conveners and enablers, to go to the next level it is recommended to explore methods that could capture more tangible outcomes in implementation that result from this support.</p>	<ul style="list-style-type: none"> <li>• GPAP recognise the need to demonstrate evidence of impact and are actively exploring how to measure the relationship between GPAP as a convener and downstream outcomes.</li> <li>• Complicating this causal pathway is the fact that GPAP are neither an implementing agency, nor a monitoring agency.</li> <li>• While the GPAP team has been addressing this issue in internal discussions, substantive conversations with Defra on feasible methodologies/resources to enable this measurement have been delayed due to issues related to staff turnover on the Defra team.</li> <li>• <b>Given the limited progress, it is recommended this recommendation is extended to 23/24, adapted in recommendation 3 below.</b></li> </ul>
<p><b>Take steps to formalise areas of join-up between GPAP and the UK's Ocean Country Partnership Programme (OCP)</b></p>	<ul style="list-style-type: none"> <li>• GPAP team members have been successful in establishing formative links with OCPP counterparts, with facilitation support by Defra team members seen as key to this effort.</li> <li>• Defra shared OCPP field mission visits.</li> <li>• Ghana was recognised as a particularly strong opportunity to strengthen links, however limited steps were taken to formalise this.</li> <li>• <b>Given the limited progress, it is recommended this recommendation is extended to 23/24, adapted in recommendation 2 below.</b></li> </ul>
<p><b>Implement more innovative monitoring technologies.</b> Explore innovative methods to complement the comprehensive baseline analysis and assist with the monitoring of waste management and plastic pollution</p>	<ul style="list-style-type: none"> <li>• GPAP team members recognise the benefit to utilisation of innovative monitoring technologies, specifically the use of satellite imagery.</li> <li>• This past reporting period, explorations were made in the use of satellite technology but were met with contextual technical challenges due to the remote locations of some of their partnerships.</li> <li>• Limitations in available budgeting to pursue these objectives were also noted.</li> </ul>
<p><b>Take steps to improve NPAP to NPAP collaboration</b> to optimise communication between partnerships and propagate ideas, learnings and connections across the GPAP network.</p>	<ul style="list-style-type: none"> <li>• This reporting period GPAP have facilitated regular knowledge sharing sessions across partnerships.</li> <li>• Evidence suggests GPAP partners possess an appetite for increased collaboration, with team members reporting partner interest in more frequent and focused engagement opportunities.</li> </ul>
<p><b>Optimise transparency and inclusivity through strategic governance.</b> The GPAP Steering Board should continue to consider how to represent the GPAP partnership at the strategic and global level while ensuring transparency and inclusivity</p>	<ul style="list-style-type: none"> <li>• The GPAP team recognised that their former multi-tiered model of governance was no longer fit for purpose.</li> <li>• Addressing this gap, the team has shifted to a streamlined governance structure designed to support open and inclusive engagement across partners. Within this approach the Steering Board now serves as the primary body of contact in providing strategic guidance and oversight.</li> </ul>

Lessons learnt and recommendations for the year ahead are summarised below.

**Lesson 1: The knowledge, tools and resources developed by GPAP and partners are informing action to tackle plastic pollution.** Action roadmaps are critical to understanding both the scope of contextual challenges and progress made in addressing these issues. Collaboratively designing these roadmaps has enabled stakeholders to make clear commitments and set tangible goals. Evidence of the value of Action Roadmaps is steadily emerging: in Vietnam, the process has laid foundations for significant policy change efforts and across NPAP countries consistent baseline analysis supported by the NAM tool has generated invaluable data. Baseline analysis will be a key to progressing the global plastics treaty, with the NAM tool positioned to play a lead role. These resources, grounded in transparent ways of working, are providing an important foundation for a shared and consistent understanding of the challenge of plastic pollution.

**Lesson 2: Inclusive local action and ownership are essential to achieving programme goals.** The local approach to GPAP engagement has meant that both objectives and actions are able to be evidence-informed at each stage of implementation. When large-scale partners buy-in to the implementation of Social Context Assessments mean that planning can be inclusive of a diverse set of perspectives including the informal economy, women and members of traditionally marginalised communities. Further supporting these objectives, six informal economy organisations have been selected to receive sub-grants as a result of the recent £6.5 million ODA uplift to expand the programme's poverty impact. As GPAP activities accelerate, with intentions to scale to 25 partner countries across a diverse set of contexts by 2025, localised engagement will play a key role in ensuring future plans remain tailor made and fit-for purpose.

**Lesson 3: A focus on users has supported the development of a robust monitoring framework.** By dedicating the first year to listening and refining monitoring processes, the GPAP team has applied this knowledge to establish a user-friendly monitoring system. This intuitive design has meant that training new partners to use the system has been quick and efficient, requiring a minimum of resources. The system is reinforced by a focused method for capturing results, involving consistent use of tools such as annual surveys, interviews, and collaborative input into the online Airtable results tracker. Looking ahead, this stream-lined approach will be crucial as GPAP scales and welcomes new partners.

## **Recommendations**

**Recommendation 1: Expand and deepen learning relationships with partners both on the ground and across the BPF.** Cross-collaboration is a foundational objective of the GPAP platform, with aims to support network building at both local and national levels as well as regionally across partnerships. Following recommendations made in FY 2021/2022 GPAP and Defra have used relationships and built learning connections, across NPAPs and extended out to the broader BPF community. Some of these links include lesson sharing related to OCPP field missions and strengthen links to Ghana. However, as the platform accelerates in growth alongside upcoming Global Plastics Treaty negotiations opportunities to share, collaborate and propagate ideas will become even more crucial. We recommend doubling down on these efforts and actively exploring how these networks can be further expanded to include and potentially link a broader contingent of the BPF ecosystem alongside relevant NPAP partners. Operationally, support from the Defra team will play a key role identifying these relational opportunities and in facilitating these linkages.

**Recommendation 2: Explore opportunities to strengthen the pipeline of evidence, including on poverty reduction.** While data capture to inform programme implementation underpins the GPAP platform, more can be done to ensure partners are adequately equipped to

capture quality data. We recommend steps are taken to explore opportunities that could support identification of monitoring capacity gaps alongside an exploration of feasible mitigation pathways. Given the upcoming Defra supported interim evaluation, we suggest this issue is incorporated into evaluation design.

**Recommendation 3: Ensure metrics assessing achievement of targets are fit for purpose.**

The GPAP team narrowly missed meeting output indicators related to roadmaps published and knowledge products produced. While it is crucial to safeguard high standards, there is also room to explore whether the current parameters are still relevant and fit for purpose. For example, initial roadmap targets were set to reflect roadmaps being released in three (3) components, while adaptations to meet partner need mean a single synthesised version is now being drafted. In the case of knowledge products, completed products that have not yet passed through a time-consuming multi-stakeholder quality assurance process are not counted toward target totals. We recommend exploring additional ways to frame target results such that the breadth of programme achievements is more accurately captured.

**Recommendation 4: As the global community progresses towards a Global Plastics Community, invest time in reflecting on how GPAP can best add value to this process.**

While this process will bring welcome attention and resources to addressing the plastic crisis, it also brings the potential to drastically re-frame courses of action and related roles. It will be important to deepen an understanding of how GPAP can be best equipped and ready to pivot as needed to effectively engage in this ecosystem. This understanding could be nurtured through actively tapping into feedback channels and exploring further opportunities to engage and listen.

## Section B: Progress review

### **B1. Summary**

This Annual Review marks the end of the second year of GPAP investment through the Blue Planet Fund (BPF). Expanding on the Defra Marine ODA funding initiated in 2018, a comprehensive 5-year business case was formulated in 2021 for the work under the BPF. This included the introduction of a new logical framework and the establishment of a set of ambitious deliverables. A financial uplift of £6.5 million ODA was approved in 2022. Delivered through BPF, this uplift is designed to build on GPAP's approach to better incorporate and support the inclusion of the informal waste sector within the transition to a global circular economy. The uplift has not resulted in any changes to the existing programme-level Theory of Change (ToC) as efforts here are expected to strengthen and reinforce existing pathways to impact.

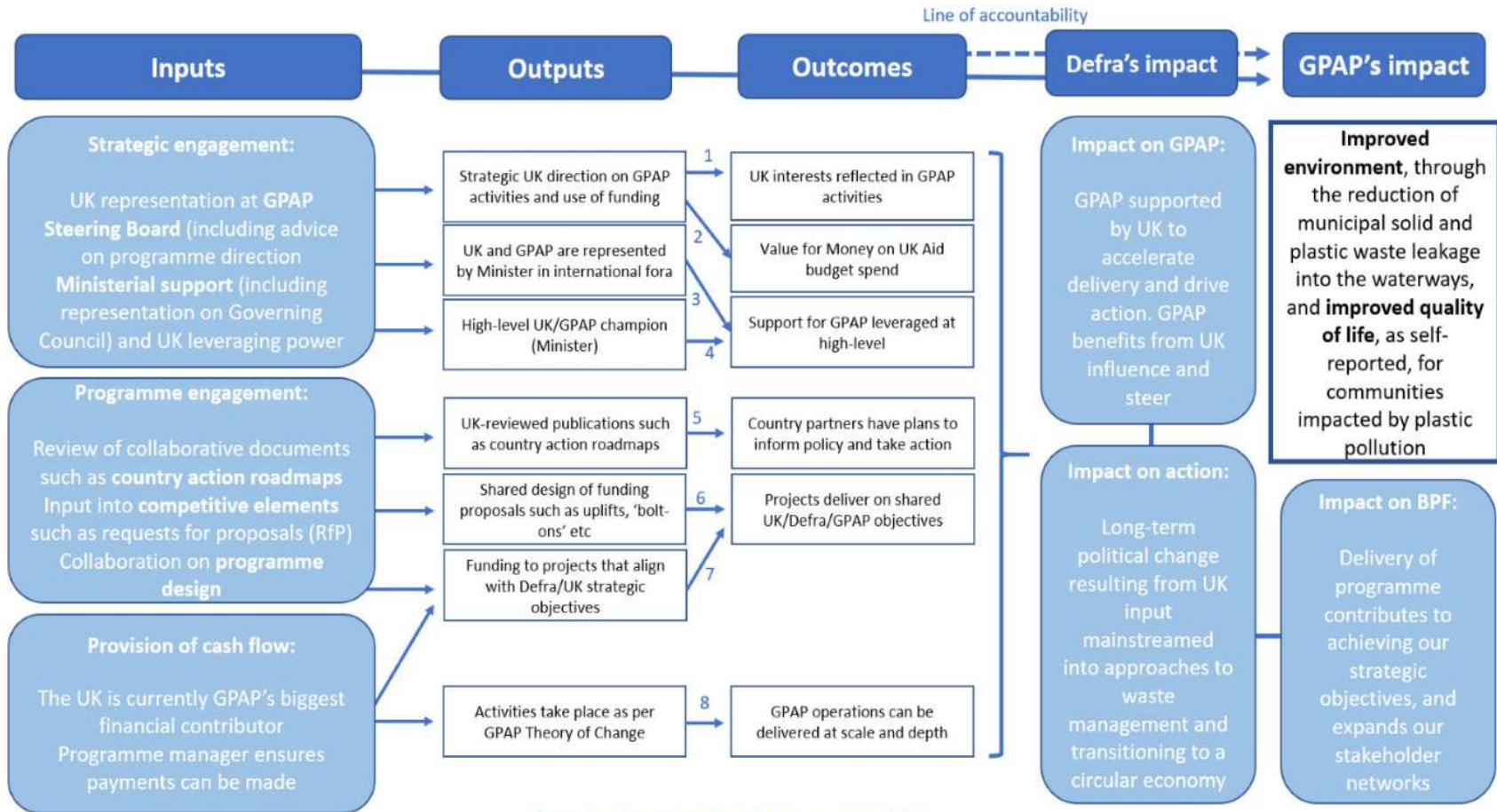
A comprehensive outline of pathways to achieving outcomes and impact are detailed in the two Theories of Change set out in section B2. The first ToC describes how UK financial, strategic and high-level advocacy support inputs are intended to support GPAP in delivery of outputs, outcomes and impact. The second ToC maps out these intended GPAP results. Taking a broader view, both these ToC feed into an overarching Blue Planet Fund ToC (Annex 3) and include tackling marine pollution as one of four primary thematic outcomes. Evidence indicates that GPAP are largely delivering on these pathways to meet expected output and outcome targets for this review period. Some output level targets have faced delays, most notably those connected to the delay in delivery of the £6.5 uplift for work in the informal sector. However, considerable work has been done to ensure these funds can be readily utilised so that efforts can remain on track. Critically, all three outcome targets have been exceeded. In the case of outcome indicator 1.1, £1.6 billion committed by partners represents a huge opportunity to catalyse GPAP endeavours. Similarly, outcome level policy achievements provide opportunities to further catalyse GPAP efforts at a



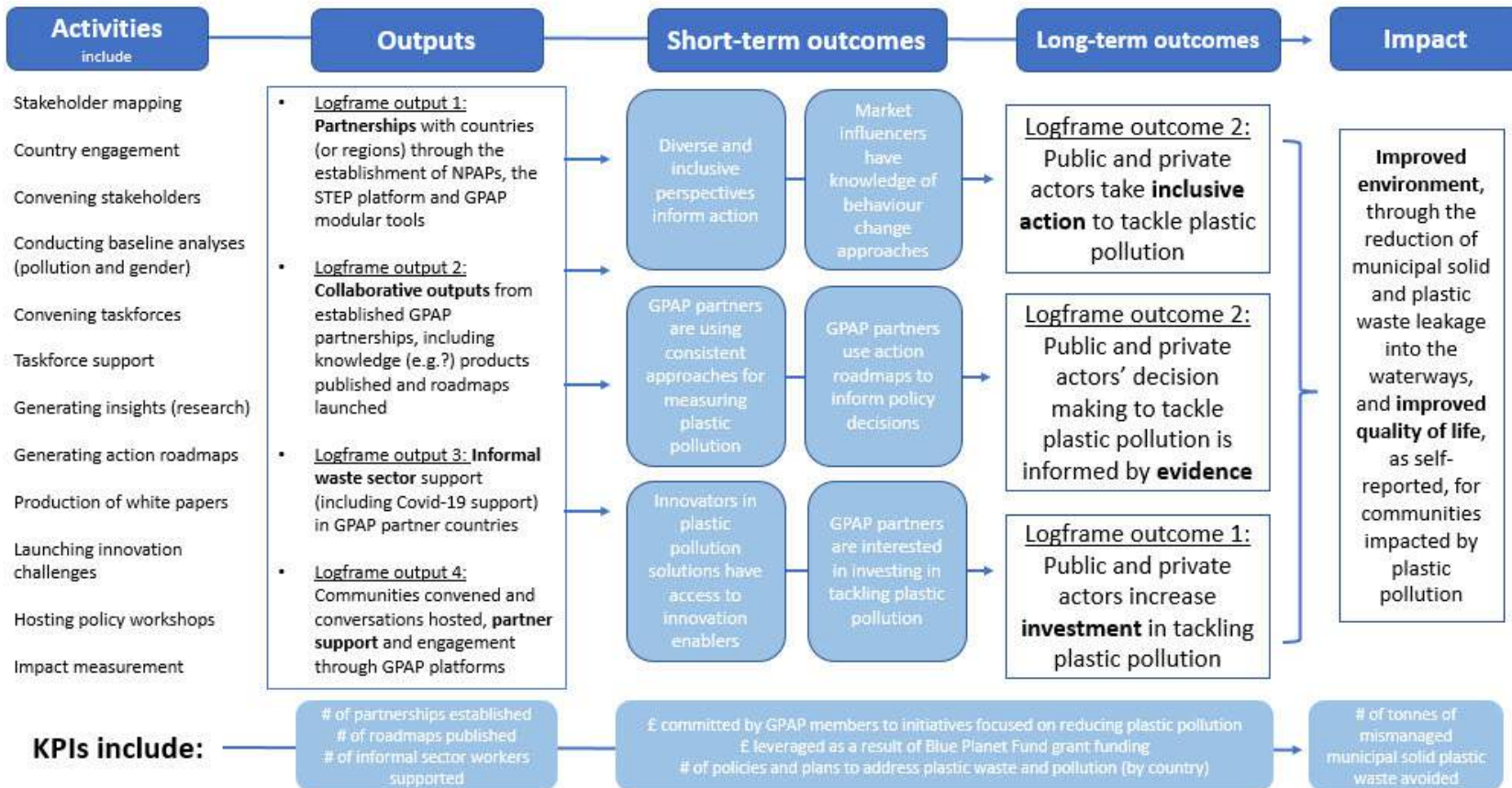
systemic level. This bolsters confidence that long-term impacts are progressing as planned and GPAP is on track to deliver Value for Money (VfM) with expected benefits surpassing initial investment.

While the underlying ToC, performance measurement framework and indicators of change have benefited from collaborative refinement across the life of this project, indicators and targets have remained unchanged. The 2022 financial uplift has not resulted in any changes to the results framework as efforts here are expected to contribute to the attainment of current targets, with objectives set on ensuring quality and enacting sustainable change rather than expansion of reach. However, an indicator has been added to capture the number of road maps that are considered gender and inclusion responsive.

## B2 Theories of Change



## Global Plastic Action Partnership: Theory of Change



### ***B3. Assessment of whether programme is on track***

This year GPAP has continued its work in convening stakeholders across sectors to support inclusive and evidence-based action to tackling the plastic pollution crisis. As this work has increased, GPAP has used its unique role to connect and mobilise key actors globally and locally. As a respected convener, knowledge broker and producer of evidence informed tools, GPAP is positioned to lend significant support to upcoming work related to the global agreement to establish a legally binding plastics treaty.

Alongside its partners, GPAP has delivered several outputs supporting solutions across the plastics value chain. The output assessment (section C) sets out quantitative scores reflecting the degree to which GPAP is on track. These are based on key outputs that were agreed between Defra and WEF at the outset. Two out of three (3) outputs met or exceeded expectations across indicators, and two outputs are behind target. The target for the fourth output on informal sector work supported was not met due to a delay in funding (see narrative below).

- The number of established partnerships met its cumulative target of eleven (11). In addition to previous members, GPAP formalised relationships with Maharashtra, Ecuador, Cambodia and Panama.
- The key policy and data products created through these partnerships narrowly missed expectations. The target for number of partners measuring plastics pollution was exceeded, but those for publishing of roadmaps and knowledge products were not met.
- Supporting innovation continued to be a GPAP priority with innovators reporting benefits as a result of platform engagement surpassing expectations.
- Championing inclusive ways of working continued to be a cornerstone of GPAP's delivery model with targets related to inclusivity exceeding expectations.
- The mid-term target for March 2023 for the informal sector was not achieved due to a delay in receiving funds for the Informal Economy's Sub Grant initiative. Due to the delay, the initiative only began at the end of March 2023 and no changes were possible for the Financial Year 2022/2023. There is strong evidence that solid groundwork has been laid this year to ensure future targets will be met. This work includes: the establishment of six (6) informal economy partnerships to implement activities have been put into place, widespread implementation of Social Context Assessments and explorations of how to further connect the informal economy across the wider network.

While not included within the scoring calculations of this Annual Review, GPAP also captures and reports upon progress toward outcomes across the programme. These areas include indicators related to finance mobilized, and improved data-driven decision making in tackling plastic pollution. For FY 2022/2023 all outcomes were met and included in Table 2 below. Notably:

- Financial commitments on the part of partners toward projects enabled by GPAP surpassed expectations by a significant margin. With a target of £200million, money committed totalled over £1.6 billion
- WEF reporting attributes 32% (£525m) of this larger commitment to the UK's contribution. The methodology for this outcome changes for this reporting year and needs to be clarified. Due to the spike in investment this year GPAP decided to use a more conservative methodology by extracting 32% of the Investment in GPAP rather than using the ICF guidance of attributing it to proportion of investment which the UK have committed to the programme. Reflecting the level of traction GPAP tools are gaining in informing policy discussions, the target related to policy impact was also far surpassed. While the

target for this year sits at 8 policies/plans created to address plastic waste, data indicates that 27 policies/plans were created in FY 2022/2023

- The overall financial commitment is considerably higher than last year due to Indonesia's involvement in the programme as it organically attracts a large amount of attention and subsequently investment. Considering the other countries GPAP work's with are seen as holding less of a percentage of plastic waste in oceans, we suspect this significant investment in Indonesia is due to it being so close to the top of the list. After monitoring for three years, we also do not see this exponential investment trend in other countries where we've been working with to date, even those we have a longer-term relationship with. Given these conditions, there's reason to assume Indonesia is an outlier.

Impact results are set to be measured at the mid-way point (FY 23/24) and end-point (FY 25/26). Representing encouraging signs for future delivery of impact, utilising their own measurement methods, local governments in Indonesia report a 28% reduction and Vietnam reports a 34% reduction in plastic waste.

Based on evidence presented in Table 2 and outlined above in section B2, we are confident that GPAP is on track to deliver expected impacts related to waste reduced and finance mobilised for circular economy solutions. We have less confidence however around results on improved quality of life for communities impacted by pollution, where the causal link is less strong and work on the informal sector has been slow to start.

As noted, this target was not met due to delays in the distribution of funds related to the £6.5m financial uplift earmarked to support this effort. However, there is evidence to indicate GPAP has spent the past year forging ahead with formidable plans to put this additional package of funding in place upon receipt. Plans include the establishment of six (6) new informal economy partnerships with which to implement activities alongside strong traction in the use of Social Context Assessments and work done in investigating opportunities to further connect the informal economy across wider networks.

Table 2: Overview of programme outputs, outcomes and activities with respect to FY 2022/2023

Level	Indicator		Baseline	Mar-23 (cumulative)
Outcome 1	£ committed by GPAP members to initiatives focused on reducing plastic pollution (disaggregated by three key funding mechanisms*)	Target	905,945	202,571,550
		Achieved		1,662,200,000
Outcome 1	£ leveraged as a result of Blue Planet Fund grant funding	Target	0%	30%
		Achieved		32% (£526.575m)
Outcome 2	# of policies and plans to address plastic waste and pollution influenced by GPAP members in partner countries (disaggregated by countries)	Target	0	8
		Achieved		27
Output 1	# of partnerships* established	Target	3	11

		Achieved		11
Output 2	# of partner countries or governments measuring plastic pollution (disaggregated by use of GPAP baseline tool or other)	Target	3	5
		Achieved		7
Output 2	# of roadmaps published (disaggregated by impact area)	Target	3	10
		Achieved		8
Output 2	# of knowledge products published (disaggregated by focus and target audience)	Target	1	10
		Achieved		9
Output 3	# of people in the informal waste sector supported by GPAP projects and activities (disaggregated by gender and geography)	Target	8,800	13,800
		Achieved		11,110
Output 4	# of innovators* reporting benefits* through interaction with GPAP's platform	Target	12	25
		Achieved		28
Output 4	% of GPAP partners* who are women* and/or from traditionally marginalised groups* (disaggregated by women and marginalised groups)	Target	40%	44%
		Achieved		48%

#### ***B4. Recommendation on whether programme should continue***

The VFM analysis in section E assess that the project is providing good value for money. However, despite the strong results on finance outcomes, there is less confidence in delivering the waste reduction and livelihoods improvement benefits as set out in the GPAP business case. Defra and GPAP are yet to validate progress towards the projections of the business case that indicated an initial £12.5 million investment could result in £270 million to £330 million in ecosystem service benefits and 17 – 22 million tonnes of plastic waste reduced per annum by 2040. As the GPAP community continues to grow to include more than 1,600 people from 70 organisations across 60 countries, achievements related outcome indicator 1.1 measuring partner financial commitments are particularly encouraging. The £1.6 billion committed by partners represents large-scale partner buy-in to tackling the plastics pollution crisis and will help boost GPAP's work. Partners also value the use of evidence-informed tools, and increased buy-in by policymakers can help support GPAP efforts at a systemic level. **Given the evidence presented here in this report, Defra recommends that this programme should continue.**

#### **Section C: Output Assessment**

Output indicators detailed within this section have been extracted from the GPAP-Defra logframe which was developed at the outset of the five-year programme between Defra and WEF

colleagues. These outputs have been scored on whether their quantitative targets were met in FY 2022/2023.

Output Title	Partnering with countries (or regions) through the establishment of National Plastic Action Partnerships (NPAPs), the STEP platform and GPAP modular tools to take action on plastic pollution and assemble stakeholders to catalyse the transition to a circular economy		
Output number:	1	Output Score:	A
Impact weighting (%):	20	Weighting revised since last AR?	n/a

Indicator(s)		Baseline	Target	Actual
1.1	# of partnerships established	3	11	11

This output measures the number of countries where GPAP has established partnerships, and tracks headline GPAP's commitment to deliver 25 partnerships by 2025. These partnerships are part of the wider multi-stakeholder and multi-sectoral GPAP community, which collectively stands at 1,356 partners in 54 countries from across public, private and civil society acting both globally and locally in cities, regions and countries.

As GPAP approaches its mid-point to 2025, it has been able to draw on experience and learning to date to better inform their partnership approach moving forward. This has meant shifting away from a previous modular approach for partner engagement that aimed to provide partners with singular tools to support their plastics agenda. Responding to partner feedback and further informed by commissioned trade studies, the partner approach moving forward centres on the distinct capacity GPAP has to offer a full suite of tools as a comprehensive and interlocking package. GPAP's position as a convener means these tools are collaborative documents tailored to country needs that can capitalise on synergies and avoid duplication.

In line with recommendations highlighted in the annual review for FY 2021/2022, GPAP has also directed efforts this year toward nurturing connections between NPAPs. This is recognised as a key objective as the programme gains momentum and scales across multiple regions. The implementation of regular knowledge and sharing sessions across stakeholders has been seen as effective in cultivating new relationships, with team members noting heightened partner interest in exploring these connections.

**Indicator 1.1** has met expectations and this output is judged an A. In addition to original partnerships in Indonesia, Ghana and Vietnam, GPAP formalised collaborations with Nigeria, Pakistan, South Africa and Mexico City in FY 2021-2022. This year the number of established

partnerships has increased to eleven with the launch of partnerships in Maharashtra, Ecuador, Cambodia and Panama.

**Case Study: Building Mutual Trust Through Collaboration in Maharashtra**

Due to efforts of the Maharashtra Plastic Action Partnership, stakeholders who have previously never sat at the same table are collaborating to address plastic waste and pollution. Through the Plastic Talk series launched in 2023, entrepreneurs, waste management agencies and government representatives shared their perspectives on the problems and solutions related to the plastics pollution crisis. This extended to discussing sensitive topics including plastic trade policies. Following the establishment of the Maharashtra partnership these actors are now working together to solve many of the challenges faced by the plastics value chain. Meeting these challenges include collaborating on trade agreements and harmonized waste standards to help establish competitive recycling and material redesign hubs.

Output Title	Developing collaborative outputs from established GPAP partnerships		
Output number:	2	Output Score:	B
Impact weighting (%):	30	Weighting revised since last AR?	n/a

Indicator(s)		Baseline	Target	Actual
2.1	# of partner countries or governments measuring plastic pollution	3	5	7
2.2	# of roadmaps published	3	10	8
2.3	# of knowledge products	1	10	9

This output measures the effectiveness of the partnerships in terms of the products they produce. Over the last five years, GPAP has continued to focus on harmonizing data and metrics to support a shared, consistent and comparable approach to monitoring and evaluating plastic pollution reduction efforts. Key to these efforts is the baseline analysis **National Analysis and Modelling (NAM)** tool which empowers countries to establish practical, science-based roadmaps that accelerate their transition to circular, low-carbon plastics systems. Whether countries are using this tool to baseline and measure pollution is reflected in indicator 2.1. Using the NAM tool, stakeholders are enabled to take a collaborative approach to set targets toward shared goals in eradicating plastic pollution with each **National Roadmap** transparently setting out what is needed from government, industry, civil society and academia.

Over the past three years, GPAP and local partnerships have generated over 25 products and solutions in support of plastic pollution reduction efforts, including seven (7) this year:

- National Action Roadmaps in Ghana, Indonesia and Vietnam.
- Financing, Policy, Metrics and Innovation reports and roadmaps.
- Social Context Assessment reporting.
- A global guide to ensure gender responsive plastic action.
- National gender responsive plans.

**Indicator 2.1** was exceeded, with all seven (7) previously forged partnerships now utilising the National Analysis and Modelling tool. Team members express confidence in newly on boarded countries following suit. In addition to meeting this key target other areas of progress have been recorded:



- Both Ghana and Indonesia have begun investing in monitoring plastic waste flows, including collection and recycling.
- While still not consistent, the sharing of data between public, private and civil society organisations have increased with contributions to globalplasticwaste.org and to national, local, and municipal government tracking.
- Mexico City, Nigeria, Ecuador, and Maharashtra report to all be currently finalising baseline analysis.

**Case Study: NPAP Nominated to Lead the Plastic Initiative in Vietnam**

Vietnam is a pioneer of the NPAP model, launching in 2020 and publishing its roadmap at the end of 2022. This partnership supports government targets to reduce plastic litter in oceans by 50% by 2025 and 75% by 2030. In a short period of time, NPAP Vietnam has worked to convene a valuable multi-stakeholder platform of around 500 individuals and 200 organisers to enable collaboration between the government and vital partners. Based on the trust NPAP Vietnam built, the partnership has been named the lead plastic initiative to support the Ministry of Environment and Natural Resources as it implements the government’s official approach under the National Scheme on Plastic Waste Management.

*“The roadmap has engaged stakeholders and is becoming especially important in supporting countries as they adapt the broad global mandate of the plastics treaty into practical, on-the-ground actions. This includes creating workable national plans to address the issue of plastic pollution tailored to each country’s unique circumstances.”*

**Le Ngoc Tuan, Director General, International Cooperation Department, Ministry of Natural Resources and Environment of Vietnam, Vice Chair of NPAP Leadership Board**

**Indicator 2.2** was missed. This year GPAP has published the NPAP Vietnam Action Roadmap and the Ghana Financing Roadmap, with Roadmaps for Pakistan, Nigeria and Ecuador expected nearer to the close of 2023. Both the NPAP Vietnam Action Roadmap and the Ghana Financing Roadmap are considered to be gender-responsive. Consultation with team members indicate challenges in meeting this target stemmed from:

- A strategy shift in report packaging. Initial roadmaps were published in a suite of three separate reports. For the sake of efficiency and in step with partner appetite, these reports have been merged into one report. This means each country partnership is now producing one roadmap instead of three.
- Prioritisation of a fully inclusive multi-stakeholder approach which can be both resource intensive and time consuming.

**Indicator 2.3** was narrowly missed, with four knowledge products published this year. Challenges in meeting this target are largely related to the degree of rigour the GPAP team places on this indicator. For example, knowledge products that have been drafted but have not yet fulfilled all multi-stakeholder quality assurance processes are not counted in this total. Adhering to strict eligibility criteria, knowledge products that are produced at local and national levels also do not count toward this total. Products completed this year include:

- Intersectional Gender Strategy for NPAP Ghana – 28 April 2022
- Ghana Plastic Action Initiative Tracker – 31 July 2022
- Indonesia Plastics Sector Social Context Assessment Report – 27 September 2022
- Trade and Circular Economy: Plastics Action in South Africa – 12 October 2022

**Overall**, we have scored this output a B as **indicator 2.3 and 2.2** were missed, indicator 2.1 was exceeded.

Output Title	Supporting the informal waste sector in GPAP partner countries		
Output number:	3	Output Score:	B
Impact weighting (%):	30%	Weighting revised since last AR?	n/a

Indicator(s)		Baseline	Target	Actual
3.1	# of people in the informal waste sector supported by GPAP projects and activities (disaggregated by gender and geography)	8,800	13,800	11,110

This output measures the number people reached by the programme's working supporting the informal waste sector. It is the only output indicator directly linked to poverty reduction. Globally, waste pickers are responsible for more than half of all plastic material collected for recycling<sup>1</sup>. However, this sector is often unrecognised and undervalued by formal structures, perpetuating instability, low income, and negative perceptions of informal workers in waste management and meaning they often face exacerbated social, economic and security challenges.

The annual review conducted for the FY 2021/2022 outlined a clear need for strengthened and targeted support in developing the informal waste sector and supporting its representation across each stage of the GPAP approach. In response, the UK government committed to provide a £6.5 million ODA uplift over three years to the existing GPAP commitments delivered through the Blue Planet Fund. The activities funded through this uplift will build on GPAP's core activities, but with a focus on supporting, empowering and working alongside the informal waste sector.

Calculating baseline numbers related to the informal waste picking economy is recognised as a challenge due to its decentralised and unstructured nature. In terms of assessing VfM, it's expected that the program's benefits (social, economic, environmental) will increase proportionally with the uplift in investment, thereby enhancing overall VfM expected from investment and maximising impact of funding.

**Indicator 3.1** The mid-term target for March 2023 could not be achieved due to a delay in receiving funds for the Informal Economy's Sub Grant initiative until later in the year, meaning they were only initiated at the end of March 2023 and no changes could be achieved for the Financial Year 2022/2023. Despite this delay, conversations with GPAP team members were positive. Team members pointed to substantial gains made this year in laying the groundwork to move forward which include:

- Selection of six (6) additional partnerships to support localised informal economy organisations, with prioritisation placed on those promising long-term impact through regional capacity strengthening.
- Exploration of plans to include connections to the informal sector within new national work plans.
- Large-scale partner buy-in to the implementation of Social Context Assessments to inform partnerships, resulting in evidence-informed planning that is inclusive of perspectives from the informal economy, women and members of traditionally marginalised communities.

<sup>1</sup> Solutions to Plastic Pollution, Nature Reviews Materials, Lau et al 2020

Due to these mitigations and the delay in processing grant funding, **the indicator has been scored B**, moderately did not meet expectations. However this should be monitored closely next year as the programme’s main indicator for evidencing poverty impact at the output level.

**Case Study: Promoting Inclusivity in Addressing Pollution in Nigeria**

In a break from industry norms, Nigeria is asking those most affected by plastics pollution – indigenous communities, women waste-pickers, people living in poverty to help lead its national roadmap for tackling plastic waste. Earlier this year, NPAP Nigeria conducted its first-of-its-kind national gender, equity and inclusion analysis of plastic pollution. Researchers visited five states to consult with diverse, often underrepresented groups which were selected for their close connection to the plastics value chain. Roadmaps for the reduction of plastic pollution and the transition to a circular economy are expected to be published close to the end of 2023. Both will be underpinned by the output of NPAP Nigeria’s recent study, creating recommendations designed to destigmatize informal waste workers and provide recognition for the unpaid and poorly paid labour of women.

Output Title	Engaging and supporting partners through GPAP Platforms		
Output number:	4	Output Score:	A+
Impact weighting (%):	20	Weighting revised since last AR?	n/a

Indicator(s)		Baseline	Target	Actual
4.1	# of innovators reporting benefits through interaction with GPAP’s platform	12	25	28
4.2	# of GPAP partners who are women and/or from traditionally marginalised groups (disaggregated by women and marginalised groups)	40%	44%	48%

This output is designed to measure the wider societal impact of GPAPs partnerships through indicators on supporting innovation and increasing inclusion. GPAP seeks to champion innovations through the **Global Plastic Innovation Network (GPIN)**. GPIN is an open platform designed to engage innovators and investors with a focus on five key areas: Waste Prevention; Materials and Product Design; Waste Management and Recovery; Ecosystem Data and Transparency; and Engaging Society. Working in partnership with Uplink<sup>2</sup>, GPIN has helped launch a range of innovation challenges that have served to foster greater connections among innovators, partners, and investors, as well as support the skills and visibility of innovators themselves. There are now over 200 solutions listed on the Global Plastic Innovation Network.

**Indicator 4.1** exceeded expectations, with 28 innovators reporting benefits as a result of interaction with the GPAP platform. In addition to meeting this annual target, supplementary data collected within monitoring and evaluation processes indicate strong progress in GPAP aims to connect innovators to innovation enablers:

<sup>2</sup> [Uplink](#) is the World Economic Forum’s Innovation platform

- Recent estimates suggest that 73% of innovators have a “good or “great deal” of confidence in investing in circular economy solutions for tackling plastic pollution, while 72% have a “good” or “great deal” of confidence in investing in waste collecting or recycling infrastructure.
- 67% of innovators report that GPAP has helped to increase visibility of their work, while 7 (58%) report that GPAP has increased their ability to access new potential partners.
- Confidence from investors and innovators has steadily increased. Innovation task forces, and corresponding publications have laid important foundations to continue elevating the role of innovation and innovators in the complex plastics value chain.

#### **Case Study: Unlocking Innovation Financing in Vietnam**

In addition to the Global Plastic Innovation Network, GPAP has been actively exploring additional opportunities to support innovators and integrate them into stakeholder networks. Connecting the dots between financing needs and solutions across the plastics value chain is a key challenge and an important step toward catalysing change. To address this challenge, NPAP Vietnam established its Financing and Innovation Task Force, with the Alliance to End Plastic Water and the Ministry of Natural Resources and Environment’s Department of International Cooperation as chairs. This task force plays a pivotal role in bringing together stakeholders to tackle the issue of plastic pollution by identifying and executing innovative solutions. At present, the community is concentrating its efforts on two key initiatives that include crafting a comprehensive financing roadmap and building an innovation mapping database.

A central component of GPAP’s delivery model is to convene stake holders from across the plastics value chain to take inclusive action on addressing plastic pollution. **Gender and Social Inclusion (GESI)** has been a cornerstone of GPAP’s approach since its launch, underscoring the role and value of diverse voices and inclusive approaches to tackling the complex issue of plastic pollution. While awareness of approaches to gender inclusivity has steadily increased across the lifecycle of the programme, GPAP team members report this year has seen a decided increase in momentum, with partners increasingly taking the initiative to make projects more inclusive.

Team members identify **Social Context Assessments** as a key enabler driving this shift. Social Context Assessments raise awareness of the need for equity and inclusion and provide a tangible tool for stakeholders to consider the crucial role women and marginalised communities play across the plastics value chain. Over the last year, NPAPs have published four Social Context Assessments, supporting inclusive action in Indonesia, Vietnam, Nigeria and Pakistan.

**Indicator 4.2** exceeded expectations with 48% of the 1479 GPAP partners who shared gender data identifying as women. Providing further evidence on GPAPs commitment to inclusive ways of working, recent data indicates:

- 45% of those working across the GPAP governance structures are women, including 64% of the steering board (53% global, 45% Indonesia, 43% Ghana, 49% Viet Nam, 46% Mexico City, 48% Nigeria, 30% Pakistan).
- GPAP has established five expert groups this year, with women representing 48% of the total.
- This year has also seen the addition of six gender advisors who have worked to ensure gender issues are embedded across local and national priorities and establish inclusion task forces across teams in Indonesia, Ghana, Vietnam, Nigeria, Maharashtra and at GPAP Global.

**Overall this output has scored an A+.** On average across both indicators the output is surpassing its targets by 10%.

## Section D: Risks

Since its inception, GPAP has established a strong risk prevention strategy not only in the designing phase of the GPAP Annual work plan, but also in the project monitoring process. This strategy has ensured that potential risks have been monitored and addressed before turning into actual negative situations.

Risks are logged, managed and reviewed by the programme manager. Risks are categorised as:

- **Delivery Risks** - the risk is associated with operations and activities in which GPAP is involved.
- **Management Risks** - the risk is associated with processes that are managed by the Authority.

Related to the financial uplift approved in 2022 and its associated efforts connected directly with the informal waste economy sector, several new risks have been identified. Specifically, due to the human-focused nature of this funding, risks and issues associated with the safeguarding and wellbeing of beneficiaries will need to be managed in line with broader safeguarding procedures. A Risk Potential Assessment (RPA) has been completed and has been reviewed through the Department Assurance Coordinator. The risk rating for this form is medium. A table of the programme's high-level assumptions, risks and mitigations is attached in annex 2, and the programme risk register in annex 5.

Aligned with risks identified in FY 2021/2022, several partnerships including Ecuador and Cambodia continue to face potential changes and major restructurings in their governments, which may cause delay. In response to this situation, GPAP continues to manage the situation and build relationships at multiple levels of government as well as with other local organizations to minimise this risk.

## Section E: Programme Management

### ***E1. Summary of Defra and delivery partner performance***

#### Conduct and cooperation

**Both partners express high levels of satisfaction related to their working relationship.** While there have been some challenges related to employee turnover, these have been largely mitigated with both partners indicating satisfaction in the progress made this reporting period. GPAP partners characterise this relationship as atypical, highlighting strong appreciation for the unique approach Defra has taken to establishing an open and transparent space where risks and challenges can be openly explored together. Past project managers were recognised for the role they played in laying the foundations for this supportive relationship. Defra team members echo an appreciation for the collaborative nature of this relationship pointing out the diverse range of skills that have been able to input on programme progress.

#### Finance and reporting

**Partners have resolved challenges in synchronising reporting cycles and accurately tracking budget changes.** By improving channels of communication with national partners, GPAP report strengthened relationships with national counterparts which have resulted in consistent submission of national reports. This has enabled the GPAP team to address pipeline blockages and deliver timely reports to Defra partners. The team has also streamlined internal quality assurance processes to achieve greater operational efficiency.

The GPAP team note they are taking a vigilant approach to tracking changes to ensure the highest levels of accountability. Here the team notes variabilities inherent in this context also necessitate the exercise of a degree of flexibility, recognising that there will inevitably be cases that require budgetary shifts. GPAP notes these are always done in line with impact objectives and aligned to broader grant requirements.

#### Communication

**Partners recognise the value in the degree to which this relationship has been able to establish open and transparent ways of working.** As noted above, partners recognise the unique nature of this working partnership and value the level of both transparency and accessibility that has been established seeing this as a key enabler to addressing challenges and realising the larger impact. Previous hiccups related to file sharing have been addressed through the utilisation of a shared folder with protected access. This has provided opportunities for the teams to input on shared live documents and has alleviated version control issues.

#### Joint Areas for Improvement

- Regular review of the programme risk register to ensure that risks and issues are escalated and mitigated as quickly as possible
- Regular conversations regarding budget allocations and spend, particularly tracking any potential delays in funding or shortfalls in spend
- Defra and GPAP to consider the GESI perspective in GPAP, particularly in the area of the informal economy work over the coming year

## **E2. Value for money overview**

GPAP has demonstrated a sustained commitment to ensuring Value for Money (VfM) via both a rigorous monitoring of spend and a track record of reliable reporting to donors. GPAP team members cite the streamlining of internal processes and the introduction of a new set of procurement procedures as key enablers in ensuring they are able to deliver strong VfM. Evidence of a strong commitment to VfM can further be seen in the implementation of a monitoring framework designed to require a minimum of operational resources, a crucial factor as GPAP scales and welcomes new partners.

Considering that this is only year two of BPF investment in the GPAP programme, successes associated with work delivered here are most accurately presented at output and in some instances outcome level rather than impact level, where results will only likely be seen in the long term. Following on the pathway mapped out within the GPAP Business Case, impact in the form of a) improved environmental outcomes and b) quality of life for communities impacted by pollution resulting from a reduction in reduced plastic could become observable at FY 2023/2024 with most benefits presenting themselves at seven (7) years, and further changes to the circular economy realised at the 20-year mark. Accordingly, delivery partners agreed that impact indicators would be reported on at the mid-point and end-point of the proposed investment lifetime of five (5) years.

Based on the evidence presented in this report, we are confident that the commitments made by GPAP are on track for delivery. While some output level targets have faced delays, most notably those connected to the delay in delivery of the £6.5m uplift for work in the informal sector, this report provides strong evidence to conclude that programmatic preparations are in place to swiftly utilise funding upon receipt. All three outcome level indicators have far exceeded targets. Specifically, outcome indicator 1.1 far surpassed targets with a total of £1.6 billion committed by partners, representing significant potential to catalyse current GPAP efforts.

Given both outcome level achievements and work conducted to support achievement of future output level targets, we can conclude that the expected impacts related to a.) improved environmental outcomes and b.) quality of life for communities impacted by pollution will be realised. The expected delivery of these impacts provides us with sufficient confidence that GPAP will offer VfM as the value of these benefits are expected to outweigh initial investment.

Date of last narrative financial report		Date of last audited annual statement	
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## Annex 1: How the budget was spent

The budget breakdown was largely split across the following activities:

GPAP BPF Proposal 2022 -  
2025  
01 April 2022 - 31 March  
2023

Item	Description	GBP - DEFRA - 2.5 M	GBP - DEFRA - 1.5 M	Total Budgeted	Reported	On Budget?	Justification for the variance
Original Pilot Countries	Deliver Final Action Roadmaps, Task Forces and additional support with the objective of moving all three country partnerships into sustain phase (potentially with the support and the implementation from the Plastic Action Accelerator)	£190,000.00	£190,000.00	£380,000.00	£587,805.00	Slightly Above	The initial average budget forecasted for the three Pilot countries was GBP 125k (CHF 130k). However, the final budgets, negotiated with the Host Organizations, exceeded the projections due to additional activities required for a smooth transition to the Sustain Phase.
New Country Engagements	Enabling NPAP operations through sub-grant agreements to local partner organisations and consultants to support the delivery of various GPAP tools and convene the NPAP partners and stakeholders on the ground.	£800,000.00	£720,000.00	£1,520,000.00	£1,161,965.00	Slightly Below	Efficiencies in Sub-Grant negotiations were achieved, notably, new NPAPs didn't require the establishment of all six task forces, unlike the Pilot NPAPs.
Impact Area Tools	Various consultants and sub-grantees, including Windmill, SystemIQ, The Circulate Initiative, UpLink and others	£212,000.00	£0.00	£212,000.00	£925,663.00	Above	Under this category expenses budgeted under other categories were reported: Gender and Social Context support Impact Measurement WRAP
Gender and Social context Support	██████████ and ██████████ gender consultants in NPAP countries	£24,000.00	£180,000.00	£204,000.00		Below, as reported under Impact Area Tools	██████████ contract was reported under Impact Area Tools Budget for Social Context Assessment was absorbed in the budget for Baseline Analysis, which included the SCAs



Communications Technology	and Studio Miko - Loop - Windmill - H&K5	£60,000.00	£80,000.00	£140,000.00	£54,303.00	Below	Efficiencies were possible, as editing and design work related to the National Roadmaps could also include the Social Context Assessments
Impact Measurement	Wasafiri	£75,000.00	£0.00	£75,000.00		Below, as reported under Impact Area Tools	Expense reported under "Impact area tools"
Strategic Support	Shared Planet and Sustainable Development	£40,000.00	£0.00	£40,000.00		Below	No support needed
Informal Sector	Subgrant agreements to local in-country organisations	£0.00	£141,000.00	£141,000.00	£157,779.00	Slightly above	We agreed with DEFRA to add an additional organization to benefit from the Sub-Grant
WRAP Sub-grant	Subgrant agreement to WRAP	£100,000.00		£100,000.00		Below, as reported under Impact Area Tools	Reported under "impact area tools"
Secretariat	GPAP Secretariat is supported partially by Global Affairs Canada, and partially by corporate partners and Defra.	£695,449.00	£0.00	£695,449.00	£730,113.00	On Budget	5% difference potentially due to fluctuation in the exchange rate

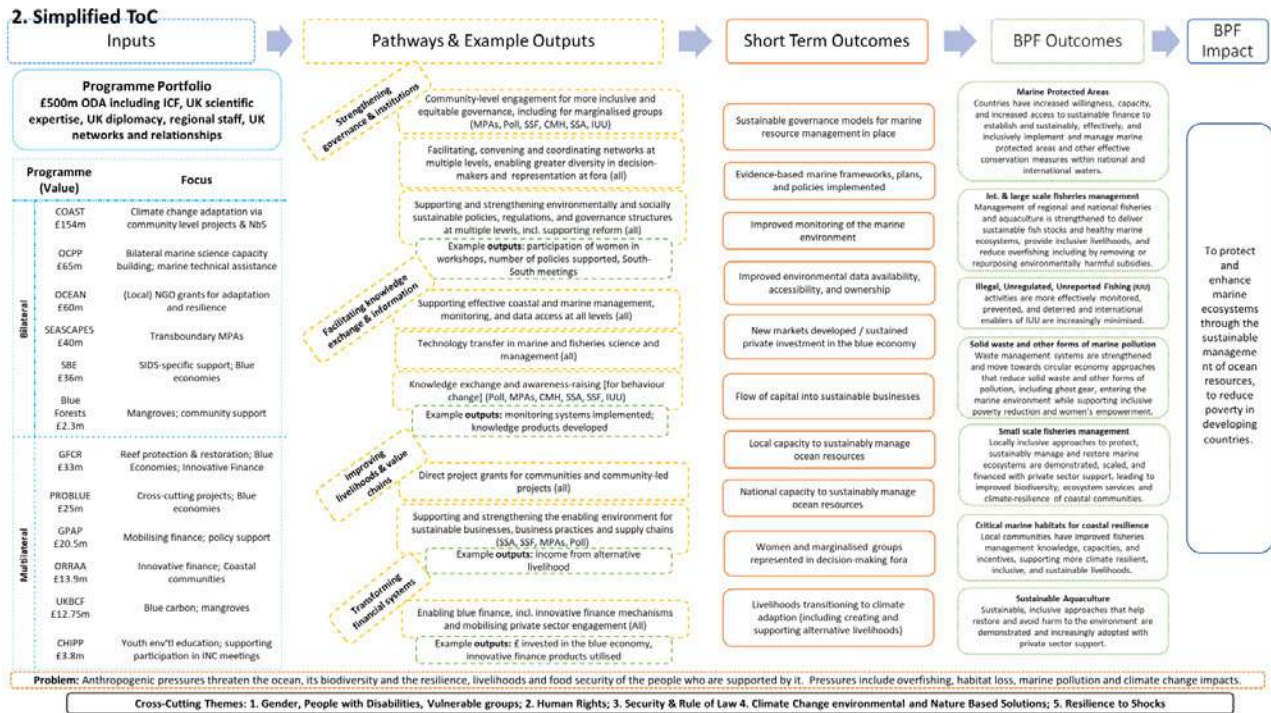
Other Administration and Operational costs	Costs include conference services, translations and interpretation, documents printing, conference logistics, among other.	£0.00	£90,900.00	£90,900.00	£240.00	Below	those costs were mainly absorbed in other categories, i.e. included in Sub-Grant budgets
Travel	GPAP will resume travels to visit current NPAPs, as well as to promote new NPAPs in the next coming months. Travels helps building a relation of trust in the countries and carry out monitoring activities for reporting purposes.	£140,000.00	£0.00	£140,000.00	£62,926.00	Below	Efficiencies were implemented and the GPAP team traveled less than initially projected
Subtotal		£2,336,449.00	£1,401,900.00	£3,738,349.00	£3,680,794.00		
Overhead (7%)		£163,551.00	£98,132.57	£261,684.00	£257,655.15		
Total		£2,500,000.00	£1,500,032.57	£4,000,033.00	£3,938,449.15		

## Annex 2: GPAP Theory of Change assumptions, risks and mitigation

Pathway	Assumptions	Risks	Mitigation
Overarching	The outcomes we have outlined are achievable in the timeframe.	We do not achieve these outcomes and achieve poor VfM.	Proper scoping of outcomes at the outset and keep them under review during the lifetime of the programme.
Overarching	The UK's input into GPAP integrates well with Canada's and corporate delivery partners'.	Disputes arise, slowing progress in achieving GPAP's aims.	Maintaining sustained dialogue with GPAP colleagues and consistent flow of two-way communication in Steering Boards and other fora. Being clear on priorities and promoting transparency in communication.
Overarching	Continued political will to implement action by in-country partners.	Country partners redirect resources to other priority areas, leading to reduced action and impact in tackling plastic pollution.	Close working with UK Post in High Commissions and embassies to demonstrate local support. Delegation visits from UK officials to maintain momentum and support work on the ground.
1	The UK remains a trusted advisor to GPAP through maintaining strong relationships and practising good programme management.	The UK offers uninformed or unpopular advice, leading to reduced confidence in UK's strategic direction.	Maintaining sustained dialogue with GPAP colleagues and consistent flow of two-way communication. Encouraging transparency in thinking.
2	UK steer will enable good Value for Money as investment will be focused on UK priorities.	See above.	See above.
3/4	UK Ministerial support and UK leveraging power will help mobilise further donor funding.	The UK Minister wishes to stop supporting GPAP, the UK Minister changes and new Minister is unsupportive.	Keeping the Minister briefed and supported on GPAP funding, activities and events and encouraging meaningful bilateral engagement with other ODA-donors. Demonstrating positive impact to the Minister.
5	UK comments and input to country plans are taken forward and action plans are adopted.	The UK offers uninformed or unpopular advice, leading to reduced confidence in UK's strategic direction. GPAP overestimates in-country capacity to adopt and implement action plans.	Inputs to action plans are part of a collective effort across UK policy teams, ensuring expertise is captured and comments sense-checked. Maintaining sustained dialogue with GPAP colleagues and consistent flow of two-way communication. Ensuring we receive regular updates on progress across countries.
6/7	GPAP and the UK share the necessary overarching values and objectives that support shared working.	One party will reject the ideas of the other, leading to disagreement and lack of strategic alignment.	Maintaining sustained dialogue with GPAP colleagues and consistent flow of two-way communication. Encouraging transparency in thinking. Theory of Change, annual reviews and evaluations to hold delivery accountable to shared understanding of UK's contribution to GPAP and track progress over time.
8	Funding to GPAP will be spent on what is agreed between both parties, governed by conditions set out in the grant agreement.	GPAP spend the money on other activities without Defra's agreement.	Fraud risk assessment in place to identify instances of fraudulent spend. Clauses in grant agreement set out accountability. Maintaining sustained dialogue with GPAP colleagues and consistent flow of two-way communication.

Table iv: Assumptions, risks and mitigations associated with section B2.1 ToC

# Annex 3: Blue Planet Fund Theory of Change



## Annex 4: Output scoring

Label	Score
Outputs substantially exceeded expectation	A++
Outputs moderately exceeded expectation	A+
Outputs met expectation	A
Outputs moderately did not meet expectation	B
Outputs substantially did not meet expectation	C

*Table v: outputs scoring*

## Annex 5: Full Risk Register

Risk Description	Risk Category	Impact	Likelihood	RAG Status	Mitigating action(s), action completion dates and action owner(s)	Notes
<p>Due to delays to onboarding and reduced team capacity, there is a <b>risk that team resource may be rerouted through priority activities</b>. This will result in less available resource for programme management which may lead to delays in communications, payments etc.</p>	Management: People	Medium	High	12	<ol style="list-style-type: none"> <li>1. Ensure that upcoming GPAP management tasks for the month ahead are mapped out and expectations are agreed.</li> <li>2. Factor in dedicated time for programme management as agreed with the team/line manager.</li> <li>3. Recognise priorities within management of this programme.</li> </ol>	<p>Raised 15/09/2021</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p>
<p>Due to lack of funding to GPAP and NPAPs, there is a <b>risk that delivery capacity and targeted impact in action against plastic pollution will reduce</b>. This will result in the programme driving less impact and</p>	Delivery: Operational	High	Low	8	<ol style="list-style-type: none"> <li>1. Fundraising has started including leveraging UK connections and advocacy to mobilise further donor finance.</li> <li>2. Secure funding for the NPAPs launched to become self-sustaining.</li> <li>3. Advocate for all board members to continue financial</li> </ol>	<p>Raised 05/05/2021</p>

carrying less global influence, decreasing value for money.					support beyond current FY.	
Due to various causes, unforeseen, there is a <b>risk that stakeholders stop engaging on plastic waste and pollution</b> . This will result in reduced momentum and will to take action on plastic pollution	Delivery: Fiduciary	High	Low	8	<ol style="list-style-type: none"> <li>1. GPAP to continue sharing information on the plastic waste and pollution challenges and impact on health, well-being and economy.</li> <li>2. GPAP to continue reaching out and engaging with strategic stakeholders (e.g. businesses along the plastic value chain, local communities, local governments) to ensure their commitment and support to act on plastic waste and pollution.</li> </ol>	Raised 05/05/2021
Due to various causes, unforeseen, there is a <b>risk that local leaders will reduce their engagement on NPAPs</b> . This will result in reduced momentum and will	Delivery: Fiduciary	High	Low	8	<ol style="list-style-type: none"> <li>1. By developing a diverse platform, GPAP are able to engage a wide range of leaders locally to address plastic waste and pollution. Not only is the focus across many different ministries within the government, but also</li> </ol>	Raised 05/05/2021

<p>to take action on plastic pollution.</p>					<p>with private sector and civil society organisations. Thus, even if one leader is absent, many others are stepping up.  2. Implement NPAPs based on invitations from local government.  3. Leverage relationships of the World Economic Forum and partners to engage government agencies.</p>	
<p>Due to various causes, unforeseen, there is a risk that there is a lack of experts able and available to support the outreach, analysis and delivery of the NPAPs. This will result in reduced implementation of partnership objectives.</p>	<p>Delivery: Operational</p>	<p>Medium</p>	<p>Low</p>	<p>6</p>	<p>1. In selecting where to engage, GPAP is working through a specific set of criteria to ensure that wherever the NPAPs are located, there is a full network of support from throughout government, private sector and civil society. These learnings might support efforts in other countries, but GPAP will not blindly engage with a country without the foundational requirements to progress.</p>	<p>Raised 05/05/2021</p>



<p>Due to issues in communication, there is a risk that <b>there is a misperception about GPAP, what it is intending to do and/or achieve.</b> This will result in difficulty collaborating with stakeholders and driving action on the ground.</p>	<p>Delivery: Reputational</p>	<p>Medium</p>	<p>Low</p>	<p>6</p>	<p>1. GPAP is working across numerous government ministries and with a variety of private sector and civil society organisations to support the mission and to align on a vision to address plastic waste and pollution. By engaging upfront with governments and supporting the partnership with templated MOUs, they will have the ability to directly explain our intentions and approach.</p>	<p>Raised 05/05/2021</p>
<p>Due to various causes, unforeseen, there is a risk that <b>organisations GPAP partners with commit human rights violations.</b> This will result in (intolerable) harm done to people in partner countries, safeguarding cases and reputational damage.</p>	<p>Delivery: Safeguards, fiduciary</p>	<p>High</p>	<p>Low</p>	<p>8</p>	<p>1. GPAP will not tolerate human rights violations, including sexual exploitation and harassment (SEAH). Should one of their local partner organisations commit such a violation, they will sever our ties with that organisation and craft a new partnership for support locally. By developing a diverse platform, they are able to engage a wide range of partners</p>	<p>Raised 05/05/2021</p>

					<p>locally to address plastic waste and pollution and they will be able to find a new host organisation locally should such a situation arise.</p> <p>2. Defra and GPAP will discuss safeguarding as a standing item in monthly meetings to raise concerns and minimise the risks.</p>	
<p>Due to various, unforeseen, there is a risk that <b>organisations GPAP partners with commit fraud</b>. This will result in reduced Value for Money, funds spent for purposes other than the agreed deliverables, reputational damage.</p>	<p>Delivery: Safeguards, fiduciary</p>	<p>High</p>	<p>Low</p>	<p>8</p>	<p>1. A fraud risk assessment (FRA) has been completed and approved by Defra.</p> <p>2. Their work is governed by a code of conduct which includes a strict anti-corruption policy and a conflicts of interest policy. The code of conduct can be read <a href="#">here</a>. Sub-grantees also subscribe to these codes and violation of any of these codes allows GPAP to terminate contractual relationship with the vendor/ sub-grantee and craft a new</p>	<p>Raised 05/05/2021</p>

					partnership for support locally.	
Due to lack of UK ambition, there is a <b>risk that reduced momentum will decrease leveraged support amongst other actors</b> . This will result in Defra failing to deliver on key BPF outcomes on leveraging finance and continue to demonstrate global leadership on tackling plastic pollution.	Delivery: Reputational	High	Low	8	1. The BPF is ideally positioned to coordinate collaborative action against marine pollution, given its expertise in world-leading science and policy. This partnership will be an important vehicle in delivering on the UK's global commitment to lead action on marine pollution and opting for a 'do nothing' scenario will compromise our leadership on this issue with significant potential reputational impacts.	Raised 05/05/2021
Due to fluctuations in currency exchange rates, there is a <b>risk that the value of the investment may decrease</b> . This will result in reduced Value for Money.	Delivery: External Context	Low	Low	4	1. Defra will pay GPAP in GBP and therefore changes in exchange rate will not change the committed amount of investment	Raised 05/05/2021

<p>[Redacted]</p>	<p>Delivery: Operational</p>	<p>Medium</p>	<p>High</p>	<p>12</p>	<p>1. It should still support country partnerships by providing a place to share insights and best practices and build support across the various efforts. GPAP will need to stay on top of the TopLink technology updates and encourage their country partners to engage to ensure the platform is utilised and that it benefits the target communities.</p>	<p>Raised 26/11/2021</p>
<p>[Redacted]</p>	<p>Delivery: Strategic/ business</p>	<p>High</p>	<p>Medium</p>	<p>12</p>	<p>1. [Redacted]</p>	<p>Raised 02/03/2022</p>
<p>[Redacted]</p>	<p>Delivery: Strategic business</p>	<p>Medium</p>	<p>Medium</p>	<p></p>	<p>1. Programme management currently working with Cabinet Office and their links to</p>	<p>Raised 02/03/2022</p>

[REDACTED]					the COP Unit and Post to ascertain feasibility and how best to engage.	
[REDACTED]	External context	High	Medium	9	<p>1. The WEF office in Maharashtra is helping to facilitate engagement.</p> <p>2. An NPAP Manager has been hired who will work to continue momentum locally.</p>	08/07/2022
[REDACTED]	Financial	High	High	12	1. [REDACTED]	08/07/2022

[REDACTED]					[REDACTED]	
[REDACTED]	Financial	Medium	High	8	<p>1. GPAP are looking to fundraise and are engaging further governments.</p> <p>2. The UK is in the final stages of business case approval for a financial programmatic uplift.</p>	06/09/2022
[REDACTED]	Delivery, reputational	High	Low	6	<p>1. Case by case, look for other ways to hold these organisations and when sharing governance, ourselves, accountable to the cause (i.e. PepsiCo are</p>	06/09/2022

<p>[REDACTED]</p>					<p>large polluters but are also still supporters of Alliance to End Plastic Waste etc).</p> <p>2. We need to balance the critical need to include the private sector in the solution and taking real action, with not condoning their negative environmental impacts.</p> <p>[REDACTED]</p>	
<p>There is a risk that members of GPAP task forces and other NPAP bodies will have to reduce their time commitments to the platform due to the expectation that this work is</p>	<p>Delivery</p>	<p>High</p>	<p>Medium</p>	<p>12</p>	<p>1. Reach out to GPAP to understand if they are a) aware of the problem and b) whether there is scope for the provision of financial assistance for non-governmental NPAP members.</p>	<p>15/02/2023</p>

<p>voluntary and the associated financial strains on the individuals who need to travel and take time out of their jobs. This may result in an unsustainable mechanism with reduced engagement in these action-focused stakeholder groups, and slower activity &amp; delivery on critical NPAP outcomes.</p>					<p>2. Propose a questionnaire to gauge mitigation from the persons affected. This would give us a better idea of how this affects different stakeholders, and how we can pave a way forwards.</p>	
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Table vi: current risks