



Department
for Environment
Food & Rural Affairs

Global Plastic Action Partnership (GPAP): additional support with informal sector focus

Addendum to an Official Development Assistance Business Case
(including for Bridge Funding and Scale-Up Cost Extensions)

Department of Environment, Food and Rural Affairs

VERSION HISTORY

Version	Date issued	Reviewer(s)	Summary of change	Owner
Final draft (1.0)	19/08/2022		Economic assessments added in, clarity on previous funding.	
1.1	30/08/2022		Draw out development need to support informal workers (policy) Justify why Y1 appraisal is still valid (econ)	
1.2	02/09/2022 06/10/2022		Greater clarity on the objectives of this uplift compared to the business case Addition of an executive summary	
1.3	12/09/2022	Red Team	Clearer on budgets, build out Management Case further inc benefits management	
1.4	12/10/2022	ODA Hub	Development of adaptive management narrative, build out evaluation plan	
1.5	17/10/2022	ODA Board	Expand on disabilities, points on evaluations, clarity on role of informal workers in GPAP operations	
1.6	27/10/2022		Add in comments on finance leveraged	
1.7	02/11/2022	Investment Committee		

SUMMARY

Programme Code	
Programme Name	Global Plastic Action Partnership (GPAP)
Country or Region Targeted	Global, partnerships in place to date in: Indonesia, Ghana, Vietnam, Nigeria, Pakistan, India, Mexico, Ecuador. More countries TBC.
Programme Objectives	With support from the UK, the World Economic Forum (WEF) has established a complex multistakeholder platform with active engagements and in-country partnerships in Indonesia, Ghana, Vietnam, Nigeria, Pakistan and Maharashtra. This uplift aims to engage and support the informal waste sector as critical stakeholders in tackling plastic pollution. on capacity building and training opportunities for the informal sector, improving social context and landscape analyses focused on the informal waste sector, supporting governments to advocate for and involve the informal economy in the upcoming global dialogues on plastic pollution, and supporting informal sector inclusion in contributing to national strategies and roadmaps.
Original Programme Budget	£12,500,000 plus £1,500,000 approved in addition
Original Programme Start And End Dates	April 2021 – March 2026 (5 years)
Cost Extension Value (If applicable)	£6,500,000
New programme end date (if applicable)	March 2026 (unchanged) [Of which, uplift funding end March 2025]
DevTracker link to original business case	TBC

GLOSSARY

BPF	Blue Planet Fund	RfP	Request for Proposals
EPR	Extended Producer Responsibility	RPA	Risk Potential Assessment
FLD	Front Line Delivery	ToC	Theory of Change
FY	Financial Year	UNEA	United Nations Environment Assembly
GESI	Gender Equality and Social Inclusion	UNEP	United Nations Environment Programme
GPAP	Global Plastic Action Partnership	VfM	Value for Money
INC	Intergovernmental Negotiating Committee	WEF	World Economic Forum
NPAP	National Plastic Action Partnership	WIEGO	Women in Employment: Globalising and Organising
ODA	Official Development Assistance	WRAP	Waste and Resources Action Programme

EXECUTIVE SUMMARY

- In 2018, Defra committed £2.4 million to the newly established Global Plastic Action Partnership (GPAP). Since then, we've provided £7.5 million of funding, with a further £7.5 million commercially agreed until March 2025. The UK co-funds the programme alongside the Government of Canada.
- GPAP aims to bring together governments, businesses, and civil society in countries committing to tackling plastic pollution in order to support meaningful and tangible action, including through the convening of multistakeholder task forces working on the different workstreams needed to tackle plastic pollution inclusively. Indonesia is working towards reducing marine plastic leakage by 70% by 2025 through the partnership's action roadmap. Ghana is leading the way for inclusivity in the transition to a circular economy, with its gender baseline analysis (2021) and its subsequent gender equality strategy (2022) to support its national action roadmap.
- In 2021 we secured business case approval to spend £12.5 million between FY 2021/2022 and FY 2025/2026 (5 years) through the UK's Blue Planet Fund. This was then supplemented by an uplift of £1.5 million of ringfenced ODA budget, which was awarded as GPAP had the delivery capacity to scale up its objectives.
- Since this £14 million was approved, there has been intensive engagement and in-country work in Indonesia, Ghana, Vietnam, Nigeria, Pakistan, and the state of Maharashtra (India). Activities are also taking place in further countries such as South Africa and Colombia, with future partners due to come on board in the coming months (Mexico City). In September 2022, a partnership with Ecuador was announced.
- This addendum has been developed through adaptive management and applying lessons learnt. Through in-country engagement in Ghana and when visiting informal recycling facilities in Colombia and Ecuador, we saw and heard from informal workers and WIEGO¹ that for our efforts through GPAP to be successful and our interventions to have positive impact on all parts of the community, especially the most marginalised, we have to engage with the informal waste sector. Speaking at a GPAP public seminar on Covid-19, plastic pollution and the Green Recovery², WIEGO highlighted why waste pickers need to be included into more formal waste management systems as a way of protecting livelihoods, protecting the environment, and protecting workers and their communities from challenges associated with Covid-19. Lord Zac Goldsmith provided keynote remarks at this event.
- Strengthening waste management systems (with a focus on marginalised groups³) is identified in the Blue Planet Fund Theory of Change and is an outcome where very little funding has been targeted thus far. To address this gap in programming, we are seeking approval to increase the funds earmarked for GPAP to support the informal

¹ Women in Employment: Globalising and Organising

² <https://www.wiego.org/events/covid-19-plastic-pollution-and-green-recovery>

³ Including the informal sector, of whom many are women, children, and people with disabilities

waste sector in NPAP countries to improve livelihoods of these workers and support the role they place in the lifecycle of plastic waste eradication and reuse.

- The informal waste sector is a working economy that is not recognised by the government, and includes waste pickers, traders, recyclers and cooperatives. They tend to be most marginalised in society. This means they are exposed to exploitation, instability, low incomes, discrimination, violence and lack of health and safety measures. Their contributions to waste management are estimated to be 58% of the plastic waste collected and recycled globally.⁴
- Broadly speaking, the additional money will be spent on capacity building and training opportunities for the informal sector, improving social context and landscape analyses⁵ focused on the informal waste sector, supporting governments to advocate for and involve the informal economy in the upcoming global dialogues on plastic pollution, and supporting informal sector inclusion in contributing to national strategies and roadmaps.
- And, if approved, the additional £6.5 million will come from the wider Blue Planet Fund pollution budget where it is currently earmarked for this programme.
- As a result of this uplift, we would expect additional outcomes to be delivered over and above those in the original business case. These include more inclusive and representative national strategies and roadmaps, improved livelihoods for informal waste workers (including improved skillsets, knowledge of safety procedures, diversified income), and the critical involvement of waste pickers in the upcoming negotiations for a global instrument on plastic pollution.
- This change will therefore improve the overall VfM we expect from our investment and maximise the impact of our funding. Whilst this has not been quantified due to data limitations in this area, benefits have been assumed to at least scale proportionately to the assessments made in the original business case.
- It will also give us a powerful example of the positive action we are taking to reduce poverty, promote human rights and tackle global plastic pollution as we look to play a leading role in the upcoming negotiations on a new global plastics instrument, following the announcements at the United Nations Environment Assembly (UNEA) earlier this year (2022).

⁴ https://gridarendal-website-live.s3.amazonaws.com/production/documents/:s_document/971/original/aSeat_final.pdf?1663316145

⁵ These are integral components within GPAP's approach to baselining and creating roadmaps, and are complementary to the quantitative analysis that underpins the roadmaps to the reduction of plastic pollution. As plastics do not materialise out of nowhere, we need to tell the human story and make sure that local contexts are understood for each partnership. The tool is used to inform action roadmaps and how these actions impact people, and how they can be part of the solution. The communities involved may include women, the informal sector, people with disabilities, faith groups and people in extreme poverty. Without these analyses, there would be little grounds for GPAP to design their approach to offering social benefit.

INFORMATION

What is the programme's purpose?

This uplift is designed to support the existing Global Plastic Action Partnership (GPAP) programme to better incorporate and support the inclusion of the informal waste sector within the current programme, securing great poverty alleviation and environmental benefits.

The Global Plastic Action Partnership (GPAP) brings together governments, businesses, and civil society in countries committing to tackling plastic pollution, to support meaningful and tangible action. GPAP operates globally through partnerships that bring the GPAP model to priority Official Development Assistance (ODA)-eligible countries. Through key activities in convening, building roadmaps, and identifying financing solutions, GPAP aims to foster a collaborative approach to reducing plastic pollution, and ultimately improve the environment and the quality of life for people and communities impacted by plastic pollution.

With support from the UK, the World Economic Forum (WEF) has enabled GPAP to establish a complex multistakeholder platform with active engagements and in-country partnerships in Indonesia, Ghana, Vietnam, Nigeria, Pakistan Maharashtra (India) and Ecuador. GPAP's work is guided by three strategic pillars:

- Convening communities and curating conversations
- Generating new insights and action roadmaps
- Catalysing coordinated action to scale solutions

Defra has co-funded the programme since its inception in 2018, alongside the Government of Canada and private partners Coca Cola, Nestlé, Dow and PepsiCo. In May 2021, a five-year business case was signed off by Minister Goldsmith, the Red Team, the ODA Board and Defra Investment Committee to commit £12.5 million to GPAP over five years (end March 2026). Within this, Defra requested that GPAP work with the Waste and Resources Action Programme (WRAP) as a complementary delivery partner to accelerate progress towards shared objectives. This decision was taken to increase cohesion and capitalise on synergies, appreciating the different strengths each programme brought through experience in funding them separately. In FY21/22, a further £1.5 million was awarded in-year from the ODA budget, bringing the total committed spend to £14 million.

What is the objective of the cost extension or other changes?

Original business case 2021 (£12.5 million)

The business case written and approved for £12.5 million of funding to the Global Plastic Action Partnership was to enable delivery of GPAP's approach to addressing plastic pollution: convening multistakeholder networks in ODA-eligible partner countries. These networks are established to bring together expertise from across the plastic value chain, governments, business, and civil society to drive innovative solutions and political momentum in tackling plastic pollution.

Uplift addendum (£6.5 million)

The primary objective of this uplift is to implement a multi-faceted approach to support the informal waste sector. It 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. This funding will supplement the core delivery model detailed in the original business case to ensure that the informal waste sector (including waste pickers, traders, recyclers and cooperatives) is integrated within these activities. The uplift has been proposed to enable continued and scaled-up GPAP delivery – as the programme upscales its operations to reach 25 countries by the year 2025 – but with the integrated consideration of the informal waste sector to boost inclusivity in tackling plastic pollution. Whilst GPAP have already successfully tested activities supporting the informal sector, our learnings (see section *why an uplift now?*) indicate that inclusive progress in tackling plastic pollution cannot be made without considering this key group of stakeholders at every stage. Through this uplift, we intend to adapt the programme to reflect these learnings. However, it cannot simply be a case of inviting representatives to meetings and workshops. As learnt in conversation with Women in Employment: Organising and Globalising (WIEGO) in Ghana, informal waste workers often do not feel equipped to contribute their expertise in the same fora as, for example, government and business officials. We therefore need to account for how to support them to bring their voices to the table and participate at decision-making levels.

What is the importance of working with the informal waste sector?

The informal waste sector is instrumental in resource conservation through their collection of recyclable materials and contributions to waste management. Pew and SYSTEMIQ's 2020 review *Breaking the Plastic Wave*⁶ estimates that in 2016, the informal waste sector managed to collect and prevent 27 million metric tonnes of plastic waste from ending up in landfill or the ocean. Globally, informal waste pickers are responsible for more than half of all plastic material collected for recycling⁷. However, this sector is often unrecognised and undervalued by formal structures, which perpetuates instability, low income and negative perceptions of their work. Informal workers in waste management face exacerbated social, economic and security challenges, including:

- **Incomes** tend to be lower and less secure than in the formal sector, with **no social protection** from employers or the state including health insurance. Incomes are dependent on what can be sold, and the price is determined by the buyer. Examples in GPAP partner countries include:
 - In Indonesia, waste pickers typically earn between 2 USD and 10 USD per day.⁸
 - In India, 7/10 waste pickers earn less than 10,000 Indian Rupees a month, working out to less than 4 USD per day.⁹
- Waste pickers often do not have **access to bank accounts**, and cash is unhygienic and insecure to store. In Ghana, waste traders relied on mobile phone banking to transfer payments, but this form of financial management has become unworkable since the introduction of a 1.5% e-levy in May 2022.
- Informal waste pickers did not have the option of working from home during the **Covid-19 pandemic**, and working with waste without personal protective equipment in close quarters with other people left workers exposed and vulnerable to disease.

⁶ https://www.pewtrusts.org/-/media/assets/2020/07/breakingtheplasticwave_report.pdf

⁷ Solutions to Plastic Pollution, *Nature Reviews Materials*, Lau et al 2020

⁸ Jakarta's Trash Mountain: 'When People Are Desperate for Jobs, They Come Here' - The New York Times (nytimes.com)

⁹ Baseline Analysis of the Socio-Economic Situation of Safai Sathis, UNDP, 2021

- Due to the economic fallout of the pandemic, **financial recovery has been slow** and women informal workers have been disproportionately impacted.
- **Lack of access to education** and opportunities, and the knock-on effects for employment prospects. Marginalised groups and people with little education are more likely to engage in informal work, such as litter picking.
- There is very little support to develop **alternative livelihoods**. In Ghana, landfills are being decommissioned and reengineered, which has installed fear in waste pickers who collect, sort, and sell recyclable materials from landfill. Waste pickers at the Kpone and Kumasi landfills demand that their government immediately provide assurances that their right to work will not be disrupted, and their workplaces—the landfills—will remain accessible to them until waste pickers, working with government, have developed appropriate alternative livelihoods.
- The Cuidar Project (2018)¹⁰ to map **waste pickers' health risks** revealed that musculoskeletal pain commonly arises from activities associated with waste picking, largely due to having to carry/drag heavy materials in tight and/or disorganised or poorly designed waste spaces, and repetitive movements. They are also regularly exposed to hazards such chemical (residues in waste such as toxic cleaning products, printer ink etc), biological (bacteria, viruses, living vectors such as rats etc), physical (accidents, cuts, falls etc), emotional (social stigma, depression, anxiety, violence) and gender-based vulnerabilities (violence at the workplace, double/triple workloads etc). Due to informality, workers are not protected by occupational and health and safety regulations.

Each of these challenges are further exacerbated by gender. Women have majority representation in waste picker roles, with men often being the beneficiaries when waste systems professionalise.

- Waste management environments often **unsafe places** for women and girls to work, sometimes competing with young men for recyclables and enduring toxic and hazardous conditions.
- Although applicable to all waste pickers, women suffer the impacts of having **little access to basic sanitation amenities**, such as toilets. This is particularly difficult during menstruation. A baseline survey conducted by WaterAid India in 13 waste picker communities found that a third of women waste pickers miss work during periods, reducing opportunities for income.¹¹
- There are **income disparities** between men and women in the informal waste sector. Men are associated with heavy lifting activities including collecting, loading and hauling which results in higher incomes. Women are more likely to occupy low-level, time-intensive positions such as washing, sorting, and packaging, and starting their own business is challenging due to lack of finance or land.
- Women are more likely to have suffered **long-lasting economic impacts of the pandemic**. According to a 2021 WIEGO report on Covid-19 and Informal Work in 11 Cities¹², *“by mid-2021 among both street vendors and waste pickers, women’s earnings*

¹⁰ <https://www.wiego.org/sites/default/files/resources/files/Dias-Ogando-Project-Cuidar-Health-Mapping.pdf>

¹¹ <https://www.saamuhikashakti.org/post/the-seen-and-unseen-waste-picker-women-and-menstrual-health-management>

¹² <https://www.wiego.org/sites/default/files/publications/file/COVID-19%20Executive%20Summary%20Round%20for%20web.pdf>

had recovered to a lesser degree than those of their male counterparts. One-third of informal workers interviewed – both men and women – reported increased direct care responsibilities in 2021, but care burdens impacted women’s livelihoods disproportionately. Of those with increased caring roles, women reported working, on average, two days fewer per week than men.”

- Despite informal status, the informal recycling sector can be highly organised and operational through a hierarchical system, whereby men control access to landfills and limit women’s access to higher value recyclables. These **gendered power imbalances** can exclude women from more lucrative, intermediary levels of the value chain.¹³

Given the thematic and chronological alignment with the UNEA 5.2 negotiations (global instrument on plastic pollution) through the Intergovernmental Negotiating Committee (INC) meetings, we intend to explore how the partnerships between GPAP and informal sector stakeholders can result in better representation and more just, fair and inclusive dialogue at the negotiations. The transition to a circular economy and improved, formalised waste management systems may lead to a loss in livelihoods for members of the informal waste sector. This is already being seen through the closure of landfills, where waste pickers collect and sort recyclable materials to sell. The sector needs to be consulted and carefully considered within this transition to avoid positive environmental outcomes having harmful impacts on the livelihoods of the poorest in society. The development of alternative livelihoods for all within the plastics value chain must be considered as part of these negotiations.

In parallel, we are developing a £4.9m business case “Championing Inclusivity in Plastic Pollution” that will include support to ODA-eligible delegates to participate in the INC and intersessional meetings through direct contribution to the United Nations Environment Programme (UNEP). This support will target national representatives, but they do not have the mechanisms in place to support waste pickers within the context of the negotiation process. We believe this GPAP uplift will be complementary to the UNEP business case in filling the representation gap of the informal waste sector at these crucial meetings.

What is the additional and total support the UK will provide?

The UK will provide a £6.5 million ODA uplift (3 years, RDEL) to the existing approved commitments through the Blue Planet Fund (£12.5 million core + £1.5 million uplift FY21/22). This brings the total UK funding for this programme through the Blue Planet Fund to £20.5 million. A full cost breakdown for both the core grant and the proposed uplift across the 3 years can be found in *Annex 1*.

The delivery approach will build on the core activities that the UK currently funds through GPAP to ensure that the informal waste sector is included, consulted, and engaged. Activities can be found in the *Strategic Case* of this addendum, but the primary activities are as follows:

- Country-specific inclusion and gender roadmaps delivered by national gender consultants within GPAP partner countries;
- Social context baseline assessments and dedicated sections within baseline and landscape analyses for the informal sector;
- Gender Equality and Social Inclusion (GESI) advisors and consultants in partner countries;

¹³ Gender in the Modernisation of Waste Management, Seager et al 2020

- Incorporation of the value of the informal sector within behaviour change campaigns;
- Support to waste pickers' associations, building on successes and lessons learnt from previous rounds of Defra funding, through which GPAP will be taking a bottom-up approach to meet local needs. They will include examples in their Request for Proposals, which may include training in core competencies, business planning, financial skills, project management, technical skills in waste management, health and safety (including hygiene), reporting etc. Defra will be involved in these selection processes;
- Supporting the informal sector to participate in GPAP events and workshops to ensure that informal sector organisations can contribute¹⁴ to national strategies and roadmaps;
- Supporting Ministers to advocate for and involve the informal economy in negotiations;
- Facilitating informal sector participation in the INC meetings and intersessional regional meetings to increase representation in traditionally government-dominated dialogue.

In addition to providing funding, the UK offers wider support to the programme. This is captured by the Theory of Change in *Annex 3*, which was not included in the original business case as it was formalised afterwards. Activities include high-level advocacy and representation at global fora, evaluation and input into GPAP publications and programme design, and strategic support.

The UK recognised in the early stages of the Covid-19 pandemic how critical it is to support the informal waste sector, and funded thousands of personal safety packages to those vulnerable to these impacts. With this support, in FY 2020/2021 GPAP reached 8,800 informal waste workers, with a further 2,200 reached the following year. These packages were sourced locally through an informal traders' association, meaning the support reached people beyond that of the direct intended beneficiaries. Based on these short-term successful outcomes, our objective moving forwards is to build up support to enable longer-term solutions including safer waste collection zones, health care access, and formal government recognition (if wanted). This support will extend further to enable firm integration of the informal sector within the decision-making processes that will ultimately impact their livelihoods and wellbeing; as well as other communities impacted by plastic pollution.

Ability of GPAP to absorb investment: GPAP is hosted by the World Economic Forum (WEF), a global organisation with whom the UK Government is an existing partner. As GPAP continues to gain momentum and work towards achieving its target to partner with 25 countries by the year 2025, further funding is required to build the resource required to deliver. We are proposing an annual gradual increase to reflect this need, with less funding for FY22/23 as the timeframe will be shorter (December 2022 to March 2023). For FY23/24, GPAP will engage with a cumulative approximate number of 15 countries, up to 25 countries in FY24/25.

As GPAP scale up, the GPAP Global Secretariat needed to add more members to the team whose work focuses on engaging new countries and expanding their global outreach and impact. They also plan to have regional leads not based in Geneva that could cover Latin America, Southeast

¹⁴ Contribution will be realised through a combination of stronger engagement with waste picker associations on task force participation, workshops and capacity building to equip workers to participate, feeding into social context and landscape studies to understand how addressing plastic pollution will impact them and which mitigations and considerations need to be put in place.

Asia and Africa. At the moment, they have hired the Africa regional lead to test the added value of this role. The results have been positive, and the consultant has been very helpful in providing a strategic and work plan to reach out to additional African country. This additional capacity instils confidence in GPAP's ability to expand their operations.

Another element is the sub-grant structure that GPAP uses to allocate funds in target countries; not only allowing the host organisation to gain ownership of the initiative, but also helping them operationally without neglecting oversight on implementation and spending.

Other donors: GPAP is co-funded by the Government of Canada, and private partners Coca Cola, Dow Chemicals and Nestlé. The Government of Canada, like the UK, renews its commitment to GPAP through securing funding in Spending Review cycles and is currently undergoing this prioritisation exercise. The private partners are committed to funding 400,000 USD on a rolling, annual basis with the expectation to renew until at least 2025.

What are the expected results?

Results and outcomes: The activities funded by this uplift will focus on supporting, empowering and working alongside the informal waste sector in GPAP partner countries. These activities will build on the existing work that GPAP have undertaken with the informal sector (described above), which has supported 11,035 individuals to date (2022). As a result of this investment, we expect to support 2,500 informal sector workers per year over the next three years, with at least 50% of these individuals being women. This target has not increased as a result of this uplift. This is because we are applying adaptative management and responding to a gap in the original business case where there is a need for the integration of the informal waste sector in GPAP's delivery model. Bringing this stakeholder group in will contribute to achieving these existing targets. In addition, this intervention looks to create sustainable change in the system rather than purely aiming for reach.

GPAP are also looking to develop the disability angle to this funding, which is a nascent and emerging topic with low levels of data. GPAP's social context assessments have replaced their intersectional gender work to look beyond gender into the lived experiences of marginalised communities. The new guidance for researchers undertaking the assessments addresses the need to systematically include disability as a key area of focus, and to consult experts and people with disabilities throughout the process. Using this new social context assessment guidance, they are currently embarking on several new social context assessments which will have the disability component built into the methodology, with general guidance for inclusive National Action Plans envisioned in the coming months. While not all types of identity factors are relevant in all countries, gender, disability and wealth quintiles will be included systematically in this guidance.

There can be, however, problems in disaggregating by marginalised groups due to sensitivities and GDPR considerations, so we will explore if this is best tracked year on year via the logframe or best approached via programme evaluations. We expect to see both short- and long-term outcomes from this support. In the short-term, we expect that the integration of the informal

waste economy across GPAP's activities will result in more diverse and inclusive perspectives to inform collaborative action on plastic. In the long-term, this inclusive action will improve the environment and quality of life for impacted communities – including informal waste workers.

Through this investment, we look to continue to leverage further finance for GPAP's projects and partnerships. From the UK's £4 million grant in FY21/22, an estimated further 39% (£1.575 million) was mobilised. This is the amount attributable to our funding rather than the amount mobilised by the programme as a whole, and GPAP partners to date have committed \$197m USD towards reducing plastic waste and pollution. The actual figure for volume of finance mobilised by the UK contribution is difficult to quantify and is largely based on qualitative evidence as the finance mobilised will be often indirect and influenced by soft power, meaning that 39% is likely conservative. Part of our role in this space is to show international leadership as a 'first mover' in testing these models, and our expectation continues to be that other donors will follow suit.

Annual Review 21/22: A detailed summary of Annual Review scores from Year 1 is included in *Annex 2*. The programme score for FY 2021/2022 is "A – met expectations". The programme score has been achieved as currently, all (bar one, narrowly missed) outputs and outcomes have been met or exceeded across the programme. Most notably the UK was able to mobilise a further £1.575 million in private finance, 39% of the FY21/22 £4 million UK investment, exceeding our 30% target. This target was agreed between Defra and GPAP based on the UK's potential to influence further funding. Also, the number of policies and plans created to address plastic waste and pollution in GPAP partner countries has reached seven, exceeding its initial target of three. These policies include 3 in Vietnam, 1 in Indonesia, 1 in Ghana, 1 in Kenya and 1 globally. The plan implemented in Kenya draws on lessons learnt in Ghana to support Kenya's Marine Action Plan. Please refer to *table 11* in *Annex 2* for the full output assessment from FY 2021/2022. The changes to the logframe are described in the *Management Case*, but these key performance indicators (KPIs) will continue to be measured and outcomes evaluated under this extension.

In the GPAP Business Case it was assumed that impacts (i.e. improved environmental outcomes and quality of life for communities impacted by pollution) associated with the investment could become observable 2 years after investment, with most benefits achieved within 7 years, and changes to the circular economy realised within 20 years. It was agreed with delivery partners that impact indicators would be reported on at the mid-point (mid FY23/24) and end-point (end FY25/26) of the proposed investment lifetime (5 years). For this reason, only output and outcome scores are presented at this stage.

What is the approach to implementation?

Delivery approach: GPAP's approach to implementation has developed since the original business case (£12.5m) to respond to partners' needs and to increase their focus on working with the informal waste sector. Pilot partnerships with GPAP proceeded through in-depth 'National Plastic Action Partnerships' (NPAPs), which establishes national platforms to drive the transition to a circular plastics economy, including the delivery of baseline assessments, plastic waste flow analyses and action roadmaps. Whilst this works for many partners, some

prospective country partners have expressed interest in benefiting from GPAP services and tools without the need for full scale intervention. GPAP have since responded by tailoring their offer to the partner countries, from full NPAPs to off-the-shelf policy tools such as the National Assessment and Modelling (NAM) tool to support partners measure and monitor their plastic pollution.

The delivery of the activities funded through this uplift will centre on the following approach:

- **Inclusion and Participation:** support for current and new NPAPs to foster participation and inclusion of Informal Economy organisations and individuals into task forces;
- **Knowledge translation:** Ongoing support to tailor the delivery and translation of GESI reports and roadmaps, including events and participatory workshops;
- **Gender Equality and Social Inclusion:** an important insight gathered through the evaluation of NPAPs is related to how GESI Advisors can contribute through a centralised role in the partnerships. The GESI Advisors oversee the NPAP activities to ensure GESI perspectives and principles are applied in all the work of the partnership;
- **Targeted support:** new rounds of direct grant support to informal economy organisations that will focus specifically on capacity-strengthening. Wasafiri¹⁵ is currently supporting GPAP to align the focus and expected outcomes of these targeted supports to ensure the grants are meeting the needs of the beneficiaries and generating sustainable outcomes;
- **Research and analysis:** conducting social context assessments, as well as baseline and landscape analyses in NPAP countries;
- **Global Treaty on Plastics:** as negotiations continue and collaborative efforts strengthen, GPAP intends to provide support to Ministers and to advocate and involve the informal economy in negotiations. We are also looking to build out a plan to facilitate waste picker/informal sector participation at the INC/intersessional meetings themselves, aligning with our proposed contribution to UNEP to support the participate of ODA-eligible government delegates;
- GPAP are continuing to work with the **Waste and Resources Action Programme (WRAP)** to expand implementation and support on-the-ground delivery, as set out in the original business case.

Gender approach: Full details on both the Blue Planet Fund's and GPAP's approach to gender equality can be found in the original business case. As gender equality will be a key component of this addendum to the GPAP programme, GPAP's gender considerations are summarised here. This will support the UK's Force for Good agenda¹⁶ through Paris Agreement-aligned ODA spend on gender equality and inclusion.

GPAP and WRAP's work to address plastic waste and pollution is underpinned by their commitment to advancing gender equity, inclusion, and the livelihoods of traditionally marginalised people. The NPAP model has been shaped to form a gender-responsive and

¹⁵ Wasafiri (<https://wasafirihub.com/>) are global consultants on tackling the biggest problems facing the planet.

¹⁶

https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/975077/Global_Britain_in_a_Competitive_Age-_the_Integrated_Review_of_Security__Defence__Development_and_Foreign_Policy.pdf

inclusive approach to addressing plastic pollution. The programme incorporates gender through the following:

- In close collaboration with Women in Employment: Globalising and Organising (WIEGO), GPAP have onboarded global and national gender advisors in target countries who are tasked with reviewing their global and national priorities to ensure that gender features as a cross-cutting solution;
- Launched a global gender guidance document for all stakeholders looking to embed gender-responsive practices in their work at different points of the plastics value chain;
- Reporting % of GPAP partners who are women and/or from traditionally marginalised groups (disaggregated by women and marginalised groups) annually as part of our shared commitment to Monitoring, Evaluation and Learning (MEL). In FY 21/22, GPAP exceeded their target of 42%, reaching 46%. Gender parity is expected by FY 25/26, but GPAP are on track to achieve this sooner.

Defra assurances: The approval dates for the original business case (£12.5m) and the FY21/22 uplift are detailed in *table 1* below in green (in the past). The approval dates for this addendum are detailed in orange (upcoming).

	Original business case	£1.5m uplift FY21/22	This addendum
Red Team	April 2021	-	September 2022
ODA Board	April 2021	-	October 2022
Investment Committee	May 2021	December 2021	November 2022
HMT	June 2021	-	-
Ministerial	June 2021	-	TBC

Table 1

Strategic Case

The strategic context for the UK's funding to the Global Plastic Action Partnership is unchanged. There is continued need for holistic, systems-change approach to tackling plastic pollution through diverse, multi-sectoral partnerships. Addressing marine pollution is a UK Government priority and the UK are global leaders in driving forward ambitious action to reduce plastic pollution in the ocean. HMG's 25 Year Environment Plan states that "tackling marine litter requires coordinated global and regional strategies" and that "the UK will pursue a sustainable, international and transboundary approach".¹⁷ This is demonstrated through the UK working with international partners to secure a breakthrough on negotiations to kickstart a new legally binding instrument on plastic pollution. Heads of State, Ministers of Environment, and other representatives from 175 nations endorsed a historic resolution at the 2022 UN Environment Assembly (UNEA-5) in Nairobi to End Plastic Pollution and forge an international legally binding agreement by the end of 2024.

¹⁷ https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/693158/25-year-environment-plan.pdf

As per previous funding, the Act of Parliament will be the International Development Act 2015. This funding is sourced from the UK's ODA budget, which delivers on the **UK Strategy for International Development (2022)**¹⁸. Priorities for this strategy that are addressed through the GPAP programme include:

- Climate change, nature and global health
- Education and empowerment for women and girls
- "Taking a patient approach which helps our partners to tackle the structural problems they face, building the strong economic and social foundations that underpin long-term development."
- "Doing proportionately more through country and bilateral programmes, being a more responsive development partner to countries' needs and more consciously geopolitical in approach."
- Promoting a "One Health" approach to preventing and responding to health threats, reflecting the link between the health of people, animals and the environment.

This programme, as set out in the original business case, also contributes to Defra's priority outcomes (improving the environment through cleaner air and water, minimised waste, and thriving plant and terrestrial and marine wildlife) and objectives (to pass on to the next generation a natural environment protected and enhanced for the future).

The detailed strategic case for the focus on the informal waste sector is detailed in the *objectives* section at the top of this document.

Why an uplift now? Adaptive management: Since the £12.5 million GPAP business case was developed in May 2021, we have worked to continually assess the priorities and the challenges for delivery. A central component of GPAP's delivery model is to convene stakeholders from across the plastics value chain to take inclusive action on tackling plastic pollution. We have learnt that the informal waste sector as a stakeholder group was an omission from the original business case. Through our Covid-19 support to the informal sector, our country visits to Ecuador, Colombia and Ghana, and insights from the sector becoming increasingly accessible, we have surmised that transitioning to a circular economy that considers all environmental, social and economic outcomes cannot take place without the contributions and knowledge of the informal waste sector. This addendum has been developed to take these learnings into account and apply them to strengthen our existing programming.

The latest reports from GPAP's country partners are demonstrating findings and outcomes from recent landscape analyses carried out in Pakistan, Nigeria and Mexico City that indicate the crucial contributions of the informal sector to waste management. From GPAP's newest country engagement, Mexico City, the report states: "Although official figures are not available, it is estimated that about 500,000 people, and 2,000,000 families, depend on informal waste collection, and are known as '*pepenadores*'. It is also important to mention that the waste collection trucks in Mexico City, the driver is the only person hired, while the rest of the team are 'volunteers' who are not paid but live off the sale of the recoverable waste they collect.

¹⁸ <https://www.gov.uk/government/publications/uk-governments-strategy-for-international-development/the-uk-governments-strategy-for-international-development>

Finally, In Latin America, between 25-50% of all material in recycling companies comes from informal collection.”

In addition to insights from the newest partnerships, GPAP’s pilot partnerships (Indonesia, Ghana and Vietnam) are increasingly engaging with the informal sector within the context of the Steering Boards and taskforces, but also through targeted initiatives. As an example, the Ghana NPAP is organising a workshop addressing specifically the informal sector on Extended Producer Responsibility (EPR), which will take place next September 2022.

This funding timeline aligns with the timelines for the INC and intersessional meetings for negotiating a new global instrument to tackle plastic pollution. This uplift proposal includes the intention to facilitate informal sector participation in these critical meetings to enable outcomes that represent all affected communities.

Annual review 21/22: An annual review was conducted for FY 2021/2022 – the first year of operation through the Blue Planet Fund. This has been reviewed by the ODA Hub Annual Review Board. With an overall output score of A, and exceeded outcome targets, there is a good basis for and confidence in GPAP to continue and progress. We offered recommendations for the programme to take forward, including the further development of the informal sector component of this work, which is addressed by this proposal. The M&E approach going forwards has been reviewed by Defra and WEF to accommodate the uplift (see *Management Case*).

New activities: The activities funded through this uplift will build on the core activities that are central to GPAP’s operation, but with a focus on supporting, empowering and working alongside the informal waste sector. We are also looking to build out a plan to facilitate waste picker/informal sector participation at the INC/intersessional meetings themselves, aligning with our proposed contribution to UNEP to support the participate of ODA-eligible government delegates.

Annex 1 contains the full cost breakdown of the uplift side by side with the core grant, but the activities are summarised here.

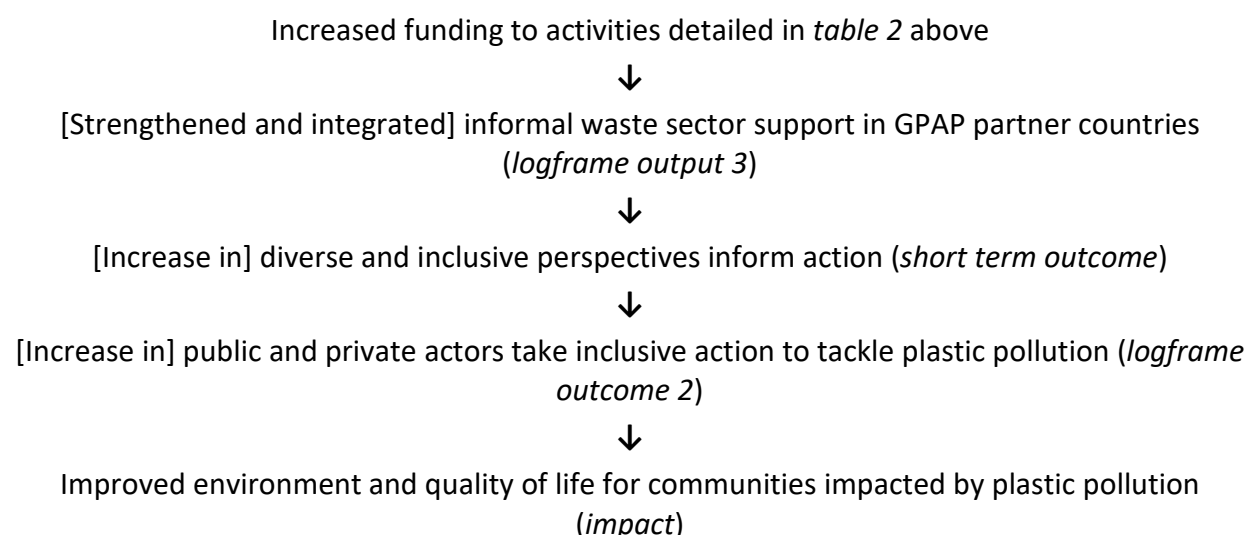
Activity	Description
Original pilot countries	The uplift will cover NPAP host organisations and Secretariat expenses related to the participation of the Informal Sector in the task forces and the Steering Board, the delivery of the tailored inclusion and gender roadmaps, and the organisation of corresponding launch events, workshops, and capacity-building initiatives. [Indonesia, Ghana, Vietnam]
New country engagements	See above, but for new countries. The workplan will follow GPAP’s goal of 25 countries by 2025. [Countries already included are Nigeria, Pakistan, Mexico City, Mexico National, Colombia, Maharashtra]
Impact area tools	Baseline and landscape analysis that will be delivered for future country engagements and will dedicate a section to the Informal Sector, initiatives and projects on reuse solutions towards the creation of public value, promotion of knowledge and recognition of key stakeholders around the Circular Economy.

Gender and social context	Gender Equality and Social Inclusion advisors and consultants in countries. Delivery of social context baseline assessments in 2 (Y1), 3 (Y2) and 4 (Y3) countries (still TBD), for a total of 10 countries by 2025. These are integral components within GPAP's approach to baselining and creating roadmaps, and are complementary to the quantitative analysis that underpins the roadmaps to the reduction of plastic pollution. As plastics do not materialise out of nowhere, we need to tell the human story and make sure that local contexts are understood for each partnership. The tool is used to inform action roadmaps and how these actions impact people, and how they can be part of the solution. The communities involved may include women, the informal sector, people with disabilities, faith groups and people in extreme poverty. Without these analyses, there would be little grounds for GPAP to design their approach to offering social benefit.
Comms and workshops	Design, copy editing, publication costs of the reports, assessments and roadmaps developed on the informal sector. In the pipeline: proposal for a behaviour change campaign that will have an objective of demonstrating and incorporating the value of the informal sector as key actors in plastic waste eradication and reuse.
Impact measurement	Funds will be used to partly cover the consultancy agreement with Wasafiri, as they support GPAP in tracking results and impact from the activities implemented within the framework of the cost extension.
Informal sector	The uplift will support a new cycle of support to waste pickers' organisations. The structure, vision and mission of the initiative is currently being updated after an internal assessment of the results from previous funding. The first rounds of support were carried out during the COVID-19 pandemic and focused on the provision of basic needs to the organisations, such as protection gears. It was provided by the UK outside of GPAP's core approach, and the learnings we have acquired during this time has indicated a need to build this support further. The new rounds of support will focus more on organisations that provide capacity building and other training investments, with the objective of helping the organisations reaching higher roles in the global scenario. For example: training in core competencies and capacities including business planning, financial skills, project management, technical skills in waste management, hygiene, supporting organisational capacities in partnership and collaboration, governance, reporting, community engagement activities. GPAP will be taking a bottom-up approach to meet local needs, and Defra will be involved in reviewing the applications for funding.
WRAP sub-grant	Funds will supplement the sub-grant agreement with the Waste and Resources Action Programme (WRAP) (as directed by Defra). They will be supporting GPAP and NPAPs in developing country strategies, organising workshops related to activities funded with the uplift. As GPAP funding increases, the scale of their operations will increase which WRAP, as implementors, are able to help deliver.
Secretariat	GPAP Secretariat will be actively involved in delivering activities implemented in the framework of this cost extension. Additional resourcing and roles will be required to progress our inclusivity objectives.
Operational costs	The costs for this budget category are linked to events, conferences on supporting the informal sector and/or fostering participation of the informal sector.
Travel	Funds will cover travel expenses (hotel, meals, transportation, etc) to visit partnerships, informal sector organisations and guarantee participation to events, conferences and meetings that provide visibility to the informal sector.

Table 2

Theory of Change ToC: This uplift is designed to support the existing GPAP programme to better incorporate and support the inclusion of the informal waste sector within the current structure of the programme. As discussed in the *Management Case*, the uplift will focus on ensuring quality of the intervention over quantity and reach, leading to more meaningful and structural

outcomes and impacts. Please see *Annex 5* for a simplified version of the GPAP logframe that reflect the stages of the pathway below. We intend to include a further indicator to reflect the number of roadmaps that are considered gender and inclusion responsive¹⁹, measured by analysis by the global GESI advisor. There are no changes to the existing programme-level ToC (*Annex 4*) but the content of the uplift will strengthen and reinforce the existing pathways to impact, including:



Appraisal Case

Summary of changes:

FY	Core /£m	Uplift /£m	Total /£m	% Uplift
21/22	2.5	-	2.5	-
22/23	2.5	1.5	4	60
23/24	2.5	2	4.5	80
24/25	2.5	3	5.5	120
Total	12.5	6.5	19	52

Table 3: Annual uplift amounts

Ensuring VfM: We will ensure GPAP continues to offer VfM through assessment of quarterly spending and operational reports, monthly progress meetings, and continual adoption of learnings through annual reviews and feedback.

A full VfM assessment of GPAP can be found in the year 1 full business case. GPAP operations are constantly monitored to ensure every expense can be fully justified under the approved budget, as well as through the GPAP Impact Ladder.

Mechanisms in place to ensure VfM include:

- Use of Requests for Proposals (RfP): Through RfPs, GPAP learns more about the market and receives high-quality and competitive proposals from multiple candidates. RfPs also provide the opportunity to build a database of experts that can be used for future initiatives of similar nature;

¹⁹ The actions identified will, if implemented, improve the system for women and other traditionally marginalised communities.

- Engaging in conversations with stakeholders to ensure shared consideration of activities, costs and timelines during the contracting phase: This process has a double purpose – it helps the provider take into account all expenses needed to provide high-quality deliverables and it helps GPAP ensure that every budgeted expense is accounted for;
- To ensure we are buying at the right price, Defra will be running comparative analysis on similar costs for similar initiatives and/or countries, to ensure a coherent approach;
- Receiving timely financial and operational Reports from NPAPs and other sub-grantees. Reporting schedules are included in the Subgrant Agreement as an integral part of the legal document.

Value for Money (VfM): A detailed Value for Money appraisal was conducted in the original business case, which indicated a £12.5 million investment could result in £270 million to £330 million in ecosystem service benefits, not including any potential mobilised finance.

Despite only outputs and outcomes being recorded at this stage, we are confident the commitments made by GPAP are on track for delivery. The expected benefits from the programme have remained consistent with the original business case, whilst it was assumed that impacts from a reduction in reduced plastic could become observable 2 years after investment, with most benefits achieved within 7 years, and changes to the circular economy realised within 20 years.

The programme has been established since 2018 and has experience working with the UK, so was not necessarily subject to the same challenges as novel programmes would. However, as this is the first year of GPAP delivering on Blue Planet Fund objectives, we cannot yet reach a definitive conclusion that all expected impacts will be delivered.

We aim to reach a firm conclusion after two years on whether impacts will be delivered, once the available evidence on the impact on plastic pollution is available. We have built a midpoint (2.5 years) evaluation into the evaluation plan, which will look at Indonesia as a case study for environmental impact to indicate whether the programme is on track. Despite uncertainty regarding when impacts will be realised, we believe the investment uplift is required this year to support the reasons outlined in the strategic case. That is, applying learnings that indicate that scaling up the investment will enable the informal sector to be better incorporated into the current range of GPAP activities, resulting in outcomes that environmentally, socially and economically benefit the informal waste sector and their communities.

In the Year 1 business case, an illustrative annual social benefit was calculated from the development of one NPAP²⁰ (Indonesia), based on the assumptions set out below. Because only one NPAP has been quantified, these benefits should be viewed as partial benefits only.

- The total reduction in mismanaged plastic waste (reduced or avoided) through the NPAP in Indonesia alone is estimated to be 6.5 million tonnes by 2040. With conservative estimates of what a similar reduction or substitution could represent, replicated across

²⁰ NPAPs are the partnership between a country and GPAP so account for a significant proportion of all GPAP activities, with programmes in 10 countries. For the purpose of this illustrative example, only the expected benefits in Indonesia have been applied. Therefore they should be viewed as partial only.

the countries where NPAP will be rolled out, the full GPAP programme was estimated to contribute to a reduction in mismanaged plastic waste of 17 million - 22 million tonnes per annum²¹;

- Due to Defra's 40% contribution to the programme (at the time of the Year 1 investment – subject to change through the uplift and dependent on commitments from other donors), we attributed 7-9million tonnes (40% of the total 17 million – 22 million tonnes) of reduced mismanaged plastic waste to Defra's investment;
- A highly conservative potential benefit of £40 per tonne of plastic waste reduced/avoided was estimated, based on the expected benefits listed below associated with a reduction in mismanaged plastic waste.

It is expected the NPAP would lead to the following specific benefits:

- Reduced social costs of mismanaged plastic, including for marine natural capital – this accounts for approximately 89% of the total expected benefits for this illustrative example;
- Revenue associated with recovered plastic - this accounts for approximately 3% of the total expected benefits for this illustrative example;
- Carbon savings - this accounts for approximately 8% of the total expected benefits for this illustrative example.

These estimates are considered partial as they do not include the potentially significant non-monetised benefits and full impacts have not yet been estimated across all projects. Non-monetised benefits associated with this programme include:

- Benefits to local tourism from an improved marine and coastal environment, this could lead to higher incomes for local people and a reduction in poverty;
- Increased education and training;
- Improved biodiversity;
- Exporting UK expertise and knowledge through individual programmes;
- Human and wildlife health benefits from reduced contamination of air and water;
- Leveraging further finance.

For this addendum, it is assumed continuing with the initial £12.5m investment, approved in the original business case, is the business as usual 'do minimum' option. We have identified this additional budget to respond to the evidence that the informal waste sector is a critical, but often overlooked, group of stakeholders in the transition to a circular plastics economy. The only option considered in this appraisal is the full proposed uplift amount of £6.5m over the programme duration, as set out in Table 3. This was calculated and forecast by GPAP. The uplift increases in value over the 3 years to give a subtle increased trajectory that reflects the increase in momentum, and the increased demand in GPAP's operations as we enter the negotiation window for a global agreement. This is maximum value and funds can be withdrawn or withheld as per conditions in the commercial agreement.

²¹ A full description of the expected benefits resulting from NPAP can be found in the year 1 business case

Scaling up the initial proposed Defra investment to GPAP by £6.5m over 5 years will enable the existing GPAP programme to better incorporate and support the inclusion of the informal waste sector within the current structure of the programme.

Due to the significant numerical evidence limitations in the informal waste sector, we have not been able to quantify the benefits associated with an uplift in investment in this sector. Instead, the rationale for intervening in the informal waste sector is based on the qualitative assessment in the strategic case. Therefore, we expect the benefits (social, economic, environmental) associated with the programme to be scaled-up proportionally with the uplift in investment, given the activities being delivered are broadly unchanged but with the benefit of bringing in an additional group of stakeholders.

The full programme benefits as a result of the uplift include:

- Strengthened and integrated informal waste sector support in GPAP partner countries
- Increase in diverse and inclusive perspectives inform action
- Increase in public and private actors take inclusive action to tackle plastic pollution
- Improved environment and quality of life for communities impacted by plastic pollution

Assuming the expected rate of return on ecosystem service benefits is maintained from the Year 1 appraisal, a proportional increase in ecosystem service benefits could be expected. This includes associated cultural and social benefits such as benefits to tourism and livelihoods derived as a result of this intervention. As shown in *table 3* above, the total uplift amount is 52% over the duration of the programme. If the benefits associated with the programme increase proportionally, this will result in **an annual social benefit of £413.4 million (low-estimate) to £535 million (high-estimate)**. This results in **an increase in expected annual social benefits resulting from the uplift of between £141.4 million (low-estimate) and £183 million (high-estimate)**. Using these expected annual benefits, a BCR and NPV have been calculated for the Defra investment (original £12.5m + £6.5m), summarised in *Table 4*. The benefits associated with the £6.5 million uplift are shown in *Table 5*. We present an illustrative BCR and NPV, based on the same illustrative annual social benefits from the original business case.

In this appraisal, the low and high values represent a sensitivity analysis from the original business case of the baseline change which could be expected to happen, as well as an optimism bias of the potential success of GPAP – i.e. that the future commitments may not be realised or as high as past commitments. Optimism bias and additionality assumptions have been applied to control for uncertainty in the effectiveness of the policies and the potential lack of additionality associated with the UK investment (i.e., to account for the possibility of the described benefits happening anyway in the absence of the UK investment). Note – all monetised figures are in £m. In Annex 6, sensitivity analysis has been conducted to test the ‘low’ ‘central’ and ‘high’ outputs for the uplift in investment. This tests the impact of underspend by different proportions, assuming that GPAP absorbs the finance but doesn’t spend all of it on projects.

	Low	Central	High
Costs (Undiscounted) (£m)	19	19	19
Reduced plastic waste (tonnes)	10,336,000	11,856,000	13,376,000
Total Annual Social Benefits²² with uplift (PV) (£m)	413	474	535
Total Benefits (with optimism bias – 20%, weakening £ purchasing power reduction - 10%, additionality reductions – 10%) (PV) (£m)	248	285	321
BCR	13.1	15	16.9
NPV (£m)	229	266	302

Table 4: Total benefits from £19 million investment (£12.5 million + £6.5 million)

	Low	Central	High
Costs (Undiscounted) (£m)	6.5	6.5	6.5
Reduced plastic waste (tonnes)	3,536,000	4,056,000	4,576,000
Monetised benefits (PV) with optimism and additionality bias adjustments. (£m)	85	97	110
BCR	13.1	15	16.9
NPV (£m)	78	91	103
Non-monetised costs	All costs to Defra have been monetised. Any staff admin or resourcing costs are budgeted for elsewhere within the Defra ODA budget.		
Non-monetised benefits	<ul style="list-style-type: none"> • Benefits to local tourism from an improved marine and coastal environment, this could lead to higher incomes for local people and a reduction in poverty. • Reduction in poverty and increase in local economic growth through increased employment opportunities for women. • Increased education and training. • Improved biodiversity. • Exporting UK expertise and knowledge through individual programmes. • Leveraging further finance. 		
Risks	<ul style="list-style-type: none"> • Delays to spending and subsequently GPAP receiving funding • Exchange rate fluctuations 		

²² Attributed to Defra (40%)

<p>Key Assumptions</p>	<ul style="list-style-type: none"> • An Optimism Bias of 10% has been applied to the benefits to account for additionality (i.e., whether the projects would have been funded in the absence of the UK investment). • An Optimism Bias of 10% has been applied to the benefits to account for unfavourable exchange rate shifts. • A further Optimism Bias of 20% has been applied to the benefits to account for failing to deliver desired impacts, and for delays to spending. • Discount rate: 10%²³
-------------------------------	---

Table 5: Expected benefits associated with £6.5million uplift

Uncertainty:

There are many challenges associated with appraising this programme due to substantial uncertainty. This uncertainty occurs as a result of:

- Evidence gaps in the 'business as usual' situation: i.e., we don't have 100% knowledge of what would happen without action from UK Government. This includes uncertainties in the scale of pressures, trends and action of others.
- Marine evidence limitations: There are gaps in our knowledge of quantified benefits associated with the reduction in mismanaged plastic waste and the impact this has on protecting and restoring the health of the ocean and wider environment.
- Uncertainties in the attribution of benefits to the programme. It is difficult to separate impacts that have occurred as a direct result of an investment, and which impacts that may have occurred as a result of an investment alongside other significant features that also enabled the impact. For the expected benefits associated with this programme, we have estimated the benefits attributed to the Defra investment are an equivalent proportion of the total investment to GPAP from Defra.

Economic risks: A full Risk Potential Assessment (RPA) was completed to accompany the original GPAP business case, with a medium score, which is expected for a high-profile investment into an environmental issue of political and public interest. GPAP programme-level risks range from green to amber, and are reviewed monthly at Defra/GPAP progress meetings. An updated RPA has been conducted to assess this risk and the score is unchanged from the original business case. However, as the UK's contribution grows, it is worth reiterating the key risks that remain relevant to this investment.

²³ A 10% discount rate has been included in line with ODA appraisal guidance.

- **Delays to spending and subsequently GPAP receiving funding** – This has the potential to weaken the delivery of existing projects, which would benefit from ongoing funding. **Mitigation** – the expected monetised benefits from the programme have been reduced by 20% to account for the risk of delays to spending or underspend.
- **Exchange rate fluctuations** – this could cause a reduced total sum of money to GPAP. In the event of a significant depreciation of the pound, there will be reduced potential for GPAP project delivery. However, it is worth noting the GBP is close to its lowest value against the dollar over the last 10 years, so further significant depreciations are considered unlikely. **Mitigation** – We will monitor exchange rates and raise concerns if there is potential for a large loss of funds. GPAP will have to absorb some currency fluctuations and accept that the total amount received may slightly differ.

Financial Case

Nature and value of expected costs: The UK will provide a £6.5 million ODA uplift (3 years) to the existing approved commitments through the Blue Planet Fund (£12.5 million core + £1.5 million uplift FY21/22). This brings the total UK funding for this programme through the Blue Planet Fund to £20.5 million. The budget for this uplift was secured through the Spending Review 2021. A full cost breakdown for both the core grant and the proposed uplift across the 3 years can be found in *Annex 1*. It is anticipated that this programme will be 100% RDEL because the programme expenditure is not to buy assets, but for human resource, consultancies and the convening of people. To follow on from the core grant agreement, the funding uplift will be actioned through a commercial change control notice to WEF, who will sub-grant WRAP to allow coordinated co-delivery of the programme.

This funding includes an admin made payable to WEF. The WEF has a 7% admin fee for public sector bodies. This is a reduced rate from the 10% charged for private sector partners. GPAP can share the overhead fees with WRAP with a minimum of 2% retained by the Forum to cover the sub-grant process fees.

Table 6 shows the funding projection over five years of the Blue Planet Fund. FY21/22 has been approved, committed and spent. FY22/23 – FY24/25 has been approved, committed and commercially agreed with the delivery partner. Only the remaining year of the core grant, FY25/26, will need to be bid for and secured in the next Spending Review cycle. Although pertinent to the core grant rather than this uplift, it is worth highlighting that if this final £2.5m cannot be secured, we do not envision a significant risk to the programme or to our investment to date. This is because the programme is supported by fellow donors and will be moving several partnerships towards their self-sustaining phases.

	2021/22	2022/23	2023/24	2024/25	2025/26	Total
Core (approved)	£2.5m	£2.5m	£2.5m	£2.5m	£2.5m	£12.5m
Uplift 1 (approved)	£1.5m	N/A	N/A	N/A	N/A	£1.5m

Uplift 2 (addendum)	N/A	£1.5m	£2m	£3m	N/A	£6.5m
Total	£4m	£4m	£4.5m	£5.5m	£2.5m	£20.5m

Table 6

Schedule of funding: Payments for the core grant are made in arrears according to delivery of quarterly milestones. This is checked by the Defra programme team on receipt of a quarterly operational and financial report. For FY 2023/2024 and FY 2024/2025, the uplift funding will be integrated into these cycles. For FY 2022/2023, the uplift will be paid in one transaction at the end of the financial year, as the approval timelines for this uplift will be mid-year.

Year	Q1		Q2		Q3		Q4		Total
	Core	Uplift	Core	Uplift	Core	Uplift	Core	Uplift	
2022/2023	0.6m	-	0.65m	-	0.6m	-	0.65m	1.5m	4m
2023/2024	0.6m	0.5m	0.65m	0.5m	0.6m	0.5m	0.65m	0.5m	4.5m
2024/2025	0.6m	0.75m	0.65m	0.75m	0.6m	0.75m	0.65m	0.75m	5.5m

Table 7

Accounting Officer tests:

- **Regularity:** The programme funds will be managed in accordance with HMT's Managing Public Money guidance and ODA guidance.
- **Propriety:** ODA funding will be allocated under Section 1 of the International Development Act 2002 and expenditure will be in accordance with this legislation and all ODA requirements. This funding will align with the UK Government's Strategy for International Development through its objectives to create sustainable partnerships in tackling environmental threats.
- **VfM:** Please see *Ensuring Value for Money* in the *Expected Results* section.
- **Feasibility:** GPAP have existing partnerships with the informal sector and waste picker associations, and are already working with inclusivity at the forefront of their operations.
- **Affordability:** The three years of this uplift is covered by the budget that the BPF secured through the FY21/22 Spending Review settlement.

Other donors: The UK has funded GPAP since 2018 alongside the Government of Canada and four private partners: Coca Cola, Nestlé, Dow and PepsiCo. Each of these donors have representation on the Global and National Steering Boards. The private partners renew their 400,000 USD commitment every year. We are looking to welcome further donors on board as GPAP prepare for an increase in operations, and we expect that the UK will perform a key leveraging role in fundraising through endorsement at senior and Ministerial levels.

Commercial Case

Competency of delivery organisation: The UK has worked with WEF since 2018 to deliver GPAP. The FY 2021/2022 Annual Review reported that through its first year of operation under the

BPF, GPAP had met its output targets and exceeded its outcome targets. A detailed summary of Annual Review scores from Year 1 is included in *Annex 2*. A full rationale for partnering with WEF and WRAP can be found in the original business case. To summarise:

- WEF's extensive convening power has allowed GPAP to develop a global network of stakeholders across all sectors, including capacity to catalyse dialogue at the global, national and local levels;
- Incorporation as a not-for-profit foundation (and now as an international organisation under Swiss Law), offering good VfM;
- The combination of strengths between GPAP and WRAP allow for a holistic and collaborative approach to creating systems-change, through applying experience and expertise in international partnerships on tackling plastic pollution;

Additional competencies relating to this uplift is that WEF, through the GPAP programme, have a track record of working with informal sector associations and have experience in supporting the informal sector. Between FY20/21 and FY21/22, GPAP reached over 11,000 informal waste pickers in Indonesia, Ghana, Vietnam, India and Nigeria to support them through the pandemic and into the long-term. GPAP have standing partnerships with organisations such as WIEGO, who work to support women in informal employment.

Consideration of alternative partners: Rationale for selecting WEF as a delivery partners can be found in the original business case. We are not considering other delivery partners for this funding, as there are significant VfM benefits to uplifting an existing, well-performing programme over exploring other (possibly duplicative) delivery mechanisms. GPAP have a vast stakeholder network that connects to the informal waste sector and waste picker associations on the ground, which Defra would otherwise need to contract directly and risk lack of alignment with activities already taking place.

Commercial and funding arrangement: To follow on from the core grant agreement, the funding uplift will be actioned through a commercial change control notice (CCN) to WEF, who will sub-grant WRAP to allow coordinated co-delivery of the programme. While grants do not fall under the Public Contract Regulations 2015 (PCR15), this grant variation aligns with Regulation 72(1)(b) whereby additional services have become necessary and are valued below 50% of the original contract value (£14million). The current grant includes requirements for detailed audited reporting and safeguarding conditions to ensure the arrangement is compliant with Defra standard commercial practices and terms and conditions.

If funding was retracted: Although funding will be agreed over the lifetime of the SR budget allocation, our disbursements are made quarterly on receipt of proof of delivery and spend. This safeguards our spend and ensures that funding is only awarded when we are confident it has been correctly allocated. In the event that committed spend was withdrawn, we would likely be challenged on our leadership in this space, and GPAP's operations would slow significantly. Other funders may remain committed so the programme would likely continue, albeit with slower progress and influence.

Commercial risks:

Risk type	Description	Mitigation	RAG post-mitigation
Operational	GPAP and WRAP fail to deliver on agreed outputs and activities, leading to poor use of UK funding and possible reputational damage	<ul style="list-style-type: none"> - Routine monitoring of activities (on WEF and Defra-side) to track their impact, results and progress, including regular meetings and financial reports - Defra presence on the Steering Board will maintain level of Defra input and expectations - Monitoring and evaluation activities on WEF and Defra-side will use indicators to measure and report on progress 	
Compliance	GPAP do not abide by the Special Conditions as set out in the grant agreement, leading to dishonest use of funding and/or reduced VfM	<ul style="list-style-type: none"> - Programme management team will remain closely engaged with the Defra ODA commercial team to review how these conditions can work for the authority and the delivery partner - Regular catch ups and financial reports on spend with the delivery partner 	
External context	Funding for Defra ODA is reduced within this Spending Review Cycle due to wider financial pressures and/or changes to leadership	<ul style="list-style-type: none"> - The Blue Planet Fund is a manifesto commitment and political priority, with strong backing from current Ministerial team - Continual demonstration of GPAP results and VfM will ensure we can make the case for continued funding 	
Fraud and error	Although detailed in original business case, fraud and error risk is still present. Partners that GPAP work with could commit fraud or use the funding for fraudulent activities, leading to misuse of public funding, poor VfM and reputational damage	<ul style="list-style-type: none"> - Programme management team keep a fraud and error risk assessment which is reviewed and approved annually by the Defra risk team - GPAP's work is governed by a code of conduct which includes both a strict anti-corruption policy and a conflicts of interest policy. The code of conduct can be read here. 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 partnership for support locally 	

Table 8

Value for Money: Information on VfM can be found in both the *Expected Results* and the *Appraisal Case* sections. However, GPAP's objective will always be to allocate funds in a way that ensures results, impact, and the overall achievement of the GPAP and the donor's mission. They make sure to strictly link the VfM principles with the objective of allocating and spending 100% of funds by applying a rigorous monitoring and oversight component to their work, and include this in all their contracts and sub-grants. GPAP have a metrics advisor that ensures that the GPAP logframe and logic model are incorporated in reporting on and evaluating programme activities. How progress and results are monitored, measured and evaluated can be found in the original business case.

Management Case

Governance arrangements: There are no changes to the governance arrangements from the original business case. These arrangements will be summarised here:

Blue Planet Fund governance

1. Programme level: Monthly meetings are held between the delivery partner and the programme management team to discuss progress, issues, risks, safeguarding concerns, reporting, and budgets. A shared file area between Defra and WEF is used to allow real-time updates of spend against the agreed activity breakdown. The programme will be subject to an Annual Review each year, and there will be a mid-point and end-point Monitoring and Evaluation (M&E) progress report. The Annual Review for FY21/22 has been completed and the programme has met expectations.
2. Blue Planet Fund level: The Defra programme team is required to report to the BPF Programme Board, which has oversight of all BPF investments, their timelines, realised benefits and the potential risks. This is where critical risks and issues are escalated. Programmes may also be required to report to the Joint Management Board (JMB).

GPAP governance

GPAP is managed by a director and is governed by a Secretariat, which is hosted at the World Economic Forum (WEF). They benefit from oversight from:

- **Governing council:** A group of chief executives from the public, private and civil society sectors who appoint the members of the Steering Board and champion GPAP at high-level fora;
- **Steering board(s):** Nominated senior representatives who guide the strategic direction of GPAP, both at a global level and for each of the partnerships;
- **Advisory committee:** A cross-sector group of leading experts who provide strategic advice and impartial reviews on global-level analyses and knowledge products;
- **Affiliate members:** A circle of influential global organisations that commit to reducing plastic waste and sharing practical knowledge with like-minded peers through GPAP.

There is representation from the BPF on the Global Steering Board, which means we contribute to the strategic direction of the programme. Each national partnership follows this governance structure, with representation from FCDO Post on the national Steering Boards.

Integrated Assurance and Approvals Plan (IAAP)

This addendum is accompanied by an approved IAAP, which is subject to review every six months. The purpose of this document is to help the programme manager to plan and coordinate all the required assurance and approvals points across its lifecycle. This includes scheduling relating to reporting, reviews and evaluations, and management boards. It also includes milestones and approvals that take this project to day one readiness.

Changes to MEL approach (including logframe): As a multistakeholder partnership working to improve the state of the environment through collaboration, GPAP incorporates funding from a diverse cohort of donors. GPAP's logframe and impact ladder were created with the assumption that funding will scale in proportion to GPAP's expansion to new regions. Additional support through an uplift will continue contributing to GPAP's existing logframe and ensure people working in the informal economy are integrated across GPAP's relevant workstreams based on GPAP's Gender Equality and Social Inclusion Strategy. GPAP will continue to report on informal

economy and all progress through robust narrative reports, and continue to disaggregate where possible by gender, geographies and membership of the informal economy. We also intend to include a further indicator to reflect the number of roadmaps that are considered gender and inclusion responsive²⁴, measured by analysis by the global GESI advisor. Please refer to the *Strategic Case* for comments on how this funding aligns with GPAP's Theory of Change.

Assumptions: Despite no major changes to the Theory of Change and logframe, there are a few additional assumptions that we should consider when strengthening our pathways to impact:

1. Assumption that targeted support to the informal waste sector will improve working conditions for waste pickers, increase social benefits and improve livelihoods.
2. Assumption that integrating representation of the informal waste sector in GPAP/NPAP operations and activities will optimise the holistic, collaborative approach to tackling plastic pollution and ensure that groups that are traditionally undervalued can contribute to the conversation.
3. Assumption that inclusion of informal sector in tackling plastic pollution will optimise innovation, collaboration and progress.

These assumptions will be added to the GPAP Risks, Assumptions, Issues and Dependencies (RAID) register.

Evaluation plan: To note - an independent evaluation was carried out in September 2021 on the 2018 – 2021 Defra grant to GPAP by Wasafiri Consultants.

As set out in the original business case, we intend to conduct mid- and end-point evaluations in addition to the annual reviews to strengthen our understanding of how the programme is delivering, test our assumptions and complement our quantitative assessments based on the logframe. Whilst the scopes of these evaluations will be developed nearer the time, potential areas we would like to explore are as follows:

- How have attitudes towards the informal waste sector changed in GPAP communities (government, business, civil society) since delivery on this uplift?
- How has Defra supported and represented GPAP through high-level (e.g. Ministerial) advocacy at meetings and events? Has this added value to GPAP's influence and delivery?
- [Short-term] Has the better integration of the informal waste economy across GPAP's activities resulted in more diverse and inclusive perspectives to inform collaborative action on plastic pollution?
- [Long-term] If yes, has this inclusive action improved the environment and quality of life for impacted communities, including informal waste workers?

With the mid-point evaluation approaching (October 2023), we recognise that it may take longer to realise the impacts specifically associated with this uplift.

²⁴ The actions identified will, if implemented, improve the system for women and other traditionally marginalised communities.

Benefits management: We have worked with GPAP to develop a five-year logframe (simplified version in *Annex 5* for ease of access). We expect GPAP to report qualitatively and quantitatively on each outcome and output every year, which will be formally assessed by the programme team through Annual Reviews. We have agreed with GPAP to consider benefits derived from their impact targets differently, as these will be realised over longer timeframes and will be more resource-intensive to measure. Impacts will be reported after five years of operation through the BPF, with a mid-point indicative evaluation of reduced plastic leakage using Indonesia as a case study. It is the responsibility of GPAP to ensure that agreed benefits are being realised, and the responsibility of the Defra programme management team to recognise when to take mitigating action.

Annual reviews are conducted by the programme management team and are accounted for in FLD budgets (*table 10*). The schedule for GPAP Annual Reviews is as follows:

Number	Financial Year	Date scheduled	Completed	Score
1	FY21/22	May 2022	August 2022	A
2	FY22/23	May 2023	-	-
3	FY23/24	May 2024	-	-
4	FY24/25	May 2025	-	-
5	FY25/26	May 2026	-	-

Table 9

Risks and issues: As we have an active agreement with this programme, we are already managing risks and will continue to do so. We keep a comprehensive RAID register where delivery and management-related risks, issues, assumptions, and dependencies are recorded, as raised by the delivery partners during monthly meetings or by correspondence, and these are monitored until deemed necessary for escalation. Due to the human-focused nature of this funding, there will be additional risks to account for. Risks and issues associated with the safeguarding and wellbeing of beneficiaries, such as waste pickers, will be managed in line with safeguarding procedures (*Annex 6*).

A Risk Potential Assessment (RPA) has been completed and has been reviewed through the Departmental Assurance Coordinator. The risk rating for this form is medium. A fraud risk assessment (FRA) has also been completed to help mitigate against fraud and corruption, both within Defra and through our delivery partners.

The BPF has a dedicated PMO function that own a centralised RAID log where major programme risks are escalated. Should a risk (or other) require senior escalation, it is raised through the BPF Programme Board where further management decisions will be taken.

Additional programme-level risks associated with the informal sector include:

Risk type	Description	Mitigation	RAG post-mitigation
People	Health, safety, wellbeing and safeguarding:	- Safeguarding conditions are detailed in the Defra grant agreement, with the Authority able	

	intervention dealing with sensitive subject matter, potential for mishandling risks and safeguarding concerns, resulting in adverse and possibly dangerous impacts on beneficiaries	to withdraw funding if conditions are not adhered to - Safeguarding and escalation frameworks are mandated for any onward partner that GPAP should contract. We will include a special condition in the grant agreement that downstream partners must accept Defra ODA Safeguarding terms (<i>Annex 6</i>) - Defra will be involved in the RfP selection process which allows us to test the diligence of the onward partners	
External	Partner governments may use the cases of informal workers to detract from taking environmental action, resulting in delay to outcomes on tackling plastic pollution.	- Bringing informal workers into the same decision-making/strategy spaces as other sectors will (in theory) encourage challenge and collaboration across shared issues - We will bring alternative livelihoods into this work to consider how informal waste sector workers can adapt to changing environmental and waste practices	

Safeguarding: Recognising that working with members of the informal sector will increase the risk of associated safeguarding breaches, GPAP will implement the highest level of due diligence in selecting the organisations that will participate in the different initiatives carried out in the framework of the extension to ensure a higher level of protection of all people involved. The due diligence process will involve direct contacts and deeper knowledge of the organisational structures and processes, their relationship with beneficiary social groups and applying the knowledge and experience of our partners and allies in countries to inform selection. Safeguarding policies and escalation routes will be requested and contracts will not be awarded if these cannot be provided. We will include a special condition in the grant agreement that mandates that downstream partners must abide by Defra's ODA Safeguarding policy (see *Annex 6*). In person visits to the organisation from the NPAPs, GPAP and the donors are an important aspect to consider, as it builds trust between the parties involved but also allows the team to exercise a more effective oversight over the initiatives.

Frontline delivery costs (FLD): The estimated FLD costs have changed since the original business case. The fully resourced programme management team is funded from the Blue Planet Fund budget, which has been secured through Spending Review 21.

Grade	HEO	SEO	G7	G6	SCS	Total
FTE	0.0	0.6	0.2	0.1	0.0	0.9
Cost per year	-	£32,211	£14,350	£8,685	-	£55,246

Table 10

The FLD costs constitute an SEO programme manager (responsible for progress meetings, risk management, reports and audit reviews, payments, engagement with GPAP publications and events, M&E development etc), G7s in policy, economics and M&E, and G6 (SRO) with strategic oversight (including representing the UK at the GPAP Global Steering Board).

Annex 1: Budget breakdown FY2022/2023*Table 10: Overview of programme activities and costs*

Item	Description	22/23 Core £2.5m	22/23 Uplift £1.5m	23/24 Core £2.5m	23/24 Uplift £2m	24/25 Core £2.5m	24/25 Uplift £3m	Justification for uplift
Original pilot countries	Deliver final Action Roadmaps, task forces and additional support with the objective of moving all three country partnerships into sustain phase (Indonesia, Ghana, Vietnam)	£190,000	£190,000	£106,000	£190,000	£106,000	£200,000	Support integration of informal sector into national task forces, deliver gender and inclusion roadmaps and organise workshops
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	£720,000	£600,000	£500,000	£600,000	£800,000	Support integration of informal sector into national task forces, deliver gender and inclusion roadmaps and organise workshops
Impact area tools	Various consultants and sub-grantees, including Windmill, SystemIQ, The Circulate Initiative, UpLink and others	£212,000	£0	£212,000	£40,000	£212,000	£140,000	Funds will partly cover the Baseline analysis that Dalberg, South Pole and KPMG will deliver in countries and that will include a section on the Informal Sector
Gender and social support	Gender consultants and assessments globally and in NPAP countries	£24,000	£180,000	£24,000	£200,000	£24,000	£300,000	The uplift will support Gender Equality and Social Inclusion advisors and consultants in country, as well as two Social context Assessments in 2 TBD countries

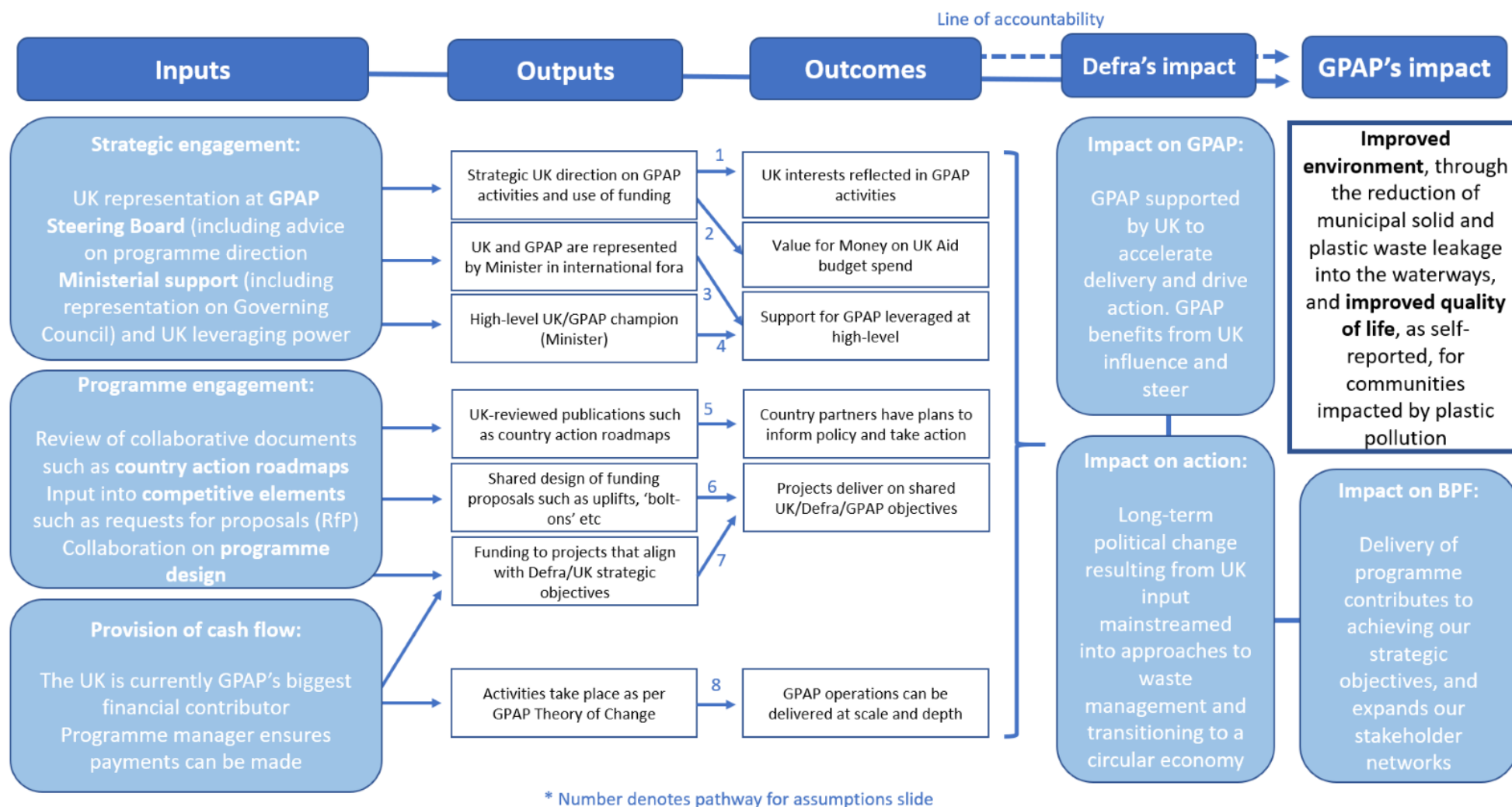
GPAP uplift: informal sector addendum to business case

Communications and workshops	Consultants to support technology platform and conduct workshops. Communications consultants to support the delivery on various publications, including the annual impact report, trade case studies, updated investor toolkit, national action roadmaps and others.	£60,000	£80,000	£60,000	£40,000	£60,000	£100,000	The funds will be used to cover design, copy editing, publication costs of the different Reports, Assessments and Roadmaps
Impact measurement	Monitoring & evaluation	£75,000	£0	£75,000	£90,000	£75,000	£120,000	
Strategic support		£40,000	£0	£40,000	£0	£40,000	£0	
Informal sector	GPAP will work with the informal sector in current and soon-to-be-launched NPAP / partner countries. These efforts will help upskill and support informal sector workers and their organisations.	£0	£141,000	£0	£150,000	£0	£250,000	The uplift will support a new cycle of support to Waste Pickers organisations. The structure is currently being updated after an internal M&E assessment of previous work.
WRAP sub-grant	Sub-grant agreement to WRAP as set out in original business case.	£100,000	£0	£200,000	£100,000	£200,000	£100,000	
Secretariat	Support the GPAP Team. Considering the fast pace the project is scaling up, there is the need to expand the team. Supported by both Defra and Global Affairs Canada.	£695,499	£0	£900,000	£500,000	£900,000	£600,000	The GPAP Secretariat (resource, staff) will be actively involved in delivering activities funded by the uplift
Operational costs	Costs include conference services, translations and interpretation, documents printing, and conference logistics.	£0	£90,900	£0	£60,000	£0	£94,000	Events, conferences on supporting Informal Sector and/or fostering participation of the Informal/or focused on Inclusion and Gender
Travel		£140,000	£0	£120,000	£0	£120,000	£100,000	
Subtotal		£2,336,499	£1,401,900	£2,337,000	£1,870,000	£2,337,000	£2,804,000	
Overhead		£163,551	£98,132.57	£163,590	£130,900	£163,590	£196,280	
Total		£2,500,050	£1,500,033	£2,500,590	£2,000,900	£2,500,590	£3,000,280	

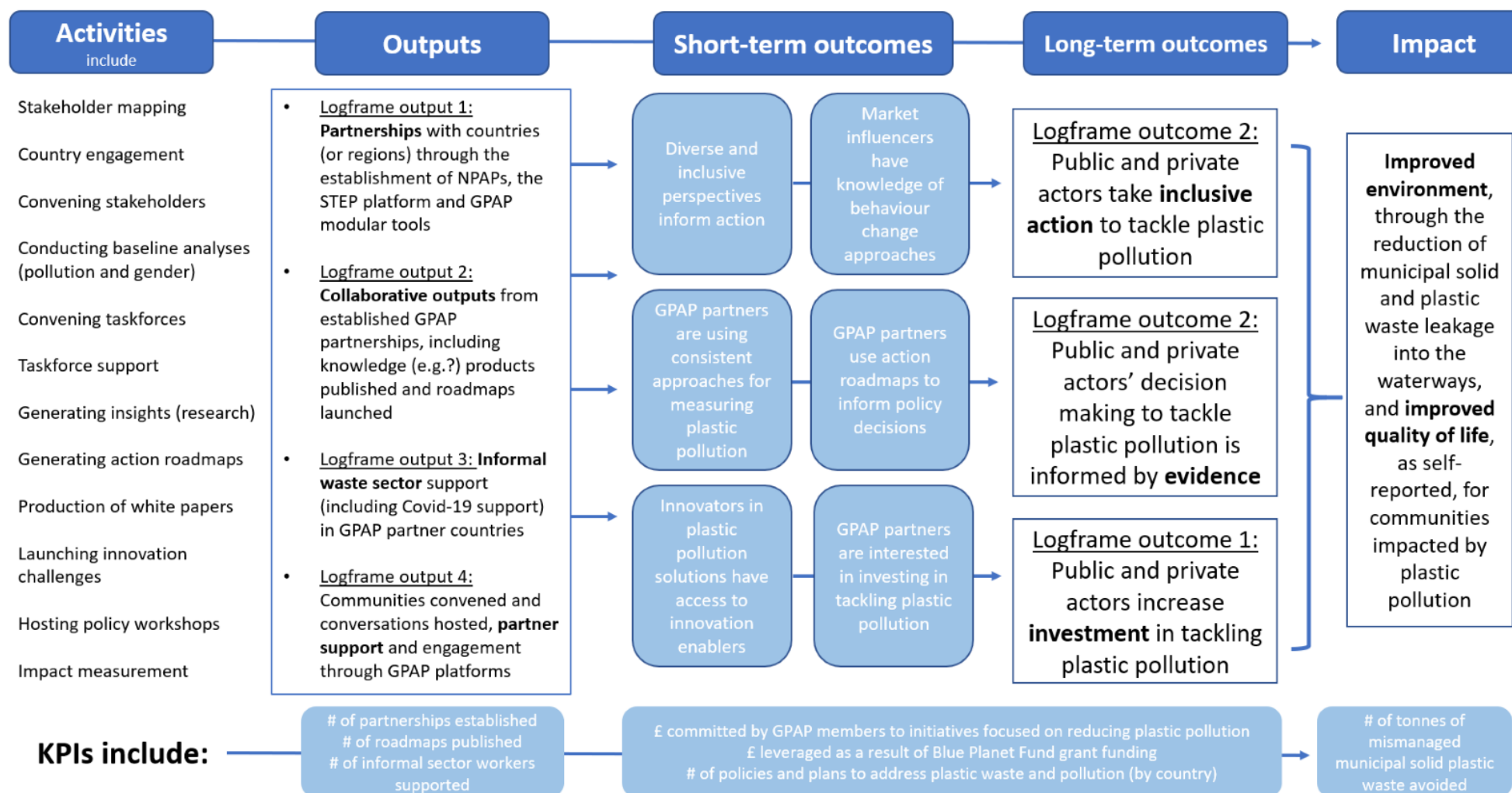
Annex 2: FY2021/2022 GPAP output framework*Table 11: Overview of programme output indicators and targets*

	Output	Output indicator		Baseline	Mar-22	Scoring	
1	Partnering with countries (or regions) through the establishment of 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	# of partnerships* established	Planned	3	7	A	
			Achieved		7		
2	Developing collaborative outputs from established GPAP partnerships	# of partner countries or governments measuring plastic pollution (disaggregated by use of GPAP baseline tool or other)	Planned	3	3	A	
		Achieved		3			
		# of roadmaps published (disaggregated by impact area)	Planned	3			6
			Achieved				7
		# of knowledge products published (disaggregated by focus and target audience)	Planned	1			5
Achieved			5				
3	Supporting the informal waste sector (including Covid-19 support) in GPAP partner countries	# of people in the informal waste sector supported by GPAP projects and activities (disaggregated by gender and geography)	Planned	8,800	11,300	B	
			Achieved		11,035		
4	Engaging and supporting partners through GPAP platforms	# of innovators* reporting benefits* through interaction with GPAP's platform	Planned	12	18	A+	
		Achieved		20			
		% of GPAP partners* who are women* and/or from traditionally marginalised groups* (disaggregated by women and marginalised groups)	Planned	40			42
Achieved			46				
			Overall	A			

Annex 3: Blue Planet Fund (UK) input into the Global Plastic Action Partnership (GPAP) – Theory of Change



Annex 4: Global Plastic Action Partnership (GPAP) programme-level – Theory of Change



Annex 5: Global Plastic Action Partnership (GPAP) logframe [simplified]

Level		Indicators		Baseline	Mar-22	Mar-26
Impact 1	Improved environment, through the reduction of municipal solid and plastic waste leakage into the waterways, and improved quality of life, as self-reported, for communities impacted by plastic pollution	# of tonnes of mismanaged municipal solid plastic waste avoided, based on the business as usual projection for 2025	Planned	0	N/A	5,000,000
			Achieved			TBC
		# of people involved in GPAP and partner projects reporting improved livelihood outcomes (disaggregated by gender and other outcomes where possible)	Planned	0	N/A	28,000
			Achieved			TBC
Outcome 1	Investment by the public & private sector in plastic pollution solutions	£ committed by GPAP members to initiatives focused on reducing plastic pollution (disaggregated by three key funding mechanisms)	Planned	905,945	147,051,940	292,603,350
			Achieved		162,200,000	TBC
		£ leveraged as a result of Blue Planet Fund grant funding	Planned	0%	30%	30%
			Achieved		39%	TBC
Outcome 2	Improved data-driven decision making by public & private actors to tackle plastic pollution	# of policies and plans to address plastic waste and pollution influenced by GPAP members in partner countries (disaggregated by countries)	Planned	0	3	30
			Achieved		7	TBC
Output 1	Partnering with countries (or regions) through the establishment of 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	# of partnerships established	Planned	3	7	25
			Achieved		7	TBC
Output 2	Developing collaborative outputs from established GPAP partnerships	# of partner countries or governments measuring plastic pollution (disaggregated by use of GPAP baseline tool or other)	Planned	3	3	12
			Achieved		3	TBC
		# of roadmaps published (disaggregated by impact area)	Planned	3	6	25
			Achieved		7	TBC
		# of knowledge products published (disaggregated by focus and target audience)	Planned	1	5	25
			Achieved		5	TBC
Output 3	Supporting the informal waste sector (including Covid-19 support) in GPAP partner countries	# of people in the informal waste sector supported by GPAP projects and activities (disaggregated by gender and geography)	Planned	8,800	11,300	21,300
			Achieved		11,035	TBC
Output 4	Engaging and supporting partners through GPAP platforms	# of innovators reporting benefits through interaction with GPAP's platform	Planned	12	18	75
			Achieved		20	TBC
		% of GPAP partners who are women and/or from traditionally marginalised groups (disaggregated by women and marginalised groups)	Planned	40	42	50
			Achieved		46	TBC

How are outputs measured?

	Output	Output indicators	Data, sources and methods
1	Partnering with countries (or regions) through the establishment of 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	# of partnerships established	Geographies may include partnerships with countries, sub-regions, and in some cases, very populous cities which make up a large proportion of a country's population. Supported partnerships will be assessed based on existing letters of intent, contracts, or agreements in place, or strong public commitments by regional representatives.
2	Developing collaborative outputs from established GPAP partnerships	# of partner countries or governments measuring plastic pollution (disaggregated by use of GPAP baseline tool or other)	Plastics flow measurement, geography, and usership will be gathered through GPAP's analysis and scenario modelling tool. GPAP partners will also be asked whether they or their organisations collect data to measure plastic pollution through GPAP's annual survey.
		# of roadmaps published (disaggregated by impact area)	Roadmaps, reports, and knowledge products published by GPAP are monitored in GPAP's results tracker.
		# of knowledge products published (disaggregated by focus and target audience)	Data on measuring plastic waste and pollution will be gathered through annual survey and by assessing the usership of GPAP's modelling tool. Roadmap and knowledge product data will be collected in GPAP's results tracker.
3	Supporting the informal waste sector (including Covid-19 support) in GPAP partner countries	# of people in the informal waste sector supported by GPAP projects and activities (disaggregated by gender and geography)	As members of the informal sector are represented by associations, data will be collected through sub-grant organisations who report back disaggregated results to GPAP.
4	Engaging and supporting partners through GPAP platforms	# of innovators reporting benefits through interaction with GPAP's platform	Data will be collected through an endline survey for innovation cohorts as well as through regular touchpoints during the mentorship program. Benefits will be self-reported and include increased visibility, skills, and access to partners for scale.
		% of GPAP partners who are women and/or from traditionally marginalised groups (disaggregated by women and marginalised groups)	Data are collected from local partnership Secretariats, through the 'Communities Spreadsheet' and through the Forum's TopLink platform.

Annex 6: Safeguarding condition

Due to the additional level of safeguarding risk associated with increased engagement with informal sector workers, we propose including a special clause in the grant agreement to GPAP that mandates that downstream partners must agree to Defra's ODA Safeguarding terms, as detailed:

D7.1 The Contractor will take all reasonable steps to prevent the sexual exploitation, abuse and harassment of any person linked to the performance of the Contract. This shall include, without limitation, that the Contractor will:

- a) maintain a safeguarding policy which includes a statement of commitment to safeguarding and a zero tolerance statement on bullying, harassment and sexual exploitation and abuse;
- b) maintain a detailed register of safeguarding issues raised and how they were dealt with;
- c) have clear investigation and disciplinary procedures to use when allegations and complaints are made, and have clear processes in place for when a disclosure is made;
- d) share its safeguarding policy with representatives or Third Parties involved in the Project;
- e) maintain a whistle-blowing policy which protects whistle blowers from reprisals and includes clear processes for dealing with concerns raised;
- f) maintain a code of conduct for staff and volunteers that sets out clear expectations of behaviours - inside and outside the workplace - and make clear what will happen in the event of non-compliance or breach of these standards; and
- g) meet or be working towards the minimum standards for Sexual Exploitation, Abuse and Harassment safeguarding: the Inter-Agency Standing Committee Minimum Operating Standards on Protection from Sexual Exploitation and Abuse ("PSEA") and/or the PSEA elements of The Core Humanitarian Standard on Quality and Accountability.

D7.2 The Contractor shall provide to the Authority, on the Authority's request, any documents maintained pursuant to D7.1 and/or evidence of compliance with the requirements of D7.1.

D7.3 The Authority has a zero-tolerance approach towards sexual exploitation, abuse and harassment. The Contractor will immediately contact the Authority at to report any credible suspicions of, or actual incidents of sexual exploitation, abuse or harassment related to this Contract. The Contractor should assess credibility based on the source of the allegation, the content, and the level of detail or evidence provided. All sexual activity with children (persons under the age of 18) is prohibited, regardless of the age of majority, or age of consent locally.

D7.4 The Contractor shall also report any credible suspicions of, or actual incidents of sexual exploitation, abuse or harassment that are not directly related to this Contract, but which would impact to the Authority or the reputation of the Authority or UK aid. For example, events that affect the governance or culture of the Contractor, such as those related to senior management, must be reported.

D7.5 The Contractor will fully co-operate with investigations into any credible suspicions of, or actual incidents of sexual exploitation, abuse or harassment, whether led by the Authority or any of its duly representatives.

The Initiative is funded by the Authority with Official Development Assistance (ODA) definitions as set out by the OECD Development Assistance Committee, and thereby demands a capability and capacity to deliver ODA to the required standard.

Annex 6: Sensitivity Analysis

Sensitivity analysis has been conducted to test the 'low' 'central' and 'high' outputs for the uplift in investment. This tests the impact of underspend by different proportions, assuming that GPAP absorbs the finance but doesn't spend all of it on projects.

	NPV - Full investment			NPV - Uplift only			BCR		
Sensitivity analysis (% underspend)	Low (£m)	Central (£m)	High (£m)	Low (£m)	Central (£m)	High (£m)	Low	Central	High
100%	229	266	302	78	91	103	13	15	17
90%	204	237	270	70	81	92	12	13	15
80%	179	209	238	61	71	81	10	12	14
70%	155	180	206	53	62	70	9	10	12
60%	130	152	174	44	52	59	8	9	10
50%	105	123	142	36	42	48	7	7	8
40%	80	95	109	27	32	37	5	6	7
30%	55	66	77	19	23	26	4	4	5
20%	31	38	45	10	13	15	3	3	3
10%	6	9	13	2	3	4	1	1	2
5%	-7	-5	-3	-2	-2	-1	1	1	1

Based on the expected BCR of the programme, the uplift in investment would breakeven if GPAP underspent by 90% on deliverable projects, based on the central scenario.