



## Safeguard Risk Identification Form (SRIF)

### Section 1: Project Overview

<b>Identification</b>	GEF ID 11197
Project Title	Circular Solutions to Plastic Pollution: Global Project
Managing Division	Ecosystems Division
<b>Type/Location</b>	Global
Region	Global
List Countries	N/A
<b>Project Description</b>	<p>The Circular Solutions to Plastic Pollution Integrated Program aims to trigger systems change to accelerate the transition towards a circular economy of plastics in the food and beverage sector, and prevent plastic pollution through upstream solutions in the following areas:</p> <ol style="list-style-type: none"><li>1. Elimination and Reduction: Reduction in the amount of problematic and unnecessary plastic used in the food and beverage sector, including shift to reuse and reduction of very short-lifetime items.</li><li>2. Design for Circularity: Increase in plastic items and systems designed for circularity, elimination of problematic design elements, shift to alternatives, and shift to use of recycled and responsibly sourced content.</li><li>3. Circularity in Practice: Implementation of policies and innovative business models which ensure materials circulate in practice, including reusable systems, and incentives for circularity.</li></ol> <p>The Circular Solutions to Plastic Pollution Global Project aims to ensure the success of the Program's 15 National Projects and create a cohesive whole in order to achieve impact that goes beyond what the National Projects can achieve alone. In addition, the Global Project provides the key function of Knowledge Management and Coordination to the Program, across all participating child projects, creating program coherence and synergies. The Global Project will focus on key transformational levers to maximize impact, while creating widely applicable or replicable assets to multiply influence beyond direct project work. It will systematically address plastic pollution problems in the following ways:</p> <ol style="list-style-type: none"><li>1. Leverage the global project to address barriers that cannot be effectively tackled at the national level.</li><li>2. Deliver technical assistance and knowledge management to scale progress, including increasing exposure and access to tools, guidance, and programs.</li><li>3. Leverage partnerships and coalitions, including with the private sector, financial institutions, civil society, and global initiatives, to increase ambition and scale impact.</li></ol>
<b>Relevant Subprogrammes</b>	Chemicals and Pollution Action



<b>Estimated duration of project</b>	72 Months
<b>Estimated cost of the project</b>	17,750,000 USD (UNEP 9,052,500 USD, WWF 8,697,500 USD)
<b>Name of the UNEP project manager responsible</b>	UNEP GEF IW Task manager – Isabelle VANDERBECK
<b>Funding Source(s)</b>	GEF Trust Fund
<b>Executing/Implementing partner(s)</b>	Executing Agencies: UNEP (Consumption and Production Unit, Industry and Economy Division), WWF-US Implementing partners: Roundtable on Sustainable Biomaterials, Perpetual, WRAP, Global Action Partnership for Extended Producer Responsibility
<b>SRIF submission version</b>	Version 1
<b>Safeguard-related reports prepared so far</b>  <i>(Please attach the documents or provide the hyperlinks)</i>	<ul style="list-style-type: none"> <li>• Feasibility report [ ]</li> <li>• Gender Action Plan [x]</li> <li>• Stakeholder Engagement Plan [x]</li> <li>• Safeguard risk assessment or impact assessment [x]</li> <li>• ES Management Plan or Framework [ ]</li> <li>• Indigenous Peoples Plan [ ]</li> <li>• Cultural Heritage Plan [ ]</li> <li>• Others _____</li> </ul>

## Section 2: Safeguards Risk Summary

### A. Summary of the Safeguards Risk Triggered

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

<sup>1</sup> Refer to UNEP Environmental and Social Sustainability Framework (ESSF): Implementation Guidance Note to assign values to the Impact of Risk and the Probability of Risk to determine the overall significance of Risk (Low, Moderate or High).

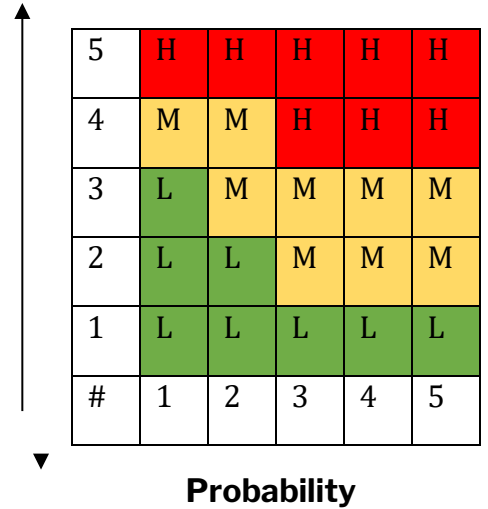


### B. ESS Risk Level<sup>2</sup> -

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

- Low risk
- Moderate risk
- High risk
- Additional information required

- e n d a s s e s s m e n t



### C. Development of ESS Review Note and Screening Decision

#### Prepared by

Name: Isabelle VANDERBECK Date: 24 January, 2024

#### Screening review by

Name: \_\_\_\_\_ Date: \_\_\_\_\_

Signature

Cleared<sup>3</sup>

### D. Safeguard Review Summary (by the safeguard team)

<sup>2</sup> **Low risk:** Negative impacts minimal or negligible: no further study or impact management required.

**Moderate risk:** Potential negative impacts, but limited in scale, not unprecedented or irreversible and generally limited to programme/project area; impacts amenable to management using standard mitigation measures; limited environmental or social analysis may be required to develop a Environmental and Social Management Plan (ESMP). Straightforward application of good practice may be sufficient without additional study.

**High risk:** Potential for significant negative impacts (e.g. irreversible, unprecedented, cumulative, significant stakeholder concerns); Environmental and Social Impact Assessment (ESIA) (or Strategic Environmental and Social Assessment (SESA)) including a full impact assessment may be required, followed by an effective comprehensive safeguard management plan.

<sup>3</sup> This is signed only for the full projects latest by the PRC time.



**E. Safeguard Recommendations** (by the safeguard team)

- No specific safeguard action required
- Take Good Practice approach<sup>4</sup>
- Carry out further assessments (e.g., site visits, experts' inputs, consult affected communities, etc.)
- Carry out impact assessments (by relevant experts) in the risk areas and develop management framework/plan
- Consult Safeguards Advisor early during the full project development phase
- Other -----

**Section 3: Safeguard Risk Checklist**

Screening checklist	Y/N/ May be	Justification for the response (please provide answers to each question)
<b>Guiding Principles</b> (these questions should be considered during the project development phase)		
GP1 Has the project analyzed and stated those who are interested and may be affected positively or negatively around the project activities, approaches or results?	Y	Different types of stakeholders have been analyzed and stated in the Stakeholder Engagement Plan of the Global Project. Stakeholder engagement will continue during the project implementation.
GP2 Has the project identified and engaged vulnerable, marginalized people, including disabled people, through the informed, inclusive, transparent and equal manner on potential positive or negative implication of	Y	Local and vulnerable communities are identified as one of key stakeholder groups in the Stakeholder Engagement Plan. The Global Project will engage with social enterprises and community-led organizations both globally and in the implementing countries to ensure the solutions put forth by the IP account for

<sup>4</sup> Good practice approach: For most low-moderate risk projects, good practice approach may be sufficient. In that case, no separate management plan is necessary. Instead, the project document demonstrates safeguard management approach in the project activities, budget, risks management, stakeholder engagement or/and monitoring segments of the project document to avoid or minimize the identified potential risks without preparing a separate safeguard management plan.





	the proposed approach and their roles in the project implementation?		these critical local stakeholders. Notably, the Global Project aims to engage around relevant issues affecting gender, youth and indigenous peoples as these groups are highly affected by the impacts of plastic waste.
GP3	Have local communities or individuals raised human rights or gender equality concerns regarding the project (e.g. during the stakeholder engagement process, grievance processes, public statements)?	N	There has not been concern raised from local communities or individuals regarding the Global Project.
GP4	Does the proposed project consider gender-balanced representation in the design and implementation?	Y	Gender representation in the project design has been considered. A Gender Action Plan has been developed for the Global Project execution, which includes gender representation in consultations, workshops, events, trainings, committee meetings, etc.
GP5	Did the proposed project analyze relevant gender issues and develop a gender responsive project approach?	Y	Gender issues are analyzed in section B on Gender Inclusion and Section D on Gender Equality and Women's Empowerment in the CEO Endorsement Request Package.
GP6	Does the project include a project-specific grievance redress mechanism? If yes, state the specific location of such information.	Y	The PMU will be responsible for informing project-affected parties about the grievance mechanisms. Contact information of the staff member responsible for the grievance mechanism in the PMU will be made publicly available. Grievance issues can also be raised through the UNEP Stakeholder Response Mechanism ( <a href="https://www.unep.org/resources/report/un-environments-environmental-social-and-economic-sustainability-framework">https://www.unep.org/resources/report/un-environments-environmental-social-and-economic-sustainability-framework</a> ).
GP7	Will or did the project disclose project information, including the safeguard documents? If yes, please list all the webpages where the information is (or will be) disclosed.	Y	All project information will be available on the project's knowledge management platform.
GP8	Were the stakeholders (including affected communities) informed of the projects and grievance redress mechanism? If yes, describe how they were informed.	Y	Stakeholders will be informed through stakeholder meetings and the knowledge management platform during the project implementation.
GP9	Does the project consider potential negative impacts from short-term net gain to the local communities or countries at the risk of generating long-term social or economic burden? <sup>5</sup>	Y	Transitioning from linear take-make-waste economy towards a circular economy of plastics may result in short term losses but will result in a safer, more sustainable and efficient use of plastics.
GP10	Does the project consider potential partial economic benefits while excluding marginalized or vulnerable groups, including women in poverty?	N	Vulnerable groups will be informed, trained and involved in project activities to ensure equal benefits. More specifically, vulnerable groups will be approached as relevant stakeholders and collaboration will be sought to ensure full involvement in demonstration activities. If their livelihoods are affected, for example through the formalisation of jobs, they will be provided with

<sup>5</sup>For example, a project may consider investing in commercial shrimp farm by clearing the nearby mangrove forest to improve the livelihood of the coastal community. However, long term economic benefit from the shrimp farm may be significantly lower than the mangroves if we consider full costs factoring safety from storms, soil protection, water quality, biodiversity and so on.



		affordable alternatives. The adoption of gender mainstreaming will help improve women's economic empowerment and social benefits related to reuse and recycling actions.
<b>Safeguard Standard 1: Biodiversity, Ecosystems and Sustainable Natural Resource Management</b>		
<i>Would the project potentially involve or lead to:</i>		
1.1 conversion or degradation of habitats (including modified habitat, natural habitat and critical natural habitat), or losses and threats to biodiversity and/or ecosystems and ecosystem services?	N	The Global Project aims to prevent plastic pollution in the environment through upstream solutions and will not lead to degradation of natural habitats.
1.2 adverse impacts specifically to habitats that are legally protected, officially proposed for protection, or recognized as protected by traditional local communities and/or authoritative sources (e.g. National Park, Nature Conservancy, Indigenous Community Conserved Area, (ICCA); etc.)?	N	The Global Project aims to prevent plastic pollution in the environment through upstream solutions and will not cause adverse impacts to protected habitats.
1.3 conversion or degradation of habitats that are identified by authoritative sources for their high conservation and biodiversity value?	N	The Global Project aims to prevent plastic pollution in the environment through upstream solutions and will not lead to degradation of habitats.
1.4 activities that are not legally permitted or are inconsistent with any officially recognized management plans for the area?	N	The Global Project aims to prevent plastic pollution in the environment through upstream solutions and will not involve any illegal activities.
1.5 risks to endangered species (e.g. reduction, encroachment on habitat)?	N	The Global Project aims to prevent plastic pollution in the environment through upstream solutions and will not cause risks to endangered species.
1.6 activities that may result in soil erosion, deterioration and/or land degradation?	N	The Global Project aims to prevent plastic pollution in the environment through upstream solutions and will not result in soil erosion or degradation.
1.7 reduced quality or quantity of ground water or water in rivers, ponds, lakes, other wetlands?	N	The quality of ground water or water in rivers, ponds, lakes, and other wetlands is expected to improve due to the reduced plastic pollution.
1.8 reforestation, plantation development and/or forest harvesting?	N	The Global Project will not have reforestation activities.
1.9 support for agricultural production, animal/fish production and harvesting	N	The Global Project will not support agricultural production.
1.10 introduction or utilization of any invasive alien species of flora and fauna, whether accidental or intentional?	N	The Global Project will not introduce any invasive alien species.
1.11 handling or utilization of genetically modified organisms?	N	The Global Project will not handle genetically modified organisms.
1.12 collection and utilization of genetic resources?	N	The Global Project will not collect genetic resources.
<b>Safeguard Standard 2: Climate Change and Disaster Risks</b>		
<i>Would the project potentially involve or lead to:</i>		
2.1 improving resilience against potential climate change impact beyond the project intervention period?	Y	It is expected that the sustainable production of plastics and sound plastic waste management practices implemented through the Global Project will lead to increased resilience against climate change impacts.



2.2	areas that are now or are projected to be subject to natural hazards such as extreme temperatures, earthquakes, extreme precipitation and flooding, landslides, droughts, severe winds, sea level rise, storm surges, tsunami or volcanic eruptions in the next 30 years?	N	While extreme climate events are expected to increase globally in the next decades, the Global Project will contribute to mitigated effects through the promotion of sustainable production and consumption of plastics.
2.3	outputs and outcomes sensitive or vulnerable to potential impacts of climate change (e.g. changes in precipitation, temperature, salinity, extreme events)?	N	This is not expected in the Global Project as it will have a focus on technical assistance and knowledge management. However, National Project in SIDS (such as Cook Island) could be vulnerable to the impacts of climate change, and so are the local communities. The interventions from the National Project will address the climate issue by reducing unnecessary consumption of single-use plastic products from imports and reducing the vulnerability of such countries.
2.4	local communities vulnerable to the impacts of climate change and disaster risks (e.g. considering level of exposure and adaptive capacity)?	Y	National Project in SIDS (such as Cook Island) could be vulnerable to the impacts of climate change, and so are the local communities. However, the impacts will be reduced through project interventions.
2.5	increases of greenhouse gas emissions, black carbon emissions or other drivers of climate change?	N	The Project will lead to a net reduction of GHG emission as the mitigation effort, resulting from reduced open burning of plastics, more reuse and recycling of plastic waste to avoid consumption of virgin plastics.
2.6	Carbon sequestration and reduction of greenhouse emissions, resource-efficient and low carbon development, other measures for mitigating climate change	Y	The Project will lead to a net reduction of GHG emission as the mitigation effort, resulting from reduced open burning of plastics, more reuse and recycling of plastic waste to avoid consumption of virgin plastics.
<b>Safeguard Standard 3: Pollution Prevention and Resource Efficiency</b>			
<i>Would the project potentially involve or lead to:</i>			
3.1	the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	N	The Global Project will prevent the release of pollutants to the environment by reducing plastic pollution through upstream solutions.
3.2	the generation of waste (both hazardous and non-hazardous)?	N	On the contrary, the Project will reduce the generation of waste.
3.3	the manufacture, trade, release, and/or use of hazardous materials and/or chemicals?	N	Upstream measures promoted by the Project will help eliminating unnecessary, avoidable and problematic plastic products and hazardous additives and shifting to sustainable alternatives.
3.4	the use of chemicals or materials subject to international bans or phase-outs? (e.g. DDT, PCBs and other chemicals listed in international conventions such as the the <a href="#">Montreal Protocol</a> , <a href="#">Minamata Convention</a> , <a href="#">Basel Convention</a> , <a href="#">Rotterdam Convention</a> , <a href="#">Stockholm Convention</a> )	N	In the implementation stage, the Project will align its efforts with other international instruments and mechanisms that are related to addressing plastic pollution. They include chemicals and waste-oriented agreements such as the Stockholm Convention and the Basel Convention, especially the Plastic Waste Amendments.
3.5	the application of pesticides or fertilizers that may have a negative effect on the environment (including non-target species) or human health?	N	This is not relevant to the Project.





3.6	significant consumption of energy, water, or other material inputs?	N	The Project aims to increase resource efficiency and reduce the consumption of plastic materials.
<b>Safeguard Standard 4: Community Health, Safety and Security</b>			
<i>Would the project potentially involve or lead to:</i>			
4.1	the design, construction, operation and/or decommissioning of structural elements such as new buildings or structures (including those accessed by the public)?	N	The Global Project will not directly involve construction but will provide technical and operational guidelines for National Projects for the set up of reuse, refill, and recycling systems.
4.2	air pollution, noise, vibration, traffic, physical hazards, water runoff?	N	On the contrary, the Project will reduce air pollution by reducing open burning of plastics.
4.3	exposure to water-borne or other vector-borne diseases (e.g. temporary breeding habitats), communicable or noncommunicable diseases?	N	The Project will reduce communities' exposure to diseases by guiding adequate waste management practices. Improved waste management will decrease air pollution from spontaneous fires in dumps, disease and toxins from dump site contents and its decomposition.
4.4	adverse impacts on natural resources and/or ecosystem services relevant to the communities' health and safety (e.g. food, surface water purification, natural buffers from flooding)?	N	The Project will result in positive impacts on ecosystems through reduced plastic pollution.
4.5	transport, storage use and/or disposal of hazardous or dangerous materials (e.g. fuel, explosives, other chemicals that may cause an emergency event)?	N	The Project will not involve the use of these materials.
4.6	engagement of security personnel to support project activities (e.g. protection of property or personnel, patrolling of protected areas)?	N	It is not envisaged to engage security personnel in the Project.
4.7	an influx of workers to the project area or security personnel (e.g. police, military, other)?	Y	Shifting from linear materials systems to circular systems is expected to create new opportunities for employment, entrepreneurship, and social enterprises.
<b>Safeguard Standard 5: Cultural Heritage</b>			
<i>Would the project potentially involve or lead to:</i>			
5.1	activities adjacent to or within a Cultural Heritage site?	N	The Global Project will not have direct activities in the Cultural Heritage sites.
5.2	adverse impacts to sites, structures or objects with historical, cultural, artistic, traditional or religious values or to intangible forms of cultural heritage (e.g. knowledge, innovations, practices)?	N	The Global Project will not have direct activities in the cultural heritage sites or lead to adverse impacts to sites.
5.3	utilization of Cultural Heritage for commercial or other purposes (e.g. use of objects, practices, traditional knowledge, tourism)?	N	The Global Project will not use Cultural Heritage for commercial purposes.
5.4	alterations to landscapes and natural features with cultural significance?	N	This is not relevant to the Project.
5.5	significant land clearing, demolitions, excavations, flooding?	N	The Project will not involve any significant land clearing.
<b>5.6 identification and protection of cultural heritage sites or intangible forms of cultural heritage</b>			
<b>Safeguard Standard 6: Displacement and Involuntary Resettlement</b>			





<i>Would the project potentially involve or lead to:</i>		
6.1	full or partial physical displacement or relocation of people (whether temporary or permanent)?	N The Global Project will not directly engage at the local level and will not lead to displacement of people.
6.2	economic displacement (e.g. loss of assets or access to assets affecting for example crops, businesses, income generation sources)?	N Transitioning from linear take-make-waste economy towards a circular economy of plastics may result in short term economic losses for certain stakeholders, but will result in a safer, more sustainable and efficient use of plastics and will also create new jobs by introducing more sustainable solutions.
6.2	involuntary restrictions on land/water use that deny a community the use of resources to which they have traditional or recognizable use rights?	N It is not expected in the Global Project.
6.3	risk of forced evictions?	N It is not expected in the Global Project.
6.4	changes in land tenure arrangements, including communal and/or customary/traditional land tenure patterns (including temporary/permanent loss of land)?	N It is not expected in the Global Project.
<b>Safeguard Standard 7: Indigenous Peoples</b>		
<i>Would the project potentially involve or lead to:</i>		
7.1	areas where indigenous peoples are present or uncontacted or isolated indigenous peoples inhabit or where it is believed these peoples may inhabit?	N While the Global Project will not directly engage in those areas, the Project recognizes that indigenous people are highly affected by the impacts of plastic waste, and their inclusion in the Project's design and execution is essential. The Project will ensure that their unique needs, concerns, and insights are considered.
7.2	activities located on lands and territories claimed by indigenous peoples?	N The Global Project will not directly engage in those areas.
7.3	impacts to the human rights of indigenous peoples or to the lands, territories and resources claimed by them?	N The Global Project will ensure indigenous people's rights are respected.
7.4	the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	N This is not expected in the Global Project.
7.5	adverse effects on the development priorities, decision making mechanisms, and forms of self-government of indigenous peoples as defined by them?	N The Global Project will engage 2-3 social enterprises and local groups to join the Advisory Committee to represent local and vulnerable communities. These groups will be identified through landscape analysis and selected based on their existing expertise in advancing the views of women, youth and indigenous peoples.
7.6	risks to the traditional livelihoods, physical and cultural survival of indigenous peoples?	N The Global Project will not pose risks to the traditional livelihoods and any potential risks will be minimized through the engagement of relevant stakeholders.
7.7	impacts on the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	N This will be prevented through the engagement with a diverse set of stakeholders, including women, youth, indigenous peoples and other relevant underrepresented groups to ensure active participation in project design, implementation, and



		decision-making processes as stated in the Stakeholder Engagement Plan.
<b>Safeguard Standard 8: Labor and working conditions</b>		
8.1 Will the proposed project involve hiring or contracting project staff?	Y	Any recruitment of project staff will follow the rules and guidance of UNEP and WWF-US as executing Agencies.
<i>If the answer to 8.1 is yes, would the project potentially involve or lead to:</i>		
8.2 working conditions that do not meet national labour laws or international commitments (e.g. ILO conventions)?	N	
8.3 the use of forced labor and child labor?	N	
8.4 occupational health and safety risks (including violence and harassment)?	N	
8.5 the increase of local or regional unemployment?	N	
8.6 suppliers of goods and services who may have high risk of significant safety issues related to their own workers?	N	
8.7 unequal working opportunities and conditions for women and men	N	The Project will consider how policy changes can address the specific challenges and opportunities that women face in the food and beverage sector. For instance, policies that support women's entrepreneurship in sustainable packaging alternatives, or in developing reuse and refilling systems, will be explored.