



NATIONAL GUIDANCE FOR PLASTIC POLLUTION HOTSPOTTING AND SHAPING ACTION



MODULE

S3

Instrument alignment

September
2020



Implemented with



NATIONAL GUIDANCE FOR PLASTIC POLLUTION HOTSPOTTING AND SHAPING ACTION

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HOW TO READ THIS DOCUMENT



MODULE

Modules are the instruction for the tools. Each module is composed of one or several tools. Technical modules focus on generating hotspot information by the technical team. Strategic modules focus on generating interventions and instruments by involving a wider group of stakeholders.



TECHNICAL MODULE



STRATEGIC MODULE



TOOL REFERENCE

Tools are the building blocks of the guidance. Tools are of three categories: input tools (for data collection), assessment interventions and instruments) and output tools (to provide summarised information and shareable data repository).



INPUT TOOL



ASSESSMENT TOOL



OUTPUT TOOL

White background

WORKFLOW SLIDE

Describes key stages and main actions to run the module and associated tools.

Grey background

SUPPORTING INFORMATION

Provides supporting information, references of background data.





Blue background

DEFINITIONS AND DESCRIPTIONS

Provides key definitions and high level objectives of the modules and tools.



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OBJECTIVE OF THE MODULE

The aim of this module is to get to a list of instrument that can be applied to implement the interventions identified in module S2. It is recommended that these interventions are vetted through a stakeholder engagement process.

Success factors of this module include engagement with the stakeholder group and developing a sound plan with stakeholder input. Instruction on how to engage the different stakeholder groups in the process are provided in the [guidance report](#).

The output of this module is a list of instruments paired with the interventions. This list constitute the final output of this guidance and intends to mitigate the actionable hotspots identified in S1.

DEFINITION OF AN INSTRUMENT

Within this project, an instrument is defined as the ways an intervention may be practically implemented through specific regulatory, financial or informative measures, in light of context factors such as country dynamics and existing measures

CRITERIA TO SELECT INSTRUMENTS

- Relevance of the instrument to the key interventions
- Number of interventions addressed by the instrument
- Technical and socio-economic feasibility of the instrument
- Potential synergies of the instrument with other instruments already in place

CLASSIFICATION OF INSTRUMENTS TO ENABLE THE SELECTION OF A BLEND OF DIFFERENT TYPES

To engage a wide variety of stakeholder different types of interventions are foreseen, and grouped as follows :

Awareness raising, Capacity building, Economic, Innovation, Knowledge creation, Policy/regulatory

(cf. details on subsequent slides)

TOOLS WITHIN THIS MODULE

- Tool S3.1: Instruments library template
- Tool S3.2: Instruments selection;
- Tool S3.3: Instruments prioritisation;
- Tool D: Pairing of interventions and instruments;

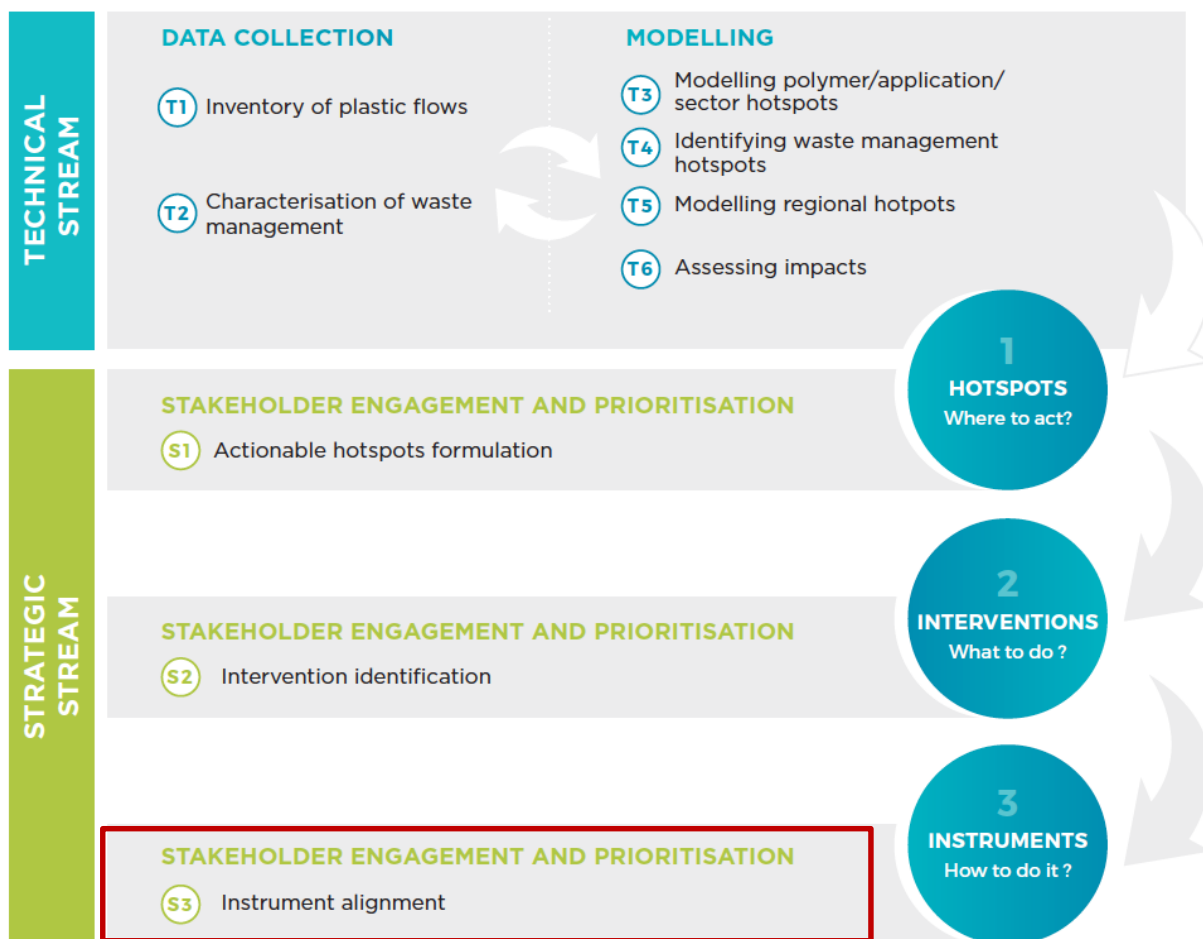


RELATIONSHIP OF MODULE S3 WITH OTHER MODULES

Module S3 is part of the strategic work stream. The results of this module are a subset of instruments with greatest potential for implementing key interventions, and potentially displaying synergies with one another or with pre-existing instruments in the country.

Module S3 more specifically intends to help answering the question HOW TO shape action by identifying best instruments relevant to the key interventions previously identified in module S2

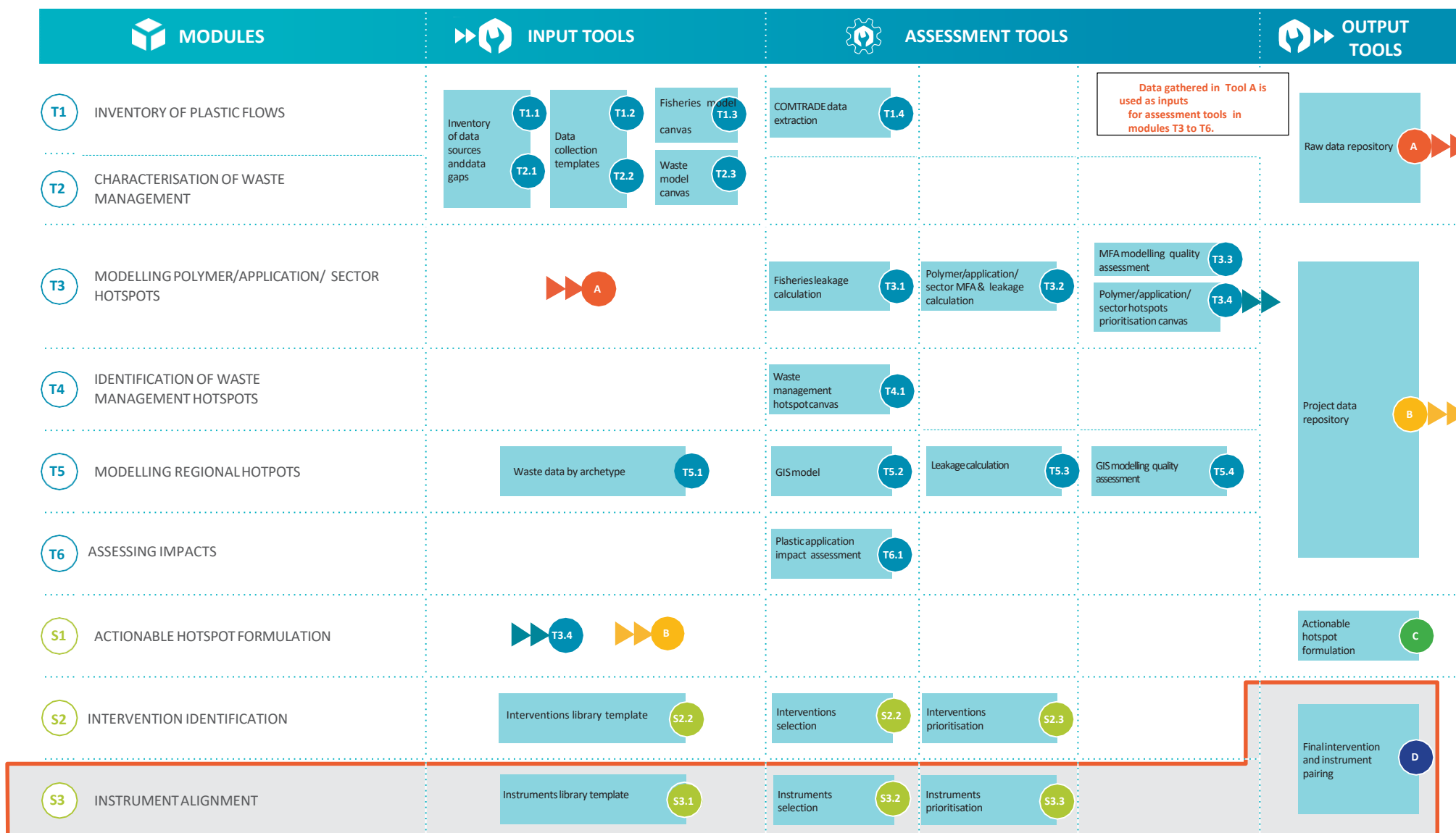
This process is intended to be partially mechanical and automated, and partially influenced by the judgment and decision-making of the user. Stakeholder engagement and input into the decisionmaking is essential.





S3

TOOLS ASSOCIATED WITH MODULE S3



DESCRIPTION OF THE TOOLS WITHIN THIS MODULE

INPUT TOOL



INSTRUMENTS
LIBRARY
TEMPLATE



TYPE: **INPUT TOOL**



OBJECTIVE:

Provide a by default list of instruments as well as empty slots to insert additional instruments relevant for the project.

ASSESSMENT TOOL



INSTRUMENTS
SELECTION



TYPE: **ASSESSMENT TOOL**



OBJECTIVE:

Select relevant instruments for each key intervention defined in module S2.

ASSESSMENT TOOL



INSTRUMENTS
PRIORITISATION



TYPE: **ASSESSMENT TOOL**



OBJECTIVE:

Prioritise and visualise instruments to consider based on the full list of key interventions.

OUTPUT TOOL



FINAL
INTERVENTIONS AND
INSTRUMENTS
PAIRING



TYPE: **ASSESSMENT TOOL**

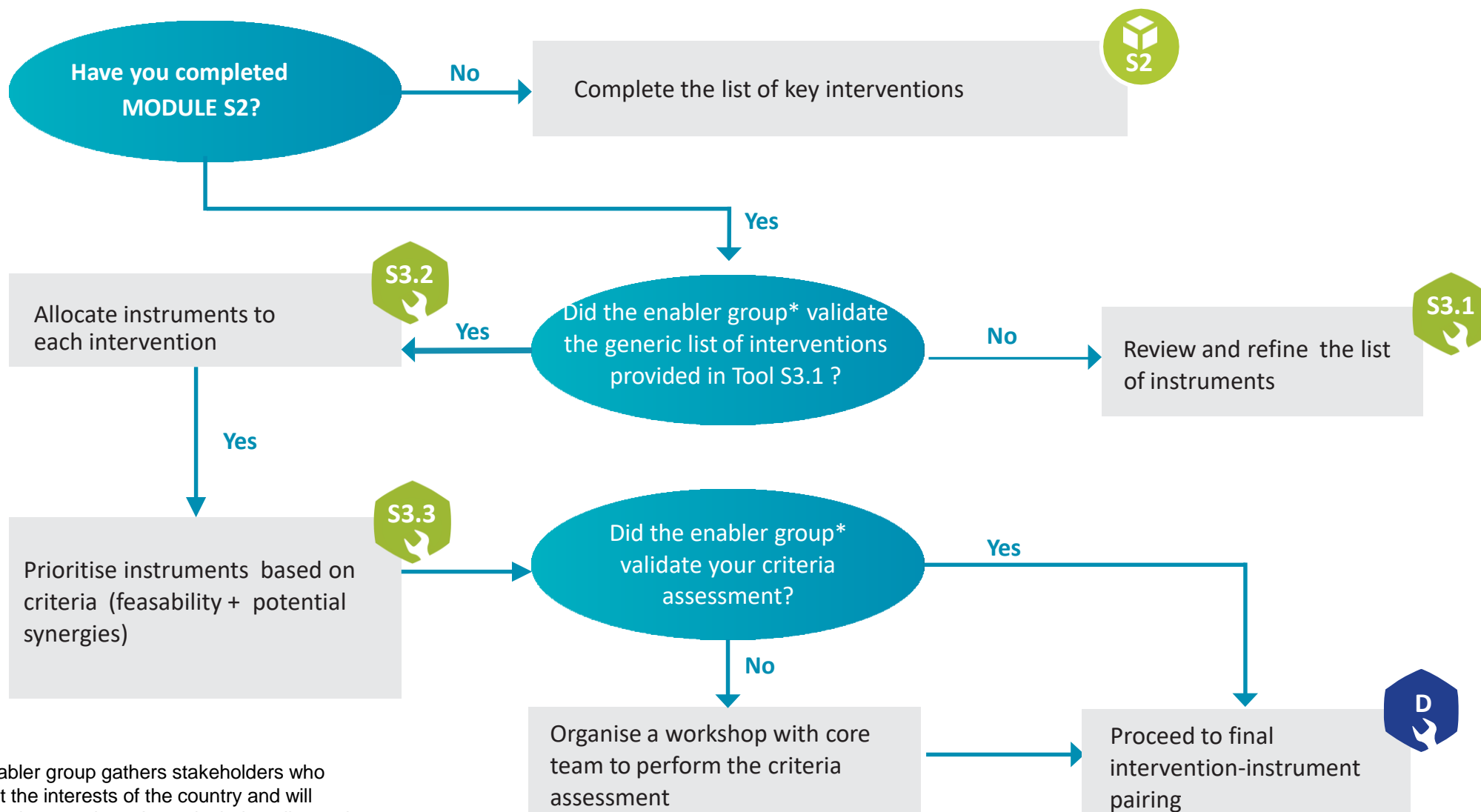


OBJECTIVE:

Draw up final list of paired interventions and instruments to consider, including supporting and context informations. To be used after completion of module S3.

These tools are available in the Excel Spreadsheet associated with this module.

HOW TO USE THIS MODULE ?



* The enabler group gathers stakeholders who represent the interests of the country and will implement interventions. It can include policy makers as well as influential private sector decision makers

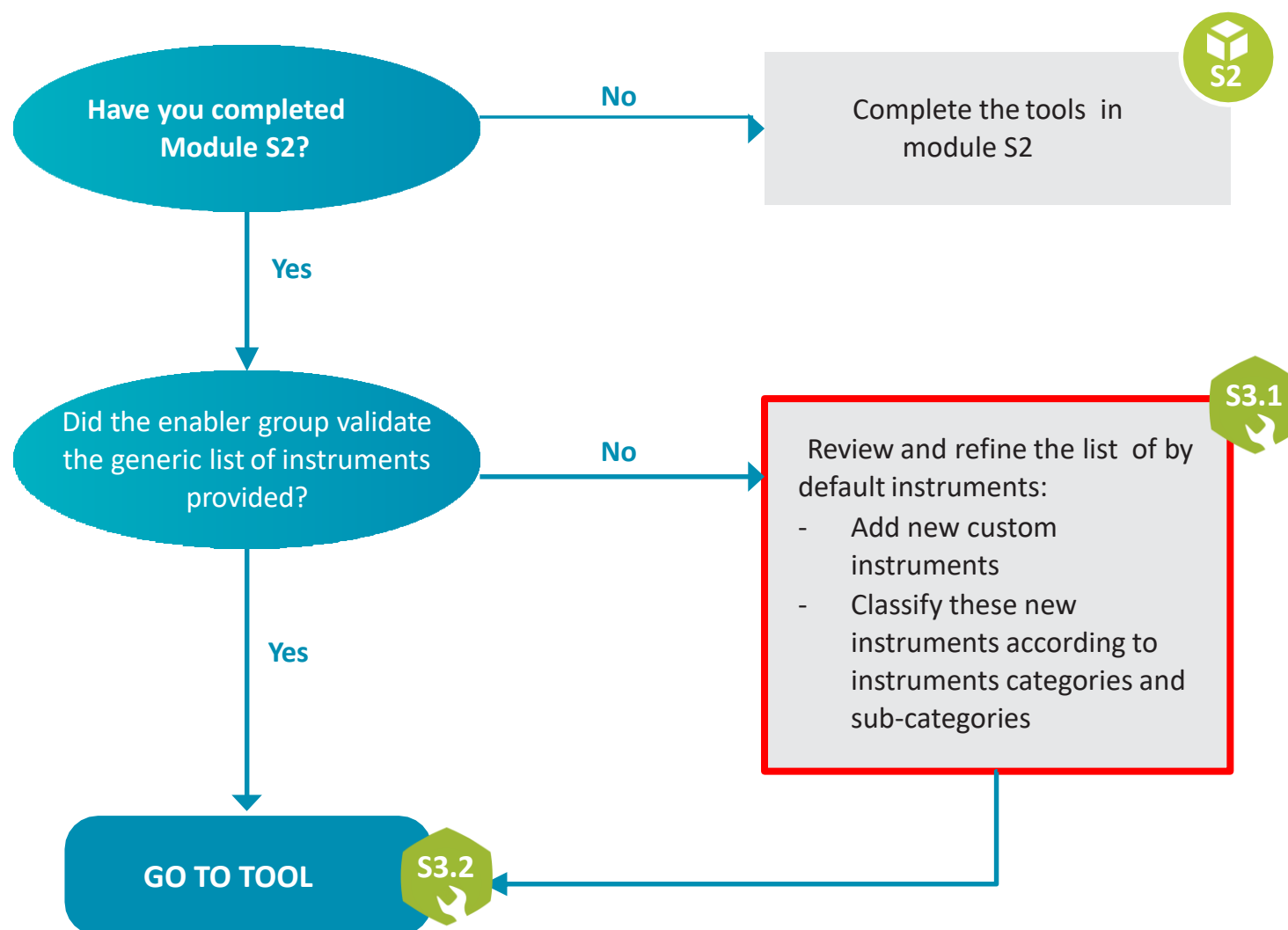


TOOL

S3.1

Instruments library template

HOW TO USE THIS TOOL ?





HOW TO USE THIS TOOL ?

A default list of 80+ instruments is proposed in the tool, but can be supplemented with additional potential ones at the bottom of the list. The by-default list of instruments is summarised by categories and sub-categories in a tree-diagram to help the user navigate in this substantial amount of information.

Always sort in ascending order A-Z

Instrument classification

Sub-category

Instrument name

201	Awareness raising	Businesses	Provide educational materials on life cycle assessment and eco-design
202	Awareness raising	Citizens	mobilise citizens through communication campaigns and social media
203	Awareness raising	Citizens	Engage with residents to mobilise littering and dumping
204	Awareness raising	Citizens	Promote efficient driving habits to reduce tyre abrasion
205	Awareness raising	Citizens	Provide educational materials on optimal wash settings to minimize loss, at consumer or at industrial washing
206	Awareness raising	Citizens	Raise awareness on value of waste through community based associations or religious groups
207	Awareness raising	Citizens	Set up awareness campaign among consumers on harm of purchasing and using specific plastic products through education and social media
208	Awareness raising	Citizens	Create a community of "Netos" through the use of mobile apps
209	Awareness raising	Waste sector	Provide training to informal waste pickers (e.g. recognize plastic polymers)
210	Awareness raising	Waste sector	Provide training to formal waste collectors (e.g. recognize plastic polymers)
211	Awareness raising	Waste sector	Train municipality operators and field workers
212	Awareness raising	Waste sector	Train municipality facility managers and administration
213	Capacity building	Partnership	Build synergies between hospitality sector and local communities in coastal areas for beach clean-ups, recycling and waste management
214	Capacity building	Partnership	Create synergies with recycling companies
215	Capacity building	Structuration	Support informal waste pickers in structuring their activity and pooling resources
216	Capacity building	Structuration	Set up taskforce dedicated to monitoring progress
217	Capacity building	Structuration	Facilitate the development of clean-up associations and empowerment citizen initiatives
218	Economic	Incentive	Create economic incentive for individuals to sort waste at home
219	Economic	Incentive	Incentivize companies not to produce short-lived, plastic-based goods
220	Economic	Incentive	Provide appropriate incentive for collectors to bring waste to disposal site
221	Economic	Incentive	Provide economic incentives for purchasing eco-designed products
222	Economic	Incentive	Provide financial incentives to cleaning beaches
223	Economic	Incentive	Provide financial incentives to mitigate loss of plastic pellets
224	Economic	Incentive	Provide market incentives for producers to use recycled materials
225	Economic	Incentive	Reduce taxation on recycling businesses to make investment in environmentally friendly equipment economically viable
226	Economic	Incentive	Subsidize innovative fishing gear tracking devices or systems
227	Economic	Investment	Develop business model for door-to-door plastic segregation by informal sector
228	Economic	Investment	Ensure investment in waste infrastructure and equipment covers maintenance costs
229	Economic	Investment	Leverage investment to develop the waste management infrastructure
230	Economic	Investment	Develop buy-back scheme (intermediary organisation that buys plastic waste from waste pickers before selling to recyclers)
231	Economic	Investment	Develop the cost of waste management in product price (EPR scheme)
232	Economic	Investment	Create deposit return scheme (service to take back plastic applications after use)
233	Economic	Investment	Create economic incentives for informal sector facilities on kWh of energy produce rather than weight of waste
234	Economic	Investment	Create economic models to increase value of discarded tyres (waste-to-energy in cement industry)
235	Economic	Investment	Tax products that use harmful materials (such as microbeads)
236	Economic	Investment	Tax on single-use plastics
237	Economic	Investment	Ban harmful materials (such as synthetic microbeads in cosmetics)
238	Economic	Investment	Ban on single-use plastics
239	Economic	Investment	Set EPR scheme led by private entities
240	Economic	Investment	Set EPR scheme led by government
241	Economic	Investment	Incorporate fishing gear disposal cost into harbour costs or landing fees
242	Economic	Investment	Enforce fines for littering
243	Economic	Investment	Add police capacity in specific areas to ensure law enforcement regarding littering and fly-tipping practices
244	Economic	Investment	Enforce compulsory load covering for waste collection vehicles
245	Economic	Investment	Enforce minimum standards on equipment operating conditions
246	Economic	Investment	Regulate the number and type of waste bins/ garbage bags at household level
247	Economic	Investment	Introduce minimum content of recycled materials in all products made from plastic (with targets by product category)
248	Economic	Investment	Put in place a waste management plan for construction and industrial waste
249	Economic	Investment	Regulate the use of plastic in construction and industrial waste
250	Economic	Investment	Regulate the use of plastic in construction and industrial waste
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300	Economic	Investment	Regulate the use of plastic in construction and industrial waste

Tree diagram summary

INSTRUMENTS

Knowledge creation

Mapping

Expertise

Businesses

Awareness raising

Citizens

Waste sector

Partnership

Capacity building

Structuration

Innovation

R&D

Social

Technology fisheries

Technology microplastics

Technology waste

Economic

Incentive

Informal sector

Investment

New business models

Tax

Ban

Extended producer responsibility (EPR)

Enforcement

Industry regulation

Policy / Regulatory

Municipality regulation

Trade regulation

Waste sector regulation

Standardisation


Monitoring

NATIONAL GUIDANCE FOR PLASTIC POLLUTION HOTSPOTTING AND SHAPING ACTION

S3.1


SUPPORTING RESOURCES FOR TOOL S3.1

Instruments may belong to 6 categories ; more granular sub-categories are also included in the excel tool to facilitate instrument sorting and selection.




KNOWLEDGE CREATION

Create knowledge to better assess plastic leakage and impacts




AWARENESS RAISING

Raise awareness among stakeholders about plastic pollution




CAPACITY BUILDING

Mobilise resources and skills to tackle effectively plastic leakage




INNOVATION

Develop innovative technological solutions and/or business models to reduce plastic leakage and impacts



ECONOMIC

Influence behaviours regarding plastic pollution through economic incentives or disincentives



POLICY / REGULATORY

Formulate and implement policies and regulations to address effectively plastic pollution



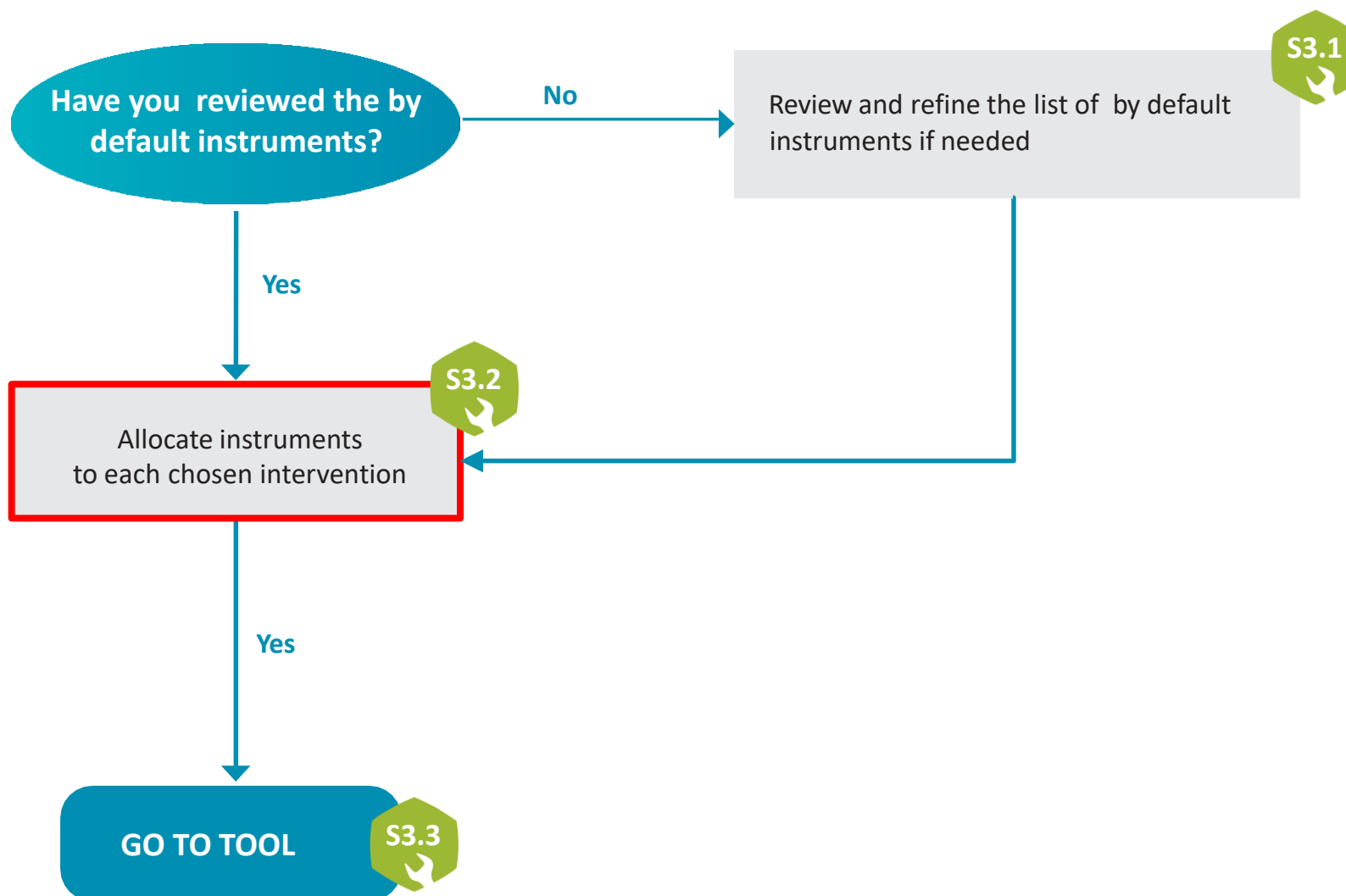
TOOL

S3.2

Instruments selection



HOW TO USE THIS TOOL ?

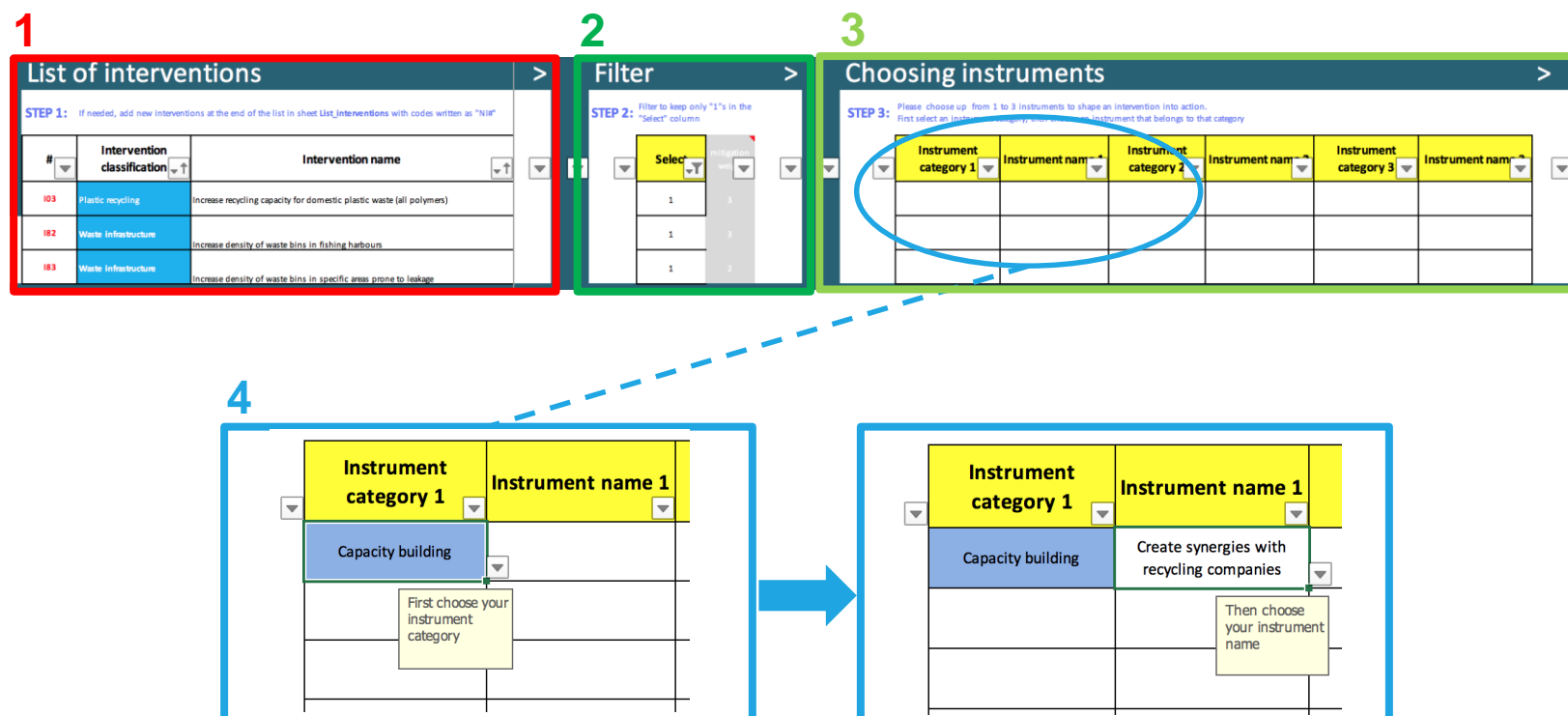




HOW TO USE THIS TOOL ?

A matrix presents all possible interventions from module S1 **(1)**. After having selected the key interventions in TOOL S2.3 (cf. Module S2), a “1” will be automatically appended in the “FILTER” column of TOOL S3.2 next to each key intervention **(2)**. The user has then to filter only “1”s to keep relevant key interventions and start selecting appropriate instruments **(3)**. The user can select an appropriate instrument by first choosing an intervention category, and then choose an intervention name in this category **(4)**.

The user can modify the selection at any time in this module.





SUPPORTING INFORMATION FOR TOOL S3.2

HOW MANY INSTRUMENTS SHOULD A USER CHOOSE FOR A SINGLE KEY INTERVENTION ?

The maximum number of instruments that can be allocated to a key intervention has been arbitrarily set to 3. Nonetheless, it should not be seen as an urge to fill all empty slots. Quite the opposite in fact, it is better if the user can decide upon very specific instrument for a single key instrument in order to restrict the total number of instruments to be eventually assessed in Tool S3.3.

WHAT SHOULD THE USER DO WHEN NONE OF THE GENERIC INSTRUMENT APPLY TO A KEY INTERVENTION ?

In that case, the user should add an instrument of his own (relevant to the context of the project) by inserting it directly at the end of the list provided in Tool S3.1. The “additional instrument” will then appear in the drop-down menu of the associated category (see illustration n°3 in previous slide).



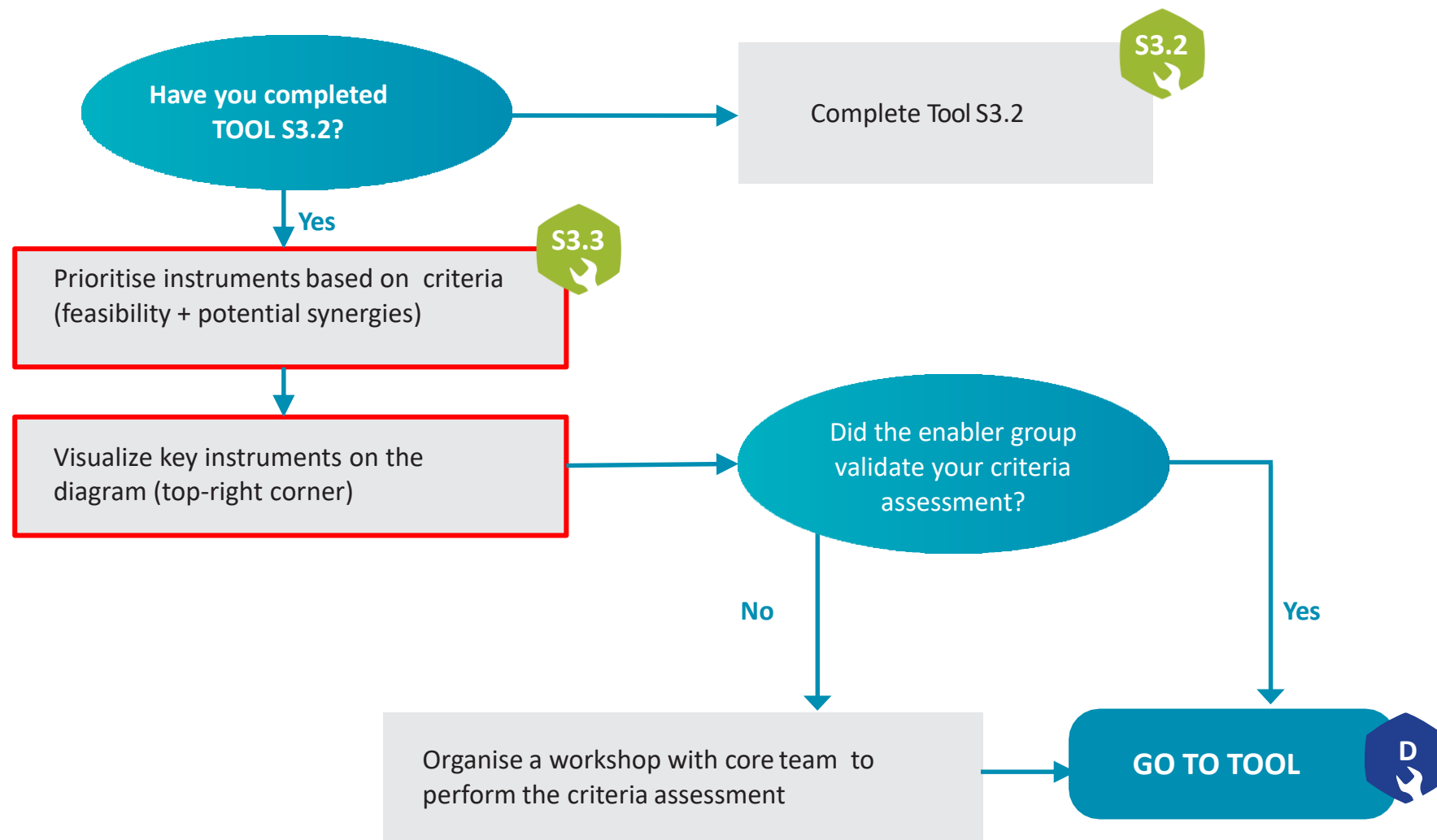
TOOL

S3.3

Instruments prioritisation



HOW TO USE THIS TOOL ?





HOW TO USE THIS TOOL ?

A sheet presents the entire list of instruments from Tool S3.1 that we filter by selecting only the instruments chosen in Tool S3.2 **(1)**. Chosen and filtered instruments are then assessed on two criteria: “feasibility” and “potential synergies” **(2)**. The user can assess each criterion with a by-default drop-down selection made up of three levels (low, medium, high) and add a written justification of his level choice **(3)**.

1

List of instruments

STEP 1: If needed, add new interventions at the end of the list in sheet List_Instruments with codes written as "NIP".

#	Instrument classification	Instrument name
J01	Awareness raising	Provide educational materials on life cycle assessment and ecodesign
J02	Awareness raising	mobilise citizens through communication campaigns and social media
J03	Awareness raising	Engage with residents to tackle littering and dumping
J04	Awareness raising	Promote efficient driving habits to reduce tyre abrasion
J05	Awareness raising	Provide educational materials on optimal wash settings to minimize loss, at consumer or at industrial washing
J06	Awareness raising	Raise awareness on value of waste through community based association or religious groups
J07	Awareness raising	Set up awareness campaign among consumers on harm of purchasing and using specific plastic products through education and social media
J08	Awareness raising	Create a community of "doers" through the use of mobile apps
J09	Awareness raising	Provide training to informal waste-pickers (e.g. recognise plastic polymers)
J10	Awareness raising	Provide training to formal waste collectors (e.g. recognise plastic polymers)
J11	Awareness raising	Train municipality operators and field workers

2

Filter

STEP 2: Filter to remove all "0" But do not sort

Count and filter
0
0
0
0
0
0
0
0
0
0
0
0

Prioritisation criteria

STEP 3: Please assess all instruments within the context of the selected country by rating each criterion in yellow with drop-down menu in each cell (low, medium or high / yes or no). Optionally, justify the criteria level you choose for each instrument

Feasibility	Justification	Synergies with instruments already in place	Justification2	Total mitigation potential	Total synergies score

3

Feasibility

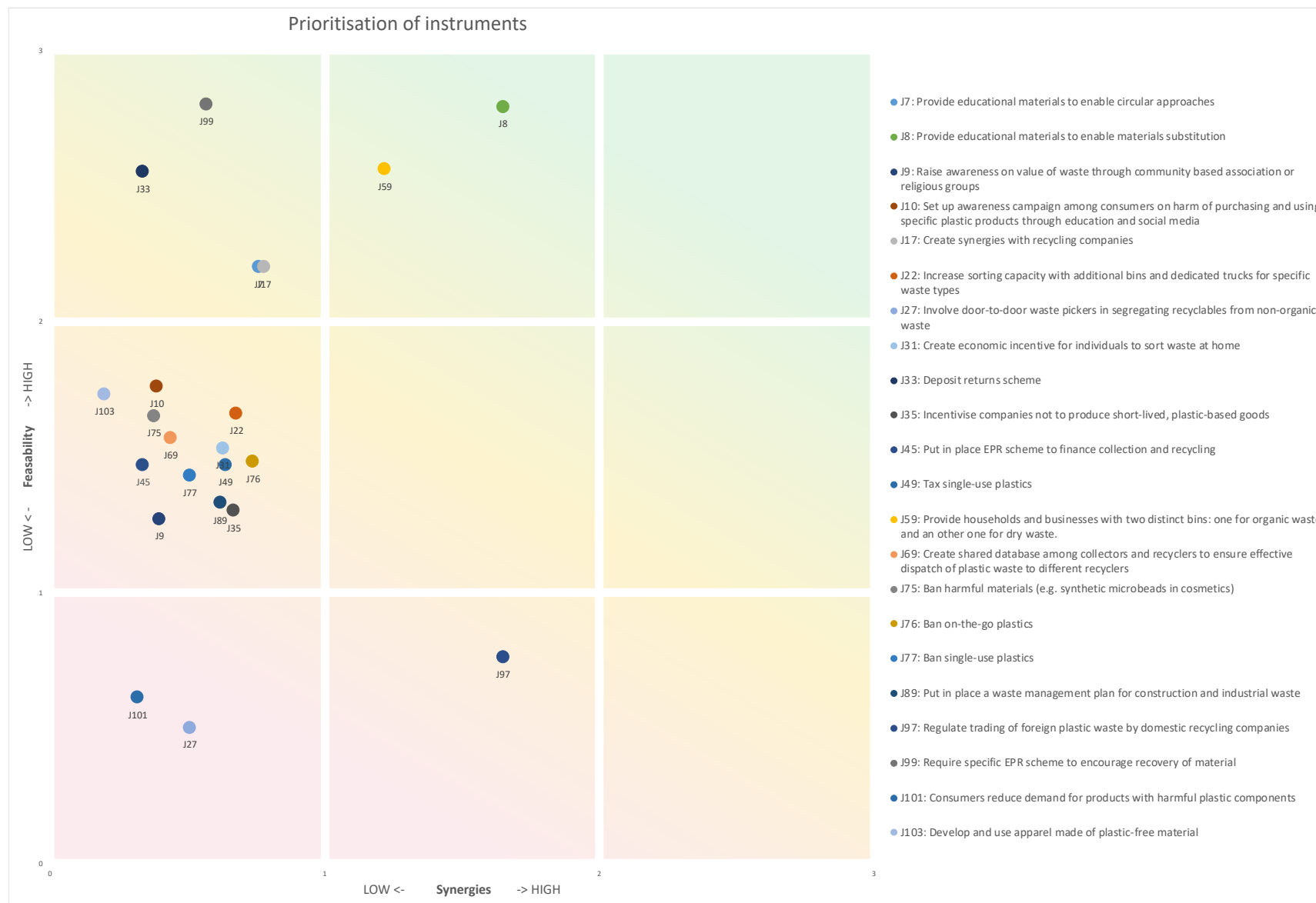
Justification

low

Choose your criteria level

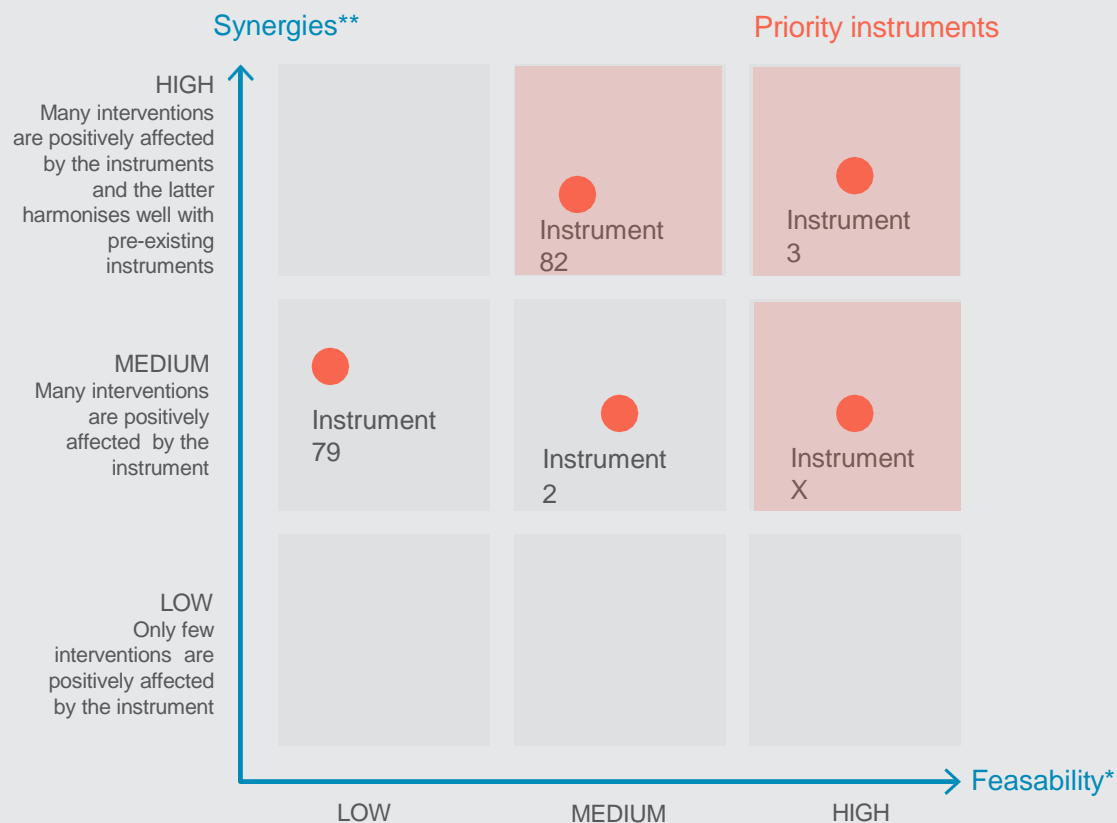


EXAMPLE OF VISUAL INTERPRETATION





HOW TO READ THE PRIORITISATION DIAGRAM ?



The two criteria for prioritisation are “synergies” and “feasibility”.

The priority instruments are those located in one of the three highlighted boxes in the top-right corner of this diagram.

* **Feasibility:** technical and socio-economic assessment of each instrument should be performed. We do not assert a method to perform the assessment as this is beyond the scope of the Guidance. The user can decide on the method to use based on resources available. A by default qualitative assessment with three levels is suggested.

** **Synergies:** Some instruments may be beneficial to multiple interventions, thus creating a positive synergetic effect. This criterion does not only evaluate the number of suggested interventions benefitting from an instrument, but also assess if the proposed instrument harmonises well with instruments already in place.



SUPPORTING INFORMATION FOR TOOL S3.3

HOW SHOULD THE USER CHOOSE CRITERIA LEVELS?

A by default approach consists in selecting a “medium” level for a criterion when one is not able to justify a firm level choice. If one is able to justify his choice in light of his knowledge on the national context and potential trade-offs, then the level should be set to “low”, “medium” or “high” accordingly. The assessment can be supported by specific assessment tool (eg. socio-economic tools) and/or stakeholder consultation process.

WHEN A WORKSHOP SHOULD BE ORGANISED?

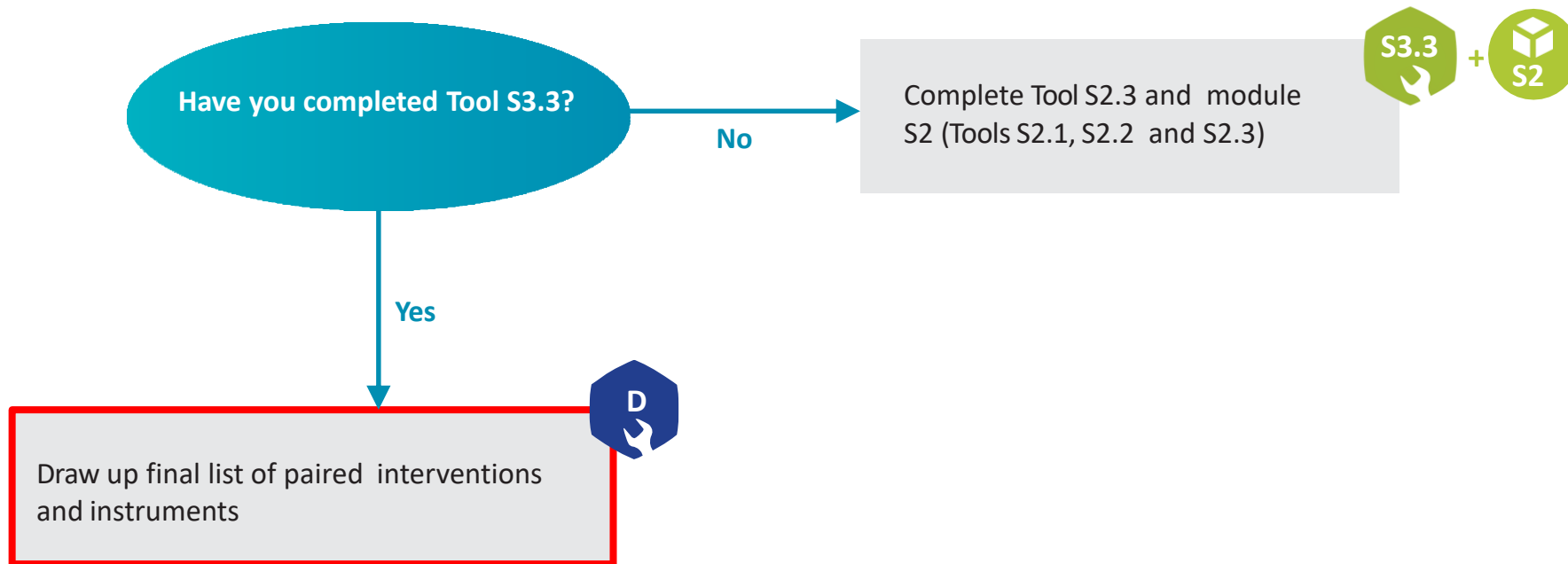
The tool is designed to guide any user through the instrument selection and prioritisation process but if the user believes that input from experts is necessary, then a workshop should be organised to reach consensus when assessing prioritisation criteria.



D

Final interventions and instruments
pairing

HOW TO USE THIS TOOL ?



HOW TO USE THIS TOOL ?

As a final output of the interventions and instruments selection process, the user can manually generate pairs of "intervention-instrument" based on their own analysis of the results from modules S2 and S3. The outcome will be a flat list associating an intervention with an instrument. An intervention can still be associated to multiples interventions one by one, and the other way around is also true.

Given that instrument and intervention names can be quite generic, a column has been added for the user to append more details on the either the instrument or the intervention.

Please note that this tool can only be filled once both modules S2 and S3 are completed until TOOL D.

Intervention/instrument pairing

Create the final list of pairs intervention/instrument from your own analysis of the results (S1 to S3) in order to match each key intervention with the most appropriate key instrument

Intervention	Instrument	More details



Life Cycle Initiative

Implemented with



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