

Proposed response template on written submissions prior to INC-3 (part a)

At its second session, the intergovernmental negotiating committee (INC) requested the secretariat to invite written submissions on:

- Elements not discussed at INC-2, such as principles and scope of the instrument

INC-2 further requested the secretariat to post any submissions received on the INC website and to prepare a synthesis report of the submissions.

The template below was prepared by the secretariat, in consultation with the Chair, and is meant as a guide to assist Members and Observers in preparing their written submissions.

A number of documents prepared by the secretariat for INC-1 and INC-2 are of relevance to this submission, including:

UNEA resolution 5/14 on *‘End plastic pollution: towards an international legally binding instrument’*

UNEP/PP/INC.1/5 on *‘Potential elements, based on provisions in paragraphs 3 and 4 of United Nations Environment Assembly resolution 5/14, including key concepts, procedures and mechanisms of legally binding multilateral agreements that may be relevant to furthering implementation and compliance under the future international legally binding instrument on plastic pollution, including in the marine environment’*

UNEP/PP/INC.1/6 on *‘Glossary of key terms’*

UNEP/PP/INC.1/8 on *‘Description of standard articles on final provisions that are typically included in multilateral environmental agreements’*

UNEP/PP/INC.2/4 on *‘Potential options for elements towards an international legally binding instrument, based on a comprehensive approach that addresses the full life cycle of plastics as called for by United Nations Environment Assembly resolution 5/14’*

UNEP/PP/INC.2/INF/4 on *‘Additional information linked to the options for the potential elements towards an international legally binding instrument’*

UNEP/PP/INC.2/INF/7/REV.1 on *‘Information submitted by the Secretariat of the Basel, Rotterdam and Stockholm conventions’*

All written submissions must be sent to unep-incplastic.secretariat@un.org. As detailed in the mandate, the submissions received will be made available on the INC webpage, a synthesis report of the submissions will also be developed in advance of INC-3.

Please note that not all fields in the template need to be answered in the

submission. **Deadline for submissions:**

I. By **15 August 2023** for written submissions from **observer** organizations. II. By **15 September 2023** for written submissions from **Members** of the Committee.

TEMPLATE FOR SUBMISSIONS (part a)

Name of country (For Members of the committee)	The Netherlands (The Ocean Cleanup) and Philippines (PCX Group)
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Name of organization (For observers to the committee)	The Ocean Cleanup and PCX Group on behalf of The Innovation Alliance for a Global Plastics Treaty
Contact person and contact information for the submission	Mimi Wu connect@iagpt.org , mimi.wu@iagpt.org
Date	15 August

Elements not discussed at INC-2

1. Scope

What is the proposed scope for the future instrument?

Which types of substances, materials, products and behaviors should be covered by the future instrument?

<p>Proposed scope:</p> <p>The scope of a future instrument on plastic pollution should embrace the transformative power of technology and innovation. To achieve this, the Global Plastics Treaty should create an enabling environment for the development and deployment of innovative solutions by facilitating rapid access to finance, recognizing existing innovations, using data for informed policymaking, and prioritizing scalable solutions across the plastic value chain to combat plastic pollution effectively.</p> <p>Explanatory Text:</p> <p>The proposed scope for the future Global Plastics Treaty instrument should encompass the following key aspects:</p> <p>1. Recognition and Integration of Existing Innovations: Mission-driven innovators have already begun developing solutions to combat plastic waste. Existing innovations that combat plastic waste must be recognized, safeguarded, and integrated into both national and global regulatory frameworks. The contributions of mission-driven innovators should not be displaced by emerging UN Plastics Treaty regulations. The treaty should ensure policy provisions and due recognition to support the inclusion and scaling of the identified effective solutions within plastic action plans.</p> <p>2. Rapid and Flexible Finance: The treaty should establish mechanisms that propel innovation by improving access to timely and adaptable financing for innovators across the plastic value chain. This is essential to meet the ambitious goal of reducing plastic leakage into</p>
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nature by 80% by 2040, requiring an annual injection of at least \$30 billion. Simplifying access to financing through novel instruments must be prioritized in order to accelerate impact and address the complexity of traditional government funding channels.

3. Data-Driven Policy and Regulation: Leverage data and insights from the plastic action innovation ecosystem to inform policy making and effective enforcement of regulations. Startups, technology companies, and innovative solutions have collected valuable field data spanning the entire plastic value chain. The treaty should establish a mechanism such as the development of a Plastic Pollution Research and Data Integration Center to collaborate with innovators, monitor treaty implementation, and harness this data for policy development and compliance tracking.

4. Scalable and Inclusive Approaches: Prioritize and promote scalable, socially inclusive, and efficient approaches that effectively address different facets of the plastics problem. The treaty should identify and prioritize the most impactful solutions within each aspect of the plastics value chain. Regulatory frameworks should catalyze these solutions to optimally allocate limited resources and maximize impact, in alignment with the urgent need to alleviate the plastic pollution crisis.

2. Principles

What principles could be set out in the future instrument to guide its implementation?

Proposed principles:

To effectively tackle plastic pollution, IAGPT believes the future instrument to be developed must adopt the following principle to guide its implementation:

1. The principle of “**technology neutrality**”. The **technology neutrality principle** does not favor nor discriminate against any technology, but sets goals and standards, allowing innovative approaches to achieve the desired impact of tackling plastic pollution.
2. Inclusive Collaboration
3. Evidence-Based Governance

Explanatory Text:

Recognizing the importance of technology and innovation in addressing the pressing issue of plastic pollution, the new instrument should foster an environment that encourages creativity and flexibility. **The technology neutrality principle is to recognize, safeguard, and promote the inclusion of existing and future innovations within national and global regulatory frameworks.**

For years, if not decades, innovators around the world have been creating and scaling solutions that combat plastic waste. In the wake of regulatory requirements that will emerge from the UN Global Plastics Treaty, these innovators' essential contributions to moving the needle on plastic waste mustn't be displaced. The Treaty should enable that the inclusion and integration of existing innovations, as well as future innovations, within the global and national plastic

action plans are safeguarded through policy provisions and due recognition.

The technology neutrality principle will ensure that the new legally binding instrument supports past, current and future technology development and innovation to combat plastic pollution across its entire lifecycle. Numerous other international agreements have embraced technological neutrality, reinforcing its significance. The technology neutrality principle will ensure that the new legally binding instrument supports past, current and future technology developments and innovation, and that the treaty remains relevant, agile and effective in the face of evolving technological landscapes and global challenges.

Inclusive Collaboration:

Encourage collaboration and partnership among governments, industries, innovators, and NGOs to foster a comprehensive approach towards plastic waste management.

Facilitate cooperation between the public and private sectors to leverage resources, expertise, and catalyse innovation in developing and implementing effective plastic waste reduction strategies.

Encourage collaboration across sectors, such as technology, finance, research, and development, to drive innovation and address plastic waste challenges comprehensively.

Evidence-Based Governance: Base regulations and strategies on robust data and insights gathered from innovators, ensuring informed and effective policymaking for plastic action.

3. Additional considerations

Provide any other relevant inputs, proposals or priorities here that have not been discussed at INC-2 (e.g., preamble; institutional arrangements, including governing body, subsidiary bodies, scientific and technical cooperation and coordination, and secretariat; final provisions including dispute settlements; and if appropriate annexes).

Proposed inputs:

Explanatory Text:

Proposed response template on written submissions prior to INC-3 (part b)

Potential Areas Identified by the Contact Groups

At its second session, the intergovernmental negotiating committee (INC) requested the secretariat to invite written submissions on:

- Any potential areas for intersessional work compiled by the co-facilitators of the two contact groups¹, to inform the work of INC-3.

The template below was prepared by the secretariat, in consultation with the Chair, and is meant as a guide to assist Members and Observers in preparing their written submissions.

All written submissions must be sent to unep-incplastic.secretariat@un.org. The submissions received will be made available on the INC webpage.

Please note that not all fields in the template need to be answered in the submission. **Deadline for submissions:**

- I. By **15 August 2023** for written submissions from **observer** organizations.
- II. By **15 September 2023** for written submissions from **Members** of the Committee.

¹ Contact Group 1 focused on Section A: Objective(s). Section B: Substantive Obligations; Contact Group 2 focused on Sections C: Means of Implementation. D: Implementation measures. E: Additional matters as contained in part II of the Annex to document UNEP/PP/INC.2/4.

TEMPLATE FOR SUBMISSIONS

Name of country (For Members of the committee)	The Netherlands (The Ocean Cleanup) and Philippines (PCX Group)
Name of organization (For observers to the committee)	The Ocean Cleanup and PCX Group on behalf of The Innovation Alliance for a Global Plastics Treaty
Contact person and contact information for the submission	Mimi Wu connect@iagpt.org , mimi.wu@iagpt.org
Date	15 August

Input on the potential areas of intersessional work to inform the work of INC-3 (following the lists compiled by the co-facilitators of the two contact groups)

Potential areas for intersessional work

The list of potential areas for possible intersessional work compiled by the co-facilitators of the two contact groups at INC-2 is set out below. Members and observers may wish to provide input on one or more of these areas.

Contact group 1:

1. Information on definitions of, e.g., plastics, microplastics, circularity
2. Information on criteria, also considering different applications and sectoral requirements, including:
 - a. Chemical substances of concern in plastics,
 - b. Problematic and avoidable plastic polymers and products and related applications
 - c. Design e.g., for circularity, reuse
 - d. Substitutes and alternatives to plastic polymers and products
3. Potential substances of concern in plastics, problematic and avoidable plastic polymers and products
4. Potential sources of release of microplastics (applications and sectors).

(Please note: A longer list is included in the co-facilitators report on discussions in contact group 1². Submissions may also include input on any of the items in that longer list, such as, amongst others, the development of criteria to priorities problematic and avoidable plastics; the development of targets for the reduction, reuse and repair of problematic and avoidable plastic products; or the guidelines on EPR)

²The report can be accessed here: <https://wedocs.unep.org/bitstream/handle/20.500.11822/42621/CG1.pdf>

Contact Group 2:

1. To consider the potential role, responsibilities and composition of a science and technical body [to support negotiation and/or implementation of the agreement]
2. To consider potential scope of and guidance for National Action Plans [including optional and/or suggested elements]
3. To identify current provisions within existing MEAs [and other instruments] on cooperation and coordination that could be considered
4. To consider how other MEAs provide for monitoring, and suggest best practice
5. To consider options to define ‘technology transfer on mutually agreed terms
6. To further consider how a potential financing mechanism could work [including a new standalone mechanism, a hybrid mechanism, or an existing mechanism]
7. To identify options to mobilise and align private and innovative finance (including in relation to matters at 24(e) and the proposed Global Plastic Pollution Fee (GPPF))
8. To map current funding and finance available [to address plastic pollution] and determine the need for financial support for each Member
9. To identify capacity building and training needs for each Member.

Inputs relating to potential areas for intersessional work. Please identify clearly which area your input relates to.

Our inputs are related to both Group 1 and 2:

First, technology and innovation are an embedded thread connecting every topic, and together they serve to accelerate solutions that will enable the successful implementation of the Global Plastics Treaty.

As mentioned in the report of CG1, technology was one of the elements identified by members that links to discussions in CG2, such as “the need for technology, technical and financial assistance for enhancing waste management capacities was stressed by many members” (possible obligation 5), and “the need to include access to technology as well as consider the role of a fund to address legacy plastics” (obligation 9).

All of our 70+ members work with plastic waste intimately with different levels of technology sophistication that make sense within the company’s country context. Our innovations help divert and manage waste from collection in communities, marine areas, and ecosystems in between working with marginalized, informal waste collectors and formal waste collection systems. Our technology also spans from traceability to sorting (both low tech manual and mechanical to high tech optical), from recycling to alternative material development. By virtue of our operations working directly with plastic waste, our members possess deep technical knowledge of all points within Contact Group 1, including

We operationally define what plastic and circularity mean and some members have contributed to national and regional conversations with IGOs/DFIs and the public (Contact Group 1, #1); we understand firsthand how different chemicals, additives, and polymers impact recyclability and

usability (CG1, #2a, #2b, #3); many of us work with brands to not only collect plastic waste but also provide input on packaging design (CG1, #2d); and several of our members are developing scalable alternatives to plastic polymers and products. Many of our members also manage microplastics daily within their operations.

Related to Group 2, our 110+ Members, Innovation Champions, and Scientific Council across 20+ countries and 6 continents have developed on-the-ground technology solutions that address plastic waste along its entire waste chain. We have deep expertise in both developed and industrializing nation contexts, which provides a globally encompassing perspective of the complexities within plastics management (CG2, #1). These include understanding infrastructure challenges and developing solutions to physically manage and mitigate plastic waste; R&D on alternative materials; firsthand experience with financial access (CG2, #6); actively participating in the development, implementation, and M&E of regional, national, and local Action Plans or at minimum abiding by those regulations (CG2, #2); partnering with DFIs and other organizations working on MEAs and contributing to on-the-ground operations (CG2, #3, #4); forming alliances with other technologists to transfer knowledge (CG2, #5); possessing market experience of consumer and cultural behaviors; and so on.

We are deeply focused on the following areas:

A. Finance for innovation

The fight against plastic waste is highly time sensitive, and a roadmap to reducing plastic leakage into nature by 80% by 2040 requires at least \$30 billion of additional capital every year. The time value of plastic action is high, but access to traditional financing from government-originated sources is fragmented, complex, and often laden with bureaucratic procedures that bottleneck the necessary pace of change. The proper provisions to provide financial assistance via novel instruments and/or ease complex structures around existing instruments (e.g., multilateral facilities, development banks) can help accelerate and maximize impact.

Potential areas of intersessional work:

- I. Assess the relevance of a Global Plastic Pollution Innovation Fund with the aim to promote innovation to tackle plastic pollution.
- II. Discuss how to ease complex structures around existing instruments (e.g., multilateral facilities, development banks)

- This specifically relates to point 6, 7, and 8 in contact group 2. Overlaps with comments made during the discussion of several obligations in contact group 1.

B. Recognize, safeguard, and promote the inclusion of existing innovations within national and global regulatory frameworks

For years, if not decades, innovators around the world have been creating and scaling solutions that combat plastic waste. In the wake of regulatory requirements that will emerge from the UN Plastics Treaty, these innovators' essential contributions to moving the needle on plastic waste mustn't be displaced. The Innovation Alliance, therefore, expects that the inclusion and integration of existing innovations within the global and national plastic action plans are safeguarded through policy provisions and due recognition.

Potential areas of intersessional work include

- I. Discuss how and why the technology neutrality principle should be included in the Treaty to ensure that there are no constraints or prescriptions on choices of technology or equipment and do not favor nor discriminate against any technology.

- This specifically relates to point 1, 2, and 5 in Contact Group 2. Overlaps with comments made during the discussion of several obligations in contact group 1.

C. Leverage data and insights from the innovation ecosystem towards informed policymaking and effective regulation enforcement

By virtue of their operations and presence across the world, startups, technology companies, and innovative solutions have already collected large amounts of highly valuable field data that can be leveraged to both guide the creation of new policies and help monitor compliance towards regulations at every level. This data spans the entire value chain from upstream (e.g., consumer behavioral data for reuse and refill) and midstream (e.g., brands' plastic intensity / footprints) to downstream (e.g. waste management supply chain traceability) and legacy pollution (e.g. tracking of riverine plastic pollution emissions, traceability of plastic in oceanic gyres). Given the potential value of this approach, the Innovation Alliance would like to leverage its global plastic solutions network to support the Treaty process and expect negotiators to earmark assistance towards the creation of a Plastic Pollution Research and Data

Integration Center that works with innovators to effectively monitor implementation of the Treaty's goals and obligations.

Potential areas of intersessional work:

- I. Discuss ways of coordinating and integrating data and knowledge in accessible ways to inform policy makers
- II. Facilitate working together with relevant stakeholders from innovation ecosystem towards informed policymaking and effectively enforce international regulations enforcement.

- This specifically relates to point 1 in contact group 2. Overlaps with comments made during the discussion of several obligations in contact group 1.

D. Identify solutions to prioritize: provide impetus to scalable and inclusive approaches that efficiently tackle different facets of the plastics problem

A tangible roadmap to ending plastic pollution must start with the understanding that not all approaches and “do-good” efforts are equally effective in reducing waste and eliminating legacy

pollution. Within a given part of the plastics value chain, some approaches can be dramatically more cost-effective, socially inclusive, and/or scalable than others. The Innovation Alliance, therefore, expects that the best solutions within their respective focus areas be identified, prioritized, and catalyzed by regulatory frameworks to effectively allocate limited resources and maximize impact against a crisis that requires urgent alleviation.

Potential areas of intersessional work:

- I. Conduct a study to identify best scalable and inclusive solutions to tackle plastic pollution within respective focus areas

- This specifically relates to point 1, 2 and 4 in contact group 2. Overlaps with comments made during the discussion of several obligations in contact group 1.

For further information on this submission, please contact the IAGPT Secretariat at connect@iagpt.org.

About The Innovation Alliance

The Innovation Alliance for a Global Plastics Treaty (IAGPT) is a cross-sector alliance convened with the aim of promoting the role of innovation, technology, and entrepreneurship in the Global Plastics Treaty. The IAGPT exists to unite the voices of the innovation ecosystem and to accelerate systems change across the entire plastic pollution lifecycle, from source to sea. It currently comprises five esteemed innovation champions, over sixty innovators as members (spanning solutions across all nodes of the plastic pollution lifecycle including but not limited to reuse/ refill models, alternatives to plastic, downstream waste management solutions, waste related technology providers etc.), as well as scientific experts. Please find the IAGPT website linked [here](#) and the vision statement [here](#).

Our Members, Innovation Champions, and Scientific Council:

1. Again
2. AlphaMERS Ltd
3. AMP Robotics
4. B'ZEO

5. Baeru Environmental Services
6. Bare Necessities

7. Boomerang Water, LLC

8. Botellas de amor fundación (love Bottles :
9. Brown Living
10. BVRio
11. Cabinet Health
12. Circularr, Ltd

13. Clear Robotics Limited
14. ClimeCo
15. Coliba
16. Common Seas
17. Conceptos Plasticos
18. Cruz Foam

19. Danimer Scientific Inc.
20. DeliverZero
21. Delterra
22. Dispatch Goods, Inc
23. Dopper

24. Eco Breakthroughs INC
25. EcoGlobal LLC
26. Econesia

27. EcoSattva Environmental Solutions Pvt. I
28. Ecoworks

29. Enviu
30. erthos Inc.

31. FeelGood Eco-Nurture LLP
32. Fondation De La mer

33. Global Green Solutions
34. GOATOTE
35. Green Worms
36. Greyparrot
37. Healix
38. IMEKO
39. InfinityBox
40. Kudoti
41. Lagom Vietnam
42. LastObject ApS
43. Mananalulu

44. Mangala Resource Management Private L
45. Marea Verde

46. Marine Recycling Cluster

47. MEC CLEARWASTE BERHAD

48. MEC CLEARWASTE BERHAD.

49. Meliora Cleaning Products
50. Muuse
51. Nomad Plastic
52. Notpla Limited
53. O'land Stations
54. Observing I Ecotech
55. Ocean Bottle
56. Ocean cleanup
57. Ocean Material

58. Ocean Plastic Technologies
59. Ocean Purpose Project

60. Ocean Recovery Group
61. Oceanworks
62. Only One
63. PadCare Labs
64. Pinovo AS
65. Plaine Products
66. PlanetCare

67. Plastic Credit Exchange
68. Plastic Fischer
69. Plastic Odyssey
70. QYOS
71. REBO Bottle

72. Recity Network Private Limited

73. Recykal Rapidue Technologies Private Li
74. Refillable
75. ReMI

76. REMOVALL PLASTIC
77. rePurpose
78. Returnity
79. Riverrecycle Oy
80. S-EnPol Company,Ltd
81. Saahas
82. Saahas Zero Waste

83. SALT (Salt Lofoten AS)

84. Scientific Council (Costas Velis)

85. Scientific Council (Hannah De Frond)

86. Scientific Council (Henning Wiltz)

87. Scientific Council (Julia Reisser)

88. Scientific Council (Laurent Lebreton)

89. Scientific Council (Stefan Sosnowski)
 90. SecondMuse

 91. Shayna EcoUnified India Pvt Ltd
 92. Sungai Watch

 93. Sustainable Ocean Alliance
 94. Sway
 95. SweepSmart B.V
 96. Tangie LLC

 97. The Great Bubble Barrier

 98. The Great Bubble Barrier
 99. The Plastic Flamingo
 100. The SeaCleaners

 101. The Searial Cleaners

 102. The Water Company
 103. TONTOTON
 104. UPP!

 105. Vintz Plastics Limited

 106. vRecycle Waste Management Services

 107. VYTAL Global GmbH

 108. Waste Warriors Society
 109. Waste4Change

 110. WITHOUT by Ashaya

 111. Zerocircle Alternatives Pvt Ltd
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