Docusign Envelope ID: A6ACC050-66DB-474F-9A66-2AC38F2A29A7

ANNEX 3: OFFLINE PORTFOLIO/PROJECT RISK REGISTER TEMPLATE

Portfolio/Project Title: TCCF UNDP Programme on Management of Plastics Waste and Circular Interventions on Plastics in South Asia, Southeast Asia, and the Pacific.	**Portfolio/Project Number:** 01002871	**Date:** 25/09/2024

#	Event	Cause	Impact(s)	Risk Category and Sub-category *(including Risk Appetite)*	Impact, Likelihood & Risk Level	Risk Valid From/To	Risk Owner *(individual/team accountable for managing the risk)*	Risk Treatment and Treatment Owner
1	There is a risk that duty-bearers (*e.g.*, government agencies) do not have the capacity to meet their obligations in the project.	As a result of lack of technical capacity of duty-bearers on the topic of plastics waste and circular intervention.	Which will impact in failure of programme and reputational damage to UNDP and Project Donor	1. SOCIAL AND ENVIRONMENTAL (1.1. Human rights) - UNDP Risk Appetite: CAUTIOUS	***Likelihood***: 3 - Moderately likely ***Impact***: 3 - Intermediate ***Risk Level***: MODERATE (equates to a risk appetite of EXPLORATORY)	From: 01-Nov-24 To: 31-Oct-27	UNDP Country Office (CO) Project Management Unit (PMU) Safeguards Officer or External Consultant.	***Risk Treatment 1.1***: Provide technical capacity training on use, occurrence, environmental fate and transport and environmental impact of plastics waste on the environment to duty-bearers at the regional level and country-specific level. ***Risk Treatment Owner***: UNDP CO PMU Safeguards Officer or External Consultant. ***Risk Treatment 1.2***: Provide technical capacity training on plastics waste and circular intervention to duty bearers at a regional level and country-specific level. ***Risk Treatment Owner***: UNDP CO PMU Safeguards Officer or External Consultant. ***Risk Treatment 1.3***: Provide technical capacity training on plastics waste and circular intervention to external stakeholders that will be involved in project implementation at the country-specific level. ***Risk Treatment Owner***: UNDP CO PMU Safeguards Officer or External Consultant.
2	There is a risk that rights-holders (*e.g.*, project-affected	As a result of lack of stakeholder engagement	Which will impact in low participation rates, failure of	1. SOCIAL AND ENVIRONMENTAL (1.1. Human rights) - UNDP	***Likelihood***: 2 - Low likelihood ***Impact***:	From: 01-Nov-24	UNDP CO PMU Safeguards Officer or External Consultant.	***Risk Treatment 2.1***: Develop Stakeholder Engagement Plan (SEP) at the regional level and country-specific level.

Docusign Envelope ID: A6ACC050-66DB-474F-9A66-2AC38F2A29A7

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	persons) do not have the capacity to claim their rights.	prior to commencement of project implementation	programme, and reputational damage to UNDP and Project Donor.	Risk Appetite: CAUTIOUS	3 - Intermediate ***Risk Level***: MODERATE (equates to a risk appetite of EXPLORATORY)	To: 31-Oct-27Click or tap to enter a date.		***Risk Treatment Owner***: UNDP CO PMU Safeguards Officer or External Consultant. ***Risk Treatment 2.2***: Conduct stakeholder engagement as per international best practice management at the regional level and country-specific level. ***Risk Treatment Owner***: UNDP CO PMU Safeguards Officer or External Consultant. ***Risk Treatment 2.3***: Develop Grievance Redress Mechanism (GRM) at the country-specific level. ***Risk Treatment Owner***: UNDP CO PMU Safeguards Officer or External Consultant.
3	There is a risk that the project will reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits.	As a result of traditional roles and cultural norms in South Asia, Southeast Asia and the Pacific Regions. Women are traditionally caregivers at home, plant gardens and manage family matters. Men tend to work outside of the home to support the family financially.	Which will impact in reputational damage to UNDP and Project Donor	1. SOCIAL AND ENVIRONMENTAL (1.2. Gender equality and women's empowerment) - UNDP Risk Appetite: CAUTIOUS	***Likelihood***: 5 - Expected ***Impact***: 3 - Intermediate ***Risk Level***: SUBSTANTIAL (equates to a risk appetite of OPEN)	From: 01-Nov-24 To: 31-Oct-27	UNDP CO PMU Gender Specialist or External Consultant.	***Risk Treatment 3.1***: Conduct Gender Analysis for the country-specific projects. ***Risk Treatment Owner***: UNDP CO PMU Gender Specialist or External Consultant. ***Risk Treatment 3.2***: Develop a Stakeholder Engagement Plan with an aim of involving 25% women at the country-specific level. ***Risk Treatment Owner***: UNDP CO PMU Gender Specialist or External Consultant. ***Risk Treatment 3.3***: Provide Gender Sensitivity Training for duty-bearers and external stakeholders that will be directly involved with the project implementation at the regional level and country-specific level, as required. ***Risk Treatment Owner***: UNDP CO PMU Gender Specialist or External Consultant.

Docusign Envelope ID: A6ACC050-66DB-474F-9A66-2AC38F2A29A7

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4	There is a risk that the project will lead to grievances or objections from potentially affected stakeholders	As a result of transition from linear economy to circular economy.	Which will impact in reputational damage to UNDP and Project Donor.	1. SOCIAL AND ENVIRONMENTAL (1.3. Grievances (Accountability to stakeholders)) - UNDP Risk Appetite: CAUTIOUS	***Likelihood***: 3 - Moderately likely ***Impact***: 3 - Intermediate ***Risk Level***: MODERATE (equates to a risk appetite of EXPLORATORY)	From: 01-Nov-24 To: 31-Oct-27	UNDP CO PMU Stakeholder Engagement Specialist or External Consultant.	***Risk Treatment 4.1***: Develop Stakeholder Engagement Plan and conduct all-inclusive stakeholder engagement. ***Risk Treatment Owner***: UNDP CO PMU Safeguards Officer or External Consultant. ***Risk Treatment 4.2***: Develop Communication Plan. Develop a clear and effective communication plan to keep stakeholders informed about project progress and address their questions and concerns. ***Risk Treatment Owner***: UNDP CO PMU Stakeholder Engagement Specialist or External Consultant. ***Risk Treatment 4.3***: Monitoring and Evaluation: Continuously monitor and evaluate the project's progress and impact and be prepared to adjust as need-ed to address any issues or concerns that arise. ***Risk Treatment Owner***: UNDP CO PMU Stakeholder Engagement Specialist or External Consultant.
5	There is a risk that country-level activities will be undertaken in a location prone to natural disasters. There is also a risk that a MRF will be located	As a result of extreme weather event or natural disaster causing damage to infrastructures required for project implementation	Which will impact in: ▪ Delays in project implement ation. ▪ Damage to MRF.	1. SOCIAL AND ENVIRONMENTAL (1.5. Climate change and disaster risks) - UNDP Risk Appetite: CAUTIOUS	***Likelihood***: 4 - Highly likely ***Impact***: 4 - Extensive ***Risk Level***: SUBSTANTIAL (equates to a risk appetite of OPEN)	From: 01-Nov-24 To: 31-Oct-27	UNDP CO PMU Safeguards Officer or External Consultant.	***Risk Treatment 5.1***: Develop Emergency Response Plan with contingency measures to be undertaken in the event of natural disasters. ***Risk Treatment Owner***: UNDP CO PMU Safeguards Officer or External Consultant. ***Risk Treatment 5.2***: Conduct Disaster Risk Assessment during the project planning phase to identify vulnerable infrastructure.

Docusign Envelope ID: A6ACC050-66DB-474F-9A66-2AC38F2A29A7

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	in an area that is subject to natural disasters (e.g., earthquakes, floods, landslides, severe winds, storm surges, tsunami or volcanic eruptions). During natural disasters the MRF may be damaged and may render various equipment non-operational	and MRF equipment.						***Risk Treatment Owner***: UNDP CO PMU Safeguards Officer or External Consultant. ***Risk Treatment 5.3***: Develop Waste Management Plan that incorporates waste management operations during and after natural disasters, including alternative storage sites and temporary waste collection services. ***Risk Treatment Owner***: UNDP CO PMU Safeguards Officer or External Consultant.
6	There is a risk of harm or losses due to failure of structural elements of the project (e.g., collapse of buildings or infrastructure).	As a result of poor engineering design or use of substandard construction materials	Which will impact in: ▪ Delays in project implement ation. ▪ Accumulati on of plastics waste. ▪ Delays in provision of recycled plastics to downstrea	1. SOCIAL AND ENVIRONMENTAL (1.6. Community health, safety and security) - UNDP Risk Appetite: CAUTIOUS	***Likelihood***: 3 - Moderately likely ***Impact***: 3 - Intermediate ***Risk Level***: MODERATE (equates to a risk appetite of EXPLORATORY)	From: 01-Nov-24 To: 31-Oct-27	UNDP CO PMU Safeguards Officer or External Consultant.	***Risk Treatment 6.1***: Construction of facilities based on ASTM and/or AS/NZS standards for civil infrastructures. ***Risk Treatment Owner***: UNDP CO PMU Safeguards Officer or External Consultant. ***Risk Treatment 6.2***: Regular site inspections by a qualified civil engineer to ensure structural integrity of built infrastructures. ***Risk Treatment Owner***: UNDP CO PMU Safeguards Officer or External Consultant. ***Risk Treatment 6.3***: Design storage and containment facilities with adequate capacity and structural integrity,

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			m customers. ▪ Reputational damage to UNDP and Project Donor.					considering potential overloading scenarios. ***Risk Treatment Owner***: UNDP CO PMU Safeguards Officer or External Consultant. ***Risk Treatment 6.4***: Use materials resistant to corrosion or degradation, especially for hazardous waste containment. ***Risk Treatment Owner***: UNDP CO PMU Safeguards Officer or External Consultant. ***Risk Treatment 6.5***: Develop disaster response and waste containment plans in case of structural failure to minimize environmental and health impacts. ***Risk Treatment Owner***: UNDP CO PMU Safeguards Officer or External Consultant. ***Risk Treatment 6.6***: Conduct a disaster risk assessment and design all infrastructure to be resilient to the types of natural disasters that are common in the project area. ***Risk Treatment Owner***: UNDP CO PMU Safeguards Officer or External Consultant. ***Risk Treatment 6.7***: Secure comprehensive insurance coverage for all critical infrastructure to protect against financial losses due to structural failures. ***Risk Treatment Owner***: UNDP CO PMU Safeguards Officer or External Consultant.
7	There is a risk that the project	As a result of inadequate	Which will impact in:	1. SOCIAL AND ENVIRONMENTAL (1.9.	***Likelihood***:	From: 01-Nov-24	UNDP CO PMU Safeguards Officer	***Risk Treatment 7.1***: Develop Indigenous Peoples Plan.

Docusign Envelope ID: A6ACC050-66DB-474F-9A66-2AC38F2A29A7

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	could potentially involve areas where Indigenous Peoples are present (including project area of influence).	stakeholder engagement and absence of free, prior and informed consent (FPIC).	▪ Non-compliance with UNDP SES. ▪ Reputational damage to UNDP and Project Donor.	Indigenous peoples) - UNDP Risk Appetite: CAUTIOUS.	3 - Moderately likely ***Impact***: 3 - Intermediate ***Risk Level***: MODERATE (equates to a risk appetite of EXPLORATORY)	To: 31-Oct-27	and Monitoring & Evaluation Officer or External Consultant.	***Risk Treatment Owner***: UNDP CO PMU Safeguards Officer or External Consultant. ***Risk Treatment 7.2***: Conduct stakeholder engagement with Indigenous Peoples. ***Risk Treatment Owner***: UNDP CO PMU Safeguards Officer or External Consultant. ***Risk Treatment 7.3***: Conduct a comprehensive ESIA that includes an evaluation of risks to Indigenous lands and resources. ***Risk Treatment Owner***: UNDP CO PMU Safeguards Officer or External Consultant.
8	There is a risk that the project would lead to working conditions that do not meet national labour laws and international commitments.	As a result of poor oversight and poor monitoring and evaluation.	Which will impact in: ▪ Non-compliance with UNDP SES. ▪ Reputational damage to UNDP and Project Donor.	1. SOCIAL AND ENVIRONMENTAL (1.10. Labour and working conditions) - UNDP Risk Appetite: CAUTIOUS.	***Likelihood***: 4 - Highly likely ***Impact***: 4 - Extensive ***Risk Level***: SUBSTANTIAL (equates to a risk appetite of OPEN)	From: 01-Nov-24 To: 31-Oct-27	UNDP CO PMU Safeguards Officer and Monitoring & Evaluation Officer or External Consultant.	***Risk Treatment 8.1***: Develop country-level Occupational Health & Safety Plan. ***Risk Treatment Owner***: UNDP CO PMU Safeguards Officer or External Consultant. ***Risk Treatment 8.2***: Conduct thorough due diligence to ensure that all stakeholders in the plastic waste and circular economy value chain complies with both national and international labor standards. ***Risk Treatment Owner***: UNDP CO PMU Safeguards Officer or External Consultant. ***Risk Treatment 8.3***: Collaborate with civil society organizations (CSOs) and governmental agencies to ensure compliance with labor laws and support labor rights initiatives. ***Risk Treatment Owner***: UNDP CO PMU Safeguards Officer or External Consultant.

Docusign Envelope ID: A6ACC050-66DB-474F-9A66-2AC38F2A29A7

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9	There is a risk that child labour may be involved in the plastic waste and circular intervention programme.	As a result of poverty and extremely low family incomes in South Asia, Southeast Asia and the Pacific Regions parents and children are forced into the plastic waste recycling industry. Currently, this occurs without any UNDP plastics waste and circular interventions programme.	Which will impact in: ▪ Non-compliance with UNDP Social and Environmental Standards. ▪ Reputational damage to UNDP and Project Donor.	1. SOCIAL AND ENVIRONMENTAL (1.10. Labour and working conditions) - UNDP Risk Appetite: CAUTIOUS.	***Likelihood***: 5 - Expected ***Impact***: 3 - Intermediate ***Risk Level***: SUBSTANTIAL (equates to a risk appetite of OPEN)	From: 01-Nov-24 To: 31-Oct-27	UNDP CO PMU Safeguards Officer and Monitoring & Evaluation Officer or External Consultant.	***Risk Treatment 9.1***: Develop Occupational Health and Safety (OH&S) Plan that ensures child labour is not directly/indirectly involved in the programme at the regional and country-specific level. ***Risk Treatment Owner***: UNDP CO PMU Safeguards Officer or External Consultant. ***Risk Treatment 9.2***: Provide OH&S Training covering the prohibition of child labour in the project at the country-specific level. ***Risk Treatment Owner***: UNDP BRH PMU Safeguards Officer or External Consultant. ***Risk Treatment 9.3***: Conduct Monitoring & Evaluation to ensure no child labour is used in the project at the country-specific level. ***Risk Treatment Owner***: UNDP CO PMU Monitoring & Evaluation Officer or External Consultant.
10	There is a risk that in the informal sector of plastics waste and circular intervention there is a high likelihood that forced labor will be used.	As a result of poor governance, oversight, regulation and enforcement.	Which will impact in: ▪ Non-compliance with UNDP Social and Environmental Standards. ▪ Reputational damage to UNDP and Project Donor.	1. SOCIAL AND ENVIRONMENTAL (1.10. Labour and working conditions) - UNDP Risk Appetite: CAUTIOUS.	***Likelihood***: 5 - Expected ***Impact***: 3 - Intermediate ***Risk Level***: SUBSTANTIAL (equates to a risk appetite of OPEN)	From: 01-Nov-24 To: 31-Oct-27	UNDP CO PMU Monitoring & Evaluation Officer or External Consultant.	***Risk Treatment 10.1***: Conduct thorough and regular audits of the entire supply chain to ensure that no forced labor is involved at any stage. This should include engaging third-party monitoring organizations to ensure objective reporting and transparency. ***Risk Treatment Owner***: UNDP BRH PMU Monitoring & Evaluation Officer or External Consultant. ***Risk Treatment 10.2***: Ensure all workers, including those in the informal sector, have legally binding contracts that outline their

Docusign Envelope ID: A6ACC050-66DB-474F-9A66-2AC38F2A29A7

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								rights, wages, working conditions, and freedom to leave. Provide legal protection for workers in case of disputes. ***Risk Treatment Owner***: UNDP BRH PMU Monitoring & Evaluation Officer or External Consultant. ***Risk Treatment 10.3***: Partner with local authorities and NGOs to monitor labor practices, particularly in informal sectors, and ensure that workers are protected from exploitation. NGOs often have deeper insights into on-the-ground conditions and can offer support to at-risk workers. ***Risk Treatment Owner***: UNDP BRH PMU Monitoring & Evaluation Officer or External Consultant.
11	There is a risk that a plastics waste and circular intervention project could lead to discriminatory working conditions and/or lack of equal opportunity.	As a result of: ▪ Cultural and social norms. ▪ Weak legal frameworks and enforcement	Which will impact in: ▪ Non-compliance with UNDP Social and Environmental Standards. ▪ Reputational damage to UNDP and Project Donor.	1. SOCIAL AND ENVIRONMENTAL (1.10. Labour and working conditions) - UNDP Risk Appetite: CAUTIOUS.	***Likelihood***: 5 - Expected ***Impact***: 3 - Intermediate ***Risk Level***: SUBSTANTIAL (equates to a risk appetite of OPEN)	From: 01-Nov-24 To: 31-Oct-27	UNDP CO PMU Monitoring & Evaluation Officer or External Consultant.	***Risk Treatment 11.1***: Conduct regular pay audits to ensure that all workers, regardless of gender, ethnicity, or other factors, receive equal pay for equal work. Transparency in pay structures should be emphasized to identify and rectify pay gaps. ***Risk Treatment Owner***: UNDP BRH PMU Monitoring & Evaluation Officer or External Consultant. ***Risk Treatment 11.2***: Provide all workers with appropriate PPE and enforce health and safety standards equally. Ensure facilities such as restrooms and sanitation areas are adequate for all genders. ***Risk Treatment Owner***: UNDP BRH PMU Monitoring & Evaluation Officer or External Consultant.

Docusign Envelope ID: A6ACC050-66DB-474F-9A66-2AC38F2A29A7

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								Risk Treatment 11.3: Establish mechanisms for workers to report cases of discrimination or unequal treatment anonymously. Independent third-party audits should be conducted to ensure compliance with anti-discrimination policies. ***Risk Treatment Owner***: UNDP BRH PMU Monitoring & Evaluation Officer or External Consultant.
12	There is a risk that a plastics waste and circular intervention project could lead to occupational health and safety risks (i.e., contact with chemical hazards during waste picking and sorting).	As a result of dermal contact with plastics waste, inhalation of toxic fumes and ingestion of contaminants.	Which will impact in: ▪ Adverse health effects. ▪ Non-compliance with UNDP Social and Environmental Standards. ▪ Reputational damage to UNDP and Project Donor.	1. SOCIAL AND ENVIRONMENTAL (1.10. Labour and working conditions) - UNDP Risk Appetite: CAUTIOUS.	***Likelihood***: 4 - Highly likely ***Impact***: 4 - Extensive ***Risk Level***: SUBSTANTIAL (equates to a risk appetite of OPEN)	From: 01-Nov-24 To: 31-Oct-27	UNDP CO PMU Safeguards Officer or External Consultant.	***Risk Treatment 12.1***: Ensure that all workers, including informal waste pickers, have access to appropriate PPE, such as gloves, masks, protective eyewear, and clothing. Employers or project organizers should distribute PPE and provide training on its proper use. ***Risk Treatment Owner***: UNDP BRH PMU Safeguards Officer or External Consultant.
								Risk Treatment 12.2: Develop and implement formal health and safety protocols, including safe handling, sorting, and processing of plastic waste. These protocols should cover procedures for identifying and separating hazardous waste from recyclable plastics. ***Risk Treatment Owner***: UNDP BRH PMU Safeguards Officer or External Consultant.
								Risk Treatment 12.3: Provide specific training for women and vulnerable populations, ensuring that they understand the reproductive health risks associated with exposure to certain chemicals.

Docusign Envelope ID: A6ACC050-66DB-474F-9A66-2AC38F2A29A7

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								Risk Treatment Owner: UNDP BRH PMU Safeguards Officer or External Consultant.
13	There is a risk that plastics waste will be released into the environment if the Material Recovery Facilities (MRFs) is not operated and maintained properly.	As a result of: ▪ Inadequate funding of MRFs. ▪ Deterioration of MRF equipment. ▪ Poor operations and maintenance of MRFs.	Which will impact in: ▪ Non-compliance with UNDP Social and Environmental Standards. ▪ Reputational damage to UNDP and Project Donor.	1. SOCIAL AND ENVIRONMENTAL (1.11. Pollution prevention and resource efficiency) - UNDP Risk Appetite: CAUTIOUS.	***Likelihood***: 5 - Expected ***Impact***: 3 - Intermediate ***Risk Level***: SUBSTANTIAL (equates to a risk appetite of OPEN)	From: 01-Nov-24 To: 31-Oct-27	UNDP CO PMU Project Manager (PM)	***Risk Treatment 13.1:*** Develop a Financial Management Plan to ensure continued funding for the MRFs. ***Risk Treatment Owner:*** UNDP CO PMU or External Consultant. ***Risk Treatment 13.2***: Seek Public-Private Partnerships to ensure continued funding of the MRFs. ***Risk Treatment Owner***: UNDP CO PMU or External Consultant. ***Risk Treatment 13.3***: Use the plastics waste circular interventions to fund continued operations and maintenance of MRFs. ***Risk Treatment Owner***: UNDP CO PMU PM
14	There is a risk that the operations and maintenance of a MRF would generate hazardous and non-hazardous waste.	As a result of normal operations and maintenance of a Materials Recovery Facility.	Which will impact in: ▪ Environmental contamination. ▪ Non-compliance with UNDP Social and Environmental Standards. ▪ Reputational damage	1. SOCIAL AND ENVIRONMENTAL (1.11. Pollution prevention and resource efficiency) - UNDP Risk Appetite: CAUTIOUS.	***Likelihood***: 5 - Expected ***Impact***: 3 - Intermediate ***Risk Level***: SUBSTANTIAL (equates to a risk appetite of OPEN)	From: 01-Nov-24 To: 31-Oct-27	UNDP CO PMU Safeguards Officer or External Consultant.	***Risk Treatment 14.1:*** Develop Waste Management Plan to ensure the amount of recycled materials remains at its maximum. ***Risk Treatment Owner:*** UNDP CO PMU Safeguards Officer or External Consultant. ***Risk Treatment 14.2:*** Implement stringent sorting processes to segregate hazardous and non-hazardous waste at the source. This reduces the risk of cross-contamination and ensures that hazardous waste is handled appropriately. ***Risk Treatment Owner:*** UNDP CO PMU Safeguards Officer or External Consultant.

Docusign Envelope ID: A6ACC050-66DB-474F-9A66-2AC38F2A29A7

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			to UNDP and Project Donor.					***Risk Treatment 14.2:*** Use optical sorting and other advanced technologies to improve the identification and separation of recyclable plastics from non-recyclable or contaminated plastics ***Risk Treatment Owner:*** UNDP CO PMU Safeguards Officer or External Consultant
15	There is a risk that project countries and/or counterparts engage in fraud and corruption risks, given the different levels of governance in project countries.	As a result of project related procurement of goods and services.	Which will impact UNDP's reputational risks and actual resources available for project activities	**2. FINANCIAL (2.3. Corruption and fraud) - UNDP Risk Appetite: MINIMAL TO CAUTIOUS**	Likelihood: **3 - Moderately likely** Impact: **4 - Extensive** Risk level: **LOW (equates to a risk appetite of CAUTIOUS)**	From: 01-Nov-24 To: 31-Oct-27	Project team and government counterpart in each participating countries	Risk Treatment 15.1: project managers of child projects proactively identify, assess, and mitigate corruption risks. Risk Treatment Owner: RRs of participating countries Risk Treatment 15.2: UNDP senior management will be directly overseen the implementation of project activities, separating execution with oversight Risk Treatment Owner: RRs of participating countries
16	There is a risk that project stakeholders are reluctant to play an active role during project execution due to lack of interest may impact on foreseen project results.	As a result of low interest, insufficient reach-out to potential stakeholders.	Which will impact in the effective implementation of project activities.	**5. REPUTATIONAL (5.5. Stakeholder management) - UNDP Risk Appetite: CAUTIOUS**	Likelihood: **2 - Low likelihood** Impact: **4 - Extensive** Risk level: **LOW (equates to a risk appetite of CAUTIOUS)**	From: 01-Nov-24 To: 31-Oct-27	UNDP project teams for participating countries	Risk Treatment 16.1: Project development process has consulted different stakeholders including TCCF, relevant national authorities, private sector stakeholders. Risk Treatment Owner: RRs of participating countries. Risk Treatment 16.2: Project will develop stakeholder engagement plan to make sure that the main concerns and interests of the key stakeholders are compiled, allowing the implementation of proper

Docusign Envelope ID: A6ACC050-66DB-474F-9A66-2AC38F2A29A7

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								stakeholder engagement strategy during project implementation. Risk Treatment Owner: UNDP project team for participating countries.
17	There is a risk that there is limited capacity in some COs to execute the project.	As a result of lack of proper technical and managerial expertise	Which will impact in the speed and quality of project execution	**4. ORGANIZATIONAL (4.2. Execution capacity) - UNDP Risk Appetite: EXPLORATORY TO OPEN**	Likelihood: **2 - Low likelihood** Impact: **2 - Minor** Risk level: **LOW (equates to a risk appetite of CAUTIOUS)**	From: 01-Nov-24 To: 31-Oct-27	RR of participating countries	Risk Treatment 17.1: Many COs are experienced in working with TCCF on plastics waste management. COs can tap into their previous expertise rather quickly. Risk Treatment Owner: RR of participating countries Risk Treatment 17.2: The Regional Component will identify the technical needs of COs and support COs in identifying and recruitment of project personnel. Risk Treatment Owner: UNDP BRH PMU.
18	Proposed partners receiving significant negative coverage and scrutiny.	Newly identified ESG-related controversies and/or the escalation of currently identified ESG-related controversies which may lead to negative coverage of proposed partner	which may result in UNDP's exposure to significant reputational risks and draw negative scrutiny on the project.	**5. REPUTATIONAL (5.1. Public opinion and media) - UNDP Risk Appetite: CAUTIOUS**	Likelihood: **3 - Moderately likely** Impact: **3 - Intermediate** Risk level: **MODERATE (equates to a risk appetite of EXPLORATORY)**	From: 01-Nov-24 To: 31-Oct-27	RR of participating countries	Risk Treatments: - UNDP to map and assign roles and responsibilities among the project teams at the regional and CO levels to ensure dedicated capacity is in place for the implementation of risk management measures. - Considerations and plans in place for onboarding thematic experts to support risk management measures when relevant and deemed necessary (e.g. communications, legal, or stakeholder engagement experts. - Ensuring that government partners and stakeholders involved in the project are

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								aware of (and have not raised concerns over) the partnerships. - Ensuring proactive and upfront communication about the nature and scope of the engagements, highlighting the expected benefits and underscoring that the partnerships do not represent UNDP's endorsement of any of the partners' products or services. For instance, communications may highlight the partner selection process and partner selection rationale and relevancy to expected project outcomes. - Engaging with relevant third parties (e.g. local government) where possible/relevant in forming the partnership to minimize direct, co-representation, and to share in the ownership of the initiatives. - Managing expectations of private sector partners, especially by the highlighting of the role that UNDP will play from the onset. - Exploring opportunities to influence the behavior of the partner companies, including opportunities for business model changes that seek to minimize environmental harm. - Establishing proactive relations between RBx Focal Points and CO teams to support transparent and coherent risk management during the partnership lifecycles in cases where newly identified

Docusign Envelope ID: A6ACC050-66DB-474F-9A66-2AC38F2A29A7

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								risks elevate the risk profile of the partnerships and project. - Maintaining relations with UNDP colleagues from the Health Team, legal, and BERA Communications Team to facilitate information sharing throughout the partnership lifecycle in support of risk monitoring and management measures and efforts. - Engaging with Health Team colleagues if significant health-related controversies and risks linked to the partners materialize during the partnership lifecycles. Including to share input on the development of relevant risk communications measures. - Develop materials and establish M&E processes to track and clearly document partnership achievements, for instance on corporate behavioral change in relevant areas such as environment, health, and community/labor relations. - Establishing project-level grievance redress mechanisms (designed and implemented in alignment with UNDP's SES and related guidance) in place to receive and address concerns from external stakeholders, particularly local communities. - Risk monitoring measures include the proactive tracking of media publications, company filings (e.g. annual reports and regulatory filings), and announcements

Docusign Envelope ID: A6ACC050-66DB-474F-9A66-2AC38F2A29A7

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								from regulatory bodies to scan for any new ESG-related controversies and/or any recent developments in identified controversies. - Development of a Crisis Communications Strategy to support and guide efficient response to any significant controversies that may arise during the partnership lifecycles, including (inter-alia) assigning dedicated roles and guidelines for engagements with stakeholders, media, and project partners. - Risk communications materials highlight key elements of the project and partnerships, including the (inter-alia) project and partnership background/ rationale, UNDP's due diligence process, and the expected benefits of the project and partnerships (e.g. underscoring no product endorsement by UNDP, no activities where the primary beneficiary is the company itself, no unfair advantage and/or crowding out other economic actors). - Partnership agreements will include provisions for the use of the UNDP logo and branding. - Partnership agreements will include a provision for UNDP's withdrawal from the partnership. - Development of an exit strategy to identify and address potential issues that

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								may arise from UNDP's withdrawal from the partnership. Risk treatment owners: Project teams, communication officers, private sector partnership officers/focal points at regional/ country level.
19	Adverse ESG impacts, scrutiny against UNDP	Failure to meet UNDP's SES in project implementation that may result in adverse ESG impact against UNDP	Scrutiny against UNDP may challenge the viability of the project - including in relation to planned safeguards related to engagements with local communities.	**5. REPUTATIONAL (5.5. Stakeholder management) - UNDP Risk Appetite: CAUTIOUS**	Likelihood: **2 - Low likelihood** Impact: **3 - Intermediate** Risk level: **LOW (equates to a risk appetite of CAUTIOUS)**	From: 01-Nov-24 To: 31-Oct-27	RR of participating countries	- Project designed and implemented in full adherence with UNDP's SES/SESP and relevant guidance (e.g. as presented in the UNDP SES, UNDP SES Toolkit and guidance notes). - UNDP to map and assign roles and responsibilities among the project team to ensure dedicated capacity is in place for the implementation of risk management measures. - Considerations and plans in place for onboarding thematic experts to support risk management measures when relevant and deemed necessary (e.g. ESG safeguards or stakeholder engagement experts) - Establishing project-level grievance redress mechanisms (designed and implemented in alignment with UNDP's SES and related guidance) in place to receive and address concerns from external stakeholders, particularly local communities. - Stakeholder engagement plans developed (as applicable) and UNDP

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								Stakeholder Response Mechanisms in place, in adherence with UNDP's SES and relevant guidance. - Development of a Crisis Communications Strategy to support and guide the efficient response to any significant controversies that may arise during the partnership lifecycles, including (inter-alia) assigning dedicated roles and guidelines for engagements with stakeholders, media, and project partners. - Risk communications materials highlight key elements of the project and partnerships, including the (inter-alia) project and partnership background/ rationale, UNDP's due diligence process, and the expected benefits of the project and partnerships (e.g. underscoring no product endorsement by UNDP, no activities where the primary beneficiary is the company itself, no unfair advantage and/or crowding out other economic actors). - Partnership agreements will include a provision for UNDP's withdrawal from the partnership. - Development of an exit strategy to identify and address potential issues that may arise from UNDP's withdrawal from the partnership.

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20	Companies (particularly MNCs) with involvement in the F&B industry may be accused of using the partnership with UNDP to "greenwash" their contributions to the production and demand for plastics.	as a result of downtrend developments and negative coverage on global plastic production,	UNDP's being accused of being used for "greenwashing"	**5. REPUTATIONAL (5.1. Public opinion and media) - UNDP Risk Appetite: CAUTIOUS**	Likelihood: **3 - Moderately likely** Impact: **3 - Intermediate** Risk level: **MODERATE (equates to a risk appetite of EXPLORATORY)**	From: 01-Nov-24 To: 31-Oct-27	Project teams and private sector partnership officers/focal point at regional/ country level.	- Risk communications materials highlight key elements of the project and partnerships, including the (inter-alia) project and partnership background / rationale, UNDP's due diligence process, and the expected benefits of the project and partnerships (e.g. underscoring no product endorsement by UNDP, no activities where the primary beneficiary is the company itself, no unfair advantage and/or crowding out other economic actors). - Communications measures include plans for the promotion of the project achievements and benefits, highlighting the partnership rationale and how the partnership is instrumental for realizing results. - Development of a Crisis Communications Strategy to support and guide the efficient response to any significant controversies that may arise during the partnership lifecycles, including (inter-alia) assigning dedicated roles and guidelines for engagements with stakeholders, media, and project partners. - Establishing project-level grievance redress mechanisms (designed and implemented in alignment with UNDP's SES and related guidance) in place to receive and address concerns from external stakeholders, particularly local communities.

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								- Partnership agreements will include provisions for the use of the UNDP logo and branding. - Proactive tracking of company progress in meeting ESG commitments, including through review of intelligence reporting and NGO publications, as well as review of company annual reports and ESG-related disclosures. - Consideration and plans in place to respond to any opportunities for UNDP to improve the company's operations or supply chain through the partnership. - Project designed and implemented in full adherence with UNDP's SES/SESP and relevant guidance (e.g. as presented in the UNDP SES Toolkit and SES guidance notes). - Consideration and plans in place for the diversification and expansion of the private sector base for the project. Risk treatment owners: Project teams, communication officers, private sector partnership officers/focal points at regional/ country level.
21	This scrutiny may result in potential reputational risks for UNDP noncommunica	Coca-Cola and its industry peers are exposed to significant scrutiny over	The partnership with Cola-Cola may undermine UNDP's leadership in health-focused	**5. REPUTATIONAL (5.3. Code of conduct and ethics) - UNDP Risk Appetite: CAUTIOUS**	Likelihood: **3 - Moderately likely** Impact: **4 - Extensive**	From: 01-Nov-24 To: 31-Oct-27	Project teams and private sector partnership officers/focal point at regional/ country level.	- Communications materials highlight key elements of the project and partnerships, particularly on the (inter-alia) project and partnership background / rationale and the expected benefits of the project and partnerships (e.g. underscoring no product

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	ble diseases.	reported negative health impacts linked to high sugar and soda products.	initiatives and partnerships, including partnerships with the WHO and initiatives on noncommunicable diseases.		Risk level: **SUBSTANTIAL (equates to a risk appetite of OPEN)**			endorsement by UNDP, no activities where the primary beneficiary is the company itself, no unfair advantage and/or crowding out other economic actors). - Risk monitoring activities include plans for proactive screening of potential risks and controversies linked to the partner, including screening for updates on identified controversies and risks. - Relatedly, monitoring activities include plans for proactive tracking of company progress in meeting ESG commitments, including through review of intelligence reporting and NGO publications, as well as review of company annual reports and ESG-related disclosures. - Development of a Crisis Communications Strategy to support and guide the efficient response to any significant controversies that may arise during the partnership lifecycles, including (inter-alia) assigning dedicated roles and guidelines for engagements with stakeholders, media, and project partners. - Maintaining relations with UNDP colleagues from the Health Team, legal, and BERA Communications Team to facilitate information sharing throughout the partnership lifecycle in support of risk monitoring and management measures and efforts.

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								- Engaging with Health Team colleagues if significant health-related controversies and risks linked to the partners materialize during the partnership lifecycles. Including to share input on the development of relevant risk communications measures. Risk treatment owners: Project teams, communication officers, private sector partnership officers/focal points at regional/ country level.
22	Inadequate funding support could affect project implementation and intervention	Short funding and delayed funding support from donors and government	Lack of funding source to implement adequately and timely manner the project	**3. OPERATIONAL (3.5. Partners' engagement) - UNDP Risk Appetite: EXPLORATORY TO OPEN**	Likelihood: **2 - Low likelihood** Impact: **3 - Intermediate** Risk level: **LOW (equates to a risk appetite of MINIMAL)**	From: 01-Nov-24 To: 31-Oct-27		-Project designed in close collaboration with CO that have strong connection with local governments as well as TCCF -TCCF identified as to provide sustained financial support throughout the project. - Opportunity to secure multi-year funding commitments and explore additional funding sources (including private sector contributions and international financial institutions to mitigate financial support risk. - Budget flexibility to be maintained to account for possible funding delays.