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## 8 **Safely recovering value from plastic waste in the** 9 **Global South: Opportunities and challenges for** 10 **circular economy and plastic pollution mitigation**

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12 Ed Cook<sup>a</sup>, Costas A. Velis<sup>a,\*</sup>, Josh Cotton<sup>a</sup>

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14 *<sup>a</sup>School of Civil Engineering, University of Leeds, Leeds, LS2 9JT, UK*

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16 \*Corresponding author: [c.velis@leeds.ac.uk](mailto:c.velis@leeds.ac.uk); Telephone: +44 (0) 113 3432327; Room  
17 304, School of Civil Engineering, University of Leeds, Leeds, LS2 9JT, United  
18 Kingdom

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21 economy.

## 22 **Abstract**

23 Over the coming decades, a large additional mass of plastic waste will become available for  
24 recycling, as the world's largest fast moving consumer goods companies step up efforts to  
25 reduce plastic pollution and facilitate a circular economy. Finding ways to recover value from  
26 this material is a substantial challenge that has prompted exploration of novel processes, such as  
27 'chemical recycling', as well as more established ones, such as incineration with energy  
28 recovery. Many of these efforts will take place in the Global South, where plastic pollution and  
29 due to mismanagement of waste are most acute. New infrastructure will need to be developed,  
30 and it is important that the processes and systems chosen do not result in adverse effects on  
31 human health and the environment. This concern is particularly acute in countries that lack

32 effective, well-resourced and independent systems for environmental regulation and the  
33 protection of occupational and public health. Here, we present a rapid review and critical semi-  
34 quantitative assessment of the potential risks posed by eight approaches to recovering value  
35 (resource recovery, circular economy) from post-consumer plastic packaging waste that has  
36 been collected and separated with the purported intention of recycling. The focus is on the  
37 Global South, where there are more chances that high risk processes could be run below  
38 standards of safe operation (though much of the evidence reviewed is inevitably based on  
39 research outcomes obtained in the Global North context). Our assessment indicates that under  
40 realistic, i.e. non-idealised operational conditions, mechanical reprocessing is the least impactful  
41 on the environment and is the most appropriate and effective method for implementation in the  
42 Global South. We find little difference in potential risks between so called ‘bottle-to-fibre’ and  
43 ‘bottle-to-bottle’ processes as they involve similar processing and both result in substantial  
44 avoided burdens from virgin production. The lack of real-world process data for the groups of  
45 processes known as ‘chemical recycling’ make them hard to assess. At present, there is no  
46 strong evidence that any of them have reached commercial stability when applied to processing  
47 post-consumer plastic packaging waste. Given this lack of maturity and potential for risk to  
48 human health and the environment (inferred through the handling of potentially hazardous  
49 substances under pressure and heat), it is hard to see how they will make a useful addition to the  
50 circular economy in the Global South in the near future. Incineration of waste plastics that have  
51 been collected for recycling is comparable with other forms of fossil fuel combustion used to  
52 generate energy and, despite the lack of process data, the same is likely for co-processing in  
53 cement kilns: notably, neither of these processes can be described as ‘recycling’ and, in general,  
54 are deemed as only the last resort in circular cascading systems. Though contemporary air  
55 pollution control technology is capable of comprehensively mitigating harmful emissions from  
56 combustion, there is a high risk that costly maintenance and management will not be carried out  
57 in the absence of strong regulation and enforcement. Inevitably, increasing circular economy  
58 activity will require expansion towards targeting flexible, multi-material and multi-layer  
59 products, for which mechanical recycling has well-established limitations; which has prompted

60 exploration of alternative approaches. Yet, our comparative risk overview indicates major  
61 barriers to changing resource recovery mode from the already dominant mechanical recycling  
62 mode towards other nascent or energetic recovery approaches.

# 63 1 Introduction

64 In recent years, several voluntary commitments have been made by fast moving consumer  
65 goods (FMCG) companies in an effort to enable more post-consumer plastic packaging waste to  
66 be collected and recycled. For instance signatories to the Plastic Pact (Ellen MacArthur  
67 Foundation, 2017) have pledged to include post-consumer recycled plastic in plastic packaging  
68 they place on the market by 2025. It is anticipated that these initiatives will reduce the amount  
69 of plastic waste that is mismanaged by being dumped on land, into water or through burning in  
70 open uncontrolled fires, thereby preventing plastic pollution (Lau et al., 2020).

71 If these circular economy commitments are successful, a large mass of additional material will  
72 need to be processed and converted into new raw materials or energy worldwide (Ellen  
73 MacArthur Foundation et al., 2020). Efforts such as Lau et al. (2020) have proposed high level  
74 solutions that focus on reduction, material substitution, collecting, processing or disposing of  
75 this large mass of material, but as yet there are no comprehensive efforts to assess their safety  
76 when implemented at global scale.

77 In the absence of such consolidated evidence, FMCG companies have been investigating  
78 existing ‘approaches’ to recovering value (materials or energy) from plastic packaging. Some of  
79 these resource recovery approaches include those that recover the material whilst preserving its  
80 physical and chemical structure and integrity such as: A1) Conventional mechanical  
81 reprocessing for extrusion; A2) Bottle-to-fibre mechanical reprocessing for extrusion; A3)  
82 Mineral-polymer composites: road surfacing & brick & tile production; and A4) Solvent based  
83 purification. Other approaches involve decomposition of chemical structures in plastics to create  
84 new chemicals that have the potential to be synthesised into starting materials for new plastics  
85 production such as: A5) Chemical de-polymerisation (Chemolysis); and A6) Pyrolysis or  
86 gasification.

87 Other approaches explored by FMCG companies are typically referred to as ‘recovery’ and are  
88 not considered ‘recycling’ according to globally applied terminology (**Table S8**) such as: A7)  
89 Co-processing in cement kilns; and A8) Incineration (combustion) with energy recovery (often

90 described as ‘energy-from-waste’ – EfW – but hereafter ‘incineration’). These technologies  
91 have been used to process material that has been collected from the mixed municipal waste  
92 stream but due to the composition of the plastics and/or lack of available markets, are unsuitable  
93 for mechanical reprocessing.

94 Many of these approaches are, or are planned to be implemented in Global South where the  
95 majority of the world’s plastic packaging is mismanaged (Cook et al., 2020a). However, some  
96 of these countries lack well-resourced, independent environmental and safety regulators, and  
97 there are concerns that emissions from some processes may result in harm to human health and  
98 the environment (Nguyen et al., 2021; Rollinson et al., 2019; UNEP et al., 2020).

99 Several efforts have been made to compare the relative safety of potential approaches to  
100 managing post-consumer plastic packaging that has been collected for recycling. For instance, a  
101 working group of parties to the Basel Convention on the Control of Transboundary Movement  
102 of Hazardous Wastes and Their Disposal (hereafter, the Basel Convention) has drafted guidance  
103 that begins to describe the safe treatment of plastic waste (UNEP et al., 2020). The purpose is to  
104 support Decision BC-14/13 of the Convention that compels parties to ensure exported waste  
105 plastic wastes undergo ‘environmentally sound management’ in the country of destination.

106 Other comparisons of approaches to recovering value from post-consumer plastic packaging  
107 waste that has been collected for recycling focus on certain aspects of environmental harm or  
108 human safety. Lazarevic et al. (2010) reviewed studies that compared the life cycle impacts of  
109 managing plastic waste using mechanical reprocessing, feedstock recycling, incineration and  
110 landfill. The study did not assess the impact on human health, but found that mechanical  
111 reprocessing was the least impactful on the environment. More general, reviews exist such as  
112 Crippa et al. (2019) and Ragaert et al. (2017), who provide descriptions and process information  
113 that explain the potential pathways for processing plastic wastes. In each case, the focus is on  
114 the circular economy; however, only summary evidence is provided that relates to the potential  
115 environmental and public health risks from the various processes.

116 There are many other sources that address the public, occupational and environmental safety of  
 117 approaches to recovering value from plastic waste, however as yet, there is no review that  
 118 compares the approaches or assesses their suitability for implementation or continued existence  
 119 in the Global South. For clarification, the term ‘Global South’ is used here for convenience but  
 120 really alludes to countries where the lack of effective, independent, well-resourced enforcement  
 121 and regulation might result in an elevated risk to human health and the environment.

122 Here, we rapidly review such evidence for eight types of resource recovery approach, each of  
 123 which is presented in their own section (**Table 1**). Evidence is summarised in sub-sections for  
 124 1) Overview – prevalence and commercial maturity; 2) Risks to the environment, particularly  
 125 global warming; and 3) Risks to occupational and public health. In **Section 11**, we compare the  
 126 approaches and qualitatively assign scores to indicate the comparative risk to human health and  
 127 the environment when implemented in the Global South.

128 **Table 1:** Engineering approaches to recovering value (resource recovery) from post-consumer plastic  
 129 packaging that has been collected for recycling.

Approach number	Approach name	Description
A1	Conventional mechanical reprocessing for extrusion ( <b>Section 3</b> )	Plastic wastes are sorted, purified, comminuted and re-melted (extruded) into pellets for conversion (Shen et al., 2014)
A2	Bottle-to-fibre mechanical reprocessing for extrusion ( <b>Section 4</b> )	Polyethylene terephthalate (PET) waste is sorted, purified, comminuted and re-melted (extruded) into polyester fibre for use in textile production (Shen et al., 2011)
A3 (a & b)	Mineral-polymer composites: road surfacing (A3a) & brick & tile production (A3b) ( <b>Section 5</b> )	Plastics wastes are melted alongside minerals such as sand or aggregate, acting as a binding and strengthening agent when cooled (Kumi-Larbi et al., 2018; Zhu et al., 2014)
A4	Solvent based purification ( <b>Section 6</b> )	Solvents are used to dissolve specific polymers in plastics, enabling them to be separated from additives and residues (Ügdüler et al., 2020)
A5	Chemical de-polymerisation (Chemolysis) ( <b>Section 7</b> )	Plastics are reacted under heat and pressure alongside catalysts to depolymerise them and enable the resultant monomers and oligomers to be used in primary plastics production (Raheem et al., 2019)
A6	Pyrolysis or gasification ( <b>Section 8</b> )	Plastics are heated, without (pyrolysis) or with limited (gasification) oxygen, resulting in polymer chain scission and reformation of hydrocarbons as gases solid or liquid that can be used as fuels or as feedstock for repolymerisation (plastic production) (Lopez et al., 2017; Ragaert et al., 2017)
A7	Co-processing in cement kilns ( <b>Section 9</b> )	Waste is used as a replacement fuel for coal in cement production plants (also often termed: waste-derived fuel, solid-recovered fuel – in which case it is often applied to material derived from mixed waste rather than that which has been collected for recycling) (Velis et al., 2012)
A8	Incineration with energy recovery ( <b>Section 10</b> )	Waste is combusted whilst heat is recovered to heat space and water whilst electricity is generated (Neuwahl et al., 2019)

130 For clarification, this review is concerned with the eight engineering approaches to resource  
131 recovery as they are applied to treating post-consumer single use plastic packaging that has been  
132 collected for recycling. This means that post-industrial (pre-consumer) material is excluded as  
133 well as mixed wastes, for instance those that have been collected from households. The  
134 approaches included are those that have been utilised by or considered for utilisation by FMCG  
135 companies. This means that some approaches that are more nascent, and at bench scale of very  
136 low technological readiness (U.S. Department of Energy, 2011), such as enzymatic conversion  
137 (Tournier et al., 2020) or hydrothermal carbonisation (Shen, 2020). Other parts of the waste  
138 system are also excluded from this review, such as waste collection systems (formal and  
139 informal), reuse, minimisation and material substitution.

## 140 **2 Methods**

### 141 **2.1 Literature review**

142 Literature was obtained by searching peer-reviewed content in the archival database Scopus,  
143 Google Scholar (e.g. non-governmental organisation and industry led reports) and generic  
144 internet content via Google. A rapid search was carried out of existing reviews of each of the  
145 approaches (**Table 1**). However, drawing on evidence only from the reviews would have  
146 introduced bias to the study and an over-reliance on the robustness of a third party's  
147 investigation. To establish a reliability pedigree, and inform inclusion/exclusion, samples of  
148 articles cited in each review were checked to ensure that the findings of original works had been  
149 correctly and fairly represented. If there was an indication that this was not the case, further  
150 samples were taken and if necessary the review was rejected for inclusion. Other considerations  
151 included the number of times a review had been cited by others in the context of the publication  
152 date, whether a report was funded by a particular narrow group of stakeholders and the quality  
153 and thoroughness of interpretation of data by the author of the review.

154 Citation / snowball search methods (Cooper et al., 2018) were used to identify more recent  
155 studies carried out since reviews had been conducted. In some cases, no relevant reviews exist,

156 for instance for plastic packaging co-processed in cement kilns, therefore relevant individual  
157 papers were identified assessed.

## 158 **2.2 Visual assessment of online media**

159 As there is hardly any relevant process data (for example: process system inputs, outputs,  
160 throughput, energy use, emissions, workforce behaviour, safe systems of work) for many of the  
161 topics covered in this review, an assessment of online multimedia (video) sources was carried  
162 out to identify risks to occupational health and safety from mechanical reprocessing and mineral  
163 polymer composite slab and tile production. Observations of multimedia content have emerged  
164 in the last decade following the rising popularity of video sharing platforms such as *YouTube*  
165 (Kousha et al., 2012). We developed a novel rapid method for assessing occupational health and  
166 safety based on an observational study of safe systems of work employed by firefighters (Kahn  
167 et al., 2014) and one of recreational jumping from height into water (Moran, 2014).

168 Searches were carried out in the *YouTube* repository, which is the most widely used repository  
169 with the widest scope using a variety of terms including ‘plastic recycling’ and ‘plastic and sand  
170 tile production’. National terms were added to the search operators such as ‘India’, ‘China’ and  
171 ‘Brazil’. The purpose of this part of the study was to obtain an indication of good or poor  
172 practice; working conditions; engineering controls to manage occupational and public risk; and  
173 identify potential extremes of occupational safety behaviour. We did not attempt to determine  
174 the prevalence of these practices, because the method feasible was not deemed as suitable. To  
175 control for bias, we chose to exclude footage intended to indicate bad practice as there was a  
176 risk that fill makers had cherry picked poor behaviour. Instead, footage that was intended to  
177 demonstrate or ‘showcase’ a process or existing operation was assessed.

178 For each video, basic information was recorded (**Table 4**) and the main hazards were identified  
179 using Hughes et al. (2016) and consolidated into the following list:

- 180 1. Unguarded fast or high torque machinery in close proximity to workers;
- 181 2. Worker interaction with machinery resulting in risk of being drawn in;



- 182 3. High temperature equipment in close proximity to workers risking burns;
- 183 4. Risk of interaction with unknown potentially hazardous materials or substances (i.e.
- 184 through atmosphere, dermal contact or ingestion);
- 185 5. Risk of burns from caustic substance;
- 186 6. Particle loss to the environment likely;
- 187 7. Risk of aerosolised hazardous substance; and,
- 188 8. Risk of ballistic injury to hands, feet, body from interaction with sharp or heavy objects.

## 189 2.3 Inclusion/exclusion criteria

190 Technical literature and other sources of information identified were assessed for inclusion in  
 191 this study according to the criteria listed in **Table 2**.

192 **Table 2:** Inclusion and exclusion criteria.

Inclusion	Exclusion
<ul style="list-style-type: none"> <li>• Conventional plastics</li> <li>• Technologies listed</li> <li>• Supply systems</li> <li>• Post-consumer plastic waste</li> <li>• Packaging</li> <li>• Peer reviewed journal articles, conference papers, books, reports, websites, online multi-media</li> </ul>	<ul style="list-style-type: none"> <li>• Waste collection – e.g. waste pickers</li> <li>• Biodegradable plastics</li> <li>• International trade in plastic scrap</li> <li>• Post-industrial waste</li> <li>• Non—packaging</li> <li>• Reuse / alternative delivery systems</li> <li>• Film footage intended to expose poor practice</li> </ul>

193

## 194 2.4 Assessment criteria for approaches

### 195 2.4.1 Commercial and technological maturity

196 The commercial and technological maturity of each approach alongside its commercial  
 197 prevalence provide valuable insights into the level of risk of safe operation. Whereas well  
 198 established processes benefit from many years or even decades of experience, there may be an  
 199 increased risk of harm to human health and the environment from more nascent approaches due  
 200 to hazards that were not expected or sufficiently mitigated. The technological readiness level  
 201 (TRL) scale (U.S. Department of Energy, 2011) is commonly used to indicate how far a  
 202 technology has progressed towards commercialisation. However once an innovation has reached

203 Level 9, the scale does not indicate whether the technology is commercially sustainable in the  
 204 real world, only that it is stable and functional at a large enough scale to be commercialised.  
 205 Though our objective differs from a proposal by Bruno et al. (2020) that extends the TRL scale  
 206 to consider legal, organisational and societal readiness, we have used this as a basis to create our  
 207 own four level scale for low-high maturity (**Table S1**).

## 208 **2.4.2 Risk of harm to the environment and human health**

209 The risk of harm to the environment and human health were described and summarised in **Table**  
 210 **S6**. As the majority of robust data exist only for the Global North context, these were assessed  
 211 first. Scores for the Global South were then adapted from the Global North using objective  
 212 reasoning to infer likely conditions, and controls to protect human health and the environment.  
 213 The descriptions in **Table S6** were then ranked using criteria adapted from Velis et al. (2021)  
 214 according to four levels: low risk; medium-low risk; medium-high risk; and high risk. Where  
 215 the evidence was insufficient to make an assessment, no score was given.

## 216 **2.4.3 Risk of operating below standards (appropriateness)**

217 Each approach was scored for its appropriateness for safe operation in the Global South using  
 218 the matrix in **Table 3**. The score is chosen at the intersect of the lowest of the two scores for  
 219 either environmental or human health risks on the x-axis and the maturity on the y-axis.

220 **Table 3:** Matrix for assessing risk of operating below standards in the Global South (appropriateness).

		Risk to either environment or human health in the Global South (whichever is greatest)				
		L	ML	MH	H	ID
Commercial and technological maturity	H	L	ML	MH	H	ID
	MH	ML	ML	H	H	ID
	ML	ML	MH	H	H	H
	L	ML	MH	H	H	H
	ID	ML	MH	H	H	H

221 Risk of operating below environmental and health standards in the Global South (appropriateness): L =  
 222 appropriate/low risk of operating below standards; ML = appropriate but with some risk of operating below  
 223 standards; MH = inappropriate but could be implemented if operating standards sufficient; H = inappropriate/high  
 224 risk of operating below standards. ID = insufficient data to make an assessment.

## 225 **2.4.4 Grouping of approaches**

226 Each of the eight approaches and sub-approaches were arranged into groups according to the  
227 characteristics: maturity; risks to human health and environment; and of operating below  
228 environmental and health protection standards in the Global South (appropriateness). Three  
229 groups emerged (G1-G3), one of which was divided into G1a and G1b due to slightly differing  
230 levels of evidence and maturity. Approach 6 was divided into two sub-groups during this  
231 process, to demarcate between pyrolysis and gasification used for feedstock and fuel; the former  
232 of which is immature and the latter of which is mature but with questionable environmental  
233 benefit when applied to post-consumer waste plastic packaging.

## 234 **3 Approach 1: Conventional mechanical reprocessing** 235 **for extrusion**

### 236 **3.1 Overview**

237 In the Global South, mechanical reprocessing of plastics has been carried out since the 1980s  
238 (Lardinois et al., 1995; Wahab et al., 2007), long before many high-income countries developed  
239 commercial reprocessing capacity. Despite these several decades of activity, very little  
240 published data exist on how these processes are carried out in the Global South context, which  
241 makes it challenging to assess the risk to human health and the environment.

242 In the Global North, plastics reprocessor operations are reasonably well documented, though  
243 commercial confidentiality may sometimes obscure the latest developments. In this setting,  
244 manual sorting is slowly being replaced as sensor-based separation technology increases in  
245 accuracy and many modern plants have reported to reduce their material losses substantially as  
246 their processes and learning mature.

247 Mechanical reprocessing of post-consumer waste plastics involves several steps aimed at  
248 purifying and standardising polymers and their additives to make them suitable for remelting  
249 and forming into new products (Schyns et al., 2020). Reprocessors of waste packaging often  
250 start with a feedstock that is more-or-less a single polymer, though other materials and objects

251 such as closures, labels, glues, inks, and residues of materials and substances from the items’  
252 use such as food or beverages may also be present. Materials and substances may also become  
253 adhered or attached to packaging during handling and sorting during the use phase. For  
254 instance, a plastic bottle that has been collected, mixed, compacted in a waste collection vehicle,  
255 and deposited on a dumpsite may exhibit surface contamination with food and dust, or have  
256 materials such as paper or metal trapped within its folded structure (Gall et al., 2020).

257 ‘Contaminants’ are removed during several sorting steps that prepare the material for  
258 reprocessing including size reduction (comminution), separation by density (sink/float),  
259 washing (either hot, cold and or with chemicals) and optical separation (near infra-red or laser)  
260 (Vogt et al., 2021). A manual sorting step is almost always included at some point between  
261 collection for recycling and reprocessing, because mechanical means are rarely sophisticated  
262 enough to obtain sufficient material quality to make new products. There are a multitude of  
263 configurations of waste plastic reprocessing operations from the highly sophisticated facilities  
264 common in Europe, some of which employ robotics and automated quality management  
265 systems, to extremely rudimentary operations seen in some areas of the Global South (Neo et  
266 al., 2021).

## 267 **3.2 Environment**

### 268 **3.2.1 Global warming potential**

269 The majority of Life cycle assessment (LCA) studies of post-consumer plastic waste  
270 management support the ranking system offered by the ‘Waste Hierarchy’ (European  
271 Commission, 2008). Lazarevic et al. (2010) reviewed 77 scenarios reported in 10 LCA studies  
272 that evidenced impacts of mechanical reprocessing, feedstock recycling, incineration and  
273 landfill to compare the relative burdens across six LCA impact categories. Compared to  
274 incineration, mechanical reprocessing showed a lower abiotic depletion potential, energy use  
275 and global warming potential findings that were supported more recently by Bernardo et al.  
276 (2016).

277 An exception highlighted by Lazarevic et al. (2010) was evidence from Frees (2002), indicating  
278 that high levels of surface contamination with ‘organic’ (hereafter ‘biological’) material resulted  
279 in substantial burdens associated with hot water washing, wastewater treatment and plastic  
280 waste pre-treatment. According to Lazarevic et al. (2010), these burdens increased the emissions  
281 from mechanical reprocessing to more than those emitted by incineration. However, a contrary  
282 result was reported by Krogh et al. (2001) who reported that despite the high biological material  
283 contamination (7% - by weight - wt.), mechanical reprocessing had 100% better overall  
284 performance compared to incineration. Theoretically, the addition of sodium hydroxide to the  
285 washing process should negate the need for hot water use, however there is evidence that both  
286 heat and the caustic additive are used in combination as reported in some LCA studies (Aryan et  
287 al., 2019). Importantly though, very few LCAs investigate reprocessors operating in a Global  
288 South context, meaning that process data are absent for these facilities (Laurent et al., 2014a). A  
289 few exceptions (non-exhaustive search) exist for China (Gu et al., 2017; Zhang et al., 2020),  
290 India (Aryan et al., 2019; Choudhary et al., 2019) and Brazil (Martin et al., 2021).

### 291 **3.2.2 Water use**

292 Clearly water consumption is a concern in countries where it is scarce, however according to  
293 Laurent et al. (2014b) it is reported in less than 15% of LCA waste management studies. As a  
294 guide to the magnitude of water consumption during mechanical reprocessing, Chen et al.  
295 (2019) provided water depletion potential factors for the mechanical reprocessing of several  
296 polymers, indicating between 340 and 452 L t<sup>-1</sup> material processed and waste-water discharge of  
297 between about 65 and 95% depending on the polymer being processed (**Table S2**). Aryan et al.  
298 (2019) reported much higher water use; 1,200 L t<sup>-1</sup> for polyethylene (PE) milk pouches and  
299 1,600 L t<sup>-1</sup> for polyethylene terephthalate (PET) reprocessed at a comparatively small-medium  
300 scale facility in India. The water use reported at the plant not only contributed to freshwater  
301 aquatic ecotoxicity, but also marine aquatic ecotoxicity and eutrophication. Moreover, the plant  
302 used coal to heat the water and dry the pouches in the winter when the sun provided insufficient  
303 heat.

304 The rapid review of *YouTube* studies carried out here (**Table 4**) observed the use of sodium  
305 hydroxide in four sources, mainly those that were more technologically sophisticated, handling  
306 large quantities of post-consumer material. However, eight of the processes observed did not  
307 clean material using water; instead, mainly secondary plastic foils were fed either directly into  
308 extruders or via a comminution step. It is unclear how common this 'dry processing' is, but it  
309 has been reported to be carried out by Aryan et al. (2019) in India and has been observed at  
310 Biffa Polymers in the UK (Houston, personal communication, 27 November 2019).

**Table 4:** Summary of practices involving plastics reprocessing in the Global South observed on multimedia posts with identification of hazards and hazard mitigation practices.

Source	Context	Feedstock	Process description	Dry/ wet	Soph. cat.	Hazards								Mitigation measures or comments
						1	2	3	4	5	6	7	8	
Daharwal (2018)	Nagpur, India	Plastic bags	Manual separation, comminution, particle manually moved to extruder and made into mini-football sized lumps of polymer	Dry	Low	x	x	x	x			x	x	<ul style="list-style-type: none"> <li>No obvious SSW</li> <li>No PPE use</li> <li>No guarding on equipment</li> </ul>
Mooge Tech. (2015)	Assumed China	PET packaging	Co-located sorting and reprocessing system including de-baling, trommel, 'de-labelling (rotating star), electromagnetic separation, high speed friction washing, centrifugal dewatering, comminution, float sink separation	Wet	Med-high	x	x						x	<ul style="list-style-type: none"> <li>Only one worker observed wearing gloves to sort manually, possibly drawing in risk on several conveyors though film not detailed enough to assess this.</li> </ul>
Triwood1973 (2009)	China	PET bottles	Polyester spinning includes comminution, float sink separation, washing, drying and extrusion into fibres which are then carded and woven into polyester sheet	Wet	Med-high	x				x	x		x	<ul style="list-style-type: none"> <li>PPE – face shield used</li> <li>Gloves used by some workers</li> <li>Possibly insufficient respiratory protective equipment used during carding</li> </ul>
sps (2018a)	India	LDPE bags	Clean, dry bags fed by hand into extruder which produces strands that are cooled and cut into pellets			x	x	x					x	<ul style="list-style-type: none"> <li>No SSW in place</li> <li>Stick to feed material in to extruder prevents drawing in</li> </ul>
sps (2018b)	India	LDPE bags	Clean, dry bags sorted by hand and cleaned with a knife then fed by hand into extruder which produces strands that are cooled and cut into pellets	Dry	Low	x	x	x			x		x	<ul style="list-style-type: none"> <li>Open top sandals around molten plastic</li> </ul>
IndustrieS (2019)	India	Hard plastics	Material manually loaded in baskets into shredder	Dry	Low	x	x					x	x	<ul style="list-style-type: none"> <li>No obvious SSW</li> <li>No PPE used and all in open top sandals</li> <li>No guarding on equipment</li> <li>Women help each other with heavy loads</li> </ul>
Saha (2020)	Bangladesh	Misc. coloured PET packaging	Hand sorting and grading of material on the floor with low sided baskets followed by comminution, washing and sink float separation where material skimmed by hand. Appears to be a hot wash but not obviously so.	Wet	med	x	x	x			x		x	<ul style="list-style-type: none"> <li>No obvious SSW</li> <li>No PPE used and all in open top sandals or bare feet</li> <li>No guarding on equipment</li> </ul>
The Times of India (2019)	India	hard plastics	Material crushed and extruded with durability additives then pelletised and re-melted and formed into tiles	Dry	low – med	x	x	x					x	<ul style="list-style-type: none"> <li>No obvious use of PPE though few workers shown</li> </ul>
Kao (2014)			Manual de-baling and summary sort before inclined conveyor feeds trommel. Process then includes more intensive manual sorting, a hot wash (possibly caustic) – film seemed to stop prematurely	Wet	med							x		<ul style="list-style-type: none"> <li>Stop rope above conveyor</li> <li>Gloves worn by approx. 50% of staff</li> <li>Some use of face coverings</li> <li>Some use of hearing protection</li> <li>Evidence of SSW</li> </ul>

Source	Context	Feedstock	Process description	Dry/ wet	Soph. cat.	Hazards								Mitigation measures or comments	
						1	2	3	4	5	6	7	8		
Carretino Proyectos (2016)	Sriracha Thailand	Plastic packaging	Mechanical loading of bales into automated de-baler followed by caustic wash and drying tumbler, lights separated with cyclone then missed labels removed manually (special tool) on conveyor. Comminution followed by sink float separation to remove closure materials followed by another caustic wash and drying tumbler – yet another sink float carried out before high purity achieved. Final manual polishing to increase purity - no extrusion here.	Wet	Med- high	x	x		x	x					<ul style="list-style-type: none"> <li>• Huge sign on front of building states ‘safety first’</li> <li>• Signage throughout building warning of danger</li> <li>• Gloves worn by all workers</li> <li>• Face coverings worn by ~20% of workforce –presumably according to need</li> <li>• High level of safety evident</li> </ul>
Micro Machinery Manufacture (2018)	India	Woven PP raffia sacks	Hand sorted before being hand fed directly into extruder dry – extruded into strands and pelletised (possibly this is a display machine)	Dry	med	x	x	x							<ul style="list-style-type: none"> <li>• No obvious SSW</li> <li>• No PPE use &amp; all operatives in bare feet</li> <li>• Very little guarding on equipment</li> </ul>
Kumar (2019)	South Asia (assumed)		Dry fed shredder created flake which was manually fed into an extruder and pelletised	Dry	low	x	x	x							<ul style="list-style-type: none"> <li>• No obvious SSW</li> <li>• No PPE use</li> <li>• No guarding on equipment</li> </ul>
Potdar (2015)	South Asia (assumed)	electrical insulation cables	Apparently are course shredded and then manually transferred to a hoper and extruded into strands	Dry	Low- med	x	x	x	x		x	x	x		<ul style="list-style-type: none"> <li>• No obvious SSW</li> <li>• No PPE use</li> <li>• No guarding on equipment</li> </ul>
Singh (2018)	India	Mixed plastic packaging	Comminuted and mixed in a dark environment where workers manually load between unit processes including washing, drying and extrusion.	Wet		x	x	x	x	x	x	x	x		<ul style="list-style-type: none"> <li>• No obvious SSW</li> <li>• No PPE use</li> <li>• No guarding on equipment</li> <li>• Very dark &amp; terrifying conditions</li> </ul>
GlobeTrotter (2013)	Ahmedabad, India	Pipes, polythene moulding materials	Material is handfed directly into extruder stranded and pelletised 1.8-1.9 tonnes per day	Dry	Low med								x		<ul style="list-style-type: none"> <li>• No obvious SSW</li> <li>• No PPE use</li> <li>• No guarding on equipment</li> </ul>

312 Hazard codes as follows: 1) Unguarded fast or high torque machinery in close proximity to workers; 2) Worker interaction with machinery resulting in risk of being drawn in; 3) High temperature  
313 equipment in close proximity to workers risking burns; 4) Risk of interaction with unknown potentially hazardous materials or substances; 5) Risk of burns from caustic substance; 6) Particle loss to the  
314 environment likely; 7) Risk of aerosolised hazardous substance; 8) Risk of ballistic injury to hands, feet, body from interaction with sharp or heavy objects. Abbreviations: Waste electrical and electronic  
315 equipment (WEEE); end of life vehicle (ELV); safe system of work (SSW); personal protective equipment (PPE); polyethylene terephthalate (PET); low density polyethylene (LDPE); polypropylene  
316 (PP); sophistication category (Soph. cat.). The term ‘wet’ refers to process in which plastics were subjected to washing and or sink-float separation; the term ‘dry’ refers to processes in which no water  
317 was used other than for cooling strands for palletisation.



### 318 **3.2.3 Management of residues**

319 A concern highlighted in recent years, is the management of residues (solid rejects) by plastics  
320 reprocessors in countries where mismanagement of waste in general is also reported to be high  
321 (European Environment Agency, 2019). The inference is that non-targeted for recovery materials (low  
322 value plastics or those that are problematic to sort and concentrate and contraries), may be  
323 mismanaged by dumping on land, discharge into waterways and coastal waters and open burning (Lau  
324 et al., 2020).

325 Though there are no academic studies that provide systematically gathered evidence on the prevalence  
326 of residue mismanagement by reprocessors, several documentaries and news articles have highlighted  
327 the phenomenon with film footage and still photographic evidence (60 Minutes Australia, 2019; BBC  
328 News, 2020; CBC News, 2019; Fruhnert, 2014; Sky News, 2018) as well as reports such as Velis  
329 (2014). The existence of the problem is also inferred by increasing regulation to curb transboundary  
330 movements of post-consumer plastic recyclate (often termed ‘scrap’) particularly from high-income  
331 countries to industrialised nations in the Global South. For instance, there are indications that part of  
332 the rationale for the Chinese Authority’s virtual ban (hereafter the ‘Chinese import ban’) on plastic  
333 imports in 2018 (Ministry of Ecology and Environment, 2017) was to reduce the risk of residue  
334 mismanagement (Liang et al., 2021).

335 Following the Chinese import ban, considerable amounts of material has been diverted to other  
336 countries, such as Turkey and several South and Southeast Asian countries including Malaysia,  
337 Thailand, Vietnam, Indonesia, Taiwan and India (Resource Futures-Nextek, 2018). This has resulted  
338 in planned or actual tightening of import restrictions, as their respective authorities fear  
339 mismanagement of residues that they are unable to enforce (APL, 2018; Bedi, 2019; CMA CGM  
340 (Japan), 2018; Cotecna, 2018; Das, 2018; Government of India: Ministry of Environment Forest and  
341 Climate Change, 2016; ISRI, 2018; Liang et al., 2021; Resource Recycling, 2019; Staub, 2018a; b;  
342 2019). Moreover, the mismanagement of residues from imported post-consumer plastic waste was the  
343 motivating rationale of the parties to the Basel Convention, who implemented significant restrictions

344 on the export of plastics from high income countries to the Global South from January 2021  
345 (Secretariat of the Basel Convention, 2019).

346 In addition to the mismanagement of residues, Operation Clean Sweep (2020), Boucher et al. (2017)  
347 and Cole et al. (2016) have reported that plastics reprocessors are likely to be a proportionally small  
348 but significant source of microplastic pollution as a result of comminuted flakes and spilled pellets  
349 that are discharged into foul and surface water drainage systems during reprocessing. There is still  
350 very high uncertainty over the magnitude of plastic pellet loss from reprocessors. For instance, Cole et  
351 al. (2016) estimated pellet loss from the plastics industry as a whole at between 5.3 and 53 billion  
352 pellets (105-1,054 tonnes) per annum from the UK alone, based on 4.8 Mt being processed  
353 (reprocessor inputs). Lassen et al. (2015) provided a very rough estimate for plastics processors in  
354 Denmark, estimating that between 0.0005% and 0.01% of production may be lost as microplastics to  
355 the environment.

356 The rapid review of multimedia evidence presented in **Table 4** indicated that pellet loss was  
357 uncontrolled in at least five out of the 15 facilities observed. This assertion is based on the assumption  
358 that the facilities observed did not have closed circuit wastewater treatment, and that there was  
359 observable evidence of material being spilled and discharged into drainage.

## 360 **3.3 Health**

### 361 **3.3.1 Emissions to air**

362 Emissions from extrusion of the main conventional plastics used in packaging, such as polypropylene  
363 (PP), PE, PET, high density polyethylene and low density polyethylene (LDPE) are not thought to  
364 result in harm to human health if carried out at controlled temperatures and using relatively pure  
365 feedstock. A study by Unwin et al. (2013) of atmospheric emissions at ten UK plastics extrusion  
366 facilities (PP, PE, acrylonitrile butadiene styrene, PET and polyvinyl chloride - PVC), found  
367 extremely low and often undetectable concentrations of carcinogens in all cases. All the sites and  
368 processes investigated by Unwin et al. (2013) incorporated a variety of engineering controls,  
369 including forced air ventilation local exhaust ventilation and mechanical dilution.

370 In the Global South, ventilation may not always be provided in plastics extrusion facilities. For  
371 example, a review by Cook et al. (2020b) found examples of facilities investigated in China where  
372 only passive ventilation was provided as a control measure. Other examples were identified in the  
373 multimedia evidence presented in **Table 4**, where workers were in close proximity to extruders  
374 without any observable mechanical ventilation or personal protective equipment. In several cases  
375 there was evidence that end-of-life vehicle parts and electrical goods including PVC insulation were  
376 being extruded without any form of ventilation or respiratory protective equipment. Speculatively,  
377 insufficient ventilation may be a widespread reality where resources are limited and there is a lack of  
378 sufficiently resourced, independent health and safety regulation.

379 Although the most common polyolefins and PET do not usually result in harmful emissions if  
380 ventilation is sufficiently controlled, there some is evidence that if materials are not sourced or sorted  
381 carefully then they may be inadvertently mixed with plastics such as polystyrene and PVC, both of  
382 which result in harmful emissions when extruded (Cook et al., 2020b; He et al., 2015). Moreover, if  
383 the polyolefins and PET have originated from a source that involves some potentially hazardous  
384 substances being added, for example electrical casings, then these substances may volatilise when  
385 heated, exposing workers. For instance, analysis by Tsai et al. (2009) next to polypropylene and  
386 polyethylene extrusion facilities in Taiwan detected phthalates in air samples indicting that PVC had  
387 contaminated the feedstock. In two other studies, both Tang et al. (2014) and Tang et al. (2015)  
388 detected brominated flame retardants in environmental media near to plastic packaging recycling  
389 plants in China. Though the source was potentially confounded, the implication from these findings is  
390 that plastics from end of life vehicles, and electrical equipment plastics were being reprocessed into  
391 secondary feedstock regardless of the potential carcinogenic and environmentally persistent  
392 substances within. Moreover, Tang et al. (2014) found high concentrations of brominated flame  
393 retardants in hair samples of young people who may work in plastics extrusion plants within the local  
394 area.

395

### 396 **3.3.2 Accidents**

397 Accidents in plastics reprocessing facilities are not specifically reported by the International Labour  
398 Organization (2019), instead being aggregated across the waste industry, often including water and  
399 utilities. There are also no specific reports in the academic literature. The multimedia evidence  
400 presented in **Table 4** was used as a reference and highlighted some deeply concerning practices at  
401 small and medium scale reprocessors operating in the Global South, particularly in India and China.  
402 For instance, evidence of the potential for workers to become entangled or drawn into fast moving or  
403 high torque machinery was observed at almost all facilities. In nine of the facilities observed, workers  
404 also carried out duties in very close, unprotected proximity to extremely hot machinery used for  
405 extrusion. The lack of robust and systematically obtained data on this topic makes it challenging to  
406 accurately assess, but clearly there are also some well managed plants in the Global South, where  
407 workers' safety is systematically managed and emissions are controlled to protect public health; and  
408 this level of safety was apparent from the multimedia footage in two of 15 examples (Carretino  
409 Proyectos, 2016; Kao, 2014).

### 410 **3.3.3 Food contact applications and legacy substances**

411 Some plastics contain potentially hazardous substances that have been added intentionally or which  
412 have been unintentionally incorporated through adsorption, absorption, during production or  
413 conversion (Cook et al., 2020b). These substances are not usually bonded to the polymers themselves,  
414 but exist between the polymer chains as part of a mixture (Hahladakis et al., 2018; Wiesinger et al.,  
415 2021). These may migrate into the outside world from where they can disperse, or be absorbed into  
416 the body through the skin; via ingestion of food; or through mucous membranes under certain  
417 conditions (Koch et al., 2009).

418 In much of the Global North and South, the use of hazardous substances in food contact packaging is  
419 tightly controlled by legislative frameworks designed to limit exposure to human health and the  
420 environment depending on the application (Cook et al., 2020b). Thus, the use of recycled (secondary)  
421 plastics in food contact materials presents additional challenges because of the potential uncertainty

422 around the origin of the material (primary production and manufacturing phase), its previous use (use-  
 423 phase) and the way that it may have been handled, stored and treated after it has been used (end-of-  
 424 life-phase).

425 For example, to reduce the risk of fire, plastics used in many electronic goods are treated with flame  
 426 retardants which are potentially harmful to human health if absorbed into the body. If these electronic  
 427 casings were used to make food packaging, there is a risk that they might migrate from within the  
 428 polymer and leach into the food being packaged, potentially exposing the consumer. These substances  
 429 are often described collectively as ‘legacy substances’ (Wagner et al., 2020). A summary of potential  
 430 materials and substances that may exist in a secondary plastic is provided in **Table 5**.

431 **Table 5:** Summary of constituents in plastics; after Goulas et al. (2000), Hahladakis et al. (2018), Cook et al.  
 432 (2020b) and Wiesinger et al. (2021).

Life cycle phase	Residual substance or substance group	Examples
	Polymers	<ul style="list-style-type: none"> <li>• Polyethylene, polyvinyl chloride, polyethylene terephthalate</li> </ul>
	Production residues	<ul style="list-style-type: none"> <li>• Residual monomers (bisphenol A, styrene), dimers and oligomers</li> <li>• Residual catalysts</li> </ul>
Production & manufacturing	Additives	<ul style="list-style-type: none"> <li>• Plasticisers (e.g. di-(2-ethylhexylexyl)), fillers, brominated flame retardants (e.g. polybrominated diphenyl ethers)</li> </ul>
	Food	<ul style="list-style-type: none"> <li>• Cooking oil</li> </ul>
Use	Household chemicals	<ul style="list-style-type: none"> <li>• Pesticides</li> <li>• Paint stripper</li> </ul>
End-of-life	Commercially used substances	<ul style="list-style-type: none"> <li>• Engine oil</li> <li>• Battery acid</li> </ul>

433

434 Legacy substances may occur in all secondary plastics, however the concentration is usually so small  
 435 as to be unlikely to pose any threat to human health (Wagner et al., 2020). Nonetheless, the potential  
 436 risks are managed through stringent legislation in several countries. For instance, in India, the  
 437 Ministry of Health and Family Welfare (2018) has recently prohibited the use of recycled content in  
 438 food packaging under the Food Safety and Standards (Packaging) Regulations, 2018. Thailand, Japan  
 439 and China have also historically implemented similar bans, however there are indications that these  
 440 laws may be relaxed to encourage more circular materials use (PackagingLaw.com, 2020; Rosato,  
 441 2020).

442 In Europe, the use of recycled content was banned in food contact packaging until fairly recently.  
443 However, Regulation EC 282/2008 (European Union, 2008) now allows secondary material use as  
444 long as certain conditions are met including requirements to:

- 445 • Use recycled plastic behind a ‘functional barrier’ as defined by Directive 2002/72/EC
- 446 • Sort plastic to 100% efficiency, though where provenance is more certain, e.g. from a  
447 kerbside separate collection (either comingled ‘single stream or separated ‘multi-stream’  
448 collection), this requirement can be lowered on a case by case basis
- 449 • Characterise input (feedstock) to determine if substances from misuse of the product are  
450 present (e.g. an orange juice container used to contain domestic pesticide)
- 451 • Obtain authorisation (from the relevant ministry) to use recycled content in conversion  
452 feedstock

453 It is beyond the scope of this review to carry out a comprehensive review of regulatory frameworks  
454 managing the use of recycled content in food contact materials, but it appears that other countries  
455 allow its use including Mexico (PetStar, 2018), South Africa (Petco, nd), and Brazil  
456 (PackagingLaw.com, 2019).

## 457 **4 Approach 2: Bottle-to-fibre reprocessing**

### 458 **4.1 Overview**

459 Approximately 52% (wt.) of all textile fibres are polyester, representing 55 Mt of material produced in  
460 2018 (Textile Exchange, 2019). Of this 13% (7.2 Mt), was produced using a mixture of post-  
461 consumer PET bottles and post-industrial spun polyester fibre. Although the proportional and absolute  
462 mass of polyester produced from recycled content has increased steadily over the last decade, a  
463 reduction of three percentage points took place following the Chinese import ban (Ministry of  
464 Ecology and Environment, 2017), highlighting the impact of international restrictions on the circular  
465 economy.

466 The use of secondary PET in polyester production has increased, alongside the amount of PET  
467 collected for recycling. But a greater proportion of the PET that is collected for recycling is now used

468 in packaging (66%) whilst the remainder is used in bottle-to-fibre reprocessing (44%) (Park et al.,  
469 2014; Sarioğlu et al., 2018).

470 Polyester spinning does not differ greatly from other mechanical reprocessing systems for extrusion or  
471 blow moulding. It produces textile fibres that are as strong or in some cases stronger than its virgin  
472 counterparts as chain scission is substantially reduced in comparison to conventional mechanical  
473 reprocessing (Muslim et al., 2016; Shen et al., 2010).

## 474 **4.2 Environment**

### 475 **4.2.1 Global warming**

476 Virgin polyester results in approximately 2.2-2.7 t CO<sub>2</sub>eq t<sup>-1</sup> product (Bartl, 2020) compared to, for  
477 example, cotton produced in China which has been reported to be between 5.2 and 57.9 t CO<sub>2</sub>eq t<sup>-1</sup>  
478 across the whole lifecycle (Wang et al., 2015). However, LCA studies that evaluate the benefits of  
479 recycling PET into polyester fibre are limited, with just three relevant studies that have directly  
480 compared impacts, all of which showed a reduced emissions burden in comparison to virgin  
481 production (Komly et al., 2012; RDC-Environment, 2010; Shen et al., 2011).

482 In comparison with mechanical reprocessing for extrusion (Approach 1 – **Section 3**), bottle-to-fibre  
483 recycling has been found to have similar (Shen et al., 2011) or lower impact on global warming  
484 (Komly et al., 2012; RDC-Environment, 2010), mainly because the material that it replaces (virgin  
485 polyester and cotton) has very high burdens. These indicative results challenge the conception that  
486 bottle-to-fibre recycling, so called ‘open-loop’, is less beneficial than bottle-to-bottle recycling, so  
487 called ‘closed loop’, because the output of bottle-to-fibre recycling (textiles) is not suitable for  
488 recycling in future (Geyer et al., 2016).

### 489 **4.2.2 Water use**

490 There are few clear estimates for water use from polyester spinning processes. Bartl (2020) suggested  
491 that primary polyester spinning uses 48.8 m<sup>3</sup> t<sup>-1</sup> water (excluding printing and dyeing) and Zhang et al.  
492 (2018) estimated 24.2 m<sup>3</sup> t<sup>-1</sup>. It seems reasonable to assume that similar quantities are used for

493 recycled PET and that cleaning and separation processes are similar to those carried out for  
494 conventional recycling. Possibly a more important comparator is for cotton, which has been reported  
495 to use between 2,000 and 27,000 m<sup>3</sup> t<sup>-1</sup> produced (Bartl, 2020). Otherwise, there is no reason to  
496 assume that bottle-to-fibre reprocessing has a different water consumption rate in comparison to  
497 bottle-to-bottle.

498 No specific data were found to indicate microplastic release from bottle-to-fibre reprocessing;  
499 however, it is reasonable to assume that it is the same as for other conventional recycling processes.

## 500 **4.3 Health**

501 No evidence that has not already been discussed in **Section 3.3** was found to indicate specific health  
502 hazards from polyester spinning. But, objective reasoning suggests that the use of only one polymer  
503 (PET) in bottle-to-fibre reprocessing, which is mainly used in packaging, may lower the risk of  
504 contamination from materials that have been used in other applications - for instance end of life  
505 vehicles or electrical and electronic equipment.

## 506 **5 Approach 3: Mineral polymer composites**

### 507 **5.1 Overview**

#### 508 **5.1.1 Road-surfacing (Approach 3a)**

509 The use of waste plastics in road surfacing has been investigated as a solution to the plastic pollution  
510 crisis and could be used to recover unrealised value from the waste system (Chin et al., 2019; Wu et  
511 al., 2021). This potential has been embraced by some states in India (Karelia, 2018; Louise, 2019;  
512 News18, 2019), and the National Rural Roads Development Agency (nd) has developed guidelines  
513 for the use of plastic waste in roads.

514 To clarify, the roads discussed here are not made purely from plastic. Instead, the bitumen component  
515 is typically modified with around 5% wt. (2-10% wt.) plastic (Rødland, 2019). This means that when  
516 aggregate and sub-layers are included, the total mass of plastic used as a proportion of road  
517 construction mass is very small. Polymer modification of bitumen is well established, having been



518 investigated since the 1950s and has been in common use since the 1980s (Zhu et al., 2014), where it  
519 is used to improve elasticity reduced rutting, fatigue resistance, reduced thermal cracking, and  
520 increased elasticity (Ahmadinia et al., 2011; Costa et al., 2013; Dalhat et al., 2017; Fang et al., 2014;  
521 Movilla-Quesada et al., 2019; RAHA Bitumen Co., nd; White, 2019; White et al., 2018). Until  
522 recently, it has been exclusively carried out using virgin polymers, including PE, PP, ethylene–vinyl  
523 acetate, ethylene–butyl acrylate, styrene–butadiene–styrene, styrene–isoprene–styrene and styrene–  
524 ethylene/butylene–styrene.

### 525 **5.1.2 Bricks and tiles (Approach 3b)**

526 The use of waste plastics as a bonding agent for the manufacture of tiles and bricks is becoming  
527 increasingly widespread, having been implemented by several charities including WasteAid UK  
528 (Lenkiewicz et al., 2017). Several proprietary and open source processes are available (Earth Titan,  
529 2019) that involve melting plastic together with sand to form a paste which is then pressed into  
530 moulds and left to cool. At its most basic, the process is carried out over a fire, whereas some  
531 processes observed were more automated (Kolev, 2019), including mechanical pressurised moulding,  
532 mechanical mixing, and comminution of plastics with low speed high torque cutting mills (Earth  
533 Titan, 2019). In one example, sand was kiln dried to improve the properties of the final product in  
534 advance of the plastic waste being added (NTVUganda, 2013).

535 Historically, there has been a paucity of published academic literature on brick and tile production  
536 using waste plastics, though several recent papers have explored the approach, finding it results in  
537 products with very high durability and strength (Ali et al., 2020; Salvi et al., 2021; Thorneycroft et al.,  
538 2018; Uvarajan et al., 2021). According to Kumi-Larbi et al. (2018) who tested the physical properties  
539 of LDPE-bonded sand, the compressive strength of the composite is greater than Portland cement  
540 sandcrete and similar to C20/25 concrete.

### 541 **5.1.3 Unbound aggregate**

542 Gu et al. (2016) reviewed 83 studies that investigated the use of plastics in concrete as a lightweight  
543 replacement for aggregate. Although it was not within the scope of the present review to assess this  
544 end-use, it is referred to here to identify it as a potential avenue of further research.

## 545 **5.2 Environment**

### 546 **5.2.1 Global warming**

547 According to Wu et al. (2021), very few studies have investigated global warming emissions from  
548 polymer modified asphalt, referring to just five studies that indicate mixed results from using waste  
549 plastics in comparison to virgin plastics. Four of these (Santos et al. (2018), Vila-Cortavitarte et al.  
550 (2018), Mukherjee (2016) and Nascimento et al. (2020), investigated plastics that are not commonly  
551 used in FMCG packaging (rubber, polystyrene etc.). Only one, Poulikakos et al. (2017) investigated a  
552 range of waste plastics used in packaging, reporting substantial cost savings alongside a reduction in  
553 CO<sub>2</sub> emissions. The model was highly theoretical and intended to demonstrate the potential concept  
554 rather than being based on physical implementation. It assumed that the plastics would not require  
555 substantial processing (cleaning and purifying) to be suitable for use in roads, reducing the  
556 environmental burdens associated with mechanical reprocessing, which was one of the comparators.  
557 Whether this uncertainty in material composition would be acceptable to road manufacturers is  
558 unclear.

559 There is insufficient data available to make an assessment over whether the use of waste plastics as a  
560 bitumen modifier provides overall environmental improvement across the lifecycle. Intuitively,  
561 anything that reduces the need to resurface or replace roads using a product that would otherwise be  
562 wasted ought to provide some benefit. Given that there is substantial evidence to indicate that polymer  
563 modification of bitumen results in increased durability, it seems likely that its use would result in  
564 reduced maintenance and associated avoided burdens. Further investigation using post-consumer  
565 waste plastic packaging would provide more insight.

566 No LCA data was found for mineral-polymer composites used in the production of bricks, tiles or  
567 paving slabs. As this technology begins to increase in prevalence, it will be important to understand  
568 the full life-cycle impacts. Clearly, rudimentary processing advocated by WasteAid uses very few  
569 resources (Lenkiewicz et al., 2017). The removal of plastic film would benefit the local environment  
570 though the process requires relatively clean sand, which would need to be sourced sensitively and  
571 sustainably (Torres et al., 2021). The LCA case is likely to be strongly driven by the avoided concrete  
572 production, which is intensive sector with high energy demand (discussed further in **Section 9.1**) but  
573 it is noteworthy that the heat sued to melt the mineral-polymer mixture may be provided by open,  
574 uncontrolled fires. Therefore, the climate change impact of black carbon production may also have a  
575 significant effect on the overall environmental emissions (Reyna-Bensusan et al., 2018).

## 576 **5.2.2 Particle emissions (microplastics)**

577 One concern highlighted by Rødland (2019) is the potential for microplastic release from the polymer  
578 modified road surface during the use phase. The study reported microplastic emissions from each  
579 source in Norway at approximately 28 t y<sup>-1</sup> polymer modified asphalt, 90-320 t y<sup>-1</sup> road marking  
580 polymer and 4,250-5,000 t y<sup>-1</sup> from tyres. The source of most of the data reported by Rødland (2019)  
581 is Vogelsang et al. (2020) who acknowledged that there is huge uncertainty associated with the  
582 emission factors for polymer modified bitumen; but, the main particle emission source is likely to be  
583 studded tyres, used to drive through ice and snow in northern Europe, that abrade the road surface.

584 A potential risk is that the surface may become less durable if asphalt-polymer mixtures are  
585 incorrectly formulated, for instance too rich in polymer. It is recommended that this theory is  
586 investigated as lack of durability could influence both life-cycle emissions and the risk of plastic  
587 particle emissions.

588 Intuitively, there may also be risks associated with microplastic release, fire risk, and possibly  
589 migration of substances into the air inside buildings. No evidence was found for any of these, but it is  
590 suggested that this is considered in future investigations

## 591 **5.3 Health**

592 Asphalt is laid at 100-195°C (Nicholls et al., 2013). The top of this range of temperatures overlaps  
593 with the lower end of the range of temperatures used in mechanical reprocessing (Hahladakis et al.,  
594 2018). Given the evidence for potentially hazardous emissions from extrusion and summarised in  
595 **Section 3.3.1**, it is conceivable that substances emitted during asphalt laying or brick and tile  
596 production could pose a threat to the health and safety of those who inhale air nearby, for instance if  
597 PVC, polystyrene or plastics from electrical goods or vehicles are used. There are no obvious  
598 concerns from the main conventionally used polyolefins and PET used in packaging and studies have  
599 found very low emissions from LDPE (Yamashita et al., 2009) and PE (He et al., 2015; Tsai et al.,  
600 2009).

601 Both White (2019), and White et al. (2018), manufacturers of a proprietary modifier using discarded  
602 plastics (wastage) from recyclers in the UK, investigated air and leachate emissions from polymer  
603 modified bitumen. Their air sampling found no hazardous emissions other than those that would be  
604 expected from the bitumen and no hazardous leachate was detected.

605 Discussions with Kumi-Larbi Jnr (personal communication 10 December 2020) who has observed tile  
606 manufacture in West Africa, revealed that the process often resulted in the plastics combusting  
607 briefly, which could potentially result in the production of substances of partial combustion. When  
608 completely decomposed under combustion, LDPE emits only water and CO<sub>2</sub>. However, the LDPE is  
609 likely to include small amounts of antioxidant and ultraviolet resistant additives and is unlikely to  
610 achieve complete combustion under very low heat used in the production process. Several relevant  
611 sources, including Valavanidis et al. (2008) and Barabad et al. (2018), reported low levels of  
612 particulate matter being emitted during LDPE combustion at low temperatures. The only other source  
613 of relevant information is from Wang et al. (2004) who reported a range of emission data from PE  
614 combustion.

### 615 **5.3.1 Accidents**

616 The multimedia evidence in **Table S3**, highlighted several hazards associated with brick and tile  
617 production, including becoming entrained in high-speed or high torque machinery and having contact  
618 with hot materials as they are formed and moulded to the shape of the tile or road surface.

## 619 **6 Approach 4: Solvent based purification**

### 620 **6.1 Overview**

621 So-called ‘chemical recycling’ technologies have received increasing attention from researchers who  
622 want to overcome the challenges associated with sorting and reprocessing the complex mixtures of  
623 polymers and additives found in post-consumer waste plastics (Davidson et al., 2021). One is  
624 ‘solvent-based purification’, an approach that uses solvents to dissolve polymeric materials, allowing  
625 them to be separated from the additives and contaminants found in the plastics. There are seven  
626 groups of process according to Ügdüler et al. (2020): 1) Shake-flask extraction; 2) Soxhlet extraction /  
627 batch multi-stage extraction; 3) Ultrasonic extraction; 4) Microwave assisted extraction; 5)  
628 Supercritical fluid extraction; 6) Accelerated solvent extraction; and 7) Dissolution-precipitation.

629 Mechanical reprocessing involves heating polymers, adding a thermal event to their history and  
630 causing some of the chains to break (chain scission/ decomposition) and thus weaken the overall  
631 structure. Solvent-based purification keeps the polymer chains intact, thus creating a higher quality  
632 end product. However, the removal of solvents post-separation remains an issue in some processes,  
633 potentially hindering commercial viability (Zhao et al., 2018). Some authors argue that solvent based  
634 purification should not be classified as ‘chemical recycling’, because the polymers are not completely  
635 deconstructed, and it should instead be classed as mechanical reprocessing (Crippa et al., 2019). As  
636 the solvents target specific polymers, the process should be applicable to the recovery of polymers  
637 from layered multi-material packaging (Kaiser et al., 2018; Walker et al., 2020) or even the plastic  
638 fractions in mixed material textiles such as polyester cotton mixtures (Sherwood, 2020; Thiounn et al.,  
639 2020).

640 There is evidence of at least one pilot plant operating the CreaSolv<sup>®</sup> and Newcycling<sup>®</sup> process in  
641 Indonesia (Unilever, nd). The facility is capable of processing 3 t d<sup>-1</sup> of water sachet waste per day  
642 (1,000 t y<sup>-1</sup>) (Unilever, nd) and has aspirations to increase this to 30,000 t y<sup>-1</sup>. According to Crippa et  
643 al. (2019) no other commercially viable solvent based purification facilities are currently operational.  
644 Ügdüler et al. (2020) agree with this assertion, indicating that most processes are between TRL 3 and  
645 8.

## 646 **6.2 Environment**

647 As explained by Crippa et al. (2019), there is very little real world process data available for solvent  
648 based purification as the technology group is not yet commercialised. Ügdüler et al. (2020) carried out  
649 a basic LCA of two processes to remove additives, however, the work was highly theoretical and it  
650 would be misleading to extrapolate further.

## 651 **6.3 Health**

652 Though this technology does not exist commercially, the use of solvents, their treatment and disposal  
653 after-use is likely to be one of the most significant potential health concerns when this technology  
654 becomes commercialised. As discussed by Ügdüler et al. (2020), there are a multitude of solvents all  
655 of which are targeted at different additives. Many of these are potentially hazardous to human health  
656 such as chloroform, xylene, n-hexane and cyclohexane.

# 657 **7 Approach 5: Chemical depolymerisation (Chemolysis)**

## 658 **7.1 Overview**

659 Approximately seven processes are grouped under the 'depolymerisation' category: 1) Methanolysis;  
660 2) Glycolysis; 3) Hydrolysis; 4) Ammonolysis; 5) Aminolysis; 6) Hydrogenation; and 7) Alcoholysis  
661 (Kumar et al., 2011; Ragaert et al., 2017; Raheem et al., 2019). Plastics are reacted under heat and  
662 pressure with a range of substances including catalysts, acids, alkalis, alcohols causing the  
663 depolymerisation of the polymers (Raheem et al., 2019).

664 The most studied polymer for depolymerisation is PET (Crippa et al., 2019), which can be completely  
665 decomposed into its starting materials such as ethylene glycol, terephthalic acid bis(2-hydroxyethyl  
666 terephthalate) (BHET), or partially into dimers, and oligomers of the aforementioned. Glycolysis of  
667 PET is a commercially proven practice having been carried out for several decades by large chemical  
668 producers (Ragaert et al., 2017). Glycolysis of PET is suited to high quality, post-industrial feedstock  
669 as shortcomings in the processes' ability to remove dyes, copolymers and colourants make it unusable  
670 in other contexts.

671 Presently, glycolysis is only used to process off-specification post-industrial textiles and carpet fibres  
672 (Aquafil, 2014). The hope is that one day glycolysis can be used for processing post-consumer bottles,  
673 but as yet there is no evidence of this taking place at commercial scale (Crippa et al., 2019).

674 Several niche plastics can also be viably depolymerised with chemolysis such as poly( $\gamma$ -  
675 butyrolactone) and aromatic polycarbonates, however as Sardon et al. (2018) explain, *'plastics that  
676 can be so easily depolymerized lack suitable mechanical and thermal properties to be widely useful'*.

## 677 **7.2 Environment**

678 Given that there are only a handful of implemented facilities worldwide, it is unsurprising that there  
679 are few LCA studies that compare the environmental impacts of PET glycolysis with other  
680 technologies; only two are reported here. The first study by Shen et al. (2010) used data from Far  
681 Eastern New Century Co. (FENC), a textile manufacturer who implements glycolysis of polyester  
682 fibres to BHET oligomers that are then re-polymerised to produce new PET. The process was  
683 compared with 'semi-mechanical reprocessing' (process data from the Long John Group) that  
684 involves sorting, flaking and palletising before re-extrusion, and full mechanical reprocessing where  
685 flakes are directly extruded into filament. The glycolysis resulted in higher costs and global warming  
686 emissions in comparison to the other two options, but still resulted in approximately half the global  
687 warming potential compared with virgin production. The study is based on highly specific industry  
688 data, which were incorporated at face-value.

689 In a more recent LCA modelling effort by Meys et al. (2020), glycolysis of PET (described as  
690 ‘chemical upcycling’) is reported to perform slightly better than mechanical reprocessing, resulting in  
691 a comparative improvement of 1.13 t CO<sub>2</sub>eq t<sup>-1</sup> processed.

692 Given the paucity of robust data and that the only two relevant studies are contradictory, there is no  
693 clear indication of the relative benefits of this process; it does not appear to have been used to process  
694 packaging anyway.

## 695 **7.3 Health**

696 Assessing potential health implications of PET glycolysis is difficult in the absence of relevant data.

697 As with any chemical processing, consideration should be given to controlling process emissions to  
698 protect the health of workers and the wider population.

699

# 700 **8 Approach 6: Pyrolysis or gasification**

## 701 **8.1 Overview**

### 702 **8.1.1 Pyrolysis**

703 Pyrolysis is a process that has been manipulated by humans for centuries to make charcoal from  
704 wood. Material is heated in the absence of oxygen, thereby preventing complete combustion. When  
705 applied to waste plastics, this results in a random scission and reforming of the polymer chains into a  
706 mixture of hydrocarbons resembling many of those found in crude oil in liquid (80% wt.) and solid  
707 (20% wt.) phase (Lopez et al., 2017; Ragaert et al., 2017). At scale, this is carried out at between  
708 200°C and 1100°C (often around 500°C) and under moderate pressure (1-2 atm) (Mayer et al., 2019).

709 The liquid fraction is often distilled into three basic fractions; kerosene; diesel; and light oils  
710 (naphtha) and the solid material, known as char, includes non-combustible minerals and metals, as  
711 well as a high proportion of black carbon (Butler et al., 2011). More volatile substances are often  
712 flared as a form of disposal or combusted to recover energy that is used to contribute to the heat  
713 necessary for the process.



714 The liquids from pyrolysis plants are all combustible, and according to Crippa et al. (2019), the most  
715 viable end-use for these is as fuel for ships and power plants. If sufficiently refined, pyrolysis oils can  
716 be used in higher grade applications, such as road vehicles or aviation (Lopez et al., 2017). However,  
717 the ambition of many pyrolysis developers is to refine these oils into monomers and other compounds  
718 that can be used in primary plastic production (Papari et al., 2021).

719 The synthesis of plastic production feedstock using pyrolysis has the potential to both reduce the need  
720 to extract further fossil fuels, and also reduce the disposal and recovery burden on other parts of the  
721 waste management system (Hann et al., 2020). Moreover, if the process was able to compete  
722 commercially with mechanical reprocessing, the value of waste plastics would increase; creating a  
723 disincentive to mismanage plastics. Though pyrolysis innovation has accelerated in recent years, there  
724 is little evidence that pyrolysis oils have been used in the best-case scenario, which is to produce  
725 monomer feedstock (Solis et al., 2020). It is therefore assumed that the outputs of pyrolysis plants are  
726 being used as fuel.

727 Solis et al. (2020) reported that several plastic waste pyrolysis plants exist, and that this indicates that  
728 ‘conventional pyrolysis’ is currently at level 9 of technological readiness based on the opinion of an  
729 academic expert. However, they also point out that there are few full-scale projects from which to  
730 determine economic feasibility. This leaves some doubt about how close these projects are to  
731 commercialisation. Khoo (2019) indicated that several plants exist including one in Japan (processing  
732 15,000 t y<sup>-1</sup>); and two in the US of which one processes 25,000 t y<sup>-1</sup> and the other is expected to  
733 process 100,000 t y<sup>-1</sup> once operational. At time of writing, none of the plants reported by Khoo (2019)  
734 are verified as providing commercially proven processes.

735 Whilst it is possible that these plants can maintain a pyrolytic process, some serious doubts have been  
736 raised by Rollinson et al. (2019) and Rollinson et al. (2021) over whether any of these processes are  
737 self-sustaining or whether they require a constant external source of heat. Commercial sensitivities  
738 and lack of transparent process data may prevent these questions being answered, at least in the short-  
739 term.

## 740 **8.1.2 Gasification**

741 Similarly to pyrolysis, gasification reactions involve the restriction of oxygen to allow decomposition  
742 of the polymers without complete combustion. Unlike pyrolysis, gasification takes place at higher  
743 temperatures (700-1200°C) and some oxygen is introduced into the process (Solis et al., 2020),  
744 resulting in partial oxidation of some hydrocarbons and atoms. Carbon monoxide (CO), hydrogen  
745 (H<sub>2</sub>), carbon dioxide (CO<sub>2</sub>), methane (CH<sub>4</sub>) and nitrogen (N<sub>2</sub>) are produced alongside some of the  
746 lower molecular weight hydrocarbons, such as ethane (C<sub>2</sub>H<sub>6</sub>) and ethylene (C<sub>2</sub>H<sub>4</sub>) (Ciuffi et al., 2020;  
747 Punkkinen et al., 2017). Collectively these are known as ‘syngas’.

748 Much heavier hydrocarbons are also produced resulting in a substance known as char alongside tarry  
749 substances. The tars are made up of a mixture of heterocyclic hydrocarbons such as pyridine, and  
750 phenol; light aromatics such as benzene and toluene; polycyclic aromatic hydrocarbons such as  
751 naphthalene and heavier hydrocarbons that are not often characterised (Wolfesberger et al., 2009).  
752 This complex blend of substances is highly undesirable in the process as it quickly condenses,  
753 clogging and corroding pipework (Zeng et al., 2020). The char itself becomes contaminated by the  
754 tars, meaning it is unviable to clean, refine and utilise further (Benedetti et al., 2017; Lopez et al.,  
755 2018). The presence of these solids and their disposal continues to hinder the business case for  
756 gasification. Gasification of plastics produces less char compared to gasification of biomass or fibre  
757 (Sharuddin et al., 2016). However, the syngas itself tends to contain higher concentrations of char  
758 particulates; a key disadvantage to overcome when plastics are used as a feedstock (Lopez et al.,  
759 2018; Solis et al., 2020).

760 Historically, commercial gasification has used coal as a feedstock (Higman, 2013). Gasification plants  
761 that use waste as a feedstock have also begun to emerge over the last 10 years, but there is no  
762 comprehensive state of the industry review. Seo et al. (2018) reported four plants using waste as a  
763 feedstock in operation; one in Japan, one in Canada, and two in Europe. Jayarama Reddy (2016) also  
764 reported multiple plants that were operational at some stage in the last 20 years, although it is clear  
765 that some have clearly ceased operating. In a more recent study, Solis et al. (2020) reported three  
766 gasification plants using plastics waste as a feedstock.

767 Hydrogen can be extracted from the syngas mixture, which can also be used to synthesise a range of  
768 substances including methanol and ammonia (Antonetti et al., 2017). Quicker (2019), indicated that  
769 gasification of homogenous mixed plastics had been shown to be viable at a German run plant.  
770 However, he cautioned that the plant has suffered from technical difficulties over many years and  
771 questioned the overall viability of the process. Even as a fuel production process, waste gasification  
772 becomes less viable due to the need to remove moisture from the syngas before it is combusted.  
773 Although synthesis of chemicals is the objective of gasification plants using coal as a feedstock  
774 (Ciuffi et al., 2020), Rollinson et al. (2020) suggest that this is unlikely to have happened at plants  
775 using waste as a feedstock. It is suggested that syngas from gasification is at best, converted into  
776 fuels; however, it is more likely that they are combusted directly in the plant, thus operating as an  
777 incinerator.

## 778 **8.2 Environment**

779 The majority of studies that compare environmental performance of gasification and pyrolysis with  
780 other approaches to waste management do so on the basis of a mixed waste feedstock. Relatively few  
781 focus on plastics specifically. One exception is Khoo (2019), who compared emissions from  
782 mechanical reprocessing, pyrolysis, gasification and incineration in Singapore. Including avoided  
783 burdens, the lifecycle emissions from pyrolysis were approximately 0.6-0.8 t CO<sub>2</sub>eq t<sup>-1</sup> plastic  
784 processed in three studies and for gasification they were 0.4-0.9 t CO<sub>2</sub>eq t<sup>-1</sup> plastic processed. Though  
785 both pyrolysis and gasification performed much better than incineration with energy recovery, they  
786 resulted in higher emissions than mechanical reprocessing, which showed between 0.2 and 0.4 t  
787 CO<sub>2</sub>eq t<sup>-1</sup> in three studies.

788 A most recent LCA presented by Schwarz et al. (2021), provided detailed lifecycle carbon emissions  
789 data for 25 polymers processed using the methods: gasification and pyrolysis with and without  
790 monomer recovery; open and closed loop mechanical reprocessing; depolymerisation (for two  
791 polymers); dissolution (for 24 polymers); and incineration with and without energy recovery.  
792 Superficially, the study agrees with the differences between emissions from each technology reported  
793 by Khoo (2019), though the emissions were generally higher for pyrolysis, gasification and

794 mechanical reprocessing and lower for incineration. Where pyrolysis and gasification were used for  
795 monomer production, emissions were generally slightly lower than those from mechanical  
796 reprocessing in the Schwarz et al. (2021) model. However, as stated this is entirely theoretical and  
797 there are no commercial plants available with which to validate such a model.

798 The study by Schwarz et al. (2021) was not carried out according to ISO14040, and the authors  
799 excluded sorting and collection emissions and modelled pure polymers (no additives) for simplicity.  
800 The exception was for two ‘case studies’ of 1) mixed PP and LDPE foils; and 2) Acrylonitrile  
801 butadiene styrene containing brominated flame retardants. These were used to ‘test’ and compare the  
802 counterfactual pure polymer results. Focussing on the mixed LDPE/PP foils, the case-study method  
803 assumed that material sent to pyrolysis would require as much sorting as that sent for mechanical  
804 reprocessing, and that material sent for gasification would require slightly less sorting. Residues were  
805 incinerated with energy recovery and assumed as 50% (wt.) for gasification and 59% (wt.) for  
806 mechanical reprocessing and pyrolysis. The outcome of this case study was that that all the  
807 technologies more or less equalised in their lifecycle emissions to a range between 3.2 t CO<sub>2</sub>eq t<sup>-1</sup>  
808 plastic processed (gasification for monomer production) and 5.2 t CO<sub>2</sub>eq t<sup>-1</sup> plastic processed by  
809 incineration with energy recovery.

810 The case studies reported by Schwarz et al. (2021) are interesting because pyrolysis and gasification  
811 innovators report that the unique selling point (USP) of their technologies are their versatility in  
812 processing wastes that are too complex or contaminated to undergo mechanical sorting and  
813 reprocessing, either because they are multi-layered or because they are technically and or  
814 economically challenging to sort (Ragaert et al., 2017; Solis et al., 2020). However, Schwarz et al.  
815 (2021) indicate that significant sorting is required upstream of both gasification and pyrolysis of  
816 plastics where the process outputs (gas, liquid) are intended to be used as feedstock for plastics  
817 production, and that this could increase the overall lifecycle carbon emissions enough to nullify the  
818 potential benefits.

819 The study and comparisons made by Khoo (2019) and the study by Schwarz et al. (2021) provide a  
820 helpful indication of the potential lifecycle carbon emissions from gasification and pyrolysis of waste

821 plastics. However, the high uncertainty associated with LCA results, especially with technology that  
822 is barely tested at scale, means that it is challenging to draw a robust conclusion. As demonstrated by  
823 Schwarz et al. (2021), there are some highly sensitive parameters for both approaches that can weaken  
824 the environmental ‘business case’ in comparison to mechanical reprocessing. Clearly neither is a  
825 panacea. Both gasification and pyrolysis have experienced significant operational limitations,  
826 including tar removal and char disposal for the former (Benedetti et al., 2017; Lopez et al., 2018;  
827 Wolfesberger et al., 2009; Zeng et al., 2020), and high energy inputs for the latter (Crippa et al., 2019;  
828 Mayer et al., 2019; Ragaert et al., 2017; Sherwood, 2020).

829 Regardless of any theoretical carbon reductions from pyrolysis and gasification in comparison to  
830 mechanical reprocessing, if fugitive emissions are uncontrolled, the savings may be nullified. In  
831 gasification, the emitted CO and CH<sub>4</sub> both have high climate forcing potential and in pyrolysis,  
832 uncontrolled coal combustion emissions produce black carbon and CO<sub>2</sub> that would contribute  
833 considerably to the overall process emissions. A basic Google search for pyrolysis and ‘India’ or  
834 ‘China’ for instance, brings up numerous small-scale commercial pyrolysis units aimed at processing  
835 waste tyres and household waste. Not only are these low-tech systems unlikely to incorporate air  
836 pollution control systems, but they have the potential to be operated without any regulatory oversight  
837 or enforcement to ensure that process emissions are controlled to protect the environment and the  
838 surrounding population. FMCG companies considering processing post-consumer plastic waste using  
839 gasification or pyrolysis should refer to the European Best Available Techniques for Incineration  
840 (Neuwahl et al., 2019) that include details on process emission control and plant operation for the  
841 technologies.

## 842 **8.3 Health**

### 843 **8.3.1 Process emissions**

844 Process emissions from gasification and pyrolysis have the potential to cause serious harm to health if  
845 unmanaged. The oils from pyrolysis resemble the products of crude oil and contain a range of  
846 hydrocarbons, many of which are potentially hazardous. For example, pyrolysis of plastic packaging

847 can produce ethylbenzene, styrene, toluene and a range of polycyclic aromatic hydrocarbons  
848 (Budsareechai et al., 2019; Miandad et al., 2019). Pyrolysis also results in the formation of gasses  
849 including hydrogen, methane, ethane, ethene, propane, propene, butane, and butene (Williams et al.,  
850 1999).

851 Aside from the desirable gasses themselves (hydrogen, carbon monoxide), syngas from gasification  
852 also contains several hazardous substances. Though the feedstock was not stated, an example syngas  
853 ‘contaminant’ profile was provided by Block et al. (2019) and is shown in **Table S4**. The syngas from  
854 packaging plastics is unlikely to contain substantial quantities of halide, dioxins and related  
855 compounds, metals or sulphur, aside from some small quantities found in glues and labels  
856 (Gerassimidou et al., 2020). Yet, plastics are generally co-gasified alongside biomass or as part of  
857 refuse derived fuel (RDF) / SRF from mixed waste, which may contain a vast array of materials and  
858 substances that may result in wide ranging chemical species formation.

859 The tar from gasification of waste can include a wide range of highly hazardous substances: however,  
860 when compared to other materials, relatively little is produced when only plastics are used as a  
861 feedstock (Block et al., 2019). Some tar is produced, and according to Robinson et al. (2016), much of  
862 this is found in the syngas itself creating a barrier to upgrade.

863 Tar from gasification is also found in the char at concentrations that make it unusable for upgrade.  
864 Char from pyrolysis is generally much better quality. Multiple bench-scale efforts have been made to  
865 valorise the char from both pyrolysis and gasification of waste, and in theory it can be used to make  
866 activated carbon a highly prized and versatile substance (Bernardo et al., 2010; Miandad et al., 2019).  
867 Bernardo et al. (2012) characterised char from pyrolysis of mixed plastics, biomass and tyres, finding  
868 a range of potentially toxic elements, aliphatic hydrocarbons and aromatic hydrocarbons. Whilst the  
869 hydrocarbons were able to be removed using sequential solvent extraction, the metals were more  
870 problematic, presenting a barrier for upgrading the char for use. Bernardo et al. (2010) also analysed  
871 char produced from a simulated mixed waste sample and determined that all samples would be  
872 classified as hazardous under Council Decision 2003/33/CE and CEWME evaluation methods for  
873 Ecotoxicity. Whilst there is clearly potential for further use of pyrolytic chars from plastics waste, it

874 seems likely that the barriers to upgrading will result in the material, either being combusted, either to  
875 provide heat for the process or simply to dispose of it on-site, or disposed of as hazardous waste in  
876 either a hazardous waste incinerator or hazardous waste landfill (Defra, 2013).

877 The range of potentially hazardous substances produced by gasification and pyrolysis is not an  
878 inherent barrier to safe operation and there are clearly engineering solutions to controlling process  
879 emissions, as detailed by Neuwahl et al. (2019). However, these controls are costly and require a high  
880 level of technical expertise to ensure that they are implemented and maintained to remain effective.  
881 Safe operation is not guaranteed anywhere in the world and in countries that lack sufficiently well-  
882 resourced and effective enforcement and regulation, there is a risk that process emissions from  
883 gasification and pyrolysis may not be managed according to safe standards.

### 884 **8.3.2 Hazardous waste**

885 Unless combusted on-site for disposal or energy recovery, the hazardous chars, tars and liquids  
886 produced by gasification and pyrolysis must also be treated or disposed of safely. This is important,  
887 because sufficiently managed and regulated hazardous waste landfills or incineration facilities do not  
888 exist in many parts of the Global South. For instance, it is estimated that in India, 70% wt. of  
889 hazardous waste is mismanaged (Karthikeyan et al., 2018). If this is the case, then neither gasification  
890 nor pyrolysis should be considered.

### 891 **8.3.3 Accidents**

892 Lastly, as much of the growth in pyrolysis has taken place in the Global South, plants may be  
893 constructed with limited safety considerations. Several life-threatening incidents of malfunction have  
894 been reported including: an explosion at a plant in Panchkula (India) that resulted in several workers  
895 being injured; Khanty-Mansiysk in Russia in 2012 that resulted in eight deaths; Budennovsk in  
896 Russia; Chennai, India in 2014 that killed one and left one injured; and Joensuu (Finland) in 2014,  
897 and Furth in Germany in 1998 that both resulted large emissions of toxic gasses escaping and nearby  
898 residents being evacuated (International Power Ecology Company, 2014).

## 899 **9 Approach 7: Co-processing in cement kilns**

### 900 **9.1 Overview**

901 The high heat and hence energy use associated with cement production has prompted producers to  
902 explore ways to reduce fossil carbon output from the sector that currently accounts for 7% of the total  
903 global anthropogenic emissions (between 2.3 and 2.6 Gt of CO<sub>2</sub>eq) (Hertwich, 2020; Lehne et al.,  
904 2018). One of the most widely adopted solutions is to co-combust waste, known as solid recovered  
905 fuel (SRF), alongside or instead of coal (Gerassimidou et al., 2020). This practice has been adopted  
906 across Europe and where cement production facilities substituted their energy requirements with SRF,  
907 for example at a rate of: 42% in the UK in 2015 (MPA Concrete Centre, 2017); 83% in the  
908 Netherlands; and 60% in Norway (Aranda Usón et al., 2013).

909 SRF, is produced from non-hazardous mixed waste and therefore contains a combination of both  
910 fossil (plastics, not bio-based) and biogenic waste, the latter of which is carbon neutral when  
911 combusted (Iacovidou et al., 2018). There is some evidence from industry that plastics which have  
912 been collected for recycling are also used to co-fire cement kilns (Brock et al., 2021; Jiao, 2020;  
913 Republic Cement, 2020) and there is also evidence that the residues from material recovery facilities  
914 are used which contain a high proportion of plastic (Fyffe et al., 2016; Saveyn et al., 2016). However,  
915 there is no indication of how prevalent the practice of co-processing plastics that have been collected  
916 for recycling is.

### 917 **9.2 Environment**

918 As the fuel used in cement kilns is commonly fossil oil or coal (lignite), almost any other fuel source  
919 is likely to result in at least a small reduction in carbon emissions due to fugitive emissions of  
920 methane and high energy used in coal extraction. Several LCA studies have investigated potential  
921 reduction in emissions by using alternative fuels including SRF: for instance Georgiopoulou et al.  
922 (2018), Khan et al. (2020), Vermeulen et al. (2009), Bourtsalas et al. (2018) and Malijonyte et al.  
923 (2016). However, SRF is typically comprised of a complex mixture of materials, of which, for  
924 example, 68% (wt. ar) are of biogenic origin such as paper, cardboard, wood, and natural textiles



925 (Séverin et al., 2010). Therefore these studies do not provide a good indication of the potential  
926 emissions from plastic packaging waste alone. GIZ-LafargeHolcim (2020) provided some indicative  
927 emission factors for different materials co-processed in cement kilns. Factors for plastics were not  
928 reported, but the fossil element of the RDF and tyres, indicates a ballpark of between (~50 and 62  
929 kgCO<sub>2</sub> GJ<sup>-1</sup>) respectively. This suggests co-processing of plastic packaging waste might result in the  
930 same or slightly greater emissions compared to natural gas (58 kgCO<sub>2</sub> GJ<sup>-1</sup>) and slightly less than  
931 petrol coke (95 kgCO<sub>2</sub> GJ<sup>-1</sup>) or coal 98 kgCO<sub>2</sub> GJ<sup>-1</sup>).

932 Only one review by Lazarevic et al. (2010) compared the use of plastic in cement kilns with other  
933 treatment sources, identifying just two relevant papers. The first, Shonfield (2008), presented a model  
934 that compared a range of end-of-life treatment processes for plastics waste including combustion of  
935 the plastic fraction of SRF in cement kilns. The model was theoretical, as no process data or prior  
936 publications were available for the combustion of plastics without other materials and found the  
937 purely plastic SRF combustion to provide a net carbon emissions reduction in comparison to the use  
938 of coal, despite the fact that most plastic is of fossil origin. The reason provided is that coal extraction  
939 releases fugitive emissions of methane, a small yet non-negligible source of emissions from the life-  
940 cycle of coal used in combustion; reported as 1.91-4.23 g CH<sub>4</sub> kg<sup>-1</sup> of coal (ar) for over and  
941 underground mined coal respectively (Spath et al., 1999).

942 The second study reviewed by Lazarevic et al. (2010) was by Jenseit et al. (2003), which compared  
943 the lifecycle impacts of plastic used to co-fire cement kilns with landfill and conventional mechanical  
944 reprocessing for extrusion. As with Shonfield (2008), the SRF co-firing performed slightly better than  
945 incineration, but considerably worse than mechanical reprocessing, which showed the least  
946 environmental impacts overall in both studies.

947 Two further papers were identified here that assess the lifecycle of plastics co-fired in cement kilns.  
948 The first, Schmidt et al. (2009), did not involve plastics typically used in packaging. They compared  
949 an 'end-of-life' scenario in which used tyres were partly used to produce artificial turf and partly used  
950 as a modifier in asphalt with a scenario where the tyres were co-combusted in a cement kiln.

951 Overwhelmingly, the cement kiln scenario produced much higher emissions, adding confidence to the

952 premise that mechanical reprocessing provides greater overall lifecycle benefits. The second, Meys et  
953 al. (2020) compared chemical recycling, mechanical reprocessing and plastics co-fired in cement  
954 kilns. The research found replacing lignite in cement kilns provided greater benefits compared to  
955 incineration with energy recovery, chemical recycling for fuel production and feedstock, but was  
956 performing worse than chemical recycling to monomers and mechanical reprocessing. Whilst the  
957 comparisons with incineration and mechanical reprocessing are broadly commensurate with the other  
958 studies, the various chemical recycling pathways are less certain. As acknowledged by Meys et al.  
959 (2020), these technologies are still relatively nascent and it is likely that future learning will improve  
960 efficiencies.

### 961 **9.3 Health**

962 Most studies into the human health risks related to atmospheric emissions from co-firing alternative  
963 materials relate to SRF produced from mixed (often residual) municipal solid waste rather than plastic  
964 waste. For instance, studies by Rovira et al. (2010) and Rovira et al. (2016) investigated  
965 environmental media near two plants in Spain, finding no notable difference in concentrations of  
966 potentially toxic elements, particulate matter and dioxins and related compounds in soil, plants and air  
967 surrounding the facilities.

968 In a bench scale trial, Conesa et al. (2011) characterised emissions from simulated SRF, lignite co-  
969 combustion complimented with field tests of an operational kiln that co-combusted with SRF. Sulphur  
970 dioxide emissions decreased as a consequence of the reduced lignite and emissions of several  
971 PCCD/F congeners increased very slightly compared to the reference sample (coal), but were still  
972 much lower (range: 4.42-8.48 pg I-TEQ Nm<sup>-3</sup>) than the permitted levels of 100 pg I-TEQ Nm<sup>-3</sup>. The  
973 paper reported that these findings were commensurate with four other sources (not reviewed here).  
974 Conesa et al. (2011) remarked that emissions of dioxins and related compounds were more likely to  
975 come from organic material in the plant feedstock (fuel). In addition, the study found concentration  
976 changes to be negligible for the six priority pollutant polycyclic aromatic hydrocarbons, and hydrogen  
977 fluoride was not detected at all. Hydrogen chloride was slightly elevated, but within legal limits and

978 though some small changes were detected in the levels of potentially toxic elements, they were all  
979 well within legal limits.

980 As a comparator, theoretical modelling carried out by Shonfield (2008) reported human toxicity  
981 potential of mixed plastic co-fired in cement kilns at approximately 1100 kg eq. dichloromethane t<sup>-1</sup>  
982 plastic combusted, less than landfill and incineration, but approximately double that of all other  
983 technologies including mechanical reprocessing and pyrolysis.

984 The limited evidence for emissions co-firing post-consumer plastic packaging in cement kilns does  
985 not indicate that the emission of potentially hazardous substances is any greater than for coal alone  
986 and that they may even be less. In Europe facilities that co-fire waste in cement kilns are regulated at  
987 member state level by Directive 2000/76/EC (European Union, 2000a) as detailed in **Section 10.3**.

988 The Directive requires plants to be constructed and operated according to a series of ‘best available  
989 techniques’ (BATs) detailed by Neuwahl et al. (2019). Cement kilns tend to be operated by large  
990 multinational corporations with sufficient resources to implement air pollution control practices.

991 Notwithstanding this, it is possible that environmental emissions may not be managed  
992 comprehensively in less stringently regulated contexts. However, no evidence was found to support  
993 that speculation.

## 994 **10 Approach 8: Incineration with energy recovery**

### 995 **10.1 Overview**

996 Waste incineration with energy recovery is one of the most rapidly expanding approaches to treating  
997 mixed municipal solid waste (typically the residual part, not targeted for recycling), favoured for its  
998 effectiveness in reducing its mass (75% wt.), volume (90% v/v) and bioactivity (Christensen et al.,  
999 2011a; b; Dalager et al., 2011; Hjelmar et al., 2011a; Hjelmar et al., 2011b; Niessen, 2010). More than  
1000 500 municipal solid waste incinerators exist in Europe (Blasenbauer et al., 2020); approximately 75 in  
1001 the US (United States Environmental Protection Agency, 2019); 1200 in Japan (Amemiya, 2018); 172  
1002 in Korea (Bourtsalas et al., 2019); and 390 in China (Ministry of Housing and Urban-Rural

1003 Development (MoHURD), 2019), where the approach is fast becoming the dominant form of waste  
1004 treatment (Li et al., 2015).

1005 The high cost of construction and operation in comparison to land disposal (SYSTEMIQ et al., 2020)  
1006 has meant that incineration has not been implemented extensively in the Global South. Incinerators  
1007 require considerable expertise to operate and there have been several notable plant failures, for  
1008 instance in India as reported by Nixon et al. (2017). In another example, a facility completed in 2018  
1009 by a European Chinese consortium in Addis Ababa, Ethiopia, was shut-down during the early stages  
1010 of commissioning. Mutethya (2020) indicated that the plant is now up and running again, though there  
1011 is little further information to indicate the ongoing success of the project.

1012 Other examples include a planned facility in Kenya (Najimesi, 2019), at least three in Delhi (Central  
1013 Pollution Control Board, 2021); ‘inevitable’ planned plant construction in Malaysia (Kadir et al.,  
1014 2013); at least one in Indonesia (Bahrah et al., 2020), and at least one in Myanmar (JFE Engineering  
1015 Corporation, 2017).

## 1016 **10.2 Environment**

1017 Studies that assess the lifecycle emissions of incineration predominantly focus on the combustion of  
1018 mixed municipal solid waste. These studies show lower climate forcing emissions from incineration  
1019 compared to landfill across the lifecycle (Laurent et al., 2014a). This is because modern incinerators  
1020 almost always recover as energy (EfW plants), a large portion of which comes from biogenic sources  
1021 (Zheng et al., 2019) and because landfill generates methane, which is never captured in its entirety  
1022 (Bel Hadj Ali et al., 2020).

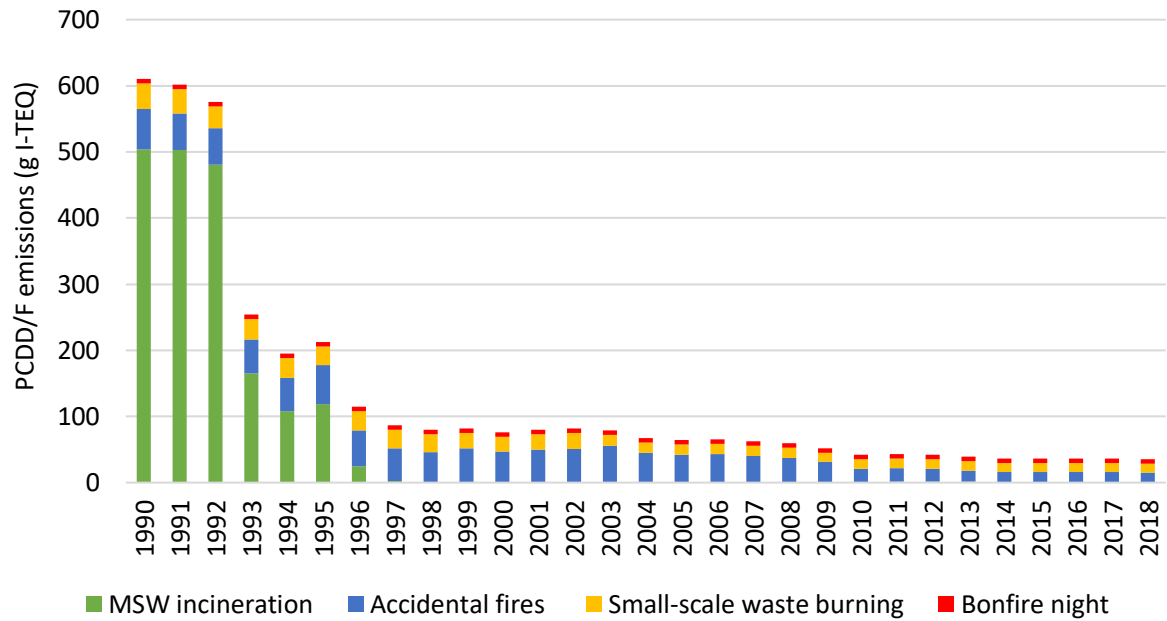
1023 Plastics that have been collected for recycling are rarely incinerated in isolation, resulting in a  
1024 corresponding paucity of process information to determine the lifecycle emissions from the practice.  
1025 With the exception of Frees (2002) and perhaps one scenario reported by Shonfield (2008),  
1026 incinerated plastics result in higher climate forcing emissions compared to mechanical reprocessing  
1027 (Lazarevic et al., 2010). Although approximately 1.9 Mt of bio-based plastics were produced in 2021  
1028 (European Bioplastics, 2020), 368 Mt are still made from fossil carbon (PlasticsEurope, 2021), and

1029 therefore result in an emission profile similar to fossil fuels. The small comparative benefit from  
1030 incineration of waste plastic in comparison with gas and coal is that the latter two fuels result in  
1031 fugitive emissions of methane during their extraction alongside the fossil fuels combusted during the  
1032 process (Spath et al., 1999; Turconi et al., 2013). By comparison, the extraction of oil to produce the  
1033 plastics that have become waste sits outside the system boundary used to assess the lifecycle benefits  
1034 of plastics combustion in incineration plants (Alhazmi et al., 2021).

### 1035 **10.3 Health**

1036 Incinerators operated in the Global North have been subject to increasingly stringent emissions  
1037 thresholds since the late 1990s and early 2000s (**Table S5**). For example, in Europe, emissions are  
1038 strictly controlled and regulated under the Industrial Emissions Directive (European Union, 2010) .  
1039 Some persistent organic pollutants, polycyclic aromatic hydrocarbons, potentially toxic elements and  
1040 particulate matter are still emitted, but at very low levels. For example, in the UK, particulate matter  
1041 emissions from waste incineration represent just 0.02% of emissions from all sources, both nationally  
1042 and in the immediate vicinity of incinerators (Maynard et al., 2010).

1043 The effect of the Waste Incineration Directive (European Union, 2000b) limits on dioxin emissions in  
1044 the UK provides an indication of the capability of emissions abatement practices, which have  
1045 advanced considerably (Joint Research Centre, 2018). As illustrated in **Figure 1**, the previously high  
1046 emissions of polychlorinated dibenzo(p)dioxin and furans (PCDD/F) from UK incinerators was  
1047 reduced to negligible quantities by 1997. Since then, dioxins from waste combustion have been  
1048 almost entirely generated by small waste fires, accidental fires, and on November the 5<sup>th</sup> ('bonfire  
1049 night', a traditional celebration during which large fires are burned all over the UK).



1050

1051 **Figure 1:** Dioxin emissions from open burning and waste incineration in the UK; data after National  
 1052 Atmospheric Emissions Inventory (2020). Abbreviations: Polychlorinated dibenzo(p)dioxin and furans  
 1053 (PCDD/F); international toxic equivalency (I-TEQ).

1054

1055 Several studies indicate that the risk to human health from incineration is likely to be minimal  
 1056 (Douglas et al., 2017; Freni-Sterrantino et al., 2019; Ghosh et al., 2019) Although some non-  
 1057 negligible negative health outcomes are highlighted in systematic reviews by Tait et al. (2019) and  
 1058 Ashworth et al. (2014), the evidence reviewed in both studies was temporally various, and some  
 1059 studies were based on decades old incinerators that do not comply with current best available  
 1060 techniques.

1061 In China, municipal solid waste incineration emissions standards have followed a step-wise pattern of  
 1062 improvement in much the same way as was done in European the US (Cheng et al., 2010; Ji et al.,  
 1063 2016). With the exception of Pb and Cd, China's limits, outlined in GB 18485-2014, are roughly on a  
 1064 par with Europe's and are more stringent for sulphur dioxide (Wu, 2018). Aside from China, there are  
 1065 two concerns with the implementation of waste incineration infrastructure in other parts of the Global  
 1066 South: 1) That some countries do not have effective, independent, well-resourced enforcement and  
 1067 regulation to ensure that process emissions are controlled to within safe limits (SYSTEMIQ et al.,

1068 2020); and 2) That the technology restricts the access of the informal recycling sector to valuable  
1069 materials which contribute to their income (Ilgosse, 2019).

1070

## 1071 **11 Assessment of risk to human health and the** 1072 **environment when implemented in the Global South**

1073 The grouped approaches are shown in **Table 5** alongside their scores for environmental and public  
1074 health risk and appropriateness for implementation in the Global South.

### 1075 **11.1 Group 1a (Conventional reprocessing)**

1076 Conventional mechanical reprocessing (Approach 1) and bottle to fibre mechanical reprocessing  
1077 (Approach 2) are likely to result in the fewest environmental emissions and cause the least harm to  
1078 public health when implemented in the Global South in comparison to other approaches. The types of  
1079 plastics used in plastic packaging are unlikely to result in emissions that are harmful to workers,  
1080 provided that adequate ventilation is provided. While there is evidence that operators in the Global  
1081 South do not always provide such control measures, they are low-cost, low-tech and easier to  
1082 implement in comparison to the engineering controls required to mitigate emissions for the  
1083 approaches in Group 2 and 3. Such interventions to enable smaller, low-tech mechanical reprocessors  
1084 to implement safe systems of work could be driven by FMCG companies, supporting their efforts to  
1085 improve the circular economy whilst building capacity and improving working conditions in the  
1086 Global South.

1087 Little evidence was found to distinguish between the risk of harm to human health associated with  
1088 Approach 1 and 2, and the evidence for avoided lifecycle-burdens is comparable. Both approaches are  
1089 mature, having been implemented at commercial scale since at least the 1980s and 1990s respectively.

1090  
1091  
1092

**Table 6:** Qualitative indication of the risk to human health, and the environment and human health from eight approaches to recovering value from post-consumer plastic packaging waste that has been collected for recycling in the Global North and South; alongside the risk of operating below environmental and health protection standards in the Global South.

Recovery type		Material recycling						Energy recovery			
Group		Group 1a: Conventional reprocessing		Group 1b: Mineral polymer composites		Group 2: Chemical recycling			Group 3: Combustion with energy recovery		
Approach number		Approach 1	Approach 2	Approach 3		Approach 4	Approach 5	Approach 6		Approach 7	Approach 8
Approach name		Conventional mechanical reprocessing	Bottle-to-fibre mechanical reprocessing	Mineral-polymer composites: road surfacing	Mineral-polymer composites: bricks & tiles	Solvent based purification	Chemical de-polymerisation (Chemolysis)	Pyrolysis & gasification for feedstock	Pyrolysis & gasification for fuel	Co-processing in cement kilns	Incineration for energy recovery & 2-stage gasification*
Global North	Environment	L	L	L	ID	ID	ID	ID	MH	MH	MH
	Human health	L	L	ID	ID	ID	ID	ID	L	L	L
Global South	Environment	ML	ML	ML	ML	ID	ID	ID	MH	MH	H
	Human health	ML	ML	ID	ID	ID	ID	ID	H	H	H
Commercial & technological maturity		H	H	MH	MH	L	L	L	MH	H	H
Risk of operating below standards in Global South (appropriateness)		ML	ML	ML	ML	H	H	H	H	H	H
Meaning of colours & patterns		Low risk / high maturity		Medium-low risk / medium-high maturity		Medium high risk / medium low maturity			High risk / low maturity		

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\* 2-stage gasification refers to the process whereby syngas is created through gasification and then subsequently combusted in a downstream chamber within the same process. Qualitative scoring of risk to environment and human health and risk of operation below standards in the Global South: L = low risk; ML = medium-low risk; MH = medium-high risk; H = high risk. Qualitative scoring of level of commercial and technological maturity: L= low maturity; ML = medium-low maturity; MH = medium-high maturity; H = high maturity. Approaches are organised into groups 1a, 1b, 2 and 3 according to the similarity of scores detailed in **Section 2.4.3**.



## 1097 **11.2 Group 1b: Mineral polymer composites**

1098 Lack of published data for the mineral-polymer composite approaches (A3a and A3b) makes them  
1099 challenging to assess. As with extrusion, emissions from the types of materials and substances used in  
1100 plastic packaging are unlikely to result in a serious risk to human health, though in the case of the  
1101 brick and tile production, consideration is advised that the emissions from open fires could be more  
1102 harmful than the emissions from the heated plastics themselves, if inhaled.

1103 Black carbon produced by the open uncontrolled fires used to heat plastics has a high global warming  
1104 potential that could offset some of the benefits brought about by the inferred avoided burdens of the  
1105 energy intensive conventional brick and tile production (concrete or ceramics). Similarly, the use of  
1106 plastic packaging waste to modify bitumen in road surfacing is unlikely to result in more harmful  
1107 emissions than those already emitted by hot bitumen during surfacing operations. Though no specific  
1108 evidence was found in support, the fact that modified bitumen increases the durability of roads, infers  
1109 that its use could avoid burdens associated with road resurfacing and repairs over time.

1110 One possible concern is that plastics with potentially hazardous properties will be used as feedstock  
1111 alongside the comparatively benign packaging plastics. Moreover, the risk that plastic packaging itself  
1112 contains substances that are harmful when emitted during heating should not be overlooked,  
1113 especially as the composition of plastics used in some parts of the Global South are not necessarily  
1114 tightly controlled. It is recommended that the approaches are explored with caution until a better  
1115 understanding of the potential risk from emissions are explored further.

## 1116 **11.3 Group 2: Chemical recycling**

1117 Three groups of approaches exhibited very similar assessment scores in this study, and were therefore  
1118 grouped together for ease of discussion despite the array of technological difference between them.  
1119 There is no strong evidence that any of the so called 'chemical recycling' techniques are  
1120 commercially viable methods of producing feedstock for plastics production. As such there is also  
1121 limited evidence of the associated emissions and environmental benefits beyond theoretical  
1122 modelling.

1123 The processes all involve either heat, pressure, gasses or chemical solvents. Controlling these  
1124 phenomena requires expertise, financial resources and ongoing maintenance to ensure that the health  
1125 of workers, the public and the environment are not compromised. Moreover, the potentially hazardous  
1126 solid wastes generated from some processes such as used solvents; tars and chars from gasification  
1127 and pyrolysis; and air pollution control residues require careful handling, treatment and disposal to  
1128 ensure that they do not present an ongoing environmental hazard in the future. Many countries in the  
1129 Global South do not have access to landfills let alone specialist hazardous waste disposal facilities.  
1130 This factor alone, is a barrier to safe and sustainable implementation of any process that produces  
1131 hazardous solid waste.

### 1132 **11.4 Group 3: Combustion with energy recovery**

1133 Incineration of post-consumer plastic packaging waste that has been collected with the intention to be  
1134 recycled does not recover value at the material level and has a similar global warming potential to  
1135 other fossil fuels; notably, such as resource recovery route cannot be accounted for as ‘recycling’ by  
1136 any commonly stated definition – technical or legal (**Table S8**). Incineration (with or without  
1137 combined heat and power or tri-generation; and without carbon capture storage or carbon capture and  
1138 utilisation) is also likely to result in higher emissions of fossil CO<sub>2</sub> in comparison to all the other  
1139 approaches; a gap that would possibly widen as electricity grids decarbonise over the coming decades,  
1140 reducing the burdens for other technological options such as mechanical processing.

1141 Very little information exists to evidence CO<sub>2</sub>eq emissions from co-processing waste plastics in  
1142 cement kilns because most studies focus on SRF, a mixture of biogenic and fossil material from  
1143 mixed non-hazardous waste. It is possible that across the lifecycle, the use of waste plastics as a fuel  
1144 in place of coal is likely to result in a marginal benefit due to the fugitive emissions during coal  
1145 extraction.

1146 Pyrolysis to fuel is a more mature approach compared to other ‘chemical recycling’ technologies and  
1147 has the theoretical potential to be operated safely. In the case where pyrolysis oils are burned to  
1148 generate electricity or power vehicles, the overall process may result in slightly fewer climate forcing

1149 emissions compared to other fossil fuels such as coal or oil. However as the energy grid and vehicle  
1150 fuel systems decarbonise, this benefit will dwindle.

1151 Some studies have indicated that hot-water washing used to remove surface contamination from  
1152 soiled plastic packaging may result in much higher emissions from mechanical reprocessing, in effect  
1153 tipping the balance in favour of incineration. However, these comparators seem easily avoidable by 1)  
1154 using sodium hydroxide in place of hot water, and 2) Changing the energy source for mechanical  
1155 reprocessing. However, arguably these considerations do not extend on a complete environmental  
1156 assessment.

## 1157 **12 Conclusions and prospects**

1158 Our review compared eight approaches to managing post-consumer plastic packaging waste to  
1159 determine whether they are ‘appropriate’ for implementation in countries that lack an independent,  
1160 well-resourced and effective environmental and safety regulator. We assessed the potential for harm  
1161 to human health and the environment from each technological solution by considering its maturity  
1162 alongside the costs and specialist resources that might be required to mitigate such harm.

1163 All processes have the potential to be managed safely, but safe operation is not guaranteed anywhere.  
1164 We do not suggest that waste valorisation in the Global South is inherently hazardous. However, the  
1165 resources and expertise that are required to implement engineering and management safety controls  
1166 varies between approaches. Where resources are scarce, approaches that require fewer resources to  
1167 mitigate risk may be more appropriate. For example, at its most basic, brick and tile production from  
1168 mineral polymer composites (Group 1b) requires little more than a mould, a trowel and a metal  
1169 container on an open fire. Respiratory inhalation of emissions from the fire and melting plastic has  
1170 been highlighted as a risk, but the hazards are easily and cheaply surmountable with basic engineering  
1171 controls such as personal respiratory protection equipment and careful source management of  
1172 feedstock. For technologies such as incineration (Group 3) and chemical recycling (Group 2), safety  
1173 management is more challenging, partly because of the high heat and pressure involved, but also  
1174 because many of the chemical and material outputs can be highly hazardous to human health and the

1175 environment. Most countries in the Global South still lack comprehensive waste management for non-  
1176 hazardous waste, let alone specialist facilities for managing such hazardous by-products.

1177 Conventional mechanical reprocessing operations (Group 1a) are mature and capable of handling  
1178 large amounts of material. Whilst there are hazards involved with both small and large operations, the  
1179 expertise and cost to control those hazards is minimal in comparison to incineration or co-processing  
1180 in cement kilns.

1181 Our review focussed on the final stages of the waste material flow that involve reprocessing and  
1182 recovery, touching briefly on the risk involved with secondary use of mechanically reprocessed  
1183 plastics. We did not consider in detail the wider waste system, in particular the systems that involve  
1184 collection, sorting and supply, much of which is carried out by large numbers of informal actors,  
1185 waste pickers who operate outside of mainstream waste management planning, often without and safe  
1186 systems of work. Informality or not, we did not address the dilemma between small-scale,  
1187 decentralised approaches versus large scale, high-throughput processing (economies of scale). Even if  
1188 affordable, implementing safety and environmental protection measures is a substantial challenge  
1189 across the predominantly informal waste sector in the Global South. However, to exclude informal  
1190 actors in favour of large-scale, on the basis of western standards of safe operation, could risk cutting  
1191 off material supplies whilst restricting income generation potential of some of the world's poorest  
1192 people.

1193 Chemical recycling processes have received attention in recent years for their potential to handle  
1194 material that is either highly soiled, bonded into an assembly or bonded into a multi-layer composite.  
1195 Yet the evidence indicates that none of these unique selling points have been realised and no evidence  
1196 was found to indicate that chemical feedstock is being produced from post-consumer plastic  
1197 packaging in a commercially sustainable process.

1198 Innovation of new processes must be supported, but the urgency with which action must be taken to  
1199 improve our use of resources and reduce plastic pollution is a much greater concern. Mechanical  
1200 reprocessing is both commercially mature and has the lowest environmental impact compared to all  
1201 the other approaches reviewed here. It is already implemented worldwide, as a highly mechanised

1202 process in the Global North, and as a more labour intensive operation in the Global South. The  
1203 principle limitation of mechanical reprocessing is that it is unsuitable for processing multilayer (multi-  
1204 polymer) materials. In response, the hope that chemical recycling with actualise is proffered. Given  
1205 how unlikely this is in the near future it is suggested that product redesign is considered.

1206 Though some of the approaches were reasonably well evidenced, process data for operations in the  
1207 Global South is very limited or non-existent and therefore not easily discoverable for most processes.

1208 Our review was comprehensive but not exhaustive. Only a carefully conducted systematic review will  
1209 reveal the true state of evidence on this topic and it is strongly recommend such a process is carried  
1210 out, building on our work and bringing a more robust insight into the topic.

1211

1212

1213 **CRedit author statement**

1214 Ed Cook: Conceptualisation, methodology, investigation, writing – original and final draft; Costas A

1215 Velis: Review & editing, writing – final draft; Josh Cottom: Review & editing, writing – final draft.

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