



PART 3

A COMMUNITY ACTION TOOLKIT: A ROADMAP FOR USING
ENVIRONMENTAL RIGHTS TO FIGHT POLLUTION

Developing Advocacy Campaigns



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MODULE

7

Strengthening Participation: Identifying and Using the Right Forums to Address Pollution

Highlights

WHAT:

Learn how to identify or create key participation forums you can use for advocacy around your pollution concerns. Evaluate in practice the quality of legally mandated participation opportunities provided.

WHY:

Participation is the mechanism by which you express your concerns about pollution to key decision-makers and have a say in relevant policies that impact the control and mitigation of pollution. It can include a range of formal opportunities in response to legally required public participation requirements or informal activities organized by your organization or local communities.

WHEN:

Identifying and creating participation opportunities should begin after you have conducted the legal assessment so you are familiar with formal opportunities for participation. It should also come after you have collected needed pollution information, as you will likely want to use it in key forums or highlight the information gaps that should be addressed to ensure that good policy decisions are made.

WHO:

Project leaders should work with local community representatives. It might also be a good idea to work with a larger coalition of interested stakeholders or engage outside experts as needed.

HOW:

- Review formal participation opportunities provided under the law using the legal assessment findings.
- Using your problem tree and community needs assessment as a reference, create a list of informal and formal opportunities that could be used to drive government action.
- Evaluate forums and mechanisms to identify gaps in information, analysis, awareness, and procedures that impact participation.
- Discuss strategies for leveraging the identified participation forums and practices.
- Identify community capacity building needs required to strengthen communities' ability to provide feedback to government and inform decision-making.

INTRODUCTION

Advocacy involves planning on many levels. An organized plan will allow you to create a more efficient process and make better decisions on where and how to have the most impact.

As this toolkit outlines, planning must begin with a deep understanding of your pollution problem and how the larger political and policy environment will shape your change strategy options, including the risks you might face. Understanding the local context and the needs, concerns, and knowledge of community members and other stakeholders will help you create solutions together that best address the specific pollution impacts you want to address and identify other people and organizations that can help or impede your goals. A legal assessment deepens your understanding of the pollution control regulatory framework and how procedural and substantive environmental rights are recognized in your country. Researching and collecting evidence will help you gauge compliance and enforcement in practice and ensure that you can articulate and influence the right decision-makers.

The final steps of this planning process involve, first, identifying and evaluating forums or spaces for participation and advocacy and, second, developing a detailed advocacy plan including targets, tactics, and messages.

Modules 7 and 8 will help you complete these final two steps, enabling you to synthesize the outcomes from the other parts of the toolkit into a single coherent plan for using your environmental rights to fight pollution.

Figure 1 | Advocacy Planning Steps



In order to effectively use participation to fight pollution, you must be able to identify and evaluate opportunities for participation to ensure that they set up the right conditions for success and meaningful community input. But understanding when and how best to use your right to participation isn't always straightforward. Many different terms are used interchangeably, such as *stakeholder consultation* or *public involvement*, and finding

opportunities for participation can be difficult.¹ This module will help you identify or create participation forums you can use to advocate for your concerns about pollution. It will also help you evaluate the quality of legally mandated participation opportunities provided in practice. The checklist at the end of this module and the

1. This toolkit uses various terms for participation (consultation, engagement, etc.) interchangeably even though there can be differences from country to country.

worksheet in the Module 7 annex will help you identify the right forums for action.

IDENTIFYING OPPORTUNITIES FOR PUBLIC PARTICIPATION

To identify opportunities for public participation, you must first frame your concerns in the appropriate regulatory framework and have a clear sense of the community's participation goals and objectives. Knowing which government ministry or line agency you want to target, and having a clear sense of the level of political will to include citizen participation and input, is also important. Your evaluation of change strategies as outlined in Module 1, "Defining Your Problem for Action," as well as your legal assessment in Module 3, "Conducting a Legal Assessment of Environmental Rights to Address Pollution," should help you with this process.

You may need to investigate new or existing decisions being made or opportunities to influence key decisions regarding your pollution concerns. Most government websites include an overview of their regulatory authority. This should help you identify which government authority has control over your concerns. You should also consider which decisions to prioritize and whether they are at the project, regulatory, or policy level. Table 1 provides some examples of where decisions are made and what type of government authority is involved.

Table 1 | Examples of Policy Decision-Making Spaces

| PROJECT- OR FACILITY-LEVEL DECISION | REGULATORY-LEVEL DECISION | POLICY-LEVEL DECISION |
|--|--|---|
| Discharge fees, fines, and cost of permits | Local water or air authority | Ministry with standard setting authority or Finance Ministry |
| Wastewater or air emission permit periods | Regional councils, such as a river basin authority or solid waste planning council | Parliament or ministry with standard setting authority, such as Ministry of Environment or Ministry of Water |
| Environmental impact assessments | Regional office of national ministry with enforcement authority | Ministry with standard setting authority, such as Ministry of Environment or Ministry of Water |
| Licenses for resource use | Monitoring committees or agencies responsible for monitoring pollution levels | Ministry with standard setting authority, such as Ministry of Environment or Ministry of Water |
| Solid waste permits | City elected officials or regional decision-making body | Multigovernment stakeholder platforms, such as the Open Government Partnership or sustainable development strategy development committees |

Finally, you should evaluate and address the capacity of local community members to participate as well as the risk they may face when they do. Project leaders will likely need to conduct additional trainings and support local community members to strengthen their ability to advocate for their concerns and provide input.

The legal assessment, problem tree analysis, and community needs assessment outcomes should provide a good place to start identifying possible forums for participation. Analyzing the pollution and regulatory data and information collected should also help you and local community members get an idea of what activities or

processes have already started and the goals you want to achieve. With this information in hand, you should determine

- the list of available legally mandated, formal opportunities for participation related to air, water, or solid waste pollution concerns;
- the time frame and procedures that must be followed for participation in these forums;
- if the mandatory forums are adequate to reach your goal;

- if organizing your own activity or forum would enhance your ability to raise public awareness or influence key decision-makers or powerful allies; and
- the type of community capacity building activities necessary to ensure that local men and women can participate effectively.

You can use a simple worksheet to organize this information, such as the one provided in Table 2.

In order to develop informal participation opportunities you should think about the capacity building, coalition building, information, and public awareness that can further their ability to effectively participate in formal pollution forums.

Informal opportunities—including citizen pollution monitoring, working with the media, and meetings with government agencies—may be especially important to consider when addressing compliance and enforcement challenges or inadequate pollution monitoring. Table 3 provides an example of a summary analysis from the STRIPE Indonesia project that identifies both informal and formal opportunities for participation. Boxes 1 and 2 provide examples of formal and informal participation forums used in Mongolia and Indonesia.

Table 2 | Participation Opportunity Worksheet

| IDENTIFIED PARTICIPATION OPPORTUNITY | TIME FRAME | KEY PROCEDURES FOR PARTICIPATION | ADDITIONAL EVENT OR ACTIVITY TO PREPARE OR COMPLEMENT FORMAL OPPORTUNITY | CAPACITY BUILDING NEEDED FOR SUCCESS |
|--------------------------------------|------------|----------------------------------|--|--------------------------------------|
| | | | | |

Table 3 | Example from Indonesia



| PROBLEM: CIUJUNG RIVER CONTAMINATED | |
|---|---|
| Problem 1 | Pulp and paper companies (and other smaller companies) have government-issued permits to dispose of waste in the river, but these are out of compliance with standards. |
| Problem 2 | Authorities are not effectively monitoring and enforcing companies' violations of the law. Companies continue to neglect compliance, and citizens are not informed of the impacts on livelihoods and health. |
| OPPORTUNITIES: USING RIGHT TO INFORMATION AND PARTICIPATION WITH LOCAL AND NATIONAL GOVERNMENT AGENCIES | |
| Right to information (RTI) | Access to public documents, such as environmental impact assessments; environmental audits; Cijung River water quality monitoring; government decisions or decrees; and so on. |
| Participation opportunities | (1) Helping communities self-monitor water quality and submit a formal complaint to a government agency; (2) developing strategy for influencing multiple stakeholders (local parliament, government agency); (3) filing a legal action or lawsuit; (4) participating in renewal of a permit; (5) preparing a public campaign or media brief. |
| Bridging RTI and participation at the local community level | Host training or capacity building workshops on the translation of information into steps for action, community organizing, coalition building, and network consolidation. |



BOX 1

STRIPE and Formal Public Participation

STRIPE partners in Mongolia worked with local community members to submit hundreds of petitions to the Petition Standing Committee of the Mongolia Parliament. This effort resulted in an agreement to ban mining in Mongolia's Tuul River and better enforce mining laws.

Representatives of New Site and Healthy Safe Environment (nongovernmental organization) participating in the Parliamentary Petition Standing Committee, December 21, 2016.





BOX 2

STRIPE and Informal Public Participation

STRIPE partners worked with local community members to test the water quality of the Ciujung River. These data were used to document violations of local industrial pulp and paper companies' wastewater discharge permits and the release of pollution into the river. Community members brought these data to the attention of the local enforcement agency, which agreed to strengthen enforcement. They have also created a calendar with photos of the river and the impact of pollution to use as an outreach and engagement tool. The calendar features policy information regarding river monitoring and the quality of the Ciujung River.

Citizens testing water quality of Ciujung River, Indonesia.

**SCALE AND INCLUSION**

Some stakeholders, including women and representatives from marginalized groups, are regularly left out of participation opportunities. Additional use of innovative practices and processes is needed to ensure that these groups have the ability, resources, and security to contribute their voice to decisions. Power dynamics and issues of trust should also be considered and addressed. You must pay careful attention to how stakeholders are invited to participate, and the opportunities they are given to share their knowledge, experiences, and concerns.

Because pollution control regulation is information-intensive and fragmented across different agencies and multiple scales, it is important to match the participation strategy to the objective and policy outcome you want to achieve. In general, the higher the level of decision-making the lower the possibility that all relevant stakeholders will be able to participate (OECD 2015). For example, local community members might have a more difficult time providing input into national-level strategic planning on sustainable development or water, even though this is a relevant forum for their pollution concerns. They are more likely to hear about and be able to participate in the project-level process for an environmental impact assessment (EIA) in their town or district. Decisions at one level can positively or negatively affect decisions at another level, increasing the chances of conflict.

Thus issues of scale and inclusion must be carefully considered when identifying new opportunities and evaluating the quality of participation in practice. Box 3 offers tips to ensure the inclusive participation of women.

ENVIRONMENTAL IMPACT ASSESSMENTS

Although the specific requirements vary by country, EIA laws often require multiple opportunities for public participation across the process. This includes public notifications about proposed projects before they begin and opportunities to submit comments or attend public hearings during the scoping process and to comment on the draft EIA document. Some countries also provide opportunities for the public to seek administrative or judicial review of decisions made during the EIA process when the public disagrees with the decision or believes the decision-making process itself was flawed. Failure to disclose adverse impacts, provide adequate opportunities for public participation, include all required content, or provide adequate notice are all typical grounds for appealing EIAs.

Because EIAs are required in most countries, they are an essential tool for raising concerns about pollution impacts. They often represent the best opportunity to ensure that community concerns are taken into account before new development begins and that appropriate, required mitigation action is taken to reduce the impacts on local citizens (Environmental Law Alliance Worldwide 2010). You should take the time to understand the EIA law in your country and identify the formal participation



BOX 3

Tips to Ensure Women's Participation

An inclusive decision-making process has many components, including gender relations. Men and women have different access to decision-making opportunities and contribute different knowledge, skills, and experiences. Policy solutions that ignore these unique roles can reinforce existing inequalities and compromise efforts to bring about positive social, developmental, or environmental change.

Women are not a unified group, and their access to participation (and information and justice) can be hampered by a complex matrix of factors, including political will; limited access to basic education, training, and technologies; and cultural biases. Women's ability to effect change can be further restricted by their responsibilities both inside and outside of the home.

To ensure that women can actively participate in addressing pollution challenges, consider using the following opportunities in your pollution work:

- Provide training and support for the development of women's committees to work with partners.
- Organize meetings and project planning sessions at a time and location when women can attend, and consider providing childcare.
- Provide skill building and leadership training for women civil society members, women's organizations, women community members, and (if relevant) female journalists.
- Support local efforts to advocate for legal rights that enable women to participate fully in the political and economic life of their societies, not just around pollution issues.
- Build the capacity of partner civil society organizations to advocate for women's participation.

opportunities provided under that law. You should also strive to fully participate as much as possible in the EIA process (see Box 4).

EVALUATING THE QUALITY OF PARTICIPATION FORUMS

Despite the known benefits, public consultation requirements are often poorly implemented. Frequent problems limit people's ability to become involved in finding solutions to their pollution concerns. Common participation problems include the following:

- People are not provided with any information or do not get enough advance notice that a hearing is being held or public comments can be submitted.
- Hearings are held in country capitals far from proposed project sites or at inconvenient times, making participation too time-consuming or expensive for the public.
- Highly technical language or poor translation to local languages makes the process difficult for people to understand.
- Only a select number of people are invited to participate, or the views of participants are selectively treated to confirm a certain version or choice.
- Suggestions or comments are not incorporated or reflected in the processes or final decisions.





BOX 4

Tips for Effective Participation in the Environmental Impact Assessment Process

- Identify the ministries or agencies that have decision-making authority over the proposed project.
- Identify the key individuals who will be responsible for the decisions that concern you.
- Collaborate and join forces with organizations or groups that share a similar interest in the issues that concern you.
- Monitor local newspapers or public notice locations for official announcements or articles about a proposed project and opportunities to submit comments or attend hearings.
- Participate at every possible opportunity provided by the government or project proponent, whether by submitting written comments or attending a public hearing.

Source: Environmental Law Alliance Worldwide (2010).

- **Special interests co-opt the forum, limiting the ability of local communities to participate or overshadowing their input. (Interpeace-IPAT 2015; IAP2 International Federation 2014)**

Just as evaluating the amount and quality of proactively disclosed information is a powerful tool for advocacy, evaluating the quality of legally required public participation opportunities can reveal that local community members have not had a chance to share their concerns about pollution impacts. This analysis

can help document weak implementation of laws and regulations.

Numerous mechanisms have been used to assess the effectiveness of stakeholder engagement, including evaluation reports, multistakeholder meetings or focus group discussions, satisfaction surveys, and benchmark analysis (OECD 2015). Additional resources, listed in Box 5, can

help you think through and evaluate the best approach for your project. This toolkit provides a series of indicators based on the synthesized best practices provided in the background document (Table 5, “Key Elements of Public Participation”). The indicators can be found in the Module 7 annex (Table 4, “Participation Indicators”). The following checklist can help you take better advantage of public participation forums.

Checklist for identifying and using public participation forums

Have you discussed goals and objectives for participation with other partners and the local community members involved in your pollution project?

Have you taken the time and made the effort to reach out to women's organizations and other groups traditionally excluded from participating?

Have you investigated new or existing decisions or opportunities to impact key decisions?

Have you already identified key participation forums through your activities or review of the pollution control regulatory framework? If so, list them in the worksheet in the Module 7 annex.

Have you clarified the institutions, sector, or government agency you need to target? Are the opportunities sector- or project-specific (such as EIAs for new projects or company accountability), focused on local government decisions (such as enforcement of permits), or do they involve national policymaking (commenting on national strategy plans)?

Is it clear if these participation forums are mandatory under the law?

Are you aware of the schedule, time frame, and requirements for participation?

Are the purpose and level of engagement, outcome, and use of community inputs clear?

Are you clear on what you are asking for (a regulatory reform, better implementation, stronger enforcement or compliance)?

Are you clear on who the decision-maker is and how he or she will incorporate community input?

Have you collected and analyzed all the relevant information needed to effectively participate?

Is there political will to include citizen participation and input?

Are funding and human resources available?

Have you discussed the activities that must be conducted to increase local community members' ability to participate?



BOX 5

Public Participation Resources

Many resources are available on public participation, including toolkits, evaluation frameworks, and case studies of best practices. Here are a few of them:

- OECD (Organisation for Economic Co-operation and Development), "Stakeholder Engagement for Inclusive Water Governance" (2015).
- Büro Arbter and ÖGUT (Austrian Society for Environment and Technology), *The Public Participation Manual: Shaping the Future Together* (2007).
- EPA (U.S. Environmental Protection Agency), *Public Participation Guide* (2018); available in French, Spanish, Arabic, and Chinese.
- Steven H. Grabow, Mark Hilliker, and Joseph Moskal, *Comprehensive Planning and Citizen Participation* (2006), University of Wisconsin-Extension / Cooperative Extension Citizen Participation Team.
- ELAW (Environmental Law Alliance Worldwide), "How to Be an Effective Participant in the EIA Process," Chapter 4 of *Guidebook for Evaluating Mining Project EIAs* (2010).
- IPAT (International Peacebuilding Advisory Team), *Public Participation and Citizen Engagement* (2015).

MODULE 7 ANNEX: STRENGTHENING PARTICIPATION: IDENTIFYING AND USING THE RIGHT FORUMS TO ADDRESS POLLUTION

The background information (or “indicators”) you assemble on a particular case or series of examples you want to evaluate can help you determine if meaningful and inclusive participation opportunities were provided to local community members and civil society groups. Showcasing this analysis provides a powerful source of evidence when communicating with government decision-makers or private sector actors about the need for meaningful participation by impacted citizens and the lack of opportunity for the public to provide input into decision-making as afforded under the law.

To evaluate the quality of participation, you must first choose a participation opportunity (or series of opportunities) relevant to your pollution concern. This could include approval of an EIA for some recent development project, issuance of a discharge permit from a polluting facility, passage of a national strategy or pollutant limit standard, or findings issued by standing advisory councils. Once a case is chosen, you should try to collect information about the participation opportunity. This includes

- legal public participation requirements governing the event or comment period,
- notices of public hearings and comment periods,
- minutes of meetings or hearings,
- newspaper articles about the event,
- published responses to submitted comments (if relevant in your country), and
- documentation of final decisions.

Holding focus group discussion or interviews with local communities who also participated will also help you get a sense of how representative and open the participation forum actually was. Table 4 provides you with the specific indicators you can use to evaluate this forum or event.

Table 4 | [Participation Indicators](#)

| BEST PRACTICE PARTICIPATION ELEMENT | INDICATOR FOR EVALUATION | | RESPONSE |
|-------------------------------------|--------------------------|---|----------|
| Forum details | Type of event | What type of participation event are you evaluating? | |
| | | What regulatory issue was being addressed (environmental impact assessment, permit, standard, strategy, or policy development)? | |
| | | Was it in reference to a national, regional, or project-specific concern? | |
| | | Was it addressing a pollution concern associated with a specific sector or facility? | |

Table 4 | Participation Indicators (Cont'd)

| BEST PRACTICE PARTICIPATION ELEMENT | INDICATOR FOR EVALUATION | | RESPONSE |
|-------------------------------------|---|---|----------|
| Forum details | Who attended the event or forum? | What was the total number of people in attendance? | |
| | | Number of men, number of women | |
| | | Community representation (including age, cultural group, affiliations, or other relevant categories) | |
| | | Other: Give names of participating organizations or individuals who represented other sectors (private sectors, nongovernmental organizations, journalists, etc.) | |
| | Who organized the meeting or forum? | Name of agency or institution | |
| | | Location | |
| | | Time allotted | |
| | If a public hearing or event, who was allowed to speak? | Total number of public speakers | |
| | | Gender balance of speakers | |
| | | Community representation | |
| | | Other | |
| Forum outcome | If a public comment forum | Total number of submitted comments | |
| | | Total number of responses received (if required) | |
| | Describe the outcome of the forum or event. | Was any final decision reached? | |
| | | Are the concerns and contributions of local community members reflected in the final decision or outcome? | |
| | | Overall, how satisfied were community members with the outcome of this forum or event? | |
| Legal framework | Engagement process followed practice outlined in laws, policies, and regulations. | Do any laws, policies, or regulations require public participation in the decision-making processes? | |
| | | Were the proper legally mandated requirements and/or procedures followed? | |

Table 4 | Participation Indicators (Cont'd)

| BEST PRACTICE PARTICIPATION ELEMENT | INDICATOR FOR EVALUATION | | RESPONSE |
|---|---|---|----------|
| Inclusiveness and equity | All relevant stakeholders were aware of the engagement forum and had an opportunity to participate. | Was an informed and transparent process used to identify and select interested stakeholder participants? | |
| | | Was a broad outreach process used to inform individuals and organizations about the engagement opportunity? | |
| | | Did the event include relevant women's groups, cultural groups, and traditionally marginalized groups that are likely impacted? | |
| | | Was an early assessment conducted of the concerns and ideas of all stakeholders? | |
| | | Was the forum held at a time, in a location, and using the appropriate language to ensure inclusive participation? | |
| Early participation | Participation opportunities were provided right from the beginning of the process as early as possible. | Was notification about opportunities proactively provided early in the process? | |
| | | Was enough information provided to ensure that stakeholders had the knowledge to meaningfully engage with the process and forum organizers? | |
| | | Were a variety of appropriate forums and platforms used to inform the public of the opportunity? | |
| | | Did stakeholders interact with organizers or attend meetings at the very earliest stages of decision-making? | |
| Clarity of goals, transparency and accountability | The decision-making process and objectives and use of stakeholder opinions was clear. | Was a clear understanding of the engagement framework presented in terms of line of authority, timeline, objectives, outcomes, and so on? | |
| | | Was it clear from the beginning if and how opinions were going to impact or influence decisions? | |
| | | Was an inclusive procedure used, giving all stakeholders an opportunity to contribute equally? | |

Table 4 | Participation Indicators (Cont'd)

| BEST PRACTICE PARTICIPATION ELEMENT | INDICATOR FOR EVALUATION | | RESPONSE |
|-------------------------------------|--|--|----------|
| Safe space | Stakeholders were free to express their opinions without fear, and safeguards were put in place. | Was it clear how actions of intimidation or harassment would be dealt with before or after the forum? | |
| | | Were appropriate security measures taken to ensure that participants could speak without fear? | |
| Capacity and information | Ensure that access to information is meaningful and that proper financial and human resources are provided for meaningful participation. | Was the necessary information provided—including procedural, technical, and informational documents—in the appropriate form? | |
| | | Were financial and human resources provided to ensure that a meaningful process was implemented in terms of number of people and specific amount budgeted? | |
| | | Was information shared with the wider community not directly involved in the engagement process? | |
| | | Was any support or training provided to participants to ensure that they understood and could effectively contribute to the process? | |
| | | Were meetings conducted at the local level to enhance accessibility? | |
| Efficiency and effectiveness | Quality of the process and outcomes of the engagement process | Did the stakeholders monitor and track implementation of decisions? | |
| | | Were the outcomes of the process evaluated against the original objectives? | |
| | | Were the results of the engagement process shared with participants? | |
| Grievance mechanisms | Ability to address conflict and resolve disputes | Was a system used for recording, negotiating, and resolving disputes between stakeholders? | |
| | | Did the system include procedures, resources (budget), training, and communication to ensure effective implementation? | |
| Local and scientific knowledge | Local and scientific knowledge was incorporated into and supported in the process. | Were community values and the cultural, political, and historical contexts discussed and integrated into the process? | |
| | | Was support provided to ensure that participants understood technical and scientific concepts and terms? | |

WORKSHEET FOR EVALUATING POSSIBLE PARTICIPATION FORUMS

Thinking through potential participation forums should result in a list of options. Write these potential options below and then evaluate them using the best practice elements. Write down next steps to address these elements and then use this list to make a final decision.

| KEY REQUIREMENTS FOR FORUMS | PARTICIPATION OPPORTUNITY NO. 1 | PARTICIPATION OPPORTUNITY NO. 2 | PARTICIPATION OPPORTUNITY NO. 3 | NEXT STEPS |
|-----------------------------|---------------------------------|---------------------------------|---------------------------------|------------|
| | | | | |

Inclusivity

Clear legal basis

Fairness and transparency

Clear basic rules for operation and decision-making

Clear relationship between mandate and our objectives

Level of participation

Good-faith action by participants

Outcome not predetermined

Speed—ability to make decisions in a timely manner

Effectiveness (in terms of space, budget, technical skill, resources, etc.)



MODULE

8

Bringing It All Together: Using Accountability and Advocacy to Tackle Pollution

Highlights

WHAT:

Creating a pollution accountability advocacy campaign using the previous module outputs.

WHY:

Addressing pollution and local community concerns requires advocacy to hold government and polluting companies accountable for compliance with pollution control laws and policies. Each module is designed to provide specific inputs into the key steps needed to develop and implement an accountability campaign.

WHEN:

Developing and implementing your advocacy campaign is the final step of the toolkit.

WHO:

The campaign should involve all relevant stakeholders but be led and coordinated by a small team of project leaders from civil society and the local community. Often it is helpful for different subgroups to take responsibility for different elements of the campaign.

HOW:

- Define your goals and choose your strategies.
- Determine whom you want to influence.
- Determine who can undermine your efforts.
- Find and create spaces for advocacy.
- Create an action plan.
- Develop messages.
- Create materials and data visualization.

INTRODUCTION

While there are many examples of community input shaping pollution policy and implementation, ultimately governments are the primary decision-makers when it comes to natural resources. This includes overseeing and holding private companies accountable for their pollution emissions and discharges. If the public doesn't have access to information and opportunities for participation, government officials could decide on natural resource use without understanding or responding to the concerns of local people. This can lead to negative outcomes, such as growing pollution problems or unpopular decisions that result in conflict (Ratner et al. 2018). Sometimes international financial institutions, private corporations, and even other international or national nongovernmental organizations (NGOs) hold more political or financial influence over decisions taken. Holding all of these holders of power responsible and answerable for their actions is the definition of accountability (Kramarz and Park 2017).

This module will help you identify and apply specific accountability tools and strategies when advocating for pollution remedies. It also provides guidance on how to develop and implement a pollution advocacy campaign by bringing together all of the information, research, and tools developed from the other toolkit modules. A number of worksheets and exercises to help you build your pollution accountability advocacy campaign are provided in the Module 8 annex.

ADVOCATING FOR POLLUTION ACCOUNTABILITY

Advocacy is the organized process of influencing those who make decisions. It can seek change in the following areas:

- **POLICY:** the creation, amendment, implementation, and enforcement of laws, regulations, or policies.
- **BEHAVIOR:** the redefining or demand for change in behavior by people, government, or private companies with respect to a specific problem or issue.
- **PRACTICE:** the demand for fair and inclusive practices and respect for community rights in decision-making processes.

A campaign is a series of activities that leads to a specific outcome or outcomes. It is the advocacy process around a specific issue. Starting a campaign takes time and energy, but it can also inspire other people to take action. Campaigns typically involve a wide range of tactics, such as media advertisements and press releases, trainings or public education events, coalition building, public hearings, and meetings with key influencers. Using your research findings can be another important tactic, as outlined in Box 6.

HOW TO BUILD AN ADVOCACY CAMPAIGN PLAN

Building an advocacy campaign involves a number of key steps. The research and information you have collected through the modules on legal assessment, political context and problem tree analysis, community needs assessment, access to information, and participation provide you with a strong foundation for your advocacy and will help outline the types of activities you want to include in your campaign as well as the evidence you need to justify your advocacy demands. Additional advocacy resources can be found in Box 7. With this solid foundation you should be able to

- **define your campaign goals and choose your strategies,**
- **determine who you want to influence,**
- **determine who can undermine you (power mapping),**
- **find and/or create spaces for advocacy,**
- **create and implement an action plan, and**
- **develop messages and materials for your campaign.**



BOX 6

Research Findings Are Critical for Evidence-Based Advocacy

Information and data further advocacy and policy demands by

- justifying them as realistic and representative, accurately representing the needs, priorities, and interests of your constituencies;
- providing evidence about the problem, including impact of change, feasibility of possible solutions, and who is responsible for making the change; and
- ensuring that you can discuss technical details with outside experts, enhancing your credibility and professionalism.





DEFINING YOUR CAMPAIGN GOALS AND CHOOSING YOUR STRATEGIES

Goals

Goals are the specific outcome you hope to achieve. Because advocacy takes time, it is often helpful to break your goals down into long-term, medium-term, and short-term steps that will help you define your activities more specifically. The problem tree exercise and analysis of the policy and political context in your country, outlined in Module 1, “Defining Your Problem for Action,” should provide you with a good outline for defining your advocacy goals.

- **LONG-TERM GOALS** are the outcomes you eventually hope to win, and toward which the current campaign is a step. You can include a timeline goal for when you hope to achieve these long-term goals (if relevant).
- **INTERMEDIATE GOALS** are the ones you hope to win in your immediate campaign, typically a three-year project. Think about what constitutes victory. How will the campaign
 - win concrete improvements in people’s lives,
 - alter the relations of power, and
 - ensure that pollution challenges are addressed?
- *Short-term goals* are the steps you can take to meet your intermediate goals. Think

about the partial victories you can achieve as steps toward your long-term goals.

The Module 8 annex provides a simple worksheet to fill in your long-term, intermediate, and short-term goals.

The key to effective goal setting is specificity! You have collected a lot of information that can be used to make sure goals are attainable and relevant, including

- the impacts local communities are facing from pollution and what concerns they want to address;
- compliance and enforcement gaps in pollution control laws, as well as barriers to accessing information or participating in decision-making;
- clues to the structural barriers, such as minimal political will, poor information management systems and/or poor allocation of human and financial resources, that may be limiting the government’s ability to address pollution;
- the need to expand publicly available, locally relevant information and reduce barriers that local community members currently face; and
- the spaces and policymaking processes where local communities have the right to participate.



BOX 7

Additional Advocacy and Accountability Resources

Organizations and institutions have put together a wide range of advocacy resources to help develop campaigns:

- Campaign Academy Ltd., *"Campaign Bootcamp"* (n.d.).
- 350.org., "What Is a Campaign?" (n.d.).
- The Access Initiative, "Resources" (n.d.).
- Environmental Law Institute, *Community Environmental Health Assessment Workbook* (2000).
- Margherita Tolotto and Mara Silina, *ENV.net Advocacy Toolkit* (2015).
- Sabine Piccard and Mohammed Yaghi, *Manual on Social Accountability for Civil Society Organizations and Municipalities in Palestine* (2015).
- Affiliated Network for Social Accountability in East Asia and the Pacific, *A Manual for Trainers of Social Accountability* (2010).
- Ethiopia Social Accountability Program Phase 2 (ESAP-2), *Social Accountability Guide* (n.d.).
- European Union, *Citizen's Guide to Access to Justice in Environmental Matters* (2018).
- Basel Institute on Governance, *Social Accountability: A Practitioner's Handbook* (2016).

Sample short-term goals could include

- engaging a targeted government representative about compliance and enforcement problems;
- influencing policymakers to fill in gaps in laws or regulations;
- collaborating with NGOs and others to build a coalition to address pollution at the national level; and
- educating members of the public about their rights and responsibilities and building their capacity to use these rights.

Be sure to work with your local community leaders and other partners to create your campaign goals together to ensure that they are inclusive and represent the concerns and outcomes that people really want to achieve.

Strategies

Selecting the best advocacy strategies for your pollution problem is dependent on

- your organizational resources in hand (both human and financial),
- your country's sociopolitical context and the way it could impact your power to effect change, and
- the risks you might face with each approach.

A campaign that targets private companies or a major polluting facility, for example, requires different strategies and entails different risks than a campaign focused on government regulatory actions or the behavior of a state-owned company. Similarly, the strategies used to tackle diffuse air pollution from multiple sources, some far removed from the community facing impacts, may differ from the approaches best suited to addressing pollution released into the air, water, and soil from a single landfill located in a single community. And, of course, a country with closed civic space or limited recognition of environmental rights may require a different set of strategies than a more open country.

Advocacy approaches vary but generally can be grouped into five categories:

- Collaboration (with policymakers)
- Direct persuasion (lobbying and policy work)
- Building support (from the public and/or other influential stakeholders)
- Coercive pressure (strikes, boycotts, and direct action)
- Litigation (suing the policymakers or polluters) (Chandler 2014)

These approaches encompass the more specific advocacy strategy variations that can be adapted in your advocacy plan.

Table 5 | Advocacy Strategies Used in STRIPE Projects



| COUNTRY | ADVOCACY STRATEGIES |
|-----------|---|
| Indonesia | Protest, litigation, public education, community capacity building and training, policy research and citizen science, coalition building, collaboration with government officials |
| Thailand | Public education, policy research, collaboration with government officials |
| Mongolia | Protest, litigation, public education, community capacity building and training, media engagement, policy research and citizen science, lobbying and collaboration with government officials, empowerment and social action, coalition building |
| Jamaica | Policy research and citizen science, public education, community capacity building and training |
| Morocco | Policy research, media engagement, public education, capacity building and training, coalition building |
| Tunisia | collaboration with government officials, public education, capacity building and training |

Box 8 | A Brief Overview of Tactics

Goals, strategies, and tactics are different. A *goal* is the “what” you are going to accomplish. A *strategy* is the overall pathway for reaching your goal. It requires that you take into consideration the power and system dynamics that influence how pollution is addressed in your country.

A *tactic* is the “how” or set of activities you will carry out as part of your strategy to achieve your goal. Tactics are the specific tools and actions outlined in your plan, presumably combined in ways that make the whole greater than the sum of its parts.

Tactics should

- focus on the primary or secondary target,
- put power behind a specific demand,
- meet your organizational goals as well as your issue goals,
- catch the attention of targets by being outside their normal experience, and
- be within the experience of your team or coalition.

Source: Adapted from Tactical Tech (2009); and Green (2016).

STRIPE projects used a range of advocacy strategies based on the sociopolitical context, organizational resources, and perceived risk in each country. Details of the STRIPE projects are included in the background document for this toolkit (“STRIPE Country Experiences Using the Toolkit”). Table 5 outlines the range of different advocacy approaches used in STRIPE project, while Box 8 provides guidance on tactics.

DETERMINING WHOM YOU WANT TO INFLUENCE

Once you have clarified your advocacy goals and strategies, the next step is to identify the person or institution who can give you what you want. This is the target of your advocacy. It is important to direct your efforts toward specific individuals within specific agencies or offices rather than “the government,” “the polluting facility,” “the ministry,” and the like because organizations are usually multifaceted, and there is probably a specific person or office within a government agency or institution who has the ability to influence the outcome.

Targets can be broken down into two general categories, primary targets and secondary influencers:

- *Primary targets* are those with positions of authority whose support will be most relevant for your efforts. Who has the power to give you what you want?
- *Secondary influencers* are those who have more influence over the primary target than you do. They are people you have power to influence who can help you get access to or persuade the primary target.

Again, the toolkit’s other modules should make it easy to identify the right primary targets and secondary influencers for your advocacy. You might also need to contact staff directors or consult organizational charts to identify the correct office and individual within a government or private company or institution. Secondary influencers can include a wide range of people, including religious leaders, media contacts, other government or NGO representatives, even international or multilateral or funding institutions. Think creatively about who you know, and survey other partners and local community members. The easiest way to get someone involved is to ask them!

A simple worksheet, such as the one in Table 6, can be used to track potential targets.

DETERMINE WHO CAN UNDERMINE YOU

Advocacy doesn’t just involve knowing who can give you what you want. You also need to have a clear understanding of the people who have the ability to oppose your advocacy. This can include groups or individuals who disagree with the values or approach of your work, such as people who believe local communities are too uninformed to have a voice in policymaking, or people who think that pollution is an appropriate price to pay for economic opportunity. It can often include those who benefit from the status quo, such as the companies that do not invest in required pollution control technologies or the workers, employed by polluting companies, who fear their livelihood will be jeopardized if the company invests “too much” in improvements

Table 6 | Target Identification Worksheet

| GROUP / PRIVATE COMPANY/ GOVERNMENT INSTITUTION | PRIMARY TARGET WITHIN INSTITUTION | SECONDARY INFLUENCERS | NAME OF PARTNER WITH CONNECTION TO PRIMARY OR SECONDARY TARGET | NEXT STEP |
|---|-----------------------------------|-----------------------|--|-----------|
| | | | | |

that protect the environment. Like targets and influencers, opponents can be broken down into two general categories: primary and secondary.

Primary opponents will be the groups or individuals who actively oppose your advocacy campaign issues or will question your tactics and strategies and likely take action to stop or slow your progress. They have influence over the decision-makers and your primary targets, so it is important that you proactively identify them and figure out strategies to counter their influence.

Secondary opponents may not take action, but they will not support your efforts and may be influenced by your primary opponents. However, understanding their agenda or concerns may allow you to influence their opposition. Identifying secondary influencers who can help you counter their opposition or identifying opportunities for common ground may be helpful.

Power mapping

Power can take many forms (Green 2016). *Visible power* is typically held by the people who have authority over the pollution issues of concern, such as regulators, private company executives, and elected officials. *Hidden power* describes the influence of people who work behind the scenes, including vested interests that benefit from pollution, the international development community, or lobbyists. *Invisible*

power can be defined as the condition when the relatively powerless internalize and accept their situation (Green 2016). The acceptance by some community members in Serang, Indonesia, that the Ciujung River will remain polluted is one example of invisible power.

Understanding these power dynamics and identifying your targets, your opponents, and their influences is critical when developing messages about your concerns and advocacy campaigns. The exercise in Module 1, “Defining Your Problem for Action,” evaluating country context and change strategies should help you broadly think through these power issues.

Power mapping is another tool that can be used to enhance the stakeholder mapping exercise already completed in Module 2, “Understanding Community Needs, Concerns, and Interests.” It takes the actors identified in the stakeholder mapping and helps break down influences and brainstorm ways to engage with them based on their ability to support or impede your project. The power mapping worksheet provided in the Module 8 annex should help you with this step.

FIND AND/OR CREATE SPACES FOR ADVOCACY

Effective advocacy can depend on finding the right spaces to engage with the targets and allies to achieve your advocacy goals. The participation spaces you identified using Module 7, “Strengthening Participation: Identifying and Using the Right Forums to Address Pollution,”

are likely to be the same forums where you want to center your advocacy. But it is worth reevaluating not only where and when you have a chance to influence policy decisions but also how you can use other formal accountability spaces, such as administrative courts or (if relevant in your country) an ombudsperson or human rights office. The synthesized legal analysis from Module 3, “Conducting a Legal Assessment of Environmental Rights to Address Pollution,” should help you identify these accountability forums. Creating your own spaces for advocacy is also an important advocacy strategy.

Identify and create spaces

In order to determine the best spaces for advocacy, you must first decide how you will use formal accountability spaces and/or create your own forums for accountability (social accountability). This can include enforcement or use of laws, courts, and administrative agencies or development of a media campaign, holding a public hearing and presenting research, or asking for the formation of a government and community working group to focus on development and implementation of solutions.

To determine the best spaces for advocacy, use the goals and targets you have created and determine the activities you will need to carry out to achieve them, and then brainstorm the existing forums that could be used or created that offer the best opportunity for change to occur. Review and research the different social

Table 7 | Example of an Advocacy Plan Worksheet

| SHORT-TERM GOAL OR OUTCOME YOU HOPE TO ACHIEVE | ACTIVITY | EXISTING FORUM AVAILABLE? (YES/NO, INCLUDE IDEA FOR NEW FORUM) | SPECIFIC TACTIC AND FORUM |
|--|--|--|--|
| Ensure that local community members have a voice in the wastewater discharge permit renewal process. | Conduct training to help local community members organize and share input. | Yes, public comment period required under law. | Public comment period—submit written comments during public consultation dates listed in gazette. |
| | | No, organize a public hearing event and invite local government officials and media to hear input concerns from local community members. | Public hearing—organize and send in community petitions to local office reviewing permit renewal to request a formal public hearing. |
| Increase public awareness of pollution and any breaches of environmental laws or the requirements of permits at the national and international levels. | Reach out to local journalists and arrange interviews with local community experiencing negative impacts. Understand the readership of different forms of media and if they are likely to reach your target audience. Track number of responses and type of group reached. | No, set up meetings with identified key journalists. | Coordinate individual meetings or phone calls. |
| | Organize teach-in day to help media understand pollution impacts. | No, rent space in local community and organize event. | Teach-in at hotel in local area. |

accountability tools and determine if one approach would be helpful to incorporate into your campaign. Activities will likely include a range of strategies, including

- raising public awareness of the pollution problem;

- building your constituency to ensure broad support for your advocacy goals, including coalition building;
- building the capacity of local community and other civil society actors to help you; and
- directly engaging the decision-makers and other influencers who can give you what you want.

Identifying the formal accountability spaces available in your country may take more research. The “Where to seek accountability?” worksheet in the Module 8 annex should help you think through the formal accountability spaces that may be a good fit.

Table 7 provides a sample worksheet that includes some hypothetical examples of possible spaces and opportunities. When there is no obvious existing forum for participation or accountability work, partners can work together to brainstorm events or activities that can be used as an accountability space.

Coalition building

Advocacy occurs on many levels, and you should take this into consideration when designing your advocacy strategy. At the local level, advocacy can help build support for action. Many regional agencies or ministry offices are responsible for enforcement of or compliance with laws and regulations, while national-level advocacy can help scale your concerns to a larger platform and build multistakeholder partnerships with the ability to improve laws and influence policymakers.

It is important to create a long-term vision for scaling your advocacy and working in coalitions as you think about how you will achieve your medium- and long-term goals. Working with a large group of partners can create coordination and communication challenges, but it also helps

- ensure that a wide range of skills, expertise, and resources are available in your campaign;

- sustain greater public awareness and collective action over time; and
- create comprehensive advocacy campaigns that counterbalance grassroots bottom-up pressure with government engagement to implement top-down policy improvement.

The coalition-building worksheet in the Module 8 annex should help you think through coalition building as part of accountability advocacy planning.

Consideration of risk, safety, and security

The fight against pollution can be extremely risky. Environmental defenders are individuals and groups who, in their personal or professional capacity and in a peaceful manner, strive to protect and promote human rights relating to the environment, including water, air, land, flora, and fauna. Fighting pollution makes you an environmental defender.

Community members or civil society organizations who challenge companies or governments by demanding accountability can be attacked, intimidated, and harassed by a variety of actors. This risk has been well documented by international civil society, including Global Witness, the Business and Human Rights Resource Centre, and Frontline Defenders, who record the risk, threats, harassment, and intimidation faced by environmental defenders.

These risks can take many forms:

- Online harassment or stigmatization of defenders as antidevelopment
- Prohibition of travel
- Threats to defenders and their families
- Auditing defenders or imposing new requirements for their business
- Assaulting defenders physically or attacking and destroying their property
- Limiting defenders' ability to receive funding
- Causing defenders to lose their jobs
- Detention/arrest/imprisonment
- Civil cases or strategic litigation against public participation (SLAPP suits) for defamation
- Abduction or torture
- Murder

Environmental defenders must consider the risks they may face as a result of the particular advocacy strategy they have adopted. This includes the impact to themselves, their families, or others in their communities (e.g., indigenous community). There are many tools



BOX 9

Environmental Defenders Resources

- Frontline Defenders, *Workbook on Security: Practical Steps for Human Rights Defenders at Risk* (2016).
- Frontline Defenders, *Protection Manual for Human Rights Defenders* (2016).
- Frontline Defenders, "Digital Security Resources" (n.d.).
- Access Now, "Digital Security Helpline" (n.d.).
- Peace Brigades International UK, "Toolkit for Latin American Women Human Rights Defenders Working on Land and Environmental Issues" (2015).
- Peace Brigades International, "Human Rights Defenders' Toolbox" (n.d.).
- Vuka! Allies, "Report an Incident" (n.d.).
- International Service for Human Rights, ISHR Academy (n.d.).
- Protection International, "Defenders Tools" (n.d.).
- Protect the Protest, "What Is a SLAPP Lawsuit?" (n.d.).
- Universal Rights, Environmental Rights

and organizations at the local, national, and international levels who support defenders in defining the risk they face and who provide grants and other support tools to minimize the risk of attacks or intimidation. Box 9 lists examples of such resources.

Environmental defenders should consider the following principles:

- Get support in conducting a formal risk assessment. This may include advice on how to change your behavior to lower risk, how to identify financial and nonfinancial resources available to help you do this, how to make decisions on your ability to stay within your community, and other security measures you should take to protect yourself.
- Strengthen physical and digital security. A number of platforms and support systems exist for protection, in the home, at work, and when using technologies such as smartphones and computers.
- Determine which advocacy strategies will support the defense of the right to take action, including the rights of freedom of expression and speech, or protest, and how to exercise these rights safely. It is important to note that these rights may be questioned and that there may be efforts to limit environmental defenders' ability to protest. Advice on safe protest is important for environmental defenders to reduce their risk.

- Identify what national and international mechanisms exist to obtain government and nongovernment support, including support from embassies, bilateral institutions, and international organizations.
- If needed, seek legal advice, including support when facing criminalization of activism. This legal support should be identified during the advocacy phase of the campaign.

CREATE AND IMPLEMENT AN ACTION PLAN

An advocacy plan puts together all of the advocacy strategy steps in one comprehensive workplan. It is the end result of all your preparation and hard work! A good plan should have the following attributes:

- **Agreement on strategies by all partners, including local community representatives.**
- **Clear connections articulated between each activity and a short-term goal.**
- **A defined output to be achieved for every activity.**
- **A clearly identified target or audience and the forum for carrying out each activity.**
- **Designated specific roles and responsibilities for each partner.**

- **A plan for champions, including secondary influencers who can help ensure success.**
- **A clear time frame for all activities and how they fit together.**

Table 8 provides a simple worksheet to help you record your workplan. Use the following checklist to help guide its development.

Can you really do it? Do you have the needed people, time, and resources?

Are activities focused on either the primary or secondary target?

Do you need to add capacity building elements to ensure that local community representatives are able to participate in the activities you have prioritized?

Does your workplan put real power behind a specific demand?

Does it meet your long-term goals as well as your short-term issue goals?

Will it catch your targets' attention and have an impact on them?

Is it within the experience of your own members, and are they comfortable with it?

Do you have leaders experienced enough to do it?

Will people enjoy working on it or participating in it?

Can you influence how the issues and your campaign will be portrayed in the media?

Table 8 | Action Planning Worksheet

| SHORT-TERM GOAL | ACTIVITY | DESIRED OUTPUT | AUDIENCE OR TARGET | TACTICS AND FORUM | PARTNER LEAD AND SUPPORT | TIME FRAME |
|-----------------|----------|----------------|--------------------|-------------------|--------------------------|------------|
| | | | | | | |

MESSAGE DEVELOPMENT

Accountability advocacy relies on good communication. Developing messages, including data visualization strategies, will help ensure that your demands and proposed solutions reach and influence your action. It is more than a media strategy to “get good press.” An effective message should

- be simple and brief;
- emphasize the critical importance of the cause using precise language;
- tell people something new, something they have not yet thought about or something that uses facts creatively;
- be engaging, interesting, perhaps even shocking (at the same time, the message should be supported by a core set of robust data that can resist scrutiny; be honest about areas of uncertainty, but treat them with caution); and
- articulate the need to take action and provide a solution.

Messages can be broken down into a central message and supporting messages that help you target specific audiences. Messages for local audiences will differ from messages for a national target.

Elements of an effective message

When developing messages for your advocacy, remember these principles:

- Know your audience.
- Make sure your message is easy to understand.
- Create messages that motivate your audience to take action.
- Use storytelling and creative data visualization to make your messages more accessible.
- Adapt messages and materials to the right communication channel.
- Find your messengers and build relationships.
- Practice!

KNOW YOUR AUDIENCE: There can be several messages that you send to different stakeholders, but they should all lead to the same goal. Different audiences will respond to different messages; use your stakeholder mapping and advocacy targets to identify the right people.

Research their concerns and priorities and think about the language you use to capture their attention. Use your list of primary targets and secondary influences as a guide.

MAKE SURE YOUR MESSAGE IS EASY TO UNDERSTAND:

Pollution control is full of technical and legal terminology. Make sure your messages are as concise as possible and easy to understand. And get to the point—long explanations may lose your audience's attention.

CREATE MESSAGES THAT MOTIVATE YOUR AUDIENCE TO

TAKE ACTION: Make sure you outline your proposed solutions to the problem and tell your audience what they can do to support you. A call to action suggests immediate and specific ways your audience can get involved. A good message is also emotionally compelling. Connecting with the core values of your audience triggers a strong emotional response, enabling you to inspire new actions and behaviors.

USE STORYTELLING AND CREATIVE DATA VISUALIZATION

TO MAKE YOUR MESSAGES MORE ACCESSIBLE: Stories of real-world impacts help bring technical policy problems to life. They let your audience know who the problem is impacting. Using stories from local people will help capture attention and provide urgency to proposed solutions. Think creatively about how to use the facts and figures you have collected in your research. Visual images often convey your message better than dry facts and figures.

ADAPT MESSAGES AND MATERIALS TO THE RIGHT

COMMUNICATION CHANNEL: Think strategically about the best channel for reaching each type of audience. Radio, television, social media, newspapers, websites, and blogs all engage their audience differently. Some are likely more popular than others for certain people. Multiple information strategies are likely needed if you have a diverse range of audiences. Think creatively about how to use a slide show, an op-ed, a comic book or poster, a recorded interview, a meme or blog post. Special events can also be an important communication vehicle for your advocacy messages.

FIND YOUR MESSENGERS AND BUILD RELATIONSHIPS:

Find people with strong connections to your primary targets and secondary influences who can help you deliver your message. People directly impacted by pollution can speak about their experiences; leaders or well-known experts may bring attention and respect. Take the time to cultivate relationships with journalists and other influencers. Approach them before your event or big story and provide them with background information they may need to understand your advocacy.

PRACTICE: Developing messages takes practice. Make sure you spend time with other partners to develop strategic messages that will help you achieve your goal. The message development worksheet in the Module 8 annex will help you. Raising awareness may not be enough. Once



BOX 10

Additional Resources for Developing Messages

- Tactical Tech, "10 Tactics Unstitched" (n.d.)
- The Access Initiative, "Story Telling and Data Visualization Workshop: Making Information Accessible" (2016)

you have created your messages, test them on audiences who represent your target and/or participant communities. Two additional resources for developing messages are listed in Box 10.

DEVELOPING MATERIALS FOR YOUR ADVOCACY CAMPAIGN

The environmental information you and local community members have collected is critical for evidence-based advocacy. Think creatively about how you can transform information into action by turning the

- community needs assessment into stories of pollution impacts that highlight poor enforcement of pollution laws, outdated standards, and so on, and their targeted policy solutions;

- information requests and proactive disclosure research into reports and issue briefs that document the gaps in implementation of right to information laws and the lack of information local communities need to engage around their pollution concerns; and
- attempts to participate in key policymaking forums or EIA processes into a slide show, blog series, or issue briefs that document the lack of opportunities in the real world for local people to have a voice in decisions affecting their communities.

These results can be presented to key policymakers, used to create videos and short stories to share with journalists, or developed into comic books and other visual materials that will help other local community members become involved in your campaign. The background document provides examples, in the section “STRIPE Country Experiences Using the Toolkit.” Examples from Indonesia and Mongolia are provided in Figures 2 and 3.

Publish your findings as an issue brief

A well-analyzed and well-written summary of project findings can also be published as an issue brief, providing an overview that you can use as evidence in transparency and accountability advocacy. The Module 8 annex includes an outline of an issue brief.

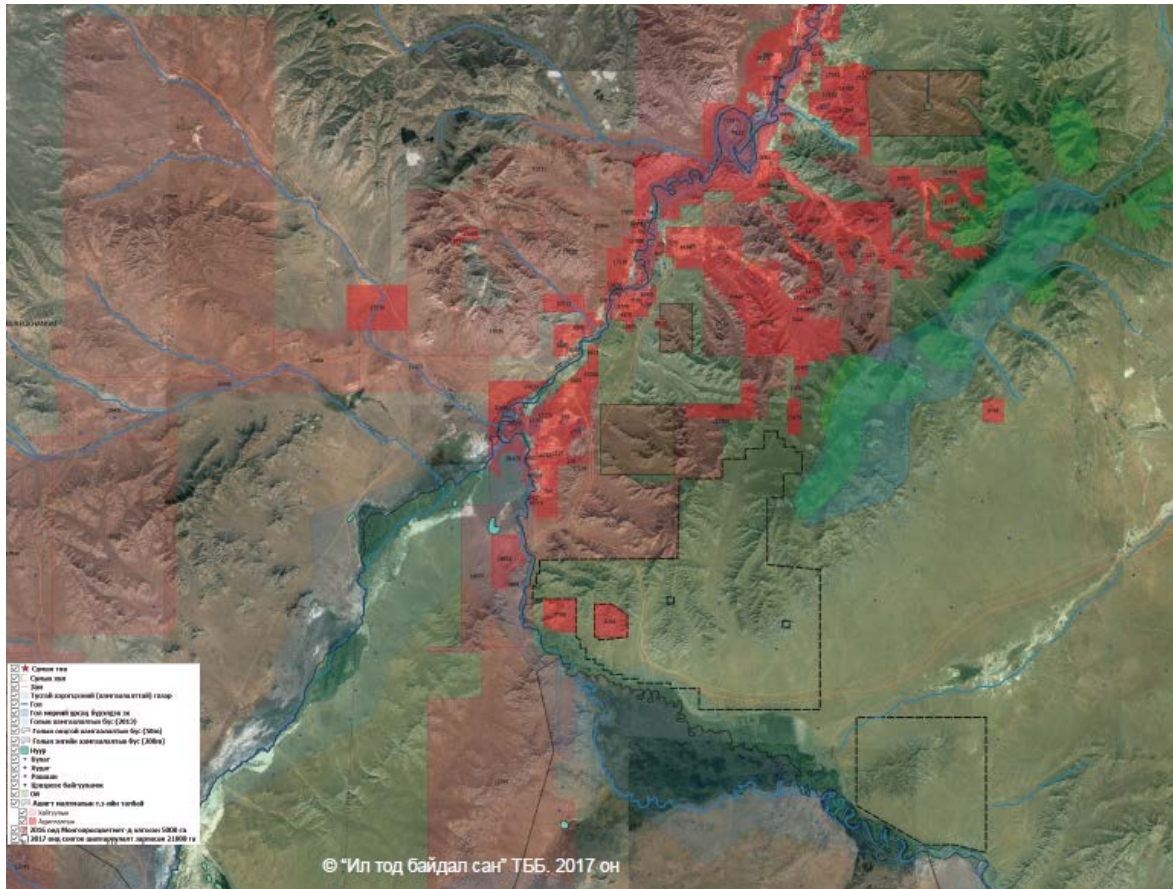
Figure 2 | Indonesian Calendar Created with Collected Information



Note: The calendar includes the pollution levels in key rivers in Indonesia based on government data collected for the STRIPE project. Translation of legend: “Information: [red] heavily polluted (68%); [yellow] moderately polluted (24%); [blue] lightly polluted (6%); [green] clean (2%).”

Source: MediaLink (2017).

Figure 3 | Mongolian Map of Gold Mining Sites in Zaamar



Note: This is a portion of a map created by STRIPE partners in Mongolia that outlines the different exploration and exploration licenses in Zaamar as well as the key hydrological, cultural, and other environmental elements. Local community members used these maps in their advocacy after collecting and consolidating government data.

Source: Tserenjav Demberel, Transparency Foundation 2018.



MODULE 8 ANNEX: ADVOCACY WORKSHEETS

DEFINING YOUR ADVOCACY GOALS

The best goals are “**SMART**”: **S**pecific, **M**easurable, **A**ttainable, **R**elevant, and **T**imebound. Goals like “raise public awareness” or “protect the environment” are vague. It’s difficult to know whether you have achieved them or not. Many people are aware of problems, but in your campaign you want to provide a solution or specific steps for them to take action!

LONG-TERM GOALS:

These are the goals that you eventually hope to win, and toward which the current campaign is a step.

INTERMEDIATE GOALS:

These are the goals that we hope to win in this STRIPE campaign. What constitutes victory? How will the campaign

- win concrete improvements in people’s lives,
- give people a sense of their own power, and
- alter the relations of power?

SHORT-TERM GOALS:

Short-term goals are steps toward your intermediate goals. What short-term or partial victories can you win as steps toward your long-term goals?

| LONG-TERM GOALS |
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| INTERMEDIATE GOALS |
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| SHORT-TERM GOALS |
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POWER MAPPING WORKSHEET

- List the stakeholders identified in the stakeholder mapping exercise
- Categorize their power influence using the following categories:
 - **S** = support
 - **O** = oppose
 - **SI** = secondary influencers
 - **SO** = secondary opponent
- Brainstorm on their specific interest. The more detailed you can be, the easier it will be to use this information in your advocacy campaign.
- Rank their importance to your campaign on a scale of 1 to 5, with 5 being the most important.
- Brainstorm ideas on how best to engage during your campaign, with each target listed.

| LIST DECISION-MAKER OR INFLUENCER, INCLUDING BOTH TARGETS AND OPPONENTS | CATEGORIZE INFLUENCE S = SUPPORT O = OPPOSE SI = SECONDARY INFLUENCERS SO = SECONDARY OPPONENT | WHAT INTEREST? ARTICULATE SPECIFIC INFLUENCE OR INTEREST IN YOUR ADVOCACY GOALS | RANK THEIR IMPORTANCE TO YOUR CAMPAIGN | HOW TO ENGAGE IN ACTIVISM |
|---|--|--|--|---------------------------|
| Government | | | | |
| Civil society | | | | |
| Community | | | | |
| Media | | | | |
| Legal | | | | |
| Private companies / polluters | | | | |
| Experts | | | | |

Source: Adapted from TAI (2010); and VeneKlasen and Miller (2007).



COALITION-BUILDING WORKSHEET

What is a coalition?

Do you need a formal coalition to achieve the goals of your pollution project? (Consider previous coalitions formed in this community and their success or failure.)

| <u>PROS</u> | <u>CONS</u> |
|-------------|-------------|
| | |

Are any other coalitions already formed that could help you achieve the goals? Are they in the same or different regions?

What are the main problems to tackle? What are the main goals? (Be very specific!! No broad goals should be included.)

PROBLEMS

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GOALS

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Consider the broader advocacy strategies you will be using in your campaign when determining the goals for the coalition, such as

- influencing or developing public policy or legislation or a plan of action,
- changing people's, a company's, or a government's behavior, or
- building an active community and education on key issues or individuals' skills.
- (Consider a practical scope of activities that can be accomplished within one year.)

How long should the coalition be formed to last?

| |
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Who will be part of the core group? Are there key people who have been longtime activists on this issue? Or people most affected by the issues who should be invited to join?

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Who are the influential people who have a high degree of credibility on this issue?

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What are the top five actions the coalition should take and who will undertake responsibility to lead these activities?

| ACTION | PERSON/ORGANIZATION RESPONSIBLE |
|--------|---------------------------------|
| 1. | |
| 2. | |
| 3. | |
| 4. | |
| 5. | |

What resources are needed to achieve the goals?

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Note: Effective coalitions generally require minimal financial expense for materials and supplies but substantial time commitments from people.

Who should take leadership roles? For example, chair and facilitator?

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How will you evaluate progress?

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WHERE TO SEEK ACCOUNTABILITY?

The choice of forum where you will seek a remedy for your complaint depends on a number of factors. Using Module 3, "Conducting a Legal Assessment of Environmental Rights to Address Pollution," as a guide, determine the types of forums that may be suitable to seek specific action or address your complaint.

| TYPE OF FORUM | JURISDICTIONAL SCOPE / MANDATE | STANDING TO TAKE ACTION / PUBLIC'S ABILITY TO APPROACH BODY | AFFORDABILITY | TIMELINES | CAPACITY | INDEPENDENCE / IMPARTIALITY | ENFORCEABILITY OF DECISIONS | TYPES OF REMEDIES / INCENTIVES / SANCTIONS SOUGHT |
|---|--------------------------------|---|---------------|-----------|----------|-----------------------------|-----------------------------|---|
| Ruling political parties | | | | | | | | |
| Opposition parties | | | | | | | | |
| Ministry of Health | | | | | | | | |
| Ministry of Environment | | | | | | | | |
| Relevant ministry that can assess costs, charges, or taxes to private sector facility | | | | | | | | |
| Ministry relevant to the impacting industry (Mining, etc.) | | | | | | | | |
| Ministry relevant to the sector (air, water, land, waste) | | | | | | | | |
| Shareholders/partners of corporations or company | | | | | | | | |
| Unions | | | | | | | | |
| Enforcement/inspectorate | | | | | | | | |
| Religious authorities | | | | | | | | |
| Police | | | | | | | | |
| Courts/judges | | | | | | | | |
| Media | | | | | | | | |
| International donors | | | | | | | | |
| National government regulatory agencies | | | | | | | | |
| Service providers | | | | | | | | |
| Mediation services | | | | | | | | |

Remedies available

A variety of types of remedies are typically available for citizen complaints. *Legal remedy* refers to the use of laws, courts, and administrative agencies to “address a problem.” However, there are incentives and sanctions that other nonlegal bodies can issue to ensure that complaints are answered. It is critical to determine the forum and the type of remedies or incentives that can be sought as part of the decision-making process to address your complaint.

Use the following types of remedies available to help fill out the grid above as part of the decision-making process to determine an appropriate forum for your complaint. The main types of civil, administrative, and criminal remedies are

- requiring an agency or organization to ensure compliance with standards, rules, or regulations;
- requiring an agency or organization to provide monetary or other benefits for losses suffered (restitution);
- issuing an order to make an agency or organization address a complaint;
- prohibiting an agency or organization from taking an action;
- assessing a penalty for failure to take an action or follow an order, including fines or criminal penalties;
- invalidating an order or canceling a permit;
- issuing an order to stop a company or agency from proceeding with an action;
- declaring the rights of an individual or group of individuals;
- calling for a record of events or actions to be made available; and
- arbitrating or mediating a complaint between two parties.



MESSAGE DEVELOPMENT WORKSHEET

| MESSAGE | GOAL (What do you want and what action is needed?) | AUDIENCE (Primary and secondary) | MESSENGER (Who is the best person to deliver the messages?) | CHANNEL (What media outlets and other forms of communication can be used, such as social media, in-person meetings, etc.?) | PRODUCT (Materials to provide, such as press releases, videos, blog posts, etc.) |
|---------|---|-------------------------------------|--|---|---|
| | | | | | |

Source: Adapted from TAI (2010); and Tactical Tech (2009).

ISSUE BRIEF OUTLINE

An issue brief is a short research document that contains original analysis of existing knowledge or practice. The findings report should review key insights to assess the extent to which government agencies are disclosing pollution control information and making it available to citizens, as well as the opportunities available for participation and accountability in policymaking decisions. The quality, comprehensiveness, and usability of this information and the type of participation forum can also be discussed. The report could discuss the efficacy of the right to information (RTI) as a tool to access data and information as well as the ability to use environmental impact assessments (EIAs) and other participation mechanisms. If possible, case studies highlighting the perspective of the communities involved in the project should be included. You should think through their intended audience and what information should be provided to persuade that audience to take action.

Audience:

- Government agencies in charge of pollution regulation
- RTI activists and open-data advocates
- Civil society, including groups working on the environment, water, livelihoods, and so on
- Media
- National and international donors

Format:

A maximum of 10–20 pages in length. The writing should be concise, analytical, and to the point. Descriptions should be kept to a minimum. Each brief should contain a short executive summary that highlights key findings, recommendations, and/or conclusions.

Key sections:

- **Executive summary**
- **Overview of project goals and objectives based on the country-specific toolkit**
- **Community assessment**
 - Case studies highlighting the value of information and participation for communities
- **Assessment of legal requirements for**
 - RTI law
 - Participation and accountability
 - Relevant water, air, and/or land regulatory framework
- **Proactive disclosure assessment**
 - Summary of government/agency policies on dissemination of data and information
 - Types of information proactively disclosed
 - Quality of information, including relevance to communities
- **RTI assessment**
- **Methodology**
 - Types of data requested
- Number and profile of agencies from whom information was requested
- Responses
- Quality of information received, including relevance to communities
- Findings from evaluation of information received
- Examples include documentation of poor standards, violations of permits, lack of enforcement, and so on
- Reflections on using RTI to access data and information on pollution regulatory control
- **Participation and accountability**
 - EIAs and other participation and accountability forums available under the law
 - Summary of local community's attempts to use its forums
 - Findings from evaluation of participation and accountability forums
- **Recommendations and conclusions**
 - Access to information, participation, and accountability
 - Water, air, and/or land pollution control
 - Strengthening communities' ability to use their rights

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ABOUT WRI

World Resources Institute is a global research organization that turns big ideas into action at the nexus of environment, economic opportunity, and human well-being.

Our Challenge

Natural resources are at the foundation of economic opportunity and human well-being. But today, we are depleting Earth's resources at rates that are not sustainable, endangering economies and people's lives. People depend on clean water, fertile land, healthy forests, and a stable climate. Livable cities and clean energy are essential for a sustainable planet. We must address these urgent, global challenges this decade.

Our Vision

We envision an equitable and prosperous planet driven by the wise management of natural resources. We aspire to create a world where the actions of government, business, and communities combine to eliminate poverty and sustain the natural environment for all people.

Our Approach

COUNT IT

We start with data. We conduct independent research and draw on the latest technology to develop new insights and recommendations. Our rigorous analysis identifies risks, unveils opportunities, and informs smart strategies. We focus our efforts on influential and emerging economies where the future of sustainability will be determined.

CHANGE IT

We use our research to influence government policies, business strategies, and civil society action. We test projects with communities, companies, and government agencies to build a strong evidence base. Then, we work with partners to deliver change on the ground that alleviates poverty and strengthens society. We hold ourselves accountable to ensure our outcomes will be bold and enduring.

SCALE IT

We don't think small. Once tested, we work with partners to adopt and expand our efforts regionally and globally. We engage with decision-makers to carry out our ideas and elevate our impact. We measure success through government and business actions that improve people's lives and sustain a healthy environment.

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