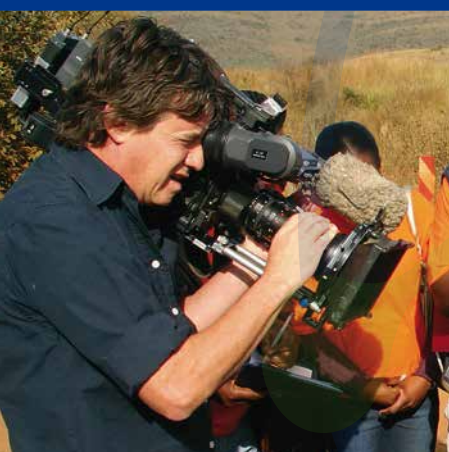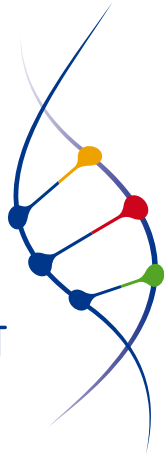THE **ABS**
CAPACITY
DEVELOPMENT
INITIATIVE

Strategic Communication for ABS

A Conceptual Guide and Toolkit for Practitioners

www.abs-initiative.info

Preface

This guide is about **ABS** as in **"Access and Benefit-sharing"**, a set of internationally agreed principles related to the utilisation of genetic resources. They were developed in the context of the UN Convention on Biological Diversity (CBD) and formalised in the **"Nagoya Protocol** on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilisation", which entered into force on 12 October 2014.

More specifically, the guide is about **Strategic Communication for ABS Implementation.** The Nagoya Protocol is a key milestone internationally but designing and implementing functional ABS systems at a national level can be a challenge: ABS involves a broad range of expert issues, and implementation of the Protocol requires the participation of many different stakeholders. The stakeholders that come together in ABS processes often have considerably diverse knowledge, views and interests. A strategic approach to communication helps managers of multi-stakeholder ABS processes to promote shared understanding of the issues, and to agree with all involved on the specific objectives to be achieved.

The multi-donor **ABS Capacity Development Initiative** has worked since 2005 to support partners in Africa, the Caribbean and the Pacific in their efforts to make ABS a reality. **Communication, Education and Public Awareness (CEPA)** has been an important focus of the Initiative from the very beginning. Several print and video products have been created to support ABS communication, and much experience has been gained through workshops, meetings and trainings related to CEPA. The ABS Initiative would like to thank all participants and contributors for their most valuable input.

The guide at hand consolidates some of the ABS Initiative's experience, and provides further concepts and tools to support people in charge of implementing ABS to communicate effectively. The ABS Initiative particularly thanks the **UNEP/Global Environment Facility (GEF)** project "Supporting the Development and Implementation of Access and Benefit Sharing Policies in Africa" for the generous funding contribution to develop this ABS CEPA guide. The production of the Spanish version of the guide was financed through the German Special Fund for Energy and Climate (EKF)/ German Ministry of Economic Cooperation and Development (BMZ).

While the communication approaches presented here have been developed with a view to ABS, they may also be useful for those who work to implement other targets of the **CBD Strategic Plan 2011–2020.** The ABS Initiative welcomes all to use this guide as they see fit.

This piece of work would not have been possible without the input, contributions and feedback of **ABS and communication experts** from around the world. Special thanks go to Geoff Burton, Pierre du Plessis, Frits Hesselink, David Ainsworth, Beatriz Gómez Castro, Lars Bjork, R. Jean Gapusi and TaeEun Jin, who made substantial contributions and/or thoroughly reviewed the draft.

The future will bring more experience, with both ABS implementation and the related communication. **Feedback from users** of this guide will be greatly appreciated and considered in future revisions. The Initiative is planning to publish regular updates online, at http://www.abs-initiative.info/knowledge-center/publications/ and www.abs-cepa.info.

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The ABS Capacity Development Initiative
August 2015

Content

1. Introduction

This Guide offers **advice** about the role, relevance and use of **communication** for implementing Access and Benefit-sharing (**ABS**) systems at the national level. It provides an overview of communication **considerations, approaches** and **methods** for the different phases of ABS implementation.

Establishing ABS policies, regulations, institutions and mechanisms is a process of **social change.** Well-designed communication strategies will help you manage the change effectively, and efficiently.

Strategic communication requires **specialist knowledge and experience.** Most people in charge of ABS implementation are not communication experts. Therefore, a very first piece of advice is: don't try to do it all by yourself! **Team up with others** who have the necessary expertise, and look out for partners who can help you design and implement the strategy and identify the required resources.

Target group – this Guide is for

▶ people who are **formally in charge** of national ABS implementation, such as Focal Points or National Competent Authorities,

▶ people who are **otherwise involved** in ABS implementation, such as officers in Ministries that are concerned with ABS, as well as industry, the science community, interested NGOs and other civil society groups,

▶ **anyone else** who has a need to communicate about ABS.

Purpose – this Guide is to

▶ help ABS experts and practitioners understand the **relevance** of strategic communication,

▶ assist people in charge of ABS with **guidance** and communication **tools** that support implementation of ABS and the Nagoya Protocol,

▶ support people and organisations involved in ABS to communicate their **interests**.

Please note that this guide has been written **for experts of ABS who seek advice on communication – not vice versa.** A basic assumption is that readers are broadly familiar with the UN Convention on Biological Diversity (CBD) and the Nagoya Protocol on "Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization" (ABS). If you are familiar with the principles and methods of strategic communication, but not with the Convention and/or ABS, you may want to consult other sources. The related websites of the CBD (www.cbd.int/abs) and the multi-donor ABS Initiative (www.abs-initiative.info) will be excellent starting points in this case.

Why a special communication guide for ABS?

A lot has been written about communication, about strategic communication, and about communicating biodiversity. Why do we need a Guide that's specifically targeted at communication for ABS implementation? The short answer is: **Because ABS is new, and because it is complex.**

What's new about ABS? Although the basic concept is as old as the Convention on Biological Diversity, many people still don't know much about ABS. In October 2010 the Nagoya Protocol to implement the ABS principles of the Convention was adopted at the tenth CBD Conference of the Parties (COP 10). By July 2014, fifty States and the EU had submitted instruments of ratification, and the Protocol entered into force in October of the same year. Since then, the focus has turned from international negotiations to national implementation – and this is indeed a very new task for many people in many countries. The community of ABS practitioners is still in a learning process, regarding both implementation and communication. At this stage, the Protocol is still not very well known – let alone understood – so that communicating ABS to the outside world often starts from scratch.

What's complex about ABS? ABS works at different levels and with a great diversity of stakeholders:

1 ABS involves many **expert issues** (e. g., biology, technology, law, justice, economics, politics, ethics, culture, etc.), and it is hard for any individual to be a 'fully-fledged' ABS expert.

Communication as a management tool helps you turn ABS into practice

For all these reasons, this Guide will focus on questions like: How to initiate and maintain **communication with and among stakeholders** about a variety of issues that are relevant for ABS implementation? How to design and deliver targeted information to **decision makers?** How to support different stakeholder groups to arrive at a **shared meaning** of ABS and its goals?

This corresponds to the 'C' in CEPA, the 'Communication, Education and Public Awareness' approach that is often used in the context of the CBD and other multilateral environmental agreements. The 'E' and 'PA', Education and Public Awareness raising, are only possible with good communication, but both will become more relevant as countries design their domestic systems and international ABS implementation becomes better established.

2 ABS touches upon a variety of **sectors** and markets such as agriculture, horticulture, pharmaceuticals, cosmetics, biotechnology, and others.

3 The range of **stakeholders** in ABS is very broad and heterogeneous: From policy makers and legal experts, via scientists, business people and NGOs, to indigenous peoples and local communities. They all have their own worldviews and perspectives, speak their own languages, have their own interests and objectives – and the distribution of power among them is often unequal.

4 There is a good deal of **interdependence** between the Nagoya Protocol on ABS and other international agreements, for example in the context of the World Trade Organisation (WTO) and the World Intellectual Property Organisation (WIPO), the Food and Agriculture Organisation (FAO), the World Health Organisation (WHO) or the Convention on International Trade in Endangered Species (CITES).

5 ABS is not a project with clear boundaries in space or time. Rather, ABS is a political arena and a **policy field:** Communicating ABS is only partly about selling a new concept but much more about leading, coordinating and facilitating a socio-political negotiation process.

The Nagoya Protocol has the potential to reduce the complexity of ABS, but only if all stakeholders can arrive at a shared understanding of how to implement it – which requires good communication.

Structure of this Guide

This ABS Communication Guide is divided into five main parts:

Part 1 provides an overview of the content and structure of the document.

Part 2 introduces you to some basic aspects of communication theory and practice.

Part 3 outlines the objectives and tasks of eight defined Fields of Action in ABS implementation, and explains how communication can help manage each of them.

Part 4 introduces you to a sequence of ten steps for strategic communication, which help you target and organise your approach in each Field of Action.

Part 5 provides a set of methods and tools, which have been cross-referenced with the ten steps of strategic communication.

Each part and chapter has been written in such a way that it can be used independently. This may involve occasional repetition, although the authors have tried to keep it at a minimum.

Growing practice in ABS implementation will bring about new communication needs, concepts, methods and tools. Therefore, this Guide is intended to be a living document, to be updated, complemented and expanded as more and more 'real-life' ABS experience becomes available.

2. Getting Started

Some Food for Thought

The Latin verb "communicare" means to share, to do together, to involve – much more than just to speak to or write to. Before looking into the significance of communicating *strategically* for ABS, it seems useful to spend a few moments recalling some general characteristics of communication.

1. You cannot not communicate

Everything we do – and don't do – communicates something to others. The way you look and behave, who you interact with and how, the words and images you use – all of this is observed by others, who put meaning to it. One conclusion is that even if you decide not to communicate something **actively,** it will mean something to others. For example, if you as ABS Focal Point decide **not** to address certain stakeholders, this alone will convey a message to them and others – and a bad one.
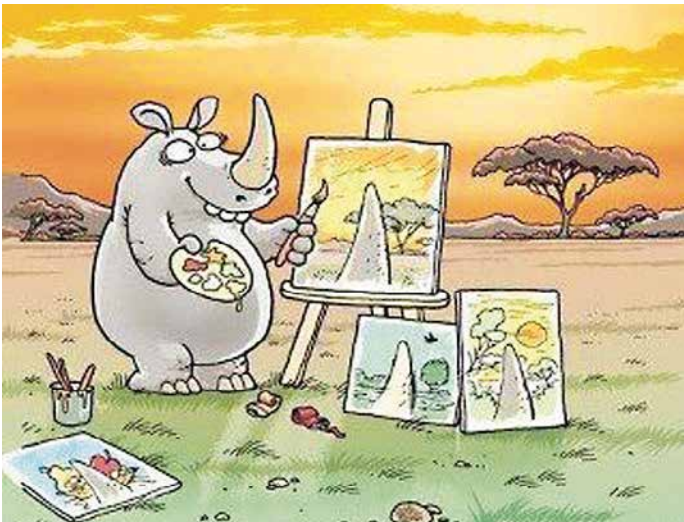
You see the world as you are!

2. Perception is the only reality

How we interpret other people's messages is shaped by our own background, world views, experience, culture etc. Words do not mean the same to all of us. For instance, a European will have a different idea of "heat" and "cold" than a person from the Sahel. The two will think of different things when they hear the word "fruit". Consider what that means for abstract concepts like "freedom", "justice" or "sustainability". Also, we tend to judge other people's statements by the quality of our relationship with them. For example, we are usually more ready to accept advice or opinions from people we trust than from those we don't know well or distrust. Therefore, trust and credibility in communication can hardly be over-estimated.

3. Communication is a two-way process – not one-way information flow

Communication is subjective: The meaning that one person, the sender, puts **in** a message is not the same that another person, the receiver, takes **out** from the same message. The receiver interprets the message according to his or her own perceptions – not according to the sender's intentions. Only feedback and exchange can create **shared meaning.** This is why it is crucial to go beyond producing brochures or posters, and to approach communication in an interactive and strategic way. Moreover, a multi-stakeholder process like ABS is not limited to one sender and a couple of receivers. Rather, different stakeholder groups will need to engage in a dialogue with each other, exchanging views as both senders and receivers. In those instances, the role of, e. g., the Focal Point, will be more of a moderator facilitating dialogue than that of a sender of one-way information.

4. Victories are not gained with words, but with images and sounds

We often use brain-appealing words to exchange information – but when it comes to decisions on new ideas, emotions and practical concerns are often stronger. Images and sounds that appeal to our heart and hands play an important role. We all know this from hard-to resist TV commercials, or from how hard it is to follow an anti-smoking campaign through from 'said' to 'done' (see next page). Hence, when we want to motivate and mobilize people to contribute to ABS, we need to appeal not only to what they know but also to what they feel and do about ABS. So – go beyond words, work with rich images and sounds, attract attention and reach people's heads, hearts and hands.

Initial Practical Orientation

We can derive some very practical hints from the more philosophical reflections above. Since communication is so subjective and interactive, the key to your success as a communicator is to …

1. Know your stakeholders

ABS requires knowledge, motivation and co-operation of many different individuals, groups and organisations. They may know little about ABS – but you may know just as little about them. Who are they, really? What drives their behaviour? What is important to them? What interests and motivates them? What turns them off? Who are their role models? Are their opinions dominated by specific individuals or groups? Your messages will only hit a mark if you relate to your audience's perceptions and views. So, look for shared meaning by finding out as much as you can about your audience. How? Read about them. Observe their behaviour. Ask others who know them well. And most importantly: Listen to them before you speak.

2. Define your objectives

What do you want to achieve? Do you want to influence other peoples' attitudes? Do you want to increase their knowledge? Do you want them to do something? And: For what purpose? As you will see in the next chapter, ABS involves activities in different fields. Each of them has its own policy objective and its own set of stakeholders. The communication objectives for each field and with each group will therefore be different, too. You will save yourself a lot of effort once you consider carefully what exactly you need to communicate with whom. Don't waste your time with shotgun approaches that target everyone and, therefore, reach no-one.

3. Adapt your communication style to the needs and interests of your audience

Different people know and like different things, need different things and use different language. If you want to attract a particular group's interest and motivate its members to contribute to your ABS-related goals, you will need to adapt to **their** style and what matters to **them.** Based on your knowledge of your counterparts, put yourself in their shoes: Dress the way they like and accept. Use inviting language that they understand. Start speaking of things that are **important to them,** and try linking this to what is important to you. Tell them what ABS offers to them, talk about incentives and advantages, how they feel and what your counterpart will be able to do with them. Don't talk about Nagoya, ratifications, conventions, technical or legal issues, as most people are not the least interested in this. In a nutshell: Present your ABS messages in ways that are attractive to **them.**

4. Test your hypotheses

Because of the subjectiveness involved in communication, you often need to work with hypotheses: You may not always know for sure what others find important. And it is not always obvious how your messages are perceived or what happens to them. Testing your hypotheses means seeking feedback, from observation and from dialogue: Has your message been heard, read, or seen? Has it been understood, shared meaning been achieved? Does your audience agree? Do they take action and change practices the way you intended? Just once, or more often? None of the answers is obvious. For example, a smoker may have heard, understood (head) and accepted (heart) that smoking is unhealthy. Whether he gives the habit up (hand) – for a day or forever – is a different matter.

"Said – Done"
or the difference between head, heart and hand

Said is not **heard**
Heard is not **understood**
Understood is not **approved**
Approved is not yet **done**

3. Communicating What:
Eight Fields of Action for ABS Implementation

Turning ABS into a national reality involves a broad range of activities in many different areas and with a great diversity of people. To provide orientation to those who are responsible for moving ABS forward, participants of a pan-African workshop in early 2011 developed a framework of eight Fields of Action that need to be worked on to successfully implement ABS:

1   Ratification of the Nagoya Protocol[1]
The formal consent by the responsible national institutions (e.g., parliament), for a state to become party to the Nagoya Protocol

2   Defining Overall ABS Policies/Strategies
Clarification of basic strategic cornerstones that define the national approach to ABS

3   Putting in Place Domestic ABS Regulations
Translation of the national ABS approach into rules, regulations and laws

4   Establishing Institutional Arrangements
Formal assignment of roles and responsibilities within the national institutional landscape to implement ABS

5   Dealing with Traditional Knowledge
Defining procedures and rules for access to traditional knowledge, to protect the rights of indigenous peoples and local communities and to ensure equitable sharing of benefits

6   Dealing with Trans-boundary Issues
Clarification at regional level of common approaches to dealing with genetic resources and associated traditional knowledge that occur beyond national borders

7   Valorisation Strategy
Defining priorities and approaches that help turn the economic potential of ABS into actual value and development opportunities

8   Stakeholder Involvement
This Field of Action transcends all others: Ensuring adequate participation and co-operation with the relevant stakeholder groups in each of the other seven Fields of Action
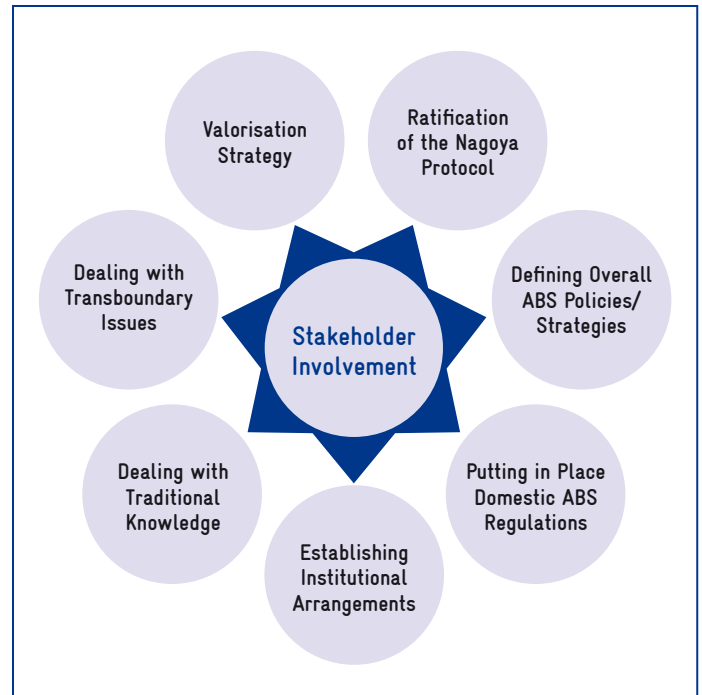
The eight fields have no particular order. Rather, they are inter-related and together result in a national ABS system. However, each Field of Action has its own policy objective, involves a specific set of activities, and requires the participation of different target groups.

This means that your communication approach will need to differ from field to field. For example, communicating with parliamentarians about ratification, or with ministries and legal drafters about legislation, will be quite different from involving business companies or indigenous and local groups towards developing a valorisation strategy and protecting traditional knowledge. Bear in mind that the key to success is often to get different stakeholder groups to communicate effectively with each other: Be a facilitator of dialogues, but resist becoming the 'central exchange'.

The following sections provide an overview of what each Field of Action is about, and how communication can support the process.

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1   For the sake of simplicity, the term 'ratification' is used throughout this guide for all instruments that countries apply to become a party to the Nagoya Protocol.

Field 1
Ratification of the Nagoya Protocol

What this Field of Action is about

Ratification refers to the formal consent by the responsible national institution(s) – often parliament – for a state to commit itself to the provisions of the Nagoya Protocol. However, to become a formal Party to the Protocol, the instrument of ratification, acceptance, approval or accession must be submitted to and registered by the international Depositary. For further information about these processes, please refer to www.cbd.int/world/ratification.shtml.

While ratification to the Nagoya Protocol is not a precondition for a state to put in place ABS measures, they are important expressions of political will and provide the necessary backing for many further steps in the process.

The **policy objective** for ABS in this Field of Action, therefore, is to enable the parliament and other responsible national institutions to decide about ratification of the Nagoya Protocol. This decision will greatly depend on the successful creation of political momentum.

To Do's in this Field of Action may include:[2]

▶ Turn the responsible minister into a "champion"
▶ Generate/strengthen political will
▶ Take necessary measures to ensure ratification of/accession to the Nagoya Protocol in the country
▶ Involve and ensure buy-in of the parliament
▶ Ensure commitment of the responsible institution (e.g., Ministry of Foreign Affairs) to deposit the instrument of ratification at the international level

How communication can help

Effective **communication** with the responsible institutions supports this process by providing political decision makers with an adequate amount and quality of information about ABS and its relevance for the country, so as to enable them to make informed decisions.
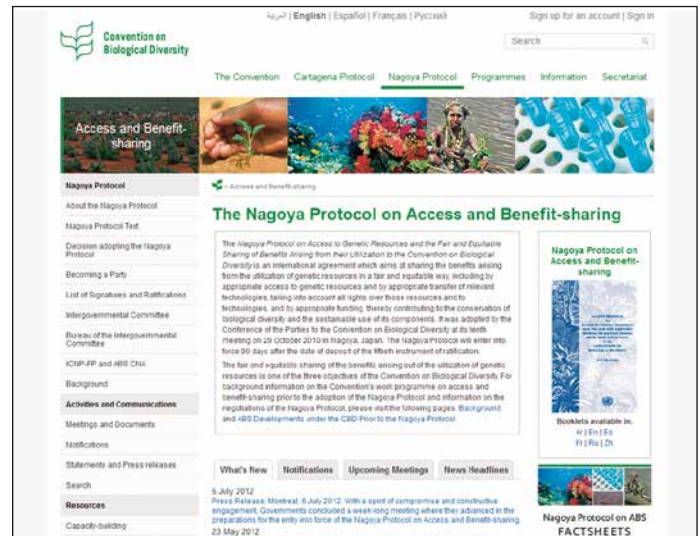
Communication-related activities may include:[3]

▶ Identifying who is involved in the decision making
▶ Gathering information and building hypotheses about what these people know, feel and do about ABS
▶ Finding out what specific information different individuals or groups need to know about ABS
▶ Clarifying who can and/or should provide what kind of information
▶ Determining how, where and when the information will best be presented to the decision makers
▶ Ensuring that the information is being presented and understood as intended
▶ Clarifying what role the Media have or should have in this part of the process
▶ Working through regional or continental bodies to promote political will at the national level

Strategic groups to address in this Field of Action include:

▶ Political decision makers
▶ Parliamentarians and their staff
▶ Ministries of Foreign Affairs
▶ Political parties
▶ Lobbyists

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2 The to-do's listed for each Field of Action build on the result of 120 participants' work at the 5th pan-African workshop of the ABS Initiative in February 2011 in Marrakech, Morocco.

3 The communication-related activities listed for each Field of Action are based on the results of an ABS communication experts' meeting in March 2011 in Bonn, Germany.

Field 2
Defining Overall ABS Policies/Strategies

What this Field of Action is about

While the Nagoya Protocol is quite clear about **what** is to be achieved, it does not generally prescribe in detail **how** member states should go about implementing ABS. Every country makes its own **strategic choices** regarding its national approach to implementing ABS. Such choices include, among other things, the overall policy orientation: market vs. protective approach; the nature of the regulatory system: cross-sectorial vs. stand-alone; the structure of the permit system: centralised vs. decentralised; the way in which checkpoints work: monitoring vs. scrutinising; etc.

The **policy objective** of this Field of Action is to clarify these and other matters, so as to arrive at a functional and coherent national ABS system. This can be a challenging exercise, because the decisions may have considerable implications on the further ABS structure and processes in the country. Also, they will be affected by and in turn affect different sectors and groups of stakeholders.

To Do's in this Field of Action may include:

▶ Taking stock of and analysing existing regulations, institutional arrangements, resources and opportunities
▶ Analysing the (intended and possibly unintended) effects of different strategic/policy options
▶ Elaborating a concept note on how the Nagoya Protocol relates to national policies
▶ Reinforcing institutions to support the development of ABS strategy and its integration into broader strategies

How communication can help

Effective involvement of all ABS stakeholder groups is paramount to define overall ABS policies/strategies, as a broad range of views needs to be collected, considered and sometimes negotiated. Broad stakeholder participation in this Field of Action also helps

to create and maintain political momentum and paves the ground for other Fields such as "Putting in Place Domestic ABS Legislation", "Establishing Institutional Arrangements" and "Valorisation Strategy".

Communication-related activities may include:

▶ Clarifying which stakeholder groups need to be involved in developing the overall strategy
▶ Deciding about the nature and extent of involvement of the different groups
▶ Gathering information and building hypotheses about what these people know about ABS, and what their knowledge, attitudes and practices are regarding ABS
▶ Defining how to work with each group and how to brief them about their role
▶ Planning milestones for the process of stakeholder consultations, and gathering feedback to the strategy
▶ Drafting, consulting and gathering feedback on the strategy, based on previous decisions about stakeholder involvement
▶ Identifying audiences who need to be aware of the strategy, even if they have not been involved in the drafting process
▶ Deciding about methods of presentation and dissemination of the strategy

Strategic groups to address in this Field of Action include:

▶ Line ministries such as science, agriculture, fisheries, trade, justice, health, etc. and/or related government agencies
▶ National, regional and/or international research institutes
▶ Private sector companies and/or business associations
▶ Indigenous peoples and local communities that may hold relevant traditional knowledge

Field 3
Putting in Place Domestic ABS Regulations

What this Field of Action is about

The Nagoya Protocol assigns an important role to domestic ABS measures, and to the need to harmonise laws or regulatory requirements with the Protocol. That is, the national strategic approach to ABS needs to be further translated into rules, regulations and/or laws.

The policy objective of designing, adopting and enforcing ABS measures at the national level is to create legal certainty for both users and providers of genetic resources. Countries have two basic options in this regard: They may create new, fully-fledged ABS legislation, or adapt existing legal frameworks, regulatory requirements and structures that can be used for ABS, even if they were not originally made for this purpose.

To Do's in this Field of Action may include:

▸ Analysing existing ABS-related regulations at different levels
▸ Depending on situation: drafting, harmonising or revising ABS regulations
▸ Engaging in the process of adoption of the ABS law(s) and related measures
▸ Adopting, where necessary, the required implementing legislation
▸ Notifying the ABS Clearing-house Mechanism at the Secretariat of the CBD about ABS laws and measures

How communication can help

Communication in this Field of Action aims at building the 'bridge' between, on the one hand, legal drafters and decision makers who are often not familiar with ABS, and, on the other hand, ABS experts and stakeholders who are typically not familiar with legal structures, thinking and language. The communication approach should therefore be designed to provide clarity about ABS for political decision makers and legal drafters. Because of the cross-sectorial nature of ABS, the drafting process is likely to require involvement of various line ministries. This makes clear communication all the more beneficial, especially if the process is being harnessed to clarify options in the Field of "Overall ABS policies/strategies". Bear in mind that different stakeholder groups have different material interests that will be affected by the results of this exercise. Complete consensus might not always be possible, and political leadership might be required to forge an acceptable compromise.

Communication-related activities may include:

▸ Holding stakeholder consultations on the draft law
▸ Developing drafting instructions
▸ Agreeing on a timetable with the legal draftsperson and meet with him/her, being prepared to modify the instructions for greater clarity
▸ Identifying any possible unintended consequences and seek to remove or counterbalance them
▸ Following the cabinet approval and/or the parliamentary process
▸ Being prepared to be questioned about ABS at any time, by people from your own as well as from other departments, and from inside as well as outside government
▸ Once approved, ensuring clear and straightforward communication about the legislation
▸ Preparing press releases and/or press conferences for the responsible authorities

Strategic groups to address in this Field of Action include:

▸ Legal drafters
▸ Line ministries and government agencies related to ABS

Field 4
Establishing Institutional Arrangements

What this Field of Action is about

This Field of Action relates to the formal assignment of roles and responsibilities, i.e., to setting up national institutions that take the lead in and are responsible for implementing the Nagoya Protocol.

This process has two dimensions. On the one hand, some institutionalisation is already required in the process of setting up the overall national ABS system: for example, certain multi-stakeholder fora will need to be temporarily established to develop the overall national ABS policies/strategies. On the other hand, longer-term institutions need to be assigned or created that are responsible for managing key ABS instruments like Prior Informed Consent (PIC) and Mutually Agreed Terms (MAT).

Ultimately, the **policy objective** of this Field of Action is to facilitate implementation with clear institutional responsibilities. As with legislation, a country may decide to set up entirely new institutions for ABS, or aim at integrating ABS functions into existing national institutions. In most cases, the approach will be a mix of both.

In any case, To Do's in this Field of Action may include:

- Assigning a national focal point
- Setting up a national ABS committee/council
- Setting up or assigning a national competent authority, with participation of indigenous peoples and local communities and other stakeholders where appropriate
- Providing information to the ABS Clearinghouse Mechanism at the Secretariat of the CBD
- Setting up checkpoints to monitor compliance

How communication can help

Setting up functioning institutions is, in itself, effectively a communication and negotiation process. To operate well, every working group, committee, department or organisation needs a clear mandate, terms of reference, a structure and processes, membership criteria, internal and external lines of communication, etc. This process requires facilitation and, therefore, good communication.

Communication-related activities may include:

- Designing co-ordination mechanisms across agencies and institutions such as inter-departmental committees, including strengthening the role of the ABS Focal Point
- Establishing mechanisms for decision making and management of genetic resources at the appropriate sub-national levels, and for co-ordination between the different levels
- Developing partnerships with NGOs, local businesses and other local actors whose activities directly impact the use and conservation of genetic resources

Strategic groups to address in this Field of Action include:

- Relevant line ministries and/or government agencies
- Local researchers, NGOs, local businesses, etc.
- International stakeholders
- Other interest groups

Field 5
Dealing with Traditional Knowledge (TK)

What this Field of Action is about

Indigenous peoples and local communities (IPLCs) often hold traditional knowledge about biological and genetic resources. To protect the rights of these communities, countries with large rural populations, ethnic diversity and a rich legacy of traditional knowledge have a particular need to clarify how such knowledge can be accessed and utilised. The Nagoya Protocol requires that traditional knowledge associated with genetic resources that is held by IPLCs is accessed with their prior informed consent (PIC) or approval and involvement.

The **policy objective** of this Field of Action is to establish rules and procedures for access to traditional knowledge, and to facilitate benefit-sharing with indigenous and local knowledge holders.

To Do's in this Field of Action may include:

▸ Identifying and documenting traditional knowledge, includ-ing customary laws and rules for access, if agreed by the respective indigenous peoples and local communities
▸ Developing guidelines on traditional knowledge, including for access to traditional knowledge, and define structures at all levels
▸ Supporting ILPCs in the development of community pro-tocols for better understanding and respect of traditional governance and decision-making processes
▸ Enhancing awareness and capacity of communities, ministries, other stakeholders and agencies
▸ Ensuring national legislation protects traditional knowledge and establishes rules for access
▸ Building capacities for relevant negotiation skills in communities

How communication can help

Effective communication in this Field of Action supports capac-ity development of communities, ministries, agencies and other stakeholders to manage traditional knowledge. Also, it helps to empower holders of traditional knowledge to understand and exercise their rights and opportunities. This is likely to be a long-term project that requires sustained and repeated efforts.

Communication-related activities may include:

▸ Helping holders of traditional knowledge to understand ABS policies and legislation
▸ Assisting holders of traditional knowledge to manage their expectations
▸ Assisting holders of traditional knowledge in identifying and documenting their knowledge, including customary laws and rules for access
▸ Consulting and agreeing with holders of traditional knowledge on methods for sharing information about the ABS system, respecting established traditional governance structures
▸ Working with intermediaries who have the respect and trust of indigenous peoples and local communities
▸ Working with indigenous representatives in universities as intermediaries for documenting traditional knowledge, and helping them to create an environment where TK and science can meet
▸ Facilitating communication between groups of holders of the same traditional knowledge: Encouraging seminars and informal meetings between members of different communities
▸ Helping holders of traditional knowledge to develop relevant negotiation capacities and skills
▸ Monitoring expectations and other perspectives on ABS by regular surveys

Strategic groups to address in this Field of Action include:

▸ Indigenous peoples and local communities
▸ NGOs and other civil society groups
▸ Line Ministries; Government agencies
▸ Universities and other academic research institutes

Field 6
Dealing with Trans-boundary issues

What this Field of Action is about

Genetic resources, associated traditional knowledge, and research into either or both, often occur in more than one country, i.e., they are of a trans-boundary nature. This Field of Action is therefore about establishing regional approaches to ABS. Although limited experience has been gathered to date in dealing with this issue, it is a crucial aspect to make ABS work in practice.

The **policy objective** of this Field of Action is to avoid regional conflict, e.g., over diverging rules and regulations for granting access to genetic resources, or over different benefit-sharing arrangements with communities that live in several countries. Beyond avoiding conflict, regional co-ordination and harmonisation of ABS approaches will ideally create synergies between neighbouring countries.

To Do's in this Field of Action may include:

▶ Assessing the effectiveness of the Nagoya Protocol's provisions on trans-boundary traditional knowledge and genetic resources
▶ Evaluating existing regional arrangements and identifying opportunities to improve them
▶ Establishing/strengthening trans-boundary co-operation arrangements between states and indigenous peoples and local communities for the protection of genetic resources and traditional knowledge
▶ Setting up trans-boundary research entities to examine issues related to shared trans-boundary genetic resources and traditional knowledge
▶ Setting up information exchange mechanisms between partners (research, state, indigenous peoples and local communities, etc.)

Communication-related activities may include:

▶ Investigating Memorandums of Understanding on information exchange and co-operation e.g., regarding shared (utilised) resources, research co-operation etc.
▶ Identifying communalities and differences e.g., in common law, civil law
▶ Encouraging different jurisdictions with shared resources to co-operate in order to establish consistency
▶ Setting up inventories and co-ordination mechanisms for shared (utilised) resources
▶ Establishing mechanisms for information and co-ordination with relevant groups, authorities and institutions in the respective countries
▶ Facilitating learning across borders e.g., on management of traditional knowledge, resource valorisation
▶ Exploring and facilitating opportunities for collective advocacy and negotiation

Strategic groups to address in this Field of Action include:

▶ Inter- and intra-national government agencies
▶ Existing regional intergovernmental organisations
▶ International research institutes
▶ Other interest groups

How communication can help

Communication in this Field helps to enhance clarity about rights and obligations across borders, by bringing together the relevant stakeholders, providing them with the necessary information, supporting their exchange of views and experiences and facilitating trans-boundary agreements.

Field 7
Valorisation Strategy

What this Field of Action is about

Turning the value of genetic resources and traditional knowledge into incentives for sustainable use and conservation of biodiversity does not occur by itself. Planning and promotion of research and investment are necessary if the potential of ABS is to be tapped and countries are to become pro-active drivers of their own ABS futures – rather than passive regulators who respond merely to initiatives that originate elsewhere. This involves identification of market opportunities, investments in value enhancing activities, and providing a stable, predictable policy and legal environment.

The **policy objective** of this Field is to turn the potential economic value of genetic resources and associated traditional knowledge into actual income and economic development.

To Do's in this Field of Action may include:

▶ Assessing and understanding the value of the natural heritage and the interests of its holders
▶ Identifying and eliminating obstacles to secure valorisation
▶ Ensuring that providers, users and regulators all have realistic expectations about the nature, likelihood frequency and range of benefits
▶ Identifying the commercial potential of particular components of biodiversity and communicating it to bio-prospectors
▶ Identifying valuable non-financial benefits and communicating these to holders of genetic resources and any associated traditional knowledge
▶ Identifying market opportunities in relevant sectors and feeding these into the ABS strategy
▶ Ensuring the integration of ABS into NBSAPs and other national plans, including national science and technology plans, or national socio-economic development plans
▶ Identifying financial resources for value enhancing activities
▶ Developing strategies to promote use of biodiversity for value creation and economic development

How communication can help

Creating and implementing a national valorisation strategy related to ABS is perhaps the Field where most information exchange needs to take place between extremely diverse actors. Policy makers and regulators need to understand commercial concepts and business models of different sectors. Business people need to comprehend and accept administrative procedures. Government officials need to be able to use information provided by taxonomists. Different stakeholders need to be aware of the available options. It is not trivial to facilitate the information exchange needed by all these different actors, so as to create an enabling environment for the valorisation of genetic resources and associated traditional knowledge and to make rational investment decisions possible.

Communication-related activities may include:

▶ Providing policy makers with information on necessary public investments before commercial investors can or will engage
▶ Identifying and involving relevant actors in creating the valorisation strategy
▶ Informing users of genetic resources and associated traditional knowledge about requirements for and processes to obtain prior informed consent (PIC) and mutually agreed terms (MAT)
▶ Providing users with evidence of freedom to operate
▶ Identifying, cataloguing and publishing the taxonomy of species and their potential for bio-discovery
▶ Informing providers of genetic resources and associated TK on business models used in different sectors
▶ Creating awareness among providers about the implications of the concept of "utilisation of genetic resources", as outlined in the Nagoya Protocol
▶ Providing feedback on adaptive changes in introduced ABS systems, in light of experience and any expressed concerns

Strategic groups to address in this Field of Action include:

▶ Private sector companies and/or Business associations
▶ Line ministries and/or government agencies
▶ Research institutes
▶ Indigenous peoples and local communities
▶ Local and international scientific bodies

Field 8
Stakeholder Involvement

What this Field of Action is about

This Field of Action cuts across all others: it is about enabling and ensuring adequate participation and co-operation of different stakeholders in each of the other Fields of Action. Not all stakeholders are equally interested in all ABS aspects, and not all are relevant in each stage of the process. It is important to differentiate who exactly is needed when, where, in which way and to what extent.

The **policy objective** is to ensure commitment and compliance of all relevant stakeholders.

To Do's regarding Stakeholder Involvement in each Field of Action may include:

▶ Identifying relevant stakeholders
▶ Creating awareness about ABS among identified stakeholders
▶ Clarifying roles and responsibilities for each stakeholder
▶ Developing channels of communication with and between the different stakeholders
▶ Developing plans for the participation of relevant stakeholders

How communication can help

By its very nature, stakeholder involvement is all about communication. Its main role is to make the different groups aware of their rights, roles, responsibilities and opportunities, so as to ensure that they be adequately involved in the process and identify with it. A strategic approach helps to save effort, time and resources.

The following chapters outline a sequence of ten steps for **strategic communication.** Since each Field of Action has a different policy objective and stakeholder composition, each of them requires its own communication approach. Of course, this does **not** mean that voluminous strategy papers need to be written every time. Instead, the ten steps are designed to help you reflect and decide who to address in each field with what objective and in which way. In some cases, this may require thorough analyses. In other cases, a simple discussion with colleagues will suffice to clarify the approach.

Summary: Eight Fields of Action for ABS Implementation

Field of Action	Policy objective	How communication can help	Strategic groups
Ratification of the Nagoya Protocol	Decide whether or not to ratify the Nagoya Protocol	Support government/ parliament to make informed decisions on ratification	▸ Political decision makers ▸ Parliamentarians and their staff ▸ Political parties ▸ Lobbyists
Defining Overall ABS Policies/Strategies	Clarify the national approach to ABS	Collect and consider relevant views	▸ Line ministries such as science, agriculture, fisheries, trade, justice, health, etc. and/or related government agencies ▸ National, regional and/or international research institutes ▸ Private sector companies and/or business associations ▸ Indigenous peoples and local communities that may hold relevant traditional knowledge
Putting in Place Domestic ABS Regulations	Create legal certainty	Provide clarity about ABS for legal drafters and decision makers	▸ Legal drafters ▸ Line ministries and government agencies related to ABS
Establishing Institutional Arrangements	Facilitate implementation with clear institutional responsibilities	Facilitate operational co-ordination	▸ Relevant line ministries and/or government agencies ▸ Local researchers, NGOs, local businesses, etc. ▸ International stakeholders ▸ Other interest groups
Dealing with Traditional Knowledge	Facilitate benefit-sharing with holders of traditional knowledge and those entitled to benefit from possession or control of genetic resources	Empower holders of traditional knowledge and genetic resources to understand and exercise their rights and opportunities	▸ Indigenous peoples and local communities ▸ NGOs and other civil society groups ▸ Line Ministries; Government agencies ▸ Universities and other academic research institutes
Dealing with Trans-boundary issues	Avoid conflict and create synergies	Enhance clarity about rights and obligations across borders	▸ Inter- and intra-national government agencies ▸ Existing regional intergovernmental organisations ▸ International research institutes
Valorisation Strategy	Turn the potential economic value of genetic resources and associated traditional knowledge into actual income and economic development, and include direct and available non-financial benefits	Provide the information needed on and by different sectors to make investment decisions	▸ Private sector companies and/or Business associations ▸ Line ministries and/or government agencies ▸ Research institutes ▸ Indigenous peoples and local communities ▸ Local and international scientific bodies
Stakeholder Involvement	Ensure commitment and compliance of different stakeholders	Make stakeholders aware of their rights, roles, responsibilities and opportunities	▸ All relevant stakeholders in the respective Field of Action

4. Getting Strategic – 10 Steps for Communicating ABS

As we have learned from the previous chapter, implementing ABS means establishing an innovative set of policies, legal provisions and other mechanisms, by involving a considerable number and variety of different groups of people. What does "strategic communication" mean in this context?

Being strategic is about setting goals and identifying means to achieve them. It is the opposite of isolated, shotgun or ad-hoc initiatives. Strategic communication for ABS means reaching shared meaning of its underlying concepts, principles and implications with a variety of stakeholders, and defining workable, co-operative solutions.

Put differently: Strategic communication is more than disseminating information, and much more than producing brochures, films or TV ads. The latter are often used ad-hoc for introducing new products or projects – but that is not strategic.

Instead, strategic communication is the active solicitation of stakeholders' perspectives through dialogue, consensus building and partnerships. Internal as well as external factors need to be considered: Internal factors include human characteristics, such as norms and values, attitudes and behaviour, emotions and beliefs, culture and social relations. External factors refer to the 'carrier' of a message, i. e. material such as brochures, posters or film, as well as the 'vehicles' that bring the material to the target groups, like print or broadcast media, the internet, influential individuals, or the dialogue that occurs during meetings and group events.

With complex topics like ABS, communication challenges often result from unrealistic assumptions:

▶ Believing that the power of the word alone will solve a problem. By assuming that "Said" equals "Done" (see page 9), communication barriers are neglected – and not overcome.

▶ A tendency within the 'ABS community' to believe that scientific facts, ecological or legal concerns are convincing and compelling on their own. Yet, what people perceive is influenced by emotions and socialisation as well as by reason and knowledge and subjectively plausible alternative views – especially when such views reinforce existing emotionally held beliefs.

▶ Conflicts of interest are being fought amongst stakeholders, rather than being negotiated by people who have arrived at a common understanding of the intentions and objectives of ABS.

Being strategic refers to

▶ **long-term vision**

▶ **alliances**

▶ **goal- and action-orientation**

▶ **priorities**

▶ **logical consistency in a step-by-step approach**

▶ **management of activities, budgets, time and human resources**

▶ Confrontational approaches that lead to one-way information flows (and vice versa), instead of two-way communication that aims at achieving shared meaning and a win-win situation.

The truth is, people do not act on the basis of statistics and studies. Personal narratives and reports are just as important as objectively verifiable data. People are driven by their own interests, select from the information available to them, and act on the basis of their perceptions. Ultimately, change results from a blend of neutral data and subjective interpretations.

The related communication skills can be learned and applied by national focal points, national competent authorities, civil society organisations and others involved in ABS implementation. The key is to define up-front for what and for whom the information is meant, and how different groups are supposed to translate information into communication and action. This is best achieved by means of a systematic and comprehensive, step-wise approach, which is structured along the four main stages of a policy cycle: Assessment, Planning, Production and Action & Reflection.

Strategic Communication at a Glance[4]
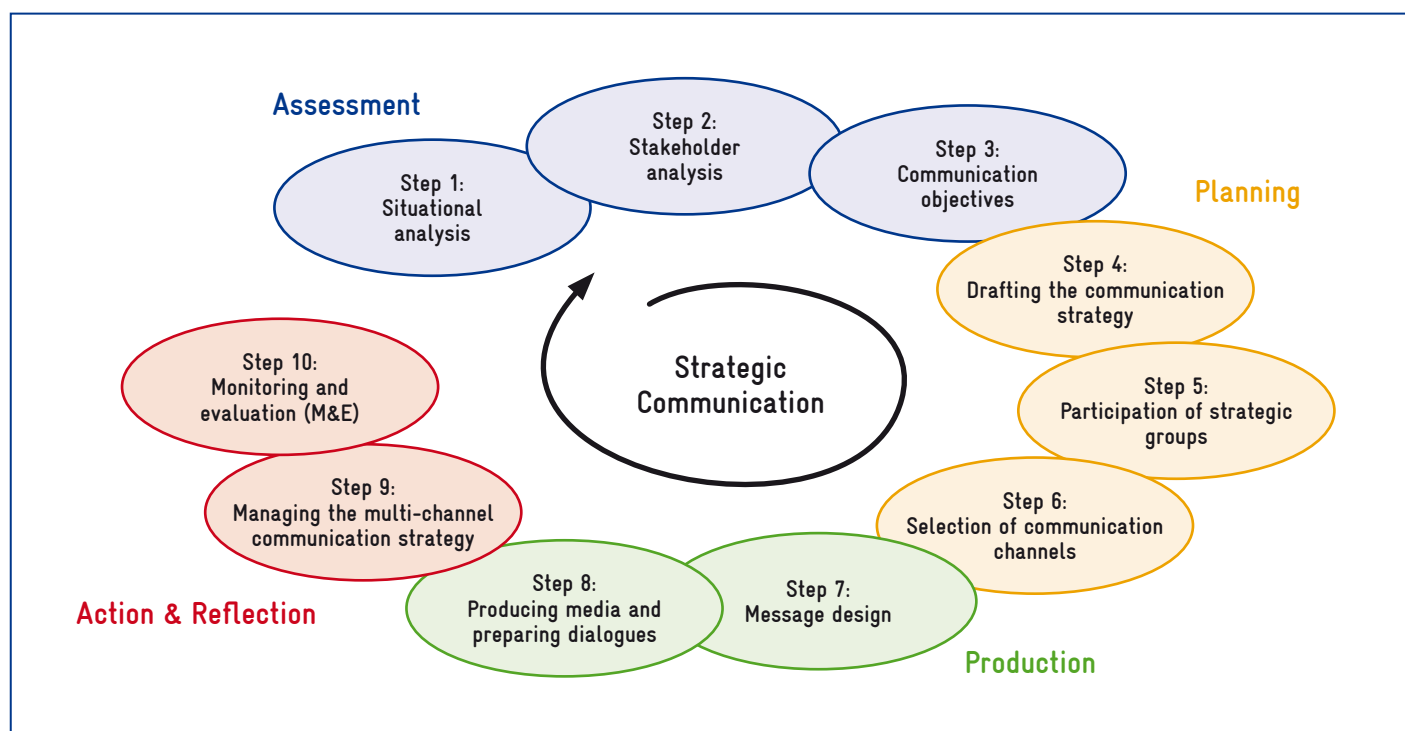
Strategic communication as described in this Guide helps stakeholders exchange ideas, change directions and shift to a higher gear towards ABS implementation. It bridges 'hard' technical and legal know-how and the 'soft' action-oriented change of critical practices. It is oriented towards participation and involvement, which are indispensable for the acceptance, credibility and sustainability of new ideas and changes such as ABS.

Having said this, a word of caution: Communication is neither a magic wand that will help overcome all ABS challenges, nor is it for highly specialized journalists and media producers only. Rather, communication is a management tool that supports the ABS process, like the chain on a bicycle. The bike won't move without it, but the chain cannot move on its own. Similarly, strategic communication transforms the power generated by those in charge of ABS into joint action with others.

Finally, a remark on the methodology and the logical consistency of the 10 Steps and the related tools is due: Although the methods in this Guide have been designed as stand-alone units, they are partly overlapping and iterative. For example, in the assessment phase, Step 1 and Step 2 are largely combined because the situation you look at and the stakeholders who are relevant in it cannot be separated in practice. Also, you will see that all steps build on and refer to each other. Therefore, instead of looking at each step separately, it makes more sense and will reflect the reality of your work if you orientate yourself by the four main stages:

▶ first, collect information during the **assessment** or analysis stage,
▶ next, do the basic **planning** on who to involve and what media to choose,
▶ then, go into **production** of media and messages, and
▶ finally, take **action** and **reflect** on what you have achieved.

So, let's get strategic.

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4 This strategic approach used in this Guide is derived from various development communication sources (Adhikarya and Posamentier 1987, SPAN 1993, Rice 1989), from the Strategic Extension Campaign (SEC) approach of the FAO (Adhikarya 1994) and from GIZ concepts for environmental communication (GIZ 1999, OECD 2000). Also, the CEPA toolkit of the CBD and IUCN-CEC (Hesselink et al. 2007) builds on and uses a variation of these 10 steps.

Assessment

Step 1
Situational Analysis

What this step is about

Communication is a management tool to help you solve problems. Therefore, it is helpful to clarify **first things first:**

1 Which issues do you actually want to address in your communication strategy?

2 What do you have to say regarding these problems?

The answers to these questions depend on the particular situation in your country, and on the objectives you want to achieve. In ABS, they relate to which Field of Action you are working on at a given point in time. The descriptions of the eight Fields of Action provide you with initial orientation regarding the different policy objectives and the potential range of stakeholders, as well as with some of the to-do's to manage each field successfully.

Starting out from those objectives and to-do's you need to arrive at a clear picture of the specific situation you are facing, the challenges that you decide to tackle, and what you need to or want to say about them. Only when you are clear about these matters will you be able to define your communication approach.

This is because, even within the same Field of Action, different countries may find themselves in very different situations and face considerably different challenges. If you don't clarify what the situation and related problems are in your country, you run the risk of investing money and time into communication about minor issues – while missing out on the important ones.

Example
Step 1 in Field of Action 1: Ratification

The policy objective in "Ratification" is for the responsible national institution (e.g., parliament) to decide whether or not to ratify the Nagoya Protocol. A situational analysis in this Field of Action may involve questions like: What are the legal provisions for ratification of international treaties in the country? Which steps need to be taken, who needs to be involved at what point? What are the costs of implementing the Nagoya Protocol – versus the losses of not doing so? Which other, related international agreements has your country ratified? What would be the implications for different sectors if the Nagoya Protocol was ratified?

Based on your knowledge of the situation, you will be able to identify the issues to be addressed. For example, the main challenge in one country may be a lack of political priority for anything that is regarded "environmental". In another country, the political will may exist, but ratification of the Nagoya Protocol may require major adjustments of existing regulations in a particular (sub-) sector. In a third country, there may be will and consistency with existing frameworks, but doubts regarding the institutional or the financial capacities to implement a complex regime such as the Nagoya Protocol. Each of these challenges requires a specific solution – and thus a different communication approach.

How you can take this step

There are many ways to conduct a situational analysis. The conventional way is to commission a **study** or **survey.** The more complex the Field of Action (e. g., "Defining Overall ABS Policies/Strategies"), and the less is known about the situation and related challenges, the more insights you will gain from a broad, formal analysis – and the more useful will be the investment.

If you just need an initial overview – and/or if you are tight on resources – Step 1 can be combined with an analysis of the knowledge, attitudes and practices (KAP) of the most important stakeholder groups (Step 2) and the definition of communication objectives (Step 3). **The JobAid: Situational Analysis** (Tool **1.1**) provides a simple table that helps you clarify what you actually need to achieve within a particular ABS Field of Action in your country. It also provides insights into the particular challenges or problems in that situation, and helps discover second-best solutions. However, you should familiarize yourself with Step 2 and Step 3 before using this tool, looking at the **Assessment** stage as a whole.

If you require a more thorough analysis, a different – or complementary – option is to conduct a **Policy Field Analysis Review** (Tool **1.2**), which helps you define the system boundaries of the ABS issue in question. This is important in order not to over-extend the scope, audiences and activities related to your communication strategy.

Another useful method is the **Big Picture Chart** (Tool **1.3**), with which you can identify the driving and restraining forces at work in the respective Field of Action. Driving forces push towards your goals, restraining forces might stand in the way of progress. Obviously, when the driving forces are stronger than the restraining ones, your chances for success are greater. At a later stage of the process, you will think of ways to strengthen the driving forces and weaken the restraining forces. A Big-Picture Chart can guide you in developing and implementing your communication strategy.

For more location-specific analyses, where indigenous peoples and local communities are involved, you might consider a **Participatory Rapid Appraisal (PRA),** which is ideally done with the help of an experienced NGO. This method aims at incorporating the knowledge, views and interests of local people in the planning and management of development policies and programmes. PRA tools can be divided into four broad categories:[5]

- Sampling, e. g., transect walks, production patterns, traditional/historical knowledge

- Interviewing, e. g., focus group discussions, semi-structured interviews, triangulation

- Visualization, e. g., Venn diagram, social and physical mapping, matrix scoring, timelines

- Group dynamics, e. g., learning contracts, role reversals, feedback sessions

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5 Further references can be found at www.fao.org/docrep/003/x5996e/x5996e06.htm

Step 2
Stakeholder Analysis

What this step is about

Based on your assessment of the situation and the specific challenges at hand, it is time to look into the landscape of stakeholders that are required for solving the problems addressed by the communication strategy. Two questions need to be answered in this respect: Who are the relevant stakeholders? And what do they know, feel and do about ABS? The answer to the first question involves identifying all individuals and groups who play a role in resolving the issue – either because they are affected by it, or because they can influence the solution. The table on page 20 gives you an initial idea of possible strategic groups in each Field of Action. The answer to the second question requires a closer look at each stakeholder or stakeholder group: What are their main characteristics? What motivates them, what holds them back? And what are their specific knowledge, attitudes and practices (KAP) regarding ABS?

> ### Example
> ### Step 2 in Field of Action 1: Ratification
>
> The challenges you identified in Step 1 will determine who the relevant stakeholders you need to deal with are. For example, if the overall political priority for environmental issues is low, you may need to work with opinion leaders from many different groups: parliament, ministries, political parties, etc. If, instead, the main challenge lies in a particular sector, for example agriculture, you may focus on relevant individuals and groups in the ministry and related institutions of that sector. Next, you should try to find out more about each person or group. What do they know about ABS and the Nagoya Protocol? What are their objectives and values, and how do these support or stand in the way of ratification? If you expect them to have reservations: Are these more likely to be of a technical or of a value-based nature?

The decision for or against a new idea or innovation typically goes through four stages, which are similar to the process of introducing a newly invented product to the market: **Awareness – Interest – Trial – Adoption or Rejection.** Some people go faster through this process, while others need more time. Broadly, we can distinguish three segments of any population that undergoes change: early adopters, the early or late majority, and laggards. **Early adopters** are enthusiasts – about 15 % of all your ABS stakeholders – who curiously pick up the new idea and push it forward. What they have to say about it often determines success. **The majority** – about 70 % – are indifferent at first. They shy away from costs and

risks and need to be won over. If the enthusiasts cannot convince the majority, this is often due to fears and opinions raised by the laggards. **Laggards** – about 15 % – are rather sceptical and tend to adopt the change slowly. However, they often have important reasons for that, so it is necessary to listen to them and take their points seriously into account.

Where do **you** stand in this process? If you are reading this Guide, you are certainly an innovator who lavishes time, energy and creativity on convincing others regarding this new idea called 'ABS', which will not thrive without your energy and commitment. You are the quintessential change agent.

How you can take this step

The simplest way to get an initial overview over relevant stakeholders is the **JobAid: Overview of Strategic Groups** (Tool **2.1**), a table in which you can list the main strategic groups, their major interests and related critical practices. Creating a slightly more sophisticated overview of stakeholders in a particular Field of Action is a relatively straightforward task. Ideally, you work with colleagues and brainstorm all those individuals and groups who may influence or be affected by changes in the situation that you have analysed earlier. Once you have that list, you can create a **Stakeholder Map** (Tool **2.2**) to differentiate the relevance and potential impact of each stakeholder group. This helps you identify:

▶ **Primary stakeholders,** i. e., individuals, groups or institutions who have an interest or exercise power relevant to the ABS issue in question, with whom you will need to co-operate closely and/or from whom a change in practices is expected;

▶ **Intermediaries,** i. e. individuals, groups or institutions who can assist you in reaching out to other stakeholders, e. g., opinion leaders, NGOs or others who may help you lobby for support.

Next, you need knowledge and/or hypotheses about the different stakeholders' key characteristics and motivational forces. Various tools are available for this: The **Four-field Analysis** (Tool **2.3**) looks at each stakeholder from four different angles: interests, relationships, organization, and perception. This allows you to build hypotheses around what motivates each stakeholder group, what they need, how they look at themselves and others, and how they arrive at decisions. Another way to look at individual stakeholders is the **Force Field Analysis** (Tool **2.4**). Similar to the Big Picture Chart used in Step 1, this tool looks at driving and restraining forces – but this time with a focus on specific stakeholder groups. The tool is useful for mapping forces for or against a plan or policy and different stakeholders' power to influence the process. The result will help you target your communication efforts more effectively.

The tools so far provide general insights into the stakeholders in a particular Field of Action: who they are, what their goals are, how they are organised etc. This gives you orientation as to what might be expected from them and how to approach them. Based on this, a particularly important question for the development of your communication strategy is where key stakeholders stand regarding the specific ABS issue at hand.

Because ultimately, your communication efforts are to create an impact: you will want to increase stakeholders' knowledge, influence their attitudes and/or contribute to their changing practices. To design a communication strategy that helps you achieve this, you need to get a picture of where they currently stand. The **JobAid: Knowledge, Attitudes, Practices (KAP)** (Tool **2.5**) helps you analyse this: What do specific stakeholder groups know, feel and do about ABS? What interests them in the Nagoya Protocol? Which incentives or benefits may motivate them to take action? What may be reasons for negative attitudes or rejection of new practices? Which existing practices may support or lead to the desired action? How do they relate to others, especially to other ABS stakeholders? Who are innovators and change agents

on whom the communication strategy can be buildt? What are stakeholders' media consumption patterns? And what are their preferred communication channels or sources of information regarding ABS?

What you are effectively trying to do here is to find out how to get from 'Said' to 'Done' (see page 9) by asking how to get a new idea into people's heads, hearts and hands. This is only possible if you know where they currently stand in the (change) process.

While thorough KAP surveys require specialized expertise, and can be time-consuming and expensive, you may start by discussing the four KAP questions for each stakeholder group in a workshop or brainstorming session with selected experts or colleagues.

Whichever way, at least a minimum of KAP assessment should always be done, because the results of **Step 2** are crucial for formulating communication objectives in **Step 3**, considering the involvement of intermediaries in **Step 5**, selecting media in **Step 6**, designing messages in **Step 7** and monitoring and evaluating the impact of the communication strategy in **Step 10**.

KAP	3H appeals	Communication barriers
Knowledge	**Head** cognitive	▶ Said is not heard ▶ Heard is not understood
Attitudes	**Heart** affective	▶ Understood is not approved
Practices	**Hand** action–oriented	▶ Approved is not done ▶ Done is not sustained

Step 3
Communication Objectives

What this step is about

What are communication objectives? Let's start by clarifying what they are **not**:

1 **Communication objectives are not the same as policy objectives.** For instance, if the policy objective in the Field of Action "Defining Overall ABS Policies/Strategies" is to clarify the national approach to implementing the Nagoya Protocol, even the best communication can only contribute to achieving this objective. Other things, besides communication, will need to happen to arrive at a functional and consistent national ABS strategy.

2 **Communication objectives are not the same as the communication itself.** For example, speaking with the Minister, publishing a brochure or holding a workshop may be important activities in your communication strategy. Still, they are only means to an end and not the end itself.

So what **are** communication objectives? **Communication objectives describe the intended results of a communication strategy in terms of the target groups' knowledge, attitudes and practices (KAP).** Communication objectives should specify what exactly is to be accomplished: increasing knowledge, influencing attitudes and/or changing practices of stakeholders with regard to a particular ABS issue.

How you can take this step

Defining communication objectives is closely related to the KAP results and other stakeholder information collected in Step 2. But in Step 3 you start with the practices (**P**) and go back to the attitudes (**A**) that are necessary for the **P** to happen. Subsequently, you move further down to the knowledge (**K**) that is necessary for the **A** to happen.

The rationale is that, **ultimately,** the desired impact of your communication efforts is a change in behaviour, that is: practices (**P**), on the side of important stakeholders.

Example
Step 3 in Field of Action 2:
Defining Overall ABS Policies/Strategies

Assume that your policy objective is for strategic stakeholder groups to make joint decisions on the overall ABS policy orientation of the country. You may ask:

▶ **Practice (P)**: What exactly do the strategic groups need to do **(P)** to arrive at these decisions? For example, chambers of commerce or IPLC organisations need to clarify internally (within their own constituencies) what their strategic priorities are. Then, they need to contribute their views in the joint decision making process, and possibly negotiate certain items with other stakeholders. At some point they may need to build coalitions with others. This will involve

costs – e.g., compromises on their positions, or being represented by another stakeholder group – which they will only be willing to pay if they are fully convinced of the advantages of a coherent national ABS system.

▶ **Attitudes (A)**: What beliefs, opinions and attitudes **(A)** will the strategic groups need to adopt, so that their participation and negotiation behaviour **(P)** will move into the mentioned direction?

▶ **Knowledge (K)**: What specific knowledge **(K)** about the ABS system and the provisions of the Nagoya Protocol do the strategic groups need to gain, so that they can develop the desired positive attitudes **(A)?** E.g., they will need to be informed about the implications of different policy options – for example, an umbrella ABS policy versus sectorial ABS approaches – and how these support or obstruct existing arrangements of their own organisations or constituencies.

The **JobAid3:** Communication Objectives (Tool **3.1**) provides you with questions to determine KAP-related objectives of your communication strategy. These are best formulated in a SMART way, i. e., they should be **S**pecific, **M**easurable, **A**ttractive, **R**ealistic, and **T**imed.

The following is an example (for illustration only) of what KAP-related objectives might look like.

Once you have defined the objectives, it is a good moment to clarify how you are later going to monitor and evaluate the strategy. How are you going to see whether you are on the right track? And how will you evaluate whether the communication strategy has been successful or not? A simple tool you may use for this purpose is the **Indicators for Communication Objectives** (Tool **3.2**).

If your KAP survey in Step 2 has provided you with quantitative, empirical baseline data, you can compare the data before and after your communication intervention, sometimes down to the level of individuals. If you do not have such quantitative data, you may still assess progress by counting how many organisations have joined stakeholder workshops, entered negotiation processes with others and/or established their own ABS priorities.

Practice	What do you want the strategic groups to **do** so that the policy objectives in the respective ABS Field of Action can be achieved?
Attitude	What attitudes do the strategic groups have to **be convinced** of so that they will change their practices in the intended direction?
Knowledge	What do the strategic groups need to **know** so that they can change their attitudes in the intended direction?

Field of Action:	Defining overall ABS Policies/Strategies
Policy objective:	For example: "Strategic stakeholder groups make decisions on the overall ABS policy orientation in the country, to arrive at a functional, coherent national ABS system, before month/year."
Communication objectives:	
Practice	▸ A representative mix of relevant public, private and civil society groups formulate the priorities they want to be covered in the national ABS strategy, and contribute these by written submission as well as in multi-stakeholder workshops where national strategic priorities are being discussed and elaborated, so that the draft strategy can be developed before month/year.
Attitude	▸ The proportion of public, private and civil society groups who express an interest in contributing to the definition of national ABS Policies/Strategies is significantly increased at least six (6) months before month/year. ▸ A majority of relevant public, private and civil society groups follow invitations to stakeholder workshops or dialogues with other groups to integrate their priorities into broader, national ABS policies/strategies at least four (4) months before month/year.
Knowledge	▸ A majority of the relevant public, private and civil society groups is informed about options and implications regarding the overall ABS policy orientation at least nine (9) months before month/year. ▸ A representative mix of relevant public, private and civil society groups conducts internal consultations about the strategic options for implementing ABS and the Nagoya Protocol, balancing pros and cons in relation to their organisation or constituency at least six (6) months before month/year. ▸ The proportion of groups who have insufficient comprehension of the strategic options for ABS is significantly reduced at least four (4) months before month/year.

Planning

Step 4
Drafting the Communication Strategy

What this step is about

The **Assessment** so far has resulted in baseline data on situational challenges and needs (Step 1); information and/or hypotheses about the ABS stakeholders, their knowledge, attitudes and practices (Step 2); and communication objectives (Step 3).

Based on this assessment, the actual **Planning** can begin. Step 4 consists of a first broad look at all the remaining steps. It is about outlining the overall **strategic** communication process ("What to do?"), and doing a first reality check from a **management** perspective ("How to do it?").

This involves basic decisions regarding 'what', 'who', 'how', 'where' and 'when':

▶ **What** action are we going to take?

▶ **Who** is to carry out the action?

▶ **How** exactly is the action to be carried out?

▶ **When and where** is the action to be accomplished?

▶ **How to measure** success, progress and impact through meaningful indicators?

▶ **How much** will be needed in terms of resources (budget, staff, time, logistics), and how can these resources be obtained?

At this point, it is useful to remember that communication is a dynamic process: Planning and implementation **cannot** be fully separated – certainly not when the aim is to effect changes in the knowledge, attitudes and practices (KAP) of stakeholders. Rather, it is an iterative, two-way process. It is therefore important to involve stakeholders early, by planning and implementing the strategy with them rather than for them. The following chart illustrates some options for doing this.

Stakeholder contributions		
in ▶ **on ▼**	**Planning ("What")**	**Implementation ("How")**
Knowledge dissemination of facts, data, information	**Agenda setting and facts on** ▶ the ABS issue at hand ▶ potential solutions offered by relevant organisations ▶ actual options for joining potential activities ▶ surveys on acceptance of planned activities	**Step-by-step information on** ▶ actual state of the ABS issue at hand ▶ ongoing activities ▶ necessary changes of practices ▶ possible incentives and sanctions ▶ acceptance and success of actual activities ▶ success stories of 'early adopters' ▶ opportunities for the 'majority' to join in
Attitude motivating and mobilizing for action	**'Look and feel' throughout the ABS process** ▶ highlighting ABS advantages and incentives through success stories of 'early adopters' ▶ creating a sense of inclusion among the 'majority' and 'laggards' regarding advantages arising from ABS ▶ surveys that highlight positive views on ABS, e.g., from change agents and opinion leaders	
Practices action orientation, change towards desired practices	**Identifying ways to** ▶ get involved in the ABS process and its activities – and then talk about it ▶ communicate key ABS messages through available media as convincingly and impact-oriented as possible ▶ win over the 'late majority' and 'laggards' ▶ support ABS communication directly or indirectly through networking, alliances and co-operation, including shared media coverage	**Involving stakeholders in** ▶ actively implementing decisions regarding ABS – and then talk about it ▶ keeping the co-operation of different stakeholders lively and dynamic at all levels of ABS implementation ▶ winning over the 'late majority' and 'laggards' ▶ monitoring & evaluation, and modifications of on-going activities ▶ deriving lessons learned for the future

How you can take this step

Step 4 is about determining the general direction and priorities of your communication strategy on the basis of the KAP findings. Based on your earlier analyses, the **JobAid: Drafting the Communication Strategy** (Tool **4.1**) helps you summarise the level of knowledge, attitudes and practices (KAP) of key stakeholder groups, and draw initial conclusions regarding strategic priorities and the type of communication channels you are going to use. It also helps you assess similarities between certain stakeholder groups, so that you can later group some of them and partly address them together.

The tool is organised as a simple **IF – THEN** overview. Consider, for example, the case of group C in the following table:

IF the stakeholder (individual or group) already has a high level of knowledge and a relatively positive attitude towards the ABS policy at hand, but has not yet turned that into practice,

THEN the strategy should focus on action: There is no need to provide more information or motivate them much further. Instead, you may want to provide, for example, skills training or coaching. Mass media will play a subordinate role in this case, while platforms for dialogue or training as well as interpersonal communication will be very important.

As a result of this exercise, you will have a clearer picture of your overall communication approach to different stakeholder groups and about a suitable mix of communication channels for each of them. This general orientation will be further specified in **Steps 5, 6 and 7** of the planning and design process, and will be put into practice in Steps **8, 9 and 10,** when messages and communication channels are being used and evaluated.

	IF			THEN				
	Stakeholder POSITION regarding			Communication Strategy FOCUS			Communication Channels FOCUS	
Stakeholder	Knowledge K	Attitude A	Practice P	Main Purpose	Main Approach	Questions to address	Information Dissemination one-way	Interactive Communication two-way
A	low/ medium	low	low	informative	create awareness, identify needs	what + why	high: e.g., mass media	medium: e.g., participatory appraisal
B	medium	medium	medium	motivational, action oriented	discuss + test alternatives	why + how	medium: e.g., newsletter, brochure	medium: e.g., workshops, demonstration
C	high	medium	low/ medium	action oriented	train skills, coach for action	how	low: e.g., website	high: e.g., peer-to-peer meetings, training, coaching
…								

Step 5
# Participation of Strategic Groups

What this step is about

Participation is a process of motivating and mobilising people to use their human and material resources, in order to take their personal and professional aspirations into their own hands. Although 'participation of strategic groups' is described as an individual step in this ABS communication guide, it is crucial throughout the process and should be a continuous effort – not just a one-shot exercise.

This is because, generally, people tend to resist change and refuse commitment as long as they:

▶ do not know or fully **understand** the issue, its implications and the underlying facts;
▶ haven't had a chance to **balance** pros and cons, advantages and disadvantages, gains and losses;
▶ haven't got at least some **say** in planning, implementing and evaluating the change process;
▶ haven't reached a minimum of **shared understanding** with others, of the issue and related facts.

The key word is **ownership** – of communication processes and channels, of media products and messages. All of these should **not** be made **for or about** stakeholders **but** ideally be **developed with and by** these groups. This contributes to a sustainable ABS implementation process and results in a mix of communication approaches that is suited to the specific socio-cultural circumstances.

Does that mean that everyone should always participate in everything? No. That would be neither possible nor desirable. Not everybody is interested in all aspects of a given process. And, while participation supports ownership, it also requires time and other resources. The balance to be struck varies according to the Field of Action and its stakeholders. For example, certain technical aspects of ABS-related intellectual property procedures may be important for applied research or the private sector, while political decision makers may only need a general understanding of these issues. In turn, policy makers will be more interested than business or academia to know the implications of different strategic, legal and institutional options for implementing the Nagoya Protocol.
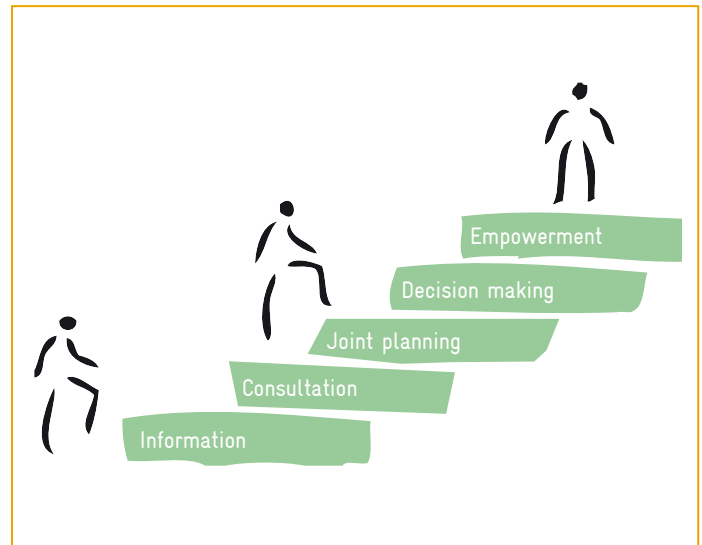
Degrees of participation range from simple information to full empowerment. The degree of participation of particular stakeholders is determined through a negotiation process. However, those who lead the process (e. g., the ABS Focal Point) can influence that degree when designing the strategy. So let's have a closer look at the different degrees of participation:[6]

1 Information
Participation in this approach is close to zero: People get informed about what is going to happen, but have no chance to express their views. The information is 'owned' by professionals or experts. Simply informing may be appropriate in some situations – e. g., when there is nothing left to decide.

Examples: Press conference; Road show.

2 Consultation
Stakeholders participate to the degree that they provide information and views, and decision makers listen to them. However the consulted groups have no control over the results of this process. Others define the problem and the solutions, while the stakeholders' views may or may not be considered. Whether or not the proceedings are shared is up to those who control the process.

Examples: Public hearing; Panel discussion with interest group.

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6 Adapted from www.fao.org/Participation/english_web_new/content_en/degree.html

3 Joint planning

Stakeholders participate in situational analyses and the definition of action plans. This process typically involves interdisciplinary methods that allow integration of multiple perspectives and make use of structured learning opportunities. All views are taken into account in a transparent process – although not everybody may have a chance to control the final decisions derived from this process.

Example: Advisory committee.

4 Decision making

Based on joint analyses and planning, stakeholders participate in the final decision making, for example together with ABS policy makers. This marks the initiation of shared meaning and responsibilities for any outcomes that may result. The process also involves a negotiation process among different stakeholders, which will reflect different degrees of leverage exercised by individuals and groups. This works best when the level of knowledge and information among the participants is not too heterogeneous, and they have similar negotiation capacities.

Example: Inter-sectorial commission or task force.

5 Empowerment

Stakeholders jointly analyse a given situation and derive conclusions and decisions, based on legal or other formal provisions, but without being subject to external interventions in the process. In this approach, stakeholders take control over their own decisions and of the consequences that follow from them. Such self-initiated mobilization and collective action may, in some situations, challenge an existing inequitable distribution of wealth or power.

Examples: Multi-stakeholder steering group; Inter-sectorial Competent National Authority (CNA).

Again, it is important to note that, while broad stakeholder involvement is crucial to make ABS work, 'more' is not always 'better'. It all depends on the issue at hand, on the interest that particular stakeholders have in this issue, and on the role that they play in resolving it. While it may be frustrating for people to feel left out (not enough options for them to participate), it is also possible to put stakeholders off by trying to involve them intensely in processes that they are not interested in (too much pressure on them to participate). Also, broad participatory processes on minor issues will be time-consuming, ineffective and frustrating for all involved. It is all about the right dose.

How you can take this step

One key to clarifying the appropriate level of participation in different situations is to develop the communication strategy together with a small selection of individuals who represent all the main stakeholders. They can help you decide who should be involved where, when and how. The **JobAid: Participation of Strategic Groups** (Tool **5.1**) supports your reflections and discussions.

Forms of Co-operation and Roles (Tool **5.2**) helps you analyse co-operation patterns and roles within a particular ABS Field of Action. More of a general approach than a "tool" are the Harvard techniques for **Negotiation** (Tool **5.3**), which are summarized in the Toolbox. For more information, we recommend study of the related literature, participation in a training course – and much practice. In turn, the exercise **Chairs in the Corner** (Tool **5.4**) illustrates the benefits of co-operation as compared to competition. It can be used as an educational warm-up exercise at a multi-stakeholder workshop.

Finally, an important key to managing the participation of stakeholders well is **transparency:** Don't pretend that you're after joint decision making when you really just want to consult certain stakeholders. People react quite negatively to what is sometimes called 'pseudo participation'. The mid- to long-term effect is that they will lose respect and interest – and you will lose credibility.

Step 6
Selection of Communication Channels

What this step is about

Everything that carries a message is a communication channel – or medium[7], as it is often referred to. For our purposes, it is helpful to distinguish information dissemination (one-way) and interactive communication (two-way), as shown in the illustration below. In both cases, different channels are used to address specific audiences. Interactive communication, however, necessarily implies feedback and at least some level of shared meaning, while information dissemination does not.

Step 6 is about determining an effective mix of communication channels with different types of audiences. As we have seen earlier (in Step 2), a new idea or innovation is adopted or rejected in stages: awareness, interest, trial and adoption or rejection. Early

adopters (typically about 15 % of any population or group) go through this process faster than the majority (about 70 %), and 'laggards' (the remaining 15 %) take the longest time.

A decisive factor is participation and ownership – as we have seen in Step 5. Obviously, it is much easier to 'own' communication channels that you can produce and control directly (e. g., meetings, conversations, newsletters, e-mails), than to 'own' TV, video, radio or newspapers. Yet, participation doesn't need to be limited to two-way communication channels. For example, strategic alliances with the 'mass media' can be useful for information dissemination regarding ABS.

An interesting research finding in this regard is that one-way 'broad band' communication is more relevant at the early stages of a change process. As an innovation spreads from early adopters to majorities, specific and interpersonal communication becomes increasingly important for people to decide whether or not they are ready to adopt the innovation. Put differently: While TV,

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7 Among communication specialists, "media" refers not only to "the media" as in TV, radio or the press, but to any channel that can transport a message.

Dissemination of information

one-way

- Basic knowledge and information
- Broad outreach
- Attraction and persuasion
- Regular programming

Studies, Books

Phone calls, Meetings

Brochures, Flyers, Posters

Media and communication channels support and comlement each other

Workshops, Trainings, Mentoring

Film, TV, Radio, Newspapers

Letters, Internet, Theatre

Interactive communication

two-way

- Motivation and mobilisation
- Action orientation
- Easy access and local context
- Acceptance and trust

Communication channels should be appropriate to the audiences'…	Select and use individual communication channels…
▸ information–seeking habits ▸ preferred information sources ▸ ability to access ▸ media consumption patterns ▸ communication networks	▸ for specific rather than multiple objectives or purposes, ▸ that have a unique characteristic or advantage ▸ which can easily accommodate 'localized' messages, ▸ that can be locally developed, produced and supported, ▸ that complement and reinforce other channels of the same strategy, while offering distinct functional strengths

newspapers, brochures etc. can play an important role in the awareness and interest phase, face-to-face communication with peers (friends, colleagues, partners etc.) takes over when it comes to assessing, trying and adopting or rejecting a new idea. This tends to be particularly true if the innovation is complex and its implications are difficult to grasp – which is the case with most ABS issues.

The important thing to note here is that some channels are good for one-way information dissemination, while others are good for interactive communication, that is, dialogue. No medium is effective for all purposes or stakeholder groups. Each one has unique characteristics and particular advantages, which are useful to accomplish specific purposes. However, some communication channels complement and reinforce each other, while others don't.

For example, TV or radio are quite suitable for emotional appeals ('A' like attitudes) and may complement information provided by print media ('K' like knowledge) and interpersonal guidance or training ('P' like practice). In contrast, a flyer, a brochure and a website often do not complement each other, but are just technically different ways to provide the same information ('K' only). However, note that much also depends on the design of each channel: For example, an interactive website or a participatory study may well address people's hearts as well as their minds ('A' and 'K').

How you can take this step

The question to be answered in Step 6 is: Which channel – or combination of channels – should be used for the specific purpose, target group and message(s) at hand, so as to achieve the intended effect? Generally, communication channels should be selected for specific objectives related to KAP. A combination of one-way information dissemination and two-way, interactive, interpersonal communication tends to be most effective.

For example, business people tend to prefer information that is brief, concise and to the point. A short email or article, a few bullet points on a slide, the most important arguments outlined in a two-minute speech may attract a senior manager's interest. Approaching a local chief in the same way might have the exact opposite effect.

The **JobAid: Selection of Communication Channels** (Tool **6.1**) helps you assess advantages and disadvantages of different channels, and which combination of channels will be the most suitable for which target group.

Of course, you might not always be able to produce a specialised mix of communication channels for each stakeholder group. The good news is: Based on your stakeholder analyses (Step 2), your KAP-related objectives (Step 3), your strategic outline (Step 4) and the envisaged degrees of participation (Step 5) you may group **types of ABS stakeholders** and address them together with a suitable mix of channels. The rationale is that a coherent, co-ordinated and self-reinforcing system will cover differentiated knowledge, attitude and practice (KAP) objectives of different types of groups.

Production

Step 7
Message Design

What this step is about

Now that you have clarified by which communication channels you can reach your audiences, it is time to define the messages that you intend to 'send' via the different channels.
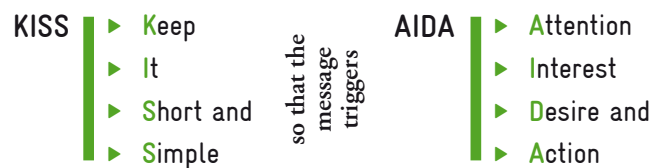
The messages are directly related to the communication objectives – but they are not the same. The objective is what you want to achieve – the change in knowledge, attitude or practice of a particular stakeholder (an individual or group). The messages are what you want to get across to them – what you want to talk about. For example, communication objectives such as the ones suggested on page 29 are the desired results of a communication activity. These now need to be 'translated' into an informational, motivational or action appeal, and to be packaged in a way that is specifically tailored to the characteristics of the respective stakeholder group.

The main difference between an ABS communication objective and an ABS message is that you do **NOT** talk about ABS. This may sound surprising – but the fact of the matter is: Most people are not the least interested in "ABS" or "Nagoya". What they want to know is: "What's in it for me and my group or community? How does it affect me and my constituency?" That is, people are interested in the **advantages** they can get out of ABS and the Nagoya protocol. And they want to know the **costs,** i.e. the price they will have to pay or the effort they will have to make in return for enjoying the advantages. For example, "If you participate in this dialogue with other stakeholders, you will be able to influence the design of policies and regulations that work well for you and your peers/sector/community/constituency."

So, instead of talking about how complex and conflictive all these ABS issues are, you draw an attractive image in front of your audience of how great the future will feel and look like once people engage in providing access to and sharing the benefits from the use of genetic resources. Successful salesmen and social marketing companies call this "selling the sizzle" instead of the sausage, because it's the desirable sounds and smells that whet people's appetite. Don't make ABS an expert issue for scientists or lawyers. Instead, look at it from a marketing perspective, as something to sell.

How you can take this step

The first Golden Rule for creating successful messages is KISS AIDA, which stands for

KISS
▸ **K**eep
▸ **I**t
▸ **S**hort and
▸ **S**imple

so that the message triggers

AIDA
▸ **A**ttention
▸ **I**nterest
▸ **D**esire and
▸ **A**ction

The second Golden Rule is: **"It's the fish, not the angler, who should like the taste of the bait."** How effective a communication strategy is, depends largely on how clear and attractive the messages are **for the target audience. They** must understand and like the messages – **not you.** Any message should therefore be designed to suit the specific characteristics, the educational and intellectual background, and the values and aspirations of the respective stakeholder group.

Many messages carry psychological and/or social appeals. They promise incentives or rewards, arouse fears, work with role models, make appeals to civic duty, etc. They may also support the communication strategy and its objectives by being particularly humorous, popular or informal, by providing facts or suggesting conclusions.

Effective messages also need to fit the selected communication channels. In fact, "the medium is the message": if you choose the wrong channel, your well-designed message may be lost or destroyed. For example, if you disseminate ABS information through media that your stakeholders mistrust, they will doubt the credibility of the message as well. This is why messages should only be formulated at later stages of the strategy development, when you know enough about the stakeholders and have a clear picture of who trusts whom.

Finally, as most urban audiences today suffer from information overload, messages need to be strategically positioned to stand out. Otherwise they may go unnoticed, regardless of how relevant they may be for the target audience. A few reflections from social marketing may help you choose the right commu-

nication channels and messages. At its core lies the proposition that individuals, groups and organisations exchange resources for perceived benefits of a product or service. A commonly used model is that of the "5P": **Product**, **Price**, **Place**, **Promotion** and **Personnel**.
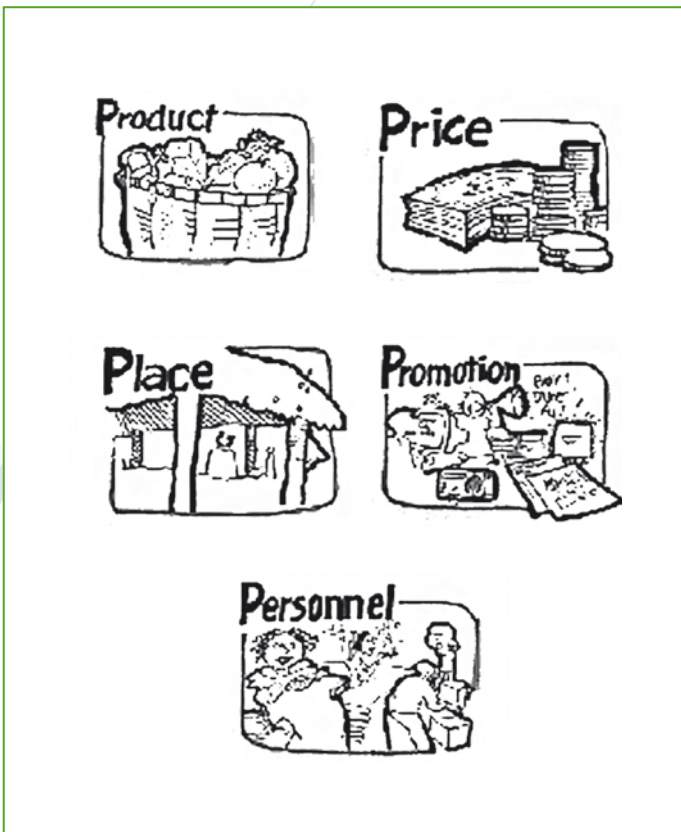
The aim of communication interventions is to create voluntary exchanges: A **Product** or service for a **Price** or costs involved. Translated to ABS, the "product" is the idea you want to sell or the particular practice you would like to see stakeholders adopt.

The "price" may be conceived as the stakeholders' effort when changing from practice A to practice B, in order to reap any promised advantages from the innovation. The communication interventions take Place at various **levels:** individual, group, community, sector, country etc. At these different levels, people need to be made aware of the innovation through **Promotion,** by means of attractive channels and convincing messages. This requires skilled **Personnel** who are familiar with the related objectives and communication techniques.

For example, you may want different stakeholders to participate in a series of dialogues where the overall national ABS strategy will be defined. The "product" in this case is the representatives' participation at events where they can contribute their views. This product comes with a "price" – in this case, for example, they will need to spend time in workshops, and they will only do so if it seems advantageous to them in any way. The "place" where the "promotion" takes place may be formal invitations, but also, for example, a series of strategically placed newspaper articles ("ABS in the news" = public attention!). In both cases, you will need skilled "personnel" who can put together an attractive invitation and/or an interesting newspaper article.

In a nutshell, the framework suggests making new ABS practices **desirable and accessible** to relevant stakeholders, by looking at barriers to, as well as advantages of, their joining in. Effective positioning requires the messages to be accessible, accurate, verifiable, complete, timely and relevant.

How you can take this step

The **JobAid: Message Design** (Tool **7.1**) differentiates messages for different stakeholders and helps you design attractive and persuasive messages by 'packaging' them with different kinds of appeals.

Step 8
Producing Media and Preparing Dialogues

What this step is about

So far you have assessed the situation (Step 1) and the stakeholders in it (Step 2), have defined the communication objectives (Step 3) and outlined the process (Step 4), have assessed or negotiated various degrees of stakeholder participation (Step 5), selected suitable communication channels with and for different groups (Step 6), and drafted key messages to convey to each of them (Step 7).

Step 8 takes you from preparation to operations – it's time to jump into the water and swim, to create brochures or posters, produce radio or TV broadcasts, launch a series of articles, prepare for meetings with stakeholders, design and organise workshops and dialogues, etc. But remember: choose your communication channels carefully. There is no point in producing a radio or TV broadcast if your identified key stakeholders are best influenced by interpersonal discussion. We all have a bias towards the skills and resources we have available and which we have used in the past – usually for other purposes. Keep in mind the adage: to a hammer, everything looks like a nail.

How you can take this step

The most important recommendation at this point is: Do involve professionals who have experience with the specific communication channels that you selected earlier. For example, trained journalists are good at writing grammatically correct text in a plain-language style that appeals to a wide audience. A graphic designer has an eye for attractive layouts of brochures, flyers or posters. Producing video clips or entire films is a profession in itself. And meetings, seminars or multi-stakeholder workshops are best designed and implemented with the help of experienced facilitators.[8]

Ideally, some of those specialists will already have contributed to earlier steps of creating the communication strategy. Writers, designers, producers, facilitators etc. who have not been involved so far should now be briefed thoroughly about the target groups, objectives, desired contents and messages, the set of selected channels etc. Each of them should know which other elements are incorporated in the strategy. In turn, they will be able to advise you on the most effective ways to use each element, for example, regarding suitable layouts and design, typical persuasion and retention rates of different media, or effective workshop dynamics and methods. You may find this a rather time consuming exercise – and it is – but it pays off!

This is also a good moment to put together an integrated production schedule that includes all communication channels to be employed in the strategy. Within your team, everyone should be informed about his or her role in the process and about the timing of different strategy elements. Some team members may need to be trained or updated to be able to fulfil their role effectively.

Where large quantities of material are to be employed, it is useful to do a pre-testing on the relevance, textual and visual clarity, potential to motivate and/or induce action, and acceptance or credibility of the media and messages employed. The test should be conducted with a representative sample of the ultimate target group. Communication specialists can support this process. The **JobAid: Producing Media and Preparing Dialogues** (Tool **8.1**) helps you summarize the information gathered.

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8 The ABS Capacity Development Initiative can recommend a pool of trained facilitators for large- and/or multistakeholder-group ABS events. The list is available at www.abs-initiative.info or from the Secretariat of the Initiative at abs-initiative@giz.de.

Action & Reflection

Step 9
Managing the Multi-Channel Communication Strategy

What this step is about

A multi-channel communication strategy has the best chance for success if the combination of media, platforms and dialogues is well co-ordinated. Good co-ordination means that the different media and messages used complement and build on each other – and, most importantly, that whatever is necessary for the audiences to adopt the desired change is available on time.

In fact, one of the greatest drawbacks in implementing a communication strategy can result from an untimely delivery, or even unavailability, of inputs or services that are required for stakeholders to take the action for which they have been motivated earlier. This is, for example, why it currently doesn't make much sense yet to run large-scale ABS awareness raising campaigns for consumers: There are very few ways until now for people to find out which products have been produced in line with ABS principles. As a result, consumers are unable to take any action. This may frustrate people – and some people might not even be willing to listen any more during similar campaigns in the future.

Similarly, a delay in one of several inter-related communication activities may trigger domino effects. For example, you may have succeeded in motivating all the main stakeholders to participate in an ABS workshop, but a key input – a study, for example – is not available by the time of the event. The resulting frustration of the participants may undermine your credibility in any future communication.

In short: Running a multi-channel communication strategy requires a good management information system that provides you with rapid feedback on key activities. This will enable you to adjust the strategy if and when necessary. The information system should take care of the proper and timely co-ordination of various activities, which often need to be carried out simultaneously.

How you can take this step

The **JobAid: Managing the Communication Strategy** (Tool **9.1**) helps you gather and keep track of the most essential management information.

As mentioned earlier, it's important to make realistic time estimates – both per media/channel and per stakeholder group, considering the most appropriate events, occasions, times and places. For example, you can plan workshops back-to-back with other events where some key stakeholders are already present. Also, you can use or create events where you can 'stage' inputs such as culture festivals, VIP visits, etc. Where mass media are being employed, try to plan other activities around them, so as to harness the public attention. Try to 'cross-fertilize' different channels, e. g. the emotional appeal of the radio with the factual one of print media. Sometimes, it is also possible to achieve multiplication and feedback effects among various media. For example, consider a decision maker who, on one and the same day, reads about ABS in the newspaper, finds a brochure on the Nagoya Protocol on her desk and is being asked by a colleague what she thinks about the latest bioprospection case… versus a decision maker who hears about ABS only through a bi-monthly electronic newsletter. In summary: Try to 'piggy-back' and combine as much as possible, so as to get 'free rides' on existing media, platforms, events or other communication channels.

In the same line, it is very useful to have a few prepared 'elevator speeches' at hand to use whenever an opportunity arises. Be ready for such occasions – and grab them! While it is good to plan communication strategically, it is also necessary to be prepared for any unforeseen or unplanned opportunities, especially in the communication with top-level decision makers who are hard to reach.

Communication channels (media, dialogue platforms)	Audience (primary stakeholders)	Communication context	Production & distribution responsibility (incl. intermediaries)	Budget & other resources (incl. human and logistical)	Time line

Step 10
Monitoring and Evaluation (M&E)

What this step is about

Monitoring and evaluation have two major objectives: they support you in steering the communication strategy, and they help all involved to learn from both success and failure. M&E should therefore be a continuous effort throughout the communication strategy – from planning to implementation. It should focus on the efficiency of strategy implementation, and on the relevance and impact of individual activities or the overall programme.

There are different types of M&E: **Ex-ante appraisals** are part of the planning to assess the envisaged outcomes and impacts. **Formative evaluation** is done during implementation and helps you check whether the program is on course. **Ex-post impact assessment** after implementation assesses the effects of the intervention and rates the sustainability of those effects.

Relevant questions may be: How appropriate is the choice of communication channels regarding the media preferences (and/ or the audio-visual literacy) of the audience? Does the chosen channel help to strengthen the message? Is the message oriented towards people, rather than technical issues or projects? Does the media choice respect the culture and sensitivities of the audience?

Does the message support self-confidence and initiative? Are the messages heard, understood and accepted, and – most importantly – do they motivate and mobilize for action?

How you can take this step

The simplest form is to assess whether the KAP-related communication objectives that were formulated in Step 3 for each stakeholder group have been reached.

As in the case of the KAP baseline data, it is often not possible – and not always necessary – to commission a large-scale study for M&E. Don't worry about this: a 'light' version of M&E will often be sufficient. The most important thing is to think **in advance** how you will notice success: How will you see, hear, or feel that you have reached your objectives? The second most important element is to define and assess this **together with others** – with a handful of colleagues, or at a workshop with stakeholder representatives. This is because different people perceive and interpret things differently, and it is very difficult if not impossible to evaluate the effects of a communication strategy all by oneself. The **JobAid: Monitoring and Evaluation** (Tool **10.1**) provides a format for this exercise.

In addition, the key indicators defined in Step 3 (**Indicators for Communication Objectives,** Tool **3.2**) help you assess the outcomes of communication interventions and track the inputs and processes that contribute to success.

Some questions you may want to consider in the context of M&E:

About the issues that are being communicated

▶ Who 'owns' the issues?
▶ How relevant are the issues to the audience?
▶ To what extent does the audience understand the causes, dynamics etc. of the issues?
▶ Do the issues generate emotions: interest, anger, etc.?

About the choice of communication channels

▶ How suitable is the choice of channels or media in light of the audience's preferences?
▶ How appropriate is the amount of information provided – is there an overload or shortage?
▶ To what extent do the chosen channels or media help to strengthen the message?
▶ Does the choice of media respect the socio-cultural sensitivities of the audience?

About the impact

▶ Is the message heard, understood and accepted as intended?
▶ To what extent does the message boost confidence and initiative?
▶ To what extent does the message motivate people to change their attitudes and behaviour?

Communication Objective	How will you know that you have been successful?
Group _____	
Group _____	
Group _____	
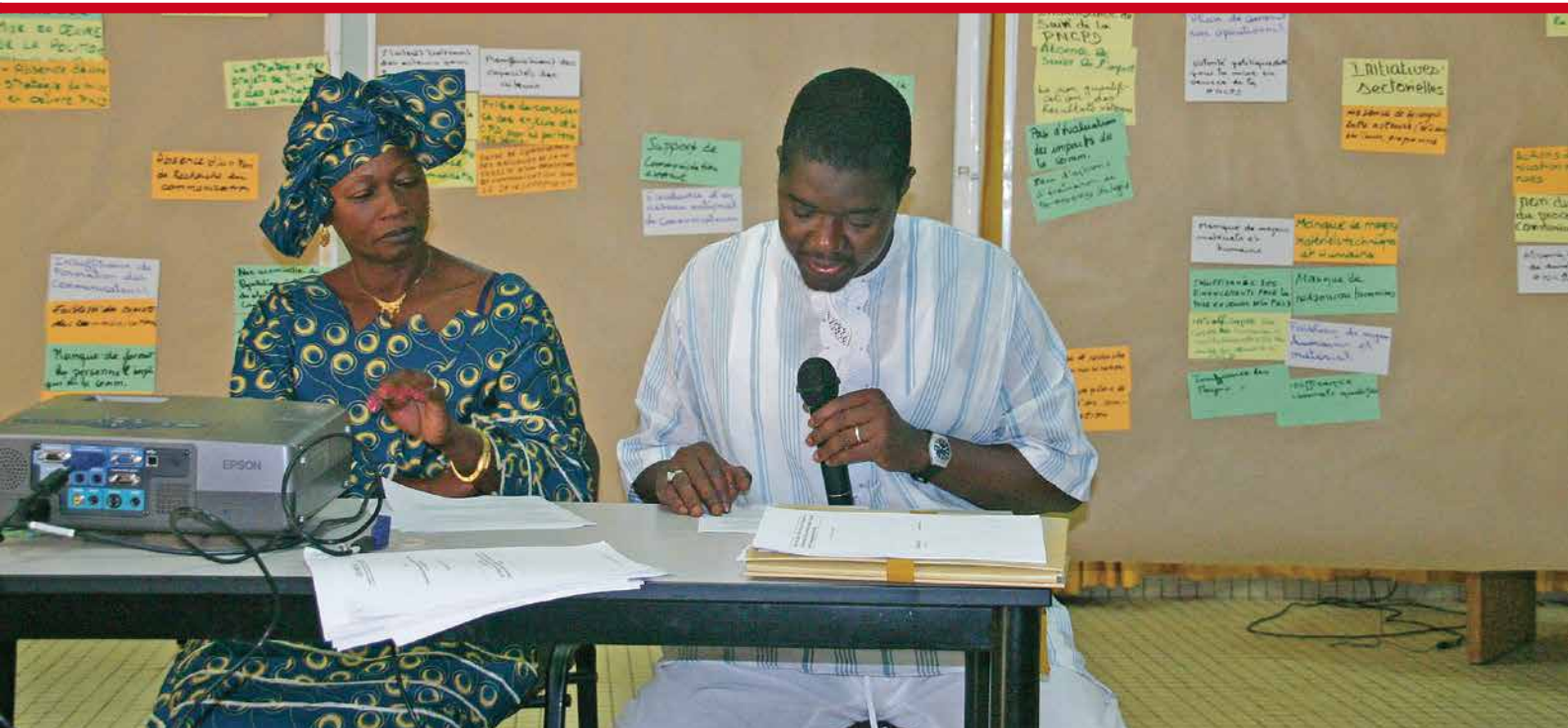
5. Toolbox

This final chapter offers a selection of tools and methods that enable you to apply the ten Steps of strategic communication to the eight Fields of Action for implementing ABS.

Fields, Steps, and Tools – and how they are related

As we have learned from chapter 3, each **Field of Action** has its own policy objective and a specific combination of relevant stakeholders. Also, one and the same stakeholder may have specific views related to each Field. For example, when you are debating the institutional landscape for ABS (Field 4) people's focus will be on issues like procedural efficiency, transparency, or their own role and responsibilities in the system. In contrast, when you develop the valorisation strategy (FIeld 8), they will

be interested in market opportunities, value chains, or the potential to derive profits and other benefits for themselves. Their knowledge, attitudes and practices (KAP) on these different issues can vary considerably: A government official may know a lot about administrative procedures and hardly anything about markets. The exact opposite may be true for a business representative.

This means that, in principle, you will need a separate communication strategy for every Field of Action – addressing the specific combination of stakeholders and their topic-related views and interests. However, you do **not** need to start anew in every Field of Action! The matrix below shows that the **tools** for each strategic **Step** remain the same, regardless of the Field of Action. The results will differ, of course – but whichever tool you choose to develop the communication strategy for one FIeld can be used again for other Fields.

	Field 1	Field 2	Field 3	Field 4	Field 5	Field 6	Field 7	Field 8
Step 1	┃	┃	┃	┃	┃	┃	┃	┃
Step 2	┃	┃	┃	┃	┃	┃	┃	┃
Step 3	┃	┃	┃	┃	┃	┃	┃	┃
Step 4	┃	┃	┃	┃	┃	┃	┃	┃
Step 5	┃	┃	┃	┃	┃	┃	┃	┃
Step 6	┃	┃	┃	┃	┃	┃	┃	┃
Step 7	┃	┃	┃	┃	┃	┃	┃	┃
Step 8	┃	┃	┃	┃	┃	┃	┃	┃
Step 9	┃	┃	┃	┃	┃	┃	┃	┃
Step 10	↓	↓	↓	↓	↓	↓	↓	↓

Nature of the Tools

Most tools are designed to help you organise your thoughts or structure a group discussion about a particular issue or set of questions. They often come with matrices or graphs to support the visualisation and documentation of the results.

Other 'tools' are rather general approaches to a particular activity, for example **Negotiation** (Tool **5.3**). The related descriptions summarise some key principles that have proven useful in the context of multi-stakeholder processes in the field of environment and/or international co-operation.

A special kind of tools are the "**JobAids**" – a sort of 'first-aid kit'. They are simple tables that help you collect, discuss and document the most important aspects for developing your communication strategy. There is one JobAid for each Step.

Using the Tools

Every tool is described on a maximum of two pages, so that you can easily print or copy it and take it along to a meeting or workshop.

We strongly recommend that, wherever possible, you use the tools in a team or workshop setting. Of course it is possible to use almost every tool oneself – only you, a pen and a sheet of paper. But it is not a good idea. Developing an effective communication strategy requires many different types of expertise and perspectives. A group of colleagues and/or stakeholder representatives is simply more knowledgeable, experienced and creative than one single person. You will get better results if you involve other people, and this will make your communication strategy much more successful. Put differently: You may not always have the budget to commission a study or hire a consultant to help you develop the strategy. But it is always important for you to get different views – and you get them by working together with others.

For group discussions, we recommend that you copy and use the visualisation aids (tables or graphs) on a flipchart or pinboard, so that all participants can see what is being written down. This helps you focus the discussion, and makes it easier for them to contribute to both the process and the results.

We therefore recommend that you save any results that you develop with the help of these tools, so that you can refer back to them when you use a tool again. You will find that you often only need to cross-check or slightly adapt the results. In any case, keeping good records will make your work much easier.

Structure of the Toolbox

This chapter follows the same structure as chapter four: the tools are organised and numbered according to the ten Steps of strategic communication. There is at least one tool – and often several – for each Step.

Some tools complement each other, for example the **JobAid: Communication Objectives** (Tool **3.1**) and the **Indicators for Communication Objectives** (Tool **3.2**). Other tools are interchangeable, even if they are related to the same Step: they offer different ways to approach similar questions, only with a different focus. Where there are several tools for a particular Step, you may select one or more according to your preferences and requirements – but you don't usually need to use them all.

Assessment

Tool 1.1
JobAid: Situational analysis

When to use the tool

Before you start wondering how to communicate, you need to clarify about what you want to communicate: What are the issues, and what do you want to achieve?

Implementing ABS is a socio-political change process. For example, the change in different ABS Fields of Action may consist in: Moving from parliamentarians' unawareness of ABS to ratification of the Nagoya Protocol. Moving from a lack of or inconsistencies in ABS-related policies to a broadly accepted, coherent set of ABS policies in the country. Moving from unclear roles and responsibilities to a transparent landscape of ABS institutions. And so on.

This simple tool helps you clarify what you actually need to achieve in a particular ABS Field of Action, considering the specific situation of your country. It will also shed light on some of the challenges you may face along the way.

An important term here is **"critical practice"** – a paraphrase for all those new ideas, suggestions, calls for action or patterns of behaviour you intend to introduce. Like in any other change process, this means moving through a series of phases: (1) Awareness – people **know and think about** a particular issue. (2) Interest – for example, they **participate** at a stakeholder meeting or workshop. (3) Trial – they **consider** the options, what to do about the issue.

Einstein

You may ask why so much time is put into the assessment stage (steps 1–3) of the communication strategy. Albert Einstein had an answer: "If I had one hour to solve a problem, I would take 45 min to study the situation in which the problem occurs, 10 min to design a solution and 5 min to implement the solution."

(4) Action – they **make a decision** about which path to take (and which not to take). In each of these phases, there is something new that you initiate, intend, put on the agenda or ask others to do or decide about. This is what "critical practice" means.

How to use the tool

Use the format on the next page to discuss and note down:

Step 1 – Critical Practices
▶ What are your intentions? What are the critical practices you want to see in the Field of Action?

Step 2 – Key opportunities
▶ What supports your intentions, what may promote the critical practice? And who is on your side?

Step 3 – Key challenges
▶ What stands against your intentions, hampering the critical practice? Who is against you?

Step 4 – Alternatives
▶ What if you don't succeed, if the critical practice doesn't prevail? Which second-best option could you pursue?

JobAid: Situational Analysis

Critical Practices	Key opportunities	Key challenges	Alternatives
What are your intentions? What are the critical practices you want to introduce in the Field of Action?	What supports your intentions, what may promote the critical practice? And who is on your side?	What stands against your intentions, hampering the critical practice? Who is against you?	What if you don't succeed, if the critical practice doesn't prevail? Which second-best option could you pursue?

Adapted from: Training material "Strategic Communication", ACT 2010

Tool 1.2
Policy Field Analysis Review

When to use the tool

This tool helps you establish the system boundaries of an ABS Field of Action. Departing from a variety of sources, it helps you clarify which institutions and social groups are truly relevant, so that the scope, audiences and activities of the communication strategy become well focused.

As the name "review" implies, this tool requires the use of existing policy analyses. The questions below should not be discussed in a vacuum, without a solid basis of established sources.

One very useful source for this tool are the analyses of Step 2, in particular the stakeholder map and the analysis of the knowledge, attitudes and practices (KAP) of key stakeholders.

How to use the tool

Step 1 – Collect relevant documents
To begin, you will need to obtain a picture of the information available for analysing the Field of Action. There are usually various sources from which this information can be taken – some may be available within, others outside your own sector or institution. In order to utilize these for learning purposes, they will now all be combined to produce a single picture.

Step 2 – Review policy field analysis with reference to key questions
In order to produce a coherent overall picture of the Field of Action on the basis of what may be the rather disparate materials available, it may be helpful to answer the following key questions:

▶ Who (organisations, institutions, individuals) possesses which resources, and by what logic are these utilized and distributed?

▶ What knowledge and what core expertise are particularly important in the respective Field of Action, and what knowledge and experience are lacking?

▶ Who is pursuing which interests?

▶ What are the dominant coalitions in the Field of Action?

▶ How does the policy cycle work in this Field of Action?

▶ How and by whom are the key problems of the Field of Action defined?

▶ What is the history (of experience) behind the problems as currently defined?

▶ Which factors influence agenda setting in the Field of Action?

Step 3 – Identify learning objectives
Questions to be raised here include:

▶ How can we change or utilize the conditions for learning, in order to achieve objectives?

▶ Which organizational capacities need to be developed among our partners so that the policy objective can be achieved sustainably?

▶ Which capacities need to be developed so that the stakeholders will be able to engage productively in the process?

▶ How would we be able to determine whether change has taken place and what has been learned in this Field of Action?

Tool 1.3
Big Picture Chart

When to use the tool

Before you can draft a clear and effective communication strategy for any ABS Field of Action, you need a clear and agreed set of policy objectives for this Field. This tool helps you formulate a high-level strategy for supporting the policy objectives through the communication strategy.

Ideally, the individuals who are steering the policy process have already established the policy goals in documents to which you have access. Otherwise, you may need to clarify them in personal conversations. Once you know what the policy objectives are, you can assess how the communication strategy may best support these goals.

How to use the tool

Use the format on the next page to discuss and note down:

Step 1 – Policy objectives
▶ List the established policy objectives in the first row of the table.

Step 2 – Identify driving and restraining forces
▶ Identify any driving forces and restraining forces that you can think of in the respective Field of Action. Driving forces are circumstances that support the policy objectives, restraining forces are circumstances that stand against them. Driving forces carry you toward attaining the policy objectives, restraining forces bring about resistance. If the restraining forces are stronger than the driving forces, the policy objectives are unlikely to be achieved. When the driving forces are stronger, chances for success are obviously much greater.

▶ List the driving and restraining forces in the two corresponding columns.

Step 3 – Ways to maximise driving forces and minimise restraining forces
▶ Think of ways to strengthen the driving forces and weaken the restraining forces to the point where the driving forces are stronger.

▶ Discuss and take notes on how your communication strategy could be used to capitalise on the driving forces and minimise the impact of the restraining forces.

The chart you create with this tool will be a valuable guide-post for developing and implementing your communication strategy.

Big Picture Chart

Policy objectives

▲ ▲ ▲

Driving forces	Ways to capitalise on the driving forces		Restraining forces	Ways to minimise the restraining forces

Tool 2.1
JobAid: Overview of Strategic Stakeholders

When to use the tool

Based on the situational analysis in Step 1, you now look into the landscape of stakeholders who are supposed to change certain practices in order to resolve the challenges you identified. This tool helps you create an initial overview of the most relevant stakeholders in the ABS Field of Action you are working on.

How to use the tool

Use the format on the next page to discuss and take notes:

Step 1 – Strategic Stakeholders
List all the strategic stakeholders. Two groups are considered "strategic":

▶ **Primary stakeholders,** i. e., individuals, groups or institutions who have an interest or rule power relevant to the ABS issue in question. These are the people whom you expect to do something specific, i. e., to change from one type of behaviour to another – or from inaction to action.

▶ **Intermediaries,** i. e. individuals, groups or institutions who may help you achieve your policy and communication objectives by reaching out to other stakeholders and lobbying for support.

Make sure that the groups you list are relatively homogeneous, i. e., the people within each group share similar characteristics. For example, decision makers of different organisations may have more in common than the middle management of the same organisations.

Step 2 – Core Interests
For each stakeholder (individual, group or institution) list what their main interests are: What are the driving forces or motivation behind their observed behaviour and positions?

Note that positions are open expressions of what people want. The interests are the motivation behind the position – why people want or do something. This is not always apparent at first sight. The interests tell you how people perceive risks, opportunities, incentives and other values which may later become crucial elements of your communication approach.

Step 3 – Critical Practices
List for each stakeholder what you want them to do – the action you want them to take or the new behaviour they are supposed to adopt.

Step 4 – 'Allies' and 'Adversaries'
Finally, try to identify potential 'allies' and 'adversaries' in each group: Who will probably stand against your intentions, and who is likely to be on your side? You can later involve the latter as promoters or change agents, and you will need to win over at least some of the former.

JobAid: Overview of Strategic Stakeholders

Strategic Stakeholder	Core Interests	Critical Practices	'Allies' and 'Adversaries'
Primary stakeholders and intermediaries	Driving forces or motivation behind observed behaviour and positions	The action you want them to take or the behaviour they are supposed to adopt	Individuals who are likely to stand for or against your intentions.

Adapted from training material "Strategic Communication", ACT 2010

Tool 2.2
Stakeholder Map

When to use the tool

A stakeholder map allows you to visualise the landscape of individuals, groups and organisations who play a role in the ABS Field of Action you are working on. It is a very flexible tool that can be structured according to your needs. It also provides you with insights about both the relative importance of each stakeholder, and how close or far they relate to each other. There are several forms of stakeholder maps; the one we suggest here takes the shape of an onion.

How to use the tool

As is the case with most other tools, a stakeholder map is best created in collaboration with others. The discussion about who the actual stakeholders are, how relevant they are and where they should be placed vis-à-vis one another brings out interesting insights that you can use later in the process.

Ideally, use coloured cards, felt pens and a pin board or flipchart for this tool. If you don't have cards, you can easily produce them by cutting paper into pieces, about the size of an envelope.

Step 1 – Define the structure
Define three broad categories into which you will group the stakeholders. For most ABS purposes, distinguishing state, private sector and civil society makes most sense. In some cases, a structure of, for example, global, national and local players may be a useful alternative.

Step 2 – Prepare the map
Draw the "onion" onto a flipchart or a large board, as shown on the picture: with an inner circle for "primary stakeholders" and an outer circle for "intermediaries", and with marks for the three defined categories.

Step 3 – Collect the stakeholders
Brainstorm all the stakeholders you can think of in this particular Field of Action. Write each of them on one card, using different colours for each category of stakeholders (for example, yellow for state, blue for private sector, and green for civil society).
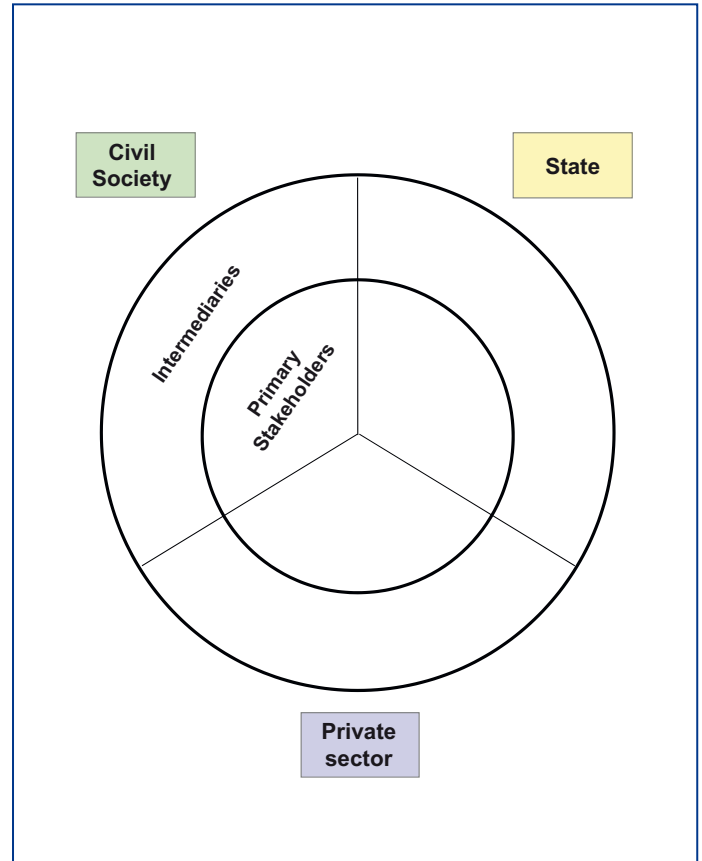
Step 4 – Place the stakeholders on the map
Put the cards on the map, according to the three categories and two circles. Use the distance from the centre as an indicator for the relative importance of each stakeholder, and place stakeholders that have a close relationship (for example, because they co-operate) near to each other on the map.

Step 5 – Add any additional relevant information
Finally, you can add information on individual stakeholders or the relationships between them. For example, you can mark veto players by putting a "V" on the respective card. Or you could draw solid and dotted lines between certain stakeholders, indicating the relative strength of their relationship.
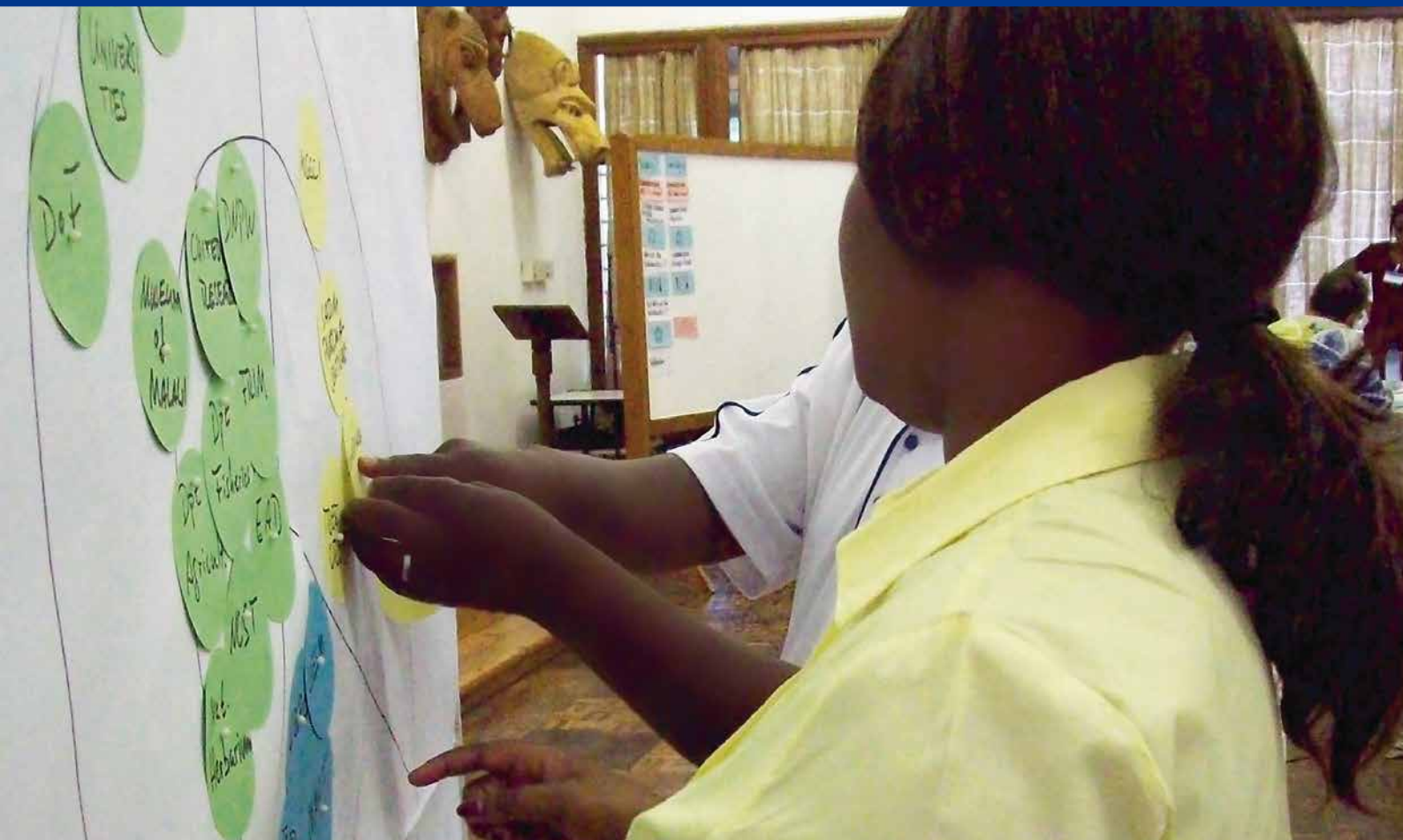
Tool 2.3
Four-Field Analysis of Stakeholders

When to use the tool

This tool helps you develop and structure hypotheses and insights about individual stakeholders, so as to assess their willingness and capacity for dialogue and co-operation. It can be used in two ways:

▶ Before the beginning of a process, you can build hypotheses about each stakeholder group. This provides you with hints on how to address the different groups, and on opportunities and challenges that may arise in the co-operation.

▶ If done together with stakeholders, for example, in a joint workshop, it can contribute to a better mutual understanding, and to overcoming disturbances in the co-operation. A basic level of trust between the stakeholders is, however, required for a participatory process like this.

The results of a 4-Field Analysis may vary for different Fields of Action, even for the same group of stakeholders. This is because the different policy objectives can bring about different perspectives held by individual groups. It is therefore useful to repeat the analysis from time to time.

How to use the tool

As the name implies, this tool looks at stakeholders from 4 different angles: interests, relationships, organisation, and perception. The best way to use it is to copy the format shown on the next page onto a large board and fill it in for each key stakeholder group, considering the following aspects:

Step 1 – Interests
Interests are basic motives of individuals and organisations, linked to priority needs in a certain context. Typical interests are access to resources, safety, recognition, a sense of belonging, or self-determination. Interests should not be confused with positions in negotiations. A position is a single expression of an interest, while the interest may be much broader. Positions tend to be inflexible, while there are usually several options to satisfy an interest. Important aspects of interests are:

▶ Interests related to the **topic** at hand: These are frequently based on values and convictions, and/or they may have a strong material motive. For example, business organisations are very concerned about profits, protecting ownership, etc., while civil society organisations put much emphasis on their mission and on safeguarding their credibility vis-à-vis their constituencies.

▶ Interests related to the **co-operation partners:** Individuals and organisations also have an interest to secure their own standing in a set of partners. For example, they might feel a need to demarcate and protect their identity, or be concerned about their relative power and influence.

Step 2 – Relationships
Every stakeholder is part of a network. This includes allies and opponents, suppliers and customers, authorities, etc. The characteristics of different types of relationships will influence the behaviour and room for manoeuvre among stakeholders. This is usually not discussed openly, but it always plays a tangible (if invisible) role at the negotiating table. Important aspects of relationships are

▶ mutual dependencies, obligations and responsibilities,

▶ the level of existing or potential benefits that the stakeholders derive from co-operating,

▶ the degree of competition and the level of trust,

▶ their joint history: old rivalries or friendships, successful vs. failed co-operations.

Step 3 – Organisation

Understanding the internal structures and processes of stakeholder organisations makes it easier to design realistic dialogues and to understand the stakeholders' behaviour. In addition, it allows assessing the stakeholders' mutual capacity for co-operation. Important aspects of organisation are

▶ Decision making: Who are the decision makers, and how long do they take to make a decision?

▶ Mandates of representatives: What can they decide, and what must first be legitimised by internal consultation processes?

▶ Practical constraints: Shortages of resources, and how the organisation deals with them.

▶ Planning culture: How long-term and binding are plans in the organisation?

▶ Communication culture: What is considered 'good' communication: Comprehensive, oral and participatory? Or to the point, decisive and written? How are emotions and rationality rated?

▶ Interfaces: How does the organisation shape its internal and external relationships, e. g. through official contacts, or through personal contacts and informal "trust building"?

Step 4 – Perception

Every person, group or organisation has images and ideas about itself and others. These perceptions influence how they look at others (for example, are they "good" or "evil", "friends" or "enemies"?), how they interpret information provided by others, etc. Important aspects of perception are

Self-perception
▶ What are their fundamental values, principles and ideals?

▶ What is their overall goal or mission?

▶ What are things that they are proud of?

Perception of others
▶ Which motives and values do they attribute to other stakeholders?

▶ Which behaviour does the organisation approve or disapprove of in other stakeholders?

▶ How does the organisation distinguish between "friends" and "enemies"?

Step 5 – Conclusions from a 4-Field analysis

A thoughtful 4-Field analysis is likely to provide you with new and interesting insights and hypotheses about individual stakeholders. After completing the analysis, you can use it to draw further conclusions and check:

▶ which specific aspects may support or obstruct the willingness and capacity of individual stakeholder groups to co-operate.

▶ where different stakeholders are similar and where they are different – and whether this presents an opportunity or a potential difficulty in the process. Note that differences are not necessarily obstacles – they may as well be complementary.

4-Field Analysis	Stakeholder: _____
Interests	**Relationships**
▶	▶
▶	▶
▶	▶
▶	▶
Organisation	**Perception**
▶	▶
▶	▶
▶	▶
▶	▶

Tool 2.4
Force Field Analysis

When to use the tool

This tool illustrates the relative power of different stakeholders when it comes to influencing the outcomes of a dialogue or negotiation. It departs from the idea of mutual dependence of the stakeholders, who are all trying to optimise their individual advantages. The tool allows you to assess to what degree person or group X is able to influence the outcome for person or group Y. The Force Field Analysis can be applied to any number of stakeholders and will help you find out which stakeholders you need to focus on, and by which approach, in your communication strategy.

How to use the tool

Step 1 – Assess the relative influence of each stakeholder
Use the format below (adapted to the number of stakeholders of your case) to assess how much influence each stakeholder has on the advantages that can be reached by the others, using a scale where 0 = no influence, 1 = little influence, 2 = moderate influence and 3 = strong influence.

Sum up the totals of each row and each column. The sums of the rows indicate "active influence", i.e., how much influence each stakeholder has over all others. The sums of the columns indicate "passive influence", i.e., how much influence is exerted on this stakeholder by all others.

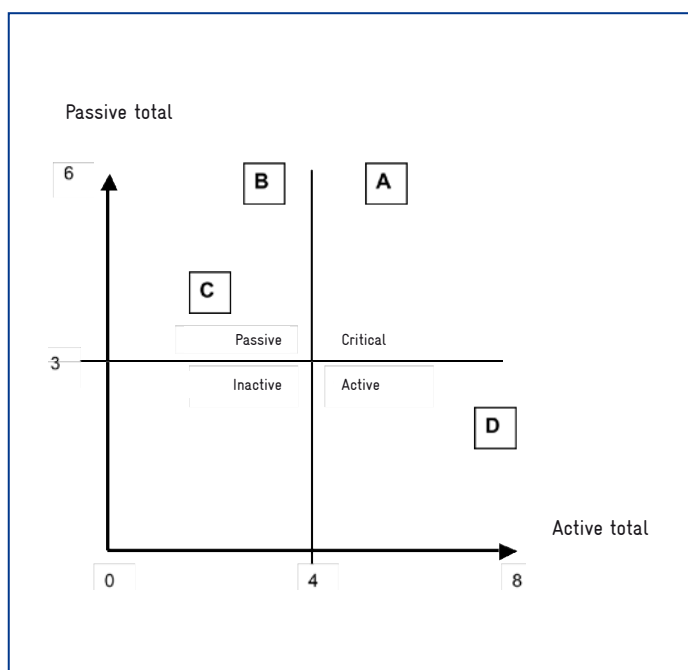### Step 2 – Creating and interpreting the landscape of influence
Use the diagram on the next page (copied onto a flipchart or board) to position each stakeholder according to the active and passive totals you calculated in the last step.

The highest totals achieved are entered at the ends of the x- and y-axis, respectively. All other values are entered according to their proportion (a so-called relative scale).

From this you can derive insights into each stakeholder's negotiating power, their motivational strength, and whether they play a critical or a more passive role in the network of relationships.

Example for four stakeholders

Influence on the advantages of ▶	Stakeholder A	Stakeholder B	Stakeholder C	Stakeholder D	Active total
Steakholder A		3	1	1	5
Steakholder B	2		1	1	4
Steakholder C	1	1		0	2
Steakholder D	3	2	2		7
Passive total	6	6	4	2	

Example: Diagram showing stakeholders' relative influence and negotiating power

Critical

These stakeholders are central, bridging figures. They strongly affect the results of the process and the advantages that others can achieve. In turn, they also depend on most other stakeholders. In most cases, this makes them eager to co-operate.

In terms of communication, these people should always be involved in the process. No effort is too great to satisfy their need for information.

Active

These stakeholders are central and often dominant figures: The others strongly depend on them – but not vice versa. If they leave or block the process for any reason, the entire co-operation may

fail. There is a risk for these stakeholders to dominate the process, and they may try to functionalise the co-operation for other than the stated objectives.

Regarding communication, these people need information and should be satisfied, but they don't want to be swamped with too much detail. Regular progress summaries may be sufficient.

Passive

These stakeholders are very interested in co-operation and dialogue, as they strongly depend on others – but not vice versa. They don't have much influence on the success of the others, so that the latter tend to be indifferent about the presence or absence of "passive" stakeholders. In some cases they are only endured, sometimes even mobbed by the others.

Communication-wise, these people can be very helpful when the process needs specific support. They should therefore be kept appropriately informed and not made to feel excluded.

Inactive

These stakeholders are candidates for dropping out. Their success depends little upon the other stakeholders – and they hardly influence the outcome for other stakeholders. Since their presence doesn't make much of a difference, the motivation to include them in the dialogue is generally low.

In the communication, these people should be kept in mind, but not be bothered with information that they never asked for and presumably don't want.

Step 3 – Assessing the forces at play
The insights gained from this tool can be further refined by using the **Big Picture Chart** (Tool **1.3**) applied to individual stakeholders, to identify forces for and against a particular proposal within relevant stakeholder groups.

Tool 2.5
JobAid: Knowledge – Attitudes – Practices (KAP)

When to use the tool

Based on your identification of the most relevant individuals, groups or organisations in the process (for example from Tool **2.1**, the **JobAid: Overview of Strategic Stakeholders,** or Tool **2.2,** the **Stakeholder Map**), you can proceed to analyse what those stakeholders know, feel and do about a particular ABS Field of Action. This will provide you with key hints for the definition of communication objectives in Step 3.

How to use the tool

Step 1 – KAP
Use the format on the next page to list all the relevant stakeholders. Then try to assess what each of them knows (**K**nowledge), feels (**A**ttitudes) and does (**P**ractices) about your current ABS Field of Action and the related commitments, activities or innovations you are looking for?

Step 2 – Drivers for adoption
Here, you look at the positive side of things: Which individuals or sub-groups, and which existing practices can the communication strategy build on? List the driving forces for each group, the advantages that will motivate most of them to make the change from A to B. These advantages are not necessarily monetary. Recognition or socio-cultural values such as fair play, solidarity or honour may be just as important. Your communication strategy will be built on the incentives you can identify. Individuals who are clearly on your side may later become your change agents or innovators, helping you win over the majority of the entire group.

Step 3 – Reasons for rejection
Here, you build hypotheses around factors that may make a stakeholder (group) reject the desired practice(s). Most important to look at are the reasons for negative attitudes or rejection. For example, is it a matter of understanding? Are people afraid of risks – which risks? Do they mistrust the communicator, e. g. the ABS focal point or the political party advocating ABS? Are the incentives or advantages of the new practice not promising enough? Are there other, political, economic or social reasons that make people sceptical? Later, you will need to counterbalance at least part of these reservations. This is where your laggards (see page 26) come in because they and their mindset determine a great proportion of the majority of the groups, organisations or individuals you will have to win over in order to make your communication strategy a success.

Step 4 – Media preferences
Finally, list per group the preferred communication channels and sources of information regarding ABS. Look at media consumption preferences – but don't stop at mass media: experience shows that interpersonal communication (one-on-one or in group meetings) can have much more effect. Ask who the groups usually ask for information regarding ABS or similar issues. The resulting findings will later play a role in your selection of partners, media and message appeals (Steps 5–7).

JobAid: Knowledge – Attitudes – Practices (KAP)

Stakeholder group	KAP What each stakeholder knows (Knowledge), feels (Attitudes) and does (Practices) about the ABS Field of Action and the intended activities, commitments or innovations.	Drivers towards adoption Who are innovators, early adopters or other change agents and what practices exist on which your can build the communication strategy?	Reasons for rejection Reasons or causes for negative attitudes and the potential rejection of new practices regarding the ABS Field of Action	Media preferences Stakeholders' preferred communication channels, sources of information and media consumption preferences regarding ABS.
1.			1.	
2.			2.	
3.			3.	

Tool 3.1
JobAid: Communication Objectives

When to use the tool

At this point, you have already assessed the overall situation (Step 1) and the knowledge, attitudes and practices (KAP) of the strategic stakeholders (Step 2). That is, you have an idea of what the relevant individuals and groups know, feel and do about the ABS Field of Action you are working on.

Based on those results, you can use this tool to develop the communication objectives for each stakeholder. This is closely related to the KAP results and other information you collected and analysed in Step 2. In fact, you now look at knowledge, attitudes and practices again – just in reverse order. Ultimately, you want people to do something different from what they are doing now. So you start by defining the desired practices (P) of the stakeholders, and then ask what attitudes (A) they need to adopt and what knowledge (K) is necessary for them to change their practices.

How to use the tool

Use the format on the next page to discuss and note down for each stakeholder:

Step 1 – Practices
What are the practices (P) that you want to see as a result of your communication efforts? What behaviour do you want the stakeholders to show, what action do you want them to take, what type of commitment(s) do you need from relevant individuals and groups? Define precisely what you want them to do, so that the policy objective in a particular ABS Field of Action can be achieved.

Step 2 – Attitudes
Now, go back to the A and clarify which attitudes are necessary for the P to happen: What do relevant individuals or groups need to think and believe, so that they will change their practices in the intended direction?

Step 3 – Knowledge
Finally, move further down to the K, the knowledge that is necessary for the A to happen, and define: What knowledge do the strategic groups need, so that they can change their attitudes in the intended direction?

As a general advice, try to formulate all objectives in a **SMART** way, that is, make them **S**pecific, **M**easurable, **A**ttractive, **R**ealistic, and **T**imed.

JobAid: Communication Objectives

Policy Objective:

Strategic Stakeholder (individual or group):

Communication objectives (SMART)

Practice(s)
What do you want this stakeholder to do, so that the policy objectives in a particular ABS Field of Action can be achieved?

Attitude(s)
What does this person or group need to think and believe so that he/she/they will change the practices in the intended direction?

Knowledge
What knowledge does this stakeholder need to have so that his/her/their attitudes will change in the intended direction?

Tool 3.2
Indicators for Communication Objectives

When to use the tool

The purpose of this tool is to help you assess how effective your communication strategy is for achieving the objectives, which you defined in Tool **3.1**, the **JobAid: Communication Objectives.** The indicators that you formulate now will later serve as reference for monitoring and evaluating the success of the strategy (see Step 10).

How to use the tool

Looking back at the KAP objectives you defined for the different stakeholders, use the format on the next page to reflect and discuss: How will you notice that your communication efforts are leading to the desired effects? How will you know whether you are on the right way?

Step 1 – Define indicators of positive change

List any events, behaviours or other things that enable you to observe whether your communication strategy is effective. Examples include the degree to which members of the strategic groups:

▶ support, encourage and participate in debates about ABS;

▶ ask for additional information, and/or show interest in learning new skills related to ABS;

▶ show that they are familiar with and understand the information that they received from you;

▶ demonstrate a willingness to contribute to ABS processes, and/or initiate their own processes;

▶ react positively to your messages.

Step 2 – Define how to measure the indicators

For each indicator, record how you will measure it and how you will track the measurement. Also, indicate whether the measure you selected is a quantitative or qualitative one. Quantitative measures provide numbers for easy comparison, such as the percentage of people who attend a presentation or respond to a mailing, and differences in favourable ratings before and after you communicate a message. Qualitative measures are anything that you can observe but not count. Examples include the content of reports, of minutes of meetings, or of feedback you receive from others. A positive atmosphere at an ABS-related conference, a constructive dialogue between two stakeholders who don't usually talk to each other, or a request for information from a relevant ministry may also be considered qualitative indicators of success.

Note that you may not be able to foresee everything that will happen as a consequence of your strategy – and neither will you be able to observe each and every indicator you define up-front. Don't worry about that: The indicators are there for steering and learning – not for control. At any rate, thinking well about how you will be able to see that you are on the right track helps you focus your attention on the effects – rather than just the activities – of your strategy.
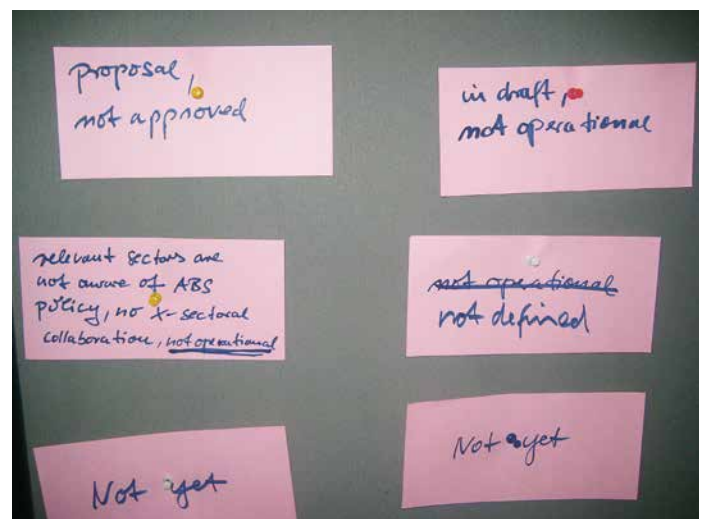
Indicators for Communication Objectives			
Indicator	**Measure and tracking method**	**Is this a quantitative or qualitative measure?**	
		Quantitative	Qualitative
		❑	❑
		❑	❑
		❑	❑
		❑	❑
		❑	❑
		❑	❑
		❑	❑
		❑	❑
		❑	❑
		❑	❑

Adapted from: Communication Strategy Tool Kit, Miller Consultants 2010, pp 15–18

Planning

Tool 4.1
JobAid: Drafting the Communication Strategy

When to use the tool

By now, all steps of the **Assessment** phase have been completed. You have collected information about the situation with its opportunities, challenges and needs (Step 1). You've gathered information and hypotheses about the stakeholders and their knowledge, attitudes and practices (Step 2). And you have formulated the communication objectives (Step 3). Now it is time to move to the **Planning** phase.

Step 4 is at the interface of looking at what is there (Steps 1–3) and designing where you want to go. This tool allows you to summarise the information gathered during the assessment, and to draft a first sketch of everything that follows (Steps 5–10).

How to use the tool

You may want to copy the format on the next page onto a larger sheet or board, or use several pages for it.

Step 1 – Summarising the assessment
Use the "**IF**" columns of the matrix to summarise your KAP assessment of the strategic stakeholders. For each of them, note down how you rate their current degree of knowledge, attitudes or practices regarding the ABS Field of Action you are working on: 'high', 'medium' or 'low'. (For attitudes and practices, you may alternatively want to think in terms of 'positive', 'intermediate' or 'negative'.)

Step 2 – Drafting a sketch of the strategy
Use the "**THEN**" columns of the matrix to sketch out the **focus** of

a) your communication strategy with different stakeholders (based on the communication objectives for each of them);

b) the communication channels you deem suitable in each case.

For instance, **IF** a stakeholder (individual or group) already has a high level of knowledge and a relatively positive attitude towards the ABS policy at hand, but has not yet turned that into practice, **THEN** the strategy should focus on action: There is no need to provide more information or motivate them much further. Instead, you may want to provide, for example, skills training or coaching. Mass media will play a subordinate role in this case, while platforms for dialogue or training as well as interpersonal communication will be very important.

You may want to check chapter 4 (page 31) again for orientation before using the matrix.

JobAid: Drafting the Communication Strategy

	IF				THEN				
	Stakeholder POSITION regarding				Communication strategy FOCUS			Communication channels FOCUS	
Stakeholder	Knowledge K	Attitudes A	Practice P	Main Purpose	Main Approach	Questions to address	Information dissemination one-way	Interactive communication two-way

Tool 5.1
JobAid: Participation of Strategic Groups

When to use the tool

Now that you have defined where to focus your communication efforts (Step 4), you can proceed to the actual planning of the strategy. You will now look more specifically at different communication channels, and at the messages that you need to convey to the different stakeholders. The important point here is: Don't do it all by yourself!

Communication processes – using media products or implementing dialogues – should **not** be prepared **for or about** stakeholders. It is much more effective to develop them **with and by** these groups. The key word is **ownership:** The earlier and the more you involve your strategic groups, the more open, interested and committed will they be in the end. They can be intermediaries or contributors. For example, you may ask stakeholder representatives to help you outline and later review an ABS brochure that you are writing. Representatives of relevant institutions whom you involve in planning a meeting may open the door to decision makers – who may then offer to hold the meeting at their premises, or to give a speech at the opening. Members of a community may tell you about preferred communication channels at the local level, and what type of messages will be most motivating. In any case, participation of stakeholders in the planning process will promote creativity and improve the socio-cultural flavour and validity of your communication approaches.

This tool helps you decide whom to approach for what type of involvement.

How to use the tool

Step 1 – Primary stakeholders
List the primary stakeholders on whom you focus with your communication strategy, i.e., individuals, groups or institutions who have an interest or exercise power in the particular ABS Field of Action.

Step 2 – Intermediaries
Link the primary stakeholders with intermediaries, i.e. individuals, groups or institutions that can help you reach out to the primary stakeholders and achieve your policy and communication objectives. Intermediaries often control or have influence over specific media or communication channels that you may otherwise not be able to access. Remember also that a primary stakeholder can, at the same time, be an intermediary with regards to another stakeholder. You may want to consult the results of the Force Field Analysis (Tool 2.4) to assess how much influence individual stakeholders exercise over others.

Step 3 – Communication channels
Draft a list of the media or platforms that you consider most suitable for reaching out to the primary stakeholders.

Step 4 – Specific involvement
Note down how you intend to involve the intermediaries, so as to promote ownership and creativity, and reach the primary stakeholders by suitable communication channels and with effective messages.

JobAid: Participation of Strategic Groups

Primary stakeholder (Individuals, groups or institutions who have an interest or exercise power relevant to the particular ABS issue.)	Intermediaries (Individuals, groups or institutions who may help you achieve your policy and communication objectives by reaching out to others.)	Communication Channels (Types of media or platforms)	Specific Involvement (as intermediary, producer, contributor)

Tool 5.2
Forms of Co-operation and Roles

When to use the tool

This tool helps you assess the developmental stage of the co-oper-ation system in a particular ABS Field of Action, and it allows you to identify patterns and roles within this system.

How to use the tool

Step 1 – Determine the stage of development
Any co-operation system consists of exchanges between two or more actors. The lowest intensity, a simple exchange of informa-tion, may lead to the most intense stage of co-ordinated or joint action, where all sides are equally empowered. Yet there are many co-operation relationships which, often for important reasons, re-main at very low levels of development. To assess and understand the intensity of a given co-operation it is helpful to refer back to the five stages described in chapter 4 (see page 32): Information – Consultation – Joint planning – Decision making – Empower-ment.

Step 2 – Identify areas of potential conflict in the co-operation system
Co-operation systems develop over time. They vary in terms of purpose, size, openness, degree of formalisation, etc. Each of these features is a potential source of conflict:

▶ **Number of actors:** Should few or many actors be involved? As the number of actors increases, the negotiation and steering requirements rise exponentially.

▶ **Homogeneity of the actors:** Are the actors similar in terms of sector, activity areas, size, life cycle, region of origin, etc., or do they differ? Homogenous groups may be perceived as boring, they lack innovation or tend to behave competitively. Heterogeneous groups have a high potential for innovation, but may disintegrate if their differences are not capitalised upon.

▶ **Dominance of individual actors:** Is there one or a small number of very dominant partners, or do all have a similar degree of influence? A lack of transparency in the division of roles and decision-making tends to disrupt the co-operation system.

▶ **Openness of the co-operation:** To what extent are the co-operation partners interested in involving new members? How easy or difficult will new partners find it to join the co-operation system? Too much openness can overstretch the co-operation system, as it constantly strives to integrate new partners. Too little openness can stifle growth and the capacity to innovate.

▶ **Degree of formalisation:** Are the decision-making processes rather formal, or do the partners work more on the basis of verbal agreements and personal relationships? A balance needs to be struck between a minimum of formal regulation and a maximum of informal flexibility. Otherwise, transaction costs will rise, and the confidence in the co-operation system will dwindle.

▶ **Intensity of co-ordination:** How necessary is it that the actors often see each other to co-ordinate activities? The costs of co-ordination must be proportionate to the anticipated benefits.

▶ **Duration of the commitment:** Is the co-operation planned to be of a short, medium or long-term nature? Co-operation systems can be institutionalised, but they can also become moribund if the benefit to the participants is not evident and there is no joint strategic orientation.

Step 3 – Identify patterns of co-operation
To characterise an existing or future co-operation system, it is useful to compare three perspectives and identify the patterns of co-operation which then become evident.

Perspective 1: Where does our co-operation system stand today? Where should it be moving? What are sub-systems, and where are they?

Perspective 2: What are typical links between actors and actions in this co-operation system?

Perspective 3: How are power and influence exercised in this co-operation system?

Step 4 – Understand roles
Another step toward obtaining a clear picture of the co-operation involves focusing on the various roles played by different actors. Some roles formally allocated, for example by job descriptions or institutional responsibilities. Perception also plays a role: The ABS focal point, for example, may consider himself a neutral facilitator, while some stakeholders may perceive him as a representative of government – and therefore a stakeholder, too. This implies that

every player in a system may actually have several roles – depending on existing perceptions. Roles are not necessarily fixed, either. They may be negotiated, or they may vary with changing mutual expectations. Nevertheless, it can be helpful to reflect on the existing roles within the co-operation system, so as to prepare for the negotiation of possible roles and tasks within that system.

Step 5 – Draw conclusions

Once you have a clearer picture of the developmental stage of the co-operation, its patterns and the roles involved, you may conclude by answering the following questions:

▶ Is the intensity/developmental stage of the co-operation conducive to achieving the objective? Do other stages need to be achieved in specific areas?

▶ Are the identified patterns of co-operation functional? Are any changes necessary?

▶ Are the roles that are performed and perceived by the cooperating partners suitable for achieving the objective? If not, what roles are missing, and who could take them over?

Some typical roles in ABS co-operation systems

Stakeholder
Stakeholder have interests ("stakes") and therefore are not neutral. Stakeholders may co-ordinate a co-operation; in this case, however, others will closely observe their behaviour and they can easily find themselves caught up in a conflict of interests.

Broker
The notion of an "honest broker", who can integrate individual interests to the greater benefit of all. The broker has no interest of his own and therefore enjoys the trust of all stakeholders.

Facilitator
Similar to the broker, a facilitator is neutral with regard to both the issues and the stakeholders. Facilitators are experts of communication tools and skills that are required for dialogue events.

Expert
The expert contributes technical expertise to the dialogue. Because of their experience, experts are usually not entirely neutral, however they have no personal stakes in the issue at hand.

Eminent person
An eminent person is often used in dialogues with a high conflict potential. This is a neutral individual who usually has a high position in society and is respected by all stakeholders.

Tool 5.3
Negotiation

When to use the tool

Involving stakeholders in developing a national ABS system – policies, laws, institutions and specific implementation mechanisms – inevitably means dealing with a broad array of different interests. Individuals, groups and organisations come with different world views, interests, and objectives. And even when they agree on the objectives, they may still have considerably different ideas about the best way to reach these. This is the time for negotiation.

There are many different approaches to negotiation, and countless books have been written about it. For the purposes of this guide, this tool summarises a few valuable steps that have proven useful in the context of environmental policy development and project implementation.

In a nutshell, negotiation involves:

▶ acknowledging the different interests of the stakeholders;

▶ clarifying the advantages and drawbacks of different options;

▶ remaining open for new elements: other people, new ideas, unconventional solutions, … ;

▶ aiming at developing solutions that are better for the participants than no solution at all or than leaving the partnership.

How to use the tool

Step 1 – Separate positions from facts
To generate a fair and open partnership, it is helpful for all parties to declare their interests in the issues being negotiated. For a successful negotiation process, the participants ought to be as clear and transparent as possible about their own positions, as well as their reasons for holding them.

Step 2 – Obtain new information jointly
Next, the issue(s) of negotiation should be jointly analysed in detail. At this stage it may be useful to obtain further information or listen to the opinions of experts. The feeling of having obtained new information jointly paves the way for the next step.

Step 3 – Build trust
Good negotiation results are built on mutual trust. Often, possible favourable solutions require the other party to show good will. To do so, the party concerned needs to be able to trust that its good will is not being exploited. Being open about mutual expectations, and exchanging information on the issue(s) at stake as well as on possible solutions, helps to develop trust.

Step 4 – Develop alternative options
Don't jump to solutions prematurely; instead, ensure that all available information has been gathered and is being used to develop alternative options. Try to promote creative thinking about different options. As new options emerge from a joint process, the participants will develop a sense of ownership and become open to select from those options.

Step 5 – Agree on assessment criteria
Finally, decide jointly on a solution, and agree on criteria by which it can be assessed. At this stage, it is possible to include compensatory elements in case there is any remaining sense of unease.

You may use the checklist on the next page to note down ideas on how you will use the five steps in a particular negotiation process.

Negotiation

Negotiated issue(s) and participants:

Principle	How to go about it
Separate positions from facts: declare interests, explain reasons for own position.	
Obtain new information jointly: analyse facts in detail, listen to experts.	
Build trust: clarify mutual expectations, exchange information on the co-operating partners.	
Develop alternative options: identify new information on the issues, promote creativity.	
Agree on criteria for assessment: evaluate solutions, consider compensation.	

Adapted from: Capacity WORKS Manual, GIZ 2010, pp 142–146

Tool 5.4
Chairs in the Corner

When to use the tool

Co-operation and communication are more efficient than competition and conflict when solving a task that any person or sub-group cannot solve individually. This tool may serve as an eye-opener in trainings or stakeholder workshops. It brings out the advantages of co-operation over competition, and how conflicts can be managed in a constructive way.

How to use the tool

You need four chairs, a flipchart with the instructions, and 60 minutes for this exercise.

Step 1 – Preparation (5 minutes)

Keep only four chairs in the room and remove all other chairs. Put the four chairs in the centre of the room. Split the group into four teams of equal size. Each team gathers in one of the four corners of the room, which should be labelled A, B, C and D.

Step 2 – Instructions (5 minutes)

Explain the exercise and ask all teams to carefully read the instructions on the flipchart:

▶ There are four chairs in the room, and four corners.

▶ Your goal as a team is to collect the four chairs in 'your' corner of the room.

▶ You have 20 minutes for this exercise.

▶ There will be a maximum of 12 rounds for this exercise.

▶ In each round, only one team is allowed to carry a maximum of three chairs. Then, the next team will follow. That means, group A will start in round 1. In round 2, group B can carry chairs. Etc.

▶ You are not allowed to communicate with the other teams during the rounds. Negotiations between the teams will only be allowed after rounds 4 and 8, for a maximum of five minutes.

Step 3 – Exercise (approx. 20 minutes)

Run the exercise according to the instructions. Keep the time and ensure that the rules are observed. (Anything that is not in the rules is allowed to happen – but do **not** say this to the participants!)

Step 4 – Debriefing (approx. 30 minutes)

Ask the teams to discuss and visualize the following questions:

▶ What happened during this exercise?

▶ How could a strategy be developed so that ALL groups can achieve their goal?

▶ Which conclusions can you draw for your daily work?

Often, but not always, the teams realise after a while that if they share the limited resources (four chairs), each team can still achieve its goal. For example, the four chairs can be collected in the four corners one after the other, so that each group has the four chairs for a while. The instructions do **not** imply that the chairs must be used for one's own team **all** the time.

You may use the image on the next page to conclude the debriefing: first, the two donkeys fight over two haystacks. Then, they find a way to eat all the hay – together, one haystack after the other.

Compete or co-operate?
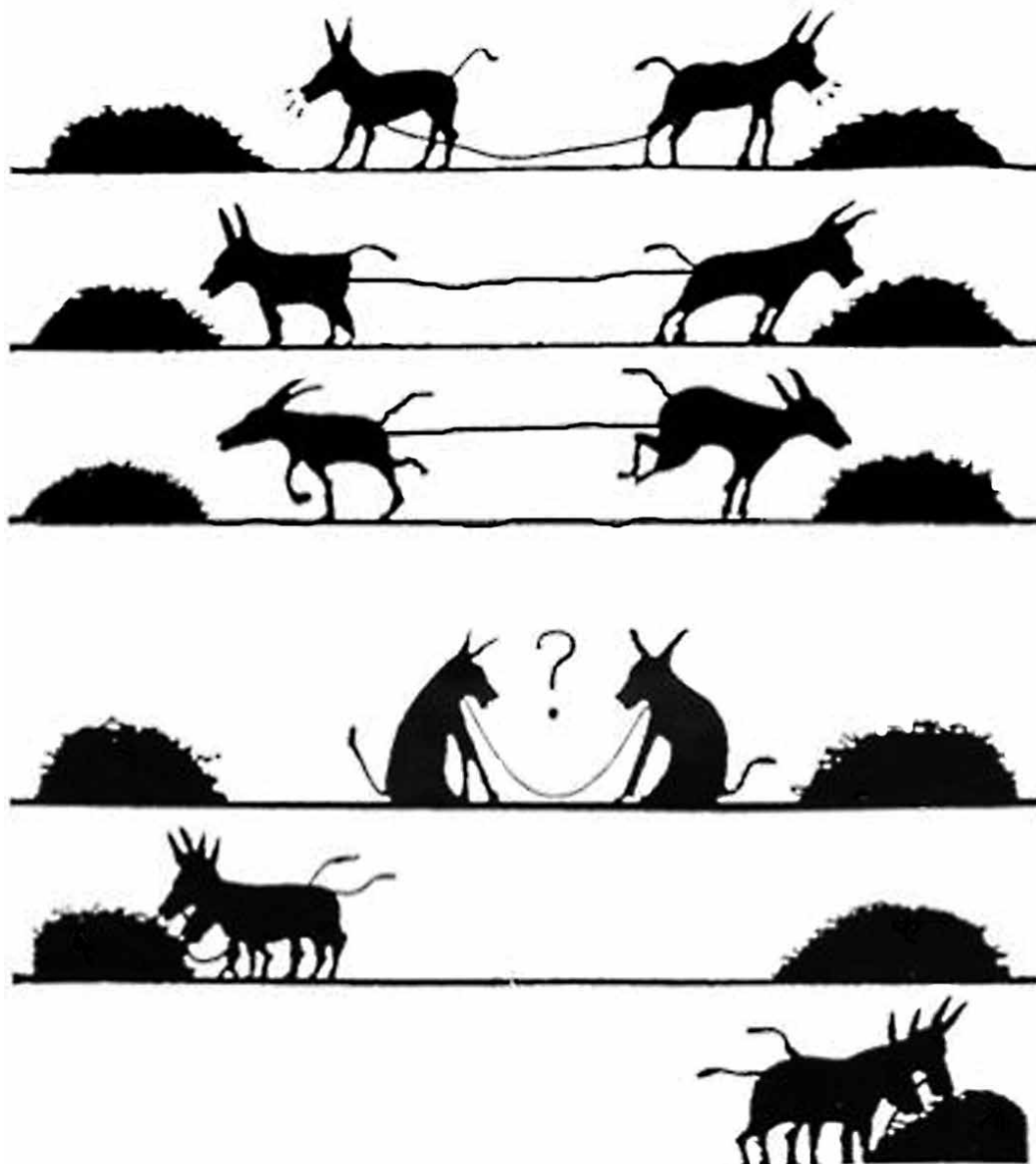
Tool 6.1
JobAid: Selection of Communication Channels

When to use the tool

One communication channel is not good for all purposes. Or – the other way around – each of them has its own advantages and disadvantages. Also, the channels need to be mixed to achieve an effective combination of one-way information dissemination and two-way, interactive communication. Before you decide which channels to use for your ABS communication strategy, it is good to assess your options.

How to use the tool

Step 1 – Primary stakeholders
List the primary stakeholders again, as in Tool 5.1.

Step 2 – Identify suitable communication channels
For each primary stakeholder, assign a suitable and balanced mix of different media and communication channels. As a general orientation, the mix should target 'K' as in knowledge, 'A' as in attitudes and 'P' as in practice, and it should cover different types of reception such as reading, watching, hearing – or even, where possible, experiencing (the latter, for example, by offering an interactive test on a website, or by organising a topic-related field trip or a learning game at a conference.).

Step 3 – Assess different options and make a choice
Note down the advantages and disadvantages of each medium or channel in terms of your stakeholders' preferences. You may want to use your results of the KAP analysis (Tool 2.5) for this, and consider factors such as the socio-cultural characteristics of each stakeholder group, the overall thematic context and the production, distribution and maintenance costs involved.

Based on this assessment, you will be able to make a well-informed choice of suitable channels for your communication objectives with each stakeholder. Also, you will be able to check how your first-choice channels compare to other options in terms of budget.
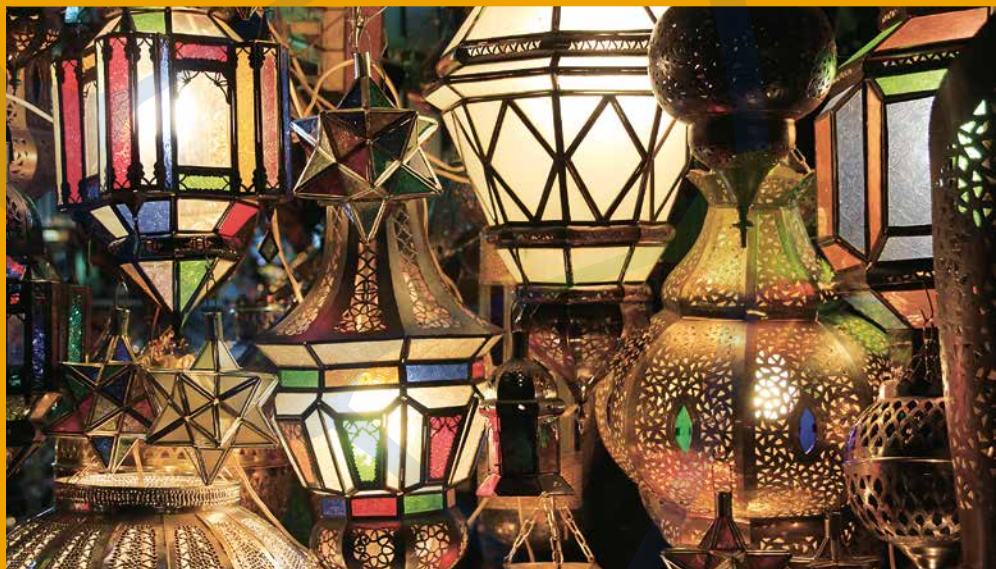
JobAid: Selection of Communication Channels

Primary Stakeholder	Communication channels	Advantages	Disadvantages

Adapted from: Training material "Strategic Communication", ACT 2010

Production

Tool 7.1
JobAid: Message Design

When to use the tool

Once you've decided which media and communication channels you want to use in order to reach your audiences, you are ready to design the messages that you intend to feed into the different channels. This tool helps you define messages with different kinds of appeals and approaches. The messages need to suit both, the

Communication objectives, messages and channels: Example

Consider an attitude-oriented objective such as: "A representative mix of... groups formulate the priorities they want to be covered in the national ABS strategy, and contribute these... in multistakeholder workshops...".
This objective could be 'translated' into a motivational message for private sector representatives as follows: "Make your priorities and interests count in the National ABS Strategy. Join the Stakeholder Workshop on...". A suitable channel for this busy target group – who likes to read short text – could be a flyer or poster. A second, last minute message related to the same group and objective could be, for example: "Have you submitted your position paper on the National ABS Strategy yet? Others have already used their influence. Don't let the opportunity pass by without your voice being heard!". This time, the channel could be a personalised e-mail, to reinforce the appeal.

strategic groups and the specific communication channels you are going to use. Reaching the right people through the right channels with the right messages: this is the essence of your communication strategy and will help you achieve your objectives.

How to use the tool

Step 1 – Primary stakeholders
Once again, list the primary stakeholders, as in Tool **5.1**.

Step 2 – Communication objectives
Summarize the communication objectives (from Tool **3.1**). If you need to prioritise, begin with the practice-oriented objectives (the 'P' in KAP). If it seems difficult to achieve these directly, target attitude- or knowledge-oriented ones first ('A' or 'K').

Step 3 – Messages
Formulate 2-3 messages per stakeholder and communication objective. Remember that the communication objective is what you ultimately want to achieve: the change in knowledge, attitude or practice. The message is what you want to get across to the audience: what you write, show or speak about. This means, you need to 'translate' the objectives into an informational, motivational or action **appeal,** and package it in a way that is tailored to the specific characteristics of each stakeholder group.

Step 4 – Channels
Finally, assign the appropriate communication channel(s). For each objective and message there is a specific suitable (mix of) channel(s) to transport the message to the intended audience. Remember that different media are good for different purposes. For example, TV or radio are good for emotional appeals ('A' like attitudes) and may complement information provided by print media ('K' like knowledge) and interpersonal guidance or training ('P' like practice).

JobAid: Message Design

Stakeholder	Communication objectives	Messages and type of approach/appeal (information, motivation, or action?)		Communication channels
		1.		
		2.		
		1.		
		2.		
		1.		
		2.		
		1.		
		2.		

Adapted from: Training material "Strategic Communication", ACT 2010

Tool 8.1
JobAid: Producing Media and Preparing Dialogues

When to use the tool

Publishing brochures or posters, launching radio or TV broadcasts, and holding stakeholder meetings or workshops, are all costly and time-consuming exercises. Therefore, before you start producing and implementing, it is wise to spend a little time and effort on pre-testing the impact of the media and platforms you intend to use. With this tool, you evaluate the text and visual comprehension, the thematic relevance, the credibility with stakeholders, and the motivating and mobilising potential.

You do this **after** you have completed the final drafts of written, audio and visual media, or of concepts for communication platforms, and **before** everything goes into print, production or action.

How to use the tool

Large communication campaigns are ideally pre-tested professionally, using scientific methods. However, this is not always possible, either because the products or activities are too small in scale, or because there is no budget for comprehensive tests. Still, it is worthwhile to pre-assess the impact of your communication activities. You can do this by putting them to a test with a small group of colleagues, and/or of people who represent the stakeholders you intend to reach.

Step 1 – Preparation
List all the relevant media or other channels you have prepared in the left column of the matrix on the next page. Then, make two copies of the sheet.

Step 2 – Feedback from the producer
Give the communication material you want to test to the producer, editor or planner, and ask them to look at it carefully. Give them only a few minutes for each product or concept. Then ask them to look at the matrix. What do they expect: how will

the intended audiences rate the different aspects shown in each column? Ask them to (a) briefly describe and (b) score the effects (0 = low; 10 = high).

Step 3 – Feedback from the audience
Ask the small group of colleagues and/or stakeholder representatives to do the same, on the second copy of the matrix. Again, limit the time to a few minutes per product or concept.

Step 4 – Check for consistency
Compare the feedback of both sides. If it is the same – go ahead with producing the media or preparing the dialogue. However, should the producer's view differ substantially from that of the audience – then it is better to go back to keep working on the material.

Remember that "it's the fish, not the angler, who should like the taste of the bait": for example, a producer or editor ('angler') may well like a particular graph or image ('bait') because of its aesthetical value and the meaning he/she puts to it. Still, a representative of the audience ('fish') may dislike the picture and misinterpret its meaning. If that is case, the worm (illustration) will not catch the fish (audience) even though the fisherman (producer/planner) found it tasty. This is particularly true for all types of visual information, with technical language in print and electronic media, and with a lack of visualisation during events, which often suffer from text and information overload.

JobAid: Producing Media and Preparing Dialogues

(on a scale from 1 to 10, where 1 = low, 10 = high)

Channel	Text comprehension	Visual comprehension	Thematic relevance	Credibility with stakeholders	Motivating and mobilising potential

Action & Reflection

Tool 9.1
JobAid: Managing the Multi-Channel Communication Strategy

When to use the tool

At this point, you know who the primary stakeholders are and what they know, feel and do about ABS, and you've defined your communication objectives, the channels to be employed and the messages to be conveyed. Now it is time to prepare an integrated schedule for production and delivery.

A multi-channel communication strategy has the best chance for success if the combination of media and dialogues is well coordinated. Good coordination means that the different channels and messages not only complement each other, but that whatever is necessary for the audiences to adopt the desired change is available on time.

This requires a good management information system that provides you with rapid feedback on key activities, so that you can adjust the strategy if and when necessary. Therefore, you are well advised to keep using this tool throughout your communication strategy, until the very end.

How to use the tool

Use the format on the next page to clarify:

Step 1 – Channels and Audiences
List all the relevant communication channels (publications, media, dialogues, platforms) you intend to use, and then add the related audiences (primary stakeholders).

Step 2 – Context
Briefly describe the context in which each communication channel will be used. For example: will a film be broadcasted on TV, as part of an educational series on the environment, or be shown 'on stage' as part of a competition or festival? Is a particular event planned in the form of a traditional conference with presentations and lectures, or is it going to be a facilitated, interactive workshop?

Step 3 – Responsibilities
Differentiate between production and distribution responsibilities. Include commitments of intermediaries who have offered to let you use their communication channels, e. g. placing a public announcement or an article in a newspaper or magazine, or broadcasting your video on TV.

Step 4 – Resources
List all monetary and non-monetary costs (staff, time, logistics) that are related to the communication channels and platforms you intend to employ.

Step 5 – Timing
Ensure that the various production deadlines and starting points of individual elements of your multi-channel strategy are well synchronised. Try to 'cross-fertilize' different channels as much as possible with multiplication and feedback effects, so that, for example, a news article refers to an upcoming event, or that a film you produce makes it into an existing educational series on TV.

JobAid: Managing the Multi-Channel Communication Strategy

Communication channel	Audience (Primary stakeholders)	Communication context	Responsibilities for production & distribution (including intermediaries)	Budget and other resources (including human and logistical)	Timing

Adapted from: Training material "Strategic Communication", ACT 2010

Tool 10.1
JobAid: Monitoring and Evaluation

When to use the tool

Monitoring and evaluation help steer your communication efforts, by assessing the impact of individual activities, or of the strategy as a whole. The simplest way is to assess to what extent the KAP-related communication objectives and indicators that you formulated in Step 3 have been reached.

This tool supports you in your M&E efforts. The focus is on internal, formative evaluation – **not** on external legitimisation. You can monitor any time – and should do it regularly – during strategy implementation as well as for impact assessment after implementation.

The tool is best used in a workshop setting, because this allows you to ask different people for assessment at the same time, and you can immediately discuss the result. Different people may have diverse opinions on the effects of your strategy (and the reasons), and it will be helpful for you to bring these to light.

How to use the tool

Use the format on the next page to follow these steps:

Step 1 – KAP objectives
Summarise the communication objectives (from tool **3.1**) per stakeholder group, differentiating between practices (P), atti-

tudes (A) and knowledge (K). Make copies of the sheet so you can give it to several people.

Step 2 – Your assessment
Fill in the right column by yourself, by briefly describing what makes you notice that you have been successful: How do you see, hear, or feel that you have reached your objectives? Note down any changes you perceive in the ABS Field of Action you are working on. Are there any differences in the state-of-play or in opinions before and after having implemented the communication strategy?

Step 3 – Other people's assessment
Ask a small group of colleagues or people who represent the primary stakeholders to do the same, by providing them with additional copies of the format.

Step 4 – Compare, discuss, and draw conclusions
Compare your own assessment with that of the others. In most instances, different people will perceive and interpret things differently. If the results are similar and mostly positive, your strategy has been a success. If they are identical but mostly negative, chances are that you have failed to achieve the gains in the stakeholders' knowledge, the improvements of attitude and the changes in practice that you originally intended. If that is the case, discuss with colleagues and stakeholder representatives what went wrong, and how the strategy could be improved.

You may also use the key indicators defined in tool **3.2** (Indicators for Communication Objectives) to assess the outcomes of your communication process, and to track the inputs and activities that contribute (or not) to success.

JobAid: Monitoring and Evaluation

Communication objective	How will you notice that you are successful?
Stakeholder 1 .... Practice Attitude Knowledge	
Stakeholder 2 .... Practice Attitude Knowledge	
Stakeholder 3 .... Practice Attitude Knowledge	

6. References

The following references provide further information on the topics discussed in this guide. The list is not exhaustive. Unless stated otherwise, the references are only publicly available in English.

ABS and the Nagoya Protocol

▶ Convention on Biological Diversity: www.cbd.int/abs (en, fr)

▶ ABS Initiative: www.abs-initiative.info (en, fr)

▶ Swiss Information System Biodiversity (SIB): ABS Management Tool (available at: http://www.sib.admin.ch/en/nagoya-protocol/abs-management-tool/index.html) (en, fr)
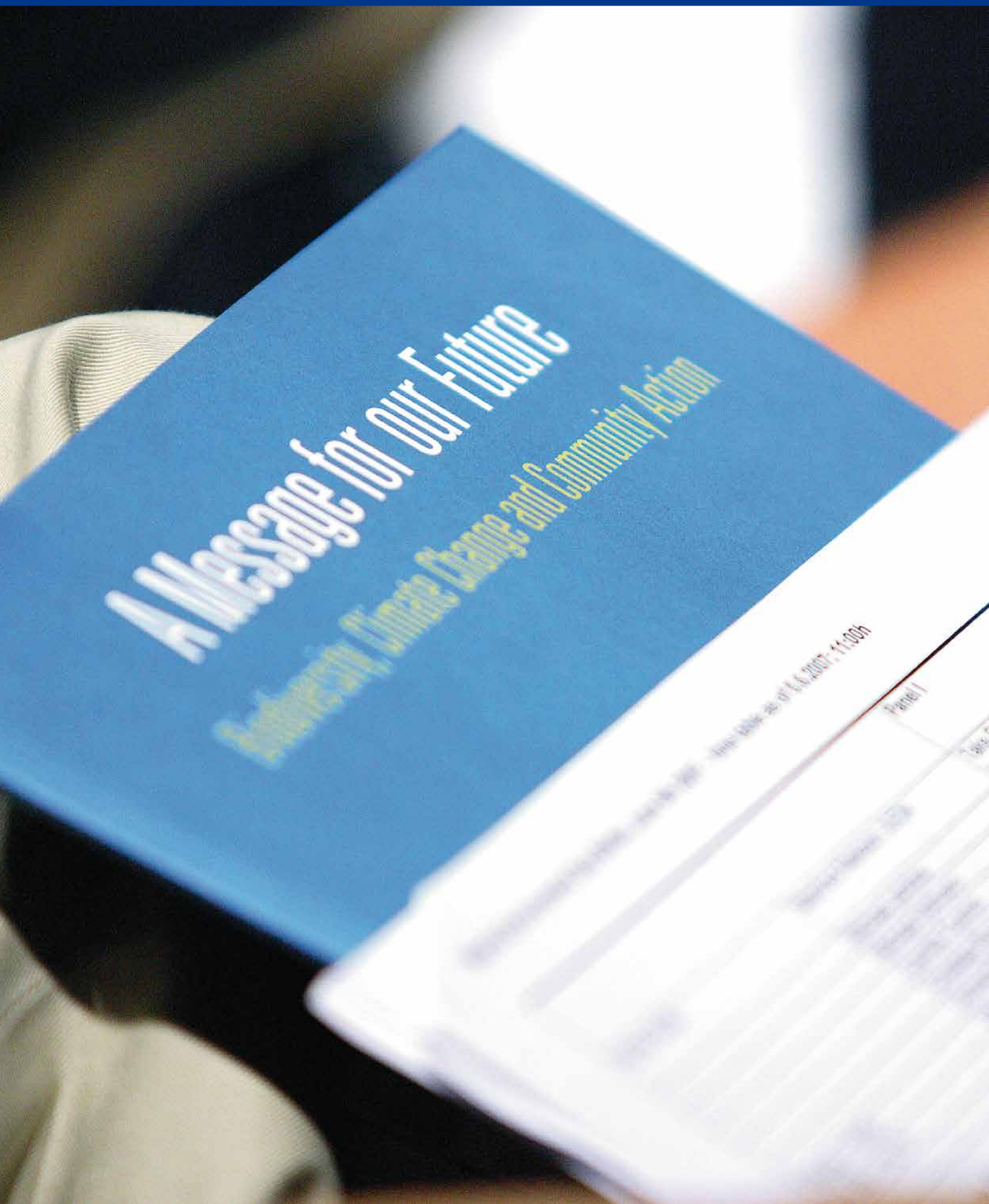
Strategic communication

▶ CDB and IUCN-CEC: **Communication, Education and Public Awareness (CEPA) – A Toolkit for National Focal Points and NBSAP Coordinators** (available at http://www.cbd.int/cepa/) (en, fr)

▶ GIZ: **Capacity WORKS – The Management Model for Sustainable Development** (available at http://www.giz.de/en/ourservices/1544.html) (en)

▶ GIZ: S**trategic communication for sustainable development – A conceptual overview** (available at http://www.giz.de/Themen/de/25082.htm) (en)

▶ GIZ: **Multistakeholder Dialogues Training Manual** (unpublished) (en, fr)

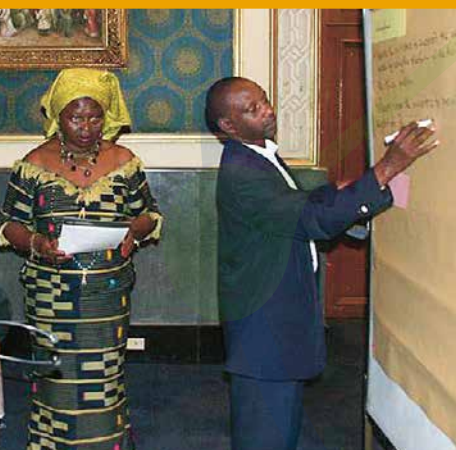▶ ACT: **Training material "Strategic Communication"** (unpublished) (en)

Stakeholder participation

▶ Food and Agriculture Organisation of the United Nations: http://www.fao.org/Participation/default.htm (en)

▶ Organisation des Nations Unies pour l'alimentation et l'agriculture: http://www.fao.org/Participation/francais/default.htm (fr)

▶ Food and Agriculture Organisation of the United Nations: PRA Tool Box (available at http://www.fao.org/docrep/003/x5996e/x5996e06.htm#TopOfPage) (en)

▶ ACT & InWent: **MOVE Manual – Moderation and Visualization for Group Events** (available at http://www.inspiration-westernbalkans.eu/INSPIRE_-_Awareness-raising-and-communication_3591814.html) (en)

Negotiation

▶ R. Fisher, W. Ury, B. Patton (Harvard Negotiation Project): **Getting to Yes: Negotiating Agreement Without Giving In.** Penguin Books; Revised edition May 2011 (en)

▶ R. Fisher, W. Ury, B. Patton (Harvard Negotiation Project): **Comment réussir une négociation,** Seuil; 3e édition revue et augmentée, octobre 2006 (fr)