Manuals+ — User Manuals Simplified.

tearfund 2023 Collaborative Action Planning and Implementation Tool

tearfund 2023 Collaborative Action Planning and Implementation Tool Instruction Manual

Contents

tearfund 2023 Collaborative Action Planning and Implementation Tool

Product Information

- **Specifications:**
  - **Product Name:** Stage 3: Collaborative Action Planning and Implementation Tool
  - **Prepared by:** First Mile
  - **In Collaboration with** Tearfund
  - **Funded by:** Norwegian Agency for Development Cooperation (Norad)

Product Usage Instructions

- **1. Root Cause Categorisation and Operational Mapping**
  - **A. Prioritisation of Human Rights Risks**
    - **Risk Matrix Tool Instructions:** In compliance with the UNGPs, the severity of impacts is assessed based on three factors: scale, scope, and irremediable character.
  - **Step 1: Assess Severity:** Assess the potential negative impacts based on severity. Consider gravity, extent, and remediation difficulty. Severity takes precedence over likelihood. Rate severity on a scale of 1 to 5.
  - **Step 2: Assess Likelihood:** Rate the likelihood of each risk occurring on a scale of 1 to 5. Consider past incidents, industry trends, and specific context.
  - **Step 3: Calculate Risk Score:** Multiply severity and likelihood scores to get a risk score for each identified risk.
  - **Step 4: Prioritize Risks:** Address risks with the highest scores first. Categorize risks based on severity and likelihood.
- **Co-Designing an Action Plan**
  - Details on how to collaboratively design an action plan to address human rights impacts on informal waste sector workers.
- **Implementation**

- Guidance on implementing the action plan effectively.
- **Monitoring, Verification, and Reporting**
  - Instructions on monitoring progress, verifying outcomes, and reporting on the intervention's effectiveness.

FAQs

- **Q: How do I access the Stage 3 toolkit resources?**
  - **A:** To access the Stage 3 resources, refer to the Introduction and key preparation document in the toolkit for guidance.
- **Q: What factors are considered when assessing the severity of impacts?**
  - **A:** The severity of impacts is assessed based on scale, scope, and irremediable character according to the UNGPs.

How to use

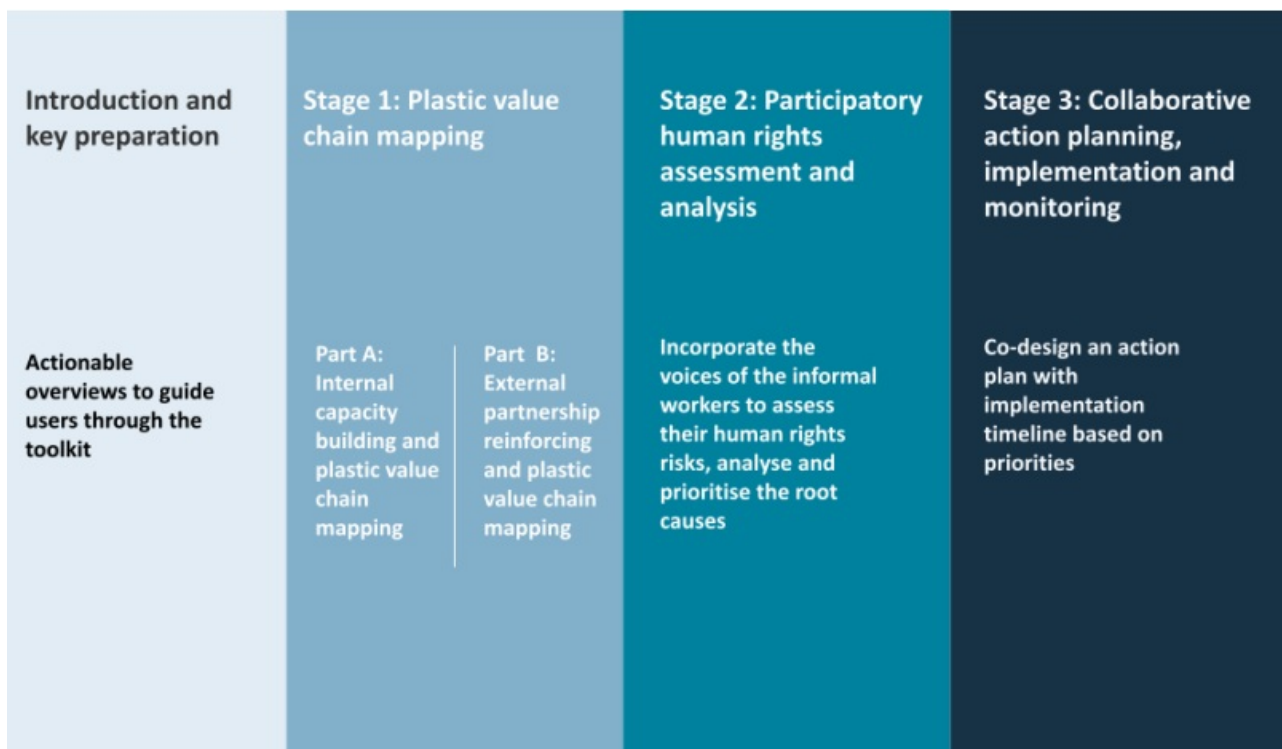**How to use the Stage 3:** Collaborative action planning and implementation tool

The Collaborative action planning and implementation tool serves as Stage 3 of our toolkit to support companies in implementing the **Fair Circularity Principles** into their plastics value chains. Through completion of Stage 1 and utilisation of

- **Stage 1:** Mapping tool template, users should have identified the mapped waste material flow, as well as the relevant internal and external stakeholders. With the progression through to Stage 2 and use of the
- **Stage 2:** Participatory human rights assessment and analysis tool, users should now have an identified set of human rights impacts and risks and some understanding of their root causes, as well as a list of potential partners to support the implementation of an action plan to address them, in alignment with FCI principles.

The purpose of the Stage 3: Collaborative action planning and implementation tool is to:

- develop and implement a corrective and preventive action plan to address the human rights impacts on informal waste sector workers
- monitor the progress and effectiveness of the intervention

This tool offers guidance on how to turn the discoveries from Stage 1 and Stage 2 into actionable steps to meaningfully address the challenges faced by the most vulnerable workers of the supply chain – the informal waste sector workers who make up the lower tiers of the supply chain. Consideration for how to address systems change will be an important part of this.

Introduction and key preparation	Stage 1: Plastic value chain mapping		Stage 2: Participatory human rights assessment and analysis	Stage 3: Collaborative action planning, implementation and monitoring
Actionable overviews to guide users through the toolkit	Part A: Internal capacity building and plastic value chain mapping	Part B: External partnership reinforcing and plastic value chain mapping	Incorporate the voices of the informal workers to assess their human rights risks, analyse and prioritise the root causes	Co-design an action plan with implementation timeline based on priorities

The user profile for this tool will likely be diverse, given the variations in organisational hierarchies and power dynamics throughout the plastic value chain. Also, certain companies may opt to engage a third party, such as a local NGO or subject matter experts, to facilitate this stage. This approach can benefit individuals with specific skill sets and experience in stakeholder engagement, human rights, sustainability assessment, responsible sourcing, programme delivery and an understanding of local contexts.

Specifically, the Stage 3 tool provides users with resources and steps to address:

1. root cause categorisation and operational mapping
2. co-designing an action plan
3. implementation
4. monitoring, verification and reporting

- **As with the Stage 1:** Plastics value chain mapping tool, and
- **Stage 2:** Participatory human rights assessment and analysis tool it is important to first refer to the Introduction and key preparation document in the toolkit.
- **See the Stage 3:** Collaborative action planning and implementation tool graphic below for an overview of the tool and its associated steps.
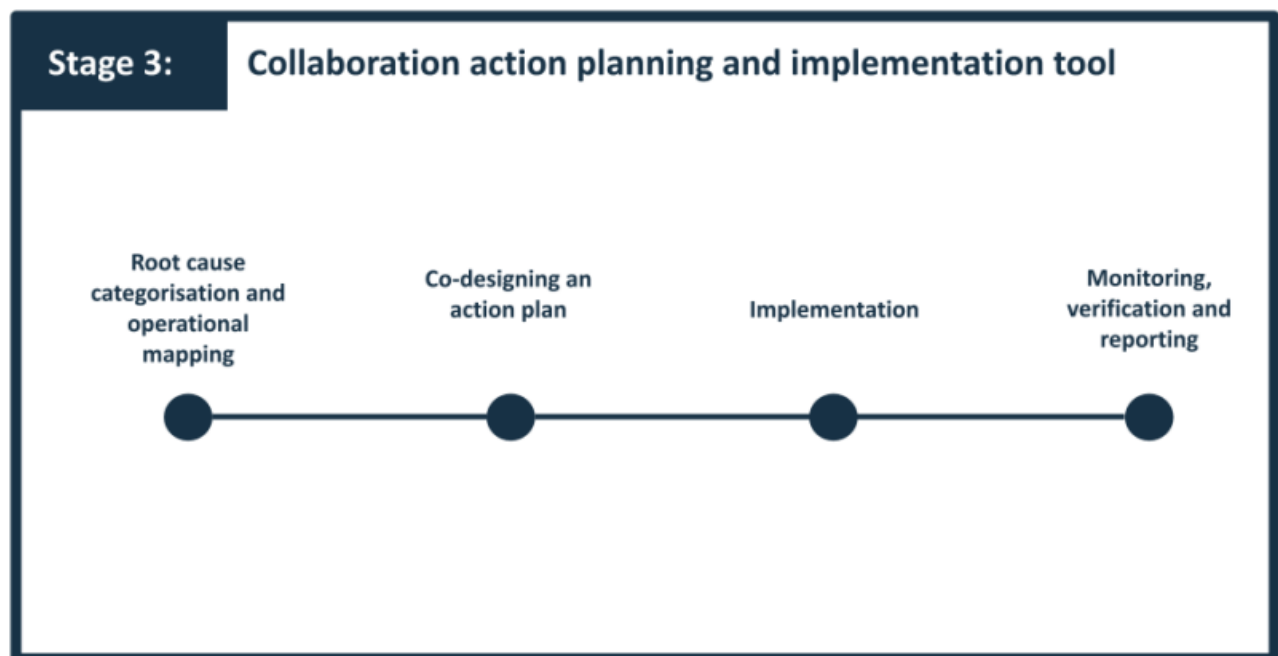
Stage 3: Collaborative action planning and implementation tool

1. Root cause categorisation and operational mapping
   - **A:** Prioritisation of human rights risks
     - Following a thorough review and analysis of the root causes in Stage 2, users should have gained sufficient insights into the critical issues affecting each tier of the plastics value chain, with a particular focus on the informal waste sector.
     - In instances where multiple human rights risks are identified, a systematic approach can be adopted to assess their priority and determine the appropriate actions for mitigation.
     - This involves assessing each human rights risk identified through use of the Stage 3: Risk Matrix Tool tab in the toolkit spreadsheet.
     - This tool draws from the United Nations Guiding Principles on Business and Human Rights (UNGPs)[1].
     - It highlights the severity of harm to workers as the primary concern and assesses each risk based on severity and likelihood.

Risk matrix tool instructions:
In compliance with the UNGPs, the severity of impacts is assessed based on three factors: scale, scope and irremediable character. Scale refers to the seriousness of the impact, scope measures how widespread it is and how many people are affected, and irremediable character assesses the ability to restore affected individuals to a situation equivalent to their pre-impact state.

- **Step 1:** Assess severity:
  - Assess the potential negative impacts for attention primarily based on their severity. Consider the gravity, extent and remediation difficulty of the impact.
  - Severity takes precedence over likelihood; be sure to assess how severe the adverse impact is to the victim.
  - For each identified risk, assess its severity on a scale of 1 to 5, with 1 being the lowest and 5 being the highest[2].
- **Step 2:** Assess likelihood:

- Assess the likelihood of each risk occurring on a scale of 1 to 5, with 1 being the least likely and 5 being the most likely.
- Consider factors such as past incidents, industry trends and the specific context and number of informal waste sector workers in the plastic value chain.
- **Step 3:** Calculate risk score:
  - Multiply the severity and likelihood scores to calculate a risk score for each identified risk.
- **Step 4:** Prioritise risks:
  - The risks with the highest scores represent the most severe and likely risks and should be addressed with the highest priority. Items can be placed into the following categories:
    - 0–10 = low-risk
    - 11–20 = intermediate-risk
    - 21+ = high-risk

After identifying items of higher risk, several factors should also be considered when determining their prioritisation and order, concerning actions to address them.

1. Take into account the needs and priorities of informal waste sector workers, in particular waste pickers, and incorporate their voices.
2. Assess the organisational impact of leaving these risks unaddressed on various levels.
3. Evaluate the feasibility and capacity to effectively tackle the identified human rights risks, considering the resources and capabilities available.
4. Weigh up the potential long-term impact of an intervention as well as unintended consequences, aiming for sustainable solutions. To begin addressing these issues, it is advisable to identify a specific theme or area, considering both the areas of greatest need and the practical aspects involved in creating an intervention to address it.
5. Consider what can and cannot be controlled, and where external support or expertise can be obtained.

For example, requiring waste pickers to use personal protective equipment (PPE) is not under the control of businesses utilising this tool. However, by following the steps outlined in this tool, users can identify the root causes of the lack of PPE use, which may range from inability to purchase PPE, lack of availability or convenience, or lack of knowledge on what proper PPE consists of. Once root causes are identified then an action plan can be developed accordingly.

B: Assess the type of actions required

Having completed initial prioritisation, users will then need to assess the type of action that is required to address the challenge or risk. In this step, refer back to the root cause of the problem to determine the type of action needed. The type of problem can be categorised under one of the following areas:

- **Awareness-based** → Impacted individuals/groups lack the awareness of the nature of the risk.
- **Knowledge-based** → Impacted individuals/groups are aware of the risk but do not understand it.
- **Inadequate solution or lacking a solution** → Impacted individuals/groups are aware of the risk and understand the issue, but they lack an adequate solution to address it.
- **Lack of resources** → Impacted individuals/groups are aware of the risk, have an understanding of the issue and have designed a solution, but they lack the resources to execute.
- **Issue of scale** → Impacted individuals/groups are aware of the risk, have an understanding of the issue, and

have a solution and the resources to execute it, but they lack a system to scale and sustain the solution.

Clearly identifying the type of problem attached to the root cause enables those using this tool, along with rights holders and collaborators, to design the right solution(s). In the next step, we will dive into co-designing the action plan.

Co-designing an action plan

- Co-designing a tailor-made action plan to address the human rights impacts experienced by informal waste sector workers is a collaborative process that actively engages the rights holders affected by the issues at hand.
- This participatory approach involves drawing upon the partnerships and relationships established with various stakeholders during earlier stages of this toolkit.
- By ensuring the active involvement of those directly impacted, we can harness their valuable insights and perspectives to craft an action plan that is not only effective but also sensitive to the unique challenges faced by informal waste sector workers, and tailored to local standards.
- This inclusive methodology fosters a sense of ownership and empowerment among the affected rights holders, increasing the likelihood of meaningful and sustainable outcomes.
- This approach is also very much in line with the Fair Circularity Principles.
- **Principle 5 states:** 'Engagement with affected stakeholders is central to the concept of human rights due diligence.
- Companies in plastics packaging recycling value chains should engage meaningfully and respectfully with informal waste sector workers, in ways that acknowledge their human dignity, in order to inform those companies' understanding of risks and impacts, and in the design of efforts to prevent and address those impacts.'

A: Instructions on meaningful collaboration with rights holders

- In order to meaningfully collaborate with rights holders, users should continue to foster the relationships with local organisational bodies of waste pickers, NGOs or CBOs identified in the Stage 1: Plastics value chain mapping tool, and identify an appropriate implementation partner. What exactly this entails will depend on the human rights issues being addressed, the local organisations identified and the context. It is important to select a partner that has developed trust or has a track record of knowing how to develop trust with the community of waste pickers. It is also recommended that compensation and expectations are agreed prior to developing and implementing the action plan.
- With the help of the select implementation partner, users should identify individuals who are well-known and respected in the community, and individuals that represent the range of diverse rights holders, including women and other identified marginalised individuals, to serve in a focus group to represent the interests of waste pickers when designing an action plan. Together, users, the implementation partner and the focus group representing the rights holders should start by stating a clear and specific goal statement with the issue they aim to address and what they hope to achieve together.
- Additionally, at this stage companies should consider establishing long-term commitments to grievance mechanisms as they engage rights holders in this process. This involves identifying or establishing accessible channels for workers to voice their concerns, ensuring confidentiality, and offering a fair and timely resolution process. This will vary based on specific characteristics and dynamics of each supply chain, tailoring the

approach to meet the unique needs and challenges of the informal waste sector workers, which is why working closely with rights holders is crucial. These mechanisms not only provide a channel for addressing issues and concerns as they happen, but also demonstrate a sustained commitment to upholding human rights within the organisation. By fostering an environment where informal waste sector workers and other stakeholders feel heard and supported over the long term, companies can proactively identify and address human rights risks, ultimately strengthening their approach to addressing their human rights responsibilities.

B: Alignment with Fair Circularity Principles

- At this point, users should consider how the proposed action plan aligns with the FCI principles. They can refer to the FCI Principles Alignment tab in the toolkit spreadsheet, which includes a chart to ensure users incorporate and address the FCI principles throughout the development and implementation process.
- Additionally, users are encouraged to review the information on 'Applying a gender lens' in the Introduction and key preparation guidance section of the toolkit, to account for some of the special considerations relevant for women waste pickers who face unique vulnerabilities.
- While gender norms are prevalent worldwide, their expressions vary across communities and cultures, emphasising the need for tailored approaches to address them effectively. To achieve this, it is essential to understand the specific gender norms in the geographic area of operation, and integrate them into the root cause analysis. The recommendation is that users actively seek expertise in gender from local professionals to ensure culturally informed and impactful initiatives when possible.

C: Designing solutions to address the problem type

- When designing the solution to an identified risk, it is helpful to first identify the problem type that is at the root cause. Fig.1 below offers a list of common types of problems in informal waste supply chains and corresponding sample solutions to consider.

Fig. 1: Sample solutions according to problem type

Problem type	Sample solutions
Awareness based	Assessment of issues, such as health and safety risks and discriminatory practices by subject matter experts or by comparable national or international guidelines. Once assessed then organise training (see below)
Knowledge based	Training on: – business skills for a waste picker cooperative or association – health and safety – usage of PPE – gender-based challenges – value-addition and moving up the supply chain
Inadequate solution or lack of solution	Consult subject matter experts Gather rights holders and relevant collaborators to support the development of solutions Sample existing solutions to determine applicability
Lack of resources	Brands to secure internal resources for addressing human rights impacts Where possible, collaborate with other brands and stakeholders to pool resources for greater impact Advocate for resources from key stakeholders

	Look for funders that support the specific issue being addressed or those participating in the value chain, such as foundations or development funds Bring together others who are facing the same issue to share resources Hold accountable those who are part of the root of the problem
Issue of scale	Build and implement systems that support scale, eg an effective payment system across the supply chain that ensures a living income for informal waste sector workers Arrange the collection of information from Tier 1 suppliers to inform the traceability of the supply chain

Depending on the challenge, users might also see this as a progressive option of solutions to address. See below example in Fig.2.

Fig. 2: Example health and safety risks at a plastic waste aggregator

Awareness building	Knowledge transfer	Solutions design	Raise resources	Scale up
Assess the current health and safety risks, including during loading and unloading, sorting of material and operation of machinery	Support training for the aggregator to learn about and have tools to support their workers to address health and safety risks	Work with the informal waste sector workers to design solutions that improve health and safety at their workplace and put a plan in place for implementation	Assist the aggregator in raising the required resources to get them started and enable the adoption of the solution	Support the aggregator to work into their budget the cost of providing an ongoing safe working environment. Check if there are any lessons to learn across other aggregators

Below in Fig.3 an additional example of how this can be applied to instances where workers are paid below a living income.

Fig. 3: Example linked to living income

Awareness building	Knowledge transfer	Solutions design	Raise resources	Scale up
Assess the local living income levels for informal waste sector workers and compare it to existing incomes earned by waste pickers Review the FCI and Systemiq **Living Income Study Highlights** document for guidance	Understand how informal waste sector workers who do not earn a living income make ends meet, or what needs do not get met	Collaborate with suppliers and informal waste sector workers to design solutions by understanding the economics of the supply chain, and identifying and addressing possible leverage points	Fund the initial phase of the solution to build momentum, by increasing price by volume or improving yield, or piloting a scheme to pay a collection fee to waste pickers. This will help in the short term while establishing a sustainable approach for the long term	Support sustained demand for materials, and work with others to secure a nationwide collection fee so informal waste sector workers can earn a living income. In this scenario, scaling up could mean that all full-time waste pickers earn a living income

D: Due diligence on existing solutions

- Users of this tool should also conduct a thorough examination to identify any relevant programmes or existing solutions that may already be in place. If there are existing resources that are both locally available and accessible to affected rights holders, with the help of the implementation partner, explore opportunities to leverage the efforts of these local initiatives. For example, the human rights risks identified are unsafe working

conditions and lack of PPE use leading to workplace injuries. Here the user may identify a local nonprofit that distributes PPE or holds health and safety training for informal waste sector workers. Ideally, the user could then partner with this organisation to leverage existing efforts.

- If this approach works for a subset of suppliers, scale it up to others, and build this solution into existing systems. This approach not only helps avoid duplication but also fosters collaboration and maximises the impact of interventions aimed at promoting the livelihoods and wellbeing of informal waste sector workers.

E: Drafting the action plan with SMART Goals and key performance indicators

- The final step in this process is to create an action plan to transform the ideas, goals and intentions identified in the previous steps into concrete, measurable results. The action plan serves as a roadmap that not only guides the implementation of initiatives but also facilitates effective monitoring and evaluation. It is intended to serve as a dynamic tool that evolves as circumstances change, ensuring adaptability and continued progress toward the desired goals. All goals should be specific, measurable, achievable, relevant and timebound (SMART). The Stage 3: Sample action plan template tool tab in the spreadsheet may help with your structure.
- Once users have agreed on SMART goals, it is important to develop a plan for evaluating the progress and efficacy of the action plan in reaching the identified goals. Users can achieve this by establishing a monitoring and evaluation (M&E) plan that includes key performance indicators (KPIs). Used together these can provide quantifiable and objective data that can help assess the effectiveness, efficiency and success of various processes, projects or strategies. For more details, see Section 4 below.

Implementation

- **A:** Assess items required to implement the action plan
  - To successfully implement the action plan, it is essential to assess and identify the necessary resources and elements that will collectively drive the intervention forward.
  - Although this is something that will vary based on the specific action plan and issue being addressed, the Stage 3: Implementation checklist tab in the toolkit spreadsheet serves as a guide with items that are commonly required to execute an action plan.
  - Set up your action plan using this checklist.
  - At this point users are encouraged to consider the impact of their action plan on promoting or improving gender equality, which was given special consideration and intentionally woven in throughout all stages of this process.

    This can be done through determining where the intervention outlined in the action plan falls in along the Gender Responsive Assessment Scale developed by the World Health Organization 3

Level 1: Gender-unequal	Level 2: Gender-blind	3: Gender-sensitive	4: Gender-specific	5: Gender-transformative
– Perpetuates	– Ignores gender	– Considers gender	– Considers gender	– Considers gender
gender inequality	norms, roles and	norms, roles and	norms, roles and	norms, roles and

by reinforcing	relations	relations	relations for women	relations for women
unbalanced	– Very often	– Does not address	and men and how	and men and that
norms, roles and	reinforces	inequality	they affect access to	these affect access
relations	gender-based	generated by	and control over	to and control over
– Privileges men	discrimination	unequal norms,	resources	resources
over women (or	– Ignores differences	roles or relations	– Considers	– Considers women's
vice versa)	in opportunities and	– Indicates gender	women's and men's	and men's specific
– Often leads to	resource allocation	awareness,	specific needs	needs
one sex enjoying	for women and men	although often no	– Intentionally	– Addresses the
more rights or	– Often constructed	remedial action is	targets and benefits	causes of
opportunities	based on the	developed	a specific group of	gender-based health
than the other	principle of being		women or men to	inequities
	'fair' by treating		achieve certain	Includes ways to
	everyone the same		policy or	transform harmful
			programme goals or	gender norms, roles
			meet certain needs	and relations
			– Makes it easier for	– Objective is often
			women and men to	to promote gender
			fulfil duties that are	equality
			ascribed to them	– Includes strategies
			based on their	to foster progressive

				gender roles	changes in power
					relationships
					between women
					and men

B: Pilot and Feedback

Given the nature of human rights risks, root causes and types of actions required, more often than not, it is useful to pilot the solution to:

1. test several tactics at once
2. gain insights and feedback from those involved to be incorporated into the action plan
3. build confidence for the full implementation
4. present a proof of concept to generate the necessary resources or buy-in from other suppliers

Within a supply chain, a pilot can start with one key supplier or a small group of key suppliers. Key suppliers can include those who supply regularly and have established a close relationship. Look for allies who will contribute to the success of a pilot so that the solution can stick and scale.

Monitoring, verification and reporting

For the design of the action plan to have a continuous monitoring structure, users should regularly collect data based on the established indicators included in a monitoring and evaluation (M&E) plan. A M&E plan is designed to track progress based on specific, agreed-upon, metrics and assess the results and effectiveness of an action plan. M&E plans should be living documents that users can refer to and update throughout the action plan.

Below are key components to consider when deciding on a M&E plan, and commonly used examples for each area:

- What specific risk or impact is being addressed
- The agreed-upon action(s) being taken to address the issue
- **Key Performance Indicators (KPIs)**
  - KPIs should be quantifiable measurements that can be used to assess progress towards a specific objective and a programme's overall performance
  - Indicators should be specific, link to agreed timelines and include available information
  - Examples: participation in a programme, behaviour change, rates of a given desired activity or outcome, prevalence
- **Baseline**
  - The starting point, useful for comparison
- **The target**
  - A goal that is specific, measurable, achievable, relevant and time-bound
- **Data collection methods**
  - **Examples:** surveys, questionnaires, interviews, focus groups, incident reports and/or observations
- **Frequency of data collection**

- - **Examples:** baseline at the project's start, monthly or quarterly data collection, post-intervention data, mid-term and final evaluations
- **Responsible parties**
  - **Examples:** project lead, project facilitator, manager, community leader, etc
- **Reporting and dissemination**
  - **Examples:** progress reports, annual project reviews
- **Data analysis and utilisation**
  - **Examples:** commitment to continuous analysis of data to inform project decision-making, documentation of lessons learned and integration into future findings, adaptation of strategies based on M&E finding
  - **Structure your M&E plan by accessing the Stage 3:** Sample M&E plan tab in the toolkit spreadsheet. Real-time tracking of progress allows for the identification of potential challenges and prompts adjustments when necessary. By incorporating this monitoring structure, the action plan remains adaptive, responsive and effective throughout its execution.

Conclusion

- Building a strong focus on human rights within your plastics value chain is a journey.
- While there are plenty of benefits that should encourage you forward, not engaging in this effort will increase the risks and impacts on rights holders, making it a matter of urgency.
- The work will not get done overnight, it's about building systems that sustain responsible business practices.
- Select a segment of your plastics value chain that is visible to you today, develop strong collaborators and clear objectives, and begin. Take it phase by phase.
- The more you navigate forward, the more you and your team will learn and grow.
- As you get started, find clarity in your goals and in how you measure them. Ensure that the right methodologies are in place with a focus on gender-disaggregated data and robust data integrity.
- Review and discuss your results regularly, and incorporate lessons learned into implementation. Keep in mind that this journey requires learning, time and patience.
- Lastly, stay focused. Remember why you are doing this. Reflect on the FCI principles throughout the journey.
- Align them with your steps, with your goals, with your results and with your community of collaborators.
- Remember that while this journey will reveal challenges and barriers, scalable solutions will be uncovered that lead to learnings and positive outcomes for informal waste sector workers.
- Keep in mind that this calibre of collaboration will ultimately yield the highest-performing plastics value chain for your brand.

CONTACT

- Tearfund, 100 Church Road,
- Teddington,
- TW11 8QE,
- United Kingdom.
- +44 (0)20 3906 3906
- **publications@tearfund.org**.
- **learn.tearfund.org**.
- **Registered office:** Tearfund, 100 Church Road,

- Teddington,
- TW11 8QE, United Kingdom.
- **Registered in England:** 994339.
- A company limited by guarantee.
- **Registered Charity No.** 265464
- (England & Wales) Registered Charity No. SC037624 (Scotland).
- [4ILO: Collecting data and measuring key performance indicators on occupational safety and health interventions](#)
- **Respecting the rights of informal waste sector workers:** A human rights due diligence tool – Stage 3: Collaborative action planning and implementation tool December 2023

Documents / Resources

	[tearfund 2023 Collaborative Action Planning and Implementation Tool](#) [pdf] Instruction Manual 2023 Collaborative Action Planning and Implementation Tool, 2023, Collaborative Action Planning and Implementation Tool, Action Planning and Implementation Tool, Planning and Implementation Tool, Implementation Tool, Tool

References

- 🛈 [Tearfund Learn](#)
- ◎ [Living Income Study Highlights - Fair Circularity Initiative](#)
- ▶ [Table 1. WHO Gender Responsive Assessment Scale: criteria for assessing programmes and policies - Mental health, men and culture: how do sociocultural constructions of masculinities relate to men's mental health help-seeking behaviour in the WHO European R](#)
- 🔲 [Salient Human Rights Issues : UN Guiding Principles Reporting Framework](#)
- [User Manual](#)