

Summary

Stakeholders are all those people who have a stake (or share) in a particular issue. Stakeholders can be groups of people, organisations, institutions and sometimes individuals. This guidance note describes how a stakeholder analysis can be carried out by finding answers to five questions. The proposed participatory tools are aimed to support the process of stakeholder involvement. The stakeholder analysis also provides the necessary background for: A) Detailed participatory appraisal of problems faced by the main stakeholders and B) Participatory planning of project interventions. The annexes provide tools for undertaking the stakeholder analysis.

Introduction

Why	The goal of the stakeholder analysis is to gain a thorough understanding of the actors that have a direct or indirect stake in WASPA and understand their perception of the problem(s). This is considered of crucial importance for the project. This guidance note provides a framework for carrying out such a stakeholder analysis. The stakeholder analysis methodology is very participative (in contrast to a purely academic analysis) to enhance the forming of clusters of stakeholders who have a better understanding of each other and are willing to collaborate on certain issues.
For who is the note meant?	This note is meant for local team leaders who have to direct a team of field workers which is responsible for the stakeholder analysis. It might be necessary to translate (part of) the included tools in the local language.
Outputs and Follow up	<p>The stakeholder analysis aims to provide answers for the following questions:</p> <ol style="list-style-type: none"> 1. Who are the main stakeholders and what roles do they play? 2. What are the main problems for each of the stakeholders in relation to WASPA? 3. What is the environment in which the stakeholders function? 4. Who are seen as the prime movers amongst the stakeholders? 5. What are their relationships with each other? <p>The outputs will be presented in a detailed stakeholder analysis report that will be shared with all project partners. The stakeholder analysis provides the necessary background for:</p> <ol style="list-style-type: none"> A. Detailed and participatory appraisal of problems faced by main stakeholders. B. Participatory planning of project interventions.

Acknowledgements

The methodology developed for WASPA is based on the RAAKS (Rapid Appraisal of Agricultural Knowledge Systems) framework: a participatory methodology for analysing complex multi-stakeholder situations and for designing effective co-operation and communication strategies. RAAKS was developed by the University of Wageningen (The Netherlands). Some of the tools

described have been taken directly from the RAAKS toolkit whilst others have been slightly modified.

Stakeholder Analysis¹

This section describes the framework stakeholder analysis and describes a number of tools that could be used for the stakeholder analysis. The use of this framework requires the direct involvement of an experienced facilitator of participatory processes.

The stakeholder analysis is carried out by answering the following five questions through the use of participative data collection tools:

1. **Who are the main stakeholders and what roles do they play?**
2. **What are the main problems for each of the stakeholders in relation to WASPA?**
3. **What is the environment in which the stakeholders function?**
4. **Who are seen as the prime movers amongst the stakeholders?**
5. **What are their relationships with each other? Are there any conflicts?**

In the following section, these questions are further elaborated upon and for each of the questions one or more participative tools have been selected. These can be found in the Annexes or in other relevant documents.

<p>Question 1: Who are the main stakeholders and what roles do they play?</p>	<p>Explanation – as a first step, a list of relevant stakeholders needs to be drawn up. For each of the stakeholders the following questions have to be answered:</p> <ul style="list-style-type: none"> • Can they contribute to decision making? • Are they needed for implementation? • Can they block decision making? • Are they affected by or do they have an interest in the issues at stake? • What is their role? (polluter, regulator, direct consumer, indirect consumer, etc.) • What are the sub groups of stakeholders that could be brought together in one single workshop.
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¹ The stakeholder analysis described in this section is adapted from the HarmoniCOP project: Ridder, D.; Mostert, E. and Wolters, H.A. (eds.) (2005). *Learning together to manage together : improving participation in water management*. Osnabruck, Germany, University of Osnabruck, Institute of Environmental Systems Research available at <http://www.harmonicop.info/handbook.php> eds

	<p>Secondly, categorise each stakeholders according the following criteria (adapted from ICRA):</p> <ul style="list-style-type: none"> • Key stakeholders are those actors who are considered to have significant influence on the success of a project. • Primary stakeholders are the intended beneficiaries of the project. • Secondary stakeholders are those who perform as intermediaries within a project. • Active stakeholders are those who affect or determine a decision or action in the system or project. • Passive stakeholders are those who are affected by decisions or actions of others. <p>Methodology – this first step of the stakeholder analysis can be done through (1) desk study on the basis of the first round of discussion during the inception workshop (2) one-to-one interviews with stakeholders (3) at the end of this round the team needs to identify clusters of stakeholders which could be brought together in a single workshop.</p> <p>Remark – It is very likely that new stakeholder will be identified during the round of one-to-one interviews. These stakeholders need to be added to the list and be included in the round of discussions.</p> <p>The information from this initial scoping exercise can be put into a table, see Annex A.</p>
<p>Question 2: What are the main problems for each of the stakeholders in relation to WASPA?</p>	<p>Explanation –Different stakeholders might have very different perceptions of the problems. How do they see the problems as identified in the WASPA proposal? Some of the stakeholders identified might not even perceive any problem at all.</p> <p>Methodology – For this step, and the following steps, it is necessary to bring the identified clusters of (representatives of) stakeholders together in short workshops. These workshops need to be facilitated by experienced facilitators to ensure that in particular vulnerable groups such as women and the poor are able to participate in a meaningful manner. For detailed description refer to Annex B.</p>
<p>Question 3: What is the environment in which the stakeholders function?</p>	<p>Explanation – The next step is to get a better understanding of how the stakeholders view the environment in which they operate.</p> <p>Methodology – Focus group discussions with a cluster of stakeholders on the basis of a series of questions presented in Annex C.</p>

<p>Question 4: Who are seen as the prime movers amongst all stakeholders?</p>	<p>Explanation - Identification, based on stakeholders' perceptions, of the 'prime movers' – those who give the leadership and have the most influence on what happens within the system. And a picture of the influence and/or leadership of each of the prime movers as seen by different subgroups/actors.</p> <p>Methodology – Within a workshop with a cluster of stakeholders prime movers amongst all stakeholders and their influence will be identified. For detailed description refer to Annex D</p>
<p>Question 5: What are their relationships and/or conflicts with each other?</p>	<p>Explanation – Relationships between stakeholders are important for the problem analysis, planning and implementation of project activities, and mutual learning.</p> <p>Methodology – This answering this question will involve the following steps and methods: Step 1: identify different relationships between different stakeholders by making a Venn Diagram. Step 2: describe the most important relationships through a focus group discussion.</p> <p>Refer to Annex E for a detailed description of these two steps.</p>

References

For further reading refer to:

Peter Laban, Mona Barghout, Patrick Moriarty, and Shawkat Sarsour (March 2005). "Stakeholder Dialogue and Concerted Action for Integrated Water Resource Management". EMPOWERS Working Paper No. 6. Accessible from <http://www.empowers.info/page/1092>

ICRA (International Centre for Development Oriented Research in Agriculture) Learning resources. Paper on key concepts in stakeholder analysis downloaded from http://www.icra-edu.org/objects/anglolearn/Stakeholders-Key_Concepts.pdf

RAAKS Toolkit and background material. Paul Engel and Monique Salomon (1997). *Participatory Actor-oriented Methodology on Networking for Innovation and Stakeholder Analysis* (KIT/CTA/STOAS). Several materials from the guide are available on <http://www.kit.nl/smartsite.shtml?ch=FAB&id=4616&Part=Resources>

Annex A. Table 'Scoping Exercise'

Stakeholder	Stakeholder group (key stakeholder, primary stakeholder, secondary stakeholder, active stakeholder, passive stakeholder)	Role of stakeholder (polluter, regulator, direct consumer, indirect consumer, etc.)	Stake (interest) in the project	Ability to contribute to or block decisions	Ability to contribute to or block implementation	Category of stakeholder (primary, secondary, etc)

Annex B. Question 2 – Stakeholder Problem Perception

Expected outputs

- Statements of the problems of a number of key stakeholders, which will be used for the further development of the participatory action plan and the formation of the Learning Alliance.
- An overview of the arguments stakeholders put forward and the criteria they apply in rating the degree of importance of each of their objectives with respect to the direction the WASPA project should take.
- A first assessment of the driving force(s) and actor(s) behind each of the different objectives.

Relevant questions

- What do the stakeholders see as their problems (listed in order of priority)? Which of these problems are related to the WASPA project?
- How do other stakeholders—in the same cluster—perceive each others' problems?
- What WASPA-related problems do different stakeholders have in common?
- Who of the other identified stakeholders has a stake in the identified problems?

Working procedure

Within the workshop:

1. Each of the stakeholders will be asked to write down on a large piece of paper their problems in order of priority. It is likely that most of the problems will not be related to the WASPA project. Secondly, they will be asked to identify those problems that are related to sanitation, agriculture, and waste water. Ensure assistance, if some of the stakeholders are illiterate.
2. Ask each stakeholder, to note down the problems that are related to WASPA on a separate large sheet of paper .
3. Each stakeholder will visit the paper of all other stakeholders and will note down how they perceive the WASPA related problems of that particular stakeholder.
4. The papers are presented and discussed by the entire group.
Pay attention to the following issues:
 - (a) which problems are shared by more than one stakeholder, these shared problems are the start of building coalition between different stakeholders
 - (b) the perception stakeholders have about each other's problems.
5. Identify for each of the WASPA related problems which of the other stakeholders (identified in step 1) have a stake or a role in that particular problem.

Annex C. Question 3 – The Environment

Relevant questions

- Which external and internal factors play an important role in how waste water is produced, treated, transported, and used, and so on? Factors could include government policies, demand for a specific type of products, but also seasonal climate changes, acceptance of use of latrines, and so on.
- Are there stakeholders that can influence such factors?
- Which external actors put direct pressure – either positive or negative – on the stakeholders by aggravating or mitigating problems that faced by the stakeholders?
- What external and internal factors that are identified in the environment are seen as the most important for the stakeholders that are present in the workshop?
- How complex is the environment within which the system must perform? Is it subject to rapid change or take changes take place slowly?

Working procedure

The questions are discussed in a focus group discussion. However, throughout this discussion, look for ways to make the results of team discussion visible – e.g. by making drawings that show the relationships being discussed.

Remark- Ensure that all participants take part in the discussions. It might be necessary to actively invite women and other disadvantaged groups to participate.

Annex D. Question 4 – Prime Movers amongst Stakeholders

Rationale

Different actors influence interactions within the system in different ways. For example, policymakers design and implement policies and regulations, market actors influence prices, donors finance certain programmes, research stations offer certain technological solutions, consumers choose certain products, agro-industries favour relationships with particular producers and producers may favour specific techniques. Each actor therefore has their own influence on the social interactions within the system. However, some actors may exert more influence than others, so that coalitions appear around these ‘prime movers’. They may exert strong leadership on the way the knowledge system functions, and hence on the type of outputs and impact the system achieves. This tool focuses on identifying these prime movers and the degree to which they effectively ‘steer’ the system in a given direction.

Expected outputs

- Identification based on actors’ perceptions, of the ‘prime movers’ – those provide leadership and have the most influence on what happens within the system.
- A picture, in the form of several Spider Diagrams (see example), of the influence and/or leadership of each of the prime movers as seen by different subgroups/actors.

Relevant questions

- Who do different stakeholders see as the prime movers in the system?
- Which of these prime movers exert the strongest influence?
- Who could change the situation and would be interested in doing so? Why?

Working procedure

Start with forming groups or clusters of stakeholders. This should be done by the participants of the workshop. Fill in the names of each group in the Spider Diagram (see Figure 1)

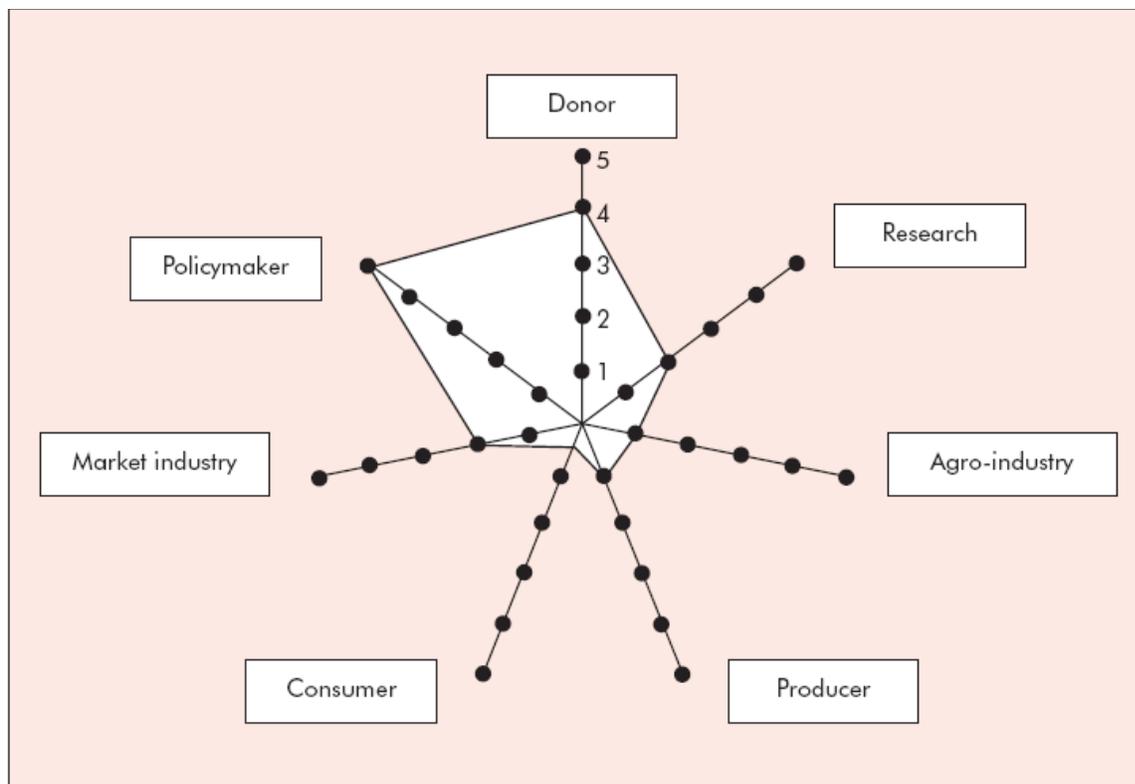
Ask each actor or group of actors to say how strong the influence of each different type of actor (internal or external) exerts on the relevant part of the use of waste water for agriculture. For instance: For a workshop for stakeholders who are involved in farming the focus should be on the use of waste water in agriculture and the control thereof. For a workshop of producers of waste water (city dwellers, micro industries) the focus should be on the production of waste water, regulations, etc.

This will be made visible by asking each participant of the workshop to fill in a blank ‘Spider Diagram’ consisting of a circle and one line for each type of stakeholder. (There may be fewer lines than in the example given in figure 1– or more.)

Each (group of) stakeholders is assigned a line. Each participant of the workshop is asked about each other (group of) stakeholder separately. They decide where to place a sticker on the line representing this particular stakeholder. The stronger (the more 'controlling') the influence of this stakeholder, the further away from the centre the sticker is placed. The weaker (the more 'following') the influence, the closer it is put to the centre. There may be more than one prime mover.

Remark- The use of a Spider Diagram is a good way of discussing and coming to understand the perceptions of the participants of the workshop. The Spider Diagram helps to give the team a coherent picture of the system and understanding of the stakeholders.

After this round, the facilitator needs to take some time to put together all the individual answers in one single Spider Diagram. This needs to be presented to the participants of the workshop and be discussed with them.



Scoring

5 = 100% controlling

1 = 100% following

Figure 1 : Example Spider Diagram

Annex E. Question 5 – Relationships and Conflicts between different stakeholders

Step 1 : Venn Diagram

Venn diagrams provide a visual representation of stakeholders, their relationships and their importance. Venn diagrams use touching or overlapping circles of various sizes to indicate the degree of contact, dependency or overlap in decisionmaking. Each circle represents a stakeholder group (or possibly an individual, such as the Mayor or another key actor). The size of the circle indicates importance.

Relevant Questions

- What patterns of relationships can be seen among the actors, and especially the prime movers, in the system? Indicate whether a relationship can be described as (1) control (2) mutual collaboration (3) mutual dependency (4) exchange of information (5) producer – client (5) employer – employee.
- What are the most important relationships?
- What sorts of coordination occur now? What gaps and overlapping can be seen with respect to coordination?

Working Method

- Ask the participants of the workshop to draw a Venn Diagram on the basis of the (groups of) stakeholder identified in the previous exercise. The size of each circle indicates the importance of (group of) stakeholders.
- Draw the different relationships between the stakeholders and indicate the importance of the relations by varying the thickness of the lines.
- Describe the type of relationships (see above).

Step 2 : Focus Group Discussion

A focus group discussion is a group discussion of approximately 6 - 12 persons guided by a facilitator, during which group members talk freely and spontaneously about a certain topic. This is a qualitative method. Its purpose is to obtain in-depth information on concepts, perceptions and ideas of a group. A FGD aims to be more than a question-answer interaction. The idea is that group members discuss the topic among themselves, with guidance from the facilitator. Participants should be roughly of the same socio-economic group or have a similar background in relation to the issue under investigation. The age and sexual composition of the group should facilitate free discussion. FDGs should be complemented by other methods, for example at least some key informant and in-depth interviews.

Relevant Questions

For each of the main relationships the following questions need to be answered:

- Is there any negative stereo typing?
- Is there a history of collaboration?
- Are there any hierarchical relations between different stakeholders?
- What are your experiences with the different stakeholders?

Working Method

- List the important relationships on a piece of paper.
- Answer the relevant questions for each of these relationships.