SWITCH

Learning Alliance Briefing Note 2: Stakeholder Analysis

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In Learning Alliance Briefing Note 1, the rationale of using learning alliances within the SWITCH project as the mechanism to ensure that research is put into use through the project was outlined. One key to an effective learning alliance is indentification of stakeholders, their respective roles, interests and relationships. Within the SWITCH project, a series of steps are planned to develop an understanding stakeholders and their concerns in urban water management. The first two steps will be undertaken in each city, whilst the third step is planned in a selected sample of cities.

Step 1: The *initial city level scoping exercise* for the learning alliances included an element of stakeholder analysis. This was a 'quick and dirty' exercise done (in a few days) by people with little or no previous experience in stakeholder analysis and with limited support prior to and during scoping visits in the city. It generated some results rapidly that were necessary to start off discussions and planning, but this information is brief and was not validated. This task was completed in almost all cities.

Step 2: The learning alliance workpackage (6.2) envisions a 'full' *stakeholder analysis* (the objective of this note) to be carried out by the city learning alliance facilitator after some specific training in stakeholder analysis. An element of this analysis will be participatory (e.g. workshop exercises with stakeholders) and it is therefore a key process step in establishing the learning alliance linked to the first or second learning alliance meeting. Ultimately this analysis will probably involve 10-20 days work over a period of about 2 months,

leading to a report of 20 pages or so. This is planned in all cities.

Step 3: The governance workpackage (6.1) includes an *institutional mapping* element. This goes more in-depth and behind the scenes to build upon the stakeholder analysis to get to the heart of why some things happen and some things don't in cities. It will include both the production of overall institutional maps on urban water management, and technology focused maps looking in more detail at the institutional issues surroubing the uptake of particular technologies. This has to deal with tricky issues like power relations between stakeholders, and as such has to be planned carefully and done by someone with social science skills and the help of the learning alliance facilitator.
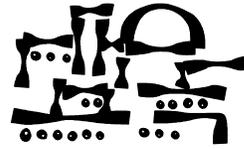
The objective of this briefing note

The objective of this briefing note is to provide adequately detailed guidelines for learning alliance facilitators and their colleages to carry out a stakeholder analysis (step 2). The purpose of that analysis is to identity the key stakeholders or actors for the SWITCH project (i.e. those with a stake in urban water management) and especially those that may be interested and invited to join a city learning alliance platform. The analysis will include participatory analysis in imeetings and workshops with single or multi-stakeholder groups. Although likely to be focused on the city level, vertical linkages will need to be carefully considered (e.g. to the national, catchment or local level). Users of this note are expected to adapt it for use in their own city.

Box 1: Key stakeholder types in SWITCH

- Key organisations responsible for water management in each city. These include organisations who make decisions or effect changes in policy and practice (e.g. policy analysts and advisors, policy makers, municipal/local government personnel (political & bureaucratic), service providers (public, private & voluntary, regulatory authorities etc);
- People with influence with decision-makers directly (e.g. members of parliament, private sector companies);
- Civil society organisations and individuals who can bring pressure to bear on decision-makers (e.g. NGOs, unions, professional associations etc);
- Water user groups (e.g. consumer groups, irrigation groups etc);
- Local 'leading lights' (activists or champions) working to address poverty, gender, environmental issues etc;
- Those who can support, reinforce and strengthen SWITCH's activities and recommendations (e.g. training and research organisations, financial organisations etc);
- Those in the media who provide a means by which the learning alliance can reach the public; and
- The donor community, who can further finance and support SWITCH's activities.

Outline of stakeholder analysis

Prior to commening the stakeholder analysis it is important to revisit the goal or longer-term objective of the city learning alliance. The scope of this goal, will also determine the scope of the stakeholder analysis. It is envisaged that most learning alliances have a broad vision to achieve radical change across all elements of the urban water cycle, and consequently most will require a broad stakeholder analysis.

Five questions, to be answered through the use of participative data collection methods, are then proposed:
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 IUWM?
3) What are the key factors that influence the activities of each stakeholder in their functions?
4) Who are seen as the prime movers amongst the stakeholders?
5) What are their relationships with each other? Are there any conflicts?

For each of these questions, one or more participatory tools are suggested (and can be found in the annexes and linked documents).

Question 1: Who are the main stakeholders and what roles do they play

Identifying the people, organisations and institutions affected by or with an interest in the issues at stake, includes considering:

- Do they contribute to decision making?
- Are they needed for implementation (e.g. of SWITCH activities)?
- Can they block decision making?
- The role of stakeholder such as polluter, regulator, direct consumer, indirect consumer etc. (see Box 1)

In learning alliance activities, such as an initial meeting, many of these sub-groups of stakeholders can probably be brought together at a workshop. Catagorisation of stakeholders is often useful and might be according to the following scheme (adapted from ICRA)

- 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 act 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.

Methodology The initial scoping that was done earlier probably provides you with much information to start to answer this question. Additional information can be collected through desk study on the basis of an exercise or discussion during a inception workshop, and one-to-one interviews with stakeholders. The team should then identify clusters of stakeholders that could be brought together in another workshop focused on the stakeholder analysis.

It is very likely that new stakeholders will be identified during the round of one-to-one interviews. These stakeholders need to be added to the list and be included in further discussions. Annex A contains a table that you could use to organise the data.

Question 2: What are the main problems for each of the stakeholders in relation to IUWM?

Different stakeholders are likely to have very different perceptions of the problems. Some of the stakeholders identified might not even perceive any problem at all.

Methodology For this step, and the following steps, it is necessary to bring the identified clusters of stakeholders or their representatives together in short workshops. These workshops need to be facilitated by experienced facilitators to ensure that in particular vulnerable and disadvantaged stakeholders or their reprsentatives are able to participate in a meaningful manner. For a detailed description see Annex B.

Question 3: 3) What are the key factors that influence the activities of each stakeholder in their functions?

The next step is to get a better understanding of the stakeholders view on the wider enabling environment in which they operate.

Methodology Focus group with a cluster of stakeholders on the basis of a series of questions presented (see Annex C).

Which external and internal factors play an important role in the activities of that stakeholder? For example in considering how waste water is produced, treated, transported, and used factors could include: government policies, demand for specific types of products, seasonal climate changes, acceptability 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 enabling environment are seen as the most important for the stakeholders that are present in the workshop?
- How complex is the institutional or enabling environment within which the system must perform? Is it subject to rapid change or take changes take place slowly?

These questions are best 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. Ensure that all participants take part in the discussions. It might be necessary to actively invite women or representatives of other disadvantaged groups to participate.

Question 4: Who are seen as the prime movers amongst the stakeholders?

This step aims to identify, based on stakeholders' perceptions, the prime movers or champions who give the leadership and have the most influence on what happens within the system. It will describe the influence and/or leadership of each of these key individuals as seen by different subgroups or actors.

Methodology Within a workshop with a cluster of stakeholders discuss prime movers amongst stakeholders and their influence. For detailed description refer to Annex C.

Question 5: What are their relationships with each other? Are there any conflicts?

Relationships between stakeholders are important for the problem analysis, planning and implementation of project activities, and mutual learning.

Methodology This step consists of the steps: (1) identify different relationships between different stakeholders by making a Venn Diagram (2) describing the most important relationships through a focus group discussion.

It is important to realise that relationships between stakeholders might be strained in some instances.
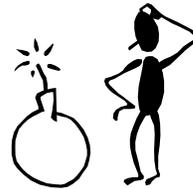
Hence, the facilitator needs to be careful when discussing this subject and avoid further accelation of problems. Making conflcts explicit can make them worse.

Refer to Annex D for a detailed description of these two steps.

Reporting

It is obviously important to make notes of discussions that are held during various workshops. These discussions provide for vital background information and need to be captured.

The main part of the stakeholder analysis report should be kept concise and to the point. Additional information can be included in he Annexes of the report. Annex E presents a suggested outline for a stakeholder analysis report.

Further Reading

Grimble, R. and M.K. Chan. 1995. Stakeholder Analysis for Natural Resource Management in Developing Countries. Natural Resources Forum 19(2), 113-124.

RAAKS framework developed by the University of Wageningen (The Netherlands) (http://www.kit.nl/frameset.asp?/specials/html/rk_raaks.asp&frnr=1&)

Social Analysis Techniques - Actors

http://200.87.140.91/misc/site/internacional/pages/tools/techniques/actors.htm

Mapping political context – A toolkit for civil society organisation.

http://www.odi.org.uk/RAPID/Publications/Documents/Political_Context_Toolkit_web.pdf

Annex A. Table Scoping Exercise

Stakeholder	Stakeholder group	Role of stakeholder	Stake (interest) in the project	Category of stakeholder (primary, secondary, etc)

Annex B. Stakeholder Problem Perception

Introduction
Problem trees are one of the main tools of the 'logical framework' approach to planning, and therefore a core element of planning cycle based approaches. The **aim** of using problem trees is to help stakeholders move beyond the statement of their 'problems' – which in practice are typically actually symptoms or effects – and to identify the fundamental causes of these problems, and the most important effects that they generate.

The **main output** of a problem tree design exercise is therefore a cause and effect diagram which creates a logical hierarchy of causes and effects and the links between them.

Creating good problem trees calls for the support of a skilled facilitator, as well as plenty of time. If the tree is to serve the purpose of starting the process of a commonly analysed and owned understanding of water related issues it is crucial that there is good representation of stakeholders during problem tree design sessions – as there may be considerable difference of opinion between different stakeholders

The problem trees developed should not exist as a single snapshot, but should be returned to and revised at least throughout the first three steps of the planning cycle.

Materials needed
- Flip chart paper
- Markers
- Scotch tape (or pins) for displaying charts
- Cards
- String
- A large sheet

Method
- Depending on group size, either in one or several groups brainstorm all water related problems in the domain and put each on a card (one point per card)
- Identify one (or a few) shared core problems, and write precise definitions of these on a card.
- Divide the other cards into causes and effects of the core problems; and stick them respectively below and above the core problem on a large sheet.
- Use string to link each card to all those cards that are a direct cause for it, and to all cards that it in turn affects. There can be multiple different causes for each effect and effects for each cause. Some cards (such as poverty) may be both fundamental causes AND principal effects – in this case use two cards for the same issue.
- For each card, looking at the other cards that may be causal for it, ask the question 'are these cards sufficient to explain why this occurs'. If the answer is no, then write new cards until all causes are identified.
- Create horizontal groups of cards that cause, or are the effects of another card. Where cards are very similar create a single new card to represent them all.
- Review the logic, and alter the links until all in the group are satisfied with the result
- Either photograph the final problem tree, or copy it carefully onto a sheet of flip-chart paper.
- Create a copy of the final problem tree and share it with stakeholders.

Tips and tricks
- Take the time to make sure that there is clear agreement as to the meaning of each card, and its relations with others. Make sure this meaning is documented for example by writing on the back of the card. If possible put problems of similar relative importance on one horizontal row.
- A good problem tree session is very dependent on skilled facilitation. Facilitators should be familiar with the problem tree approach, and also with water related issues. Where necessary the

facilitator can support the stakeholders in making links between cause and effects based on their own knowledge.

- As with other tools and outputs, the problem tree exercise is as important for its role in generating dialogue and shared understanding between stakeholders as it is in creating a written output. Therefore sufficient time must be given to allow for a good exercise and for the inevitable discussions, arguments and tangential interventions that will arise.
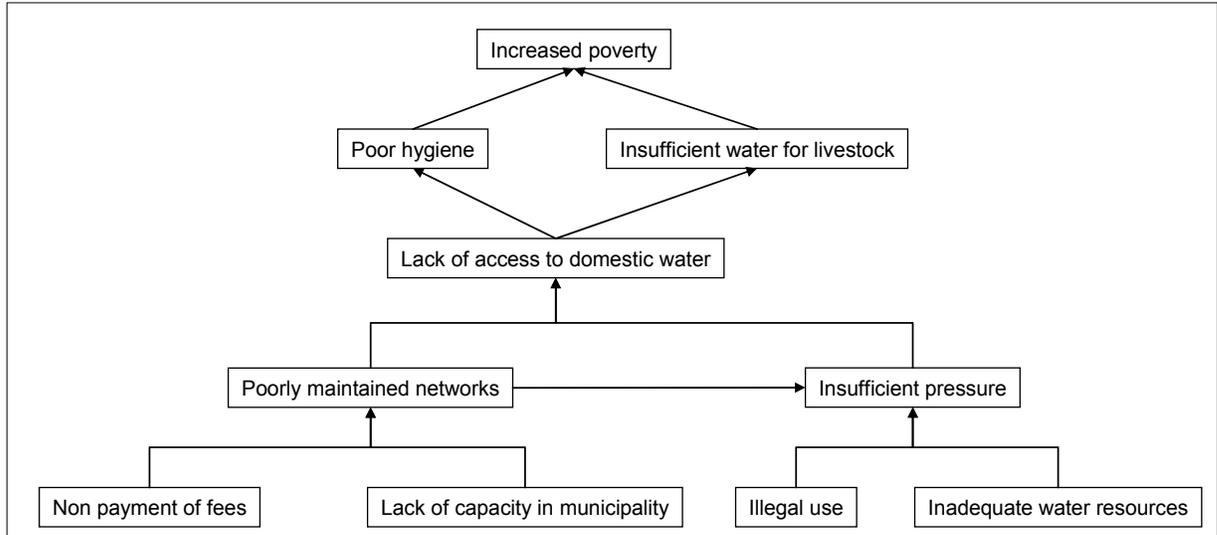

Figure 1: example of problem tree

Further resources
IAC / Wageningen UR "Participatory Planning Monitoring and Evaluation Resource Portal"
http://portals.wdi.wur.nl/ppme/?Problem_tree

Annex C. Question 4 – Prime Movers amongst Stakeholders

Expected outputs

- Identification based on actors' perceptions, of the 'prime movers' – those who give the leadership and have the most influence on what happens within the system. This needs to be done around each of the major issues that has been identified in a city.
- 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?

Introduction

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.

Working procedure

- List out the main problems that have been identified during the scoping visit. A spider diagram has to be made for each of the problems.

- 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 an influence each different type of actor (internal or external) exerts on the relevant part IUWM.

- 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 – 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.

  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
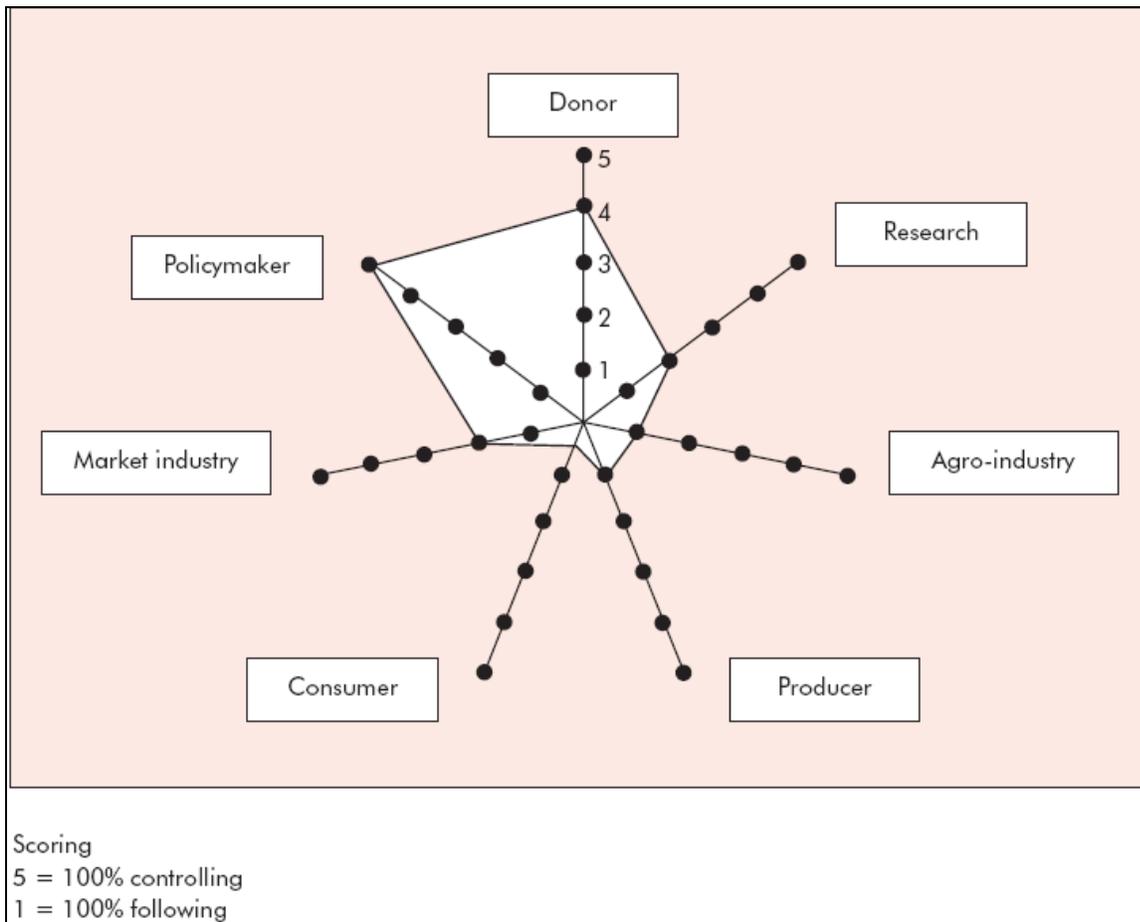
Figure 1 : Example Spider Diagram

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

Step 1 : Venn Diagram

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

Relevant Questions

For each of the main relationship 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.

Annex E.   Reporting Format

It is suggested that the total report might be about 20 pages excluding the annexes. You will have to discuss carefully whether it is for internal SWITCH project use, internal city LA use, or is for external distribution.

Summary
A short summary of your findings. Include a short section on the findings that you found most remarkable. The summary should have a maximum length of about 1 page.

Chapter 1. Description of stakeholders, their roles and problems
In the first four chapters of the report, the main findings of all the exercises will be presented. It is important to carry out a simple analysis of the kind the findings and not to present just the findings (these will be presented in the annexes). Therefore avoiding just listing out stakeholders but add some analysis relevant to SWITCH.

The fist chapter gives an overview of the different types of stakeholders that are involved in IUWM, their roles and problems.

Chapter 2: Factors influencing stakeholders
This chapter describes which stakeholders are influenced by which factors.

Chapter 3: Primemovers amongst stakeholders
This chapter identifies primemovers (most influential) and less influential organisations and individuals amongst the stakeholders. The spider diagrams should be presented in the annexes of the report.

Chapter 4: Relationships between different stakeholders
What kind of relationships exist between the various stakeholders. Keep in mind that you will have to work with most stakeholders so make sure that you keep all stakeholders on board.

Conclusions and recommendations
The conclusions and recommendations should be focused on the future. Which stakeholders are of vital importance for the learning alliance, what is the best strategy to establish a learning alliance involving the key stakeholdets etc.

Annexes
Conclude the following information in the annexes:
- A complete table with all stakeholders (see Annex A) with contact persons and details etc
- All problem trees
- Spider diagrams
- Venn diagrams etc