



Stakeholder Analysis & Participation

- 1. Introduction**
2. Stakeholder Identification
3. Interest and Impact
4. Influence & Importance
5. Assumptions & Risks
6. Stakeholder Participation



Why Stakeholder Analysis?

- Draw out the **interests** of stakeholders in relation to the **problems** which the SWM plan is seeking to address (at the identification stage) or the progress of the plan once implementation has started
- Identify **conflicts of interests** between stakeholders, which will influence the assessment of the plan's riskiness before funds are committed



Why Stakeholder Analysis?

- Helps to identify **relations** between stakeholders which can be built upon, and may enable “**coalitions**”, plan **sponsorship, ownership** and **cooperation**
- Help assess the appropriate **type of participation** by different stakeholders at successive stages of the plan development or implementation



Subjects

Wide range of stakeholders and complex inter-relationships ► importance of analysis as part of project preparation for:

- Primary collection of waste from households and communities
- 'cleaner local environments' through resident/community-based Organisation (CBO/NGO actions)
- Municipal collection and transport of solid waste
- Disposal of solid waste through landfill
- Recycling and reuse of waste materials
- Promotion of institutional reform through increased private sector participation



When and Who?

- at the beginning of the plan
- team approach more effective than an individual doing the analysis alone (team members: mediator, people with local knowledge, experts, local agent with 'legitimacy')
- stakeholder analysis often involves sensitive and undiplomatic information and needs to be handled cautiously.



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Definitions

A stakeholder is any person, group or institution that has an **interest** in an activity, Solid Waste Management Plan or Programme. This definition includes both intended **beneficiaries** and **intermediaries**, **winners** and **losers**, and those **involved** or **excluded** from decision-making processes.



Definitions

Primary Stakeholders: ultimately affected, either positively (beneficiaries) or negatively (e.g. those involuntarily resettled). This includes intended beneficiaries or those negatively affected (e.g. those involuntarily resettled)

Secondary stakeholders: intermediaries in the process of delivering a waste management service to primary stakeholders.

External stakeholders who are not directly involved, but may nevertheless be affected by a specific project or programme



Main Stakeholders in SWM

Public Health and Sanitation Departments	Public Works Departments	Natural Resource Management Agencies	National or State/Provincial Environmental Ministries
Municipal Governments	Land Use or Town/Physical Planning Agencies	Regional Governments	Private Sector Companies
Residential Waste Generators	Business Waste Generators	Informal Sector Workers and Enterprises	Non-Governmental Organizations
Community-based Organizations	The Poor and Residents of Marginal and Squatter Areas	Women	External Funding Agencies

Stakeholder Brainstorming





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Interests and Impact

Assess Stakeholders' Interests through

- Field work: interviews and round tables
- Classification by working group

Some interests might be “**hidden**” or **in contradiction** with the openly stated aims.



Assign the project's possible impact

- Favourable impact (+)
- Unfavourable (-)
- Unknown impact (?)
- High impact (H)
- Medium impact (M)
- Low impact (L)
- Uncertain impact (?)



Exercise

Part I:

Identify Stakeholders,
Interests and Impact
30 min.



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Importance & Influence

Key Stakeholders in a SWM plan are those who can significantly influence the plan and who are important to its success.



Influence

- power which stakeholders have over a SWM plan – to **control** what **decisions** are made, **facilitate** its **implementation**, or **exert influence** which affects the SWM plan **negatively**;
- the extent to which people, groups or organizations are able to **persuade or coerce** others into making decisions, and following certain courses of action.



Influence

- **Formal power** may derive from the nature of a stakeholder's organization, or their position in relation to other stakeholders (e.g. line ministries which control budgets and other departments).
- **Informal forms of influence** might derive e.g. from personal connections to ruling politicians.



Influence

Within and between formal organizations

For informal interest groups and primary stakeholders

Legal hierarchy (command and control, budget holders)

Social, economic and political status

Authority of leadership (formal, informal, charisma, political, familial or cadre connections)

Degree of organization, consensus and leadership in the group

Control of strategic resources for the SWM plan (ea. Suppliers or hardware or other inputs)

Degree of control of strategic resources significant for the SWM plan

Possession of specialist knowledge (ea. Engineering staff)

Informal influence through links with other stakeholders

Negotiating position (strength in relation to other stakeholders in the SWM plan)

Degree of dependence on other stakeholders



Importance

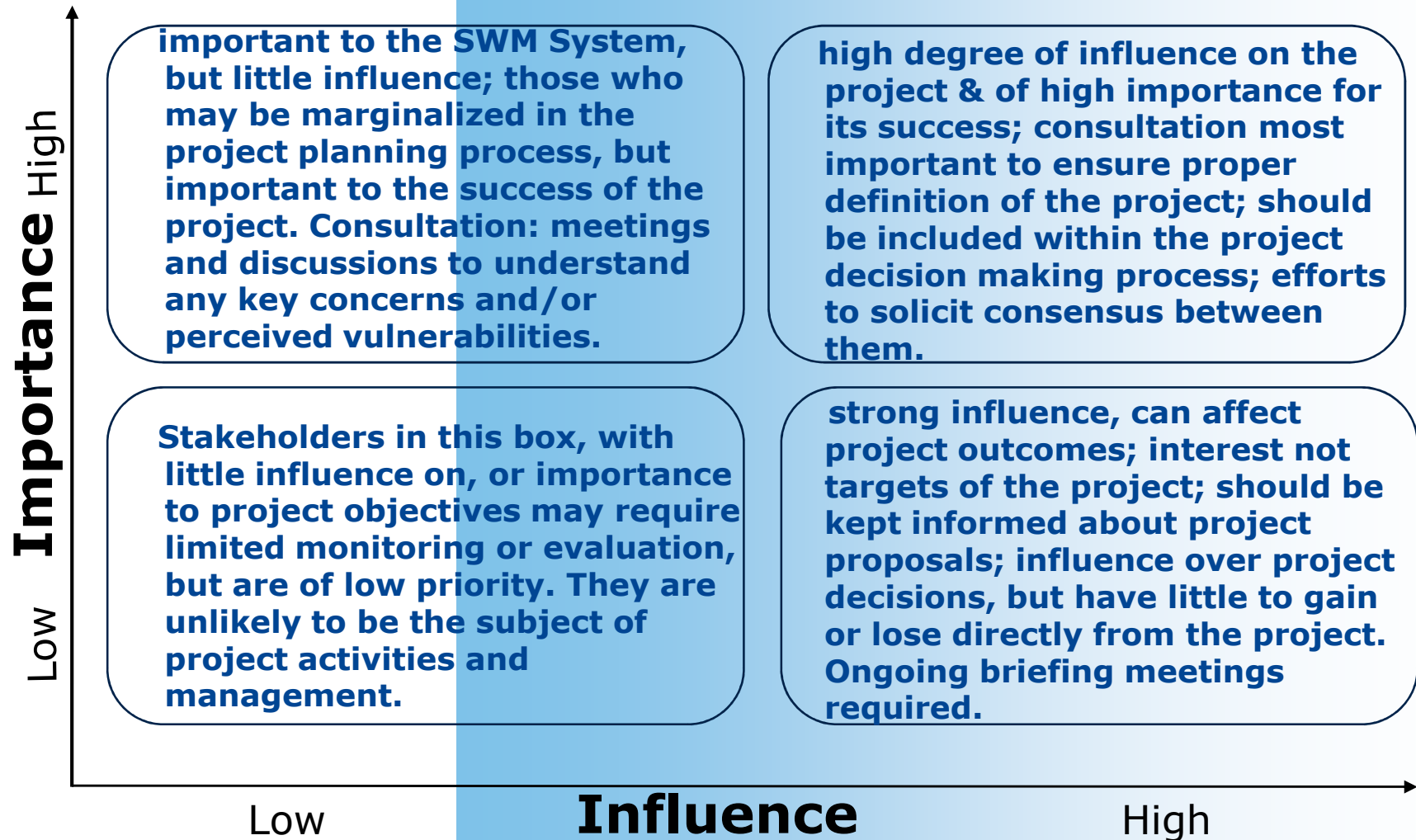
- stakeholders whose **problems, needs and interests** are the **priority** of the developers of the SWM plan or strategy – if these “important” stakeholders are not assisted effectively then the SWM plan cannot be deemed a “success”
- **≠ influence:** there will often be unorganized stakeholders, upon which a SWM plan places great priority (e.g. women, resource poor farmers, ethnic minorities, etc.). Their weak capacity to participate in the SWM plan leads to limited power to influence key decisions.



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Matrix classification of stakeholders according to relative influence





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Assumptions and Risks

The last stage of a Stakeholder's Analysis is to identify potential risks that might lead to stakeholder's expectations not being met. After assuming their interests and assessing the influence and importance, some risks will derive from conflicting interests

- between project and stakeholder
- between two or more stakeholders



Assumptions and Risks

- stakeholder with high influence, but interests which are not in line with the SWM plan's objectives ► might be able to "block" the plan, and if this is probable, the risk may constitute a "killer assumption"
- draw up a project risk management plan by thinking about the pertinent risk mitigation strategy or planning specific actions to respond to the risks



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Stakeholder Participation

- Not all stakeholders need/can/want to be involved at all stages or in all aspects of the project.
- **Stakeholder Participation** is a process whereby stakeholders – those with rights (and therefore responsibilities) and interests – play a role in decision-making and in the consequent activities which affect them.



Stakeholder Participation

Participation enables a SWM strategic plan to be

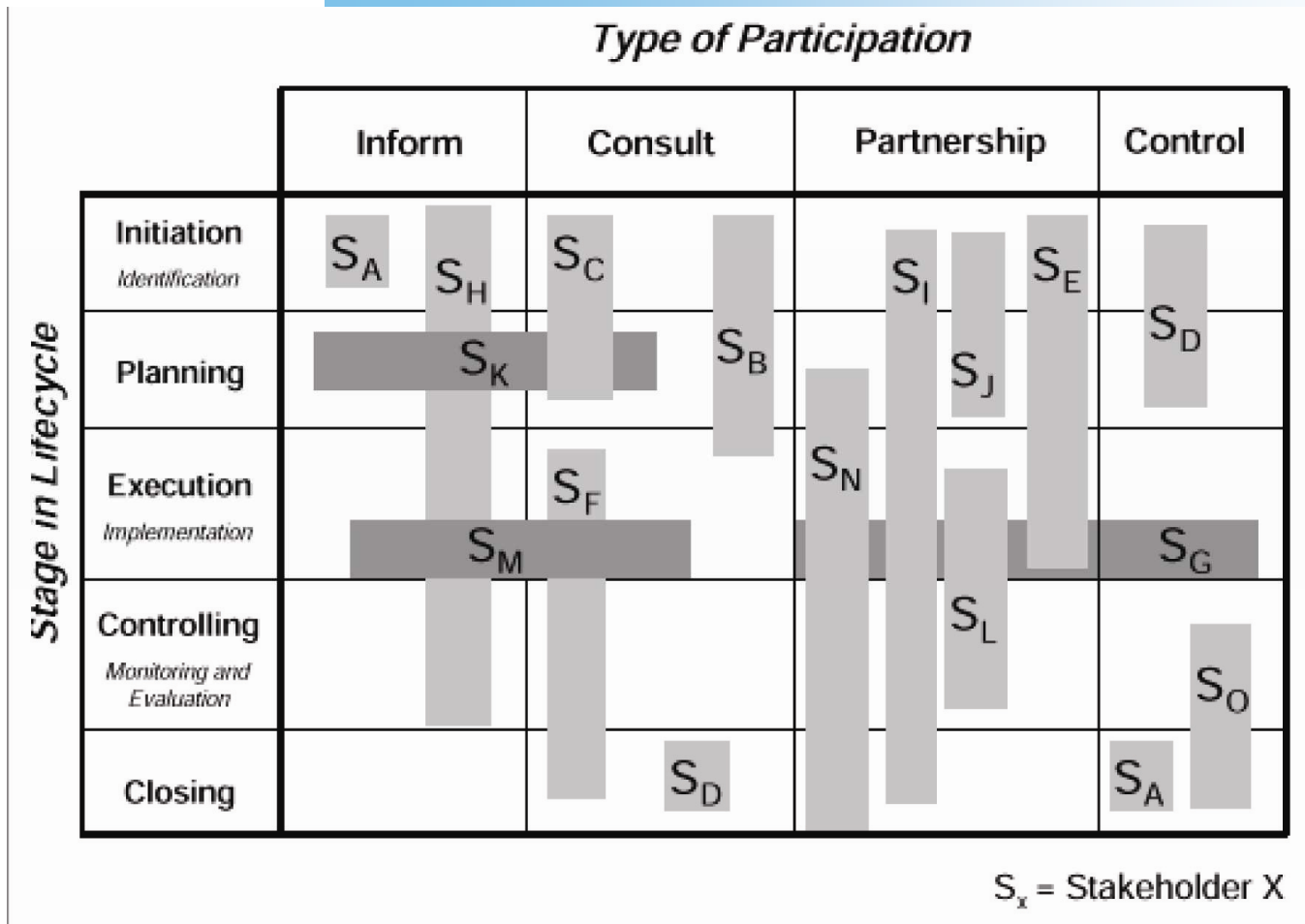
- more effective: maximized prospects for appropriate SWM plan design and commitment to achieving objectives
- more sustainable: people more committed to participating and carrying out the activity, and more able to do so: participation itself helps develop skills and confidence



Stakeholder Participation

	Inform	Consult	Partnership	Control
Initiation & Identification				
Planning				
Implementation				
Controlling/ Monitoring				
Closing/ Evaluation				

Stakeholder Participation





Stakeholder Participation

Stakeholder Information: Key Stakeholders with high influence, but with low importance to SWM plan success may be “managed” by being consulted or informed.

Stakeholder Consultation is providing a forum for stakeholders to speak up and voice opinions. Those opinions then may or may not be taken into account fully by decision makers. A prominent example would be the consultation of the residents in the vicinity of a newly developed sanitary landfill site.



Stakeholder Participation

Stakeholder Partnership: Key Stakeholders with high influence and importance to project success are likely to provide the basis of the “coalition of support” for the plan and are potential partners in planning and implementation.

Stakeholder Control is an active and powerful way of participation and should be designated for those who qualify as mediators without having strong own interests.



Stakeholder Participation

- participation matrix as a dynamic tool
- underlying rationale transparent to the stakeholders in order to avoid different and conflicting expectations about their roles
- Setting up of special committees, consumer councils or other arrangements to ensure the views and needs of less influential primary stakeholders are included.
- cost-benefit perspective: longer benefits of participation must be calculated against the short-term costs ► selective approach



Stakeholder Participation

SWM plans where objectives correspond to the priorities of partner institutions and beneficiaries, and where local institutions and beneficiaries were regularly involved are more likely to be successful

BUT: Participation does not guarantee success!

There are often irresolvable conflicting interests among the various stakeholders involved in a SWM plan. It may result in conflict, it can have significant costs in time and it may mean that institutions have to change the way they go about their business.



Exercise

Part II:

Influence & Importance

Risks

Participation

Presentation

45 min.