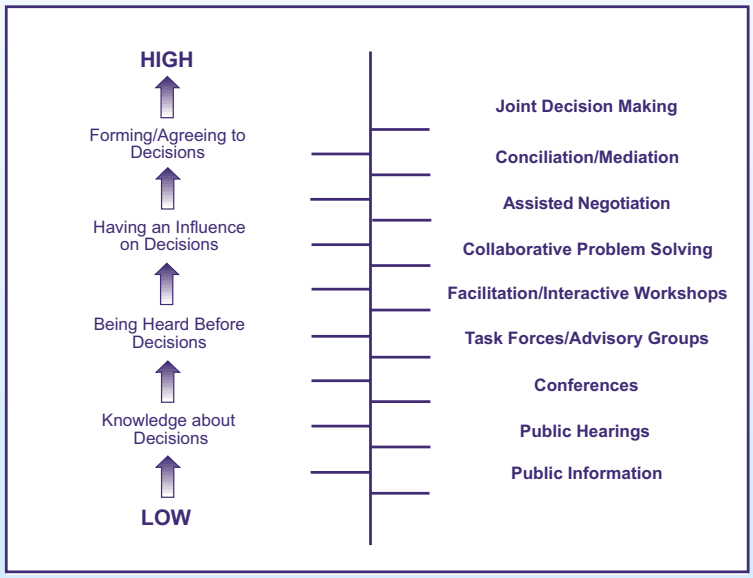
IDENTIFYING AND MOBILISING STAKEHOLDERS



Guidance

Importance of Stakeholder analysis

It is a major urban challenge to introduce not only aquifer protection principles into municipal planning but also to engender a greater ownership of such policies by all users of the urban subsurface in order to make them enforceable. Realistic considerations of enforcement ability make it vital to involve urban groundwater stakeholders as early as possible in policy development if urban aquifer protection is to stand any chance of success. The project therefore devoted significant resources in each city case-study to a consultation exercise with the explicit aim of involving stakeholders in the selection of the policy options in each city's draft groundwater management Action Plan. The exercise closely followed the recommendations for preparing consultation described in the Consultation Process Tool.

This section provides guidance for involving groundwater stakeholders: those individuals and institutions who have either a direct or indirect interest in groundwater conditions, and who might be affected by the outcome of the rapid assessment and follow up activities. The guidance consists of:

- Notes on the importance and use of stakeholder participation and stakeholder analysis;
- Recommendations for preparing and carrying out stakeholder consultation and analysis;
- Mobilising stakeholders: and
- A checklist of tasks for initiating and supervising the Consultation Process.

Stakeholder participation

Stakeholder participation is the process of involving those who are affected by and thus have an interest in groundwater resources, and hence in the formulation of groundwater management strategy. It is a two-way communication process that seeks to identify and to clarify interests at stake, with the ultimate aim of developing a well-informed groundwater management strategy that has a good chance of being supported and implemented (FAO, 1995).

Stakeholder involvement in the development of management plans is important because it can:

- Ensure that alternatives serving a broad range of interests are considered,
- Help in the collection and analysis of data, including identification of data gaps, potential data sources, and data gathering priorities. Since stakeholders will ultimately be involved in policy implementation, and discussion will to some extent revolve around data issues, early stakeholder agreement about (and affiliation with) the data base is crucial,
- Provide transparency, accountability and in some cases a sense of ownership regarding the decision-making process and the decisions taken,
- Accustom stakeholders to the fact that difficult choices and tradeoffs will have to be made,
- Help build broad commitment to management plans and policies.

There is no blueprint for stakeholder participation; judgement is needed to determine who should participate, when, and in what capacity. However, only key stakeholders should participate to avoid unwieldy and non-productive groupings. Key stakeholders are those people, groups or institutions who can significantly affect the outcome of a project. They are likely to have high importance, high influence, or both (see below).

Stakeholder analysis

Stakeholder identification

The project team identified the principal groundwater stakeholders:

> **Urban groundwater stakeholders***: those individuals and institutions that are concerned with, or have an interest in, the city's groundwater resources and their management.*

They include groundwater users who have a direct interest in groundwater resources, as well as those indirectly involved in groundwater development, management and planning, including public sector agencies and ministries, private sector organisations and firms, non-governmental organisations (NGOs), and external sector agencies.

> **Primary stakeholders**: *those with a direct resource interest and whom groundwater degradation (or its threat) directly affects, or who may be affected (positively or negatively) by policy implementation. Includes groundwater users.*
>
> **Secondary stakeholders***: Intermediaries in the delivering of policies, projects and services to primary stakeholders. Includes those with expertise on urban groundwater issues, and those who have the power to make decisions influencing the way groundwater is used and managed.*

Why do a stakeholder analysis?

Stakeholder analysis aims to:

- Identify and define the characteristics of key stakeholders,
- Assess the ways in which they might affect or be affected by groundwater degradation, and the development of a groundwater management strategy,
- Understand the relations between stakeholders, including potential conflicts of interest and expectation,
- Assess the capacity of different stakeholders to participate in the process, and appropriate types of participation by different stakeholders at successive stages of plan development or implementation.

When should it be done?

Stakeholder analysis should be repeated at successive stages of plan development to ensure that the involvement of old and new stakeholders is adequately addressed, and also to check whether the situation of original stakeholders has changed. So, the first analysis should ideally occur before the groundwater assessment takes place.

Who should do the analysis?

The individual, firm or institution that prepares the consultations should have (a) a professional background in urban water resources management, (b) the ability to organise and facilitate meetings; and (c) awareness of and access to the key stakeholders identified above. These skills may be present within the entity that prepared the Questionnaire and/or Profile.

A team approach is likely to work best. The tools outlined below can be used in a participatory fashion, and drawing up lists and diagrams in the ways described can share and clarify information quickly.

How should the consultations be organised?

There is no successful blueprint which can be followed. Organisation will vary from city to city, depending on local conditions, customs and politics. However, consultations should be focused around a common set of issues and questions.

Figure 1 illustrates various levels of stakeholder involvement with examples of participation techniques appropriate to each level. The checklist below relates to initial consultations at early stages of the planning process described in Figure 1, ending with a public forum to discuss issues, priorities, alternative strategies and constraints.

How does one get access to, and interest, the stakeholders?

Again, there is no one blueprint which can guarantee success. Sometimes it can be useful to secure the endorsement of a top local political official (e.g. mayor) as a means of gaining the attention, and commitment, of stakeholders. In other situations, a political involvement may complicate matters and it may be more useful to have a neutral sponsor.

How long will this take?

It is easy to underestimate the time, effort and finance needed to identify and mobilise stakeholders, especially where political rivalries and conflicts are rife. On the other hand, it is easy to lose the momentum and interest in action. For this reason, it is very important to have a skilled and experienced team/individual behind the process, and the support of key individuals, be they local politicians or apolitical, but influential, persons. Above all it should be stressed that stakeholder participation is ongoing and dynamic, and stakeholder analysis needs to be repeated at intervals.

The following section provides guidance on a basic methodology. The type and scale of the management plan should dictate how much time is devoted to the task.

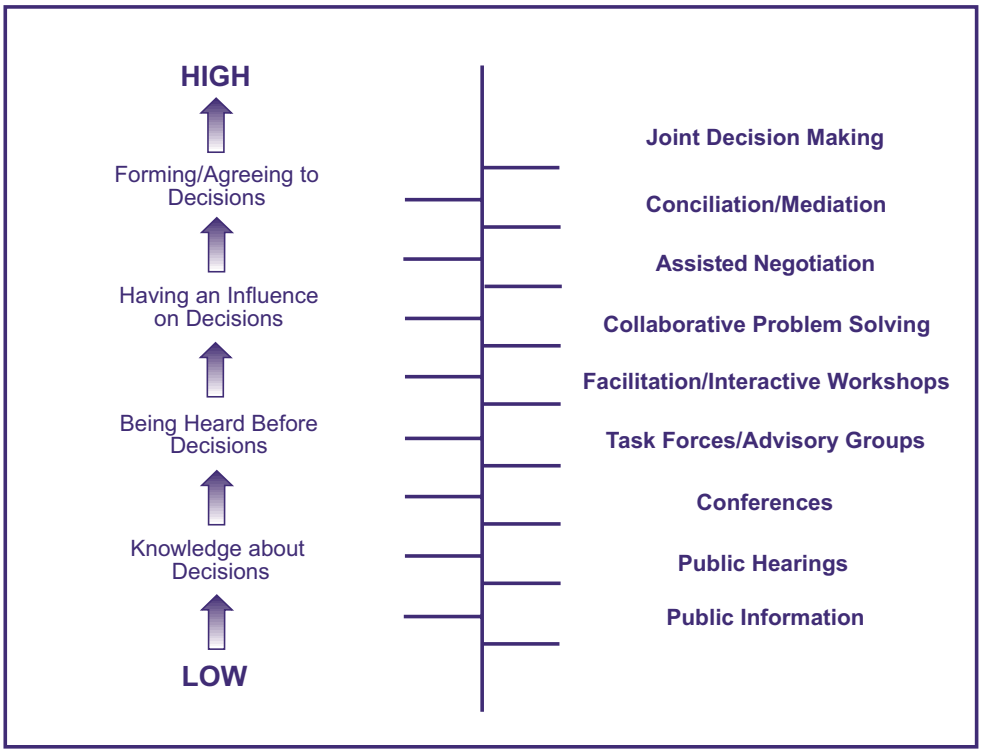


Figure 1 **Levels of stakeholder participation and examples of participation techniques (from FAO, 1995).**

The enthusiasm for participating in a consultation leading to a protection plan will be conditioned by the participants' general experience of successful policy implementation and enforcement in a given city. The resultant confidence (or lack of it) in the exercise is therefore a measure of wider, context-specific political experience over which a project may have no control. Assess realistically in advance how high the project consultation exercise can rise in the in the spectrum of stakeholder participation (see Figure 1) and plan degree of interaction and medium of communication accordingly. The higher the level of participation, the greater the required investment in time and other resources.

Recommendations for preparing consultations

There are three main steps to stakeholder analysis: (1) identifying and listing all potential stakeholders by drawing up a 'stakeholder table'; this also includes assessing the interests of different stakeholders; (2) assessing each stakeholder's relative power and influence; and (3) identifying appropriate forms of stakeholder participation.

Identifying and listing stakeholders

Stakeholders can be individuals, organisations or groups. They include:

- public sector agencies involved in water resources (e.g. government departments and parastatal agencies) at various levels (local; municipal; regional; national). Responsibilities for groundwater development and management are often fragmented between different government departments;
- private sector organisations and companies with water interests;
- environmental and professional NGOs; and
- representatives of those people likely to be affected, positively or negatively.

Before carrying out any consultations, it is important to identify and list all potential stakeholders. One of the simplest ways of doing this is to divide stakeholders into two groups:

- Those with a direct resource interest who are directly affected by groundwater degradation, or the threat of degradation, or who may be affected (positively or negatively) by policy implementation. This group, sometimes referred to as *primary stakeholders*, includes groundwater users.
- Those who are intermediaries in the process of delivering policies and projects to primary stakeholders. They include those with expertise on urban groundwater issues, and those who have the power to make decisions influencing the way groundwater is used and managed. This group - the *secondary stakeholders* - includes government institutions and agencies, water utilities, academic institutions, non-government organisations (NGOs), external support agencies (ESAs) and private sector organisations. They can also be categorised into funding, implementing, monitoring and advocacy organisations. In some cases, it may be necessary to consider key individuals as specific stakeholders (e.g. heads of department or agencies).

Primary and secondary stakeholders should be listed. The list can then form the basis of a tabulation of each stakeholder's interest in the management plan, and the plan's likely impact on them. Interests may be drawn out by thinking about each stakeholder in terms of (a) the groundwater issues and problems, and (b) the objectives of the management options and action plan identified.

A stakeholder table developed at the beginning (Stage 1) of an urban groundwater management initiative is illustrated in Table 1. This shows how each stakeholder may have several interests, both positive and negative, in the condition and management of urban groundwater.

Table 1 Example of stakeholder analysis table

Primary stakeholders	Interests	Potential Impact	Priority
Groundwater users:			
1. Domestic/municipal – public supply	• Improved water quality • Less reliance on private vendors	(+) (+)	1
2. Domestic/municipal – private supply	• Improved water quality • Maintain private access and withdrawal rights	(+) (-)	1
3. Industrial - public supply	• Improved water quality • Reduce need for/expense of on-site treatment • Reduce need for/expense of private borehole development	(+) (+) (+)	2
4. Industrial - private supply	• Improved water quality • Maintain private access and withdrawal rights	(+) (-)	2
Groundwater suppliers:			
5. Water Authority/ Utility (municipal/regional?)	• Achievement of supply targets (quantity; quality; coverage) • Cost recovery from users • Avoid liability for new capital investment • Public image – put blame for poor supplies on polluters	(+/-) (+?) (-?) (-)	2
6. Private vendors	• Maintain position and market	(-)	4
Secondary stakeholders	**Interests**	**Potential Impact**	**Priority**
Government/public sector			
7. Regulator/ Environment Agency (regional and national?)	• Prevent further deterioration in groundwater quality • Greater role in groundwater protection, inc. monitoring and enforcing controls • Increased funding and support	(+) (+) (+)	2
8. Geological Survey (national)	• Institutional learning • More funding for monitoring, assessment and databasing activities	(+) (+)	5
9. Municipal Government	• Improve living and environmental conditions for residents • Public image and popularity • Avoid liability for any unpopular measures and controls	(+) (+/-) (-)	4
10. Ministry of Health	• Reduce incidence of water related disease	(+)	5
11. Department of Industry	• Maintain growth, profits and exports in sector	(-)	5
Heavy Industry			
12. State run/owned industry	• Maintain favoured status re enforcement of pollution controls • Maintain subsidies	(-) (+/-)	3
13. Private industry	• Profits and employment • Profits • Public image	(-?) (-?) (-)	
14. External support agencies	• Water supply, sanitation and environmental objectives • Disbursement of funds • Institutional learning • Avoid liability for any negative reactions	(+) (+) (-)	2
15. NGOs	• Ensure positive impact on urban poor	(+)	4

• Avoid duplication of activities	(-)
• Make views known; recognition	(+)

The table also identifies the relative priorities to be given to each stakeholder according to possible aid agency policy and project objectives.

Assessing the influence and importance of stakeholders

Stakeholders can also be classified according to their relative influence over and importance to strategy development and implementation. Key stakeholders are those who can significantly influence, or are important to, a successful outcome.

Influence refers to how powerful a stakeholder is in terms of their ability to influence decisions and outcomes. This may stem from the nature of a stakeholder's organisation, or their position relative to other stakeholders (e.g. line ministries which control budgets and other departments). Other forms of influence may be more informal (e.g. personal connections to ruling politicians) and covert.

Importance indicates the priority given to meeting stakeholders' needs through the groundwater management strategy. Primary stakeholders, such as households dependent on shallow, polluted groundwater from private wells, may therefore be considered very important, though they are likely to be unorganised and have little influence. In contrast, a government department charged with economic development, such as a Ministry of Industry, may be governmentally influential even though sustaining the urban groundwater resource is not part of their remit and may be considered unimportant.

Importance and influence can be combined in a matrix to indicate the relative positions of different stakeholders, and the potential coalition of support for a groundwater management strategy. In the example shown in Figure 2, the stakeholders identified and numbered in Table 1 are plotted on the diagram. Those in Groups A, B and C are the key stakeholders.

High Importance	A Domestic users	B Industrial users Water utility Environment Agency
Low Importance	D Ministry of Educ. Ministry of Health Private vendors	C Dept of Industry
	Low Influence	**High Influence**

Figure 2 Matrix classification of stakeholders (using example analysis in Table 1).

This type of analysis helps ensure that appropriate consultations are held with key interest groups. In particular, consultations with Group A and Group B stakeholders is vital. Moreover, the exercise will also indicate relative risks posed by different stakeholders. In general, risks to the successful development and implementation of a groundwater management strategy will come from those stakeholders in Box C, who have high influence but interests which are not in line with strategy objectives or to whom groundwater resource sustainability is perceived as of little importance.

Identifying appropriate forms of participation

It is important to define not only who should participate but also in what ways, during the development of a groundwater management strategy. Various kinds of participation are possible, including:

- Being informed by other stakeholders who have more control;
- Being consulted by other stakeholders who have more control;
- Partnership (equal powers of decision-making), with one or more of the other stakeholders;
- Being in control, and only consulting, informing (or manipulating) other stakeholders.

For the team conducting the stakeholder analysis, a participation matrix can be used to help clarify relationships during the development of a groundwater management strategy. The matrix can be drawn up for individual stakeholders in turn, but a summary matrix can also be constructed. A hypothetical participation matrix drawing on the stakeholder table and matrix classification is illustrated in Table 2.

Table 2 Participation matrix for development of (hypothetical) groundwater management strategy, based on Table 1 and Figure 2

Type of participation / Stage	Inform	Consult	Partnership	Control
Assessment and problem analysis	Ministry of Health Department. of Industry		ESA	External consultants
Strategy definition/identify options				External consultants
Action Plan	Ministry of Education			External consultants
Implementation: programme, projects and policies		Ministry of Education		

Stakeholder mobilisation

Stakeholders are likely to have very different and possibly conflicting interests in the urban subsurface, stemming from its simultaneous use for the provision of water supply, the elimination of wastewater and the location of engineering infrastucture and buildings (Foster et al, 1996). Once identified, stakeholders can be engaged through the medium of a periodic newsletter. The aim of this device would be:

(i) To help establish dialogue

(ii) To set out the key issues and keep stakeholders informed of progress.

A potential means of funding work towards an action plan needs to be identified or the policy development process is likely to seem both remote and idealistic even to the senior technical staff participating. Table 3 shows examples of techniques which can be used in stakeholder participation in developing an Action Plan. Structured newsletters and workshops complement each other and are likely together to be an effective aid.

The transition from the technical to the political arena may be the key challenge in any city seeking to enact an aquifer Action Plan. The terms of reference of this project did not extend to this vital, contentious area but insights into the issues facing those moving an aquifer protection plan from the initial scientific/technical stage to the political arena can be found in Allan (2001).

Table 3 Example of activities during stakeholder consultation

Stage in Action Plan	Consultation Process	Mechanism example	Objective
Stage 1			
Stage 2	Identification and Analysis	Newsletters	Supply of information to stakeholders
			Identify sponsoring organisation
Stage 3	Mobilisation	Workshop/Seminars	Publicise plan
			Raise awareness
			Focus on key problems
			Identify incentives
Stage 4	Action	Stakeholder policy forum	Ownership of decision making
			Commitment to policy
			Influence municipal planning process
			Provide local involvement in planning process
			Lobbying government ministry for enforcement of existing or new legislation
			Entry of groundwater planning into political arena
			Implementation of Action Plan

Task check list for stakeholder consultation

The table below provides a check list for Stage 2 (Situation Analysis) stakeholder consultation.

Activity	Completed?
Obtain copies of previous work done for the rapid groundwater assessment (Questionnaire results and profile)	☐
Identify, assess and select the person/team that will manage the Stage 1 stakeholder analysis	☐
Identify the stakeholders and their interests (draw up stakeholder table); make preliminary assessment of influence and importance of stakeholders identified; make preliminary assessment of how stakeholders might participate at different stages of strategy development	☐
Begin participative process using locally appropriate formats for discussion (e.g. workshops; consultations; hearings; etc – see Figure1)	☐
Prepare an interim report on the perspectives of the different stakeholders based on discussions and with reference to the groundwater profile	
Using this report, prepare an agenda for a final (to Stage 1) public forum	☐
Organise the final public forum, using an acceptable local format	☐
Prepare a final report describing the results of the forum, including an assessment of how citizens' priorities differ from what the Questionnaire and profile suggest should be priorities	☐
Develop a strategy to disseminate the outcome of the process to the general public	☐