Danube Transnational Programme
JOINTISZA

JOINTISZA PROJECT

' Strengthening cooperation between river basin management planning and flood risk prevention to enhance the status of waters of the Tisza River Basin '

'Train the Planners' Seminar

HANDOUT

Introduction to the methodology of stakeholder involvement

Planning the stakeholder involvement process

- The goals of participation
- The target audience – who should participate?
- Level of participation
- The scope of the participation process
- Timing
- Project organisation and facilitation
- Methods and tools
- Evaluation

1. Why public participation?

Practical reasons of the initiator:

- Can they contribute to decision-making?
- Are they needed for implementation? Can they block decision-making or implementation?
- Are they affected by or do they have an interest in the issues at stake?
- Is participation legally required?
- Is there a gap between the citizens and politicians?

Participation to improve the quality of plans and projects
Participation to improve implementation of plans and prevent litigation and (costly) delays
Participation for "moral" reasons, to complement representative democracy and protect individual rights
Participation to meet legal requirements
Participation to promote active citizenship

Theoretical arguments:

- Public participation strengthens democracy, because it delegates power to the people.
- Through public participation, the various members of society may be granted equal rights to influence decisions.
- The participatory process may enhance society's knowledge and improve its awareness.
- Deliberation facilitates the formulation of the collective will.
- Democracy is best learnt by taking part in it.
- Participation also contributes to citizens' personal and social development.

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- Participation will enable people to represent and protect their own interests.
- People themselves are the best judge of their own interests.
- In order to make legitimate decisions, public discourse must be ensured.
- In a democracy, voicing one's opinion is a fundamental right.

2. Who should we involve?

Factors to be considered:

- Maximum representation of diversity
- The willingness of the stakeholder to cooperate
- The total number of participants: the smaller the group, the bigger the chance for learning to occur (and the cheaper the process)

Keys to identify the stakeholders:

- Who are in possession of information or expertise that might facilitate the decision?
- Who have already taken part in participatory processes?
- Who have expressed their wish to participate before?
- Who may be affected by the risks?
- Who may be affected without knowing so?
- Who will be very angry if left out?

A typology of possible stakeholders:

- **Professionals** – public and private sector organisations, professional voluntary groups and professional NGOs (social, economic and environmental).
- **Authorities, elected people** - government departments, statutory agencies, municipalities, local authorities
- **Local Groups- non-professional organised entities** operating at a local level. It usefully breaks down into:
  - *Communities centred on place* – attachment centred on place, which includes groups like residents associations and local councils.
  - *Communities centred on interest* – e.g. farmers' groups, fishermen, birdwatchers.
- **Individual citizens, farmers and companies** representing themselves. Key individual landowners for example or local individual residents.

Questions for understanding stakeholders and their stakes:

- Who or what are stakeholders?
- What are their relationships with each other?
- Are there any conflicts?
- How do they see the problem (as provisionally identified by the initiator)?
- What are their major concerns and how can they be motivated to participate?

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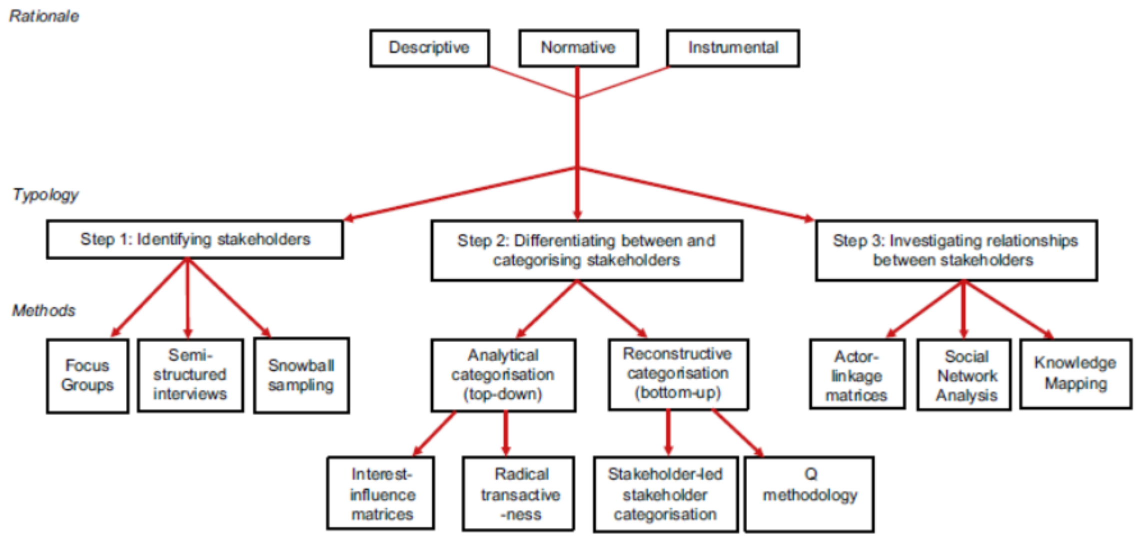
Summary of stakeholder analysis methods, rationale and typology



Source: M.S. Reed et al. Who's in and why? A typology of stakeholder analysis methods for natural resource management/ Journal of Environmental Management 90 (2009) 1933–1949

Applicability of methods and tools in stakeholder analysis

Table 1
Resources required, level of stakeholder participation, strengths and weaknesses of each of the methods identified in the typology.

Method	Description	Resources	Strengths	Weaknesses
Focus groups	A small group brainstorm stakeholders, their interests, influence and other attributes, and categorise them	High quality facilitation; room hire; food and drink; facilitation materials e.g. flip-chart paper and post-its	Rapid and hence cost-effective; adaptable; possible to reach group consensus over stakeholder categories; particularly useful for generating data on complex issues that *require* discussion to develop understanding.	Less structured than some alternatives so requires effective facilitation for good results
Semi-structured interviews	Interviews with a cross-section of stakeholders to check/ supplement focus group data	Interview time; transport between interviews; voice recorder	Useful for in-depth insights to stakeholder relationships and to triangulate data collected in focus groups	Time-consuming and hence costly; difficult to reach consensus over stakeholder categories
Snow-ball sampling	Individuals from initial stakeholder categories are interviewed, identifying new stakeholder categories and contacts	As above: successive respondents in each stakeholder category are identified during interviews	Easy to secure interviews without data protection issues; fewer interviews declined	Sample may be biased by the social networks of the first individual in the snow-ball sample
Interest–Influence matrices	Stakeholders are placed on a matrix according to their relative interest and influence	Can be done within focus group setting (see above), or individually by stakeholder during interviews (see above) or by researcher / practitioner	Possible to prioritise stakeholders for inclusion; makes power dynamics explicit	Prioritisation may marginalise certain groups; assumes stakeholder categories based on interest–influence are relevant
Stakeholder-led stakeholder categorisation	Stakeholders themselves categorise stakeholders into categories which they have created	Same as semi-structured interviews	Stakeholder categories are based on perceptions of stakeholders	Different stakeholders may be placed in the same categories by different respondents, making categories meaningless
Q methodology	Stakeholders sort statements drawn from a concourse according to how much they agree with them, anlaysis allows social discourses to be identified	Materials for statement sorting; interview time; transport between interviews	Different social discourses surrounding an issue can be identified and individuals can be categorised according to their 'fit' within these discourses	Does not identify all possible discourses, only the ones exhibited by the interviewed stakeholders
Actor-linkage matrices	Stakeholders are tabulated in a two-dimensional matrix and their relationships described using codes	Can be done within focus group setting (see above), or individually by stakeholders during interviews (see above) or by researcher/ practitioner	Relatively easy, requiring few resources	Can become confusing and difficult to use if many linkages are described
Social Network Analysis	Used to identify the network of stakeholders and measuring relational ties between stakeholders through use of structured interview/ questionnaire.	Interviewer, questionnaire, training in the approach and analyses, time, software	Gain insight into the boundary of stakeholder network; the structure of the network; identifies influential stakeholders and peripheral stakeholders	Time-consuming; questionnaire is a bit tedious for respondents; need specialist in the method.
Knowledge mapping	Used in conjunction with SNA; involves semi-structured interviews to identify interactions and knowledges	Same as semi-structured interviews	Identifies stakeholders that would work well together as well as those with power balances	Knowledge needs may still not be met due to differences in the types of knowledge held and needed by different stakeholders.
Radical transactiveness	Snow-ball sampling to identify fringe stakeholders; development of strategies to address their concerns	Training in the approach, time	Identifies stakeholders and issues that might otherwise be missed and minimizes risks to future of project	Time-consuming and hence costly

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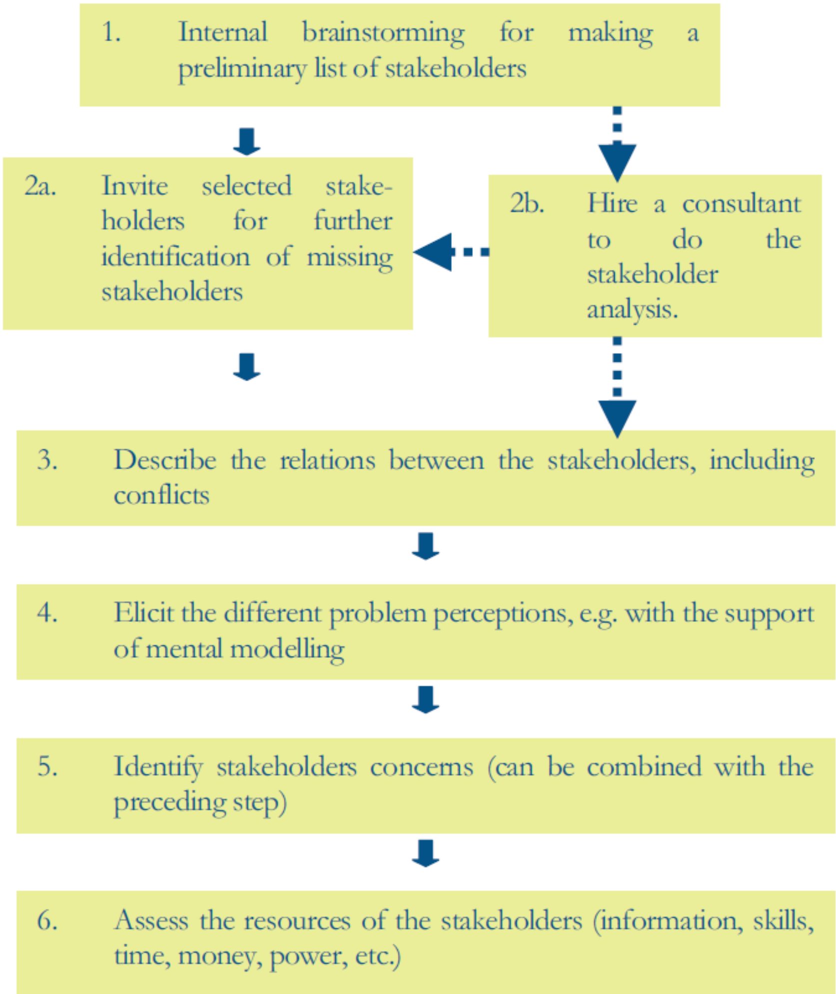
Possible steps in a Stakeholder Analysis



Source: E. Ridder, E. Mostert, H.A. Wolters (ed.): Learning together to manage together. 2005. Osnabrück, Germany (HarmoniCOP Handbook)

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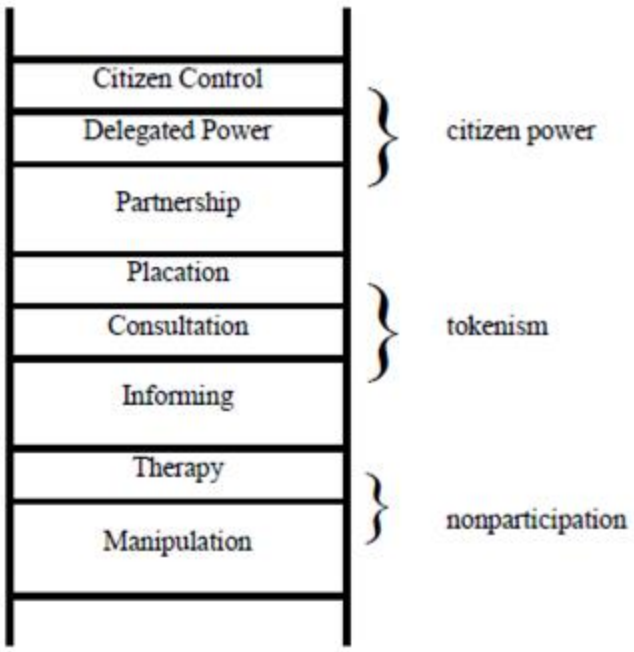
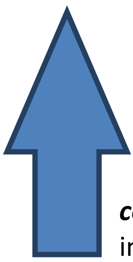
3. Level of participation

Different levels of participation



Source: Arnstein, 1969, p. 2

The degrees of involvement (as required by the Water Framework Directive):



co-operating/co-working: the stakeholder that will actually participate in and contribute actively to the process (i.e. active involvement);

co-thinking: the stakeholder of which you want input with respect to content, it is a source of knowledge like experts (i.e. consultation);

co-knowing: the stakeholder which does not play an active role in the process but should be informed of its progress (i.e. information supply).

Integration with the stakeholder analysis:

Step 1 - Define the stage of the process that will be subject to a stakeholder analysis.

Step 2 - A group of maximum 10 persons (the project team) including a chairman performs a brainstorming session in which as many stakeholders and perspectives or angles linked to the selected stages are mentioned.

Step 3 - Check if the main perspectives/angles can be split up into sub-units/organised in types;

Step 4 – Allocate to the stakeholders identified a concrete name (and address/contact information);

Step 5 - Check the result

Step 6 - Once the stakeholders are identified, the long list can be ordered by identifying the degree of involvement of each actor in each stage

Step 7 - Put the notepapers in the right place in the "target"

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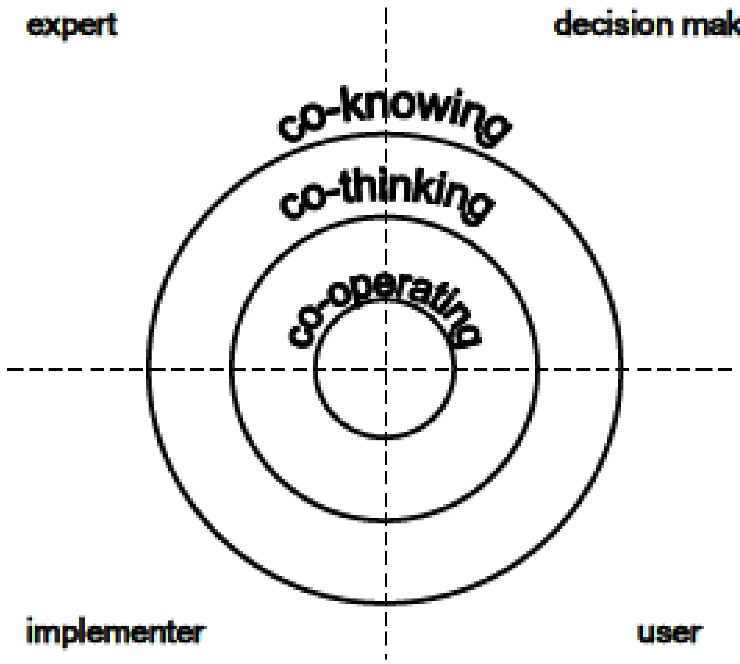
Step 8 - Check if there are no big gaps;

Step 9 - Use the result! e.g. for a communication plan to notify concerned stakeholders.

Step 10 - The brainstorming session can be continued to identify relationships between stakeholders, their interests and motives and factors that influence the process.



Source: CIS Guidance Document No 8. Public Participation in Relation to the Water Framework Directive

expert/supplier: stakeholders which put information, expertise or means at the disposal of the project.
decision maker: stakeholders which decide about the project;
user: stakeholders which use the result or are affected by it;
implementer/executive: the stakeholders that have to implement the results or new policy;

4. The scope of public participation

What is the problem and how much of it is up for public debate?

The scope is initially determined by the initiator/planner.

After conducting a stakeholder analysis, the initiator may decide to modify the scope of the process in order to incorporate other stakeholders' concerns and points of view.

Method: group discussion with the important stakeholders.

Note: Water managers' problem definition rarely corresponds completely to the problem definition of other stakeholders. It is always good to organise a discussion with the other stakeholders to check whether the scope is acceptable for them and adjust it if necessary. The scope may also be determined together with the non-governmental stakeholders.

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The scale issue

1. Determine which issues should be addressed at which geographic level.

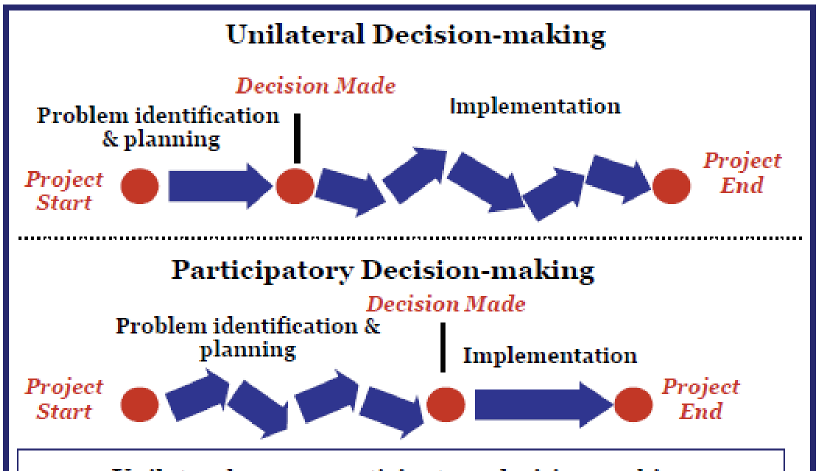
   The competent authorities in each river basin district should, together with the main stakeholders, define and analyse the main issues and their geographical scale. In large international river basin districts international co-ordination will be needed.
2. Determine what types of publics can make what types of contribution and what type of public participation is most appropriate for the publics and possible contributions concerned.
3. Organise public participation as close to the public concerned as possible, given budgetary and staffing constraints;
4. Communicate the (first) results as soon as possible across different scales and between relevant units at the same scale.
5. Report on follow-up not only in the river basin management plan, but also at the level where public participation was organised.

5. When should we involve the stakeholders?

In cases, when:

- different stakeholders depend on each other to reach their goals
- there is no agreement on the problems at stake
- the issues are important enough for the stakeholders to invest the necessary time and money

Start public participation as soon as possible. Usually, active involvement at an early stage works best.



Unilateral versus participatory decision-making

Source: E. Ridder, E. Mostert, H.A. Wolters (ed.): Learning together to manage together. 2005. Osnabrück, Germany (HarmoniCOP Handbook)

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6. How do we involve them?

Preparation of the participatory process:
1. Stakeholder analysis;
2. Problem and cause analysis (problem/decision tree)
3. Communication planning

Communication techniques (from the beginning):
4. Interaction and communication tools

Specific techniques of consultation and involvement:
5. Interviews;
6. Active listening;
7. Workshops;
8. Creative sessions;
9. Citizens' Jury;
10. Interactive Geographic Information Systems (Web GIS);
11. Public hearings;
12. Monitoring and participatory evaluations;
13. Computer tools for processing public comments.

Participatory tools:

Brainstorming	Workshop setting focused on the collection of a large number of ideas on a specific subject
Citizen's jury	A series of meetings, attended by a group of randomly selected people who represent the public, to learn about and discuss a specific issue and draw conclusions.
Focus group	Group interviews with 6-10 people at the same time
Group model building	Facilitated session in which participants build a model to improve their understanding of the issue
Interviews	Discussions, usually with open questions and the possibility of extensive answers.
Problem / cause analysis	In-depth analysis of causal network which is behind a problem
Public audience / public hearing	Meeting which presents the public with information and provides a forum for answering questions and collecting opinions
Reframing workshop	Workshop setting which allows participants to explore different analytical frameworks and refine their problem perception
Review sessions	Workshop setting to monitor progress, keep momentum, discuss lessons learnt and evaluate steps taken so far
Role playing game	Gaming situation in which players play roles in a real or imaginary context
Round table conference	Facilitated and reported open discussion between participants
Scenario building	Workshop setting in which policy options for the present and the immediate future are debated and their possible future consequences are explored.

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7. Evaluation of the Participation Process

Why do we need to evaluate?

1. financial reason: to utilize public funds in a good way;
2. practical reason: to learn from past mistakes, and to do it better in the future;
3. ethical/moral reason: to ensure fair participation, and that those involved can contribute to the decision in an appropriate way;
4. academic/theoretic reason: to expand our knowledge about human behaviour.

Questions to evaluate the process:

- What was the contribution of participation in achieving the results, outputs and outcomes of the project?
- What was the contribution of participation in improving the relations between the actors?
- What was the contribution of participation in improving the procedures within the project?
- How large are these contributions when compared to the original goals?
- Must the participation practices be adapted, and if so, how?

The acceptance criteria/success factors:

1. *representativeness*: the affected population needs to be represented by a representative sample (within the limits of practical and financial feasibility);
2. *independence*: participating layman and the management/facilitators of the process all need to be independent of the sponsor;
3. *early involvement*: stakeholders need to be involved from the earliest possible stage of the process;
4. *influence*: the outcome of the process needs to have a tangible influence on the decision/processes;
5. *transparency*: it must be ensured at all times that people can see what is happening in the process and how the decision is made.

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Criteria/success factors	Indicator
seek involvement of all major sectors, interests and geographic areas	type and numbers of stakeholders reached
	type and numbers of stakeholders involved
effectively communicate the process and role of stakeholders in the process	number of stakeholders reached with information about the process and role of stakeholders
	number of stakeholders that understand the process and their role in it
test a range of participation methods	number of stakeholders reached with information about the process and role of stakeholders
	number of stakeholders that understand the process and their role in it
	feedback on lessons and suggestions for improvement
improve the capacity of the stakeholders to make joint decisions	number of stakeholders thinking the process worthwhile
	number of stakeholders thinking their contribution made a difference
	number of stakeholders willing to be involved in subsequent stages
increase the desire of stakeholders to take action in river basin management	number of stakeholders willing to take action
enhance the mutual understanding of the views and positions of stakeholders	level of understanding of others' viewpoints
	way in which conflicts are reported by stakeholders

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Checklist to the participation process planning

Activity	Check
Do preliminary problem identification	
Do stakeholder analysis	
Develop participation strategy	
Decide on stakeholders to actively involve	
Decide / agree on level and timing of involvement	
Decide / agree on the scope	
Set-up project organisation; if possible hire a professional facilitator	
Decide / agree on methods and tools to use	
Check resources	
Write a draft process design	
Reflect on process so far	
Implement strategy	
Monitor and report progress	
Evaluate process and outcome	
Celebrate success when it happens	

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