

Session 5.1: Notes

Conducting Stakeholder Analysis

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1. Identifying the stakeholders in transport research
2. Undertaking stakeholder analysis
3. Community consensus building
4. Role play exercise (refer to document 'Session 5.1: Role Play Exercise')

Learning Objective

After completing this session, you will:

- Be able to identify the key stakeholders of rural transport including direct and indirect transport users, transport facilitators and providers and other key community groups and decision makers
- Have explored the key forms of stakeholder consultation and main categories of survey instrument
- Identify where consensus building and conflict management is necessary for community sensitisation.

1. Identifying Stakeholders in Transport Research

Consultation with potential beneficiaries of intervention is critical from the outset of policy design. Consultation should be a continuing activity over the lifetime of a project or programme, from conception to implementation and monitoring. First and foremost, key stakeholders should be included in a dialogue with local authority and donor representatives before a project of intervention is planned, to ensure that the design of the project involves the most appropriate sectors. Whilst planning for development should be holistic and multi-sectoral, in reality the budgets from which interventions are funded tend to be sectoral. Therefore, whilst the requirements of a community may overlap different sectors, the funding of implementation comes from very distinct sources. For this reason, it is important to identify as accurately as possible the priority sectors for intervention. This is especially true for the transport sector which is the 'lynchpin' of other service sectors and cuts across a much wider geographical catchment, as well as being one of the most capital intensive areas of intervention.

Level of Involvement

Community involvement in planning and policy development is usually associated with local issues. However, in principle there is no reason why stakeholders should not be involved in planning and policy development at any level of government, be it national, regional, local or community. In practice, the form of involvement may vary between these different levels. For example, at the national level of policy debate it may be harder, for logistical reasons, to involve the individual; collective lobbying and input from representative bodies is more easily accommodated. With the development of more powerful means of communication (electronic media, radio and television), it may be possible for national debates to become more inclusive of the individual view.

Who are the Stakeholders?

Transport almost certainly impacts on every facet of rural life in some way. In this context, the stakeholders of rural transport are the whole rural community. Furthermore, because of the role of the rural sector in national development (through rural-urban and rural-external linkages), there are many others outside the rural context who also have an interest in the development of rural transport.

Categorisation of rural transport stakeholders can include the following:

- Direct transport users (e.g. travelling public, shippers, distributive industry)
- Indirect transport users (e.g. households, consumers, agricultural producers, health-care providers, education providers)
- Transport facilitators (e.g. regulators, roads administrators)
- Transport providers (e.g. freight and public transport operators, road construction companies)
- Urban community (e.g. consumers, users of rural facilities)
- National community (e.g. defence and geo-political interests)

- External community (e.g. importers of rural produce, multi-national manufacturers and trading companies, tourists).

The impact of transport on gender relations, poverty relief and 'excluded' elements of society adds further dimension to the categorisation of stakeholders.

Involving Stakeholders

Many stakeholders have the automatic right to involvement in the policy and planning process indirectly through the democratic political process. But many observers see a need for more interactive participation in the process because the political process:

- Excludes many sections of society
- Presents voters with a broad range of policies, many of which may be too general and non-specific to individual interests and concerns
- Gives most voters (apart from those who have involved themselves in party policy development) little sense of ownership in what is happening
- Is too remote (particularly at the national level) from local aspirations and desires
- Depends too much on the administrative role of civil servants for execution of policies

One mechanism for greater stakeholder involvement is lobbying. Another is more widespread and formalised use of consultation with stakeholders and community (in its widest sense) involvement.

Lobbying

The traditional method of influencing policy development is through the lobbying of politicians and policy-makers by representatives of interest groups. This system is prone to flaws: it lacks transparency, and it is dominated by powerful interests which have the resources to promote their campaigns. NGOs and consumer interest groups have become more proficient in this process in recent times, but the voice of the individual and minority groups is overlooked. The system of lobbying also fails to engender community ownership and interest.

2. Stakeholder Analysis

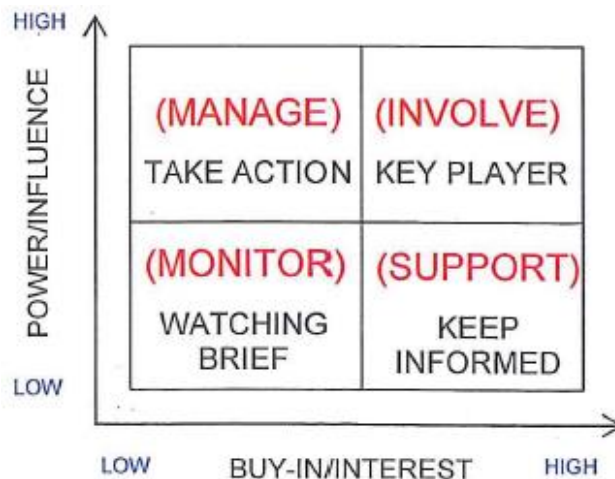
Stakeholder analysis is used to identify primary and secondary stakeholders and the relationships between them (DFID, 2001). Primary stakeholders are those that are directly affected by an activity (i.e. the desired beneficiaries of a project and the implementing agencies). Secondary stakeholders are indirectly affected by the activity (i.e. non-beneficiaries such as irregular road users, politicians whose decisions affect the voting constituents). Stakeholder analysis can help to reveal:

- The capacities of different stakeholders to participate in (and benefit from) development activity, and their perspectives on that activity
- The relative political power, access to information and institutional means to command attention of different groups
- The complexity of organisational relationships
- Gaps and overlaps in the roles and functions of different stakeholder groups.

If carried out properly, stakeholder analysis helps bring the poor into the development process and ensure that their views are incorporated into decision-making.

While working towards a common goal, stakeholders involved in transport programmes will undoubtedly encounter conflicts of interest. For this reason stakeholder analysis will help identify all stakeholders involved and will manage their needs and expectations, thus pre-empting conflict.

Stakeholder Analysis Diagram



The principle of stakeholder analysis is that different stakeholder groups are managed according to their level of influence on the project outcomes. Key players are those with a high level of influence and high interest in the project, and would include road engineers and key informants such as teachers and health care workers. Conversely, stakeholders that have low influence and power require continuous monitoring in case they oppose any project objectives. These might include pressure groups or NGOs whose influence can grow and become a potential threat. The direct beneficiaries (villagers and local transport operators) tend to have a high interest but have low levels of political power or influence in the community decision-making process. It is necessary for stakeholder consultation to be a continuous process throughout the project lifecycle.

The following checklist identifies who and what should be addressed in stakeholder analysis, and how potential conflicts may materialise:

What is the nature of each stakeholder's involvement in the transport sector?

- Transport related activities (qualified and quantified)
- Administrative activities (planning, funding, regulating)
- User demands
- Resources used (quantified and qualified)
- Funding (scale and sources)
- Performance measures (quantity and quality)

What legislation covers the transport sector?

- Transport law and regulations
- Employment law
- Finance and taxation law
- Environmental law
- Planning and development law
- Land tenure

Where are the institutional conflicts in the transport sector, and how are they apparent?

- Administrative and regulatory (e.g. unclear or conflicting responsibilities, insufficient resources, inadequate legal underpinning) manifested in uncontrolled transport (e.g. unregulated operating practices) and ineffective development (e.g. weak planning processes)
- Human resource (e.g. ill-trained or insufficient staff) leading to poor transport performance (e.g. poor vehicle maintenance and driver standards) and development (e.g. inappropriate or inadequate planning)
- Funding (e.g. inadequate or unreliable revenue base) leading to poor performance (e.g. insufficient capacity to meet demand, inability to meet environmental standards, inability to recruit and train staff).

Being aware of all the key players and possible conflicts (and there may be others not listed above) provides an opportunity to develop a strategy to try and circumvent future problems. There may be a problem you do not recognise, but will be informed about if you ask the appropriate people the right questions.

Any change process will normally benefit from consulting those involved – provided that it is done in a sympathetic, timely and honest way. This holds true whether the change concerns an individual, an organisation or a community; and is especially true when there are plans that will markedly alter the way people lead their lives. The consultation process can add value to a wide variety of schemes for a number of reasons. A key reason is that the consultation process is likely to promote local awareness and ownership of the project and encourage stakeholder participation in achieving the objectives. This will mean that there is a much higher likelihood that the project will be successfully introduced and that its implementation will be sustained over time.

3. Community Consensus Building

A traditional approach to policy development and project planning is for policy advisors and planners (both engineers and social scientists) to apply their technical and administrative skills to problems and solutions which are largely devoid of any community context or stakeholder representation. The outcome inevitably reflects the 'narrow' thinking of the planners, and may ignore many of the wider and more relevant interests of those who must continue to 'live' with the plan (or project) after its implementation. By consulting with, and responding to, stakeholder representations a number of advantages to the worth of the solution result:

- It identifies what the community actually values, and where their priorities lie
- It gives the community a sense of ownership in what is being proposed, and hence a greater chance of strong support and desire for a successful outcome

It is also part of good governance to promote community involvement in the process, since it helps to create transparency in development planning and decision-making, as well as acting as a catalyst for greater civic responsibility and good citizenship amongst the community.

Typically, people try to rush to solutions too quickly without completing the situation-specific analysis to an appropriate quality. Carefully facilitated stakeholder and conflict analysis reveals an important intermediate step. This is to identify processes that generate a sense of ownership and common concern to formulate appropriate solutions.

Conflict management

One way of approaching the problem initially is through a blend of stakeholder analysis, conflict analysis and conflict mapping. Stakeholder and conflict analysis would, among other things:

- Identify the people and groups involved
- What are their interests, and relationship to the problem (the degree to which the problem affects them), relative influence and importance to the project/problems, their needs and fears, other questions of interest
- What types of power different stakeholders exercise
- How they normally solve problems within their groups and with other stakeholder groups
- Their interests and commitment to identifying solutions
- Constraints and opportunities (internal and external) facing stakeholders vis-à-vis their ability to address the problem
- Possibilities for identifying common ground
- Identifying specific issues that also need to be addressed to achieve maximum consensus on ways forward

Following initial analysis, other outcomes typically emerge, including:

- Potential impact points for next steps
- Areas where critical information is absent or needs strengthening
- What process issues are important (sequencing, conflict management styles, training needs (e.g. mediation, negotiation, facilitation))
- What resources are needed (time, expertise, budget etc)
- What are the ways in which people might be prepared to engage with the problem (cultural, social, political, institutional constraints and opportunities)

It should then be possible to conduct conflict-mapping exercises and develop action plans for consensus (see Box 5.1 for a case study of conflict management).

Box 5.1: Community managed conflict mediation in Papua New Guinea

Conflict management research was undertaken by the Centre for International Development and Training in Port Moresby, Papua New Guinea in 2000 to reduce crime, violence and poverty in low-income urban neighbourhoods. The research had four key objectives:

1. To assess the impact of community managed conflict mediation on reducing crime and violence, and restoring social and human capital
2. To evaluate the relevance of conflict management principles, tools and skills
3. To describe key characteristics of an enabling framework for effective community based conflict management
4. To identify elements of best practice for community based conflict management

Violence in Papua New Guinea is multifarious, ranging from urban street gangs in Port Moresby, to tribal fighting in the highlands, with domestic violence being a particular scourge.

The research findings highlighted that community managed mediation was found to be most effective in settling petty feuds, debt disputes, return of stolen property and neighbourhood disagreements. However, it was found to be less effective in cases of domestic violence. The research also demonstrated the importance of creating an enabling environment for conflict management incorporating training, education, parallel development projects and legitimacy.

Source: Jones and Large (2000)

Inclusiveness

Any form of consensus building must be inclusive by nature. Thus all groups within the community must have the same opportunities to voice their opinion. Weaker and less-well represented groups do not always have a strong voice in public affairs. Sometimes, for cultural reasons, their voice is not publicly admitted; mechanisms need to be developed to ensure that they are identified and heard, and that equal weight is given to their views.

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