# EPA Victoria Engagement Policy

ENVIRONMENT PROTECTION AUTHORITY

EPA VICTORIA

State Government Victoria

**‘The aspirations of the people of Victoria for environmental quality shall drive environmental improvement’**

*Environment Protection Act 1970*
*Principles of environmental protection - principle 1L*

Contents

# The purpose of engagement

**A healthy environment that supports a liveable and prosperous Victoria is the responsibility of all Victorians.**

EPA is Victoria's environmental regulator but we do not protect Victoria's environment on our own. Businesses, other government organisations and the Victorian community all have a duty to protect the environment.

At EPA we believe effective engagement makes EPA a proactive, responsive and robust environmental regulator, delivering services and products that are attuned to the aspirations of the Victorian community.

Through effective engagement we are committed to enabling greater participation in environmental protection and fostering long term change in business practice. EPA actively encourages, supports and empowers the community, businesses and organisations to create lasting pro-environmental behaviour change. This behaviour change is promoted by improving accessibility to information, participation, responsibility, environmental equity, restorative action and environmental leadership.

EPA will continue to improve the customer service and engagement skills of all our staff, our systems and opportunities for stakeholder participation. We set the standard for effective engagement, leading by example for other organisations and businesses.

The purpose of EPA's engagement is to:

- understand and respond to the needs and aspirations of all Victorians
- continually improve our regulations, policies, programs and services
- better enable Victorians to comply with environmental laws
- motivate action to protect the environment
- ensure all Victorians have equal access to a healthy environment
- bring stakeholders together to resolve issues collectively
- collaborate and build partnerships to leverage expertise
- achieve a more comprehensive resolution to the complex problems we face.

# Principles of customer service and engagement

**This policy outlines how EPA uses engagement as a foundation to achieve compliance, as well as develop partnerships and relationships to achieve a liveable and prosperous Victoria.**

EPA expects all staff to plan and deliver customer service and engagement which considers practice standards that are:

- **accountable** – if customers are not happy with EPA's services or the way we have engaged with them, we want to hear from them
- **transparent** – we will provide regular updates on customer enquiries and requests. We will explain our decisions, processes and where stakeholders can input into decision making
- **effective** – we will be clear, timely and purposeful in dealing with stakeholders to ensure we manage their needs, expectations and our obligations
- **inclusive** – everyone who is affected by EPA's decisions will have access to EPA, including those from different backgrounds, people with disabilities and those in rural and remote areas
- **authoritative** – we will be an authoritative source of information on environmental matters. We will always act fairly and within our regulatory authority to ensure the environment is protected
- **consistent** – our engagement and customer service will be consistent and predictable. We will work to our statutory approval or alternatively agreed timelines and keep stakeholders updated and informed
- **targeted** – we will engage our stakeholders on issues that affect them in a way that is appropriate to their needs and the situation. Our work will be targeted at communities in the most affected areas to protect their liveability
- **proportionate** – we will use appropriate resources to meet the needs of our stakeholders.

# EPA's engagement model

**EPA's engagement model is based on our commitment to all our stakeholders. As a modern regulator we will:**

- raise awareness and understanding of EPA's activities, functions and constraints
- raise awareness and understanding of each individual's own responsibility to protect the environment
- involve stakeholders in the changes and decisions that affect them, to generate stronger and mutually beneficial outcomes
- listen and talk with all our stakeholders to build our intelligence and make informed decisions
- seek out and work with culturally and linguistically diverse communities on issues that affect them
- provide opportunities for stakeholders to become environmental leaders.


**Everyone at EPA is responsible for engaging with stakeholders, internal and external to EPA. Our organisational culture is built on respect, courtesy and professionalism.**

The way we work with each other is echoed in how we work with external stakeholders. The targeted model for engagement ensures we plan and allocate resources to work with our stakeholders where the biggest difference can be made, or where we can manage the biggest risks to environment, health, safety or wellbeing.

There are three aspects to the engagement model:

- customer service
- strategic engagement
- relationship management

## Customer service – good customer service is the foundation of everyone's interactions with EPA

Everyone at EPA is responsible for good customer service being delivered to all stakeholders and target audiences. We have a dedicated call centre and customer service team to answer queries or refer to an EPA specialist for follow up.

EPA's Environment Protection Officers work with businesses, the community and all stakeholders, and are one of EPA's key delivery areas for customer service.

We will actively improve our customer service standards by encouraging customer feedback so we can continually improve our service. EPA will conduct quarterly customer satisfaction surveys and report on our performance whilst adhering to privacy requirements.

We will be professional and show respect and courtesy to all those we interact with including those who have caused environmental harm. We expect this level of professionalism and respect when we work with each other at EPA, and this is mirrored in how our customers will be treated.

If EPA receives numerous reports about a single issue, this will trigger the next level of engagement which is to develop a strategic engagement plan in tandem with an operational plan to address the issue.

## Strategic engagement – EPA has a planned approach to engaging its stakeholders in issues that affect or interest them, and in our decision making, policy and program design

Strategic engagement is the foundation to achieving compliance and environmental standards that meet the aspirations of all Victorians.

We will work with our stakeholders to develop and implement strategic engagement plans. To provide effective engagement we will map stakeholders by finding out what they want to know and the best way to communicate with them. Strategic engagement plans will be developed and implemented alongside operational plans for key issues and hotspot areas, and in the development and review of policies, regulations and programs. This will enable stakeholders to provide input to these areas in a meaningful way.

Strategic engagement can be used to help solve both proactive and reactive environmental issues. Reactive engagement involves the creation of an engagement plan to respond to many pollution reports on a single issue. Proactive engagement involves identifying opportunities to gather stakeholders together to work on a project that will benefit the Victorian environment.

## Relationship management – EPA establishes and maintains relationships with key stakeholders to achieve better outcomes

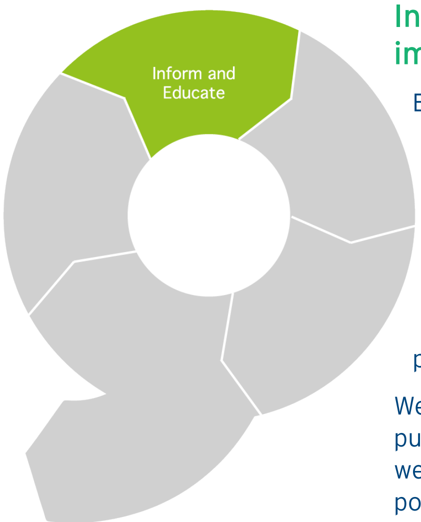
When working with our stakeholders we will identify, develop and implement relationship plans, to manage proactive and reactive relationships and issues.

We will identify shared goals and opportunities to work together for the protection of the environment. Relationship plans will be developed for strategic partnerships, our regional offices and memorandums of understandings.

All staff, at all levels of EPA Victoria, will be responsible for implementing relationship plans.

# Working with our stakeholders

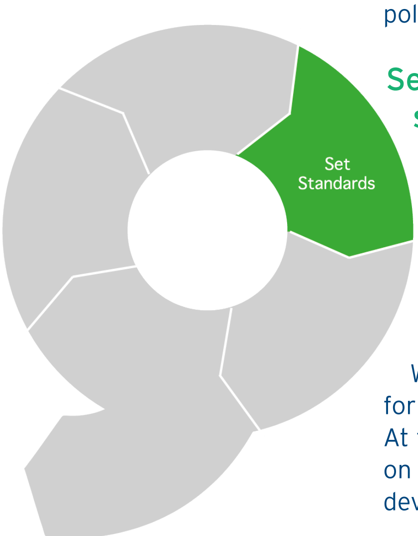
We will engage with our stakeholders across all areas of the EPA operating model. We will conduct purposeful and planned engagement which will work towards our goal of providing a healthy environment that supports a liveable and prosperous Victoria.




## Inform and educate - raising awareness of environmental impacts, obligations, EPA's role and social duty of care

EPA will inform our stakeholders about the state of the environment and our progress towards our vision of clean air, healthy water, safe land and minimal disturbance from noise and odour. We will listen to the community and understand its aspirations for an improved environment. We will educate and inform businesses on their role in protecting the environment. We will work with our government stakeholders to deliver clear and concise information about our shared jurisdictions. We will promote everyone's role and duty of care in protecting the environment.

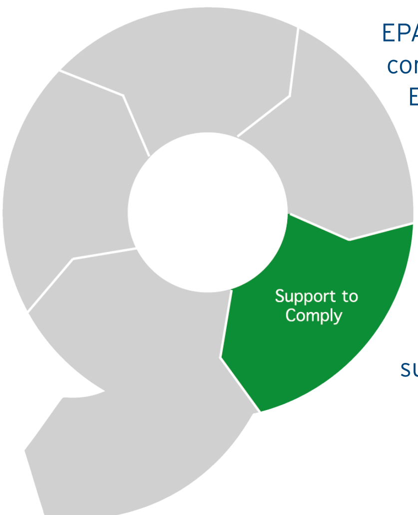
We will action this commitment to engaging with customers though publishing clear and concise guidance material and information on EPA's website. We will ask the public to inform us about noise, odour and dust pollution events in their local area via our call centre (1300 EPA VIC). We will inform stakeholders and request their input when reviewing and developing laws and guidelines through the state environment protection policies.




## Set standards - providing clear and authoritative standards based on science and community aspirations

EPA sets environmental standards based on good science and consideration of community aspirations. EPA will provide opportunity for businesses, industry associations, community and government stakeholders to have their say when we develop standards and promote good practice. We will leverage our university partnerships to ensure we are promoting best practice in environmental standards.

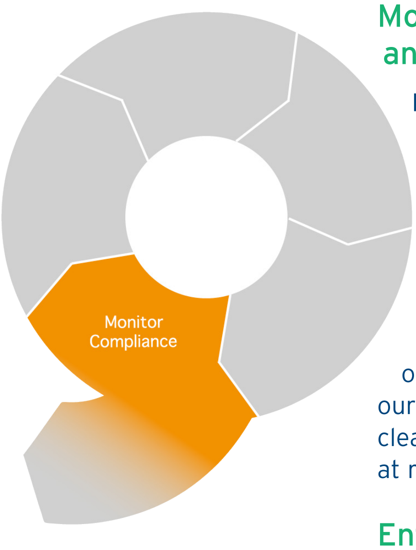
We will action this commitment through engaging meetings, information forums, public conferences, written submissions and other activities. At these events we will listen and understand our stakeholder's views on licences and changes to them, works approval applications and the development of new policies, guidelines and programs.




## Support to comply - providing practical, constructive and authoritative advice on how to comply with the law

EPA provides advice on how to comply with the law. Where non-compliance is found we will work with our stakeholders to remedy it. EPA is responsible for supporting anyone who has a duty under the *Environment Protection Act 1970*, (EP Act) regulations and policies.

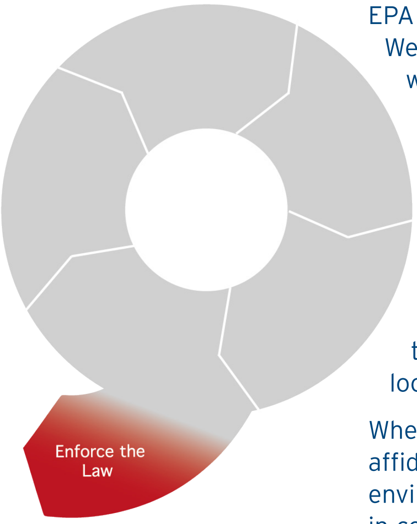
We will action this commitment through the creation of strong relationships between EPA officers and businesses to provide advice and feedback on ambiguity in regulations, and through regular, scheduled compliance visits, as per the Annual Compliance Plan. EPA will work with government stakeholders to assess processes that spread across multiple government departments, to streamline support, guidance material and multiple processes.




## Monitor compliance - monitoring compliance with the law and maintaining a credible risk of detection

EPA's primary focus is on prevention. Wherever possible, we want to ensure that incidents of non-compliance and their impacts are avoided. We will provide a clear plan for compliance visits each year, and be clear to our stakeholders about the consequences of non-compliance.

EPA will action this commitment through Annual Performance Statements as required from businesses each year and our audit process. We will work with the community, businesses and government stakeholders to ensure pollution incidents are reported to our call centre on 1300 EPA VIC, for follow up action from EPA officers. We will inform our stakeholders of outcomes from monitoring compliance, such as the clean-up of pollution incidents, through website updates, media releases and at regular community forum events.

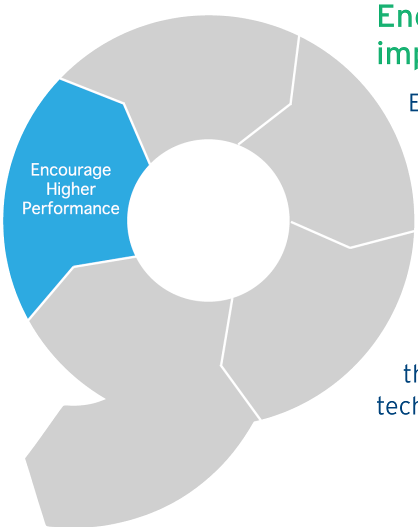



## Enforce the law - requiring parties to make good any harm caused and deterring non-compliance

EPA will enforce the law when legal requirements are not complied with. We will clearly communicate to those who have not complied with the law what action we are taking. We will work with them to enforce a remedy to the problem, to ensure there is no further environmental harm. This means EPA will engage and work with the non-complier to direct any cleaning up and restoration of the environment.

In the event of non-compliance, EPA may also apply a sanction, which is a penalty or punishment for breaking the law. A sanction may result in a fine. If a company is prosecuted under section 67AC of the EP Act, a community group may be awarded funds from the prosecution through EPA's Inspiring Environmental Solutions program to improve the local environment affected by the harm.

When prosecuting, EPA relies on evidence from the community through affidavits. Often a community member has experienced hardship due to the environmental harm, which can be captured through affidavits and used in court. We will let the community know the outcomes of all enforcement activities and in most cases we will also require the offending business to inform their local community. We will report any environmental issues, restoration and outcomes associated with the enforcement activity.




## Encourage higher performance - building the case for improving practices and influencing future standards

EPA will work with our stakeholders to drive performance, improvements and leadership that may apply to specific sites, sectors, geographic areas, businesses and industry groups.

EPA will action this commitment through supporting networks, such as the Business Reference Group, Community Reference Group and key industry associations. We will provide grants and incentives for people who go beyond the minimum standards, using new technologies to improve business practices. We will partner with universities and build those relationships to ensure that EPA is at the leading edge of emerging technologies, resulting in better outcomes for the environment.

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### 3.1 HANDOUT- Stakeholders and ways to engage them

| Stakeholder | Type | Interest | Method |
|---|---|---|---|
| **Internal** | Core ministry | Coordination and coherence | Internal government processes |
| | Line ministry | Coordination and coherence | Inter-ministerial coordination committee |
| **External** | Key | Participation<br><br>Sharing decision-making | Steering committee<br><br>Advisory committee |
| | Active | Consultation<br><br>Dialogue | Interviews<br><br>Consultative paper<br><br>Website feedback forms<br><br>Conference<br><br>Focus groups<br><br>Questionnaires<br><br>Public meetings |
| | Attentive | Information<br><br>Monologue | Media<br><br>Information sheets<br><br>Ministry website |

# Introduction to stakeholder engagement

3.1 Working with stakeholders

# Workshop objectives

To discuss the nature of stakeholders

To understand the importance of getting stakeholder engagement right

To understand the basics of stakeholder engagement by identifying them according to their own needs and designing a stakeholder engagement process that meets their needs.

# Why do we engage stakeholders?

- **Good governance**- transparency, consensus building, accountability, inclusivity, responsiveness
- **Information** – gain information 'on the ground'
- **Education and awareness** of stakeholders
- **Relationship building**- through reliable and trustworthy processes

**To achieve specific objectives at different stages in the policy steps**

## What are the risks of failing to engage stakeholders?

- Policies will have no relevance- wasted time and money- criticism
- Policies will have unintended consequences that we could have avoided
- Policies not accepted by the population – criticism
- Policies lack coordination and coherence

# Who are stakeholders?

**A 'stakeholder' is a person or organization that is interested in or involved in the policy problem**

2 main categories?

# Internal stakeholders

Work in the government on the policy problem-

- Within the ministry- eg technical staff
- Within other ministries working on related matters

Professional interest in establishing coordination and coherence

# How do we engage internal stakeholders?

- **Technical etc staff** within your own ministry – working groups to include them and their expertise on the subject-matter
- **Core ministries**- eg planning, finance, PM – follow established procedures
- **Lead ministry** – takes the lead, manages coordination and coherence at ministry level
- **Line ministries** (eg those with related interests)- establish inter-ministerial co-ordination committee/s

# External stakeholders

- External stakeholders are those individuals and organizations with an interest in the public policy problem outside the government.
- This can be complex – they can come from a very wide range of people!

# Look at how external stakeholder behave -

| | |
|---|---|
| Power | Passion |
| Winners | Losers |
| Opposition | Support |
| Organised | Unorganised |
| Silent | Loud |
| Directly affected | Indirectly affected |

But they all have valid interests!

# What do the stakeholders want?

Instead of looking at how stakeholders operate, look at what they need from you – understand them from THEIR point of view –

This enables us to categorize them into –

- Key stakeholders
- Active stakeholders
- Attentive stakeholders

# Key external stakeholders

- Are at the center of the policy problem
- Are highly interested- for example, they are the ones who WRITE or SPEAK regularly about the subject and consider the subject as something that is the most important issue in their daily lives
- Vocal, powerful, passionate, loud, directly affected
- Opinion-leaders
- Should NEVER be ignored, even if they are strongly opposed!

# Active external stakeholders

- Consider the policy problem very important, will read a lot about it and will listen to the key stakeholders
- Are likely to be directly affected by the policy problem and may be opposed, supportive etc
- Will want information about how a proposal for a policy will impact on them and will have strong views about this and wish to share these views

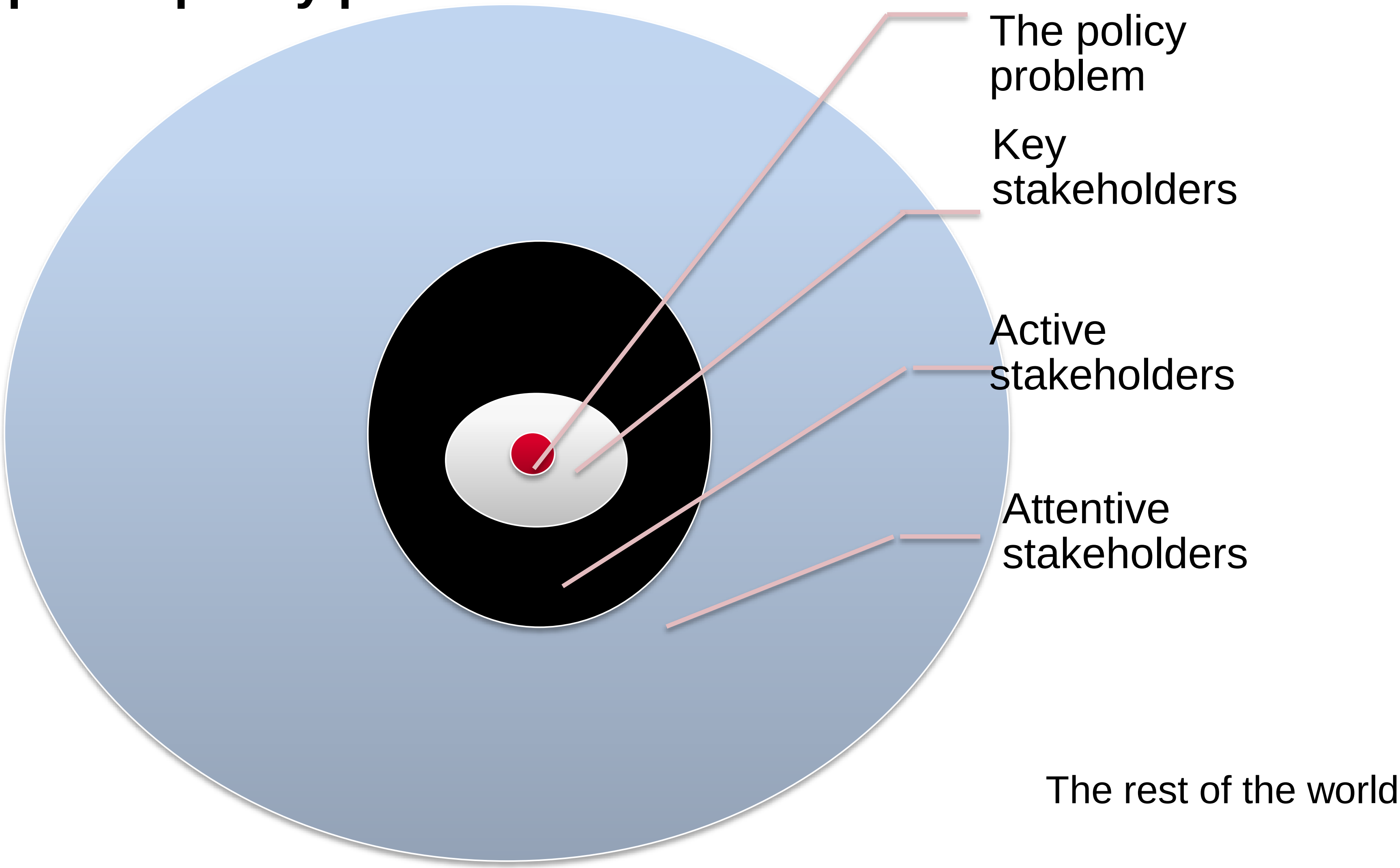
## Attentive external stakeholders

- likely to show apassing interest in the subject unless something catches their eye
- if they were reading the newspaper and find an article about the subject, they are likely to read the first paragraph of it to see quickly what is happening
- likely to have low power, low passion, low interest in supporting or opposing, low organization, and be indirectly affected by the subject
- usually want easily accessible information about how a policy is likely to affect them

# The rest of the world

- no particular interest or view about the subject of the policy problem
- unlikely to want to engage, therefore doing so will be a waste of effort

# A public policy problem and its stakeholders



# How reliable is this categorization of external stakeholders?

- A rough guide which tends to be reliable
- Stakeholders usually select themselves into these categories
- **The main exception is the ‘silent’ stakeholders.** They may be very affected by an issue but not have enough power to speak up! Therefore these stakeholders need help to become advocates for themselves.

# External stakeholders and public policy problems are both dynamic

- It’s a ‘snapshot’!
- Stakeholder categories can expand and contract very quickly if-
  - The policy problem becomes more controversial
  - When the government starts to work on the problem
  - The stakeholder engagement process is inadequate
- Consider Taksim Square

# Forms of stakeholder engagement

Three essential forms of stakeholder engagement -

- Information
- Consultation; and
- Participation

# Information

Providing information is a MONOLOGUE where you are telling stakeholders about something

Methods –

- Media – newspaper articles, information in local news broadcasts
- information sheets
- Websites
- Public open days

The information must be well prepared to meet the needs of the stakeholders!

# Consultation

Consultation is a two-way **DIALOGUE** where you are telling stakeholders about something and asking them for their views about it.

There is often a formal consultation period in public policy formulation.

Consultation must have a specific objective and you must give feedback

Methods-

- Interviews
- Distribution of consultative papers requesting feedback;
- Feedback forms set up on a website;
- Conferences; and
- Focus groups
- Surveys
- Public meetings

# Participation

Participation is when you share the decision-making process with stakeholders to recommend a solution to the government.

Methods –

- steering committees
- advisory committees

These committees can achieve many other things, such as open doors to other stakeholders.

# Stakeholder engagement strategy

- Every policy has different issues and different stakeholder profiles
- Therefore you need to design a stakeholder engagement strategy into your policy steps, identifying why, who, when where, how etc you will engage the stakeholders

We will design a stakeholder engagement strategy for your own policy issues in the coming workshops. In the meantime, please begin to think about who your stakeholders are and what is the nature of their interests

Some countries even have stakeholder engagement POLICIES!

# Key messages

- we have covered the basics about what is stakeholder engagement, why it is important.
- we need a purpose for our stakeholder engagement
- We need to design stakeholder engagement that **responds to the needs of the stakeholders**.
- We have also looked at types of stakeholders
  - INTERNAL STAKEHOLDERS are those in government
  - EXTERNAL STAKEHOLDERS are those outside government.

## Trainer’s notes

| Presentation 3.1 – Introduction to stakeholder engagement | |
|---|---|
| **Learning Objective** | Participants are familiar with the concepts behind effective stakeholder engagement |
| **Timing** | 3 hours |
| **Training method** | Presentation and group discussion |
| **Materials** | 1. Power point presentation<br>2. Handout – Stakeholders and ways to engage them<br>3. Additional information for the trainer<br>• EPA Victoria Engagement Policy |

**Slides 1 and 2 – Introduction**

Stakeholders are some of the actors in the public policy process- ref the workshop ‘who are the actors?’

**There is no such thing as ONE stakeholder attitude**- they can express potentially thousands of experiences of and views about a policy problem. **We can therefore NEVER generalize or assume** what they think because everyone has different perspectives

So we need understand and be responsive to our stakeholders. We do this by-

- mapping them, their interests, their sphere of influence etc- this will be covered in another workshop; and
- designing and implementing a responsive stakeholder engagement procedure.

But first, we need to understand some basics about stakeholders. This workshop gives an overview of the nature of stakeholders. We will do this in 3 parts-

1. Why do we engage with stakeholders? We have covered this in many of the previous workshops.
2. Who are the stakeholders?
3. How do we engage with stakeholders?

**PART 1 - WHY DO WE ENGAGE STAKEHOLDERS?**

**Slide 3 - Why do we engage stakeholders?**

We have already covered a lot of this…. There are many reasons why we engage stakeholders..

**Good governance**- the elements of good governance that we have already talked about- transparency, consensus oriented, accountability, inclusivity, responsiveness all require us to have effective engagement with stakeholders. For example, stakeholder engagement can help us to get feedback about how are we doing.

**Information –** the policy officer, indeed the ministry, does not hold all the relevant information about a policy issue. Other ministries can also offer valuable technical and strategic input. Community, business groups etc can also inform us about a policy problem. By gaining this information, we can find out what is happening 'on the ground expand the potential to find new ideas, determine public opinion, test options and proposals find solutions that are relevant to Iraq and solve problems in a way that will work.

**Education** – Information goes both ways. By sharing experiences of policy problems and ideas for solutions, this also educates people, including stakeholders. With well-presented information we can raise awareness, help people to change their attitudes and behavior towards issues. As a policy is negotiated with and between stakeholders, we can see this educative process work.

**Relationship building** – this is an essential part of stakeholder engagement and an essential part of good governance. Building and maintaining long-term working relationships with stakeholders is the way to promote consensus where there are diverse opinions and open up government to become transparent and inclusive. This does NOT mean you must become best friends! What is means is that you have a process that the stakeholders can trust and that they feel they can use, they will be listened to and they are not excluded from important things. Good relationships create avenues for dialogue and negotiation.

**These reasons are interconnected**. For example, part of good governance is to provide relevant and timely information as well as to establish reliable procedures that generate public confidence and strong relationships with stakeholders.

**Achieve specific objectives –** We should only engage stakeholders with particular objectives in mind- otherwise it would be a waste of time and effort. Our objectives can vary at different stages of the policy cycle and with different types of stakeholders. For example-

- With internal stakeholders (those within our ministry or other ministries) we are looking to do all of the above in order to achieve policy coherence and coordination;

- When we are gathering information about 'what is happening on the ground', we are chiefly looking for information from NGOs, business, governorates etc. But in the process of doing this, we are also establishing stronger working relationships with them, which will be useful later on in the policy initiation, development and implementation stages.

**Slide 4 – What are the risks of failing to engage stakeholders?**

Here are some of the risks-

- Policies are irrelevant or have no impact- a waste of money, time and effort- **and therefore severe criticism**
- Policies have **unintended consequences** - ie they might affect people badly in a way we never thought of but perhaps we could have known about if we had talked to the right people
- Policies are **not accepted** by the community and therefore come under criticism, which amounts to a political risk to the government.
- Policies **not well coordinated or coherent**, leading to overlaps, conflicts, omissions and/or waste.

**In many countries, policies that have not been fully consulted are often cancelled following criticism!**

**PART 2 – WHO ARE THE STAKEHOLDERS?**

**Slide 5 - Who are stakeholders?**

**A 'stakeholder' is a person or organization that is interested in or involved in the policy problem.**

This is a deliberately broad definition.

We as policy or government officials do not choose who the stakeholders are. Rather, the stakeholders are there because of their interest in the policy problem.

ASK the participants what are the 2 main categories of stakeholders? They should know this very well- there are 2 types- internal (within government) and external (outside government). This workshop deals with both categories of stakeholders, even though they have different interests.

Refer to the workshop 1.3 'Who are the actors in public policy' for more information.

**Slide 6 – Internal stakeholders**

Internal stakeholders are the stakeholders who work within the ministry and the government. Their interest in the policy problem arises from their work. Their main roles are to ensure good governance, policy coherence and policy coordination.

For example, in an agricultural policy proposal, internal stakeholders will include-

- Technical staff within the Ministry of Agriculture who are experts in the technical aspects of the policy; and
- other ministries dealing with issues related to agricultural policy. This depends on the nature of the policy and may include, for example, ministries dealing with planning, land use, budget, water, trade, labor and employment, trade etc.

**Slide 7 – How do we engage internal stakeholders?**

To achieve policy coherence and coordination, we must work very closely with external stakeholders. These stakeholders are ultimately coordinated and directed by the PM and Council of Ministers, who will expect to see strong inter-ministerial coordination between ministries at lower levels, such as through inter-ministerial committees.

These stakeholders have a professional interest in policies that relate to their own field of activities-

- **the technical staff** etc in your own ministry should be included in the policy group responsible for the policy. This will ensure that the right skill level is present for the policy processes;
- **the core ministries** are those that play significant roles in the policy because they manage the overall policy of the government and the finances. These ministries are the Ministry of Planning, the Ministry of Finance and the Prime Minister's Office. Governments typically implement standard procedures their affairs to facilitate matters of planning, coordination and budgets and these procedures must be followed.
- **the lead ministry** is the ministry that takes primary responsibility for the policy. It should be responsible for ensuring coherence by managing the coordination arrangements with other ministries that have an interest in the policy problem;
- **the line ministries** are those other ministries in the government that have a strong interest in the policy because it impacts on their activities. **The line ministries must be included in a participatory process, such as an inter-ministerial coordination committee. These committees are typically separate from the stakeholder engagement processes for external stakeholders.**

There are also **political stakeholders** who play a major role in public policy- such as Parliamentarians, parliamentary sub-committees. In their political capacity are not necessarily internal stakeholders but are political actors. We work with these actors, usually through the Minister to ensure that the policy accords with their expectations, particularly in the policy design and implementation phases.

**THEREFORE to engage internal stakeholders in the public policy process we must follow the government's set procedures to engage the core ministries AND the lead ministry should actively include the relevant line ministries in inter-ministerial consultation.**

**Slide 8 – External stakeholders**

Understanding and engaging external stakeholders can be a more complex matter than the internal stakeholders.

External stakeholders are those individuals and organizations with an interest in the public policy problem outside the government. Depending on the public policy issue, they can be almost any person or organization

- NGOs
- Trade unions
- Industry associations
- Business groups
- manufacturers
- milk sellers
- mothers
- households
- taxi drivers
- farmers,
- electricity users
- goat herders;
- women;
- UN Agencies
- groups of individuals (eg in a geographic area, or with an issue in common)
- etc etc etc etc

Sometimes these stakeholders are organized around a policy problem- eg. Employer associations and trade unions are organized to address policy problems about labor and employment issues. This organization is very useful because we can easily engage these stakeholders in formal 'tripartite' forums on public policy problems to do with labor and employment. (Tripartite forums are those with three parties- employers, workers and government).

But sometimes the stakeholders are not well organized and it is up to the ministry to make some sense of the stakeholders in order to engage effectively with them.

**Slide 9 – Look at how external stakeholders behave**

Ask the participants to think how different types of stakeholders can fit into the following descriptions. If they cannot, the following includes some illustrations-

**Power**– in most policy problems, you will find stakeholders who hold significant power over an issue (eg have 'friends in high places');

**Passion** – in most policy problems you will find stakeholders who are very passionate about an issue (eg human rights NGOs);

**Winners** – in most policy problems you will find stakeholders who will stand to gain something important to them if the policy succeeds (eg community gains a baby health center);

**Losers** – in most policy problems you will find stakeholders who will lose something important to them if the policy succeeds (eg decision to remove subsidies for farming dates);

**Opposition** - in most policy problems you will find stakeholders who will oppose any changes that the policy will promote (eg opponents to early marriage reforms for religious reasons);

**Support** - in most policy problems you will find stakeholders who will support the change the policy will promote (eg improved road networks (eg drivers gain from improved road networks);

**Organized** - in most policy problems you will find stakeholders who are organized to advocate for or against policy changes (eg trade unions, industry associations);

**Unorganized** - in most policy problems you will find stakeholders who are not organized into an advocacy group (eg electricity consumers);

**Silent** - in most policy problems you will find stakeholders who are silent about a policy problem and perhaps find it difficult to articulate their needs about a policy issue, even if they are deeply affected by it (eg women who are victims of violence);

**Loud** - in most policy problems you will find stakeholders who will speak loudly (eg in the media) about a policy issue- whether for or against the policy change and whether or not they are directly affected by it (eg ?? these are likely to be specific individuals);

**Directly affected** - in most policy problems you will find stakeholders who are directly affected by a policy proposal to change (eg doctors, in a policy about their registration of qualifications); and

**Indirectly affected** - in most policy problems you will find stakeholders who are indirectly affected by the policy problem or proposal for policy change (eg patients, in a policy about registration of doctor's qualifications).

**ALL OF THESE STAKEHOLDERS HAVE VALID INTERESTS**

When we look at all of the activities of stakeholders like this, dealing with them looks daunting. However, if we look at them in another way, according to **WHAT THEY NEED FROM US**, it is much easier to see how we can organize an effective stakeholder engagement strategy.

**Slide 10 – What do the external stakeholders want?**

How to we organize ourselves to work with such a diverse range of stakeholders? There is useful ways to classify and understand stakeholders and their needs that helps us to work with them.

Let's look again at these stakeholders and this time we can consider them from the nature and degree of their interest in a public policy problem. The following approach helps us to understand stakeholders **from their point of view**.....

We can look at stakeholders according to the extent of their own organizational or personal interest in the subject of the policy problem and roughly categorize them as follows-

- key stakeholders
- active stakeholders
- attentive stakeholders

**Slide 11 - Key external stakeholders**

**A key stakeholder** is a stakeholder who counts the subject of the policy problem among the most important 5 issues that they are most concerned about in their daily lives. For individuals, this is likely to be – 1. family, 2. friends, 3. work and 4 or 5. the policy problem.

For stakeholder organizations, it means that the organization was specifically set up or deals with the subject of the problem in its day-to-day operations.

These stakeholders are **often vocal, powerful, passionate, loud and directly affected**. They can either be opposed or supportive of change and are likely to be well organized. These stakeholders often are opinion-leaders. They probably frequently write or speak or are otherwise highly active about the policy problem in their work or other activities.

There are usually not many of these stakeholders but they are very central to the subject of the public policy problem.

**Key stakeholders want to be highly active in the policy processes. They will (or should) be your strongest critics or your strongest opponents and because they are very very interested, we usually share much of the decision-making in key issues with them.**

**If you ignore these stakeholders, or exclude them from the policy processes, they are highly likely to resort to the media and criticize what you are doing.**

**Slide 12 – Active external stakeholders**

An active stakeholder is a stakeholder who would count the subject of the public policy problem among the top 10 to 20 most important things to be concerned about in his/her/the organisations' daily life or operations. These stakeholders are very interested in the subject, but not as interested as the key stakeholders. They are likely to read a lot about the policy problem and have an interest in the subject. They tend to rely on the key stakeholders and watch how they are getting along with the problem.

These stakeholders may show considerable power and passion, they may be winners or losers, they may oppose or support policy change, they may be organized or not and they may be directly or indirectly affected by the policy problem. If there is something that is of concern to them about the policy problem, they are likely to contact the key stakeholders for advice or action and they may become key stakeholders themselves.

If, for example, there is a newspaper article about the policy problem, this group of stakeholders are likely to read all about it and are likely to have strong views about it.

**Active stakeholders usually wish to become engaged in the stakeholder engagement process, would like to see information about how the policy is likely to affect them and they usually have strong views to share with you.**

**Slide 13 - Attentive external stakeholders**

Attentive stakeholders are individuals or organizations that are interested in the subject or the policy problem but would count it as something that is in their 'top 50' issues to be concerned about on a day-to-day basis. These stakeholders are likely to show only passing interest in the subject unless something catches their eye. For example, if they were reading the newspaper and find an article about the subject, they are likely to read the first paragraph of it to see quickly what is happening.

These stakeholders are most likely to have **low power, low passion, low interest in supporting or opposing, low organization, and be indirectly affected by the subject**.

However, if the subject matter suddenly becomes 'interesting' to them (eg a toxic spill of hazardous chemicals in their environment which makes the drinking water poisonous), their interest can increase and they may become more actively interested and engaged in the issue.

**Attentive stakeholders usually want easily accessible information about the public policy problem so they can see how the changes etc will affect them. If they become concerned about it, they may then choose to tell you what they think about it.**

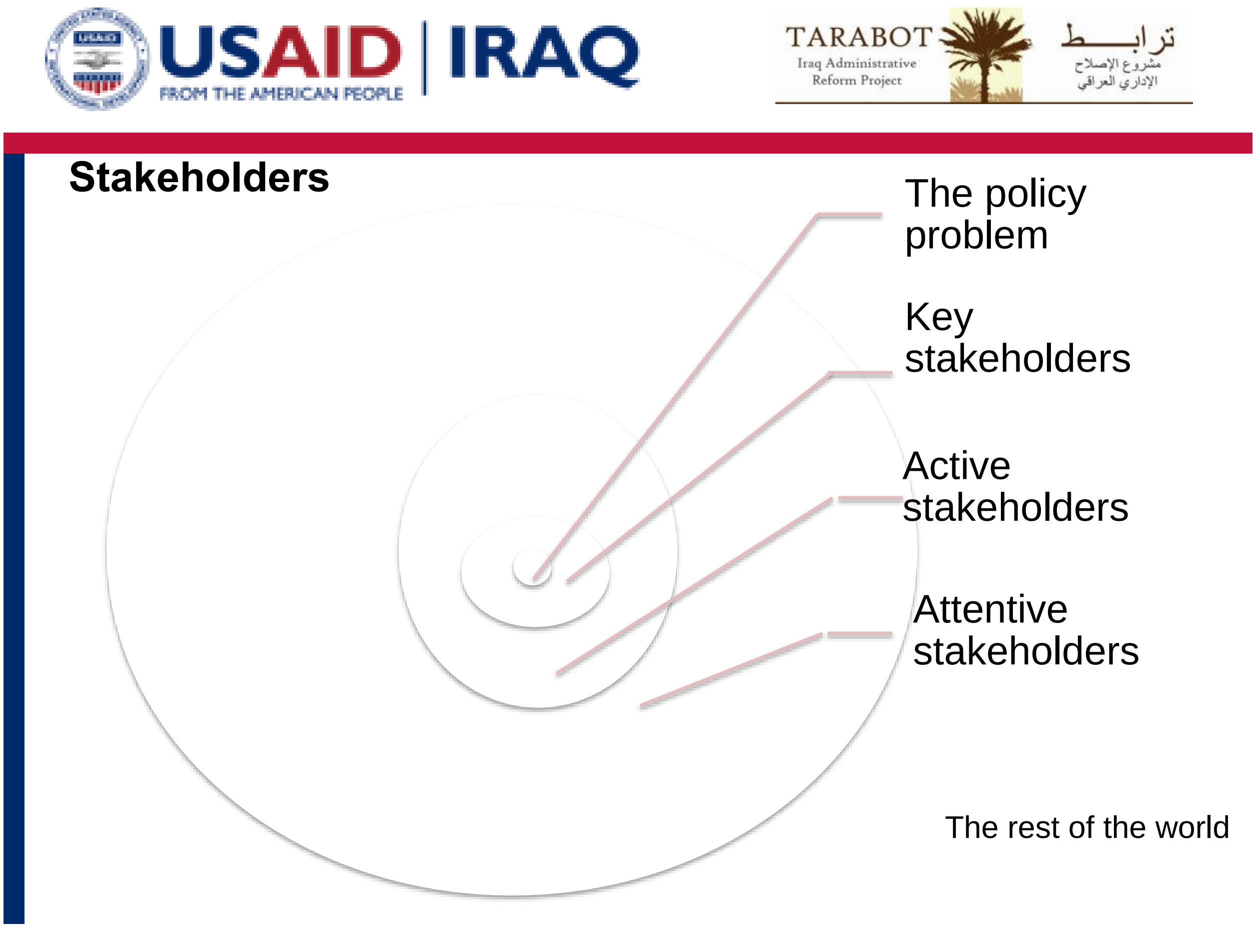
**Slide 14 - The rest of the world**

The rest of the world is made up of individuals and organizations that have **no particular interest or view about the subject of the policy problem**. For the purposes of this system of categorization, they are not really 'stakeholders'. Because their interest is zero, or close to zero, engaging these individuals or organizations in any stakeholder engagement program would be a waste of time and the results of any consultation would be 'skewed' accordingly.

**Slide 15 – A public policy problem and its stakeholders**

This slide shows how stakeholders arrange themselves around a policy problem according to their needs. The red dot in the middle is the policy problem, key stakeholders are in the next circle out, then active stakeholders and then attentive stakeholders. The rest of the slide outside the circles is 'the rest of the world'.

**If we can meet the needs of ALL of these stakeholders, we will have an effective engagement strategy!**




**Slide 16 - How reliable is this categorization of external stakeholders?**

This categorization of stakeholders is a rough guide only. However, as it tends to represent how the stakeholders are behaving according to the extent of their interest and activity, it is a very useful guide to use.

Stakeholders usually select themselves into these categories. If you select them into the wrong groups, you can end up with big political problems!

**The main exception is the 'silent' stakeholders.** That is, those stakeholders who are directly affected by the subject of the policy problem but who are unfamiliar, reluctant or afraid to speak out about it. Should your policy problem have people who fall into this category, you will need to offer support and capacity-building assistance to them (eg help them to form into their own organizations, help them to advocate for their issue, or help them to 'connect' with a more vocal stakeholder who can speak on their behalf).

**Slide 17 – External stakeholders and public policy problems are both dynamic**

So far, we have a 'snap shot' of stakeholder interests and needs at one point in time.

Public policy problems change over time, especially when we start to work on them. Similarly, stakeholders can change categories as the policy problem changes. This means that we must be prepared to be highly flexible to meet stakeholder's changing needs.

If things are going well, the circles will be small but if the public policy problem is highly controversial for some reason, all of the circles will expand because people will become more interested in the problem.

What causes these changes?

1. **The policy problem itself can change dramatically**. For example, if we have a policy problem of water pollution, we will identify the key, active and attentive stakeholders as those who are highly active and/or interested in this subject. But if there is suddenly a major spill of toxic chemicals into the water and this is affecting fishing, drinking water etc, then the number of stakeholders will logically expand to al those affected. Our stakeholder engagement strategy must be able to recognize this change and provide all these new stakeholders with the level of engagement that they need.

2. **The problem is likely to attract more attention from the stakeholder groups when the government becomes active in it**. This is a natural response that we must recognize and adapt to with a robust stakeholder engagement process that meets all the stakeholder groups' needs.

3. **If the stakeholder engagement process is not adequate**, we can also cause controversy ourselves and change the nature of stakeholder's interests- perhaps by expanding the circles. This happens if we put stakeholders into the wrong category- a key stakeholder, for example, will not be happy if all you do is provide him/her with the information that 'attentives' might need. If that stakeholder also hs a lot of political power, or strong media influence, then he or she might stir up the problems and stimulate interest among people who were otherwise not interested. Further, if the key stakeholders are treated badly for some reason, the 'actives' might join them. They are often watching to see if the key stakeholders are being treated and if they are not, then they are more likely to join the key stakeholder group.

Consider the recent community unrest in Istanbul, which was triggered over proposed changes to Taksim Square. Because people were not engaged in the decision-making processes for this, it prompted widespread outrage and violence over the failures of the government to work openly with its citizens. Perhaps Iraq's security situation might also change if all stakeholders were engaged appropriately in the decisions of government.

Because we can influence the stakeholder circles to get bigger, we can also influence them to get smaller. We do this by implementing a process where stakeholders feel that they are involved in a stakeholder engagement process that they can trust.

What does this process involve? We will now look at how stakeholders can engaged

**PART 4 – HOW DO WE ENGAGE EXTERNAL STAKEHOLDERS?**

**Slide 18 – Forms of stakeholder engagement**

There are three essential forms of stakeholder engagement-

- Information
- Consultation; and
- participation

There is one more form of stakeholder engagement which we are not including in this presentation- empowerment, where decision-making is fully delegated to stakeholders to take action with the support of the government.

Another form of stakeholder 'engagement' is to choose to deliberately ignore the interested stakeholder, usually because they are considered annoying. This strategy is NOT RECOMMENDED because it fails to implement the principles of good governance and can often result in stakeholder anger and the issue can become highly controversial (ie expanding the circles of key, active and attentive stakeholders).

**Slide 19 - Information**

Information is a one-way **MONOLOGUE** where you are telling stakeholders about something

This is a good way to reach the attentives, who want information about matters that are relevant to them. For example, this includes information about the policy problem, the decision about what the government is doing about it and how it will affect the stakeholders. It is also important for the actives and key stakeholders.

Information this can be distributed through-

- Media – newspaper articles, information in local news broadcasts
- information sheets
- Websites

- Public open days

This information should be well thought through so it meets the needs of the stakeholders.

**Slide 20 - Consultation**

Consultation is a two-way **DIALOGUE** where you are telling stakeholders about something and asking them for their views about it.

Giving information and a genuine opportunity to stakeholders to tell you what they think about it is a good way to reach the 'actives'.

In the policy formulation stage, there is typically a formal period for stakeholder consultation. Informal stakeholder consultation can also be important at key points in the policy cycle- for example, when identifying and researching the policy problem.

When consulting, you need to have an objective. You do not consult just for the sake of doing it! So you need to identify your objective, such as 'to test and refine the viability of policy options for policy on XX'. Your objective/s should be made very clear to the stakeholders and the process for the consultation should also be very clear because the stakeholders must know exactly what to expect and when and how their views will be incorporated into the policy processes.

Ways to implement consultation include-

- Interviews
- Distribution of consultative papers to the stakeholders, requesting feedback on the issues and information presented in them;
- Feedback forms set up on a website;
- Conferences – but only if they invite participation and show that the government is listening and responding to the ideas and comments; and
- Focus groups
- Surveys
- Public meetings

**All of the stakeholders – key stakeholders, actives AND attentives - will be watching to see how their feedback is integrated into the policy process**. If they are ignored, they will be very unhappy and argue that it was an unfair waste of their time. Therefore you need to SHOW how your policy documents have altered to respond to the issues and information you receive from the consultation. For this reason, we prepare a document that summarizes the issues and options discussed during the formal consultation process, the stakeholder's views about them and what the government proposes to do as a result.

**Slide 21 - Participation**

Participation is when you share the decision-making process with stakeholders. Ultimately, the final decision rests with government but there are many decisions that need to be made about what to recommend to the government.

Some participative systems are –

- steering committees – which actively supervise a process (such as policy development, stakeholder engagement) and make recommendations for decisions
- advisory committees (also called reference groups) – which advise and recommend a course of action to the decision-makers.

These committees can achieve many other things, such as open doors to other stakeholders and help to facilitate consultation, as well as provide advice about what is happening 'on the ground' with respect to the issues. Their membership is usually the 'key stakeholders'.

**Slide 22 - Stakeholder engagement strategy**

Every policy will have different stakeholders so for every individual policy we must design a stakeholder engagement strategy that accommodates the needs of each stakeholder group. The stakeholder engagement strategy can also identify the types of engagements that are likely to be needed at each stage of the policy cycle.

If you have stakeholders in each of the categories, you need to have an engagement process that meets their needs. ONE process is never enough!

With the information from this workshop, we can now put together a stakeholder engagement strategy that accommodates stakeholder needs.

We will design a stakeholder engagement strategy for your own policy issues in the coming workshops. In the meantime, please begin to think abot who your stakeholders are and what is the nature of their interests

Distribute handout- stakeholders and their engagement

Some ministries have stakeholder engagement policies that set out their commitment to stakeholder engagement (Ref EPA Victoria policy).

**Slide 23 – Key messages**

In this workshop we have covered the basics about what is stakeholder engagement, why it is important.

ASK the participants to give some reasons why stakeholder engagement is important.

It is important to emphasize that we need a purpose for our stakeholder engagement and to design stakeholder engagement that responds to the needs of the stakeholders.

We have also looked at the nature of stakeholders interests and categorized them.

INTERNAL STAKEHOLDERS are those in government. How should they be engaged?

EXTERNAL STAKEHOLDERS are those outside government. How do we classify them? How does classifying them help us to design a stakeholder engagement strategy?

# How to map stakeholders

3.2 Working with stakeholders

# Workshop objectives

This workshop introduces some practical tools for assessing and understanding stakeholders connected to public policy problems-

- **Stakeholder analysis** produces information about the stakeholders;
- **Stakeholder mapping** shows how stakeholders operate in a strong visual form; and
- **Force field analysis** helps us to understand stakeholder support and opposition to a public policy proposal.

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# What is stakeholder mapping?

A way to represent internal and external stakeholders, their attitudes and their relationships and spheres of influence

# Identify the public policy problem clearly

- This is essential because how you define the problem will define the stakeholders

For example, road congestion in Baghdad-

- Expand road network?
- Encourage public transport?
- Driver behaviour?
- Security measures?

In each, the stakeholders are different!

We must have an idea about the problem before we can identify the stakeholders

# Brainstorm a list of stakeholders

- Do this in a group
  - Internal
  - External

ALL stakeholders MUST BE INCLUDED- DO NOT EXCLUDE those you feel uncomfortable with or only choose those you like working with. EXCLUDING STAKEHOLDERS WILL CREATE CONFLICTAND CRITICISM

# Gather information about the stakeholders

Background

Legitimacy

Resources

Power

Networks

Knowledge

# Background

- Interest
- Nature of interest
- How strong is their interest?
- How active and passionate?
- Winner or loser in the problem and possible solutions?
- Supportive or resistance to changes?

# Legitimacy

- Legal mandate?
- Support? Power base?

# Resources

- Skills- technical, political
- Resources- financial? People? Infrastructure?

- Lack of resources? Does a stakeholder need to be bolstered with assistance?

# Power

- Position in government?
- Influential in networks?
- Power to veto?

- Powerlessness of disadvantaged but interested stakeholders?

# Networks

- Who does the stakeholder influence? Formal and informal
- What is the nature of their influence? Political, technical, financial, moral?
- How strong is their influence? Power? opinion leader? What impact does the stakeholder have on networks?

# Knowledge

- Nature of knowledge? Technical? ‘on the ground’? Empirical? Value-based?

- Access to knowledge held by stakeholders?

# Note findings in a table

- Early marriage example
- A snapshot! Need to continuously review and add

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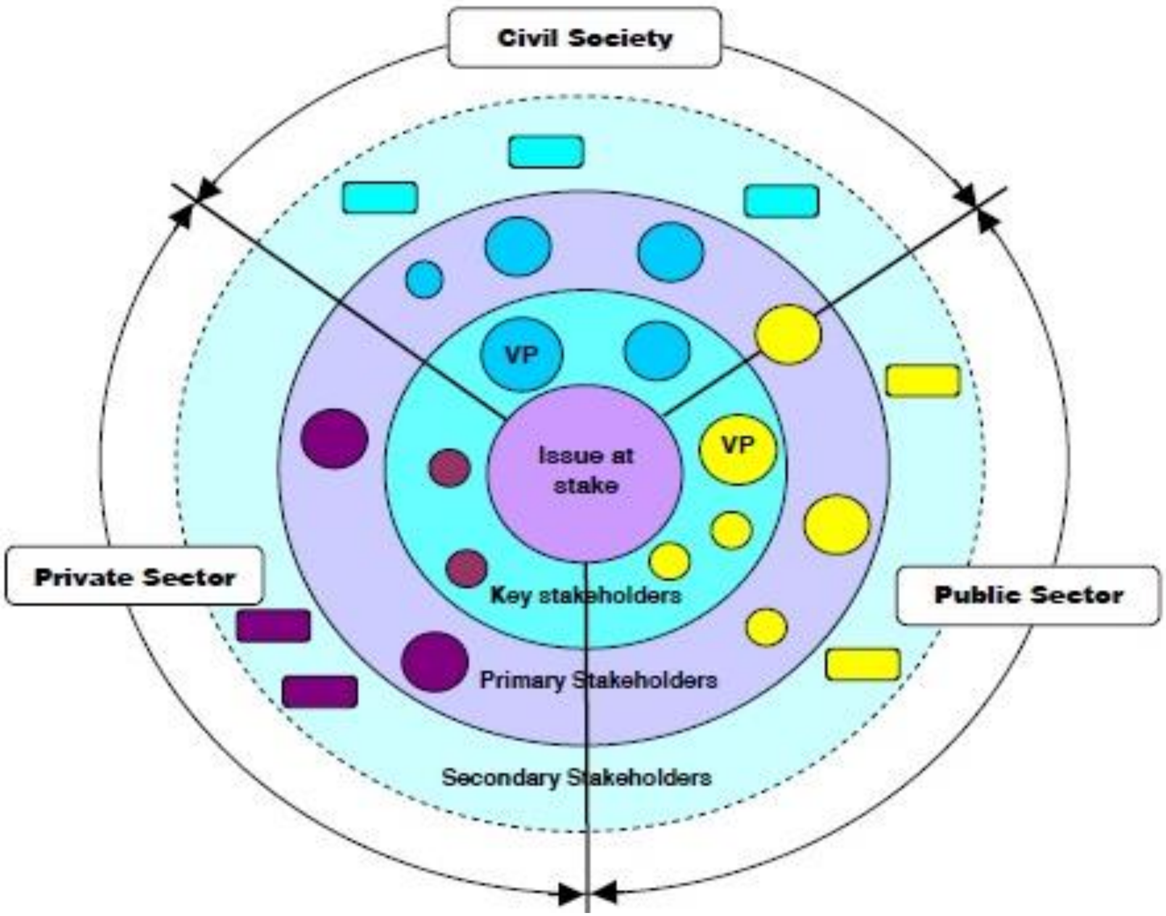
# Categorize the stakeholders

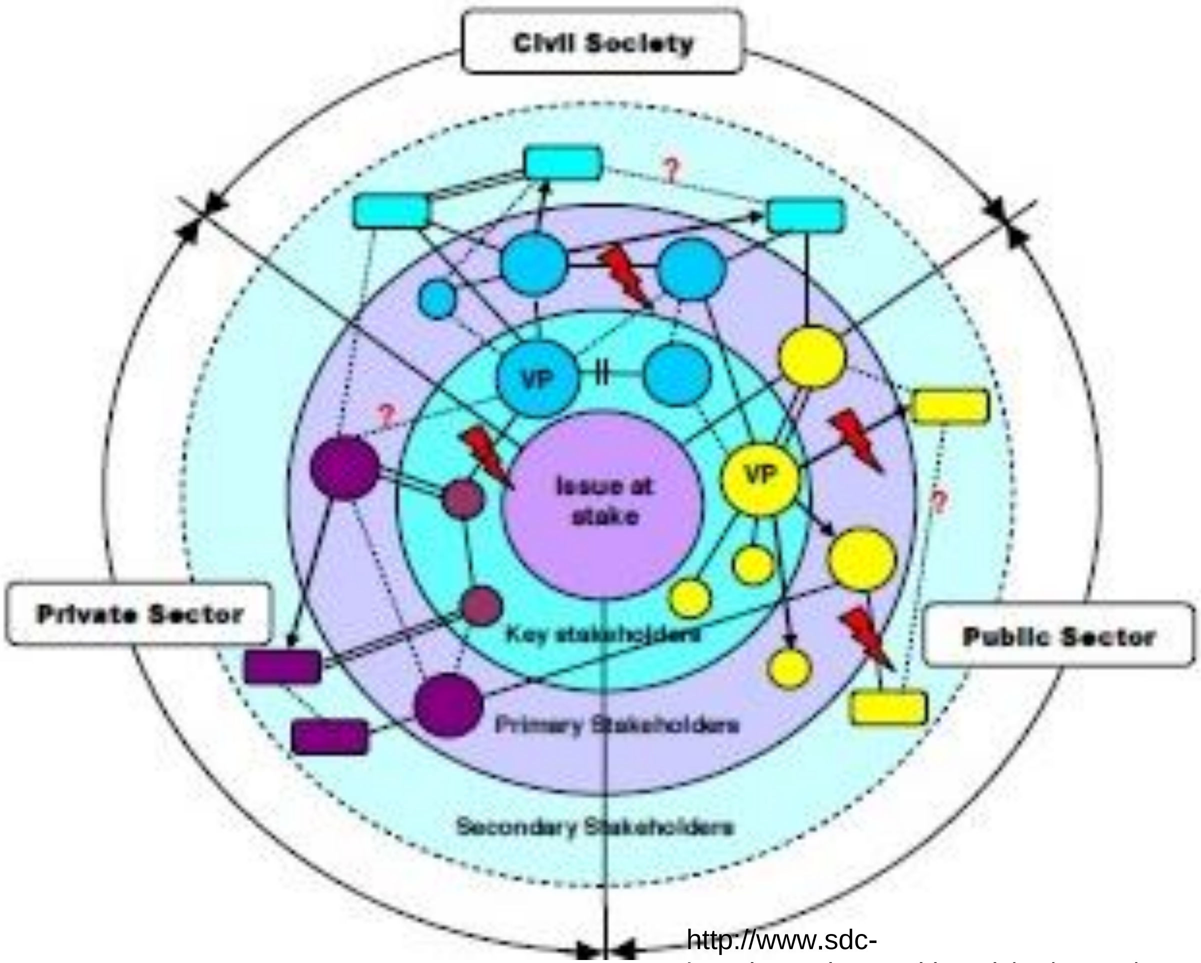
- Who are key stakeholders?
- Who are active stakeholders?
- Who are attentive stakeholders?

# Map stakeholders in a visual diagram




http://www.sdc-learningandnetworking.ch/en/Home/SDC_KM_Tools/Stakeholder_Analysis_and_Mapping

# Map the relationships between the stakeholders



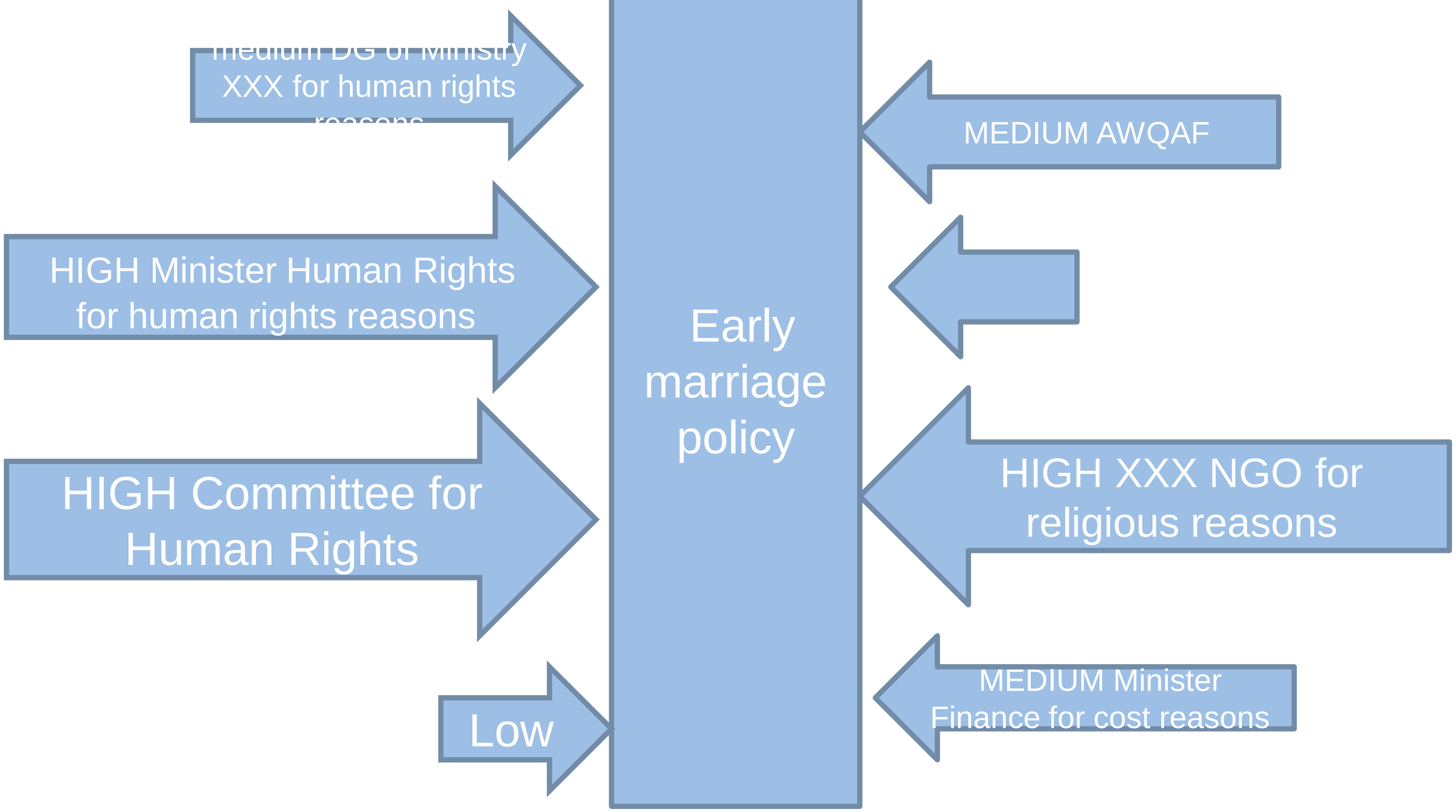

http://www.sdc-learningandnetworking.ch/en/Home/SDC_KM_Tools/Stakeholder_Analysis_and_Mapping

# Force field analysis

Visual representation of those opposed, those supportive and the strength of their views

## For example- FORCE FIELD ANALYSIS FOR POLITICAL ACTORS

**SUPPORT** **OPPOSITION**



# Key messages

- Understand the policy problem well before you start the mapping
- Regularly review the maps because stakeholders change over time
- Do not exclude stakeholders because you don’t like them or because they might make your work more challenging. Excluding them will make it much more challenging in the long term!

# Trainer's notes

| Presentation 3.2 - How to map stakeholders | |
|---|---|
| **Learning Objective** | Participants know how to analyze and map stakeholders and how to prepare a force field analysis. |
| **Timing** | 3 hours |
| **Training method** | Presentation and group discussion |
| **Materials** | 1. Power point presentation<br>2. Handout-<br>3. Additional information for the trainer<br>• Transparency International Policy Brief 1/2013<br>• Modernising Government (1999) from the British Government |

**Slides 1 and 2 – Introduction**

In the last workshop, we learned the principles of stakeholder engagement. Today we will cover stakeholder mapping, which is a practical tool that helps us to understand how stakeholders operate. Mapping helps us to see how the stakeholders can influence each other to create a political dynamic.

**Slide 3 – What is stakeholder mapping?**

Stakeholder mapping is a way to present stakeholders and their relationships and spheres of influence so you are better able to understand their activities and how they operate about a particular policy problem.

Stakeholder mapping helps us to identify what category (key, active, attentive) they are currently in, to

Here, we look closely at-

- Internal stakeholders
- External stakeholders; and
- Some political actors.

**Slide 4 – Identify the public policy problem clearly**

What is the public policy problem that you are mapping?

Ref- workshop 2.1 How to define a public policy problem- we need to define the problem enough to be able to identify the stakeholders concerned.

As a reminder, the relevant discussion form that workshop is copied below in red-

**For example**, we might have the problem of too much congestion on Baghdad's roads. But this problem is too vague for us to take any action on. We need to break it down into something more specific that we can address it meaningfully and we do this by identifying the NATURE OF the congestion and the CAUSES of it so we can plan for action to fix the problem. This involves doing preliminary research on questions like-

- where and when does the congestion occur? Is it linked to security checkpoints? Is it linked to other road barriers such as poorly coordinated traffic lights? What effects do these barriers have on the traffic?
- are there enough roads?
- does everybody want to go to the same place at the same time? Is there a bottleneck?
- are drivers causing the congestion by failing to obey the road rules and drive without licences?
- are the roads themselves a problem? Eg poorly maintained?
- how well is the public transport system working as a viable alternative to people using cars?

and many more questions! The nature of the problem **MUST BE FULLY UNDERSTOOD** before an effective policy can be prepared.

**IT IS IMPORTANT TO RECOGNIZE THAT** how we understand the problem will lead us towards identifying the focus and scope of a policy-

- **inadequate road network** (eg roads too narrow, not enough roads, poorly maintained roads etc) gives us a **policy focus on expanding the road network** through enhanced maintenance, widening and introducing new roads;
- **increased use of private cars** rather than public transport suggests problems with the public transport system, **giving us a policy focus on strengthening the public transport system** and encouraging people to use it;
- **poor driver practices and driver licensing**, suggests a **policy focus on reviewing the effectiveness of road rules and public obedience**;

- **security measures are inefficient,** suggests a policy focus on **introducing more efficient security measures.**
- perhaps a **combination of these**- and if so, what type of combination and how can it be achieved????

From this example, we can see how the policy definition can lead us to very different policies. **HOW A POLICY QUESTION IS DEFINED SHAPES THE POLICY ITSELF**.

Each of these problems also involve different public authorities becoming involved as lead agencies and 'internal stakeholders'. For example, if the reason for road congestion is regarded as a security issue, then the security forces will become very actively involved and perhaps manage the policy process, whereas the security forces will not have any role if the issue relates to an inadequate road network, which is more about road construction and maintenance.

We can also see how a policy that is focused on the wrong problem will fail to solve the problem it set out to address. **So identifying the problem properly by using as much empirical evidence as possible is vital and cannot be stressed enough.**

In each of the potential causes of the public policy problem (road congestion in Baghdad), we have different potential solutions and therefore different potential stakeholders. Preliminary research and discussions with stakeholders will help us to identify the problem and the focus of the public policy. THESE STEPS MUST BE DONE FIRST FOR US TO PROCEED WITH STAKEHOLDER MAPPING OF THE REAL PUBLIC POLICY PROBLEM.

**Slide 5 – Brainstorm a list of stakeholders**

To commence the mapping exercise, we brainstorm to identify as many stakeholders- individuals and organizations- that are interested in or affected by the policy problem.

This involves listing as many stakeholders you can think of-

**Internal stakeholders**

- Core ministries
- Line ministries
- Other relevant government organisations

**External stakeholders**

This list could take some time to generate because it will take some time to find the stakeholders, especially if you have not been in contact with them before. The best way to find them is to ask the stakeholders you do know who else is active or interested in the subject of the public policy problem. Depending on the public policy problem, you will need to look in the following types of categories-

- Other governments (local and regional governments)
- Private sector
- NGOs
- Community-based organisations
- International actors
- Funding agencies
- Individual opinion leaders
- Politicians and their blocs/parties
- etc

********WARNING********

**IT IS VERY IMPORTANT IS TO INCLUDE EVERY STAKEHOLDER AND NOT JUST THOSE ONES YOU LIKE TO WORK WITH.**

**NEVER EXCLUDE A STAKEHOLDER, EVEN IF THAT STAKEHOLDER IS DIFFICULT TO WORK WITH OR IF YOU THINK HE OR SHE IS AN IDIOT!!**

**EXCLUDING STAKEHOLDERS WILL DRAMATICALLY EXPAND THE CIRCLES OF KEY, ACTIVE AND ATTENTIVE STAKEHOLDERS, WILL CREATE CONFLICT AND CRITICISM ABOUT THE PROCESS, AND WILL FAIL TO IMPLEMENT THE PRINCIPLES OF GOOD GOVERNANCE. THIS IS ESPECIALLY THE CASE FOR THOSE STAKEHOLDERS WHO HAVE A LOT OF POWER AND INFLUENCE OVER THE PUBLIC POLICY ISSUE.**

**Slide 6 – Gather information about the stakeholders**

Find out about each stakeholders’-

- background information
- legitimacy
- resources
- power
- networks; and
- knowledge.

**Slide 7 - Background**

What is the stakeholder's background?  What is the stakeholder's interest in the issue?  How strong is their interest? Does the stakeholder have a direct or indirect interest in the subject? How active and passionate is the stakeholder? Would the stakeholder be a loser or winner in a policy about the problem? Would the stakeholder be supportive or resistant to change around the public policy problem?

**Slide 8 - Legitimacy**

What degree of legitimacy or authority does the stakeholder have in the public policy issue?  Eg do they represent a strong interest group that is active in the public policy problem? Do they have legal power or responsibilities in the policy problem. This especially applies to ministries in your government and to other governments in Iraq. How much support from other stakeholders does the stakeholder have?

**Slide 9 - Resources**

What resources does the stakeholder have that is relevant to the public policy problem? This includes- what skills (technical, political) and material resources (financial, infrastructure) does the stakeholder control that can be used to influence the policy problem or steer the outcome of a policy on the matter?

Some stakeholders may LACK resources, even though they may be profoundly affected by the policy problem. Women and other disadvantaged groups are a good example of this. Their lack of power and resources should also be recognized so action can be taken to assist them into a stronger position.

**Slide 10 - Power**

What power does the stakeholder have over the public policy problem? This is closely linked to questions of legitimacy, networks and resources. Power can come from formal or structured arrangements, such as a powerful position in government. It can also come from being a very influential community or business leader who can affect public opinion.

High power means that the stakeholder may be able to veto a public policy change that he or she is not supportive of. This must be noted!

Similarly, stakeholders with low power but who are significantly affected by the will are also important to note. We also noted this under 'resources' in the previous slide.  These are the people who are likely to be disadvantaged and have not found a voice to express their needs. The policy still needs to reflect their views and needs and often we need to find a way to help these stakeholders to find their voice.

**Slide 10 - Networks**

Who does the stakeholder influence? Eg what networks does the stakeholder operate in? These can be formal (such as business or NGO networking systems) or informal (such as strong friendships and alliances).

What is the nature of the stakeholders' influence? (eg political, technical, financial, moral).

How strong is the stakeholder's influence within the network/s? Is the stakeholder an 'opinion leader'? If so, whose opinion does the stakeholder influence? What impact does their influence have on the public policy problem and attitudes towards it?

**Slide 11 - Knowledge**

Knowledge is a very useful stakeholder characteristic to catalogue as well. What knowledge does the stakeholder have about the policy problem? Is it technical knowledge? Knowledge that we do not hold in the ministry? Knowledge that people 'on the ground' have about the public policy problem? Is the knowledge empirical or value based? Is there a lack of knowledge about the problem that can be met with better information to the stakeholder/s? What knowledge of the stakeholders do we need to have a complete understanding of the issue?

For example, in an agricultural policy, the ministry responsible for water will have essential knowledge that must be accessed in order to make sound policy recommendations. Think tanks on agriculture and the environment may also have useful knowledge from academic research. Farmers will be able to share local information about their own experiences on the topic. Each knowledge base is different and important. When we bring ALL of this knowledge together, we can better understand the problem and the possible solutions that will work best.

**Slide 12 - Note your findings in a table that looks like this-**

**DISTRIBUTE HANDOUT 3.2 STAKEHOLDER MAPPING- EARLY MARRIAGE**

This handout is an example of how to lay out the results of your research into the stakeholders.

Remember, it is only a snapshot of what you have found out now and things can change over time and as the public debates on the public policy problem progress with the policy development and implementation.

You will also find more stakeholders as you progress through the policy steps.

The information is good to identify who are the key stakeholders, who are active and who are attentive stakeholders.

**Slide 13 – Categorize the stakeholders in your list**

**Once we have a relatively comprehensive list, we can categorize the stakeholders into key, active and attentive groupings.**

ASK the participants to identify the internal stakeholders in the list who could form part of an inter-ministerial advisory group on early marriage- as key internal stakeholders

ANSWER- at least Ministry of Women and Higher Commission Human Rights, both of which have a mandate to work on the same issues. It is highly likely that other ministries, such as the ministry of Education and Health could also be invited.

Ask the participants which stakeholder/s on the list could be considered a 'key stakeholder'

ANSWER- the stakeholders with a high presence as opinion leaders and those who are actively involved in the subject should be considered. This would include YYY NGO, the Iman and the PM's wife. This may lead to some interesting outcomes! Consider, for example, how key stakeholders might meet together in an advisory committee. To arrange such a committee, you (or your minister perhaps) would need to negotiate whether these three stakeholders would wish to meet to discuss the issue, or whether an alternative process would be more appropriate. Whatever the engagement process, it is apparent that at least these three stakeholders hold the key to the issue as it is described in this document.

Ask the participants to name two 'active' stakeholders

Answer- UN Women and XX NGO appear to fit this criteria well

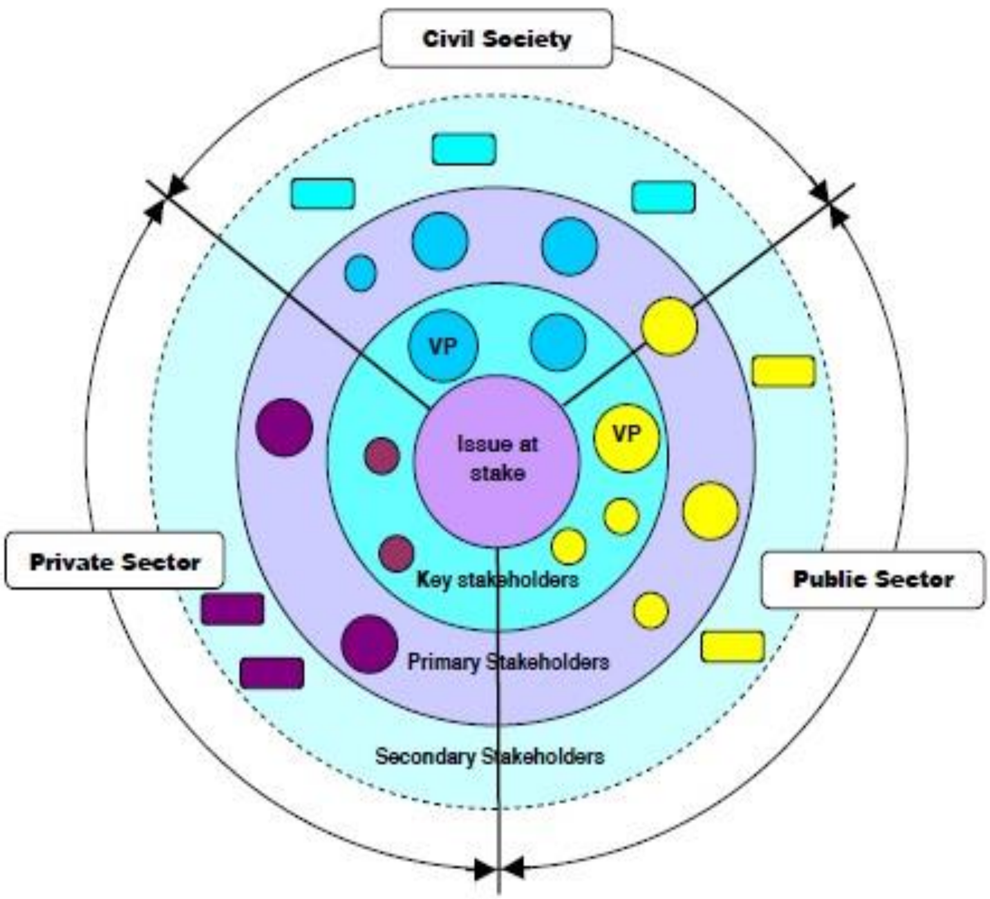
Ask the participants which stakeholders are likely to be 'attentive' stakeholders

Answer- ZZ NGO is likely to fit this category.

**Slide 13 – Map the stakeholders in a visual diagram**

Now put the stakeholders into their categories around the policy problem using the same circles we covered in workshop 3.1. In this way we can produce a useful visual map that describes how the stakeholders arrange themselves around an issue.

In this diagram, the ‘primary stakeholders’ are the actives and ‘secondary stakeholders’ are the attentives. It also divides the stakeholders roughly into the sectors of government (public sector), private sector and civil society (NGOs etc). Sometimes the practice of dividing these sectors into civil society and the private sector may be relevant to a public policy problem but other times they are not, such as in the early marriage example.




ref Swiss Agency for Development Cooperation. Tool 1: Stakeholder Analysis. Available at http://www.sdc-learningandnetworking.ch/en/Home/SDC_KM_Tools/Stakeholder_Analysis_and_Mapping

**Slide 14 – Map the relationships between the stakeholders**

Now we map the relationships between the stakeholders. This is a simple process of identifying who connects with who, who is in conflict with who etc.

DISTRIBUTE HANDOUT- stakeholder map example

The different types of lines represent different types of relationships-

- ‘Solid lines symbolise close relationships in terms of information exchange, frequency of contact, overlap of interests, coordination, and mutual trust.
- Dotted lines symbolise weak or informal relationships. The question mark is added where the nature of the relationship is not clear yet.
- Double lines symbolise coalitions, alliances and strong cooperation that are formalised contractually or institutionally.
- Arrows symbolise the direction of dominant relationships. This may also apply to solid, dotted or double lines.
- Lines crossed by a bolt of lightning symbolise relationships marked by tension, conflicting interests or other forms of conflict.
- Cross lines symbolise relationships that have been interrupted, damaged or broken’.

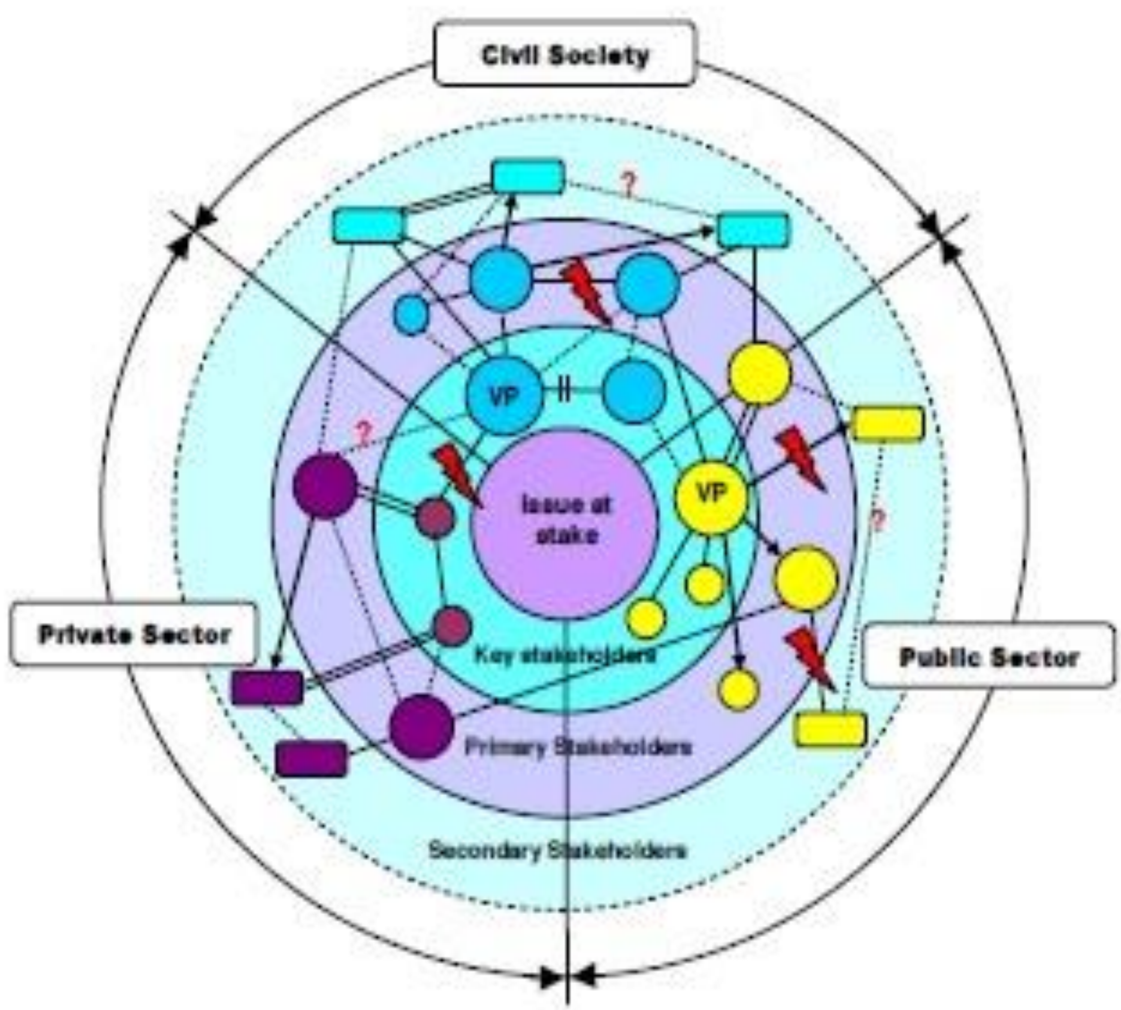
Swiss Agency for Development Cooperation. Tool 1: Stakeholder Analysis. Available at http://www.sdc-learningandnetworking.ch/en/Home/SDC_KM_Tools/Stakeholder_Analysis_and_Mapping

The lines are very useful because they give us a more complete visual representation about how the stakeholders interconnect, the strength and nature of their connections. It also shows how they clash.

From this map, we can also understand some of the behavioral principles we discussed about stakeholders in workshop 3.1- that the attentives and actives, for example, are often linked to each other as well as to the key stakeholders, so if something goes wrong with the stakeholder engagement strategy, they are likely to learn about it and to react, perhaps by expanding their circles and becoming more active.

The map also illustrates the networks very clearly and this is useful to know about, because the stakeholder engagement process may also wish to access these networks, using the key stakeholders (or others) as ‘door openers’.

Again, a warning. This is a ‘snapshot’. It is useful to revisit and revise the maps on a regular basis because stakeholders and the public policy problem are always dynamic, and are especially dynamic when it becomes the focus of a public policy process. Regular revision keeps the map relevant to your needs as a policy advisor.




ref Swiss Agency for Development Cooperation. Tool 1: Stakeholder Analysis. Available at http://www.sdc-learningandnetworking.ch/en/Home/SDC_KM_Tools/Stakeholder_Analysis_and_Mapping

**Slide 14 – Force field analysis**

One thing the stakeholder maps do not easily show is the strength of opposition to particular public policy problems and their proposed solutions. To visualize this, we can develop a force field analysis.

**Slide 15 – Force field analysis example**

This small example of a force field analysis identifies the stakeholders in support of a proposed policy to strengthen the legislation prohibiting early marriage and its administration. In reality, when you do a force field analysis it will be more comprehensive. The analysis shows the strength of support and opposition coming from the stakeholders by the size of the arrows, with small arrows signifying low support (or opposition), medium arrows showing medium support (or opposition) and larger arrows showing where the main impetus from the stakeholders exist either in support or opposition.

This helps us to see what the stakeholders think about the policy proposal, which supporters we can align with to to help us get the policy through and where our opposition will come from. By cross-referencing back to the previous stakeholder maps, we can also identify how the respective networks operate on the issue. For those stakeholders who strongly oppose a policy proposal, for example, we might be able to find influential people in their networks who are supportive of the proposal and who can help to modulate the opponent's views. As a policy officer, you would not generally be expected to negotiate at this level but you may be required to advise the minister/s about the issues and options about how they might proceed.

**Slide 15 – Key messages**

In this workshop, we have covered two practical tools for identifying, understanding our stakeholders who are active around a given public policy problem- stakeholder analysis and mapping, and force field analysis. These tools help you to identify the stakeholders within the stakeholder categories, illustrates how they network and the strength of their positions regarding the policy problem. From this map, you can easily identify which specific stakeholders need to be actively engaged as key stakeholders, which ones are likely to wish to be consulted as 'active' stakeholders, and which ones are likely to require targeted information as 'attentive' stakeholders.

Some things to note-

- Make sure you understand the policy problem before you start the mapping because the way you address it will shape the potential solutions and is likely to involve different stakeholders.
- The map needs to the regularly reviewed because stakeholders change over time
- Do not exclude stakeholders because you don't like them or because they might make your work more challenging.

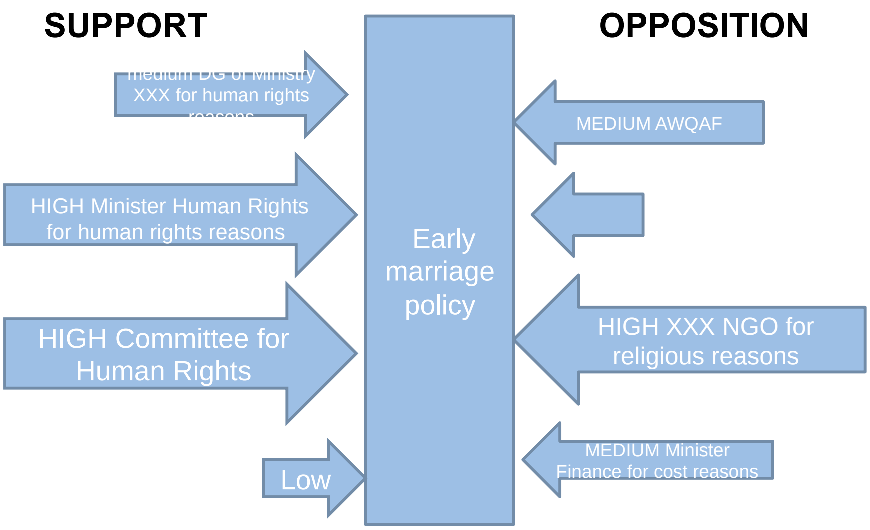
**EXAMPLE- STAKEHOLDER ANALYSIS USING ILLUSTRATION OF EARLY MARRIAGE ISSUE**

| Name | Background and position on policy problem | Legitimacy | Resources | Power | Networks | Knowledge |
|---|---|---|---|---|---|---|
| **Internal stakeholders** | | | | | | |
| **Ministry of Womens' Affairs** | Mandate to protect and promote the rights of women, interested to promote international standards | HIGH- line ministry with direct interest | MEDIUM | HIGH power in govt and community | Womens' groups X, Y, Z | High knowledge of political and technical aspects of the problem |
| **High Commission Human Rights** | Mandate to monitor human rights violations, including for women, interested to support international standards | HIGH- line ministry | HIGH | HIGH power within the govt | Women's groups | High knowledge of issues and its occurrence in Iraq |
| **Etc eg Ministry Education, Ministry Health** | etc | etc | etc | etc | etc | etc |
| **External stakeholders** | | | | | | |
| **XX Womens' NGO** | Strong interest in the problem as a human rights issue | LOW membership base, active only in xx region | LOW | MEDIUM | Networks into the wider NGO movements of XX and XX and XX | High knowledge of issues and its occurrence in the community |
| **YYY NGO** | Strong interest in the problem as a human rights issue | HIGH connections with broader community | LOW | HIGH influence with PM's wife, other NGO leaders and networks, | Brad networks into wider NO movements and government | HIGH knowledge of issues and capability to conduct research and outreach |

| | | | | | | |
|---|---|---|---|---|---|---|
| | | | | leading researcher in the topic | | |
| **ZZ NGO** | Interest in promoting girls' attendance at school | HIGH membership base, strong links with Ministry Education | LOW | HIGH | ? | Information about school attendance rates of girls |
| **UN Women** | Advocate for international conventions on early marriage | Medium | HIGH financial and | MEDIUM- links with XX Ministry and XXX NGOs | MEDIUM networks in Iraq, HIGH networks in the international community | Extensive knowledge base on issue |
| **PM's wife** | Personal interest in eliminating early marriage | HIGH legitimacy gained through networks into political, government and community | HIGH connections with the govt, internat agencies | HIGH opinion leader in broader community, linked with XX and YYY NGO groups | Strong links with NGO groups XX and XX as well as into government. Friends with the Minister of XX, married to the PM | HIGH knowledge on political aspects of the issue, able to source information from networks about the phenomena in Iraq |
| **XXX Iman** | Advocate for early marriage as a traditional/religious right | HIGH legitimacy from religious networks in XXX community | HIGH connections with religious community of XXX | HIGH, potential to veto any policy change through broad based opposition in XXX community | HIGH networking capability into XXX community, as well as close links with XX Imans | ??? |
| **etc** | etc | etc | etc | etc | etc | etc |

**Note- where there are question marks (?) are areas where you would need to find out more**

**For example- FORCE FIELD ANALYSIS FOR POLITICAL ACTORS**



## 3.2 HANDOUT – STAKEHOLDER MAP

Graphic elements:

Solid lines symbolise close relationships in terms of information exchange, frequency of contact, overlap of interests, coordination, and mutual trust.

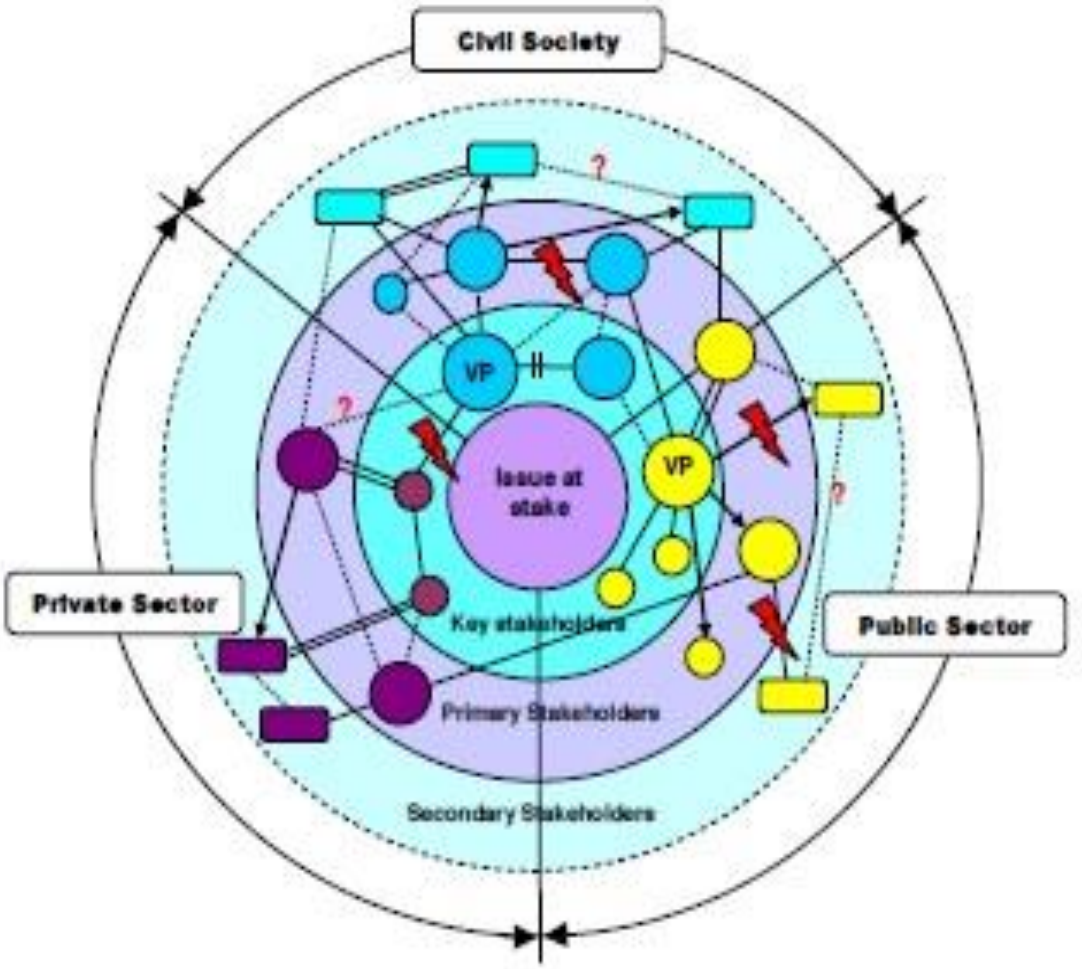
Dotted lines symbolise weak or informal relationships. The question mark is added where the nature of the relationship is not yet clear.

Double lines symbolise coalitions, alliances and strong cooperation that are formalised contractually or institutionally.

Arrows symbolise the direction of dominant relationships. This may also apply to solid, dotted or double lines.

Lines crossed by a bolt of lightning symbolise relationships marked by tension, conflicting interests or other forms of conflict.

Cross lines symbolise relationships that have been interrupted, damaged or broken.



Schweizerische Eidgenossenschaft
Confédération suisse
Confederazione Svizzera
Confederaziun svizra

Federal Department of Foreign Affairs FDFA
**Swiss Agency for Development and Cooperation SDC**
East Asia Division
**Focal Point and Network**
**Political Economy and Development PED Network**

# TOOL 1: STAKEHOLDER ANALYSIS

The stakeholder analysis allows us to identify and analyse the different parties that can make or break a reform programme in a specific context.

## 1. Background: Why stakeholder analysis?

A Stakeholder Analysis helps to identify actors relevant to the reform programme and to get to know their perceptions, interests and influence on policy.

Cooperation programmes face different realities. Each party involved has a **different perception and perspective**. Persons act upon their world, and change it. When changing it, they are in turn changed by the consequences of their action. In the course of action, they invent an environment that is either conducive or hostile to them; they seek to legitimize their economic and social advantage, they admire or demonise events and other actors.

Actors[1] have different interests and are affected by a (policy) reform in different ways. Due to their different interests and relationships, they adopt different positions towards the reform objectives. A development cooperation project or a policy reform structures the constellation of actors by focusing on the specific issues at stake. It offers new opportunities, opens up access to new knowledge and creates incentives to intentionally, pursue balanced, socially just and peaceful development, as well as other often unintended and undeclared objectives.

Development cooperation projects are **joint ventures**[2] of actors with different interests, more or less organized and able to voice their interest. Reforms are negotiated, planned, implemented and steered by a large number of actors. The actors form a mobile system of mutual relationships and social and economic dependencies. They act on the basis of the roles and expectations ascribed to them, their influence and their resources, and adopt a supportive or a suppressive attitude toward a policy reform. In view of a proposed reform, they take a stand – opposing, neutral or in favour of the reform. They may become losers or winners. In a nutshell, a stakeholder analysis makes us more sensitive to different perceptions and expectations, power relations and exclusion.

During the course of cooperation, relations, power, influence, access to resources and cultural orientations are **changing**. Their action strategies are determined not only by interests, cultural orientations and the knowledge which they possess, but also by how they experience and interpret their relationships with other actors, and whether they are able to influence and shape the reform at stake. Aspects that can be precisely measured and quantified form only one part of the reality of the participating actors. This reality also includes powerful desires and interests, world views and inner drives. This powerful, purely psychological part of the actors' motivation can only be explored through interpersonal encounter and through continuous personal exchange with the actors.

[1] The notion of *actor* is used to refer to all collective public and private groups within a society which are linked by their respective shared needs and values, and act publicly as organised groups. The term "stakeholder" is applied to those actors who hold a vested interest in a project or a reform.

[2] The term *joint venture* covers various forms of cooperation between actors: exchange of information, coordination, strategic alliances, working groups, networks and co-productions. These organisational arrangements take into account the diversity of the actors as well as their potentials.

Policy reforms lead to **shifts in power**. Social change processes always involve changes in the roles of and relationships among the actors, as well as political, economic and social change and gender specific shifts in power relations. Reform programmes are an intervention into existing social structures and processes, and these interventions change individual actors, their access to resources, their mutual relationships, and the social relationships, cultural orientations and institutions that are key to their behaviour.

A profound understanding of the actors and their interests, goals and relationships is therefore absolutely crucial for planning and steering these reforms. This knowledge is also needed to prevent projects from serving **particular interests** of individual actors, or even exacerbating potentially violent conflicts. Constructively influencing social change calls for conflict-sensitive management. The Do-no-Harm principle, a leading approach for conflict prevention[3], is particularly sensitive to whether projects are likely to help resolve, or may inadvertently polarise, a conflict situation. From a management perspective, however, the actors' different interests, tensions and conflicts do indeed constitute a relevant area of work for the strategic development, planning and steering of development cooperation programmes and policy reforms.

Stakeholder analysis is a **basic planning and management tool** that contributes to project design and policy reform by helping to identify and analyse the stakeholders involved and their interrelations. Stakeholder analysis is the backbone of a cooperation strategy: it shapes a solid base for understanding the political economy of reforms and helps to evidence who are the real beneficiaries of a specific reform. It sets the domain of people, groups and organizations (including donors) whose interests and influence on policy should be taken into account when conducting the impact analysis for a particular policy. The basic output is the identification and description of actors that a policy is explicitly designed to help, as well as those whose involvement – or at least assent – is required to make policy work. The identification process disaggregates these actors in terms of socio-economic and political characteristics.

**Stakeholder analysis is a must**. You want to know the interest groups, organisations and persons affected: they may help you or block your way. The analysis should be used as an integrated tool along the Programme cycle; it should be reviewed and repeated because the best-fit set of actors to work with can and will change according to the dynamics of the project and the policy reform. However, every situation is different: browse this paper to get some ideas for answers in your context. Contact the PED Network to get further references and if you want to share experience, at www.sdcpoliticaleconomy.ch

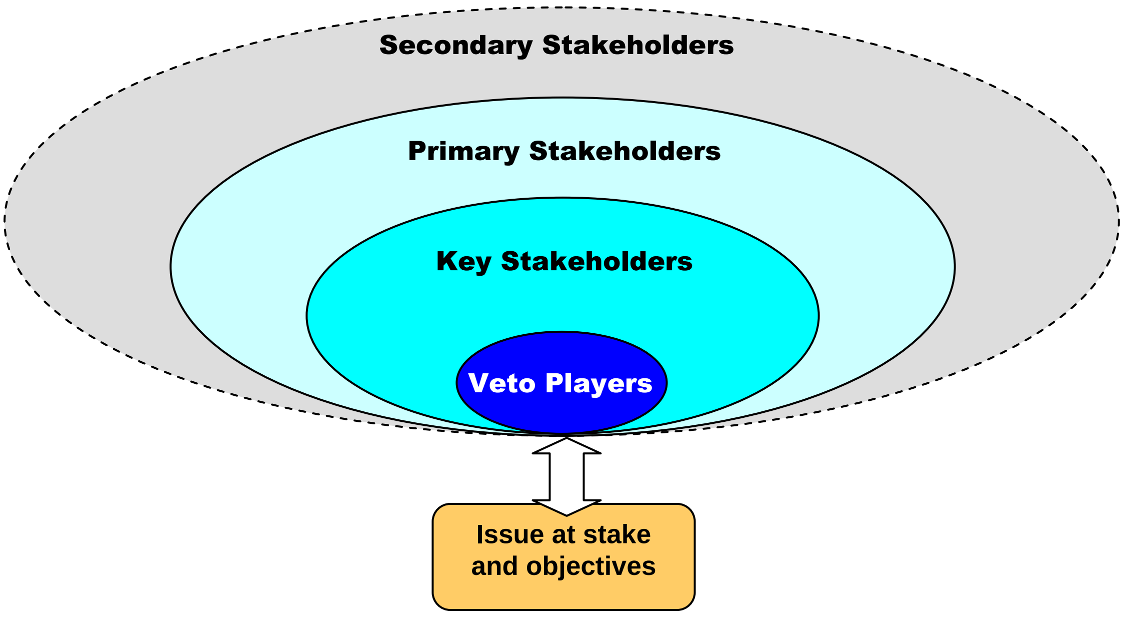
**The PED Basic Tools can be used both as a tool for internal SDC reflection and a common reflection tools with the intended beneficiaries of a reform and other actors**. The issue of participation in the reflection process is obviously a core issue that has to be addressed from the on-set. Given the complexities and specificities of the environments in which SDC operates, the Tools do no specifically name the various stakeholders that would exist in these settings, such as reform beneficiaries, political actors, other donors and international organizations. You should determine which participant mix you wish; keep in mind that particularly with poor and disadvantaged beneficiaries, this might be an important step towards an own capacity to voice opinions and arguments (i.e. a combination of an advocacy and an empowerment strategy).

[3] The overarching Do-no-Harm principle distinguishes two groups of governmental and non-governmental actors in this context: connectors and dividers. Cooperation can take place with both groups. But it must meet the minimum requirement that the connecting elements be strengthened and the dividing elements reduced.

## 2. Who are the stakeholders?

Every cooperation programme interacts with different stakeholders that form the social and economic programme environment. Various actors are either directly involved with or are indirectly influencing the programme or policy reform through their position or their specific resources. Actors who hold at least a potential stake[4] in a project or reform and its change objective[5] are usually termed *stakeholders*. The concerned actors wish to protect these interests and avoid losing them at all cost. The material resources, social position and knowledge of these stakeholders make them particularly potent, which enables them to wield significant influence over the design, planning and implementation of the reform project.

The term *primary stakeholders* is usually applied to those actors who are directly affected by the project, either as designated project beneficiaries, or because they stand to gain – or lose – power, economic resources and privilege, or because they are negatively affected by the project in some other way, for instance if they have to be resettled.




*Secondary stakeholders* are actors whose involvement in the programme is only indirect or temporary, as is the case – for instance – with intermediary service organisations. Actors – rich and poor, men and women, young and older people - who are able to use their voice, skills, knowledge or position of power to significantly exercise influence on a reform are termed *key stakeholders*. Key stakeholders are those actors without whose support and participation the targeted results of a programme normally cannot be achieved, or who may even be able to veto the programme, in which case they are termed *veto players*.

[4] The general issues at stake are usually closely related to a particular sector or theme such as watershed management, public financial management or participatory budget planning.
[5] The core issues at stake are circumscribed and defined by the "change objective", which is a target to be achieved in the medium term that is interpreted and judged differently by different actors.

The stronger and more influential an actor is, the more this actor will tend to see himself or herself as the sole actor, or may seek to speak on behalf of, or exclude, other actors. In the process of negotiating the issues at stake, actors not only position themselves through their resources and power or by competing with other actors, but also reveal their interest in influencing the participation of other actors. Shaping participation is part of the negotiation game.

## 3. How to do it?

### 3.1 Focus: No rocket science. Everybody can do it. Everybody should do it.

To become aware of the different actors likely to have an influence on the issue at stake, you can map out the relevant actors (both organisations as well as key persons) and identify the different kinds of stakeholders and their inter-relations. Interdependent stakeholders shape a so-called policy network.[6]

**Stakeholder mapping** is the best-fit tool for a stakeholder analysis. The mapping provides an overview of the stakeholder landscape. It visualizes people and organisations likely to have an influence on the planned reform. It maps out the relevant stakeholders and identifies the different kinds of stakeholders as well as their interrelations. This helps us

- to get valuable information that can be used for strategic programme planning
- to identify relevant stakeholders
- to get important hints about which actors we do not have enough information on or that have not been considered by the proposed reform so far
- to get important hints about the actors not analyzed enough or that have not been considered so far (blind spots)
- to understand which actors are not involved, i.e. excluded from the benefits of the reform
- to see potential cooperation partners that are disadvantaged, excluded, marginalised and discriminated and therefore need to be empowered
- to draw basic conclusions about relations and alliances as well as power imbalances and potential conflicts among the various players
- to make first assumptions and formulate impact hypothesis about the influence certain actors have on the proposed reform
- to produce valuable information on how to shape participation in policy negotiation and public debate on reforms

[6] The notion of *policy networks* is key to the management of reforms. Most theories on politics and reforms rely on the concept of policy networks as a decision-making mode on new polities, politics and policies. The concept draws the attention to the importance of interested actors that shape a political negotiation process leading to agreements on institutions, rules, regulations and common standards. It stems from the working hypothesis that new policies emerge from a negotiation process that is shaped and influenced by different stakeholders and relies on three basic assumptions: (1) Political reforms are a structured and dynamic fabric of interaction among different, but interdependent stakeholders with different background, perceptions, power resources and interests. (2) Policy networks embrace various public and private corporate actors (public authorities, associations, interest groups, social movements, enterprises, political parties, local authorities, parliaments, etc.). These actors are interdependent, but autonomous. They are autonomous in the sense that they can play out their interests in the policy negotiation process through power, influence and alliances. They are interdependent, because they cannot achieve their own goals on their own, but depend on the perception, viewpoints, power, willingness and influence of other stakeholders. (3) Policy networks are created and shaped by the stakeholders themselves, who are bound by their interest to influence the negotiation process, e.g. by structuring the agenda, regulating participation or access to new knowledge. They develop a more or less horizontal structure, and their basic steering mechanism is the negotiation process.

Stakeholder analysis is a prerequisite for result-oriented cooperation. While stakeholder maps can be established out for any type of reform, they are particularly helpful for structural and sector policy reforms. Basic stakeholder analysis should precede the reform design and should be consistently deepened as reform elements are finalized.

A stakeholder map is produced by identifying and visualising the relevant actors and their relationships. It allows first conclusions and hypotheses to be formulated concerning the respective influence of the various actors on the issues at stake in the programme, and concerning relationships and mutual dependencies. The map sheds light on alliances and problematic relationships. Discussion of the stakeholder map can be used to help formulate strategic options and actor-specific hypotheses.

The stakeholder map usually also exposes information gaps and participation deficits (blank spots). It points out the actors and the relationships between actors we know too little or nothing at all about, where we need to obtain further information, and which actors we must involve in the project. The stakeholder map also corrects premature assumptions concerning individual actors and the relationships between them. Seen in the context of other actors, supposedly important actors become less significant and apparently insignificant actors move centre stage.

## 3.2 How to proceed: 7 steps that boost your reform project

### STEP 1: Define the scope of the mapping

- Form a small, well-performing and interdisciplinary **working group**
- To prepare an accurate stakeholder map be aware of the three entry tasks:

**Be clear about the issue of the mapping**
To limit the number of actors appearing on the map, the mapping should be based on a clearly defined issue.
→ Guiding question: What is the issue at stake and what is the change objective?

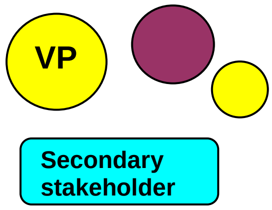
**Define time and periodicity**
Actors build a dynamic and interdependent network of relations that can evolve quickly. Hence, the moment actor’s relations are analysed does matter.
→ Guiding question: When do we draw up the stakeholder map, and when does it need to be updated?

**Take into account different perspectives and perceptions**
Each actor has his/her own perspective and perception, thus each actor acts upon his own mental map of the other actors and makes assumptions about their behaviour. A stakeholder map reflects only the perspective of the ones drawing up the map.
→ Guiding question: Whom do we wish to involve in drawing up the stakeholder map? Which stakeholder maps shall we compare with each other?

**STEP 2: Identify the relevant actors and set up their basic profile**

First of all, it is necessary to identify and list all the actors relevant to the programme or to the proposed policy reform.

Graphic elements:




Key and primary stakeholders are represented by circles, secondary stakeholders by rectangles.
The bigger the circle, the bigger the influence of the actor in the issue at stake. Circles with the letters VP stand for veto players, meaning that these stakeholders may have the power resources to seriously hinder or block the proposed reform.

To get a detailed overview of the different actors, we can draw up profiles of all relevant actors, applying the method of the 4 A's:

**Actor**: What is the actor's name, what is his function?
**Agenda**: What is the actor's mandate, what is his mission?
**Arena:** In what field is the actor active, where is he present?
**Alliances:** With which other actors is the actor allied, how is he interconnected?

Answering these questions allows us to make a first statement regarding the relative importance of certain actors for the programme. Alliances between actors become visible and we get a first indication of the dynamics of the stakeholder landscape.

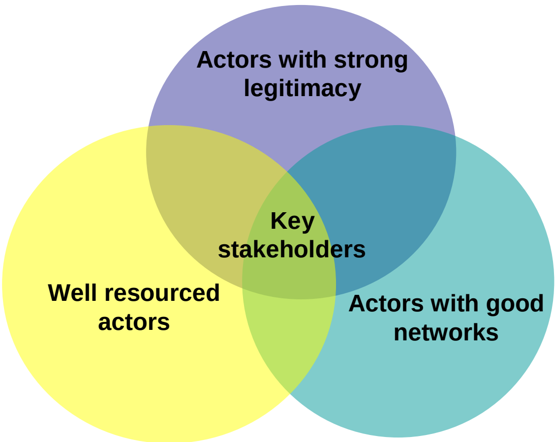
| **Actor**<br>Name, function | **Agenda**<br>Mandate / mission, strategic objectives | **Arena**<br>Field of action, outreach | **Alliances**<br>Relations with other actors according to ABCD[7] |
|---|---|---|---|
| Actor 1 | | | |
| Actor 2 | | | |
| Actor 3 | | | |
| Actor n | | | |

[7] A: Institutionalised relation, B: Regular exchange of information, C: Coordinated activities, D: Co-production using joint resources.

**STEP 3: Identify key stakeholders**

The listed actors should then each be assigned to one of three groups, namely key stakeholders, primary stakeholders and secondary stakeholders. To narrow down the number of key stakeholders further, it is helpful to differentiate between **three core attributes or features** that are crucial for holding a key position regarding the issue at stake:

**(A) Legitimacy:** Institutional position of the key stakeholder, ascribed or acquired rights that are – for instance – underpinned by the law, the institutional mandate and public approval, loyalty of other social groups, and are considered legitimate. This also includes key stakeholders without whose explicit approval the proposed reform would be inconceivable. These veto players can create key impetus and scope, or can obstruct the reform.
**(B) Resources:** Knowledge, expertise, skills and material resources that enable the key stakeholder to significantly influence the issues at stake and the change objective, or to steer and control access to these resources. This is also linked to the question of whether the key stakeholder disposes of the necessary resources.
**(C) Networks:** Number and strength of relationships with other actors who are obligated to, or are dependent on, the key stakeholder. Key stakeholders are usually well-connected, i.e. they have a large number of institutionally formalised and of informal relationships with other actors. Key stakeholders therefore wield significant influence on the participation of other actors, structuring some decisions as to whether certain actors will be included or excluded.




You may also use the following table to identify and characterize key stakeholders.

| Potential key stakeholders | **Legitimacy** Does the actor hold an influential institutional position with strong legitimacy? | **Resources** Does the actor dispose of specific material and immaterial resources that allow him to shape the issue at stake? | **Network** Is the actor well interconnected with other influential actors? | Key stakeholder, **yes or no**? |
|---|---|---|---|---|
| **Actor x** | ☑ | | | Needs to be clarified |

| | | | | |
|---|---|---|---|---|
| **Actor y** | | ☑ | ☑ | YES |
| **Actor z** | ☑ | ☑ | ☑ | YES |

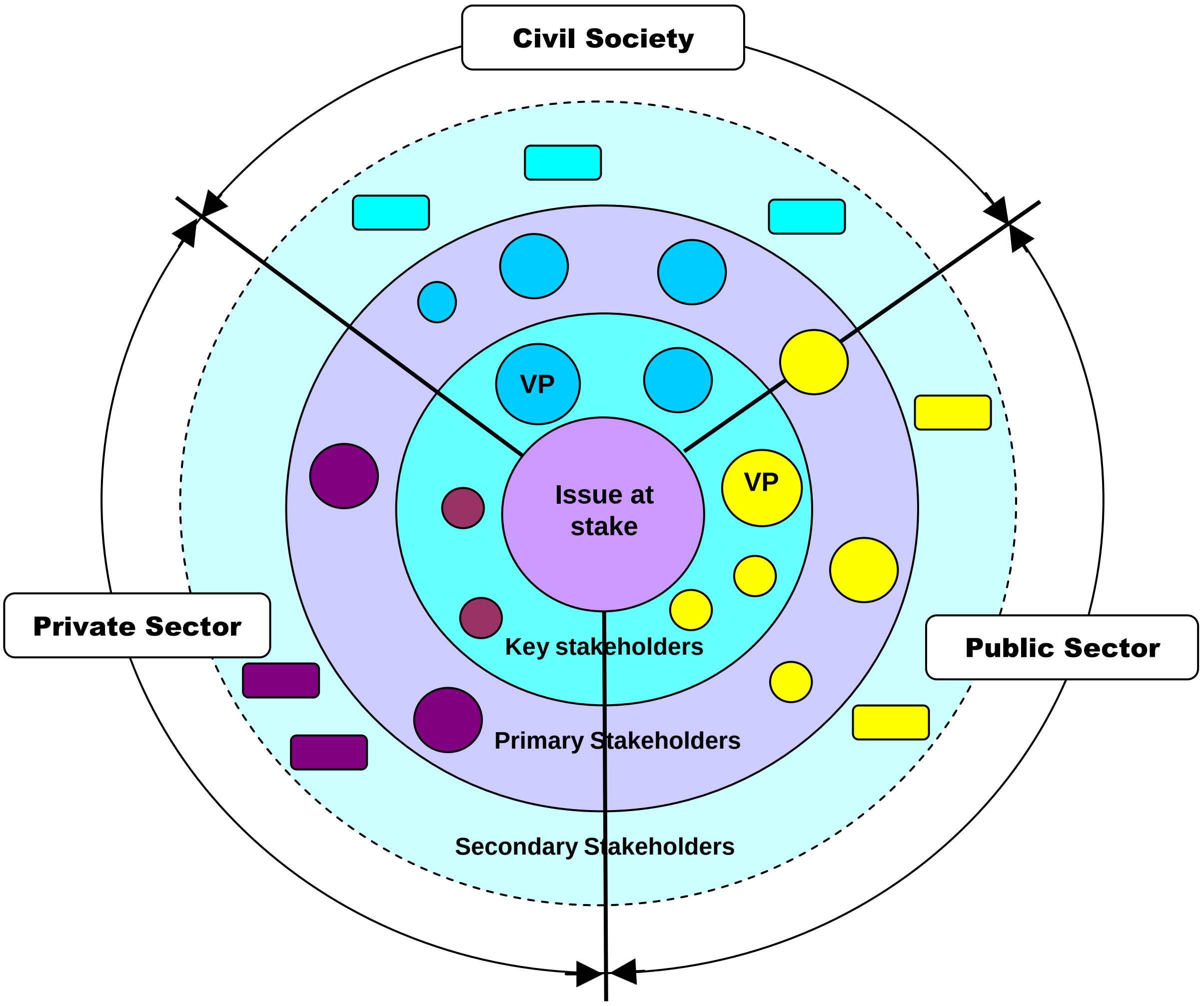
The interests of the key stakeholders are usually not entirely congruent with the proposed reform or with the change objective. This is only natural, bearing in mind the fact that a proposed reform is of an innovative nature. Any change will also generate responses of reserve and resistance. The actors notice the dissonance between their interests and the proposed change objective at the latest when they are called upon to depart from familiar paths and learn new approaches. This can create tacit or explicit resistance in various forms: reserve, sceptical aloofness, objection or openly organised resistance against the targeted changes.

Actors can only learn from resistance if that resistance is made explicit, so that it can be addressed. The possible motives for resistance are manifold, and are closely linked to the change management process. Actors' self-interest and fears (e.g., of losing power) are reinforced by values that have long remained stable or by the mistrust of other actors. Unclear or poorly transparent information concerning the project also reinforces resistance. If the resistance remains based on (tacit) assumptions or speculation, because it cannot be expressed or is not taken seriously, then it will also increase. And what begins as verbal assent may, in the course of the project, turn into reserve or even resistance.

To prevent a desired reform project from being vetoed, it is necessary to understand the interests of the actors. Once the perspective of the key stakeholders is understood, it is possible to alleviate feelings of uncertainty and address the resistance early on, so as to create a negotiation-oriented open climate for the desired reforms. The varying degrees of congruence with the change objective affect the project, and wherever possible should be taken into account early on in the selection of strategic options.

**STEP 4: Put in the stakeholders**

To create the stakeholder map that will yield useful information, it is important to include all important key actors, without overloading the graphic with too many cards. Use cards in different colours (*metaplan technique*) and place them according to their basic characteristic to civil society, private or public sector.



**STEP 5: Be aware of the gender trap in stakeholder analysis**

First, check the following five assumptions:

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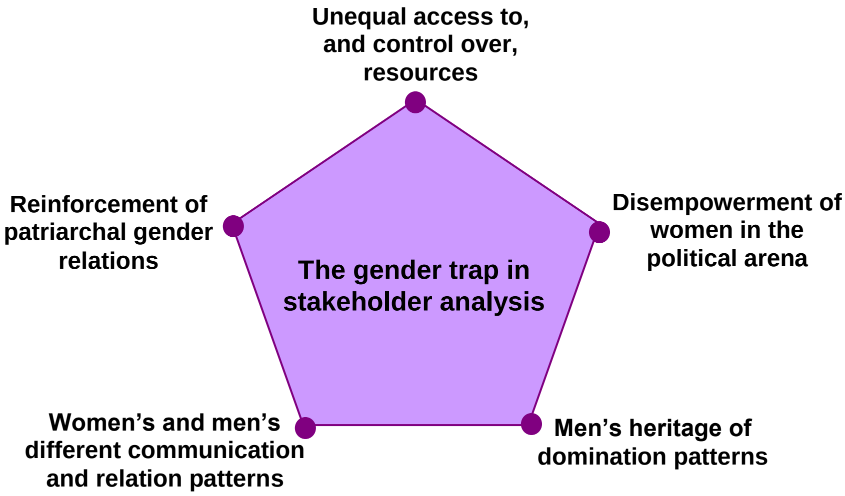



It is common sense that every reform programme should be carried out in a gender-sensitive way. Thus, we have to ensure that the specific needs and interests of women and men are considered in the stakeholder analysis. A gender-sensitive stakeholder analysis takes into account the following issues:

- **Unequal access to, and control over, resources**
  Access to, and control over, resources[8] largely depends on the existing distribution of economic and political power and is defined according to various exclusion criteria. One of these exclusion criteria is gender: the rights of access to resources, voice and informed participation often discriminate against women.
- **Disempowerment of women in the political arena**
  The denial of access to, and control over, resources form a barrier that may especially hinder women from participating in the social, political and commercial life of their community. This exclusion prevents women from participating in informal and formal policy negotiations. Political participation of women can contribute significantly to the maintenance and promotion of social welfare, equality, peace and security. Without an explicit gender focus, cooperation programmes may fail to gain from women's contributions – both formal and informal – to the development of their societies.
- **Men's heritage of domination patterns**
  Due to education and over-arching value systems, men may be bound to attitudes and behavioural patterns that lead to domination and violence against women and men. In specific circumstances these patterns are even reinforced by the gender dynamics and expectations of women.
- **Women's and men's different communication and relation patterns**
  Research evidence indicates that women and men communicate and shape social relationship in different ways in a given cultural context. Cooperation programmes tend to

[8] The term *resources* refers to both material and non-material resources. Material ones are financial resources and surpluses or access to basic services; non-material are recognition, negotiation capacity, opportunities, voice, participation and rights, among others.

ignore such differences because of time pressure, and by standardizing their procedures and aligning them to "international principles of cooperation" that impede gender-sensitive ways of doing things.

- **Reinforcement of patriarchal gender relations** through cooperation programmes
  As a matter of fact, the common pattern of policy reforms is dominated by patriarchal gender relations, even when declarations and gender mainstreaming efforts advise a different way of thinking. Up to now, only a few women occupy executive positions in national and international institutions that are engaged in policy reforms. Gender inequalities are also reflected by using the women and female children work force at low price and not recognizing their unpaid care work. The most common and strong expression of patriarchal gender relations is the ignorance or denial of women as victims of violence and exclusion.

<u>Second, complete and differentiate the stakeholder map by using the following guiding questions[9]:</u>

- How do we find out about the stakeholder's position considering gender issues?
- Do we have a clear picture about the experience in gender issues of the stakeholders involved in the reform programme?
- Can we make the gender issue visible by differentiating between men and women?
- Do we take into account the cultural heritage of gender profiles?
- Do we spot specific stakeholders that are hindered from participating in the social, commercial and political life of their communities and in public debate?
- To what extent are the stakeholders able to address gender issues in a comprehensive way that incorporates men and women equally into policy making?
- How would the stakeholder map look if we draw the actors in regard to their gender-sensitivity?
- Do we spot stakeholders that are particularly opposed to / open to gender issues?

**STEP 6: Visualise the relationships between stakeholders**

The stakeholder map helps us to analyse the relations between different stakeholders. Such relations can take the form of alliances and enduring cooperation; they can also indicate tension and conflict. Knowing who is in relation with whom prevents the future cooperation from unintentionally fuelling existing conflicts by favouring one side over the other. Identifying coalitions or alliances between stakeholders gives us indications about already existing ties that can be built upon.

Finally, to make things clearer, the various graphic elements can be arranged so that the stakeholder map is easy to read. The stakeholder map might – for instance – look like one of the two examples shown in the graphics below.

[9] Further guiding gender questions dealing with the reform process and impact are to be found in the PED Basic Tools 2 and 3.

<u>Graphic elements</u>:

Solid lines symbolise close relationships in terms of information exchange, frequency of contact, overlap of interests, coordination, and mutual trust.

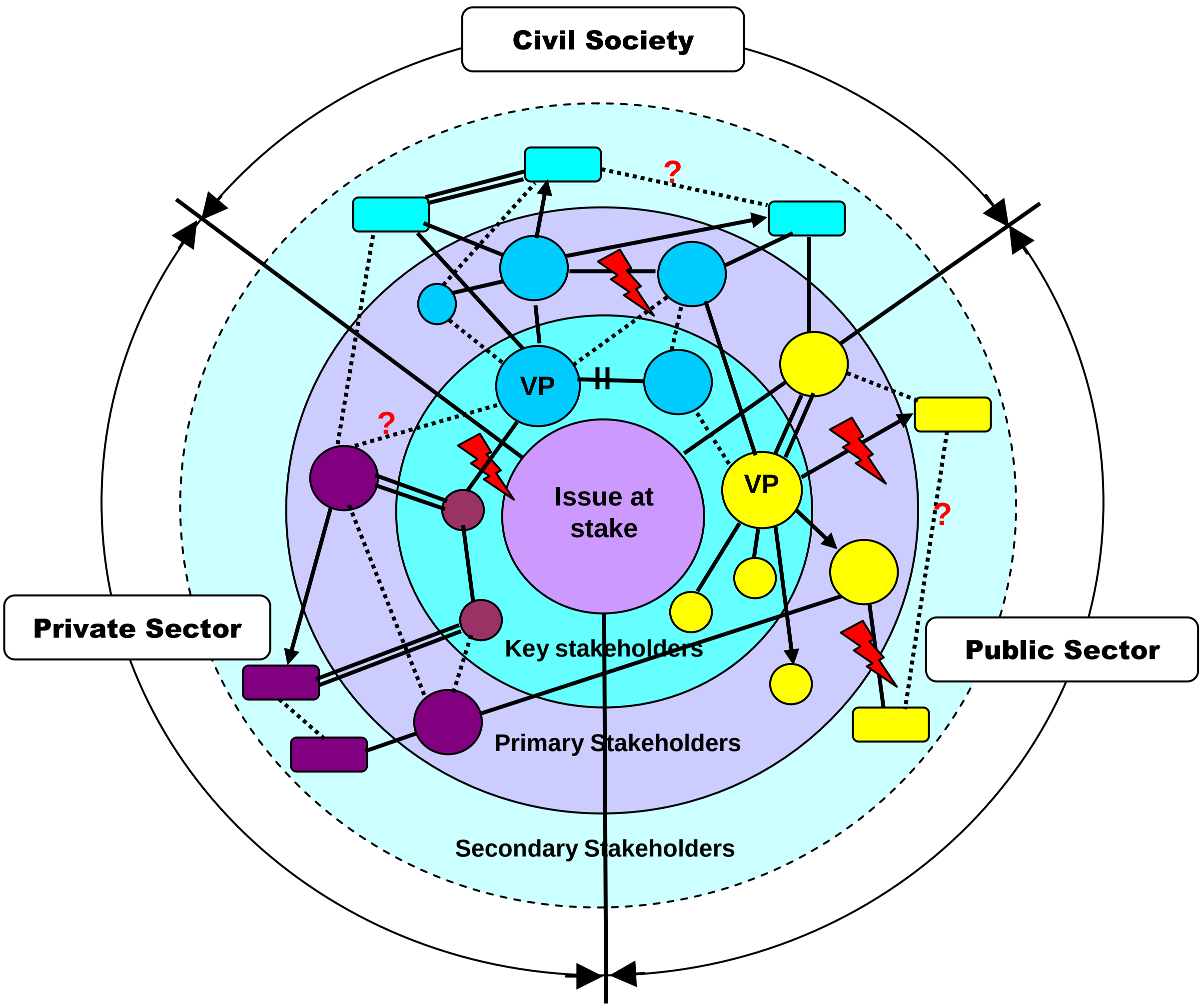
Dotted lines symbolise weak or informal relationships. The question mark is added where the nature of the relationship is not yet clear.

Double lines symbolise coalitions, alliances and strong cooperation that are formalised contractually or institutionally.

Arrows symbolise the direction of dominant relationships. This may also apply to solid, dotted or double lines.

Lines crossed by a bolt of lightning symbolise relationships marked by tension, conflicting interests or other forms of conflict.

Cross lines symbolise relationships that have been interrupted, damaged or broken.



**STEP 7: Share and discuss the stakeholder map with different stakeholders**

In a next step, a joint discussion of the stakeholder map as captured by the graphic above can

- help identify commonalities between the stakeholders, for instance stakeholders of the central government administration who in a decentralisation process would see themselves as standing to lose legitimacy and influence.
- open space for further strategic options of reforms.
- enable planners to address and work through the conflict of objectives with the key stakeholders early on. In the case of a decentralisation process this could mean, for instance, broadening their mandate to include new tasks of regulation, supervision and support of municipalities.
- anticipate possible tensions and conflicts among stakeholders in a timely manner.
- build up and strengthen compliance with change objectives and as well as the commitment of the stakeholders.

When sharing and discussing a stakeholder map, be aware that stakeholders construct their own social reality on the basis of their own life experience, expectations and perspectives. Policy reform cannot assume that they are dealing with objectively verifiable problems. The various actors see and interpret these situations differently. Planning and implementation must therefore take into account the different perspectives and interests of the participating actors. Furthermore, the specific discourse on problems and deficits often obscures our vision for potentials. Joint ventures are based on identifying potentials as well as opportunities to change things. To engage with the potentials and change dynamics of the actors, projects need to create scope for dialogue and negotiation. This perspective enables us to perceive and understand the various discourses of the stakeholders and to address – together with those – the issues that are important to them. These discourses reflect their knowledge of the issues, their willingness to change, the cultural orientations, prevailing norms, preferences and power relations. The discourses consolidate their identity, and at the same time differentiate them from other actors. They remind us that reality is perceived and shaped through actor-specific semantics.

# How to design a stakeholder engagement strategy

3.3 Working with stakeholders

# Workshop objectives

In the previous two workshops we looked at how to classify stakeholders according to their engagement needs (participation, consultation, information). We also learned how to identify and classify stakeholders for specific policy problems.

In this workshop, we will learn how to design a stakeholder engagement plan that meets the specific needs of a policy problem as well as the needs of the stakeholders.

# Engagement objectives

What are the different objectives can we have to engage stakeholders?

- Good governance
- Information
- Education
- Relationship-building

What do each of these objectives mean?

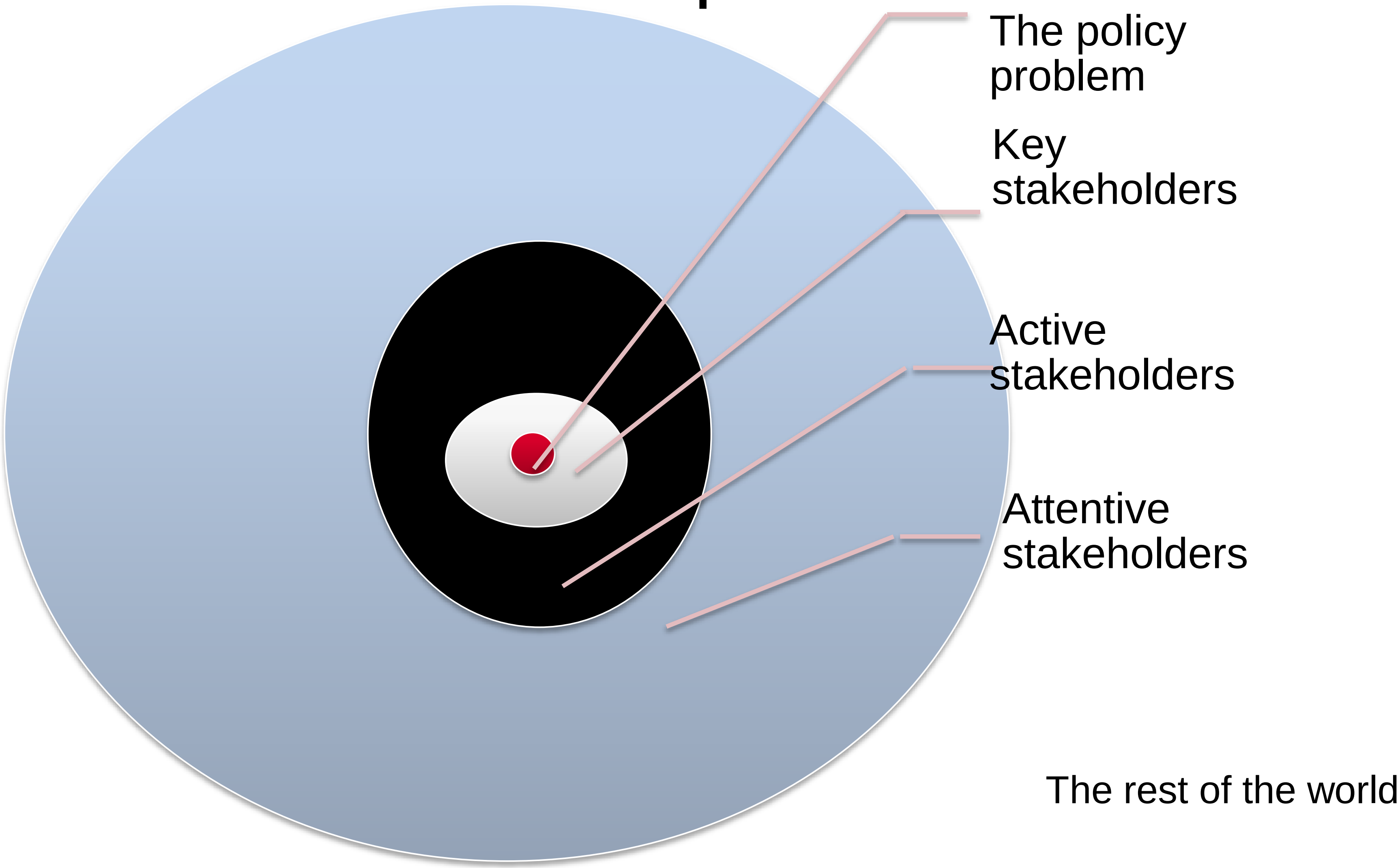
# Planning stakeholder engagement

Consider-

- When?- align with the policy steps involving stakeholders
- Why?- identify the key objectives
- Which stakeholders?- Identify the categories to be engaged
- How? – Identify the method of engagement

We will use an example of a substantial policy with many internal and external stakeholders

# Our stakeholders in this example



# Phase 1- Preliminary research and consultation (policy step 1.3)

Establish the dimensions of a policy problem and carefully researching and identifying the causes.

WHY?

WHO?

HOW?

# Phase 1- Problem/solution tree (policy step 1.4)

The problem/solution tree can also be developed with key stakeholders. This helps to build a shared understanding of the policy problem, as well as shared vision for how it might be addressed.

- WHY?
- WHO?
- HOW?

# Present the information in a table

| Issue entification | | Internal key | External key | Actives | Attentives |
|---|---|---|---|---|---|
| 3 Prelim search on uses of oblem | Collect information to scope the policy | Inter-ministerial steering committee, meeting weekly, informal meetings with staff of the ministry and other relevant ministries | Informal meetings between the period XXX (date) and YYY (date) | Press release about the government's interest to consider a policy. | |
| 4 Problem ıd solution ɛe to tablish ṡion, inciples, ıjectives, ope etc | Explore understandi ng of the problem and its potential solutions | A series of (say, 5) joint internal and external key stakeholder workshops to develop problem/solution trees, vision and principles followed up by one joint workshop with representatives from each of the 5 workshops to integrate this information into one tree.<br><br>Expected dates/timelines- XXXXX | | N/A | N/A |

# Phase 2 Policy office planning and set-up- stakeholder analysis and mapping

- With a proposed vision, principles, goals, objectives and scope we can better identify who are the broader stakeholders affected by the policy problem as we have defined it.
- Is the policy problem big, medium or small? Who are the stakeholders and their categories?
- Its time to develop the strategy at this point!
- Negotiate your strategy with the key stakeholders in informal meetings to discuss

# Phase 2 strategy example

| EP | WHY? | ENGAGEMENT | | | |
|---|---|---|---|---|---|
| Policy fice anning and t up | | **Internal key** | **External key** | **Actives** | **Attentives** |
| **opose akeholder gagement ategy to y akeholders** | Feedback about what will work for them | Informal meetings | Informal meetings | | |
| 5 Establish rmal gagement rangements | Relationship building with internal and external stakeholders | Inter-ministerial steering committee, meeting weekly, informal meetings with staff of the ministry and other relevant ministries | External stakeholder advisory committee, meeting between the period XXX (date) and YYY (date) | Announcement of policy process and invitation to those interested to become involved in consultation, register their interests etc | Press release about the issues, processes and the policy scope. |

## Phase 3- Policy analysis

WHY, WHO HOW FOR EACH OF THE STEPS -

1. Identify criteria;
2. Research and prepare a baseline study;
3. Brainstorm and research the options;
4. Consider all the angles to identify the best one or ones to propose to solve the public policy problem that meets the criteria.

# Phase 3 strategy example

| EP | WHY? | ENGAGEMENT | | | |
|---|---|---|---|---|---|
| **Policy alysis** | | **Internal key** | **External key** | **Actives** | **Attentives** |
| 1 Establish teria | Good governance- inclusive, transparent, open government | Inter-ministerial steering committee comments on the proposed criteria developed by policy office | Stakeholder advisory committee comments on the proposed criteria developed by policy office | | |
| **2 Collect ta for seline study** | Gather information | Meetings with, and data collection from relevant officers | Meetings with, and data collection from relevant stakeholders | | |
| **3 ainstorm tions** | Good governance- inclusive, transparent, open government | Inter-ministerial steering committee | Stakeholder advisory committee in workshop/s | | |

# Phase 4- Formal external consultation

- Once the policy proposal is formulated, it is time to release the proposal to the broader active stakeholder community.

WHY? WHO? HOW?

# Phase 4 Strategy example

| EP | WHY? | ENGAGEMENT | | | |
|---|---|---|---|---|---|
| Formal ternal akeholder nsultation | | Internal key | External key | Actives | Attentives |
| | Inform stakeholders of the policy proposal<br><br>Gain formal feedback on feasibility and acceptability of the proposal. | | A **conference** on XX date with major key and active stakeholders to release the baseline study and a public discussion paper on issues and options<br><br>Series of **consultative meetings** held with key stakeholder groups- eg other governments, key and active networks - conducted between XX and YY dates.<br><br>Release of issues and options paper for response by the stakeholders in writing and through the ministry website.<br><br>Feedback period- 2 months between XX and YY dates. | | Release of information papers and press statements.<br><br>Publicity through the Ministry website |

# Policy decision

- Once the feedback has been received, the policy recommendation can be refined and submitted through the decision making process.
- A policy brief, which recommends the way forward PLUS a draft policy statement and report about stakeholder feedback.
- Once the decision has been made about how to proceed with the policy, the policy statement and the outcome of the consultation can be released in a report to the stakeholders….

# Phase 5 strategy example

| EP | WHY? | ENGAGEMENT | | | |
|---|---|---|---|---|---|
| Policy ecision | | Internal key | External key | Actives | Attentives |
| 1 and 5.3 licy atement leased and port on the itcome of e nsultation leased | Inform stakeholders of the policy decision and the outcome of the consultation | | Release of policy statement, information papers and press statements.<br><br>Release report on the outcome of the formal external consultation process to stakeholders-<br><br>Publicity through the Ministry website | | |

# Phases 6 and 7- Policy implementation and monitoring

- Implementation
- Monitoring
- Legislation

WHY WHO HOW?

# Phases 6 and 7 Strategy example

| EP | WHY? | ENGAGEMENT | | | |
|---|---|---|---|---|---|
| Implemen- tion and onitoring | | **Internal key** | **External key** | **Actives** | **Attentives** |
| **ıplementati ı generally ıd onitoring** | Good governance- inclusive, transparent, open government | Inter-ministerial steering committee continues to ensure policy coordination and coherence | Key external advisory committee advises on implementation | Ongoing information released, where relevant | |
| **Preparation ıd passage legislation** | | | Formal consultation process conducted on proposed legislation with a draft law released for feedback before finalized. Similar process to the above consultative process for the policy. | | |

# Phase 8 - Evaluation

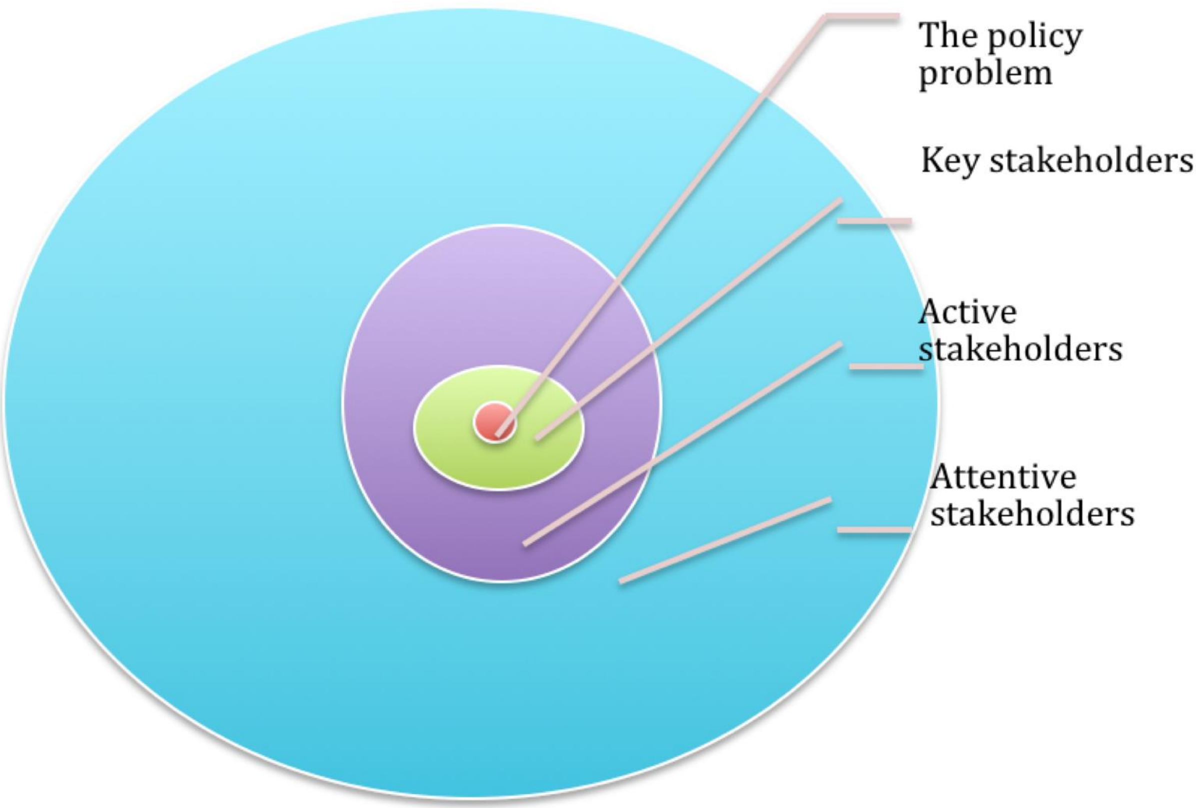
Evaluations are the process to assess what the policy achieved. It is done by comparing the policy problem before (the baseline study) and after the policy has been implemented.

They are typically conducted in conjunction with internal and external key stakeholders and the results are communicated to the wider community of actives and attentives.

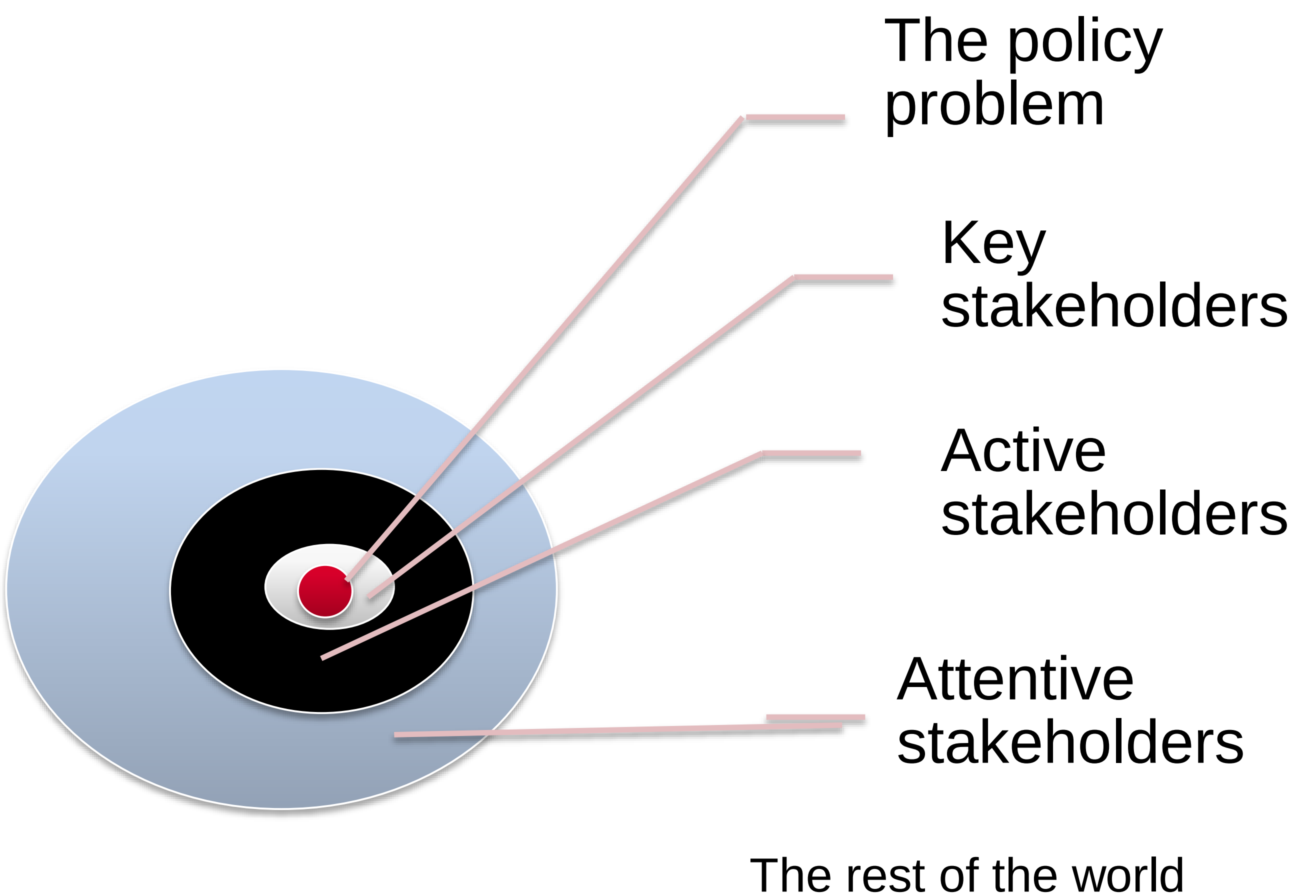
# Phase 8 strategy example

| ΈP | WHY? | ENGAGEMENT | | | |
|---|---|---|---|---|---|
| Evaluation | | Internal key | External key | Actives | Attentives |
| 1 and 5.3 ılicy ıtement leased and port on the ıtcome of e nsultation leased | Good governance- inclusive, transparent, open government | Inter-ministerial steering committee oversights evaluation | Key external advisory committee advises on evaluation | Evaluation results released, where relevant | |

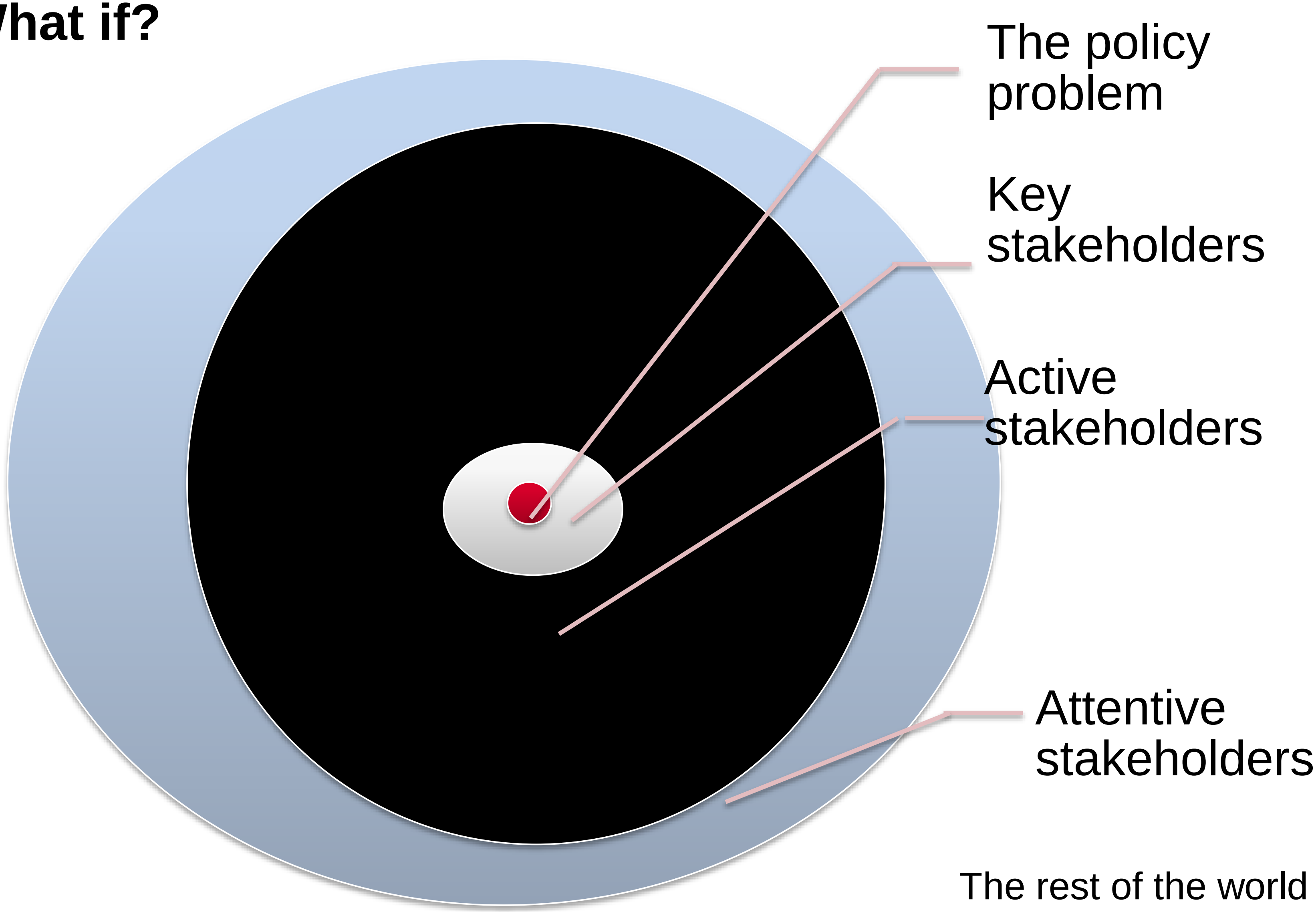
# Stakeholders in our policy example



# What if?- a small policy



# What if?


The policy problem
Key stakeholders
Active stakeholders
Attentive stakeholders
The rest of the world

# Key messages

Pay attention to the following-

- A stakeholder engagement strategy needs to meet your needs as well as those of the stakeholders
- Identify the reason why you want to engage with stakeholders, which stakeholders are most relevant and then select the best way to engage with them
- Accommodate the variations in stakeholders and policy problems, which will result in differences in strategies.
- Don’t exclude stakeholders – rather, adapt the strategy to accommodate them.

### 3.1 HANDOUT- Stakeholders and ways to engage them

| Stakeholder | Type | Interest | Method |
|---|---|---|---|
| **Internal** | Core ministry | Coordination and coherence | Internal government processes |
| | Line ministry | Coordination and coherence | Inter-ministerial coordination committee |
| **External** | Key | Participation<br><br>Sharing decision-making | Steering committee<br><br>Advisory committee |
| | Active | Consultation<br><br>Dialogue | Interviews<br><br>Consultative paper<br><br>Website feedback forms<br><br>Conference<br><br>Focus groups<br><br>Questionnaires<br><br>Public meetings |
| | Attentive | Information<br><br>Monologue | Media<br><br>Information sheets<br><br>Ministry website |

# The Policy Steps

The attached table shows the key steps for the design and implementation of a typical policy and their estimated timelines.

The overall timescale for policy formulation and implementation varies on a range of factors.  For example, a policy may need to be formulated urgently so some of the steps may need to be shortened or collapsed together. In these cases, regular communication should be maintained between the Minister's office and the policy office, and between the Ministry and key stakeholders to ensure that the policy's focus is fully workable. The policy implementation process is also longer when legislation is required because of the government and parliamentary steps and consultation.

Every policy is unique. In general, however, the effort put into the policy-making process should be proportionate to the scope, political significance and the amount of public funds involved in each policy. The forms of and timing for internal and external stakeholder engagement and inter-governmental consultations will also vary according to the nature and expected impact of the policy. Communication and stakeholder engagement strategies must therefore be developed for the unique needs of each policy and will inevitably involve steps that are in addition to those noted in the table below.

# The Policy Steps

| √ | # | Step | Estimated Timeframe: Ministry-based or simple policy | Estimated Timeframe: Large, complex or controversial policy | Actor |
|---|---|---|---|---|---|
| **1. Issue identification** | | | | | |
| | 1.1 | Issue selected (typically from the ministry's and/or government's strategic framework or in response to urgent need) | 1 to 4 weeks | 2 weeks to 6 months | Minister, stakeholders, Ministry staff |
| | 1.2 | Check **if the problem is feasible** for a policy (legal, jurisdictions, mandate of ministry etc) | | | Policy office in conjunction with legal officers |
| | 1.3 | **Conduct preliminary research and consultation on** the proposed policy problem to identify the dimensions and causes of the problem and linkages into the existing government policy frameworks | | | Policy officer in conjunction with technical staff and stakeholders |
| | 1.4 | Develop **problem/solution tree** and identify proposed policy scope, vision and preliminary goals, objectives, targets etc | | | Policy officer in conjunction with technical staff and stakeholders |
| | 1.5 | **Analyse and map stakeholders** and prepare an engagement strategy for internal and external stakeholders on the policy problem as identified and prepare stakeholder engagement strategy | | | Policy office |
| **2. Policy office planning and set-up** | | | | | |
| | 2.1 | **Prepare policy office plan** for preparation of the policy, including steps, timelines, budget, management and stakeholder engagement strategy | 1 to 4 weeks | 2 to 8 weeks | Policy office |
| | 2.2 | Prepare **Ministerial/Council of Ministers Briefing Note** seeking approval to the terms of reference for the policy, policy office work plan and stakeholder engagement strategy. | | | Policy office |
| | 2.4 | **Establish policy project team** comprising policy and technical experts according to approved plans | | | Policy office |
| | 2.5 | **Establish formal internal and external stakeholder engagement arrangements** according to stakeholder engagement strategy | | | Policy office and other relevant ministries |

| | | | | | |
|---|---|---|---|---|---|
| **3. Policy analysis** | | | | | |
| | 3.1 | **Establish criteria for selection of policy options** for the policy problem | 4 to 10 weeks | 12 weeks to 24 months | Policy officer in conjunction with technical staff and stakeholders (depending on stakeholder strategy) |
| | 3.2 | **Collect data on the policy issue and conduct baseline study**. | | | Policy officer and technical staff of ministry |
| | 3.3 | Brainstorm **options** for addressing the policy issue and-<br>• **Collect empirical data** on options;<br>• Undertake initial **economic and social appraisal** of the options (including gender);<br>• Consider the appropriate **policy instruments**;<br>• Consider **monitoring and evaluation** of the policy options;<br>• Consider **feedback from discussions with stakeholders**;<br>• Consider **budgetary implications** of options and consult with Ministry of Finance on budget availability and PMAC/COMSEC for policy coordination and coherence. | | | Policy officer, technical staff, in conjunction with stakeholders |
| | 3.4 | Develop a **proposal for how to proceed** with a preferred policy option and **identify the issues requiring stakeholder feedback** | 2 weeks | 2 to 6 weeks | Policy office, Director General and other senior decision-makers in the Ministry. |
| **4. Formal external stakeholder consultation** | | | | | |
| | 4.1 | **Prepare policy issues and options consultation paper** on the preferred policy option and key issues for stakeholder information and feedback. Seek Minister/COM approval for the release of the paper | 4 to 8 weeks | 4 to 6 months | Policy office, Director General and other senior decision-makers in the Ministry. |
| | 4.2 | Undertake **formal external stakeholder consultation** | 8 to 12 weeks | 8 to 20 weeks | Policy office |
| | 4.3 | **Review and refine policy option** based on the results of consultation | 2 weeks | 2 to 6 weeks | Policy officer |

| | | | | | |
|---|---|---|---|---|---|
| **5. Policy decision** | | | | | |
| | 5.1 | **Prepare policy brief and a draft policy statement to Minister/Council of Ministers** for approval documenting the policy development and consultative process and recommending the preferred option. The briefing should also give a broad indication about implementation, budget, timelines etc. | 2 weeks | 2 to 6 weeks | Policy office, Director General and other senior decision-makers in the Ministry. |
| | 5.1 | Prepare and disseminate **report** on the outcome of the consultation showing government's response to stakeholder's feedback. | 2 weeks | 2 to 6 weeks | Policy officer |
| | 5.3 | **Policy statement released** as formal policy of the government | 1 day | 1 day | Council of Ministers/Ministry communications office |
| **6. Implementation and monitoring** | | | | | |
| | 6.1 | **Prepare an implementation plan for the policy**, including resource mobilisation, management and co-ordination, risk management, communication and monitoring. | 2 to 6 weeks | 4 to 12 weeks | Policy officer with planning and technical officers |
| | 6.2 | Ministry/s **receives resources** to implement the policy | Policy duration | Policy duration | Ministry of Finance |
| | 6.3 | **Undertake implementation** of policy according to the plan | | | Ministry/s and implementation partners |
| | 6.4 | **Conduct monitoring** of deliverables and activities | | | Ministry/s and implementation partners |
| **7. Legislation (concurrent with step 6) steps and depending on Council of Ministers Secretariat and COR procedural rules** | | | | | |
| | 7.1 | Prepare a **plan** for the preparation and passage of legislation, including political mapping to identify the entry points and key political issues | 6 to 10 months | 1 to 2 years | Policy officer and/or legal officer |
| | 7.2 | Prepare **briefing paper and drafting instructions** for submission to Council of Ministers seeking approval in principle to prepare draft legislation | | | Policy officer and/or legal officer, Director General and other senior decision-makers in the Ministry. |
| | 7.3 | **Draft legislation** | | | Ministry legal officers |
| | 7.4 | Draft legislation **submitted to stakeholders and refined following consultation** | | | Policy officer |

| | | | | | |
|---|---|---|---|---|---|
| | 7.5 | **Briefing note** to Minister and Council of Ministers for approval to submit draft legislation to Parliament | | | Policy office, Director General and other senior decision-makers in the Ministry. |
| | 7.6 | Draft legislation **submitted to Shura Council and Minister for Parliamentary Affairs for approval** | | | Council of Ministers/PM office |
| | 7.7 | Draft legislation **introduced** to Parliament | | | Minister etc |
| | 7.8 | Draft legislation submitted to **Parliamentary sub committees** for comment | | | Parliamentary sub committees |
| | 7.9 | Draft legislation undergoes legislative and executive processes to **become law** | | | Parliament, executive |
| | 7.10 | **Legislation implemented** according to implementation plan including necessary administrative changes and information. | | | Ministry and internal and external implementation partners |
| **8. Evaluation** | | | | | |
| | 8.1 | **Evaluate the impact** of the policy | Up to 3 months | 1 to 2 years | Policy office and technical staff in conjunction with stakeholders. |
| | 8.2 | Report on results of evaluation to Minister, Council of Ministers | | | Policy office, Director General and other senior decision-makers in the Ministry. |
| | 8.3 | Communicate results of the evaluation to the stakeholders | | | Minister and Ministry staff |
| | 8.4 | Based on results of evaluation study and feedback from Ministers and stakeholders, consider and recommend future policy directions. | | | Policy officer, stakeholders, minister etc- as for 1.1 Issue proposed |

# Ethical practices in stakeholder engagement

3.4 Working with stakeholders

# Workshop objectives

This is a short presentation with two clear messages-

– Stakeholder engagement must be and be seen as unbiased.
– Trustworthiness underpins the success of the stakeholder engagement process.

How do we do this?

USAID | IRAQ
FROM THE AMERICAN PEOPLE

TARABOT
Iraq Administrative Reform Project
ترابــــط
مشروع الإصلاح الإداري العراقي

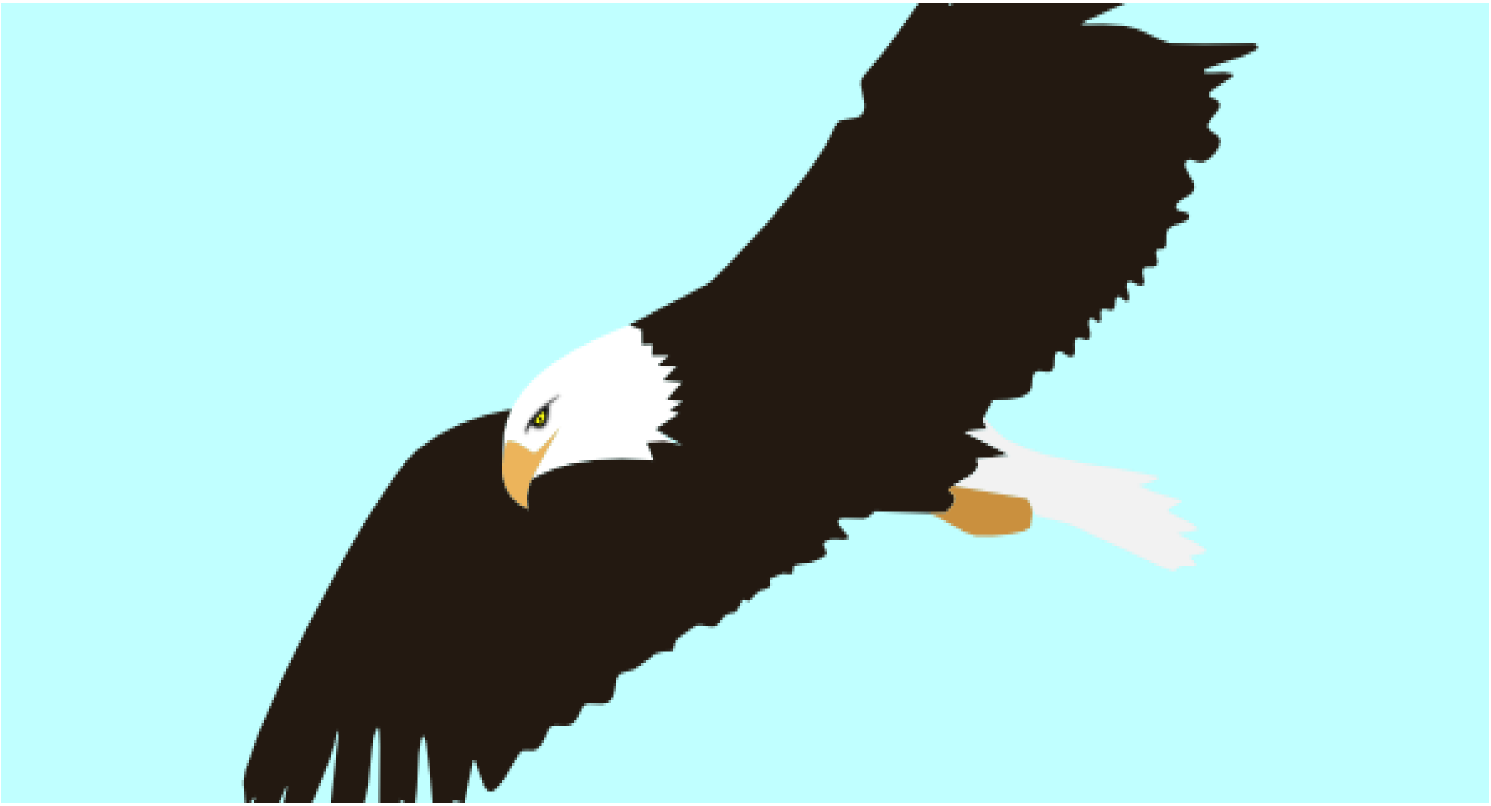
# The policy officer’s challenge

- Stakeholders may try to complain and manipulate to ‘win’ in the policy
- The process itself will generate more stakeholders to become involved
- Policy officers can feel ‘stuck in the middle’- a very uncomfortable place
- We need to know how to deal with this situation in a way that enhances the engagementand the outcome

# Don’t exclude stakeholders

- Excluding them makes the engagement easier but the outcome will be worse-
  - Irrelevant policy
  - Lack of stakeholder support for the policy
- Don’t try exclusionary tricks like stonewalling  or counting people who are not stakeholders

# The eagle



# Become the eagle!

- **Fly above the chaos!**
- A public policy officer will **never engage personally** in the issues, even if he or she holds strong views about them!
- **Never** argue or bicker with your stakeholders- you have a much more important role to play than that!

# A trustworthy stakeholder engagement process

The public policy officer keeps the stakeholder engagement process to keep it-

- Fair and inclusive
- Open and transparent
- Robust
- Responsive
- Impartial and objective
- Respectful

To sum these up in one word, it must be **TRUSTWORTHY**.

## Professionalism and trust

- Your professionalism has the viewpoint of the eagle in the air.
- When dealing with stakeholders, you are open and honest about what you are trying to achieve and what you can deliver
- Your role is to create the bridges between government and stakeholders that are strong enough to withstand challenges and disagreement.
- You do not need to be close friends with the stakeholders.
- But you and your engagement processes need to be trusted by them.

# Ethical stakeholder engagement practices

- Acknowledge different views and show respect for them.
- Share dilemmas
- Be 100% honest.
- Listen with both ears
- Communicate, communicate and then communicate a bit more
- Never make a promise you cant keep

# Role play- Taxi reform proposal

- We have a proposed policy that will require all taxi drivers to be registered, the taxis painted red and fitted with meters.
- The policy officer meets with 3 taxi drivers who are angry about the proposal because it will cost them their livelihoods.
- How will the policy officer manage this situation and the dialogue?

# Role play review and discussion

- **To the policy officer** - how did it feel to be in the middle of this issue? Did he/she feel that things changed when you applied the ethical principles? How did this change?
- **To the drivers - how did you feel by the fend of the process and why**- did you feel listened to? Where you acknowledged? Did you feel the process is trustworthy? Why or why not? Did you become more open to working with the policy officer?
- **To the workshop participants**- what worked? What did not work? How could things have been done differently? How?

# Key messages

TWO simple messages with much meaning inside them-

1. Bias and exclusion damages stakeholder engagement as well as the policy you are working on.
2. Trustworthiness of the process and of the officers is the key to effective stakeholder engagement.

# Trainer's notes

| Presentation 3.4 – Ethical practices in stakeholder engagement | |
|---|---|
| **Learning Objective** | Participants learn how to manage the personal interactions in a stakeholder engagement process. |
| **Timing** | 3 hours |
| **Training method** | Presentation and role play |
| **Materials** | 1. Power point presentation<br>2. Handout- role play- taxi industry reform<br>3. Handout- Ethical behaviour of the public policy officer |

**Slide 1 and 2 Introduction**

This is a short presentation with two clear messages-

1. Stakeholder engagement must be and be seen as unbiased.

2. Trustworthiness underpins the success of the stakeholder engagement process.

How do we do this?

**Slide 3 – The policy officer's challenge**

Many public policy problems will be highly controversial, with winners and losers. You may face stakeholder complaints and their attempts to manipulate politicians and other stakeholders to ensure that they are the winners. They might also try to undermine your stakeholder engagement process.

The stakeholder engagement itself can also stir up controversy- remember workshop 3.1 introduction to stakeholder engagement- a policy problem can explode with stakeholder interest simply because it is the focus of a policy processes.

Ministry officials and particularly the policy officers can feel 'stuck in the middle' and this position can be tough and very uncomfortable! You may feel that you have opened up the proverbial hornet's nest and wish you never started the process or took on this job. You may also find the public debate and conflict exciting!

**Slide 4 – Don't exclude stakeholders!**

In governments such as Iraq that have little experience with stakeholder engagement, a common attitude is that stakeholders should not be engaged. Or only those stakeholders who agree and smile at the policy and therefore make the ministry's work easy through the policy development process.

The temptation to exclude is strong. Some stakeholders will be very annoying. They may be people you dislike or strongly disagree with. They will try to take up all of your time. They will make impossible demands on you. They can be angry and loud. Your minister will also feel it and may also feel tempted to direct you to exclude. This is a universal temptation to exclude people who are difficult or who you don't like.

We have already covered the consequences of excluding stakeholders but it is worth repeating- if you exclude stakeholders, and especially key or active stakeholders, you risk the policy being ill informed, ineffective and being rejected. Exclusion creates divisions in society. This is a lesson that is already well learned in Iraq.

To actively include stakeholders is a sign of good governance and something to be very proud of, even if it makes your job difficult.

Including stakeholders in the processes but ignoring their input is called 'stonewalling'. It is equally as dangerous and leads to the same consequences.

Counting the views of 'stakeholders' who are not really interested in the policy issue (that is, those people who are in the category of 'the rest of the world') is a tactic that can also be used to 'water down' the voices of the stakeholders who are genuinely interested. This is another way to exclude the real stakeholders and will always be criticized as exclusionary and manipulative.

A policy officer should defend the stakeholder engagement process that includes all stakeholders because they all have a role to play. To do this well, you need to have a a strategy for how you can manage yourself in the process.

This is how you do it…..

**Slide 5 - The eagle**

An eagle flies high, so high that he can see everything below him. He has a sharp eye and watches the detail of what is going on below. At this height, although he can see everything below, the eagle is not particularly bothered by the events that are occurring down there. He is the keen observer, not part of it.

In controversial public policy processes, the activity on the ground can be chaotic, loud and messy. But up in the sky, as the observer, the eagle can watch how these things are unfolding on the ground.

**Slide 6 – Become the eagle!**

The public policy officer should aim to become the eagle. You can observe, listen to the different views, record them and think through what are the consequences of the views- political, technical, financial etc and then make recommendations.

But like the eagle, you do not need to join in the chaos that is below you. Instead, you can fly above it as the observer.

A TRULY PROFESSIONAL PUBLIC POLICY OFFICER WILL NEVER ENGAGE PERSONALLY IN THE ISSUES, EVEN IF HE OR SHE HOLDS STRONG PERSONAL VIEWS ABOUT THEM!

NEVER EVER ARGUE OR BICKER WITH YOUR STAKEHOLDERS- YOU HAVE A MUCH MORE IMPORTANT ROLE TO PLAY THAN THAT!

**Slide 7- A trustworthy engagement process**

The public policy officer keeps the stakeholder engagement process. This means that the officer conducts the stakeholder engagement process with the right ethics to ensure that it is-

**Fair and inclusive**- everyone is included to the extent they are interested to be included and their views are taken into account;

**Open and transparent**- transparency means that stakeholders can see why the decisions were made in the way they were. The progression of the policy process and the stakeholder engagement process helps to inform stakeholders so there are no big surprises for anyone.

**Robust**- the process is strong and flexible enough to deal with all issues and changes that might occur;

**Responsive**- the process listens and responds to people because this is the way to improve outcomes;

**Impartial and objective**- don't take sides!

**Respectful** – the process gives people of different views respect.

**To sum these up in one word, the PROCESS must be TRUSTWORTHY**.

As the manager of the stakeholder engagement process, the policy officer can influence the level of trustworthiness in the processes and the officer must keep an eye on this at all times. You can have a strong, robust engagement process that is conducted in a way that stakeholders feel is not worthy of their trust.

**Slide 8 – Professionalism and trust**

A policy officer keeps high professional standards. Your professionalism has the viewpoint of the eagle in the air. You conduct yourself and your stakeholder engagement process with integrity.

When dealing with stakeholders, you are open and honest about what you are trying to achieve (the objectives of the engagement).

Your role is to create the bridges between government and stakeholders that are strong enough to withstand challenges and disagreement.

You do not need to become close friends with the stakeholders. In fact, doing so might cause others to challenge you for bias unless you are close friends with everyone!

But you and your engagement processes need to be trustworthy.

**Slide 9 – Ethical stakeholder engagement practices**

The WAY officers behave is one of the things that makes the process trustworthy. For example, what happens if you ask stakeholders to express his or her views in a way that is inclusive but underneath you are laughing at them?

…. here are some other principles that relate more to an officer's personal behavior in the engagement process. and if you and the ministry follow them, you have more chances to make your stakeholder engagement process trustworthy. Acknowledge the impact the policy proposal will have on stakeholders. Tell people what they can expect

- **Acknowledge** the fact that everyone has different views and show respect those views, even if you do not personally agree with them.
- **Share dilemmas** that you find- 'We need to do either X or Y but neither are good- if we do X, this problem happens, and if we do Y we have another problem…. The choices between X and Y are not easy for any of us'
- **Be 100% honest**. Do not 'sugar-coat' for people by telling stakeholders that the situation will not change, when you know the policy will change it. Don't make information up! If you don't know, the answer to a question, say you don't know and offer to find out and get back to the stakeholder. Don't lie. Don't tell half truths

- **Listen with both ears open**- don't listen to hear only what you want to hear
- **Communicate, communicate and then communicate a bit more**- be open with stakeholders about the proposal, the good and bad of it.
- **Never make a promise you cant keep**- as soon as your promises fail, your trustworthiness and the trustworthiness of the process is instantly destroyed.

These ethics are about how to relate to people. They work well in everyday life as well!

**Slide 10 - Role play- Taxi reform proposal**

The best way to learn how to deal with stakeholders is to practice. So the rest of this workshop will be role playing.

DISTRIBUTE Handout on the role play to all the participants.

ASK for 4 volunteers who have not worked with each other before, read their roles and play them out. Assign the roles to each of the participants. We are looking at the policy officer's behavior in this exercise, not the taxi drivers'. The drivers should be encouraged to be angry and difficult but open to new ideas if these will help their interests.

**ROLE PLAY – TAXI REFORM PROPOSAL**

There is a proposed policy that will require all taxi drivers to be registered. Under the proposal, the taxi drivers will have to pay an annual $100 license fee to the government and upgrade their cars to a particular standard- all are to be painted red and have a meter installed. By the end of next year, under the proposal, unregistered taxi drivers will face heavy penalties- they will be prosecuted by the police and their cars will be taken away from them.

**Actors**

1 Policy Officer

3 Taxi drivers who know that they will have to spend a lot of money to fix up their cars or otherwise they wont be registered and they will lose their livelihoods. They support their families on their incomes- and at the moment they only just make ends meet.

- one has 5 very young children,
- one has a child who is sick and treatment costs a lot of money.

- one is illiterate and therefore unable to give any written response to the proposal.

**Scenario**

The policy is still in proposal stage only but the minister is very keen to implement it because it will improve the quality of the taxi fleet in Baghdad, which will be good for the city's international image. Many taxi drivers will not be able to afford to fix their cars and will therefore lose their jobs. Because there will be less taxis on the road, the calculations suggest that the drivers who do make the changes to their vehicles etc would be able to earn between two and three times the amount in fares.

The taxi drivers are all friends who have talked about this proposed policy in the evenings. They are furious and desperate that this stupid public servant will destroy their lives and are determined to stop the policy from being introduced. They have many other friends who are also drivers and they are also very angry, and they are all talking seriously about striking to protest against these proposed changes.

The policy officer has just explained the objectives and impact of the policy in a public meeting and the drivers have come to the officer afterwards to complain about their problems.

To the trainer- What to encourage in the policy officer-

Encourage the 4 participants to get into their roles as much as possible and let the role play run. Stop it intermittently and to hold discussions with the role players and the workshop participants about how they are feeling, how they feel the discussion is progressing and how they might be able to transform the discussion into something more positive that might lead to cooperation. Tell the workshop that this is what you will do before the role play commences. Look out for-

The policy officer will feel **under attack** by the taxi drivers and for very good reason. These drivers will lose their livelihood and are afraid of what is to come. The policy officer might get argumentative, in which case- encourage the eagle and strongly discourage the policy officer from bickering with the drivers.

**To deal with the anger and fear**, the policy officer should acknowledge that these emotions exist. They are realistic emotions that the drivers have every right to feel. The policy officer must give the drivers the space to express their anger. The officer should not be patronizing about the emotions. Rather, he/she should be understanding and open to listening.

Recognizing emotion can also be a good way to start an open dialogue with the drivers. The policy officer should **listen carefully t**o the drivers and ask probing questions to find out what their concerns are.

The policy officer **might try to avoid the conflict** by suggesting that the policy is not likely to happen in order to placate the drivers. But this would be misleading to do so, because the policy has already quite advanced and to say otherwise would be manipulative and untrue.

**Encourage the policy officer to document the concerns of the drivers** to verify that the research done to date is correct. He/she should begin to ask questions- how much would it cost to fix their cars? How much do they make each day now? What would they expect to earn if they fixed their cars and there was only one third of the number of taxis on the road? How might that work with their family's budgets? Do their driver friends feel the same way?

The policy officer can **encourage the drivers to use the consultative process to get their message across**. They could give formal responses to the proposal together. Their responses are more likely to have more weight if their driver friends also put in their objections. Encourage them not just to abuse the proposal and say 'it is bad!' but to show how the proposal is a problem to them and their passengers. Tell the drivers that the policy process is actually designed to listen to their concerns like this. Maybe there are other options that could be considered to make it easier for the drivers to make the transition?

For the **illiterate driver**, this is an interesting issue that touches on the problem where stakeholders are highly interested and affected by a policy but do not have a strong voice. Something needs to be done to give these people support. The policy officer would need to find out if there are many other drivers in the same sort of situation. The officer needs to address this issue and could, for example, consider adapting the system to find a way to get feedback from people who cannot write. This issue touches on the 'silent' but

If the policy officer can work the dialogue well, we might **find some interesting ideas** to address the drivers' problems –

- eg a fund to assist the drivers to pay for the car upgrades, with easy pay-back provisions. Maybe that fund could be available for 12 months. An idea like this can be documented by the policy officer and researched later to see if it is a possibility. Some ideas will be realistic, others will not but it is worth gathering the ideas- but be careful not to make promises you can't keep! The officer is the keeper of the process not the outcome!
- eg. Assistance to the drivers to find new jobs in a new industry? Ask the drivers what sort of system is likely to work? What sort of work would they see as an alternative? Again, the idea can be documented and researched later.
- There could be many ideas- the policy officer can ask questions to see if these can be brought out.

**More ideas for solutions could come up** if the policy officer could get to meet the other taxi drivers with the same problem. Without sounding demanding, the policy officer may be able to find a way to ask the drivers if he/she could meet with this group at a later time in another venue to talk more. But if the officer takes this step, he/she must be very clear about the objectives of the meeting, which is to meet and talk about the problems and to see if there are any ideas for solutions. The officer could also assess how powerful the group of drivers are- is there a risk of a long strike?

Consider, for example what it might be like to go to a very large gathering of very angry drivers! This would be much more difficult than dealing with three. To manage a large gathering, the officer must adopt the same position:  he/she must careful not to make promises to affect the decision as this is the Minister's decision, not yours- the policy officer can only go to this group to listen and document this information to take back to the Ministry so it can consider the consequences of the proposal.

This information could show to the Minister that the policy will not just affect a few powerless individual drivers. Remember the way stakeholder networks operate! The proposal might lead to a highly charged reaction from all taxi drivers which might even spread into the broader community who may express sympathy for the drivers cause. This means we will have a significantly larger group of actives and attentives. How might this be managed?  The stakeholder engagement process needs to be able to adapt to a scenario where there is an explosion in the numbers of stakeholders in each stakeholder category. If this happens, go back to the basics- identify who they are, what type of engagement they would be looking for (eg what type of information) and try to meet these needs.

**The officer must NOT make any promises, except to keep listening and to use the stakeholder engagement process to ensure their concerns are included.** If the officer promises to introduce, for example, the fund idea, he or she is making false promises and compromising the trustworthiness of the process.

These examples show **how the consultative system is working**- it is actively engaging the people who are most affected in the process to get their responses.  The officer is working WITH the people, even though they are angry and difficult, to work out what the issues are, to gather information about the nature of the issues and to gather ideas about how to address the issues.

**Slide 11 – Role play review and discussion**

**ASK the policy officer** how it felt to be in the middle of this issue.  Did he/she feel that things changed when he/she used the ethical principles? How did this change?

**ASK the drivers how they felt at the end of the process and why**- did they feel listened to? Where they acknowledged?  Did they feel the process is trustworthy? Why or why not? Did they become more open to working with the policy officer?

**Ask the rest of the workshop participants**- what worked? What did not work? How could things have been done differently?

**Slide 12 – Key messages**

TWO simple messages with much meaning underneath them-

Bias and exclusion damages stakeholder engagement as well as the policy you are working on.

Trustworthiness of the process and of the officers is the key to effective stakeholder engagement.

## Trainer's notes

| POLICY PRACTICUM | |
|---|---|
| **Learning Objective** | Participants apply the practical skills they have learned to date to commence the policy formulation process |
| **Timing** | 1 day |
| **Training method** | Groups work on their policies. |

This is a day for the groups to progress their work on policy formulation.

Drawing on the training to date, participants-

- finalise research on their policy problems,
- prepare a stakeholder analysis and maps,
- design their stakeholder engagement strategies,
- prepare a problem and solution tree; and
- prepare a Ministerial Briefing Note to their Ministers proposing the process and direction for the policy and seeking approval to proceed.

The trainer should provide support and advice to the groups as they work through these steps.

### 3.4 HANDOUT- ROLE PLAY – TAXI REFORM PROPOSAL

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**Scenario**

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The policy officer has just explained the objectives and impact of the policy in a public meeting and the drivers have come to the officer afterwards to complain about their problems.

**3.4 HANDOUT - ETHICAL PRACTICES OF A POLICY OFFICER**

- **Acknowledge** the fact that everyone has different views and show respect those views, even if you do not personally agree with them.
- **Share dilemmas** that you find- 'We need to do either X or Y but neither are good- if we do X, this problem happens, and if we do Y we have another problem…. The choices between X and Y are not easy for any of us'
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