Chapter 15

Stakeholder Analysis

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Learning Objectives

- Understand why stakeholder analysis is important for faecal sludge management project design.
- Be able to perform a stakeholder analysis for faecal sludge management projects and identify and characterise key stakeholders and relationships between them.
- Understand the main interests and constraints of stakeholders.
- Understand how key stakeholder selection evolves through the planning process and link the iterative approach with the planning framework in Chapter 17.
- Be able to determine those who need empowerment, motivation, incentives, capacity-building and/or information.

15.1 INTRODUCTION

Managing faecal sludge (FS) at the city level in an efficient and sustainable way requires the involvement and support of all the concerned stakeholders, i.e. the "key stakeholders". With "stakeholder" is meant "*any group, organisation or individual that can influence or be influenced by the project*". In short, 'people who matter'. Neglecting the needs, priorities and interests of people as well as their cultural and economic reality is one of the major causes of failure for water and sanitation programs in low- and middle-income countries.

In order to be able to understand and engage stakeholders, stakeholder analyses should be performed. Stakeholder analysis is the process of identifying and characterising stakeholders, investigating the relationships between them, and planning for their participation. It is a vital tool for understanding the social and institutional context of a project or policy. Its findings can provide early and essential information about who will be affected by the project and who could influence the project (positively or negatively); which individuals, groups, or agencies need to be involved in the project and how; and whose capacity needs to be built to enable them to participate (Rietbergen-McCracken and Narayan, 1998; Koanda, 2006). It is an iterative process, which is structured in this chapter in five main steps (Section 15.5). The challenge is to ensure a continuous monitoring of stakeholders in order to adjust

the role of each of them in the process and to capture the dynamic nature of their needs, priorities and interests. Stakeholder analysis is thus a cross-cutting task that recurs throughout the whole FS management (FSM) planning process.

Koanda (2006) showed that stakeholder analysis is an appropriate tool for FSM planning. It provides a foundation and structure for the participatory planning, implementation, and monitoring of the project. As such, this chapter is closely linked to Chapter 16 *Stakeholder Engagement*, Chapter 12 *Institutional Frameworks*, and Chapter 17 *Planning Integrated FSM systems*. Section 15.5 of this chapter provides a guide on how to identify and prioritise key stakeholders in FSM activities while Chapter 16 provides information on how to engage them and allocate their roles and responsibilities appropriately and Chapter 12 on how to organise them in a sustainable management scheme. The stakeholder analysis approach proposed in this book is fully contextualised in FSM planning framework (Table 17.1), where its five steps are included as specific activities in the planning process. The main goal of each of these activities is to structure the information gathered and to determine the involvement strategy for the next phase.

Stakeholder analysis should be carried out by the process leaders (Box 17.1 in Chapter 17) and their facilitator(s) and stakeholders themselves can also be involved in the analysis. This should be started at the very beginning of the project. The main tools to carry out the analysis are informal and semi-structured interviews, focus groups, as well as field visits (Sections 14.2, 14.3 and 16.4).

Stakeholder analysis is mainly about understanding people and their feelings. Close relationships should be developed between the process leaders, the facilitators and the stakeholders. Trust-building is one key element of the stakeholder analysis, as it is for the whole planning process (Figure 15.1).

After a short overview of the stakeholder analysis process and the approach proposed in this book this chapter describes how to identify FSM stakeholders and then describes how to characterise them, giving practical insight into their typical interests, constraints and needs. Finally, the different steps of the stakeholder analysis through the planning process are explained and illustrated by a step-by-step case study.

Figure 15.1 Field visit with key sanitation stakeholders in Sokodé, Togo (photo: Philippe Reymond).

15.2 STAKEHOLDER ANALYSIS: WHY AND HOW

Stakeholder analysis has become increasingly popular with a wide range of organisations in many different fields, and it is now used by policy makers, regulators, governmental and non-governmental organisations (NGOs), businesses and the media (Friedman and Miles, 2006). Key questions that stakeholder analysis helps to answer are, for example: how can the relative interests and influence of different stakeholders be taken into account? And how can diverse stakeholders be adequately represented? As such, stakeholder analysis is seen as an approach that can empower marginal stakeholders to influence decision-making processes (Reed *et al.,* 2009). It is also used to work more effectively with stakeholders, facilitate transparent implementation of decisions or objectives, understand the policy context and assess the feasibility of future policy options (Brugha and Varvasovsky, 2000).

In FSM, the stakeholder analysis process is particularly important in order to:

- identify who to involve and at which level of participation, at the different stages of the planning and implementation process (see also Section 16.6);
- understand who has what interest and who is influential in supporting or in blocking/delaying/rejecting the project;
- identify conflicts of interests between stakeholders;
- identify relations between stakeholders that should be improved and strengthened;
- structure the knowledge about project stakeholders and share it with others;
- understand how to deal with the different people; for example, it should be clear who needs to be empowered, who needs to be informed and who should be dealt with in a particularly careful way (potential threats); and
- in partnership with governments and implementing agencies, assess how best to harness the positive aspects of the informal sector, minimise the negative aspects, and look for genuinely effective ways of creating effective links between the formal and the informal (Cacouris, 2012).

The stakeholder analysis method proposed in this book follows an approach of 'analytical categorisation' based on levels of interest and influence . Several 'attributes' or 'categorisation factors' help to identify who is important and/or influential and why. In order to structure the dynamic process in better defined activities, five formal steps are proposed, which follow the planning process illustrated in the FSM planning framework (Table 17.1):

STEP 1 Identification and preliminary characterisation of the stakeholders
STEP 2 Characterisation and selection of key stakeholders
STEP 3 Reassessment of key stakeholders according to validated options
STEP 4 Reassessment according to the Action Plan
STEP 5 Reassessment before the inauguration of the FSTP

Stakeholder analysis is a powerful tool to understand how people think and act. The information gathered should however be dealt with carefully, as it often involves sensitive information. Many interests are covert and agendas are partially hidden (ODA, 1995).

Findings from a stakeholder analysis are best recorded in tables and matrix diagrams (see Section 15.4 and Case Study 15.1), and the risks and assumptions arising from the analysis should be included in the logical framework of the project (ODA, 1995). These records will be revised throughout the whole process.

Figure 15.2 Focusing on stakeholders and market demand, Dakar, Senegal (photo: Linda Strande).

15.3 IDENTIFICATION OF STAKEHOLDERS

Stakeholder identification is one of the first tasks when starting a new project (Figure 15.2). Collaboration with local facilitators is essential to get the situation under control quickly. Identifying stakeholders is an iterative process, during which additional stakeholders are added as the analysis develops, for example, using expert opinion, focus groups, semi-structured interviews (see Section 14.2), snow-ball sampling (i.e. 'people who know other people, etc.'), or a combination of these (Reed *et al.*, 2009)[1]. It is all about contacting resource persons, who know the situation well and have access to the most important and influential stakeholders. Very often in low- and middle-income country contexts, a process leader must be introduced by a third local party in order to be able to get started and work efficiently from the beginning.

The more people that are met, the less likely it will be that any of the important stakeholder groups are missed. At each meeting, stakeholder identification can be done through a brainstorming process to collect an exhaustive list of people, groups or institutions (NETSSAF, 2008). Stakeholder mapping can be used as a tool to visualise the different stakeholders and their relationships.

In some countries, stakeholders to be involved in FSM have been defined in a national sanitation strategy. Such strategies may also mention who, out of the public and private sectors, is responsible for wastewater and excreta management, construction of latrines and sludge emptying.

15.3.1 Faecal sludge management stakeholders

In general, stakeholders who should be involved in a FSM planning process can be classified in eight categories, as detailed below. These stakeholders are further described in Table 15.3.

[1] Reed *et al.* (2009) amalgamated in a table the different stakeholder analysis methods, including the resources required, the level of stakeholder participation, and the strengths and weaknesses of each method.

Municipal authorities
- mayor;
- municipal technical services (environment, sanitation, hygiene and public health); and
- municipal police.

Regional and national authorities
- different Regional Directorates (RD) e.g. Sanitation, Health, Hydraulics, Water Company, Public Works, Statistics, Urbanism & Habitat, Local Development, Agriculture.

Utilities
- public, semi-private (parastatal) or private (commercialised).

Traditional authorities and influential leaders
- ethnic leaders;
- neighbourhood leaders; and
- religious leaders.

Small-scale FS businesses
- mechanical service providers; FSM business owners, FSM business owner associations or interest groups; and
- manual service providers; pit emptier associations or interest groups.

There are numerous cases where someone owns and operates one truck (Chowdhry and Koné, 2012). There are others where FSM business owners and workers are not the same and it should therefore not be assumed that owners and operators have the same interests/influence (see also Section 14.3.3).

Organisations active in sanitation
- community-based organisations (CBOs);
- local or international NGOs with sanitation activities (including latrine construction and solid waste management);
- universities and research centres; and
- donor agencies.

Potential endusers
- farmers, farmer associations and institutions helping farmers;
- breeders, breeder associations and institutions helping breeders; and
- fuel consumers, such as companies needing combustible matter or biogas.

Households
- users; and
- owners (landlords in the case of tenant housing).

It is important to distinguish between users and owners here. For owner occupiers they are one and the same, however in the case of rental properties this distinction is critical. Tenants often pay for emptying services, not landlords (Figure 15.3) (Scott, 2011). In the case of public latrines for example, it makes sense to also consider user associations.

In all cases, the two following questions should be answered (ODA, 1995):
1. Have all the potential supporters and opponents of the project been identified?
2. Have vulnerable groups with an interest in the project been identified?

Figure 15.3 A few faecal sludge stakeholders: head of a household, household service provider (photo: Philippe Reymond).

Of course, stakeholders vary in each context. The institutions, modes of organisation, environment and culture vary from one region to the other, including the attitude towards human excreta. This list can be used as a guideline, but any case should be investigated and looked at on an individual basis.

The institutional setup and existing mode of organisation (see Chapter 12) are the skeleton on which the planner has to build and they have an important influence on the particular stakeholder configuration. In cities where FSM is not organised, the sector is mostly private and informal. In other cases, the State may delegate the management of the sector to utilities, be they public, semi-private or private.

15.3.2 Differences between large and medium-sized cities

Scale has an impact on the type and number of stakeholders and the way in which they are engaged. Large cities (i.e. main cities, characterised by heterogeneous neighbourhoods and a certain standard of housing and income, versus medium-sized or secondary cities with a more homogenous structure) generally present the following features:

More stakeholders: In large cities, there are more stakeholders in each category, especially mechanical and manual service providers, NGOs, farmers, traditional leaders, and politicians. While all service providers can be met individually in a medium-sized city, they may need to be organised into associations with representatives in larger cities (as already done in Dakar, Ouagadougou and Kampala).

Several cities in one: In large cities, different city parts or neighbourhoods may be compared to several medium-sized cities, each with their own private entrepreneurs, traditional leaders (and maybe also political leaders), and disposal sites. For the stakeholder analysis, it may be relevant to consider characteristic city parts separately, in addition to the city level itself.

More endusers, distributed differently: Different farming patterns and the presence of industries may offer enduse opportunities that are not available in secondary towns, like sludge enduse as a combustion fuel.

15.4 CHARACTERISATION OF STAKEHOLDERS

Stakeholder characterisation provides the necessary information on how to best involve each stakeholder and, at the end of the process, how to best attribute roles and responsibilities. It also paves the way for the key stakeholders' selection.

15.4.1 Information to be collected

Stakeholders should be characterised according to the following attributes (Koanda, 2006):

Main interests: Consultation with the stakeholders should be carried in order to determine how each interest can be taken into account in the future FSM system.

Strengths: Establish what the process leaders can count on.

Weaknesses: Establish where information, empowerment and capacity-building are needed.

Opportunities and threats: Characterise the potential positive (and negative) perspectives for the project.

Relationships between stakeholders: This includes for example, hierarchy, friendship, competition and professional links. Good, or bad, relationships may determine which working group can be built and where the best alliances to push the project forward lie. Trust and diplomacy are very important.

Impacts: The type of impact that the project has on a stakeholder also determines the measures needed to maximise positive impacts and mitigate negative impacts.

Involvement needs (including training needs): The action required results mainly from identified interests, weaknesses and potentials.

Chapter 14 (Assessment of the Initial Situation) highlights different tools and methods for data collection. Analysis of strengths, weaknesses, opportunities and threats are part of the wider SWOT analysis (Strengths, Weaknesses, Opportunities, and Threats). Chapter 16 gives guidance on how to translate stakeholders' characteristics into an involvement strategy.

The information collected can be amalgamated in a stakeholder table, as shown in Table 15.1.

Table 15.1 Example of a stakeholder table to summarise the stakeholders' characteristics

Stakeholders	Interests	Strengths	Weaknesses	Opportunities/ threats	Relationships	Impacts	Involvement needs
Stakeholder a							
Stakeholder b							
Stakeholder c							
...							

The relationships between stakeholders can be represented in a diagram of relationships. Such exercises in *stakeholder mapping* are particularly useful for stakeholders to visualise the situation in the case of participatory stakeholder analysis.

Relationships with and between stakeholders evolve through the process. In the beginning, mainly general groups or positions are considered (e.g. mechanical service providers and the municipal authorities). But as the project develops and close relationships emerge between the process leaders and stakeholders, there is a shift towards specific individuals (e.g. specific service providers, farmer leaders or influential politicians). Until service combinations are chosen and validated, relationships can mostly be described as informal between stakeholders. The process relies on discussions, interviews and meetings. However, once an Action Plan has been defined, many relationships become formal and contractual with specific individuals or companies.

15.4.2 Influence and interest

It is important to differentiate between two different types of opportunities and threats: the influence over the project and the interest in the project (adapted from ODA, 1995). These two key concepts can be defined as follows:

Influence is the power that stakeholders have on the project i.e. to control which decisions are made, facilitate their implementation, or affect the project negatively. Table 15.2 gives insight into which factors can confer influence.

Interest characterises stakeholders whose needs, constraints and problems are a priority in the strategy, e.g. sludge service providers, endusers, households, and sanitation authorities.

This distinction is particularly important for minorities and low-income groups, like manual service providers, low-income households and farmers, which are often not given a voice. It may require special efforts to enable these stakeholders to become active participants to ensure that their needs will be met (see 'empowerment' – Chapter 16). For the success of an initiative, it is important to know whether (and how) a stakeholder can take action and how he/she can be involved.

Table 15.2 Variables affecting stakeholders relative influence (adapted from ODA, 1995)

INFLUENCE FACTORS	
Within and between formal organisations	**For informal groups**
Hierarchy (command and control, budget holders)	Social, economic and political status
Leadership (formal and informal, charisma, political, familial)	Degree of organisation, consensus and leadership in the group
Control of strategic resources for the project	Degree of control of strategic resources significant for the project
Possession of specialist knowledge (e.g. engineering staff)	Informal influence through links with other stakeholders
Negotiating position (strength in relation to other stakeholders in the project) - personal connections to ruling politicians	Degree of dependence on other stakeholders

	Low influence	High influence
Low interest	Stakeholders are unlikely to be closely involved in the project and require not more than information-sharing aimed at the 'general public' ***Information***	Stakeholders may oppose the intervention; therefore, they should be kept informed and their views acknowledged to avoid disruption or conflict ***Consultation - Information***
High interest	Stakeholders require special effort to ensure that their needs are met and their participation is meaningful ***Consultation - Empowerment***	Stakeholders should be closely involved to ensure their support for the project ***Consultation - Collaboration Empowerment / Delegation***

Figure 15.4 Use of the influence-interest matrix to identify involvement needs and participation levels (adapted from Rietbergen *et al.*, 1998).

The next section provides criteria that help to categorise stakeholders according to their influence and interest. Once the stakeholders are characterised, the process leaders can amalgamate the outcomes into an influence-interest matrix (Figure 15.4). The influence-interest matrix serves as a decision-making tool for how to deal with the respective stakeholders and identify participation levels, as explained further in Section 16.3 (adapted from (ODA, 1995; Rietbergen *et al.*, 1998; IIED, 2005). Combined with the stakeholder selection table, it is a baseline document that helps to communicate the situation to external persons and which can be easily updated during further steps of the process.

When analysing influence and interest, it is necessary to understand to what extent a stakeholder is influential or interested, and, eventually, what impact(s) the stakeholder can have on the project, what impact the project can have on him/her ('their stake') and how he/she can be involved (see Chapter 16) with reference to the above-mentioned opportunities and threats linked with each stakeholder).

15.4.3 Selection criteria for key stakeholders

Key stakeholders in a FSM project are those whose interest and influence are most at stake. Six criteria or 'attributes' are proposed to select them. As soon as a stakeholder matches one of these criteria, he/she should be considered as a key stakeholder:

C1 Activity linked with FS management
C2 Political power
C3 Potential support or threat
C4 Ability to get funding
C5 Ownership of a potential treatment site
C6 Potential user of a treatment endproduct

These attributes refer either to interest, influence or both, and can be classified accordingly, as shown in Figure 15.5. In this way, populating the influence-interest matrix is simplified. For example, a stakeholder who has an activity in FSM (C1) will be considered as having an interest; a stakeholder that has an activity in FSM (C1) and ability to get funding (C4) has an interest and is influential. This process is illustrated in Case Study 15.2.

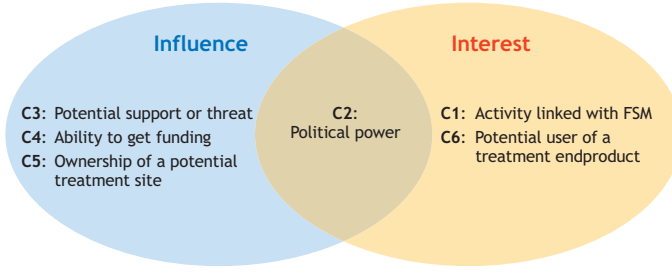

Figure 15.5 Classification of key stakeholder identification criteria according to influence and interest (figure: Philippe Reymond).

15.4.4 Amalgamation of FSM stakeholders' main characteristics and involvement needs

Table 15.3 illustrates the FSM stakeholders' typical interests and needs, opportunities for the project and actions to be undertaken in terms of involvement. Section 16.3 gives further information on how to develop a stakeholder strategy based on the stakeholder analysis, how to determine participation levels (Section 16.4) and how to determine the most appropriate involvement tools (Section 16.6).

15.4.5 Practical problems faced by faecal sludge management stakeholders

Stakeholders may experience practical problems during the planning/implementation process. They can be financial, educational, cultural or personal. The stakeholder analysis helps understand these problems, through the interviews and meetings it involves and it is part of the SWOT analysis (Section 14.2.7), as these factors can be considered as weaknesses in the current situation or threats for the process. Usually, these problems can be prevented or dealt with through information, capacity building/reinforcement, and, last but not least, diplomacy (see 'Involvement Tools', Section 16.4).

The following problems are commonly faced by stakeholders and some ways to deal with them are provided:

Lack of agency to participate:

Some important stakeholders lack influence and recognition: This can happen, for example, with manual service providers and farmers. Such groups need to be empowered, for example through an organisation such as a group or syndicate, which will enable their voice to have an appropriate influence in the planning and operation of FSM (see Chapter 16 for the selection of appropriate involvement tools). Informing the population of the importance of the service that these groups deliver and that these services may be improved with better FSM will also help to improve their status.

Some individuals cannot read, write or speak the official language: Illiteracy (either total or in the common local or official language) is disempowering. This may be particularly relevant to the lower-income groups and engagement and communication need to be adapted appropriately. Information must be adapted to the target audience. In all cases, in oral cultures, emphasis should be placed on illustrated methods of communication.

Lack of money: Many stakeholders may have very little income and project planning events may involve costs for them and be perceived as lost time for their usual business. Sometimes it is worth considering paying transport costs and food when gathering people together for meetings. Otherwise, attendance may be low, especially when considering the lowest-income groups.

Table 15.3 Typical characteristics of the main stakeholders and actions to be undertaken (adapted from Koanda, 2006)

Stakeholder categories	Main interests	Opportunities	Involvement needs and required actions
Municipal authorities	▪ Public health ▪ Cleanliness of the city ▪ Collection and management of sanitation fees	▪ Power for enforcement through regulatory framework and police ▪ Management of treatment units ▪ Link with other stakeholders, existing contracts and authorisations ▪ Development of social services	▪ Sensitisation, need for capacity building, collaboration ▪ Institutional and regulatory frameworks often need to be developed and their application enforced ▪ Often lack financial, human resources and land ▪ Involve them in the financing scheme
Regional and national authorities	▪ Respect for laws and regulations ▪ Capacity building ▪ Master plans	▪ Collaboration between agencies, development of synergies ▪ Support for baseline data	▪ Sensitisation, information
Utilities	▪ Sufficient revenues ▪ Municipal, regional or national priorities	▪ Collection, transport and treatment under the same umbrella ▪ Cross-subsidy to allow social service	▪ Collaboration, sensitisation ▪ Ensure that they act as 'public services' reaching low-income areas and not only upper-class neighbourhoods
Traditional authorities	▪ Public health	▪ Support and land property	▪ Consultation, information, sensitisation
Small-scale FS businesses ▪ **Mechanical service providers**	▪ Sufficient revenues ▪ Disposal sites close to working area ▪ Clarification of legal status, better image	▪ Increase in quality of service ▪ Lower emptying price ▪ Collaboration with manual service providers	▪ Organise in association (empowerment) ▪ Organise the market ▪ Control the respect for rules ▪ Contracts/licenses should be issued by municipal authorities
▪ **Manual service providers**	▪ Sufficient revenues ▪ Gain status, social recognition ▪ Reduce risk at the workplace	▪ Improvement of working conditions	▪ Organise in association (empowerment) ▪ Empowerment ('give them a voice') and capacity building ▪ Organise a service of collection and transport or transfer of sludge
Organisations active in sanitation	▪ Wellbeing of citizens ▪ Clean environment ▪ Capacity building ▪ Visibility	▪ Experience in sanitation advocacy ▪ Existing structures, human resources and competencies ▪ Contact with households ▪ Capacity to obtain funding	▪ Some organisation can be of great help (facilitation, experience, and international funding). ▪ Their relationship with the authorities should be investigated
Potential endusers	▪ Affordable and safe products ▪ Yield increase	▪ Increase WWTP's revenue through selling of endproducts	▪ Create enduser groups (empowerment) ▪ Market study, and willingness and capacity to pay
Households (users and owners)	▪ Affordability of collection service ▪ Clean environment	▪ Pressure on municipal authorities and service providers ▪ Pay more for a better service ▪ Better management of onsite systems	▪ Information, sensitisation for behaviour change, especially management of onsite systems ▪ Assessment of willingness and capacity to pay ▪ Advice for latrine construction

Constraints in the sludge emptying business:

Costs of sludge transport: This is a key issue for manual and mechanical service providers. The further they have to travel to discharge, the less trips they can carry out every day and, for the mechanical service providers, the higher the fuel expenses that they have. These costs are often transferred to the household, making the service unaffordable for many. This issue should be thoroughly discussed and understood before choosing treatment sites (see Section 14.4).

Lack of available land for FSM activities: This is typical where a local administration has been superimposed on the traditional land management systems and FSM activities are not mainstreamed into municipal service delivery. There are often multiple claims to land through the official and traditional land delivery systems. Resolving land conflicts can be a lengthy and often politically charged process which often gives informal or traditional land owners a crucial influence on the site selection for a FSTP.

Lack of resources/capacities:

Lack of management capacities: This is very often the case within the municipal entities. Close involvement in the FSM planning process and capacity building are beneficial, as well as exchanges with successful municipalities in the region.

Lack of human resources: Technical services are frequently understaffed, which is also a consequence of weak priority definition. Synergies with other institutions, organisations or private companies could be created during the participatory process and could relieve the technical services (e.g. delegation, and public-private partnership). The project could also employ and finance additional human resources within the municipality.

Laws incomplete and/or not enforced: Very often, the needed legal framework does not exist or is not enforced, as a result of lack of political will. Planners should help the municipal authorities to build their own legal framework, for example, through decrees issued by the mayor (see Chapter 12). If these measures are efficient, they may be taken up later at a regional or even national level.

Poor tax recovery: This can be a result of the previous point. Very often, the administration does not have the power to collect fees and, simultaneously, households are not willing to pay. This can be understood if the municipality is not providing the services that the fee is supposed to cover. In this case, transparency should be increased and the population informed.

Tensions between stakeholders:

Power games/competition: A lack of coordination and collaboration is often observed within institutions (administrative units, NGOs), between institutions and in the private sector (e.g. utilities vs. the informal sector). In some societies, information is considered to be power and there is reluctance to share it. The lack of information sharing is also a symptom of conflict of interest, overlap of institutional mandates and/or lack of an institutional home. The best way to deal with it is to pass on information and to show that working together and sharing information will be beneficial for everybody (see Chapter 16).

Lack of communication and coordination within and between agencies: This is often linked to the previous point – i.e. nobody knows what the others are doing or they take action independently, in the hope of work, prestige and/or funds. The solution to this issue is the same as pointed out above (passing on information and showing that working together and sharing information is beneficial for everybody).

Tensions between formal and informal sectors: Public water and sanitation utilities with monopolistic services are often unsupportive of small-scale entrepreneurs (Lüthi *et al.*, 2011). They may put pressure on the informal stakeholders (even when they themselves cannot provide a satisfactory service). Utilities do not obey the same logic as informal private entrepreneurs. If both categories are present, care must be taken to match their respective interests.

Awareness and behaviour:

Lack of awareness: Many stakeholders are unaware of the health and environmental burden due to lack of FSM. A lot of effort should be put into informing them and making sure that they understand the implication of each decision, in order not to have any unpleasant surprises during the implementation. Capacity building and reinforcement mainly aim to help stakeholders to take informed decisions (Chapter 15). Later on, during the implementation phase, they aim more to teach stakeholders how to deal with their respective roles and responsibilities.

15.5 IN PRACTICE: ITERATIVE SELECTION OF KEY STAKEHOLDERS

As the FSM planning process develops, knowledge of the initial situation deepens, data is gathered and more people are met, the way to proceed becomes clearer. Decisions are taken, which may have an impact on who is involved and how to move forward. Key stakeholders selected at the beginning may no longer be important, or, on the contrary, may gain importance or influence, and new stakeholders may appear. Consequently, it is fundamental to constantly observe the situation and to adapt to it. Stakeholder analysis is not only a task undertaken during the assessment of the initial situation (see Chapter 14), but it is an iterative activity throughout the whole planning process (see the *Planning Framework*, activities A, B, G, O, R and W).

For the purposes of clarity, five formal steps are proposed, which follow the planning process illustrated in the FSM planning framework (Table 17.1), and more specifically, the planning phases (see Section 17.4). These steps are considered to be primary activities of the planning process:

STEP 1: Identification and preliminary characterisation of the stakeholders (Activities A & B in the FSM planning framework)
STEP 2: Characterisation and selection of key stakeholders (Activity G in the FSM planning framework)
STEP 3: Reassessment of key stakeholders according to the validated options (Activity O in the FSM planning framework)
STEP 4: Reassessment according to the Action Plan (Activity R in the FSM planning framework)
STEP 5: Reassessment before the inauguration of the FSTP (Activity W in the FSM planning framework)

The stakeholders are continously reassessed as a function of their interest and influence with the help of the selection criteria. The main goal is to make informed decisions on how to best involve the different stakeholders in the process. The role of the process leader and his facilitator(s) is crucial. A close relationship to local stakeholders and soft skills are needed to 'feel the pulse of what is going on'.

15.5.1 STEP 1: Identification and preliminary characterisation of the stakeholders

At the beginning of the planning process, during the preparatory phase, the process leaders together with the local facilitator(s) carry out a preliminary assessment of the initial situation and a first inventory of stakeholders (Activity A). Then, at the beginning of the preliminary studies, they extend the first contact into a formal identification and preliminary characterisation of the latter (Activity B), before the official launching of the project. This makes it possible to get a first idea of who is there

and who has to be involved, which will be used as a basis to send out invitations for the launching workshop. Great care should be taken not to miss out any influential person at this stage; otherwise the project could get off on the wrong foot.

A preliminary stakeholder table and a first diagram of relationships can be drawn, as illustrated in the Case Study 15.1. It is important to immediately begin to consider the relationships between the stakeholders. These relationships will become clearer throughout the process, and will be best understood through informal discussions.

The two outputs of Step 1 of the stakeholder analysis are:
- a draft of the stakeholder table; and
- a diagram of the relationships.

The main goal in this step is to find out who the stakeholders are and how best to involve them during the preliminary studies, for example, who to invite to the launching workshop and who to interview.

Case Study 15.1: Stakeholder analysis in a medium-sized West African city – Part I
(Adapted from Reymond, 2008)

STEP I – Identification and preliminary characterisation of the stakeholders and their relationships
(Activities A & B in the FSM planning framework, Table 17.1)

In this theoretical example, consultants have the task of designing a new FSM system for a medium-sized secondary city in West Africa. During the first few weeks in the field, they identify the FS stakeholders and make a preliminary characterisation. Three mechanical emptying service providers are working in the city, permanently or temporarily, two of them being private (mechanical service providers 1/2), and the third working as an NGO (NGO1). Sanitation is managed by the municipal authorities, which follow the rules of various Regional Directions (e.g. Public Health, Urban Planning, etc.). The latter have no political power but may threaten the project. In parallel, the city is ruled by traditional leaders, which own most of the land. Three other NGOs (NGO 2/3/4) are active in sanitation, especially in solid waste management. Farmers and cattle breeders who are potentially interested in the endproducts of the FSTP are present both in and outside the city. This relationship is shown in Figure 15.6.

NGO1 receives funds from abroad and owns a potential treatment site. Moreover, its leader is quite influential in the city. NGO2 is an international NGO, with important financial resources and influence on the municipality. NGO3 owns a potential site. NGO4 provides a small-scale solid waste collection service.

Households are the main users of the future system and have the biggest 'stake' of all the stakeholders. It is extremely important to understand their current practices, main constraints and needs.

The results of this first phase are summarised in a stakeholder table (see Section 15.4.1) and in a diagram of relationships (Figure 15.4). Soon after that, the launching workshop of the planning process is organised. Knowledge about the stakeholders will then be increased during the assessment of the initial situation.

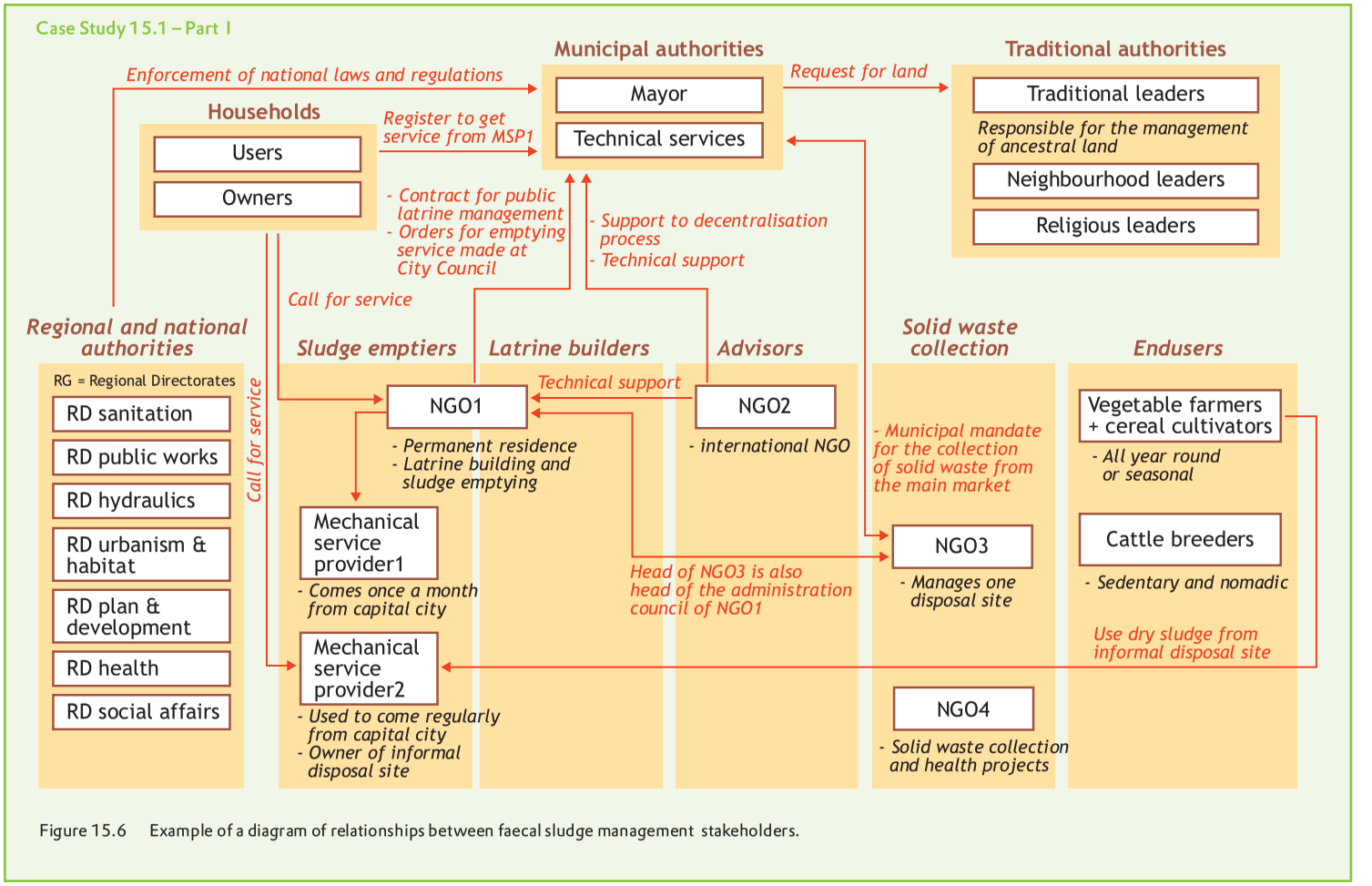

Figure 15.6 Example of a diagram of relationships between faecal sludge management stakeholders.

15.5.2 STEP 2: Characterisation and selection of the key stakeholders

At the end of the preliminary studies, i.e. the assessment of the initial situation, the characterisation of the stakeholders is refined (Activity G). At this stage, the sanitation practices and needs, potential organisational modes and potential sites for treatment are identified. The vague groups of people at the beginning have become people that the process leaders now know individually. A detailed stakeholder table can be developed. Based on the accumulated knowledge, the influence and interests of each stakeholder can be assessed and the key stakeholders identified, based on the criteria presented below. This results in the first influence-interest matrix, as shown in Case Study 15.2.

The outputs of Step 2 of the stakeholder analysis are:

- a detailed stakeholder table;
- an influence-interest matrix; and
- an updated diagram of relationships.

The main goal in this step is to find out how best to involve the stakeholders during the feasibility study. It is especially important to determine who to involve for the detailed evaluation of the options and, at the end of the phase, for the validation of the selected scenario. Forgetting a key stakeholder in the validation of options may have severe negative impacts later on in the planning or implementation process.

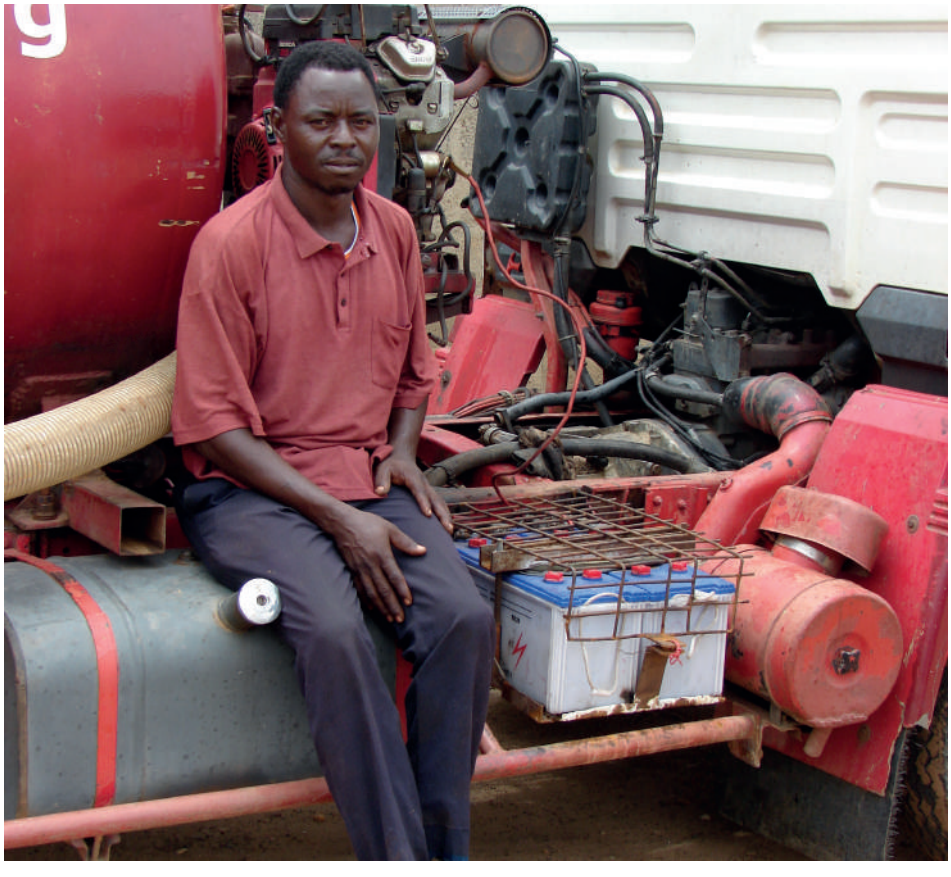

Figure 15.7 Faecal sludge truck driver in Togo (photo: Philippe Reymond).

Case study 15.2: Stakeholder analysis in a medium-sized West African city – part 2

(Adapted from Reymond, 2008)

STEP 2 – Characterisation and selection of the key stakeholders

(Activity G in the FSM planning framework, Table 17.1)

At the end of the preliminary studies, the process leader has a greater knowledge of the different stakeholders, which enables the preparation of a detailed stakeholder table and the selection of key stakeholders according to the proposed criteria. The process is illustrated in Table 15.4 with the information provided in Step 1 of the case study. Based on this information, the corresponding influence-interest matrix can be completed (Figure 15.8).

Table 15.4 Matching stakeholders with selection criteria in a stakeholder table

Stakeholder	Criteria					
	C1 Activity FSM	C2 Political power	C3 Support threath	C4 Funding	C5 Ownership site	C6 Enduse
Municipal authorities		■	■	■		
Regional Directorates			■			
Traditional authorities			■		■	
Mechanical service provider 1	■					
Mechanical service provider 2	■				■	
NGO1	■		■	■	■	
NGO2			■	■		
NGO3			■			■
NGO4			■		■	■
Farmers						■
Cattle breeders						■
Households	■		■			

	Low influence	*High influence*
Low interest		Regional Directorates Traditional authorities NGO2
High interest	Mechanical service provider 1 Farmers Cattle breeders	Municipal authorities Households NGO1 Mechanical service provider 2 NGO3 NGO4

Figure 15.8 First influence-interest matrix.

15.5.3 STEP 3: Reassessment of the key stakeholders according to the validated options

Once the selected options have been validated by all the stakeholders at the end of the feasibility study (Activity N), the process leaders should reassess the key stakeholders in order to select who will be closely involved in the preparation of the Action Plan/Detailed Project Development and define the roles, responsibilities and training needs (Activity O). At this stage, scenarios for the allocation of roles and responsibilities in the future FSM system are already roughly defined based on the detailed evaluation of selected options, and the selection of stakeholders is more at the individual than group level. In the stakeholder table, the 'Interests' and 'Opportunities/threats' columns can be replaced by a 'Roles and responsibilities' column, as shown in Table 15.5; the column 'Impacts' is no longer necessary.

Table 15.5 Stakeholder table adapted for the Action Plan development and implementation phases

Stakeholders	Roles and responsibilities	Strengths	Weaknesses	Relationships	Involvement needs
Stakeholder a					
Stakeholder b					
Stakeholder c					
...					

The roles and responsibilities of the key stakeholders can be categorised into four broad components, as illustrated in Case Study 15.3:

Construction, including the detailed design of the treatment plant.

Management, including 1) the detailed definition of the roles and responsibilities for implementation and O&M; 2) institutional arrangements and conventions between stakeholders; 3) securing financial and institutional mechanisms; 4) capacity building and required job creation.

Enduse, including endproduct marketing and sale channels.

Information: focus on the stakeholders that have to be regularly informed, be it for diplomatic reasons or awareness raising (e.g. households).

A stakeholder can be part of several of these components. These components, which may be further divided in sub-components, shape different groups; these groups, according to the involvement level needed, will become discussion groups (or 'focus groups') - related to the different aspects to be settled in the Action Plan (Section 17.4.3), target groups (in the case of information campaigns, for example) or groups to be invited to workshops (Chapter 16).

The outputs of Step 3 of the stakeholder analysis are:
- an adapted stakeholder table;
- an updated influence-interest matrix; and
- a list of stakeholders for each component.

This step has two main goals: firstly, to determine which stakeholder to involve in which aspect of the action planning and how; and secondly, to anticipate the involvement of stakeholders during the implementation phase, so that it is possible to give any necessary training early on enough in the process.

Case Study 15.3: Stakeholder analysis in a medium-sized West African city – part III

(Adapted from Reymond, 2008)

STEP 3 – Reassessment of key stakeholders according to the validated options

(Activity O in the FSM planning framework, Table 17.1)

The feasibility study showed that co-composting is not an option in this context, that cattle breeders are not interested in buying forage (a potential endproduct) and that a few sites identified at the beginning of the process are not appropriate for a FSTP. In other words, the two NGOs involved in solid waste management have lost influence and cattle breeders have lost interest in the project. As for the mechanical service provider 2, it has lost influence because of the inappropriateness of its site, but remains important, as it is still working with sludge. These changes are reflected in the grey blocks in Table 15.6, which results in an updated influence-interest matrix (Figure 15.8).

Table 15.6 Case study – reassessing stakeholders according to findings

	Criteria					
Stakeholder	**C1 Activity FSM**	**C2 Political power**	**C3 Support threath**	**C4 Funding**	**C5 Ownership site**	**C6 Enduse**
Municipal authorities		■	■	■		
Regional Directorates			■			
Traditional authorities			■			
Mechanical service provider 1	■					
Mechanical service provider 2	■					
NGO1	■		■	■	■	
NGO2			■	■		
NGO3			■			
NGO4			■			
Farmers						■
Cattle breeders						
Households	■		■			

Options that are not appropriate in the given context

	Low influence	High influence
Low interest	Cattle breeders	Regional Directorates Traditional authorities NGO2 NGO3 NGO4
High interest	Mechanical service provider 1 Mechanical service provider 2 Farmers	Municipal authorities Households NGO1

Figure 15.9 The updated influence-interest matrix (step 3).

In preparation for action planning, the key stakeholders are categorised as shown in Figure 15.10. In this case, it is already clear that NGO1 will have an important role in the construction and management of the FSTP, in collaboration with the municipal authorities and the Regional Directorate for Public Works. As well as NGO1 and the municipal authorities, discussions concerning the management schemes will involve all the mechanical service providers (there are no manual service providers in this city). In terms of enduse, there is a strong interest on the farmers side, and discussions will involve representatives of the farmer associations, NGO1, the municipal authorities and the Regional Directorate for Health on the modalities for enduse of the sludge and treated effluent coming out of the new FSTP. Finally, the other influential stakeholders will be kept informed of the project developments, culminating in this phase with the official presentation and validation of the Action Plan (Activity Q in the FSM planning framework, Table 17.1).

Construction	Management	Valorisation	To be informed
Municipal authorities	Municipal authorities	Municipal authorities	Households
NGO 1	NGO 1	NGO 1	NGO 2
RD public works	Mechanical service provider 1	Farmers	NGO 3
	Mechanical service provider 2	RD health	NGO 4
	RD sanitation		Regional Directorates
			Traditional authorities

Figure 15.10 Categorisation of the key stakeholders into four groups for the detailed project development.

15.5.4 STEP 4: Reassessment according to the Action Plan

Once the Action Plan/Detailed Project Development has been validated (Activity Q), roles and responsibilities in the future FSM system are clearly defined and allocated. The reassessment of key stakeholders at this stage (Activity R) will help to identify the strengths, weaknesses and capacity-building needs before implementation. New key stakeholders may emerge, like contractors and future FSTP operators.

Section 17.3 describes the roles and responsibilities linked to the Action Plan and the implementation phase, while Sections 16.5 and 16.6 give information about the formalisation of the roles & responsibilities and training and capacity-building needs respectively. Chapter 12 focuses on the institutional frameworks, and gives further details about stakeholder involvement at this step.

In brief, important aspects for the stakeholders include:
Construction: recruitment of contractors for construction and O&M, monitoring of the construction and start-up of the system;
Management: organisation of the sector, transfer of roles & responsibilities and capacity-building;
Information: especially an information campaign on the future FSM system and its implications; and
Training and capacity-building.

The outputs of Step 4 of the stakeholder analysis are:
- an updated stakeholder table (Table 15.4); and
- an updated influence-interest matrix.

The main goal of this step is thus to finalise roles and responsibility allocation for the implementation phase and define the involvement needs, especially for information and training.

15.5.5 STEP 5: Reassessment before the inauguration of the faecal sludge management plant

This reassessment (Activity W) mainly aims at building on lessons learnt during the implementation stage, identifying any remaining needs in capacity-building and filling any gaps. It also ensures that the O&M plan is properly in place and to confirm roles and responsibilities for the monitoring of the system.
The output of Step 5 of the stakeholder analysis is an updated stakeholder table.

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End of Chapter Study Questions

1. Explain why the stakeholder analysis process is vital in FSM.

2. Stakeholders who should be involved in FSM planning process can be classified in a number of categories. What are five of these categories?

3. What are the challenges faced by manual and mechanical service providers in the FS emptying business?