



# STAKEHOLDER PARTICIPATION COURSE

## MODULE 4: SP PLANNING

**SP processes can be applied in different settings and with different purposes and thus need to be planned case-by-case. Using examples, Module 4 of the course will explore different situations where SP approaches can be applied and evaluated.**

**The notes presented for this module are drawn from:**

[1] Institute for Regional Planning and Urbanism (VÁTI), Centre for Regional Studies, Central and Northern, Hungarian Research Institute (RKK/CRS), Government Service for Land and Water Management (DLG), and International Agricultural Centre (IAC), 2005. Practice of Integrated Rural Development (PRIDE) – A Guide for Participatory Planning in Hungary.. [www.vati.hu/download.php?ctag=download&docID=3655](http://www.vati.hu/download.php?ctag=download&docID=3655)

[2] ELI, 2007. Public Participation in International Waters Management—A Handbook. Draft for Review. Environmental Law Institute.

[3] DEAT, 2002. Stakeholder Engagement, Integrated Environmental Management, Information Series 3, Department of Environmental Affairs and Tourism (DEAT), Pretoria. [http://www.environment.gov.za/Services/documents/Publications/eia\\_info\\_series\\_stakeholder\\_engagements\\_24062003.html](http://www.environment.gov.za/Services/documents/Publications/eia_info_series_stakeholder_engagements_24062003.html)

### OPPORTUNITIES FOR SP

Stakeholder participation processes may be needed with different purposes and ranging in scope from local to transfrontier contexts: from, for example, the assessment of a regional multi-country programme, to the formulation of a national policy, the preparation of an integrated development plan for a municipality, a stakeholder consultation process as part of an environmental impact assessment or a specific project assessment.

**Examples of opportunities for stakeholder engagement  
in integrated environmental management [3]**

	Planning and Assessment	Implementation and Management
International Governance	<ul style="list-style-type: none"> <li>• Involvement in international agreements e.g. Kyoto Protocol - Intergovernmental Panel on Climate Change (IPCC).</li> </ul>	<ul style="list-style-type: none"> <li>• Joint implementation, Clean Development Mechanisms and carbon trading opportunities as provided for in the Kyoto protocol.</li> </ul>
National & Regional Governance	<ul style="list-style-type: none"> <li>• Development of policy, legislation and regulations at national, provincial and local government level.</li> <li>• Negotiation of voluntary agreements between government and industry.</li> <li>• Allocation of natural resource extraction quotas and licences.</li> </ul>	<ul style="list-style-type: none"> <li>• Implementation and review of environmental management co-operation agreements (EMCAs).</li> <li>• Water allocation and licensing through catchment management agencies.</li> </ul>
Programmes	<ul style="list-style-type: none"> <li>• Development of natural resource management strategies.</li> <li>• Strategic environmental assessment.</li> <li>• Sectoral multi-stakeholder reviews e.g. Mining, Minerals and Sustainable Development (MMSD) project, World Commission on Dams (WCD).</li> </ul>	<ul style="list-style-type: none"> <li>• Implementation and review of the Reconstruction and Development Programme.</li> <li>• Partnerships between government, business and civil society.</li> </ul>
Plans	<ul style="list-style-type: none"> <li>• Development planning (e.g. integrated development plans).</li> <li>• Strategic environmental assessment.</li> <li>• Sector planning (e.g. energy planning, integrated catchment management plans).</li> <li>• Town and regional planning.</li> <li>• Community-based planning.</li> </ul>	<ul style="list-style-type: none"> <li>• Implementation and review of strategic environmental management plans.</li> <li>• Implementation and review of integrated catchment management plans.</li> </ul>
Projects	<ul style="list-style-type: none"> <li>• Environmental impact assessment.</li> <li>• Risk assessment.</li> <li>• Development of project-level environmental management plans/programmes and policies.</li> <li>• Development of project-level resettlement action plans.</li> <li>• Socially responsible investment (investment screening).</li> </ul>	<ul style="list-style-type: none"> <li>• Risk management.</li> <li>• Waste management.</li> <li>• Community-based natural resource management.</li> <li>• Implementation and review of environmental management plans/programmes/policies.</li> <li>• Environmental monitoring committees.</li> <li>• Socially responsible investment (shareholder activism).</li> <li>• Partnerships between government, business and civil society.</li> </ul>

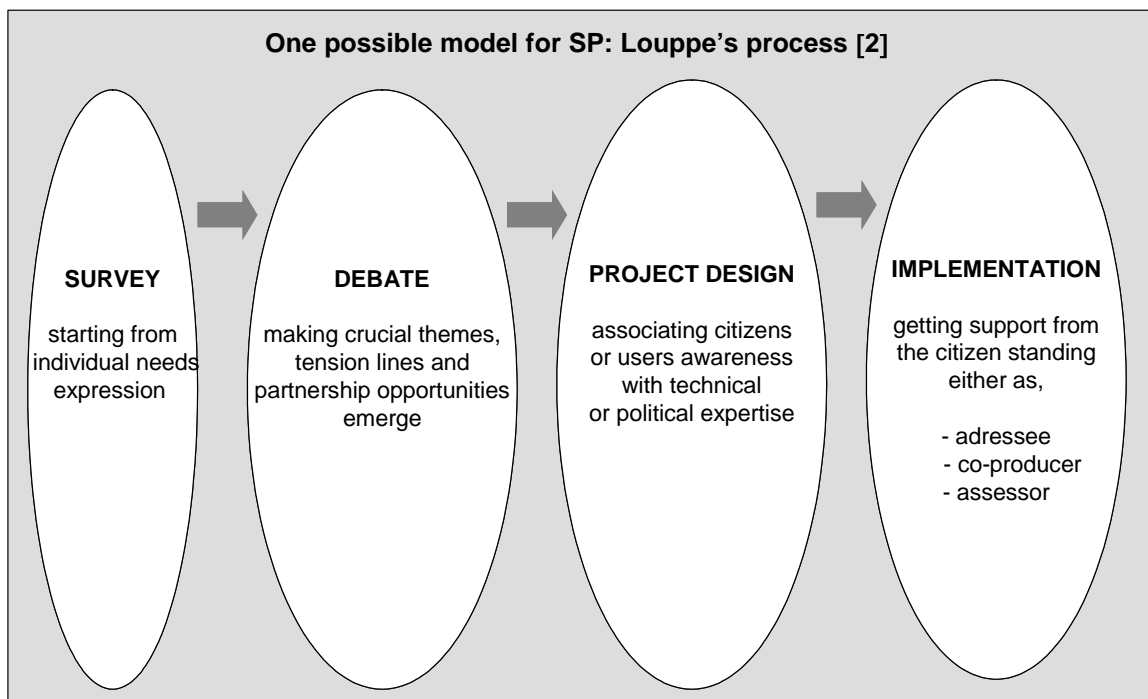
**DIFFERENT SP MODELS**

There is no single model to conduct a stakeholder participation process. The process will need to be tailored to the objectives, context and resources available. In simple terms, however, a SP process can entail the following steps:

- 1. Define what you want to achieve, what the objectives are.** There are different motivations to engage stakeholders—informing, consulting or collaborating (see Module 3a). SP processes may be used, for example, to raise awareness of a new Development Plan, to gather and incorporate stakeholder views in the formulation of a new policy, to consult on the potential impacts of a proposal, to decide jointly on a project plan, to ascertain constituents’ preferences in an election, etc. The level of engagement, and hence the way the process is designed and planned, will vary and need to be adapted to the objectives set for stakeholder participation. The design of the process will also be

determined by the existing social context and the resources available for engagement activities.

2. **Define who the stakeholders are and what their interest/ potential role in the process is.** Identifying the stakeholders is a crucial step in any SP process. Through a stakeholder analysis, the different stakeholder groups will be identified, and their interests and potential influence determined (see Module 2). Dependent on this step are the identification of information to be disseminated and gathered from stakeholders as well as the selection of the different communication channels to be used (see Module 3c).
3. **Plan communication/ participation activities.** With all the above information in place, a communication plan can be prepared and implemented (see more below). Ideally, this planning should involve stakeholders themselves. Based on the key audiences, messages and communication tools that have been identified, an implementation plan can be prepared with details on who is responsible for what action, by when, how, and at what cost.
4. **Do not assume it is a success—measure and adjust approach.** The success of the stakeholder participation process should be measured against the objectives initially set. Both quantitative and qualitative indicators can be defined and used for this assessment (see more below).



## COMMUNICATION PLAN

When planning communication, it is sometimes tempting to take a very broad problem as a starting point and start immediately preparing communication activities. However, the result is often that the target is missed and the problem remains untouched [1]. It is important hence to start from the needs expressed by stakeholders and identifying the communication objectives accordingly. These objectives can be formulated by thinking of the results, in terms of knowledge, attitudes, behaviour or problem solving capacity, that each group of participants should be expected to achieve by the end of the initiative. Each of these results then translates into an objective [1].

### Elements of a communication plan [1]

**Background:** a brief description of the background to the project/ initiative and the outcomes to be achieved with the stakeholder participation process.

**Objective(s):** the purpose of communicating and what is expected from the implementation of the communication plan. It is best if these objectives can be set out in concrete and observable terms, because that will greatly facilitate subsequent evaluation.

**Target Audience(s):** key target stakeholder groups for the communication plan.

**Key Messages:** key messages that you want stakeholders to understand and act upon.

**Communication Tools:** specific tools and channels that have been identified as suitable to communicate with the different stakeholder groups.

**Communication Strategy Action Plan:** a more detailed plan identifying the target audience, aims, methods, who, when and the costs associated for each action.

Before starting to develop each component of the communication strategy, it is crucial to have a good understanding of the issue/ project at stake, the key stakeholders, and appropriate communication methods. Below are some considerations for the process of developing a communication plan [1].

**Who is the target audience?** The target audience is developed by examining the stakeholders, their information needs in relation to their roles and responsibilities in the process, the information networks they currently use, and their size and diversity.

**What are the key messages for stakeholders?** Identify the three or four key points you want stakeholders to understand and act upon. The messages should be formulated in a way that the target audience will appreciate them and that is suitable to the result expected from dissemination (informing, motivating, changing an attitude or practice, etc).

**Which communication tools are most suitable?** There is a whole range of communication methods and tools that can be used to convey information to stakeholders (Module 3a). The most effective and appropriate tools may vary between stakeholders or between phases in the process.

Examples of communication tools [3]		
<b>"Group" media tools:</b>	<b>"Mass" media tools:</b>	<b>Interpersonal communication tools:</b>
Photography	Rural radio broadcasting	Discussion and debate
Video recordings	Local press reporting	Visioning sessions
Audio recordings		Visits, tours, exhibitions
Posters	<b>"Traditional" media tools:</b>	Group discussions
Image boxes	Theater	
Illustrated folders	Traditional songs and sayings	

Mass media such as radio, television and printed materials can be very useful when a large audience has to be reached within a relatively short time. These mass media can set the public agenda and influence what people talk and think about, as well as transfer knowledge and form and change opinions if the receivers do not already have one.

Interpersonal communication tools, in turn, such as discussions, training activities, exchanges of e-mail, and conversations allow for more feedback and can address the individual needs of the target groups better. They will hence be more suitable than mass media if the objective is to change attitudes and behaviour of the target audience. However, in terms of time and costs per individual member of the target audience, most forms of interpersonal communication are more expensive than those of mass media.

**What are the implementation details?** For each action in the communication plan, it is necessary to specify who will be responsible for implementing each action; when the action must be implemented; and what the costs associated with each action are.

Elements of a Communication Strategy Action Plan [1]					
Target Audience / Stakeholder Group	Aim	Communication Tools	Who to Action?	By When?	Costs?
<ul style="list-style-type: none"> <li>– Who will benefit from the project?</li> <li>– Who should be involved in the implementation of the project?</li> <li>– Who are the sub-groups and the target audience within them?</li> </ul>	<ul style="list-style-type: none"> <li>– What do you intend to communicate to the stakeholder(s) groups?</li> <li>– What are the key points stakeholder(s) groups need to understand and act upon?</li> </ul>	<ul style="list-style-type: none"> <li>– What communication methods / tools are most appropriate for the stakeholder(s) groups? (e.g. electronic, verbal, written communications?)</li> </ul>	<ul style="list-style-type: none"> <li>– Who will be responsible for implementing each action?</li> </ul>	<ul style="list-style-type: none"> <li>– When must the action be implemented?</li> </ul>	<ul style="list-style-type: none"> <li>– What are the costs associated with each action?</li> </ul>

## MONITORING AND EVALUATING

Stakeholder participation is a complex process, usually integrated into other project or initiative components, and hence does not have easily quantifiable results. For that reason its success often needs to be measured in qualitative terms. Both qualitative and quantitative indicators can be used to assess stakeholder involvement. The starting point to develop these indicators should be the initial objectives for the stakeholder participation process.

In general, indicators should measure empowerment and capacity issues (e.g., changes in stakeholders' knowledge, perceptions, practices); take into account limitations due to language, gender, economic, and cultural contexts and biases; and be disaggregated by gender, socioeconomic status, indigenous or minority community membership, government, and private sector in order to assess progress made within different stakeholder groups [2].

### Examples of Quantitative Indicators of Participation [2]

- Numbers of stakeholder workshops/meetings and attendance levels of various stakeholder groups;
- Number of institutions (formal and informal) created for stakeholder representation in project activities;
- Number of women, indigenous groups, or other traditionally under-represented stakeholders represented at meetings, workshops, or on stakeholder institutions;
- Number of local stakeholders assuming responsibility for project implementation;
- Increase in legal or regulatory provisions (at the national or regional level) for participation in activities relating to the issue at stake;
- Number of information products created and disseminated to stakeholders;
- Number of comments received on project documents or in the context of other project decisions;
- Number of comments incorporated into project decisions/documents;
- Number of "hits" on project website;
- Existence of information databases or other physical access points for stakeholders.

### Examples of Qualitative Indicators of Participation [2]

- Quality and timeliness of information available to stakeholders on project structure, goals, activities and outcomes;
- Concern of different stakeholders to be involved in project decision-making and implementation;
- Capacity of stakeholders to contribute meaningfully to project decision-making and implementation;
- Representation of stakeholder values in project decisions;
- Increased equity in participation among stakeholder groups (where there was initially a power differential);
- Quality of stakeholder interactions;
- Reduced potential for conflict among stakeholders;
- Effectiveness of stakeholder institutions in representing stakeholder values and participating in project decision-making and implementation.