

STAKEHOLDER ANALYSIS GUIDELINES

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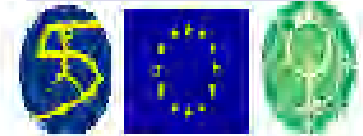
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LUDA is a research project of Key Action 4 "City of Tomorrow & Cultural Heritage" from the programme "Energy, Environment and Sustainable Development" within the Fifth Framework Programme of the European Union.

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**LUDA
PROJECT**

Improving the quality of life in
Large Urban Distressed Areas

VK4 – CT 2002 - 00081

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The stakeholder is, in general, anyone who feels that will be affected by the outcomes of the assessment or decision-making process.

Direct stakeholders groups range from citizens, via private developers and service providers to planners and policy makers

The interests, needs and wants of these groups can vary significantly.

Participation is one way of encouraging social inclusion and that it should be used in conjunction with other strategies to help in regeneration or development process.

Participation encourage more debate about the methods to use in ensuring a more mature and balanced approach, which focuses on including the community and takes into account participating with other external bodies having a bearing on the sustainability of urban regeneration (Jones, 2003).

The extent to which stakeholders get involved will vary according to the characteristics of the assessment process and should reflect the significance of the decision at hand.



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Who should be involved?

Diversity and plurality of perspectives that cross-cuts a range of stakeholder groups helps ensure that singleminded views and objectives are avoided and that each group sees their own position and needs in relation to others (Jones, 2003).

Direct stakeholders are those immediately affected, whereas **indirect stakeholders** are those impacted upon at a distance (of either time or space).

Typically planning systems only account for direct impacts and do not take indirect stakeholders into account.



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There are two overriding reasons for involving stakeholders in a planning process. One is for obtaining much-needed information on **'what is important to whom and why'**, i.e. Recognising stakeholders' **values and expectations**

The main steps

1. Identification of stakeholder groups
2. Investigation of the possible roles the given group can play in regeneration and assignment of responsibilities. Among others, it involves engaging administrative authorities: of the area, of the neighbouring jurisdiction areas, also on higher organisational tiers
A specially appointed team may be necessary to carry out the assessments
3. Ideally, the establishment of a communication platform (in the form of meetings, workshops various forms of activities) between different stakeholders.

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The three main groups of the stakeholders commonly considered are:

- the **external decisive group** (state, regional and local authorities, city administrators, planning officers, designers, architects, landscape architects and engineers, consultancies and external experts),
- the **external/internal influencing group** (development agencies of several levels, service providers, infrastructure owners, facilities managers, real estate and property developers, research institutions), and
- the **internal group of local interests** (locally operating and settled businesses, nongovernmental institutions, educational institutions and citizens).



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Why should stakeholders engage?

In a broader sense, participation can help:

- in developing a more sophisticated understanding of the complex challenges communities face;
- identifying their interests through active campaigning, displaying posters, attending rallies or meetings, and donating money or time;
- encourage local communities, who are often the best sources of local knowledge and expertise (for example, as consumers, as residents in a locality, as victims of crime, as people who are long term unemployed or chronically sick or disabled) to voice their opinion;
- offer greater scope for being socially-inclusive by bringing different stakeholder parties together; and
- incorporate different perspectives to the views of the professional or political elite, thereby leading to more inclusive decision-making



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When should engagement take place?

Time is a significant resource in making effective connections and building up trust between stakeholders. Building robust community structures and involving local people cannot be achieved quickly. ■

Timing is just as important as allowing enough time for such structures to develop.

Good **participatory-orientated schemes** require the involvement of citizens and business in the target area at the earliest possible stage in the regeneration process to ensure that plans are focused and are based upon realistic expectations within the given time-frame (Burton, 2003).



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The typology of stakeholders

Policy makers	Planners	Private investors	Service providers	Citizens
Elected officials	Town planners	Property developers	Transport and utility service providers	People who live in a particular neighbourhood
City administrators	Designers (i.e. architects, urban designers, landscape architects)	Building and infrastructure owners	Facilities managers	People who work locally (business owners and staff)
Local authorities	Consultants (e.g. environmental consultants)	Banks and other infrastructure owners	Marketing officers	Community group leaders and members
Government agencies	Development control officers	Entrepreneurs	Health and safety officers	
Non-government organisations (NGO's)			Insurers	
Research institutions				

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1. Collaboration and consensus building

stakeholders are actively engaged across a range of activities and constantly involved. To achieve this it is vital that communities not only collaborate, build consensus and develop integrated strategies, but have the capacity needed to be engaged in the efforts required to make the process sustainable.

2. Partnership- corporate commitment

The significance of partnerships lies in their ability to overcome divisions that have previously undermined the process. Partnership places the values, norms and rules of the civic authorities in the public domain and makes the decision-making process between the citizens, businesses and government sectors transparent and accountable. While marking a significant step forward, the emerging civic culture of the organisational structure for the governance of the development process does come up against the vexed question of leadership.

3. Leadership

Assuming the community-based approach to sustainable urban regeneration is adopted by a partnership, the question still remains as to how the civic authority can develop the leadership best able to drive the regeneration process forward?



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Among the recognised stakeholders, groups of **active participants** (actors) and **passive stakeholders** can also be recognized.

While local actors of decision-making and investment powers usually play an active role in the process, because of their ability to influence the shape of the regeneration process, the role of the local communities and other non-governmental institutions has traditionally been limited to a passive observation of the process, out of which, frustration can arise.

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The challenge

Communities are required to **collaborate and finding consensus**. It requires strategic alliances and coalitions to form, developing the capacity for stakeholders to participate in and lead regeneration process. This requires that **integrated strategies and cross-cutting measures do more than define the nature of the problem**. It requires the community to **develop a vision** of the regenerated urban district and neighbourhoods. This vision then provides the **policies for making the regeneration and development processes sustainable**. In turn these policies provide a basis for planning the development and regeneration as well as programming and implementing projects.

- Using the 'community of practice'



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Criticism, obstacles

This means that certain groups are very unlikely to join in unless they are specifically targeted.

The **exclusion of children and young adults** is a major issue, as is the low level of **ethnic minority participation**.

Time demands

Community conflicts and suspicion of local government officials or community development officers

It is unrealistic to think that all stakeholders will be represented in the most democratic manner; participation has long been characterised as a minority activity.

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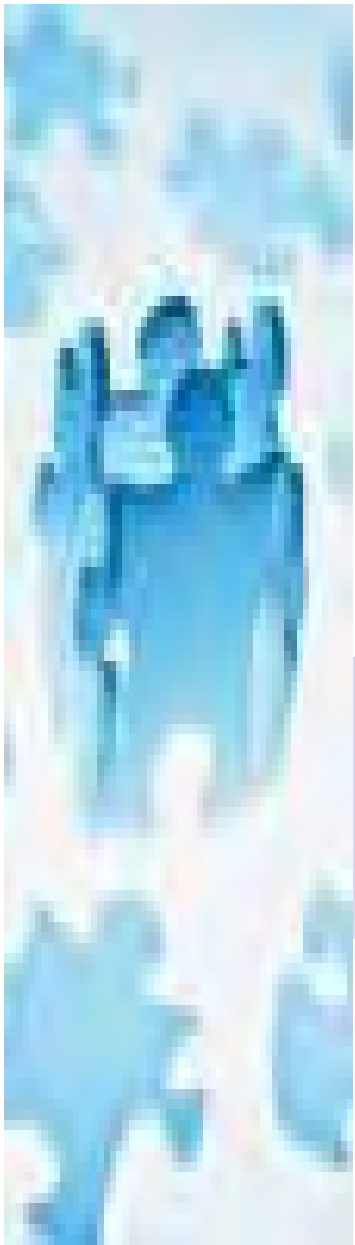


Table 2: A typology of participation in projects and programmes

Typology	Characteristics of each type
1. Manipulative participation	Participation is simply a pretence, with 'people's' representatives on official boards but having no power.
2. Passive participation	Involves unilateral announcements by an administration or project management without listening to people's responses. The information being shared only belongs to external professionals.
3. Participation by consultation	People participate by being consulted or by answering questions. External agents define problems and information gathering processes and so control analysis. Does not concede any share in decision-making and professionals are under no obligation to take on board people's views.
4. Participation for material incentives	People participate through contributing resources labour or volunteering time—in return for incentives. It is very common to call this participation, yet people have no stake in it once the incentives end.



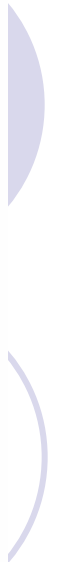


5. Functional participation	Participation seen by external agencies as a means to achieve project goals, especially reduced costs. People may participate by forming groups to meet pre-determined objectives related to the project. Such involvement may be interactive and involve shared decision-making, but tends to arise only after major decisions have already been made by external agents. At worst, local people may still be co-opted to serve external goals.
6. Interactive participation	People participate in joint analysis, development of action plans and formation or strengthening of local institutions. Participation is seen as a right, not just the means to achieve project goals, based upon seeking multiple perspectives. As groups take over local decisions and determine how available resources are used, so they have a stake in maintaining structures or practices.
7. Self-mobilisation	People participate by taking initiatives independently of external institutions to change systems. They develop contacts with external institutions for the resources and technical advice they need, but retain control over how resources are used. Self-mobilisation can spread if governments and NGOs provide an enabling framework of support. Such self-initiated mobilization may or may not challenge existing distributions of wealth and power.



Table 4: Stakeholder groups involved in the application of the main methods

Main methods	Stakeholder groups				
	Policy makers	Planners	Private investors	Service providers	Citizens
Community Impact Evaluation					
Cost benefit analysis					
Ecological Footprint					
Economic Impact Assessment					
Environmental impact assessment (EIA)					
Life cycle analysis (LCA)					
Multi-criteria analysis (MCA)					
Quality of Life Assessment					
Social cost-benefit analysis					
Social Impact Assessment					
Strategic Environmental Assessment (SEA)					
Sustainability Appraisal					
Prospective Process through Scenarios (PPtS)					



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Web-based participation

Electronic and Internet-based technologies are being used more and more as a means to increase and widen participation in decision-making processes.

Web will 'generate a new public sphere supporting interaction, debate, new forms of democracy and 'cyber cultures' which feed back to support a renaissance in the social and cultural life of cities'.



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Plán města Chvaletice - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Home Search Favorites Refresh Print Mail Print Mail Print Mail

Address http://www.uzemniplany.cz/chval_plan/index.htm Links >>

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PLÁN MĚSTA CHVALETICE

Mapa čísel popisných a technická mapa města

Plán města Technická mapa ?

Aktuální stav k 31. prosinci 2001

1x 2x 4x 8x

Hornická čtvrť >>

Technická mapa města Chvaletice

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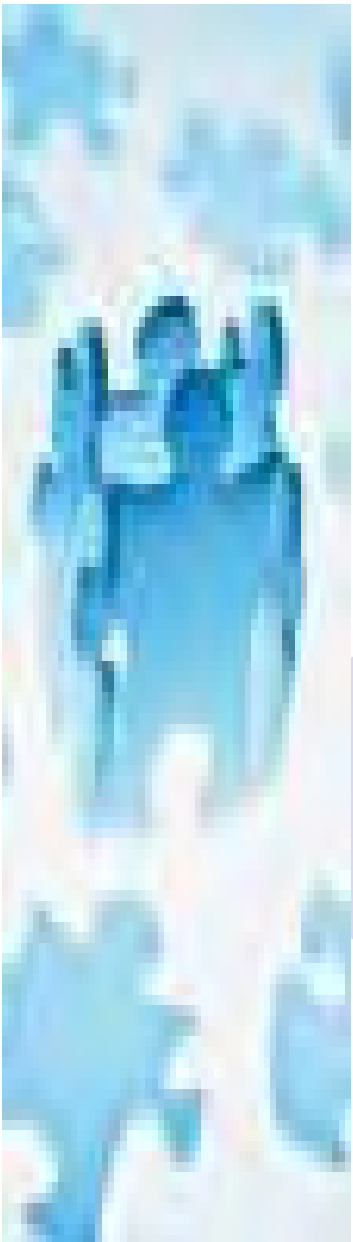
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IT Advantages

- Interact with a digital map of the village to assist in visualisation and navigation
- Ask questions such as 'what is that building?' or 'what is this road?',
- Store user inputs into the planning process and build up a database of users for future analysis and feedback,
- Submit and register comments and views on the system in a way that does not permit other users to view other people's comments,
- Use the system anytime, anywhere, and without having to attend public meetings.

IT Disadvantages

- Difficulties concerning ownership and copyright of the information and data - the Ordnance
- Survey holds copyright over most maps.
- The expense of the system.
- The necessary skills and know-how may not be in place in all cases.
- The public need to be considered: do they understand how the system works and are they comfortable using IT?



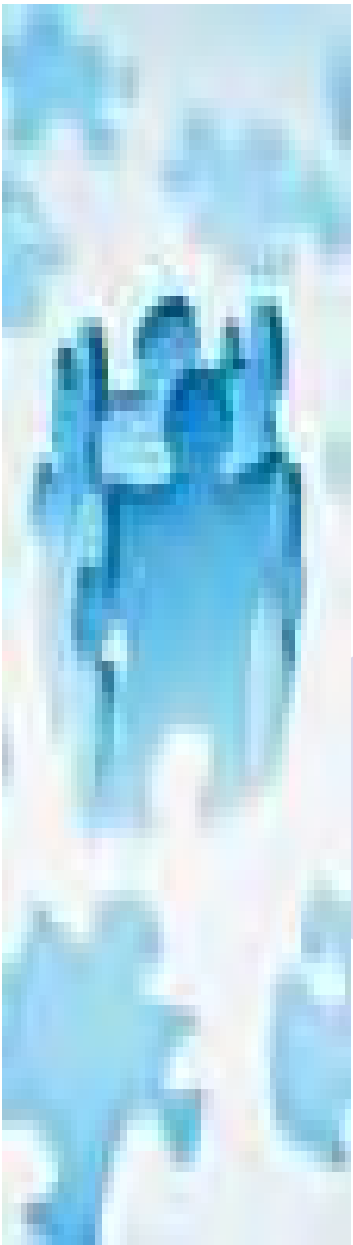
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Diagnosis: baseline assessment

This is the first step every process. The overall aim is to investigate and recognise the baseline in terms of environmental, social and economical situation.

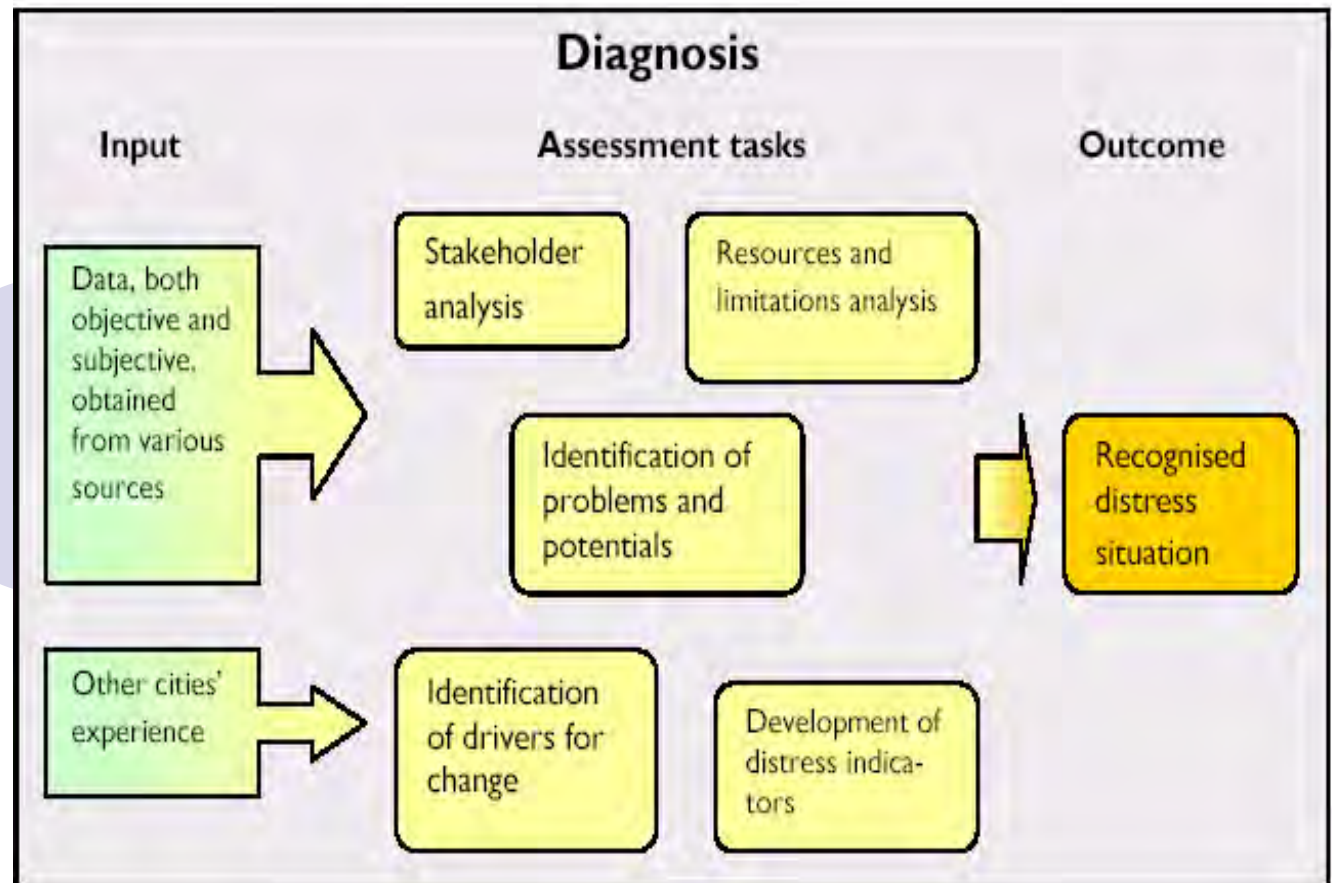
The diagnostic stage is crucial tailored to its problems and potentials, and needs of stakeholders.

The information obtained in the diagnosis steps establishes the appropriate extent and direction of the actions, and helps to evaluating the changes that resulting from these actions.



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Figure 5. What needs to be done in Diagnosis?





THANK YOU FOR ATTENTION

