



Mediterranean Environmental Technical Assistance Programme
Regional Solid Waste Management Project in Mashreq & Maghreb Countries

TRAINING MANUAL 1 INTEGRATED SOLID WASTE MANAGEMENT PLANNING

Module 1-6 - Working With Stakeholders/ Participatory Planning

Prepared by the International Consortium
GTZ-ERM-GKW

TRAINING MANUAL 1 – MODULE 1-6





Introduction

- Encouraging participation both from institutional players & service users is essential to the success of Strategic MSWM Plan formulation & implementation

Such broad participation of all interested parties (stakeholders) influences the effectiveness & sustainability of the planning process

2



Encouraging participation both from institutional players and service users is essential to the success of Strategic MSWM Plan formulation and implementation.

Such broad participation of all interested parties (stakeholders) influences the effectiveness & sustainability of the planning process.

Participatory planning involves a series of debates, discussions & informed consultations which is often best achieved through a structured Workshop programme.

The process of involving stakeholders should be managed to maximise input of key stakeholder at the same time to minimise time burdens being placed on them.

Stakeholders should be mobilized during the early stages of the strategic planning process.

This should occur:

through establishing a **Memorandum of Understanding** as a formal commitment to the strategic planning process

in each of the 7 procedural steps of developing the Strategic MSWM Plan



Defining Stakeholders Participation

- **Stakeholders** are those with rights, responsibilities & interests in relation to municipal solid waste management (MSWM)
- **Stakeholder Participation** is a process whereby stakeholders play an active role in decision-making & in the consequent activities which affect them

3



Stakeholders are those with rights, responsibilities & interests in relation to municipal solid waste management (MSWM)

Stakeholder Participation is a process whereby stakeholders play an active role in decision-making and in the consequent activities which affect them



Types of Stakeholders 1/3

- ❑ MSWM is not only a technical, financial or organisational issue
- ❑ It involves a wide range of stakeholders from the political to the street level
- ❑ Therefore, it is important for the Strategic Planning initiative to be as inclusive as possible

4



MSWM is not only a technical, financial or organisational issue. It involves a wide range of stakeholders from the political to the street level. Therefore, it is important for the Strategic Planning initiative to be as inclusive as possible.

Stakeholders can be divided into two very broad groups:

Primary stakeholders are those ultimately affected, either positively (beneficiaries) or negatively (e.g., those involuntarily resettled)

Secondary stakeholders are those with some intermediary role. Those can be divided into:

- funding, implementing, monitoring & advocacy organisations; or
- governmental, NGO & private sector organisations

Key stakeholders include:

Specific stakeholders (e.g., heads of departments or other agencies, who have personal interests at stake as well as formal institutional objectives)

Intermediaries to the primary stakeholders (e.g., politicians, local leaders, respected persons with social or religious influence)

The table on the slide indicates the range of stakeholders who may be involved in the strategic planning process.



Types of Stakeholders 2/3

- Stakeholders can be divided into two very broad groups:
 - **Primary stakeholders** are those ultimately affected, either positively (beneficiaries) or negatively (e.g., those involuntarily resettled)
 - **Secondary stakeholders** are those with some intermediary role. Those can be divided into:
 - funding, implementing, monitoring & advocacy organisations
 - or
 - governmental, NGO & private sector organisations

5



MSWM is not only a technical, financial or organisational issue. It involves a wide range of stakeholders from the political to the street level. Therefore, it is important for the Strategic Planning initiative to be as inclusive as possible.

Stakeholders can be divided into two very broad groups:

Primary stakeholders are those ultimately affected, either positively (beneficiaries) or negatively (e.g., those involuntarily resettled)

Secondary stakeholders are those with some intermediary role. Those can be divided into:

- funding, implementing, monitoring & advocacy organisations; or
- governmental, NGO & private sector organisations

Key stakeholders include:

Specific stakeholders (e.g., heads of departments or other agencies, who have personal interests at stake as well as formal institutional objectives)

Intermediaries to the primary stakeholders (e.g., politicians, local leaders, respected persons with social or religious influence)

The table on the slide indicates the range of stakeholders who may be involved in the strategic planning process.



Types of Stakeholders 3/3

The following are the stakeholders in most MSWM planning scenarios:

- Public health & sanitation departments
- Public works departments
- Natural resource management agencies
- National or state/provincial environmental ministries
- Municipal governments
- Land use or town /physical planning agencies
- Regional governments
- Private sector companies
- Private sector companies
- Residential waste generators
- Business waste generators
- Informal sector workers & enterprises
- Non-governmental organisations
- Community-based organisations
- The poor & residents of marginal & squatter areas
- Women
- External Funding Agencies

6



MSWM is not only a technical, financial or organisational issue. It involves a wide range of stakeholders from the political to the street level. Therefore, it is important for the Strategic Planning initiative to be as inclusive as possible.

Stakeholders can be divided into two very broad groups:

Primary stakeholders are those ultimately affected, either positively (beneficiaries) or negatively (e.g., those involuntarily resettled)

Secondary stakeholders are those with some intermediary role. Those can be divided into:

- funding, implementing, monitoring & advocacy organisations; or
- governmental, NGO & private sector organisations

Key stakeholders include:

Specific stakeholders (e.g., heads of departments or other agencies, who have personal interests at stake as well as formal institutional objectives)

Intermediaries to the primary stakeholders (e.g., politicians, local leaders, respected persons with social or religious influence)

The table on the slide indicates the range of stakeholders who may be involved in the strategic planning process.



Priorities & Concerns of Stakeholders 1/3

Stakeholder	Priorities & Concerns
Public health & sanitation departments	Inspection & enforcement responsibilities, but not directly involved in collection or disposal operations
Public works departments	Most often have operational responsibility for waste collection
Natural resource management agencies	Activities relating to aspects of MSWM such as materials recovery or composting
National or state/provincial environmental ministries	Establishment of overall waste management policy
Municipal governments	In most countries, they have overall responsibility for waste management operations
Land use or town /physical planning agencies	Consulted when waste management infrastructure is to be built especially with respect to site selection process for disposal & transfer facilities

7



The table on the slides provide detailed information on the possible priorities and concerns of stakeholders. These are for guidance only, and stakeholder concerns must be analysed independently in each specific location.



Priorities & Concerns of Stakeholders 2/3

Stakeholder	Priorities & Concerns
Regional governments	Responsibility for landfills, incinerators, composting facilities, or the like, particularly in countries where there is a shortage of disposal space at the local level
Private sector companies	Tend to be involved in collection of waste, street sweeping, recovery of materials, &, increasingly, in construction & operation of landfills, incinerators, & compost plants, as concessionaires or contractors from the responsible government authority Unlike governments, do not have any direct responsibility for maintaining public sanitation or health
Residential waste generators	Preferences for particular types of waste service Willingness to source separate Capacity to move waste to communal collection points
Business waste generators	Direct payment for the waste service Influenced by incentives

8



The table on the slides provide detailed information on the possible priorities and concerns of stakeholders. These are for guidance only, and stakeholder concerns must be analysed independently in each specific location.



Priorities & Concerns of Stakeholders 3/3

Stakeholder	Priorities & Concerns
Informal sector workers & enterprises	Recover materials from the waste stream (either by segregated or specialised collection, by buying recyclable materials, or by picking through waste)
Non-governmental organisations	Stimulate small-scale enterprises & projects
Community-based organisations	Where there is insufficient collection or the neighbourhood is underserved, they take an active role in waste management operations
The poor & residents of marginal & squatter areas	Very often, have the greatest need for improved or expanded waste service
Women	Often collect the waste & set it out or move it to community transfer areas
External Funding Agencies	Delays in implementation resulting from the need to consult & negotiate with other stakeholders Bring valuable technical support to projects/programmes they agree to fund

9



The table on the slides provide detailed information on the possible priorities and concerns of stakeholders. These are for guidance only, and stakeholder concerns must be analysed independently in each specific location.

Stakeholder Analysis 1/2

- ❑ **Key stakeholders** in a SWM plan are those who can significantly influence the plan & are important to its success
- ❑ Key stakeholders can be identified through the use of a **Stakeholder Analysis**
- ❑ Stakeholder Analysis is carried prior to the commencement of the planning process
- ❑ It answers the following questions:
 - Who should participate?
 - In what ways?
 - At what stage?

10

Stakeholder analysis is a useful tool to understanding the relative importance of influence of stakeholders in relation to a strategic MSWM plan. It is useful to carry out such an assessment at the outset of the planning process.

One thing that is quite commonly experienced during strategic planning, is that as time progresses, and relationships build, the 'people come out from their organisations', meaning that as individuals become committed to the goals of the strategic planning process, and are engaged in this process, entrenched organisational positions may break down.

Stakeholder Analysis 2/2

- Doing a stakeholder analysis can:
 - Provide an understanding of the relative influence & involvement in MSWM issues
 - Assess the planning environment
 - Draw out the interests of stakeholders
 - Identify conflicts of interests between stakeholders
 - Identify relations between stakeholders that can be built upon
 - Assess appropriate type of participation by different stakeholders

11

Stakeholder analysis is a useful tool to understanding the relative importance of influence of stakeholders in relation to a strategic MSWM plan. It is useful to carry out such an assessment at the outset of the planning process.

One thing that is quite commonly experienced during strategic planning, is that as time progresses, and relationships build, the 'people come out from their organisations', meaning that as individuals become committed to the goals of the strategic planning process, and are engaged in this process, entrenched organisational positions may break down.

How to do a Stakeholder Analysis? 1/3

1. Identify & list all potential stakeholders by drawing up a "Stakeholder Table" that:
 - Identify & list all potential stakeholders
 - Identify their interests in relation to the problems being addressed
 - Assess the likely impact of the MSWM plan on each of these interests (positive, negative, or unknown)
 - Indicate the relative priority in meeting those interests

12

As a supplement to the slides, Annex 1.1 of the Strategic Planning Guide provides detailed guidance on how to carry out a stakeholder analysis. It is worth going through this Annex and if time permits, guiding students through an example stakeholder analysis relevant to their local situation.

How to do a Stakeholder Analysis? 2/3

2. Assess each of the stakeholder's influence & importance to MSWM plan success by using a Matrix Diagram
 - Influence: refers to how powerful the stakeholder is such as line ministries which control budget or personal connections to ruling politicians
 - Importance: refers to those whose problems & needs are the priority of the MSWM plan developers such as women, resource poor farmers & ethnic minorities

13

As a supplement to the slides, Annex 1.1 of the Strategic Planning Guide provides detailed guidance on how to carry out a stakeholder analysis. It is worth going through this Annex and if time permits, guiding students through an example stakeholder analysis relevant to their local situation.

How to do a Stakeholder Analysis? 3/3

3. Identify risks & assumptions which will affect MSWM plan design & success
 - Some of these risks will derive from conflicting stakeholders interests
 - Planners must therefore identify & assess which plausible assumptions about each "key" stakeholder support or threaten the MSWM plan

14

As a supplement to the slides, Annex 1.1 of the Strategic Planning Guide provides detailed guidance on how to carry out a stakeholder analysis. It is worth going through this Annex and if time permits, guiding students through an example stakeholder analysis relevant to their local situation.



Areas of Stakeholder Participation

- Major areas for stakeholder participation & public consultation during the strategic planning include:
 - Strategic planning process
 - Development & implementation of primary & secondary collection systems
 - Community willingness to participate in the proper use of collection systems
 - Community participation in reducing overall quantities of waste
 - Determining willingness to pay by the service users
 - Landfill site selection (as part of environmental impact assessment)
 - Resettlement & compensation

15



Major areas for stakeholder participation & public consultation during the strategic planning include:

Strategic planning process

Development/implementation of primary and secondary collection systems

Community willingness to participate in the proper use of collection systems

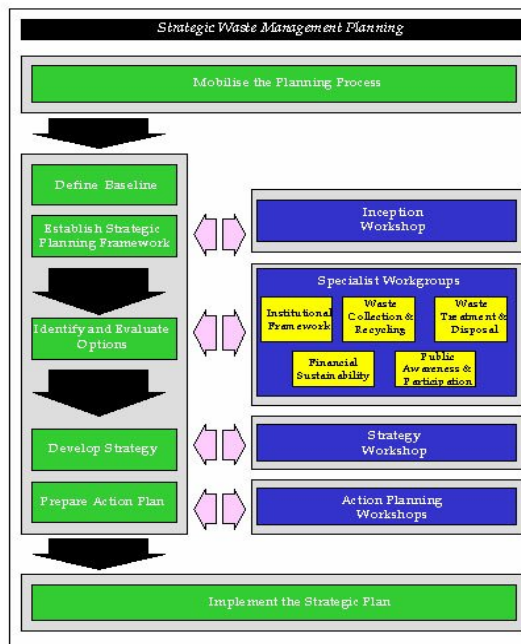
Community participation in reducing overall quantities of waste

Determining willingness to pay by the service users

Landfill site selection (as part of environmental impact assessment)

Resettlement and compensation

Stakeholder Participation at Different Steps



16

The table provides a summary of the various stages in stakeholder participation during the strategic planning process which have been highlighted in the previous Modules. The table in the Report may be a useful hand-out.

Maximising Stakeholder Opportunity 1/2

□ Why?

- For a Strategic MSWM Plan to be effective there must be a feeling of consensus & ownership by all key stakeholders
- The outcome of engaging stakeholders in the process of strategic planning & implementation is to create a strong local dialogue on MSWM issues
- In the longer-term, this can help to build consensus on priority problems & solutions supported by broadly-based political commitment

17

For a Strategic MSWM Plan to be effective there must be a feeling of consensus and ownership by all key stakeholders. The outcome of engaging stakeholders in the process of strategic planning and implementation is to create a strong local dialogue on MSWM issues. In the longer-term, this can help to build consensus on priority problems & solutions supported by broadly-based political commitment.

To increase the chances of active contributions:

Ensure that all participants have the opportunity to speak-up on issues that are of particular concern to them;

hold key issues discussions in a range of workgroups.

For each group, assign a Workgroup Leader who should:

take full ownership of the workgroup findings & recommendations

ensure that all members have their say

present findings of the group

lead the group through later strategy development stages

Maximising Stakeholder Opportunity 2/2

- To boost the chances of active contributions:
 - Ensure that all participants have the opportunity to speak-up on issues that are of particular concern to them
 - hold key issues discussions in a range of workgroups
- For each group, assign a Workgroup Leader who:
 - takes full ownership of the workgroup findings & recommendations
 - ensures that all members have their say
 - present findings of the group

18

For a Strategic MSWM Plan to be effective there must be a feeling of consensus and ownership by all key stakeholders. The outcome of engaging stakeholders in the process of strategic planning and implementation is to create a strong local dialogue on MSWM issues. In the longer-term, this can help to build consensus on priority problems & solutions supported by broadly-based political commitment.

To increase the chances of active contributions:

Ensure that all participants have the opportunity to speak-up on issues that are of particular concern to them;

hold key issues discussions in a range of workgroups.

For each group, assign a Workgroup Leader who should:

take full ownership of the workgroup findings & recommendations

ensure that all members have their say

present findings of the group

lead the group through later strategy development stages



Other Enhancements of Stakeholders Participation

- Identification of sponsor institution
- A shared vision
- Institutional appraisal
- Consultants
- Planning workshops
- A Participation Matrix for main institutional & other stakeholders
- Risk analysis
- Transparency
- Access to information
- Accountability
- Meaningful Choice
- Decision-making
- No "Right Answer"

19



The slide provides a summary of the major means of enhancing stakeholder participation introduced in this Training Manual. The notes below provide a summary of the key points.

Identification of sponsor institution: the lead institution needs to be an authority with sufficient power to make decisions and implement proposals. The authority needs to be sufficiently high level to give stakeholders confidence that their inputs are valuable.

A shared vision: the early focus should be to develop a shared vision for the strategic MSWM plan. This vision will be presented within the Planning Framework and Strategy documents.

Institutional appraisal: Generally a number of institutions have a role in waste management. The subject cuts across traditional institutional boundaries. Assigning meaningful roles to these institutions is important to securing participation of involved authorities.

Consultants: Consultants can be assigned the responsibility for facilitating the process, and can bring specialist knowledge to the process.

Planning workshops: planning workshops are the forum through which to hold debates and discussions.

A Participation Matrix for main institutional & other stakeholders: stakeholder analysis is a valuable tool in identifying who should participate, and how deep this participation must be.

Risk analysis: risk analysis can complement stakeholder analysis.

Transparency: a successful MSWM planning initiative will demonstrate transparency of government. Building trust of stakeholders is essential to their participation.

Access to information: the strategic plan will increase the access of the public to information.

Accountability: accountability must be a central part of a MSWM strategy.

Meaningful choice: there are a number of options available for improving MSWM. The outcome of the strategic plan should not be pre-conceived.

There is no **'Right answer'** to solving the problem, just a solution which is practical and sustainable in a local context.

Minimising Stakeholder Conflict

- To minimize & manage stakeholders conflict
 - Focus on 'high level' issues
 - Identify different degrees of interest & ability to contribute in the scheme
 - Consult & integrate stakeholders into the planning process & the execution of the scheme
 - Develop negotiating systems to handle conflicting interests between different groups of local stakeholders

20

It is not always possible to avoid stakeholder conflict. Different individuals and stakeholder groups bring with them different perspectives and interests.

One of the objectives of strategic planning is to minimise the extent of stakeholder conflict, and channel professional energies as far as possible in the same direction.

There will be moments in the strategic planning process when the ability of stakeholders to agree will be tested to the limit. Facilitators need particular skills in channelling discussions to the positive as far as possible, and negotiating agreements when there is a discrepancy in perspective. The decisions of the Steering Committee should be fully respected.