Situation Analysis –

An Approach and Method for Analyzing the Context of Projects and Programme

Notes:

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Learning Objectives:

At the end of Module 1, participants will have an understanding of the concepts and process of:

- ✓ Developing a picture of the broader context in which the project will operate
- ✓ Analysis of issues and trends
- ✓ Analysis of stakeholders

And will be able to:

- ✓ Describe the current state and condition of people and ecosystems in a geographic or thematic area
- ✓ Identify the trends in conditions and describe the pressures being exerted on the environment and resources by human activities and the underlying forces driving the pressures.
- ✓ Identify the significant responses to the condition, trends and pressures at the international, national and local levels
- ✓ Analyse and discuss the information on condition, trends, pressures and responses and identify the major significant issues or areas requiring attention.
- ✓ Identify key stakeholders – groups of people and/or with rights and to resources and/or working in the area
- ✓ Assess stakeholder power and influence and categorise them
- ✓ Design a stakeholders' participation strategy

Approximate Duration: 6hrs

Overview: In this module:

- ✓ Presentation: Situation Analysis
- ✓ Presentation: Identifying issues and trends
- ✓ Exercise 1.1: Identifying issues and trends
- ✓ Presentation: Identifying stakeholders, including institutions
- ✓ Exercise 1.2: Stakeholder Analysis

Situation Analysis - Basic Concepts

'If you don't know where you're going, any path will get you there'.

The point is to know better than before, which path you are taking and why.

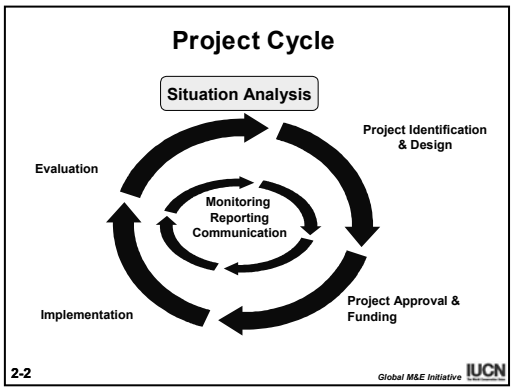
1. The Rationale for Situation Analysis in IUCN

A Situation Analysis is a scoping and analysis of the broad context or external environment in which IUCN projects operate. It is sometimes called context analysis in other organisations.

In IUCN, a Situation Analysis includes the following elements:

- ✓ An analysis of the state and condition of people and ecosystem (including identification of trends and pressures)
- ✓ Identification of major issues related to people and ecosystems that require attention;
- ✓ An analysis of key stakeholders – groups of people and institutions with a right, mandate and/or interest in resources and their management in the geographic area of the potential project.

Situation analysis is recognised in IUCN as the first step in the Project Cycle, and a necessary step to undertake before making final decisions on project design and strategy. Project approval systems at regional and global levels in IUCN require that a situation analysis be done before a project proposal receives approval.



There are a number of important reasons why IUCN has made situation analysis a required first step in project and programme planning:

Staying relevant - Ensuring that projects address the 'right' issues

For IUCN to remain relevant in a rapidly changing and complex world, project managers need to be aware of and understand the broader context within which IUCN operates. This is essential in order to make the best possible strategic choices of areas of work, and to adapt to new and emerging issues during the life of the project. There are many potential projects that

IUCN could undertake – but not all of them are strategic or significant to the conservation agenda. Choices need to be based on solid knowledge and analysis of the broader context.

Ensuring projects are implemented with the right partners

There are many potential partners that IUCN could engage with in delivering its work – but not all of them are strategic or have the right skills and capacities. Choosing the right partner is critical to successful implementation. Project managers need to understand the social-cultural and institutional context within which natural resources are being managed and utilised. A situation analysis helps to understand the broad range of groups of people, institutions and organisations complimenting or competing with IUCN. It also helps to identify the different categories of stakeholders and anticipate the kinds of influence they could exert, potential areas of synergy, collaboration and collaborators, potential conflicts of interests among stakeholders and between stakeholders' and project interventions. This information is important for making decisions on which individuals, groups or institutions ought to be involved in the project and how, and whose capacity needs to be built to enable them to participate effectively.

Monitoring and adapting to change

Without a baseline against which to monitor and measure change, IUCN managers are unlikely to know if their project is having any impact and making a difference to the lives of people and to the ecosystem conditions around them. Situation analysis provides an opportunity to build a baseline at the beginning of a project and to use it throughout the life of the project to monitor and measure change. It can also provide managers with the information required to respond more effectively to emerging issues such as the effect of climate change on vulnerable ecosystems, and to changes in external factors such as donor aid flows and government priorities.

2. The basic steps involved in Situation Analysis

1. Define the boundaries of the area to be included in the analysis.
2. Research and describe the current state and condition of people and ecosystems in this geographic or thematic area.
3. Identify the trends in conditions, the pressures being exerted on the people and the environment, the underlying forces driving the pressures, and the responses to the pressures at the international, national and local levels (or the level most appropriate for the project).
4. Identify the major significant issues or areas requiring attention.
5. Use the IUCN criteria to identify the most important issues for IUCN to address.
6. Identify key stakeholders, including key institutions working on or involved with the selected issues and/or areas requiring change.
7. Assess stakeholder interest, potential impact, power and influence.
8. Design the stakeholders' participation strategy.

3. Guiding principles for good practice

There are a number of guiding principles that should be followed when doing a situation analysis. A good situation analysis will be outward looking, informed by what others have learnt, use the framework of people and ecosystems to identify issues and trends, data based and participatory.

Participatory

To the greatest extent possible, situation analysis should be carried out with the key partners and stakeholders in an area – if they are known. The greater the shared vision of the problems, issues, opportunities in an area among key players, the greater the likelihood of addressing the right issues and bringing about necessary changes.

Outward looking

A situation analysis is an opportunity to step back from day to day busy work of project activities – to look outward to broaden our knowledge of the area in which the project is operating (or will operate), to see what others are doing, what's working, what's not working, and to explore why. Too often our planning starts by looking inwards and assuming that we know what the problems are and what to do.

Learning from others

A situation analysis provides a rare opportunity to learn from others with whom we may not interact on a regular basis. There is much to be learned from other organisations, donor studies, scoping missions and from reviews and evaluations of project work in the same geographic or thematic area, and from people of other disciplines who have worked in the same area. Learning from others should not just focus on environment, but also learn how others have tried to bring about behaviour change in other fields such as health, education, agriculture – what works and what does not in capacity building, training, skills development with communities and institutions. Iinvite experts outside the normal IUCN community to come and present their analysis of the issues and needs in the area. This could include donor experts (from scoping missions, country strategies); representatives of other well respected organisations, and researchers. Be open to hearing about issues from another perspective.

Using the framework of people and ecosystems

A good situation analysis starts by considering the broad framework of people and ecosystems as the context for sustainable development. Too often we start by narrowing our focus immediately to an aspect of biodiversity conservation and forget that in order to be effective we also need to know more about the condition of people – their health status, education, income, knowledge, etc.

Data based not anecdotal

The process of selecting indicators to describe the state and condition, identifying trends and pressures and responses to change requires careful research. It is important therefore to allocate time and resources required to facilitate the research. It is important to:

To the extent possible aim for a data based (quantitative and qualitative) analysis of the issues and trends affecting people, ecosystems and institutions. Too often our situation analysis is anecdotal, consisting of what we 'think' is happening (which may or may not be well founded)

and we lose the opportunity to test our assumptions and learn from a more rigorous and structured process. Use available data and information from credible assessment reports such as Human Development Index (HDI), GEO (Global Environment Outlook and its regional Outlook reports), and regional and national data sets, the Wellbeing of Nations, World Resources 2000-1, World Development Report Other sources include sector or thematic studies, theses, etc. Good examples of thematic reports such as the Forest Resources Assessment can help flesh out an analysis by providing a short cut to understanding the pressures driving environmental change.

4. Basic or Comprehensive Situation Analysis?

Projects in IUCN differ greatly in size, scope, duration, resources (financial and human), and in their capacity to generate data. It is unlikely therefore that all projects will be able to undertake the same level of detailed situation analysis. The degree to which projects will be able to build a detailed quantitative baseline will depend on the availability of data, time, resources of the project, and the size and duration of the project.

At a minimum, all projects should be in a position to undertake a basic Situation Analysis. To accommodate the differences in size, capacity and availability of data, two options are suggested for undertaking Situation Analysis in IUCN:

- ✓ **A Basic Situation Analysis** – constructing a basic picture of the bigger context, used mainly for the purpose of understanding the broader context and making choices of intervention areas, strategy and partners, and some basic monitoring of changes.
- ✓ **A Comprehensive Situation Analysis** – which, in addition to constructing a picture of the context, builds a quantitative and qualitative baseline of the conditions of people and ecosystems to use as an ongoing monitoring tool.

This Course covers the development of a Basic Situation Analysis. The IUCN Sustainability Assessment Resource Kit[1] provides guidance and tools to develop a comprehensive situation analysis using participatory techniques for users to define indicators and a performance scale to assess and measure progress.

5. Undertaking a Basic Situation Analysis

Step 1: Define the boundaries of the area to be included in the analysis

The first step in a situation analysis is to delineate the area to be covered by the potential project, thereby defining the boundaries for the analysis. Ideally this should be done in a participatory process, using maps and descriptive statements. The Situation Analysis will be easier if administrative boundaries are used because data often exists for administrative units where it does not for geographically defined areas. If data is not available, it will have to be collected or estimated. Estimation is not a significant problem if local expertise (whether from community, national or regional level, depending on the scale of the project) is used to develop and verify indicators and descriptions in a participatory manner.

It is suggested that projects assess the area at least one level above their project area (or potential project area) – i.e. ward or district, or provincial level, or for large projects, national

[1] Guijt I. And Moiseev, A. (2001). Resource Kit for Sustainability Assessment, IUCN, Gland, Switzerland and Cambridge, UK.

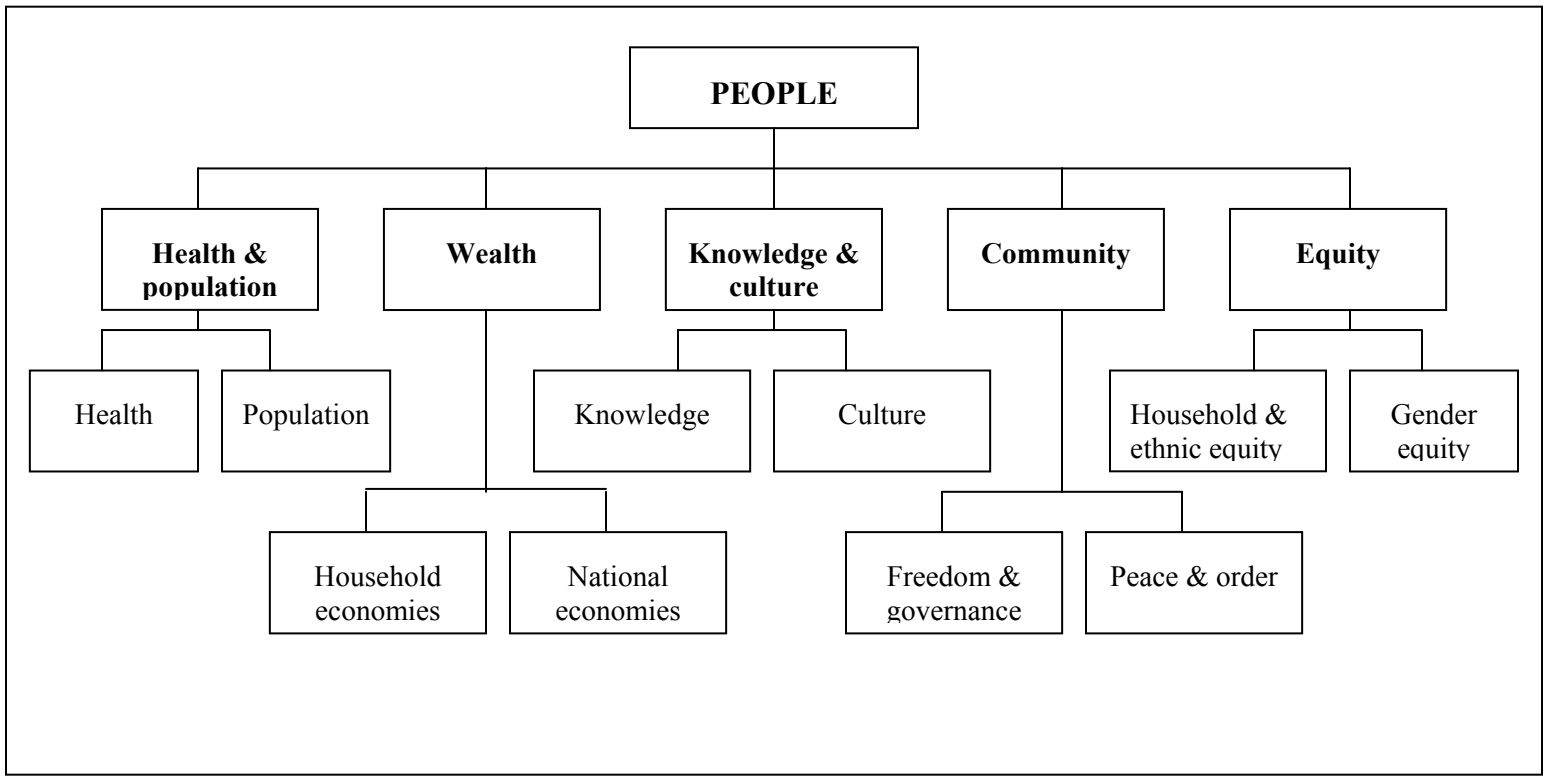
and sub national level. The maps for the larger area should be displayed clearly and used during the rest of the situation analysis.

Step 2: Research and describe the state and condition of people and the ecosystem.

Research and describe the current state and condition of people and ecosystems in the geographic or thematic area. It is recommended that the framework of people and ecosystems (Exhibit 1.1, 1.2 and 1.3) be used or adapted to the circumstances of your project. This framework helps managers to construct a picture of the condition of both people and ecosystems as equally important to achieving sustainable development. This is important to keep in mind since many managers focus too early on the specific aspects of conservation and loose sight (or never know if the first place) of the state and condition of people in the project areas. Having a picture of both also allows you to hypothesize about the inter-relationships between aspects of ecosystem wellbeing and human development.

Exhibit 1.1: Suggested Human Dimensions (adapt if needed)

- ✓ *Health and population*: physical and mental health, disease, mortality, fertility, and population growth.
- ✓ *Wealth*: the economy, income, material goods, infrastructure, and basic needs -- food, water, clothing and shelter.
- ✓ *Knowledge and culture*: education, state of knowledge about people and the ecosystem, communication, systems of belief and expression.
- ✓ *Community*: rights and freedoms, governance, institutions, peace, crime, civil order.
- ✓ *Equity*: distribution of benefits and burdens between males and females and among households, ethnic groups and other social divisions.



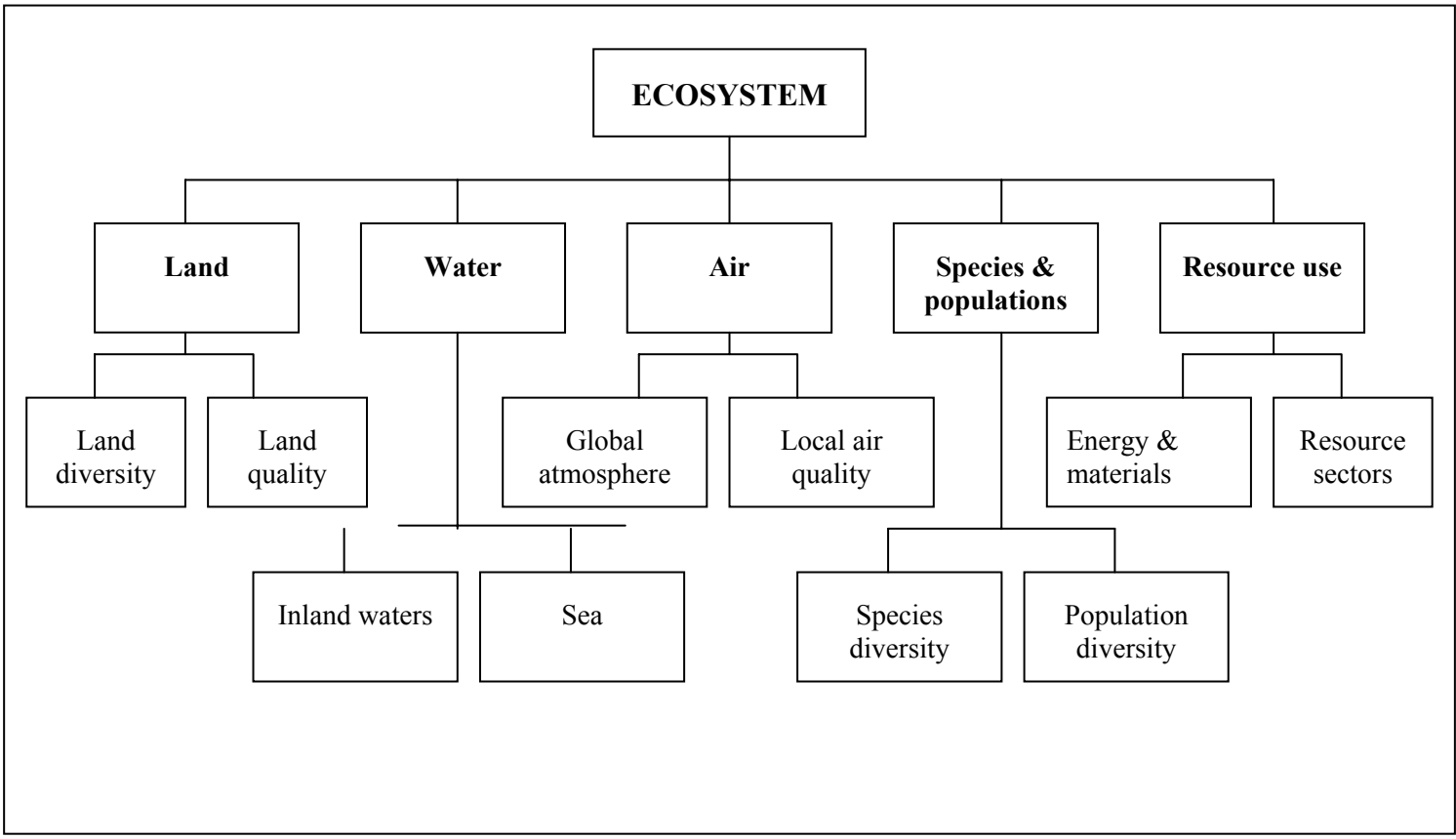


Exhibit 1.2: Suggested Ecosystem Dimensions (adapt if needed)

- ✓ *Land*: the diversity and quality of land ecosystems including their modification, conversion, and degradation.
- ✓ *Water*: the diversity and quality of inland water and marine ecosystems; modification by dams, embankments, pollution, and water withdrawal.
- ✓ *Air*: local air quality and the global atmosphere.
- ✓ *Species and populations*: status of wild species and wild and domesticated (crop and livestock) populations.
- ✓ *Resource use*: energy and materials, waste generation and disposal, recycling; resource sectors such as agriculture, fisheries, timber, mining, and hunting.

As you identify the major areas of importance to people and ecosystems, think of what kind of information you need to quantify the condition and where and how you will get the information. Informative indicators (proxy or direct) best describe how well or how poorly people and ecosystems are doing. Examples of informative indicators include literary rates, infant mortality rates, rates of deforestation, water quality, water availability, measures of protected area size and diversity, habitat fragmentation, land degradation and vegetation cover change. For each

indicator try to include a reference of the average for the area, so you can see the meaning of the indicator - how good or how bad in relation to the average.

Through dialogue you will need to discuss the relative importance of each proposed indicator and pick a limited number that best describe the state and condition of people and the ecosystem. Avoid having too many indicators, since the picture you are trying to build actually becomes blurred and less informative with too much detail. (This is the 'not seeing the forest for the trees' syndrome).

The framework below provides one way of building a picture of the state and condition of people and the ecosystem.

Exhibit 1.3: Developing indicators for one element of the framework

Dimension: Ecosystem			
Element	**Issue (variable)**	**Indicator and type of information that is needed for indicator**	**Source of data and information**
WATER	Quality	Levels of sedimentation) ppm against the average in the region.	Water department Observations of local people
		Coliform levels (ppm) against the average in the area.	Water depart, Public health office Observations of local people
		Heavy metal contamination (ppm against the average in the area.	Public health office
		Map this information	Local map office
	Quantity	Population nos. receiving safe municipal drinking water against the average for the area.	Census info Public health data Local verification
		Nos. people without safe drinking water	Same

This analysis provides an opportunity to obtain a detailed description of the current conditions and trends both from available data but also from the observations of stakeholders who have lived in the area for many years.

Step 3: Identify trends, pressures, driving forces and responses

Research and describe trends in changes in the condition as well as the forces driving the changes. The Pressure-State-Response model (Exhibit 1.4) can be helpful in doing this analysis. Human and Ecosystem Condition described in the above section concurs with the "state" part of the model, and simply describes how things are doing now. Pressures are the forces exerted by either people or natural process, which drive change in the condition of people and resources. Responses are actions that people, institutions and governments take to mitigate environmental or human development problems.

Responses are often environmental and economic policies and programmes intended to prevent, reduce or mitigate pressures and environmental damage, at local, national, regional or global level. They include field projects, national conservation programmes or even global conventions such as the CBD.

Guiding questions to identify trends, pressures, driving forces and responses.

Trends:

- How have people and ecosystem conditions changed in recent years? i.e. Is there less forest cover or more? Is there a pattern of forest declination that we can identify? Are people healthier now? Is there any indicator pattern that can show us how the health of people is changing?

Pressures:

- Which pressures are generating the trends identified above?

Driving forces:

- What is driving these trends (changes)? What produces the pressure?

Responses:

- What have been the individual, organizations and institutional responses at a local, national and global level to the changes in conditions (trends) and pressures identified?

Exhibit 1.4: Example of identifying trends, pressures, driving forces, responses for an issue identified in the ecosystem framework.

Element and issue	Trends	Pressures	Driving forces	Responses
WATER • QUALITY • Issue - pollution	Pollution in river water increased by 50% in 10 years.	Increase in tourism industry, unregulated. Increase in agro industries, waste disposal is poorly regulated.	Lack of adequate black water disposal and treatment. Inefficient and inappropriate use of chemicals in the agriculture sector.	Local: Emerging dialogue between environmental NGOs and Industrial sectors. National: Regulations enacted regarding water disposal, but poor enforcement capacity.

Step 4: Discuss the analysis and identify the major significant issues requiring attention.

Discuss the analysis and information on trends, pressures, driving forces and responses with stakeholders, experts, partners and other organizations working in the area in order to validate and reach a consensus on the most significant issues to be addressed if the lives of people and the condition of ecosystems are to improve.

Methods of analysis to do this include mapping the indicators of condition in terms of below or above average, and discussing which ones are important to address (either to build on the progress of those above the average or to address those below the average), and mapping the conditions geographically to see there are concentration of issues in specific geographic areas[2].

Step 5: Choose the most appropriate issues for IUCN

Once a list of issues has been generated and a consensus has been reached as to the most significant issues for conservation, the IUCN project team needs to prioritise the most appropriate issues for IUCN to address. It is likely that IUCN will not be able to address all the significant issues.

Choices should take into account a range of factors internal to IUCN, including the contribution of the issue to achieving the Mission and Programme of IUCN, and the strategy of KEG - knowledge, empowerment and governance, the comparative advantage that IUCN brings to the issue, capacity to deliver and ability to fund an intervention in the area.

The following criteria are used by IUCN to help make informed choices about interventions. Each significant issue (possible area of project intervention) should be ranked against the following criteria using 1-5, or low, medium, high:

- ✓ *Relevance* - Is it relevant to IUCN's Mission, Country or Regional Programme Strategic Objectives or Key Results; is it relevant to the IUCN strategy of Knowledge, Empowerment, and Governance (KEG)?
- ✓ *Comparative advantage* – Is it within IUCN's comparative advantage and core competencies of scientific rigour, convening stakeholders, demonstrating cutting edge conservation, linking policy and practice?
- ✓ *Significance* - Are the results likely to be significant for IUCN and for conservation (of major or minor consequence)?
- ✓ *Feasible, realistic* – Is it feasible and realistic to achieve the results in the selected areas?
- ✓ *Reach and spread* – Will addressing a particular issue maximise the reach and spread of the project (vertical, horizontal, policy links)?
- ✓ *Urgency* - Is the issue / problem urgent in terms of biodiversity loss and/or conservation?

[2] [2] For details see Guijt I. and Moiseev, A. (2001). Resource Kit for Sustainability Assessment, IUCN, Gland, Switzerland and Cambridge, UK.

- ✓ *Innovation* - Is there potential for innovation / cutting edge work / action learning conservation work?
- ✓ *Marketability* – what are the prospects for funding this work?

It is never possible to rank definitively and much of the ranking will be subjective, however the process of discussing the ranking of the issues against the criteria will in itself reveal insights into the more appropriate things for IUCN to take on.

Step 6: Identify stakeholders

Stakeholders are all the people who stand to gain or lose something as a result of the project. Typically, they include individuals and representatives of institutions and/or organisations with a stake in the natural resources in the project area. They are therefore likely to affect or be affected in some way by the intervention either during the course of its lifetime or later.

Stakeholder analysis[3] is the process of identifying potential stakeholders in the proposed project area and assessing their mandate and interest regarding natural resources, and the way in which these can potentially affect or be affected by the project. Stakeholders can be communities and/or groups who depend on or own natural resources, traditional resource management institutions, civil society groups such as community based organisations (CBOs) and national, regional and international non-governmental organisations (NGOs), government departments and/or ministries and donors. Any decision on which interventions to select requires detailed knowledge of the stakeholders.

Stakeholders can be categorised as follows:

Primary stakeholders: depend most directly on natural resources and are likely to be ultimately affected – positively or negatively – by any intervention in the environment or thematic area for which the project is to be developed. Examples are indigenous groups with rights to property, resource users and traditional resource management institutions.

Secondary stakeholders: do not directly depend on the natural resources but have a major interest in the way they are managed and utilised. Secondary stakeholders are likely to be intermediaries in the environment or thematic area e.g. CBOs, NGOs, institutions of higher learning, the private sector. Although they have an interest in the management and use of natural resources, they have little mandate over the resources and often less influence than primary stakeholders.

Key stakeholders: could significantly influence or are important to the success of any chosen intervention in the environment or the thematic area, e.g. departments of government ministries responsible for resources, donors.

Stakeholders can be identified by brainstorming a list of groups and/or institutions and determining their category by using the following questions:

- ✓ Who are the owners and/or dependants on the resources?
- ✓ Who are the potential beneficiaries?

[3]Material on this section has been modified from Reitbergen-McCracken and Deepan Narayan, 1997: Participatory Tools and Techniques: A Resource Kit for Participation and Social Analysis. The World Bank.

- ✓ Who might be affected, positively or negatively, by the project interventions?
- ✓ Is gender an issue? Should women be considered as a separate category for analysis? Are there other vulnerable groups or minorities? Have they been identified?
- ✓ Who are the intervention's supporters and/or opponents?

This information is recorded in column 1 and 2 of Exhibit 1.6.

Step 7: Assess Stakeholder Interest, Influence and Importance

A stakeholder's interest in the project intervention will be influenced by his/her mandate on the natural resources. Be aware that it may be difficult to identify or define the interests of some stakeholders, especially if they are hidden or multiple or run counter to the aims of the organisations developing the project. Guiding questions to get to this information include:

- ✓ What are the stakeholders' expectations of the project?
- ✓ What are the likely benefits for the different stakeholders?
- ✓ What resources might the stakeholder be able and willing to mobilise to support the project?
- ✓ Which stakeholder interests conflict with other stakeholder interests and those of the project?

This information can be collected by reviewing secondary information or through consultations. The process can take from a few hours to several weeks depending on the complexity of the project and the availability of information. The information is recorded in columns 3 and 4 in Exhibit 1.6.

The term 'influence' refers to the power that a stakeholder has over a project. Power can derive from several sources. For formal institutions, it can arise from the legal hierarchy (control and budget), authority of leadership, control over strategic project resources, possession of specialised knowledge, strength relative to other stakeholders, etc.

For primary stakeholders and informal interest groups, influence can derive from social status, level of organisation, consensus and leadership in the group, control over strategic project resources, informal influence and links with other stakeholders and the degree of dependence on other stakeholders. Stakeholders can exercise their influence by directly controlling the decision-making process or facilitating/hindering the implementation process.

The term 'importance' refers to the extent to which the success of the project depends on fulfilling the needs of a stakeholder and the degree to which a stakeholder's interests coincide with project interests. The most important stakeholders, for example, are those whose needs the project seeks to address, e.g. the resource users in a community-based natural resource project. The ability of such a community to sustainably exploit resources to meet their economic needs is of higher priority to a project than that of the donor to spend their budgets. In this case, the communities have high importance and low influence, while the donors have high influence and low importance.

Determining the influence and interest of stakeholders should be a participatory process. Information on stakeholder category, importance and influence should be recorded in Exhibit 1.6.

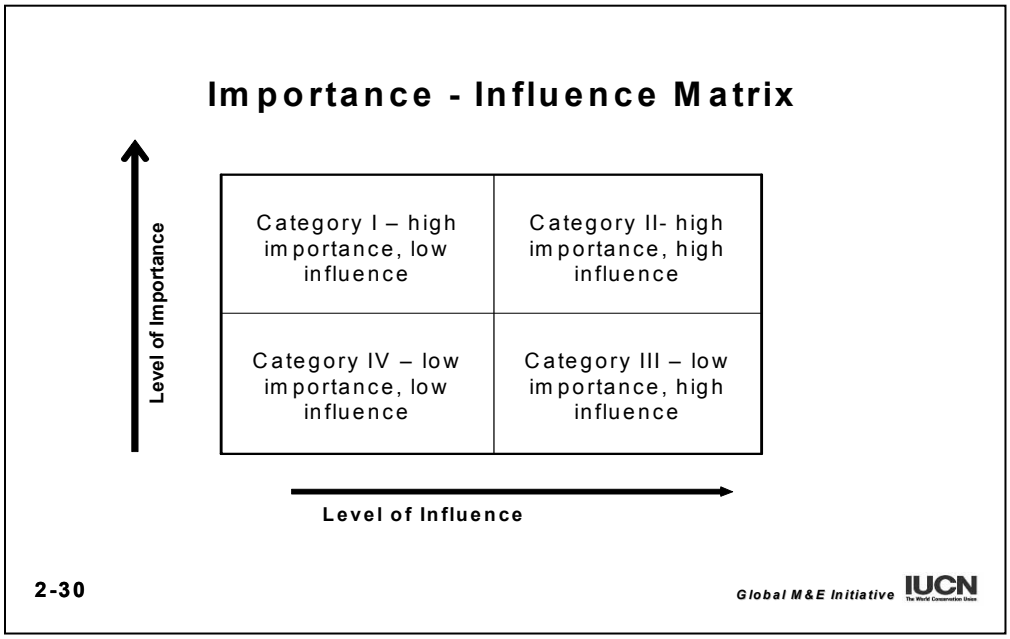
Exhibit 1. 5: Stakeholders Matrix

Name (stakeholder)	Category (primary, secondary, key)	Mandate over resources in thematic or geographic area	Importance	Influence

Step 8: Design Stakeholder Participation Strategy

The success of the project depends largely on balancing the participation of all relevant stakeholders, which is not and should not be uniform. Participation could involve informing, consulting, partnering or controlling. The level of influence and importance determines the form of participation that is appropriate for each stakeholder at different stages of the project. The two variables (influence and importance) are ranked along a simple scale, and mapped against each other, as shown in Exhibit 1.6.

Exhibit 1.6: The Importance/ influence matrix



A project should have a specific participation strategy for each category of stakeholder:

- ✓ **Category I stakeholders** have high importance but with little influence (as defined in a stakeholder analysis). Examples will include resource dependent communities etc. As these groups will be the targets of the project, they will require special efforts to ensure that their needs are met and their participation is meaningful. They loosely fit in the "partner" type of involvement.

- ✓ **Category II stakeholders** will have high importance and high influence. Examples include governments, donor etc. These stakeholders should be closely involved throughout to ensure their support and the project's success. These stakeholders fit loosely in the "control" type of involvement.
- ✓ **Category III stakeholders** have low importance and high influence. They are not the target of the project, but could use their influence to facilitate or derail it. Examples are religious groups, other CBOs etc. They need to be kept informed and their views need to be acknowledged to cultivate support, and to avoid disruption and/or conflict. They loosely fit in the "consult" type of involvement.
- ✓ **Category IV stakeholders** have low importance and low influence and are unlikely to be closely involved in the project. Examples include institutions of higher learning. They require no special participation strategies, although they could be informed in a general way of the intervention and its results. This category fits loosely in the "inform" type of participation.

Identify potential partners, collaborators, and conflicts

In addition to the above analysis, it is often important to summarise the information in a format showing potential areas of conflict and collaboration (Exhibit 1.7).

Exhibit 1.7: Identifying potential partners and collaborators, areas of collaboration and conflicts

Potential project objective	Potential partners/ collaborators	Potential areas of collaboration /synergy	Stakeholders with potential of conflict	Potential areas of conflicts

Stakeholder Involvement at Different Stages of the Project Cycle

Situation analysis is a continuous process. Understanding any given situation increases with continued involvement. Consequently, stakeholder analysis is a progressive process to be revisited continually during the planning process in order to reflect the way stakeholder participation evolves depending on the stage of project or project cycle (Exhibit 1.8).

Exhibit 1.8: Stakeholders participation and the project cycle

Type of involvement/ project cycle stage	Inform	Consult	Partner	Control
Formulation and Design				
Financing and contracting				
Implementation/ M&E				
Evaluations/redesign				

Checklist for Identifying Stakeholders

Use Exhibit 1.5 Columns 1 and 2 and crosscheck the following:

- ✓ Have all primary and secondary stakeholders been identified and listed?
- ✓ Have all potential /project supporters/opponents been identified and included?
- ✓ Have primary stakeholders been categorised by gender, wealth, status or other relevant social categories?
- ✓ Have the interests of vulnerable groups been identified?
- ✓ What new primary or secondary stakeholders could emerge as a result of the project?

Columns 3, 4 and 5

- ✓ Have we related each stakeholder to either the problems or objectives of the project?
- ✓ Which problems' affecting which stakeholders does the project seek to address?
- ✓ What are the stakeholders' expectations of the project?
- ✓ What benefits are there likely to be for this stakeholder?
- ✓ What resources will the stakeholder wish to/avoid committing to the project?
- ✓ What other interest does the stakeholder have that may conflict with or support the project?
- ✓ How does the stakeholder regard other stakeholders in the matrix?
- ✓ For which stakeholders does the project place a priority on meeting their needs, expectations and/or interests?
- ✓ Which stakeholder interests converge with the project's objectives?

Issues to Consider While Determining Stakeholder Involvement

- ✓ What role must the key stakeholders play for this project to succeed?
- ✓ Is this a realistic role for this stakeholder?
- ✓ What negative responses can be anticipated from this stakeholder, given its interests?
- ✓ What impact would these negative responses have on the project?
- ✓ How probable are these negative responses?
- ✓ Are these negative responses major risks?
- ✓ Which assumptions about stakeholders threaten or support the project?

Exercise 1.1 – Identifying issues and trends

Time:

1hr 30 minutes

Instructions:

1. Reading alone, study the contents of the four "Case Studies" described on Worksheet 1. Discuss them in your group and chose one to work on. Please note that we will build on these case studies for the exercises in the rest of the course. (5 minutes)

2. Use the human and ecosystem framework (Worksheet 2) to select issues related to human and ecosystem to include in the analysis (15 minutes)
3. For each issue selected, discuss and agree on indicators to describe the state and condition of the people and the ecosystem – Use Worksheet 3 to organise information (15 minutes)
4. Identify trends in the selected issues and determine underlying causes of the trends – use Worksheet 4 to guide the analysis and organise information, as far is possible. If the narratives are too long, you may want to work outside the table, but following the same format (15 minutes)
5. Identify responses to the trends and pressures and classify them as policy, economic programmes, etc, at local, national, regional levels. Use Worksheet 5 to record the information (15 minutes)
6. Make a list of issues requiring intervention and use IUCN filters to select those to be addressed by the project, and on which further project design will be based – use worksheet no. 6a to filter and 6b to record selected issues (10 minutes)
7. We will discuss the findings in plenary - prepare all the information in a clear format for reporting to plenary (10 minutes)

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Worksheet 1: Case Study Descriptions

Title	Description
The Zambezi valley	The Zambezi River Basin Authority has approached your group to assist them with developing a programme aimed at improving management and utilization of natural resources among the communities living along the basin. The World Bank is willing to fund a five-year conservation and development programme and has pledged US$ 5 million. It has released US$ 20,000 to be used in developing the programme. The River Basin Authority has chosen to adopt the Results Based Approach to designing this programme and would like your group to facilitate the process.
The Pagoda Coastal Zone - Bangladesh	Out of concern for the poor state of natural resources and people on the coast, the government of Bangladesh has decided to develop a programme aimed at improving management and utilization of coastal resources. The government is confident that it will raise US$ 5 million to finance a six-year programme, and has approached IUCN to provide technical assistance in designing and implementing the programme. You have been asked to adopt a results based approach and have been given US$ 20,000 to design the programme.
Amazon Forest resources	The communities around the Amazon Forest have approached the government to assist them develop and implement a programme aimed at improving management and utilization of natural resources. The government has managed to raise US$ 20,000 to be used to develop a USD 5 million, which they will present to a donor for funding. IUCN has been asked to provide technical assistance in designing and implementing a result-based programme.
Somalia Arid and Semi-Arid lands	The EU is interested in working with the communities of Central Somalia to improve management and utilization of natural resources. In the absence of a central government, NGOs and communities will play an even greater role in managing such a programme. The EU has requested to assist with the design and implementation of a five-year programme. It has advanced IUCN US$ 20,000 and requested for a US$ 5 million, five year results based management programme.

Worksheet 2: Human and Ecosystem framework

People: Human Dimensions	**Ecosystem - Ecosystem Dimensions**
√ *Wealth*: the economy, income, material goods, infrastructure, and basic needs -- food, water, clothing and shelter.	√ *Land*: the diversity and quality of land ecosystems including their modification, conversion, and degradation
√ *Community*: rights and freedoms, governance, institutions, peace, crime, civil order.	√ *Air*: local air quality and the global atmosphere.
√ *Health and population*: physical and mental health, disease, mortality, fertility, and population growth.	√ *Water*: the diversity and quality of inland water and marine ecosystems; modification by dams, embankments, pollution, and water withdrawal.
√ *Knowledge and culture*: education, state of knowledge about people and the ecosystem, communication, systems of belief and expression.	√ *Species and populations*: status of wild species and wild and domesticated (crop and livestock) populations.
√ *Equity*: distribution of benefits and burdens between males and females and among households, ethnic groups and other social divisions.	√ *Resource use*: energy and materials, waste generation and disposal, recycling; resource sectors such as agriculture, fisheries, timber, mining, and hunting

Worksheet 3: framework for describing state and condition, using indicators for various dimensions

Dimension	**Element**	**Issue (variable)**	**Indicator and type of information needed)**	**Source of data and information**
Human	Health and population			
	Equity			
	Knowledge and culture			
	Wealth			
	Community			
Ecosystem	Land			
	Water			
	Air			
	Species and population			
	Resource use			

Worksheet 4: Build on worksheet 3 to include trends and pressures

Dimension and element	Indicator	Trends	Pressures	Forces driving change

Worksheet 5: Build on worksheet 4 to identify responses to the change in condition at various levels

Response	Level (local, national, regional, international)	Comments (qualifying comments regarding the response)

Worksheet 6: Use IUCN criteria to select issues the project could address, ranking them as high, medium or low

IUCN Filters to Prioritise Results	Issue 1	Issue 2	Issue 3	Issue 4	Issue 5	Issue n
Level one						
Relevance to IUCN's Mission and Country, Regional Program strategic objectives (or Programme KRAs if global)						
Comparative advantage (core competencies, niche, role)						
Level two						
Feasible and realistic						
Capacity to deliver – IUCN and/or partner						
Reach / spread – vertical, horizontal, policy links						
Significance of the results for IUCN						
Urgency of the issue						
Potential for innovation / cutting edge work						
Marketability						

Worksheet 6b.

Summary of issues for which further project design will be done
1. **2.** **3.** **4.**

Exercise 1.2 – Identifying stakeholders, categorising them and designing participation strategies

Time:

60 minutes

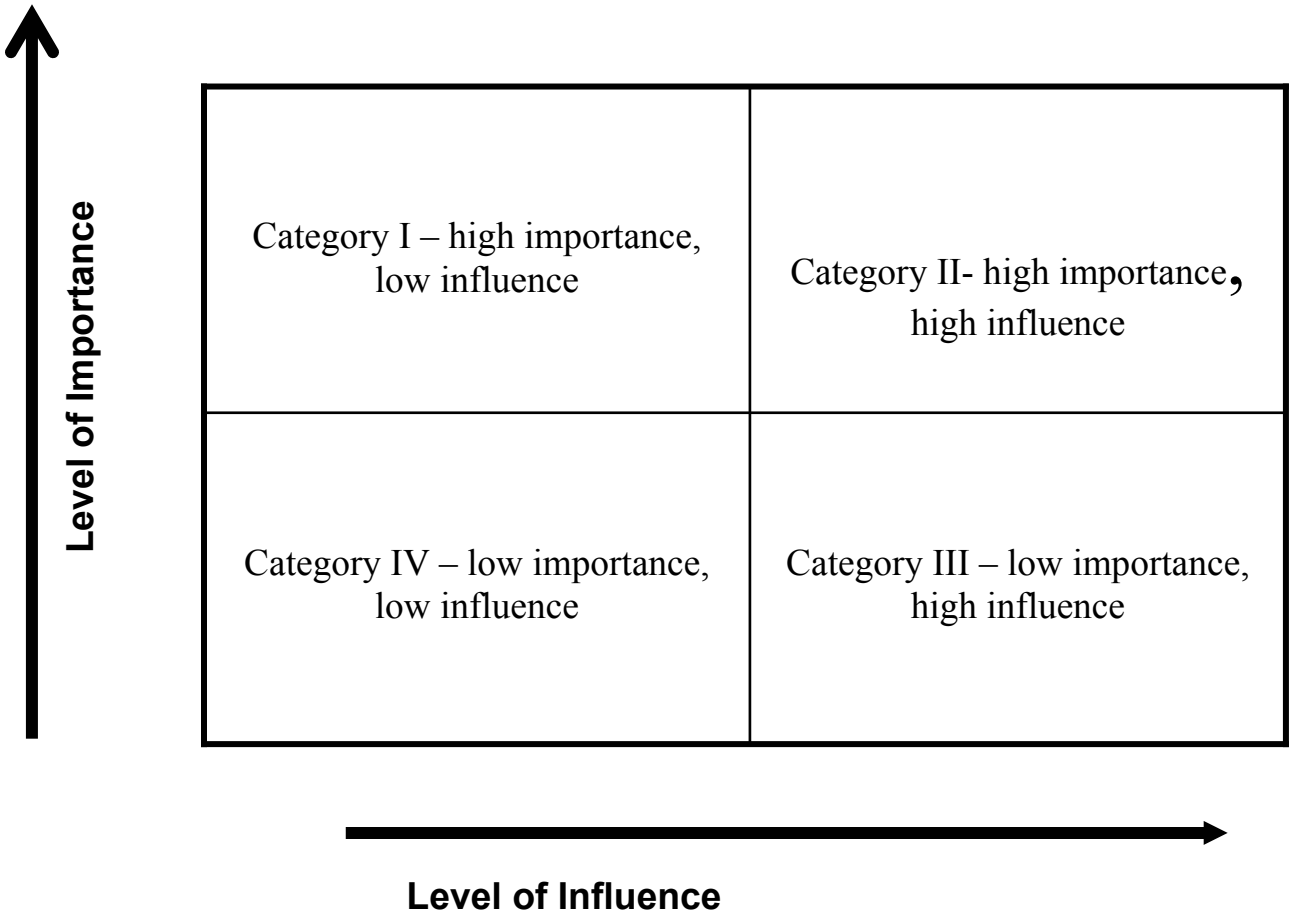
Instructions:

1. Select one of the issues identified as needing change and recorded in worksheet 6b (5 minutes)
2. In the group, brainstorm a list of stakeholders related to this issue and assess their mandates and/or interest in resources to classify them as primary, secondary or key stakeholders. Use worksheet no. 7 below to organise information (10 minutes)
3. Assess stakeholder influence and importance and categorize them into types - I, II, III or IV. Use worksheet no. 8 to organise information (20 minutes)
4. Design a strategy for involving stakeholders during the rest of the stages of the project (further design, fundraising, implementation, evaluation, etc.) Use worksheet 9 to record information (15 minutes)
5. We will discuss the findings in plenary - prepare all the information in a clear format for reporting to plenary (10 minutes)

Worksheet 7: Brainstorming stakeholders and assessing their interest and mandate on resources

Issue	Name of stakeholder	Mandate over resources in thematic or geographic area	Interest in resources in area	Category (primary, secondary, key)

Worksheet 8: Assessing importance and influence and determining categories of stakeholders



Worksheet 9: Strategy for stakeholder participation along the project cycle

Type of involvement/ project cycle stage	**Inform**	**Consult**	**Partner**	**Control**
Formulation and Design				
Financing and contracting				
Implementation/ M&E				
Evaluations/redesign				

Test your understanding

1. What is situation analysis?
2. Why is it important to undertake a situation analysis in the early stages of project design?
3. What are the basic steps of a simple situation analysis?
4. Briefly describe each stage
5. Describe the human and ecosystem dimensions
6. What is a stakeholder?
7. What are the common types of stakeholders in a “typical” project?
8. Define the terms power and influence
9. Explain how power and influence are used to categorise stakeholders
10. Why is it important to design stakeholder participation strategies?