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**BGR**



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IWRM in the Cuvelai-Etosha Basin

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**Training Module**  
**on**  
**Stakeholder participation and engagement**  
**for**  
**Basin Support Officers and Basin Management**  
**Committee members**

July 2013

**Developed by:**

Desert Research Foundation of Namibia (DRFN) and Heyns International Water Consultancy (HIWAC),  
on behalf of IWRM in the Cuvelai-Etosha Basin Project

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**Learning objectives:**

At the end of this module it is expected that Basin Support Officers (BSOs), Basin Management Committee (BMC) members and other participants will be empowered to:

- Understand the importance of stakeholder participation and engagement in basin management
- Apply methods and tools to identify stakeholders e.g. within a basin and explain the relevance, purpose and steps of stakeholder analysis
- Promote stakeholder (BMC and forum members) participation in basin management activities
- Understand what effective representation entails and are able to enforce it

**Materials needed:**

- Flip chart stand and paper
- Brown sheets
- Cards of different shapes
- Marker pens
- Pens
- Notebooks

# Chapter 1: Introduction

## 1.1. Definition of a stakeholder

Any person or institution that matters to, has rights to, interests or influence on the basin's water resources.

## 1.2. Categories of stakeholders

### Internal stakeholder

An internal stakeholder constitutes, or is a representative of, a water user or group of water users within a basin. They might also be responsible for supplying water to, or managing it on behalf of, a group of water users.

### External stakeholder

An external stakeholder has an influence on the management of water resources from outside the basin through policy or decision-making.

### Discussion/ Food for Thought 1: Categorisation of stakeholders

Does it matter to categorise stakeholders as indicated above? e.g between internal and external stakeholders?

## 1.3. Levels of stakeholder participation

Participation of stakeholders is a key element of water management. Four levels of participation have been identified, namely:

1. awareness,
2. participation,
3. involvement and
4. engagement (IWRM Plan 2009).

**Table 1: Levels of stakeholder participation (adopted from the IWRM Plan Joint Venture Namibia, 2009).**

<b>Term</b>	<b>Understanding<sup>1</sup></b>	<b>Inferred promise to stakeholders<sup>2</sup></b>
Awareness	Refers to knowing about something. Awareness is a first, preliminary component of capacity, along with knowledge, skills and attitudes, required for participation, involvement or engagement. People can be aware of something without having the skills or appropriate attitudes to do something about it. Awareness creation in Namibia has led to everybody being aware that ‘water is life’ but many people do not know how to take this awareness further to manage or use water appropriately for their own and society’s benefit – even despite being members of basin committees or forums.	We will keep you informed.
Participation	Refers to having a share in something. In terms of ‘stakeholder participation’ it usually means taking part in an activity or attending a meeting but not assuming any responsibility. People can participate at varying levels without being committed or ‘engaged’.	We will keep you informed, listen to and acknowledge concerns and aspirations provide feedback on how public input influenced the decision.
Involvement	Refers to being included in something. In terms of ‘stakeholder involvement’ it often refers to people being included or simply co-opted, e.g. in the use of a water point, but not necessarily by own choice. In common usage it tends to fall between participation and engagement.	We will work with you to ensure that your concerns and aspirations are directly reflected in the alternatives developed and provide feedback on how the public input influenced the decisions.
Engagement	Refers to an individual’s promise or agreement to do something and willingness to make decisions. In terms of ‘stakeholder engagement’, it refers to stakeholders taking up a role in some aspect of water management or use. It is often used to refer to voluntary actions such as helping to establish, manage and maintain a water point or not wasting or contaminating water in the home. It also refers to the dedication of a professional water manager at any level to his/her designated tasks.	We will look to you for direct advice and innovation in formulating solutions and incorporate your advice and recommendations into the decisions to the maximum extent possible.

<sup>1</sup> From IWRM Plan Joint Venture Namibia (2010)

<sup>2</sup> From Du Toit and Pollard (2010)

## Discussion/ Food for Thought 2: Level of stakeholder participation in basin management

In pairs, reflect on the following:

1. At which level do you see the stakeholders (BMC and forum) in your basin/sub-basin?
2. Is stakeholder participation important in water resources management and why?

### 1.4. Benefits of stakeholder participation and engagement

The corner-stone of integrated river basin management is the concept of involving stakeholders in decision making within the process of water resources planning and management. Stakeholder participation is considered to be a condition to be fulfilled to make water resources management effective. Participation allows the stakeholders within a basin their right to self-determination and to decide on what is good for them. Activities designed without prior consultation or participation of those interested also tend to lack the relevant information for tailor made planning and implementation geared towards specific circumstances. Decisions taken without the involvement of the beneficiaries or the affected parties have a reduced chance of fulfilment and may induce resistance.

It is essential to set up a platform representing all the relevant stakeholders that is meant to serve as a tool for integrated planning and for dealing with conflicting interests in planning and implementation of water development (e.g. BMC and Forum). Such a platform can also play a pivotal role in awareness creation, communication and effective conflict prevention and resolution.

The **benefits of stakeholder participation** for achieving basin management objectives are:

- There is a better chance that the key water management issues at the basin level are correctly identified and agreed upon.
- The knowledge, experience, aspirations and concerns of local communities are accommodated into water resources management in the basin.
- The work plans for basins are more likely to be politically and culturally realistic and acceptable.
- Stakeholder involvement helps in building consensus and reduces likelihood of conflicts.
- Implementation costs are likely to be lower when existing stakeholder knowledge and know how is applied to avoid potentially costly errors and/or duplication of information.
- Participation of stakeholders increases sustainability because it builds commitment to and ownership of e.g. project.
- Maintains pressure on institutions that committed to implement basin management activities.
- Contributes to transparency.
- Builds trust and collaboration among stakeholders.

## Chapter 2: Stakeholder Analysis

### 2.1. Definition of a stakeholder analysis

It is an approach for understanding a system by identifying the key actors/ stakeholders in the system and assessing their respective interest (and involvement) in that system. It refers to a range of tools for the identification and description of stakeholders on the basis of their attributes, interrelationships and interests related to a given initiative or resource.

### 2.2. Objectives of a stakeholder analysis

- To identify all those people, groups or institutions who might be affected by an intervention or can affect its outcome.
- To identify local institutions and processes upon which to build.
- To provide a foundation and strategy for participation: mobilisation of key stakeholders.
- To make a start with understanding needs and interests of the key stakeholders.

### 2.3. Stakeholder analysis

The following steps are followed in carrying out a stakeholder analysis.

**Step 1:** Have a clear understanding of the objective of carrying out a stakeholder analysis. Is it to identify stakeholders that will contribute to addressing a specific problem within e.g. a basin or is to identify stakeholders that will contribute to basin management.

**Step 2:** The first step in analysing stakeholders i.e. in a basin is to identify and list all stakeholders in a specific basin/sub-basin that you work in that have an influence or interest in integrated water resources management (IWRM) and basin management approach (BMA) within their basin. Identifying stakeholders is not always a straightforward process. Often, stakeholders are found after talking to other stakeholders. To avoid missing important stakeholders, it is important to review this regularly. Moreover, identification of stakeholders is not something that can be done by reading a few articles about the environmental system. Being on the ground, making field visits and having meetings and discussions are very much part of a thorough stakeholder analysis.

**Step 3:** Categorise identified stakeholders into internal or external based on the definition in chapter 1.

**Step 4:** Analyse each stakeholder's **potential influence** on water resources in their basin and the **interest** in integrated water resources management (IWRM) and basin management approach (BMA). This is done for both internal and external stakeholders. Not all stakeholders are equally important throughout the whole systems/stakeholders analysis. Some may gain importance during the process, others may become less important.

The following criteria are used to determine their **potential influence of a stakeholder on water resources** in the basin/sub-basin:

- Quantity of water abstracted or used – the more the water required/used, the greater their potential influence.
- Potential contribution to pollution or other harmful effects on water quality – the greater the threat, the greater their potential influence.
- Involvement in water resource management – the greater the involvement, the greater their potential influence.
- Power to affect water resource management through decision-making – the more decision-making powers related to this, the greater their potential influence.
- Size of sphere of influence of the institution within the sub-basin – the greater their sphere of influence on water users, the greater their potential influence.

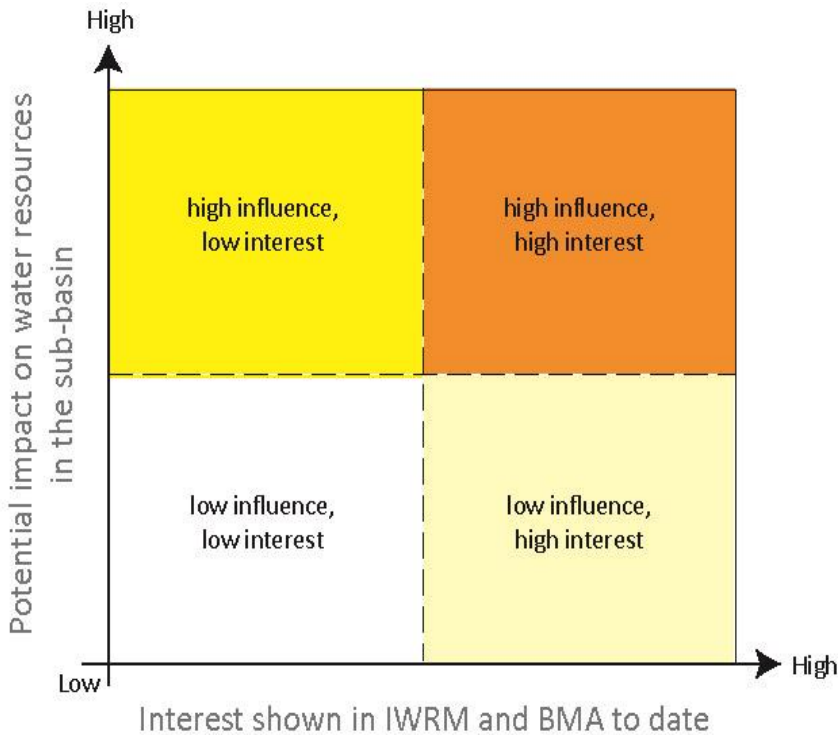
The following criteria are used to determine their **interest in IWRM and basin management**:

- Participation in basin management process - through their representation at meetings (attendance and, where possible to judge, their degree of participation).

**Step 5:** Classify/categorise stakeholders into the following four main groups as shown on Figure 1 below.

- Stakeholders with high influence but low interest
- Stakeholders with both high influence and interest
- Stakeholders with both low influence and interest
- Stakeholders with low influence, but high interest

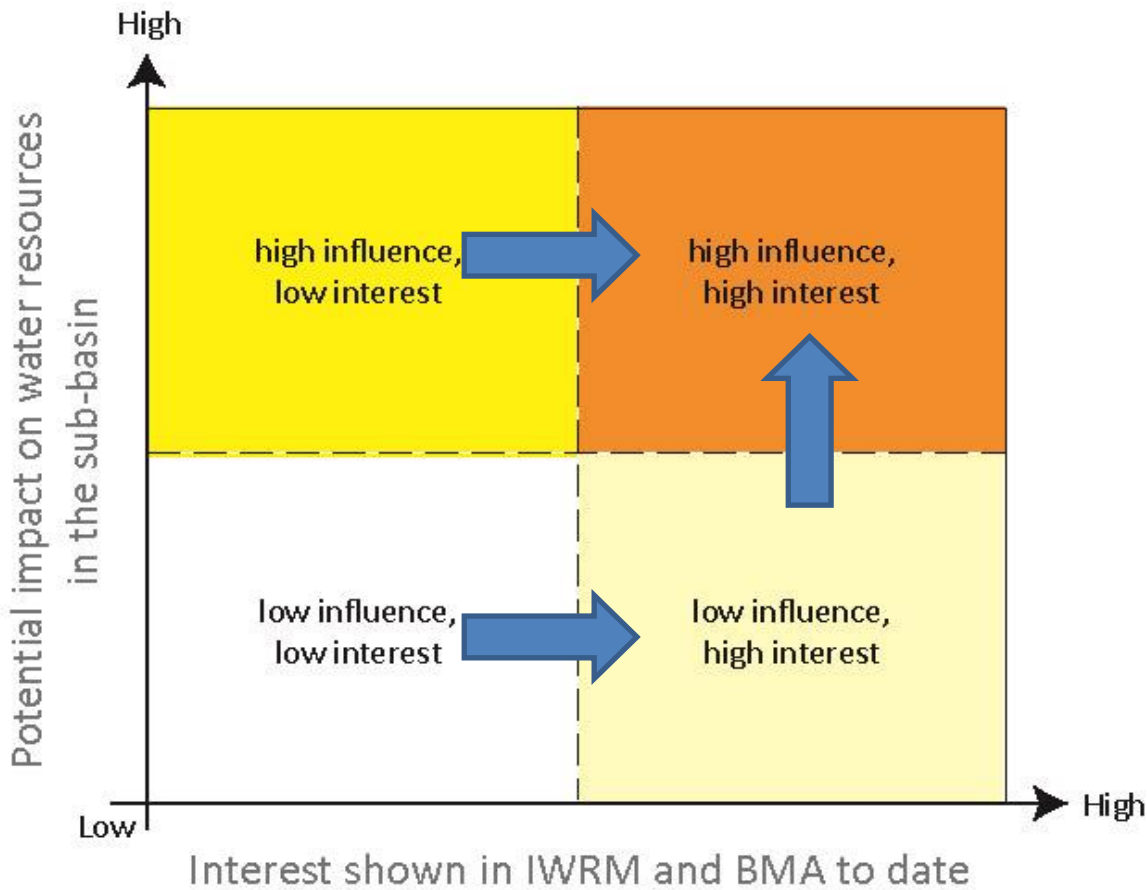




**Figure 1: Stakeholder matrix with four main categories**

**Step 6:** Upon analysis, it is recommended to:

- Maintain the interest of those stakeholders who are already actively participating in IWRM and basin management process, while securing the interest of those who are not, especially those who potentially have a greater influence over the basin’s water resources. The interest can be enhanced through sensitization and focus group discussions, realization of tangible benefits in the medium to long term (Figure 2).
- Enhance the influence that engaged stakeholders have over the water resources. This could be through capacity building that is knowledge and skills of those stakeholders with little influence over the management of water resources. Through capacity building stakeholders will be empowered to influence the management of their water resources meaningfully (Figure 2).



**Figure 2: Stakeholder matrix**

**Exercise 1: Stakeholder analysis in addressing an existing problem in a selected basin/sub-basin in Namibia**

Participants are requested to select an existing problem/challenge in one of the basins/sub-basins in Namibia. Upon selection of the problem, they are then asked to carry out a stakeholder analysis in addressing the problem by answering the following questions:

1. Who are the stakeholders required in addressing the identified problem?
2. What is the level of influence of each and every stakeholder in addressing the problem?
3. What is the level of interest of each and every stakeholder in addressing the problem?

Draw a table/matrix on a large sheet of paper and arrange the stakeholders accordingly and report back in plenary for discussion.

<b>High Influence + Low Interest in addressing the problem</b>	<b>High Influence + High Interest in addressing the problem</b>
<b>Low Influence + Low Interest in addressing the problem</b>	<b>Low Influence + High Interest in addressing the problem</b>

Present the end result in plenary for discussion.

**Discussion/Food for Thought 3: Challenges for stakeholder participation in basin management and possible solutions thereof.**

Give three cards to each BSO and request them to brainstorm on the following:

1. Constraints and challenges for stakeholder participation in basin management in the respective basins/sub-basins that you work in.
2. Possible solutions to enhance/improve stakeholder involvement in basin management

Collect all the cards and cluster them accordingly and discuss in plenary.

## **Chapter 3: Effective representation**

### **3.1. Definition of effective representation**

To represent a group of people, an organisation or an institution, one has to have a clear understanding of the mandate, policies and interests of that group, organisation or institution and be prepared to promote them at a meeting.

### **3.2. Before a meeting**

- Understand the role of your organisation in the meeting
- Familiarise yourself with the minutes of previous meetings
- Be familiar with the meeting's agenda
- Inform your organisation of the meeting
- Be prepared with ideas, questions and stances on various points

### **3.3. During a meeting**

- Participate actively
- Promote your organisation and its interests
- Collect workshop materials for your organisation
- Take notes of issues discussed and information presented
- Be attentive to possible opportunities for your organisation
- Be respectful of others interests and opinions

### **3.4. After a meeting**

- Write up a summary/report for own organisation
- Give brief feedback to members
- Highlight decisions taken, outcomes and achievements
- Highlight actions required of you and by others and in your organisation
- Inform them of future events, follow-ups and opportunities

- File materials gathered for archiving
- Attend to agreed upon follow-up activities

### **Exercise 2: Effective representation**

In groups of two:

We understand that you were recently in South Africa for an exposure trip, following the above mentioned tips: prepare a presentation on what you did before, during and after the trip (planned) to ensure effective representation. Prepare a presentation of 10 minutes long and report back in plenary for discussion.

## References

1. Adeoti Olusegun, Jaspers Frank G.W. (2007), The Sense and Non-Sense of the Application of Stakeholder Participation in Water Sector Reform, Nigeria, South Africa, France, Research Studies (in progress) for Integrated Water Resources Management, UNESCO-IHE, Delft.
2. Du Toit, D & S Pollard. 2010. Public participation in the drafting of catchment management strategies made simple! Report to the Water Research Commission (WRC Report No TT 455/10) by the Association for Water and Rural Development (AWARD).
3. GWP and International Network of Basin Organizations (INBO). 2009. Handbook for Integrated Water Resources Management in Basins, Elanders, Sweden. 104pp
4. Hannan, M.T. and Freeman, J. (1984) Structural inertia and organizational change. *American Sociological Review* 49, 149-164 pp.
5. IWRM Plan Joint Venture Namibia. 2010. Integrated water resources management plan for Namibia, Report 1. Report prepared for Ministry of Agriculture, Water and Forestry (MAWF).
6. Röling, N.G. and Wagemakers, M.A.E. (1998). A new practice: facilitating sustainable agriculture, pp. 3-22, In: *Facilitating sustainable agriculture. Participatory learning and adaptive management in times of environmental uncertainty* (ed. By N.G. Röling and M.A.E. Wagemakers). Cambridge University Press.

# Annexures

## Annex 1: Presentation on Stakeholder Participation and Engagement

### Stakeholder participation

Training of BMC and forum members for Tsumeb sub-basin, Minen Hotel  
6 – 7 November 2012

C. Mazambani & V. Kinyaga



### Learning objectives

- Enhance understanding of stakeholder participation and its importance
- Enhance BMC and Forum members' participation in water resources management

### Who are the stakeholders?

- Any person or institution that matters to, has rights to, interests or influence on the basin's water resources
  - **Internal stakeholder:** within the basin (service provider or user)
  - **External stakeholder:** outside the basin (e.g. Policy or decision makers)

### Stakeholder participation

- Participation of stakeholders is a key element of water management
- Four levels of participation have been identified
  1. Awareness
  2. Participation
  3. Involvement
  4. Engagement

### Levels of stakeholder participation

Term	Understanding	Inferred promise to stakeholders
Awareness	Refers to knowing about something.	We will keep you informed.
Participation	Refers to having a share in something e.g. taking part in an activity or attending a meeting but not assuming any responsibility.	We will keep you informed, listen to and acknowledge concerns and aspirations, provide feedback on how public input influenced the decision.
Involvement	Refers to being included in something e.g. people being included e.g. in the use of a water point	We will work with you to ensure that your concerns and aspirations are directly reflected in the alternatives developed and provide feedback on how the public input influenced the decisions.
Engagement	Refers to an individual's promise or agreement to do something and willingness to make decisions e.g. taking up a role in some aspect of water management or use.	We will look to you for direct advice and innovation in formulating solutions and incorporate your advice and recommendations into the decisions to the maximum extent possible.

### Discussion

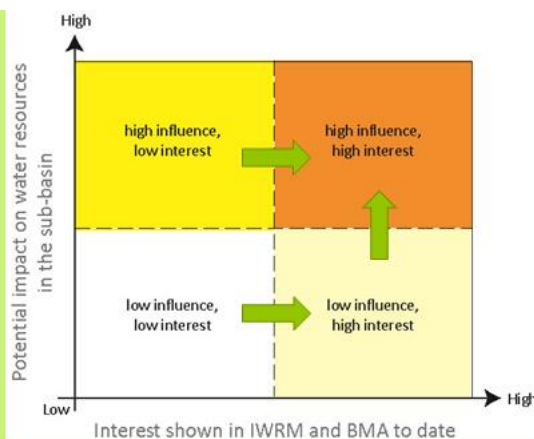
In pairs, reflect on the following (cards):

1. At which level do you see yourselves?
2. Is stakeholder participation important in water resources management and why?

## Benefits of stakeholder participation in water resources management

- **Key water management issues** at the basin level are correctly identified and agreed upon.
- The **knowledge, experience, aspirations and concerns of local communities** are built into the sub-basin work plans (WPs) from the beginning.
- The WPs is more likely to be politically and culturally **realistic and acceptable**.
- Potential **conflicts can be minimised or avoided**
- **Implementation costs are likely to be lower**
- Participation of stakeholders increases **sustainability**

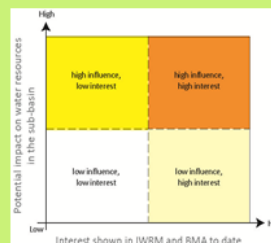
## Stakeholder analyses of the Tsumeb sub-basin



## Assessment of stakeholders

### Criteria

- Quantity of water used/ abstracted
- Potential contribution to pollution
- Power to affect WRM through decision making
- Size of sphere of influence
- Involvement in BMA
- Any additions?



## Brainstorming session

- 1) What is your (BMC and Forum members) involvement in basin management?
- 2) Which stakeholders are not involved in basin management/ missing?
- 3) What are the constraints and challenges for involvement in basin management?
- 4) How can stakeholder involvement be enhanced/ improved? **Day 2**



## Annex 2: Presentation on Effective Representation

<p><b>Effective representation</b></p> <p>Training of BMC and forum members for Tsumeb sub-basin, Minen Hotel 6 – 7 November 2012</p> <p>C. Mazambani &amp; V. Kinyaga</p> 	<p><b>What do we understand by effective representation?</b></p>
<p><b>What is an effective representative?</b></p> <ul style="list-style-type: none"><li>• Representatives serve on behalf of their organization.</li><li>• They present ideas &amp; information from their organisation and carry ideas &amp; information back to their organisation.</li></ul>	<p><b>What is not a representative?</b></p> <ul style="list-style-type: none"><li>• Individuals presenting themselves based only on their own ideas and for their own benefit.</li></ul>
<p><b>Exercise:</b></p> <p>As BMC and forum members:</p> <ul style="list-style-type: none"><li>– what did you do before a meeting</li><li>– During the meeting</li><li>– Plan to do after the meeting</li></ul>	<p><b>Representation</b></p> <p>To represent a group of people, an organisation or an institution, one has to have a clear understanding of the mandate, policies and interests of that group, organisation or institution...</p> <p>... and be prepared to promote them at a meeting.</p>

### Before a meeting...

- Understand the role of your organisation in the meeting
- Familiarise yourself with the minutes of previous meetings
- Be familiar with the meeting's agenda
- Inform your organisation of the meeting
- Be prepared with ideas, questions and stances on various points

### During a meeting...

- Participate actively
- Promote your organisation and its interests
- Collect workshop materials for your organisation
- Take notes of issues discussed and information presented
- Be attentive to possible opportunities for your organisation
- Be respectful of others interests and opinions

### After a meeting...

- Write up a summary/report for own organisation
- Give brief feedback to members
- Highlight decisions taken, outcomes and achievements
- Highlight actions required of you and by others and in your organisation
- Inform them of future events, follow-ups and opportunities
- File materials gathered for archiving
- Attend to agreed upon follow-up activities

“Good representatives are essential for the success of all meetings/workshops”

