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Methodology for Stakeholder Participation in Adaptation Planning Process in City Corporation and Paurashavas



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List of Abbreviations

IGD	Interactive Group Discussion Sessions
KCC	Khulna City Corporation
KII	Key Informant Interview
LGIs	Local Government Institutions
LSC	Local Level Stakeholder Consultation
SDG	Sustainable Development Goal
WSSD	World Summit for Social Development



Executive Summary

The urban local government is facing the rapid pace of urbanization and its associated consequences. The problem is exacerbated due to climate change. The impact of climate change is not evenly distributed. This impact differs not only according to the local context, but also among different vulnerable groups. Hence, the cities of Bangladesh are facing major challenges in providing services to their citizens.

According to the Local Government Acts of Bangladesh, City Corporations and Paurashavas are responsible for planning and implementing projects for providing services to their citizens. According to the Acts, the institutes must ensure public participation in all their decision-making processes. In addition, the government of Bangladesh is committed to achieving the different targets of the SDGs. One of the important SDGs for urban local government is SDG 11: “Make cities inclusive, safe, resilient, and sustainable”. The target 11.3 specifically calls for a participatory approach to human settlement, while the other targets of this goal highly encourage inclusive planning. In addition, SDG 5 (through target 5.5), SDG 6 (through target 6.b), SDG 16 (through target 16.7) and SDG 17 (through target 17.17) emphasize the importance of full and effective participation and equal opportunities for all at all levels of decision-making in political, economic, and public life. However, it has been found that the Urban Local Government Institution (ULGI) found it difficult to ensure participation of all stakeholders in the project planning process due to a lack of established procedures. Hence, this manual has been developed to assist the urban local government in ensuring the participation of stakeholders in the project planning process.

Stakeholders are individuals or groups that are directly or indirectly affected by a project. They can also be individuals or groups that have an interest in the project and have the power to influence the outcome of the project either positively or negatively. Stakeholders play an important role in different phases of planning. The roles, influences, and dominances of stakeholders’ change across the different phases of projects and project planning. Therefore, it is crucial to manage the stakeholders strategically.

The notion of participation has been defined, analyzed, and explained in various dimensions since the publication of the classical work of Arnstein (1969) on public participation. The traditional modes of participation such as informing, public hearing, and advisory groups are now questioned. Often, traditional methodology fails to visualize the complete scenario of inclusion since it cannot consider the contextual differences of different project or plan. To obtain a full scenario of the concerns of stakeholders and to effectively manage antagonism, prejudice, and conflicts between stakeholders, it is necessary to adopt the contextual stakeholder analysis method at local level in urban areas (Yang, 2013). In order to fill the need for bottom-up learning and include the stakeholders in a more

structured and organized way, this methodology was developed for stakeholder engagement in the planning process.

This methodology for Local Level Stakeholder Consultation (LSC) in adaptation planning serves the following two purposes:

- Provides a framework for stakeholder engagement and integrated bottom-up learning for Local Government Institution (LGI) during planning, designing and implementation of adaptation planning projects
- Guide the officials of LGIs and the professionals to engage the stakeholders in an organized manner

Relevant literature was reviewed for developing the methodology. Consultation workshops in Khulna City Corporation (KCC) and Key Informant Interviews (KIIs) in Sirajganj Pourashava were held to identify the challenges of integrating stakeholders in the project planning process. Based on the literature review and contextual understanding of the challenges at the local level in Bangladesh, a methodology has been developed. In addition, two projects (one from each LGI) were selected to identify the weaknesses and challenges of the developed methodology. Furthermore, in order to understand the contextuality of the projects, three Interactive Group Discussion Sessions (IGDs) were conducted with each of the LGI officials and relevant stakeholders of the selected projects. Since the responsibility of planning at local level falls on LGIs, this methodology will facilitate them in making their planning more inclusive. Finally the following eight steps were formulated as the methodology-

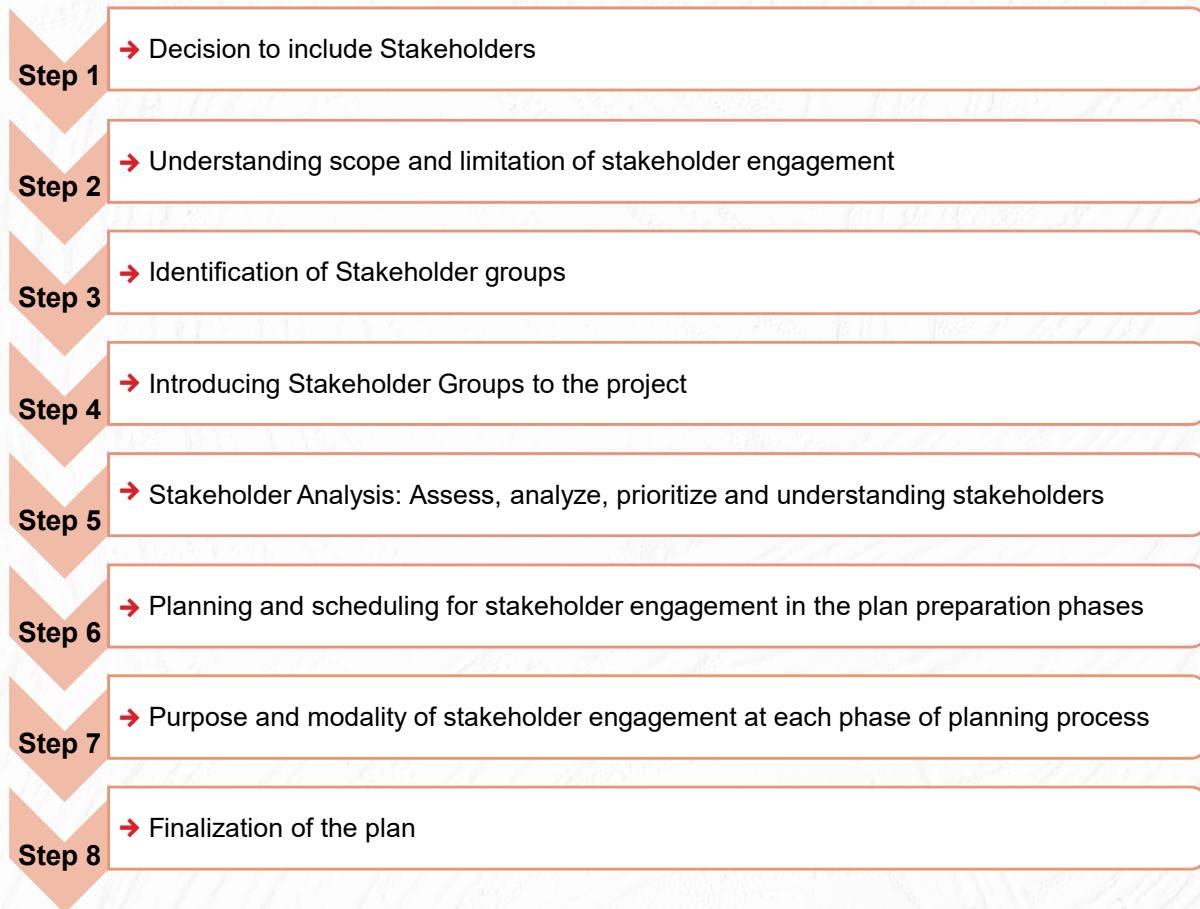


Figure: Steps for Stakeholder engagement in adaptation planning

There are some challenges of including stakeholders as well. Among them, the most prominent problem is providing an enabling environment to share views openly, considering the socio-political, economic and cultural context at the local context. Managing conflicts among the interest groups has been found to be one of the major challenges.

However, for a comfortable and interactive session, some additional aspects need to be considered. They are- space, timing of the session, monetary support, language, support to write, and arrangement of refreshment. The discussion space or venue needs to be selected considering the needs of relevant stakeholders. It needs to be kept in mind that this type of discussion takes time. Also, a certain amount of monetary support would encourage the stakeholders with economic constraints to participate in the session voluntarily. In this case, an amount for this purpose needs to be allocated in the budget beforehand. To make communication among and with the stakeholders easier, language and writing support might be needed. A little refreshment will also keep the stakeholders energized and focused on the discussion.

Stakeholder participation is a well-accepted strategy in the planning process. However, it needs to be noted that, this process of engagement of the stakeholders needs to be customized according to the nature of the project and the socio-economic and political context of the area. Also, allocation of budget, time and ensuring an enabling physical and social environment are some of the other issues that need to be considered. Building trust, respectful interaction between stakeholders and the implementing agency, and assurance of incorporating the views of the stakeholders in the project planning and implementation phases are very important. Furthermore, while applying this methodology in the future, it can be made more application oriented through consultation with a wide range of stakeholder groups.





Introduction

1.1 Background

The urban Local Government Institutions (LGIs) of Bangladesh are facing the challenges of rapid urbanization and associated consequences. These consequences need to be handled through efficient local level planning. The inclusion of people from different spheres in decision making of the planning process facilitates the success and reliability of the plans. Moreover, local people are empowered actors since they hold resources that can contribute to the resilience of their communities (Bekkers et al., 2014; Linders, 2012). It is important that participation must be meaningful and efficient. Otherwise, it will result in non-beneficial planning (Cattino & Reckien, 2021).

To fulfill the commitment to achieving SDGs (2016-2030), the planning process is required to be people centric and contextual to the local economy and environment, and linked with various socio-cultural and political dimensions. Among the goals, SDG 11, “Make cities inclusive, safe, resilient, and sustainable,” boldly expresses an inclusive planning approach. Following are the targets of different goals of SDG that highlighted the importance of inclusive planning through participation of local people-

- 5.5 Ensure women’s full and effective participation and equal opportunities for leadership at all levels of decision-making in political, economic, and public life
- 6.b Support and strengthen the participation of local communities in improving water and sanitation management
- 11.3 By 2030, enhance inclusive and sustainable urbanization and capacity for participatory, integrated, and sustainable human settlement planning and management in all countries
- 16.7 Ensure responsive, inclusive, participatory, and representative decision making at all levels
- 17.17 Encourage and promote effective public, public-private and civil society partnerships, building on the experience and resourcing strategies of partnerships

In the 1995 World Summit for Social Development (WSSD) in Copenhagen, the world leaders called for fostering stable, safe and just societies where everyone would have equal rights and can grow with access to services to contribute to the fullest of their potential. There have been many international agreements that emphasize public participation, such as the Earth Summit, the European Landscape Convention, the Aarhus Convention, and the European Water Framework Directive (Luyet, Schlaepfer, Parlange, & Buttler, 2012).

It is the broad goal of LGIs to provide quality living to their communities but who is getting 'what', 'when', 'how,' and 'why' are the crucial questions. These questions can only be answered through the inclusion of stakeholders in the planning process of the LGIs.

Stakeholders include individuals or groups that are directly or indirectly affected by a project. It also includes individuals or groups who have an interest in the project and have the power to influence the outcome of the project either positively or negatively.

Starting from Arnstein (1969), the notion of participation has been defined, analyzed, and explained from various dimensions. But its real-world application is limited or questioned by several scholars across the globe (Innes & Booher, 2004; Brown & Chin, 2013). The traditional mode of participation such as informing, public hearing, and advisory groups are suggested to be replaced by more interactive modes of participation. Therefore, in order to obtain a full scenario of the concerns of stakeholders and to effectively manage antagonism, prejudice, and conflicts between stakeholders, it is necessary to adopt the contextual stakeholder analysis method at the local level in urban areas (Yang, 2013).

The purpose of developing the methodology for Local Level Stakeholder Consultation (LSC) in adaptation planning are as follows:

- A framework for stakeholder engagement and integrated bottom-up learning for Local Government Institutes during planning, designing, and implementation of adaptation planning projects.
- The framework would guide the officials of LGIs and the professionals to engage the stakeholders in an organized manner.

1.2 Role of Stakeholders in Project Planning and Implementation


For inclusive development, it is necessary to involve stakeholders at every stage of plan preparation and implementation of a project. Beierle (1998) identified the following six goals of participation –

- (i) Educating the public
- (ii) Incorporating public values and knowledge into decision-making thus democratization of decision making
- (iii) Improving the substantive quality of decision making
- (iv) Building trust between stakeholders and public authorities
- (v) Reducing conflict
- (vi) Assuring cost-effective decision making



Following Table 1.1 shows the roles and functions played by different actors at different phases of planning process.

Table 1.1 Role of different actors in the planning process

 Planning Activities	Participants		
	Citizen groups	Planner/professional	Public official
Assessing community values	✓ ✓ ✓	✓ ✓	✓
Determining goals and objectives	✓ ✓ ✓	✓ ✓	✓
Data collection	✓ ✓	✓ ✓ ✓	✓ ✓
Design criteria and standards	✓ ✓	✓ ✓ ✓	✓ ✓
Developing alternative plans	✓	✓ ✓ ✓	✓ ✓
Choosing an alternative	✓ ✓ ✓	✓	✓ ✓ ✓
Detailed plan preparation	✓	✓ ✓ ✓	✓ ✓
Plan modification and approval	✓ ✓	✓	✓ ✓ ✓
Implementation	✓	✓ ✓ ✓	✓ ✓ ✓
Monitoring	✓ ✓	✓	✓ ✓ ✓
Reviewing of plan	✓ ✓ ✓	✓	✓ ✓ ✓

✓ ✓ ✓ = Major role ✓ ✓ = Moderate role ✓ = Nominal role

1.3 Challenges of Stakeholders' Participation

It should be kept in mind that stakeholders' participation is not a panacea for solving problems of project planning and implementation. Stakeholder participation needs an enabling environment to share views openly, considering socio-political, economic, and cultural context. It is often challenging to provide this favorable environment in a local context. Moreover, it requires an adequate allocation of time and budget. At the local level, it is often difficult to manage conflicts among the interest groups.

1.4 Working Procedure for Developing this Manual

The methodology for stakeholder participation was developed as a part of the project, "Improved Coordination of International Climate Finance Project (ICICF)". This project had three objectives and one of them was to develop a methodology for stakeholder participation in adaptation planning processes. Through consultation workshops in Khulna City Corporation (KCC) and Sirajganj Paurashava and a Key Informant Interview (KII) with the officials (Urban Planner, Chief Engineer) of these two LGIs, a list of potential projects was identified. One potential project from each of the two LGIs was selected as the case study project.

A good number of documents are available on the methodology of engaging stakeholders in different types of planning projects at the global, national, and local level. But the methodology varies with the socio-cultural, political, administrative, and economic context of the country. Therefore, to get a clear understanding of the stakeholder participation process, six Interactive Group Discussion Sessions (IGDS), three in each of the LGIs, with the stakeholder groups related to the selected projects of the LGIs, were held in September and October 2021 in Khulna and Sirajganj. Some of the ideas generated by the authors were piloted and modified based on the input from the discussion sessions. It was then finalized in consultation with GIZ officials.



**Steps for Stakeholder
Participation in Adaptation
Planning Process**

2.1 Steps of Stakeholder Participation

Participatory inclusive planning requires the effective participation of stakeholders at different stages of planning. Involving people in the planning process brings manifold benefits but at the same time it is often burdensome due to resource constraints, logistics supports, and conflict management among the stakeholders. **Figure 2.1** shows the steps to ensure effective stakeholder participation in the adaptation project planning and implementation process.

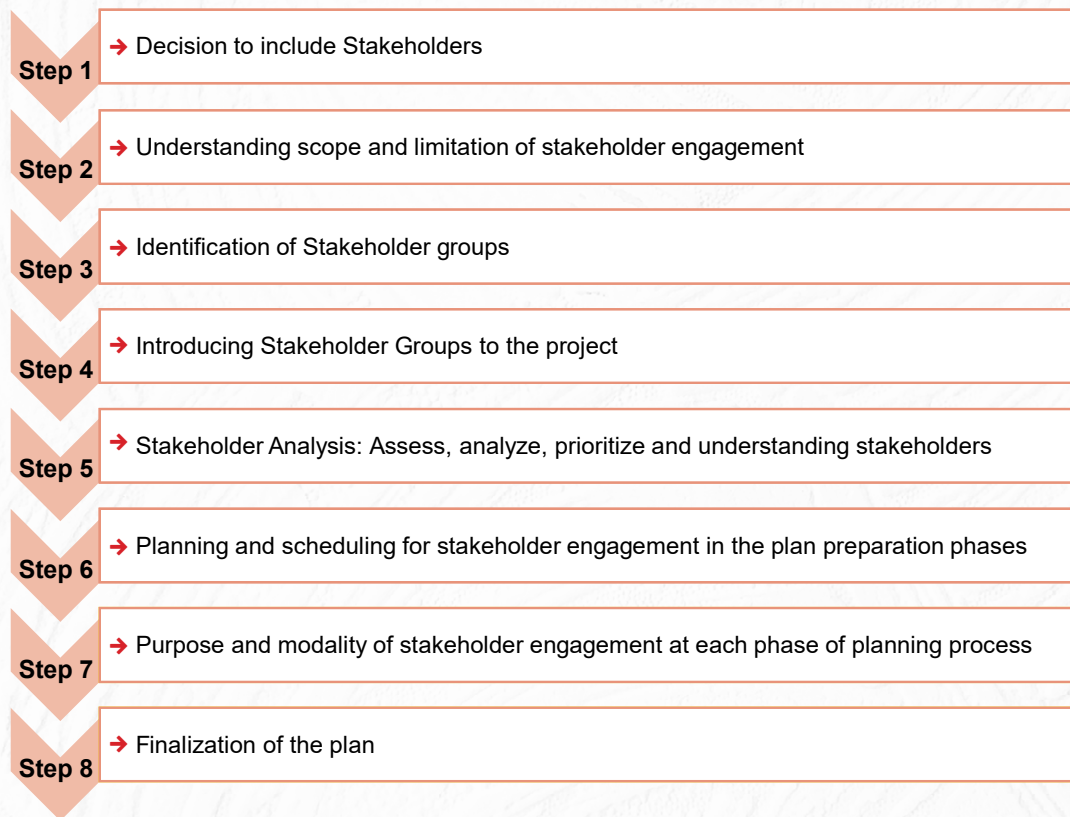


Figure 2.1 Stakeholder engagement in adaptation planning

The following sections provide the detailed description of the mentioned steps of the **Figure 2.1**.

2.2 Step 1: Decision to Include Stakeholders

The project team, in consultation with the implementing agency, needs to come to a consensus regarding the necessity, benefits, and constraints of including stakeholder participation in the adaptation project planning process. This discussion is required to determine the scope of the participation of the stakeholders and the assurance of reflecting their opinion in the project proposal. In addition, the arrangement of the venue, allocation of time, and budget for the sessions need to be discussed prior to the engagement of the stakeholder groups. The importance of stakeholder engagement in the case of two projects in Khulna City Corporation (KCC) and Sirajganj Paurashava are presented in **BOX 2.1a** and **2.1b**.

BOX 2.1a: Water as leverage, Natural Drainage Solution for Khulna City Corporation (KCC)

Though the broad goal of this project was well accepted by all the stakeholder groups, their involvement was necessary in the planning and design phases of some of the components of the plan. For example, the community might have specific suggestions regarding open space development along the canals, improvement of the slums, location of the bridges, and so on. One of the important components of the project was land acquisition, which required an in-depth discussion among the directly affected stakeholder groups.

BOX 2.1b: Improvement of Waste Management System in Sirajganj Paurashava

In the project “Waste Management in Sirajganj”, a wide range of stakeholder groups were involved, such as community people from different socio-economic groups, women groups as they are directly involved in waste management at household level, waste management workers of Paurashava and from the informal sector, business entities linked with waste management, etc. Interactive discussion with these stakeholder groups helped to take planning decisions related to the modality of waste collection, the monetary contribution of households, consideration of economic aspects of the business, earning of informal waste collectors, and so on. Engagement of stakeholders in the planning process was crucial in this project’s attainment through negotiation and consensus building.

2.3 Step 2: Scope and Limitation of Stakeholder Engagement

There should be a clear understanding of the project team about the expected contribution among the stakeholder groups. If the stakeholder groups participate in the entire process of planning, it is considered to be highest level of participation.

It is often difficult to come to a consensus when varied interest groups are present with different levels of power. It may also happen that a powerful group is vigorously opposing a component of the project. In such a case, conflict management would be a major concern. It needs to be ensured that the opinions of the stakeholder groups are honored and reflected in the approved plan. Thus, enabling political and administrative platforms is a prerequisite for stakeholder engagement in the planning process.

2.4 Step 3: Identification of Stakeholder Groups

Identification of stakeholder is a crucial and cumbersome task. Following is a potential list of stakeholders, but it varies with the context and nature of the project. Stakeholders in a planning process are actors (individuals, groups, or organizations) who are affected by or can influence the implementation of a plan.. These stakeholders, or “interested parties,” can usually be grouped into the following categories:

- *Project implementing agencies: National agencies linked with implementation, Local Government Institutions responsible for implementation,*
- *Government Agencies (national and local) linked with output of the plan/project*
- *Funding Agencies: Government, Non-government, international donor*
- *Political bodies: Elected representative members (MP, Mayor, councilor), influential local political leaders*
- *Business entities: Real estate developers, local chamber of commerce, local market committee, business group, resident group involved in particular business*
- *Social and religious groups: Religious groups, civil society organizations, Community based organizations, Youth clubs, ethnic groups, women club*

- *Special Group: Physically challenges, minority ethnic group, vulnerable group in terms of income, age, gender, disaster, professional bodies*
- *Local residents/user/consumer*

2.4.1 Communication with the Stakeholder

Project team need to go through literature review and brainstorming sessions to begin the task. Team members need to communicate with key people at the local level to develop contact with the stakeholder groups. To uphold the principle “Leaving No One Behind”, it is important to include women and other vulnerable groups of society (physically challenge, minority ethnic groups, vulnerable groups in terms of income, age, and gender) as stakeholders in the planning process. Special attention to women and vulnerable groups within the stakeholders’ groups is required to be given in the IFGDS. Following is the list of activities related to the identification of stakeholders:

- (i) Review of literature and brainstorming sessions to get an overall understanding about the stakeholders
- (ii) Discussion with key personnel from LGIs, donor agencies, local NGOs, CBOs, local business groups, religious groups about the possible list of stakeholders
- (iii) Consultation with local elected bodies
- (iv) Community level working units of residents are most important source for identification of stakeholder group

In the case study projects of two LGIs, stakeholder identification process is discussed in **BOX 2.2a** and **BOX 2.2b**.

BOX 2.2a: Water as leverage, Natural Drainage Solution for Khulna City Corporation (KCC)

The project team reviewed the project proposal, and the tentative objectives, and the list of activities to be performed in the projects. The team prepared a tentative list of stakeholders, but the practice session engaged three groups of stakeholders. In the KCC area, UNDP has been working at the ward level for the last 20 years and they have developed CDC comprised of 4-5 households that are mostly from low-income groups. This grassroots unit of UNDP was considered the vehicle of communication for the project team. UNDP officials at KCC were contacted through the KCC office and they extended their support to organize the practice stakeholder sessions. Following three groups were formed for the practice sessions:


<i>Type of group</i>	<i>No of participants</i>	<i>Date and time</i>	
Women Group	18	25 November 2021 (10:00 am -11:50 am)	
Minority Group	20	25 November 2021 (12:00 pm- 1:50 pm)	
Low Income Group	20	25 November 2021 (2:00 pm-4:00 pm)	
Total		58	

Figure 2.15 Stakeholder Consultation in Khulna City Corporation

BOX 2.2b: Improvement of Waste Management System in Sirajganj Paurashava

The project team reviewed the proposal, objectives and list of activities to be performed in the projects. The team prepared a tentative list of stakeholders, but the practice session engaged three groups of stakeholders. In Sirajganj Paurashava, the project team communicated with the officials of Paurashava, particularly Town Planner, Slum development Officer and Medical Officer. They have supported the project team to organize the stakeholders. The Mayor of Paurashava inaugurated the Stakeholder Sessions. The elected councilors also showed interest to join the sessions. Medical officer is in charge of waste disposal activities thus he supported to include the participants who are involved in waste collection and business related to waste management. Following three groups were formed for the practice sessions:


Type of group	No of participants	Date and time	
Elected Representatives	21	29 November 2021 (10:00 am-1:00 pm)	
People involved with waste management activities	21		
Women Group	22	29 November 2021 (2:00 pm - 4:00 pm)	
Total		64	

Figure 2.3 Stakeholder Consultation in Sirajganj Paurashava

2.5 Step 4: Introducing Stakeholder Groups to the Project

At this stage, stakeholder groups are introduced to the project goals and different components of the project. In this session, the stakeholder groups will be sensitized to the long- and short-term impacts of the project. For example, if the project is concerned with adaptation to climate change, the impacts of climate change and its short and long terms consequences should be discussed with the stakeholders. The project team will inform the participants about the long-term impacts of climate-induced hazards. On the other hand, the participants will share their experiences regarding the problems the project intended to address. **BOX 2.3a** and **2.3b** present the experiences of the stakeholder groups in the pilot sessions.

BOX 2.3a: Water as leverage, Natural Drainage Solution for Khulna City Corporation (KCC)

The followings are the local people's perception regarding the project-

২. খালের মাঝে জীবনমাত্রার সমস্যা:

- * নৌপথে যাতায়াতের সুবিধা
- * রাস্তা ধরে জীবনজীবিকা নির্বাহ করে
- * খালে মাছের ও গোমলের সুবিধা
- * খালের কারণে পানি প্রবাহের গতি নিবন্ধিত্ব ছিল।

১. মেরুদণ্ড হলে সুবিধা ও অসুবিধা

- ১) খালের পানি থেকে স্নান আমাদের পরিবেশ দূষিত হবে না।
- ২) আমাদের খালের পাড়ে যাতায়াত সুবিধা হবে।
- ৩) বিনোদনের ব্যবস্থা হলে আমাদের বাচ্চাদের সুবিধা হবে।
- ৪) আমরা মারা ভূমিহীন তাদের জন্য বাস্তু স্থানের ব্যবস্থা করলে ভাল হয়।
- ৫) খালের খাঁড়ি তৈরি করলে যাতায়াত সুবিধা হবে।
(স্মারক: ১৭ মোনাজ্জা, বিন বস্তু)
- ৬) আমরা মারা অসহায় তাদের জন্য কিছু সুযোগ সুবিধা হলে ভাল হয়।
- ৭) স্থায়ী পুরস্কা করা যায়।

২. বর্তমানে ক্ষতিকর দিকসমূহ:

- * জনাবদ্ধতার ফলে ঘরবাড়ি, আমবাগানের ক্ষতি হয়।
- * জনাবদ্ধতার কারণে পানিবাহিত রোগ বৃদ্ধি পায়।
- * দুর্গন্ধের ফলে বায়ু দূষণ হচ্ছে।
- * জনাবদ্ধতার কারণে পরিবাহের লোকজন কাজে যোগদান ব্যস্ত হয়।

৩) জেয়ার এটি বন্ধ আছে।

৪) রাস্তা বিধা মায় না চর হচ্ছে গেছে।

৫) স্ফালা মেলে খাল জের গেছে।

৬) খালের পানি আমরা কোন কাজে ব্যবহার করতে পারি না।

৭) খালের পানিতে অনেক দুর্গন্ধ হচ্ছে।

৮) খালের পানিতে সুর ও বাথরুম জের মায় মার জন্য টিবিজ রোগে আক্রান্ত হয়ে পাড়ছে এলাকার লোক।



Figure 2.4 Local People of Khulna City Corporation writing their views about the project



Figure 3.5 Local People of Khulna City Corporation writing their views about the project

BOX 2.3b: Improvement of Waste Management System in Sirajganj Paurashava

The followings are the perceptions and needs of the stakeholder group comprised of waste collectors.

বক্তা আশ্রয় ①

৩) কাম্বোজী সঙ্গীত

৪) অপ্রিয় লোকসমূহ প্রবেশ করলে লোকসমূহের মধ্যে অসুখ হতে পারে। অসুখ হলে লোকসমূহ কাজের ক্ষমতা হারাতে পারে। (সামান্য অসুখ হলে) অসুখ হলে লোকসমূহের বেতন কমানো (হাত কাট করা হয়) অসুখ হলে লোকসমূহের বেতন কমানো

৫) বাসিন্দাদের মাঝে মাঝে স্যানিটিক বিল্ডিং বা স্যানিটিক স্টেশন নেই

৬) বাসিন্দাদের স্যানিটিক স্টেশন নেই (স্যানিটিক স্টেশন)

৭) বাসিন্দাদের স্যানিটিক স্টেশন নেই (স্যানিটিক স্টেশন)

৮) বাসিন্দাদের স্যানিটিক স্টেশন নেই (স্যানিটিক স্টেশন)

৯) বাসিন্দাদের স্যানিটিক স্টেশন নেই (স্যানিটিক স্টেশন)

বক্তা আশ্রয় - স্ক্রিপ্ট/অফিসার - স্ক্রিপ্ট/অফিসার

১) স্যানিটিক স্টেশন স্থাপন করা হবে।

২) লোকসমূহের স্যানিটিক স্টেশন স্থাপন করা হবে।

৩) স্যানিটিক স্টেশন স্থাপন করা হবে।

৪) স্যানিটিক স্টেশন স্থাপন করা হবে।

৫) স্যানিটিক স্টেশন স্থাপন করা হবে।

৬) স্যানিটিক স্টেশন স্থাপন করা হবে।

৭) স্যানিটিক স্টেশন স্থাপন করা হবে।

৮) স্যানিটিক স্টেশন স্থাপন করা হবে।

৯) স্যানিটিক স্টেশন স্থাপন করা হবে।



Figure 7.6 Surveyors facilitating local People of Sirajganj Paurashava in writing their views about the project



Figure 6.7 Surveyors facilitating local People of Sirajganj Paurashava in writing their views about the project



2.6 Step 5: Stakeholder Analysis: Assess, Analyze, Prioritize and Understanding Stakeholders

Stakeholder analysis is a process of systematically gathering and analyzing qualitative information to determine whose interests should be taken into account when developing and/or implementing a policy or project. **Figure 2.8** illustrates four categories of stakeholders considering their power and interest in the project.

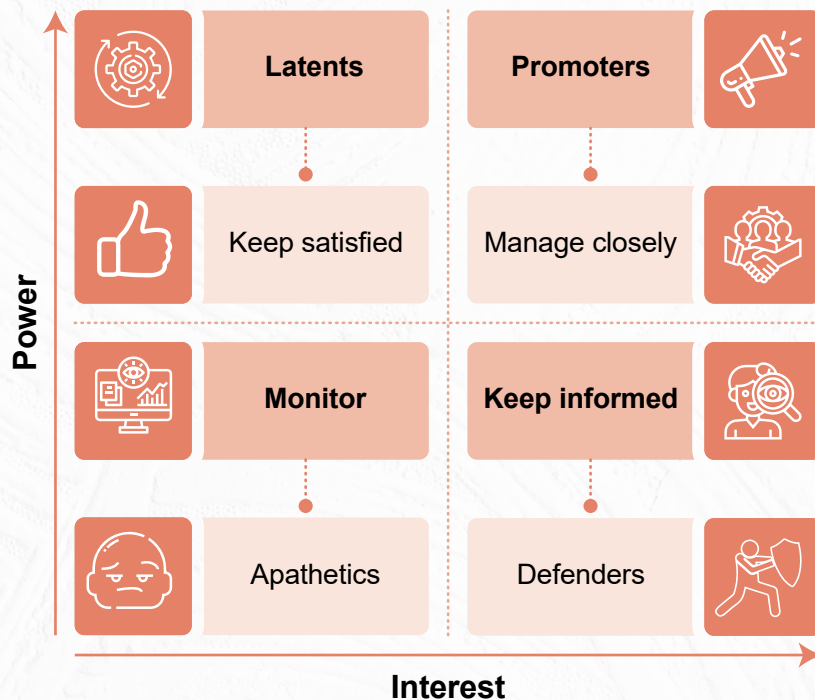


Figure 2.8 Power-Interest Grid in Stakeholder Analysis

- **Promoters** have both great interest in the effort and the power to help make it successful (or to derail it).
- **Defenders** have a vested interest and can voice their support in the community, but they have little actual power to influence the effort in any way.
- **Latent** participants have no particular interest or involvement in the effort but have the power to greatly influence it if they become interested.
- **Apathetic people** have little interest and little power and may not even know the effort exists.

During the piloting with the stakeholder groups, it was found that the stakeholder groups are not always homogenous. Within the group, there are variation of interest and power among the participants based on their socio-economic, locational and political contexts. Considering this, stakeholder groups were divided into three to five subgroups to get their diverse views on the proposed content of the plans. **BOX 2.4a** and **2.4b** present the distribution of subgroups of the stakeholders according to the classification of the Stakeholder Power-Interest Matrix. Reshuffling of the members of the stakeholder groups can be done based on this exercise.



BOX 2.4a: Water as leverage, Natural Drainage Solution for Khulna City Corporation (KCC)

Type of group	Nature of interest and power			
	Promoter	Defender	Latent	Apathetic
Minority Group	•••••	••		
Low-income group	•••••	•		•
Women Group	•••••	•		•

BOX 2.4b: Improvement of Waste Management System in Sirajganj Paurashava

Type of group	Nature of interest and power			
	Promoter	Defender	Latent	Apathetic
Women Group	•••••			
Local Residents and elected councilors	•••••	••		
Groups involved with waste management and related business	•••••		•	

2.6.1 Understanding of Component Wise View of Stakeholders and Concern of the Project Team

The stakeholder groups may have unanimous support for the broad goal of the project, but they may have different opinions on different components of the project. Thus, it is necessary to have a clear understanding on their views and to incorporate views of the stakeholder groups in the adaptation planning process. **Table 2.1a** and **2.1b** presents the views of the stakeholder groups on the project components in the KCC and Siraganj Paurashava.

Table 2.1a: The views of the stakeholder group on the project component for “Water as leverage, Natural Drainage Solution for Khulna City Corporation (KCC)” project.

Major Components	Views of the stakeholders	Concern of project team
Cleaning and blockage removal from all drains, ponds and canals	Unanimously agreed	No concern
Canal Rehabilitation and Re-excavation	Unanimously agreed	No concern
Moyur River enlargement with land acquisition and resettlement	Difference of opinion among groups and within subgroups	Analysis of stakeholder’s power and interest. Conflict management is a challenging task.
Creation of public open space, and recreational area	Comments on facilities to be provided	Involve stakeholders in planning and design phases
Construction of new wastewater treatment plant	Unanimously agreed	No concern
Improvement of solid waste management facilities	Unanimously agreed	No concern

Slum improvement works and awareness building	Comments on facilities to be provided and worried about cost and security of tenure	Involve stakeholders in planning and design phases
Cleaning and blockage removal from all drains, ponds and canals	Unanimously agreed	No concern

Table 2.1b The views of the stakeholder group on the project component for “Waste Management Project in Sirajganj Paurashava project”

Major Components	Views of the stakeholders	Concern of the project team
Segregation of Municipal Solid Waste (3R)	Unanimously agreed	No concern
Construction/reconstruction of new waste collection points	Unanimously agreed	No concern
Consultant for designing and construction of new landfill in an environmentally and economically suitable area.	Difference of opinion among groups and within subgroups	Analysis of stakeholder’s power and interest. Conflict management is a challenging task.
Enhancing organizational capacity and strengthened operational capabilities.	Comments on facilities to be provided	Involve stakeholders in planning and design phases

<p>Ensure community engagement, empowerment of women and other disadvantaged groups in solid waste management system.</p>	<p>Unanimously agreed</p>	<p>No concern</p>
<p>Awareness building for efficient waste management</p>	<p>Unanimously agreed</p>	<p>No concern</p>



2.6.2 Preparation of Component Wise Promoter and Challenger Matrix

It is evident from **Table 2.1a** and **2.1b** that the stakeholder groups did not unanimously agree to the components of the project. For example, in the KCC project, in the issue of land acquisition, stakeholder groups have difference of opinion. This component of the project will generate significant discussions and debates. At this stage, it is necessary to understand and identify the stakeholder groups as promoter and challenger (opponent) of the proposed component. Promoter-Challenger Matrix has needed to be developed (**Figure 2.9**) for example of the work conducted in pilot session in KCC). Size of the circle indicates the strength of their voice. Stakeholder groups also strongly mentioned about the compensation package if they are moved out from the area.



Land acquisition component of Water as Leverage, Natural Drainage Solution for Khulna City project

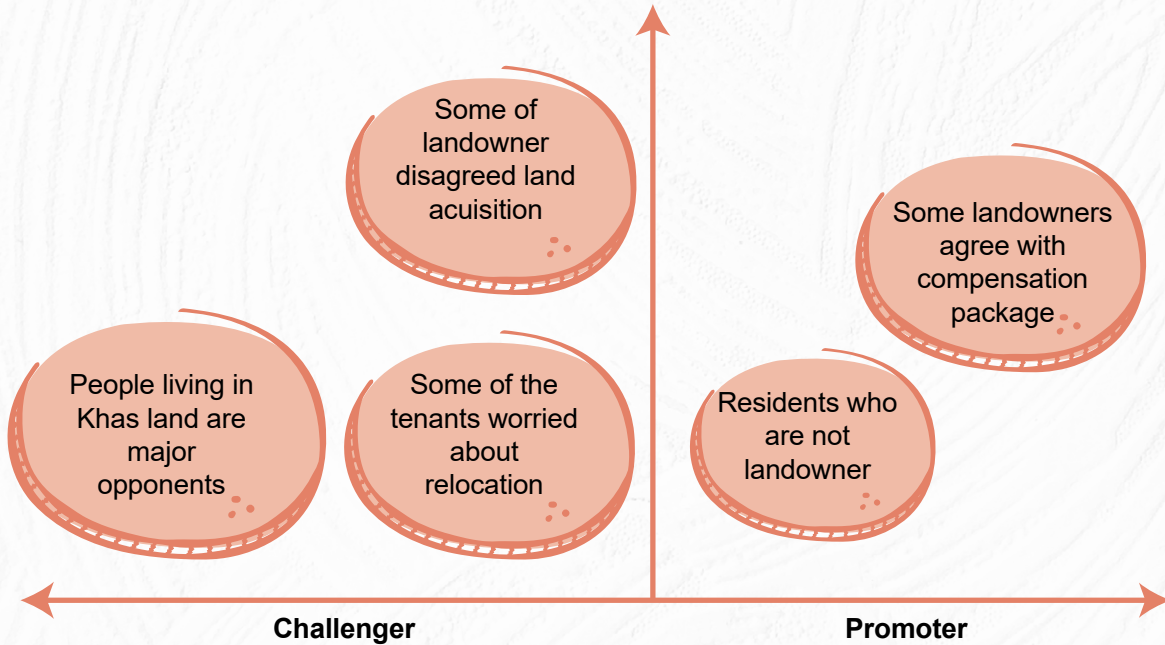


Figure 2.9 Component wise Promoter and Challenger Matrix for Water as leverage, Natural Drainage Solution for Khulna City Corporation (KCC) project

2.7 Step 6: Planning and Scheduling for Stakeholder Engagement in the Plan Preparation Phase

2.7.1 Planning for Stakeholder Engagement in the Planning Process

Efficient designing of stakeholder engagement strategy helps in management of resources, time needed for stakeholder meetings and most importantly it plays important role in conflict management among the stakeholders and the implementing agency. Stakeholder Power-Interest Matrix prepared in the previous step can be used to devise an effective engagement strategy. This engagement strategy will guide the schedule and modality of communication with the stakeholder groups. At this step, following aspects need to be decided considering the time and resource constraints:

- Decision regarding the involvement of stakeholders in the phases of planning process
- Decision regarding the modality of involvement. For example, face to face interactive discussion sessions are preferred for both the case study projects because the stakeholder groups are mostly from low income group and they would be more comfortable in face to face interaction
- Scheduling of stakeholder meetings need to be done in consultation with stakeholder groups

The goal of this step is to provide relevant information to the stakeholders, at the most appropriate time, to maximize stakeholder engagement and their contribution in the plan.

Table 2.2 indicates the scope of contribution of stakeholder groups, professionals and implementing agencies at different phases of planning process. To ensure true sense of participation of stakeholders, it is necessary to understand their scope of contribution in the plan preparation and monitoring phases which varies with the nature of the project. In general, major contribution of the stakeholders are expected at the following phases of planning process:

Table 2.2 The scope of contribution of stakeholder groups, professionals and implementing agencies at different phases of planning process

Planning Activities	Role of Stakeholder Groups
Assessing community values	Major role in determining community understanding about the project
Determining goals and objectives	Major contribution in determining the goal and expected outcome of the project
Data collection	Support the project team in data collection
Design criteria and standards	Support the project team in fixing design criteria
Developing alternative plans	No significant role
Choosing an alternative	Major involvement needed to make selection from alternative plans. Interactive discussion among the stakeholders and with the implementing agencies to reach a consensus in case of conflicting interests
Detailed plan preparation	No significant role
Plan modification and approval	Final checking of the approved project
Implementation	
Monitoring	Stakeholders may play active role in monitoring projects during implementation to ensure quality of work.
Reviewing of plan	After completion of the project, stakeholders can give review reports as user group

■ Important role

■ Moderate role

■ Nominal role

It is evident from the piloting that the stakeholders of both the sample projects unanimously agree with the broad objectives of the proposed project. But they have difference of opinions regarding the components/outcome of the project.

2.8 Step 7: Purpose and Modality of Stakeholder Engagement at Each Phase of Planning Process

It is understandable that due to time and resource constraints, it is not possible to engage all the preliminarily identified stakeholder groups. Stakeholder Power-Interest Matrix gives an analytical overview of stakeholders from interest and power/influence perspective. Involvement of all stakeholders from “Promoter” group is essential. Defender group is also important though they



Table 2.3 Purpose and modality of stakeholder engagement at each phase of planning process

Planning Activities	Engagement of Different Stakeholder Groups and the	Possible Mode of Communication
Assessing community values	Engage stakeholder groups (Promoter, Defendant and Latent)	Interactive group discussion with Promoter, Defendant and Latent group. Disseminate information to Apathetic category of Stakeholder through mobile message or letter.
Determining the objectives and components of the project	Engage stakeholder groups (Promoter, Defendant)	Interactive group discussion with Promoter, Defendant. Disseminate information to Latent and Apathetic category of Stakeholder mobile message or letter.
Data collection	No need for consultation, may support the project team in data collection	Selected members of the stakeholder groups can support the project team in field data collection
Design criteria and standards	Support the project team in fixing design criteria	Selected members of the stakeholder groups can support the project team in field data collection
Developing alternative plans	No significant role	

Choosing an alternative	Engagement of promoter, defender. Conflict management is a major concern.	Number of interactive sessions may vary according to the complexity of the project and diversity of opinion among the groups. Outcome the sessions will be communicated to the “Latent Group” and “Apathetic” group through electronic media.
Detailed plan preparation	No significant role	
Plan modification and approval	Representatives from stakeholder groups will check the plan for final approval	A general meeting session can be organized to check the detailed plan.
Implementation	No role	Stakeholders are notified through a mobile message or letter.
Monitoring	Stakeholders may play active role in monitoring projects during implementation to ensure quality of work.	A watch team can be developed comprised of interested volunteers from the stakeholder groups. This team can be trained by the LGs to perform their work more efficiently.
Reviewing the plan	After completion of the project, stakeholders can give review reports as user group	Interactive sessions will be organized for all the stakeholder groups.

Important role
 Moderate role
 Nominal role

have low power, but they can either support or oppose the plan or components of the plan. Apathetic group may be excluded from direct interaction sessions. **Table 2.3** illustrated the purpose and modality of stakeholder engagement at each phase of planning process

It has been observed from the case study projects that within single stakeholder group, there are different opinions about some of the project component. For example, opinion regarding land acquisition component of drainage project of Khulna varied within the groups and among the participants. Reaching to a consensus and management of conflict is a crucial task. Some influential individuals belong to the latent group may play significant role to address the situation. Particularly to uphold national policy goals, it is necessary to take support from the powerful individuals or groups.



2.9 Step 8: Finalization of Plan

Conflict management among the stakeholders and the implementing agency is the crucial part of the stakeholder consultation sessions. Difference of opinion among the stakeholders regarding broad aim of the project is a major barrier if the opposing forces are influential enough. Disagreement about objectives and components of a project is common phenomenon. Thus, the issue of conflict management needs to be kept in mind ahead of time. To meet the interest of majority of population including vulnerable groups, an individual or group may be affected. Primary motto of a plan should always derive a strategy to compensate the stakeholder who will be loser personally through the project. The benefits and costs of project needs to be shared by all. In some cases, to meet national and global commitment, a number of stakeholder's groups may face loss. It is the responsibility of the planner to console those party and if possible, arrange for due compensation.

BOX 2.5a: Water as leverage, Natural Drainage Solution for Khulna City Corporation (KCC)

The proposal of land acquisition was not unanimously accepted by the participants of the stakeholder groups. Some of the participants, even though they were tenants opposed the proposal of acquisition of land along the canals. Again, some of the landowners said they can move from this area is adequate compensation is given. Thus, it is evident that interactive discussions are necessary to settle the issue.

BOX 2.5b: Improvement of Waste Management System in Sirajganj Paurashava

All the stakeholder groups were happy about the project and can comprehend the importance of such project. They were in favor of most of the components. They had difference of opinion regarding fixing the monitory contribution for house-to-house collection of waste. Fixing the amount of contribution need to address social and economic condition of the participants.

Two examples from the case study projects are presented in **BOX 2.5a** and **2.5b**.

Most crucial part of the planning process is to reach a consensus to attain a desired goal. It needs to be recognized that many of the decisions create winner and loser groups. Thus, it is necessary to devise means to compensate individuals or groups for their losses.



**Supporting Environment and
Facilities for Stakeholder
Discussion Sessions**

Comfortable and friendly atmosphere is the prerequisite for effective stakeholder engagement. Freedom of speech and trust among the participants and the facilitators can ensure a supporting environment for the stakeholder sessions. It is assumed that participants of each stakeholder groups have similar interest and power but they may come from same social/ demographic group but due to economic, political and cultural reasons their power and interest may vary within the group. Thus, it is necessary to observe the group closely at the very beginning of the session and mode of interaction with the group can be designed accordingly. However, for a comfortable and interactive session following aspects need to be considered.

3.1 Space

Venue for discussion session can be chosen within the community of the stakeholder group or they can be invited to the LGI office or any other convenient location. For example, if one of the stakeholder groups is low income working women, then the venue a place nearer to their home. Location needs to be fixed in consultation with the stakeholder groups. The space for discussion should be well ventilated and lit with enough space to accommodate the group. The space needs to be equipped with necessary furniture such as chair table, board, projector etc.

3.2 Timing of the Session

Convenient time for the session may vary among the stakeholder group. Thus, it is necessary to fix the time of the sessions in consultation with the participants of the Stakeholder Groups. The primary aim of the sessions is to involve the stakeholders in the planning process. Thus, it is expected that the participant would share their views after thorough brainstorming which require enough energy. Thus, it is important to engage the SHG in their free time. Thus, for the low-income working woman's stakeholder group the time may be set in between sunset and dinner time.

3.3 Monetary Support

Some of the stakeholder group members may have economic constraint. Thus, it will be difficult for the participants to contribute in the Stakeholder session voluntarily. Certain amount of monetary compensation is required to keep the participants comfortable. This amount needs to be allocated during the budget preparation phase of the project.

3.4 Language and Support to Write

Members of some of the stakeholder groups may have difficulties to communicate both in oral and written form. Language barrier due to local dialect need to be addressed by taking support from the local people. In many cases, writing support is needed for some of the group members.

3.5 Arrangement for Refreshment

Stakeholder sessions are often too long and tiring. Thus, it is necessary to make arrangement of light refreshment.





Conclusion

Stakeholder participation is a well-accepted strategy in planning process. But there is no standard process to follow, stakeholder participation is practiced in a very rudimentary way in the LGIs. This calls for a well-established methodology for stakeholder participation, which this document provides. But it needs to be noted that, this process of engagement of the stakeholders are customized according to the nature of the project and the socio-economic and political context of the area. However, there are some issues that needs to be addressed to make the process efficient and meaningful. These issues include- allocation of budget and time, ensuring enabling physical and social environment to conduct the sessions. Most important are building of trust, respectful interaction between stakeholders and implementing agency and assurance of incorporating views of the stakeholders in the project planning and implementation phases. In future, the proposed methodology can be made more application oriented through consultation with wide range of the stakeholder groups.



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