

THE STAKEHOLDER / SOCIAL INFORMATION SYSTEM

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In collaboration with the International Development Research Centre (Ottawa)

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THE STAKEHOLDER / SOCIAL INFORMATION SYSTEM

The Stakeholder/Social Information System currently UNDER CONSTRUCTION incorporates:

1. Stakeholder / **social analysis tools** as applied to conflict, problem, project or policy management activities (methods to address the power relations, interests, positions, and views of stakeholders in a given situation)
2. People-based or **stakeholder-driven** (participatory) methodologies that create time and space for diagnostics to be negotiated across social boundaries (social analysis carried out with the active involvement of the parties concerned, i.e., actors, groups, constituencies or institutions that can affect or be affected adversely or positively by a given situation or course of action)
3. Flexible adaptations of techniques that can be **scaled up or down** according to project needs, towards a better mediation of systems of knowledge and learning (beyond the local / global divide)
4. Robust tools that can serve to unpack the **mental constructs and cultural mappings** of stakeholders (construct analysis)
5. All-purpose methods and matrices that can be extended to the study of **Natural Resource Management** issues and related **knowledge systems**
6. A user-friendly **Project Manager** designed for strategic planning purposes and a systematic integration of action and research (allows users to record process management decisions - people, goals, time, resources, information, methods - affecting project activities and *monitoring and evaluation* strategies as well)
7. A wide range of well-known methodologies borrowed and adapted from **many disciplines**, including participation action research, environmental studies, sociology,

anthropology, political economy, conflict management, clinical psychology, and business administration

8. A modular organization (**Problems, Players, Profiles, Positions, Paths**) offering variable roadmaps of techniques ordered sequentially (beyond toolkits organized into cafeterias of scattered techniques, lengthy checklists of dos and don'ts, or thematic grids of abstract concepts borrowed from the social sciences)

9. A plurality of conceptual perspectives, including elements of

Political Economy: taking issues of power, interests, and legitimacy into consideration

Formal Economics: exploring methods of rational allocation of scarce means among alternative ends

Participatory Action Research: doing research for problem-solving purposes and with the active involvement of the parties concerned

Socio-Constructivism: adapting applied research to social constructions of behavior, language, and knowledge

*** SIS Adaptation Criteria:**

Selection Using only those SIS techniques that are needed in a given context

Scaling Rolling up or down SIS techniques according to social assessment needs

Sequencing Choosing the appropriate point of entry and succession of diagnostic tools

Semantics Choosing the appropriate concepts or terms to assess social reality

PBL WORKSHOP STRATEGY

Process-People-Problem-Project-Product Based Learning is used as the workshop methodology. PBL consists of

1. **diagnostic** activities and techniques requiring
2. multistakeholder **dialogue** and
3. a structured **process** where activities progressively feed into each other and
4. generate strategic **decisions**
5. applicable to on-going project/problem management **activities**



The Stakeholder/Social Information System

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<http://www.carleton.ca/~jchevali/STAKEH.html>

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ALL-PURPOSE METHODS

Participation & Forum

Forum Options
Participation Levels
Third Party
Gradient Polling **

Writing & Info. GAS

All-purpose Info. GAS
Writing for Change

Ordering & Measuring

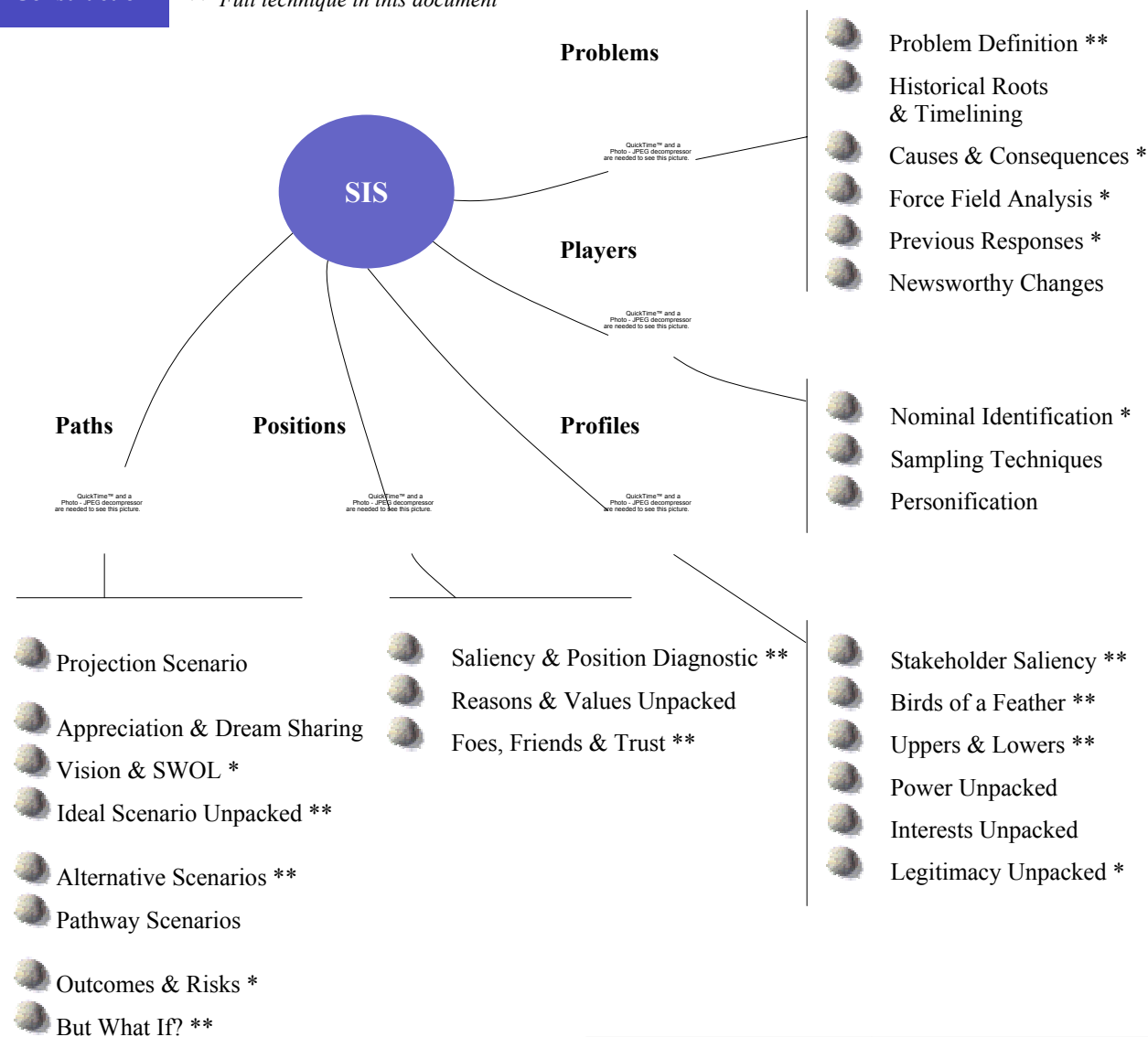
Ranking **
Rating **
Radar Webbing *
Sorting **
Freelisting **
Tree Mapping

Construct Analysis **

Under Construction

* Excerpt in this document

** Full technique in this document



HOW TO USE SIS

PROJECT MANAGER

SIS FEASIBILITY

What should we do when social analysis (using participatory methods) is made difficult by one of three factors:

1. Stakeholders speak mostly the **language of collective interests**
2. Stakeholders **will not or cannot sit at the same table** for reasons of intense conflict or social exclusion
3. Stakeholders are prone to **keep information to themselves**

STRATEGIES:

- Interview individuals or small groups, towards a synthesis to be presented at a general meeting
- Choose the appropriate point of entry (e.g., Ideal Scenario Unpacked in Paths, Module 5)
- Do social diagnostic with potential allies only

PROBLEMS (MODULE 1)

Technique: Problem Definition

Purpose: to identify the problem(s) affecting a particular situation, with an emphasis on the social issues of *power*, *interests*, *values*, and *information-communication*

Procedure:

Part 1: Problem Identification and Ranking

1. Hand out 3 cards to each group member, to be used for drawing or writing down three social issues within a problem domain or three aspects of a single problem; use simple words and focus on the social issues at stake; simply name or describe the issues, without unpacking their history or delving into the related causes and consequences
2. Collect all cards; read them out, and ask each group or all participants to organize them into clusters or piles, to be labeled according to their common characteristics (for more advanced clustering methods, go to *Sort* or *Construct analysis*; <http://www.carleton.ca/~jchevali/STAKEH.html>)
3. Alternatively, regroup the cards into four types of issues, those of *power* (differential access to or control over assets), *interests* (costs and benefits), *values* (expressing legitimate claims or principled positions) or *information-communication*; for suggestions and links regarding possible problem areas, go to SIS and consult the checklist of power, interest, value or information-communication issues presented in *Problem Definition*, Attachment A
4. Rank the clusters according to their relative significance or importance and identify those that constitute *priorities* for research-action purposes (for more advanced prioritization tools, go to *Ranking* or *Rating*; <http://www.carleton.ca/~jchevali/STAKEH.html>)

Example used below: a village hears that the forest officers and area management authority are going to restrict access to a forest area in order to protect wildlife against poaching. The villagers are angry because the forest area in question is important for collecting housing materials and traditional medicines.

<i>Power</i>	Issues concerning the distribution and control of material-financial, institutional-political, coercive-physical, and communicational-informational resources required to bring about desired outcomes <i>in a given situation</i> E.g.: authorities do not consult villagers before making proposals (this involves a <i>real gap</i> -- measures needed to change consultation process and make the chairman of the area management committee more accountable to the entire constituency)
<i>Interests</i>	Issues concerning the extent to which various stakeholder interests are positively or negatively affected by a <i>given situation</i> or action and the critical and pressing character of such interests E.g.: while villagers need to collect forest materials and medicine plants, rumor has it that Forestry and the area management committee want to stop wildlife poaching by restricting forest access (this involves a <i>potential conflict</i>; information on restriction plan must be obtained and, if the threat is confirmed, measures should be taken to reconcile livelihood and wildlife protection interests)
<i>Values</i>	Issues concerning the extent to which claims and positions are legitimate in the sense of being sanctioned through judgments of rightness and wrongness based on existing beliefs, values, and principled norms as they relate to a <i>particular situation</i> E.g.: forest officers lack appreciation of the value of plants for healing and ceremonial purposes (this involves a <i>real gap</i>; educational action may be needed)
<i>Information-Communication</i>	Issues concerning information gathering and interpretation activities and means and forms of communication as they relate to a <i>particular situation</i> E.g.: the chairman lives in another village and is suspected of supporting Forestry interests in retaliation for past dispute (this points to a history of misunderstandings between village and the chairman of the area management committee)

5. If your problem assessment and prioritization requires in-depth analyses of power, interests or values, go to the relevant techniques in Module 3 (*Power Unpacked, Interests Unpacked, Legitimacy Unpacked*) or Module 4 (*Reasons & Values Unpacked*); <http://www.carleton.ca/~jchevali/STAKEH.html>

6. Once priority issues have been identified, assess whether they primarily involve *gaps* (absence or lack of shared resources, interests, values or information-communication) or *conflicts* (confrontation in matters of resources, interests, values or information-communication); note that the act of filling a *gap* (e.g., locating boundaries between state-owned lands and communal property) can sometimes lead to a *conflict* between groups (e.g., the State attempting to set the boundaries without community involvement); to keep track of these assessments, chart the issues in a table as follows:

Issues	Gaps	Conflicts	Ranking
Power			
Interests			
Values			
Information-Communication			

Part 2: Analysis and Discussion

7. Assess the overall distribution and ranking of the issues pertaining to the situation and the implications for strategic action-research purposes
8. If this exercise is done in smaller groups, convene and discuss the conclusions reached by each group; work towards a problem definition shared by all participants
9. For detailed information and illustrations of possible problem areas and corresponding strategies, see Attachment A and related links in *Problem Definition* (SIS Module 1)

PROBLEMS (MODULE 1)

Technique: Disagreements & Misunderstandings (Problem Definition + Construct Analysis Method)

Purpose: to compare stakeholder views, towards a diagnostic of levels of disagreement and/or misunderstanding concerning the issues at hand

Procedure:

Part 1: Grid Construction and Comparison

1. Discuss and revise the following list of natural resource management objectives (list used for illustrative purposes only)
 - Peace collaboration, without violence
 - Equity social, economic
 - Conservation environmental
 - Development technological, economic
 - Rationality scientific rigor, administrative efficiency
 - Well-being human
 - Democracy participation
 - Spirituality deep ecology
 - Identity national, ethnic
2. Divide all participants into gender groups
3. Each gender group ranks the objectives listed above, with values ranging from the lowest (score 1) to the highest priority (score 9)
4. Each gender group then attempts to rank the same list from the other group's perspective, without consulting the other group

Part 2: Interpreting the Results

5. Compare the different rankings to see which of the following scenarios applies:

	<i>Misunderstanding</i>		<i>Understanding</i>
<i>Agreement</i>	<i>Scenario 1</i> <i>Participants agree but do not know it</i>	<i>Scenario 2</i> <i>Participants agree but one does not know it</i>	<i>Scenario 3</i> <i>Participants agree and both know it</i>
<i>Disagreement</i>	<i>Scenario 4</i> <i>Participants disagree but do not know it</i>	<i>Scenario 5</i> <i>Participants disagree but one does not know it</i>	<i>Scenario 6</i> <i>Participants disagree and both know it</i>

N.B. To assess the level of difference between two rankings, add the observed differences between same-row scores (below: B – A scores) and divide the resulting figure by the sum of maximum differences (below: column C)

Elements	A Ranking by Men	C Opposite Ranking (Max. Difference)	B Ranking by Men According to Women	B - A Differences
Peace	1	9 (8)	8	7
Equity	2	8 (6)	9	7
Conservation	3	7 (4)	3	0
Development	4	6 (2)	1	3
Rationality	5	5 (0)	5	0
Well-being	6	4 (2)	7	1
Democracy	7	3 (4)	4	3
Spirituality	8	2 (6)	2	6
Identity	9	1 (8)	6	3
Total				30
% Difference		Max. Diff. 40		30/40 = 75%

6. Discuss the results, with an emphasis on the areas and the likely causes of major disagreements or misunderstandings; group members may wish to discuss these issues among themselves before sharing their views with the other group
7. Explore the potential impact of this exercise on the negotiated perceptions and priorities of each group

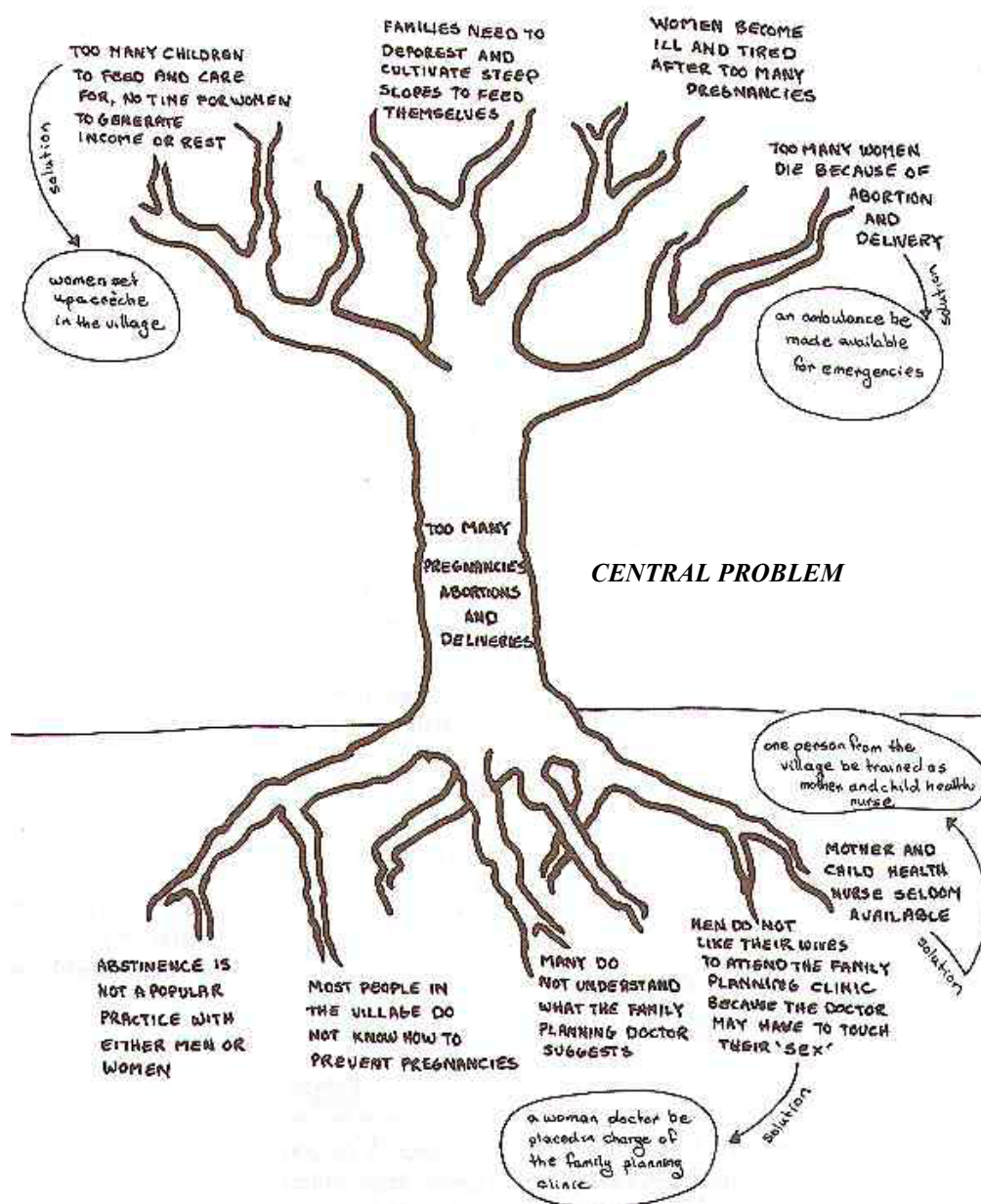
Part 3: Other Applications

8. Explore other possible applications of this diagnostic analysis of disagreements and misunderstandings

PROBLEMS (MODULE 1)

Technique: Causes & Consequences (excerpt)

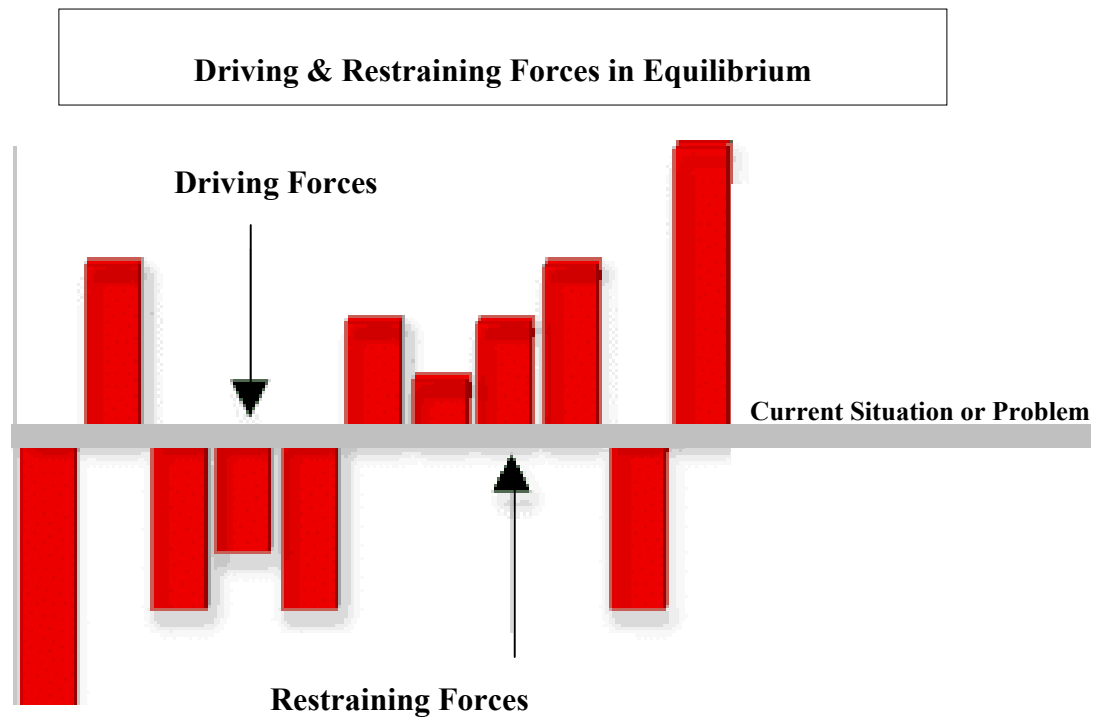
CONSEQUENCES (RAMIFICATIONS)



CAUSES (ROOTS)

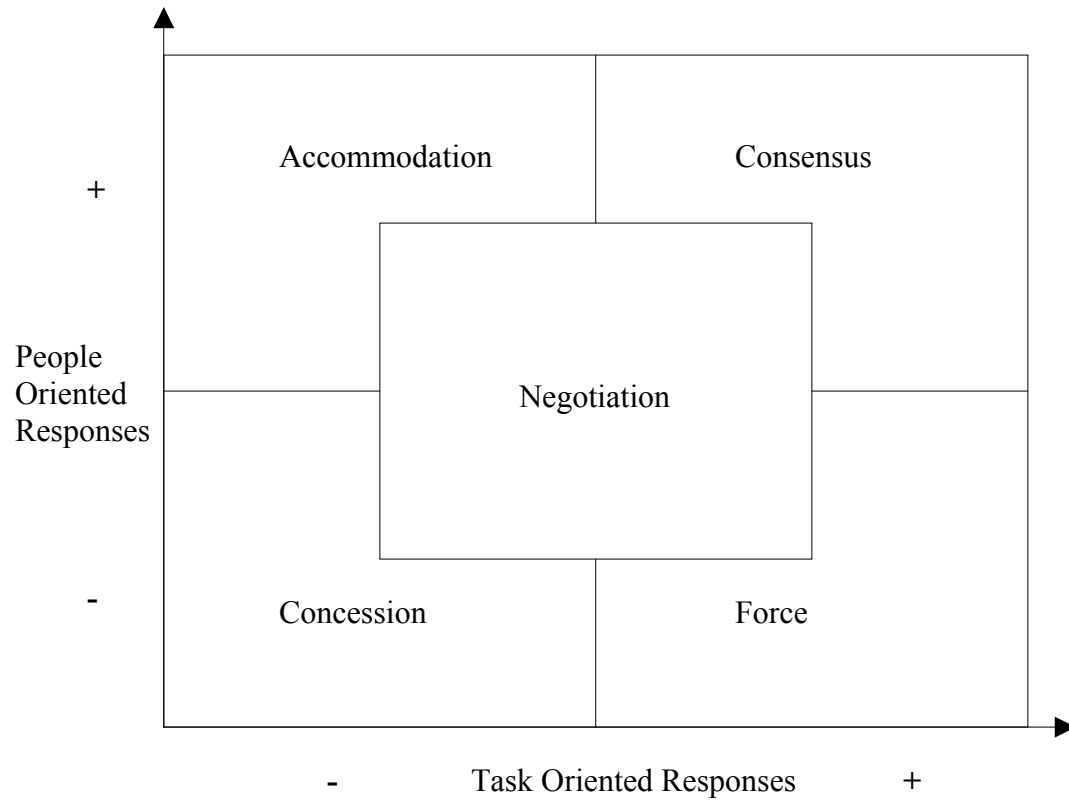
PROBLEMS (MODULE 1)

Technique: Force Field Analysis (excerpt)



- Horizontal line to define a **key problem**
- Length of each column to indicate the relative **weight of each force**
- **Driving forces** (causes) placed above
- **Restraining forces** (limits) placed below
- Focus strategic discussion on driving and restraining **forces under stakeholder control**

PROBLEMS (MODULE 1)

Technique: Previous Responses (excerpt)

PLAYERS (MODULE 2)

Technique: Nominal Identification (excerpt)

Purpose: methods to identify stakeholders actually or potentially affecting or affected by a situation or course of action

Procedure: choose one or combine several identification methods

- **Identification by staff, key agencies or knowledgeable individuals** (local people, NGOs, academics, etc.)
- **Identification by self-selection**
Announcements in meetings, newspapers, local radio or other media can be used to invite stakeholders to come forward, especially those who see it in their interests to communicate their views and have the capacity to do so
- **Identification by other stakeholders**
Discussions with stakeholders who are identified first can suggest other key stakeholders who share their views and interests or those they perceive as having radically different perspectives on the issues at hand
- **Identification through written records and population data**
Census and population data may provide useful information about numbers and locations of people by age, gender, religion, etc. (see *Sampling Techniques* in SIS); stakeholder information may also be obtained from directories, organizational charts, surveys, reports or written records issued by local authorities, donor agencies, government units, experts, academics, NGOs, business and industry, etc.
- **Identification through narrative accounts**
- **Identification using criteria-based checklists** (see full SIS document)

PROFILES (MODULE 3)

Technique: Birds of a Feather

Purpose: to organize stakeholders into categories or groups using criteria that are not predefined and may be subject to discussion or negotiation between the parties concerned

Procedure:

1. Organize your list of stakeholders into stakeholder categories or groupings, using *Nominal Identification* or *Sorting* techniques (see Methods in SIS) or more advanced tools such as *Construct Analysis* (<http://www.carleton.ca/~jchevali/STAKEH.html>)
2. In situations where stakeholders can actually meet, participants may divide themselves into random pairs and discuss, draw or write down three ways in which they think they are *different from their partner* and also three ways in which they are *similar*; to facilitate the analysis, attributes may be organized into binary opposites (high-influence versus low-influence stakeholders, government versus NGO staff, conservation versus development oriented people, action versus research oriented stakeholders, etc.)
3. Alternatively, participants may individually draw or write down three ways in which they think they are *different from the group as a whole and also three ways in which they are similar* (using binary opposites); the facilitator may then do one of two things:
 - Ask each participant to find the other stakeholder that has the closest attributes in relation to the group; self-selected pairs can also attempt to *find their most similar pair, thus forming larger groups*; or
 - Collect all cards that spell out similarities and differences in relation to the group, leaving out the stakeholder names; distribute the *anonymous portraits* (cards

without names) at random and ask each participant to *find the stakeholder* that fits the portrait; note that when a stakeholder identification process is difficult, the self-identified differences may be less important than imagined; conversely, if the identification process is too easy, the self-identified similarities may be less important than imagined

4. Discuss the results of the exercise, with an emphasis on the shared and the divergent attributes of the group; identify sub-grouping profiles and stakeholders that may be left out and have yet to be identified

PROFILES (MODULE 3)

Technique: Uppers and Lower

Purpose: to enhance awareness of multiple vertical relationships and their impact on individuals and on stakeholder interaction

Procedure:

1. Identify a course of action or problem domain
2. Participants list on separate cards two ways in which the course of action or problem domain places them in a situation where they *feel or behave as having a higher status or position or more assets* in comparison to others
3. Participants list on separate cards two ways in which the course of action or problem domain places them in a situation where they *feel or behave as having a lower status or position or more assets* in comparison to others
4. Collect the cards and share the feelings and behaviors involving upper-lower relationships; discuss the *personal impact* they have on participants, including the negative *and* the positive aspects
5. Organize the cards into piles of similar relationships, towards a profile of the overall group or a comparative analysis of subgroups
6. Generate a synthetic list and a common understanding of upper-lower relationships

Source: adapted from FAO Field Tools, Uppers and Lower,

http://www.fao.org/Participation/ft_more.jsp?ID=860

PROFILES (MODULE 3)

Technique: Stakeholder Clusters (Nominal Identification + Construct Analysis Method)

Purpose: a dynamic, interactive method designed to elicit, visualize, and compare the constructs of participants in a particular domain (stakeholder profiles in this exercise); to assess levels of agreement/disagreement and understanding/misunderstanding between individuals or groups; and to modify or adjust individual or group views in light of other perspectives

Procedure:

Part I: Creating a Construct Matrix

1. Elicit through freelistings at least six significant *elements* (e.g., stakeholders, *including yourselves*) that are known to the group and meaningful within a *clearly specified domain* (e.g., a conflict over natural resources in a given area)
2. Write each element on a separate card; if there are more than 9 elements (e.g., stakeholders), reduce the number to 8 or 9 elements through pile sorting and pile labeling
3. Draw a table, write *Constructs* at the top of the Column 1, and insert all elements (e.g., stakeholders A to F) in the top row (example below)
4. Choose three card-elements at random and ask in what way one element may differ from the other two; once the distinctive attribute is identified, elicit the opposite construct (e.g., stakeholder A is 'powerless' in a given situation whereas stakeholders D and E are 'powerful')

Note that binary constructs should be focused, clearly understood, relevant to the problem domain, and variable in the sense that the values assigned to elements will not cluster around one value

5. Assign numerical values to the binary constructs (e.g., unaffected = 1; affected = 9); write the two polar constructs to in Column 1, Row 1

Constructs Values 1 to 9	Stakeholder A	Stakeholder B	Stakeholder C	Stakeholder D	Stakeholder E	Stakeholder F
x- Unaffected / Affected	3	4	5	1	2	7
y- Powerless / Powerful	2	7	7	6	7	4
z- Illegitimate / Legitimate	6	1	9	3	8	1

5. Rate all elements (elicited in Step 1) using the numerical values established in Step 5; record the value assigned to each element in the appropriate cell; note that the midpoint (5 in this case) can mean either that the element is located between the two poles or that the construct does not apply
6. Elicit and record other bipolar constructs using the same method; pick different triads each time (i.e., repeat Steps 4 to 6 another three or four times); note that when interpreting a matrix without computer assistance, the number of bipolar constructs should be less than 5 and the number of elements (e.g., stakeholders) should be reduced to 8 or 9 through pile sorting

Part 2: Interpreting a Construct Matrix

7. If done manually, the matrix analysis can start with comparisons between elements (e.g., stakeholder column profiles) to see which are the most similar and form distinct groupings; for quick estimates of levels of similarity (in %) between two elements, divide the ratings in 3 categories, namely:
- The central value (e.g., 5)
 - The values below (e.g., 1 to 4)
 - The values above (e.g., 6 to 9)

Count the number of SAME category ratings and divide by the sum of SAME (both above or below central) and DIFFERENT (one above and the other below the central);

central values are non-contributory because ambiguous; in the table presented above, there is a 100% match between stakeholders B and D (who nonetheless have slightly different ratings)

8. Comparisons can also be made between constructs (e.g., row distributions) to see which are the most closely associated; for quick estimates of levels of similarity (in %) between two constructs, divide the ratings in 3 categories as in the previous step, count the number of SAME category ratings and divide by the sum of SAME (both values above or below central) and DIFFERENT (one value above and the other below the central); $\text{DIFFERENT} / (\text{SAME} + \text{DIFFERENT})$ gives the level of difference, which points to a reverse construct match if high; central values are non-contributory because ambiguous; in the table presented above, there is an 80% reverse match between constructs x and y (i.e., *powerless* stakeholders tend to be *affected* by the situation at hand, whereas those that are *powerful* tend to be *unaffected*; see table below)

Constructs Comparisons	SAME S	DIFFERENT D	% S S/(S+D)	% D D/(S+D)
Constructs x & y	1	4	20%	80%
Constructs x & z	2	3	40%	60%
Constructs y & z	3	3	50%	50%

9. For advanced quantitative and visual analyses, feed the elicited information into Web Grid II (<http://tiger.cpsc.ucalgary.ca/WGLoad.k>) and perform a "focus analysis" to measure the level of closeness or distance between constructs or between elements, or a "principal component analysis" to identify the main axes of a particular grid

Source: Jacques M. Chevalier, elements adapted from

<http://Tiger.cpsc.ucalgary.ca/WebGrid/WebGrid.html>

<http://tiger.cpsc.ucalgary.ca/WGLoad.k> (based on the Personal Construct Psychology of George Kelly (1955). See Knowledge Science Institute, University of Calgary (<http://repgrid.com/pcp/>))

Appendix 1: Researching, Revising, and Comparing constructs

1. Participants can revise (rename, delete, add) elements, constructs, and ratings at any stage of the analysis
2. Participants may ask targeted questions about an additional construct needed to split two elements that are closely matched (e.g., two stakeholders that have very similar profiles); apply the new construct to all other elements
3. Participants may ask targeted questions about additional elements that may serve to split two constructs that are closely matched (e.g., can you think of stakeholders that may exercise power in the situation and also be directly affected by it?); assess new elements established through this procedure in relation to other constructs (e.g., legitimacy)
4. Participants may decide at any time to gather more facts or documents (including visual material) available in print or electronically that pertain to the domain elements (e.g., stakeholders) and the elicited constructs (e.g., levels of power) so that construct analysis decisions can be well-informed and modified in light of new knowledge
5. Provided that elements and constructs are kept constant, differences in construct ratings for each element can serve to measure the level of *agreement or disagreement* between matrices generated by different individuals or groups; to measure levels of agreement in %, sum up the differences between same-cell ratings and divide the resulting figure by the sum of maximum differences between all cells (in the table presented below, the level of difference between the ratings generated by participants 1 and 2 is $15/(8 \times 6) = 31\%$, a finding that points to a tendency to agree on which stakeholders are affected or unaffected by the situation at hand)

Unaffected/Affected Values 1 to 9	Stakeholder A	Stakeholder B	Stakeholder C	Stakeholder D	Stakeholder E	Stakeholder F
Participant 1	2	7	7	4	7	4
Participant 2	3	4	2	3	9	1
Difference	1	3	5	1	2	3

6. Alternatively, individuals or groups can try to rate the elements as they think they were originally rated by others; the ensuing differences in construct ratings for each element may serve to measure the level of *understanding or misunderstanding* between participants (e.g., gender groups); to measure levels of

misunderstanding in %, sum up the differences between same-cell ratings and divide the resulting figure by the sum of all maximum differences between all cells; in the table below, participant 2 misunderstands participant 1 at a 54% level and is not aware that both participants tend to agree on stakeholder ratings

7. Levels of agreements may be combined with levels of understanding to produce *six possible scenarios*, to which can be added statements regarding feelings of being understood or misunderstood (the table presented above corresponds to scenario 2 and could involve one of three subscenarios: feelings of mutual understanding, feelings of mutual misunderstanding, or feelings of misunderstanding from one party only) (see Attachment A)

Unaffected/Affected Values 1 to 9	Stakeholder A	Stakeholder B	Stakeholder C	Stakeholder D	Stakeholder E	Stakeholder F
Participant 1	2	7	7	4	7	4
Partic. 1 viewed by 2	6	2	1	7	3	8
Difference	4	5	6	3	4	4
Participant 2	3	4	2	3	9	1
Partic. 2 viewed by 1	2	3	4	3	8	2
Difference	1	1	2	0	1	1

	<i>Misunderstanding</i>		<i>Understanding</i>
Agreement	<i>Scenario 1</i> <i>Participants agree but do not know it</i>	<i>Scenario 2</i> <i>Participants agree but one does not know it</i>	<i>Scenario 3</i> <i>Participants agree and both know it</i>
Disagreement	<i>Scenario 4</i> <i>Participants disagree but do not know it</i>	<i>Scenario 5</i> <i>Participants disagree but one does not know it</i>	<i>Scenario 6</i> <i>Participants disagree and both know it</i>

PROFILES (MODULE 3)

Technique: Stakeholder Saliency (PIL: Power, Interests, Legitimacy)

Purpose: to profile the stakeholders actually or potentially involved in a particular situation or course of action, using a composite index of saliency (levels of stakeholder prominence understood as the degree to which stakeholders are affected by a given situation or course of action and can bring about a desired outcome and succeed in getting their interests or claims ranked high in other stakeholders' agendas); the analysis may involve saliency criteria that are *either* constructed by participants themselves *or* revolve around three predefined dimensions, those of power, interests, and legitimacy

Procedure:

1. Construct a stakeholder classification using *Freelisting, Sorting, Rating, Ranking* or *Construct analysis* techniques (<http://www.carleton.ca/~jcchevali/STAKEH.html>); discuss and choose saliency criteria of your own (e.g., gender, age, education, wealth, prestige) and related indicators and scores; specify the *particular situation* (current or proposed) to which these criteria and values apply
2. Alternatively, participants may construct a five-column Stakeholder Saliency Table using the following concepts and definitions of Power (P), Interests (I), and Legitimacy (L), subject to group discussion, clarifications, and revisions

Power (control over resources applied to a particular situation)

The capacity to bring about a desired outcome through the control of material-financial, institutional-political, coercive-physical, informational-communicational resources (consider only the resources that can be effectively applied to the situation, project or policy at hand)

Interests (costs and benefits derived from a particular situation or action)

The ability to impress the critical and urgent character of one's interests or claims and the extent to which they are positively or negatively affected by a given situation or action (not to be confused with 'taking interest' in something)

Legitimacy (claims validated and recognized in a particular context)

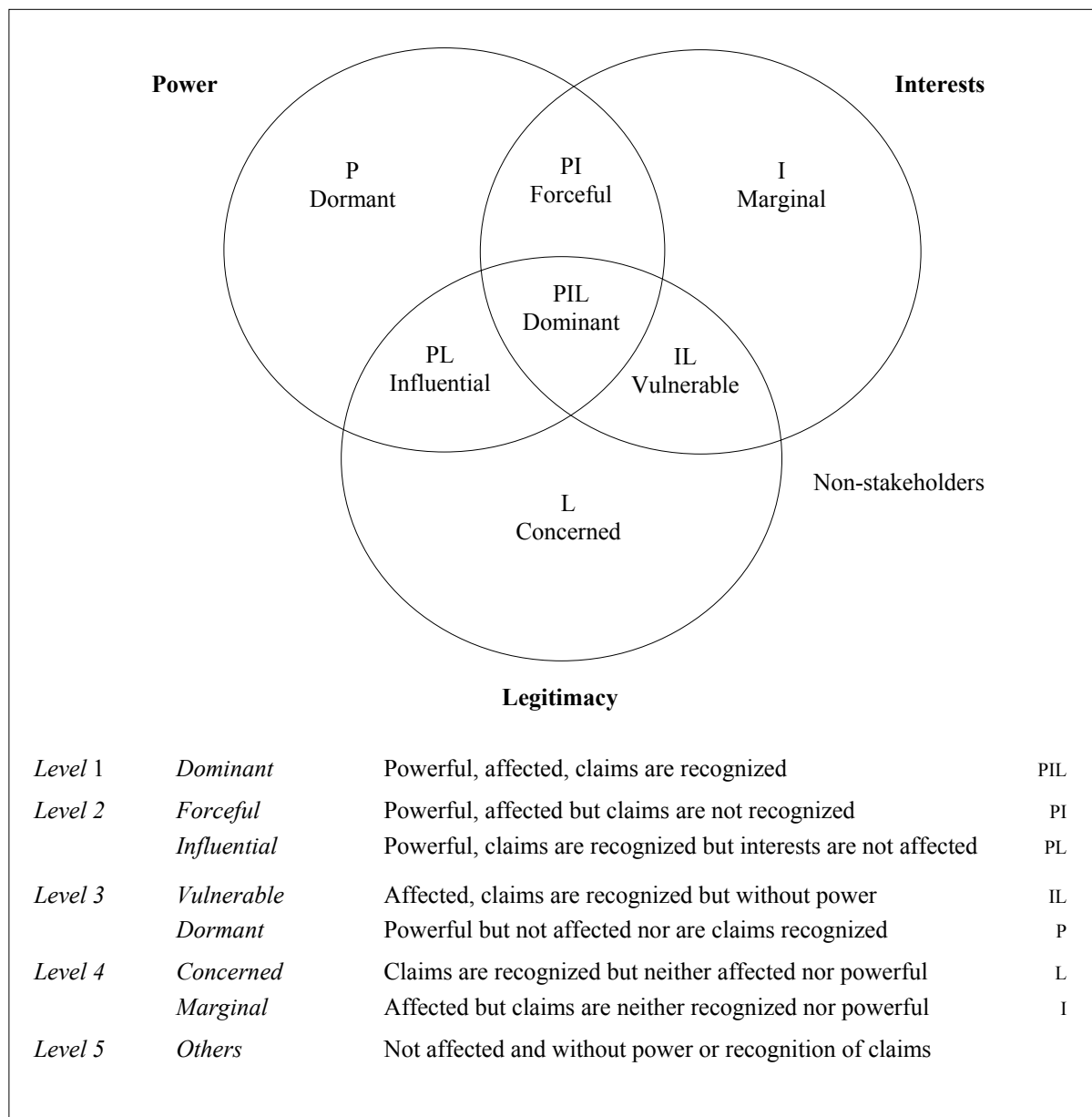
The extent to which particular claims and/or the right to apply resources (material-financial, coercive-physical, institutional-political, information-communication) to a particular situation are recognized as legitimate in the sense of being sanctioned by existing values, norms, and laws, or through judgments of rightness and wrongness

3. To construct a Stakeholder Saliency Table, use Column 1 to record (visually or in writing) all stakeholders actually or potentially involved in a particular situation or project, including those instigating and steering the analysis (see *Nominal Identification*, <http://www.carleton.ca/~jchevali/STAKEH.html>)

Stakeholders	(P) Power	(I) Interests	(L) Legitimacy	PIL category

10. In Column 2, indicate whether the power (P) that each stakeholder can apply to the situation or project at hand is low or high; assign low scores to stakeholders that may be unable to apply the power they otherwise possess to the situation or the project at hand; for a more detailed determination of sources and levels of power (entailing more in-depth research and possible stakeholder disaggregation using the relevant criteria, such as age, gender, marital status, ethnicity, religion, education, period or site of residence, marginal occupations, etc.), go to *Power Unpacked* (<http://www.carleton.ca/~jchevali/STAKEH.html>)

4. In Column 3, indicate whether the impact that a situation or a project may have on each stakeholder's interests (I) is low or high; add a + or - sign to indicate whether the net impact is generally positive (beneficial) or negative (costly); for a more detailed determination of interests (entailing more in-depth research and possible stakeholder disaggregation; see possible criteria above), go to *Interests Unpacked* (<http://www.carleton.ca/~jchevali/STAKEH.html>)

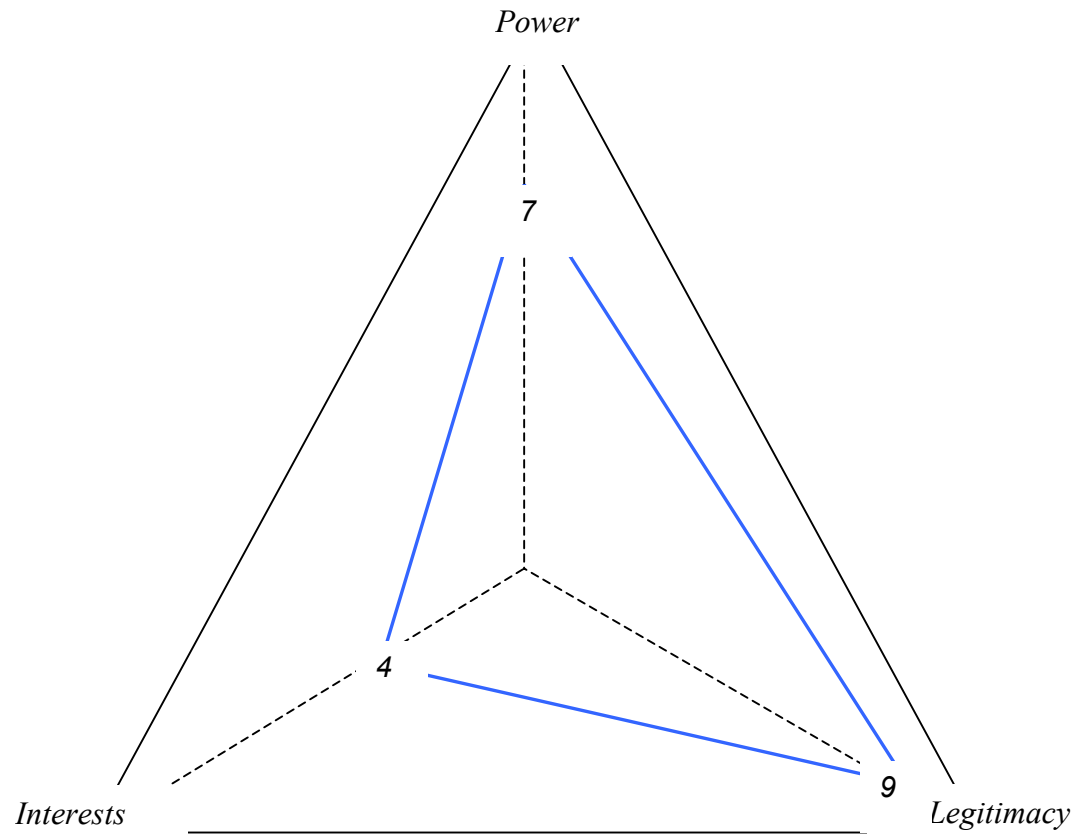


5. In Column 4, indicate whether the claims put forward by a stakeholder are widely recognized as legitimate (L) or not; for a more detailed determination of sources and levels of legitimacy (entailing more in-depth research and possible stakeholder disaggregation; see possible criteria above), go to *Legitimacy Unpacked* (<http://www.carleton.ca/~jchevali/STAKEH.html>)
6. Discuss the stakeholder PIL typology presented above; if need be, revise the fivefold PIL saliency levels and the underlying weighing of factors of Power, Interests, and Legitimacy (ranked first, second, and third, respectively)
7. In Column 5, indicate the PIL classification of each stakeholder, using the information provided in Columns 2, 3, and 4 and the five-level classification presented above (*1. Dominant; 2. Forceful, Influential; 3. Vulnerable, Dormant; 4. Concerned, Marginal; 5. Others*)
8. Discuss how your analysis is likely to affect conflict or project management prospects (e.g., the willingness of all parties to collaborate and reach an agreement); for a full diagnostic application of your PIL analysis, go to *Saliency and Position Diagnostic* in Module 5 (Paths; <http://www.carleton.ca/~jchevali/STAKEH.html>)
9. Stakeholder saliency can also be represented through *Radar webbing* (see below and <http://www.carleton.ca/~jchevali/STAKEH.html>); to obtain radar graphs, assign scores (e.g., from 1 to 10) to each dimension and draw lines between the scores on a triangular diagram, thus showing the extent and direction of PIL space occupied by each stakeholder; note that scales and maximum scores can vary according to the relative weight of each PIL factor (e.g., participants may judge that power weighs more than interests and interests more than legitimacy)

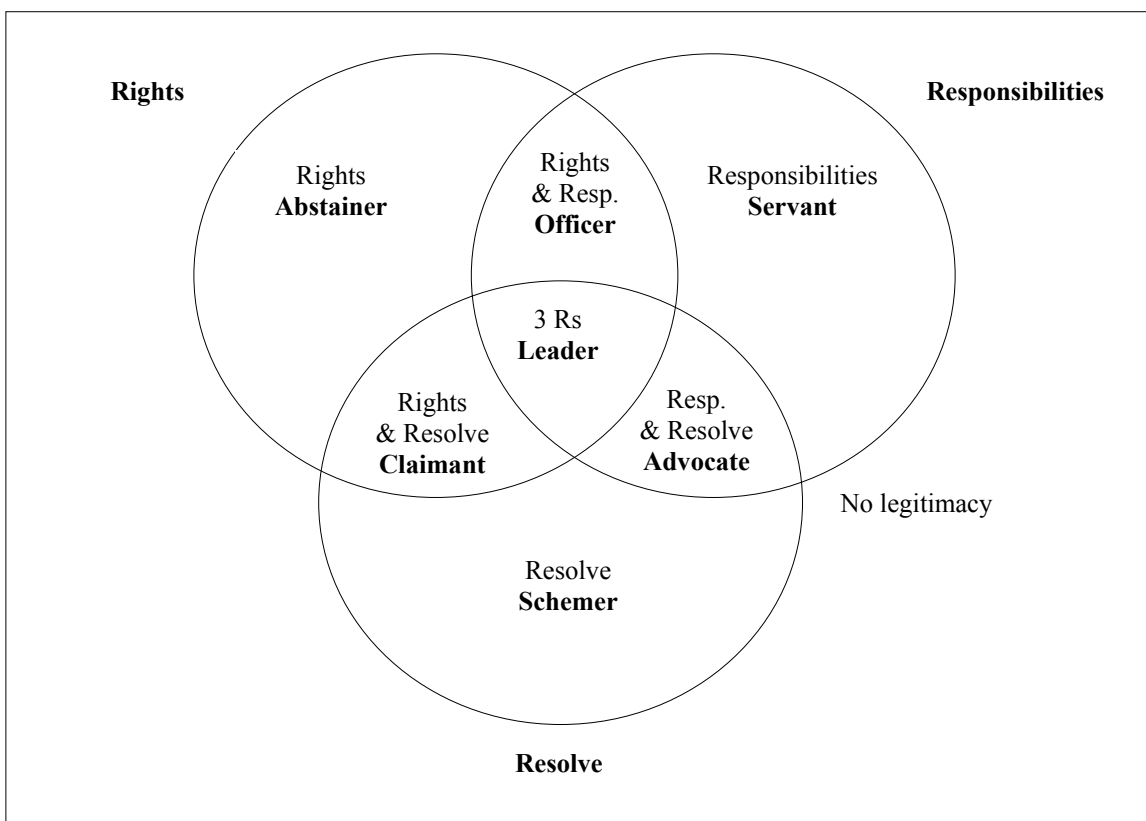
Source: Jacques M. Chevalier, elements adapted from

Mitchell, R.K., B.R. Agle and D. J. Wood, "Towards a theory of stakeholder identification: defining the principle of who and what really counts," *Academy of Management Review* 22(4): 853-886, 1997

Sustainability Indicators for Natural Resource Management & Policy, CAFRE (The Centre for Agricultural Food and Resource Economics), The School of Economic Studies at the University of Manchester,
<http://les.man.ac.uk/ses/research/CAFRE/indicators/wpapers.htm>

Radar Webbing

PROFILES (MODULE 3)

Technique: Legitimacy Unpacked (excerpt)


Level 1	<i>Leader</i>	Rights, responsibilities, and resolve (3 Rs)
Level 2	<i>Officer</i> <i>Claimant</i> <i>Advocate</i>	Rights and responsibilities but no implied resolve Rights and resolve but no implied responsibilities Responsibilities and resolve but no implied rights
Level 3	<i>Abstainer</i> <i>Servant</i> <i>Schemer</i>	Rights only, no implied responsibilities or resolve Responsibilities only, no implied rights or resolve Resolve only, no implied rights or responsibilities

N.B. Discuss the relative weight of Rights, Responsibilities, and Resolve when assessing levels of stakeholder legitimacy pertaining to a given situation; revise the above classification and the proposed terminology accordingly

POSITIONS (MODULE 4)

Technique: Saliency & Position Diagnostic (PIN: Position, Interests, Needs)

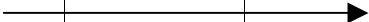
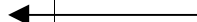
Purpose: to provide an overall assessment of actual or potential coalitions of stakeholders in light of their respective positions and profiles (based on power, interests, and legitimacy) and to facilitate a shift from rigid positions to shared visions or negotiations based on interests and needs

Procedure:

Part 1: Saliency & Position Matrix

1. Draw a seven-column table (see below)
2. In Column 1, write the stakeholder categories using the rankings adopted in your *Stakeholder Saliency* (PIL) analysis (<http://www.carleton.ca/~jchevali/STAKEH.html>)
3. In Column 2, place all stakeholders in their corresponding categories; if the list is too long, reduce to seven or eight key stakeholder individuals or groups (those that are the most likely to affect or be affected by a particular situation or course of action)
4. Use Columns 3 to 7 to indicate the overall position adopted or advocated by each stakeholder concerning a particular situation or course of action, from -2 (very unfavourable) to -1 (unfavourable), 0 (neutral), +1 (favourable), and +2 (very favourable); do so by inserting the **letter P** for each stakeholder in the appropriate column; if useful, use your own code to indicate previous Positions adopted by one or several stakeholders and related shifts over time
5. Using the same scale (from -2 to +2), indicate the estimated impact the situation or course of action may have on each stakeholder's interests; do so by inserting the **letter I** for each stakeholder in the appropriate column, that is, in 'unfavourable' columns if costs are greater than benefits, or in 'favourable' columns if benefits are greater than

costs (use the left-hand part of the *neutral* column to signify an outcome that is tolerable, and the right-hand part to indicate an outcome that meets minimum stakeholder requirements)

<i>Situation or Course of Action:</i>						
Saliency Levels	Stakeholders	- 2 Very Unfavourable	-1 Unfavourable	0 Neutral	+ 1 Favourable	+ 2 Very Favourable
<i>Level 1</i> Dominant	Merchants	P 	I	N		
<i>Level 2</i> Forceful Influential				I - N 		P
<i>Level 3</i> Vulnerable Dormant					I - N 	P
<i>Level 4</i> Concerned Marginal						

- To clarify the distinction between position and interests and facilitate the corresponding shift, discuss each position that is put forward; ask "Why?" or "Why not (meet the demands of the other parties)?" until key interests are elicited; on the distinction between positions and interests, see the diagrams below
- Using the same scale (from -2 to +2), locate the estimated impact that the action or situation may have on each stakeholder's needs (defined as basic interests, which may

include food security but also financial or political survival); do so by inserting the **letter N** for each stakeholder in the appropriate column; discuss the distinction between stakeholder interests and needs

8. Draw arrows to mark the direction of each stakeholder's potential shift from position to interests and from interests to needs; use the thickness or color of an arrow to indicate the likelihood that a shift may occur, given the right conditions

Part 2: Diagnostic and Strategic Implications

9. Discuss the overall distribution of positions and saliency levels (e.g., is there a tendency for all salient stakeholders to adopt the same position vis-à-vis the action or situation at hand, or is there a cleavage between two coalitions of uppers and lowers taking opposite sides?)
10. Discuss potential shifts based on observed distances between positions, interests, and needs (e.g., do arrows generally indicate less distance between stakeholder interests compared to stakeholder positions? Are there stakeholders adopting positions that may reflect their visions of the future while being contrary to their own interests?); explore the conditions under which shifts towards either shared visions or interest-based negotiations are likely to occur
11. Discuss ways in which levels of saliency may be altered to empower those with legitimate claims and pressing needs or interests, with a view to leveling the playing field; explore ways in which the less visible or powerful stakeholders can be involved, receive support, and gain a voice over time

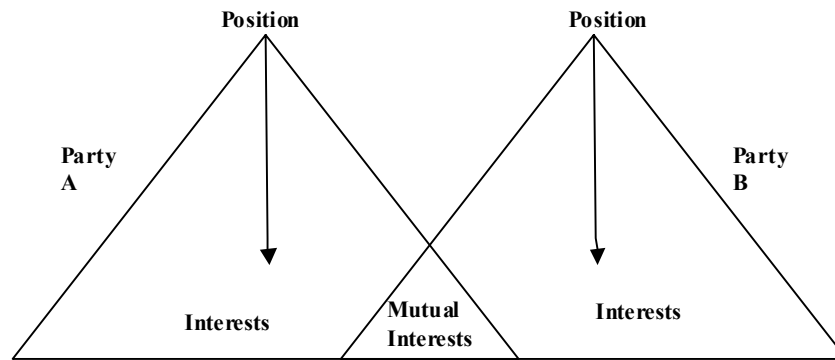
Source: Jacques M. Chevalier

Conflict Management in Community-Based Natural Resource Management (No. 33, 5.4, T3 trainer's note, Section 3.1.1, 3.3.5), FAO, Forestry Unit, forthcoming

Michael Warner, Richard Roberts with Joan Gregus, edited by Joan Gregus and Richard Roberts, *Tools and Training, Module 5* (5.27), Natural Resources Cluster Secretariat, Business Partners for Development, http://www.bpd-naturalresources.org/html/tools_train.html

Position versus Interest-Based Negotiations

Discuss the contrast generalizations below; can position-based discussions be unavoidable in some cultural or situational contexts and facilitate the conflict-management process, especially if couched in the language of ideal scenarios and shared visions (see Module 5, Paths)?



Grzybowski and Morris 1998

	Definition	Example
Position	Advocating a specific outcome or action to meet immediate demands	"Local community members must stay outside of the National Park"
Interest	The underlying motivations - needs, values, fears, concerns - that parties hope to advance	"We are concerned about the impact of local lumbering activities on the park's biodiversity"
Focusing on positions		Focusing on interests
Stating position first		Discussing interests first
Principles		Needs and motivations (the silent movers)
Explicit, coherent ends		Implicit, alternative ends
Entrenched, inflexible		Malleable, flexible
Mutually exclusive concerns		Shared concerns
Information and motivations concealed		Information and motivations shared
Threats and arguments		Trust and reason
Single outcome, minimally negotiable		Multiple outcomes, negotiable
Adversarial win-lose process		Collaborative win-win process
Immediate demands		Short-term and long-term expectations

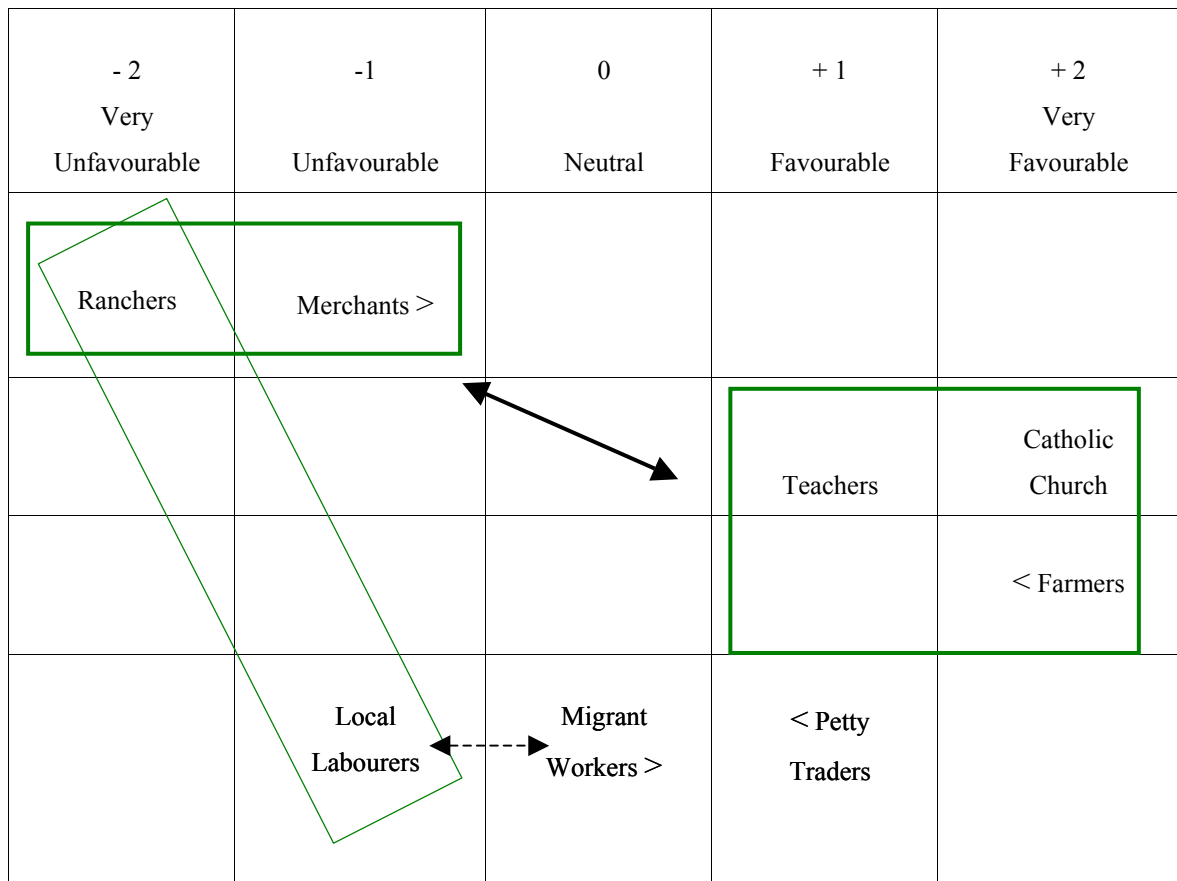
POSITIONS (MODULE 4)

Technique: Foes, Friends & Trust

Purpose: to assess whether prior or current relations of collaboration (trust/friendship) or conflict (mistrust/enmity) can mitigate or exacerbate stakeholder divisions in relation to a particular situation or course of action

Procedure:

1. Simplify your *Saliency & Position Diagnostic* (PIN) by substituting stakeholder names or formations for all the Ps (for Positions) appearing in your matrix (i.e., delete the first two columns showing stakeholder categories and names and all the PIL letters appearing in other columns)
2. Attach a ‘<’ or ‘>’ sign to each stakeholder name to indicate a potential shift in position (based on your PIL diagnostic)
3. Discuss the appropriate terms and indicators for prior or current relations of collaboration (trust/friendship) or conflict (mistrust/enmity)
4. Map these relations using *rectangular boxes* for positive relations and *arrows* for negative relations; line thickness may indicate levels or types of conflict and broken lines, relations that are likely to develop over time
5. When several individuals or groups generate different stakeholder relation matrices, compare and discuss the results *or* submit to a third party for purposes of synthesis, towards a shared understanding of stakeholder relations
6. Discuss indicators and means of building mutual trust; to facilitate the discussion, participants may think of two or three other stakeholders they trust, the reasons they trust them, and what specific actions they have done to create that trust; the same can be done with respect to stakeholders they do not trust, identifying the reasons and actions that contributed to creating mistrust



Description: stakeholder saliency levels, ties, and positions vis-à-vis actions to counter a land expropriation project initiated by the State-owned oil industry, southern Veracruz, Mexico; from Jacques M. Chevalier and Daniel Buckles, *A Land Without Gods: Process Theory, Maldevelopment and the Mexican Nahuas*, Zed (London) and Fernwood (Halifax), 1995

PATHS (MODULE 5)

Technique: Ideal Scenario Unpacked

Purpose: to assist stakeholder groups in constructing a shared vision of the future and prioritizing elements within their ideal scenario

Procedure:

Part 1: Visualizing the Future

1. Divide the participants in groups (minimum 4, maximum 7) that have objectives or problems in common and tasks to pursue jointly as part of their on-going project activities
2. Each group lists the elements that form part of an ideal scenario informing their on-going activities, without discussing the actual details or related priorities
3. Discuss and incorporate elements involving strengths and positive relations observed in the current situation or the past
4. Draw a pictogram (e.g., using quality paper and pastel crayons) of a real or mythical animal that captures key elements of the ideal scenario, including characteristics of the project and the participants
5. Each group gives a short presentation of their ideal scenario and pictogram, with an emphasis on the originality and uniqueness of their group and vision of the future

Part 2: Unpacking the Vision

6. Draw a five-column Ideal Scenario Table
7. In Column 1, list all the positive elements that would be part of your ideal future (see Step 2); keep the list of key elements to a workable number

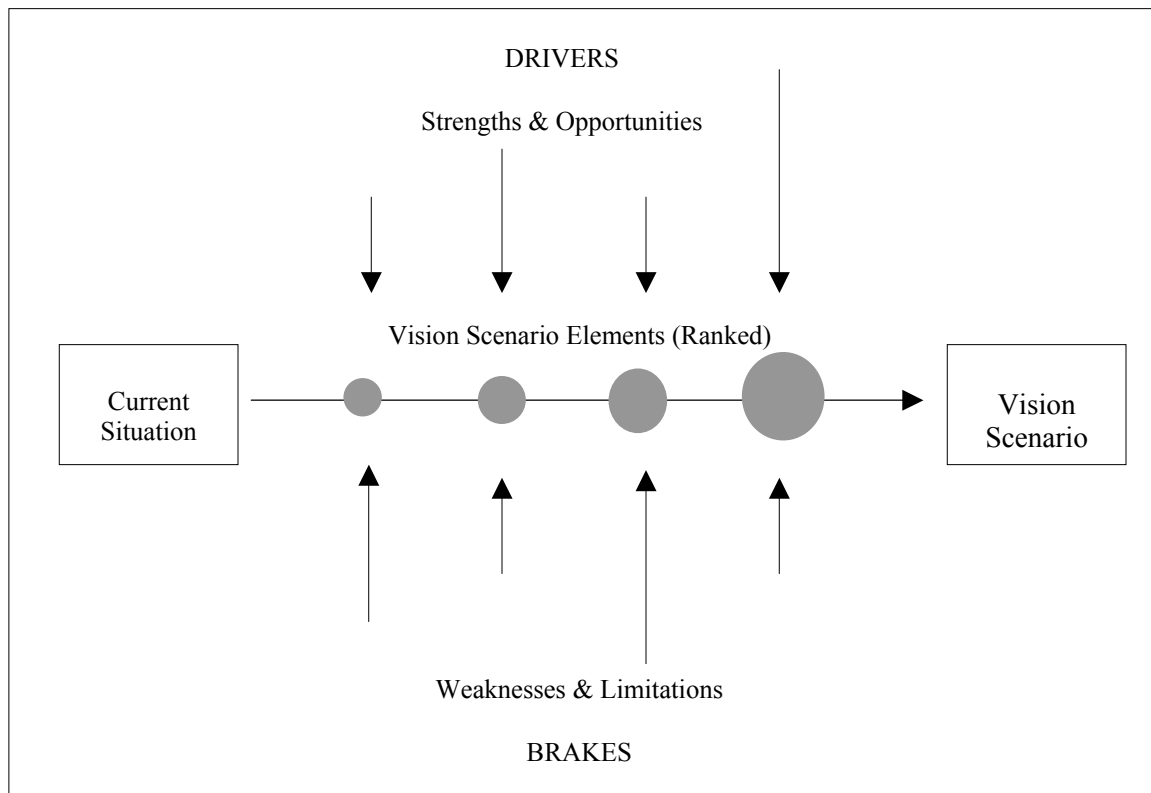
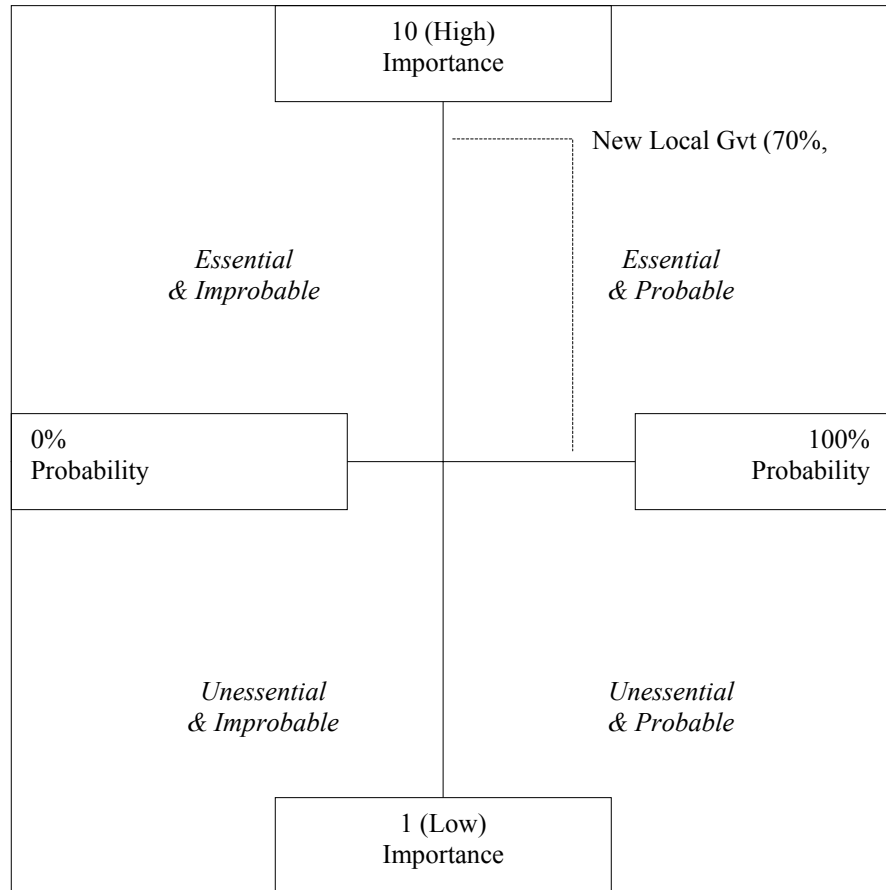
Ideal Scenario Elements	Element Ranking A	Principal Conditions to be Met		Element Importance & Feasibility Score A X B
		Condition Describe (One Per Element)	Likelihood That Condition Will Be Met (in %) B	

8. In Column 2, *rank each positive element* from 1 (low) to 10 (high), according to its relative importance
9. In Column 3, describe one *principal condition* that is required to bring about each positive element
10. In Column 4, indicate *how likely it is that this condition will be met* within a given time frame (specify), keeping in mind that the condition may or may not be partly in place and/or under stakeholder control; use a scale ranging from 0% (condition certain *not* to be met) to 100% (condition certain to be met); insert question marks where the future is entirely unpredictable

11. In Column 5, multiply Columns 2 and 4 to obtain the *Element Importance & Feasibility Score*; the higher the score is, the more reason there is to be optimistic
12. Share, compare, and discuss your ideal scenario with other stakeholder individuals or groups; if possible, negotiate and compile an *integrated scenario* that represents the ideal future for all participants

Part 3: Assessing the Overall Vision

13. Construct a four-quadrant Ideal Scenario Matrix using two intersecting axes; locate the values of your vision elements (Column A above) on the vertical axis, with values of 6 to 10 above the horizontal axis and 1 to 5 below; locate the probabilities of conditions being met (Column B above) on the horizontal axis (from 0% on the left hand side to 100% on the right hand side)
14. Locate each ideal scenario element along the two axes (see example below)
15. Discuss the overall distribution of your ideal scenario elements consisting of
 - (a) Essential elements that are likely to come about (upper right quadrant)
 - (b) Elements that are essential but improbable (upper left quadrant)
 - (c) Elements that are likely to be achieved but are less important (lower right quadrant)
 - (d) Elements that are less important and unlikely to come about (lower left quadrant)
16. Participants may also use SWOL analysis (strengths, weaknesses, opportunities, limitations) to discuss and assess elements of their ideal scenario (see 2nd diagram below; from *Vision & SWOL* in Module 5, SIS)



PATHS (MODULE 5)

Technique: Alternative Scenarios

Purpose: to assess *alternative* scenarios (actions, strategies) leading up to an ideal future

Procedure:

Part 1: Evaluation Criteria, Scales and Indicators

1. Draw a list of alternative actions or strategies to achieve your ideal scenario
2. Discuss the criteria needed to assess the merit of all options; insert in Column 1

Criteria	Scales (may vary)			
	1	3	5	7
Costs	Indicator?	Indicator?	Indicator?	Indicator?
Sustainability	Indicator?	Indicator?	Indicator?	Indicator?
Other criterion	Indicator?	Indicator?	Indicator?	N/A
Other criterion	Indicator?	Indicator?	N/A	
				N/A

3. In the top row, insert the maximum scale to be used to assess your options
4. Discuss the relative weight of each criterion and adjust the scale for each criterion accordingly (e.g., scales may vary from 1 to 5, 1 to 7, or 1 to 9)
5. Discuss and insert the indicators for all criteria in their respective cells (e.g., Costs 1 to 3 = less than \$1000 US)

Part 2: Option Assessment

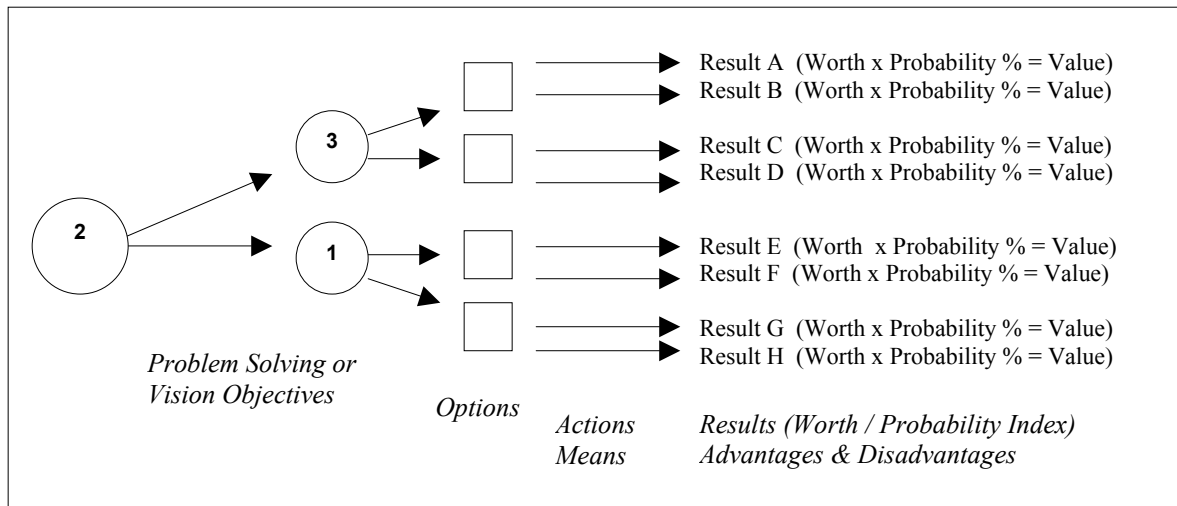
6. Draw an Option Assessment Table (below); insert the list of options in Column 1

Options	Costs (Max 7)	Sustainability (Max 9)			Sum	Ranking

7. In the top row, insert the list of criteria and indicate their maximum values in parentheses
8. Use each criterion to assess one option after the other and record the assessment in the corresponding cells; use the last two columns to add up the scores and to record the final ranking
9. Once the analysis is completed, go to *Project Manager* to plan the activities needed to pursue your preferred option; record the appropriate action-research management decisions for each activity (people, goals, time, methods, information, resources; see <http://www.carleton.ca/~jchevali/STAKEH.html>)

PATHS (MODULE 5)

Technique: Outcomes & Risks (excerpt)



PATHS (MODULE 5)

Technique: Preferred Option & Gradient Polling (Paths + Methods)

Purpose: to determine the appropriate level of support required to pursue a course of action or preferred option

Procedure:

Part 1: Defining the Level of Support Needed

1. Select and formulate a precise course of action or option that may be submitted to a group in anticipation of a decision to be taken
2. Assess the level of agreement that is required for the proposal to be adopted; group members can discuss the factors pointing to the need for enthusiastic support, such as those listed below; delete, reformulate or add factors if need be, using formulations that militate in favor of seeking enthusiastic support

PROPOSED ACTION:

SUGGESTED SCALE: 1 = False (does not apply at all) 9 = True (applies perfectly well)

ASSESSMENT CRITERIA:

Overall importance of results

Stakes are high and consequences of failure are severe Score ____

Expected longevity of the result

The decision is irreversible Score ____

Need for stakeholder buy-in

Many stakeholders will be significantly affected Score ____

Empowerment of group members

Stakeholders must be involved throughout the entire process Score ____

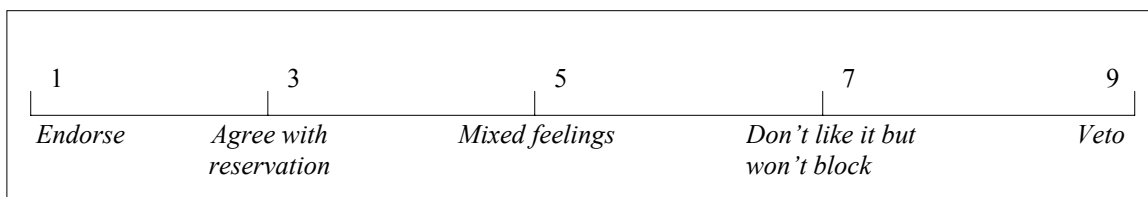
TOTAL Score ____

PERCENTAGE SCORE (*total score / maximum score*) % ____

3. Fill out the preceding table, indicating the relevant score for each factor as it applies to a preferred option or proposed action; use a scale from 1 to 9 for all factors, or vary the scale according to the importance of each factor; words or pictures may be used to define the meaning of each value
4. To convert into a percentage score, add up the overall score and divide the figure by the maximum score (the sum of all maximum values); the higher the percentage is, the greater the need is for enthusiastic support expressed through gradient polling

Part 2: Gradient Polling

5. Prior to taking a final vote or reaching a decision, group members may wish to poll and discuss levels of support or non-support for a particular proposition, using an agreement scale consisting of (about 9) gradients such as:



Participant should discuss the precise wording or pictures to define the various levels of support or non-support mapped along the agreement scale

6. Individual preferences mapped along the chosen scale can be tallied through one of four methods:
 - Hand raising
 - Verbal statements (without discussion)
 - Card display
 - Secret ballot
7. The results can be recorded on a flipchart, thus producing a quick, clear picture of the degree of group support or nonsupport for a given proposal
8. The final decision can be preceded by modifications to the proposal and one or several polling exercises, each followed by a time-limited discussion

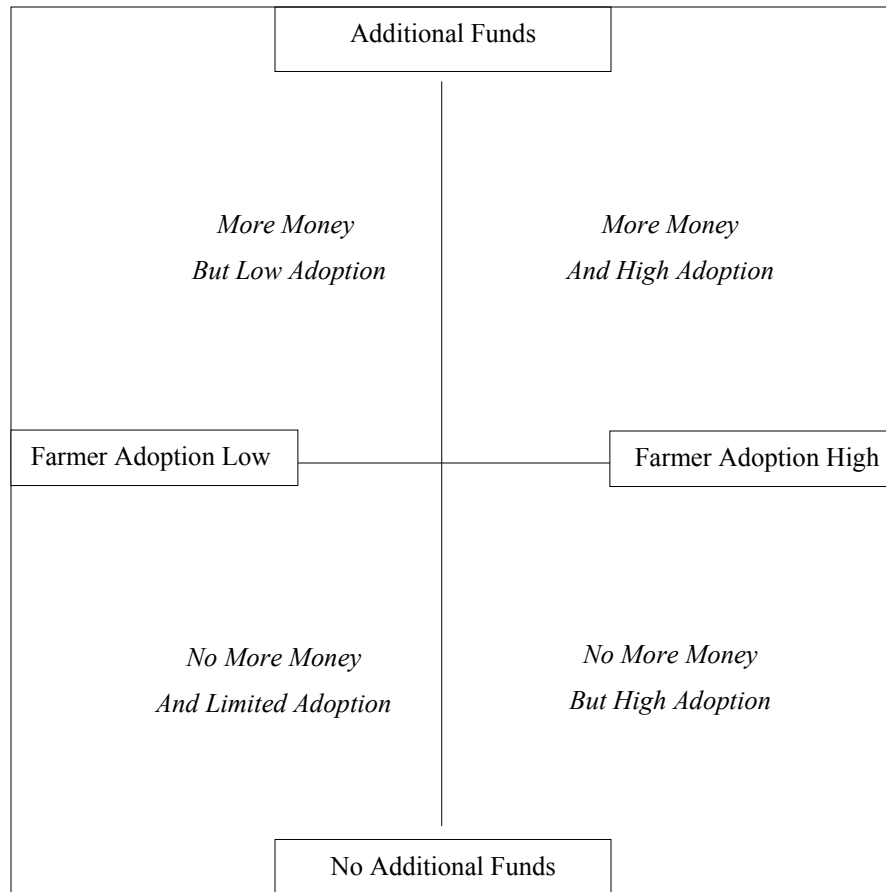
PATHS (MODULE 5)

Technique: But What If?

Purpose: to assist stakeholders in planning monitoring activities for scenarios involving factors that are difficult to predict and may greatly affect project outcome

Procedure:

1. List *key factors* or forces that may directly affect the evolution of a situation or problem domain (e.g., market fluctuations, the policy environment, new technology); emphasize factors that are difficult to predict and that would have a high impact on current plans
2. Choose the two factors that have the *greatest potential impact and the highest uncertainty level*
3. Plot these two factors along the vertical and the horizontal axes of a single matrix (example below), with the two ends of each axis corresponding to opposite outcomes (e.g., more funds versus no more funds; a new government elected versus the same government reelected); the resulting matrix contains *four quadrants* that represent the most *different, uncertain, and consequential* scenarios affecting a situation or course of action
4. Flesh out the details and the strategic implications of each quadrant; choose a label that captures the main features of each scenario
5. Identify *early indicators* of each quadrant (suggesting the possible occurrence of each scenario) and plans to obtain the relevant information for on-going monitoring purposes

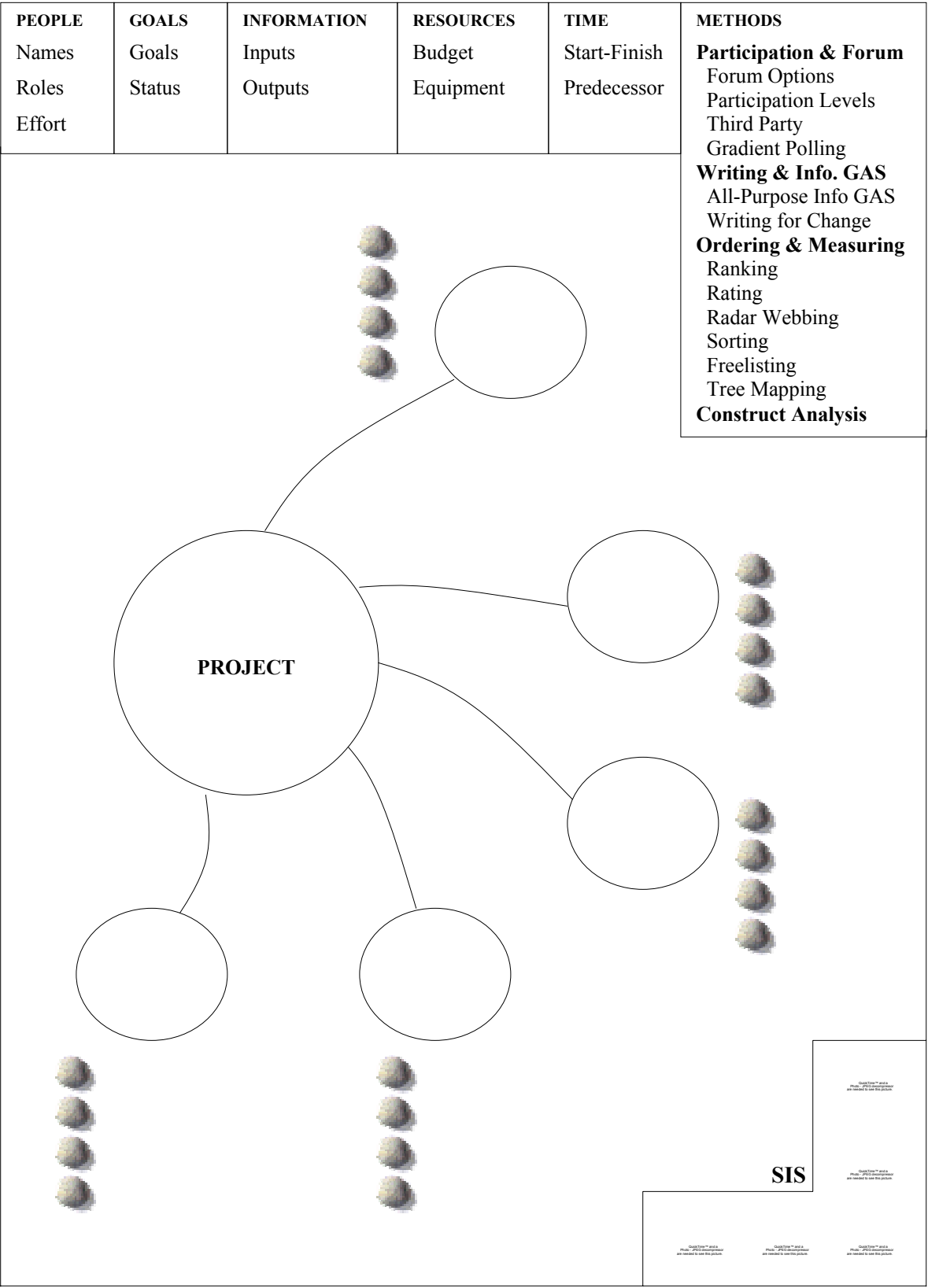


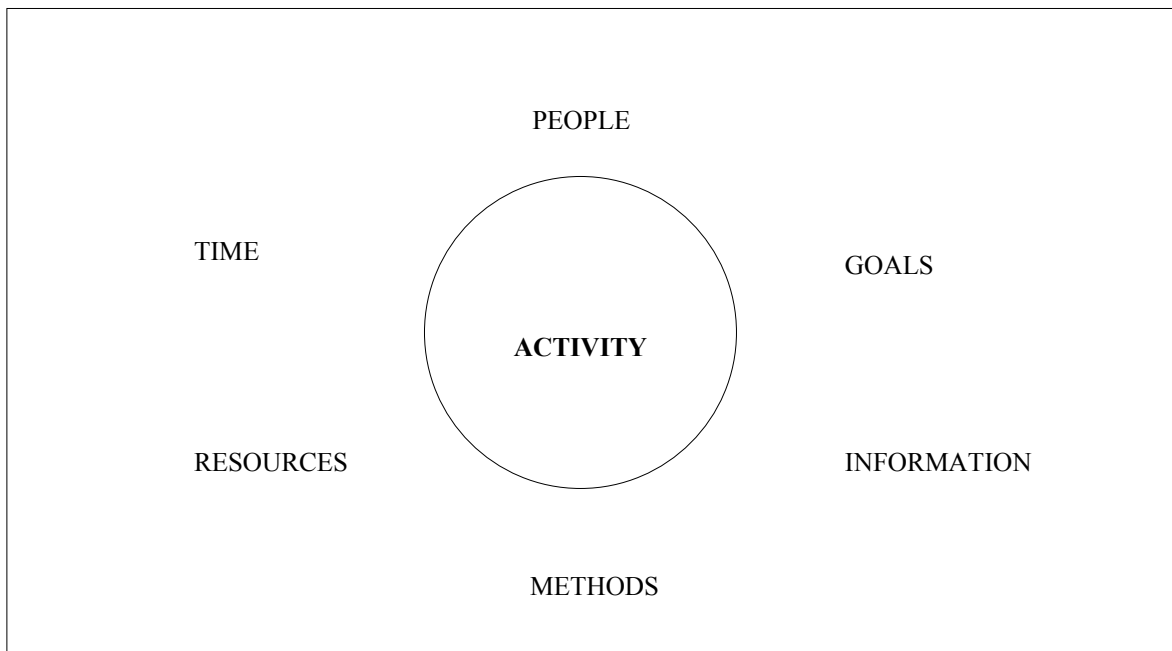
PROJECT MANAGER

Purpose: to assist the project management process and the integration of SIS activities

Procedure:

1. Draw a map consisting of nodes representing project activities (see map below)
2. Use the *level-one activity node* to define the *project* and determine all six corresponding *management decisions*, i.e., the **people** to be involved and their respective roles and effort levels (number of days to dedicate to the project); the **goals** that are pursued and the status of things partly done; the **methods** to be adopted (see Methods in SIS); and the **information** (inputs and outputs), material **resources**, and **time** (start and finish dates) to be allocated to the project as a whole
2. Repeat the same exercise for the second and third level activity nodes and related management decisions; *flesh out only those subnodes and management decisions that can be realistically planned (e.g., for the next 4 weeks) and require immediate attention and effective recording*
3. When mapping activity nodes, take into account the results of your SIS analyses and attach SIS subnodes to parent nodes that may require further social analysis
4. *Individual or groups of users* may fill out, record, and revise activity nodes and management decisions at any time; groups may discuss and record their decisions through meetings, email discussions, conference calls, on-line internet workshops, etc.
5. If and when need be, *compile and chart* the information pertaining to a particular set of activities (choose the appropriate node) and management decisions (e.g., activities by people and time), for individual or collaborative management purposes





People	Those involved in a given activity and their respective roles and expected effort levels (number of days to dedicate to the activity)
Goals	Purpose of activity, desired outcome and output, status
Information	Input or output documents (electronic or printed), report, archives, statistics, web sites, sources of information, etc.
Methods	Type of forum, facilitation mechanism, decision-making procedures, participatory methods, construct analysis, ordering and measuring, all-purpose information GAS (gathering, analyzing, sharing), etc.
Time	Start and finish dates, predecessors (prerequisite activities)
Resources (material)	Budget, equipment, etc.

THE STAKEHOLDER / SOCIAL INFORMATION SYSTEM
WORKSHOP DOCUMENT

JACQUES M. CHEVALIER

CARLETON UNIVERSITY

IN COLLABORATION WITH THE
INTERNATIONAL DEVELOPMENT RESEARCH CENTRE (CANADA)

OTTAWA, CANADA

MARCH 2003