



STAKEHOLDER MAPPING

For broad engagement and participation in slum upgrading

WHAT?

The stakeholder mapping aims at analyzing and representing both the relations between relevant stakeholders, and their relative influence for slum upgrading. The output is a map, diagram, or grid that visually represents the key stakeholders at country level.

WHY?

The stakeholder mapping enables to strengthen the relationships with relevant stakeholders and engages them effectively in the process and inform the institutional set up.

HOW?

The steps to create the stakeholder map include:

1. Create summary profiles:

Using the tables below, create summary ‘profiles’ of each stakeholder. The profile should include the stakeholders’ name, mandate, roles, connection to slum upgrading and other key information (e.g. large projects, funding for SU, etc.). It should also include conclusions and recommendations based on the gathered information about the stakeholder. The following categories of stakeholders should be studied:

- i. Slum community organizations,
- ii. Ministries,
- iii. Municipality,
- iv. Academia,
- v. External support organizations,
- vi. Private sector,

2. Categorise and order:

Categorise stakeholders according to sector. Then, in each sector, order the stakeholders according to relative influence (high to low).

3. Map:

Place each stakeholder around a circle based on the following:

- i. Sector – Public, Private, NGO/International Organisations, CBOs.
- ii. Size – larger profiles relate to larger relative influence over slum upgrading policy and practice (projects and programmes).
- iii. Relationships – draw arrows between stakeholders that have strong links (formal or informal). Relationships can include: coordination, supporting,



servicing, flows of resources, joint projects, etc. Write the type of relationship on the arrow.

- iv. (Each sector can also be divided into 'National', 'City' and 'Community' scales to further disaggregate stakeholders)

The following questions may prove useful when considering where stakeholders sit on the Influence/Impact analysis grid/map:

- Are they likely to influence the success or the failure of the Participatory Slum Upgrading activities?
- What is their relationship with Slum Upgrading, in general, and Participatory Slum Upgrading, in particular?
- Where are they now versus where you think they should be on the map?

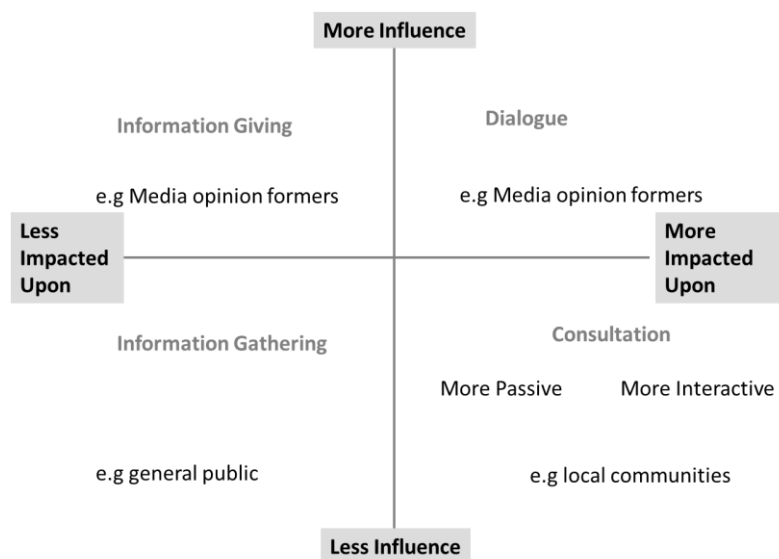
For the mapping you can use an online software such as 'Prezi', or a computer programme such as Word, Power Point, etc. It can also be drawn by hand and/or using pieces of paper or cards on a table top or wall with the grid written up on flipchart. Bear in mind that the mapping is simply an analytical tool. The aim is not only to create a pretty map.

In case you choose to use cards to create a grid, follow these steps:

- Identify stakeholders and write them on cards (one per card).
- Organize and agree placement of cards on the grid.
- Consider relationships (e.g. responsibilities, rights, levels of conflict) within and between stakeholders in each area of the grid.
- Consider potential strategies (approaches, methods) for engaging different stakeholders in each area.

An example of a grid or map is shown in Figure 1 that helps organise inputs on how the different types of stakeholders might be affected by or might influence the process.

Figure 1. Stakeholder Analysis Grid



4. Analyse:

After the map is done, ask questions such as:

- Who are the marginal stakeholders (small profiles) and how can they be supported to take part in the Participatory Slum Upgrading?
- Who are the key influencers over policy and practice, and who are they related to?
- Where are the key links between stakeholders; where are they missing?
- Are the sectors balanced, or is one sector much stronger?
- Etc.

Information and analysis on slum community organisations

This information is to be collected from the communities in the selected slum settlements. Additional questions may be added as necessary. Conclusions and recommendations should incorporate suggestions from the community, other actors like the municipality, as well as from the Implementation Partner.

Table 2. Information on slum community organisation

Questions/Issues	Information	Conclusions and Recommendations
Which community organisation(s) operate(s) in the slum?	1) Organisation(s)' name(s) 2) In existence since 3) Main purpose	
How many members does each organisation have?	1) Men 2) Women	
How are leaders elected?		
Are women, youth and elderly represented?	1) Yes/No 2) If yes, how many members	How to ensure adequate representation (if not achieved yet)
How many meetings are held in a month/year?		
How are community organisations represented at the municipality?	Type and number of consultations per year	How to ensure adequate representation of the community at the municipality (if not achieved yet)
How effective is their influence in decision-making and implementation by the municipality regarding slum improvement projects?		How to enhance the positive influence of community organisations (if not achieved yet)
Other questions		

Information and analysis on ministries as stakeholders in slum upgrading

Each country has a different government structure. The main topics to be covered are related to housing, urban development, public works, local government, land, social development, finance systems for housing and urban development, environment, gender, industrialisation and others. The information for this section is to be collected at national level from the different ministries and their relevant departments. At city level, information should also be collected from decentralized offices of the national ministries, if these exist in the city. The table below can be used as an indication of the type of questions for which information should be collected. Questions have to be adapted to the local context, and other questions may be added, as necessary. Analyse the data collected and draw conclusions and recommendations for improvements on government structure, human resources and projects/activities for slum upgrading/prevention. Discuss recommendations with ministry staff, municipality, slum dwellers and others, as relevant.

Table 3. Information and recommendations on ministries' contribution to slum upgrading

Questions/Issues	Information	Conclusions and Recommendations
Name of ministry/department		
Names of ministry departments dealing with slum issues		
Main tasks of the ministry and departments addressing slums		How to streamline the institutional structure (including tasks of relevant departments) to better address slums
Number of ministry/department staff working on slum issues		
Specific knowledge lacking for the ministry staff dealing with slums		How to enhance capacities of departments and professionals
Ministry strategy addressing slum upgrading and prevention		How to re-focus and improve strategic approach to slum upgrading/prevention (if necessary)
Total ministry budget allocated to slum upgrading and prevention		
Slum upgrading/prevention projects currently implemented by the ministry		How to improve the ministry's response to slum needs (if necessary)
Others...		Other recommendations

Information and analysis on municipalities/city councils

Information for this part of the stakeholder analysis is to be collected from the municipality. Table can be used as an indication of the type of questions for which information should be collected. Questions have to be adapted to the local context, and other questions may be added, as necessary. For each topic, analyse the data collected and draw conclusions and recommendations for improvements of the municipal structure, human resources and projects/activities in relation to slums. Discuss recommendations with municipality staff, slum dwellers and others, as relevant.

Table 4: Information and recommendations on municipality/city council

Questions/Issues	Information	Conclusions and Recommendations
Municipal structure		
List municipal departments dealing with slum issues	1) Name of the department 2) Staff by department - <i>Use diagram to visualise status quo.</i>	How to streamline the institutional structure (including tasks of relevant departments) to better address slums <i>Use a diagram to visualise the streamlined institutional structure.</i>
List the main tasks of the municipal departments in addressing slum issues	1) 2)	
Municipal staff working on slum upgrading	1) Total number of staff 2) Total number of professionals	How to enhance capacities of departments and professionals
List city development strategy, master plan or other city development instrument. <i>Indicate if an instrument falls under a national ministry.</i>	1) Name of the development instrument 2) Year of preparation 3) Projects/activities implemented	How to improve existing instruments
Municipal revenues		
Total municipality budget (local currency & USD)	1) Annual total 2) Total for salaries 3) Total for infrastructure projects 4) Total for service provision 5) Total for slum upgrading 6) Total for others	How to increase funds allocated to slums in innovative ways
Main source of municipal income per year (local currency & USD)	1) Total from central budget; 2) Total from city revenues; 3) Total from other sources	
From revenues obtained at city level, list sources and total per year (local currency & USD)	1) 2)	
Information on municipal activities under implementation in slums		
List water projects		How to increase scope and effectiveness and fill gaps in project approach
List sanitation projects		
List road improvement projects		
List electricity projects		
List education and health projects		

List other projects under implementation in slums		
Others...		Other recommendations

Sub-tool: Information and analysis on academia

Information for this section is to be collected at national level from universities and research institutions. The table below can be used as an indication of the type of questions for which information should be collected. Questions have to be adapted to the local context, and other questions may be added, as necessary. Analyse the data collected and draw conclusions and recommendations for better involvement of academia in slum upgrading. Discuss recommendations with all relevant stakeholders.

Table 5: Information and recommendations on academia involvement in slum upgrading

University / Institution / Research Centre	Information on projects, studies and advisory services	Conclusions and Recommendations
	1) Project name 2) Project type 3) Main objectives 4) Location (if field project) 5) Budget (USD) 6) Main results 7) Titles and location of relevant documents 8) Institution' human resources dealing with slums 9) Any other relevant information	Relevance of the project Quality of the outputs Impact Availability of staff and resources Any other relevant recommendations
	1) Project name 2) Project type 3) Main objectives 4) Location (if field project) 5) Budget (USD) 6) Main results 7) Titles and location of relevant documents 8) Institution' human resources dealing with slums 9) Any other relevant information	
	Add more lines for additional projects	
Others		How to increase the participation of the academia in slum upgrading - suggest alternative projects or contributions for more effective slum upgrading and prevention

(Complete one table for each academic institution, if they have numerous projects in the city. You can also combine similar projects in one table.)

Information and analysis on external support agencies

In many cities, external agencies support slum upgrading and prevention activities. These actors are important for the design and implementation of the city-wide slum upgrading strategy and priority actions of Participatory Slum Upgrading. Information on donors, UN agencies, EU, NGOs, bilateral agencies, international foundations and the activities of other external support agencies, is to be collected from different sources, including from the agencies themselves, the municipality and community organisations. The table below can be used as an indication of the type of information that should be collected. Additional information should be provided, as relevant. Analyse the data and draw conclusions and recommendations for improvements on donor assistance and project implementation. Discuss recommendations with all relevant stakeholders.

Table 6: Information and recommendations on external agencies supporting slum upgrading

External Support Agencies	Information on Projects (ongoing and completed if experience is still relevant)	Conclusions and Recommendations
	<ol style="list-style-type: none"> 1) Project name 2) Main objectives, activities, slum upgrading methodologies 3) Location 4) Number of beneficiaries 5) Budget (USD) 6) Main results 7) Other relevant information 	<ol style="list-style-type: none"> 1) Achievements/impact 2) Upgrading methodologies (selection of locations, beneficiaries; technical options; subsidies/cost recovery...) 3) Availability of staff and resources 4) Sustainability 5) Lessons learnt 6) Any other relevant recommendations
	<ol style="list-style-type: none"> 1) Project name 2) Main objectives, activities, slum upgrading methodologies 3) Location 4) Number of beneficiaries 5) Budget (USD) 6) Main results 7) Other relevant information 	<ol style="list-style-type: none"> 1) Achievements/impact 2) Upgrading methodologies (selection of locations, beneficiaries; technical options; subsidies/cost recovery...) 3) Availability of staff and resources 4) Sustainability 5) Lessons learnt 6) Any other relevant recommendations
	Add more lines for additional projects	
General		How to increase the participation of external agencies and how to make their support for slum upgrading and prevention more effective.

(Complete one table for each external support agency, if they have numerous projects in the city)

Information and analysis on private sector entities

The purpose of the analysis in this section is to provide an overview of those companies that already contribute directly to slum upgrading (or have done so in the past) and assess their working models, impact and potential for scaling up. From among the companies that have so far only acted as for-profit providers of materials and services, the National Implementation Partner should only list those that have indicated an interest to engage directly in slum upgrading and prevention activities through public-private partnerships. The selection of companies to be listed here has to be based on information obtained through interviews with relevant companies. The key questions to be asked is: Under which conditions would companies be prepared to get directly involved in slum upgrading?

Information should be collected from different sources (private sector, municipality, slum dwellers and others). The table below can be used as an indication of the type of information that should be collected. Additional information should be provided, as relevant. Analyse the data collected and draw conclusions and recommendations for better involvement of the private sector in slum upgrading. Discuss recommendations with relevant stakeholders.

Table 7. Information and recommendations on private sector entities contributing to slum upgrading

Categories of Private Sector Entities	Information (cover all relevant companies in each category)	Conclusions and Recommendations
Industrial producers of construction materials (cement, prefabricated concrete slabs, cement blocks, fired bricks, steel rods, roofing sheets, PVC pipes, window glass, timber doors and window frames, paint...)	<ol style="list-style-type: none"> 1) Companies' names 2) Location 3) Current type and quantity of supplies for slum upgrading 4) Subsidy policy/Corporate Social Responsibility/public-private partnership model 5) Scope/conditions for increased contribution 6) Capacity to meet expected demand for city-wide upgrading 7) Other relevant information 	<ol style="list-style-type: none"> 1) Impact 2) Lessons learnt 3) How to scale up/improve current model 4) How to enhance capacity for city-wide upgrading
Companies delivering infrastructure and services to slums (roads, drainage, water, sewerage, street lighting...)	<ol style="list-style-type: none"> 1) Companies' names 2) Location 3) Current type and quantity of services for slum upgrading 4) Subsidy policy/Corporate Social Responsibility/public-private partnership model 5) Scope/conditions for increased contribution 6) Capacity to meet expected demand for city-wide upgrading 7) Other relevant information 	<ol style="list-style-type: none"> 1) Impact 2) Lessons learnt 3) How to scale up/improve current model 4) How to enhance capacity for city-wide upgrading
Small contractors/developers (formal and informal)	<ol style="list-style-type: none"> 1) Proportion of slum housing and infrastructure provided by small contractors 	<ol style="list-style-type: none"> 1) How to enhance capacity to scale up operations 2) How to supply better products

	<ul style="list-style-type: none"> 2) Dominant building materials and construction technologies 3) Capacity to scale up operations 4) Capacity to build multi-storey structures for vertical densification 	<ul style="list-style-type: none"> 3) How to build multi-storey structures 4) How to facilitate use of alternative building materials
Locally driven business initiatives (e.g. 'adopt-a-light')	<ul style="list-style-type: none"> 1) Names of initiatives 2) Location(s) 3) Business model applied 5) Capacity to meet expected demand for city-wide upgrading 	<ul style="list-style-type: none"> 1) Impact 2) Lessons learnt 3) How to scale up/improve current model 4) How to enhance capacity for city-wide upgrading
Companies and organisations providing <i>pro bono</i> services (multinational consultancy firms, service clubs like Rotary...)	<ul style="list-style-type: none"> 1) Names of initiatives 2) Location(s) 3) Human and financial resources made available 5) Capacity to meet expected demand for city-wide upgrading 	<ul style="list-style-type: none"> 1) Impact 2) Lessons learnt 3) How to scale up/improve services provided
Companies that are interested in contributing directly to slum upgrading	<ul style="list-style-type: none"> 1) Companies' names and types of business 2) Location 3) Conditions for engaging in public-private partnership 4) Other relevant information 	<ul style="list-style-type: none"> 1) Types of incentives to be created by government
Others...		

(Complete one table for different categories of private sector entities, if necessary)

